



CABINET AND COMMISSIONERS' DECISION MAKING MEETING

**Monday, 21 May 2018
10.00 a.m.
Council Chamber, Town Hall,
Moorgate Street, Rotherham. S60 2TH**

Cabinet Members:-

Leader of the Council	Councillor Chris Read
Deputy Leader of the Council and Children & Young People's Services and Neighbourhood Working Portfolio	Councillor Gordon Watson
Adult Social Care and Health Portfolio	Councillor David Roche
Cleaner, Greener Communities Portfolio	Councillor Sarah Allen
Corporate Services and Finance Portfolio	Councillor Saghir Alam
Housing Portfolio	Councillor Dominic Beck
Jobs and the Local Economy Portfolio	Councillor Denise Lelliott
Waste, Roads and Community Safety Portfolio	Councillor Emma Hoddinott

Commissioners:-

Lead Commissioner Mary Ney
Commissioner Patricia Bradwell
Commissioner Julie Kenny



CABINET AND COMMISSIONERS' DECISION MAKING MEETING

Venue: **Town Hall, The Crofts,
Moorgate Street,
Rotherham. S60 2TH** **Date:** **Monday, 21st May, 2018**
Time: **10.00 a.m.**

A G E N D A

1. Apologies for Absence.

To receive apologies of any Member or Commissioner who is unable to attend the meeting.

2. Declarations of Interest.

To invite Councillors and Commissioners to declare any disclosable pecuniary interests or personal interests they may have in any matter which is to be considered at this meeting, to confirm the nature of those interests and whether they intend to leave the meeting for the consideration of the item.

3. Questions from Members of the Public.

To receive questions from members of the public who wish to ask a general question in respect of matters within the Council's area of responsibility or influence.

Subject to the Chair's discretion, members of the public may ask one question and one supplementary question, which should relate to the original question and answered received.

Members of the Council may also ask questions under this agenda item.

4. Minutes of the previous meeting held on 16 April 2018 (Pages 1 - 5)

To receive the record of proceedings of the Cabinet and Commissioners' Decision Making Meeting held on 16 April 2018.

5. Exclusion of the Press and Public.

Agenda Item 9 has an exempt appendix. Therefore, if necessary when considering that item, the Chair will move the following resolution:-

That under Section 100(A) 4 of the Local Government Act 1972, the public be excluded from the meeting for the following item of business on the grounds that it involves the likely disclosure of exempt information as defined in paragraph 3 of Part 1 of Schedule 12(A) of such Act indicated, as now amended by the Local Government (Access to Information) (Variation) Order 2006.

DECISIONS FOR CABINET

6. Customer Access Strategy (Pages 7 - 24)

Report of the Strategic Director of Finance and Customer Services

Cabinet Member: Councillor Read
Commissioner: Ney (in advisory role)

Recommendations:

- 1 That the progress of the Customer Service & Efficiency Board work programme be noted.
- 2 That the Customer Access Strategy be approved for publication.
- 3 That any significant changes required following annual reviews of the Strategy be subject to further reports for Cabinet consideration and approval.

7. Free Public Wi-Fi for Rotherham Town Centre (Pages 25 - 34)

Report of the Strategic Director of Finance and Customer Services

Cabinet Member: Councillor Alam
Commissioner: Ney (in advisory role)

Recommendations:

That, subject to the required objectives described in this report being met, approval be given to the delivery of a public access Wi-Fi across Rotherham Town Centre.

8. Review of Council Plan Indicators for 2018/19 (Pages 35 - 58)

Report of the Assistant Chief Executive

Cabinet Member: Councillor Alam
Commissioner: Ney (in advisory role)

Recommendation:-

That the Council be recommended to approve the Council Plan Indicators for 2018-2019.

9. New Applications for Business Rates Discretionary Relief (Pages 59 - 65)
Report of the Strategic Director of Finance and Customer Services
(This item includes an exempt appendix)

Cabinet Member: Councillor Alam
Commissioner: Ney (in advisory role)

Recommendations:

1. That discretionary relief be refused for Dinnington School of Swimming and Fitness CIC, Unit 6 Brooklands Park, Brooklands Way, Dinnington, Sheffield, S25 2JZ.
2. That 20% discretionary top up relief for the period 1st April 2017 to 31st March 2019 be awarded to Rotherham & District Citizens Advice Bureau, 5 Eastwood Lane, Rotherham S65 1EQ.

10. Enabling School Improvement (Pages 67 - 81)

Report of the Acting Strategic Director of Children and Young People's Services

Cabinet Member: Councillor Watson
Commissioner: Bradwell (in advisory role)

Recommendations:

1. That the outcome of the consultation on Enabling School Improvement be noted.
2. That the commitment to working with individual settings, schools and strategic partners with pace, pride and passion to further develop good and outstanding provision be noted.
3. That the establishment of a Rotherham Strategic Education Partnership Board, as set out in section 4 of this report, to create opportunities to exploit synergies; identify both gaps in provision and duplication and create greater strategic coherence and help to secure improved outcomes be endorsed.
4. That the proposal to recruit to the substantive post of Assistant Director (Education) recognising this may be through a permanent appointment or a fixed term full time/part time seconded appointment be noted.
5. That the operational decisions of the Strategic Director of Children and Young People's Services relating to the relocation of operational functions be noted.

11. Revised Rotherham MBC Code of Practice for Highway Inspection and Assessment (Pages 83 - 408)

Report of the Strategic Director of Regeneration and Environment

Cabinet Member: Councillor Hoddinott

Commissioner: Kenny (in advisory role)

Recommendations:

1. That the revised Rotherham Metropolitan Borough Council (RMBC) Code of Practice for Highway Inspection and Assessment (Appendix A) be approved and implemented by October 2018. This will ensure that Rotherham's highway network is safely maintained, thereby safeguarding users.
2. That Cabinet support the recommendation of Improving Places Select Commission that a further update, incorporating additional performance management data, will be provided to Improving Places Select Commission and the Cabinet Member for Waste, Roads and Community Safety.

12. Removal of the public phone box at the junction of Stubbin Road and Cortworth Lane, Nether Haugh (Pages 409 - 416)

Report of the Strategic Director of Regeneration and Environment

Cabinet Member: Councillor Lelliott

Commissioner: Kenny (in advisory role)

Recommendations:

That the final decision agreeing to the proposal to permanently remove the public phone box at the junction of Stubbin Road and Cortworth Lane, Nether Haugh be noted.

13. The Transformation of Services and Support for People with a Learning Disability (Pages 417 - 587)

Report of the Strategic Director of Adult Care, Housing and Public Health

Cabinet Member: Councillor Roche

Commissioner: Ney (in advisory role)

Recommendations:

1. That approval be given to the draft Learning Disability Strategy and approve future stakeholder engagement.
2. That approval be given to the development of a Rotherham Supported Living and Better Days Framework as detailed in the Learning Disability Strategy (Appendix C).

3. That approval be given to the transformation of the Learning Disability Services over the next two years which will see the services move from existing building based locations to alternative care and support that will be situated as close to the person as possible in their local community, using and developing existing resources and community buildings i.e. leisure centres and community provision. Oaks Day Centre, Addison Day Centre, Treefields, Quarryhill and Parkhill will be decommissioned.
4. That the Council continue to provide a service to people with high complex needs. The Elliott Centre and Maple Avenue buildings will be reviewed and may be moved to more suitable alternative premises should they become available.
5. That approval be given to the delivery plan which sets out how the Council will make sure all people with a learning disability have access to community based services that promote independence, wellbeing and social inclusion. This will ensure that:
 - Each person with a learning disability has a review based on a person centred approach, which will inform the support and services the Council needs to provide to meet their individual needs by 2020. A dedicated team of social workers with the support of the existing staff will undertake the reviews. This will also include advocacy support and engagement with carers.
 - Each person will have the opportunity to make sure every day in their life is meaningful, of value and leads to them having a 'Good Day'. Doing things which have a purpose; being in ordinary places doing things most other people in the community would be doing; doing things that are for the individual; making sure they receive the right amount of support; and are in touch with local people, developing friendships.
 - More people have the opportunity to participate in paid employment.
 - A strength based approach will be taken to develop a range of opportunities, including shared lives, use of personal budgets, develop skills for independent living provide support when the carer needs it and making sure more people have their own front door.

**14. Proposals for the future of Rotherham Intermediate Care Centre (RICC)
(Pages 589 - 607)**

Report of the Strategic Director of Adult Care, Housing and Public Health

Cabinet Member: Councillor Roche
Commissioner: Ney (in advisory role)

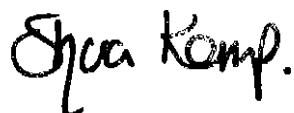
Recommendations:

That option 2 of the report be approved, which is to move the provision of rehabilitation out of the building base (RICC at Badsley Moor Lane) and re-provide within the community.

15. Recommendations from Overview and Scrutiny Management Board

To receive a report detailing the recommendations of the Overview and Scrutiny Management Board in respect of the following items that were subject to pre-decision scrutiny on 16 May 2018:

- Customer Access Strategy
- Enabling School Improvement
- The Transformation of Services and Support for People with a Learning Disability
- Proposals for the future of Rotherham Intermediate Care Centre (RICC)



SHARON KEMP,
Chief Executive.

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**CABINET/COMMISSIONERS'
DECISION MAKING MEETING
Monday, 16th April, 2018**

Present:- Councillor Read (in the Chair); Commissioner Kenny, Councillors Alam, Beck, Hoddinott, Roche, Watson and Yasseen.

Also in attendance was Councillor Steele, Chair of the Overview and Scrutiny Management Board.

Apologies for absence were received from Commissioner Bradwell, Commissioner Ney and Councillor Lelliott.

The webcast of Cabinet and Commissioners' Decision Making Meetings can be viewed at:-

<https://rotherham.public-i.tv/core/portal/webcasts/enctag/Executive%252BArea>

130. DECLARATIONS OF INTEREST

There were no Declarations of Interest to report.

131. QUESTIONS FROM MEMBERS OF THE PUBLIC

There were no questions from members of the public.

132. MINUTES OF THE PREVIOUS MEETINGS

Resolved:- That the minutes of the Cabinet and Commissioners' Decision Making Meetings held on 19th February and 12th March, 2018, be agreed as true and correct records of the proceedings.

133. WASTE COLLECTIONS SERVICE REVIEW

Further to Minute No. 70 of the meeting of the Cabinet and Commissioners held on 13th November, 2017, consideration was given to a report which set out details of the outcome of the waste consultation exercise and proposed the introduction of changes to the Council's waste collection service. The proposed changes were to introduce kerbside plastic collection as soon as practicable, and introduce an all year round green waste chargeable service from October, 2018.

Details of the different options assessed by the Council, along with the potential impact on recycling and the costs of each option were highlighted. The recommended option was 1B which would result in a replacement 180ltr residual bin with two stream recycling, the introduction of an all year round green waste chargeable service from October, 2018 and a plastic collection from the household waste stream as "Phase 2" of the implementation process which would be subject to tender and would be introduced at a later stage.

Cabinet Members were in support of the proposals and believed the enhanced recycling opportunities would work in collaboration with a smaller general waste residual bin.

However, in accepting the proposals it was suggested that clear information be provided identifying what plastic could be recycled at the kerbside, what material could be placed in which bin, preferably in pictorial format, and the introduction timescales for each phase.

This report had been considered by the Overview and Scrutiny Management Board as part of the pre-scrutiny process who were in support of the recommendations subject to a trial being initiated for different types of households and for this to be evaluated to ensure the proposed changes were feasible and households were not adversely affected by the proposals.

In addition it was also suggested that there be some exploration as to the feasibility of communal facilities for waste disposals and recycling particularly for high density housing and new developments and that the details of the communications and engagement strategy be provided to Improving Places Select Commission for their input and monitoring.

Councillor Hoddinott, Cabinet Member for Waste, Roads and Community Safety, agreed with the principle, but confirmed a trial could not be supported. Any opportunity for volunteers to feed back any findings on performance was welcomed and this in turn would be reported back to the Overview and Scrutiny Management Board in due course.

However, any further exploration of waste and recycling options in high density community housing was welcomed. The communications and engagement strategy would be submitted to the Improving Places Select Commission as part of the work programme.

Resolved:- (1) That the cessation of the free garden waste collection service be approved with effect from 26th October, 2018 and be replaced with an optional, all year round, chargeable garden waste collection service from 29th October, 2018.

(2) That the operating policies in paragraph 6.2 and 6.15 of this report be approved.

(3) That the fee for the garden waste collection service be set at £39 for an initial subscription period from 29th October, 2018 until January 2020, with the price of future annual subscriptions subject to review each year.

- (4) That the introduction of a two-stream recycling service be approved that included the collection of plastic materials at the kerbside from early 2019 - Option 1(b) – with the specific date to be confirmed as part of the procurement exercise. New 180 litre residual bins will be provided to all households in time for the launch of the two-stream recycling service to enable the existing 240 litre residual bins to be used for recycling plastic, tin cans and glass thereby reducing capital expenditure.
- (5) That the Council be recommended to add the capital costs of the vehicles and bins at an estimated cost of £5.54m to the Council's Capital Programme.
- (6) That authority be delegated to the Assistant Director of Community Safety and Street Scene to make all necessary arrangements for the smooth introduction of the revised waste collection service including the purchase of bins and refuse vehicles.
- (7) That officers develop a comprehensive communications and marketing plan, in consultation with the Cabinet Member for Waste, Roads and Community Safety, to sit alongside the implementation plan for the revised waste collection service.
- (8) That the feasibility of communal facilities for waste disposals and recycling particularly for high density housing and new developments be explored further.
- (9) That further details of the communications and engagement strategy be provided to Improving Places Select Commission for their input and monitoring.

134. HOME TO SCHOOL TRANSPORT POLICY

Further to Minute No. 42 of the meeting of the Cabinet and Commissioners held on 11th September, 2017, consideration was given to the report which provided the outcome of the consultation on the Home to School Transport Policy for Rotherham, including post-16 students and children with Special Educational Needs or Disability (SEND) and provides recommendations for the service provision.

The revised Home to School Transport Policy (Appendix 1) provided advice and guidance for families regarding the support available to them relating to a range of transport options for young people in Rotherham and would seek to develop and promote independent travel training as a central service in Rotherham and apply it particularly at transitional stages.

Any changes proposed to these services would ensure the continuation of suitable, safe, home to school travel assistance for eligible children in accordance with the Council's statutory duties, taking into account an individual's assessed needs. The policy must also contribute to the Council's priority of ensuring every child had the best start in life.

Cabinet Members welcomed the proposed Policy, especially the transition to independent travel training whilst complying with the statutory duty to transport children to and from school.

This report had been considered by the Overview and Scrutiny Management Board as part of the pre-scrutiny process who were in support of the recommendations, subject to further investigation into the cost/benefit feasibility of operating an in-house service for those requiring home to school transport rather than reliance on taxis and for a further report on the policy's implementation being submitted to Improving Places Select Commission in six months' time.

Councillor Hoddinott, Cabinet Member for Waste, Roads and Community Safety, was happy to initiate an investigation into operating an in-house home to school service as an operational alternative and where possible initiate efficiencies.

- Resolved:-**
- (1) That the Home to School Transport Policy 2018-19 be approved.
 - (2) That the Home to School Transport Assessment Matrix be approved.
 - (3) That approval be given to the introduction of a formal annual review of transport provision, which includes engagement with families.
 - (4) That an assessment of existing service users be conducted to review their circumstances to enable participation on a voluntary basis ahead of the introduction of the formal annual review;
 - (5) That approval be given to the introduction of a personal travel budget scheme to provide transport support to families of children with special educational needs and disabilities.
 - (6) That post-16 transport travel arrangements be revised to replace direct transport as a first option with personal travel budgets for those students with special educational needs and disabilities.
 - (7) That approval be given to the consideration of alternative methods of support for particular groups or individuals such as walking bus, cycle or moped schemes, when appropriate.

- (8) That approval be given to the introduction of independent travel training as a central resource in Rotherham to support arrangements currently delivered by Special Schools for children from the age of 14+ to enable independence and that travel training commence from June 2018 for appropriate young people.
- (9) That personal travel budgets for all students making new applications for post-16 travel be instigated from 1 July 2018, and existing users of the post-16 service are permitted to apply on a voluntary basis from 1 May 2018.
- (10) That a transition period to validate the Transport Assessment Matrix be effective from 1 May 2018, with the full implementation of the policy for all new applicants with effect from 1 July 2018.
- (11) That children and young people in need of home to school transport, and including transport operators, be engaged as part of the transition and implementation process.
- (12) That any amendments to the Transport Assessment Matrix, resulting from the transition period, to be delegated to the Assistant Director for Community Safety and Street Scene.
- (13) That an investigation be initiated into the cost/benefit feasibility of operating an in-house service for those requiring home to school transport rather than reliance on taxis
- (14) That a further report on the policy's implementation be submitted to Improving Places Select Commission in six months' time.

135. RECOMMENDATIONS FROM OVERVIEW AND SCRUTINY MANAGEMENT BOARD

Consideration was given to the circulated report, the contents of which were included as part of the relevant items and the details included accordingly.

136. DATE AND TIME OF NEXT MEETING

Resolved:- That the next Cabinet and Commissioners' Decision Making Meeting would take place on Monday, 21st May, 2018 at 10.00 a.m. at the Town Hall.

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Public Report

Cabinet and Commissioners' Decision Making Meeting

Summary Sheet

Committee Name and Date of Committee Meeting

Cabinet & Commissioner Decision Making Meeting – 21 May 2018

Report Title

Customer Access Strategy

Is this a Key Decision and has it been included on the Forward Plan?

No

Strategic Director Approving Submission of the Report

Judith Badger, Strategic Director of Finance and Customer Services

Report Author(s)

Luke Sayers, Assistant Director Customer, Information and Digital Services
01709 823249 or luke.sayers@rotherham.gov.uk

Ward(s) Affected

All

Summary

The Council is committed to providing all customers with access to the help and advice they need regardless of anyone's personal situation; delivering services in a way that is simple, easy to understand, joined up, reliable and right first time.

A new Customer Access Strategy is required to replace the now expired Customer Access Strategy. This provides an opportunity to refresh the Council's approach by adapting to changing customer needs and expectations and advancing technology; thereby demonstrating a modern, efficient council that makes best use of available resources and provides value for money, customer-focused services.

The refreshed strategy seeks to strengthen customer relationships, enhance experience and increase satisfaction. It also aims to influence positive behaviour changes by encouraging engagement, involvement and increasing digital inclusion. The strategy provides a framework that cuts across all areas of business, placing the customer at its heart and adopting a digital first ethos that enables greater control and independence without excluding anyone from accessing the help, information and advice they need.

Recommendations

- 1 That the progress of the Customer Service & Efficiency Board work programme be noted.
- 2 That the Customer Access Strategy be approved for publication.
- 3 That any significant changes required following annual reviews of the Strategy be subject to further reports for Cabinet consideration and approval.

List of Appendices Included

Appendix 1 Draft Customer Access Strategy

Appendix 2 Stakeholder Engagement

Background Papers

RMBC Digital Council Strategy 2016 to 2019

Council Plan 2017-20

Consideration by any other Council Committee, Scrutiny or Advisory Panel

Overview and Scrutiny Management Board – 16 May 2018

Council Approval Required

No

Exempt from the Press and Public

No

Customer Access Strategy

1. Recommendations

- 1.1 That the progress of the Customer Service & Efficiency Board work programme be noted.
- 1.2 That the Customer Access Strategy be approved for publication.
- 1.3 That any significant changes required following annual reviews of the Strategy be subject to further reports for Cabinet consideration and approval.

2. Background

- 2.1 The Customer Service & Efficiency Board was established in September 2017 to deliver a strategic approach to service delivery and support the Council in the realisation of significant efficiencies.
- 2.2 The Board, chaired by the Strategic Director Finance and Customer Services, approve the Customer Service & Efficiency work programme; a comprehensive range of projects which will deliver:
 - The implementation of essential underlying technology to enable improved and extended digital capabilities and greater use of automated self-serve channels.
 - The consolidation of departmental customer service functions into a single corporate delivery model within the Finance & Customer Services directorate; creating a more effective, efficient and consistent multi-channel service.
 - Value for money and customer centred Council services through redesign and business process re-engineering.
 - Increased digital inclusion, making every contact count by encouraging customers to engage online and supporting them to grow their skills and confidence through a corporate wide digital champion programme.
 - A more robust and joined up approach to the provision and communication of customer information; reducing the amount of print and outgoing post and making best use of social media to encourage those online to stay online.
 - Redefined customer service standards and a workforce wide strategy that raises the profile of customer service and achieves recognised accreditation.
- 2.3 The Customer Service and Efficiency Board are responsible for ensuring project sponsors take responsibility for deliverables and all financial savings established through the programmes and that these are captured accurately.
- 2.4 The Customer Service & Efficiency board is also responsible for the Council's Customer Access Strategy and the delivery of underpinning activities.
- 2.5 Technological advancement and changing customer behaviours and expectations mean that the way the Council provides access to services must be regularly reviewed.

- 2.6 It is important that all customers continue to have access to the services they need irrespective of their personal situation, and that the information and advice they receive is simple and easy to understand, joined up, reliable and right first time.
- 2.7 The purpose of a Customer Access Strategy is to set out how the Council aims to achieve the above, building on the Council's values to strengthen customer relationships and improve service delivery.
- 2.8 A new Customer Access Strategy is required to replace the now expired Customer Access Strategy 2011 to 2015.
- 2.9 The new strategy forms the framework for the way customers access services and the way the Council delivers them; cutting across all areas of business to deliver greater efficiency, make better use of resources, and improve customer experience.
- 2.10 The new Customer Access Strategy is aligned to the Council Plan and the Council's Digital Strategy. It has a greater digital focus to reflect the vision for a modern, efficient council that makes best use of available resources and provides value for money, customer-focused services.
- 2.11 The aims and objectives of the Customer Access Strategy form the basis for the Customer Service & Efficiency work programme which is driving the:
 - Implementation of essential underlying technology
 - Redesign of business processes
 - Challenge to the way the Council delivers its services
 - Delivery of excellent customer service
- 2.12 This report sets out the proposed new strategy, subject to Cabinet approval, which will be reviewed on an annual basis to ensure it remains fit for purpose and continues to meet customer needs.

3. Key Issues

- 3.1 The new Customer Access Strategy sets out the Council's continued commitment to providing all customers with access to the information and services they need, in a modern, efficient, and effective way that delivers value for money.
- 3.2 The fundamental principles of the strategy are that it enables:
 - Access to help, advice and information for all Rotherham customers irrespective of their personal circumstances.
 - The delivery of high quality 'digital first' services that are designed and built around customer needs to give people greater control and independence.
 - Simple, effective and joined up processes that are consistent and right first time.

- The growth of digitally enabled and digitally active customers through targeted promotion, support and mediated access.

3.3 The outcomes sought from the Customer Access Strategy are:

- Irrespective of the channel they choose, customers have access to the services they need, with information and advice that is simple and easy to understand, joined up, reliable and right first time.
- Customers and communities are involved in the design and testing of new services and processes and their thoughts and ideas are used to positively influence change and improvements.
- Improved customer experience with new and redesigned services delivering a customer journey that is as short and simple as possible. Customers only have to tell their story once and the Council provides them with clear and accurate information so they know what to expect and when.
- Customers receive excellent customer service from all Council employees and value the services the Council provides. They have the trust and the confidence that they will be able to receive the help and advice they need regardless of the access channel they choose.
- The Council makes the most of every contact by making customers aware of other services that might be of benefit, supporting and helping them to become more independent.
- A ‘digital champion’ ethos in collaboration with communities, partners, voluntary sector and charitable organisations to implement schemes that are designed to increase digital skills and confidence.
- Increased digital inclusion across the borough with customers and communities supported, motivated and interested in the wider benefits that being online can bring to their daily lives. For example, looking for jobs, saving money, finding out about personal interests and hobbies and keeping in touch with family and friends.
- A more intuitive website that offers customers a greater choice of things to do online, and the ability to book and pay for events and services in one easy step without the need to contact the Council in person or by telephone.
- Greater use of interactive content such as online video tutorials that show people ‘how’ to do things and mapping functionality to improve location accuracy.
- Customers become advocates of Council digital services and encourage their own family and friends to adopt online ‘self-serve’ as their preferred access channel.
- Council employees continuously look for ways to improve service delivery, influence positive behaviour changes and demonstrate the Council’s core values in everything they do.
- A modern, efficient council that makes best use of available resources and provides value for money, customer-focused services.

4. Options considered and recommended proposal

4.1 Develop a new Customer Access Strategy (Appendix 1).

4.2 For the council not to develop a new Customer Access Strategy.

- 4.3 Following consultation with a wide range of stakeholders it is recommended that Cabinet approve the new Customer Access Strategy.
- 4.4 The new Customer Access Strategy will be reviewed annually so it can adapt to changing customer need and technology advancements

5. Consultation

- 5.1 Whilst there is no requirement for the Council to formally consult on the new Customer Access Strategy, officers have engaged with multiple stakeholders to incorporate their views and suggestions into the proposed document.
- 5.2 The draft strategy was made available on the Council website allowing the public to submit comments.
- 5.3 Appendix 2 provides (Stakeholder Engagement) provides further details regarding the groups and individuals involved in this process.

6. Timetable and Accountability for Implementing this Decision

- 6.1 Subject to approval the new Customer Access Strategy will be published online
- 6.2 The previous version of the Customer Access Strategy will still be available to view as an archived document.
- 6.3 The Customer Service & Efficiency Board will be responsible for the delivery of the underpinning work programme.

7. Financial and Procurement Implications

- 7.1 There are no financial implications arising from this report.

8. Legal Implications

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

9. Human Resources Implications

- 9.1 None.

10. Implications for Children and Young People and Vulnerable Adults

- 10.1 As set out in the report.

11. Equalities and Human Rights Implications

- 11.1 An Equality Impact Assessment has been completed.

12. Implications for Partners and Other Directorates

- 12.1 Officers have engaged with partners and other directorates to ensure the Customer Access Strategy reflects their needs as well as those of other stakeholders.

13. Risks and Mitigation

Risk	Description	Mitigation	Impact and Probability
The expired strategy is not replaced	The outdated version of 2011-2015 does not portray a modern, efficient council potentially undermining the Council Plan and vision	Publish a refreshed Customer Access Strategy to reflect the current and future needs of the Council, its customers and communities	Medium, Low
The new Customer Access Strategy becomes outdated	The strategy does not keep up with the pace of change; whether this be due to changing Council/Customer needs or technological advancements	There will be a mechanism for customers and communities to continuously share their thoughts and suggestions. The strategy will be reviewed annually and this feedback will be taken into account with any proposed changes subject to Cabinet consideration/approval	Low, Low
Reputational risk from non delivery of the things we said we would do	For example: <ul style="list-style-type: none"> • Range of online services slow to grow • Business processes do not improve • Technology improvements are not forthcoming • Customers do not get the support they need • Customers cannot access the services they need • Information is inconsistent • Digital engagement stagnates 	<p>The Customer Service & Efficiency board will be responsible for the delivery of the Customer Access Strategy aims and objectives.</p> <p>Each sub project has been incorporated into the work programme</p> <p>Progress is reviewed on a monthly basis, details of which are shared with cabinet and board members on a monthly basis</p>	High, Medium

14. Accountable Officer(s)

Luke Sayers, Assistant Director – Customer, Information and Digital Services
Helen Barker, Head of Customer Services

Approvals obtained on behalf of:-

	Named Officer	Date
Strategic Director of Finance & Customer Services	Lisa Darnell	04.04.2018
Assistant Director of Legal Services	Stuart Fletcher	05.04.2018
Head of Procurement (if appropriate)	N/A	
Head of Human Resources (if appropriate)	N/A	

Report Author: *Luke Sayers, Assistant Director – Customer, Information and Digital Services*
01709 823249 or luke.sayers@rotherham.gov.uk

This report is published on the Council's website or can be found at:-

<http://moderngov.rotherham.gov.uk/ieDocHome.aspx?Categories=>

Appendix 1 - Customer Access Strategy

FRONT COVER

DRAFT

1. Foreword

This section will include an introductory message about the Council, its priorities and challenges, and how this links in to the Customer Access Strategy.

DRAFT

2. Why do we need a Customer Access Strategy?

People regularly use the internet for all kinds of reasons. Being able to ‘self serve’ at a time to suit yourself and your lifestyle gives people greater control and independence and puts them in touch with information and services any time of day or night. We want to encourage and support more of our customers and communities to have these same choices too.

This strategy sets out how we will make it easier and more attractive for people to access services online, whilst at the same time making the best use of technology to work in a more cost effective way. Increasing the number of people who regularly ‘self-serve’ rather than choosing to phone or visit a council office, will help us target our resources more effectively to prioritise the people and communities who need help the most..

Of course we also understand that going online isn’t for everyone. Our communities are diverse with a wide range of people who have differing needs and preference. This strategy has therefore been designed to make sure everyone has equal access to the information and help they need regardless of their individual circumstances, whilst also helping and supporting people to enjoy the wider benefits that being online can bring to their daily lives. For example, looking for jobs, saving money, finding out about personal interests and hobbies and keeping in touch with family and friends

Did you know:

- Over 30,000 people have already signed up to ‘Your Account’ giving them 24/7 access to Council Tax, Benefits and Bin collection information. Once you’ve registered there will be no more need to file your paper Council Tax bill as your electronic version will be available to view online whenever you need it. Just one of the many benefits you could have by signing up.
- In 2017 we received over 54,000 online forms for a range of service requests – a much easier and faster way to tell us about the things that matter to you and no postage costs either
- You can pay online for a range of services, as well as via the automated telephone payment line. We received over 150,000 payment transactions using these methods last year
- 62,000 people have already signed up for email alerts and the number is growing. Look for the ‘stay connected’ button at the top right of the Council’s website home page. You can register with your email address or using your preferred social media account, keeping you up to date about subjects you’re interested in

- 'Liking' our Facebook page means you will regularly receive information and news about Council services, events, consultations and much more
- Following us on Twitter means you'll receive Council news as it happens

We want everyone in Rotherham to make the most of all the digital opportunities available and help and support more of our customers to get online so that this becomes the natural way they do business with the Council.

3. Doing things digitally and doing them better

The Council's [Digital Strategy](#) sets out our vision for putting technology at the forefront of our journey and recognises what digital can do for Rotherham.

When we talk about 'Digital' we mean the Council's website, social media messaging (eg. Facebook, Twitter), 'Your Account,' website forms and emails. In the future 'digital' services may also include other options such as voice activated information.

By expanding what we provide digitally customers will benefit from an even wider choice of online services – all of which are accessible any time of day or night giving customers immediate access to information and advice and a written record that can be saved to their own devices. Working digitally also means that as a Council we are able to promote news and opportunities, and talk to our customers and communities much faster and across wider geographical areas at the touch of a button.

There's always room for improvement and we want to make our online access easier and give our customers an even better experience so they increasingly choose to access services this way.

We will:

- Make as many of our services available online as we can so that customers can do what they need to do at a time to suit them without having to contact the council using other means.
- Make sure our online services are designed for use on smartphones and tablets so that the growing number of customers using mobile devices can access Council services regardless of the device they use

- Increase the number of services you can access through ‘Your Account’ and make it easier for you to register. For example by allowing you to ‘sign in’ with the same username and password as other Council online accounts or by using your social media account details (eg Facebook, Twitter)
- Make it easier to book and pay for events and services in one easy step
- Improve the layout of our website and make the content more user friendly so that information is easier to find and access
- Continuously review the search words and phrases our customers use so that the search results are more accurate
- Improve our online processes so that you only have to tell us your information once
- Provide more online forms so we can help customers to provide us with the specific information we need rather than expecting them to tell us in an email
- Where possible allow customers to upload copies of documents online instead of asking them to provide original paper versions
- Make better use of online maps so that customers can pin a location to make it easier for them to report things
- Introduce more online videos to visually help, guide and inform our customers about the things they need to know
- Make sure our digital services meet accessibility standards
- Join our systems together so you can more easily access your information and track the progress of your applications or reports
- Introduce ‘web chat’ to guide customers to the information they’re looking for or help them if they appear to be ‘stuck’ on a page
- Always prioritise your online safety by implementing best practice security measures. For example, the ‘s’ in the website address https stands for ‘secure.’ We will also share helpful hints and tips with our customers to help them feel more confident about the way they access and make use of online services
- Make more use of social media to stimulate online interest and increase participation
- Make sure you know what to do and where to go if things go wrong or something is really urgent
- Keep up to date with new technology so we can continue offering customers a greater choice of digital ‘self-serve.
- Encourage customers to communicate with us online so letters and paper documents are only used when there is no other choice

4. Help and support for all our customers

Some of our customers may not even be aware of all the digital services currently available to them and we know we need to do more to promote them. Other people want to do more online but don't currently feel able to. This could be due to a lack of confidence in new technologies, or nervousness about the safety of conducting business in this way. For others, the cost of equipment, and mobile or broadband charges might prevent them from accessing services digitally. Whatever the reason, we want to do all we can to help as many people as possible enjoy the benefits that being online can bring.

We will:

- Encourage all customers to make use of digital 'self-serve' so they can find out about the things that matter to them – not just Council services.
- Promote online services at every opportunity to increase interest and awareness
- Provide digital assistance in every library and Customer Service centre so that customers who need help feel supported and able to access the services they need. This might mean showing people how to set up an email address or helping them complete an online form. Whatever their needs are, we will support all customers in a way that best suits their situation and reason for contacting us
- Enable all our frontline staff to support customers to access online services, equipping them with mobile devices and tablets so they can show customers how to find information and services using devices they are more familiar with – not only at Council offices but for staff working in the community too
- Create 'digital champions' to work closely with customers and communities to increase their online interest, confidence and skill. This might include coaching individuals, attending group meetings to show what's available online, or putting people in touch with providers of basic ICT courses such as the ones currently provided in libraries, education services and the voluntary sector
- Work with our communities, partners, voluntary sector and charitable organisations to implement schemes that are designed to increase digital inclusion
- Work with the business community to identify other organisations who could help us increase the number of people who can get online and stay online. We will also seek out events and activities to further promote and encourage digital engagement
- Continue providing free Wi-Fi for public use in Council owned buildings such as libraries and customer service centres, and subject to funding look to extend this to other locations such as the town centre
- Make sure all our services are accessible so that regardless of anyone's personal situation, no one feels disadvantaged. We realise that going online isn't for everyone and for some services there may be other self-serve options available too. For example text messaging, automated telephone service. Customers can also still contact us by phone or visit us at a Neighbourhood Hub

5. What we need from you

We want to continue offering value for money services to all our customers and communities. Supporting and encouraging more people to ‘self-serve’ frees up valuable resources which means we are better able to assist our most vulnerable customers and prioritise support for people who need help the most.

Here are some simple and easy things you can do to help us achieve this:

- Before thinking about visiting a Council office or picking up a phone, visit www.rotherham.gov.uk It's open 24 hours a day, every day of the year.
- Encourage your family and friends to do the same, or offer to help family members who aren't able to do this themselves. Many people don't realise how many different things they can do online and could be missing out on a number benefits and opportunities.
- Sign up to ‘Your Account’ – it only takes a few minutes but gives you personalised access to your key services such as Council Tax and benefits. We will be increasing the number of services available through ‘Your Account’ and once you’re signed up we will be able to keep you updated with any changes
- If you currently make cash payments to the Council why not consider using another method? You can pay online for lots of services using debit and credit cards and Paypal. There are other self-serve options too such as payment by automated telephone. Or why not set up a Direct Debit for your Council Tax? Simply sign in to ‘Your Account’ and follow the instructions
- ‘Following’ us on Twitter and ‘liking’ our Facebook means you’ll be able to find out what’s happening in your community, engage in conversation with people who have similar interests, and be in touch with Council news as it happens
- Sign up to email alerts to be automatically notified about the things you’re interested in
- Let us help you to help yourself – we want everyone to benefit from accessing services online so will always encourage you to try it for yourself. If you’ve never been online before, or aren’t sure how to access a service we will support you by either talking you through the process or sitting with you to show you how it works.
- Make use of the digital skills training and support the Council offers – call into any library, customer service centre or community hub to find out more
- If we make you an appointment, please let us know if you can’t attend beforehand so we can offer it to someone else.
- If you do need to come and see us, make sure you bring your documentation and information so we can deal with your request faster and reduce the number of times we need to see you
- Keep us updated with any changes that could affect the services you receive from us
- Be polite and respectful – we want to help you but will not deal with violent, rude or disruptive customers

6. Your experience matters

Regardless of the type of enquiry, or the way a customer accesses a service, we need to make sure their experience is a good one. Our customers should not need to know or understand how each Council department works. But they should be able to expect excellent customer service and things done right the first time.

Our services should be designed and built around the needs of our customers and communities. Which means involving our customers more and listening to their feedback so that wherever possible we continually develop and improve what we do.

We will:

- Encourage your feedback by making it easy for you to tell us what you think about the way we deliver our services. For example through social media, our website, resident surveys and consultations
- Listen and respond to what you tell us, take your views into account to influence change and make sure we tell you what we've done as a result
- Redesign our services by removing unnecessary tasks so the customer journey is as short and simple as possible and you only have to tell your story once improve customer experience
- Review the range of telephone numbers we use so that where there is a need to provide service in this way, it's as easy and simple as possible
- Be clear about the different stages of a process and the timescales involved so you know what to expect
- Confirm receipt of your enquiry and keep you informed of progress when you have asked us to do something
- Invite customers and communities to help us design and test drive new services/processes
- Acknowledge when we've got it wrong and take steps to put things right as quickly as possible
- Make the most of every contact by making customers aware of other services that might be of benefit
- Encourage our workforce to think digitally and continuously look for ways we can improve our service delivery
- Provide all our employees with the appropriate training to deliver excellent customer service and set clear standards to measure how this is achieved
- Continuously review the way we work so we use what we have learned from our customers to shape what we do in the future

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Appendix 2

External Stakeholder Engagement

In addition to the wider public engagement via the website and social media, the following partner agencies, community groups and voluntary organisations have each been invited to share their views:

- Action Housing
- Action in Rotherham
- Adult Community Learning
- Age UK
- Carers forum
- Citizen Advice Bureau
- Clearways
- DWP
- Faith groups
- Housing Involvement Panel
- Job Centre
- Lighthouse project
- Mind
- NHS
- Parents Forum
- Pride of Rotherham
- Rainbow project
- Rotherfed
- Rotherham Disability Network
- Rotherham Ethnic Minority Alliance
- Rotherham Older People's Forum
- Rotherham Pensioners Action Group
- Rotherham Rise
- Rotherham Sight and Sound
- Rotherham United Community Sports Trust
- Rotherham Visually Impaired Group
- Rotherham Youth Council
- Rotherham Youth Parliament
- Shiloh
- sight and sound
- South Yorkshire Housing Association
- South Yorkshire Police
- Speak Up
- Target Housing
- Thursday Project/Crisis
- Voluntary Action Rotherham
- Yorkshire MESMAC



Public Report
Cabinet & Commissioner Decision Making Meeting

Summary Sheet**Committee Name and Date of Committee Meeting**

Cabinet & Commissioner Decision Making Meeting – 21 May 2018

Report Title

Free Public Wi-Fi for Rotherham Town Centre

Is this a Key Decision and has it been included on the Forward Plan?

Yes

Strategic Director Approving Submission of the Report

Judith Badger, Strategic Director of Finance and Customer Services

Report Author(s)

Luke Sayers, Assistant Director Customer, Information and Digital Services
01709 823249 or luke.sayers@rotherham.gov.uk

Ward(s) Affected

Boston Castle

Summary

The purpose of this report is to seek approval to enable the delivery of a free public access Rotherham Town Centre Wi-Fi service as part of implementing the Digital Council Strategy approved by Cabinet on 12th September 2016.

Recommendation

That, subject to the required objectives described in this report being met, approval be given to the delivery of a public access Wi-Fi across Rotherham Town Centre.

List of Appendices Included

None

Background Papers

RMBC Digital Council Strategy 2016 to 2019

Consideration by any other Council Committee, Scrutiny or Advisory Panel

Overview and Scrutiny Management Board – 16 May 2018

Council Approval Required

No

Exempt from the Press and Public

No

Free Public Wi-Fi for Rotherham Town Centre

1. Recommendations

- 1.1 That, subject to the required objectives described in this report being met, approval be given to the delivery of a public access Wi-Fi across Rotherham Town Centre.

2. Background

- 2.1 The Digital Strategy approved by Cabinet on 12th September 2016 outlined that an investigation would take place into the feasibility of deploying free Wi-Fi across the town centre.
- 2.2 It has now been established that it is likely a feasible solution can be achieved at no or minimal cost to the council.
- 2.3 Town Centre Wi-Fi provision is provided by a large number of councils across the UK with the majority favouring such a scheme.
- 2.4 A small number of Councils have opted to not provide this facility due to a number of factors including costs, internet safety, lack of value or benefits
- 2.5 Currently there is no ubiquitous free of charge public access Wi-Fi service across Rotherham Town Centre. However, there is some provision:
- Free of charge public access Wi-Fi is available in many shops, bars and restaurants in Rotherham Town Centre, provided by either a national telecommunications company such as O2 in McDonalds or Costa Coffee or independently by the individual shop, bar or restaurant.
 - First provide free of charge public access Wi-Fi on some of their bus fleet.
 - Free of charge public access Wi-Fi is available is provided in RMBC in all of Rotherham's Libraries and Customer Service Centres.
 - Sky provides Wi-Fi hotspots which are for use by their broadband or mobile customers. In most cases their The Cloud Wi-Fi hotspots also provide free of charge access for the public.
 - BT provides Wi-Fi hotspots which are for use by their broadband or mobile customers via BT FON and BT Wi-Fi.
 - Finally free of charge public access Wi-Fi is being provided in some NHS locations.
- 2.6 This report sets out the proposals to procure and implement this project during 2018 subject to Cabinet approval for the delivery of a Town Centre Wi-Fi solution.

3. Key Issues

- 3.1 This project will provide a public access Wi-Fi service in public spaces and public buildings within the Rotherham Town Centre area in order to make Rotherham Town Centre a more vibrant and attractive place for citizens, visitors, businesses and shoppers in order to increase footfall and to help local businesses thrive and grow.
- 3.2 The fundamental principles that bids must comply with are:
 - There should be no or minimal cost to RMBC, in deployment, operation or exit;
 - There should be no or minimal legal, financial or reputational risk to the Council throughout the contract life;
 - The arrangements should not prevent or limit the Council from being able to implement wireless communications services for its own administrative or service delivery purposes.
- 3.3 The outcomes sought from the Wi-Fi service are:
 - Free of charge to the user;
 - A high quality customer experience for access, registration and use;
 - A family friendly, safe experience;
 - Good Town Centre coverage including Council owned public spaces such as Clifton Park;
 - Good performance that keeps pace with technology; and,
 - A reliable communications platform that can be used to increase footfall and to help local business thrive and grow.
- 3.4 There are other potential applications for a Town Centre Wi-Fi service and Officers recognise these and the benefits that they would bring. Therefore, proposals will be evaluated based on their ability to meet the fundamental principles and outcomes sought which are described above, and also a range of additional desirable requirements identified through consultations with stakeholders.
- 3.5 The Town Centre Wi-Fi service will provide access to the internet to those in society that may have an internet enabled device but that cannot afford a home broadband connection.
- 3.6 It is generally accepted that access to the internet provides the following benefits, though some of these will be limited by the nature of an outdoor Wi-Fi service.
 - Improved access to public services which are increasingly available online;
 - Improved education outcomes through the use of web-based learning materials;
 - Better employability through more effective job-hunting;
 - Improved health and well-being through remote monitoring (health sensors are now built into smart phones) better communications and access to health and well-being services;

- Reduced isolation as access to the Internet can help improve communication and social engagement;
 - Access to savings and discounts offered through on-line shopping.
- 3.7 It is generally accepted that any connection to the internet, even with filtering, poses some risk that users will be exposed to unsuitable material. However it is generally acknowledged that this risk is minimal and outweighed by the benefits of such a scheme. Any solution would need to have appropriate filtering implemented to protect users from as much inappropriate material as possible.
- 3.8 From a business development perspective, improved connectivity provides a platform enabling business, and individuals to create and co-create high quality, targeted, real time products and that making the most of technology means having digitally literate local people; people with the ability and confidence to teach themselves and adapt to continually changing digital tools and services' in order to:
- Support existing businesses looking to adopt technology, enabling them to grow;
 - Increase the attractiveness of the Town Centre to businesses looking to start-up;
 - Enable local people to secure employment within new or growing businesses who will increasingly use this technology;
 - Raise aspirations of young people as they prepare for education, training and work;
 - Ensure people and businesses can access and use a range of services and resources, which are increasingly digitally enabled, in their everyday lives.

4. Options considered and recommended proposal

- 4.1 For the purpose of clarity, this project is something that the Council is choosing to do in order to support Rotherham Town Centre. The Council is in a unique position to help the Town Centre in that it owns hundreds of street assets that could be used to provide public access Wi-Fi through a concession contract, in exchange for providing the bidder with exclusive use of those streets assets for wireless communications. This project is not something that the Council is legally obliged to do. The Council could decide not to progress this project.
- 4.2 A RMBC funded public access Wi-Fi service has been considered as an option. However, the opportunity to provide a Wi-Fi service through a concession contract which requires no investment from RMBC is preferable to a model requiring investment. This approach enables the Council to provide a public access Wi-Fi service and to use limited budgets elsewhere.
- 4.3 An externally funded public access Wi-Fi service has been considered as an option. However, the funding source used to provide such services in Leeds, York and Edinburgh (the BDUK Super Connected Cities Scheme) is no longer available.

- 4.4 EU funding may be available for a public access Wi-Fi service. However, there is no guarantee that the requirements of RMBC will align with the criteria required to obtain funding. In addition, applications for EU funding are lengthy and complex processes that are costly to apply for and costly to administer. Officers believe that a concession contract, which can be procured relatively quickly, and that has a minimal administrative burden is the most appropriate route for this project.
- 4.5 It is recommended that RMBC undertakes a competitive procurement for a concession contract for the provision of a Town Centre Wi-Fi service and, subject to the required objectives described in this report being met, to enter into a concession contract for the provision of those services.
- 4.6 This is the preferred option because it enables RMBC to achieve its fundamental principles and outcomes sought without having to make a significant investment.
- 4.7 However, stakeholders should recognise that the concession contract approach carries the risk that the market is not prepared to provide some or all of the features and benefits available from a paid for Wi-Fi service.

Installation and Maintenance Considerations

- 4.8 The concession contract will enable the successful bidder to install wireless telecommunications equipment on council owned property and street assets such as street light columns and CCTV columns.
- 4.9 The concessionaire will be required to follow all appropriate RMBC policies and procedures including those relating to Health and Safety, Planning and Development.
- 4.10 The concessionaire will undertake network design and survey work and will ensure that the building facades, rooftops, street light columns and CCTV columns to be used are in a good state of repair and that installation will not cause damage.
- 4.11 The concessionaire will be responsible for obtaining and maintaining all necessary planning permissions, third party permissions and/or rights to provide services. RMBC will assist the concessionaire to obtain these efficiently and effectively. However, the concessionaire must satisfy the requirements of the various planning and development processes in the same way as any other developer.
- 4.12 The implementation, operation and maintenance of wireless telecommunications equipment installed on assets managed by third parties will be conducted or supervised appropriately and in a manner that is acceptable to RMBC.
- 4.13 All works will be undertaken or supervised by a RMBC approved and appropriately qualified and experienced third party.

- 4.14 The wireless telecommunications equipment and its mounting brackets will be fit for purpose, robust and designed for outdoor deployment.
- 4.15 The wireless telecommunications equipment will be regularly maintained.
- 4.16 The Council will seek for the contract to provide access to any anonymised data collected from the concessionaire through the scheme and seek a share of any proceeds the concessionaire makes from the sale of any such data.

5. Consultation

- 5.1 Officers have consulted widely in the production of this report. This has included dialogue with officers at Sheffield City Council who have recently awarded a concession contract for city centre Wi-Fi. Doncaster Council also provides the public with a similar solution, although Barnsley Council has not provided a solution to date. In addition officers have consulted with a number of telecommunications companies to determine if there is interest from the market.
- 5.2 There is no requirement for the Council to consult the public regarding this project, although if it proceeds, education and awareness of the project may be deemed appropriate.

6. Timetable and Accountability for Implementing this Decision

- 6.1 An indicative timetable of events is provided below. Please note that this is subject to change.
 - Cabinet decision May 2018
 - Issue of Invitation To Tender to Long List - June 2018
 - Submission of Pre-Qualification Questionnaire and Stage One Tenders - July 2018
 - Evaluation of Pre-Qualification Questionnaire and Stage One Tenders - July 2018
 - Notification of Results of Evaluation - August 2018
 - Dialogue Sessions between RMBC and the Short Listed Bidders -August 2018
 - Submission of Best And Final Offer (BAFO) - September 2018
 - Evaluation of BAFO - September 2018
 - Notification of Award - October 2018
 - Standstill Period - October 2018
 - Contract Award – November 2018
 - Wi-Fi Service Go Live - March 2019

7. Financial and Procurement Implications

7.1 Concession Contract

Officers have identified that a competitive procurement for a concession contract is the most appropriate method of procuring a public access Wi-Fi service for Rotherham Town Centre. The concession contract will enable the preferred bidder to install its wireless communications equipment on council owned buildings, street light columns and CCTV columns, on an exclusive basis, in exchange for the provision of a free of charge public access Wi-Fi service and a rental payment for the use of the assets. The concession contract does not require the council to make an up-front or ongoing investment. However, this approach means that there is no guarantee that the market will respond with a proposal that meets all of the Council's requirements.

7.2 Commercial Arrangement

The project will require the council to enter into a contractual arrangement with the preferred bidder. Officers have developed a draft set of heads of terms. The draft heads of terms will be issued as part of the procurement process and will form part of the RMBC evaluation process.

7.3 Running Costs

It is intended that there will be no cost to the council for the deployment, operation or exit of the Town Centre Wi-Fi service. However, there will be a requirement for RMBC to manage the contract. If any revenue income was received from the concessionaire this would be used to cover the internal administration of the contract including for example liaison/communications with the concessionaire and other stakeholders. Before any tender is awarded, a full financial evaluation will take place to ensure that the proposal does not create additional financial pressure.

7.4 Revenue

RMBC could receive a revenue stream from the rental income paid by the concessionaire for exclusive use of the Council's assets. It may also be possible to negotiate a gainshare of profits generated by the concessionaire after the concessionaire has covered its costs. However, soft market testing has indicated that this is far from certain and cannot be assumed.

7.5 Exclusivity

Bidders will require exclusive use of RMBC assets for the provision of wireless communications services which are expected to include: 'Official' public access Wi-Fi, small cell technology for 4G backhaul (ideally on a wholesale basis rather than for a single Mobile Network Operator), and commercial wireless broadband services. Officers will ensure that the exclusivity terms do not limit the Council from being able to implement wireless communications services for its own administrative or service delivery purposes.

8. Legal Implications

8.1 Applicable Legislation

The Town Centre Wi-Fi Service will be compliant with all applicable legislation including the Data Protection Act 1998; the Data Retention Regulations 2009; The Regulation of Investigatory Powers Act 2000; and, the Digital Economy Act 2010 (if applicable) and other relevant legislation that may be implemented during the life of the contract. The Council will require the bidder to assume all responsibility for legislative compliance and will accept no such liability itself.

- 8.2 The procurement of the Town Centre Wi-Fi Service as set out above is exempt by EU Concession Directive (2014/23) and the Concession Contracts Regulations 2016. The procurement exercise will be consistent with the requirements of the Contract Procedure Rules.

9. Human Resources Implications

- 9.1 None.

10. Implications for Children and Young People and Vulnerable Adults

- 10.1 As set out in the report.

11. Equalities and Human Rights Implications

- 11.1 As set out in the report.

12. Implications for Partners and Other Directorates

- 12.1 As set out in the report.

13. Risks and Mitigation

Risk	Description	Mitigation	Impact and Probability
No Bids Are Received	There is a risk that the market is not interested in bidding for the concession contract because for example the market cannot identify a way of recouping its investment and making sufficient profit.	Soft market testing has identified that there is interest and that the council can expect to receive bids.	High, Low
Bidders Do Not Meet Expectations or Requirements	There is no upfront or ongoing investment being made by RMBC in this project. Therefore, there is no guarantee that the bids received will meet requirements. There is a risk that expectations exceed what the market is prepared to offer in exchange for the concession.	Expectations of stakeholders will need to be managed. RMBC will share with the market what its essential and desirable requirements are. RMBC will evaluate bids against these criteria. Soft market testing has indicated that RMBC can expect to receive bids that meet the essential criteria.	High, Medium

Risk of intervention being classified as state aid and illegal under EU rules.	The European Commission has considered public sector intervention in the broadband market. It's view is that there is no market failure in the provision of broadband services in urban cores and that any public sector subsidy to one particular broadband supplier would represent a form of state aid that distorts competition in a way that is harmful to citizens and companies in the EU	Concession contracts are not considered by the EC to be a form of state aid. However, care must be taken during the procurement process. The concession must be on normal commercial market terms. There must be limited or no risk or cost to the Council. The Council must not own or operate any of the services. The Council must not pay for or receive a service itself. The Council must not specify a particular wireless technology for the concessionaire to use. The risk is further mitigated through an open competitive procurement process.	High, Low
Risk of incurring financial cost	Concession contracts do not require the council to make an up-front or ongoing investment. However, there will be an ongoing cost to RMBC for liaison with the supplier and others regarding technical, contractual and practical matters.	The rental income received by RMBC for the use of its street assets will be used to offset internal administrative costs for managing the contract.	Medium, Low
Reputational risk from an inappropriate access	It is possible that some people, including potentially vulnerable individuals could access inappropriate internet information or images through the free Wi-Fi.	A full filtering service will be delivered as part of the contract which will exclude access to commonly regarded inappropriate materials e.g. drugs, violence, pornography. However it is inevitable that some inappropriate material can be accessed from any internet connection that is filtered.	Medium, Low
Reputational risk from a poor quality service	Examples of poor quality service include: a poor quality customer experience for access, registration and use; inadequate content filtering; poor coverage; poor upload and download speeds; periods of unavailability, providing exclusivity terms that limit the Council from being able to implement wireless communications services for its own administrative or service delivery purposes. There is also a risk that RMBC could become liable for legislative obligations under DPA and RIPA.	A draft set of heads of terms has been developed and will be shared with suppliers during the procurement process. Many of these are non-negotiable for example the bidder must accept liability for meeting all legislative obligations arising from providing the services. Other areas of risks such as the availability of the network, the geographic extent of the network etc will be negotiated with the chosen supplier.	High, Low

14. Accountable Officer(s)

Luke Sayers, Assistant Director – Customer, Information and Digital Services

Approvals Obtained from:-

Dermot Pearson, Assistant Director of Legal Services

James McLaughlin, Democratic Services Manager

Approvals obtained on behalf of:-

	Named Officer	Date
Strategic Director of Finance & Customer Services	Nikki Kelly	26.02.2018
Assistant Director of Legal Services	Stuart Fletcher	23.02.2018
Head of Procurement (if appropriate)	Kay Handley	26.04.2018
Head of Human Resources (if appropriate)	N/A	

*Report Author: Luke Sayers, Assistant Director – Customer, Information and Digital Services
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This report is published on the Council's website or can be found at:-

<http://moderngov.rotherham.gov.uk/ieDocHome.aspx?Categories=>



Public Report
Cabinet and Commissioners' Decision Making Meeting

Summary Sheet**Name of Committee and Date of Committee Meeting**

Cabinet and Commissioners' Decision Making Meeting – 21 May 2018

Report Title

Council Plan Indicator Refresh for 2018-2019

Is this a Key Decision and has it been included on the Forward Plan?

Yes

Strategic Director Approving Submission of the Report

Sharon Kemp, Chief Executive

Shokat Lal, Assistant Chief Executive

Report Author(s)

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Ward(s) Affected

All

Summary

The 2017-2020 Council Plan is the core document that underpins the Council's overall vision, setting out headline priorities, indicators and measures that will demonstrate its delivery. Alongside it sits the corporate Performance Management Framework, explaining to all Council staff how robust performance monitoring and management arrangements (including supporting service business plans) are in place to ensure focus on implementation.

The final, quarter 4, performance report for 2017-2018 will be presented to Cabinet at its next meeting in June. This will assess our performance against the target indicators that were set in June 2017 and services have recently reviewed their performance throughout the year in order to determine new targets for 2018-2019. Although the 2017-2020 Council Plan is intended to cover three financial years, it is good practice to carry out an annual review of the performance indicators included in it.

The new performance targets have been set by services by reference to both in year performance, benchmarking data and the priorities for the coming year. After the changes there remain 70 performance indicators for the 2018-2019 financial year.

Recommendation

That the Council be recommended to approve the Council Plan Indicators for 2018-2019.

List of Appendices Included

Appendix A Council Plan Indicators for 2018-2019

Background Papers

RMBC Corporate Improvement Plan, Phase Two Action Plan, June 2016

RMBC Corporate Plan 2016–2017, July 2016

RMBC Council Plan 2017-2020, June 2017

Consideration by any other Council Committee, Scrutiny or Advisory Panel

Overview and Scrutiny Management Board – 16 May 2018

Council Approval Required

Yes

Exempt from the Press and Public

No

Council Plan Indicator Refresh for 2018-2019

1. Recommendations

- 1.1 That the Council be recommended to approve the Council Plan Indicators for 2018-2019.

2. Background

- 2.1 In May 2015, the Council set out to establish a new Corporate Plan and supporting Performance Management Framework. Such documents are critical tools for setting out both the direction and priorities of the Council in supporting the delivery of its overall vision; as well as the means by which these will be identified, implemented and kept under review.
- 2.2 To inform the establishment of this new vision, the Leader of the Council and Commissioners, with support from a range of partner organisations and other leading councillors, met with people across Rotherham to listen to their views on their key priorities for the future of the borough. In total around 1,800 people were engaged through this roadshow process and the results were published in the "Views from Rotherham" report in October 2015.
- 2.3 The feedback from this exercise was used to define a new vision for the Borough. This vision is:

"Rotherham is our home, where we come together as a community, where we seek to draw on our proud history to build a future we can all share. We value decency and dignity and seek to build a town where opportunity is extended to everyone, where people can grow, flourish and prosper, and where no one is left behind. To achieve this as a Council we must work in a modern, efficient way, to deliver sustainable services in partnership with our local neighbourhoods, looking outwards, yet focused relentlessly on the needs of our residents. To this end we set out four priorities:

- 1. Every child making the best start in life*
- 2. Every adult secure, responsible and empowered*
- 3. A strong community in a clean, safe environment*
- 4. Extending opportunity, prosperity and planning for the future."*

- 2.4 The Corporate Plan for 2016-2017 was developed from this exercise and set out how the Council would deliver this overall vision and the associated priorities. This was refreshed the following year and renamed as the Council Plan, which was intended to cover a three year period, 2017-2020.
- 2.5 The Council Plan remains in place and maintains the Council vision and associated priorities that were established for the Corporate Plan. The performance indicators continue to be refined to enable a more focused approach to Performance Management. The Council's values and behaviours remain unchanged.

3. Key Issues

- 3.1 Since the publication of the Council Plan for 2017-2020, work has been taking place alongside Cabinet Members and performance leads to refine the headline measures for the 2018-2019 financial year. At the same time, Service Plans have been refreshed for 2018-2019.
- 3.2 A copy of the proposed revised Council Plan indicators for 2018-2019 is enclosed at Appendix A. This document replaces the equivalent appendix contained in the Council Plan for 2017-2020. It now includes a total of 70 measures (reduced from 72 in the previous version of the Plan), which form the priority actions under each of four themes of the Council's vision (as set out at paragraph 2.3 above), as well as the fifth, cross-cutting corporate commitment to operate as a modern and efficient Council.
- 3.3 Appendix A includes a green highlighting where a change is being proposed compared to 2018-2019. In total 47 individual target measures have been revised, with a number showing a tightening of targets from 2017-2018. Where the description column is highlighted in green, the relevant cell carries a description that seeks to justify the target set or the changes proposed to the indicator.
- 3.4 The Council Plan for 2017-2020 included 25 measures which were highlighted as headline priorities, informed by discussions with the Leader and Cabinet. This highlight has been removed from the 2018-2019 revised Council Plan indicators for 2018-2019 to ensure all measures are perceived as priorities.
- 3.5 Through the guidance and direction set out in the supporting Performance Management Framework, relevant plans have been put in place at different levels of the organisation to provide the critical 'golden thread' that ensures everyone is working together to achieve the Council's strategic priorities. Service Plans have been produced to ensure that officers develop a consistent approach which is followed across the Council, and this process will be supported by direct linkages to the Performance and Development Review (PDR) process for Council staff. Where appropriate these supporting plans also address those measures that were included within the original Corporate Plan but are now no longer measured publically.
- 3.6 In total, eight indicators have been removed compared to 2017-2018; four have been added and twelve have been replaced by fourteen refreshed indicators. The indicators that have changed are:

Indicators Added to the Plan		
1.C2	Childhood immunisation - % of eligible children who received 3 doses of DTaP/IPV/Hib vaccine at any time by their second birthday	
4.A4	Net new business in the Town Centre	<i>Indicator sits alongside the vacant floor space indicator and also replaces the pedestrian footfall measure.</i>
4.B1a	Number of new homes delivered during this year via direct Council Intervention	<i>In addition to "Number of new homes delivered during the year"</i>
5.D6	% of recommendations from the Equalities Peer Review that have been implemented	
Indicators Removed from the Plan		
1.B4 (b)	Number of Statements transferred to EHCP	<i>Indicator obsolete as completed by April 2018</i>
3.A8	Aggregate pedestrian footfall on the Town Centre	<i>Indicator removed but effectively replaced with "net new business" indicator which better reflects Town Centre progress in the short term.</i>
4.A1	Overall number of businesses in the Borough	<i>Indicator removed as it duplicates other information in section 4.A</i>
4.A2	Increase Number of Business Births / Start Ups per 10,000 Resident Population 16+ years old)	<i>Net new business indicator for the Town Centre has been included at 4.A4. Also partially duplicates indicators 4.A3 and 4.A4</i>
4.C1	Increase in the number of people aged 19+ supported through a learning programme	<i>The authority no longer directly provides adult education</i>
4.C2	Increase the number of learners progressing into further learning, employment and/or volunteering	<i>The authority no longer directly provides adult education</i>
5.C1	The number of complaints received	<i>Duplicates some service monitoring and is reported in Annual Report. The key PI covering speed of clearance of complaints remains.</i>
5.C3	The number of compliments received	<i>Duplicates some service monitoring and is reported in Annual Report. The key PI covering speed of clearance of complaints remains.</i>
Indicators replaced or refreshed in the Plan		
1.A4	Increase the proportion of families who rate the Early Help service as Good or Excellent	<i>Replaces "Increase the number of families engaging with the Families for Change programme as a percentage of the troubled families target"</i>
1.A6	Number of children and young people with a currently assessed as medium/high risk of CSE (CSE cohort)	<i>This is a more refined indicator than the previous number of CSE cases and reflects the numbers of cases that have been fully assessed.</i>
1.A8	Increase the proportion of LAC placed within Family Based settings	<i>Replaces "Reduction in the proportion of LAC commissioned placements"</i>
1.B1a)	% of pupils reaching the expected standard In reading, writing and mathematics combined at the end of Key Stage 2	<i>Replaces "% children and young people who attend a good or better schools"</i>

1.B1b)	The average attainment 8 score at the end of Key Stage 4. The progress 8 measure from the end of primary school (KS2) to the end of secondary school (KS4)	<i>Replaces "% of early years settings which are good or better"</i>
1.B3	% of 16-17 year olds NEET or whose activity is not known	<i>Replaces "% of young people aged 16-18 who are Not in Education, Employment or Training (NEET)" – national change in data set.</i>
1.B4(a)	Increase the proportion of Education and Health Care Plans completed in statutory timescales (based on new plans)	<i>Increase the number of Education Health and Care Plans completed in statutory timescales (based on NEW Plans issued cumulative from September 2014)</i>
2.B1	Proportion of Safeguarding Adults at risk who felt their outcomes were met	<i>Description refined to make the indicator clearer.</i>
2.B6	The proportion of people (65+) offered the reablement service after discharge from hospital	<i>Description refined to make the indicator clearer.</i>
5.D4	Reduction on the proportion of the children's social care establishment workforce who are agency staff	<i>Measure changed to reflect the proportion of CYPS social workers workforce who are agency staff rather than a number</i>
3.A3 a)	Total number of referrals to Domestic Abuse support services	<i>Replaces "People at risk of domestic abuse, who are given successful support to: a) avoid or manage harm from others b) maintaining accommodation c) securing accommodation"</i>
3.A3 b)	% of people receiving Domestic Abuse support who are satisfied with the service	
3.A4 a)	The number of on the spot inspections of taxis	<i>Replaces "% of licence holders that demonstrate adherence to the requirements of the Council's Hackney Carriage and Private Hire Policy"</i>
3.A4 b)	The % of taxis found to be compliant with the licensing regime during on the spot inspections	

3.7 Members should note that the refreshed indicators for the Council Plan continue to reinforce the same values and behaviours that were included as part of the original Corporate Plan in 2015. Additionally, the Council Plan continues to reflect the “game changers” included in The Rotherham Plan 2025, which set out the big, strategic steps towards change that the partners in the Rotherham Plan will focus on. The “game changers” are:

- Building Stronger Communities
- Skills and Employment
- Integrated Health and Social Care
- A place to be proud of
- Town Centre

The detailed indicators included in the plan, along with the Council’s priorities, reflect the work that the Council will do over the coming year to focus on these areas.

3.8 To ensure that the refreshed indicators are effectively performance managed, formal, quarterly performance reports will also continue to be provided to the public Cabinet and Commissioners’ Decision Making meeting, where there will be further opportunities for pre-Scrutiny consideration in line with current governance arrangements

- 3.9 These formal quarterly performance reports are anticipated to be presented to the following Cabinet and Commissioner Decision Making meetings during 2018/19 as follows:
- Quarter 1 Performance Report (performance to end-June 2018) – 17th September 2018
 - Quarter 2 Performance Report (performance to end September 2018) – 17th December 2018
 - Quarter 3 Performance Report (performance to end December 2018) – 18th March 2019
 - Quarter 4 Performance Report (performance to end March 2019) – June 2019 (exact date TBC)
 - Final 2018-2019 Annual Performance Report (validated data) – early Autumn 2019 (exact date TBC)

3.10 The quarterly performance reports will continue to include both quantitative and qualitative data, with performance information against the specified measures within the Plan presented alongside wider intelligence such as customer feedback, quality assurance, external regulation and specific case study information. The Performance Dashboards, which were first presented in Quarter 3's monitoring cycle in 2016-2017, will continue to be developed throughout the period. The Performance data will be supported by a broader narrative update to demonstrate what is being achieved and the impacts and outcomes being delivered across the borough.

4. Options considered and recommended proposal

- 4.1 The refreshed indicators for the 2018-2019 financial year as part of the 2017-2020 Council Plan have been developed in consultation with Cabinet Members as well as officers across the Council's service areas.
- 4.2 It is recommended that the refreshed indicators for the Council Plan are sent by Cabinet to Council for approval. Performance Reports will continue to be presented on a quarterly basis to the public Cabinet and Commissioner Decision Making meetings, as outlined above, with continued opportunities under new governance arrangements for pre-scrutiny.

5. Consultation

- 5.1 The current Council Plan has been developed from the original Corporate Plan, with the Vision, Priorities and Behaviours being carried forward unchanged. The Council consulted with 1,800 members of the public to develop the new vision for the borough during the summer of 2015. The priorities flowing from this vision continue to be at the heart of this refreshed Council Plan.
- 5.2 The original Corporate Plan was developed following staff consultation events in early 2016, as well as discussions with the Council's middle ("M3") managers. This refreshed Council Plan has been developed following extensive consultation with Cabinet members to reflect on the successes and development needs of the Corporate Plan.

6. Timetable and Accountability for Implementing this Decision

- 6.1 Following approval, it is proposed that the first quarterly Performance Report for the new indicators will be presented to the public Cabinet and Commissioners Decision Making meeting on 17th September 2018. Paragraph 3.6 sets out an outline forward programme of further quarterly performance reports.

7. Financial and Procurement Implications

- 7.1 The finalised version of the refreshed Council Plan indicators will help steer the use of Council finances going forward, balanced against the wider funding backdrop for the Council and the broader national local government finance and policy context.
- 7.2 The Council operates in a constantly changing environment and will need to be mindful of the impact that changes in central Government policy, forthcoming legislation and the changing financial position of the authority will have on its ability to meet strategic, corporate priorities and performance targets; and that ambitions remain realistic.

8. Legal Implications

- 8.1 While there is no specific statutory requirement for the Council to have a Performance Management Framework and Council Plan, being clear about the Council's ambitions gives staff, partners, residents and central Government a clear understanding of what it seeks to achieve and how it will prioritise its spending decisions.
- 8.2 An effective and embedded Council Plan is also a key part of the Council's ongoing improvement journey.

9. Human Resources Implications

- 9.1 There are no direct Human Resources (HR) implications as a result of this report, though the contribution HR makes to a fully functioning organisation and dynamic workforce is set out within the Plan (priority 5 – a modern, efficient Council). Continued application of the values and behaviours by all sections of the workforce will be a key role for managers across the organisation, led by the Chief Executive and wider Senior Leadership Team.

10. Implications for Children and Young People and Vulnerable Adults

- 10.1 The Council Plan has a core focus on the needs of children and young people and vulnerable adults as set out in Priority 1.

11. Equalities and Human Rights Implications

11.1 Ensuring that the Council meets its equalities and human rights duties and obligations is central to how it manages its performance, sets its priorities and delivers services across the board. The refreshed indicators include for the first time, at indicator 5.D6, an indicator that measures our progress in implementing the findings from our Equalities Peer Review. Future indicators will be developed for inclusion in the next refresh of the Council Plan.

12. Implications for Partners and Other Directorates

12.1 Partnership working is central to the Council Plan (as outlined in Section 7, from page 14 of the document). The formal partnership structure for Rotherham, the ‘Rotherham Together Partnership’ (RTP), launched “The Rotherham Plan 2025” in March 2017. The Plan describes how local partners plan to work together to deliver effective, integrated services, making best use of their collective resources. The refreshed Council Plan links to The Rotherham Plan by picking up the “Game Changers” described in the latter document and setting out the Performance Indicators that describe how the Council intends to deliver its part of the Plan.

13. Risks and Mitigation

13.1 Specific risks will be managed via the monthly and quarterly performance management and reporting arrangements noted within this report. Directorates will also work to ensure that any significant risks are addressed via Directorate and Corporate Risk Registers. An exercise has already been carried out to ensure that there is a clear link between the Council’s Service Plans and Directorate Risk Registers.

13.2 It should be noted that the Council currently has limited corporate resources to support performance monitoring management, with such resources currently focused on two Directorates (Adult Care and Housing and Children’s and Young People’s Services). Following the Performance Management Peer Review conducted by the Local Government Association (LGA) in July 2016 a new structure for the Corporate Performance function has been outlined and will be further refined and implemented by the new Head of Performance, Intelligence and Improvement in the course of 2018.

14. Accountable Officer(s)

Sharon Kemp, Chief Executive
Shokat Lal, Assistant Chief Executive

Approvals obtained on behalf of:-

	Named Officer	Date
Strategic Director of Finance & Customer Services	Judith Badger	23.04.2018
Assistant Director of Legal Services	Dermot Pearson	24.04.2018
Head of Procurement (if appropriate)	N/A	
Head of Human Resources (if appropriate)	Ian Henderson	19.04.2018

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<http://moderngov.rotherham.gov.uk/ieDocHome.aspx?Categories=>

Appendix A

Council Plan 2018/19



Council Plan indicators and targets for 2018/19

Document Details

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Text highlighted in light green shows target or indicator that has changed from 2017/2018

Corporate Priority 1 – Every child making the best start in life

Outcome	Lead Accountability (Strategic Director)	Ref No.	Action	Measure	Lead officer	Good performance	Frequency of reporting	Target 2017/18	Target 2018/19	Current Outcomes			Data notes (where measure has not progressed in accordance with the target set provide details of what is being done to improve performance)
										Annual		Quarterly	
										Year end 2015/16	Year end 2016/17	Q3 Oct - Dec 2017	
Families are protected and safeguarded from all forms of abuse, violence and neglect	Ian Thomas, Strategic Director Children and Young People's Services	1.A1	Early Help – Early Help service to identify and support families at the right time to help prevent social service involvement	Reduction in Children in Need rate (rate per 10K population under 18)	Mel Meggs - CYPS	low	Monthly	336.9	375.5	320	359.8	407.3	There is no good or bad performance however the standard aim is to ensure performance is in line with the national average. However locally our priority is to reduce overall demand on social care services via improving both the effectiveness of preventative Early Help and quality of the social care intervention. However the safeguarding and needs of children will always take precedence. Target is a 10% reduction to 2125 CIN&CPP
		1.A2		Reduction in the number of children subject to a CP plan (rate per 10K population under 18)	Mel Meggs - CYPS	low	Monthly	60.3	99.6	65.4	65.6	107.3	There is no good or bad performance however the standard aim is to ensure performance is in line with the national average. However locally our priority is to reduce overall demand on social care services via improving both the effectiveness of preventative Early Help and quality of the social care intervention. However the safeguarding and needs of children will always take precedence. Target is a 10% reduction in volume to 534 CPP
		1.A3		Reduction in the number of Looked After Children (rate per 10k population under 18)	Mel Meggs - CYPS	low	Monthly	85.9	99.1	76.6	86.6	101.6	There is no good or bad performance however the standard aim is to ensure performance is in line with the national average. However locally our priority is to reduce overall demand on social care services via improving both the effectiveness of preventative Early Help and quality of the social care intervention. However the safeguarding and needs of children will always take precedence. Target is in line with the 2018/19 budget assumptions of 561 LAC.
		1.A4		NEW: Increase the proportion of families who rate the Early Help service as Good or Excellent. (Previous measure was number of families engaging with the service)	David McWilliams - CYPS	high	Monthly		95%			95%	The Families for Change programme is one part of our Early Help service. Families for Change are now regularly exceeding 100% of their engagement target making this measure meaningless. Since this original measure was identified the service and related measures have developed and refined. This new measure encompasses all Early Help intervention work including Families for Change and rates the quality and impact of the work from the perspective of families.
		1.A5		Children's Social Care Improvement – Ensure that all Child Protection Plan work is managed robustly and that appropriate decisions and actions are agreed with partner agencies	Mel Meggs - CYPS	low	Monthly	4%	9%	4.7%	9.2%	9.6%	The service are still experiencing legacy issues related to previous poor practice and month on month data can fluctuate considerably. In addition as we work towards reducing our CPP rate the number within the overall cohort for this measure will reduce which may have a perverse impact on the this percentage ie same or less 'number' of children subject to a repeat plan could result in a worse performance. This target has considered all these factors and the senior management team feel that achieving and sustaining 9%, which was the best in-month performance in the last 12 months will be still be challenge.

Outcome	Lead Accountability (Strategic Director)	Ref No.	Action	Measure	Lead officer	Good performance	Frequency of reporting	Target 2017/18	Target 2018/19	Current Outcomes			Data notes (where measure has not progressed in accordance with the target set provide details of what is being done to improve performance)
										Annual		Quarterly	
										Year end 2015/16	Year end 2016/17	Q3 Oct - Dec 2017	
A. Children, young people and families		1.A6	Placements - Improve Quality of Care for looked after children	Child Sexual Exploitation - an increased awareness of CSE and an increase in the number of police prosecutions as a result of joint working	Mel Meggs - CYPS	n/a	Monthly	n/a	n/a	n/a	n/a	n/a	Suggested alternative 'volume' measure to CSE referrals. This would relate to all Children and young people open to social care not just 'new referrals' as CSE can be identified for open cases not just new. This would also ensure that sibling groups and 'unassessed/verified' concerns do not over inflate the measure unlike referrals. It would be inappropriate to set a target related to this measure.
		1.A7		Reduce the number of disrupted placements <i>definition: % of LAC who have had 3 or more placements - rolling 12 months</i>	Mel Meggs - CYPS	Low	Monthly	9.6%	10.8%	13.0%	11.9%	11.3%	Research shows that the stability of a LAC placement has a direct correlation to good outcomes for the child. Although on a general improvement trend there have been in year highs of 13% in current year. 10% is not ave - the target has been set in consideration of the transformation agenda to reduce the overall LAC cohort and also move children in a planned way closer to Rotherham. These strategies will improve longer term outcomes for children however both carry a risk of impact on performance for this measure. The service aim to move to national average in 2019/20 (2 year plan) hence the this 'half way' target for 2018/19.
		1.A8		NEW: Increase the proportion of LAC placed within Family Based settings (previous measure was the proportion of LAC Commissioned placements)	Mel Meggs - CYPS	High	Monthly		85.0%			83.0%	Research shows that children achieve the best outcomes both short and long term living with families. This is a priority measure within our LAC sufficiency strategy. Reduction on current internal target 87% Has been on steady improvement trend - 2% in 12 months, this represents a further 2% by Mar 19. 87% is now harder to achieve due to rise in population.
B. Education and skills		1.B1 (a)	Sustainable Education and Skills	Refreshed measure: % of pupils reaching the expected standard in reading, writing and mathematics combined at the end of Key Stage 2	Dean Fenton - Interim Education and Skills Lead	high	Yearly	0.63	0.65	0.54	0.61		Replaces "% children and young people who attend a good or better schools" This measure is in line with the national average in 2017.
		1.B1 (b)		Refreshed measure: The average attainment 8 score at the end of Key Stage 4. The progress 8 measure from the end of primary school (KS2) to the end of secondary school (KS4)	Dean Fenton - Interim Education and Skills Lead	high	Yearly	46 +0.07	47 +0.08	48.8 +0.04	45 +0.06		Replaces "% of early years settings which are good or better" The average Attainment 8 score decreased by 3.8 points in 2017. National averages also decreased by 3.7 (state-funded) and 3.9 (all schools). The Progress 8 score is +0.06 in 2017; this is 0.09 above the national average score of -0.03.
		1.B2 (a)	Sustainable Education and Skills	Reduction in the number of exclusions from school which are i) Fixed term (Secondary school)	Dean Fenton - Interim			2,500 Academic Yr	2,500 Academic Yr (cumulative)	3,555	3,120	895 (cumulative)	Targets carried forward

Outcome	Lead Accountability (Strategic Director)	Ref No.	Action	Measure	Lead officer	Good performance	Frequency of reporting	Target 2017/18	Target 2018/19	Current Outcomes			Data notes (where measure has not progressed in accordance with the target set provide details of what is being done to improve performance)
										Annual		Quarterly	
										Year end 2015/16	Year end 2016/17	Q3 Oct - Dec 2017	
B. Children and Young people are supported to reach their potential	Ian Thomas, Strategic Director Children and Young People's Services	1.B2 (b)	Sustainable Education and Skills – Reduce the number of school days lost to exclusion	Reduction in the number of exclusions from school which are ii) Fixed term (Primary school)	Education and Skills Lead	low	Monthly	280 Academic Yr	280 Academic Yr (cumulative)	406.0	358.0	108 (cumulative)	Autumn term approx 1000 secondary exclusions and 100 primary exclusions therefore these remain appropriate.
		1.B3	Sustainable Education and Skills – Enable hard to reach young people to achieve their full potential through education employment or training	Refreshed measure: % of 16-17 year olds NEET or whose activity is Not Known (NK) % 16-17 year old NEET % 16-17 year olds whose activity is Not Known	David McWilliams - CYPS	low	Monthly	Local Dec target - 3.0% Annual Target 3.1% (Local Annual target based on Dec, Jan, Feb Ave)	5.8% combined i) 3.3% (NEET) ii) 2.5% (Not Known) (Local Annual target based on Dec, Jan, Feb Ave)	5.3%	3.1%	3.2%	The combined measure is now the nationally recognised standard as it does not enable authorities to hide their poor NEETs behind a high Not Known rate (this has never been the case in Rotherham). It is therefore important we retain the combined measure however targets have also been split to show the 2 parts of the measure as service still report individual NEET and Not Known data on a monthly basis, as well as the combined figure which takes into account the full cohort of 16-17 year olds and their destinations.
		1.B4 (a)	Special Educational Needs and Disabilities (SEND) – Improve personal outcomes for our young people with SEND to enable them to make choices that lead to successful adult lives	Refreshed measure - Increase the proportion of Education and Health Care Plans completed in statutory timescales (based on NEW plans)	Dean Fenton - Interim Education and Skills Lead	high	Monthly	90% by April 2018	Qtr 1 - 45% Qtr 2 - 65% Qtr 3 - 75% Qtr 4 - 90% (in period) 2018/19 - 70% (cumulative)	58.30%	52%	40% (Oct 17 - Dec 17) 58% (Apr 17 - Dec 17)	2017/18 Performance relating to EHCP assessments on new referrals has been impacted by the drive to ensure the conversion of old Statements to new EHCPs are completed by April 2018. Additionally children who are transitioning to their next academic stage (ie Primary to Secondary, Secondary to Post-16) all require a formal review of their current EHCPs before the end of July 2018 in preparation for their new education arrangements. Resources are therefore focusing on these two priorities however there still remains a risk that a small proportion will go over the deadline and continue to impact on new EHCPs. Therefore, realistically, full resources will not be able to fully focus on 'new' EHCPs until the start of the new academic year in September. At which time any backlog accrued will need to be cleared down. A thorough data analysis of the potential impact of the backlog has been undertaken to set these quarterly incremental targets. The volume of new assessments which could be completed in the time from mid-Q3 onwards means that the 90% for the full year will not be achieved. The full year target of 70% is calculated in consideration of these quarterly targets. The National standard of 90% will be in place by the end of 2018/19 and will be our ongoing target from 2019/20. Each of these will look at the timeliness of 'new' EHCP assessments completed within the three months of the quarter (inclusive - not rolling picture).
C. Children, young people and families are enabled to live healthier lives	Terri Roche, Director Public Health	1.C1	Deliver services for the 0-19 year olds – to support children and families to achieve and maintain healthier lifestyles	Smoking status at time of delivery (women smoking during pregnancy)	Jo Abbott - Public Health	Low	Quarterly	17%	18%	18.1%	17.0%	21.1%	The target for 2017/18 of 17% is an aspirational target as the outcome figure of 17% for 2016/17 was skewed by a very low quarter. Due to high Quarter 1 to 3 data for 2017/18 it now seems very unlikely the target will be met. Actions include specialist stop smoking services and referring pregnant women to Children's Centres for ongoing support. The 2018/19 target has been stretched to 18% to allow time for the Rotherham NHS Foundation Trust to bring in a new model of working to try to achieve more quits.
		1.C2		NEW MEASURE: Childhood immunisation - % of eligible children who received 3 doses of DTaP / IPV / Hib vaccine at any time by their 2nd birthday (diphtheria, tetanus and pertussis/polio/Haemophilus influenza type b)	Jo Abbott - Public Health	High	Quarterly	n/a (new for 2018/19)	95%	97.4%	96.7%	96.7%	National target is 95% to ensure control of vaccine preventable diseases.

Corporate Priority 2 – Every adult secure, responsible and empowered

Outcome	Lead Accountability (Strategic Director)	Ref No.	Action	Measure	Lead officer	Good performance	Frequency of reporting	Target 2017/18	Target 2018/19	Current Performance		Data notes (where measure has not progressed in accordance with the target set provide details of what is being done to improve performance)	
										Annual			
										Year end 2015/16	Year end 2016/17	Q3 Oct - Dec 2017	
A. Adults are enabled to live healthier lives	Terri Roche, Director of Public Health	2.A1 (a)	Implement Health and Wellbeing Strategy to improve the health of people in the borough	Successful completion of drug treatment – a) opiate users (aged 18-75)	Jo Abbott - Public Health	High	Quarterly	No national target. Local ambition to be within LA Comparators Top Quartile	1.5 percentage point increase on the value at new provider starting point (April 2018 so using Q3/Q4 2017/18)	6.3% (2015)	3.9% (2016)	4.4% (rolling 12 month)	Opiate exits remain a performance challenge for the current service provider. Public Health has increased the performance management on this area (see Performance Report for details) A new provider has been contracted for services from April 2018 with clear expectations for improved recovery targets (exits) Overall status is based on the latest available quarter (Q3). Rotherham's figure of 4.4% is outside the Top Quartile range of 7.6% - 11.1%. NOTE - Quarter shown as point of success i.e. 6 months after end of treatment where person did not re-present.
		2.A1 (b)		Successful completion of drug treatment – b) non-opiate users (aged 18-75)	Jo Abbott - Public Health	High	Quarterly	As above	No national target. Local ambition to be within LA Comparators Top Quartile	42.9% (2015)	36.9% (2016)	34.6% (rolling 12 month)	Performance on non-opiates has worsened recently. Performance is expected to improve in line with opiates once the new provider is in place. Overall status is based on the latest available quarter (Q3). Rotherham's figure of 34.6% is outside LA Comparators Top Quartile range of 40.0% - 44.7% but statistically similar to England (36.8%). NOTE - Quarter shown as point of success i.e. 6 months after end of treatment where person did not re-present.
Independent and resilient within a personalised model of care and support	Anne Marie Lubanski, Strategic Director Adult Social Care and Housing	2.B1	We must ensure we make safeguarding personal	Refreshed measure with refined description: Proportion of Safeguarding Adults at risk who felt their outcomes were met.	Andrew Wells - Head of Service Safeguarding & Professional Practice	High	Quarterly	80%	96.5%	72%	85%	96.2% (Cumulative)	Performance continues to be above target which suggests MSP (Making Safeguarding Personal) approach is embedded within the safeguarding process.
		2.B2		No. of Safeguarding investigations (Section 42 enquiries) completed per 100,000 population adults (over 18 years)	Andrew Wells - Head of Service Safeguarding & Professional Practice	n/a	Quarterly	250	336	278	214	244 (Cumulative)	Performance is based upon no of S42 enquiries completed per 100,000 population. Target is an annual target and equates to 511 completed S42 enquiries in year. Currently, 502 enquiries have been completed (Apr-Dec17).
		2.B3	We must ensure that information, advice and guidance is readily available (e.g. b increasing self assessment) and there are a wide range of community assets which are accessible	Number of people who are provided with information and advice at first point of contact (to prevent service need).	Jenny Anderton - Interim Head of Service - Single Point of Access and Enablement Services	High	Quarterly	2,750	2,750	944 (Nov-Mar)	2,780	658	Performance is reflective of numbers of people (not currently in receipt of services) who are provided with information/advice at first point of contact without the need for formal assessment of need. The rate has improved in Q3 which is positive and reflects that work which has taken place to stabilise and improve response to an increased demand for assessment and allocation continues to be successful.
		2.B4	Improved approach to personalised services – always putting users and carers at the centre of everything we do	Proportion of Adults receiving long term community support who received a direct payment (excludes managed accounts)	Gordon Waigand - Head of Service - Localities, Transitions and High Cost Placements	High	Quarterly	22%	22%	17.5%	19.2%	19.8% (As at end of period)	Data excludes Mental Health
		2.B5		Number of carers assessments	Jenny Anderton - Interim Head of Service - Single Point of Access and Enablement Services	High	Quarterly	Baseline year	567	2,420	771	502	Note: Target based on revised methodology. Previous years data has included joint carer assessments, as Care Act details carers should be assessed in their own right, assessments which are identified as "Joint Assessments" have been removed from previous years data to allow accurate target to be calculated. (Will update at Q4 2017/18 submission)

Outcome	Lead Accountability (Strategic Director)	Ref No.	Action	Measure	Lead officer	Good performance	Frequency of reporting	Target 2017/18	Target 2018/19	Current Performance			Data notes (where measure has not progressed in accordance with the target set provide details of what is being done to improve performance)
										Annual		Latest Quarter	
										Year end 2015/16	Year end 2016/17	Q3 Oct - Dec 2017	
B. Individuals and carers are supported to be safe, included in the delivery of the outcomes for the people we support	Modernise Enablement Services to maximise independence, including: <ul style="list-style-type: none">• Intermediate care<ul style="list-style-type: none">• Enabling• Prevention agenda<ul style="list-style-type: none">• Developing community assets	2.B6	Modernise Enablement Services to maximise independence, including: <ul style="list-style-type: none">• Intermediate care<ul style="list-style-type: none">• Enabling• Prevention agenda<ul style="list-style-type: none">• Developing community assets	Refreshed measure with refined description: The proportion of people (65+) offered the reablement service after discharge from hospital	Jenny Anderton - Interim Head of Service - Single Point of Access and Enablement Services	High	Annual	2.5%	2.6%	1.7%	1.8%		Annual indicator data is collected October -December '17 based upon hospital discharges to reablement services. Provisional outcome to be reported in Q4. The denominator for this indicator is the total discharges from hospital, rather than those assessed as submitted in the Hospital Episode Statistics (HES). Adult Care would not know the outcome of all these discharges only where a request for assessment had been made.
		2.B7	We must commission service effectively working in partnership and co-producing with users and carers. We must use our resources effectively.	Proportion of new clients who receive short term (Reablement) service in year with an outcome of no further requests made for support	Jenny Anderton - Interim Head of Service - Single Point of Access and Enablement Services	High	Quarterly	75%	83%	86.1%	81.9%	87.4% (Cumulative)	Data shows "as at" position at the end of each quarter. Performance from LAS 'out of box' reporting. Bespoke reporting being developed to support service with new performance management systems. Revised performance will be available in Q4 (this is expected to impact current reported performance negatively)
		2.B8	We must commission service effectively working in partnership and co-producing with users and carers. We must use our resources effectively.	New permanent admissions to residential nursing care for adults (All ages)	Gordon Waigand - Head of Service - Localities, Transitions and High Cost Placements	Low	Quarterly	315	305	432	356	233 (Cumulative)	Performance includes 64 people who have been in a short stay placement for longer than 28 days.
		2.B9	We must commission service effectively working in partnership and co-producing with users and carers. We must use our resources effectively.	Total number of people supported in residential/nursing care for adults (All ages)	Richard Smith - Interim Assistant Director of Independent Living and Support	Low	Quarterly	1,000	950	1,288	1,111	1026 (As at end of period)	Performance relates to the number in residential/nursing care on the last day of each quarter. Performance has improved in Q3.

Corporate Priority 3 – A strong community in a clean safe environment

Outcome	Lead Accountability (Strategic Director)	Ref No.	Action	Measure	Lead officer	Good performance	Frequency of reporting	Target 2017/18	Target 2018/19	Current Performance			Data notes (where measure has not progressed in accordance with the target set provide details of what is being done to improve performance)
										Annual		Latest Quarter	
										Year end 2015/16	Year end 2016/17	Q3 Oct - Dec 2017	
Safe	Ensure that the Safer Rotherham Partnership is robust and fit for purpose. Develop an effective Community Safety Strategy and Performance Management Framework	3.A1(a)		Public perception of ASB (via the "Your Voice Counts" quarterly survey)	Tom Smith - Regeneration and Environment	Low	Quarterly	5% reduction on 2016-17 (27% Annual Target)	32%	30%	32%	Your Voice Counts Q3 survey results due w/c 22.01.18	(Source of Data: Your Voice Counts Survey- Question, 'How much of a problem is ASB in your area' - % of respondents who perceive as a problem)) Q3 data due w/c 22/01/18
		3.A1(b)		Reduce the number of repeat victims of ASB	Tom Smith - Regeneration and Environment	Low	Quarterly	Baseline Year	80 or fewer repeat callers each quarter			Data cannot be provided this quarter. See comment	All Q3 data covers only up to 5/12/17 due to introduction of new Police systems. Also in respect of this indicator, staffing shortages within the Police analyst team has restricted their capacity to deliver taking into account work they are already committed to through the JSIA process.
		3.A2		An increase in the % of positive outcomes over the year, for reported Hate Crime cases	Tom Smith - Regeneration and Environment	High	Quarterly	24.2% (Which is a 10% Increase in % of cases leading to positive outcome 1-10 on South Yorkshire Police Crime Analysis Pages (CAP))	20%	38%	22%	17.86% which equates to a 2% increase on the same period last year	Performance throughout this quarter has seen an increase in positive outcomes in relation to hate crime. This is a positive indication that work commenced to increase satisfaction and outcome in relation to hate crimes is beginning to bear some fruit. This continues to be monitored through the Safer Rotherham partnership who are establishing a new priority group to support work in this area. Q3 data only up to 5/12/17 due to introduction of new Police system.
		3.A3 (a)		Refreshed measure - Total number of referrals to Domestic Abuse support services	Tom Smith - Regeneration and Environment	High	Quarterly		Baseline year				This measure has replaced people at risk of domestic abuse, who are given successful support to: a) avoid or manage harm from others b) maintaining accommodation c) securing accommodation.
		3.A3 (b)		Refreshed measure - % of people receiving Domestic Abuse support who are satisfied with the service	Tom Smith - Regeneration and Environment	High	Annual		Baseline year				This measure has replaced people at risk of domestic abuse, who are given successful support to: a) avoid or manage harm from others b) maintaining accommodation c) securing accommodation.
		3.A4 a)		Refreshed measure - The number of on the spot inspections of taxis	Tom Smith - Regeneration and Environment	High	Quarterly		Baseline year				This measure has replaced % of licence holders that demonstrate adherence to the requirements of the Council's Hackney Carriage and Private Hire Policy (Priority measure)

Outcome	Lead Accountability (Strategic Director)	Ref No.	Action	Measure	Lead officer	Good performance	Frequency of reporting	Target 2017/18	Target 2018/19	Current Performance			Data notes (where measure has not progressed in accordance with the target set provide details of what is being done to improve performance)
										Annual		Latest Quarter	
										Year end 2015/16	Year end 2016/17	Q3 Oct - Dec 2017	
A. Communities are strong and help people to feel safe and secure	Damien Wilson, Strategic Director Regeneration and Environment	3.A4 (b)	Effective and efficient licensing service	Refreshed measure - The % of taxis found to be compliant with the licensing regime during on the spot inspections	Tom Smith - Regeneration and Environment	High	Quarterly		Baseline year				This measure has replaced % of licence holders that demonstrate adherence to the requirements of the Council's Hackney Carriage and Private Hire Policy (Priority measure)
		3.A5 (a)	Rotherham residents are satisfied with their local area and borough as a place to live	a) How satisfied or dissatisfied are you with your local area as a place to live	Christopher Burton, Assistant Chief Executive's office	High - very or fairly satisfied	6 monthly	>79%	>79%	79% June 2015 82% December 2015 satisfied or fairly satisfied	80% June 2016 81% December 2016 satisfied or fairly satisfied		
		3.A5 (b)		b) Overall, all things considered, how satisfied or dissatisfied are you with Rotherham Borough as a place to live	Christopher Burton, Assistant Chief Executive's office	High - very or fairly satisfied	6 monthly	>69%	>69%	69% June 2015 61% December 2015 very or fairly satisfied	62% June 2016 66% December 2016 very or fairly satisfied		
		3.A6	Create a rich and diverse cultural offer and thriving Town Centre	Number of engagements with the Council's Culture and Leisure facilities which help adults and children learn , develop their skills or get a job.	Polly Hamilton - Regeneration and Environment	High	Quarterly	Baseline Year	320,000, Cumulative yearly target (All Culture and Leisure targets are adjusted due to number of changes in the forthcoming year, i.e Central Library moves, Active Rotherham scheme finishing and other Riverside House service moves)			101789 (Cumulative)	This is a baseline year. This measure is intended to capture information about the scale of learning activities delivered through culture, leisure and green spaces which, according to national research, contribute to community capacity-building, resilience and employability. Libraries and Neighbourhood Hubs showed an overall increase in engagement from the previous quarter, this was predominantly due to an increase in school visits at the start of the academic year.
		3.A7		Customer satisfaction with culture, sport and tourism services	Polly Hamilton - Regeneration and Environment	High	Quarterly	Baseline Year	a) >90% b) > 90% c) >82% d) >95%			a- Libraries & CSC) 99.76% b- Heritage Sites) 92.57% c- Parks and Open Spaces) 82.65% d- Sport & Leisure Facilities) 95%	This is a baseline year and customer feedback systems are still being rolled out across services. Archives and Local Studies remote survey took place in November, awaiting results from CIPFA. Customer satisfaction with culture, sport and tourism services is assessed as % of people who said their overall experience was satisfactory. Nb- Parks and Open Spaces is assessed via a 2 yearly survey at Clifton, Rother Valley and Thrybergh Country Parks. Rating shown is from the 2015/16 survey, Next survey is due summer 2017 with results available in Q3.

Outcome	Lead Accountability (Strategic Director)	Ref No.	Action	Measure	Lead officer	Good performance	Frequency of reporting	Target 2017/18	Target 2018/19	Current Performance			Data notes (where measure has not progressed in accordance with the target set provide details of what is being done to improve performance)	
										Annual		Latest Quarter		
										Year end 2015/16	Year end 2016/17	Q3 Oct - Dec 2017		
Places are clean and well maintained	Damien Wilson, Strategic Director	3.A8		Number of visits to the Councils, Culture and Leisure facilities a - Libraries b - Clifton Park Museum, archives and other heritage sites c - Civic Theatre d - Country Parks (Rother Valley, Thrybergh and Clifton Park) e - Visitor Information Centre f - Events g - Engagement and Outreach Activities h - Leisure Centres	Polly Hamilton - Regeneration and Environment	High	Quarterly	Baseline Year	3,000,000 cumulative annual target				a: 126,700 b: 14,508 c: 34,785 d: 186,426 e: 11,443 f: 7,560 g: 6,823 h: 304,920 i: 0 Total no. of visits = 693,165	Heritage Services: Overall, visit figures are lower by just under 7% when compared against Quarters 1-3 for 2016/17. This relates to significantly lower visitors figures to Clifton Park Museum during the summer months (as previously reported) along with the impact of the Christmas closure. It has also become apparent that the temporary exhibition hosted last year focussing on the Yorkshire Steel Man was a particular draw. Although visitor figures are lower for Clifton Park Museum, it is important to note that visitor figures are significantly higher at Boston Castle, which has been positively impacted by improved room hire. Archives and Local Studies visitor figures have also increased by 3%.
		3.B1 (a)		Percentage of the principal road network in need of significant repair	Tom Smith - Regeneration and Environment	Low	Annual	4%	3%	3%	3%	2%	The target is based on the national average condition and the Council aspires to be good or better.	
				% of the non-principal road networks in need of repair	Tom Smith - Regeneration and Environment	Low	Annual	7%	6%	6%	7%	5%	The target is based on the national average condition and the Council aspires to be good or better. The national average has improved from 7% to 6%	
				% of unclassified roads in need of repair	Tom Smith - Regeneration and Environment	Low	Annual	<22%	22%	24%	23%	23%	Although, the target may not be achieved the direction of travel is positive and has improved from 24% in March 2016. This is the first year of the 2020 Roads Programme, which will see an investment of £10m over three years. In 2017/18 £3m will be spent repairing the unclassified network i.e. estate roads. This will enable a total of 80 roads or 20,555sqm to be repaired by this initiative. At the end of the 3rd Quarter 70 highway repair schemes have been completed. As a result of this investment the number of claims received by the Council for accidents on the highway has reduced to an all-time low of 195 claims received (Jan – Dec) which when compared to the previous three year average is a 41% reduction. A further benefit of the investment in the highway network, has seen a significant reduction in the number of actionable defects (potholes) per 100km of road for the 3rd quarter when compared with the 2016/17 average.	
				Effective enforcement action taken where evidence is found a) Fly Tipping (fixed penalty notices and prosecutions)	Tom Smith - Regeneration and Environment	High	Monthly	37+ (50% increase in prosecutions for the year)	37+ (Maintain target at same level due to fall off of suitable potential cases after this year's efforts).	Not available - baseline year	25	23 (Cumulative)	The data comprises 12 prosecution cases progressing to Court or sent to legal services for prosecution and 11 fixed penalty notices issued for fly tipping. 7 of the 12 prosecution cases have been heard at Court with successful outcomes. 5 are awaiting a court date.	
		3.B2(a)	Deliver a cleaner, greener Rotherham to ensure that it is a safe Rotherham to ensure that it is a safe and attractive place to live, work and visit	Effective enforcement action taken where evidence is found b) Other enviro-crime (fixed penalty notices and prosecutions)	Tom Smith - Regeneration and Environment	High	Monthly	5000 (cumulative for the year)	5000 (cumulative for the year)	Not available - baseline year	185	5897 (Cumulative)	The data comprised 5779 fixed penalty notices issued by Kingdom for littering and dog fouling offences, in addition to another 118 other enviro-crime formal enforcement actions by the Community Protection Unit including litter and dog fouling offences as well as more complex investigations. These include requiring businesses to produce proof of their waste disposal arrangements in fly tipping hot spot areas and investigations into householders who have passed waste to people who have ultimately fly tipped waste.	

Outcome	Lead Accountability (Strategic Director)	Ref No.	Action	Measure	Lead officer	Good performance	Frequency of reporting	Target 2017/18	Target 2018/19	Current Performance			Data notes (where measure has not progressed in accordance with the target set provide details of what is being done to improve performance)		
										Annual		Latest Quarter			
										Year end 2015/16	Year end 2016/17	Q3 Oct - Dec 2017			
B. Streets, public realm and green spaces	Regeneration and Environment	3.B3	Ensure an efficient and effective waste and recycling service	Total number of customer contacts by service area and overall total. Service areas measured are a) Street Cleansing, b) Grounds Maintenance, c) Litter, d) Waste Management. Contacts measured are: i) Official complaints ii) Compliments received iii) Service Requests	Tom Smith - Regeneration and Environment	Low	Monthly	5% reduction,(target 75 cumulative) in the number of official complaints received in Grounds Maintenance, Street Cleansing, (includes Litter) and Waste Management	5% reducing (target 75 cumulative) in the number of official complaints received Add a sub-measure to increase number of compliments, target would be 60 for the year.				Grounds Maintenance i) Complaints 2 ii) Compliments 0 iii) Service Requests 87 No of customer contacts for A) 1,301 B) 6,115 C) 452 D) 716 'Complaints 79	Street Cleansing i) Complaints 4 ii) Compliments 5 iii) Service Requests 1717 Waste Management i) Complaints 10 ii) Compliments 7 iii) Service Requests 8665 Total cumulative complaints figure= 63	Nb-quarterly figures in 16/17 relate to Grounds Maintenance contacts only. Throughout this year the schedule has been modified to deliver the information requested . The Q3 information now presents all requests for service, complaint and compliments. This information relates to Grounds Maintenance, Street Cleansing, Litter and Waste services, (the litter information is an extract from the street cleansing data). The number of complaints recorded can be seasonal dependent on services which is demonstrated by a dip in overall numbers during Q3, however this reduction will not be sufficient if the trend continues to meet the target of reducing complaints by 5% from 79 in 16/17 to 75 in 17/18. However if Q3 performance is replicated in Q4 we will have received 79 complaints mirroring 2016/17. It should be noted that the number of complaints versus activity is very low, taking the waste service as an example they undertake in excess of 7million visits to residents properties with only 45 complaints to date. We will continue to work with staff to understand complaints and improve the services delivery through weekly review of issues arising.
		3.B4		Number of missed bins per 100,000 collections	Tom Smith - Regeneration and Environment	Low	Quarterly	60	50	62.7	46.92	Q3 -33.90 Overall YTD - 39.86	Missed bin performance is showing an improvement over the same quarter in 2016/17. A reduction from 38.21 missed bins per 100,000 collections in 2016/17 to 33.90 in 2017/18. We are also seeing a quarter on quarter improvement in 2017/18. Continued analysis of missed bins reports and weekly performance meetings of frontline staff by supervisors is undertaken. Information is disseminated to collection crews through Team Briefings and this has helped to maintain focus on reducing missed bin collections. The quarter 3 figure of 33.09 equates to only 0.033% of all bin collections being reported as missed. The Association for Public Service Excellence (APSE) performance reports an average of 61.12 missed bins per 100,000 for the full year performance for reporting authorities.		
		3.B5		% of waste sent for reuse (recycling and composting)	Tom Smith - Regeneration and Environment	High	Quarterly	45%	45%	43.11%	45.30%	48.75% Current estimate for March 2018 - 45.74%	The figure supplied for Q3 has a small element of Estimation. Most of the details of waste arising's from Oct to Dec have been received but we are still waiting for some waste tonnage data for Dec (From 3rd parties waste disposers who need to calculate their data before supplying. Not due until end of Jan) But figure is within 1% of actual. Recycling figure is starting to reduce due to seasonal fluctuation.		

Corporate Priority 4 – Extending opportunity. Prosperity and planning for the future

Outcome	Lead Accountability (Strategic Director)	Ref No.	Action	Measure	Lead officer	Good performance	Frequency of reporting	Target 2017/2018	Target 2018/2019	Current Performance			Data notes (where measure has not progressed in accordance with the target set provide details of what is being done to improve performance)
										Annual		Current Quarter	
										Year end 2015/16	Year end 2016/17	Q3 Oct - Dec 2017	
A. Businesses supported to grow and employment opportunities expanded across the borough	Damien Wilson, Strategic Director Regeneration and Environment	4.A1	Deliver economic growth (via the Economic Growth Plan, Business Growth Board and Sheffield City Region)	Number of new businesses started with help from the Council	Paul Woodcock - Regeneration and Environment	High	Quarterly	Baseline Year	15	Not available as not previously required	Not available as not previously required	15	
		4.A2		Survival rate of new businesses (3 years)	Paul Woodcock - Regeneration and Environment	High	Annual	60.0%	60.0%	60%	59.9%		NB, As at 31/03/17 the survival rate of business using RMBC Incubation services was 85%
		4.A3		% vacant floor space in the Town Centre	Paul Woodcock - Regeneration and Environment	Low	Quarterly	Baseline Year	25%	Not available as not previously required	Not available as not previously required	23%	Service reported last month on % of vacant units, which is how this was historically measured. Q1 & 2 data amended to reflect the % of vacant floorspace. Please note amended figure for Q2 due to the rectification of a formula error.
		4.A4		NEW: Net new business in the Town Centre	Paul Woodcock - Regeneration and Environment	High	Quarterly	Not available as not previously required	Baseline Year	Not available as not previously required	Not available as not previously required		Not relating to Planning use classes
		4.A5		Number of jobs in the Borough	Paul Woodcock - Regeneration and Environment	High	Annual	1,000 new jobs p.a. (10,000 over 10 years).	1,000 new jobs p.a. (10,000 over 10 years).	100,000	104,000		Source the ONS Business Register and Employment Survey. Updates released annually in September. Latest return 104,000 received end last year for year ended 31/12/16
		4.A6		Narrow the gap to the UK average on the rate of the working age population economically active in the borough	Paul Woodcock - Regeneration and Environment	Low	Quarterly	For 2017/18, reduce the gap from 4.3% to 4.0%. Achieve national average in next 5 years (0.8% reduction a year)	3.2% (0.8% reduction)	1% gap	4.3%		Sep 17 data 4Q avg for Rotherham = 74.9% compared to UK rate of 78.0% Source, ONS Population Survey
		4.A7		Number of Planning Applications determined within specified Period: a) Major 13 weeks b) Minor 8 weeks c) Other 8 weeks	Paul Woodcock - Regeneration and Environment	High	Quarterly	All at 95%	All at 95%	89.9%	99.9%	a) 100% b) 100% c) 100%	Local Government Association Benchmarking data establishes that Rotherham is the lowest cost but highest performing authority within the city region (and 3rd lowest cost nationally for our peer group).

Outcome	Lead Accountability (Strategic Director)	Ref No.	Action	Measure	Lead officer	Good performance	Frequency of reporting	Target 2017/2018	Target 2018/2019	Current Performance			Data notes (where measure has not progressed in accordance with the target set provide details of what is being done to improve performance)
										Annual		Current Quarter	
										Year end 2015/16	Year end 2016/17	Q3 Oct - Dec 2017	
B. People live in high quality accommodation which meets their need, whether in the social rented, private rented or home ownership sector	Anne Marie Lubanski, Strategic Director Adult Social Care and Housing	4.B1(a)	Implement the Housing Strategy 2016-2019 to provide high quality accommodation	NEW: Number of new homes delivered during the year via direct Council Intervention	Tom Bell - Adult Social Care and Housing	High	Quarterly	New Indicator	109	n/a	n/a	n/a	Direct intervention means homes that the Council is either building directly, purchasing or commissioning, using Council resources and / or external funding secured by the Council
		4.B1(b)		Number of new homes delivered during the year	Tom Bell - Adult Social Care and Housing	High	Quarterly	641	641	663	593	130 (cumulative)	130 new homes were built in the borough during the third quarter of the year. This represents a reduction of 8 homes compared to quarter 1 but an increase of 61 compared to quarter 2 .Despite this fluctuation in the delivery of new homes it is very likely the year end target of delivering a minimum 641 new homes in the borough during the year will not be met. Many external factors impact on the Councils ability to deliver this measure including market/investor confidence, interest rate levels and the general state of the economy.Despite these external factors a number of plans and strategies are in place that will generate more homes in the future. The DOT rating is based on comparisons in performance between quarters 2 and 3 of the current year .
		4.B2		% of stock that is non-decent	Tom Bell - Adult Social Care and Housing	Low	Quarterly	0.5%	0.5%	0.00%	0.00%	0.25% (cumulative)	At the end of quarter 3, 0.25% of the Councils housing stock is non decent .This is 0.26% lower / better than for quarter 1 and 0.15% better than for quarter 2 . Based on this information and previous track record the Council is currently ahead of target and extremely confident the year end target to ensure less than 0.50% of its stock is non decent will be achieved. The DOT rating is based on comparisons in performance between quarters 2 and 3 of the current financial year .
		4.B3	Private rented housing – improving standards through selective licensing	% of privately rented properties compliant with Selective Licensing conditions within designated areas	Tom Smith - Regeneration and Environment	High	Monthly	95%	95%	Not available as not previously required	85%	94%	1,707 of the 2003 privately rented properties registered under the Councils Selective Licensing Scheme have been inspected by the end of quarter 3. 94% of the 1707 inspected properties comply with licensing agreements issued by the Council and further work, including recruitment of additional staff will be made in the 4th quarter to ensure the 95% target for the measure is achieved by the end of the current financial year. The DOT rating is based on comparisons in performance between quarters 2 and 3 of the current year .

Corporate Priority 5 – A modern, efficient Council

Outcome	Lead Accountability (Strategic Director)	Ref No.	Action	Measure	Lead officer	Good performance	Frequency of reporting	Target 2017/18	Target 2018/19	Current Performance			Data notes (where measure has not progressed in accordance with the target set provide details of what is being done to improve performance)
										Annual		Current Quarter	
										Year end 2015/16	Year end 2016/17	Q3 Oct - Dec 2017	
A. Maximised use of assets and resources and services demonstrate value for money	Judith Badger, Strategic Director Finance and Customer Services	5.A1	Maximising the local revenues available to fund council services	% Council Tax collected in the current financial year	Graham Saxton - Finance and Customer Services	High	Monthly	97% (Top Quartile Met Authorities)	97% (Top Quartile Met Authorities)	97.3%	97.3%	80.41% (cumulative)	The current performance of 80.41% is 0.42% below performance at the same last year. Resources are being targeted at in year Council Tax collection in order to ensure that the position can be improved as much as possible by 31st March. National performance figures have been released for 2016/17 which show Rotherham retaining its position as 4th highest performing Met (out of 36) with 97.3%. The Met Council average for 16/17 was 95.4%, but this figure can be distorted by the design of local Council Tax support schemes.
		5.A2		% non-domestic (business) rates collected in the current financial year	Graham Saxton - Finance and Customer Services	High	Monthly	98% (Top Quartile Metropolitan Authorities)	98% (Top Quartile Metropolitan Authorities)	98.1%	98.3%	80.49% (cumulative)	The current performance of 80.49% is 1.16% below performance at the same time last year. Performance is impacted by a number of recently assessed properties for which payment was not due until January 2018. Resources are being targeted at in year Non Domestic Rates collection in order to ensure that the position can be improved as much as possible by 31st March. National performance figures have been released for 2016/17 which show Rotherham retaining its position as 7th highest performing Met (out of 36) with 98.3%. The Met Council average for 16/17 was 97.3%.
B. Effective Governance Arrangements and decision making processes are in place	Shokat Lal, Assistant Chief Executive	5.B1	The Scrutiny function is effective; engages members and improve outcomes for Rotherham residents and communities	Number of pre-scrutiny recommendations adopted	James McLaughlin, Assistant Chief Executive's Directorate	High	Quarterly	80%	90%	Not available - not previously been required	100%	100%	All but one pre-decision scrutiny recommendations have been fully accepted by Cabinet and adopted as formal resolutions when decisions have been made. It should also be noted that where recommendations have been made to Commissioners, these have also been fully accepted and incorporated within decisions that they have made for those functions which they are responsible.
C. Staff listen and are responsive to customers to understand and relate to their needs	Shokat Lal, Assistant Chief Executive	5.C1	Treating customer complaints with respect and dealing with them in an efficient and outcome-focussed way	% of complaints closed and within timescale (cumulative)	Jackie Mould - Assistant Chief Executive's Directorate	High	Monthly	85%	85%	80%	89%	80%	Performance has increased. Exceeded target in December 17. Performance issues in R+E and CYPs remain. This has been feedback to management teams in both Directorates. Services encouraged to share best practice in complaint handling.
		5.C2	Resident satisfaction - Assessing overall public opinion on the way the council is working and responding to customers	% of residents who feel that the Council keeps them informed	Christopher Burton, Assistant Chief Executive's Directorate	High - very or fairly satisfied	6 monthly	46%	>53%	44% June 2015 49% December 2015	43% June 2016 48% December 2016		
	Judith Badger, Strategic Director Finance and Customer Services	5.C3	Enable customers to be active and interact with the Council in an efficient way, accessing more services online	% of transactions a) online	Luke Sayers - Finance and Customer Services	High	6 monthly	Baseline Year	28%	36%	21%		6 monthly measure. Data up to Q2 of 2016/17 was incorrectly calculated and overstated the number of online transactions. The target in the Council Plan was also overstated and therefore the indicator has been reset to be a baseline year.
		5.D1	Staff and managers have an opportunity to reflect on performance, agree future objectives and are aware of how they contribute to the overall vision	% PDR completion	Sue Palfreyman, Assistant Chief Executive's Directorate	High	Quarterly	95%	95%	96%	96%	92% (cumulative)	Reminders were issued to Directorate Senior Management with details of employees who had not had a PDR recorded for 2017/18 on 13th October, performance improved 1% leaving annual performance 3% short of last year's outturn. Further analysis of non-completions to take place and targeted actions with managers.

Outcome	Lead Accountability (Strategic Director)	Ref No.	Action	Measure	Lead officer	Good performance	Frequency of reporting	Target 2017/18	Target 2018/19	Current Performance			Data notes (where measure has not progressed in accordance with the target set provide details of what is being done to improve performance)
										Annual		Current Quarter	
										Year end 2015/16	Year end 2016/17	Q3 Oct - Dec 2017	
D. Effective members, workforce and organisational culture	Shokat Lal, Assistant Chief Executive	5.D2	Sickness is managed and staff wellbeing supported	Days lost per FTE	Sue Palfreyman, Assistant Chief Executive's Directorate	Low	Monthly	10.3	10.3	10.43 Days (excluding schools)	10.97 Days (excluding schools)	10.39 days (excluding schools)	Sickness absence, which traditionally increases in the winter months, showed a slight rise from the previous quarter. Over the first three quarters of the year sickness absence has fallen 6%. Targeting of specific issues continues.
		5.D3	Reduced use of interims, temporary and agency staff through effective and efficient recruitment	Reduction in Agency cost	Sue Palfreyman, Assistant Chief Executive's Directorate	Low	Monthly	10% reduction	10% reduction	£6.8m	£10.2m	£5.953m (-22%) (cumulative)	Although agency numbers increased in Adults and Children's during the quarter annual projected agency expenditure for 2017/18 is currently 22% lower than actual agency cost in 2016/17.
		5.D4		REFRESHED MEASURE: Reduction in the proportion of the children's social care establishment workforce who are agency	Mel Meggs, CPYS	Low	Monthly	n/a	10%	n/a	n/a	18.6%	This measure relates to establishment staff only and only 'Social Work' staff/managers. This target has been cited in previous reports which are already in the corporate arena and are therefore already set.
		5.D5	Members are able to fulfil their roles as effective community leaders	% members receive a personal development interview leading to a structured learning and development plan	James McLaughlin, Assistant Chief Executive's Directorate	High	Annual	95%	95%	80%	87%	100% (cumulative)	100% of Members have now had a PDP interview
		5.D6	The Council complies with good practice in equalities .	NEW: % of recommendations from the Equalities Peer review that have been implemented.	Jackie Mould - Assistant Chief Executive's Directorate	High	Quarterly		60%				New Indicator to reflect the need to ensure Equalities is included in Corporate Monitoring. A more outcome based suite of indicators will be introduced in 2019/2020.



Public Report with Exempt Appendix
Cabinet and Commissioners' Decision Making Meeting

Summary Sheet

Name of Committee and Date of Committee Meeting

Cabinet and Commissioners' Decision Making Meeting – 21 May 2018

Report Title

New Applications for Business Rates Discretionary Relief

Is this a Key Decision and has it been included on the Forward Plan?

No

Strategic Director Approving Submission of the Report

Judith Badger, Strategic Director of Finance and Customer Services

Report Author(s)

Diane Woolley – Team Leader, Local Taxation
 01709 255158 or diane.woolley@rotherham.gov.uk

Ward(s) Affected

All

Summary

To consider the applications for the award of a business rate discretionary relief for the organisations listed in Section 2. This is in accordance with the Council's Discretionary Business Rates Relief Policy (approved 12th December 2016).

Recommendations

1. That discretionary relief be refused for Dinnington School of Swimming and Fitness CIC, Unit 6 Brooklands Park, Brooklands Way, Dinnington, Sheffield, S25 2JZ.
2. That 20% discretionary top up relief for the period 1st April 2017 to 31st March 2019 be awarded to Rotherham & District Citizens Advice Bureau, 5 Eastwood Lane, Rotherham S65 1EQ.

List of Appendices Included

Appendix 1 Application for Business Rates Discretionary Relief – Dinnington School of Swimming and Fitness CIC (Exempt)

Background Papers

Discretionary Rate Relief Policy (approved on 12 December 2016)

Consideration by any other Council Committee, Scrutiny or Advisory Panel

No

Council Approval Required

No

Exempt from the Press and Public

Appendix 1 – Application for Business Rates Discretionary Relief - Dinnington School of Swimming and Fitness CIC, is exempt from the press and public under paragraph 3 (Information relating to the financial or business affairs of any particular person (including the authority holding that information)) of Part I of Schedule 12A of the Local Government Act 1972 is requested, for this report addendum as it contains information relating to the financial or business affairs of any particular person (including the authority holding that information))

New Application for Discretionary Rate Relief

1. Recommendation

- 1.1 That discretionary relief be refused for Dinnington School of Swimming and Fitness CIC, Unit 6 Brooklands Park, Brooklands Way, Dinnington, Sheffield, S25 2JZ.
- 1.2 That 20% discretionary top up relief for the period 1st April 2017 to 31st March 2019 be awarded to Rotherham & District Citizens Advice Bureau, 5 Eastwood Lane, Rotherham S65 1EQ.

2. Background

- 2.1 Section 47 of the Local Government Finance Act (LGFA) 1988 conveys power on local authorities to allow discretionary relief that would be additional to the mandatory relief. This is given when the property is used wholly or mainly for charitable purposes by a charity or other non-profit body whose main objects are charitable or benevolent, or concerned with education, social welfare, science, literature or the arts.
- 2.2 The Council can grant discretionary relief to:-
 - Registered Charitable Organisations, including Community Amateur Sports Clubs. The relief granted is up to 20% of the rate liability as these organisations are eligible for 80% mandatory rate relief.
 - Other organisations or institutions that are not established or conducted for profit and whose aims are charitable or otherwise, philanthropic, religious, concerned with education, social welfare, science, literature or fine arts. Relief can be granted up to 100% of the business rates liability.
 - Properties occupied by not for profit sports or social clubs, societies or other organisations for the purposes of recreation. Relief can be granted up to 100% of the business rates liability.
 - Rate relief to ratepayers – Section 47 of the LGFA 1988 was amended by Section 69 of the Localism Act 2011. This amendment gives the Council the discretion to grant relief to any other body, organisation or ratepayer, having due regard to its Council Tax payers.
- 2.2.1 The Council has operated a system of awarding relief through the application of a policy that was approved by the former Cabinet on 24th April 2013 which has more recently been revised and subsequently approved by Cabinet on 12 December 2016.
- 2.2.2 The funding for Discretionary Rate Relief was, until the introduction of the Government's Business Rates Retention Scheme (April 2014), shared with Central Government through the National Non-Domestic Rate Pool. Local authorities were reimbursed with 25% of the cost of discretionary rate relief granted to charities and Community Amateur sports Clubs, and 75% of the cost of relief granted to other bodies. Now, with the localisation of business rates, Central Government and Councils share every £1 of rates due on a 50/50 basis as follows:

Central Government	50%
South Yorkshire Fire and Rescue Authority	1%
Rotherham MBC	49%

- 2.3 Application 1:**
Dinnington School of Swimming and Fitness CIC
Unit 6 Brooklands Park, Brooklands Way, Dinnington, Sheffield
S25 2JZ
- 2.3.1 Information relating to this application is exempt from the press and public under paragraph 3 (Information relating to the financial or business affairs of any particular person (including the authority holding that information)) of Part I of Schedule 12A of the Local Government Act 1972.
- 2.4 Application 2:**
Rotherham & District Citizens Advice Bureau
5 Eastwood Lane, Rotherham S65 1EQ
- 2.4.1 Rotherham & District Citizen's Advice Bureau provides an advice and information service to the citizens of Rotherham.
- The property for which the application is being made is used for the storage of records which are used in conjunction with the advice facility which operates from the RAIN Building.
- The storage of records in the property is considered essential to the provision of advice and information which is available to all sections of the community. The provision of advice and information by Rotherham & District Citizens Advice Bureau also indirectly relieves the authority of the need to supply these services.
- 2.4.2 The organisation already benefits from several grants, including one from RMBC, and this modest additional assistance to support the provision of an essential storage facility is considered to be in line with the criteria within the Council's policy.
- 2.4.3 Rotherham & District Citizen's Advice Bureau is a registered charity benefiting from 80% mandatory relief and is applying for 20% discretionary top up relief with regard to their 2017/18 and 2018/19 rates liability. The financial implication of awarding the relief is set out in section 7 of this report.

3. Key Issues

- 3.1 To consider the applications requesting the award of discretionary relief to the organisations listed in Section 2.

4. Options considered and recommended proposal

- 4.1 Given the discretionary nature of the relief requested, the Council has the discretion to either award or not award a discretionary relief.

- 4.2 In helping Members make such a decision, the Council has put in place a specific Policy framework to consider individual applications. In accordance with that Policy, applications (including supporting documentation) for relief have been considered in line with the qualifying criteria and other considerations set out in that Policy.
- 4.3 In line with the Council's Business Rates Discretionary Relief Policy, having regard to the financial cost of the proposed relief, the charitable use of the premises and the contribution that these businesses make to the local community, it is recommended that an award for discretionary relief be refused for Dinnington School of Swimming and Fitness CIC and granted to Rotherham and District Citizens Advice Bureau.

5. Consultation

- 5.1 The recommendations in the report are based on the application of an existing policy. There has been no specific consultation carried out in relation to any individual organisations referred to within this report.

6. Timetable and Accountability for Implementing this Decision

- 6.1 The applicants will be advised by letter of the outcome of their application for relief within 10 working days of the Cabinet decision.

7. Financial and Procurement Implications

- 7.1 The applicants have provided financial information in support of their applications for discretionary relief which have been assessed by the Council's Finance department.

Financial support in the form of discretionary relief is not considered appropriate in respect of Dinnington School of Swimming and Fitness CIC.

Financial support in the form of discretionary relief is considered appropriate in respect of Rotherham and District Citizens Advice Bureau.

- 7.2 The total potential cost of granting the relief for the financial years 2017/18 and 2018/19 is set out below in paragraph 7.3 alongside the specific cost to the Council.

7.3 Year	Total Amount of Relief	Cost to RMBC
-----------------	-------------------------------	---------------------

Dinnington School of Swimming & Fitness CIC

17/18	£16,892.50	£8,277.33
18/19	£17,400.00	£8,526.00

Rotherham & District Citizens Advice Bureau

17/18	£387.99	£190.12
18/19	£399.33	£195.67

8. Legal Implications

- 8.1 The statutory framework for discretionary relief is set out in the body of the report.

9. Human Resources Implications

- 9.1 No direct implications from this report

10. Implications for Children and Young People and Vulnerable Adults

- 10.1 No direct implications from this report

11. Equalities and Human Rights Implications

- 11.1 No direct implications from this report

12. Implications for Partners and Other Directorates

- 12.1 No direct implications from this report

13. Risks and Mitigation

- 13.1 The Government has issued guidance notes to advise Authorities what criteria should be used in considering applications for Discretionary Rate Relief. Authorities have been strongly advised to treat each individual case on its own merits and to not adopt a policy or rule which allows them to not consider each case without proper consideration. In cognisance of these guidance notes, the Council has formally adopted a Policy framework for considering individual discretionary business rates relief applications with the decision to award reserved for Cabinet.

14. Accountable Officer(s)

Graham Saxton, Assistant Director – Financial Services

Approvals obtained on behalf:-

	Named Officer	Date
Strategic Director of Finance & Customer Services	Judith Badger	24.04.2018
Assistant Director of Legal Services	Dermot Pearson	24.04.2018
Head of Procurement (if appropriate)	N/A	N/A
Head of Human Resources (if appropriate)	N/A	N/A

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By virtue of paragraph(s) 3 of Part 1 of Schedule 12A
of the Local Government Act 1972.

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Public Report
Cabinet and Commissioners' Decision Making Meeting

Summary Sheet

Name of Committee and Date of Committee Meeting

Cabinet and Commissioners' Decision Making Meeting – 21 May 2018

Report Title

Enabling School Improvement

Is this a Key Decision and has it been included on the Forward Plan?

No, but it has been included on the Forward Plan

Strategic Director Approving Submission of the Report

Mel Meggs, Acting Strategic Director of Children and Young People's Services

Report Author(s)

Dean Fenton (Head of Service – School Planning, Admissions and Appeals)
01709 254821 or dean.fenton@rotherham.gov.uk

Ward(s) Affected

All

Summary

This report provides Cabinet with an overview of proposals for the future enablement of School Improvement in Rotherham and proposals to bring together key Strategic Partners to create a Rotherham Strategic Education Partnership Board to set and oversee Rotherham Education priorities.

Recommendations

1. That the outcome of the consultation on Enabling School Improvement be noted.
2. That the commitment to working with individual settings, schools and strategic partners with pace, pride and passion to further develop good and outstanding provision be noted.
3. That the establishment of a Rotherham Strategic Education Partnership Board, as set out in section 4 of this report, to create opportunities to exploit synergies; identify both gaps in provision and duplication and create greater strategic coherence and help to secure improved outcomes be endorsed.
4. That the proposal to recruit to the substantive post of Assistant Director (Education) recognising this may be through a permanent appointment or a fixed term full time/part time seconded appointment be noted.

5. That the operational decisions of the Strategic Director of Children and Young People's Services relating to the relocation of operational functions be noted.

List of Appendices Included

Appendix 1 Enabling School Improvement consultation outcome

Background Papers

Enabling School Improvement report

Local Government Association - Enabling School Improvement reports (December 2017 and January 2018)

Consideration by any other Council Committee, Scrutiny or Advisory Panel

No

Council Approval Required

No

Exempt from the Press and Public

No

Enabling School Improvement

1. Recommendations

- 1.1 That the outcome of the consultation on Enabling School Improvement be noted.
- 1.2 That the commitment to working with individual settings, schools and strategic partners with pace, pride and passion to further develop good and outstanding provision be noted.
- 1.3 That the establishment of a Rotherham Strategic Education Partnership Board, as set out in section 4 of this report, to create opportunities to exploit synergies; identify both gaps in provision and duplication and create greater strategic coherence and help to secure improved outcomes be endorsed.
- 1.4 That the proposal to recruit to the substantive post of Assistant Director (Education) recognising this may be through a permanent appointment or a fixed term full time/part time seconded appointment be noted.
- 1.5 That the operational decisions of the Strategic Director of Children and Young People's Services relating to the relocation of operational functions be noted.

2. Background

- 2.1 A defining feature of the recent history of the English education system has been the growth of school autonomy. The 2010 government White Paper 'The Importance of Teaching' stated that "*the primary responsibility for improvement rests with the schools themselves*" and set out an ambition for "*the school system to become more effectively self-improving*." The aim of creating a self-improving school system led by networks of schools, soft federations, hard federations and multi academy trusts is part of a process which is transforming the relationships between schools and local authorities.
- 2.2 The area which is changing most rapidly is in school improvement and interventions:
 - More school-led partnership leading school improvement
 - School leaders are becoming more confident they can access high quality support
 - School leaders see the attraction of being connected to at least one formal network
 - School improvement is increasingly characterised by joint proactive development and peer evaluation
 - Local Authorities have developed a new way of working with all schools and academies
- 2.3 There remains an issue for all Local Authorities as to how their role is to evolve with the focus on three key areas of responsibility:
 - as a convenor of partnerships;
 - as a champion of children, families and communities;
 - as a maker and shaper of effective commissioning.

- 2.4 The Strategic Director of Children and Young People's Services (CYPS) commissioned a report to consider the wider aspects of school improvement in Rotherham for consultation. A document entitled 'Enabling School Improvement' (Background paper 1) was produced and circulated widely to all Headteachers, Chairs of Governors, Chief Executives of Multi-Academy Trusts, Chief Executives of Teaching School Alliances, Diocesan Authorities and other stakeholders including sub-regional partners.
- 2.5 The report document was the main element of consultation with key stakeholders. Discussions were held at meetings with Secondary School Headteachers on 8 February 2018, Special School Headteachers and Pupil Referral Unit Headteachers on 21 February 2018 and Primary School Headteachers on 22 February 2018. Separate meetings were held with Chairs and Vice Chairs of Governors, the Chief Executives of Multi-Academy Trusts and with the Chief Executives of Teaching School Alliances. Other meetings were held upon request.
- 2.6 The report covers:
 - Context
 - The continuing role of Local Authorities in supporting School Improvement Systems
 - Existing Local Authority structure
 - Education standards in Rotherham
 - Local Authority duties
 - Rotherham School Improvement provision
 - Financial costs to the Council of providing a School Improvement Service
 - Assessing models to enable and support School Improvement
 - A proposed model
 - Recommendations

3. Key Issues

- 3.1 A period of consultation with key stakeholders began on 7 February 2018 and concluded on 23 March 2018.
- 3.2 Consultation with Key Education Stakeholders focussed on:
 - The continuing role of the Local Authority
 - Education priorities
 - Support currently provided in Rotherham
 - Additional Strengths in Rotherham
 - Additional opportunities in Rotherham
 - Additional areas for development in Rotherham
 - Additional challenges in Rotherham
 - Rotherham Strategic Education Partnership Board suggested representation
- 3.3 Consultation with CYPS Staff focussed on:
 - The refocus of Rotherham School Improvement Service (RoSIS) and service structure
 - Recruitment to the post of Assistant Director

4. Options considered and recommended proposal

- 4.1 Section 8 (8.1 to 8.8) of the Enabling School Improvement report (Background Paper 1) outlines a range of models implemented by other Local Authorities that were assessed against the educational needs of Rotherham.
- 4.2 The Local Authority's vision, and the one used as a basis for consultation, is of one Strategic Education Partnership Board chaired by a school leader overseeing the whole school system and connecting all the key partners inside and outside Rotherham to deliver against key priorities. Membership could include representatives of maintained schools, academies, Multi Academy Trusts through their Chief Executive Officer, Chairs of Governors, Local Authority officers and the Lead Elected Member.
- 4.3 A single overarching Strategic Education Partnership Board will give schools and key education partners even greater ownership and responsibility for setting the priorities for improvement and leading the work to deliver them. This will bring together directly or indirectly the expertise of staff employed directly by the Local Authority, individual schools, teaching schools and other school-to-school support providers.
- 4.4 The Strategic Education Partnership Board will establish an even stronger education system for all children, shared by political, Council and school leaders; building stronger connections with other key partners in the region such as the Regional Schools Commissioner and senior Ofsted Inspectors.
- 4.5 The vacant Assistant Director of Education post will be recruited to, for the commencement of the 2018/19 Academic Year. The successful candidate will be in post to provide senior strategic management of the Council's statutory functions as well as deliver on the Enabling School Improvement priorities. The Education portfolio will be rationalised and streamlined to enable a focus on 'raising the bar and closing the gap' for all pupils. The rationalisation of the service is outlined below and detailed in Background Paper 1.
- 4.6 Direct line management of the Virtual School (Children Looked After) will transfer from the School Improvement Service to the Safeguarding Children Service in time for the commencement of the 2018/19 academic year. This will maximise and further enhance synergies with other 'looked after' services. The School Improvement Service will continue to work with the Virtual School and retain a strategic overview of and hold schools to account in relation to the educational outcomes of Looked After Children.
- 4.7 Direct line management of Inclusion Services within Education and Skills, will transfer to the Assistant Director of Commissioning, Performance and Quality (CYPS). This will further build on the close links that already exist in relation to the commissioning of places for children with Special Educational Needs and Disability (SEND). Education Department services will continue to work closely with Inclusion services in relation to the educational outcomes of SEND pupils and in relation to other core services such as education placements and Early Years.

- 4.8 Direct line management of the music service which currently sits within the School Improvement Service will transfer to the Culture, Sport and Tourism Service of the Regeneration and Environment directorate. The move creates an opportunity for the Music Service to be consolidated with the rest of the Council's cultural services. A mutually agreed timetable for the transfer of line management with the Directorate Leadership Team of the Regeneration and Environment directorate, the board of the Music Hub and the Arts Council of England has been established. The School Improvement Service will retain a strategic role in relation to educational outcomes for music.
- 4.9 The Rotherham Youth Enterprise Service (RYE) following restructure, will transfer to the Rotherham Investment & Development Office (RiDO) that sits within the Planning, Regeneration & Transport Service of the Regeneration and Environment directorate. The transfer of service will enable synergies to be fully maximised given already established business links, current overlap and duplication of some functions such as business start-up facilities, resources, premises, administrative/finance work and grant pursuance, bidding and matching functions.

5. Consultation

- 5.1 The consultation with key stakeholders began on 7 February 2018 and concluded on 23 March 2018. Responses were provided through 'Survey Monkey' and by written representation.
- 5.2 There were 43 responses in total to the Education Stakeholders consultation. These included both individual and group responses. (Appendix 1) provides an overview of consultation responses.
- 5.3 The views of CYPS staff were also sought. The staff consultation began on 15 March and ended on 23 March 2018. The responses are outlined in (Appendix 1).
- 5.4 The Local Authority responded as far as possible to observations/comments made and these contributions from stakeholders will be given further consideration as thinking around 'Enabling School Improvement' evolves. The Local Authority is most grateful to all those who attended meetings and offered written observations.
- 5.5 The responses are reflected within the broad areas covered in the Survey Monkey. The issues raised by stakeholders in the category areas are captured in (Appendix 1) along with a response by the Local Authority.
- 5.6 Responses are broadly supportive of the proposal to establish a Strategic Education Partnership Board to exploit synergies, identify gaps in provision and duplication, create greater strategic coherence and help to secure improved outcomes. The need for an Assistant Director of Education within Rotherham Metropolitan Borough Council to support the implementation of the Strategic Partnership Boards priorities was also broadly supported.

6. Timetable and Accountability for Implementing this Decision

Date	Action
January 2018	Briefing of Strategic Director and Cabinet Member with recommendations
7 February to 23 March 2018	Consultation and feedback with: Head teachers of Secondary, Primary, Special Schools and Pupil referral Units (PRU's). Chairs and Vice Chairs of Governors. Chief Executive Officers of Multi Academy Trusts Chief Executive Officers of Teaching School Alliances
23 March 2018	Deadline for responses to consultation
April 2018	Publication of final document
April / May 2018	Commence recruitment to Assistant Director of Education post
September 2018	Assistant Director of Education commences

7. Financial and Procurement Implications

- 7.1 There are no financial or procurement implications to consider as the delivery of the Local Authority's statutory education duties will continue within the existing allocated budget. There are no financial implications in recruiting to the post of Assistant Director (Education) either through a permanent appointment or a fixed term full time/part time seconded appointment as the post is within the budgeted establishment of the Education & Skills service.
- 7.2 If the Assistant Director position is appointed to as a secondment at the highest salary level (Leadership 41) the annual cost of the appointment would be between £54,975 (2 days) and £82,462 (3 days) against a budget for the established Assistant Director post of £112,327 resulting in a saving of between £29,865 and £57,352 (all figures include on-costs).
- 7.3 The appropriate budget movements will be made between the CYPS and Regeneration and Environment directorates to reflect the transfers of the Music Service and Rotherham Youth Enterprise Service.

8. Legal Implications

- 8.1 The Local Authority has statutory duties under a range of statutory frameworks including Admission to School, Admissions Appeals, school place planning, Early Years and education standards. The role of the Assistant Director of Education is to provide senior strategic management of these functions as well as the wider role relating to Enabling School Improvement.

9. Human Resources Implications

- 9.1 The recruitment to the position of Assistant Director for Education will follow Rotherham Metropolitan Borough Council established recruitment processes.
- 9.2 The relocation and restructuring of services within the CYPS Directorate and relocation of services to the R & E Directorate have been completed in compliance with Council HR processes.

10. Implications for Children and Young People and Vulnerable Adults

- 10.1 The establishment of the Enabling School Improvement recommendations will lead to a more collegiate approach to the education agenda of 'raising the bar and closing the gap' in relation to educational achievement and attainment for all Children and Young People in Rotherham.

11. Equalities and Human Rights Implications

- 11.1 The establishment of the Enabling School Improvement recommendations will further enhance the Local Authority's role in relation to acting as a convenor of partnerships; as a champion of children, families and communities and as a maker and shaper of effective commissioning. This will further enhance the systems in place to raise the bar and close the gap for all pupils.

12. Implications for Partners and Other Directorates

- 12.1 The proposals will bring together a range of key strategic partners from across the Education Sector to work together in a more collaborative manner, setting the education agenda and priorities within Rotherham.

13. Risks and Mitigation

- 13.1 The risks of not working in collaboration with key strategic partners is that the education system in Rotherham could become disjointed as smaller partnerships form, setting varying priorities across Rotherham. The Enabling School Improvement reports recommendations aim to ensure a collegiate and collaborative approach to education is established and maintained across Rotherham with the Council retaining a key strategic role.

14. Accountable Officer(s)

Mel Meggs, Acting Strategic Director of Children & Young People's Services

Approvals obtained on behalf of:-

	Named Officer	Date
Strategic Director of Finance & Customer Services	Mick Wildman	12.04.2018
Assistant Director of Legal Services	Neil Concannon	13.04.2018
Head of Procurement (if appropriate)		
Head of Human Resources (if appropriate)	Amy Leech	16.04.2018

Report Author: *Dean Fenton - Head of School Planning, Admissions and Appeals / Acting Education Lead.
01709 254821 or dean.fenton@rotherham.gov.uk*

This report is published on the Council's website or can be found at:-
<http://moderngov.rotherham.gov.uk/ieDocHome.aspx?Categories=>

(Appendix 1) Enabling School Improvement - consultation

Education Stakeholders consultation

1. The continuing role of the Local Authority (LA)

Comments

These included 18 comments on Survey Monkey with 13 arguing consistently that there should be a separation between the LA as a commissioner of school improvement services and a provider. Other contributions noted the changing relationships between schools and the LA, the nature/funding of traded services and the delivery of statutory services.

LA response

Many organisations including the LA, multi-academy trusts, federations, teaching school alliances, both commission and provide school improvement services. Some time ago it seemed that the LA would not be allowed to commission and provide yet others would. That is not the case.

The LA is clear that it absolutely can and will occupy the space of both commissioner and provider. It will provide a traded service designed to break even without subsidy and with individual schools free to choose whether to purchase services from the LA or not. The offer is available to LA maintained schools and academies on the website with a satisfaction survey undertaken and outcomes available. Please see below for the hyperlink to the LA offer through the Rotherham School Improvement Service (RoSIS) and the outcome of the survey undertaken in 2017. It is right that the market establishes and determines the offer and that should be so for all providers.

It may be helpful for schools if all commissioners/providers made similar information available or in an agreed format so there is a common process.

2. Education Priorities

Comments

These included 24 comments on Survey Monkey. The most common observation with 10 comments was that priorities should be set by individual schools and MATs. The importance of school level analysis of data was stressed. Other broader areas were referred to including Special Education Needs and Disability and also disadvantaged groups. Reference was made to the lack of reference to education performance at special schools.

LA response

The LA agrees that priorities and targets should be set in individual schools and approved by Governors/Trustees. There would be benefit in a strategic analysis of challenges across the borough so that the constituent parts can contribute to the whole, thus potentially improving outcomes for children and young people. In some cases priorities may be set for example by central government. Resources may be better utilised by reflecting on the contribution a school or MAT or provider could make. Shortly after the

publication of the document Enabling school improvement special school Headteachers produced 'Rotherham Special Schools Outcomes-End of Year Summary 2016-2017'. This is most welcome.

3. Support currently provided in Rotherham

Comments

These included 23 comments on Survey Monkey noting that schools and academies access many services from a wide range of providers. 5 comments made a similar point that the section in the report concentrates almost entirely on the LA offer.

LA response

The comments are fair. Officers highlighted that point in meetings inviting responses from other providers highlighting their offer. The responses provide clear evidence of the breadth of, but no the detail of provision accessed by schools.

4. Additional strengths in Rotherham

Comments

These included 21 responses on Survey Monkey. Several responses commented that it was not clear whether this analysis of Rotherham's strengths referred to Rotherham or RoSIS. There was no specific recognition of the success and contribution of MATs within Rotherham.

LA response

It was made clear at a number of meetings that this was an LA officer view of provision across the geographic area of the borough. It was for that reason that no specific reference was made to either LA maintained schools or to MATs. Comments were invited as to whether that diagram fairly captured the strengths and again at meetings whether the opportunities, areas for development and challenges were fairly captured. A number of positive contributions were received which could be captured in a revised document to further improve the description of the education landscape.

5. Additional opportunities in Rotherham

Comments

These included 10 responses on Survey Monkey. Of these responses 8 made different points. 2 responses referred to no mention of the impact of MATs work with failing schools. There was a strand around the need for partnership working.

LA response

It was made clear at a number of meetings that this was an LA officer view of provision across the geographic area of the borough. It was for that reason that no specific reference was made to either LA maintained schools or to MAT. Comments were invited as to whether that diagram fairly captured the strengths and again at meetings whether the opportunities, areas for

development and challenges were fairly captured. A number of positive contributions were received which could be captured in a revised document to further improve the description of the education landscape.

6. Additional areas for development in Rotherham

Comments

These included 21 responses in Survey Monkey. Of the responses 11 again focused on the role of the LA as a commissioner of services. Other comments related to additional areas for development in Rotherham and included safeguarding; involvement in Education Health and Care Plans (EHCP); working with parents and removing barriers for pupils who are low in attainment; developing a strategic regional and national profile.

LA response

It was made clear at a number of meetings that this was an LA officer view of provision across the geographic area of the borough. A number of the comments in this section relating to the LA role as a commissioner were similar and again were similar to the comments made and reported in section 1 above. The LA reiterates that it absolutely can and will occupy the space of both commissioner and provider. There was a call from 8 consultees for the LA to be more open and transparent in the presentation on school improvement and that was what the document 'Enabling school improvement' sought to do. Details of the RoSIS provision and response from schools appears in section 1 above. The LA would argue that it is for all commissioners and providers to be open and transparent as to their offer and with feedback from users.

Reference is made to the need to recognise that responsibility for school improvement is first and foremost for schools to lead themselves. The LA absolutely agrees. Section 1 Context on page 3 helps confirm the role of schools. Indeed in section 9 page 57 of the document 'Enabling school improvement' comment is made that: "The dedication of early years settings, schools, Headteachers, staff and governors in supporting the development of children and young people is acknowledged by all. The triangular relationship between settings/school and children/young people and parents is so important to improving life chances." The LA agrees that the best school and academy leaders can turn around failure. School improvement agencies whether RoSIS, Learners First, MATs can create partnerships that spread best practice.

7. Additional challenges in Rotherham

Comments

These included 17 comments on Survey Monkey with 7 using virtually identical language "To ensure the LA supports the development of a school-led system rather than act as a barrier to its development". Other comments related to the need for better partnership working, safeguarding procedures, engagement with health and social care and need to improve SEND outcomes.

LA response

There is no suggestion from those referring to the development of a school-led system as to what they feel the LA should do to support this development. The LA view is that the proposed Rotherham Strategic Education Partnership could provide a vehicle to support the school led system, chaired by a school leader overseeing the whole school system. Membership could include representation of maintained schools, academies, MATs through CEO, Chair of Governors, Teaching School Alliances, Diocesan Authorities, LA officers and the Lead Member. Further reference is made to this in section 8 below.

8. Rotherham Strategic Education Partnership Board suggested representation

Comments

These included 20 comments on Survey Monkey. There was a recurring theme in the responses that the suggested Board representation of 10 members so:

- 2 Primary Headteacher (1 maintained sector, 1 academy Headteacher or Chief Executive of a MAT).
- 1 Special School/Pupil Referral Unit.
- 2 Secondary Headteachers or Chief Executives for a MAT or a combination.
- 1 Teaching School Alliance.
- 1 Chair of Governors.
- 3 Local Authority Representatives (1 Cabinet Member, 2 Officers).

does not afford a correct balance with 30% LA representative on the Board as too high. 8 consultees made this point.

Other consultees suggested there should be a place for a Diocesan representative, early years/nursery, alternative provision provider and employer.

Reference was made to the need for a school leader to chair the Board and not an LA officer.

It was suggested that the LA will be able to determine who the members are.

One respondent comments that a fundamental commitment should be to leave no leader, no professional and certainly no child or young person in a position in which they fail on a continual and consistent basis.

Another respondent commented that the Board needs to be made up of individuals who can look beyond their own organisation and recognise at times what is right for Rotherham is more important than what is right for the school, LA, teaching school, MAT.

A suggestion was made that there should be a second small free standing Challenge Board with colleagues having independence from the strategic Education Partnership Board.

LA response

The LA would agree that the suggested Board representation be changed, and suggests 13 members.

- 2 Primary Headteachers (1 maintained sector, 1 academy Headteacher of Chief Executive of a MAT).
- 1 Special School Headteacher.
- 1 Pupil Referral Unit Headteacher.
- 2 Secondary Headteachers or Chief Executives of a MAT or a combination.
- 2 Teaching School Alliance representatives.
- 1 Chair of Governors.
- 1 Diocesan Authority representative.
- 3 Local Authority Representatives (1 Cabinet Member, 2 Officers).

The LA referred in section 9 of 'Enabling school improvement' to its view that the Strategic Education Partnership Board should be chaired by a school leader. It would be for the different sectors referred to in the LA response to determine who the representatives would be. Key stakeholders may wish to consider the need to establish an appropriate balance of views and representation across the age phase sector so no one area dominates. It would be for the Strategic Education Partnership Board to determine its terms of reference.

The suggestion of establishing a free standing Challenge Board has considerable merit and could operate in a similar way to a Members Board in a MAT.

Children and Young People's Services (CYPS) Staff consultation

The Strategic Director of Children and Young People's Services initiated a consultation with all staff in children and young people's services on 15 March 2018 to run concurrently with the 'Enabling school improvement' consultation.

The Strategic Director noted that following a number of recent staffing changes, budget challenges and our unwavering ambition to achieve the best educational outcomes for all our children, we were consulting on a new strategy, 'Enabling school improvement' which aligns to other key strategies and ambitions in Rotherham to 2025. To deliver our goals the Directorate needs to review structures accordingly and a paper was issued setting out our thinking thus far.

The views of colleagues were sought. The consultation began on 15 March and ended on 23 March 2018. An apology was offered for the tight turn around but this was necessary so that the new leadership arrangements could be in place by 1 September 2018. There were 5 individual responses and a single response on behalf of 4 members of staff. There were 4 broad themes and

these are captured briefly below with a response on behalf of the Strategic Director and the Directorate Leadership Team (DLT).

1. Rotherham Youth Enterprise (RYE)

Comments

Five colleagues in total made comments. One response on behalf of 4 colleagues related to this consultation paper and also to a separate consultation specific to individual members of staff in Rotherham Youth Enterprise. Another response related to the personal role of a member of staff.

Response

A written response was sent by the Consultant Assistant Director (Education) to the four colleagues on 22 March 2018. The separate communication relating to a professional role has been noted.

2. The recruitment to the post of Assistant Director Education

Comment

Two comments were submitted expressing the view that the Council should seek to appoint a permanent full-time Assistant Director (Education).

Response

Recruitment to similar posts in other Local Authorities has been difficult partly because salary levels do not compare favourably for school leaders. It would be very helpful if the postholder had Headship experience and other wider leadership experience. Secondment on School teachers pay and conditions for two/three days per week could be an attractive option. Means of ensuring effective delivery of wider corporate responsibilities would need to be addressed. Any colleague appointed to an Assistant Director role whether substantive or secondment would be expected to demonstrate impact and ensure effective handover arrangements to a successor so the service area has continuity.

3. Refocus Rotherham School Improvement Service and service structure

Comments

One comment was received which questioned whether an observation in the consultation paper implied a lack of current focus on core business.

Response

The current structure relating to the Head of Education means that there is responsibility and accountability for the Rotherham School Improvement Service (RoSIS) both core and Associate Headteachers/Senior leaders; the Rotherham School Music Service (RSMS) and Rotherham Youth Enterprise (RYE). Depending upon the outcome of separate consultations, an outcome may be that the service would have a single focus relating to the work of RoSIS and directly on school improvement.

4. The need for inter-directorate links

Comments

Three colleagues in the Inclusion area raised similar points namely that if the area moves under the leadership of the Joint Assistant Director (Commissioning, Performance and Quality), there could be risk of drift from Education.

Response

The need for Inclusion to retain strong links with Education is accepted without reservation. The Assistant Director (Education) and the Assistant Director (Commissioning, Performance and Quality) are members of the Directorate Leadership Team. Close working between these colleagues is required. The structure of Heads of Service meetings should allow for the voice and arguments of the Inclusion team to be clearly heard. So responsibility for ensuring effective links rests with the respective teams, Heads of Service and Assistant Directors.

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Public Report
Cabinet and Commissioners' Decision Making Meeting

Summary Sheet**Committee Name and Date of Committee Meeting**

Cabinet and Commissioners' Decision Making Meeting - 21 May 2018

Report Title

Revised "Rotherham Metropolitan Borough Council Code of Practice for Highway Inspection and Assessment"

Is this a Key Decision and has it been included on the Forward Plan?

Yes

Strategic Director Approving Submission of the Report

Damien Wilson, Strategic Director of Regeneration and Environment

Report Author(s)

Andrew Rowley, Highway Inspection and Street Works Manager
01709 822962 or andrew.rowley@rotherham.gov.uk

Ward(s) Affected

All

Summary

This report proposes a revised Rotherham Metropolitan Borough Council Code of Practice for Highway Inspection and Assessment, which includes policies for both Highway Safety Inspection and Skidding Resistance.

The revised Rotherham Metropolitan Borough Council Code of Practice for Highway Inspection and Assessment takes account of recommendations within "Well-managed Highway Infrastructure (A Code of Practice)", a report commissioned by the Department for Transport. This new Code of Practice will replace "Well-maintained Highways", "Management of Highway Structures" and "Well-lit Highways" in October 2018.

The new Code varies significantly, away from the current reliance on specific guidance and recommendations, to a more flexible, risk-based approach to highway asset management. The purpose of the new risk-based approach is that highway safety inspections determine the scale and likelihood of the risk presented by a highway defect, and use this to determine the appropriate category of response.

The introduction of a risk-based approach to highway inspections moves away from the current rigid inspection system, which dictates specific intervention and/or repair levels based on the type of road, and replaces it with more flexible system based on more holistic risk assessment to determine the need for repair works. This revised approach to Highways Inspection and Assessment will allow the Council to prioritise its resources more effectively, to ensure that roads and footways are kept in a safe condition, and residents are protected from harm. In turn, it will also support the robust defence of any highways claims brought against the Council.

The proposed Rotherham Metropolitan Borough Council Code of Practice for Highway Inspection and Assessment has been developed to take account of this change in national guidance.

Recommendations

1. That the revised Rotherham Metropolitan Borough Council (RMBC) Code of Practice for Highway Inspection and Assessment (Appendix A) be approved and implemented by October 2018. This will ensure that Rotherham's highway network is safely maintained, thereby safeguarding users.
2. That Cabinet support the recommendation of Improving Places Select Commission that a further update, incorporating additional performance management data, will be provided to Improving Places Select Commission and the Cabinet Member for Waste, Roads and Community Safety.

List of Appendices Included

- Appendix A Rotherham Metropolitan Borough Council Code of Practice for Highway Inspection and Assessment
Appendix B "Well-managed Highway Infrastructure" (A Code of Practice)

Background Papers

- Highway Infrastructure Asset Management Guidance Document May 2013
Rotherham Metropolitan Borough Council - Risk Management Policy and Guide
Rotherham Metropolitan Borough Council - Highway Asset Management Plan
South Yorkshire Safer Roads Strategy
The Highways Act 1980
Well-managed Highway Infrastructure: A Code of Practice 2016

Consideration by any other Council Committee, Scrutiny or Advisory Panel

Improving Places Select Commission - 14 March 2018

Council Approval Required

No

Exempt from the Press and Public

No

Revised Rotherham Metropolitan Borough Council Code of Practice for Highway Inspection and Assessment

1. Recommendations

- 1.1 That the revised Rotherham Metropolitan Borough Council (RMBC) Code of Practice for Highway Inspection and Assessment (Appendix A) be approved and implemented by October 2018. This will ensure that Rotherham's highway network is safely maintained, thereby safeguarding users.
- 1.2 That Cabinet support the Scrutiny recommendation that a further update, incorporating additional performance management data, will be provided to Improving Places Select Commission and the Cabinet Member for Waste, Roads and Community Safety.

2. Background

- 2.1 The “Well-maintained Highways” (Code of Practice for Highway Maintenance Management) was published in July 2005. It provided local authorities with guidance on how to develop a highway maintenance policy based on best practice. The document set prescribed standards and suggested service levels.
- 2.2 The Council’s Highways Policy, adopted in 2015, outlined that the Council will:
“...follow good asset management principles to deliver highway services to achieve its long-term corporate priorities effectively. Through well managed and maintained highways we will keep people and goods moving, providing a resilient network to enhance productivity and support economic growth. Our primary objective is to keep Rotherham’s roads and footways in a safe condition and to nationally recognised standards for all our users. Resources will be prioritised and targeted to achieve maximum value for money according to these principles.”
- 2.3 The Council’s current “Code of Practice for Highway Inspection and Assessment” is recognised as best practice. However, the existing Code does not allow for any flexibility in highway inspection frequencies or service levels which are specific to the category of road, location and size of the defect. RMBC’s Code is now inconsistent with the new national guidance within “Well-managed Highway Infrastructure” (Appendix B).
- 2.5 “Well-maintained Highways”, “Management of Highway Structures” and “Well Lit Highways” codes were superseded in October 2016 by “Well-managed Highway Infrastructure” which covers all three areas. The revision to these codes is substantial and entirely risk based, moving away from suggested service levels to a system of guidance that encourages authorities to develop their own standards and levels of service based on evidence based risk assessment.

- 2.6 The “Well-managed Highway Infrastructure” guidance enabled highway authorities to adopt a risk-based approach with immediate effect, but otherwise advised that authorities should formally adopt this approach by October 2018. The implementation of a risk-based approach to safety highway inspection is set out in section 3.7 (page 22) of the proposed revised RMBC Code of Practice for Highway Inspection and Assessment in Appendix A.
- 2.7 It is considered that the Council’s highway safety inspection and assessment regime is in need of review in order to align with the new guidance. This revised approach to Highways Inspection and Assessment will allow the Council to prioritise its resources more effectively, to ensure that roads and footways are kept in a safe condition, and residents are protected from harm. In turn, it will also support the robust defence of any highways claims brought against the Council.

3. Key Issues

- 3.1 The Council is responsible for the maintenance of a large highway network covering over 1,160km (725 miles) of roads.
- 3.2 The establishment of an effective regime of inspection, assessment, recording and prioritisation of defect repairs is a crucial component of highway maintenance. It provides a robust framework to address key objectives for the maintenance of the highway in a safe and serviceable manner, as required by Section 41 of “The Highways Act 1980”.
- 3.3 A gap analysis has been undertaken around the recommendations set out in “Well-managed Highway Infrastructure” guidance. This gap analysis has identified some significant areas which need to be incorporated into the revised RMBC Code of Practice for Highway Inspection and Assessment by the recommended implementation date of October 2018.
- 3.4 The most significant change within the proposed RMBC Code of Practice for Highway Inspection and Assessment is the introduction of a risk-based approach to safety highway inspection. The proposed Code will change the way in which highway inspections and repairs are undertaken, moving away from a rigid system to a flexible risk based approach.

3.5 Inspection Frequency

- 3.5.1 At present highways inspection frequencies are based solely on the category of road (A, B, C and unclassified). The revised Code will allow the Council to give additional consideration to any incidents, extreme weather, inspection history, complaints about condition, claims received, condition assessments, traffic flows, changes in use and defect interventions recorded, when deciding on the frequency of inspection. This will enable a more holistic view to be taken and mean that some roads and footways will be inspected more frequently and some less frequently within the same road categories, depending on the level of risk. To manage this process road and footway inspection frequencies will be reviewed every two years.

3.6 Response to Defects

- 3.6.1 At present any highway feature with a defect level which corresponds to certain intervention levels will be ordered for repair within specified timescales. For example, any pothole that is 300 mm wide and 40 mm deep would be ordered for a repair within 4 or 24 hours regardless of the category of the road and the location of the defect on the road surface.
- 3.6.2 Under the revised Code any defect in excess of the Minimum Investigatory Level specified within table 3.7.1a (page 23) of the revised Code (see Appendix A) will be assessed by the Highway Inspector using the risk-based approach. When a defect has been identified an evaluation of an appropriate response time to repair the defect will be determined through the use of a risk matrix which is set out in Section 3.7 (page 22) of Appendix A. The matrix provides for a risk factor score ranging from 1 to 25; the higher the score the quicker the response or repair time. This risk based evaluation will be in accordance with the Council's Risk Management Policy and Guide, which uses a '5x5' risk matrix and the "Highway Infrastructure Asset Management Guidance Document".
- 3.6.3 As an example, this could mean that for two potholes of the same dimension, the timescale for repair may be different, depending on the location of the pothole within the road and the type and frequency of traffic (vehicles, pedestrians and cyclists) using the road.

3.7 Skid Resistance

- 3.7.1 In addition a revised skidding resistance procedure is proposed within the Highway Assessment section. Skid resistance is an important property of the road surface relating to the safety of highway users, particularly in damp or wet conditions. The Skidding Resistance Policy formalises processes for monitoring skid resistance across the Council's road network on an ongoing basis. It identifies sites where skid resistance may be a potential safety issue and prioritises skid resistance deficient sites for improvement works.
- 3.8 A Safety Highway Inspection Policy reinforces the proposed RMBC Code of Practice for Highway Inspection and Assessment and the risk based approach to inspection.

4. Options considered and recommended proposal

- 4.1 The options considered by the Council were:

- a) That the Council retains its existing procedures with the current "Code of Practice for Highway Inspection and Assessment". However, this approach would not be supported by national guidance after October 2018.

- b) That the Council adopts a risk based approach to highway inspection and assessment and implements the revised Rotherham MBC Code of Practice for Highway Inspection and Assessment by October 2018.
- 4.2 It is recommended that option identified in paragraph 4.1 b) above is adopted, as this would follow national guidance, be consistent with other local authorities and support the delivery of a more risk-based, prioritised and flexible approach to maintenance of the public Highway and the protection of residents and highway users from harm.

5. Consultation

- 5.1 The “Well-managed Highway Infrastructure” guidance and the proposed revised “Rotherham MBC Code of Practice for Highway Inspection and Assessment” were circulated for consultation in January 2018. Consultees included:
- The Council’s Corporate Risk Manager, Insurance and Risk Manager, Traffic Manager and Legal Services Manager;
 - Emergency Services and South Yorkshire Passenger Transport Executive;
 - Ward Members and Parish Councils;
 - Kennedy’s Law Solicitors and Gallagher Bassett Rotherham MBC Insurers;
 - Barnsley, Doncaster, Derbyshire, Kirklees, North Yorkshire, Sheffield and Wakefield Council representatives.
- 5.2 A presentation on the draft revised Rotherham MBC Code of Practice for Highway Inspection and Assessment was made to the Improving Places Select Commission on 14 March 2018. Members were informed of the changes to national guidance and robustly challenged the revised Rotherham MBC Code of Practice for Highway Inspection and Assessment. Scrutiny made the following recommendations:
- a) That the revised “Rotherham MBC Code of Practice for Highway Inspection and Assessment” (Appendix A) be supported to ensure that the highway is safely maintained, thereby safeguarding users of Rotherham’s highways.
 - b) That performance management data published on the website should also be shared with the Improving Places Select Commission. A copy of the performance management data for the period March to December 2017 was submitted to the Chair of Improving Places Select Commission on 26 March 2018.
 - c) That feedback will be provided on any areas requiring further clarification. Feedback on the areas was subsequently provided to the Chair of Improving Places Select Commission during week commencing 19 March 2018.

- d) That further updates be provided to Improving Places Select Commission in due course, and for this to include corporate resident satisfactory survey data, an identification of any savings and if there has been any reduction in accidents. The Assistant Director for Community Safety and Street Scene and the Chair of Improving Places Select Commission have agreed for a wider performance management report, inclusive of accident and customer survey data, to also be presented to Improving Places Select Commission in the summer of 2019.

- 5.2 All of the recommendations have been accepted and are being progress fully.
- 5.3 The “Association of Public Service Excellence”, Doncaster and Barnsley Councils have been specifically consulted regarding the highway defect dimensions and response times for repairs. Barnsley, Doncaster and Rotherham will have consistent minimum investigatory levels which are specified within the new RMBC Code of Practice for Highway Inspection and Assessment (Appendix A, section 3.7, pages 23 and 27). For defects that represent an immediate danger to highway users, a consistent response time to make the highway safe has been agreed.
- 5.4 In developing the proposed RMBC Code of Practice for Highway Inspection and Assessment, and in addition to taking account of the guidance within “Well-managed Highway Infrastructure”, officers attended a workshop/seminar on the subject, hosted by Kennedy’s Law. This workshop/seminar was attended by insurers, solicitors and other highway authorities to look at best practice and guidance.
- 5.5 The Council’s insurers, Gallagher Bassett, have provided the following feedback regarding the revised RMBC Code of Practice for Highway Inspection and Assessment: “Overall, this is one of the most comprehensive inspection policies we have come across”.

6. Timetable and Accountability for Implementing this Decision

- 6.1 The Highway Inspection and Street Works Manager will be responsible for implementing the revised RMBC Code of Practice for Highway Inspection and Assessment by October 2018.

7. Financial and Procurement Implications

- 7.1 To maintain the current standard of service and expertise, highway officers will be required to undertake certified training. This will be at a cost of approximately £15,000, which will be funded from the Regeneration and Environment Directorate training budget. Two written quotations have been received for procurement in compliance with the Council’s Standing Orders.

8. Legal Implications

- 8.1 The Council is placed under a duty to maintain its highways by Section 41 of the Highways Act 1980. Section 58 of the Act allows the Council to mount a defence in actions against the Authority if it can demonstrate that it has taken reasonable care to ensure that the highway was not dangerous to traffic. The implementation of the revised “Rotherham MBC Code of Practice for Highway Inspection and Assessment” will assist the Council to robustly defend highway claims under Section 58 of “The Highways Act 1980”.

9. Human Resources Implications

- 9.1 None directly from this report

10. Implications for Children and Young People and Vulnerable Adults

- 10.1 None directly from this report

11. Equalities and Human Rights Implications

- 11.1 The service levels specified within the revised RMBC Code of Practice for Highway Inspection and Assessment and the risk-based evaluation process acknowledges the different users of the public highway. The minimum investigatory levels specified in Appendix A (table 3.7.1a, page 23) are provided as a guide. The vulnerability of all highway users, including cyclists and pedestrians to certain highway defects will be reflected in the risk assessment carried out when deciding the category of the defect.

12. Implications for Partners and Other Directorates

- 12.1 None directly from this report

13. Risks and Mitigation

- 13.1 Although the “Well-managed Highway Infrastructure” guidance is not statutory; it provides Highway Authorities with national guidance on highways management. The previous national guidance has been regularly referred to during highways claims against Local Authorities. A failure to follow the new national guidance could expose the Council to an increased risk of highway claims. It is therefore justifiable to adopt the proposed RMBC Code of Practice for Highway Inspection and Assessment to bolster the Council’s defence against highway claims.

14. Accountable Officer(s)

Tom Smith, Assistant Director, Community Safety and Street Scene
Damien Wilson, Strategic Director of Regeneration and Environment

Approvals Obtained from:-

	Named Officer	Date
Strategic Director of Finance and Customer Services	Judith Badger	26.04.2018
Assistant Director of Legal Services	Dermot Pearson	26.04.2018
Head of Procurement (if appropriate)		
Head of Human Resources (if appropriate)		

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This report is published on the Council's website or can be found at:-
<http://moderngov.rotherham.gov.uk/ieDocHome.aspx?Categories>

Appendix A



Revised Rother

Appendix B



Well Managed
Highway Infrastructure

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Rotherham MBC Code of Practice

Highway Inspection and Assessment 2018



Highway Service
Community Safety and Street Scene



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1. PREFACE

Version	Date	Author / Designation
1.1	Jan 2018	Andrew Rowley / Inspection and Enforcement Manager / Highway Network Management Unit

This Code of Practice for Highway Inspection and Assessment (CoPHIA) only applies to adopted highways and will be reviewed and updated if required within a two yearly cycle reflective of revisions in national guidance, legislative changes and advice, safe working practice reviews, and changes to the Council's position on highway inspections.

Rotherham Council's 'Highway Network Management Service' is responsible for the associated 'Safety Highway Inspection Policy' (see 'Appendix 1') and the 'Skid Resistance Procedure' (see 'Appendix 3').

Rotherham Council's 'Highway Network Management Service' and 'Transportation and Highways Design Service' are responsible for the associated 'Skidding Resistance Policy' (see 'Appendix 2').

This CoPHIA has been developed with the guidance of the CoPHMM, 'Well-managed Highway Infrastructure October 2016' (CoPWMHI) and 'Highway Infrastructure Asset Management Guidance Document May 2013' (HIAMG).

This CoPHIA will come into force on [insert date] and supports the Council's 'Highway Asset Management Plan 2015-2021' (HAMP). It also takes account of further advice from:

- Gallagher Bassett International Limited (Insurers);
- The Council's Legal Services, Corporate Risk Manager and Insurance and Risk Manager;
- Kennedys Law (Solicitors) and Plexus (Solicitors).

Regard is given to the consultation with the Association of Public Service Excellence (APSE), Barnsley and Doncaster Councils, and reference to both Buckinghamshire and Herefordshire Councils' inspection policies and procedures.

2. INTRODUCTION

To reflect the current structure within the Rotherham Council's Community Safety and Street Scene Service and the Highway Network Management Group, routine inspection and maintenance, and the assessment and programmed maintenance have been divided into two sections within this Policy.

Rotherham Council (the Council) as Highway Authority is placed under a duty to maintain its highways by Section 41 of the Highways Act 1980. Section 58 of the Act allows the Council to mount a defence in actions against the Authority if it can demonstrate that it has taken reasonable care to ensure that the highway was not dangerous to traffic having regard to:

- The character of the highway and the traffic which was reasonably expected to use it;
- The standard of maintenance appropriate for a highway of that character and used by such traffic;
- The state of repair in which a reasonable person would have expected to find the highway;
- Whether the Authority knew or could reasonably have been expected to know that the condition of the highway was likely to cause danger to users;
- Whether warning notices were displayed when immediate repair could not reasonably be expected.

The establishment of an effective regime of inspection, assessment, recording and prioritisation of defect repairs is a crucial component of highway maintenance. It provides a robust framework to address key objectives for the maintenance of the highway in a safe and serviceable manner, as required by Section 41 of the Highways Act 1980, and consistent with the Council's HAMP.

3. HIGHWAY INSPECTION

3.1 Inspection Regime

The Council is responsible for the maintenance of over 1,160km (725 miles) of roads. These are split into different types of road classification as shown below:

- Principal roads (A class) are the main strategic routes that carry large volumes of traffic around through the Borough;
- Non-principal roads (B and C class) are main roads of local strategic importance. They are through routes that link together the principal roads;
- Unclassified roads are minor routes carrying local traffic only. They tend to be mainly residential estate roads and rural roads.

All Safety Highway Inspections (SHI's) are undertaken by area based Highway Inspectors within the Council's Community Safety and Street Scene Service. Street Works inspections, highway enforcement activities and actions to identify programmed maintenance activities follow separate procedures.

3.1.1 Network Hierarchy

Tables 3.1.1a, 3.1.1b, and 3.1.1c below are extracted from the CoPHMM and relate to individual highway sections. They are intended to be used as a reference point from which to develop local hierarchies. The review of road hierarchies across local authority boundaries, to ensure a consistent application of procedures, forms a part of the Council's HAMP.

Footway maintenance standards as with carriageway maintenance standards will not necessarily be reflected by the road classification, this being determined by pedestrian usage and not the importance of the road in the network. Local factors such as the age, distribution of the population, the proximity of schools or other establishments attracting higher than normal numbers of pedestrians to the area should also be taken into account.

The detailed descriptions in the tables relate to the most usual circumstances encountered in the UK.

Category	Hierarchy Description	Type of Road General Description	Detailed Description
1	Motorway	Limited access motorway regulations apply	Routes for fast moving long distance traffic. Fully grade separated and restrictions on use.
2	Strategic Route	Trunk and some Principal 'A' roads between Primary Destinations	Routes for fast moving long distance traffic with little frontage access or pedestrian traffic. Speed limits are usually in excess of 40 mph and there are few junctions. Pedestrian crossings are either segregated or controlled and parked vehicles are generally prohibited.
3 (3a in the Code)	Main Distributor	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 speed limits are usually 40 mph or less, parking is restricted at peak times and there are positive measures for pedestrian safety.
4 (3b in the Code)	Secondary Distributor	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 Distributor Network. In built up areas these roads have 30 mph 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.
5 (4a in the Code)	Link Road	Roads linking between the Main and Secondary Distributor Network with frontage access and frequent junctions	In rural areas these roads link the smaller villages to the distributor roads. They are of varying width and not always capable of carrying two way traffic. In urban areas they are residential or industrial inter-connecting roads with 30 mph speed limits random pedestrian movements and uncontrolled parking.
6 (4b in the Code)	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 HGVs. In urban areas they are often residential loop roads or cul-de-sacs.

Table 3.1.1a Carriageways

Category No	Category Name	Brief Description
1a	Prestige Walking Zones*	Very busy areas of towns and cities with high public space and street scene contribution.
1	Primary Walking Routes	Busy urban shopping and business areas and main pedestrian routes.
2	Secondary Walking Routes	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 Footways	Footways associated with low usage, short estate roads to the main routes and cul-de-sacs.

Table 3.1.1b Footways

*At present no footways in Rotherham are categorised as 'Prestige Walking Zones'.

Category	Description
A	Cycle lane forming part of the carriageway, commonly 1.5 m strip adjacent to the nearside kerb. Cycle gaps at road closure point (no entries allowing cycle access).
B	Cycle track, 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 other powers or duties.

Table 3.1.1c Cycle Routes

3.2 Safety Inspections

Safety Highway Inspections (SHI's) are designed to identify, record and prioritise the repair of defects which may present an immediate danger, or significant inconvenience to users of the highway (emergencies), or to the structural condition of the highway and assets contained within the highway boundary. In addition, they may be used to identify defects of a lesser magnitude which may be included within future programmes of planned maintenance work or to indicate that a more in depth service inspection may be required.

SHI's are supplemented by other inspections and assessments undertaken in line with national standards and/or good practice, including but not limited to:

- Ad-hoc inspections undertaken in response to specific matters identified through correspondence;
- Specialist inspections of certain assets within the highway boundary (for example street lighting and highway structures);
- Technical assessments of carriageway condition generally undertaken using machine based equipment (for example SCANNER or SCRIM surveys);
- Structural Maintenance Visual Assessments (CVI or DVI);
- Street Works inspections.

SHI's are visual inspections undertaken in accordance with risk assessment principles as outlined through the risk based approach in section 3.7 of this document. They are designed to provide complete, accurate and timely information, as far as is reasonably practicable, on the safety maintenance needs of the highway network and its ancillary assets based on site observations and measurements. These are applied through a risk based evaluation reflective of the characteristics of the defect, the local environment and network usage.

In line with national codes of good practice, particularly CoPWMHI, published on 28 October 2016, the characteristics of the inspection regime, including frequency of inspection, items to be recorded and nature of response, are defined following an assessment of the relative risks associated with the potential formation of defects within the highway boundary.

The inspection regime must be applied and recorded systematically and consistently. As well as information relating to defects, all inspections must also therefore record the following through the use of mobile device technology (MDT):

- Time of inspection and defect location;
- Weather conditions;
- Any unusual circumstances of the inspection;
- Person(s) conducting the inspection.

Arrangements are made to review the inspection, assessment, frequency and recording regime at least every two years. The outcome of this review will be considered at a senior management level within the Council's Regeneration and Environment Directorate and will consider:

- Changes in network characteristics and use;
- Completeness and effectiveness of data collected;
- Trends within defect formation;
- Success of repair programmes;
- The need for changes/amendments/additions to the inspection regime derived from risk assessment.

Proposals to amend the inspection frequency or methodology may be made should such alterations be deemed to be beneficial.

3.2.1 Inspection Frequencies

Frequencies for safety inspections of individual network sections are based upon the Carriageway Maintenance Hierarchy adopted by the Council, which in itself considers:

- Road category;
- Traffic use, characteristics and trends;
- Characteristics of adjoining network elements;
- Wider policy or operational considerations.

Although the road category within the hierarchy, in combination with traffic use, will be the main determinant of inspection frequency, site specific factors may merit a decision to temporarily or permanently increase or reduce the frequency in a specific location, for example, where the condition of a highway is susceptible to rapid deterioration additional safety inspection (ASI) may be undertaken. The Council will therefore consider the following for individual network sections:

- Incidents, extreme weather and inspection history;
- Complaints about condition;
- Claims received;
- Condition assessments (UKPMS);
- Traffic flows and changes in use;
- Defect interventions recorded.

Circumstances outside our control, for example weather conditions, network and resource availability may result in SHI's not being carried out on their due date. The tolerances in table 3.2.1a below are considered reasonable and apply Monday to Friday excluding Bank Holidays:-

Target Insp Frequency	Tolerance
Monthly	+/- 1 week
3 Monthly	+/- 2 weeks
6 Monthly	+/- 3 weeks

Table 3.2.1a Safety Inspection Tolerances

Tables 3.2.1b, 3.2.1c and 3.2.1d below detail the safety inspection frequencies adopted by the Council which may be subject to temporary changes through the risk based approach.

Carriageway Hierarchy Classification	Frequency of safety inspection	Hierarchy Category
1	Not currently used	
2	Monthly	Strategic Road
3A (Rotherham Cat 3)	Monthly	Main Distributor Road
3B (Rotherham Cat 4)	3 Monthly	Secondary Distributor Road
4A (Rotherham Cat 5)	3 Monthly	Local Link Road
4B (Rotherham Cat 6)	6 Monthly	Local Access Road

Table 3.2.1b Safety Inspection Frequency for Carriageways

Footway Hierarchy Classification	Frequency of safety inspection	Hierarchy Category
1	Monthly	Primary Walking Route
2	3 monthly	Secondary Walking Route and Safer Routes to School
3	6 monthly	Linked Footway
4	6 Monthly	Local Access Footway

Table 3.2.1c Safety Inspection Frequency for Footways

Cycle way Hierarchy Classification	Frequency of safety inspection	Hierarchy Category
1	As per carriageway frequency	Cycle lane - contiguous with the carriageway
2	6 Monthly	Cycle Track, Shared Cycle/Footway - a route for cyclists not contiguous with the public footway or carriageway or a shared cycle/pedestrian path

Table 3.2.1d Safety Inspection Frequency for Cycleways

Carriageways and footways are inspected simultaneously, with the frequency of inspection being set as the more frequent of the two intervals. Subsequently, some footways and shared cycle/footway lanes will be inspected more frequently than indicated in the tables above. Additionally, Council owned car parks will be inspected during the inspection of the adjacent highway.

3.2.2 Inspection Methodology

Safety inspections may be carried out from a slow moving vehicle. Where the Highway Inspector determines that in their reasonable opinion the inspection cannot be undertaken and defects effectively observed from a vehicle, then the inspection will be walked.

Carriageway and Cycle Lane inspections may be undertaken by slow moving vehicle, at frequencies that reflect the characteristics of the particular highway and its use. In heavily used urban areas it may be difficult to obtain the necessary level of accuracy from vehicle based inspections and therefore the inspection may be walked.

All following parts of the highway will be walked inspections as will any other parts of the highway where it may be difficult to obtain the necessary level of accuracy from vehicle based inspections:

- Flagged or other modular footways;
- Urban Principal Roads;
- Cat 1 footways;
- Footpaths;
- Cycle ways (remote from the carriageway).

All other parts of the highway may be inspected for safety from a slow moving vehicle with an inspection team of two comprising observer and driver.

Chapter 8 of the Traffic Signs Manual 2009 (Part 2 Operations) deals with slow moving continuous operations such as highway maintenance inspections, road testing and white lining operations

The requirements are:

- The work should be carried out at off-peak times;
- Operatives should wait for a sufficient gap in the traffic prior to marking any defects on the carriageway. Safe gaps in the traffic are only likely to occur in traffic flows of less than 40 vehicles per minute on three-lane carriageways. At least three seconds per lane, or a safe gap of 150 metres per lane, should be allowed when estimating crossing times;
- Operatives should face oncoming traffic or use a lookout while marking defects;
- Where gaps in the traffic are insufficient, operatives should not attempt to mark the defect but instead should estimate the dimensions of the repair;
- Work on three-lane single carriageway roads should be carried out from the nearside lane at a speed limit of minimum 30 mph.

In order to determine the appropriate method of working, single and dual carriageway roads are split into categories depending on the daily vehicle flow per carriageway.

The road categories are:

- Category 1: greater than 80,000 vehicles/day;
- Category 2: 20,000 to 80,000 vehicles/day;
- Category 3: less than 20,000 vehicles/day.

3.2.3 Inspection by Vehicle

Rotherham's highway network does not include any Category 1 roads. For Category 2 and 3 roads, the following method should be followed by the Highway Inspector (Operative):

- Drive at a minimum of 30 mph on the nearside lane of the carriageway;
- Pull up on the hard shoulder if available or at a safe location to record or assess defects;
- On roads where a slow moving vehicle could be a hazard to other road users an amber light should be attached to the roof of the surveying vehicle;;
- On a dual carriageway with a hard shoulder, the inspection should be undertaken from the hard shoulder if this is practicable and safe to do so.

Table 3.2.3a indicates the 'Safety Inspection Approach Risk Assessment'.

Hazards Identified	Risk Level	People at risk	Controls	Comments / actions
Hazards associated with the post of Highway Inspector	Various	Inspector and Highway Users	Refer to Chapter 8 Traffic Signs Manual 2009 (Part 2 Operations) and 'Lone Working Risk Assessment'.	
Survey vehicle being driven at low speeds ($\leq 10\text{mph}$)	Med	Inspector and highway users	Vehicle to be equipped with warning amber lamp and 'Highway Maintenance' signage displayed on the vehicle.	
Vehicular traffic queuing behind survey vehicle	Med	Inspector and highway users	Highway Inspector to monitor build-up of traffic travelling behind, and pull over where safe to do so to allow queuing vehicles to overtake.	Hazard warning lights to be used in addition to flashing beacon when survey vehicle is stationary.

Highway inspector walking and marking out on the highway.	High	Inspector and highway users	Inspector to wear reflective clothing, walk towards oncoming traffic and face oncoming traffic when marking out defects. Awareness required of traffic volumes and not to spray mark defect if site conditions dictate otherwise.	
Weather (fog/heavy rain/snow)	Med	Inspector and highway users	Inspections to be rescheduled when conditions/visibility has improved.	
Lack of forward and rear visibility (brows, bends and dips in the road)	High	Inspector and highway users	Highway Inspector to assess whether the survey vehicle can be driven safely at 10 mph	

Table 3.2.3a Safety Inspection Approach Risk Assessment

3.2.4 Inspection Procedure

- Driven safety inspections shall only be undertaken as detailed in Safety Inspection Approach and the Safety Inspection Method Risk Assessment;
- Vehicles used for inspection will carry “Highway Maintenance” signs displayed in the rear window;
- On roads where a slow moving vehicle could be a hazard to other road users an amber light should be attached to the roof/rear window of the surveying vehicle;
- Reflective clothing will always be worn when undertaking inspections;
- Inspections should, wherever possible, be carried out from the footway. The recording of data must be carried out from the footway or other safe place;
- In heavy traffic it is essential that marking out be undertaken by two people. The second person will concentrate on safety and be on the lookout for traffic;
- Where traffic is very heavy further safety measures may be necessary such as rescheduling the inspection for a time of day when traffic is lighter. In some circumstances traffic management measures may be required;
- Under no circumstances should the officer undertaking the inspection handle needles, syringes or other sharp objects;
- All observed defects will be risk assessed taking into consideration the ‘Minimum Investigatory Levels’ specified in Table 3.7.1a;
- Defects representing a risk to highway users will be recorded using MDT and the level of response will be determined on the basis of risk assessment (see sections 3.5, 3.6 and 3.7).

3.3 Service Inspections and Programmed Maintenance.

3.3.1 Risk Management

Service inspections should be strongly focused on ensuring that the network meets the needs of users and comprise more detailed specific inspections of particular highway elements, to ensure that they meet the levels of service defined within the Council's HAMP. Such inspections may be prompted by Highway Inspectors through the safety inspection process and subsequent provision of regular reports to Service Managers.

Risk assessments for service inspections are dealt with differently to safety inspections. Serviceability related defects are mainly related to network reliability and integrity and the ability of the network to meet the needs of users. Risks are assessed by reference to the HAMP by taking due consideration of levels of service, relative priorities and available budget.

Operational Risks are faced in the day to day delivery of services. Street Lighting for example is associated with increased personal security, so any potential service level changes to lighting levels will require consideration of risk impact. Flood risks associated with drainage assets pose operational risk through potential flooding to highway and properties. Regular maintenance of existing highway drainage assets is a priority of the Council in maintaining the safety of the public highway.

In order to capture these risks, and to ensure compliance with corporate procedure, the Managers' of highway assets including Roads (carriageways, footways and verges), Street Lighting, Drainage, Bridges/Structures and Traffic Systems identify risks, at least quarterly, in respect of their individual assets/services. A risk assessment is then undertaken to evaluate a risk factor and an appropriate RAG (red, amber, green) rating in accordance with the Council's "Risk Management Policy and Guide 2015" culminating in an overarching Service Risk Register.

Any red or amber risks that are subsequently considered of significance for possible inclusion in the Council's Strategic Risk Register are referred on to the Council's Corporate Risk Manager for consideration. The remaining risks remain on the Operational Service Risk Register for ongoing management and assessment.

3.3.2 Road Maintenance

As a result of the regular condition surveys of various types undertaken on the network (see section 4.3), the Council holds condition data on all of the roads, footways and footpaths making up the highway network. This data is mapped within the highway asset management system. In addition to prioritising programmes for maintenance schemes, the data is also used to identify areas where more routine programmed maintenance repairs would be beneficial.

Wherever possible such programmed repair will be coordinated with the other programmes of work to ensure the most efficient delivery of repair work. It also demonstrates a coordinated approach to highway users.

3.3.3 Street Lighting

Routine electrical inspections are carried out at six year intervals to ensure street lighting units comply with relevant electrical regulations. At each attendance for routine electrical testing and other reactive maintenance the condition of the unit is assessed visually. This visual inspection forms a risk based evaluation with regards identification of ageing columns that are prioritised for replacement in line with ILE technical report 22 Managing a Vital Asset : Lighting Supports.

In addition to visual inspections, in ten year intervals, each street lighting unit should be inspected and assessed by an independent testing contractor to assess the structural condition of the street lighting units. The testing contractor will provide a report on the street lighting units structural and visual condition with recommendations for replacement programmes.

3.3.4 Highway Structures

General inspections are undertaken every 2 years to ensure highway bridges, including subways and culverts as well as footbridges are safe for the passage of vehicular and/or pedestrian traffic. Bridge condition details are recorded at these inspections.

Principal inspections are carried out at intervals of between 6 and 12 years at the more significant highway structures. This interval is determined through a risk assessment following national guidance. These inspections together yield urgent defects that are repaired as well as refurbishment needs for each structure that are detailed and prioritised around a risk based approach in order to complete appropriate work programmes.

3.3.5 Traffic signals

Programmed inspections to all traffic signal equipment are undertaken 3 times per year to all equipment and urgent defect repaired at the time by the traffic signals term maintenance contractor. Special inspections in response to defects reports will also be made if appropriate when reports are received.

3.3.6 Highway Trees

Generally, the inspection of highway trees by the Council's Tree Officers is prompted by Highway Inspectors identifying possible defects and risks to highway users through safety inspections and on receipt of reports from local residents, the general public and / or Ward Members.

A risk based approach in developing a pro-active inspection regime in accordance with CoPWMHI is being considered. This follows the acquisition of a new Tree Management System that is expected to support the implementation of such a regime.

3.3.7 Highway Drainage

The road gullies in Rotherham (of which there are currently 45,446) are inspected, and if necessary cleansed, at least once per year in accordance with CIRIA (Construction Industry Research and Information Association) Report 183. The road gullies on the majority of roads (generally estate roads) are inspected once per year with frequencies increasing up to four times per year on roads such as Rotherham Gateway. The visits are recorded electronically using a GPS (Global Positioning System) fitted to the Gully Flushers.

Any defects with road gullies are recorded using the GPS system and a list of highway drainage assets (which includes road gullies) requiring repair is held electronically. Due to a backlog of highway drainage assets requiring repair, remedial works are prioritised according to the severity of the flooding, the frequency of the flooding and the length of time the Highway Authority has been aware of the defect.

Other assets, such as soakaways, silt traps, linear drainage, petrol interceptors, outfalls and flow regulators, are inspected, and if necessary cleansed, between once per year and twelve times per year. The frequency is determined using data collected during previous inspections. If an asset is inspected twice per year and requires maintenance during each inspection the frequency of visits will be increased to four times per year. Should an asset which is inspected twice per year be found to require no maintenance during inspections, the frequency of inspections will be decreased to once per year.

3.4 Customer Reports

Complaints, reports and requests for maintenance from members of the public and other stakeholders will be received via the Council's Customer Contact Centre which is contactable 24 hours per day and 7 days per week. These reports are allocated a unique reference number. Reports of situations that could be potentially hazardous to highway users will be telephoned directly through to the appropriate Highway Inspector.

Through the risk based approach, should the Highway Inspector evaluate that urgent action be required to make the highway safe, then the Highway Delivery Team will be contacted immediately to arrange for relevant resources to be deployed and a record made using MDT.

3.5 Defect Categories

This CoPHIA defines defects in two categories:

- Emergency (Cat 'A') are those requiring prompt attention because they represent an immediate hazard;
- Category 1 (Cat '1') are those requiring priority attention as they represent a potential risk to road users or to the integrity of the highway asset.

Cat '1' defects are then further subdivided into High, Medium and Low categories to enable the inspector to make an appropriate assessment of risk.

3.5.1 Cat 'A' Defects

Defects will be made safe at the time of the inspection, if reasonably practicable. In this context, making safe may constitute the Highway Inspector parking a vehicle in such a manner as to protect users of the highway from the defect, or by maintaining a presence to advise highway users accordingly. The emergency call procedures will be adopted by the Highway Inspector in circumstances where it is not possible to make safe the highway at the time of inspection, thereby ensuring that appropriate resources are mobilised by the Highway Delivery Team to make the defect safe. Examples of typical Cat 'A' defects are shown below.



Lighting Column access cover
Removed exposing cables



Carriageway Collapse



Missing Chamber Cover

3.5.2 Cat '1' Defects

Cat '1' defects are categorised according to priority: High (Cat '1H'), Medium (Cat '1M') and Low (Cat '1L'), with response times specified in section 3.7 (see table 3.7.6a). A means of appropriately categorising Cat '1' defects is also covered in section 3.7 (see subsection 3.7.5).

Examples of typical Cat '1' defects are shown below.



Carriageway Pothole



Uneven flagged Footway

3.5.3 Safety Inspection Defect Types

The Highway Inspector's decision in categorising defects through the risk based approach may be critical in securing the safety of highway users and may also be subject to legal scrutiny in the event of an accident occurring at or near to the defect location. Complete and accurate records will be essential.

Table 3.5.3a indicates typical issues that may be identified by the Highway Inspector during SHIs (Section 3.6 provides further guidance). Such issues are coded and recorded through the use of MDT, and where required reported to the relevant asset owner or Service Manager.

Type	Code	Footways / Verges / Car Parks	Carriageways
Surface Maintenance	FURN	Arrange urgent repair or making safe of serious footway defects, defective ironware, kerb or edging defects and third party reinstatements/apparatus.	Arrange urgent repair or making safe of potholes and other surface defects including ironwork and channel defects
	SKID		Report any areas where serious loss of skidding resistance suspected.
Highway Drainage	DRAN	Report excessive standing water or water flowing onto the footway. Report blocked gullies, drainage channels, or grips.	Arrange to make safe as necessary and report excessive standing water or water flowing onto or across the carriageway. Report blocked gullies or kerb drainage systems.
Obstruction	OBST	Report or action serious obstruction of the footway from whatever cause.	Report or action serious obstruction of the Carriageway from whatever cause.
Verge Maintenance	VERG	Arrange for urgent repairs or make safe potential hazards.	Report any obstruction to visibility caused by verge overgrowth.
Carriageway Channel Detritus	CHAN		Arrange for carriageway to be swept / cleansed to help prevent gulley blockages.
Safety Fences & Barriers	FENC		Arrange to make safe as necessary and report damaged safety fences and barriers.

Road markings / road studs	MARK		Remove any displaced road studs from trafficked areas. Report missing Stop/ Give Way markings. Report on deteriorated line markings.
Highway Trees / trees affecting highway	TREE	Report potential hazards caused by the condition of trees, shrubs and hedges including surface disturbance from roots.	Report potential hazards caused by the condition of trees, shrubs and hedges
Moss growth	MOSS	Arrange for treatment to remove any slipping hazard. Report for inclusion on moss treatment programme.	
Japanese Knotweed	JPKW	Arrange for treatment to remove any hazard. Report for inclusion on treatment programme.	
Highway Structures	STRU	Report potential hazards caused by the condition of bridges, footbridges, retaining walls and subways	Report potential hazards caused by the condition of bridges, footbridges, retaining walls and subways.
Street Cleansing	CLEA	Remove any debris from footway which might trip pedestrians. Report serious or extensive accumulations of leaves / litter. Report spillages.	Remove any easily moved potentially hazardous debris from trafficked areas or arrange removal. Report serious or extensive accumulations of leaves / litter. Report spillages.
Traffic signs / Signals	SIGN	Report potentially hazardous damage to signs, signals and bollards	
Street Lighting	LIGH	Report potentially hazardous damage to columns	
	SLVG	Report or action significant obstruction of street lighting by tree or shrub growth.	
Street Name Plates	NAME	Arrange to make safe potentially hazardous damage, report for replacement.	
Litter Bins	BINS	Report potentially hazardous damage	
Other	OTHR	Report any other potential hazard observed.	
Scheme Required	SCH	Report if scheme may be required.	Report if scheme may be required.
Bin Collection Day	BINC	Bins left on highway on bin collection day.	Information only.
Car Parks	CPOW	Car park requires other works.	
Hedges	HEDG	Overhanging vegetation.	
Snow Cover	SNOC	Highway covered in snow.	

Table 3.5.3a Types of defects to be recorded

3.6 Guidance and Procedures for Inspectors

3.6.1 Surface Maintenance

Some defects may not be the responsibility of the Council to repair, for example, the adjustment or replacement of a Utility Company inspection chamber cover and frame. In such cases the defect will be recorded in line with normal procedures. It will also be temporarily made safe should such actions be necessary to protect the safety of the travelling public or the integrity of the highway. All relevant information will be notified directly to the third party who will be responsible for continued maintenance of the temporary repair and for the subsequent full repair of the defect.

Should the third party not provide an acceptable response, then the Council may take appropriate action itself to instigate appropriate repairs and to recover the costs of works undertaken from the third party responsible.

3.6.2 Council Owned Car Parks

The safety inspection of car parks (SCI) shall be undertaken at the same time as that of the adjacent highway. The minimum investigatory level (MIL) for surface defects will be as for footway defects.

Any 'Cat A' and 'Cat 1' defects identified at the inspection will be ordered for repair within the timescales specified in Table 3.7.6a by the appropriate highway response team. If required to clearly record the location of the defect then a photograph of the location shall be taken and attached to the inspection record.

Any other potential safety issues, for example relating to barriers or furniture, will be identified in line with the guidance below.

General deterioration needing more extensive repair or replacement will be recorded and reported to Parking Services.

3.6.3 Highway Drainage

Water on the carriageway can cause a danger through aqua-planing, vehicles swerving to avoid standing water and through ice formation in the winter. It will also cause annoyance to pedestrians through spray affecting the footways. The most common causes of extensive standing water are blockages to gullies, drainage channels or grips.

Water flowing across the footways or carriageway is of particular concern because of the danger of ice formation.

All potentially hazardous issues recorded by the Highway Inspector will be reported to the Drainage Group (R&E-drainage@rotherham.gov.uk) should further

action be required.

3.6.4 Obstruction

Physical obstruction can be caused by anything deposited on, growing in, growing over or suspended over the highway. The extent of any potential danger can only be judged in each individual circumstance taking into account the nature of the obstruction, site layout and the level of traffic using the highway.

In the majority of instances the most appropriate first action will be to seek the removal of the obstruction by the person responsible for it. If this results in a refusal or no action within a reasonable period then enforcement action should be considered.

In exceptional circumstances direct action by the Delivery Teams to remove the obstruction may be warranted. This should be discussed with the Team Leader before instructing the work.

3.6.5 Verge Maintenance

Verges can present hazards to highway users through poor surface condition or through overgrowth. Hazardous defects within the surface of the verge should be dealt with as for other surface repairs having due regard to the risk based approach in section 3.7. Any obstruction to sight lines should be reported for action.

3.6.6 Safety Fences and Barriers

Potentially hazardous faults with safety barriers should be made safe and will be recorded and reported to the Street Lighting Manager.

Hazards may possibly include:

- Projections from the damaged fence or barrier extending into areas which may reasonably be used by pedestrians or vehicles;
- Lengths of missing guard rail where a danger to highway users or others could be anticipated. For example, a length of safety fencing protecting a lighting column from impact would not indicate a need for temporary action but a missing section of pedestrian guard rail above a vertical drop would indicate a need for urgent action;
- Vehicle impact damage to the guard rail that may not have been previously reported / identified.

3.6.7 Road Markings and Road Studs

Loose road studs should be removed from trafficked areas and reported to the Street Lighting Manager, as should any missing 'Stop' or 'Give Way' road markings. Also lengths of missing or worn regulatory markings such as yellow lines or box junctions should be reported.

3.6.8 Highway Trees

Trees and shrubs can be the cause of potential danger to highway users through their physical condition. Any tree appearing to be dead, damaged or badly diseased should be recorded and reported to the Tree Service Manager for further investigation.

3.6.9 Street Cleansing

Any debris having the potential to cause a danger to highway users should be removed and placed in a safe location if this can be achieved. The Highway Cleansing Teams and the Council's Customer Contact Centre will be informed by telephone should immediate action be required to remove the following from the highway:

- Debris or fly-tipped material;
- Needles and other sharp objects;
- Large scale spillages;
- Dead animals etc.;
- Racist or obscene graffiti.

An accurate description of the material to be removed must be provided for the Delivery Team such that appropriate resources are deployed. Any fly-tipped material suspected of containing asbestos must be reported.

Under no circumstances should Highway Inspectors handle needles, syringes or other sharp objects.

3.6.10 Traffic Signs and Traffic Signals

Potentially hazardous faults should be recorded and telephoned through to the Council's Customer Contact Centre immediately on locating them.

Faults that may represent a hazard include:

- Electrical covers missing or dislodged;
- Wiring exposed;
- Illuminated bollards or their temporary replacements missing, Insecurely rooted furniture, including sign posts;
- Traffic signal heads or sign lighting units hanging loose;
- Missing or damaged sign poles and sign faces;
- Red/Amber/Green missing signals or twisted around or hanging loose;
- Inoperative red or green man signals.

3.6.11 Street Lighting

Potentially hazardous faults should be phoned through to the Council's Customer Contact Centre immediately on locating them.

Faults that may be hazardous include:

- Missing doors from columns;
- Severely leaning or visibly damaged columns;
- Rocking columns;
- Hanging lanterns and lantern bowls.

Appropriate action will be arranged where street lighting is likely to be significantly affected by tree or shrub growth. In the majority of instances the most appropriate first action will be to seek the removal of the obstruction by the person(s) responsible. If this results in a refusal or no action within a reasonable period then enforcement action should be considered.

In exceptional circumstances direct action by the Delivery Teams to remove the obstruction may be warranted. This should be discussed with the Team Leader before instructing the work.

3.6.12 Street Name Plates

Signs that are potentially hazardous due to damage, possibly with sharp edges or being insecurely fixed, should be recorded and telephoned through to the Council's Customer Contact Centre immediately on locating them.

Reports of missing plates should be reported to the Street Lighting Manager for permanent replacement.

3.6.13 Litter Bins

Bins that are potentially hazardous due to damage, possibly with sharp edges or being insecurely fixed should be recorded and reported by telephone through the Council's Customer Contact Centre.

3.6.14 Weekly Defect Report

Defects that have not been risk assessed at 'Cat A' or 'Cat 1' are recorded through MDT and through the use of the codes displayed in Table 3.5.3a. These records form part of the Highway Asset Database. On a weekly basis a report is produced and circulated to the appropriate managers for them to assess any action required.

3.7 Risk Based Approach

The purpose of the risk assessment is to determine the scale of the risk presented by a defect in order to prioritise the appropriate response. The implementation of a risk based approach (RBA) to safety highway inspection is set out below. The Council's 'Risk Management Policy and Guide' adopts a '5x5' risk matrix, which is consistent with that included within the HIAMG on page 79 'Figure 10 Qualitative Matrix Approach'. A '5x5' matrix is adopted within this CoPHIA (see table 3.7.5a) which also provides for a risk factor score range from 1 to 25.

3.7.1 Minimum Investigatory Levels

Any highway feature with a defect level which corresponds to, or is in excess of, the Minimum Investigatory Level (MIL) is to be assessed by the Highway Inspector using the risk based approach.

To establish minimum investigatory levels a number of comparable local authority's criteria have been taken into consideration. The following definitions are adopted by 75% of authorities surveyed:

- A depth of 40mm or greater and extending in any one direction >300mm in the carriageway;
- A rapid change of profile >25mm and extending in plan dimension <600mm in the footway.

The remaining 25% of authorities worked to a 50mm depth in the carriageway and 20mm depth in the footway but did not specify any horizontal dimensions.

Table 3.7.1a sets out the MIL's for consideration by Rotherham's Highway Inspectors. The MIL's specified are similar to the intervention levels specified in previous editions of the Council's "Code of Practice for Highway Inspection and Assessment" up to June 2017. These intervention levels were established with reference to CoPHMM taking into account all types of highway users.

Defects which do not meet the MIL will not generally be identified on a safety inspection, unless the inspector deems it necessary to do so. The MIL is provided as a guide only. Should the Highway Inspector deem it necessary to categorise any specific defect at a higher level, following risk assessment, then this will be recorded.

Highway Feature	Surface Type	Defect	Minimum Investigatory Level (action subject to RBA)
Carriageway and Cycle Way contiguous with carriageway	Flexible/Rigid	Pothole	40 mm depth and 250 mm width
	Modular/Rigid	Missing unit Abrupt difference in level.	All occurrences 40mm
Pedestrian Crossings Crossover Points Steps Footway Area Cycle Route Type B Kerb, Channel or Edging adjacent to a pedestrian paved area	Flexible/Rigid	Pothole	20 mm depth
	Modular/Rigid	Missing unit. Abrupt difference in level. Misaligned. Damaged. Rocking.	All occurrences 20mm 20mm 20mm 20mm
Kerb, Channel or Edging not adjacent to a pedestrian paved area		Missing unit. Abrupt difference in level. Misaligned. Damaged. Rocking.	All occurrences 20mm 20mm 20mm 20mm
Verge	Unpaved	Damaged	RBA

Table 3.7.1a Minimum Investigatory Levels

3.7.2 Risk Impact

Potential impact is quantified by the Highway Inspector assessing the extent of damage likely to be caused should the risk be realised. The impact/severity is affected by the magnitude or dimension of the defect and other variables such as mode of transport, road speed and the vulnerability of those involved.

The impact of a risk occurring is assessed as follows:

- Catastrophic;
- Major;
- Significant;
- Minor;
- Insignificant.

The impact of a risk occurring is measured on a scale of 1 to 5 (1 insignificant to 5 catastrophic). Table 3.7.2a provides guidance.

Impact rating	Score	Description	Possible Indicators
CATASTROPHIC	5	The Hazard presented by the defect, or due to the short term structural deterioration in the defect, could result in a fatality or serious injury.	Impact will result in serious damage to persons or property. Highway users will instinctively react to avoid the defect and this will place them in peril. The defect could destabilise a vehicle and this will place highway users in peril.
MAJOR	4	The Hazard presented by the defect, or due to the short term structural deterioration in the defect, could result in injury or serious claim against the Authority.	Impact will result in damage to persons or property, from which they are likely to recover. Highway users will instinctively react to avoid the defect. The defect could destabilise a vehicle.
SIGNIFICANT	3	The Hazard presented by the defect, or due to the short term structural deterioration in the defect, could result in minor injury or claim against the Authority. If untreated the defect will contribute to the deterioration in the overall condition of the Highway Asset. The defect is likely to deteriorate further before the next safety inspection.	Most impacts will not result in any injury. Highway users are unlikely to react to avoid the defect and the impact will not interrupt their passage. The defect will be felt and recognised as a defect by most Highway users, and its presence will be a negative influence on their perception of the Highway Asset. If untreated the defect will accelerate the local deterioration of the Highway Asset.
MINOR	2	The Hazard presented by the defect, or due to the short term structural deterioration in the defect, is unlikely to result in injury or claim, but the defect will contribute to the deterioration in the overall condition of the Highway asset. The defect is unlikely to deteriorate further before the next scheduled safety inspection.	The defect will be recognised by Highway Inspectors as requiring attention, but is unlikely to be felt and recognised as a defect by most Highway users. It is unlikely that the defect will cause any injury.
INSIGNIFICANT	1	The defect is due to the short term structural deterioration. It is highly unlikely to result in both an injury or claim and further deterioration.	Whilst the defect will may be recognised by Highway Inspectors as requiring attention, it is highly unlikely to be recognised as a defect by Highway users. The defect is very unlikely to cause injury.

Table 3.7.2a Impact Ratings

The vulnerability of all highway users, including cyclists and pedestrians to certain highway defects will be reflected in the risk assessment carried out when deciding the category of the defect.

3.7.3 Risk Likelihood

Likelihood is the Highway Inspector's assessment of probability of the defect affecting the safe passage of traffic along the highway, or affecting the structural integrity of the highway between scheduled inspections. It follows an assessment of the Road Hierarchy and the location of the defect within the highway in relation to other risk factors/features in the environment.

The likelihood of a risk occurring is assessed as follows:

- Almost certain;
- Very likely;
- Likely;
- Possible;
- Unlikely.

The probability is quantified by assessing the likelihood of users, passing by or over the defect, encountering the risk. As the probability is likely to increase with increasing vehicular or pedestrian flow, the network hierarchy and defect location are important considerations in the assessment. The likelihood of a risk occurring is measured on a scale of 1 to 5 (1 unlikely to 5 almost certain). Table 3.7.3a provides guidance.

Likelihood Rating	Score	Description	Possible Indicators
ALMOST CERTAIN	5	More than an 80% chance of occurrence.	Vehicular, cycle and / or pedestrian flows are high. A high percentage of vulnerable users may pass through the site. The location of the defect and the topography of the site will mean that it is difficult to a highway user to recognise and hence avoid the defect. Forward visibility may be compromised.
VERY LIKELY	4	60 to 80% chance of occurrence.	Vehicular, cycle or pedestrian flows may be high, but differing modes are less likely to share the Highway at this location. Responsible Highway users may be able to recognise and take action to mitigate the impact of the defect. Forward visibility is good.
LIKELY	3	40 to 60% chance of occurrence.	Vehicular, cycle or pedestrian flows are moderate or low. Different transport modes are unlikely to share the Highway at this location. The majority of responsible Highway users will be able to recognise and take action to mitigate the impact of the defect.
POSSIBLE	2	10 to 40% chance of occurrence.	Vehicular, cycle or pedestrian flows are low. The speed differential between users is likely to be low. The majority of responsible Highway users will be able to avoid the defect.
UNLIKELY	1	Less than 10% chance of occurrence.	Vehicular, cycle or pedestrian flows are very low. The speed differential between users is very likely to be low. It is expected that responsible Highway users will be able to avoid the defect.

Table 3.7.3a Likelihood Ratings

3.7.4 Risk Factor

The risk factor for a particular risk is calculated as follows:

$$\text{Risk Factor} = \text{Impact Score} \times \text{Likelihood Score}$$

It is this factor that identifies the overall seriousness of the risk and consequently the appropriateness of the speed of response to remedy the defect.

3.7.5 Defect Categorisation

Table 3.7.5a (Risk Matrix) and table 3.7.5b (Risk Factor Scoring) below enable the appropriate categorisation of defects.

Likelihood	Almost Certain 5	5	10	15	20	25
	Very Likely 4	4	8	12	16	20
	Likely 3	3	6	9	12	15
	Possible 2	2	4	6	8	10
	Unlikely 1	1	2	3	4	5
		Insignificant 1	Minor 2	Significant 3	Major 4	Catastrophic* 5
IMPACT						

Table 3.7.5a Risk Matrix (for defect response categorisation)

Score of 1 to 8	Cat 1 Low
Score of 9 to 12	Cat 1 Med
Score of 15 to 20	Cat 1 High
Score of 25	Cat A (emergency)*

Table 3.7.5b Risk Factor Scoring (mechanism within Risk Matrix)

* An emergency response may be requested where the impact of a risk is catastrophic. Examples may include missing man hole covers, collapsed carriageways, fallen trees, subsidence, and flooding.

3.7.6 Works Orders and Response Times

Works can be ordered for completion within a range of timescales. Table 3.7.6a below provides the timescales for responding to Cat 'A', Cat '1H', Cat '1M' and Cat '1L' defects along with the corresponding works order/priority codes.

Defect Category	Works Order/ Priority Code	Response	Repair type	Comments
Cat 'A' (emergency)	A	2 hours from time of identification or 4 hours from receipt of report.	Temporary	Used to deal with defects which form an immediate hazard to the highway user.
Cat '1H'	1	24 hours from time of identification	Temporary	Defects which may impact on the highway user but are not safety critical, e.g., potholes, missing, misaligned or rocking flags/paving units.
Cat '1M'	2	7 days from the date of identification	Temporary or Permanent	These defects are not required to be urgently rectified and focus more on the serviceability needs of the highway.
Cat '1L'	0	3 months	Permanent	Response of a more routine nature that supports the serviceability and sustainability of the highway network. No temporary repair necessary
	X	48 hours	Temporary	See 3.7.7 'Priority 'X' and '5' Works Orders
	4	6 months	Permanent	Used for planned maintenance
	5	10 days	Permanent	See 3.7.7 'Priority 'X' and '5' Works Orders

Table 3.7.6a Works Order Priorities and Response Times

3.7.7 Priority 'X' and '5' Works Orders

Alternative methods of repair have had to be sought to reduce the number of reactive repairs, provide a permanent repair and improve customer perception. The Works Order / Priority Codes 'X' and '5' are an attempt to do all three with the added function of providing pre-patching for surface treatments. Where defects that are risk assessed as a Cat 'A', or as a Cat '1H', then the repair of the defect will be actioned accordingly.

Defects other than a Cat 'A' or a Cat '1H' may be considered as a Work Order / Priority Code 'X'.

It is recognised that on any highway network, a multitude of minor defects will exist which do not pose any risk to either the safety or the integrity of the highway and for which it may be impractical and inefficient to expend limited financial resources to undertake repairs.

Any defects which do not meet the Minimum Investigatory Levels may be recorded should the Highway Inspector deem this appropriate, for example, where a cluster of such defects may form a potential preventative maintenance scheme in the future. Where such defects are recorded, they will be considered as a Works Order/ Priority Code '0' or '4'.

3.8 Training

3.8.1 Qualifications and Guidance

CoPWMHI provides advice regarding Highway Inspector training. The successful completion of a certification scheme provided by a training centre approved by the UK Roads Board enables Highway Inspectors to be included on the National Register of Highway Inspectors for a period of five years.

Registration with the Highway Inspectors Board can contribute positively to risk management and defence of compensation or liability cases.

Those involved in managing, developing and implementing the risk based approach for safety inspections will be competent. Highway Inspectors will be provided with clear guidance and training regarding the establishment of the risk based approach and practical implementation. A programme of Continuing Professional Development and training for all staff and others involved in developing and implementing the risk based approach will be provided.

Where appropriate, following inspection audits, performance reviews and an annual review of this document, refresher training will be provided.

All Highway Inspectors are expected to become qualified to the recommended standards as specified in WMHI. This qualification shall where possible be undertaken within 12 months of appointment.

Prior to qualification, newly appointed Highway Inspectors or Trainee Highway Inspectors shall work under the guidance of such qualified Highway Inspectors as necessary, in order to gain up to date knowledge and on the job experience.

3.8.2 Audits

To maintain the quality of the service and improve consistency in the application of the Risk based approach, regular internal inspection audits based on the contents of this document will be undertaken by the Council's Highway Inspection and Enforcement Manager. Following an audit repeat SHIs shall be undertaken if considered necessary.

DRAFT

3 HIGHWAY ASSESSMENT

Highway assessment is driven by the principals and policy of the Highway Asset Management Plan 2015-2021.

All forms of highway assessment whether visual inspection or mechanical forms of survey are programmed by the Highway Asset Management Team in Network Management Group. Visual inspections are undertaken by trained Highway Assessment Technicians within the Group and mechanical surveys are procured on a regional basis.

4.1 UKPMS Inspections

4.1.1 UKPMS Defined

UKPMS, the United Kingdom Pavement Management System, is a standard for computer systems that support the management of programmed maintenance of hard paved surfaces within the highway, and the monitoring of condition and of the need for funding, on local authority road networks.

As well as software the UKPMS standard also covers the associated survey techniques, and rules and parameters that allow the systems to be operated in a consistent standard way.

4.1.2 UKPMS Visual Inspections

The Coarse Visual Inspection (CVI) is intended to be a coarse, rapid survey, usually carried out from a slow moving vehicle, that allows a large part of the network to be assessed each year. However, in Rotherham these are carried out on foot as cyclic surveys enabling both carriageway and footway conditions to be assessed at a single visit.

In addition to production of Performance Indicators, UKPMS processed visual survey data forms a key input into the preparation of the Council's annual maintenance programmes.

Detailed guidance on undertaking surveys is contained within the UKPMS Visual Survey Manual published by Chris Britton Consultancy on behalf of the UKPMS Owners Forum.

4.1.3 Purpose of UKPMS Visual Inspections

In many authorities UKPMS Visual Inspections were initially carried out for a single purpose, to produce performance indicators required by the government. In order to make the maximum use of these surveys Rotherham uses this:

- To support and audit decisions about how, when and where to carry out maintenance schemes;
- To target areas for other programmed maintenance;

- To determine a required level of budget and investment over time to maintain or achieve a required level of service or network condition (needs budgeting);
- To assess the future implications of current / proposed levels of funding, to support the development of Asset Management Planning for our Highways;
- To assist in the calculation of the highway asset valuation for Whole Government Accounting.

4.1.4 Training

UKPMS surveys are designed to be carried out by staff trained in the relevant survey techniques, and who are able to record defects accurately and consistently, in accordance with the definitions and procedures defined in the manual. UKPMS inspections are not expected to indicate the cause of defects, indicate the preferred treatment or record engineering judgement. Objectivity and consistency are paramount. UKPMS Inspectors should be accredited to the current nationally accepted standard for such surveys.

4.2 Coarse Visual Inspections

Up until 2004, Best Value Performance Indicators (BVPIs) for all elements of the road network required the use of Coarse Visual Inspection (CVI) data gathered during the previous two or four years.

Since 2004/2005, the Best Value Performance Indicator (BVPI) for principal roads required data to be collected using machine type surveys. This survey type was subsequently changed to a SCANNER (Surface Condition Assessment of the National Network of Roads) type survey from 2005/2006 onwards with a requirement to survey 100% of the network within a two year period. From 2005/2006 the BVPI for non-principal classified roads was also required to be measured using SCANNER surveys. From 2008/2009 the Performance Indicator for unclassified roads was removed from the national indicator set. Despite this, Rotherham continues to produce a local indicator using in-house walked CVI (Coarse Visual Inspection) survey data for benchmarking purposes.

Since 2011/2012 the NI168 (Principal Roads) and NI169 (Non-principal Classified Roads) have no longer been required to be published. However, condition data for these classes of roads are still required as part of the Government's single data set which is provided by local authorities.

CVI surveys will therefore continue to be undertaken on all classes of roads in Rotherham in order to:

- Evaluate long term trends in network condition;
- Produce the local PI for unclassified roads (65% of Rotherham's highway network);
- Measure footway condition data;
- Provide data for scheme prioritisation.

In addition to mechanical surveys being undertaken on classified roads, walked CVI condition surveys are also carried out on these roads on a four year cycle

(which is the same frequency as unclassified roads and footways).

CVI surveys are used to collect data for both carriageway and footways. CVI data is used to report a local PI for all footways and it is also used to prioritise the footway maintenance scheme programme.

CVI surveys are also undertaken on council maintained car parks in conjunction with the survey for the adjacent street.

Audits on CVI surveys are carried out in-house on a small sample of road sections each month and they are recorded within the highway asset management system.

4.3 Machine Based Condition Surveys

As these surveys are based on vehicle mounted data collection devices they are solely targeted towards the assessment of carriageway conditions. The principle of machine based data collection is to make surveys objective and repeatable. We employ two types of machine surveys; SCANNER, and SCRIM (Sideways Force Coefficient Routine Investigation Machine).

Skid resistance is influenced by surface texture, and texture depth is an output from SCRIM surveys. Skid testing results shall be correlated with output from SCANNER to identify priority sites where low/ marginal skid resistance coincides with low texture depth.

4.3.1 SCANNER Surveys

SCANNER surveys are carried out on a rolling programme of Rotherham's classified roads (A, B and C roads) on a two year cycle. This programme of sites is held on Rotherham's Pavement Management System and roads are tested in both directions unless the road layout dictates otherwise. The surveys are carried out at traffic speed by accredited machines and data is collected on transverse and longitudinal profiles, texture and cracking. These surveys were required to be undertaken on all classified roads from 2005/06 in order to produce national performance indicators. These indicators are also used locally to monitor performance, works identification and also to support highway asset valuation.

The surveys identify lengths of road where the surface condition is deteriorating. The survey will not identify structural deterioration until it is evidenced through wheel- track cracking and rutting.

SCANNER reports the condition of 10 metre section lengths of carriageway using the RED / AMBER / GREEN traffic signal warning system. The RED lengths of road contribute to the national indicator. This data can be displayed in a graphical format along road centre lines to allow for prospective scheme lengths of carriageway to be identified for further investigation. The survey data can be used to identify lengths of the network that require treatment.

SCANNER data results are received in HMDIF format. Rotherham's computerised United Kingdom's Pavement Management System (UKPMS) is used to process and store this data. SCANNER survey data is calculated in the Pavement

Management System in 10m lengths and provides individual readings for each direction of travel along the carriageway.

To consider and analyse the current skid resistance of Rotherham's principal road network, non-principal road network and selected unclassified roads through the utilisation of 'continuous friction measuring equipment', and when combined with other relevant attributes, identify sections of road that may be considered for planned maintenance.

4.3.2 Method of Survey

Routine monitoring of skid resistance is carried out on a rolling programme of the defined network on a three year cycle using a Sideways Force Coefficient Routine Investigation Machine (SCRIM). This machine is a surface friction tester which accurately measures skidding resistance under constant load and at a constant speed on a wet road. It makes continuous measurements following a single line, typically along the inside wheel path and it provides survey data at ten metre intervals. On multi-lane roads, measurements are taken in lane one.

A defined programme of sites is held on Rotherham's Pavement Management System and roads are tested in both directions unless the road layout dictates otherwise.

Rotherham has adopted the Characteristic SCRIM Coefficient (CSC) approach to SCRIM surveys. This means that surveys are rotated in an early, mid and late season sequence. Three years of survey results are used to give a more stable set of data than the alternative Mean Summer SCRIM Coefficient (MSSC) method. The MSSC approach tests control sites three times a year and takes into account only 'in year' variations.

SCRIM results are received in HMDIF format. Rotherham's computerised United Kingdom's Pavement Management System (UKPMS) is used to process and store this data. SCRIM survey data is calculated in the Pavement Management System in 10m lengths and provides individual readings for each direction of travel along the carriageway.

4.4 Public Rights of Way Assessments

Modified CVI condition surveys are carried out on PROW's to collect surface condition data as part of the BVPI 178 assessment survey. These assessments are undertaken by the Assessment Technicians within Network Management Group.

A general assessment of public rights of way is undertaken at intervals of 30 months. This allows for the season of inspection to change between each assessment so that any seasonal problems are progressively identified.

As well as the identification of maintenance issues the inspections allow for the calculation of the Rights of Way Performance Indicators. To enable this assessments are undertaken using a standard survey format produced by the Countryside Agency and ADEPT.

The surfaces of ROW vary a great deal in their nature and materials. As a general rule the surface will be maintained in a manner appropriate to its construction using materials as closely matching as possible those used in its construction or in former maintenance.

Paths surfaced with unbound materials and earth paths will require the exercise of discretion on the part of the inspector in evaluating the risks whether the surface is potentially hazardous or in need of repair. Surfaced paths, particularly in an urban setting, should be maintained as if they were adopted.

The Council are under a duty to sign all PROW where they leave a metalled road. Waymarks or additional signs may be erected anywhere along the route where they would be of assistance to users who are unfamiliar with the area.

Any requirements for surface repair, repair or replacement of furniture, replacement or additional signage shall be reported to members of the Rights of Way team.

Other issues/risk factors to be noted and reported include:

- Obstruction - Where a path is found to be obstructed by vegetation growing from an adjacent property;
- Ploughing / Cropping - The occupier of the land may plough the surface of a cross field path to cultivate the land. However they must make good the surface so that it is reasonably convenient for use within 14 days;
- Other Cases of Nuisance - such as; dangerous animals, materials deposited on the path, misleading notices, barbed wire adjacent to the path likely to injure users, or frequent misuse of the path by traffic not permitted to use it.

PROW also has a Rights of Way Improvement Plan (ROWIP), which includes an action plan. The ROWIP is reviewed each year.

4 SKIDDING RESISTANCE

5.1 Skidding Resistance Policy Statement

Rotherham Council is responsible for the maintenance of the roads in their respective areas. This is a statutory duty under Section 41 of the Highways Act 1980 'to maintain highways that are maintainable at public expense'.

Skid resistance is an important property relating to the safety of highway users, particularly in damp or wet conditions. Over the course of the life of a road the surface can lose some of its characteristics associated with skid resistance.

Effective maintenance of the highway network includes the requirement to monitor the skid resistance of the road surface and to take an approach to ensure that the skid resistance across the network is maintained to an appropriate standard. Guidance on this may be found within the document 'Well-managed Highway Infrastructure: A Code of Practice'.

In 2015 Highways England published an updated comprehensive methodology for managing carriageway skid resistance on the UK Strategic Network and this is set out in their document HD 28/15.

Whilst HD 28/15 is not intended for the management of skid resistance on local roads, similar principles may be applicable and the document will form a basis for the Council's Skid Resistance Procedure document for its entire classified network and the unclassified network which forms part of the Authority's salting routes.

The Skidding Resistance Policy in Appendix 2 of this document should be read in conjunction with the Skid Resistance Procedure in Appendix 3.

APPENDIX 1 – SAFETY HIGHWAY INSPECTION POLICY**Document History**

Date	Description	Name
Dec 2017	Initial Draft	Andrew Rowley / Inspection and Enforcement Manager / Highway Network Management

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Definitions

The term “Safety Highway Inspection” used in this document refers to a regime of inspection for the prioritisation of defect repairs and is a crucial component of highway maintenance. It provides a robust framework to address key objectives for the maintenance of the highway in a safe and serviceable manner, as required by Section 41 of the Highways Act 1980, and consistent with the Council’s HAMP.

All Safety Highway Inspections are undertaken by area based Highway Inspectors within the Council’s Community Safety and Street Scene Service. Inspections following customer reports, Street Works inspections, enforcement activities and actions to identify programmed maintenance activities are undertaken separately.

1. Introduction

- 1.1 Rotherham Council is responsible for the maintenance of the roads within the Rotherham Borough boundary. This is a statutory duty under Section 41 of the Highways Act 1980 ‘to maintain highways that are maintainable at public expense’.
- 1.2 Safety Highway Inspections are important in aiming to secure the safety of highway users and the duty is further expanded in the CoPWMHI document which recommends that ‘a risk-based inspection regime,

including regular safety inspections, should be developed and implemented for all highway assets'.

- 1.3 Authorities are strongly advised to undertake safety inspections in accordance with the guidance of CoPWMHI in order that, when necessary, they are able to support a defence under Section 58 of the Highways Act 1980 and equivalent legislation. 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 related was likely to cause danger to users of the highway".
- 1.4 It is against the above guidance and legislative backdrop that Rotherham Councils' Safety Highway Inspection Policy is hereby determined and applied by working with the guidance of CoPWMHI.
- 1.5 Rotherham Councils' Safety Highway Inspections are visual inspections undertaken in accordance with the appropriate risk assessments. They are designed to provide complete, accurate and timely information, as far as is reasonably practicable, on the safety maintenance needs of the highway network and its ancillary assets based on site observations and measurements. These are applied through a process of risk evaluation reflective of the characteristics of the defect, the local environment and network usage (Risk Based Approach).
- 1.6 This Policy supports Rotherham Councils' HAMP.

2. Objectives

The objective of this Safety Highway Inspection Policy is to:

- 2.1 Ensure that the highway is maintained, thereby safeguarding users of the highway.
- 2.2 Contribute to a reduction in the number of highway accidents and accident claims.
- 2.3 Align with the guidance document CoPWMHI.
- 2.4 Enable Rotherham Council to robustly defend against highway claims and corporate manslaughter charges.
- 2.5 Ensure that the procedures within the 'Highway Inspection and Assessment Code of Practice' (CoPHIA) enable a risk based approach to the management of highway defects.

3. Approach

To achieve the above objectives Rotherham Council has produced and will review the CoPHIA document which supplements this ‘Safety Highway Inspection Policy’.

This will include:-

- 3.1 That Rotherham Council’s ‘Community Safety and Street Scene Service’ section ‘Highways Network Management’ is responsible for the policy.
- 3.2 Details of a safety inspection regime and Network Hierarchy.
- 3.3 Characteristics of the safety highway inspection regime, including frequency of inspection, the methodology, items to be recorded and nature of response.
- 3.4 Processes for receiving and responding to customer complaints, reports and requests for maintenance from members of the public and other stakeholders.
- 3.5 Establishing ‘Minimum Investigatory Levels’ applicable to highway defects.
- 3.6 A risk based approach for categorising highway defects and response times for removal/repair of defects.
- 3.7 Training and development of officers to fulfil their allotted duties competently and assist in the defence of compensation or liability cases.
- 3.8 Inspection audits to ensure compliance with CoPHIA to drive the provision of service excellence.

4. Legal Duties and responsibilities.

4.1 Highway Authorities have a statutory duty under Section 41 of the Highways Act 1980 “to maintain highways that are maintainable at public expense”

4.2 Section 58 Defence

4.2.1 Section 58 of the Highways Act 1980 provides the ability to form a statutory defence to counter legal actions for negligence. Any Authority must be able to prove in a court of law that it has taken ‘such care as is in all the circumstances reasonably required to secure that part of the highway to which the action relates was not dangerous for traffic.’

4.2.2 Section 58 of The Highways Act 1980 does not stipulate the standard of maintenance applicable to the highway. It is accepted by the Courts that different standards of maintenance are applicable to different parts of the

highway network; this may relate to vehicle and pedestrian usage as well as the speed of the vehicles using the highway.

4.3. When considering a third party legal action against Rotherham Council, the Court will consider such factors as:

4.3.1 The character of the highway and the traffic which was reasonably to be expected to use it

4.3.2 The standard of maintenance appropriate for a highway of that character and used by such traffic

4.3.3 The state of repair in which a reasonable person would have expected to find the highway

4.3.4 Whether the Authority knew, or could reasonably have been 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

4.3.5 Whether the Authority could reasonably have been expected to repair that part of the highway before the cause of action arose.

4.4 The development of this Safety Highway Inspection Policy is to ensure a suitably structured CoPHIA is implemented and to ensure that highway users are safeguarded through a risk based approach in the management of highway defects.

4.5 Importantly, this policy will provide documentary evidence of Rotherham Council's proactive approach to the management of highway defects.

5. References

5.1 Highways Act 1980

5.2 Well-Managed Highway Infrastructure: A Code of Practice (CoPWMHI)

5.3 Highway Asset Management Plan (HAMP)

5.4 Highway Inspection and Assessment Code of Practice (CoPHIA)

APPENDIX 2 – SKIDDING RESISTANCE POLICY

Document History

<u>Date</u>	<u>Description</u>	<u>Name</u>
19/5/17	Initial Draft	P Turland (DMBC)
1/6/17	DRAFT 2	P Turland
12/2/17	Draft 3	P Turland
15/6/17	Draft 4 following discussions with RMBC and BMBC	P Turland
18/9/17	Minor edit in blue.	P Turland
26/10/17	Draft 5 amendments on behalf of RMBC following discussions with RJ	N Ayrton

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Definitions

The Highway Authorities of South Yorkshire shall mean Doncaster MBC, Rotherham MBC and Barnsley MBC (Sheffield City Council are not included as they have a PFI in place).

The term “skid resistance” used in this document refers to the frictional properties of a road surface, measured using a specified device, under standardised conditions. Skid resistance testing is carried out on wet or damp surfaces, unless stated otherwise, as the skid resistance of a surface will be substantially lower than when that same surface is dry.

Skid resistance measurements are used as an empirical assessment of a road surface’s level of grip and as an indication of the potential need for further investigation based on known acceptable limits. However, it should be noted, it does not represent the definitive grip available to a road user making a particular manoeuvre at a particular time and at a particular speed.

1. Introduction

- 1.1 The Highway Authorities of South Yorkshire are responsible for the maintenance of the roads in their respective areas. This is a statutory duty under Section 41 of the Highways Act 1980 'to maintain highways that are maintainable at public expense'.
- 1.2 Skid resistance is an important property relating to the safety of highway users, particularly in damp or wet conditions. Over the course of the life of a road the surface can lose some of its characteristics associated with skid resistance.
- 1.3 Effective maintenance of the highway network includes the requirement to monitor the skid resistance of the road surface and to take an approach to ensure that the skid resistance across the network is maintained to an appropriate standard. Guidance on this may be found within the document 'Well-managed Highway Infrastructure: A Code of Practice'.
- 1.4 In 2015 Highways England published an updated comprehensive methodology for managing carriageway skid resistance on the UK Strategic Network and this is set out in their document HD 28/15.
- 1.5 Whilst HD 28/15 is not intended for the management of skid resistance on local roads, similar principles may be applicable and the document will form a basis for RMBC's Skid Resistance Procedure document for its entire classified network and the unclassified network which forms part of the Authority's salting routes.
- 1.6 This policy document should be read in conjunction with Rotherham Council's 'Skid Resistance Procedure'.

2. Objectives

The objective of this Skid Resistance Policy is to:

- 2.1 Enable the public to travel safely and easily
- 2.2 Align with the guidance document 'Well-managed Highway Infrastructure : A Code of Practice'
- 2.3 Help reduce the number of Killed or Serious Injury accidents on the South Yorkshire Authorities road network
- 2.4 Ensure the procedures in the individual Authorities Skidding Resistance Procedure document will set out a long-term strategy to manage the skid resistance across the Authorities highway network to an appropriate level.
- 2.5 Ensure the Highway Authorities of South Yorkshire adhere to the duty under the Highways Act 1980
- 2.6 Enable the Highway Authorities of South Yorkshire to robustly defend against claims and Corporate manslaughter charges.

3. Individual Authority Approach

To achieve the above objectives each Authority will produce a supplementary document 'Skid Resistance Policy' and Skid Resistance Procedure Document.

This will include:-

- 3.1 The Rotherham MBC sections 'Transportation and Highways Design' and 'Highways Network Management' are responsible for the policy.
- 3.2 Identification of the Highway Network to which this policy will apply - "the defined network"
- 3.3 Processes for monitoring skid resistance across the Authorities road network on an ongoing basis
- 3.4 Definition of Investigatory Levels to be assigned to the defined network - this will depend on a range of factors including the speed limit and geometry of the road.
- 3.5 Procedures for identifying skid deficient sites and sites for further investigation including the use of collision data to determine whether inadequate skidding resistance could be a factor.
- 3.6 Setting out a process for determining any subsequent treatment
- 3.7 Recommending appropriate actions to negate risks
- 3.8 Identifying how sites will be prioritised
- 3.9 Prioritising Skid deficient sites for any treatment or improvement works
- 3.10 Incorporating prioritised sites into annual highway maintenance works programmes taking account of budget and programme considerations.

4. Legal Duties and responsibilities.

4.1 Highway Authorities have a statutory duty under Section 41 of the Highways Act 1980 "to maintain highways that are maintainable at public expense"

4.2 Although the formal management of highway skid resistance is not a legal requirement it is considered good practice as guided by the document 'Well-managed Highway Infrastructure: A Code of practice', and it supports the aims and objectives as set out in the Highway Authorities of South Yorkshire Overarching Highway Asset Management Plan(s) and Safer Roads Strategy as well as Rotherham MBC's Highway Asset Management Plan (HAMP).

4.3 Section 58 Defence –

4.3.1 Section 58 of the Highways Act 1980 provides the ability to form a statutory defence to counter legal actions for negligence. Any Authority must be able to prove in a court of law that it has taken 'such care as is in all the circumstances reasonably required to secure that part of the highway to which the action relates was not dangerous for traffic.'

4.3.2 Section 58 of The Highways Act 1980 does not stipulate the standard of maintenance applicable to the highway. It is accepted by the Courts that different standards of maintenance are applicable to different parts of the

highway network; this may relate to vehicle and pedestrian usage as well as the speed of the vehicles using the highway.

4.4. When considering a third party legal action against any of the Highway Authorities of South Yorkshire the Court will consider such factors as:

4.4.1 The character of the highway and the traffic which was reasonably to be expected to use it

4.4.2 The standard of maintenance appropriate for a highway of that character and used by such traffic

4.4.3 The state of repair in which a reasonable person would have expected to find the highway

4.4.4 Whether the Authority knew, or could reasonably have been 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

4.4.5 Whether the Authority could reasonably have been expected to repair that part of the highway before the cause of action arose.

4.5 The development of this skid resistance policy is to ensure a suitably structured procedure and strategy is implemented by each authority for the highway under its care and appropriate levels of skid resistance are maintained.

4.6 Importantly, this policy will provide documentary evidence of the Highway Authorities of South Yorkshire proactive approach to skid resistance management.

5. References

5.1 Highway Act 1980

5.2 Well-managed Highway Infrastructure: A Code of practice

5.3 HD28/15 Skidding Resistance

5.4 South Yorkshire Safer Roads Strategy

5.5 Rotherham MBC – Highway Asset Management Plan (HAMP)

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Document History

Date	Description	Name
31/03/14	Draft 1 (old policy document)	S Finley/ N Ayrton
16/11/17	Draft 2	R Jackson/ N Ayrton

Executive Summary

Rotherham MBC is responsible for the maintenance of over 1,160km (725 miles) of roads. These are split into different types of road classification as shown below:

- Principal roads (A class) are the main strategic routes that carry large volumes of traffic around through the Borough.
- Non-principal roads (B and C class) are main roads of local strategic importance. They are through routes that link together the principal roads.
- Unclassified roads are minor routes carrying local traffic only. They tend to be mainly residential estate roads and rural roads.

The Council's Highway Asset Management Policy outlines the policies and procedures for highway and infrastructure maintenance, ensuring that assets are maintained in a strategic way. It contains a wide range of plans and strategies for the effective maintenance of the highway network including the requirement to monitor the skid resistance of roads so that the skid resistance across the network can be maintained to a safe and appropriate standard. These documents are continuously revised to ensure the information within remains current.

Skid resistance is an important property of the road surface relating to the safety of highway users, particularly in damp or wet conditions. Over the course of a road's life the surface can lose some of its characteristics associated with skid resistance.

- Formalise processes for monitoring skid resistance across the Council's road network on an ongoing basis.
- Identify sites where skid resistance may be a potential safety issue.
- Prioritise skid resistance deficient sites for improvement works.

The Policy

Rotherham's Skid Resistance Policy

To consider and analyse the current skid resistance of Rotherham's principal road network, non-principal road network and selected unclassified roads through the utilisation of 'continuous friction measuring equipment', and when combined with other relevant attributes, identify sections of road that may be considered for inclusion on a maintenance programme.

Method of Survey

Routine monitoring of skid resistance is carried out on a rolling programme of the defined network on a three year cycle using a Sideways Force Coefficient Routine Investigation Machine (SCRIM). This machine is a surface friction tester which accurately measures skidding resistance under constant load and at a constant speed on a wet road. It makes continuous measurements following a single line, typically along the inside wheel path and it provides survey data at ten metre intervals. On multi-lane roads, measurements are taken in lane one.

A defined programme of sites is held on Rotherham's Pavement Management System and roads are tested in both directions unless the road layout dictates otherwise.

Rotherham has adopted the Characteristic SCRIM Coefficient (CSC) approach to SCRIM surveys. This means that surveys are rotated in an early, mid and late season sequence. Three years of survey results are used to give a more stable set of data than the alternative Mean Summer SCRIM Coefficient (MSSC) method. The MSSC approach tests control sites three times a year and takes into account only 'in year' variations.

SCRIM results are received in HMDif format. Rotherham's computerised United Kingdom's Pavement Management System (UKPMS) is used to process and store this data. SCRIM survey data is calculated in the Pavement Management System in 10m lengths and provides individual readings for each direction of travel along the carriageway.

Site specific testing may be undertaken as a separate exercise using the 'Grip Tester' method in instances where a sideways coefficient routine investigation machine cannot be used. The results from 'Grip Tester' surveys will be converted to equivalent CSC values using correlations developed by the County Surveyors' Society Grip Tester User Group.

The network which will be subject to skid resistance testing is subject to revision if there are changes or amendments to the network. Testing will be carried out within the early, mid or late parts of the testing season over a three year period.

The Strategy

Introduction

Rotherham MBC, as Highway Authority, has a duty under the Highways Act 1980 to maintain the highway in a condition that is safe and fit for purpose. Adequate levels of skidding resistance on road surfaces is an important aspect of highway maintenance, and one that contributes to road safety.

The purpose of this document is to outline Rotherham MBC's approach to maintaining the appropriate levels of skid resistance on the adopted road network.

It provides a step by step approach to identifying and managing skid resistance deficient sites and sets out a process for determining options and recommendations and how these will be prioritised taking into account budget and programme considerations.

The procedures in this document set out a long term strategy to manage the skid resistance of the Borough's network to a consistent and safe level.

The document is structured around the Highways England Technical Standard HD28/15 – Skidding Resistance published in the Design Manual for Roads and Bridges (DMRB) Volume 7: Section 3.

The term 'skid resistance' used in this policy refers to the frictional properties of a road surface in wet conditions, measured using a specified device, under standardised conditions. The skid resistance of a wet or damp road surface can be substantially lower than the same surface when dry, and is more dependent on the condition of the surfacing material.

Skid resistance measurements are used as an assessment of a road's level of skid resistance and as an indication of the potential need for further investigation. However, it should be noted it does not represent the definitive skid resistance available to a road user making a particular manoeuvre at a particular time and at a particular speed.

The Defined Network

For the purpose of this strategy, the defined network comprises all principal roads (A roads), all non-principal roads (B and C roads) and the network of unclassified roads which are treated on a precautionary salt as part of Rotherham's Winter Service.

Exemptions to the Defined Network

Routine testing will not be carried out on the following sections of Rotherham's road network unless specifically requested to do so:

- Any road that is not on the 'defined network'
- Temporary road surfaces
- Roundabouts

- Unclassified roads that do not form part of the precautionary salting network
- Footways
- Coloured surfaces i.e. cycle lanes
- Worn manhole covers

Testing on these sections of the highway would only be undertaken if an assessment of the current data, a site visit and consultation with a materials consultant indicate that it is warranted.

The Procedure

Principles of the Procedure

Rotherham MBC will use the methodology in HD 28/15 as a template for its own Skid Resistance Policy; however this will be adapted to reflect local needs and resource constraints.

The broad principles of HD 28/15 and also the Council's policy are as follows:

- Skid resistance surveys will be undertaken annually on defined parts of the road network;
- The 'defined network' will be assigned 'site categories' and 'investigatory levels' in accordance with the table in Chapter 4: Volume 7: Section 3 of HD 28/15;
- Reviewing of the investigatory levels will be carried out in accordance with Chapter 4 and Annex 5 of HD 28/15 and will take place within three years which is consistent with the survey frequency;
- Skid resisting data for each part of the defined network will be analysed and compared against the investigatory level;
- Sites where skid resistance is at, or falls below the investigatory level will be considered for further investigation in accordance with Chapter 5 of HD 28/15. This further investigation will take into account other factors such as road traffic accident history;
- Detailed investigations shall be carried out in accordance with Chapter 6 of HD 28/15 where identified by Annex 7 of HD 28/15. A site investigation report will be completed for all sites which require a detailed investigation;
- Where treatment is deemed to be required, maintenance sites will be prioritised using a risk assessment approach and included into a work programme for action;
- The above principles will be applied on an ongoing basis so that skid resistance across the highway network is continually monitored and managed appropriately.

Skid Resistance Testing

Skid resistance is not a constant. It is influenced by various factors such as test speed, temperature, weather conditions and also longer term effects such as seasonal weather variations or change of traffic flows. Conditions are controlled as far as is practicably possible by:

- Measuring skid resistance in accordance with the defined criteria, within the nationally recognised testing periods
- Specifying a standard testing speed of 50km/h
- Providing up-to-date network details to the survey contractor

Investigatory Levels

Investigatory Levels (IL's) are an early warning sign and are set solely to trigger investigations at the locations identified. They are NOT an indication of inadequate skid resistance. Where measured values are above the IL's then the skid resistance is regarded as satisfactory when drivers follow the requirements of the Highway Code. Where measured values are below the IL's then the road should be considered to have a more detailed investigation of the skid resistance requirements. IL's are set in accordance with the Highways Agency's National Guidance HD 28/ 15 (Table 4.1 shown below). Rotherham's IL's are based on this document and are listed in Appendix B.

The IL's and SCRIM survey results will be shared with RMBC's Transportation and Highway Design Team.

Early Life Skid Resistance of Road Surfacing

The decision making process leading to the identification and prioritisation of sites for treatment is defined in Appendix A.

Newly laid asphalt surfaces can exhibit lower skid resistance than the same surface after a period of trafficking, which is caused by the binder film that initially coats the aggregate particles. In practice, a short-term drop of skid resistance below the IL is not unusual for sites where the average skid resistance over the summer period is above the IL. On its own, this should not necessitate the use of slippery road warning signs. However, where the skid resistance prior to maintenance was substantially above the IL, the new surface could result in a significant reduction in skid resistance. The use of slippery road warning signs is detailed in Appendix C.

Roles and Responsibilities

This section sets out the various roles and responsibilities for the management of the Skid Resistance Policy.

An annual skid resistance survey programme will be procured by Rotherham MBC.

The Network Management team will be responsible for the following:

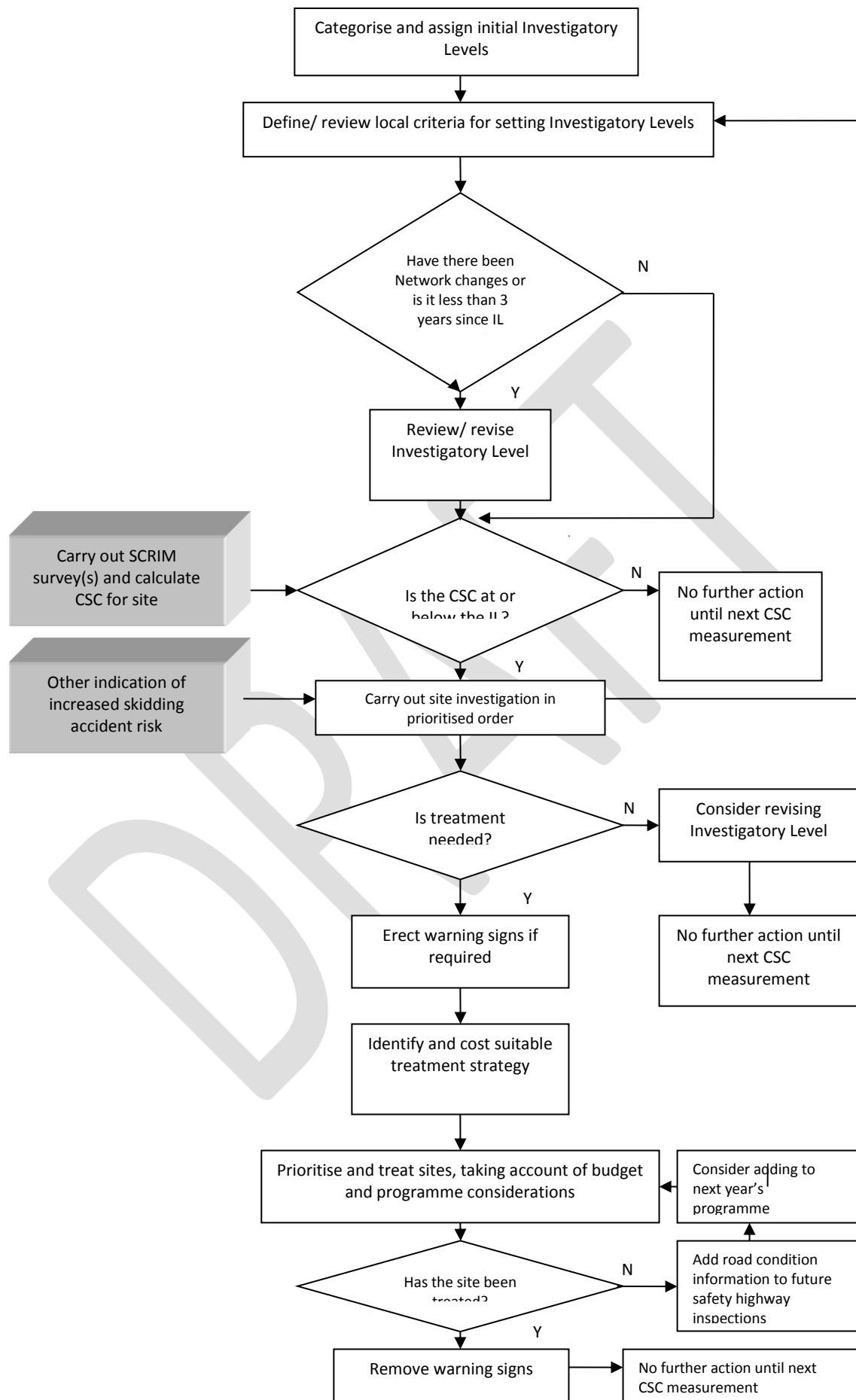
- Management, development, implementation and regular review of Rotherham MBC's Skid Resistance Policy;
- Identification of the defined network;

- Assignment of 'site categories' and 'investigatory levels';
- The timely procurement, management and delivery of skid resistance surveys through specialist accredited contractors;
- Developing a prioritised list of maintenance sites that would require works to improve the skid resistance and making informed decisions about when these are integrated into the annual highway works programme;
- Informing other Council departments of any issues affecting the site which may be additional to skid resistance issues, for example faded road markings or defective traffic signs;
- Reviewing of the 'site categories' and 'investigatory levels' for the defined network;
- Maintaining the appropriate records of site visits and associated documents.
- Results of the SCRIM condition surveys will be shared with the Transportation and Highway Design team.

The Transportation and Highway Design team will:

- Maintain records of personal injury accidents and incidents for interrogation.
- Process, analyse and review the skid resistance data at locations where accidents have been reported;
- Carry out an analysis of the results of the SCRIM condition surveys;
- Carry out an analysis of accident hot spots. 'Accident hot spots' are defined areas of 1,000sm, where five or more personal injury accidents have been reported.

Appendix 3(A) – The Action Plan



Appendix 3(B) - Site categories and Investigatory Levels

(Table 4.1 From Design Manual for Roads and Bridges, Volume 7; Pavement Design and Maintenance; Section 3, Pavement Maintenance Assessment; Part 1 HD 28/15 Skidding Resistance)

Site Category and definition		IL for CSC data (Skid data speed corrected to 50km/h and seasonally corrected)							
		0.30	0.35	0.40	0.45	0.50	0.55	0.60	0.65
A	Motorway								
B	Non-event carriageway with one-way traffic								
C	Non-event carriageway with two-way traffic								
	Approaches to and across minor and major junctions,								
Q	approaches to roundabouts and traffic signals (see note 5)								
K	Approaches to pedestrian crossings and other high risk situations (see note 5)								
R	Roundabout								
G1	Gradient 5-10% longer than 50m (see note 6)								
G2	Gradient >10% longer than 50m (see note 6)								
S1	Bend radius <500m - carriageway with one-way traffic (see note 7)								
S2	Bend radius <500m - carriageway with two-way traffic (see note 7)								

- IL's for CSC data employed from the previous skid policy.
- IL's to be reassessed on the 'defined network' and changes implemented.

Notes applicable to all:

1. The IL should be compared with the mean CSC, calculated for the appropriate averaging length.
2. The averaging length is normally 100m or the length of a feature if it is shorter, except for roundabouts, where the averaging length is 10m.
3. Residual lengths less than 50% of a complete averaging length may be attached to the penultimate full averaging length, providing that the Site Category is the same.
4. As part of site investigation, individual values within each averaging length should be examined and the significance of any values that are substantially lower than the mean value assessed.

Notes applicable to specific site categories

5. IL's for site categories Q and K are based on the 50m approach to the feature and, in the case of approach to junctions, through to the extent of the junction. The approach length shall be extended when justified by local site characteristics.
6. Categories G1 and G2 should not be applied to uphill gradients on carriageways with one-way traffic.

7. Categories S1 and S2 should be applied only to bends with a speed limit of 50 mph or above, except if the radius of the bend is <100m, where the S1 and S2 categories shall be applied at all speeds.

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Appendix 3(C) - Prioritisation of Treatment

The most appropriate form of treatment will be identified for each site which is found to require works to restore an adequate level of skid resistance. Often this will be a surface treatment.

Where works are identified as being necessary following skid resistance investigations a system of works prioritisation will be adopted.

Prioritisation uses both technical appraisal and a risk based approach.

In collaboration with RMBC's Transportation and Highway Design team, once sites have been confirmed from the site inspection process a series of factors will be applied to reflect the likelihood of vehicles being involved in accidents and therefore prioritising roads for treatment based on the score.

The Use of Slippery Road Warning Signs

The use of these warning signs would normally be considered where any of the following situations apply and following a site investigation:

- As part of a highways maintenance programme
- Where anti-skid surfacing is to be applied
- Where carriageway resurfacing is to be carried out
- Where any type of surface treatment is to be applied
- Where it is known that the skid resistance is substantially below the IL
- Where Rotherham's Transportation and Highways Design Team's investigations show that there are known accident cluster sites

The signs are in accordance with diagram 557 of the Traffic Signs Manual, chapter 4 and in conjunction with an appropriate supplementary plate, diagram 570.

Where slippery road warning signs are erected, they shall be maintained until the maintenance works are carried out. They would be removed as soon as they are no longer required.

Detailed Investigation

The detailed investigation will be carried out on sites identified through the initial investigation process in order to reach a decision about the best course of action. The data obtained during the initial investigation shall be transferred through into the detailed investigation and recorded on a Site Investigation Report Template.

Site Reference	Criteria and Scores					Line Score
Number of RTC's	0	1	2	3+	9	
	0	3	6	9		
Fatal RTC's	No	Yes				
	0	1				
Wet Weather RTC's	No	Yes				
	0	1				
Likely Impact	Slight	Slight/ Serious	Serious	Serious/ Fatal		
	1	2	3	4		
Skid Resistance Difference	>0	>0.05 and <=0.05	>-0.10 and <=0.05	>-0.15 and <=0.1	>0.15	
	0	1	2	4	6	
Poor Texture	No	Yes				
	0	1				

Site Investigation

The Site Investigation Report Template will also obtain other data if considered relevant. The level of detail appropriate for the investigation will depend upon the nature of the site and the time since a detailed investigation was last carried out. As a result of the detailed investigation, a clear recommendation shall be recorded, including if no treatment is required.

There are a number of recommendations available to the investigating engineer:

1. Other road safety measures

If the detailed investigation identifies any characteristic of the site or road user behaviour that suggests other road safety engineering measures could be appropriate, then the relevant department will be advised.

2. Additional routine maintenance

If the detailed investigation identifies requirements for additional routine highway maintenance, such as sweeping, renewal of markings, then the relevant department will be advised.

3. Surface treatment or resurfacing

Treatment to improve the skid resistance shall be recommended if, taking into account the nature of the site and the recorded crash history, it is likely to reduce the risk of collisions in wet conditions. Treatment may also be recommended if the skid resistance, combined with the nature of the individual site, suggests that the recorded collision count underestimates the level of risk.

4. Reclassified of Intervention Levels

If the skid resistance and collision pattern at sites at or below the IL have remained stable for more than three years, then the IL can be lowered by 0.05 units of CSC providing it remains within the range of IL's for that particular site category.

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APPENDIX 4 – GLOSSARY OF TERMS

Abbreviation	Description
ADEPT	Association of Directors of Environment, Economy, Planning and Transport
APSE	Association of Public Service Excellence
ASI	Additional Safety Inspection
BMBC	Barnsley Metropolitan Borough Council
BVPI	Best Value Performance Indicator
CAT	Category
CIRIA	Construction Industry Research and Information Association
CoPHIA	Code of Practice Highway Inspection and Assessment
CoPHMM	Code of Practice for Highway Maintenance Management
CoPWMHI	Code of Practice Well-managed Highway Infrastructure
CSC	Characteristic SCRIM Coefficient
CVI	Coarse Visual Inspection
DMBC	Doncaster Metropolitan Borough Council
DMRB	Design Manual for Roads and Bridges
GPS	Global Positioning System
HAMP	Highway Asset Management Plan
HGV	Heavy Goods Vehicle
HIAMG	Highway Infrastructure Asset Management Guidance
IL	Investigatory Level
ILE	Institute of Lighting Engineers
LA	Local Authority
MBC	Metropolitan Borough Council
m	Metre
mm	Millimetre
mph	Miles per hour
MIL	Minimum Investigatory Level
MDT	Mobile Device Technology
MSSC	Mean Summer SCRIM Coefficient
NI	National Indicator
PFI	Private Finance Initiative
PI	Performance Indicator
PROW	Public Rights of Way
PU	Public Utility
RBA	Risk Based Approach
RMBC	Rotherham Metropolitan Borough Council
ROW	Rights of Way
ROWIP	Rights of Way Improvement Plan
SCANNER	Surface Condition Assessment of the National Network of Roads
SCI	Safety Car Park Inspection
SCRIM	Sideway-force Coefficient Routine Investigation Machine
SHI	Safety Highway Inspection
UK	United Kingdom
UKPMS	United Kingdom Pavement Management System

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UK ROADS LIAISON GROUP

WELL-MANAGED HIGHWAY INFRASTRUCTURE: A CODE OF PRACTICE



OCTOBER 2016

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COMMENTS & FEEDBACK

The UK Roads Liaison Group would welcome any comments and feedback on this Code of Practice, so that it may be reviewed, improved and refined to give the sector the best support possible.

If you wish to make a comment, or report any broken weblinks, please send an email to ukrlg@ciht.org.uk with the header, 'Feedback on Well-managed Highway Infrastructure: A Code of Practice'.

WELL-MANAGED HIGHWAY INFRASTRUCTURE: A CODE OF PRACTICE

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Highways Maintenance Efficiency Programme

Full details of Project Sponsors, Steering Group Members and Project Team are provided in the Acknowledgements section.

SUMMARY OF RECOMMENDATIONS

RECOMMENDATION 1 – USE OF THE CODE

This Code, in conjunction with the UKRLG Highway Infrastructure Asset Management Guidance, should be used as the starting point against which to develop, review and formally approve highway infrastructure maintenance policy and to identify and formally approve the nature and extent of any variations.

RECOMMENDATION 2 – ASSET MANAGEMENT FRAMEWORK

An Asset Management Framework should be developed and endorsed by senior decision makers. All activities outlined in the Framework should be documented.
(HIAMG Recommendation 1)

RECOMMENDATION 3 – ASSET MANAGEMENT POLICY AND STRATEGY

An asset management policy and a strategy should be developed and published. These should align with the corporate vision and demonstrate the contribution asset management makes towards achieving this vision. (HIAMG Recommendation 3)

RECOMMENDATION 4 – ENGAGING AND COMMUNICATING WITH STAKEHOLDERS

Relevant information should be actively communicated through engagement with relevant stakeholders in setting requirements, making decisions and reporting performance.
(Taken from HIAMG Recommendation 2)

RECOMMENDATION 5 – CONSISTENCY WITH OTHER AUTHORITIES

To ensure that users' reasonable expectations for consistency are taken into account, the approach of other local and strategic highway and transport authorities, especially those with integrated or adjoining networks, should be considered when developing highway infrastructure maintenance policies.

RECOMMENDATION 6 – AN INTEGRATED NETWORK

The highway network should be considered as an integrated set of assets when developing highway infrastructure maintenance policies

RECOMMENDATION 7 – RISK BASED APPROACH

A risk based approach should be adopted for all aspects of highway infrastructure maintenance, including setting levels of service, inspections, responses, resilience, priorities and programmes.

RECOMMENDATION 8 – INFORMATION MANAGEMENT

Information to support a risk based approach to highway maintenance should be collected, managed and made available in ways that are sustainable, secure, meet any statutory obligations, and, where appropriate, facilitate transparency for network users.

RECOMMENDATION 9 – NETWORK INVENTORY

A detailed inventory or register of highway assets, together with information on their scale, nature and use, should be maintained. The nature and extent of inventory collected should be fit for purpose and meet business needs. Where data or information held is considered sensitive, this should be managed in a security-minded way.

RECOMMENDATION 10 – ASSET DATA MANAGEMENT

The quality, currency, appropriateness and completeness of all data supporting asset management should be regularly reviewed. An asset register should be maintained that stores, manages and reports all relevant asset data.

(HIAMG Recommendation 5)

RECOMMENDATION 11 – ASSET MANAGEMENT SYSTEMS

Asset management systems should be sustainable and able to support the information required to enable asset management. Systems should be accessible to relevant staff and, where appropriate, support the provision of information for stakeholders.

(HIAMG Recommendation 12)

RECOMMENDATION 12 – NETWORK HIERARCHY

A network hierarchy, or a series of related hierarchies, should be defined which include all elements of the highway network, including carriageways, footways, cycle routes, structures, lighting and rights of way. The hierarchy should take into account current and expected use, resilience, and local economic and social factors such as industry, schools, hospitals and similar, as well as the desirability of continuity and of a consistent approach for walking and cycling.

RECOMMENDATION 13 – WHOLE LIFE / DESIGNING FOR MAINTENANCE

Authorities should take whole life costs into consideration when assessing options for maintenance, new and improved highway schemes. The future maintenance costs of such new infrastructure are therefore a prime consideration.

RECOMMENDATION 14 – RISK MANAGEMENT

The management of current and future risks associated with assets should be embedded within the approach to asset management. Strategic, tactical and operational risks should be included as should appropriate mitigation measures.

(HIAMG Recommendation 11)

RECOMMENDATION 15 – COMPETENCIES AND TRAINING

The appropriate competency required for asset management should be identified, and training should be provided where necessary.

(HIAMG Recommendation 10)

RECOMMENDATION 16 – INSPECTIONS

A risk-based inspection regime, including regular safety inspections, should be developed and implemented for all highway assets.

RECOMMENDATION 17 – CONDITION SURVEYS

An asset condition survey regime, based on asset management needs and any statutory reporting requirements, should be developed and implemented.

RECOMMENDATION 18 – MANAGEMENT SYSTEMS AND CLAIMS

Records should be kept of all activities, particularly safety and other inspections, including the time and nature of any response, and procedures established to ensure efficient management of claims whilst protecting the authority from unjustified or fraudulent claims.

RECOMMENDATION 19 – DEFECT REPAIR

A risk-based defect repair regime should be developed and implemented for all highway assets.

RECOMMENDATION 20 – RESILIENT NETWORK

Within the highway network hierarchy a 'Resilient Network' should be identified to which priority is given through maintenance and other measures to maintain economic activity and access to key services during extreme weather.

RECOMMENDATION 21 – CLIMATE CHANGE ADAPTATION

The effects of extreme weather events on highway infrastructure assets should be risk assessed and ways to mitigate the impacts of the highest risks identified.

RECOMMENDATION 22 – DRAINAGE MAINTENANCE

Drainage assets should be maintained in good working order to reduce the threat and scale of flooding. Particular attention should be paid to locations known to be prone to problems, so that drainage systems operate close to their designed efficiency.

RECOMMENDATION 23 – CIVIL EMERGENCIES AND SEVERE WEATHER EMERGENCIES PLANS

The role and responsibilities of the Highway Authority in responding to civil emergencies should be defined in the authority's Civil Emergency Plan. A Severe Weather Emergencies Plan should also be established in consultation with others, including emergency services, relevant authorities and agencies. It should include operational, resource and contingency plans and procedures to enable timely and effective action by the Highway Authority to mitigate the effects of severe weather on the network and provide the best practicable service in the circumstances.

RECOMMENDATION 24 – COMMUNICATIONS

Severe Weather and Civil Emergencies Plans should incorporate a communications plan to ensure that information including weather and flood forecasts are received through agreed channels and that information is disseminated to highway users through a range of media.

RECOMMENDATION 25 – LEARNING FROM EVENTS

Severe Weather and Civil Emergencies Plans should be regularly rehearsed and refined as necessary. The effectiveness of the Plans should be reviewed after actual events and the learning used to develop them as necessary.

RECOMMENDATION 26 – PERFORMANCE MANAGEMENT FRAMEWORK

A performance management framework should be developed that is clear and accessible to stakeholders as appropriate and supports the asset management strategy. (HIAMG Recommendation 4)

RECOMMENDATION 27 – PERFORMANCE MONITORING

The performance of the Asset Management Framework should be monitored and reported. It should be reviewed regularly by senior decision makers and when appropriate, improvement actions should be taken. (HIAMG Recommendation 13)

RECOMMENDATION 28 – FINANCIAL PLANS

Financial plans should be prepared for all highway maintenance activities covering short, medium and long term time horizons.

RECOMMENDATION 29 – LIFECYCLE PLANS

Lifecycle planning principles should be used to review the level of funding, support investment decisions and substantiate the need for appropriate and sustainable long term investment. (HIAMG Recommendation 6)

RECOMMENDATION 30 – CROSS ASSET PRIORITIES

In developing priorities and programmes, consideration should be given to prioritising across asset groups as well as within them.

RECOMMENDATION 31 – WORKS PROGRAMMING

A prioritised forward works programme for a rolling period of three to five years should be developed and updated regularly. (HIAMG Recommendation 7)

RECOMMENDATION 32 – CARBON

The impact of highway infrastructure maintenance activities in terms of whole life carbon costs should be taken into account when determining appropriate interventions, materials and treatments.

RECOMMENDATION 33 – CONSISTENCY WITH CHARACTER

Determination of materials, products and treatments for the highway network should take into account the character of the area as well as factoring in whole life costing and sustainability. The materials, products and treatments used for highway maintenance should meet requirements for effectiveness and durability.

RECOMMENDATION 34 – HERITAGE ASSETS

Authorities should identify a schedule of listed structures, ancient monuments and other relevant assets and work with relevant organisations to ensure that maintenance reflects planning requirements.

RECOMMENDATION 35 – ENVIRONMENTAL IMPACT, NATURE CONSERVATION AND BIODIVERSITY

Materials, products and treatments for highway infrastructure maintenance should be appraised for environmental impact and for wider issues of sustainability. Highway verges, trees and landscaped areas should be managed with regard to their nature conservation value and biodiversity principles as well as whole-life costing, highway safety and serviceability.

RECOMMENDATION 36 – MINIMISING CLUTTER

Opportunities to simplify signs and other street furniture and to remove redundant items should be taken into account when planning highway infrastructure maintenance activities.

WELL-MANAGED HIGHWAY INFRASTRUCTURE

PART A. OVERARCHING PRINCIPLES

SECTION A.1.

INTRODUCTION

A.1.1. PRINCIPLES AND CONTEXT OF THIS CODE

- A.1.1.1. This document is the first edition of 'Well-managed Highway Infrastructure'. It replaces Well-maintained Highways, Management of Highway Structures and Well-lit Highways.
- A.1.1.2. The Code is intended to apply throughout the United Kingdom. Production has been overseen by the UK Roads Liaison Group (UKRLG) and its Roads, Bridges and Lighting Boards. It is recognised that there are differences in approach to some matters in England, Scotland, Wales and Northern Ireland, which are not always detailed in the Code, but general principles are set out.
- A.1.1.3. The Code is designed to promote the adoption of an integrated asset management approach to highway infrastructure based on the establishment of local levels of service through risk-based assessment. It also includes guidance on some additional topics.
- A.1.1.4. The Code is produced as a single document to emphasise the integrated approach to highway network infrastructure assets. Overarching matters are dealt with in Part A and additional asset specific matters in Parts B, C and D.
- A.1.1.5. Delivery of a safe and well maintained highway network relies on good evidence and sound engineering judgement. The intention of this Code is that Authorities will develop their own levels of service and the Code therefore provides guidance for authorities to consider when developing their approach in accordance with local needs, priorities and affordability.
- A.1.1.6. Changing from reliance on specific guidance and recommendations in the previous Codes to a risk-based approach determined by each Highway Authority will involve appropriate analysis, development and gaining of approval through authorities' executive processes. Some authorities may be able to implement a full risk-based approach immediately. Others may require more time and may choose to continue with existing practices for an interim period, in which case the previous Codes will remain valid for them until the earlier of when they have implemented their approach or a period of two years from the date of publication of this Code.
- A.1.1.7. In the interest of route consistency for highway users, all authorities, including strategic, local, combined and those in alliances, are encouraged to collaborate in determining levels of service, especially across boundaries with neighbours responsible for strategic and local highway networks. Boundaries are not usually apparent to users and authorities should be aware of the possibility of distinct changes to levels of service through a risk-based local approach, both across authority boundaries and between roads with different character within an authority.
- A.1.1.8. All Highway Authorities should consider adoption of new and emerging technologies as part of their highway service. This should include consideration of new ideas, methods of working and innovation in order to drive greater efficiency.

- A.1.1.9. References to third party documents and web sites are included throughout to provide further information and support on various topics, but are not to be seen as part of the Code of Practice. References are to the version current at the time of this Code's publication, unless otherwise indicated.

A.1.2. STATUS OF THE CODE

- A.1.2.1. This Code of Practice is not statutory but provides Highway Authorities with guidance on highways management. Adoption of the recommendations within this document is a matter for each Highway Authority, based on their own legal interpretation, risks, needs and priorities.

A.1.3. GUIDANCE HIERARCHY

- A.1.3.1. The UKRLG guidance hierarchy is shown in Figure 1. This diagram is updated from the [UKRLG Highway Infrastructure Asset Management Guidance \(HIAMG\)](#) to reflect this single Code replacing Well-maintained Highways, Well-lit Highways and Management of Highway Structures. It is intended that Part A of this Code should also apply to [Management of Electronic Traffic Equipment](#).

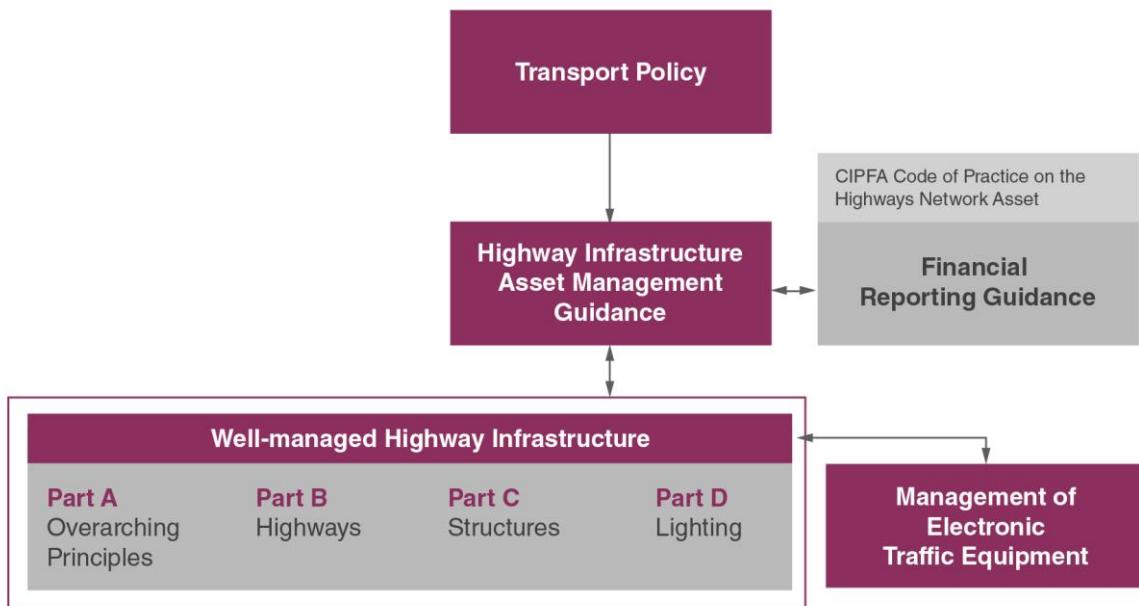


Figure 1 – Hierarchy of Guidance

- A.1.3.2. The HIAMG sets out the approach to asset management. This Code refers extensively to the [HIAMG](#) and is intended to be useful additional guidance. Topics covered in the HIAMG are referred to, but not repeated in this Code. Nothing in this Code supersedes the HIAMG, unless specifically stated.
- A.1.3.3. The HIAMG sets out the activities that support asset management:
- the context of asset management;
 - the asset management planning process; and
 - enablers to support implementation of asset management.

A.1.3.4. In Scotland and Wales, the principles and recommendations of the HIAMG are accepted, however, CSS Wales and the Society of Chief Officers of Transportation in Scotland (CSSW/SCOTS) have jointly developed practical Asset Management Guidance for use in Scotland and Wales. Topics covered in the CSSW/SCOTS Asset Management Guidance are referred to, but not repeated in this Code. This Code is not intended to supersede the CSSW/SCOTS Highway Asset Management Guidance, unless specifically stated.

A.1.4. TERMINOLOGY

A.1.4.1. For the purposes of this Code publicly understood definitions are used for the major parts of the highway. There are also differences in definitions across the various legal systems in the UK that would be inappropriate to repeat at length. In such cases the English term is used. The main relevant definitions are:

- The term ‘highway’ is used to include ‘road’ and ‘street’.
- The term ‘authority’ is used to include all forms of national and local authorities having responsibility for highway infrastructure management.
- The term ‘carriageway’ is used for facilities used by motor vehicles.
- The term ‘footway’ is used for that part of a highway over which the public have a right of way on foot only, e.g. segregated surfaced paths used by pedestrians. ‘Footway’ includes the commonly understood use of the term ‘pavement’. The term ‘remote footway’ is used where a footway is not immediately adjoining a carriageway. The term ‘housing footway’ is used for those footways serving predominantly housing areas which may be unadopted as public highways but have established public rights of access and may be maintained separately by the housing authority. Users will make no distinction and will consider the footway network as a whole.
- The term ‘footpath’ is used for the majority of Public Rights of Way (PROW).
- The term ‘cycle route’ is used as the collective term for facilities used by cyclists. These include cycle lanes on carriageways, cycle tracks adjacent to or away from carriageways, on carriageway provision with cycle symbols and shared use facilities.

A.1.4.2. Some supporting documents use industry terms. These are not used in the Code, but are referenced for completeness. The main items are:

- The industry term ‘running surface’ is used as the collective term for all hardened surfaces within the highway, including carriageways, footways and cycle routes.
- The industry term ‘pavement’ is used for the construction of running surfaces, particularly carriageways.

A.1.5. RELATED ACTIVITIES

- A.1.5.1. There are a number of related functions that are not dealt with in detail by this Code, but which could affect and be affected by highway infrastructure maintenance activity. They have the potential for value to be added through co-operation and co-ordination. Such functions include:
- network management, including implementation of the traffic management duty, or equivalent;
 - highway development control, including securing funds associated with developer obligations;
 - integrated street management, including cleansing; and
 - town centre management, including use of public space.

A.1.6. MAINTENANCE PRACTICE

- A.1.6.1. Maintenance types contribute in varying degrees to the core objectives of safety, customer service, serviceability and sustainability. Levels of service and delivery arrangements should be established having regard to these objectives and be focussed on outcomes, rather than on inputs mainly related to maintenance type.
- A.1.6.2. The main types of maintenance are as follows:
- reactive – responding to inspections, complaints or emergencies;
 - routine – regular schedule, generally for lamp replacement, patching, cleaning, grass cutting and landscape maintenance, cleaning bridge drainage;
 - programmed – flexibly planned schemes primarily of reconditioning or structural renewal;
 - regulatory – inspecting and regulating the activities of others;
 - Winter Service; and
 - resilience and emergencies.

A.1.7. LIMITATIONS TO THE CODE OF PRACTICE

- A.1.7.1. The Code is not intended as a detailed technical reference for all aspects of highway infrastructure maintenance or to repeat technical guidance available elsewhere. Areas referred to but not dealt with in detail include:
- highway improvement and new construction;
 - network management, including management of utilities;
 - management and maintenance of Public Rights of Way; and
 - management of street cleansing.

A.1.8. FURTHER ADVICE AND GUIDANCE

- A.1.8.1. The Highways Maintenance Efficiency Programme (HMEP) has developed a wide range of guidance on topics from asset management to procurement. This is available from the [HMEP homepage](#) or via the weblinks below.

Asset Management

- [Highway Infrastructure Asset Management Guidance](#)
- [Asset Management E-learning Toolkit](#)
- [Guidance on the Management of Highways Drainage Assets](#)
- [Lifecycle Planning Toolkit, incorporating default carriageway deterioration models](#)
- [The Potholes Review](#)

Collaboration & Change

- [Maximising Client and Provider Collaboration in Highways Maintenance Services](#)
- [Local Highway Authorities Collaborative Alliance Toolkit](#)
- [Creating the Culture to Deliver Toolkit](#)
- [A LEAN Toolkit for Highway Services](#)
- [Shared Services Toolkit](#)

Procurement, Contracting and Standardisation

- [The Standard Form of Contract for Highways Maintenance Services](#)
- [Guidance on a Standard Specification and Standard Details for Local Highway Maintenance](#)
- [Procurement Route Choices Toolkit for Highways Maintenance Services](#)
- [Supply Chain Collaboration Toolkit](#)
- [Collaborative Contracting Strategy](#)

- A.1.8.2. Transport Scotland and SCOTS have developed a range of guidance on collaboration and service improvement:

- www.improvementservice.org.uk/roads-collaboration-programme.html
- <https://khub.net/web/roads-collaboration-programme>
- www.transportscotland.gov.uk
- <http://www.improvementservice.org.uk/benchmarking/>

- <https://khub.net/web/scots-society-of-chief-officers-of-transportation-in-scotland->
- A.1.8.3. The UKRLG carried out a study into the provision of design and maintenance guidance for Local Highway Authorities. Through consultation with local authority practitioners, the study identified examples of relevant good practice documents that have been produced around the UK. 48 examples of good practice documents collated from local authorities from across the UK can be found at the [CIHT's Transport Advice Portal](#).
- A.1.8.4. The same study identified gaps in guidance and produced new guidance documents to address these gaps:
- [Whole Life Costing for Option Appraisal of Maintenance Schemes for Local Authorities](#)
 - [Provision of Road Restraint Systems on Local Highway Authority Roads](#)
 - [Departures from Standards: Procedures for Local Highway Authorities](#)
- A.1.8.5. The [Potholes Review, Prevention and a Better Cure](#) makes 17 recommendations that will, if implemented, provide an improvement in highway maintenance and reduce the number of potholes occurring. There are three key messages: prevention is better than cure; right first time for better repairs; clarity for the public.
- A.1.8.6. [Guidance on implementing disabled persons parking places in Scotland](#) has been produced by SCOTS.
- A.1.8.7. [Planning for Walking](#) has been published by the Chartered Institution of Highways and Transportation.
- A.1.8.8. [Street Design for All](#), 2014, provides an update to advice and good practice.
- A.1.8.9. Guidance on design for cycling may be found in the Department for Transport [LTN2/08 Cycle infrastructure design](#) (2008), the Welsh Government's [Active Travel Design Guidance](#) (2014), and Transport for London's "[London Cycling Design Standards](#)" (2014) which includes specific advice on designing for cyclists at roadworks.
- A.1.8.10. In 2016, Sustrans published their [Greenway management handbook](#), which provides guidance on how to manage traffic free cycle and walking routes or 'greenways' for the benefit of both people and wildlife.
- A.1.8.11. [Guidelines for Motorcycling](#) has been published by the Institute of Highway Engineers.
- A.1.8.12. SCOTS has published guidance on the [management of tributes placed at the scene of road deaths](#).

SECTION A.2. POLICY FRAMEWORK

A.2.1. USING THE CODE IN THE DEVELOPMENT OF ASSET MANAGEMENT POLICY

- A.2.1.1. Asset management policy is dealt with in the [UKRLG Highway Infrastructure Asset Management Guidance Document, Part B](#). This document should be referred to and the advice below considered supplementary.
- A.2.1.2.** Asset management is widely accepted as a means to deliver a more efficient and effective approach to management of highway infrastructure assets through longer term planning and ensuring that levels of service are defined and achievable for available budgets. It supports making the case for funding, for better communication with stakeholders, and facilitates a greater understanding of the contribution highway infrastructure assets make to economic growth and social well-being of local communities.
- A.2.1.3. Authorities have certain legal obligations with which they need to comply, and which may be the subject of claims for loss or personal injury or of legal action by those seeking to establish non-compliance by authorities. It is recognised that in such cases, the Code may be considered to be a relevant consideration. Where authorities elect in the light of local circumstances to adopt policies or approaches different from those suggested by the Code, it is essential that they are identified, together with the reasoning for such differences, be approved by the authority's Executive and published.

RECOMMENDATION 1 – USE OF THE CODE

This Code, in conjunction with the UKRLG Highway Infrastructure Asset Management Guidance, should be used as the starting point against which to develop, review and formally approve highway infrastructure maintenance policy and to identify and formally approve the nature and extent of any variations.

RECOMMENDATION 2 – ASSET MANAGEMENT FRAMEWORK

An Asset Management Framework should be developed and endorsed by senior decision makers. All activities outlined in the Framework should be documented. (HIAMG Recommendation 1)

RECOMMENDATION 3 – ASSET MANAGEMENT POLICY AND STRATEGY

An asset management policy and a strategy should be developed and published. These should align with the corporate vision and demonstrate the contribution asset management makes towards achieving this vision. (HIAMG Recommendation 3)

- A.2.1.4. Authorities should also be conscious of HIAMG Recommendations 8, 9 and 14 (Leadership and Commitment, Making the Case for Asset Management and Benchmarking) in respect to asset management.

A.2.2. STAKEHOLDERS AND COMMUNICATION

- A.2.2.1. Stakeholder expectations and the importance of good communications and liaison are dealt with in the [UKRLG Highway Infrastructure Asset Management Guidance Document, Part A](#). This document should be referred to and the advice below considered supplementary.
- A.2.2.2. Arrangements should be established to facilitate the involvement of all authority elected members, employees, contractors and agents in building commitment and pride in the highway maintenance service and maximising individual contributions to the process of continuous improvement.
- A.2.2.3. Many aspects of the maintenance process are highly technical and may be difficult to explain, but it is important that legal duties and obligations are understood. Users' concerns may tend to focus on the short term, more visible deficiencies in the network rather than the underlying less apparent problems. CIHT has published a document [Involving the Public and Other Stakeholders](#) which provides guidance on this topic.

RECOMMENDATION 4 – ENGAGING AND COMMUNICATING WITH STAKEHOLDERS

Relevant information should be actively communicated through engagement with relevant stakeholders in setting requirements, making decisions and reporting performance.

(Taken from HIAMG Recommendation 2)

A.2.3. OTHER AUTHORITIES

- A.2.3.1. Consultation will be necessary with other local, combined and strategic Highway Authorities, especially adjoining authorities, as part of the duty to manage the network and to ensure that users' reasonable requirements for consistency of service and integrated programming of works are considered and taken into account.
- A.2.3.2. Responsibility for assets on authority boundaries, e.g. river bridges, should be agreed with adjoining authorities.
- A.2.3.3. It may be appropriate for authorities to enter into agreements with adjacent or other authorities for certain aspects of service to be carried out by one authority on behalf of the other. [Guidance on provision of shared services](#) is provided by HMEP.
- A.2.3.4. Consultation and coordination will also be required with utilities, public transport operators and other key stakeholders.
- A.2.3.5. Consultation and agreements should be recorded.

RECOMMENDATION 5 – CONSISTENCY WITH OTHER AUTHORITIES

To ensure that users' reasonable expectations for consistency are taken into account, the approach of other local and strategic highway and transport authorities, especially those with integrated or adjoining networks, should be considered when developing highway infrastructure maintenance policies.

A.2.4. INTEGRATED NETWORK MANAGEMENT

- A.2.4.1. Highway infrastructure management policy needs to be developed integrally with the overall management of the network. Transport users, whatever their mode, do not distinguish between many categories of road, or types of work, whether maintenance or improvement. It is irrelevant to them who is undertaking the work, whether local authority, contractor or utility. They expect the network to be managed and maintained holistically to provide consistent and appropriate levels of service and the ability to change modes as easily as possible.
- A.2.4.2. Planning for highway maintenance should take into account and add value to other elements of local transport policy and strategy wherever possible, including supporting economic growth, regeneration, public health, resilience, emergency services, walking and cycling, bus and freight partnerships, casualty reduction and prevention, travel planning, safer routes to school, and routes to stations and other interchange facilities.
- A.2.4.3. Authorities should have regard to the totality of highway network management functions, including asset management, traffic management, parking and other regulatory functions.
- A.2.4.4. Authorities should consider the needs of all road users, particularly vulnerable users, in planning and managing the network. This has special implications for maintenance, as when schemes are planned and programmed there may be an opportunity to incorporate added value to the safety, priority, integrity or quality of:
- footways and crossing facilities (particularly for vulnerable users);
 - cycle routes and crossing facilities;
 - riders of motorcycles;
 - equestrians and crossing facilities;
 - facilities for public transport and users (and also to influence reliability); and
 - facilities for freight movement.
- A.2.4.5. Planning and budgeting for highway maintenance should also recognise that integrated transport, especially in urban areas, is likely to result in a more complex and diverse streetscene. Good design may limit the scale of more complex signage, but a wider range of more expensive signs, road markings, coloured surfacing and other materials may be necessary for management. When considering these features, authorities should take into account the potential cost of keeping this more complex arrangement in good order.
- A.2.4.6. Policies, priorities and programmes for highway maintenance should have particular regard to the principles of sustainability.
- A.2.4.7. When determining the balance between structural, preventative and reactive maintenance, the principle that “prevention is better than cure” should be adopted.

- A.2.4.8. In areas where public transport is not regulated, routes of services may be less predictable and vary more frequently. Close liaison with operators will be necessary if works are to be co-ordinated so as to minimise disruption to public transport users. Other forms of public transport, including light rail and guided bus schemes, bring their own challenges for maintenance, especially Winter Service.
- A.2.4.9. [Manual for Streets](#), 2007, provides guidance on effective street design where appropriate, for a range of practitioners involved in the planning, design, provision and approval of new residential streets and modifications to existing ones. [Manual for Streets 2](#), 2010 explains how the principles can be applied more widely. In Scotland, the relevant document is [Designing Streets](#).
- A.2.4.10. It may be appropriate for authorities to develop a series of related policies for specific assets or for specific activities, e.g.:
- highways;
 - footways;
 - cycle routes;
 - structures;
 - lighting;
 - trees;
 - designing for maintenance;
 - skidding resistance; and
 - sustainability.

RECOMMENDATION 6– AN INTEGRATED NETWORK

The highway network should be considered as an integrated set of assets when developing highway infrastructure maintenance policies.

A.2.5. RISK BASED APPROACH

- A.2.5.1. Authorities should adopt a risk-based approach and a risk management regime for all aspects of highway maintenance policy. This will include investment, setting levels of service, operations, including safety and condition inspections, and determining repair priorities and replacement programmes. It should be undertaken against a clear and comprehensive understanding and assessment of the likelihood of asset failure and the consequences involved.
- A.2.5.2. There are no prescriptive or minimum standards in this Code. Adoption of a risk based approach, taking account of the advice in the Code, will enable authorities to establish and implement levels of service appropriate to their circumstances.

RECOMMENDATION 7 – RISK BASED APPROACH

A risk based approach should be adopted for all aspects of highway infrastructure maintenance, including setting levels of service, inspections, responses, resilience, priorities and programmes.

A.2.6. SECURITY MINDED APPROACH

- A.2.6.1. Authorities should adopt a security-minded approach to their assets, information and people through understanding and routine application of appropriate and proportionate security measures to deter and/or disrupt hostile, malicious, fraudulent and criminal behaviours or activities. To support such an approach, the Centre for the Protection of National Infrastructure has published [Passport to Good Security](#).

A.2.7. INFORMATION MANAGEMENT

- A.2.7.1. Information is fundamental to the development of infrastructure maintenance policy and to the ability to communicate effectively with stakeholders. Effective and sustainable management of that information, which is likely to arise from many sources, and the distribution of that information to stakeholders and network users is crucial.
- A.2.7.2. A risk-based approach to highway maintenance needs to be founded on information that is sufficiently robust to enable decisions on levels of service to be taken and reviewed over time.
- A.2.7.3. Records of construction and maintenance treatments should be kept to inform lifecycle plans. Information on mobile electronic devices used by maintenance practitioners in the field can support their decision making and reporting of asset condition and defects in real time.
- A.2.7.4. Authorities should be aware of the need to identify and protect information which could impact on the safety and security of individuals, sensitive assets and systems and the benefits which the sensitive asset or system exist to deliver, through the adoption of a security-minded approach to the handling and management of data and information.
- A.2.7.5. From time to time, governments may require specific information to be reported, either to themselves or publicly, e.g. on authorities' websites, and authorities' information systems should facilitate this.
- A.2.7.6. The Building Information Modelling (BIM) approach, sometimes known as Better Information Management, is being introduced into the construction industry. It involves supply chain collaboration in the creation and use of intelligent three-dimensional models and accompanying data and information to drive efficiency, aid communication and facilitate better management of assets over their lifecycle. The Department for Transport and UKRLG have produced [BIM Guidance for Infrastructure Bodies](#).
- A.2.7.7. The British Standards Institution has published a series of Standards: [BS 1192:2007](#), [PAS 1192-2:2013](#), [PAS 1192-3:2014](#), [BS 1192-4:2014](#), [PAS 1192-5:2015](#) and [BS 8536-1:2015](#).

RECOMMENDATION 8 – INFORMATION MANAGEMENT

Information to support a risk-based approach to highway maintenance should be collected, managed and made available in ways that are sustainable, secure, meet any statutory obligations, and, where appropriate, facilitate transparency for network users.

SECTION A.3. LEGAL FRAMEWORK

A.3.1. GENERAL AND SPECIFIC REQUIREMENTS

- A.3.1.1. General duties and powers are dealt with in this Part of the Code. Duties and powers related to specific assets, e.g. highways, structures and lighting, are dealt with in the relevant parts of the Code.
- A.3.1.2. Much of highway infrastructure maintenance activity is based upon statutory powers and duties contained in legislation and precedents developed over time as a result of claims and legal proceedings. Some important aspects of these statutory powers and duties are noted in this section. The UK Highway Liability Joint Task Group has developed [guidance on Highway Risk and Liability Claims](#).
- A.3.1.3. All those involved in highway maintenance, including members of authorities, should have a clear understanding of their duties and powers, their implications, and the procedures used to manage and mitigate risk.
- A.3.1.4. Specific legislation mentioned is generally that for England. Scotland, Wales and Northern Ireland often have equivalent or similar legislation and the phrase 'or equivalent' following mention of an Act of Parliament is intended to refer to these. Nothing in or omitted from this Code can, of course, supersede the law.

A.3.2. GENERAL REQUIREMENTS

Duty of Care

- A.3.2.1. There are many specific duties and powers, but even in the absence of specific duties and powers, authorities have a general duty of care to users and the community to maintain the highway in a condition fit for its purpose. This principle should be applied to all decisions affecting policy, priority, programming and implementation of highway maintenance works.

Health and Safety

- A.3.2.2. [The Health and Safety at Work Act 1974](#), or equivalent, together with the [Construction \(Design and Management\) Regulations 2015](#), or equivalent, provide for a requirement for highway, traffic and street authorities to carry out work in a safe manner and establish arrangements for the management of construction works.
- A.3.2.3. All those involved in the planning, management and delivery of highway infrastructure maintenance services should receive training and regular updating, as necessary, in health and safety requirements of the service.

Localism

- A.3.2.4. [The Localism Act 2011](#) predominantly applies to England and confers on local authorities the power, with certain limitations, to do anything that individuals generally may do for the benefit of the authority, its area, or persons resident or present in its area. It also introduced measures such as the community right to challenge.

Best Value

- A.3.2.5. [The Local Government Act 2000](#), or equivalent, provides for the general duty of best value and aims to improve local services in terms of both cost and quality.

Duties and Powers for Highway Maintenance

- A.3.2.6. There are a number of specific pieces of legislation that provide the basis for duties and powers relating to highway maintenance.

Main Highways Provisions

- A.3.2.7. [The Highways Act 1980](#), or equivalent, sets out the main duties and powers of Highway Authorities. In particular it imposes a duty to maintain highways maintainable at public expense. Almost all claims against authorities relating to highway functions arise from alleged breach of this section.

- A.3.2.8. The Act provides a defence against action relating to alleged failure to maintain on grounds that the authority has taken such care as in all the circumstances was reasonably required to secure that the part of the highway in question was not dangerous for traffic. A key difference in Scotland is that there is no equivalent defence against alleged failure to maintain, although case law will have established some basis for this.

- A.3.2.9. Where an authority exercises a power to install new infrastructure, e.g. lighting, safety barriers, etc, it will become responsible for its maintenance.

Winter Service

- A.3.2.10. [The Highways Act 1980](#), or equivalent, and the [Railways and Transport Safety Act 2003](#) in England set out duties for Winter Service.

Traffic Management

- A.3.2.11. [The Traffic Management Act 2004](#), or equivalent, sets out a number of provisions including Highways England Traffic Officers, local authority duty for network management, permits for work on the highway, increased control of utility works, and increased civil enforcement of traffic offences.

- A.3.2.12. The Act establishes a duty for local traffic authorities ‘to manage their road network with a view to achieving, so far as may be reasonably practicable having regard to their other obligations and policies, to secure the expeditious movement of traffic on the authority’s road network, and to facilitate the expeditious movement of traffic on road networks for which another authority is the traffic authority’. The term ‘traffic’ specifically includes pedestrians, so the duty requires the authority to consider all road users.

- A.3.2.13. The duty is not limited to the actions of the department responsible for traffic within an authority, so authorities will need to consider the duty when exercising their powers under any legislation where this impacts on the operation of the road network. Authorities are required to appoint a Traffic Manager to administer the network management duty. Authorities are expected to operate the Act even-handedly, applying conditions and enforcement activity equally to their own and utilities works.

Utility Companies

- A.3.2.14. Various companies and agencies have statutory powers and obligations to work in the highway. Their activity in the highway is regulated by the [New Roads and Streetworks Act 1991](#), or equivalent, and by the [Traffic Management Act 2004](#), or equivalent.

Public Rights Of Way

- A.3.2.15. Responsibilities for Public Rights of Way (PROW) ([Countryside and Rights of Way Act 2000](#) in England) vary considerably throughout the UK, but in general authorities are required to maintain records and ensure that ways are adequately signposted, maintained and free from obstruction. In urban areas PROW can present wider problems relating to issues such as crime. Certain legislation can facilitate closure of rights of way where deemed appropriate.

Related Powers and Duties

- A.3.2.16. Duties and powers contained in the Highways Act, or equivalent, sit within a much broader legislative framework specifying a wider range of duties and powers. These include, or equivalents:

- [New Roads and Street Works Act 1991](#);
- [Road Traffic Regulation Act 1984](#);
- [Traffic Signs Regulations and General Directions 2016](#);
- [Road Traffic Act 1988](#) – provides a duty for Highway Authorities to promote road safety, including a requirement to undertake accident studies and take such measures as appear appropriate to prevent such accidents occurring;
- [Road Traffic Reduction Act 1997](#);
- [Flood and Water Management Act 2012](#) or equivalent [Flood Risk Management \(Scotland\) Act 2009](#) – aims to reduce the flood risk associated with extreme weather. Provides for better, more comprehensive management of flood risk for people, homes and businesses;
- [Transport Act 2000](#) – designation of quiet lanes or a home zones;
- [Active Travel Act \(Wales\) 2013](#) – legislates for the provision of routes designed for cycling and walking;
- [Wildlife and Countryside Act 1981](#) – environmental and countryside issues with which highways operations must comply;
- [Environmental Protection Act 1990](#) – provides the statutory basis for other environmental issues, in particular waste management, with which highway maintenance operations must comply; and
- [Clean Neighbourhoods and Environment Act 2005](#).

A.3.2.17. There is also a framework of legislation not specifically related to highways functions, but dealing with wider community issues with which the services are involved. These include, or equivalents:

- [Equality Act 2010](#);
- [Criminal Justice and Public Order Act 1994](#);
- [Human Rights Act 1998](#);
- [Freedom of Information Act 2000](#);
- Local Government Acts; and
- [Civil Contingencies Act 2004](#).

SECTION A.4.

STRATEGY AND HIERARCHY

A.4.1. HIGHWAY INFRASTRUCTURE ASSET MANAGEMENT STRATEGY

- A.4.1.1. Development of a highway infrastructure asset management strategy is dealt with in the [UKRLG Highway Infrastructure Asset Management Guidance \(HIAMG\), Part B](#). This document should be referred to and the advice below considered supplementary.
- A.4.1.2. The asset management strategy sets out how the asset management policy is to be achieved, how long term objectives for managing the highway are to be met and how the strategy is to be implemented, including setting targets and measuring performance. It sets clear direction, provides links with other relevant documents, such as corporate plans, and sets out the benefits of investing in the highway infrastructure. It should be a clear, public-facing message.
- A.4.1.3. The core objectives for maintenance could be considered to be:

Network Safety complying with statutory obligations; and

meeting users' needs for safety.

Customer Service user experience/satisfaction;

communication;

information; and

levels of service.

Network Serviceability ensuring availability;

achieving integrity;

maintaining reliability;

resilience; and

managing condition.

Network Sustainability minimising cost over time; maximising value to the community; and maximising environmental contribution.

- A.4.1.4. The Customer Service objective will apply to the highway service overall, as users may not be able easily to distinguish between maintenance and improvement works. Management of highway infrastructure assets affects Customer Service through a variety of factors within each of Network Safety, Network Serviceability and Network Sustainability.
- A.4.1.5. Each of the Network objectives can be affected to a different extent by several different highway maintenance operations. For example:
 - network availability can be affected by weight restricted structures, resilience of improvement and maintenance works, Winter Service, regulatory activity, deficiency of drainage systems and by planning and programming of maintenance schemes;
 - network integrity can be assisted by consistent, joined up and effective permanent and temporary signing, by ensuring consistent standards of maintenance on cycle routes between segregated and non-segregated sections, and providing consistent accessibility standards, for example through the use of dropped kerbs on key pedestrian routes, especially those used by disabled people, older people, or those using prams; and
 - environmental contributions can be made through verge management plans, maintaining local distinctiveness through use of local materials, reducing sign clutter, use of recycled products, noise-reducing surfacing, energy efficient light sources, and profiled street lighting levels.
- A.4.1.6. Every aspect of maintenance for each element of the highway infrastructure has the potential to contribute to some extent to a number of the above objectives. For example, the contribution to the safety objective is affected by:
 - the condition of the asset;
 - the resilience of the asset;
 - the time for attending to defects recorded in inspections and reported by users;
 - the quality of management and service delivery;
 - the effectiveness of materials and treatments used; and
 - the effective co-ordination of programmes with works affecting the highway by utilities, developers or other local authorities.

- A.4.1.7. Particular aspects of highway maintenance may have wider impacts than the immediate local implementation issues. For example, the need to address carriageway defects could compromise, at least temporarily, public transport convenience and reliability. Work at night to minimise disruption may have noise and cost implications, and bridge works may require lengthy diversions. Arrangements should be put in place to identify the potential for such conflicts at an early stage, to resolve them, and to mitigate the effects as effectively as possible.
- A.4.1.8. Users will expect reasonable continuity of safety and serviceability with neighbouring Highway Authorities, particularly at the higher end of the network hierarchy and with services such as Winter Service, but also at the lower levels of hierarchy where safety is a prime consideration. In such cases, serious discontinuities in levels of service should be avoided through consultation and agreement. [The Code of Practice for the Co-ordination of Street Works and Works for Road Purposes and Related Matters](#) published to support the Traffic Management Act provides specific advice on this.
- A.4.1.9. Inter-authority co-ordination, at both the strategic and operational level, can bring other benefits in terms of cost and resource management, levels of service and user perception. Opportunities for such co-operation include:
- integrated route management;
 - optimisation of cross boundary service provision;
 - optimised programming and procurement;
 - shared traffic management and publicity;
 - avoidance of multiple user delays; and
 - research, development and innovation.
- A.4.1.10. The Department for Transport commissioned a research project on [highway service levels](#), focusing on getting an improved understanding, in qualitative terms, of the levels of service the public expects for the surface of carriageways, cycle routes and footways.

A.4.2. NETWORK INVENTORY

Asset Data

- A.4.2.1. Asset data is dealt with in the [UKRLG Highway Infrastructure Asset Management Guidance, Part B](#). This document should be referred to and the advice below considered supplementary.
- A.4.2.2. Highway Authorities have a legal duty to keep a register containing such information as may be prescribed with respect to maps and statements of roads that are maintainable at public expense, which is primarily used for Land Charge Searches.
- A.4.2.3. There is also a requirement to maintain information for the purpose of:

- identifying streets described as traffic sensitive, where work should be avoided at certain times of the day;
 - identifying structures and other features described as special engineering difficulty, which need special consideration when work is planned; and
 - identifying reinstatement categories used by statutory undertakers in the reinstatement of their street works.
- A.4.2.4. Accurate inventory information is required to submit updated information to Government each year on road lengths maintained and is also used for national valuation purposes. In some countries this information is used for the calculation of local authority spending allocations.
- A.4.2.5. The above requirements can be satisfied with fairly basic information, much less detailed than that required for maintenance management purposes. An appropriately detailed highway inventory or asset register or database is however an essential prerequisite of establishing a cost effective and adequate maintenance regime.
- A.4.2.6. Some Highway Authorities are required to keep the definitive map and statement, or equivalent, for Public Rights of Way (PROW) that forms the legal record of the position and status of PROW. Certain parts of the network could be recorded both on the register of roads and the definitive map, and advice on the treatment of these is provided by the [PROW Good Practice Guide](#) published jointly by the Countryside Agency, and others. Authorities in Scotland are required to keep records of 'Core Paths'.

RECOMMENDATION 9 – NETWORK INVENTORY

A detailed inventory or register of highway assets, together with information on their scale, nature and use, should be maintained. The nature and extent of inventory collected should be fit for purpose and meet business needs. Where data or information held is considered sensitive, this should be managed in a security-minded way.

RECOMMENDATION 10 – ASSET DATA MANAGEMENT

The quality, currency, appropriateness and completeness of all data supporting asset management should be regularly reviewed. An asset register should be maintained that stores, manages and reports all relevant asset data. (HIAMG Recommendation 5)

Asset Management Systems

- A.4.2.7. Asset management systems are dealt with in the [UKRLG Highway Infrastructure Asset Management Guidance, Part C](#).

RECOMMENDATION 11 – ASSET MANAGEMENT SYSTEMS

Asset management systems should be sustainable and able to support the information required to enable asset management. Systems should be accessible to relevant staff and, where appropriate, support the provision of information for stakeholders. (HIAMG Recommendation 12)

A.4.3. FUNCTIONAL HIERARCHY

- A.4.3.1. A network hierarchy based on asset function is the foundation of a risk-based maintenance strategy. It is crucial in establishing levels of service and to the statutory network management role for developing co-ordination and regulating occupation.
- A.4.3.2. It is important that the hierarchy adopted reflects the whole highway network and the needs, priorities and actual use of each infrastructure asset. The carriageway hierarchy, for example, may be determined by traffic volume or by local social and economic importance – perhaps a route leading to a major hospital or industrial area, or urban, rural or busy shopping street, residential street, etc. Hierarchy may also be influenced by factors such as pedestrian or cyclist usage. Collectively, these issues may be referred to as the ‘functionality’ of the section of highway in question.
- A.4.3.3. Whilst different asset types may have their own hierarchies, all should be related such that each asset type can be considered in relation to others and to the whole highway network. Network hierarchy should take into account the desirability of continuity and of a consistent approach for walking and cycling.
- A.4.3.4. The adoption of a common hierarchy to reflect the network management duty, or equivalent, and the requirements for maintenance management based on highway functionality is desirable. This may be difficult to achieve completely, bearing in mind the differing definitions of protected streets, traffic sensitive streets, and streets with special engineering difficulties, associated with the Traffic Management duty, or equivalent. However, a high degree of compatibility between networks is desirable.
- A.4.3.5. There will also be a need to define hierarchies for Resilience and for Winter Service. These should take as a starting point the hierarchy developed for general maintenance purposes but are likely to require extensive modification to accommodate local operational factors.
- A.4.3.6. It is important to consider the hierarchy of neighbouring authorities for both locally and nationally maintained networks. Users will expect reasonable continuity of levels of service and collaboration in developing the network hierarchy can contribute to achieving this.
- A.4.3.7. Hierarchies are a useful basis on which to consult users and the community. They are strategic but relatively easy to present and understand and not so detailed as to cause difficulties in interpreting the results. They can also address directly some of the wider policy issues, including special needs of certain groups of people.
- A.4.3.8. Hierarchies should be dynamic and regularly reviewed to reflect changes in network characteristics and functionality so that maintenance strategy reflects the current situation, rather than the use expected when the hierarchy was originally defined.
- A.4.3.9. Where major maintenance, construction or other development involves significant traffic diversion, or when congestion in one part of the network results in traffic shift to another part of the network, these changes should be reflected in the hierarchy and subsequently in the maintenance and network management regimes. There may also be seasonal influences on hierarchy.

A.4.3.10. The Rees Jeffreys Road Fund study [A Major Road Network for England](#) has developed proposals and recommendations for a more logical, integrated network of major roads across England.

RECOMMENDATION 12 – NETWORK HIERARCHY

A network hierarchy, or a series of related hierarchies, should be defined which include all elements of the highway network, including carriageways, footways, cycle routes, structures, lighting and rights of way. The hierarchy should take into account current and expected use, resilience, and local economic and social factors such as industry, schools, hospitals and similar, as well as the desirability of continuity and of a consistent approach for walking and cycling.

Carriageways

- A.4.3.11. Carriageway hierarchy will not necessarily be determined by the road classification, but by functionality and scale of use. Table 1 is intended to be used as a reference point from which to develop local hierarchies. The descriptions relate to the most usual circumstances encountered in the UK. There are likely to be, some very significant variations and authorities should take their own circumstances into account.

Table 1 – Factors to Consider – Carriageways

Category	Type of Road General Description	Description
Motorway	Limited access - motorway regulations apply	Routes for fast moving long distance traffic. Fully grade separated and restrictions on use.
Strategic Route	Trunk and some Principal 'A' class roads between Primary Destinations	Routes for fast moving long distance traffic with little frontage access or pedestrian traffic. Speed limits are usually in excess of 40 mph and there are few junctions. Pedestrian crossings are either segregated or controlled and parked vehicles are generally prohibited.
Main Distributor	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 speed limits are usually 40 mph or less, parking is restricted at peak times and there are positive measures for pedestrian safety.
Secondary Distributor	B and C class roads and some unclassified urban routes carrying bus, HGV and local traffic with frontage access and frequent junctions	In residential and other built up areas these roads have 20 or 30 mph 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. In rural areas these roads link the larger villages, bus routes and HGV generators to the Strategic and Main Distributor Network.
Link Road	Roads linking between the Main and Secondary Distributor Network with frontage access and frequent junctions	In urban areas these are residential or industrial interconnecting roads with 20 or 30 mph speed limits, random pedestrian movements and uncontrolled parking. In rural areas these roads link the smaller villages to the distributor roads. They are of varying width and not always capable of carrying two-way traffic.
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 HGVs. In urban areas they are often residential loop roads or cul-de-sacs.
Minor road	Little used roads serving very limited numbers of properties.	Locally defined roads.

A.4.3.12. Assignment of a carriageway to a particular category is a matter for local discretion. However, the following issues should be taken into consideration:

- character and volume of traffic;
- current usage and proposed usage;
- routes to important local facilities and to the strategic network;
- designation as a traffic sensitive route;
- accident and other risk assessment;
- potential for use as a diversion route;
- special characteristic of certain assets, e.g. historic structures;
- access to schools, hospitals and medical centres;
- vulnerable users or people with special needs, elderly people's homes etc; and
- ceremonial routes and special events.

A.4.3.13. Other factors should be taken into account and an on-site 'reality check' undertaken where there is any uncertainty about position in the hierarchy, for example:

- road use might be at the margin of the category but have higher than normal levels of growth. Extensive development may be taking place or planned;
- there might have been a higher than normal level of accidents or related incidents which would suggest unusually high levels of risk;
- although traffic flows on the carriageway might be low, there might be high levels of pedestrians or cyclists;
- the route might be the subject of promotion by the authority, for example as a 'Safer Route to School' or access to a railway station. A cycling route may be part of the [National Cycle Route Network](#);
- the route may be temporarily being used as a diversion route around a road closure on a route at a higher level within the hierarchy; and
- traffic composition might indicate unusually high proportions of particular users, for example motorcyclists or cyclists for whom surface condition is of particular importance.

Footways

- A.4.3.14. Footway hierarchy should be determined by functionality and scale of use. Table 2 is intended to be used as a reference point from which to develop local hierarchies. The detailed descriptions relate to the most usual circumstances encountered in the UK. There are, however, some very significant variations from the norm and authorities should take their own circumstances into account.

Table 2 – Factors to Consider – Footways

Category	Description
Prestige Walking Zones	Very busy areas of towns and cities with high public space and streetscene contribution.
Primary Walking Routes	Busy urban shopping and business areas and main pedestrian routes.
Secondary Walking Routes	Medium usage routes through local areas feeding into primary routes, local shopping centres etc.
Link Footways	Linking local access footways through urban areas and busy rural footways.
Local Access Footways	Footways associated with low usage, short estate roads to the main routes and cul-de-sacs.
Minor Footways	Little used rural footways serving very limited numbers of properties

- A.4.3.15. Assignment of a footway to a particular category is a matter for local discretion. However, the following issues should be taken into consideration:

- pedestrian volume;
- designation as a traffic sensitive pedestrian route;
- current usage and proposed usage;
- contribution to the quality of public space and streetscene;
- age and distribution of the population, proximity of schools or other establishments attracting higher than normal numbers of pedestrians;
- accident and other risk assessment; and
- character and traffic use of adjoining carriageway.

- A.4.3.16. The footway hierarchy should have regard to any network of ‘housing footways’, serving housing estates or related development, which may be unadopted as public highways but have established public rights of access and may be maintained separately by the housing authority. Users will make no distinction and will consider the footway network as a whole.

Cycle Routes

- A.4.3.17. The categories suggested for cycle routes are shown in Table 3. They are categorised not by use or functionality but by location, which reflects the differing risks associated with shared, partially segregated and fully segregated cycle routes.
- A.4.3.18. Where the level of use on particular cycle routes is significant and relevant to maintenance need, for example on commuter cycle routes, authorities may choose to establish categories based on use.

Table 3 – Factors to Consider – Cycle Routes

Description
Cycle lane forming part of the carriageway, commonly a strip adjacent to the nearside kerb. Cycle gaps at road closure point (no entry to traffic, but allowing cycle access).
Cycle track - 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.
Cycle provision on carriageway, other than a marked cycle lane or marked cycle provision, where cycle flows are significant.
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 other powers or duties.

Bridges and Structures

- A.4.3.19. Factors to consider include:
- position on the carriageway, footway, cycle route or PROW hierarchy;
 - type of asset, e.g. bridge, tunnel, retaining wall, earth structure, etc;
 - obstacle crossed, bridge span, retained earth height;
 - critical asset, historic structure, permanent weight, height, width or swept path restriction;
 - construction material, e.g. concrete or steel bridge, arch, slab or beam/girder bridge, concrete or stone walls, etc; and
 - local factors.

Street Lighting

- A.4.3.20. Factors to consider include:
- position on the carriageway, footway, cycle route or PROW hierarchy;
 - type of asset, e.g. street light, subway light, illuminated traffic sign or bollard, cable system, etc;
 - construction material, e.g. aluminum, concrete or steel lamp columns;
 - lamp and control type;

- highway use, casualty and crime statistics during hours of darkness; and
- local factors.

Public Rights Of Way

A.4.3.21. Factors to consider include:

- byways open to all traffic (BOAT);
- long distance trails and designated recreational routes;
- Core Paths (Scotland);
- rights of way;
- strategic link path;
- recreational path;
- surface type; and
- other access rights.

A.4.3.22. Some PROW may be metalled and within or on the fringe of urban areas. To recognise users' requirements for consistency, these should be considered for maintenance consistent with a similar footway and be incorporated in the footway hierarchy, irrespective of their designation.

A.4.4. RESILIENT NETWORK AND MINIMUM WINTER NETWORK

A.4.4.1. A 'Resilient Network' should be identified which will receive priority through maintenance and other measures in order to maintain economic activity and access to key services during disruptive events. The process for identifying the Resilient Network will consider which routes are absolutely essential and which can be done without for a time. It is implicit that these decisions will not simply follow road classification or categorisation. The process should engage key business and interest groups and involve the community. See also Section A.6 of this Code.

A.4.4.2. The Resilient Network is likely to include:

- those routes crucial to the economic and social life of the local or wider area;
- take account of repeat events, e.g. flooding; and
- local factors.

- A.4.4.3. A minimum Winter Service network should also be defined. This network may relate to the Resilient Network and may be a subset of the normal winter treatment network. It should provide a minimum essential service to the public, including links to the strategic network, access to key facilities and local communities, and other transport needs. It is important that there is continuity across boundaries. It is recognised that authorities may have difficulty in treating all public and school bus routes, however, where practicable, arrangements should be made to enable bus operators to run minimum services.
- A.4.4.4. Issues to consider when defining resilient and minimum Winter Service networks are:
- What is the key infrastructure access to be maintained? To this end, the authority's emergency planning department should be consulted. Consideration should be given to a wide range of services, including consideration for private asset infrastructure. For example, water treatment works may require chemical deliveries to ensure continuity of water supply but may not be on the primary treated road network.
 - How will carriageways, cycle routes and footways be prioritised across the authority's network?
 - How will the networks interface with other authorities? There is little point expending effort to keep a route open if it may be unusable in a neighbouring authority.

A.4.5. CRITICAL INFRASTRUCTURE

- A.4.5.1. Critical infrastructure is dealt with in the [UKRLG Highway Infrastructure Asset Management Guidance, Part A](#).
- A.4.5.2. Having identified critical infrastructure assets it may be appropriate to consider their position in their asset hierarchy in a different way to similar, non-critical, assets. For example, a critical asset may be elevated to a higher category, or dealt with in isolation. It is also likely that a security minded approach may need to be adopted in relation to them.

A.4.6. LIFECYCLE / DESIGNING FOR MAINTENANCE

- A.4.6.1. Although much maintenance activity is undertaken on highway construction of long standing, new and improved highway schemes and facilities form an increasing proportion of the network over time. The future maintenance costs of such new infrastructure are therefore a prime consideration.
- A.4.6.2. Scheme development should focus on delivering the objectives whilst minimising network disruption and lifecycle costs and without compromising other important aspects such as access arrangements, environmental and sustainability issues, etc. Where it is not possible to minimise both disruption and lifecycle costs, comprise may need to be sought.
- A.4.6.3. There are many cases where careful consideration of maintenance implications at the design stage would have provided an equally effective outcome, but without maintenance complications either increasing costs or introducing practical difficulties which may compromise the effectiveness of the feature. Examples include:

- materials requiring a disproportionately high frequency of maintenance;
 - access difficulties for routine maintenance such as drain clearance and cleansing;
 - inappropriate use of bridge expansion joints rather than integral bridges;
 - inappropriate treatments and planting on central reservations or narrow verges;
 - maintenance requiring disproportionate traffic management and associated user disruption costs;
 - traffic calming and safety features with high rates of deterioration; and
 - operatives exposed to working close to live carriageways or at height.
- A.4.6.4. Disproportionately costly or inconvenient maintenance requirements may inhibit or prevent programmed maintenance taking place. Failure to provide the specified maintenance regime could have serious consequences for the potential liability of the authority and its employees.
- A.4.6.5. Given that works of highway improvement and significant maintenance will usually be funded from capital and that subsequent maintenance works will often be funded from revenue, the potential financial impact is greater than might be first perceived. The benefits of whole life designs and treatments should always be considered. The balance between capital and revenue expenditure could be different in certain forms of public private partnership.
- A.4.6.6. This is not to say that creativity should be inhibited. High quality or relatively expensive materials may provide appropriate, low maintenance and cost effective treatments in terms of their contribution to wider regeneration objectives, for example in improving the quality of public space and streetscape. It may also be appropriate to use environmentally sensitive materials in certain locations, despite the possibility of higher future maintenance costs. A series of regional guides published by [English Heritage](#) in collaboration with Department for Transport provide useful advice.
- A.4.6.7. Co-ordination of design and specifications between highway maintenance and highway improvement schemes can be improved through formal and informal liaison and co-operation between those involved to ensure that the whole life costs of schemes are optimised. These could involve formal consultation, value management and/or engineering, or a system of maintainability audits for a sample of schemes to establish local good practice. [Guidance on standard specification and standard details for Local Highway Authorities](#) has been produced by HMEP.
- A.4.6.8. Section A.4.9 of this Code outlines a number of factors that may be considered when designing for maintenance.

- A.4.6.9. Unusual maintenance requirements and costs associated with schemes or materials brought forward for approval should be identified so that they can be taken into account at the time. This is particularly important where new highways are being assessed for adoption and may be reflected in commuted sums for any higher than usual future maintenance costs sought from developers. The Association of Directors of Environment, Economy, Planning and Transport (ADEPT) has published guidance that aims to provide [advice on the commuted sums mechanism](#) through which developers are required to contribute to future maintenance of areas adopted by local authorities.

RECOMMENDATION 13 – WHOLE LIFE / DESIGNING FOR MAINTENANCE
Authorities should take lifecycle costs into consideration when assessing options for maintenance, new and improved highway schemes. The future maintenance costs of such new infrastructure are therefore a prime consideration.

A.4.7. ROAD/RAIL INCURSION

- A.4.7.1. Highway Authorities should work with relevant organisations to identify road/rail interfaces where a risk of incursion of road traffic onto a railway is present. The Department for Transport publication [Managing the accidental obstruction of the railway by road vehicles](#) details a risk ranking process to be followed at each road over rail and road/rail site. Higher ranked locations should be subject to a secondary assessment which will determine any necessary improvements or other mitigation measures. It also sets out what Highway Authorities, rail infrastructure authorities and other organisations need to do to identify how the risk of road vehicle incursion to the railway can be jointly managed and a protocol for apportioning responsibility and costs of improvement and mitigation measures.
- A.4.7.2. Highway Authorities should ensure that appropriate warning signs on the approaches to road/rail interfaces are placed and maintained such that they are clearly visible to road users.
- A.4.7.3. The following are recent links to RAIB reports which authorities will wish to note the recommendations and to ensure that action is taken where applicable:

- [Oxshot, August 2011](#);
- [Stowmarket, November 2012](#);
- [Aspatria, June 2014](#); and
- [Froxfield, January 2016](#).

A.4.8. ABNORMAL LOADS

- A.4.8.1. The movement of abnormal loads on highways needs to be carefully managed so that large and/or heavy vehicles only use those parts of the network that can safely accommodate them. An abnormal load is considered to be a vehicle that is outside the classification of normal permitted traffic by virtue of its gross weight, length, width or axle configuration according to current road vehicle regulations. Authorities have powers to direct movement of abnormal loads and submission of a notification by the haulier enables the movement to take place legally.

- A.4.8.2.** The movement of abnormal loads should be managed in such a way as to ensure that the load effects induced by the abnormal loads do not exceed the load bearing capacity of structures on the route. The suitability of a specific abnormal load to cross a particular structure should be checked broadly in accordance with the procedures recommended in [BD 21 or BD 86](#), or equivalent. Where an initial assessment shows that the load effects induced by an abnormal load marginally exceed the capacity of a bridge on the route, it may be possible for the abnormal load to safely cross the bridge provided other normal traffic is kept clear of the bridge when the abnormal load crosses it.
- A.4.8.3.** The suitability of an abnormal load to travel along the proposed route should be checked by the haulier in relation to any height restrictions from overbridges and restrictions on manoeuvrability along narrow roads and sharp bends etc. Consideration should be given to the placing and specification of street furniture on regularly used/defined abnormal load routes, e.g. bollards and pedestrian guard rails which may need to be removed to allow passage of abnormal vehicles.
- A.4.8.4.** In certain cases, e.g. vehicles wider than the traffic lane, abnormal loads should be escorted to provide appropriate warning to other traffic. Escorting may be undertaken by the police or by the haulier concerned as allowed for in the [Code of Practice – Self Escorting of Abnormal Loads and Abnormal Vehicles](#), or equivalent.
- A.4.8.5.** Where road works are restricting the availability of regularly used abnormal load routes, consideration should be given as to how hauliers can be made aware of this.
- A.4.8.6.** The management of abnormal loads requires coordination between:
- Abnormal Loads Officer – person responsible for receiving notifications of movements from hauliers, ensuring that such notifications are assessed and that the haulier is advised if there is any reason why a proposed movement should not take place.
 - Structures Advisor – a civil or structural engineer with good experience of Highway Structure Assessments to whom the Abnormal Loads Officer should refer decisions relating to vehicle movements which fall outside the agreed guidelines which otherwise determine whether or not particular vehicle movements should be accepted.
 - Traffic Manager – the person responsible for the coordination of all traffic management on the highway network. All owners or managers of highway structures should establish and maintain a system to receive notifications from hauliers in respect of abnormal load movements. The system should enable hauliers to be advised within the statutory time limits if there is any reason why the movement should not proceed.
- A.4.8.7.** [The Electronic Service Delivery for Abnormal Loads \(ESDAL\) system](#), or equivalent, provides a process for managing abnormal load movements.

A.4.9. FACTORS TO CONSIDER FOR FUTURE MAINTENANCE

- A.4.9.1. Tables 4 and 5 provide factors to consider by designers during the design process, to ensure that adequate consideration is given to future maintenance requirements of schemes. The list is not exhaustive but includes a number of key issues that may need to be addressed.

Table 4 – Factors to Consider for Future Maintenance (i)

Issue	Check	Action
Scope and Scale		
Intended life of scheme	Is the scheme long life or ‘temporary’ and likely to be affected by future redevelopment?	Choose materials and products relevant to the life of scheme.
Nature of scheme	Is the scheme a ‘unique’ prestige project or a ‘routine’ standard one?	Choose materials and products relevant to the type of scheme.
Scope of scheme	Has the scheme been ‘value-managed’ to consider all possible marginal benefits?	All ‘significant’ schemes should be value managed.
Use of scheme	Is the scheme likely to be subjected to particularly ‘heavy duty’ traffic use with high rates of wear?	Select design and materials to mitigate these affects so far as possible.
Cost of scheme	Have the costs of future maintenance been calculated and included in future budgets?	Identify any extraordinary maintenance costs and report these alongside construction costs.
Design Aspects		
Pedestrians and cyclists	Do footways and cycle routes fit the actual paths used?	Redesign to reflect actual paths to avoid erosion and later replacement.
Heavy goods vehicles	Is footway paving likely to be over-ridden by HGV or other parked vehicles?	Where necessary use heavy duty paving or prevent over-riding to avoid frequent costly replacement.
Grassed and planted areas	Are grassed and planted areas of a size and position to be effectively maintained?	Redesign or remove where necessary to avoid future poor appearance and later resign.
Trees	Have trees been selected and positioned to avoid future problems with roots, obstruction or leaf fall?	Reselect or reposition where necessary to avoid potentially expensive future problems.
Traffic signs	Are traffic signs required to be illuminated or can they be reflectorised?	Maximise use of reflective signs to reduce energy costs.

Table 5 – Factors to Consider for Future Maintenance (i)

Maintenance Operations		
Maintenance regime	Does the scheme require specialist maintenance regime?	Identify cost of specialist regime and, where appropriate, consider cheaper alternatives.
Cleansing	Does the scheme require specialist cleansing regime?	Identify cost of specialist regime and, where appropriate, consider cheaper alternatives.
Traffic management	Will maintenance require special traffic management?	Identify traffic management costs and minimise wherever possible, possible through co-ordination with other works.
Maintenance access	Is there safe and convenient access for plant and personnel?	Redesign scheme to provide safe and convenient access.
Materials and products		
Specialist materials	Are the materials used for the scheme of standard or specialist nature?	If specialist materials used ensure availability of future replacements.
Durability of materials	Does the durability of the materials provide substandard, oblique, sufficient or excessive life?	Select materials relevant to the intended life and nature of the scheme.
Failure mechanism	How will material/product approach the failure condition – slowly/quickly?	Programme safety and service inspections on basis of risk assessment.
Life extension	Are there any processes which could be used to extend useful service life at economic cost?	Investigate cost benefit of using life extension products.
Replacement practicability	Are there likely to be any difficulties in replacing failed sections?	Undertake risk assessment and plan for the likely difficulties.
Replacement cost	Is the cost of replacement likely to be disproportionately high?	Consider alternative materials or products.
Reuse and Recycling		
Practicability of reuse	If the scheme is a short life scheme what is the scope reusing materials and products?	Choose re-useable materials and products wherever possible.
Practicability of recycling	What is the scope for recycling materials and products?	Where re-useable materials and products are not appropriate, use recyclable wherever possible.

SECTION A.5.

RISK-BASED APPROACH

A.5.1. PRINCIPLES AND CONSIDERATIONS

- A.5.1.1. Risk management is dealt with in the [UKRLG Highway Infrastructure Asset Management Guidance \(HIAMG\), Part C](#). This document should be referred to and the advice below considered supplementary.
- A.5.1.2. Management of highway infrastructure maintenance, including setting policy, strategy and levels of service, establishment of inspection and condition assessment regimes, determining priorities and programmes, procuring the service and the management of all associated data and information should all be undertaken against a clear and comprehensive understanding and assessment of the risks and consequences involved.
- A.5.1.3. The principle of this Code is that Highway Authorities will adopt a risk-based approach in accordance with local needs (including safety), priorities and affordability. This is consistent with [ISO 55000](#), which states that “asset management translates the organisation’s objectives into asset-related decisions, plans and activities, using a risk based approach.” The Code will not therefore outline any minimum or default standards, but includes guidance and advice to support development of local levels of service.
- A.5.1.4. Further guidance on general risk management can be found within the following publications:
 - [ISO 31000:2009 – Risk management – Principles and guidelines](#)
 - [BS 31100:2011 – Risk management – Code of practice and guidance for the implementation of BS ISO 31000](#)
 - [The Institute of Risk Management – Risk Appetite and Tolerance](#)
- A.5.1.5. Specific examples of managing risk in a highways claims and liability context can be found below:
 - [The UK Highway Liability Joint Task Group – Highway Risk and Liability Claims](#)
 - [Alarm, the public risk management association – Managing the risk of highway claims – best practice guidelines for highway asset managers](#)

RECOMMENDATION 14 – RISK MANAGEMENT

The management of current and future risks associated with assets should be embedded within the approach to asset management. Strategic, tactical and operational risks should be included as should appropriate mitigation measures. (HIAMG Recommendation 11)

A.5.2. DEVELOPING THE RISK BASED APPROACH

- A.5.2.1. The risk-based approach to highway infrastructure maintenance should be documented, and essentially be based on:
- an understanding of and alignment with the authority's corporate objectives, legislative requirements, and corporate approach to risk and management of risk;
 - an understanding of risk in a highways service and its application to all areas of operations, including people, infrastructure, data, finance and suppliers;
 - an understanding of the potential risks and their likely significance to users, stakeholders, the authority and to the data and information held;
 - an understanding of the inventory, function, criticality, sensitivity, characteristics and use of the various assets comprising the highway network;
 - the establishment of hierarchies and levels of service with appropriate funding;
 - the implementation of the agreed levels of service;
 - the competency required in development and implementation of the risk-based approach; and
 - regular evidence-based reviews.
- A.5.2.2. Establishment of a risk register is important. Where partnerships are involved, this will need to identify the assignment of risks between the respective parties.

A.5.3. COMPETENCIES AND TRAINING

- A.5.3.1. Competencies and training are covered in the [UKRLG Highway Infrastructure Asset Management Guidance, Part C](#). This document should be referred to and the advice below considered supplementary.
- A.5.3.2. Those involved in managing, developing and implementing the risk-based approach must be competent to the satisfaction of the Highway Authority. Authorities should provide clear guidance and training to employees and establish requirements for others managing or carrying out activities. The guidance and training should include establishment of the risk-based approach itself and practical implementation. Activities included are likely to cover management, developing the local approach to risk, risk assessment and analysis, maintenance planning, making the right choices when designing and specifying techniques and materials, and work on site such as safety and other inspections, testing and maintenance works. Where appropriate, it should also include security awareness and relevant information on the security-minded approach adopted. Training should recognise the possibility of legal challenge to decisions.

- A.5.3.3. The Engineering Council, as the UK regulatory body for the engineering profession, sets and maintains standards of professional competence and ethics that govern the award and retention of the titles Chartered Engineers (CEng), Incorporated Engineers (IEng) and Engineering Technicians (EngTech). The Engineering Council holds details of degree programmes that partially or fully satisfy the education requirement for CEng and IEng registration and of programmes that professional engineering institutions have approved as contributing towards EngTech registration.
- A.5.3.4. A programme of Continuing Professional Development and training for all staff and others involved in developing and implementing the risk based approach should be provided to enable them to maintain up to date knowledge and skills and specifically to understand and implement the processes described in this Code. It is recommended that agents and contractors are required to demonstrate that their personnel are adequately trained and competent for the work they undertake.

RECOMMENDATION 15 – COMPETENCIES AND TRAINING

The appropriate competencies for all staff should be identified. Training should be provided where necessary for directly employed staff, and contractors should be required to provide evidence of the appropriate competencies of their staff.

A.5.4. INSPECTIONS AND SURVEYS

- A.5.4.1. Establishment of an effective regime of inspection, survey and recording is the most crucial component of highway infrastructure maintenance. The characteristics of the regime, including types and frequency of inspection, items to be recorded and nature of response, should be defined following an assessment of the relative risks associated with potential circumstances of location, agreed level of service and condition. These should be set in the context of the authorities' overall asset management strategy.
- A.5.4.2. The inspection, survey and recording regime should provide the basic information for addressing the core objectives of highway maintenance namely:
- network safety;
 - network serviceability; and
 - network sustainability.
- A.5.4.3. It will also provide the basic condition data for the development of maintenance programmes.
- A.5.4.4. All elements of the inspection and survey regime should be applied systematically and consistently. 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 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 records may have to be made available for public inspection and reference.

A.5.5. CATEGORIES OF INSPECTION AND SURVEYS

- A.5.5.1. Inspections and surveys can be considered in the categories below, approximately corresponding to the core objectives of highway maintenance. Authorities are not statutorily obliged to undertake inspections of all highway elements under all of these categories, but are strongly advised to undertake at least safety inspections in accordance with the principles of this Code. Further guidance on risk-based inspection and surveys for specific assets is provided in Parts B, C and D of this Code.
- A.5.5.2. Safety inspections 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 the defect identified with an appropriate priority response. These inspections may include systematic testing of some facilities.
- A.5.5.3. Service inspections mainly comprise detailed inspections tailored to the requirements of particular highway assets and elements to ensure that they meet requirements for serviceability. The scale and scope of these inspections will be determined by the authority's approach to asset management. These inspections also include inspections for network integrity and for regulatory purposes, including NRSWA, intended to maintain network availability and reliability.
- A.5.5.4. Condition surveys are primarily intended to identify deficiencies which, if untreated, are likely to adversely affect long term performance, serviceability and safety. Processing survey data through a decision support system can provide evidence of future life expectancy and for when intervention may be appropriate. Authorities may be required to undertake certain condition surveys to enable reporting to national governments and to satisfy the requirements of valuation regimes.
- A.5.5.5. Assessment of structures is to determine the ability or capacity of the structure to carry the loads which are imposed upon it, and those which may reasonably be expected to be imposed upon it in the foreseeable future.
- A.5.5.6. Reports from members of the public provide a further source of information on the condition of all aspects of the highway network. If this source is to be used to complement formal inspections and surveys, a policy should be made public with processes and systems in place to ensure that suitable communication is provided to contributors to acknowledge receipt of information and provide feedback on how it has been used (for example, any resulting maintenance activity). Appropriate quality assurance measures may be needed to check reports as appropriate, ensure duplicate reports are identified and combined, and to maintain auditability of information.

- A.5.5.7. There are a wide range of inspections which need to be considered by authorities and it may be possible to co-ordinate these to make the best use of resources. It may also be possible to integrate inspections with other activities. For example, where integrated street management arrangements are in place in town centres for cleansing and repair it may be possible to combine safety inspections with cleansing and other inspections undertaken by Street or Community Wardens. Authorities may choose to combine safety and service inspections. Where combined inspections are adopted, particular care should be taken to ensure that consistent levels of quality are maintained when recording results. Highway Authorities should ensure that those carrying out inspections are trained, qualified and competent.
- A.5.5.8. Inspection and survey regimes should be planned using a risk based approach to provide increased levels of scrutiny to areas or assets deemed to be of higher risk. For example, where flooding has been identified as a risk in a specific area, then an authority may wish to supplement its existing inspection arrangements of drainage assets with a visual survey.

RECOMMENDATION 16 – INSPECTIONS

A risk-based inspection regime, including regular safety inspections, should be developed and implemented for all highway assets.

RECOMMENDATION 17 – CONDITION SURVEYS

An asset condition survey regime based on asset management needs and any statutory reporting requirements should be developed and implemented.

A.5.6. MANAGEMENT SYSTEMS, RECORDING AND MONITORING OF INFORMATION

- A.5.6.1. An asset register may be used by authorities to record inventories of asset types for which they have liability. This register may in practice be a combination of several asset specific systems and will form the basis of identifying which asset items safety and serviceability inspections should cover.
- A.5.6.2. The asset register should also provide 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. The nature of response, including nil returns, should also be recorded. All inspections should record as a matter of course: time, weather conditions, any unusual circumstances of the inspection and the person conducting the inspection.
- A.5.6.3. Arrangements should be made to review the inspection, assessment and recording regime at intervals to consider:
- changes in network characteristics and use;
 - completeness and effectiveness of data collected;
 - effectiveness of data analysis; and
 - the need for changes to the inspection regime derived from risk assessment.

- A.5.6.4. The frequency of such reviews should have regard to the extent and nature of changing circumstances. The analysis will also be helpful for other purposes, however, and these might also influence the frequency of review, which could include the following:
- ensuring compliance with legal obligations;
 - measuring network serviceability and condition performance;
 - establishing extent of outstanding work;
 - seeking continuous improvement; and
 - monitoring service delivery arrangements.
- A.5.6.5. Managing the safety and wide range of other risks associated with the delivery of highway infrastructure maintenance will require effective and co-ordinated information systems. Record systems should include all user contact information, records of inspection and condition and records of all maintenance activity. They should also be co-ordinated with other relevant record systems, for example road accidents database.
- A.5.6.6. The efficiency, accuracy and quality of information and records maintained by authorities will be crucial both to the effective management of the service and to the defence of claims against the authority for alleged failure to maintain. The management system will need to support compliance with standards of evidence provision.
- A.5.6.7. Where information systems hold sensitive and/or personally identifiable information, a security minded approach, appropriate to the level of risk, should be adopted in relation to the capture, creation, processing, storage, distribution and use of relevant data and information in accordance with the Data Protection Act.
- A.5.6.8. All information obtained from inspections and surveys, together with the nature of response, including nil returns, should be recorded consistently to facilitate analysis. Such analysis should enable the data from inspections and surveys to be reviewed independently, but also in conjunction with other information to enable a holistic view to be taken of likely future maintenance need, asset condition and trends related to network characteristics and use.

RECOMMENDATION 18 – MANAGEMENT SYSTEMS AND CLAIMS

Records should be kept of all activities, particularly safety and other inspections, including the time and nature of any response, and procedures established to ensure efficient management of claims whilst protecting the authority from unjustified or fraudulent claims.

A.5.7. SAFETY INSPECTIONS

- A.5.7.1. Safety inspections are designed to identify all defects likely to create danger or serious inconvenience to users of the network or the wider community. Such defects should include those that are considered to require urgent attention as well as those where the locations and sizes are such that longer periods of response would be acceptable.

- A.5.7.2. Authorities should determine frequencies of inspection through a risk-based approach that reflects the characteristics of the particular asset or asset group, e.g. carriageway, footway, structures, lighting, etc, and their position in the hierarchy. Authorities should also determine the most appropriate way to undertake surveys for each of the different assets or asset groups, and keep abreast of new technologies which may improve safety and quality.
- A.5.7.3. Additional inspections may be necessary in response to user or community concern, as a result of incidents or extreme weather conditions, or in the light of monitoring information. These may be identified through the risk-based approach.
- A.5.7.4. The safety inspection regime forms a key aspect of an authority's approach to managing liabilities and risks. The parameters which need to be considered for a safety inspection regime are:
- frequency of inspection;
 - items for inspection;
 - type of traffic and intensity;
 - method of inspection; and
 - nature of response.
- A.5.7.5. The regime should be developed based on a risk assessment and provide a practical and reasonable approach to the risks and potential consequences identified. It should take account of potential risks to all users, and in particular those most vulnerable.
- A.5.7.6. Frequencies for safety inspections of individual network sections or individual assets should be based upon consideration of:
- category within the network hierarchy;
 - type of asset, e.g. carriageway, footway, embankment, cutting, structure, electrical apparatus, etc;
 - critical assets;
 - consequence of failure,
 - network resilience;
 - use, characteristics and trends;
 - incident and inspection history;
 - characteristics of adjoining networks elements;
 - the approach of adjoining Highway Authorities; and
 - wider policy or operational considerations.

- A.5.7.7. Where asset condition has deteriorated significantly, it may be appropriate to inspect particular assets more frequently than would otherwise be the case.

A.5.8. DEFECT RECORDING AND REPAIR

- A.5.8.1. All defects observed during safety inspections that provide a risk to users should be recorded and the level of response determined on the basis of risk assessment. The degree of deficiency in highway elements will be crucial in determining the nature and speed of response. Although some general guidance can be given by authorities on the likely risk associated with particular defects, on-site judgement will always need to take account of particular circumstances. For example, the degree of risk from a pothole depends upon not merely its depth but also its surface area and location.
- A.5.8.2. A procedure for risk assessment is described in the [UKRLG Highway Infrastructure Asset Management Guidance, Part C](#). Any item with a defect level which corresponds to, or is in excess of, the defect investigatory level adopted by the authority is to be assessed for likely risk.
- A.5.8.3. Defects which are considered to require urgent attention should be corrected or made safe at the time of the inspection, if reasonably practicable. In this context, making safe may constitute displaying warning notices, coning off or fencing off to protect the public from the defect. If it is not possible to correct or make safe the defect at the time of inspection, repairs of a permanent or temporary nature should be carried out as soon as possible. If temporary repairs have been used, permanent repair should be carried out within a reasonable period.
- A.5.8.4. Defects that do not represent an immediate or imminent hazard or risk of short term structural deterioration may have safety implications, although of far less significance than those which are considered to require urgent attention. They are more likely to have serviceability or sustainability implications. If repairs are to be undertaken these are likely to be within a planned programme of works with their priority determined by risk assessment. Access requirements, other works on the network, traffic levels, and the desirability of minimising traffic management, should also be considered as part of the response.

RECOMMENDATION 19 – DEFECT REPAIR

A risk-based defect repair regime should be developed and implemented for all highway assets.

A.5.9. REPORTING BY THE PUBLIC

- A.5.9.1. Feedback from members of the public is an increasing source of data on the condition of all aspects of the highway network, with the use of smartphones and other personal mobile technology providing details such as location, time and imagery.
- A.5.9.2. If this source of data is to be used to complement dedicated inspection and survey techniques outlined above, then a policy should be approved and made public, with processes and systems put in place to ensure:
- an efficient system for logging and managing such reports should be used;
 - appropriate quality assurance measures are in place to check reports by the public and maintain auditability of data; and

- suitable communication is provided to contributors to both acknowledge receipt of any submitted information, and also feedback on how it has been used (for example, any resulting maintenance activity).

A.5.10. WORKS PROGRAMMES

A.5.10.1. Works programming is dealt with in the [UKRLG Highway Infrastructure Asset Management Guidance, Part B.](#)

A.5.11. FURTHER GUIDANCE ON DEVELOPING AND IMPLEMENTING THE RISK BASED APPROACH

Introduction

The following is an example risk management process suitable for use to implement the risk-based approach within a Highway Authority. In order for risk management to be successful it must be appropriate and adapted to each organisation.

Figure 2 below shows an example of a risk management process, based on [ISO 31000](#) and the [UKRLG HIAMG Part C](#).

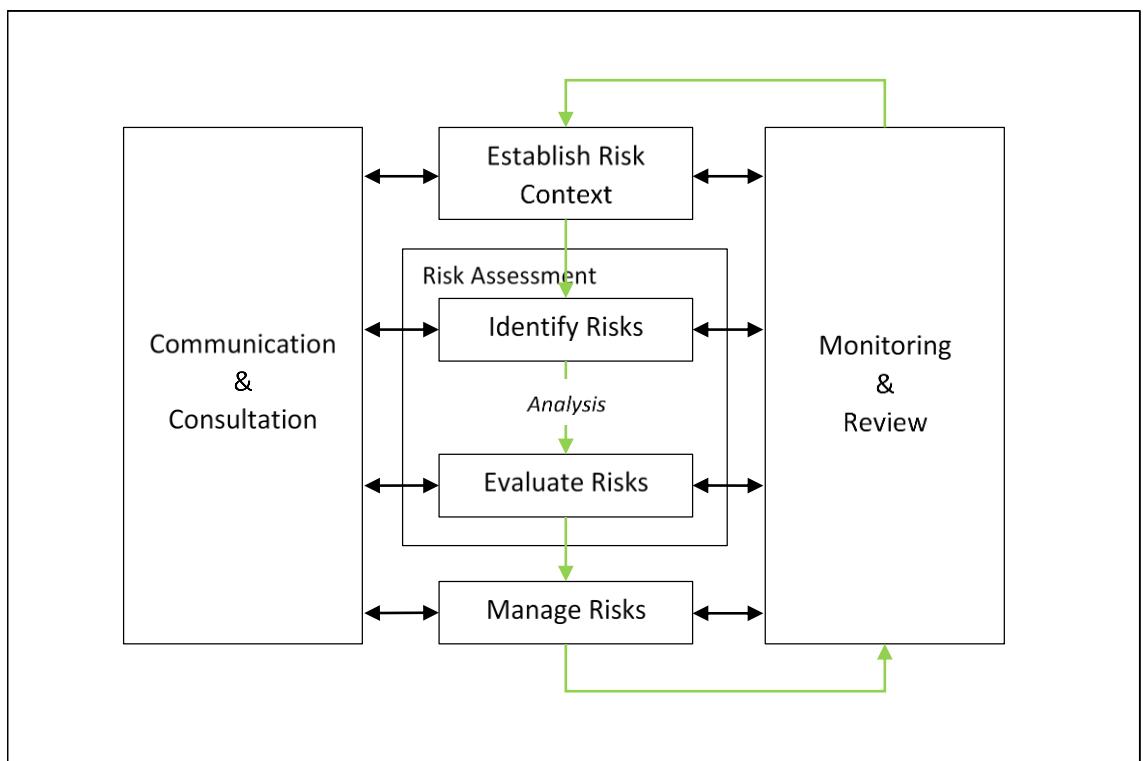


Figure 2 – An Example of a Risk Management Process

The figure shows that two parts of the process, Communications & Consultation and Monitoring & Review, persist throughout the risk management process and can impact on all stages.

These could be internal discussions that lead to a new risk being identified, or customer engagement reporting issues on the network which may require a review of inspection frequency.

The risk management process will have regular reviews but should also be agile enough to respond as a part of day-to-day management, embedding the risk-based approach in an authority's operations.

The explanations below of the various elements of the process give generic examples of actors, actions, activities and roles which could be involved at each part of the process.

At each stage in the process actions may be required to ensure that risks remain at tolerable levels, or are exploited to an organisation's advantage.

This will only occur where clear responsibility and accountability is defined and understood, and acted upon for each and every individual risk.

Establish Risk Context
<ul style="list-style-type: none"> The authority's corporate risk management approach, appetite and framework/process will all need to be clearly understood.
<ul style="list-style-type: none"> Risk will be managed at many different levels within each Highway Authority, but when implementing a truly risk-based approach the wider risk context must form the start of the process.
<ul style="list-style-type: none"> Risk management should support the delivery of organisational objectives and as a result, the risk management approach and risk appetite will be owned by the executive and senior management – this will set the context within which risk-based highway management can be developed.
<ul style="list-style-type: none"> The wider context may include the influence of partners, suppliers, customer groups, Local Enterprise Partnerships, Local Resilience Forums, Government Departments and other issues such as economic circumstances, climate change or political aspirations.
<ul style="list-style-type: none"> Whilst part of the context, these issues should always be viewed through the filter of the organisation's risk management approach.
<ul style="list-style-type: none"> The authority's designated corporate risk manager will be a key point of contact, as will departmental and team risk management leads.
<ul style="list-style-type: none"> Government departments, stakeholders, partners and customers may all form part of the groups relevant to the risk context, whilst not setting it directly.
<ul style="list-style-type: none"> The monitoring and review; and communication and consultation aspects of the process can be used to manage these interactions.

Risk Assessment
Risk assessment comprises three stages, these may be recorded on a risk register as a tool to provide a statement of risk management at any particular time, but each aspect is a separate consideration.
Identify Risks
<ul style="list-style-type: none"> Once the context and approach to risk management has been defined, risks should be identified across the Highway Authority's operations. These will cover a diverse range of subjects as detailed in section 13.3 of the UKRLG HIAMG. The risk identification stage is a crucial opportunity to ensure risks are visible throughout the organisation. Risks should be unmitigated at this stage to allow for later prioritisation. To fully understand all risks and compare risks across risk groupings will require a collaborative process across the authority with subject matter experts, managers and corporate functions all likely to contribute specific knowledge relevant to differing risk types. Risk management groups and teams may be useful in facilitating this flow of information and integrating the highways risk process into the corporate risk management framework. The frequency and format of risk identification will need to be based on the organisation's risk management guidance and the risk context. It will be important to establish and regularly review the risk management basis of both the hierarchy and inspection frequency, including the impact of the defined Resilient Network. It will also be an opportunity for a Highway Authority to consider the sustainability and agility of its arrangements and develop its risk based approach appropriate to local circumstances.
Evaluate Risks
<ul style="list-style-type: none"> Risk evaluation is a product of understanding the likelihood and consequence of a particular event. It is important to note that whilst this is often viewed as a negative 'impact' risks can also present opportunities. Authorities will already have an established corporate risk management approach and this will need to be extended and adapted to be appropriate to the highway risk-based approach. Consequence descriptions in the evaluation process may need to be developed in the highways context, and the corporate risk manager should be consulted as part of this process. Section 13.5 of the UKRLG HIAMG provides more detail on risk evaluation and should help authorities gain a clear understanding of the risks they face, such that they can be compared and risk management decisions made.

Manage Risks
<ul style="list-style-type: none"> • Treatment of risk ensures that an organisation is conscious of the risks it faces and has a coordinated approach to the management and mitigation of risks, where possible, and is aware of the remaining risk levels where mitigation is not possible or desirable.
<ul style="list-style-type: none"> • The risk appetite of the Highway Authority will shape the management of each risk and will need to be clearly understood and communicated to all those involved in risk management decisions.
<ul style="list-style-type: none"> • It is important to note that financial, resourcing, political, environmental and other circumstances will all impact risk appetite and decisions made, but clear decisions and residual risk levels should be recorded and shared within the authority.
<ul style="list-style-type: none"> • In the example of highway inspection and associated defect repairs it will be equally important for Highway Authorities to deliver efficiencies through accurately identifying risks that can be managed and resolved through planned programmes of work as it will be to make provision for the appropriate prompt response to high risks.
<ul style="list-style-type: none"> • This will rely on good risk management process and competencies.

Communication & Consultation
<ul style="list-style-type: none"> • Communications and consultation is a constant part of the risk management process and impacts at each and every stage, since for risk management to be fully embedded in an organisation the risk management process should be part of normal operations management.
<ul style="list-style-type: none"> • It is likely that there will be regular cycles of review, but for an organisation to have fully adopted a risk-based approach, all routine management decisions should also be cognisant of the impact, positive or negative, that they will have on remaining risk levels.
<ul style="list-style-type: none"> • This safeguards the organisation's strategic objectives and focusses delivery but, most importantly, recognises that risk management decisions are routinely made every day, keeping an authority's risk-based approach agile and relevant to their operations.
<ul style="list-style-type: none"> • Formal consultation, communication and governance will likely be in place for risk management within an authority and wherever possible, this should be adopted and extended to include the highways risk-based approach.
<ul style="list-style-type: none"> • External communications will be essential in seeking to align customer expectations, political aspirations, and a deliverable and sustainable risk management approach.
<ul style="list-style-type: none"> • The preparation and approval governance of such external communications may lead to internal challenge and review of the arrangements and re-affirmation of the message before the communication.

Monitoring & Review
<ul style="list-style-type: none"> • At all stages of the risk process different people will identify, evaluate, communicate and manage a risk. • The risk-based approach adopted by an authority should clearly identify roles and responsibilities of those involved in the process so that ownership and monitoring of each stage of the process is clearly understood and managed appropriately. • Highway Authorities should be mindful of the agility of their risk based approach to support adequate management of locations of increased risk, including when they are located within parts of their network generally exhibiting lower risk characteristics. • Monitoring and review should be dynamic so that as risk levels change, an organisation's approach to managing the risk can too. • Timely review and appropriate information sharing will be key to an agile and responsive risk management process. • Finally the risk management process itself must be subject to regular review and monitoring to ensure it is fit for purpose and suitably managing risks. • Authorities are often undergoing significant corporate or departmental change which may result in a requirement to amend the process, change management arrangements or reallocate roles and responsibilities to ensure the risk-based approach is continuing to add value and deliver corporate objectives.

SECTION A.6.

NETWORK RESILIENCE

A.6.1. OVERVIEW

- A.6.1.1. The UK's road network is an important part of our national infrastructure, enabling the successful operation of many social and economic activities and the continued availability and operation of these routes is a vital part of keeping our towns, cities and regions running.
- A.6.1.2. Resilience is defined by the Cabinet Office as the 'ability of the community, services, area or infrastructure to detect, prevent, and, if necessary to withstand, handle and recover from disruptive challenges.' There are four components to resilience and Highway Authorities are likely to draw on a combination of these in reducing risk of failure, especially on their Resilient Networks:
- resistance – preventing damage (e.g. a flood wall);
 - reliability – operation under a range of conditions (e.g. earthworks stabilisation);
 - redundancy – availability of backups or spare capacity (e.g. a suitable diversion route); and
 - recovery – enabling a fast response and recovery (e.g. temporary bridges).
- A.6.1.3. This approach fits well with the guidance given in this Code and provides an overview of what network resilience should aim to deliver.
- A.6.1.4. The [National Risk Register of Civil Emergencies](#) is the source document for risk assessment in the UK and is supported by specific guidance and Local Risk Registers within all Local Resilience Forums. These documents will help frame the risks faced and the threat they present. Interaction with emergency planning teams within all organisations and partners will be key to understanding and aligning response to the risks.
- A.6.1.5. Current risks especially pertinent to this document are:
- **human diseases** – especially with regard to their impact on business continuity;
 - **flooding** – including pluvial, fluvial, groundwater and coastal, as experienced in many locations within the last few years;
 - **severe space weather** – such as solar flares, relevant as technology increases in operation, maintenance and within user's vehicles;
 - **severe weather** – both in the context of seasonal norms and sudden impact events;
 - **major industrial accidents** – especially where they touch the road network;

- **widespread electricity failure** – impacting on technology resilience;
- **major transport accidents** – the ability to mitigate, respond and recover;
- **disruptive industrial action** – often with an impact on network operation and usage;
- **terrorist, malicious or criminal attacks or civil protest** – in a variety of forms, linked to operations and security;
- **cyber security** (encompassing computer and computer network security) – a burgeoning risk with a specific impact on intelligent systems, automated systems and systems comprising a computational aspect and physical aspect working together to accomplish a task or function; and
- **severe wildfires.**

- A.6.1.6. The resilience measures implemented to manage these and other local risks are likely to include physical works, staff training, customer information, management plans and procedures and adoption of an appropriate and proportionate security minded approach.
- A.6.1.7. If failure of an asset could lead to major consequences, it should be identified as a critical asset and assessed in greater detail, as defined in [HIAMG](#) Section 13.4.
- A.6.1.8. Tools that are developed to assess, improve and manage network resilience will reveal information about parts of the highway infrastructure, or other related assets such as utilities, which are critical from a security perspective. Where this is the case, the adoption of a security minded approach in relation to use of the tool and the information it generates will be essential.

A.6.2. TRANSPORT RESILIENCE REVIEW

- A.6.2.1. The extreme weather in some parts of the UK over the winter of 2013/14 led to considerable disruption to transport networks. A succession of storms brought the highest winter rainfall across southern England since records began in 1766, resulting in widespread flooding and extensive wind and coastal damage. The events raised the question of how transport systems could be made more resilient so as to reduce the disruption from extreme weather in the future. The [Transport Resilience Review](#) was published in 2014 and the [Government Response](#) to the Review was published in the following November.
- A.6.2.2. The Transport Resilience Review made 63 recommendations, a number of which relate to the management of the highway network. Some of these recommendations have been incorporated into the guidance in this Code.

A.6.3. RESILIENT NETWORK

- A.6.3.1. The Transport Resilience Review recognises that an economically rational approach should be taken to spending on resilience, “ensuring that enough is invested, with the right prioritisation, and avoiding wasteful and economically unjustified expenditure”.

- A.6.3.2. There are a wide variety of highway types, functions and uses across the UK and it is not practicable to either assess or build resilience across all of the Highway Authority networks. There is a need to focus resilience risk assessments and plans on a subset of each network - defined as the “Resilient Network” and outlined in Section A.4 of this Code. It should be developed and reviewed as necessary to ensure that it provides:
- connectivity between major communities;
 - links to the strategic highway network;
 - connectivity across authority boundaries where appropriate;
 - links to transport interchanges;
 - access to emergency facilities including Fire and Rescue, Police, Ambulance Services and hospitals;
 - links to critical infrastructure (ports, power stations, water treatment works etc);
 - principal public transport routes, access to rail and bus stations, and to bus garages and other depots; and
 - other locally important facilities.
- A.6.3.3. When defining the Resilient Network, consideration should be given to engaging with the Local Resilience Forum, or equivalent, key businesses and interest groups to jointly identify routes which are critical to the economic and social life of the area. Neighbouring Highway Authorities should also be consulted to ensure continuity of the Resilient Network at a regional level.
- A.6.3.4. The risk of specific asset failure, to the extent that it leads to closure or restriction of the Resilient Network, should be assessed. This should take into account the likelihood of failure due to the asset's physical attributes and its location (e.g. design capability / capacity, condition, geology, catchment characteristics). The socio-economic consequences of failure should also be considered and include the potential for community severance, the ability to respond to further emergencies, the suitability and length of any diversion route, typical traffic types and volumes, repair / recovery cost and timescale, and damage to statutory utility plant.

RECOMMENDATION 20 – RESILIENT NETWORK

Within the highway network hierarchy a Resilient Network should be identified to which priority is given through maintenance and other measures to maintain economic activity and access to key services during extreme weather.

A.6.4. CLIMATE CHANGE AND ADAPTATION

- A.6.4.1. The [Climate Change Act 2008](#), or equivalent, established a statutory framework for adaptation and set in place a five-year cycle for Government to report on the risks to the UK of climate change and to publish a programme setting out how these impacts will be addressed. The Act also introduced an Adaption Reporting Power which allows the Government to direct public bodies and statutory undertakers to submit a report on their climate risks and their plans to address them.
- A.6.4.2. The key climate changes for the UK are identified within the [UK Climate Projections 09 \(UKCP09\)](#) :
- all areas of the UK get warmer and the warming is greater in summer than in winter;
 - there is little change in the amount of precipitation (rain, hail, snow etc) that falls annually but it is likely that more of it will fall in the winter with drier summers for much of the UK; and
 - sea levels rise – more in the south of the UK than the North.
- A.6.4.3. In 2012 the first national [Climate Change Risk Assessment \(CCRA\)](#) analysed 100 potential impacts of climate change to 11 sectors. For the transport sector the assessment identified flooding, landslides, heat damage and bridge scour as important risks. This has been followed up with the [2016 report](#), which highlights further issues.
- A.6.4.4. The Government released the first [National Adaptation Programme \(NAP\)](#) in July 2013. It contains a series of objectives and associated actions to tackle risks identified in the CCRA. Most notably with regard to highway infrastructure management, objectives 7 and 8 are:
- To ensure infrastructure is located, planned, designed and maintained to be resilient to climate change, including increasingly extreme weather events.
 - To better understand the particular vulnerabilities facing local infrastructure from extreme weather and long term climate change to determine actions to address the risks.
- A.6.4.5. The [Scottish Climate Change Adaptation Programme](#) addresses the risks identified for Scotland in the UK Climate Change Risk Assessment.
- A.6.4.6. Highway Authorities should consider how various climate change variables such as intense or prolonged rainfall; hotter temperatures and higher wind speed will impact on the type of highway assets that they manage and the likelihood of these events occurring. By doing this the greatest generic risks to network closure or restriction can be identified. These are likely to be:
- flooding (pluvial, fluvial, groundwater and coastal);
 - landslips;
 - bridge scour;

- widespread tree fall;
 - carriageway heat damage;
 - falling power and communications lines;
 - falling temporary structures on development sites; and
 - disruption at interchanges with other transport modes such as rail and tram.
- A.6.4.7. Highway Authorities should review and apply the latest UK Climate Projections, as developed by the Met Office and Environment Agency, when assessing future risk and vulnerability. These projections for future changes to both average climatic conditions and also the frequency of extreme weather events, allow for an understanding of where risk levels may change, and the identification of new risks which may emerge as the climate changes. When applied alongside records of past incidents, and other information sources (such as flood maps), climate projections may also help to identify when and what action should be taken to adapt to the risks.
- A.6.4.8. The locations where there is potential for these events to occur on the Resilient Network should be identified. This can be done using the highway asset inventory and records of past incidents of weather related damage or incidents such as flooding or landslips. The local Flood Risk Management Plans, as prepared by the Lead Local Flood Authority, should also be used to identify areas prone to flooding. Where possible, local knowledge should be used to validate the findings.
- A.6.4.9. Some of the risks may have the potential to be reduced by mitigation action. Such action could range from improved routine inspection or maintenance regimes to major asset improvement or replacement works. Options for mitigating the greatest risks should be explored with a view to prioritising those measures that will provide the greatest return on investment in terms of reduced risk. These measures should be integrated with the asset management plan with an appropriate weighting.

RECOMMENDATION 21 – CLIMATE CHANGE ADAPTATION

The effects of extreme weather events on highway infrastructure assets should be risk assessed and ways to mitigate the impacts of the highest risks identified.

A.6.5. PLANNING FOR RESPONDING TO NETWORK DISRUPTIONS

- A.6.5.1. Resilience planning is not just about the physical resilience of the highway infrastructure but also about how disruption is managed and the speed of recovery. Climate change and other rising risks may increase the frequency with which Highway Authorities will have to respond to severe weather emergencies. Authorities should establish, in consultation with others, including service providers, emergency services and relevant agencies such as the Environment Agency, or equivalent, operational plans and procedures to enable timely and effective action to mitigate the effects of such weather emergencies as they affect the highway network. There will also be other weather conditions, such as fog or heavy rain, which although possibly causing danger and operational difficulties, would not be considered as emergencies.

- A.6.5.2. The content of operational plans and procedures could be based on those developed for Winter Service, adapted to suit the particular risks involved. It will be essential to address specific health and safety issues relevant to each emergency.
- A.6.5.3. There are a number of other potential emergency situations which could affect the highway, including those resulting from subsidence, landslip or collapsed walls and oil spills. Although the risk of some such occurrences can be reduced through a risk-based inspection regime, there are likely to be occasional random occurrences and contingency planning should be undertaken.
- A.6.5.4. There is also a wide range of other civil emergencies in which the highway maintenance service may need to become involved. In such cases plans, procedures, and responsibilities will be defined in the Highway Authority's Civil Emergency Plan, maintained by the authority's Emergency Planning Department, and related to more specific plans maintained by the Police and other emergency services. Requirements placed on authorities for emergency planning are set out in the [Civil Contingencies Act 2004](#), or equivalent. Local authorities are Category 1 responders under this Act.
- A.6.5.5. Operational plans and procedures for severe weather and other emergencies will need to be regularly tested and validated for effectiveness against a range of risk scenarios relevant to the authority's area. Consideration should also be given as to whether specific staff training is needed to support people discharging challenging or unusual roles, either due to the emergency situation itself or the role being a change from their normal duties. Training and exercising should be undertaken .in accordance with the Authority's emergency plan.
- A.6.5.6. Recent experiences and consequences of flooding have increased the importance placed by local communities on flood protection measures and the need for effective action by authorities in planning and responding to extreme weather conditions. The [Flood and Water Management Act 2012](#), or equivalent, aims to improve both flood risk management and the way that water resources are managed. The Act creates clearer roles and responsibilities and instils a more risk-based approach. This includes a new lead role for local authorities in managing local flood risk (from surface water, ground water and ordinary watercourses) and a strategic overview role for all flood risk for the EA, or equivalent. They will be the key agency in respect of responding to flood emergencies, and authorities will need to work closely with them.
- A.6.5.7. In planning for increased risk of flooding from rivers and sea, authorities should:
- undertake a risk assessment to determine vulnerable highways;
 - define alternative routes and progressively bring them up to appropriate standards of maintenance and signing;
 - consider promotion of improved flood defences by infrastructure owners;
 - consider installation of improved flood protection;
 - prepare contingency plans in consultation with other authorities;
 - ensure bridge openings and culverts are sufficient to deal with predicted levels of flooding; and

- consider if any critical infrastructure on vulnerable routes could be bypassed by a suitable new route.
- A.6.5.8. The contribution of authorities in dealing with flood conditions will depend upon the circumstances but could include:
- signing and maintaining diversions;
 - inspection, clearance and maintenance of drainage systems, including outfalls.
 - provision and operation of land and water transport;
 - encouraging property owners to protect their own property;
 - provision and installation of sandbags and other protection in certain cases;
 - general support to emergency services; and
 - liaising with energy and communications suppliers.
- A.6.5.9. CIRIA produced comprehensive [guidance on the planning, design, construction, operation and maintenance of sustainable drainage systems \(SuDS\)](#).
- RECOMMENDATION 22 – DRAINAGE MAINTENANCE**
Drainage assets should be maintained in good working order to reduce the threat and scale of flooding. Particular attention should be paid to locations known to be prone to problems, so that drainage systems operate close to their designed efficiency.
- A.6.5.10. The implications of high winds within an authority area are much less predictable, although weather information can help to assess the risk. Authorities should, as part of highway inventory and inspection arrangements, identify those parts of the network most at risk of obstruction due to fallen trees. Any limited sections, not already considered as part of the Resilient Network assessment, where obstruction could have particularly serious consequences for safety or serviceability should be identified. These could include accesses to relatively isolated communities. It may be appropriate to consider, with arboricultural advice, planned removal and replacement with more suitable trees in some cases.
- A.6.5.11. In planning for increased risk of damage from increased wind speeds, Local Highway Authorities should also:
- undertake a risk assessment to identify structures at greatest risk and/or consequences; and
 - undertake structural appraisal and consider implications for strengthening or removal.
- A.6.5.12. The Scottish approach to high winds is set out in the [High Wind Strategy & National Wind Management Guidelines](#).

A.6.5.13. Advice from weather warnings will need to be taken into account in considering a particular response, e.g. to safeguard the health and safety of operatives, which may limit the extent to which any direct assistance can be provided until conditions have eased. The contribution of authorities to dealing with the consequences of high winds will then depend upon the circumstances, but could include:

- signing and maintaining temporary closures and diversions;
- clearance of fallen and potentially dangerous trees;
- clearance and removal of debris;
- assistance with temporary support and repair of buildings;
- general support to emergency services; and
- liaison with energy and communication suppliers.

RECOMMENDATION 23 – CIVIL EMERGENCIES AND SEVERE WEATHER EMERGENCIES PLANS

The role and responsibilities of the Highway Authority in responding to civil emergencies should be defined in the authority's Civil Emergency Plan. A Severe Weather Emergencies Plan should also be established in consultation with others, including emergency services, relevant authorities and agencies. It should include operational, resource and contingency plans and procedures to enable timely and effective action by the Highway Authority to mitigate the effects of severe weather on the network and provide the best practicable service in the circumstances.

A.6.6. COLLABORATION

- A.6.6.1. An integrated approach to the management of severe weather and civil emergencies forms the basis of the UK's approach as defined by the Cabinet Office and should be adopted by Highway Authorities.
- A.6.6.2. Working with the community, partner organisations and all parts of the Highway Authority at planning, response and recovery stages, including across boundaries, has been shown to enhance resilience and help to mitigate the impact of threats to network operation. Examples of this approach are agreement of diversion routes, use of community flood wardens and provision of mutual aid between authorities. Lines of communication with other asset owners situated across, over or under the highway may also be useful.
- A.6.6.3. Collaboration with the Local Resilience Forum, or equivalent, can help understand the risk environment, link to other responding agencies and share good practice. Depending on the authority this might be facilitated by an Emergency Planning Officer and engagement with these experts should be part of standard procedure in plan development.

A.6.6.4. Neighbouring property owners can have an impact on the resilience of a highway if they fail to adequately discharge their responsibilities as land owners. Trees from neighbouring land blown over in high winds are a frequent cause of blocked roads and associated disruption. Similarly, poorly maintained neighbouring drains or surface water run-off from adjacent fields are a common cause of road flooding. Neighbouring poles, masts and power lines may also have a potential impact. Contact should be made with owners where the network is vulnerable to disruption emanating from their property to advise them of their responsibilities and liability.

A.6.7. COMMUNICATIONS

- A.6.7.1. Forecasts of extreme weather and flood events have steadily improved in accuracy over recent years and this is helpful in ensuring that adequate resources can be in place and warnings given to highway users of potential disruption.
- A.6.7.2. Authorities should ensure that they have clearly agreed channels for receiving weather and flood forecasts. These should be monitored in real time during periods when extreme weather is expected.
- A.6.7.3. Weather forecast information is crucial and the Meteorological Office will issue severe weather warnings and send messages to authorities, other emergency services and the media. These are based on colour coded descriptions:
 - Yellow – Be aware, there is the small chance of...;
 - Amber – Be Prepared, there is likely to be...; and
 - Red – Take Action, there will be...
- A.6.7.4. The Environment Agency or equivalent has established a system of flood warning procedures, together with audible warnings in certain areas:
 - Flood Alert – Flooding is possible. Be prepared;
 - Flood Warning – Flooding is expected. Immediate action required; and
 - Severe Flood Warning – Severe flooding. Danger to life.
- A.6.7.5. Highway users judge how well disruption is handled principally by the information they receive from authorities, either directly or via the media. Providing timely, credible and useful information to allow people to make informed decisions before they travel, and give advanced indication of what they can expect if they decide to travel is central to this. Highway Authorities should consider providing real time information using the internet and social media as well as the press, radio and TV to maximise coverage. During periods of disruption, authorities should consider giving prominence to the latest travel information on their websites.

- A.6.7.6.** Authorities should communicate with passengers and other stakeholders as clearly as possible (avoiding technical jargon) to explain what is happening and how services are being affected by the weather or as a result of weather induced damage to infrastructure. Achieving this with maximum effect requires an understanding of the available information channels and how those are being used by travellers and freight customers. Openness and honesty in communication helps build confidence. Even if little information is available, letting people know when they can expect an update is helpful. Photographs on the internet or distributed by social media could be used when appropriate, to improve highway users' understanding of the reasons for the disruption. Passengers and users who have confidence in the information they are being given are more likely to act on advice, potentially helping to relieve rather than add to the situation.

RECOMMENDATION 24 – COMMUNICATIONS

Severe Weather and Civil Emergencies Plans should incorporate a communications plan to ensure that information including weather and flood forecasts are received through agreed channels and that information is disseminated to highway users through a range of media.

A.6.8. LEARNING FROM EVENTS

- A.6.8.1.** Authorities should regularly review their responses to severe weather, emergency rehearsals and actual responses to identify potential improvement to their severe weather and emergency operational plans and procedures. Where appropriate reviews should be carried out in consultation with other responding organisations and public and businesses affected by the event.

RECOMMENDATION 25 – LEARNING FROM EVENTS

Severe Weather and Civil Emergencies Plans should be regularly rehearsed and refined as necessary. The effectiveness of the Plans should be reviewed after actual events and the learning used to develop them as necessary.

SECTION A.7. PERFORMANCE MANAGEMENT

A.7.1. PERFORMANCE MANAGEMENT

- A.7.1.1. Performance management is dealt with in the [UKRLG Highway Infrastructure Asset Management Guidance \(HIAMG\), Parts B and C.](#)
- A.7.1.2. As part of their asset management strategy, authorities should establish a performance management framework, including performance measures and targets, to enable monitoring of delivery of the strategy and of performance and to identify the cost of meeting the strategy in the short, medium and long term.

RECOMMENDATION 26 – PERFORMANCE MANAGEMENT FRAMEWORK
A performance management framework should be developed that is clear and accessible to stakeholders as appropriate and supports the asset management strategy.
(HIAMG Recommendation 4)

RECOMMENDATION 27 – PERFORMANCE MONITORING
The performance of the Asset Management Framework should be monitored and reported. It should be reviewed regularly by senior decision makers and when appropriate, improvement actions should be taken.
(HIAMG Recommendation 13)

SECTION A.8.

FINANCIAL MANAGEMENT, PRIORITIES AND PROGRAMMING

A.8.1. FINANCING OF HIGHWAY MAINTENANCE

- A.8.1.1. Financial constraints, lifecycle planning, making the case for investment and investment strategy are all dealt with in the [UKRLG Highway Infrastructure Asset Management Guidance \(HIAMG\), Parts A, B and C](#). This document should be referred to and the advice below considered supplementary.
- A.8.1.2. Valuation and financial reporting is dealt with in the [Code of Practice on the Highways Network Asset](#), published by the Chartered Institute of Public Finance and Accountancy. This document should be referred to and the advice below considered supplementary.
- A.8.1.3.** There are significant differences in both capital and revenue funding arrangements within the UK. These are not set out in detail in this Code and reference should be made to relevant government advice.
- A.8.1.4.** Financial plans should be linked to asset management strategy and prepared both for short term activities, such as routine maintenance, and for medium and long term activities, such as preventative maintenance and asset replacement.

RECOMMENDATION 28 – FINANCIAL PLANS

Financial plans should be prepared for all highway maintenance activities covering short, medium and long term time horizons.

RECOMMENDATION 29 – LIFECYCLE PLANS

Lifecycle planning principles should be used to review the level of funding, support investment decisions and substantiate the need for appropriate and sustainable long term investment. (HIAMG Recommendation 6)

A.8.2. BUDGETING PRINCIPLES

- A.8.2.1. Budgeting principles should provide the necessary level of flexibility to deliver value for money. They should be set out based on the following considerations and principles:
- the differing life expectancies of various treatments and the future implications of these for the balance of capital and revenue funding;
 - the seasonal and weather sensitive nature of many treatments and the service as a whole;
 - the uncertainties in prediction of out-turn costs for Winter Service and the need for financial year-end flexibility;
 - the need for resilience against the increasing trend in weather related incidents; and

- the need to make provision for emergencies.

A.8.3. PRIORITIES AND PROGRAMMING

- A.8.3.1. Priorities and programming are dealt with in the [UKRLG Highway Infrastructure Asset Management Guidance \(HIAMG\), Part B](#). This document should be referred to and the advice below considered supplementary.
- A.8.3.2. The highway network should be viewed as a whole when developing priorities, rather than as a series of asset groups such as carriageways, footways, structures, lighting, etc. Consideration should be given to prioritising across asset groups as well as within them.
- A.8.3.3. Authorities should seek to share and coordinate short and long term programmes of work with others undertaking works on the highway for several years in advance.
- A.8.3.4. Authorities should consider the need to minimise long term damage from the installation, renewal, maintenance and repair of underground apparatus, e.g. use of trenchless technology.

RECOMMENDATION 30 – CROSS ASSET PRIORITIES

In developing priorities and programmes, consideration should be given to prioritising across asset groups as well as within them.

RECOMMENDATION 31 – WORKS PROGRAMMING

A prioritised forward works programme for a rolling period of three to five years should be developed and updated regularly.

(HIAMG Recommendation 7)

SECTION A.9.

SUSTAINABILITY

A.9.1. SUSTAINABILITY AND HIGHWAY INFRASTRUCTURE MAINTENANCE

- A.9.1.1. Authorities will have their own approach to sustainability and relevant aspects may form part of their asset management strategy. The UK sustainable development strategy, [Securing the Future](#), includes priority areas for shared action as:
- sustainable consumption and production;
 - climate change and energy;
 - natural resource protection and environmental enhancement; and
 - sustainable communities.
- A.9.1.2. Authorities and their partners are pivotal to delivering sustainable communities and to provide focus. Highway infrastructure maintenance has a significant role to play, and impact to make, in the achievement of sustainable development. Authorities should consider developing a policy for sustainable development in highway maintenance. This should form the linkage between the strategic objectives of the authority at the highest level and the materials, practices and processes used on the highway network.
- A.9.1.3. Sustainable development for highway infrastructure maintenance involves working within environmental limits whilst achieving a sustainable economy, and is encapsulated as:
- social progress which recognises the needs of everyone;
 - effective protection of environment;
 - prudent use of natural resources; and
 - maintenance of high and stable levels of economic growth and employment.
- A.9.1.4. Authorities should accommodate and facilitate litter picking and street cleansing activities where these are the responsibility of other authorities.
- A.9.1.5. Carbon management, and in particular reduction of the carbon consumption and associated energy and other costs associated with highway infrastructure operation and maintenance, is an important issue for authorities individually, and also as part of their contribution to wider carbon reduction initiatives.
- A.9.1.6. [PAS 2080](#) provides a common framework for all infrastructure sectors and value chain members on how to manage whole life carbon when delivering infrastructure assets and programmes of work.

RECOMMENDATION 32 – CARBON

The impact of highway infrastructure maintenance activities in terms of whole life carbon costs should be taken into account when determining appropriate interventions, materials and treatments.

A.9.2. MATERIALS, PRODUCTS AND TREATMENTS

- A.9.2.1. Materials, products and treatments used for highway maintenance will need to meet required standards for effectiveness and durability, but should also make a positive contribution to the public realm.
- A.9.2.2. There are a wide range of technical specifications for materials, products and treatments for highway works. Some of these are obligatory, but many provide for significant discretion in their application to particular circumstances. It is important that specifications are fit for purpose otherwise they can increase cost and may also reduce the potential for sustainability, for example by precluding the use of locally sourced materials.
- A.9.2.3. The Department for Transport has published [Sustainable Highways: A Short Guide](#), which provides succinct guidance for local authority highway and material engineers on the choice of sustainable materials and techniques for use in highway and footway maintenance as well as new construction.
- A.9.2.4. Materials and treatments should be consistent with the character of the area and, for example, do not contribute to the ‘urbanisation’ of rural areas. Conversely, in heavily trafficked urban areas materials should be of sufficient durability to avoid premature deterioration and consequent poor appearance. The presence of a speed limit should not be the automatic determinant for the application of ‘urban’ specifications.
- A.9.2.5. The [Planning \(Listed Buildings and Conservation Areas\) Act 1980](#), or equivalent, provides for the protection of conservation areas that have special historical interest. The status can influence the processes required for maintenance in such areas.
- A.9.2.6. Historic England, in conjunction with the Department for Transport has published a series of regional guides [Streets for All](#). The right balance of materials and treatments used in particular circumstances should not merely be a technical or financial issue; it should also be one of sustainability. The guidance suggests that where possible, authorities should set up a townscape ‘Public Realm Management Team’, responsible for overseeing an integrated approach to townscape management and ensuring that policies for the public realm are included in all development frameworks. Whole life costing is also a sustainability issue and should be factored in to the assessment.
- A.9.2.7. Authorities may consider identifying a hierarchy of streets and spaces to prioritise the use of more expensive, natural materials. Each area should have a palette of materials appropriate to its location, which allows new and old work to relate to one another. This could be a subset of the maintenance hierarchies referred to in Section A.4 of this Code.
- A.9.2.8. [Guidance on natural stone surfacing](#) has been produced by SCOTS.

RECOMMENDATION 33 – CONSISTENCY WITH CHARACTER

Determination of materials, products and treatments for the highway network should take into account the character of the area as well as factoring in whole life costing and sustainability. The materials, products and treatments used for highway maintenance should meet requirements for effectiveness and durability.

RECOMMENDATION 34 – HERITAGE ASSETS

Authorities should identify a schedule of listed structures, ancient monuments and other relevant assets and work with relevant organisations to ensure that maintenance reflects planning requirements.

A.9.3. QUALITY MANAGEMENT AND SECTOR SCHEMES

- A.9.3.1. Quality management systems are intended to encourage consistent management and organisational processes. If correctly and flexibly applied, they should support a culture of competence, consistency and enable innovation to flourish.
- A.9.3.2. Highway maintenance operations can be aligned to a quality assurance regime to facilitate continuous improvement, preferably based on the principles of [ISO 9001](#) that integrates systems of client and service provider.
- A.9.3.3. The quantity and cost of maintenance products and materials is relatively easy to determine, but quality can be very variable. A number of [National Highway Sector Schemes \(NHSS\)](#) have been developed to improve the consistency of the products and ensure that they satisfy purchaser requirements. Some sector schemes are administered by the [United Kingdom Accreditation Service \(UKAS\)](#).
- A.9.3.4. [The Highway Authorities Product Approval Scheme \(HAPAS\)](#) provides a means for manufacturers and suppliers to obtain approval for the use of innovative and proprietary products within an agreed performance regime.
- A.9.3.5. There are also a number of relevant documents published by the [Road Surface Treatment Association](#) and [ADEPT](#).

A.9.4. ENVIRONMENTAL MANAGEMENT

- A.9.4.1. In pursuing the objective of network sustainability one of the issues will be maximising the environmental contribution made by highway maintenance. An [Environmental Management System to ISO 14000](#) will help address the range of relevant issues affecting the environment including:
 - carbon costs and energy reduction (see Sustainability above);
 - noise;
 - materials utilisation;
 - waste management and recycling
 - air quality and pollution control;
 - nature conservation and biodiversity; and

- environmental intrusion.

A.9.5. NOISE REDUCTION

- A.9.5.1. Road traffic noise is a major environmental consideration, both for those living close to heavily used inter-urban highways and also within urban areas. Legislation is progressively seeking to reduce road noise from vehicles but noise from running surfaces can also be intrusive.
- A.9.5.2. Where running surfaces are renewed or resurfaced, the opportunity exists to mitigate the effects of traffic noise. Whenever major maintenance schemes of this type are being planned, authorities should consider the option of a lower noise alternative.
- A.9.5.3. The statutory duty to ‘secure the expeditious movement of traffic’ imposed by the [Traffic Management Act 2004](#), or equivalent, could place greater emphasis on night working. Close consultation with residents and Environmental Health Officers, particularly in urban areas, is necessary.

A.9.6. MATERIALS UTILISATION

- A.9.6.1. Highway maintenance consumes significant quantities of materials, and policies for materials purchasing and utilisation can make a considerable contribution to sustainability.
- A.9.6.2. Authorities should consider, wherever practicable and cost effective, to maximise the use of:
- local materials to minimise transport costs, support the local economy, and to maintain local character. This will be of particular importance for the use of visible materials in conservation areas; and
 - products made from recycled materials.
- A.9.6.3. Sustainable purchasing and materials utilisation may have cost implications and authorities will need to balance these against the environmental benefits. They should also consider carefully whether some limited reduction in material specification might be acceptable in order to achieve a more sustainable outcome without excessive cost.

A.9.7. WASTE MANAGEMENT AND RECYCLING

- A.9.7.1. Authorities may have statutory or other indicators and targets relating to waste disposal and it is important that highway infrastructure maintenance provides support to these so far as practicable.
- A.9.7.2. [The Waste and Resources Action Programme \(WRAP\)](#) is a Government-funded programme established to promote resource efficiency.
- A.9.7.3. Authorities should seek wherever practicable and cost effective to:
- retain and re-use materials on site to avoid environmental implications of transport and disposal;

- maximise the value of the re-used material rather than utilise for low grade purposes;
- make use of ‘recycle in place’ processes in appropriate situations;
- support recycled market development through the purchase of recycled products wherever possible; and
- ensure that the quantity of material that cannot be re-used or recycled is minimised and disposed of at licensed sites.

A.9.8. AIR QUALITY AND POLLUTION CONTROL

- A.9.8.1. A number of maintenance operations have the potential to cause noise, air or water pollution and authorities will need to take particular account of statutory requirements. Advice from Environmental Health Departments and the Environment Agency, or equivalent, should also be sought where necessary. In some cases environmental inconvenience to the community may be inevitable, but authorities should seek to mitigate this wherever practicable, for example by phasing and scheduling of works to avoid sensitive periods and potentially difficult weather conditions.
- A.9.8.2. Storage areas for fuel, salt and other materials, both in depots and on site, have the potential for pollution and care should be taken in siting them. Permanent and temporary storage areas should be sited and managed in accordance with requirements of the Local Planning Authority and the EA. In particular, they should not be sited where they could cause damage to landscape or nature conservation or have the potential to pollute watercourses or groundwater.

A.9.9. NATURE CONSERVATION AND BIODIVERSITY

- A.9.9.1. Highway verges and the wider ‘soft estate’ both have implications for conservation and biodiversity. Specialist advice should be sought on the management of these areas to achieve the correct balance between safety, amenity, nature conservation and value for money. Where landscape management plans, biodiversity action plans, or environmental databases exist they should be consulted before any work is carried out.
- A.9.9.2. Certain named species and habitats are protected by law and all highway infrastructure maintenance works must comply with these requirements. Where designated sites are within or adjacent to the highway boundary, advice should be sought from Natural England, or equivalent, or local wildlife trusts, etc. Legislation requires that Natural England, or equivalent, are informed where important habitats and species may be affected, such as the removal of trees used as bat roosts. This should be done well in advance of maintenance work to allow for seasonal factors.

- A.9.9.3. Authorities should recognise the contribution that trees make to the economic, social and environmental well-being of the community. In urban areas roadside trees have a particular landscape value, are often highly regarded by the community, and should be carefully managed. Authorities should develop a policy for the installation, subsequent condition inspection and maintenance of highway trees. Care should be taken to avoid damage to trees during highway infrastructure maintenance and improvement works and guidance for the planning, installing and maintenance of utility services in proximity to trees issued by [NJUG](#) should be followed.
- A.9.9.4. In 2014, the Tree Design Action Group (TDAG) produced a good practice guide [Trees in Hard Landscapes: A Guide for Delivery](#) in association with the CIHT, ICE, ICF and CIBSE.

RECOMMENDATION 35 – ENVIRONMENTAL IMPACT, NATURE CONSERVATION AND BIODIVERSITY

Materials, products and treatments for highway infrastructure maintenance should be appraised for environmental impact and for wider issues of sustainability. Highway verges, trees and landscaped areas should be managed with regard to their nature conservation value and biodiversity principles as well as whole-life costing, highway safety and serviceability.

A.9.10. PLANTS AND INJURIOUS WEEDS

- A.9.10.1. The [Wildlife and Countryside Act 1981](#) makes it an offence to plant, or otherwise cause to grow any plant in the wild at a place outwith its native range. This can cause restrictions on verge and other maintenance operations. The [Wildlife and Natural Environment \(Scotland\) Act 2011](#) has brought in new provisions governing the introduction of non-native species in Scotland.
- A.9.10.2. The [Noxious Weeds Act 1959](#) places a responsibility on the authorities to take action to inhibit the growth and spread of injurious weeds growing within the highway.
- A.9.10.3. Where injurious weeds on highway land are a nuisance to adjacent landowners, it is advisable to work with the landowner to ensure that weed control measures are undertaken simultaneously to avoid recontamination across the highway boundary. The prescribed weeds are:
- ragwort;
 - broad leaved dock;
 - curled dock;
 - creeping thistle; and
 - spear thistle.

- A.9.10.4. Ragwort, in particular is extremely hard to eradicate and some authorities have bylaws to control it. The seed can survive 20 years in the soil before germinating and any root left behind when dug up will re-grow. It is also highly toxic to horses, cattle and sheep. It is normally biennial producing small rosettes in the spring and flowers in its second year from July onwards. Cutting is used by many authorities for control to prevent the plant flowering and seeding, and two full cuts of the verge by the end of June every year for five years will inhibit seeding and spreading.
- A.9.10.5. Ragwort can only be completely eradicated by digging out before it flowers, which in most cases will be impractical for authorities with large areas of verge, or by spraying an appropriate weed killer. On ungrazed land such as roadside verges, unselective weed killer use could also destroy many desirable wild species and labour intensive spot treatment may be preferable.

A.9.11. ENVIRONMENTAL INTRUSION

- A.9.11.1. Depots and areas for materials storage will provide the most visible evidence of the extent of environmental awareness in the service. Every effort should be made to ensure that they are located, designed, maintained and operated to the highest practicable environmental standards. In many cases these standards will be required as a condition of planning, but planning conditions are not able to address all operational issues and should therefore be considered as a minimum.
- A.9.11.2. Poorly managed materials and temporary storage areas can rapidly be adopted by others as illegal waste dumps for which authorities may become liable. In any event such poorly managed storage areas would clearly be incompatible with the objective of sustainability.
- A.9.11.3. Increasing emphasis on quality of public space and streetscene brings increased importance to the avoidance of ‘clutter’. Excessive and redundant signs and other street furniture can contribute to environmental intrusion and adversely affect overall streetscape. Signing which is inappropriate or no longer necessary is, at best, intrusive and, at worst, a distraction and risk to users. Opportunities should be taken to remove or simplify redundant signing wherever possible in conjunction with planned maintenance works.
- A.9.11.4. The Department for Transport's [Local Transport Note 1/08 Traffic Management and Streetscape](#) aims to enhance streetscape appearance by encouraging designers to minimise the various traffic signs, road markings and street furniture associated with traffic management schemes, and hence minimise clutter.

RECOMMENDATION 36 – MINIMISING CLUTTER

Opportunities to simplify signs and other street furniture and to remove redundant items should be taken into account when planning highway infrastructure maintenance activities.

A.9.12. ENVIRONMENTAL CONSULTATION AND ASSESSMENT

- A.9.12.1. Environmental issues cover a very wide range, each of which is a specialist area and on which experience and good practice continues to develop. There will be a wide range of local environmental and conservation groups having specialist interests. Although engagement with such local groups will present particular challenges to highway infrastructure maintenance managers, including the management of differing points of view, perseverance is likely to bring benefits both in terms of advice and environmental competence and also through greater public understanding of highway maintenance problems.
- A.9.12.2. Environmental assessments may be required for certain works and authorities should be clear on the circumstances where such assessment is necessary.

A.9.13. FACTORS TO CONSIDER FOR SUSTAINABILITY

- A.9.13.1. Tables 6 and 7 provide factors for consideration when undertaking a sustainability appraisal either of individual maintenance schemes or of the maintenance service as a whole. Actions to be taken to address each of the issues are not specified but should be determined locally taking into account local priorities and constraints. The list is not exhaustive but includes a number of the key issues that may need to be addressed.

Table 6 – Factors to Consider for Sustainability (i)

Issue	Check
Local Economy	
Viability and vitality	Does the service or scheme affect the vitality and viability of the local community?
Local employment	What contribution is made to local employment by the service or scheme?
Local materials	Does the service or scheme fully make use of opportunities to use local materials?
Community Value	
Community engagement	Does the service engage well with all sections of the local community?
Meeting community needs	Does the service or scheme meet the needs of all sections of the local community?
Quality of public space	Does the scheme make an effective contribution to the quality of public space?
Noise Pollution	
Offices and depots	Are all opportunities realised to minimise noise pollution at offices and depots?
Works sites	Are all opportunities realised to minimise noise from vehicles and plant at works sites?
Traffic	Are locations of high traffic noise identified and mitigation measures included in schemes where appropriate?
Air Pollution	
Vehicles	Is there a policy and programme for vehicle replacement and modification to minimise air pollution (with targets)?
Plant and machinery	Is there a policy and programme for plant replacement and modification to minimise air pollution (with targets)?
Water Management	
Offices and depots	Are there arrangements in all offices and depots to minimise water use (with targets)?
Works sites	Are there arrangements in all works sites to avoid water wastage (with targets)?
Pollution control	Are there policies and procedures in place at all depots and works sites (with targets) to avoid water pollution especially from oil spills and salt leachate?
Flood management	Are locations of high flood risk identified and mitigation measures included in schemes where appropriate?

Table 7 – Factors to Consider for Sustainability (ii)

Issue	Check
Visual Intrusion	
Depots	Are all depots located and designed to minimise visual intrusion?
Works sites	Are all works sites located to minimise visual intrusion?
Materials Utilisation	
Location	Does the materials selection criteria give priority to local sources?
Design	Does the design process include consideration of minimum materials?
Performance	Do the design criteria allow for reduced specification in order to mitigate environmental affects?
Waste Management	
Minimisation	Do the design process and criteria facilitate the designing out of waste?
Reuse	Does the design process encourage the use of re-used materials as the first option?
Recycling	Does the design process encourage the use of recycled materials as the second option?
Energy Management	
Offices and depots	Are there policies and procedures in place at all offices and depots (with targets) to minimise energy usage?
Works sites	Are there policies and procedures in place at all offices and depots (with targets) to minimise energy usage?
Schemes	Do all works and schemes maximise the use of cold rather than hot technology?
Biodiversity	
Policies	Has the service adopted biodiversity policies and procedures?
Trees and landscaping	Are all policies and practices for maintenance of trees and landscaping designed to maximise nature conservation value?
Works programmes	Are works programmes adjusted to assist biodiversity requirements?

SECTION A.10. PROCUREMENT

A.10.1. PROCUREMENT GUIDANCE

- A.10.1.1. Guidance on procurement issues in England can be found through the [HMEP website](#).
- A.10.1.2. In Scotland guidance can be found in the [Scottish Road Maintenance Review](#) and in Northern Ireland via the [DfI Procurement Branch](#).

WELL-MANAGED HIGHWAY INFRASTRUCTURE

PART B. HIGHWAYS

SECTION B.1.

INTRODUCTION TO PART B – HIGHWAYS

B.1.1. INTRODUCTION

- B.1.1.1. Part B of Well-managed Highway Infrastructure covers specific issues and themes regarding highways themselves, and includes the following asset types:
- carriageways;
 - footways;
 - public rights of way;
 - cycle routes;
 - highway drainage systems;
 - embankments and cuttings;
 - landscaped areas and trees;
 - fences and barriers;
 - traffic signs and bollards; and
 - road markings and studs.
- B.1.1.2. The overarching principles and common themes of maintaining highway infrastructure are covered within Part A. Asset specific guidance for structures and lighting are covered in Part C and Part D respectively.

SECTION B.2. LEGAL FRAMEWORK – HIGHWAYS

B.2.1. INTRODUCTION

- B.2.1.1. General duties and powers are dealt with in Part A of this Code. This section contains information on duties and powers specifically related to highways.

B.2.2. HIGHWAY SPECIFIC LEGAL CONSIDERATIONS

- B.2.2.1. 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.
- B.2.2.2. Section 58 provides for a defence against action relating to alleged failure to maintain on grounds that the authority has taken such care as in all the circumstances was reasonably required to secure that the part of the highway in question was not dangerous for traffic.
- B.2.2.3. In Scotland, the key road maintenance legislation is contained in the Roads (Scotland) Act 1984, Section 1, which provides a duty for local roads authorities to keep a list of ‘public roads’ and to maintain and manage them. There is no direct equivalent of the Highways Act 1980 Section 58 providing defence against alleged failure to maintain, although case law will have established some basis for this.

B.2.3. WINTER SERVICE

- B.2.3.1. The statutory basis for Winter Service in England and Wales is addressed through Section 41 (1A) of the Highways Act on the 31st October 2003, by Section 111 of the Railways and Safety Transport Act 2003. The first part of Section 41(1) reads:
- a) ‘The authority who are for the time being the Highway Authority for a highway maintainable at the public expense are under a duty, subject to subsections (2) and (4) below, to maintain the highway.
 - b) (1) In particular, a Highway Authority are under a duty to ensure, so far as is reasonably practicable, that safe passage along a highway is not endangered by snow or ice’.
- B.2.3.2. Section 150 of the Highways Act 1980 also imposes a duty upon authorities to remove any obstruction of the highway resulting from ‘*accumulation of snow or from the falling down of banks on the side of the highway, or from any other cause*

- B.2.3.3. In addition, the Traffic Management Act 2004 placed a network management duty on all local traffic authorities in England. It requires authorities to do all that is reasonably practicable to manage the network effectively to keep traffic moving. In meeting the duty, authorities should establish contingency plans for dealing promptly and effectively with unplanned events, such as unforeseen weather conditions, as far as is reasonably practicable.
- B.2.3.4. Given the scale of financial and other resources involved in delivering the Winter Service, it is not considered reasonable either to:
- provide the service on all parts of the Network; and
 - ensure carriageways, footways and cycle routes are kept free of ice or snow at all times, even on the treated parts of the network.
- B.2.3.5. In Scotland statutory responsibilities are defined by Section 34 of the Roads (Scotland) Act 1984 which requires that “a road authority shall take such steps as it considers reasonable to prevent snow and ice endangering the safe passage of pedestrians and vehicles over public roads”.
- B.2.3.6. In Northern Ireland, the Roads (NI) Order 1993 SI 1993/3160 (NI 15) provides, in Article 10, a duty for the Department for Infrastructure to “*remove snow, soil etc which has fallen on a road*”. Section 9 of the Order also enables the authority to “*take such action as it considers reasonable to prevent snow or ice interfering with the safe passage of persons and vehicles using the road*”. However paragraph 7 of Article 10 provides protection from liability and states that “*Nothing in this Article operates to confer on any person a right of action in tort against the Department for failing to carry out any duty imposed on it under the Article*”.

SECTION B.3.

ASSET MANAGEMENT INFORMATION

– HIGHWAYS

B.3.1. INTRODUCTION

- B.3.1.1. Asset data management is dealt with in the [UKRLG Highway Infrastructure Asset Management Guidance \(HIAMG\), Part B](#). This document should be referred to and the advice below considered supplementary.
- B.3.1.2. Asset management systems are dealt with in the [UKRLG Highway Infrastructure Asset Management Guidance, Part C](#). This document should be referred to and the advice below considered supplementary.

B.3.2. PRINCIPLES AND CONSIDERATIONS

- B.3.2.1. A highway asset management system is essential to deliver an effective and efficient approach to asset management. This should typically have the capacity to cover all of the asset types outlined in Section B.1.1.1, with the actual data collected aligning to the authority's own asset data management strategy.
- B.3.2.2. Authorities will require a system to suit particular local needs and responsibilities, procurement arrangements and other factors. It may include specialist applications indirectly related to highway maintenance, for example traffic and accident analysis.
- B.3.2.3. Compatibility between highway asset management systems and those for structures and lighting will support a holistic approach to managing the network.
- B.3.2.4. UKPMS is the national standard for pavement management systems, where the usage of the word 'pavement' refers to the technical definition of 'the collective term for all hardened surfaces within the highway, including carriageways, footways and cycle routes'.
- B.3.2.5. Other asset management systems that operate outside of the UKPMS accreditation system may also provide suitable functionality and value for Highway Authority users. The specifications and performance of such systems should be reviewed and assessed against both user requirements and areas where national consistency is required.
- B.3.2.6. Systems that are accredited to the UKPMS standard have successfully demonstrated that they meet the current national standards with respect to:
 - Loading network, inventory and condition data, including data collected by:
 - Visual surveys (CVI and DVI);
 - SCANNER and TRACS Type Surveys (TTS);
 - Footway Network Surveys (FNS);

- SCRIM;
 - GripTester; and
 - Deflectograph.
- Data processing
 - Condition reporting, including national reports for England, Northern Ireland, Scotland and Wales and local reports for unclassified roads and footways
 - Financial reporting to support asset management, including
 - Inventory reports;
 - Accumulated and annual depreciation of carriageways; and
 - Supporting information for footways, cycletracks and paved verges.
- B.3.2.7. UKPMS accreditation is governed by the Road Condition Management Group (RCMG) on behalf of the UK Roads Board. More information about UKPMS – including a current list of accredited systems - is available from the [RCMG page on the UKRLG website](#).

SECTION B.4.

ASSET CONDITION AND INVESTIGATORY LEVELS – HIGHWAYS

B.4.1. INTRODUCTION

- B.4.1.1. This section deals with asset condition for each element of the network and its contribution to safety, serviceability and sustainability.

B.4.2. PRINCIPLES AND CONSIDERATIONS

- B.4.2.1. Each element of the network could have different condition requirements, a minimum one to satisfy the need for safety, and higher ones, designed to meet local requirements for serviceability or sustainability, as part of the asset management strategy adopted by the authority. These different higher levels have previously been given a range of names including ‘warning levels’, ‘intervention levels’ and ‘investigatory levels’. In this Code the term has been referred to as ‘investigatory levels’, as failure to reach the defined level in most cases could give rise to a range of responses each of which needs to be further investigated, prior to action being taken. There will be certain circumstances, of course, primarily for safety reasons, where an immediate response is necessary.
- B.4.2.2. The term ‘intervention level’ has been retained only for use with the automatic treatment selection criteria used in UKPMS, as the system does actually ‘intervene’ at the defined level of condition. It will, however, always be referred to as system intervention level (SIL) for the avoidance of confusion.
- B.4.2.3. The following paragraphs set out the suggestions for the nature of contributions made by each element of the network towards safety, serviceability and sustainability.
- B.4.2.4. Each element of the network will contribute differently to the objective of customer service and possibly within different timescales. For example, good surface condition or signing will have an immediately positive effect, whilst the effect of good quality drainage will probably be imperceptible for most of the time.
- B.4.2.5. As outlined in Section A.4.1.4, the level of customer service is generally more relevant when applied to the whole of the network and it is therefore not dealt with by this Code under each of the individual elements in the following sections.

B.4.3. CONDITION OF CARRIAGEWAYS

- B.4.3.1. The condition of the carriageway fabric can contribute to the core objectives as follows:

Network Safety	nature, extent and location of surface defects;
	nature and extent of edge defects; and
	nature and extent of surface skidding resistance.
Network Serviceability	nature and extent of surface defects;
	ride quality of the surface; and
	resilience of the network.
Network Sustainability	surface noise attenuation characteristics;
	nature and extent of surface defects;
	nature and extent of carriageway deflection; and
	usage and verge creep.

B.4.4. CONDITION OF FOOTWAYS

B.4.4.1. The condition of footways can contribute to the core objectives as follows:

Network Safety nature, extent and location of surface defects; and

nature and extent of kerb and edging defects.

Network Serviceability nature and extent of surface defects;

extent of encroachment and weed growth;

the level of friction provided by the surface;

the quality of the surface; and

integrity of the network.

Network Sustainability convenience and ease of use;

nature extent and location of surface defects;

extent of damage by over-running and parking; and

rural footways being lost to grass ingress.

B.4.4.2. Securing improvement in the safety and serviceability of footways and cycle routes, in particular network integrity, will be a necessary component for encouraging active travel, e.g. walking as an alternative to the car. It will be important for maintenance strategy positively to address this.

B.4.4.3. It will also be important in determining priorities for footway maintenance to ensure that opportunities are taken to aid social inclusion, particularly improving accessibility for older and people with disabilities and also the use of prams and pushchairs. This should be included as part of the Value Management process described in Section B.6.9. Proposed treatments may include the provision of dropped kerbs in suitable locations and textured paving adjacent to crossing points at marginal cost during the course of works. There is a statutory duty on service providers under the [Equality Act 2010](#) to take reasonable steps to remove or alter physical features to improve access for people with disabilities, or provide an alternative method of making services available.

- B.4.4.4. Although ensuring the safety of footways for users will be a priority, in some cases the presence of roadside trees may complicate the provision of footway surface regularity. The radical treatment or complete tree removal necessary to ensure surface regularity may not be possible or desirable and reduced levels of surface regularity may be a more acceptable outcome.
- B.4.4.5. Where footways are remote from carriageways, safety and security of users will be an important consideration, both from the point of view of unauthorised vehicular use and quality of lighting. Maintenance strategy should pay particular attention to this.

B.4.5. CONDITION OF CYCLE ROUTES

- B.4.5.1. The condition of cycle routes can contribute to the core objectives as follows:

Network Safety	nature, extent and location of surface defects; and nature and extent of kerb and edging defects.
Network Serviceability	nature and extent of surface defects; extent of encroachment and weed growth; the level of friction provided by the surface particularly with regard to ironwork; the quality of the surface; and integrity of the network.
Network Sustainability	convenience and integrity of the network; nature extent and location of surface defects; extent of damage by over-running and parking; and cycle routes being lost to grass ingress / verge creep due to usage.

- B.4.5.2. Securing continuous improvement in the safety and serviceability of cycle routes, in particular network integrity, will be a necessary component for encouraging cycling as an alternative to the car. It will be important for maintenance strategy positively to address this.

B.4.5.3. Network integrity is a particularly important consideration where cycle routes are segregated for part of their length, but intermittently rejoin the carriageway. In these circumstances a reasonably consistent level of maintenance should be provided and attention paid to carriageway edge condition in the un-segregated sections.

B.4.6. CONDITION OF PUBLIC RIGHTS OF WAY

- B.4.6.1. The condition of PROW can contribute to the core objectives and to the broader quality of life objectives associated with leisure and recreation.
- B.4.6.2. The requirements for PROW will be determined as part of a Rights of Way Improvement Plan (ROWIP), in consultation with the Local Access Forum established by the Countryside and Rights of Way Act 2000.
- B.4.6.3. PROW are not a Roads Authority function in Scotland.

B.4.7. CONDITION OF HIGHWAY DRAINAGE SYSTEMS

- B.4.7.1. The condition of highway drainage systems can contribute to the core objectives as follows:

Network Safety accumulation of water on carriageways, footways and cycle routes.

Network Serviceability accumulation of water on carriageways, footways and cycle routes.

Network Sustainability polluted effluent from clearing of highway drainage should not be directed into watercourses;

authorities have a duty to prevent nuisance and danger to adjoining landowners by flooding and should also work with others in the wider community to minimise the future risk of flooding;

inadequate drainage of the highway structure will reduce effective life and increase maintenance liability; and

integrity of systems, root ingress, blockage / collapse, exceedance.

- B.4.7.2. Highway drainage elements fall into five main categories:

- gullies, grips and ditches, which may be obstructed by the growth of vegetation or damaged by traffic. In most cases the responsibility for maintenance of ditches will rest with the adjoining landowner;

- culverts under roads which may be affected by blockage, subsidence or structural damage;
- other piped drainage which may be affected by blockage or subsidence;
- sustainable urban drainage systems, which may require special maintenance attention for maximum effectiveness; and
- surface boxes and ironwork for both drainage and non-drainage applications, which may be affected by subsidence or obstructed access.

- B.4.7.3. More information on culverts can be found in Section C.2 of this Code.
- B.4.7.4. [HMEP](#) has produced guidance on the management of highway drainage assets. Authorities should consider this guidance when making decisions on the management of drainage assets.
- B.4.7.5. Material arising from all road drainage emptying and cleansing operations has potential implications for pollution and should be disposed of correctly in accordance with Environment Agency, or equivalent authority, requirements.
- B.4.7.6. Where despite effective maintenance operations, flooding of the highway occurs, with implications for safety or serviceability, relevant warning signs should be placed in position as quickly as possible and users advised through local media. The cause of the flooding should be determined and addressed as appropriate, in order to restore the highway to a reasonable condition.
- B.4.7.7. The highway may flood if the surrounding land is in flood and there are limitations to the action that can be reasonably taken. If it is subsequently determined that the flooding is attributable to deficiencies in infrastructure or the maintenance regime, given the nature of the weather conditions under which it occurred, then action to permanently relieve the problem should be considered. If the event is attributable to the actions of a third party, the matter should be taken up with them at the earliest opportunity.
- B.4.7.8. Ironware comprising covers, gratings, frames and boxes set in carriageways, footways and cycle routes has the potential to compromise safety and serviceability, and in certain cases cause noise and disturbance to local residents.

B.4.8. CONDITION OF PRIVATELY OWNED INFRASTRUCTURE

- B.4.8.1. Responsibility for defective infrastructure, e.g. ironwork, cabinets and poles, where this is part of the apparatus installed by a utility company lies with the company. Defects identified during inspection or from users should be formally notified to the utility, with a follow up procedure to ensure that dangerous defects are remedied within a specified timescale. However, authorities need to be mindful of their duty to maintain and the circumstances in which they can be held liable for defective privately owned infrastructure.

B.4.9. CONDITION OF EMBANKMENTS AND CUTTINGS

- B.4.9.1. The condition of embankments and cuttings can contribute to the core objectives as follows:

Network Safety risk of loose material falling to injure users or damage facility.

Network Serviceability risk of damage or service interruption.

Network Sustainability damage or loss of habitat;

interruption or pollution of watercourse;

extent of damage and reduced life; and

integrity of structure.

- B.4.9.2. The probability of failure will be affected by soil conditions and drainage. The impact of embankment or cutting failure will generally be high in all situations, but particularly so on important high speed links, or where dwellings could be affected. In such circumstances, the condition of embankments and cuttings will require a robust regime of inspection, and possibly continuous condition monitoring.

- B.4.9.3. Slips and rock-falls from embankments and cuttings are relatively infrequent but the frequency and severity of such events may be affected by climatic change. Authorities should have records of relevant locations and should establish an inspection and maintenance regime based on a local risk assessment. In higher risk locations, or where ground conditions are difficult, specialist geotechnical advice should be obtained.

B.4.10. CONDITION OF LANDSCAPED AREAS AND TREES

- B.4.10.1. The condition of landscaped areas and trees can contribute to the core objectives as follows:

Network Safety	<ul style="list-style-type: none"> obstruction to user visibility and legibility of traffic signs; fallen trees or overgrown vegetation that physically obstructs part of the highway; falling branches from trees; leaf fall from trees causing slippery surface; and root growth affecting surface regularity.
Network Serviceability	<ul style="list-style-type: none"> potential for service interruption; and quality of user experience.
Network Sustainability	<ul style="list-style-type: none"> landscape conservation; mitigation of climate change effects; support for habitat and biodiversity; problems of root growth for surface, structure and highway drainage; and maintaining healthy trees, root severance, ivy clearance.

- B.4.10.2. The probability of landscaping and tree failure will generally be low but is likely to increase as a result of climate change and during periods of severe weather. Probability of failure will increase with a rise in the incidence of disease such as ash dieback. The impact will generally be related to safety or damage to road surfaces or property, and will increase on higher speed roads, areas with higher pedestrian levels and the proximity to property. The inspection and maintenance regime should identify high risk locations.

- B.4.10.3. The condition of landscaped areas has major implications for all of the core objectives. The maintenance regime will therefore require particularly careful consideration to ensure that the necessary balance continues to be achieved. It is also possibly the most visible aspect of the highway, of wide interest to both public and special interest groups, and provides the opportunity to demonstrate sensitivity and flexibility in maintenance policy.
- B.4.10.4. The obstruction of street lighting and traffic signs can be a major safety risk to users. A risk based inspection process should be developed to identify such obstructions. Trees and other foliage should be trimmed back to allow the lighting to function and the signs to be legible, while maintaining the shape of the tree wherever possible. More details can be found in Section D.5 of this Code
- B.4.10.5. The soft estate includes areas of land having various functions, for example habitat, nature conservation interests, screening, planting, and wild flower diversity. The verge serves a safety and refuge function and to a lesser extent and in certain situations an amenity. The soft estate can be included in highway maintenance strategy but it requires a specialist expertise.
- B.4.10.6. Dealing first with requirements for safety, vegetation either on verges, other parts of the soft estate or on private land, should not restrict visibility at junctions, access points and bends. Many highways have evolved rather than being formally designed and visibility and sight lines do not always exist. However, where they do, these should be kept clear and signs, lights, and marker posts should not be obstructed. It may also be necessary for vegetation to be cut back in order to enable inspections or surveys.
- B.4.10.7. Authorities should provide for flexibility in applying judgement in urban and rural areas, and these should take account of the character of the area rather than be determined solely by speed limit considerations.
- B.4.10.8. The growth of weeds in footways and cycle routes, hardened verges, central reserves filter drains and along kerb lines, may cause structural damage, drainage issues and the general perception of such growth is that it is untidy. Indeed, in some circumstances weeds have been considered to have implications for pedestrian safety. Weed growth is also a source of significant community interest and service requests. Weed treatment should therefore be undertaken according to traffic and pedestrian usage and to a level of usage that takes account of local concerns. The use of weed-killers should be the minimum compatible with the required results.
- B.4.10.9. It will be important to co-ordinate arrangements for weed spraying with street cleansing arrangements, which may be the responsibility of other authorities and it may be possible to facilitate co-operative arrangements.
- B.4.10.10. Specialist environmental guidance should be adhered to regarding the materials used for weed spraying and the frequency of application, in the light of developing levels of usage. Noxious weeds should be dealt with on an ad hoc basis. All weed spraying should be carried out in accordance with the [Control of Pesticides Regulations 1986](#). Only approved pesticides may be used, these are chemicals listed in the [Plant Protection Products \(Sustainable Use Regulations\) 2012](#).

- B.4.10.11. In 2015, the Department for Environment, Food and Rural Affairs (Defra) published their [Best Practice Guidance Notes for Integrated and Non-chemical Amenity Hard Surface Weed Control](#), which aims to minimise the use of pesticides in public places. Following this release, APSE issued a briefing note on [The Need for Integrated Weed Control](#).
- B.4.10.12. Cutting of trees should be considered where there are special requirements in visibility areas or across central reserves, and owners of private hedges should be requested to adopt similar levels of cutting. Significant pruning or felling of trees, even for safety reasons, can be the subject of significant local concern and should only be done with specialist advice and support. [BS8545](#) demonstrates that if the right trees are properly planted and given correct structural pruning at the right time, the trees should not need any further significant pruning.
- B.4.10.13. Trimming of hedges should ensure that visibility sight lines and road signs are not obscured, and will often be the responsibility of adjoining landowners. Any action taken must be in accordance with the requirements of the [European Birds Directive \(2009\)](#) and the [Wildlife and Countryside Act 1981](#), which includes protection for birds, their nests and other relevant legislation. Significant nature conservation benefits will result from this practice. Any trimming should, as far as possible, be done in late winter, to avoid the bird-nesting season and to allow birds and mammals the maximum opportunity to take advantage of any fruits or seed present.
- B.4.10.14. The requirements for tree maintenance can be greatly reduced by the careful selection of trees when planning planting or replacement operations. Pruning after planting should only be necessary where it is required to enhance or guide the shape of the tree. Trees which require pollarding should be avoided as it is costly, time consuming and unattractive. Expert advice should always be sought in the management of any tree within the highway environment, whether on highway land or not. Proposed tree planting should consider proximity to existing or planned street lighting, to minimise the risk of shrouding the street lights, or casting shadows on the highway.

B.4.11. CONDITION OF FENCES AND BARRIERS

- B.4.11.1. The condition of fences and barriers can contribute to the core objectives as follows:

Network Safety integrity and location of safety fencing for vehicles, pedestrians and all road users.

Network Serviceability risk of livestock disrupting traffic.

Network Sustainability appearance and condition of fencing.

- B.4.11.2. The impact of vehicle safety on fence failure will be higher with increasing difference in vertical level between the road and the adjacent land. It will be particularly so adjacent to railways and at approaches to bridges over railways. The DfT publication [*Managing the Accidental Obstruction of the Railway by Road Vehicles*](#) provides more guidance on. Impact will also be higher on higher speed roads. Impact of failure to pedestrian barriers will increase with volumes of vehicles and pedestrians, especially children, and again where railways, rivers and similar high risk features are concerned.
- B.4.11.3. All high risk situations will require a robust inspection regime with a commensurate high level of condition. Road restraint systems should be maintained in a sufficiently sound structural condition to serve their function and not be dangerous to road users or pedestrians.
- B.4.11.4. All fences and barriers, whether for safety purposes or general use, are potentially important features and their overall appearance is an environmental consideration. They should be cleaned and painted when necessary and where safety fencing is provided with chevron markings, these should be dealt with in accordance with the cleaning regime for traffic signs.

B.4.12. CONDITION OF TRAFFIC SIGNS AND BOLLARDS

- B.4.12.1. The condition of signs and bollards can contribute to the core objectives as follows:

Network Safety	identification of risk to users; and separation of potential traffic conflicts.
Network Serviceability	contributes to ease of use; and contributes to network integrity.
Network Sustainability	support of sustainable transport mode; contribution to local economy; and heavy traffic routing can optimise maintenance.

- B.4.12.2. The impact of failure will be greater for regulatory signs than for warning signs, the impact of which will be greater than direction signs. The probability of sign failure is generally low, although it will be higher in areas subject to vandalism. However, the probability of sign illegibility, defectiveness or clutter is much higher.

- B.4.12.3. Traffic signs and bollards represent a highly visible component of the highway network, highly valued by users. At best they can significantly affect both network efficiency and the convenience of users. At worst they can be intrusive, confusing and capable of detracting even more significantly from the local environment, if in poor condition.
- B.4.12.4. Although in many circumstances illuminated signs are essential, the use of high-reflectivity, non-illuminated signs can bring benefits in terms of sustainability. This should be a consideration where legally permitted, both for new signs and on replacement, and should also be considered during any network integrity inspections.

B.4.13. CONDITION OF ROAD MARKINGS AND STUDS

- B.4.13.1. The condition of road markings and studs can contribute to the core objectives as follows:

Network Safety	route delineation, particularly in darkness and poor weather; and potential for damage and injury if loose.
Network Serviceability	ease of use, particularly in darkness and bad weather.
Network Sustainability	support of sustainable transport modes; edge delineation to reduce edge damage; and movement of wheel tracking to reduce localised damage.

- B.4.13.2. The impact of failure will be greater for mandatory markings than others. The probability of sign failure is generally low, but the probability of marking wear is higher and increases with traffic volume.
- B.4.13.3. Many road markings are used to give effect to regulatory provisions and it is important that their legal status is not affected by undue wear or damage. A high proportion of road markings are essential for road safety or fundamental to the implementation of integrated transport policy, for example traffic calming schemes, bus priority measures and the delineation of cycle routes. If such markings are not kept in good order, the measures may lose effectiveness and the success of transport integration compromised. Where road markings become obscured by mud or spillages action should be taken to clean the road surface.

- B.4.13.4. All mandatory road markings existing before resurfacing or surface dressing should either be masked during treatment or replaced as soon as reasonably practicable after the completion of work. If it is not possible to restore immediately in permanent materials, temporary markings should be used at sites where their absence is likely to give rise to dangerous conditions, taking into account the type of new surface laid. During resurfacing 'No Road Markings' boards should be displayed until all markings have been replaced.
- B.4.13.5. Road studs that are either missing, or have become defective, should be replaced individually or by a bulk change, depending on the individual highway circumstances. Displaced road studs lying on the carriageway, hard shoulders or lay-bys, and loose studs if considered to be a hazard, should be removed immediately if reasonably practicable.

B.4.14. REGULATORY FUNCTIONS

- B.4.14.1. Regulatory functions such as traffic orders associated with parking and vehicle movement can contribute to the core objectives as follows:

Network Safety	risk to users and adjoining property.
Network Serviceability	minimising and signing of obstruction.
Network Sustainability	inconvenience to disabled people; and structural damage from parked heavy vehicles.

- B.4.14.2. In England the introduction of the statutory duty for network management introduced by the Traffic Management Act has significantly increased the emphasis on regulatory activity. A range of Codes of Practice also provide fairly clear guidance on required levels of service.
- B.4.14.3. In Scotland, the Scottish Road Works Commissioner has a range of performance indicators for both Roads Authorities and utility companies. These are generated from the Scottish Road Works Register.

B.4.15. USER AND COMMUNITY RESPONSE

- B.4.15.1. User and community responses can make a significant indirect contribution both to safety and serviceability by ensuring that service requests and complaints are dealt with appropriately and converted into actions. Adequate provision of information will also enable users to obtain better serviceability from the network. Authorities may consider whether community action and self-help might be encouraged and promoted.
- B.4.15.2. User and community responses can be considered at three levels:
- user and community satisfaction with arrangements for their engagement in the policy development process;

- user and community satisfaction with the delivery of the highway maintenance service; and
 - authority response to user and community contact in person, or by phone, mail and email.
- B.4.15.3. Authorities should have an effective public communications process that provides clarity and transparency in their policy and approach to repairing potholes. This should include a published policy and details of its implementation, including the prevention, identification, reporting, tracking and repair of potholes.
- B.4.15.4. To provide clarity, authorities should adopt dimensional definitions for potholes based on best practice as part of their maintenance policy.

SECTION B.5.

INSPECTION, ASSESSMENT AND RECORDING – HIGHWAYS

B.5.1. INTRODUCTION

- B.5.1.1. The general principles to be applied to inspections, assessment and recording are outlined in Section A.5 of this Code. This section covers guidance for each category of inspection relating to highways assets.
- B.5.1.2. The approach adopted locally should be documented fully, and approved by the appropriate senior decision makers within each authority. All inspection and assessment results should also be recorded and accessible, preferably via a suitable asset management system.

B.5.2. SAFETY INSPECTIONS

- B.5.2.1. Authorities should determine the most appropriate way to undertake inspections in order to clearly observe any defects for each asset type. This may include inspections from a slow moving vehicle or, in busy urban areas, and particularly when inspecting footways, it may be difficult to obtain the necessary level of accuracy from vehicle-based inspections and walking should be used. It would seem logical for cycle routes to be inspected by cycle, although inspection of parts of some shared routes may be possible by walking or by vehicle as appropriate. .
- B.5.2.2. Authorities may choose to carry out combined inspections including safety, obstruction and all network management functions. These may be planned or responsive following user complaints.
- B.5.2.3. Frequencies of safety inspections should be derived using the principles outlined in Section A.4 this Code (categorising the network into an appropriate hierarchy) and Section A.5 (covering risk based approach for inspections).
- B.5.2.4. In urban areas, it may be desirable to combine footway and carriageway inspections to mitigate against problems associated with heavy traffic and parked cars.
- B.5.2.5. Where carriageway and footway hierarchies intersect, for example at pelican or zebra crossings, bollards, or other defined crossing points at junctions, the higher inspection frequency should take precedence in determining of inspection frequency, defect definition and responses. This principle should also apply to intersections between carriageways and cycle routes and between cycle routes and footways.
- B.5.2.6. Where footways or cycle routes remote from carriageways form part of an integrated route or network intended to encourage walking and cycle use, or are promoted by the authority, consideration should be given to adopting a consistent safety inspection frequency for the route or network as a whole.

- B.5.2.7. Authorities have not generally established specific systems for safety inspections for PROW based on hierarchy. The Statement of Action required by ROWIPs provides the opportunity for authorities to consider the relevance of a more formal system of safety inspections, for at least some parts of the network.
- B.5.2.8. Section A.4 of this Code advises where certain PROW are considered part of the footway hierarchy, safety inspections should be carried out accordingly.

B.5.3. DEFECT RISK ASSESSMENT

- B.5.3.1. Risk management is dealt with in the [UKRLG Highway Infrastructure Asset Management Guidance, Part C](#), and Section A.5 of this Code.

B.5.4. SAFETY INSPECTION OF HIGHWAY TREES

- B.5.4.1. Trees are important for amenity and nature conservation reasons and should be preserved but they can present risks to highway users and adjoining land users if they are allowed to become unstable, cause obstruction or create visibility issues.
- B.5.4.2. In England and Wales the Highway Authority is also responsible for ensuring that trees outside the highway boundary, but within falling distance, are safe. Section 154 of the Highways Act 1980 empowers the authority to deal, by notice, with hedges, trees and shrubs growing on adjacent land which overhang the highway, and to recover costs.
- B.5.4.3. In Scotland, Sections 88 and 92 of the Roads (Scotland) Act 1984 give roads authorities the responsibility to remove projections which impede or endanger road users, and provide restrictions on planting of trees near carriageways.
- B.5.4.4. Safety inspections should incorporate highway trees, including those outside but within falling distance of the highway. For trees off highway limits inspections should only be made so far as can be seen without trespassing. Owners' permission should be obtained to enter property where suspect trees are observed. Inspections should take note of any encroachment or visibility obstruction and any obvious damage, ill health or trip hazards.
- B.5.4.5. Authorities should include some basic arboricultural guidance in training for inspectors but it is important that arboricultural specialists should advise on the appropriate frequency of inspections and works required for each individual street or mature tree that is considered to hold a high risk to users of the network. A separate programme of inspections for such trees, should also be undertaken by arboricultural advisors. LANTRA have produced a [training course for professional tree inspection](#).
- B.5.4.6. Extensive root growth from larger trees can cause significant damage to the surface of footways, particularly in urban areas. A risk assessment should therefore be undertaken with specialist arboricultural advice on the most appropriate course of action, if possible to avoid harm to the tree. In these circumstances, it may be difficult for authorities to reconcile their responsibilities for surface regularity, with wider environmental considerations and a reduced level of regularity may be acceptable.

B.5.4.7. Overhanging branches may present a risk to high vehicles and also buildings adjoining the highway. In such circumstances, the necessary comprehensive consideration of respective risks and liabilities of the authority and landowner will require specialist technical, arboricultural and legal advice to determine the most appropriate course of action.

B.5.5. COMPETENCE

- B.5.5.1. Competence of staff is dealt with in the [UKRLG Highway Infrastructure Asset Management Guidance \(HIAMG\), Part C](#). This document should be referred to and the advice below considered supplementary.
- B.5.5.2. The Institute of Highway Engineers (IHE) administers the [UK Highway Inspectors training and certification scheme](#) approved by the UK Roads Board in 2010. It established the Highway Inspectors Board in 2011. Candidates who successfully complete the courses run by an approved centre are eligible for inclusion on the National Register of Highway Inspectors for a period of five years.
- B.5.5.3. Registration with the Highway Inspectors Board can contribute positively to risk management and defence of compensation or liability cases.

B.5.6. SKIDDING RESISTANCE SURVEYS

- B.5.6.1. The maintenance of adequate levels of skidding resistance on carriageways, footways and cycle routes is a most important aspect of highway maintenance, and one that contributes significantly to network safety, particularly for cyclists, motorcyclists and equestrians. However, whilst the frequency of accidents is expected to increase as skidding resistance falls, the effect will be more pronounced for more ‘difficult’ sites and there is no skidding resistance boundary at which a surfacing passes from being ‘safe’ to ‘dangerous’. Difficult sites are those where the geometry, for example, bends, junctions, roundabouts, steep gradients, pedestrian crossings and traffic signals increase the risks of skidding accidents.
- B.5.6.2. Authorities should publish their Skid Resistance Strategy as part of their Asset Management Framework. The strategy, which should be informed by risk assessment, should define:
 - the network to which it applies taking account of traffic flow and characteristics and accident risk;
 - the test equipment to be used, i.e. SCRIM or Grip Tester. Authorities should state if they will use the Pendulum Skid Tester for detailed investigations;
 - the method of survey to be used to provide an estimate of the summer skid resistance, referred to as the Characteristic SCRIM Coefficient (CSC). Authorities can choose between the Single Annual Survey Method, Mean Summer SCRIM Coefficient Method, or Annual Survey with Benchmark Method;
 - quality assurance procedures for data collection;
 - frequency of surveys;

- the approach to setting investigatory levels, including the range of investigatory levels which are to be used for different categories of site;
 - frequency of re-assessment of investigatory levels;
 - competence levels of staff authorised to set or approve investigatory levels;
 - the approach to be followed in site investigation, including prioritisation of investigations, and staff competent to undertake site investigations. Each site investigation should be undertaken or led by suitably competent personnel;
 - intervention criteria;
 - how remedial works will be prioritised in relation to available funding in the overall context of the Asset Management Framework;
 - whether they will follow existing highway design guidance (HD 28/15) or produce their own strategy for dealing with early life skid resistance;
 - a realistic/achievable timetable for each part of the strategy;
 - responsibilities for delivering each part of the strategy; and
 - the documentation to be retained to enable implementation of policy to be demonstrated (in court if necessary).
- B.5.6.3. The decisions taken when setting investigatory levels should be recorded, dated and signed. Investigatory levels should be reassessed whenever a significant change to the network is made, for example the installation of traffic lights, a pedestrian crossing, or roundabout. The investigatory levels for each category of hierarchy of the network should be reviewed as a result of risk assessment.
- B.5.6.4. Authorities need to decide whether to use SCRIM or Grip Tester for network testing and whether they will use Grip Tester or the Pendulum Skid Tester (recommended for localised investigations only). Research has been undertaken into the [correlation between Grip Tester and SCRIM](#).
- B.5.6.5. All sites where the skid resistance is at or below investigatory level should be identified as soon as is practicable.
- B.5.6.6. The results of the investigations, including whether further action is required, should be documented and retained, together with the identity of the assessor and other parties consulted.
- B.5.6.7. Where the skid resistance is considerably below the Investigatory Level (an appropriate figure should be determined locally), “Slippery Road” signs should be erected as a matter of urgency.
- B.5.6.8. In other cases “Slippery Road” signs should be erected at locations where a site investigation has shown that there is a need for treatment to improve skid resistance.

- B.5.6.9. “Slippery Road” signs should be removed as soon as they are no longer required. This should be after the remedial action has been taken and maintenance engineers are satisfied that skidding resistance levels have been returned to an appropriate level. In some cases this will not be immediately after treatment, for example at sites where surface binder has to be worn off before the skid resistance becomes adequate.
- B.5.6.10. Where skidding resistance is determined as being substantially below the Investigatory Level (an appropriate figure should be determined locally) and there are clear indications that improving the condition of the surfacing is likely to significantly reduce the risk of accidents occurring, remedial treatment should be prioritised as a relatively urgent task.
- B.5.6.11. Priority should then be given to the following sites:
- where the skid resistance is below the investigatory level by a certain degree (an appropriate figure should be determined locally);
 - where low skid resistance is combined with low texture depth; and
 - where the accident history shows there to be a clearly increased risk of wet or skidding accidents.
- B.5.6.12. Where investigations show that treatment is necessary, consideration should also be given to other planned maintenance works programmes to ensure that potential efficiencies are identified and actioned where possible. Surface treatment may not always be a necessary response and other measures to reduce the accident risk of the site may be both more cost effective and consistent with local transport policy.

B.5.7. SERVICE INSPECTIONS – GENERAL

- B.5.7.1. Service inspections should be strongly focused on ensuring that the network meets the needs of users and comprise more detailed specific inspections of particular highway elements, to ensure that they meet the levels of service defined within the Asset Management Framework. These surveys are dependent upon the asset management regime adopted by the authority to determine programmes of work. Any safety defects encountered during service inspections should be assessed and dealt with in accordance with the requirements of the safety inspection regime.
- B.5.7.2. This category also includes inspections for regulatory purposes, including NRSWA, which are also primarily intended to maintain network availability and reliability, and inspections for network integrity.
- B.5.7.3. Risk assessments for service inspections are dealt with differently to safety inspections. In regard to safety related defects, risk assessments are based purely on the safety aspect and defects must be rectified in accordance with the timescales appropriate to their risk and local policy. Serviceability related defects, however, are mainly related to network reliability and integrity and the ability of the network to meet the needs of users. Risks should be assessed by reference to the Asset Management Framework by taking due consideration of levels of service, relative priorities and available budget.

- B.5.7.4. As part of developing their asset management regime, authorities may develop individual risk assessments for each service inspection by following a similar procedure to that identified for safety inspections. This risk based approach to service inspections, together with any condition surveys, will contribute to identifying the need, frequency and period for remedial action for each of the service inspection items.

B.5.8. SERVICE INSPECTIONS FOR CARRIAGEWAYS, FOOTWAYS AND CYCLE ROUTES

- B.5.8.1. Service inspections for carriageways, footways and cycle routes should be undertaken at a frequency determined on a local basis. This should be based on local user and community requirements for network serviceability and identified as part of the Asset Management Framework. They may be undertaken separately, or in conjunction with other inspection types. These surveys may be undertaken either by slow moving vehicle, on foot or by utilising data such as video depending upon the circumstances.

B.5.9. SERVICE INSPECTION OF HIGHWAY DRAINAGE SYSTEMS

- B.5.9.1. In general inspection of drainage has proved problematic to authorities for a variety of reasons, including inaccurate records of drainage locations, uncertainty of ownership and lack of resources. In 2012 HMEP produced Guidance on the management of Highways Drainage Assets, which provides advice to Highway Authorities on how to prioritise ‘at risk’ areas and make interventions. It provides a baseline for authorities to review current practices against and to identify potential improvements, and is freely available to download from the [HMEP website](#).
- B.5.9.2. [Guidance on the maintenance and inspection of Sustainable Urban Drainage Systems for Roads](#) has been developed by SCOTS and the SUDS Scottish Working Party, along with [an Excel tool](#).

B.5.10. SERVICE INSPECTION OF EMBANKMENTS AND CUTTINGS

- B.5.10.1. Significant embankments and cuttings should be defined and an inspection regime identified based upon the geological characteristics and the potential risk of slippages or rockslides. Service inspection arrangements should be based on specialist geotechnical advice, but should usually be programmed wherever possible to follow periods of extreme or severe weather, including heavy rain, severe frost or prolonged dry weather. A risk based approach should be adopted to identify any issues critical to network performance, after which an enhanced service inspection regime should be adopted.

B.5.11. SERVICE INSPECTION OF LANDSCAPED AREAS AND TREES

- B.5.11.1. Highway trees contribute to amenity and nature conservation and in urban areas can enhance the space between buildings, reinforcing the area's character and appeal. Close co-operation between arboriculturists, highway engineers, landscape architects and urban designers is essential to preserve and enhance the range and quality of street trees, ensuring that a considered approach has been taken to supporting sufficient species diversity to make the overall town or neighbourhood tree population more robust to the advent of disease/and or more resilient to climate change. Avenues, boulevards, town squares and formal spaces, and informal rural locations all require the application of different planting principles. Trees and planting may reflect the history, architecture and tradition of places. Small pockets of poor quality planting can undermine the quality of the streetscape.
- B.5.11.2. Street trees and planting are not appropriate in every instance. Trees and planting should always form part of the overall urban context, and not be added or preserved without question. Trees may be planted where trees have not been planted previously particularly in urban areas that have changed use (e.g. warehousing to residential) or in areas where historically they were considered unworthy of tree planting.
- B.5.11.3. Authorities should develop, with advice from arboriculturists, landscape architects and urban designers, a local policy for the installation, management, removal and replacement of highway trees and landscaping. The policy should recognise the amenity and nature conservation value of trees, along with benefits such as air pollution removal, carbon storage or stormwater attenuation, and also seek constructively to manage ongoing risk to the authority. The policy should include the approach to service inspections, to be undertaken by arboriculturists, including frequency, for various types of tree.

B.5.12. SERVICE INSPECTION OF FENCES AND BARRIERS

- B.5.12.1. Steel and wire road restraint systems should be inspected at intervals determined through risk assessment in respect of mounting height, surface protective treatment and structural condition, to ensure that they remain fit for purpose. Tensioning bolts of tensioned safety fences should be checked and reset to correct torque at intervals determined by risk assessment. Safety barriers adjacent to bridges should be inspected as part of the highway asset, as well as part of General and Principal Inspections for structures.
- B.5.12.2. Inspection and testing of safety barriers with respect to mounting height and integrity should be undertaken at a frequency determined locally using a risk based approach.
- B.5.12.3. Pedestrian safety fences, boundary fences and environmental barriers for which the authority is responsible, should be also inspected in respect of integrity, and where appropriate stock proof qualities, during the course of service inspections of carriageways, footways and cycle routes. A higher frequency may be necessary in some locations (e.g. in areas with known higher incidence of vandalism). Inspections of structural condition and protective treatment should be carried out at regular intervals. All inspection intervals should be determined using a risk based approach.

- B.5.12.4. Vehicle restraint systems should be inspected in accordance with an authority's strategy based upon the UKRLG/DfT October 2011 document – [Provision of Road Restraint Systems for Local Authorities](#).
- B.5.12.5. Safety barriers and fences adjacent to railway lines should be inspected by the Highway Authority irrespective of liability, with inspection intervals determined using a risk based approach. The DfT publication *Managing the Accidental Obstruction of the Railway by Road Vehicles* provides more guidance on this (see Section B.4.11 of this Code).
- B.5.12.6. [The Road Restraints Risk Assessment Process \(RRRAP\)](#) has been developed as an Excel based tool, which allows the need for a vehicle restraint to be established for individual sites/schemes and, if so, its performance requirements:

B.5.13. SERVICE INSPECTION OF TRAFFIC SIGNS AND BOLLARDS

- B.5.13.1. Traffic signs are the most visible elements of the highway network, highly valued by users, and contribute significantly to network serviceability through facilitating efficient and effective use of the network.
- B.5.13.2. The primary objective is to keep all traffic signs legible, visible and effective as far as possible at all times in relation to the road use and traffic speeds. The following defects in signs and bollards should be considered as factors in a local risk assessment. The speed of permanent repair will depend on the degree of danger but important warning and regulatory signs should be replaced as a matter of urgency:
- matters affecting the legality of important warning and regulatory signs;
 - damage, deterioration, or vandalism to signs and bollards leaving either the sign or situation to which it applies in a dangerous condition; and
 - missing traffic cylinders across gaps in central reserve fence at emergency crossing points.
- B.5.13.3. Vegetation potentially obscuring road signs should be recorded during safety inspections and service inspections of carriageways, footways and cycle routes, and treated accordingly. The level of risk associated with such vegetation may change during periods of maximum growth.
- B.5.13.4. Special signing schemes, for example blockwork chevron treatments at roundabouts and traffic calming schemes using special signing may deteriorate more quickly than conventional signing. They are also likely to have been installed to improve network safety. Inspection arrangements should reflect this via risk assessment.
- B.5.13.5. The condition of non-illuminated road signs should be inspected in daylight, and also at night for degradation of colour, retro-reflectivity, deteriorating fittings, legibility distance, and average surface luminance, after cleaning. The frequency of cleaning required will be influenced by the risk of soiling in local areas.

- B.5.13.6. Inspections should initially be visual and condition assessed. Any suspect areas identified by the visual inspection should be noted and further testing instigated. The coefficient of retro-reflection of sign face sheeting is a specialist site test that may require the services of a specialist organisation. Authorities should choose sign performance levels depending on the overall risk assessment and road hierarchy. Highways England have published [TD25/01 which contains more information on the inspection and maintenance of traffic signs](#).
- B.5.13.7. Inspection of “Stop and Give Way” signs at minor roads should be included in the inspections of signs on the major road to which they control entry.
- B.5.13.8. Service inspections should ideally identify signing that is inappropriate or no longer necessary and may be a distraction to users, or detrimental to the streetscene. Such signing should be noted for removal or replacement either as part of future programmed works or more urgently, if necessary.
- B.5.13.9. The Department for Transport published a [Traffic Advisory Leaflet \(TAL 1/13\) which gives practical advice on reducing sign clutter](#). It emphasises that designers should use their engineering judgement and local knowledge to complement guidance to ensure signing solutions are effective.

B.5.14. SERVICE INSPECTION OF ROAD MARKINGS AND STUDS

- B.5.14.1. Inspections in respect of wear, spread, colour, skid resistance and retro-reflectivity shall be undertaken for paint markings and for thermoplastic markings, at frequencies determined by risk assessment. Inspections for reflective conspicuity should be carried out during the hours of darkness and programmed to enable maintenance works to be completed before the onset of winter.

B.5.15. SERVICE INSPECTIONS FOR NETWORK INTEGRITY

- B.5.15.1. Although each element of each component within each category of network hierarchy might be well maintained within the framework of an overall asset management strategy, the network might still not deliver best value, as the asset might not be performing to optimum efficiency. Operational efficiency is primarily a network management consideration but aspects of it are closely related to the maintenance function, for example:
- 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 redundant;
 - facilities for walking, cycling or public transport might be discontinuous or poorly defined. Opportunities for installation of dropped kerbs or textured paving should be taken; and
 - opportunities might be taken to modify layout as part of future relevant maintenance schemes.
- B.5.15.2. Such network deficiencies are unlikely to be noted as part of safety, or condition inspections, but are nevertheless relevant to network efficiency. Authorities may undertake service inspections of network integrity at intervals determined by risk assessment, or prior to planning of network maintenance and improvements.

B.5.16. CONDITION SURVEYS – GENERAL

- B.5.16.1. The most significant financial investments in highway maintenance will be in repairing, reconditioning and reconstructing carriageways, and to a lesser degree, footways and cycle routes. Condition surveys identify the current condition of the network and from this condition, both long-term and short-term maintenance funding decisions can be made. Repeatable condition surveys allow trend analysis to be used to confirm the original decisions or allow for changes as a result of the changing network condition, and inform lifecycle planning.
- B.5.16.2. There are a number of types of survey, each providing information from a differing perspective, and which in combination can provide a comprehensive picture of the condition of the asset. These surveys may broadly be sub-divided into network level and project level. At network level surveys may include:
- SCANNER (Surface Condition Assessment of the National Network of Roads);
 - Coarse Visual Inspections (CVI);
 - skidding resistance (SCRIM or Grip Tester);
 - Detailed Visual Inspections (DVI) or Footway Network Surveys (FNS) for footways; and
 - other locally developed surveys.
- B.5.16.3. Network level surveys may be supplemented at a local or project level by further investigation. The nature of this investigation will depend on the circumstances of the case. Survey methods include:
- Deflectograph;
 - Falling Weight Deflectometer (FWD); and
 - Ground Penetrating Radar (GPR).
- B.5.16.4. SCANNER surveys are traffic speed surveys that collect data on transverse and longitudinal profiles, texture and cracking of carriageways. These are fast surveys with real time processing of condition information, that were introduced with the aim of providing both reliable and repeatable information, for the assessment of carriageway condition. They can support national requirements for reporting where applicable.
- B.5.16.5. CVI is normally carried out from a slow moving vehicle, complemented in some cases with machine measured rut depth data. It is a fast, cost-effective survey that enables authorities to cover large parts of their road network on a regular basis. Rather than recording detailed measurements of individual defects, the survey identifies and categorises lengths of features having generally consistent defectiveness.

- B.5.16.6. DVI may be used on carriageways where more detailed information is required to support and validate treatment decisions and scheme identification (supplementing CVI data), and also on a cyclical basis for those parts of the network where a more detailed routine visual assessment is required (e.g. in urban areas). DVI can also be used for concrete carriageways. Segregated cycle routes may also be surveyed by DVI.
- B.5.16.7. Network surveys such as SCANNER and CVI provide regular whole network coverage and are used to target more detailed investigations of provisional treatments, using more detailed project level surveys.
- B.5.16.8. The Scottish Road Maintenance Condition Survey (SRMCS) is an annual survey which assesses the condition of the entire Scottish Local Authority road network. It provides roads authorities with performance information required for Statutory Performance Indicator 3.
- B.5.16.9. Guidance on SCANNER, CVI and DVI condition surveys can be found on the [UKRLG website](#).
- B.5.16.10. The Footway Network Survey (FNS) is intended to provide a cost effective, efficient and consistent approach to footway surveys, based on a linear basis. The survey is carried out by a single surveyor walking along the footway, referenced to chainage within a UKPMS section. Further details on the survey may be found on the [UKRLG website](#).
- B.5.16.11. An alternative methodology is used in Scotland which Scottish Local Authority staff can access via the RAM Knowledge Hub.
- B.5.16.12. The Deflectograph is a tool to indicate the structural condition of the whole carriageway, particularly on local authority roads which are not deemed long life. (A long life carriageway is defined as a carriageway with over 300mm of bituminous materials and a low deflection.)
- B.5.16.13. SCANNER only measures surface condition. Where defects have been identified by SCANNER, the Deflectograph may be used at project level to augment this condition information by providing the structural condition of the defective section for flexible and flexible composite carriageways. This will assist in supporting treatment decisions. Where SCANNER and Deflectograph show that remedial works can be limited to the surface, no strengthening is required. However where the Deflectograph shows that the structure needs to be strengthened, the Deflectograph results provide recommendations for overlay thickness or reconstruction. At this stage, other tools such as FWD, GPR, coring and trial pitting can also be employed to provide useful data.
- B.5.16.14. With SCANNER data giving a good indication of the overall condition and deterioration pattern for long life carriageways, there is a potentially reduced need for Deflectograph surveys. However, for roads which are not long-life, SCANNER surveys will not take into account structural condition until it has manifested itself as rutting or cracking.
- B.5.16.15. CSS (now ADEPT) have produced a [guidance note for local authorities on the future use of the Deflectograph](#).

B.5.16.16. The analysis should take into account the reduction in residual life since the survey. Authorities should bear in mind that deleting short lengths (i.e. part sections) of the network is unlikely to be economic or practical. Other techniques such as FWD, GPR, coring and trial pitting may be more cost effective.

B.5.17. INSPECTIONS FOR REGULATORY PURPOSES

- B.5.17.1. A significant element of highway maintenance comprises regulation and enforcement of activities on or affecting the highway, which vary across the UK. The most significant of these involves responsibilities under the New Roads and Street Works Act 1991 (NRSWA). In England, most of these issues are now incorporated within the statutory duty for Network Management imposed by the Traffic Management Act 2004, and are the responsibility of the authority's Traffic Manager.
- B.5.17.2. The [JAG\(UK\) website](#) contains a range of guidance, information and assistance.
- B.5.17.3. Other regulatory activities include:
- ensuring 'expeditious movement of traffic';
 - management of the Highway Register or equivalent;
 - management of the Definitive Map for PROW;
 - dealing with encroachment on the highway;
 - dealing with obstruction on highways or PROW;
 - dealing with illegal and unauthorised signs;
 - issuing permits or permissions for utilities, skips, hoardings, temporary closures and other authorised occupation of the highway;
 - construction of vehicle crossings;
 - dealing with illegal parking on verges and footways; and
 - adoption of new highways.
- B.5.17.4. Although each of these are separate duties, many of them have wider implications for highway maintenance, for example:
- many of these items, for example illegal signs or encroachment, may have the potential to contribute to accidents; and the details of how the occurrence was dealt with (or not dealt with) by the authority may be a material consideration in legal proceedings; and
 - illegal parking on verges and footways, especially by heavy vehicles, could cause considerable damage and where this has occurred it might be relevant to increase inspection frequency and consider new materials or prevention.
- B.5.17.5. It will therefore be important to establish a regime for regulatory inspection on the basis of risk assessment.

B.5.18. RELIABILITY OF DATA

- B.5.18.1. Asset data management is dealt with in the [UKRLG Highway Infrastructure Asset Management Guidance, Part B](#). This document should be referred to and the advice below considered supplementary.
- B.5.18.2. Opportunities to ensure quality and reliability of data occur at a number of levels including:
- survey instructions and documentation;
 - selection and appointment of inspectors;
 - training and accreditation;
 - specification and procurement of surveys;
 - audit procedures;
 - survey procedures;
 - data capture software;
 - processing software;
 - maintenance and calibration of equipment; and
 - record keeping.
- B.5.18.3. Considerable care should be taken in the derivation of locally enhanced versions of surveys to ensure that data can be extracted, without bias from the survey.
- B.5.18.4. In the case of machine surveys, where these are used, such as SCANNER, Deflectograph, SCRIM, FWD, GPR and Grip Tester, these should be carried out by accredited surveyors using accredited software. Further information on accreditation can be found on the [UKRLG website](#).
- B.5.18.5. Care should also be taken in the specification of surveys when deciding whether these are to be carried out in house or by contract, to ensure that appropriate quality provisions are included in the specification that address:
- selection and training of inspectors;
 - survey procedures and documentation; and
 - quality management procedures, audit and error correction.
- B.5.18.6. Competence is especially important in the case of inspections and surveys where the quality and treatment of data could have significant legal and financial implications. All training, experience and other forms of staff development should be recorded and documented.

B.5.18.7. Audit and quality control procedures are essential, and where highways staff change role within an authority, competence for the new position should be reviewed and any required training or development should be provided if necessary.

B.5.19. RECORDING OF INFORMATION

B.5.19.1. Information from all inspections and surveys, together with any immediate or programmed action, including nil returns, should be accurately and promptly recorded, monitored, and utilised with other relevant information in regular reviews of maintenance strategy and practice. This is particularly relevant in the case of safety inspections.

B.5.20. DEVELOPMENTS IN SURVEY TECHNOLOGY

B.5.20.1. Authorities should consider using proven technology and systems for the effective identification and management of defects. Regular reviews of survey strategy should take account of new technologies and methods. This could include the use of in-vehicle location and communications technology to record the position of defects and to ensure that they are instantaneously recorded with the works gang. This may also provide opportunities to change the number, type and quantity of inspections and thus generate efficiencies.

B.5.20.2. New survey techniques may also be considered to improve quality of data and increase efficiency. An example is Light Detection and Ranging (LiDAR), a technique that uses multiple scanning lasers to collect spatially referenced point clouds, which can be used to produce high resolution panoramic imagery that is fully synchronised and geo-referenced

SECTION B.6.

PROGRAMMING AND PRIORITIES – HIGHWAYS

B.6.1. INTRODUCTION

- B.6.1.1. Programming and priorities are dealt with in the [UKRLG Highway Infrastructure Asset Management Guidance \(HIAMG\), Part B](#). This document should be referred to and the advice below considered supplementary.
- B.6.1.2. The general principles to be applied to programming and priorities are outlined in Section A.8 of this Code, with this section covering guidance relating to highways assets.

B.6.2. BALANCING PRIORITIES BY TYPE

- B.6.2.1. The broad priorities for the respective types of highway maintenance will largely be determined by the outcome of safety and service inspections and condition surveys, assessed against local risks and policies specified by the authority in the light of this Code. In general it will be important to establish priorities and programmes for each of the following:
- emergency / reactive maintenance – attending to defects and other safety matters that require urgent action arising from inspections or user information;
 - planned maintenance – attending to defects and other less urgent matters that may benefit from further planning leading to permanent repairs ;
 - programmed maintenance – providing lifecycle / road condition based work streams;
 - routine maintenance – providing locally defined levels of service;
 - regulatory functions – regulating occupation, interference or obstruction of the network; and
 - Winter Service – providing locally defined levels of service of salting and clearance of ice and snow.
- B.6.2.2. The determination of priorities and programmes for items within the categories of regulatory functions and Winter Service will tend not to require any special consideration and will largely arise out of the design of the services. For the other four categories listed above, it will be helpful to establish a more structured approach as outlined in the following paragraphs.
- B.6.2.3. In 2012, [the Potholes Review](#) was published by HMEP and provides guidance on areas including preventative maintenance and delivering “right first time” repairs:
- B.6.2.4. The Potholes Review also recommended that authorities should consider the guidance provided in the ADEPT report [Potholes and Repair Techniques for Local Highways](#) and adopt as appropriate to their local circumstances.

- B.6.2.5. The Scottish Roads Research Board have also published a [Best Practice guide for the selection of pothole repair options](#).

B.6.3. PRIORITIES FOR EMERGENCY / REACTIVE MAINTENANCE

- B.6.3.1. Emergency / reactive maintenance involves attending to the rectification of defects and other safety matters that require urgent action arising from inspections or user information in accordance with the locally determined levels of response. Although all such matters will by definition have a degree of urgency, some may have potentially even more serious consequences, and priorities will usually be determined exclusively on the basis of risk assessment.
- B.6.3.2. The option selected, together with relevant follow up, will largely be determined by operational practicalities and also whether the site is already part of a programme for more comprehensive treatment, in which case a temporary repair may be an appropriate course of action.
- B.6.3.3. Authorities may use 'Highway Wardens', 'Community Wardens' or 'Care Teams' to provide an integrated service of safety inspection, signing and temporary repair. In some cases, these are also extended to provide 'Integrated Street Management' services, and teams will need clear guidance on the application of priorities as well as appropriate training to ensure competency.
- B.6.3.4. Examples of emergency / reactive maintenance are given below:
- all assets – sign and make safe for safety purposes;
 - all assets – provide initial temporary repair for safety purposes; and
 - all assets – provide permanent repair for safety purposes.
- B.6.3.5. Authorities should adopt permanent repairs as the first choice. Temporary repairs should only be used where safety cannot be managed using alternative approaches and in emergency circumstances.

B.6.4. PRIORITIES FOR PLANNED MAINTENANCE

- B.6.4.1. Planned maintenance involves attending to the rectification of defects and other less urgent matters that do not require immediate action and where further planning may lead to the opportunity for permanent repairs.

B.6.5. PRIORITIES FOR PROGRAMMED MAINTENANCE

- B.6.5.1. Programmed maintenance is undertaken primarily in the interests of providing for a sustainable outcome, seeking to minimise cost over time and to add community value to the network or to the environment. It can also be for safety purposes by, for example, improving skidding resistance or contributing to serviceability by, for example, improving ride quality.
- B.6.5.2. It will be necessary to develop priorities and programmes for the structure, surface and edge of carriageways, footways and cycle routes, using data such as age, condition, hierarchy and lifecycle planning.
- B.6.5.3. HMEP has developed a lifecycle planning toolkit for use by Local Highway Authorities to provide planning level decision support, including the following:

- assessing the impact of different levels of funding on asset performance and asset maintenance needs;
 - investigating current and future levels of funding required to sustain or improve the condition or performance of the asset;
 - identifying the level of funding required to minimise whole life costs; and
 - allocating resources to assets and treatments that provide the best whole life costs.
- B.6.5.4. Three different versions have been published, namely for carriageways, footpaths and ancillary assets. The carriageway model incorporates work that was carried out to develop default deterioration models for bituminous carriageways suitable for the local road network in England. The lifecycle planning toolkit, together with a user guide and information on the carriageway deterioration models, may be downloaded from the [HMEP website](#).
- B.6.5.5. In Scotland and Wales, guidance and lifecycle planning tools are available to members of the SCOTS/CSSW Roads Asset Management Project group via the RAM Knowledge Hub. Cost projection tools are available for carriageways, footways, street furniture and other asset types.
- B.6.5.6. Programmed maintenance schemes may be more expensive than routine or reactive treatments in initial cost, but should be designed to have a lower whole life cost, therefore providing value for money. The determination of priorities between competing schemes needs to be based more objectively, utilising processes such as Value Management.
- B.6.5.7. One method of identifying programmed maintenance schemes for carriageways, footways and cycle routes is through a highway asset management system, using the following stages:
- the information obtained from condition surveys should be processed by a UKPMS accredited system to establish a preliminary programme; and
 - the preliminary programme should then be developed into individual schemes that meet the levels of service in the Asset Management Framework. The schemes may then be prioritised using a process of Value Management (Section B.6.9). Schemes should not necessarily be prioritised on the basis of ‘worst first’ as this is unlikely to provide the best value for money in terms of whole life cost. In some circumstances a ‘just in time’ approach may provide better value.
- B.6.5.8. Examples of programmed maintenance are given below, but this list is not exhaustive:
- carriageways – minor works, resurfacing or reconstruction;
 - footways – minor works, resurfacing or reconstruction; and
 - cycle routes – minor works, resurfacing or reconstruction.

B.6.6. PRIORITIES FOR ROUTINE MAINTENANCE

- B.6.6.1. Routine maintenance is primarily for the purpose of providing defined levels of network serviceability, maximising availability, reliability, integrity and quality. The priorities and programmes will be determined largely, but not exclusively, from non-urgent defects identified during service inspections together with items from safety inspections not requiring urgent attention and user requests.
- B.6.6.2. Priorities and programmes will need to be defined for all routine maintenance categories. Routine maintenance for each category may be undertaken separately, according to the frequency defined in each case, but it will usually be more efficient to combine a number of operations into a co-ordinated programme. It may also be convenient in central urban areas to consider co-ordination with other related street activities.
- B.6.6.3. Particularly in rural areas, it will be helpful to prepare a regular programme of visits to local council areas for the purpose of undertaking the widest possible range of routine maintenance activity and to inform the local council and community in advance. Such arrangements may also be appropriate for neighbourhoods within urban areas.
- B.6.6.4. Examples of routine maintenance are given below, but this list is not exhaustive:
 - carriageways, footways and cycle routes – minor works and patching;
 - drainage systems – cleansing and repair;
 - embankments and cuttings – drainage and stability;
 - landscaped areas and trees – management;
 - verges – grass cutting;
 - fences and barriers – tensioning and repair;
 - traffic signs and bollards – cleansing and repair; and
 - road markings and studs – replacement.

B.6.7. REGULATORY FUNCTIONS

- B.6.7.1. Examples of regulatory functions are given below, but this list is not exhaustive:
 - maintenance of Highway Register and Definitive Map;
 - co-ordination of road and street works (responsibility of Traffic Manager or equivalent);
 - charging schemes and permits for highway occupation (responsibility of Traffic Manager or equivalent); and
 - other regulatory functions – encroachment, illegal signs, parking.

B.6.8. WINTER SERVICE

B.6.8.1. Winter Service is covered in Section B.7.

B.6.9. VALUE MANAGEMENT

B.6.9.1. Value Management is a process that may be used to prioritise the competing needs of highway schemes, identified through condition and economic prioritisation. It provides a structured, consistent and quality controlled approach for assessing the benefits of undertaking maintenance and the associated risks of not undertaking maintenance. The outcome should be a prioritised programme of schemes that will be entered into the Asset Management Framework. An example of this process is summarised in Part B of the [HIAMG](#).

B.6.9.2. Before an authority may establish a Value Management regime, it will need to identify the frequency of review and the overall approach to be adopted. It is important that this takes into consideration the corporate and transport priorities within the authority and the overall context of the Asset Management Framework. For example, the regime should identify:

- Value Management frequency - it is possible that some activities would be performed on a continuous basis. However, it is anticipated that a Value Management review would be held annually in order to determine the programme of works to be included in the Asset Management Framework for the following years; and
- prioritisation criteria – the criteria considered under Value Management to be used to prioritise needs. It is important that the prioritised needs should align with the levels of service and the volumes of work identified in the Asset Management Framework.

B.6.9.3. Each category (e.g. safety, socio-economic and environmental, value for money, risk) is assigned a weighting to represent its importance in the delivery of the objectives of the authority and the context of the Asset Management Framework. While it is recognised that safety will be of primary importance, other issues should also be addressed; otherwise the process may focus solely on safety and fail to address serviceability, sustainability and customer service. Clearly, assigning weights to the various criteria is not an easy task, particularly when it is evident that the preference on the criteria may be conflicting. A number of systems are available to establish preferences for a number of criteria, taking into account the views of interested stakeholders. One of these is the Analytic Hierarchy Process (AHP). The system should also provide robust justifiable scores.

B.6.9.4. The Value Management process is usually conducted in the form of workshops with a number of interested parties from various departments within the authority. The process involves the assessment of the performance of each of the programmed maintenance schemes under the various criteria. The outcome of the Value Management process should be an outline programme prioritised on scores obtained from the process. The work volumes and cost estimates should align with the work volumes and the funding estimates in the Asset Management Framework. The process should also highlight the risks related to the programme.

- B.6.9.5. The overall aim of the Value Management process is to ensure that maintenance schemes are assembled into programmes of work that align with the objectives of the authority and deliver value for money. Value of these schemes will be maximised by co-ordination with other highway improvement programmes and integrated transport schemes on related parts of the network, thus minimising disruption to users and maximising benefits to the community.

B.6.10. VALUE ENGINEERING

- B.6.10.1. Value Engineering is a refinement of the Value Management process. It is a second stage process that is conducted on an individual scheme, to optimise both the design and construction phases. In principle, it reduces the risk associated with unforeseen issues at the time of scheme development. Value Engineering also provides the authority with a further chance to explore potential opportunities for innovation. Key individuals from works teams and specialists from each discipline should be present during this process.

B.6.11. MATERIALS, PRODUCTS AND TREATMENTS

- B.6.11.1. The importance of materials, products and treatments in meeting the core objectives of customer service, safety, serviceability, sustainability and the agreed levels of service is outlined in Section A.9. This section contains information specifically related to highways.
- B.6.11.2. [The Road Surface Treatments Association \(RSTA\)](#) has developed numerous guidance documents that aim to raise awareness of the range and benefits of road surface treatments, and to encourage product and process innovation. Many of these have been produced in conjunction with the ADEPT Soils and Materials Design Group, and cover topics including service lives, surface dressing, innovative patching products and systems, high friction surfacing, structural road recycling, crack sealing and slurry surfacing, geosynthetics and steel meshes, asphalt preservation systems, grouted macadam, retexturing and ironwork installation.
- B.6.11.3. [Best Practice Guidelines for Specification of Modern Negative Texture Surfaces](#) provides a methodology for site evaluation and material selection to ensure that the right material is installed in the right site together with a structural approach to the factors which may have a bearing on distress mechanisms.
- B.6.11.4. The Waste and Resources Action Programme (WRAP) is a major Government-funded programme established to promote resource efficiency and provide information resources such as [The Quality Protocol for Recycled Aggregates](#).

SECTION B.7.

WINTER SERVICE

B.7.1. INTRODUCTION

Background

- B.7.1.1. Although sometimes termed “Winter Maintenance”, the particular network management requirements during winter are not “maintenance”, in the traditional sense, but specialist operational services. The term “Winter Service” has been adopted by this Code.
- B.7.1.2. Winter Service deals with regular, frequent and reasonably predictable occurrences like low temperatures, ice and snow, as well as with exceptional events. Whilst the effects of climate change are likely to result in an increased frequency and intensity of severe winter events, these can be taken into account in Winter Service planning. Therefore Winter Service can and should be subject to the same regime of plan, deliver, review and improve as other aspects of the highway maintenance regime.

Policies and plans developed for Winter Service are likely to have relevance in emergency planning for dealing with extreme weather conditions including flooding, high winds and high temperature. The incidences of such events may be affected by climate change. They are also likely to have some relevance to the wide range of non-weather related emergencies that could affect the highway network.

- B.7.1.3. Although a very specialised area, Winter Service is a significant aspect of network management both financially and in terms of its perceived importance to users. It can also have significant environmental effects. The organisation of the service is likely to have considerable implications for the overall procurement and management of other highway maintenance services. This Section of the Code should therefore be read in conjunction with other sections dealing with these issues.
- B.7.1.4. This section of the Code provides the background and higher level policy aspects of the Winter Service. Guidance relating to practical issues and the delivery of the Winter Service is contained within the [National Winter Service Research Group \(NWSRG\) Practical Guide for Winter Service](#). Authorities may wish to consider the content of the NWSRG Practical Guide in conjunction with the information contained within this section of the Code.

Objectives

- B.7.1.5. Winter Service can contribute significantly to each of the core objectives set out in this Code as described below:

Safety

- B.7.1.6. Safety is a consideration for Winter Service, even though statutory obligations and users' needs vary in different parts of the UK.

Customer

- B.7.1.7. There are, in all parts of the UK, very considerable user needs and expectations and these can be a major influence on customer satisfaction through demonstrating an efficient, effective and proportionate response to winter conditions.

Serviceability

- B.7.1.8. Maintaining availability and reliability of the highway network is a key objective for Winter Service and one where user judgements of performance will be immediate rather than longer term.

Sustainability

- B.7.1.9. Low temperatures and the formation of ice can cause serious damage to the fabric of carriageways, footways and cycle routes and accelerated damage of the network. Effective Winter Service can contribute to a reduction in whole life costs and minimise damage to the environment.

B.7.2. WINTER SERVICE POLICY

- B.7.2.1. Authorities should formally approve and adopt policies and priorities for Winter Service, which are coherent with wider objectives for transport, integration, accessibility and network management, including strategies for public transport, walking and cycling. They should also take into account the wider strategic objectives of the authority.
- B.7.2.2. Issues for consideration in developing policy should include:
- network resilience;
 - treatment of facilities for public transport users;
 - treatment of facilities for road users;
 - treatment of facilities for walking and cycling;
 - treatment of transport interchanges;
 - treatment of promoted facilities such as community or leisure centres;
 - extent of priority for emergency services;
 - extent of priority for key public services and critical infrastructure;
 - extent of priority for vulnerable users;
 - resilience of Winter Service resources; and
 - other local circumstances.
- B.7.2.3. Authorities should develop local service levels for Winter Service which define the Overall Winter Period, the Core Winter Period, the level of resilience and treatment networks.

- B.7.2.4. These local policies and service levels should be developed as far as reasonably possible with users and key stakeholders and should also be based on a risk assessment to define the scope of the service. The documents should be designed and drafted to be used by staff at all levels. Authorities should utilise the time outside the winter season to put these policies and plans in place.

B.7.3. RESILIENT WINTER SERVICE

- B.7.3.1. Better planning will result in a more resilient Winter Service and reduce the risk in the delivery of the service during normal and severe winter conditions. It also has the potential to deliver the service in a more efficient way. This includes not only the management of salt stocks, but other resources such as fuel, plant and labour.
- B.7.3.2. Winter Service should be regarded as part of the authority's wider resilience planning. More detail on this can be found in Section A.6 of this Code.

Minimum Winter Network

- B.7.3.3. As part of their contingency planning, authorities should define a minimum winter network. This network is likely to have a close relationship to the Resilient Network, see Section A.6, and may be a subset of their normal treatment network.
- B.7.3.4. The trigger point and protocol for activating the minimum winter network should be agreed within the authority, documented and communicated as appropriate. In doing so agreement should be made with the emergency planning department and senior officers. The decision to activate the minimum winter network may also be made in conjunction with other authorities. The overall approach should be detailed within the Winter Service Plan.

Winter Service Resilience Levels

- B.7.3.5. Authorities should consider, consult on and formally adopt local service levels for resilience of their Winter Service in terms of number of days' continuous severe conditions salting on a defined Minimum Winter Network for the Overall Winter Period and for the Core Winter Period.

Establishing a local Winter Service level of resilience requires consideration of the number of days' resilience to be adopted, definitions of the Overall Winter Period and Core Winter Period, whether it should refer to the normally salted network or to a smaller locally determined Minimum Winter Network.

- B.7.3.6. Recommendations on winter resilience for English Local Highway Authorities were provided by [The Quarmby Report of 2010](#) and the UKRLG report [Lessons from the Severe Weather February 2009](#).
- B.7.3.7. Delivery of the Winter Service relies on suitable resources being available, including salt, fuel and trained staff and operatives. Any one resource in short supply puts additional strain on service delivery.
- B.7.3.8. The number of days' resilience during the Core Winter Period should be based on a number of days' severe conditions plus replenishment time and taking into account weekends, and combinations of public holidays and weekends such as Christmas and the New Year.

- B.7.3.9. This approach based on a reasonable number of days' resilience in the ability to deliver a defined Winter Service should ensure that Highway Authorities hold or have easy guaranteed access to sufficient salt, gritters and drivers and other essential resources to deal with severe winter weather conditions.
- B.7.3.10. Some Highway Authorities may already have a good level of resilience, but if individual authorities decide they need to increase resources, they will need to consider the practical implications and a reasonable implementation period. Implications may include any new arrangements or facilities required and cost.
- B.7.3.11. In developing their local level of service based on days' resilience, authorities should assess the risks that are faced in the delivery of the Winter Service. The assessment should cover all items of policy and management including:
- network for treatment;
 - adjoining highway networks;
 - salt management policies;
 - operational resources (including equipment, salt stocks and fuel);
 - access to Winter Service depots and salt storage areas;
 - staff training; and
 - availability of operational staff.
- B.7.3.12. An example of how authorities may express and apply their Winter Service level of resilience is included in the NWSRG Practical Guide.
- B.7.3.13. The Department for Transport has put in place a year-round salt stock monitoring system to ensure optimum resilience of salt supply, through a nationally severe winter. Authorities should provide to the Department for Transport the information required for this system in a timely manner.

B.7.4. CO-ORDINATION AND COLLABORATION

- B.7.4.1. Authorities should consider whether collaborative arrangements such as shared services, lead authority arrangements, collaborative service procurement, and sharing depots and salt stock, would provide an effective and value for money approach to Winter Service resilience.
- B.7.4.2. Co-ordination and co-operation between authorities in Winter Service planning including defining treatment routes, response, and treatment times is of crucial importance. This should be a formal process between the adjoining local authorities and with the authority responsible for the strategic network. The intention should be to negotiate effective service integration across administrative boundaries and to enable operation of the plant and vehicles required to achieve adequate resilience. Consideration should be given to Section 8 of the Highways Act 1980 regarding agreements between Local Highway Authorities for doing of certain works.

- B.7.4.3. In these circumstances close liaison both with public transport operators and local authority transport co-ordinators is essential, at the annual review, on an ongoing basis throughout the season and on a continual basis in severe weather conditions. This is particularly important as, although changes to public transport routes and frequencies will be made throughout the season, it will not usually be practical or desirable for consequent changes to the treated network during the season. This may influence the nature and timing of changes to public transport routes.
- B.7.4.4. The efficient operation of many essential services may be dependent upon ice or snow removal from key areas of private land, which is fundamentally the responsibility of land owners.
- B.7.4.5. Authorities should determine critical areas and infrastructure in conjunction with key public services and other stakeholders and seek to ensure that appropriate winter treatment has been considered by the appropriate party.
- B.7.4.6. Authorities should explore the potential for sharing depots as this may provide opportunities for efficiencies. Other areas where collaboration should be considered include decision support services for weather particularly where authorities have similar climatic conditions.

B.7.5. WINTER SERVICE PLANNING

- B.7.5.1. Planning and preparation is fundamental to delivering a successful Winter Service. Careful planning in advance of the winter season will greatly assist in adequate resources and contingency arrangements being put in place by authorities to improve their overall resilience.

Communication

- B.7.5.2. It is good practice to communicate effectively with the public, key public services, stakeholders and other Highway Authorities. However, communication within the authority is also critical. Preparation and planning of communication in advance will assist in the effective delivery of the service.

Setting Expectations

- B.7.5.3. It is important to ensure that the public, elected members and senior management are engaged in the Winter Service. The Department for Transport (DfT) has produced a leaflet titled “Are You Ready for Winter?” with important information for councillors and senior officers about preparation for winter. Public leaflets, websites and briefing notes all contribute to setting expectations with a low associated cost and time requirement.
- B.7.5.4. Clearly setting out what will and will not be done as part of the delivery of Winter Service can reduce the number of complaints and questions raised by the public and stakeholders. Improved communication and understanding may therefore improve time available for the Winter Service delivery team to focus on delivery of the service.
- B.7.5.5. Members of public may travel across boundaries of several different authorities, thus treatment regimes should align across boundaries to provide a seamless service. Simple measures such as comparing treatment routes and decision making criteria between authorities will assist with this, especially within urban areas.

- B.7.5.6. Authorities should ensure that there is appropriate consultation and communication with other Highway Authorities, key public services and other stakeholders to ensure improved service for the public.
- B.7.5.7. Information should be provided directly to key stakeholders, including adjacent Highway Authorities, all emergency services, public transport operators, motoring organisations, the education authority, schools, their bus operators, and key local organisations. This information could include:
- sharing Winter Service Plans;
 - a non-technical summary of the Winter Service Plan;
 - maps of treatment routes;
 - operational decisions on a timely basis;
 - diversion routes in the event of closure of major routes; and
 - salt stock information via the Salt Portal.
- B.7.5.8. Liaison between Highway Authorities should be routine throughout the winter season. Communication of treatment decisions provides useful information that may inform future decision making, promotes seamless service and can potentially generate efficiency savings.
- B.7.5.9. Collaboration with other authorities can be as simple as arranging an informal meeting to discuss the respective Winter Service policies and plans on an annual basis. Other topics could include resource availability, mutual aid or joint training and exercising.
- B.7.5.10. It is good practice to liaise with the relevant trunk road and motorway operator (where appropriate) to confirm current route planning. This will minimise duplication of treatments where the two networks cross and avoid sections being missed at complex intersections.

Contact Information

- B.7.5.11. Staff contact details and other stakeholders involved in the Winter Service need to be updated before the start of the winter season. A contact check is a simple and effective means of ensuring that staff can be contacted when required. The contact check also facilitates a refresh of communications with other authorities and stakeholders.

Media Information

- B.7.5.12. Authorities should establish effective working arrangements with local press and broadcast media. This should enable the presentation of timely and accurate information and advice on network condition and use. Information could include travel information, network availability and risk of severe conditions such as snow and black ice. These arrangements should include in-season proactive media output to engage the public with the Winter Service. This is especially important during prolonged cold weather and is likely to involve television, radio and the internet. Local radio in particular considers this to be a most important aspect of their service to the community and it therefore provides the opportunity to build good working relationships over wider issues. Many authorities have specialist press and public relations personnel and it will be important to clarify and agree respective service and specialist responsibilities.
- B.7.5.13. Whilst every severe weather event poses its own unique issues, the baseline media information required remains relatively constant. Statistics such as the number of spreaders, ploughs and salt stored are popular requests. The structure of messages to be relayed is generally similar.
- B.7.5.14. Robust processes should be in place to ensure a rapid and accurate issue of media information is possible. It is suggested that pre-prepared media briefs are developed in advance of the winter season for use during times of severe weather.
- B.7.5.15. It is important to define and agree key contacts with press and broadcast media and also establish a clear understanding of the most effective timings for information to be provided, in order to reach necessary audiences and broadcast schedules. It may be helpful to arrange joint workshops or training sessions to build understandings and relationships. Advance compilation of commonly requested information will reduce the media workload during a severe weather event.
- B.7.5.16. There may also be a need in more widespread and extreme conditions to provide information to the public using national press and broadcast. This may be undertaken either directly or by arrangement with local media, and arrangements should be discussed with them. It may also be possible to utilise variable message signs.
- B.7.5.17. Where possible, authorities should use their media relations staff to prepare generic statements and press releases for rapid issue at the onset of winter conditions. These can be pre-approved for use during periods of severe conditions, when both Winter Service delivery teams and the press team will be busy. Consequently authorities may identify the need to provide media training to winter staff. This will help to ensure that the right message is put across in the correct manner at all times.
- B.7.5.18. When severe weather is forecast the media rapidly start requesting information and it is important that correct and accurate information is available to them. If information is not provided by an authority the media will attempt to source it from elsewhere, which may not be accurate.
- B.7.5.19. Experience has shown that some individuals will take heed of advice issued to the public for avoiding travelling during severe conditions. If sufficient advanced warning is provided, drivers will be able to change their plans.

Information for the Public

- B.7.5.20. Authorities should ensure effective communication of information for the public before and during both normal and severe winter conditions.
- B.7.5.21. Authorities should make widely available for users and the community a non-technical summary of the Winter Service Plan, including plans of the treated network, together with guidance on safe use of the network. They should also establish arrangements for local radio and web based information.
- B.7.5.22. Section A.6 of this Code deals with arrangements for community involvement in highway maintenance and the importance of information and publicity. This provides opportunities and challenges, which should be positively addressed by authorities and provide an important opportunity to demonstrate understanding of users' needs, and a strong service commitment.
- B.7.5.23. It is of crucial importance that policies and levels of Winter Service provided by authorities are widely available and understood by users and the community. As far as possible highway users should be made familiar with treatment routes, particularly in severe weather conditions. This will help in ensuring that expectations are realistic and consistent with the resources available as well as maintaining public safety.
- B.7.5.24. Many authorities provide leaflets summarising policies and service levels, including maps showing routes treated, contact information and advice on safe network use. The leaflets should be reviewed annually and made available through the internet, libraries, information centres, schools and a wide range of outlets. Further details on the content and use of leaflets are included in the NWSRG Practical Guide.

Public Self Help

- B.7.5.25. Guidance to the public has been published by DfT on how they can assist their communities in [clearing snow and ice without fear of litigation](#).
- B.7.5.26. Many authorities have provided salt bins and shovels to parish councils and other stakeholders in order to help them keep local areas free of ice and snow. Ensuring suitable risk assessments and method statements are in existence will minimise the risk of accidents occurring.
- B.7.5.27. Local volunteer groups may provide support to local communities and the vulnerable for clearing footways. This needs careful management to ensure the safety and welfare of all involved. This is an area that emergency planning departments are likely to have experience of, either directly or through involvement with Local Resilience Forums.
- B.7.5.28. One means by which authorities can assist the local community in areas not on priority routes or at known trouble spots, including gradients and sharp bends is by the provision of public access salt bins. Where these are provided authorities should make arrangements for their replenishment as necessary and to ensure that they do not become unsightly or used for the unauthorised disposal of waste.

Winter Service Plan

- B.7.5.29. It is important that the Winter Service Plan is designed to be used by staff at all levels and that those that require it have ready access to the document.
- B.7.5.30. Authorities should formally approve, adopt, and publish, in consultation with users and key stakeholders, a Winter Service Plan based on the principles of this Code.
- B.7.5.31. Once the policy and plan documents are complete, those involved in delivering the Winter Service should be aware of the current approach. Ideally, a briefing should take place at the start or early in the season to disseminate this information to staff involved in the delivery of the Winter Service. The briefing should also remind staff of the critical role they play in mitigating the impact of winter weather on the road network.
- B.7.5.32. The Winter Service Plan should be reviewed annually in consultation with a wide range of stakeholders.
- B.7.5.33. It is good practice to monitor compliance with the Winter Service Plan throughout the season. Simple audits on decisions made and short debriefs of snow events will achieve this. These audits should be regular and clearly documented to ensure maximum benefit can be achieved.
- B.7.5.34. Suggested contents of the Winter Service Plan are detailed in the NWSRG Practical Guide. The Plan should recognise the fundamental differences between the main components of Winter Service for carriageways, cycle routes, footways and any critical areas and infrastructure as follows:
- pre-treatment - “precautionary” salting;
 - post-treatment - continuing salting following the formation of ice;
 - clearance of ice and snow; and
 - dealing with continuous severe conditions.

Treatment Routes

- B.7.5.35. Authorities should define treatment route plans for carriageways, cycle routes and footways for pre-treatment and snow conditions, based upon the general maintenance hierarchy, but adapted to take into account the factors identified by this Code.
- B.7.5.36. The treatment routes for Winter Service should take as a starting point the hierarchy developed for other maintenance purposes but this is likely to require extensive modification to consider:
- wider transport and other policy priorities referred to above;
 - the Resilient Network;
 - special requirements of carriageways, footways and cycle routes;
 - safe and reliable access to emergency facilities including Fire and Rescue, Police, Ambulance Services and hospitals;

- other public services access needs and critical infrastructure where the maintenance of access may be critical;
 - public transport routes and access to stations, bus garages and depots;
 - safe and reliable access to main industrial and business centres of key importance to the local and regional economy;
 - any significant variation between summer and winter traffic;
 - accessibility dependencies of remote communities for example Scotland's island and peninsular communities;
 - the special needs of disabled people or older people particularly where these can be effectively targeted;
 - known problems, including significant gradients, exposed areas and other topological factors;
 - climatic and thermal capacity differences within the area; and
 - co-ordination and co-operation with other authorities.
- B.7.5.37. Consideration of these issues is likely to suggest differences in networks adopted for each element of Winter Service. Such decisions will usually not be clear cut. For example treatment of footways will differ from carriageways and for low traffic roads it may be difficult to justify high priority for service provision.
- B.7.5.38. Risk assessments should be undertaken to establish which routes should be included in a programme of treatment during winter. In particular, the treatment of carriageways, footways and cycle routes must be considered taking account of risk to all highway users and consideration of the available resources.
- B.7.5.39. Where the authority is actively promoting facilities, or there are clear trends of increasing use, a more proactive approach to Winter Service may send an important message.
- B.7.5.40. Transport interchanges perform a key role in the delivery of integrated transport, which should be reflected in Winter Service policies and priorities. These include airports, rail and bus stations and the means of access to them whether by main routes for walking, cycling, public transport or car. Parts of the interchange may be subject to differing management regimes and it will be important to agree common levels of service and ensure effective co-ordination of resources.
- B.7.5.41. It should be recognised that many authorities will have difficulty treating all bus routes as part of their precautionary salting routes. The treatment of bus routes should be based on risk assessment of local circumstances such as service frequency and their importance to integrated transport services. It is important that treatment routes include the access roads to bus garages.
- B.7.5.42. Similar considerations apply to school bus routes where, although authorities should endeavour to provide Winter Service support, there may be practical difficulties in wide spread treatment of such a diverse network.

- B.7.5.43. Network Rail recommends that salting should not be undertaken between the stop lines of level crossings, even when covered with snow. Before ploughing over a level crossing the driver must stop and telephone the signalman for permission to proceed and then inform the signalman when past the crossing. Snow blowers must not be used on level crossings.
- B.7.5.44. Consideration should be given in certain circumstances for the temporary erection of snow fencing to reduce the effect of drifting snow. The legal powers to provide snow fences in England and Wales are contained in Section 102 of the Highways Act 1980. Where no agreement can be reached with the landowner, Sections 239, 240 and 250 of the Act provide for compulsory powers. The power to provide snow fences in Scotland is in Section 30 of the Roads (Scotland) Act 1984. There is no equivalent of these specific powers in Northern Ireland but Article 100 of the Roads Order, which deals with the acquisition of land, could be used in these circumstances.
- B.7.5.45. In periods of especially severe weather in certain parts of the UK, temporary road closures may be necessary. Where roads are known to be particularly vulnerable consideration should be given to the installation of permanent flap down or variable message signs. These signs should be located well in advance of any anticipated obstruction and should be operated in conjunction with the Police. In determining the optimum location consideration should be given to the availability of alternative routes and, if necessary, holding areas. With manually operated signs, and in more remote areas, it is essential that the signs are easily accessible and can be quickly operated by authority or police to give timely information. Consideration should be given to the merits of remotely controlled matrix signing.

Contingency Planning

- B.7.5.46. Winter Service procedures should be designed to provide a planned response during even exceptionally severe weather. Through careful planning it is possible to reduce the need for reactive response. It is important to ensure that the Winter Service Plan contains details of the escalation procedures, alternative resources and minimum winter (resilience) networks.
- B.7.5.47. The delivery of a more resilient Winter Service should enable local communities, business, public transport and emergency services to function in more severe conditions prior to the need to implement contingency arrangements. Effective contingency planning is therefore a key element of delivering a more resilient service.
- B.7.5.48. Authorities should prepare contingency Winter Service Plans for severe weather conditions which include possibilities such as salting a Minimum Winter Network. Authorities should seek agreement on plans in advance with other Highway Authorities and key public services such as hospitals and public transport providers. There should be a co-ordinated approach to implementing Minimum Winter Networks across adjacent Highway Authorities.
- B.7.5.49. When weather is sufficiently severe, a contingency plan should be activated. The success of this plan is dependent on advance planning and co-ordination, including treatment routes, resource needs, mutual aid and communications.

- B.7.5.50. With improved resilience of Winter Service, the normal response is likely to cope with more severe conditions before the need for escalation. Once escalated, the response will then be likely to mitigate the effects of more extreme conditions. Providing winter decision makers with well-designed contingency arrangements allows them to escalate an issue before it becomes a significant threat to continuity of service and to have the tools available to best manage the situation.
- B.7.5.51. When resilience measures and processes have been developed and incorporated into the Winter Service Plan, relevant staff and stakeholders will need to be trained. Resilience planning should be tested through exercises. This will resolve any potential problems in the approach prior to it being used operationally.
- B.7.5.52. Local authorities, as Category 1 responders under the Civil Contingencies Act 2004, will already have emergency plans in place. Authorities should benefit from these plans in developing a more resilient approach to Winter Service. Business continuity planning with respect of severe conditions is also important to ensure that Winter Service can be delivered and other critical functions can be adequately supported.
- B.7.5.53. Resources such as salt, fuel, spreaders, depots and labour are finite. Plans therefore need to demonstrate how the service will be delivered if one or more of these resources is in short supply. Shortages of fuel, spreaders or operators may not coincide with severe weather.
- B.7.5.54. Where practicable, authorities should make arrangements for obtaining reserve supplies of key resources to support their minimum level of resilience. This should include salt, fuel, power and labour.
- B.7.5.55. Mutual aid is a pre-agreement between one or more organisations to assist each other, as far as practicable, to overcome disruptive challenges. Mutual aid between authorities is often used in the response to “wide” area emergencies, as the impact on the local authorities, emergency services and other resources can be overwhelmed. Sharing, e.g. depots and salt stocks, through mutual aid may be helpful. Where planning to do so authorities should make contingency arrangements in advance.
- B.7.5.56. Mutual aid can be an informal or formal process having written agreements. Arrangements are usually between organisations that work closely together on a regular basis or as part of local resilience forums. Both approaches work well if they are flexible enough to change in response to the dynamics of a situation. [Guidance on mutual aid](#) is available online.
- B.7.5.57. Authorities should explore the potential for mutual aid in salt supply and other aspects of Winter Service and should make contingency arrangements in advance.
- B.7.5.58. During a salt shortage there may be various potential mechanisms to reduce salt consumption bearing in mind the issues discussed in the NWSRG Practical Guide. Each has its own implications which the authority must carefully consider prior to implementation.

B.7.5.59. During a severe weather event increased levels of communication are likely to be required. Communication during a ‘crisis’ is not simply about media output. Proactive internal communication and keeping the numerous stakeholders informed is also critical. It is important to ensure that good communication is achieved both with internal staff and external stakeholders. Media liaison is a relatively straightforward task once suitable contacts are made. The use of authority websites is a good way to get accurate information to the public without reliance on the media.

B.7.6. WINTER SERVICE DELIVERY

Decisions and Management Information

- B.7.6.1. Authorities should take full advantage of decision support systems and services to enable timely, efficient and accurate decision making.
- B.7.6.2. The decision support information will be used by the authority’s designated Winter Service controller, or similar, together with local experience, and against the background of a range of pre-determined scenarios, in deciding the action to be taken. The decision should usually be delegated to a single person, although in larger authorities with varying climatic conditions the role may be delegated to two or more persons. Controllers will of course need to maintain close consultation with others both within and adjoining the authority and also those dealing with the strategic network.
- B.7.6.3. Information to aid decision making is included in the NWSRG Practical Guide.
- B.7.6.4. The quality of decisions made by the controller will be the key factor in determining both the effectiveness of the Winter Service and also how it is perceived by users and the community. Instigating a decision check process ensures high quality decisions are acted upon and is good practice.

Information Recording and Monitoring

- B.7.6.5. Authorities should continually monitor performance during service delivery and respond effectively to changing conditions or network incidents.
- B.7.6.6. Comprehensive and accurate records should be kept of the all Winter Service activity, including timing and nature of all decisions, the information on which they were based, and the nature and timing of all treatment. Note that time taken running dead mileage at end of salting run is not included in treatment time. It is preferable to record both the time at the end of actual salting and the time of return to depot. Where the dead mileage at the end of a salting run is significant this should be considered when planning for severe conditions as it will prevent rapid redeployment of resource.
- B.7.6.7. Authorities should make use, wherever possible, of electronic vehicle location systems together with automatic recording of salt spreading. This will simplify and improve the accuracy of records as well as provide corroboration of service delivery in cases where failure to salt is alleged.
- B.7.6.8. The condition of routes should be monitored following treatment in order to confirm that the treatment has been effective. If it has not been fully effective, contingency treatments should be considered to achieve the required condition.

Resources

- B.7.6.9. Winter Service requires numerous staff, a significant amount of plant and large volumes of consumables such as salt for de-icing and fuel. It is important that supplies and suppliers are planned and managed to ensure these resources are available when required. Sufficient trained and experienced staff are required for the delivery of an effective Winter Service. This includes winter managers, decision makers, supervisors, spreader drivers and other equipment operators.
- B.7.6.10. Authorities provide Winter Service through combinations of their own resources and those of service providers contracted to them. There is a wide variety of approaches. Many Highway Authorities provide some of their own facilities with others provided by the private sector. In all cases, service providers' activities are governed by their contract with the Highway Authority.
- B.7.6.11. In some authorities refuse collection, street cleansing and grounds maintenance services often provide support to the Winter Service, especially in times of prolonged ice and snow. Arrangements should be made and documented well before the commencement of the season.
- B.7.6.12. Detailed route planning and for each aspect of Winter Service will need to be optimised to ensure economic, efficient and effective resource allocation. This will depend on:
- spreading vehicle characteristics and capacity;
 - depot and salt location;
 - response times (the period between decisions being taken to begin treatment and vehicles leaving the depot. It is suggested that authorities should adopt a target response time of no more than one hour. This should apply both within and outside normal working hours);
 - treatment times (the period between vehicles leaving the depot and the completion of treatment on all priority routes. Authorities should adopt target treatment times based on risk assessment of local circumstances that provide for the completion of pre-treatment before ice forming. They should however recognise however that treatment times might vary in different weather conditions); and
 - turnaround times (the period between a vehicle completing salting on its route and being ready to recommence salting having reloaded at the depot)
- B.7.6.13. A key factor in ensuring that response and treatment times are met once a decision has been taken to treat is the availability of appropriately trained personnel. Identifying the extent of resources needed under various scenarios and the potential source of these will be an important aspect of pre-season planning. This planning should cover the whole range of requirements and conditions likely to be encountered, including:
- pre-season preparation;
 - precautionary treatment;
 - footway and cycle route treatment;

- post treatment;
 - snow clearance;
 - continuous severe conditions; and
 - post snow emergencies (flooding etc).
- B.7.6.14. Planning of resources should cover the entire workforce involved in the Winter Service. It is particularly important not to overlook:
- the need for staff to be available throughout defined risk periods;
 - the need for the treatment operations to be co-ordinated and supervised;
 - resources and equipment for treating carriageways, footways and cycle routes;
 - resources for dealing with vehicle breakdowns, problems with fuel supply and communications failure; and
 - resources for the storage, delivery and loading of salt.
- B.7.6.15. In planning resources, the following issues regarding personnel also need to be addressed:
- implications of Drivers' Hours Regulations;
 - extent and nature of double manning and driver support;
 - shift system arrangements; and
 - provision for holidays and sickness.
- B.7.6.16. It is important that a realistic assessment of the resources required has been made to ensure the continued treatment of the Minimum Winter Network during exceptional conditions. Authorities in planning their resources should ensure that they are compatible with the wider level of resilience adopted by the authority.
- B.7.6.17. Authorities often place reliance in times of prolonged ice and snow on temporary contracts with contractors, farmers and others to supplement resources for snow clearing. Arrangements should be documented and the necessary insurance cover should be put in place.
- B.7.6.18. In rural areas, authorities should examine the potential for using local council snow wardens, who may have an effective role in gathering information and providing Winter Service Managers with details of specific local problems. If snow warden schemes are adopted clear terms of reference should be established.

Training and Development

- B.7.6.19. Delivery of a successful Winter Service is dependent on the individual decisions made and actions taken by all those involved. These actions and individual decisions must be supported by adequate training of the staff and operatives involved.
- B.7.6.20. To ensure appropriate level of competence, the training and development needs of all personnel should be established and reviewed annually, including health and safety and appropriate vocational qualifications. Training should then be provided where appropriate before the Winter Service season.
- B.7.6.21. Issues where training is required are described below. This is not an exhaustive list and will largely be based on local circumstances:
- the content and operation of the Winter Service Plan;
 - route familiarisation (as appropriate);
 - driving in difficult and hazardous road conditions including duty of care to other road users;
 - circumstances where special safety considerations apply;
 - snow ploughing, in particular around rail level crossings, tramways, partially segregated areas,
 - dealing with emergencies; and
 - dealing with post ice and snow emergencies especially flooding.
- B.7.6.22. In addition to such specific training it will be necessary to ensure that all personnel are provided with information during operational periods on current network characteristics and constraints, including:
- traffic management in place; and
 - network unavailability.
- B.7.6.23. Authorities should prepare specific health and safety policies, guidance, and risk assessments with their service provider. These should be issued and discussed with all personnel, including temporary contractors, and should form the basis of further training as necessary.
- B.7.6.24. Training provided to service delivery personnel should also include specific reference to the health and safety needs of users, including:
- avoidance of spraying pedestrians, cyclists and vehicles where practicable with salt or slush when salting or ploughing;
 - avoidance of risks to pedestrians and cyclists when using vehicles in segregated or partially segregated areas and in treating footways;
 - ploughing and manoeuvring in restricted circumstances; and

- other road vehicles that may not be under proper control.
- B.7.6.25. Authorities should consider qualifications and practical experience training. Examples of currently available training courses include the IHE Professional Certificate in Winter Highway Maintenance and various City & Guilds and CITB courses, as well as courses provided by independent training organisations and providers of equipment and services. Many authorities have found it useful for those personnel involved in Winter Service management and decision making to undertake training in familiarisation and interpretation of weather forecast information.
- B.7.6.26. Authorities are encouraged to have a system to plan and record all Winter Service related training. This may form part of a wider training management system. This system can then be checked prior to winter to ensure any necessary refresher training is undertaken.
- B.7.6.27. There are several groups of individuals that comprise an authority's resources to deliver the Winter Service. These individuals require training to fulfil their duties within an authority's Winter Service. These are listed below:

Winter Decision Maker and Manager

- B.7.6.28. The appropriate experience required to deliver the service can only be gained through involvement in decision making and service delivery, over a number of years, initially under supervision. Good practice requires that novice decision makers should undergo briefings on the Winter Service Plan, meteorological training, experience of operational delivery and mentoring by more experienced staff. This should continue until their experience and competence is proven. It is essential that such training is validated by appropriate testing and well documented to ensure that competence can be demonstrated. Weather forecast providers are able to provide training on meteorology and providers of road weather sensors provide training relating to the use of their equipment, as well as on some wider issues relating to the weather and road surface condition. Exercises can provide decision makers with experience of the management of severe conditions.

Drivers and Operators

- B.7.6.29. Any operative involved in the use or operation of any plant or machinery should receive relevant formal training to do so. Where reserve drivers are available as part of an authority's contingency plans it is essential that they are trained to an equal level of competence.

Winter Supervisors

- B.7.6.30. The first tier of management should be aware of their duties and sufficiently competent to fulfil them. City & Guilds 6159 includes a specific module for winter maintenance supervisors.

Senior Management and other Key Stakeholders

- B.7.6.31. Authorities may benefit in providing basic training to senior management and certain key stakeholders in delivery of Winter Service. This can be valuable in managing the expectations in delivering the service during both normal and severe winter conditions.

Training Plan and Records

- B.7.6.32. Authorities are encouraged to ensure they have a system of formal training records. The purpose of the system is to record and monitor the training and competence of each individual involved in Winter Service. The system should use the data within it to help identify those people whose training requires refreshing and renewing. Where authorities contract out Winter Service they should require their suppliers to maintain similar records.
- B.7.6.33. The system should comprise a development action plan for each individual and record progress in meeting that plan. This will enable training sessions to be targeted, planned and executed in a cost efficient manner.
- B.7.6.34. Before commencement of the winter season training records should be checked to identify whether out of season training has occurred and individual training records have been updated. Additionally any mentoring schemes or similar experience-based learning should also be consulted to avoid any issues later in the season.

Route and Equipment Familiarisation

- B.7.6.35. Relevant staff and operatives should undertake familiarisation training with winter arrangements, treatment routes and equipment. This is especially important for operational staff that may be new to the authority's Winter Service. Tool box talks and dry runs of treatment routes are useful approaches to deliver this training. Records of this training should be recorded on the training management system as described above.

Exercising

- B.7.6.36. Planning and preparing for the winter season are essential activities, but often the measures implemented are only tested in a live situation. Exercising and testing aims to confirm that the plans and procedures are suitably robust to cope with conditions in a safe and non-consequence environment. Authorities and relevant organisations should provide training and conduct periodic exercising to test plans for responding to severe weather events.
- B.7.6.37. Authorities and relevant organisations should provide training and conduct periodic exercising to test plans for responding to severe weather events.
- B.7.6.38. The Civil Contingencies Act 2004 requires Category 1 responders to exercise their plans to validate and test them. Although winter planning does not necessarily fall into the plans that must be exercised it is clear from recent winter events that severe snowfall will result in the invoking of various other emergency plans via local and regional resilience fora.
- B.7.6.39. It would be beneficial for authorities to build severe weather conditions into regional or local training exercises or to develop specific Winter Service exercises involving adjacent authorities and relevant partners. Such testing of plans and personnel associated with the Winter Service would ensure authorities are fully prepared. It would also assist with ensuring that resilience of Winter Service is addressed and communication networks developed and improved. The NWSRG Practical Guide contains further guidance regarding the design and delivery of winter exercises.

Plant and Vehicles

- B.7.6.40. A range of vehicles, plant and equipment is used to deliver Winter Service, which should be well maintained, calibrated and reliable. This Code does not deal in detail with the equipment used for Winter Service, but refers to certain more strategic issues relating to procurement and sustainability.
- B.7.6.41. In assessing the required plant and vehicles authorities should ensure that sufficient resources are available for the delivery of the Winter Service during severe and prolonged ice and snow. This should be compatible with the level of resilience adopted by the authority.
- B.7.6.42. It is unlikely that, with the level of investment involved, authorities will be able to make frequent changes to the fleet, other than replacement or renewal. It is important however, that opportunities are taken when overall service procurement changes are being contemplated to thoroughly review Winter Service and equipment procurement.
- B.7.6.43. There have been significant advances in the equipment available on the market in recent years. Vehicles are now capable of delivering a range of treatment types and can have sophisticated technology. The procurement of such technology potentially allows a more targeted and effective approach to treatment of the road network and an improved audit trail of where treatments have been undertaken.
- B.7.6.44. It is often extremely difficult and inefficient to remove significant depths of snow using only salt and therefore consideration should be given to the use of snow ploughs mounted on spreaders or other suitable vehicles. Snow ploughs are durable, require little maintenance and should therefore prove very cost effective. However, in urban areas there may be considerable difficulties in utilising snow ploughs, for instance where traffic calming schemes have been implemented, and in this situation any consideration should be on a risk based approach.
- B.7.6.45. It is also important to consider equipment requirements for dealing with footways and cycle routes. Specialist equipment, such as footway ploughs and footway salt spreaders, may be necessary for this purpose.
- B.7.6.46. The location of depots should be kept under review and specifically addressed when consideration is being given to procurement arrangements. It would be unlikely if all present depots from which authorities undertake Winter Services are ideally located, and significant financial and operational savings can often be achieved from re-location.
- B.7.6.47. The environmental effects of highway maintenance depots and operations are dealt with in Section A.9 of this Code, and these can be particularly significant in the case of the Winter Service, where operations will inevitably involve unusual hours of working. Every effort should be made to minimise the environmental intrusion of depots and so far as is practicable the effect of Winter Service operations.
- B.7.6.48. A significant contribution to minimising environmental effects can be made by providing covered storage for all vehicles, equipment and materials, which can also reduce waste and maintenance problems.

- B.7.6.49. Purchase and ownership of vehicles and equipment will also be a key issue for consideration in relation to the procurement of services. Private sector partners may be able to assist with financing arrangements and authorities will need to balance the financial advantages of this against the contractual and operational risks involved.
- B.7.6.50. The need to ensure vehicles are correctly calibrated, well maintained and repaired quickly is essential to the delivery of the service. Whatever arrangements are used the response time, speed of repair, availability of spare parts, quality of repair and audit trail should be carefully established and documented.

Precautionary treatments

- B.7.6.51. These are the application of de-icers to road surfaces before the onset of freezing conditions (i.e. frost, snow or freezing rain). The purpose of precautionary treatments is to prevent the formation of ice, or to weaken or prevent the bond of freezing rain or snow to road surfaces.
- B.7.6.52. It is usually impractical to spread sufficient salt to melt freezing rain or more than a few millimetres of snow. Therefore, in advance of forecast snow or freezing rain, salt is spread to provide a debonding layer so that:
- snow is more readily removed by ploughing; and
 - compacted snow and ice are more easily dispersed by traffic.
- B.7.6.53. It is very difficult to remove a layer of compacted snow or ice that is bonded to the road surface, so precautionary treatments are essential before heavy snowfall.

Salt and De-icing Materials

- B.7.6.54. Rock salt is the prime material for dealing with ice and snow on roads but can have environmental consequences. It can adversely affect vegetation, pollute watercourses and leave a residue on footways. It can also damage the road structure, bridges and structures, utility apparatus and vehicles. However, used responsibly it can have minimal environmental impact. In the interests of sustainability therefore authorities should ensure that only the minimum of salt is used to deal with the prevailing conditions. Suggested rates of spread are given in the NWSRG Practical Guide.
- B.7.6.55. The NWSRG Practical Guide lists a number of alternative materials that authorities could consider using in place of rock salt in particular circumstances. The costs of some of these are extremely high and particular materials also have some environmental consequences. They may prove, however, to be cost effective in specific locations, such as the treatment of footways, where the need for additional sweeping can be avoided, and bridges, where the damage caused by the use of salt can be avoided.
- B.7.6.56. As rock salt requires the passage of traffic to improve effectiveness, it may be necessary to use brine in some cases for example some cycle routes.
- B.7.6.57. Care should be taken in Winter Service operations, particularly in salting footways, to avoid excessive amounts of salt being washed or swept into tree pits or piled around trees.

Salt management

- B.7.6.58. Salt is a finite resource and UK suppliers are constrained by mining operations amongst other factors as to how much may be produced and supplied. Supply can therefore be outstripped by demand during severe weather. It is therefore important to make optimum use of salt for de-icing and make every effort to store and use it efficiently, regardless of the weather conditions, in order to minimise consumption. In addition there can be significant financial benefits to be gained adopting such an approach.
- B.7.6.59. Salt is consumed in significant quantities during the winter season, so even small percentage savings in salt use through accurate calibration of spreaders, considered decision making and appropriate treatments is important. These measures will help to minimise the overall consumption of salt on a national basis. The NWSRG Practical Guide contains further information regarding spreader calibration. Ultimately, authorities should consider ways of reducing overall salt consumption while maintaining agreed levels of service on their network. Considerable savings can be made in the amount of salt used to treat carriageways if the salt is maintained in good condition and spreaders are correctly calibrated.
- B.7.6.60. Many authorities award salt supply contracts to a single supplier on a call-off basis. Contracts are often awarded on a balance of quality and price, with price usually being the driving consideration. This approach has resulted in a price driven market where salt supply is often treated as a commodity purchase. Authorities carry the risk of being able to obtain the salt they require when they require it. Suppliers carry the risks involved in producing and stock piling salt before sale. Commodity purchase arrangements do not necessarily embrace the service relationships between authorities and their salt suppliers which should lead to improved reliability, and knowledge and anticipation through good communications, and which are facilitated by contemporary procurement arrangements.
- B.7.6.61. Authorities and salt suppliers should treat the supply of salt as a service rather than a simple commodity purchase.
- B.7.6.62. Authorities should place orders for summer restocking, and make arrangements for in-season restocking. It may be beneficial to consider the option of changing de-icing material to minimise consumption and improve resilience.
- B.7.6.63. It has become common to restock at intervals during the winter season using salt management systems based upon predicted use of salt and delivery times. The salt shortage in winter 2008/09 demonstrated that it is difficult for salt supply arrangements to accommodate significantly increased short term demand. Authorities should therefore ensure sufficient resilience in their salt stocks.
- B.7.6.64. Authorities should develop close working relationships with salt suppliers and ensure that initial salt quantities and reorder triggers are set to achieve their local level of resilience.
- B.7.6.65. It may not be easy for some authorities to achieve an appropriate level of resilience through storing salt at their own depots. Salt suppliers may be able to hold dedicated stock at locations around the UK and authorities should consider whether such an approach is possible.

- B.7.6.66. Communications and relationships with salt suppliers may be improved by the development of supplier user groups and authorities should consider participation in such groups.
- B.7.6.67. The salt shortages in winter 2008/09, 2009/10 and 2010/11 prompted various local, regional and national salt stockpiling arrangements. This has significantly increased salt stockholding nationally and therefore added resilience. However it is important that Authorities do not routinely rely upon these stockpiles as they are intended only for use during sustained severe winter weather. The Department for Transport Salt Portal plays a key role in managing reserve stocks as it allows early visibility of potential salt supply issues and also enables continual assessment of current stockholding across England.

Salt storage

- B.7.6.68. Moisture content can have a significant impact on spreader calibration with over or under spreading possible. Authorities may therefore achieve more consistent spreading of salt through maintaining a constant moisture content in the salt throughout the entire season. The NWSRG Practical Guide contains further details regarding the moisture content of salt.
- B.7.6.69. As part of pre-season preparation, authorities should review how their salt is stored in order to identify how greater efficiency may be attained in its use. This may include developing the business case for salt barns or covering open storage facilities. Moisture content of salt is a critical factor in determining spreading rates and distribution.
- B.7.6.70. The correct storage of salt is essential to minimise environment damage and storage in salt barns helps to prevent leaching, eases handling, helps in maintaining low salt moisture content, and is of particular value where additives are used. Detailed advice is available on alternative types and construction methods available. Where open stockpiles are used these should be covered with sheeting, which can provide an effective alternative. Some authorities spray their open stockpiles with bituminous emulsion in order to reduce the effects of the weather.
- B.7.6.71. Both permanent and temporary salt storage areas should be sited and managed in accordance with requirements of the Local Planning Authority and the Environment Agency. In particular they should not be sited where they could cause damage to landscape or nature conservation or have the potential to pollute watercourses or groundwater. Authorities should be aware of the deterioration in the quality of salt stored for long periods and the need for effective stock rotation. The NWSRG Practical Guide contains further details regarding salt storage options.
- B.7.6.72. Where grit is used for treatment, for example in the more extreme conditions applying in Scotland, storage requirements may be less stringent and local advice should be sought.
- B.7.6.73.** As a means of enhancing local salt storage capacity, authorities and salt suppliers may wish to jointly consider supplier owned salt stocks held on a short or long term basis in a number of widely distributed locations around the country. A joint approach may include agreements such as purchase of some or all stock by the end of a season or provision of land.

Reserve Stockpiles

- B.7.6.74. In addition to operational stock, local authorities and strategic road operators have created reserve stockpiles. These stockpiles can be categorised into three different types:
- local reserves – held by a single authority for its own use during times of limited operational salt stocks;
 - regional reserves – held on a regional / consortium basis whereby reserve stocks have been made available for use by more than one authority; and
 - national reserves – stockpiles held across the UK for use by any authority during times of shortage. In England this is currently being delivered via Highways England and is likely to have certain conditions of use. Transport Scotland and Transport for London have their own arrangements.
- B.7.6.75. These stockpiles are not used during normal Winter Service but will be available if salt suppliers are unable to maintain operational stocks at an acceptable level. Release of salt should be subject to agreed protocols with the relevant operators. Authorities should put these arrangements in place before the start of the winter season.
- B.7.6.76. Identifying the size, location and storage type of these stockpiles is important. Salt is a bulk commodity, but a reserve stockpile is still a significant investment. It should be stored in a location to allow convenient access to the area it serves and of course remain accessible during times of severe weather. The site should be secure to avoid trespass and theft of salt. Provision should be made in planning for loading facilities although there is unlikely to be a need for permanent on site plant.
- B.7.6.77. Reserve stocks are unlikely to be barn stored. However, they should be well covered to prevent leaching and deterioration of the salt. To avoid any gaps in planning any jointly held reserve stocks should have a salt stock management plan specific to that stockholding.

Salt Procurement

- B.7.6.78. Authorities should seek a broad approach to salt supply, for example establishing framework contracts with more than one supplier.
- B.7.6.79. Ideally, the suppliers should be geographically separated to reduce the risk of them being impacted by the same high demand situation.
- B.7.6.80. Authorities should consider whether efficiency benefits can be obtained from collaborative salt procurement and should also consider ways to improve the balance of risk between salt suppliers and themselves, e.g. longer contracts, performance contracts with minimum guaranteed purchase and supply, and contracts that include supply of salt and investment in facilities.

Post Snow Inspection and Maintenance

- B.7.6.81. Immediately following the completion of snow clearance operations priority should be given to the clearance of gullies and offlets to ensure that melt water from snow on verges and island or central reservations can quickly drain away. However, it may be especially difficult to prevent melt water which is running across the carriageway from freezing and several applications of salt may be necessary.
- B.7.6.82. It is recognised that following severe weather a degree of flexibility may be required to enable Highway Authorities to re-establish inspection regimes. It will also be necessary to inspect the network to ensure that any damage is dealt with either as an urgent defect or as programmed maintenance as appropriate. The inspection should be treated as a special safety inspection and deal with the items usually included. Special attention should be given to the routes treated and the following items:
- removal of accumulations of grit from carriageways, footways, cycle routes and drainage channels;
 - inspection and clearance of all bridges, culverts and drainage systems liable to flooding;
 - inspection for frost effects and any damage caused by Winter Service equipment;
 - check and replenish salt stocks in depots and grit bins; and
 - inspect, clean, lubricate, check and repair all vehicles and plant.
- B.7.6.83. In addition, it will be important to debrief all personnel involved to ensure that their experience and observations are recorded. These should be used to inform the Annual Service Review and contribute to the process of continuous improvement. It will also be useful in a less formal way for authorities to invite observations from snow wardens and others that may have also contributed to the operations.

B.7.7. REVIEW

- B.7.7.1. All aspects of the Winter Service Plan, including service delivery arrangements, should be reviewed annually in consultation with key stakeholders to take account of changing circumstances.
- B.7.7.2. All vehicles, plant, fuel provision, equipment and maintenance arrangements should be checked annually and in accordance with manufacturers' requirements to ensure that any necessary action can be taken to ensure full operational service status prior to the Winter Service season. This should include checking the calibration of all de-icing equipment and spreaders.
- B.7.7.3. Authorities should review the administrative and management arrangements for Winter Service annually. This should include the role of the private sector in delivering highway services, and the use of support services such as refuse collection, street cleansing and grounds maintenance services.

- B.7.7.4. As part of the Annual Review authorities should consult with bus operators regarding changes to routes. In doing so and where practicable bus operators should be encouraged not to change routes throughout the winter season where there would be an effect on treatment routes.
- B.7.7.5. The Annual Review should include an analysis on whether service delivery meets the Winter Service policy and plan. It should also include a review of the current thinking with regards to the impact of climate change. Service efficiency improvements such as route optimisation should also be considered.
- B.7.7.6. Following any significant winter weather event, a formal review involving representatives from all levels of the management and delivery of Winter Service should be carried out. The review should specifically identify the successful elements of the service as well as potential improvements and actions to be taken. Where applicable, other stakeholders should be involved. The review process should be documented to ensure all learning is captured, considered and actioned. This should feed into the Annual Review.

WELL-MANAGED HIGHWAY INFRASTRUCTURE

PART C. STRUCTURES

SECTION C.1.

INTRODUCTION TO PART C – STRUCTURES

C.1.1. INTRODUCTION

- C.1.1.1. Part C of Well-managed Highway Infrastructures has been drawn up specifically for highway structures associated with the adopted road network which meet the dimensional criteria defined in Section C.1.1.4. In addition, the general principles apply to structures associated with all other highways that are used by the public, e.g. segregated footpaths and cycle routes, and the Public Right of Way network. The types of highway structure covered by the Code are those within the boundaries of the highway or which otherwise materially affect it and include:
- bridges including footbridges, cycle route bridges, bridleway bridges, accommodation bridges, occupation bridges, subways, underpasses and culverts;
 - retaining walls;
 - sign/signal gantries;
 - cantilever road signs; and
 - tunnels.
- C.1.1.2. The overarching principles and common themes of maintaining highway infrastructure are covered within Part A. Asset specific guidance for highways and lighting are covered in Part B and Part D respectively.
- C.1.1.3. The term 'highway structures' is used throughout the Code to refer collectively to all of the above structure types.
- C.1.1.4. The following definitions are aligned with the [Code of Practice on the Highways Network Asset](#) definitions. Authorities may include similar structures outside the dimensions listed for the purposes of management of highway structures at an operational level.
- bridge – a structure with a span of 1.5m or more spanning and providing passage over an obstacle, e.g. watercourse, railway, road, valley. This category also covers subways, footbridges and underpasses;
 - cantilever road sign – a structure with a single support that projects over the highway in order to carry a traffic sign;
 - cellar or vault – an underground room or chamber with a maximum plan dimension of 1.5m or more;
 - culvert – a drainage structure with a span of 1.5m or more passing beneath a highway embankment that has a proportion of the embankment, rather than a

bridge deck, between its uppermost point and the road running courses. Culverts are normally rectangular or circular in cross section;

- retaining wall – a wall associated with the highway where the dominant function is to act as a retaining structure, and with a minimum retained height of 1.35m;
 - road tunnel – a tunnel with an enclosed length of 150 metres or more through which a road passes; and
 - sign/signal gantry – a structure spanning the highway, the primary function of which is to support traffic signs and signalling equipment.
- C.1.1.5. Bridge Managers should be aware that BD 2 (Technical Approval of Highway Structures) applies to all highway structures with a clear span or internal diameter greater than 0.9m, and to retaining walls of height greater than 1.5m.

C.1.2. THE ROLE OF HIGHWAY STRUCTURES

- C.1.2.1. Bridges and other highway structures are fundamental to the transport infrastructure because they form essential links in the highway network. It is not therefore in the public interest to allow highway structures to deteriorate in a way that compromises the functionality of the highway network, be it through restrictions or closures caused by unsafe structures or the disruption of traffic through poor planning of maintenance work.
- C.1.2.2. Highway structures represent a significant national investment, with most being publicly owned and many being prominent features in the local environment. In the UK the management of highway structures is undertaken by a variety of owners/agencies. In the Code they are collectively referred to as ‘owner’ or ‘authority’ as appropriate.

SECTION C.2. LEGAL FRAMEWORK – STRUCTURES

C.2.1. INTRODUCTION

- C.2.1.1. General duties and powers are dealt with in Part A of this Code. This section contains information on duties and powers specifically related to highway structures.
- C.2.1.2. There is a statutory obligation on Highway Authorities to maintain the public highway, Highways Act 1980, or equivalent.
- C.2.1.3. Where “failure” of a structure is described below, it refers to an inability to meet either or both of the functions outlined in C.1.2.
- C.2.1.4. Most highway structures are readily accessible by the public. Numerous instances have occurred where specific structures have a high incident rate for suicides. Bridge owners should consider these occurrences in any management planning for the associated structures and thus give due consideration to restricting access to the means of suicide at certain high risk bridge sites. A [Personal Safety Incidents at Bridges](#) briefing sheet has been produced, however this is a developing area and latest good practice should also be reviewed.
- C.2.1.5. In Wales, reducing access to the means of suicide is one of the objectives of [Talk to Me 2 – Suicide and Self Harm Prevention Action Plan for Wales 2015-2020](#). The Welsh Government is promoting a multi-stakeholder approach involving Public Health Wales, asset owners, Samaritans and other health specialists to tackle this issue.

C.2.2. STRUCTURES SPECIFIC LEGAL AND PROCEDURAL REQUIREMENTS

- C.2.2.1. 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 that are maintainable at public expense. Where a highway passes over a bridge, Section 328(2) vests the bridge as part of the highway and the normal duty to maintain under Section 41 of the 1980 Act applies under these circumstances. However this does not preclude bridges under highways being in private ownership and rightly the responsibility of the private owner. Issues regarding retaining walls are covered below.

Bridges

- C.2.2.2. The majority of bridges are maintainable at public expense unless they were built under an Act of Parliament for the construction of the canal and railway networks or built by private owners under the authority of a Royal Charter or an Act of Parliament in consideration for being allowed to charge tolls. Where a bridge carries a road, but is not maintainable by the Highway Authority (e.g. Network Rail), it is important for the Highway Authority to have an agreement with the owner of the bridge to clarify the demarcation of maintenance responsibilities.
- C.2.2.3. Other possible exceptions are bridges built by private land owners as a means of access over or under the highway. These are often covered by agreements with the Highway Authority. Section 176 of the Highways Act covers licences for bridges over the highway, whilst bridges under the highway are generally covered by agreements under the general provisions of the Highways Act and Section 111 of the Local Government Act 1972.
- C.2.2.4. Section 7 of the Trunk Roads Act 1946 and later Section 55 of the Highways Act 1980 led to the adoption by the strategic Highway Authority of all private bridges when a road was trunked. These bridges have generally been passed to the Local Highway Authority if the road was subsequently de-trunked in accordance with Section 2 of the Highways Act 1980.
- C.2.2.5. Between 1989 and 1999 as the result of a European Directive, authorities were charged by Central Government with assessing the strength of bridges carrying the adopted road network and, where appropriate, with strengthening to ensure adequacy for the introduction of the 40 tonne European Standard to roads in the UK on 1 January 1999.
- C.2.2.6. The British Railways Board, the London Board, and the British Waterways Board, now the Canal & River Trust (or their successors in title) are referred to as “the Boards” throughout the following section.
- C.2.2.7. In the case of bridges owned by the Boards and their successors, an initial assessment was required to the new code BD21 The Assessment of Highway Bridges and Structures and its successive developments and, in the event of the assessment indicating inadequate strength, a further assessment generally to BE4, to determine whether or not the owner’s load bearing obligation for the structure was met. A programme of strengthening was implemented to deal with any shortfalls of strength with cost sharing determined on the degree of shortfall, the form of strengthening and the desired loading requirements for the route. Schemes are progressed under national templates for works agreements prepared by the Boards and ADEPT Bridges Group. Further details are provided in [Strengthening of Railtrack owned highway bridges](#), published jointly by CSS (now ADEPT) and Railtrack, March 1999.
- C.2.2.8. [BS EN 1991-2](#) defines models of traffic loads for the design of road bridges, footbridges and railway bridges.
- C.2.2.9. References to the London Board are to be construed as reference to Transport for London. See also the Channel Tunnel Act 1987, s6(3), Sch.2, Pt III, para 21(4) for the application of this section to the concessionaires as defined by that Act. Other enabling legislation has been introduced to empower replacement organisations, such as London Underground Limited, to retain similar powers.

Retaining Walls

- C.2.2.10. Most retaining walls, which directly support the highway or support land carrying the highway (“highway retaining walls”) and are within the highway boundary, are maintainable at public expense. Occasionally such retaining walls have been built by adjoining landowners to create a more level site and so afford more useable space, e.g. for a mill, these are generally owned by, and should be maintained by, the landowner. Whilst this cannot be insisted upon by the Highway Authority unless covered by an agreement, the highway does have a right of support under Common Law and this can be used if the wall starts to collapse.
- C.2.2.11. The responsibility for the maintenance of retaining walls which support property adjacent to the highway (“property retaining walls”) is more difficult to determine. These walls may have been built as part of the highway and as such are maintainable at public expense unless built as accommodation works for the adjoining landowner with an agreement that the landowner would maintain them in the future. Some retaining walls may have been built by the adjoining landowner to create a more useable area and as such are maintainable by the landowner. In this case, if an existing wall is liable to endanger highway users, the Highway Authority can serve notice, under Section 167 of the Highways Act, on the owner or occupier requiring them to carry out repair work to remove the danger. This can be a protracted process and the authority needs to consider their general duty of care to the public. Serving of such a notice imposes a duty on the Highway Authority to act in default of action by the owner. Section 167 also states that no new retaining wall shall be built of height greater than 4 feet 6 inches (approximately 1.37m) within 4 yards (approximately 3.66m) of a street unless it is approved by the local council following consultation with the Highway Authority.
- C.2.2.12. The ownership and maintenance of retaining walls can be a complex issue and it is suggested that authorities produce and maintain a guidance note to clarify retaining wall responsibilities.

Railway and Canal Bridges

- C.2.2.13. The Transport Act 1968 (Part VIII Bridges and level Crossings etc) sought to clarify responsibilities for maintaining the structures that carry highways over the railways of the British Railways Board or the London Board, and over waterways of the British Waterways Board, now the Canal & River Trust (or their successors in title).
- C.2.2.14. Part VIII of that Act states that where, at that time, any of the above Boards were responsible for maintaining the highway on the bridge or giving access to the bridge, they remain responsible for all but the surfacing of the highway which from that time becomes the responsibility of the Highway Authority as highway maintainable at the public expense. The Act provides that the authority is not responsible for any defect in the surface that is attributable to the failure of the Boards to discharge their responsibility. There are similar obligations on the authority to afford access to the Boards to carry out their maintenance work and to seek the consent of the Boards to works which might affect the loading and/or parapet height on the bridge.

C.2.2.15. The Transport Act 1968 imposed upon the Boards the need to provide bridges with the required load-bearing capacity and to maintain or improve their bridges as appropriate. Except for special cases where standards are specified by a Minister, the capacity was defined as the weight of traffic which ordinarily uses or may be reasonably expected to use the highway carried by the bridge on or about the day on which the section of the Act came into force for existing bridges or, if the bridge is constructed subsequently, when it is opened to traffic. In the case of railway bridges this was further defined by The Railway Bridges (Load Bearing Standards) (England and Wales) Order 1972 (SI 1072 No. 1705) where five standards of loading are applied depending on the age of the bridge or when it was reconstructed (special provision is made for specific bridges listed in Schedules 2 and 3 to this order). The five standards of loading are:

- Technical Memorandum (Bridges) No. BE4 The Assessment of Highway Bridges for Construction and Use Vehicles;
- Type HA (equivalent lane loading) standard;
- HA and 37.5 units of HB (abnormal loading);
- HA and 45 units of HB; and
- for bridges that were or were about to be weight restricted, the load bearing obligation was limited to the weight restriction.

Overbridges

C.2.2.16. Bridges carrying railways or waterways over highways are usually owned by the respective Boards or their successors. Adequate consultation and liaison should take place before either the other owner or the Highway Authority does any work that could impact upon the interests of the other.

C.2.2.17. Over-bridge strikes may result in fatalities, and cause substantial disruption and delays to the railway industry and road users arising from even the slightest impact, as the effect of which always needs to be checked before trains can be cleared to use the bridge again. However, the issue of striking bridges over roads is not just related to railway bridges. Many over-bridges are struck from time to time, the effect varying from simple scrapes to complete demolition, including those over the 5.0m minimum headroom threshold. To seek to combat the problem the DfT has set up a group, the Bridge Strike Prevention Group (BSPG), to raise awareness of the issues and identify and action initiatives to reduce the incidences of bridge strikes. The Group includes representatives of DfT, ADEPT, Network Rail, TfL (LUL and Surface), LoBEG, Railways Inspectorate/HSE, Freight Transport Association, Road Haulage Association, Association of Chief Police Officers, Highways England, Transport Scotland, Welsh Government, Transport NI and others. As part of the BSPG activities, ADEPT in collaboration with Network Rail have developed a [protocol for highway managers and bridge owners to minimise the risk of bridge strikes](#).

Privately Maintainable Bridges

- C.2.2.18. There are provisions in Sections 93 to 95 of the Highways Act 1980 for the Highway Authority to enter into agreements with the owners of private bridges for the transfer of ownership of the structure and responsibility for its improvement and maintenance. These agreements normally contain financial provisions or commuted sums to cover any outstanding liabilities. Equally Section 271 of the Act provides for agreement of transfer of tolls and subsequent compensation if necessary.
- C.2.2.19. In the event of failure to agree future responsibilities either party can apply to the Secretary of State for an order under Section 93 of the Act. Such an order can require the owner or Highway Authority to reconstruct or improve the bridge, can determine who should maintain/operate the bridge in the future and can require the transfer of ownership.

Low, Narrow or Weak Bridges

- C.2.2.20. [The Traffic Signs Manual](#) Chapter 4 contains guidance for the signing of low, narrow and weak bridges.
- C.2.2.21. All bridges over highways with less than 5.0m headroom at any point over the carriageway are referred to as 'low bridges'.
- C.2.2.22. Sections 1 and 2 of the Road Traffic Regulation Act 1984, as amended, are used by a Highway Authority to make a TRO (called a "Weight Restriction Order" although actually a TRO) prohibiting certain vehicles from using a bridge which has a load bearing capacity less than that required to safely carry all vehicles permitted under The Road Vehicles (Construction and Use) Regulations 1986 or The Road Vehicles (Authorised Weight) Regulations 1998. "Weak Bridge" warning signs should be erected in accordance with Traffic Signs Manual Chapter 4 using guidance in BD 21 and BA 16 to determine the appropriate weight restriction with appropriate advance signing.
- C.2.2.23. Load Mitigation Interim Measures should be imposed on weak structures in order to reduce the effects of the loading on the structure to an acceptable level, either by reducing the magnitude of the loading or by altering the response of the structure. These include weight restrictions, lane restrictions, propping, use of a temporary structure and closure.
- C.2.2.24. Bridges with the members supporting central reserves, outer verges and footways, which are not protected from vehicular traffic by an effective barrier, should be assessed for accidental wheel or vehicle loading in accordance with BD 21, and if necessary appropriate mitigating solution, e.g. 'effective barriers', should be implemented.
- C.2.2.25. Bridges can often create narrow pinch points along the highway network. These pinch points create hazards with an increased risk of collision. "Road Narrows" signs (Sign 516 and 517 from Traffic Signs Manual Chapter 4) should be used. At sites where the bridge parapets are subject to repetitive impact damage the use of speed control measures and bollards including additional hazard signage to highlight the presence of parapets/bollards (sign 528.1) should be considered as risk reduction measures. .

Culverts

- C.2.2.26. Culverts, if constructed as part of a highway scheme, are maintainable by the Highway Authority. In doing this the authority may have interfered with the natural capacity of the watercourse upstream, and might as a result have some responsibility if flooding occurs because the culvert is not large enough to take all the flow. Depending upon the size of storm causing the flooding, this may be an actionable nuisance, as in the case of *Bybrook Barn Centre v Kent CC*, and should be duly considered, where relevant. This is also relevant to bridges over watercourses. As this is a complex issue, it is suggested that a Highway Authority produce and maintain a guidance note to clarify how the matter of flooding should be considered. The Environment Agency or equivalent, Lead Local Flood Authority (LLFA) or Internal Drainage Board (IDB), where appropriate, should be consulted when producing the guidance note and when undertaking work on culverts/bridges that may interfere with the natural capacity of a watercourse.

Tunnels

- C.2.2.27. [The Road Tunnel Safety Regulations \(2007, amended 2009\)](#) apply to tunnels over 500 metres in length that form part of the trans-European road network.

Other Highway Structures

- C.2.2.28. Other structures, such as gantries and cantilever traffic signs, constructed as part of a highway, are also maintainable at public expense and are usually managed by the Bridge Manager of the authority.
- C.2.2.29. If a highway runs along a river or the seashore then an embankment, river wall, seawall and/or groynes may be necessary for protection. They will therefore need to be maintained by the Highway Authority as part of their duties to maintain under the Highways Act 1980, (see the case of *Sandgate UDC v Kent County Council 1898*). However, each case should be considered on its merits depending on the particular circumstances, as maintenance could be the responsibility of or shared with the District Council or Unitary Authority as Coast Protection Authority. More information on embankments can be found in Section B.4 of this Code.

Cellars and Vaults

- C.2.2.30. The majority of cellars and vaults associated with the highway are privately owned and their maintenance and management is largely outside the remit of the authority. Nevertheless, when a private cellar or vault collapses it is frequently the responsibility of the authority's Bridge Manager to oversee initial investigation and subsequent repairs. In order to minimise the risk to the public and the length of time taken to return the highway to public use, the Bridge Manager may wish to implement procedures or protocols to mitigate the risk of collapse and deal with subsequent investigation and repair. Guidance is provided in the following paragraphs on developing such a protocol.

C.2.2.31. Sections 179 and 180 of the Highways Act 1980 give procedures for the control of the construction of cellars and vaults under the street, of the provision of openings under the street, and of pavement lights and ventilators. The duty to maintain and repair a cellar or vault is on the owner or occupier, whereas the Highway Authority has a right of support of the highway and has powers to enter and maintain existing structures if the owner or occupier fails to act. The Act does not necessarily impose an obligation on the owner or occupier to carry out works that enhance or improve, e.g. strengthening to carry current accidental wheel loads or vehicle loading, if the carriageway needs to be extended over the cellar or vault. In Scotland, Section 66 of the Roads (Scotland) Act 1984 applies.

C.2.2.32. Authorities should implement a procedure for dealing with cellars and vaults that reflects the nature and number of cellars and vaults associated with their highway. The procedure should take into account current data and knowledge (e.g. number of recent failures), the resources needed to collect further data (e.g. a survey to identify all cellars and vaults) and the benefits provided by this data. The following approaches should be considered:

- ad hoc approach – after a collapse the authority liaises with the owner/occupier regarding the repair. There is no set protocol for dealing with collapse/repair but the principles outlined within Section 6 (Network Resilience) of Part A should be followed.
- re-active protocol – after a collapse the authority follows a set protocol.
 - The protocol may include:
 - secure the site, e.g. site safety, traffic management, initial inspection and structural analysis;
 - identification of relevant parties, e.g. owner, occupier, highway and other authorities;
 - investigation, e.g. nature of the cellar/vault, extent and cause of damage, scope and cost of works required and constraints; and
 - repairs, e.g. establish who will carry out the repairs, identify work required to meet current standards and agree how costs will be shared between the parties.
 - This approach may be suitable for authorities that have a large number of cellars and vaults associated with their highway, but have had few collapses in the past and the risk of collapses in the future is assessed to be small.
- Pro-active protocol – based on the re-active protocol but add to this a pro-active approach to collapse mitigation using risk assessment. The authority, in agreement with cellar/vault owners, develops a risk assessment procedure that identifies those cellars and vaults most at risk. These structures should be inspected/assessed by the authority or the owner's engineering representative (as agreed) and the need for repairs and strengthening identified. Identification, inspection and assessment of all cellars and vaults are likely to be difficult and expensive tasks. This approach should be justified on the basis of minimum whole life costs (to the owner and authority) and may be suitable for authorities that have a large number of cellars and vaults

associated with their highway and have had a significant number of collapses in the past.

Improvements and Reconstruction

- C.2.2.33. Sections 62 to 105 of the Highways Act 1980 give general powers to the authority to improve the highway be it widening, junction improvements or safety aspects. Improvements can include highway structures. Section 75(2) requires consent of the railway, canal, inland navigation, dock or harbour undertakers concerned, if affected.
- C.2.2.34. Sections 91 and 92 of the 1980 Act respectively state that an authority can construct a bridge to carry the highway and that a bridge can be reconstructed either at the site or within 200 yards (approximately 183m) of the existing one. Section 93 of the Act permits the authority to apply to the Minister of State for an order to provide for reconstruction, improvement or maintenance of privately maintained bridges if they are considered dangerous or unsuitable for the requirements of road traffic.
- C.2.2.35. The authority has the power under the 1980 Act, Section 110 to divert non-navigable watercourses if necessary or desirable as part of improvement or alterations.
- C.2.2.36. Construction of bridges over, and of tunnels under, navigable waterways, requires an order from the Minister under Section 106 of the Highways Act 1980. If the waterway is also tidal, consent is required under the Coast Protection Act 1949 as amended by Section 36 of the Merchant Shipping Act 1988. If material is to be deposited in the tidal waterway, consent is also required in accordance with the [Food and Environmental Protection Act 1985 Part II](#).
- C.2.2.37. Each of these processes involves a statutory consultation process which includes the Environment Agency, Marine Management Organisation, navigation authorities, Trinity House, etc as necessary. For works required on highway structures within areas covered by a “Harbour Order” permission is required from the Harbour Authority.

Structures Over or Adjacent to Watercourses or Flood Defences

- C.2.2.38. If highway structure works are required in, over, under or near a watercourse or flood defences (including sea defences), it is essential to contact the appropriate agency, for consent to work in watercourses. Consents can take a minimum of two months to obtain and should therefore be sought as early in the planning process as feasible. Consents to cover both temporary and permanent work are required.
- C.2.2.39. Consents are the means of meeting requirements that the works do not endanger life or property by increasing the risk of flooding or cause harm to the water environment. Consents are given by the Environment Agency under the Water Resources Act 1991 in England for main rivers and by the lead local floods authority under the Land Drainage Act 1991 for works on or near ‘Ordinary Watercourses’. In some areas there are Internal Drainage Boards who deal with these matters on behalf of the Environment Agency.

- C.2.2.40. Watercourses in Scotland are the responsibility of the Scottish Environment Protection Agency (SEPA), and local authorities. SEPA have produced a [Practical Guide to The Water Environment \(Controlled Activities\) \(Scotland\) Regulations 2011 \(as amended\)](#).

Party Wall Act

- C.2.2.41. The Party Wall Act 1996 requires the issue of statutory notices when work affects adjacent properties within 3 metres of any construction works or within 6 metres if affecting foundation support. The Act is only considered applicable if the land is owned by the authority rather than 'simply' highway land. However, the authority still has a duty to maintain support of the highway under Common Law. Condition surveys should be undertaken prior to any major works and in some instances the processes prescribed within the Party Wall Act may prove beneficial. The process may lead to an affected party appointing an Independent Party Wall Surveyor to act on their behalf and thus later disputes may be avoided. Further information may be obtained from the website of the [Pyramus and Thisbe Club](#), which is the organisation for professionals specialising in party wall matters.

National Variations

- C.2.2.42. The Roads (Scotland) Act 1984, similarly sets out the main duties for roads authorities in Scotland. Sections 1 to 4 set out the general powers and duties and state that a local roads authority shall manage and maintain all such roads entered on the list of public roads. Sections 75 to 82 deals with bridges, tunnels and diversion of watercourses in a similar manner to Sections 106 to 111 in the Highways Act 1980 for bridges in England and Wales. Part V covers roads and building control, in particular Section 66 covers maintenance of vaults and cellars and requires owners to maintain and repair such structures, and gives the authority powers to serve notice on the owner to undertake repairs.
- C.2.2.43. Section 90 of the Roads (Scotland) Act 1984 gives powers to the authority to consent to structures or apparatus constructed over the road. This is similar to Section 176 of the Highways Act 1980.
- C.2.2.44. The equivalent legislation in Northern Ireland is The Roads (Northern Ireland) Order 1993 where the duty to maintain is contained in Article 8.

C.2.3. ENVIRONMENTAL REQUIREMENTS

- C.2.3.1. Maintenance work and inspections on highway structures should be undertaken giving due consideration to the environment. Highway structures provide habitats for some species, such as reptiles, nesting birds, bats and plants especially lichens, mosses, and liverworts. They are often situated in and over key biodiversity corridors – i.e. rivers, streams and estuaries. Whilst they facilitate the passage of vehicles, cycles and pedestrians, over or under obstacles, bridges can also be a barrier to the migration of animals, which can result in conflict with traffic. Brief details of the requirements are given in Section 9 of Part A of this Code.
- C.2.3.2. On 1 April 2013 the Environment Agency Wales was merged with the Countryside Council for Wales and Forestry Commission Wales into a single environmental body, [Natural Resources Wales](#), which is the statutory drainage and flood defence authority for Wales.

- C.2.3.3. [Scottish Natural Heritage](#) and [Scottish Environment Protection Agency](#) are the statutory bodies in Scotland that have responsibility for the environment.
- C.2.3.4. Environment matters in Northern Ireland are dealt with by several departments: [Department for Communities \(DfC\)](#), [Department for Infrastructure \(DfI\)](#) and [Department of Agriculture, Environment and Rural Affairs \(DAERA\)](#).

C.2.4. SUSTAINABILITY REQUIREMENTS

Guiding Legislation

- C.2.4.1. [The Climate Change Act 2008](#) empowered the government to set national targets for the year 2050 for the reduction of greenhouse gas emissions and to encourage energy users to meet the objectives of the act, such as reducing such emissions or removing greenhouse gas from the atmosphere.

C.2.5. CONSERVATION REQUIREMENTS

- C.2.5.1. The Planning (Listed Building and Conservation Areas) Act 1990 requires each authority to compile a list of buildings of special interest, either historic or architectural. Listed building consent is required to demolish such a structure, or to alter or extend it in a manner affecting its architectural or historic interest. The Act also provides for the protection of conservation areas that have special historical interest. The status can influence the processes required for structure maintenance in such an area.
- C.2.5.2. There are different grades of listing, depending on the historical or architectural importance of the structure, ranging from Grade 2 through Grade 2* to Grade 1, with a further level of Scheduled Ancient Monument, which is covered by The Ancient Monuments and Archaeological Areas Act 1979. Secretary of State (Department of Culture, Media and Sport) approval of proposals for work on a Scheduled Ancient Monument is required before any works are carried out, except emergency works. The Ancient Monuments (Class Consents) Order 1994 gives consent in Class 5 for works which are urgently necessary in the interests of safety or health, provided that the works are limited to the minimum measures immediately necessary and notice in writing justifying in detail the need for the works is given to the Secretary of State as soon as reasonably practical. This would allow the replacement of the odd damaged stone or realignment of a displaced parapet, but not repair of more extensive damage. The Secretary of State relies heavily on the advice of Historic England and any proposals for work on such structures should involve early consultation with the local representative of Historic England. Proposals for works on structures recorded at the lower (listed) levels are usually approved by the planning department of the local authority. However, if the work will require complete or partial demolition, or if the work will alter or extend a Grade 1 or 2* structure in any manner which would change its character as a building of special architectural or historical interest, the planning department of the local authority has to consult English Heritage.
- C.2.5.3. There are currently 25 World Heritage sites within the UK designated by [UNESCO \(United Nations Educational, Scientific and Cultural Organization\)](#).

- C.2.5.4. Although these sites have no greater legislative protection, local planning authorities are encouraged to have management plans in place. Planning applications for works in these areas are likely to require greater consultation with Historic England and thus lengthier programmes should be accommodated. Details of the sites in England are provided on the Historic England website.

<https://historicengland.org.uk/>

- C.2.5.5. As the requirements for the conservation of historic structures are specified in a number of disparate documents and there was a need to bring them together in a bridge-orientated publication, Highways England sponsored the publication of Conservation of Bridges and issued [BD89 The Conservation of Highway Structures](#). Both these publications should be consulted before work is proposed on historic structures. The website [Maintain our Heritage](#), although primarily for historic buildings, has information on various aspects of maintaining these structures.

National Variations

- C.2.5.6. In Scotland, [Historic Environment Scotland](#) has been set up by the Scottish Executive to undertake a similar role to that of Historic England for ancient monuments. The same legislation is applicable for ancient monuments, except for listed buildings. They are covered by Planning (listed buildings and conservation areas) (Scotland) Act 1997.
- C.2.5.7. [Cadw](#), created in 1984, is the historic environment service within the Welsh Government and deals with the preservation of ancient monuments in Wales.
- C.2.5.8. The Department for Communities, [Historic Environment Division](#), established in May 2016 is the authority in NI for determining conservation matters.

SECTION C.3.

ASSET MANAGEMENT INFORMATION

– STRUCTURES

C.3.1. INTRODUCTION

- C.3.1.1. Asset data management is dealt with in the [UKRLG Highway Infrastructure Asset Management Guidance \(HIAMG\), Part B](#). This document should be referred to and the advice below considered supplementary.
- C.3.1.2. Asset management systems are dealt with in the [UKRLG Highway Infrastructure Asset Management Guidance \(HIAMG\), Part C](#). This document should be referred to and the advice below considered supplementary.

C.3.2. PRINCIPLES AND CONSIDERATIONS

- C.3.2.1. A structures asset management system should provide/support the following list of functions.
 - collection, storage and retrieval of inventory data and condition data;
 - works management and prioritisation;
 - asset valuation – both gross replacement and depreciated replacement cost to support Whole of Government Accounting requirements;
 - production and reporting of national and local performance data;
 - deterioration modelling and life cycle planning; and
 - management and storage, in electronic format, of drawings, photographs and reports.
- C.3.2.2. The UK Bridges Board has developed a methodology for Structures Asset Management Planning, referred to as the Structures Toolkit (SAMPt). New versions are published annually on the [CIPFA website](#), and are used to produce the required figures for the Whole of Government Accounts.
- C.3.2.3. Commercial software systems should implement the methodology of the valuation module in a consistent manner, in order that the valuation figures produced by any one system are comparable and auditable regardless of the system used.

C.3.3. MANAGEMENT OF ASSET INFORMATION

- C.3.3.1. Asset data should be held in a format that allows it to be easily entered, analysed and manipulated during the planning process, preferably in a computerised format. Data entry may be performed by administration staff or engineers. In the latter case data entry, especially for General Inspections, should be combined with the identification of needs in order to produce a more time and cost efficient approach. The highway structures stock should be divided into groups and sub-groups that have similar deterioration characteristics and maintenance.
- C.3.3.2. Consistency is vital to current and developing Bridge Management Techniques and to ensure that these are suitably supported, it is essential that element inventories are created and maintained in a consistent manner.
- C.3.3.3. The London Bridges Engineering Group (LoBEG) has published a [Good Practice Guide on Creating Consistent Element Inventories for Highway Structures](#). This describes the approach for creating consistent element inventories and provides guidance on the consistent evaluation of Bridge Condition Indicators.
- C.3.3.4. The extent of data held depends on the particular requirements of the authority but the following should be considered:
- **basic inventory data** – the basic information about each highway structure, including structure name/reference, structural type, location, route carried, obstacle crossed (where relevant) and key dimensions;
 - **legal data** – details of contracts, licences, legal agreements, letters, etc. that define who is responsible for management, e.g. authority, other owner, third party, maintaining agent;
 - **condition data** – an up-to-date General Inspection pro forma should be held for all structures as a minimum. Holding additional more historic condition data will assist in monitoring and developing trends;
 - **structural assessment and review data** – the assessment rating, date of latest structural review, details of a planned assessment, or details of why the structure is excluded from the review/assessment programme. See also Section C.5; and
 - **Health and Safety File** – an H&S file should be maintained for each highway structure as construction work is carried out.
- C.3.3.5. The data collected and managed by particular authorities may depend also on imposed requirements arising from government/corporate policy and targets (current and future, if known) relating to the environment and sustainability, resource accounting and budgeting, Best Value, asset valuation etc.

Inventory Data

- C.3.3.6. The inventory should hold the basic data and information on the stock of highway structures in terms of descriptive parameters such as structural type, form, construction material and geometry (dimensions, span, width, skew etc). Attributes held in the inventory should enable management to operate at a number of levels, e.g. stock, groups or individual structures.
- C.3.3.7. Suggested fields for a highway structures inventory are listed below:
- structure type, e.g. bridge, culvert, retaining wall;
 - owner and, where appropriate, management, maintenance and inspection responsibilities;
 - structure identifier – reference, name, key number, etc;
 - route carried, e.g. Principal A road, B road, footway;
 - structure location, e.g. map reference (easting and northing), GPS, section of road, local position reference;
 - year of construction/reconstruction, designer and design code;
 - location of drawings, photographs, design details, etc;
 - headroom envelopes, minimum headroom, navigation clearance;
 - historic listing or scheduled ancient monument;
 - special access requirements, including details of confined space working, permit to entry or work, maintenance access needs etc;
 - details, including date, of major upgrades and/or modifications, e.g. widening or strengthening;
 - presence of utility services (stats) – a field indicating ‘yes’ or ‘no’ may be sufficient rather than specific details. This is for information only and a live search should be carried out to confirm stats prior to any works;
 - external considerations and/or constraints, e.g. social, geographical, environmental, conservation, etc;
 - structure arrangement, e.g. number and location of widenings, number of spans/panels, skew;
 - structural form, e.g. arch, beam and slab;
 - general material of construction, e.g. masonry, steel, concrete;
 - obstacle crossed, e.g. road, watercourse, railway;
 - dimensions, e.g. length, width, height;

- list of components, e.g. primary deck element, joints, bearings. The inspection pro forma developed by CSS (now ADEPT) provides an appropriate list;
- materials of construction;
- year of construction/installation;
- manufacturer and unit specifications, e.g. for parapets, bearings and joints;
- presence of asbestos; and
- capacity rating/abnormal load rating.

Inspection, Condition and Performance Data

- C.3.3.8. General and Principal Inspections provide the majority of condition data. These are supplemented by Special Inspections, testing and monitoring, as appropriate, where the data sought is often focussed on a particular part of the structure or aspect of performance. Such data is often obtained on a “one-off” basis and may include measurements which cannot be conveniently entered into a paper based or electronic system. The database should indicate the location of the full report in such instances.
- C.3.3.9. Condition data from previous inspections should be retained as the evolution of this data over time gives a clear indication of the rate of deterioration and residual service life. This data can be used to estimate deterioration rates for different element and structure types which may be used to develop lifecycle plans.

C.3.4. PERFORMANCE MEASUREMENT FOR HIGHWAY STRUCTURES

- C.3.4.1. Setting targets and measuring performance are dealt with in the [UKRLG Highway Infrastructure Asset Management Guidance \(HIAMG\), Part B](#). This document should be referred to and the advice below considered supplementary.
- C.3.4.2. The following should be considered when identifying performance measures for use in asset management planning:
- performance measures for highway structures that are already in use, e.g. Condition PI;
 - performance measures that have been developed, or are under development, for highway structures, e.g. Availability and Reliability PI, see below; and
 - additional performance measures that may be needed to reflect the levels of service for the overall network and for measuring the effectiveness and efficiency of the planning and delivery processes.
- C.3.4.3. The Government paper on [Choosing the Right Fabric: A Framework for Performance Measurement](#) provides useful further guidance for the identification, development and use of performance measures.
- C.3.4.4. [Performance Measures for Highway Structures: Part A](#) provides guidance on performance reporting.

SECTION C.4.

ASSET CONDITION AND INVESTIGATORY LEVELS – STRUCTURES

C.4.1. INTRODUCTION

- C.4.1.1. All maintenance work should preferably be designed to current standards, although there may be situations where lesser standards are acceptable, e.g. repair of part of an element, repair of accident damage. Each case should be considered on its merits. Where lesser standards are accepted, the designer should check that the load carrying capacity of the structure at both serviceability and ultimate limit states and the durability of the repaired area are not less than that of the rest of the structure. Lesser standards may be unavoidable, e.g. maintenance of a listed bridge or scheduled monument. In this situation it is recommended that a safety audit or risk assessment is carried out. This documentation should be kept with the structure file for the structure in question. Where unacceptable risks or hazards are identified, the Bridge Manager should look for alternative mitigation measures. It is important that the implications for future maintenance are a prime consideration in the design and implementation of all maintenance schemes.
- C.4.1.2. [The Design Manual for Roads and Bridges \(DMRB\) and the Manual of Contract Documents for Highway Works \(MCHW\)](#) are maintained by Highways England on behalf of all Overseeing Organisations (the national highway / roads authorities in England, Scotland, Wales and Northern Ireland).
- C.4.1.3. The DMRB provides detailed guidance in the form of standards (BDs) and advice notes (BAs) for most aspects of highway structure design and assessment. The guidance includes criteria for structural loading, analysis, material properties, element design or assessment, in addition to geometrical requirements and best practice for design for durability. The MCHW provides model contract documents, specifications, notes for guidance and standard details. Care is required to remain fully aware of changes and additions to the DMRB and the MCHW.
- C.4.1.4. The Overseeing Organisations also issue Interim Advice Notes (IAN), as interim guidance until full standards are available. Interim Advice Notes are available on the relevant national authority website. DfT publishes a [Network Maintenance Manual \(NMM\) and Routine and Winter Service Code \(RWSC\)](#) for the strategic road network in England.

Technical Approval

- C.4.1.5. All structural design and assessment should be subject to a formal Technical Approval procedure such as those used by the Overseeing Organisations [[BD 2](#); [Technical Approval of Highway Structure](#)] or Network Rail [[GC/RT5101](#) [Technical Approval Requirements for Changes to the Infrastructure](#)]. Authorities should have such a procedure in place and have formally appointed an appropriate organisation or individual to act as Technical Approval Authority (TAA).
- C.4.1.6. Both Highways England and Network Rail have a range of documents applicable to maintenance and that refer to the relevant British Standards and Eurocodes. Departures from these standards should be carefully recorded to enable an audit trail for certification.

National Variations

- C.4.1.7. The DMRB is used by authorities in Scotland with some specific variations appropriate for use in Scotland. Transport Scotland issues interim amendments (TSIA) as necessary.
- C.4.1.8. Similarly, the DMRB is implemented by the Welsh Government with some specific variations appropriate for use in Wales.
- C.4.1.9. The DMRB is used in Northern Ireland by Transport NI (TNI), an Executive Agency within the Department for Infrastructure (DfI), with some specific variations appropriate for use in Northern Ireland. TNI issues interim amendments as DEMs (Director of Engineering Memoranda) as necessary and Northern Ireland specific policy as RSPPGs (Roads Service Policy & Procedure Guide).

Implementation of the Eurocodes

- C.4.1.10. The [Eurocodes](#) are a series of European Standards developed by the [European Committee for Standardisation](#), to provide a common approach for the design of buildings and other civil engineering works and construction products. The Eurocodes are not to be used for assessment.
- C.4.1.11. Ten Eurocodes have been developed and published. They are organised in 58 parts and each part is supplemented by a National Annex.
- EN 1990 Eurocode: Basis of structural design;
 - EN 1991 Eurocode 1: Actions on structures;
 - EN 1992 Eurocode 2: Design of concrete structures;
 - EN 1993 Eurocode 3: Design of steel structures;
 - EN 1994 Eurocode 4: Design of composite structures;
 - EN 1995 Eurocode 5: Design of timber structures;
 - EN 1996 Eurocode 6: Design of masonry structures;
 - EN 1997 Eurocode 7: Geotechnical design;

- EN 1998 Eurocode 8: Design for earthquake resistance; and
 - EN 1999 Eurocode 9: Design of aluminium structures.
- C.4.1.12. On 31 March 2010, all British Standards that conflicted with the Eurocodes were withdrawn. The [Eurocodes](#) have therefore replaced national codes that were previously published by national standard bodies and have become mandatory for European publicly funded works. As with other European standards, the Eurocodes will be used in public procurement.
- C.4.1.13. The Association of Directors of Environment, Economy, Planning and Transport (ADEPT) published the [Guidance Document on the Implementation of Structural Eurocodes](#) in December 2010. This guidance was produced to encourage a common understanding of the changes to policies and procedures that are necessary to implement the Eurocodes within Local Highway Authorities. The document sets out recommended approaches and provides assistance to successfully manage the transition to fully adopting Eurocodes for structural design. It also describes the potential impacts of Eurocode implementation on Local Authority organisations, processes and staff training needs.

Predict Future Demand

- C.4.1.14. Changes in demand in the future may alter how a structure should be managed, e.g. if a planned route widening will necessitate a bridge replacement in 10 years' time then the maintenance strategy for the existing bridge should reflect this. The most cost effective solution for the bridge may be to adopt a managed deterioration approach that provides the minimum required performance for the next 10 years but does not necessarily keep the bridge in a visibly good condition.
- C.4.1.15. The prediction of future demand on highway structures should align with the network demands and are likely to include changes in vehicle weight, height and width, and traffic volume. Future demands should be predicted using available data, historical trends, and local factors. The following should be considered when developing rules for predicting future demand on highway structures:
- **vehicle weight** – current highway bridge design and assessment standards [BS EN 1991-2, BD21] use a conservative loading model that may be able to cater for some future increases in Gross Vehicle Weights (GVW). However, increases in GVW may require associated changes to the Authorised Weight (AW) regulations, i.e. limits on axle weights, numbers and spacing. If the AW regulations change, the effect on bridges would be examined nationally and appropriate guidance provided by the DfT to Highway Authorities;
 - **height and width** – it is unlikely that any change in specified vehicle dimension would force a national programme of bridge 'raising', road 'lowering' or road widening. It should be sufficient to assess the vertical and horizontal clearance requirements on specific structures or structures on a route, e.g. routes/structures that currently have height/width restrictions, routes that may be reclassified as a high load route. Height is not controlled by UK legislation, unlike width, length and weight; and
 - **traffic volume** – increases in traffic volume may require highway structures to be widened or replaced as part of a larger highway widening/upgrade scheme. Also, increases in HGV movements (for example, due to a quarry or

distribution centre opening) may have a significant impact on future management and maintenance. The Bridge Manager should seek to obtain advance warning of such schemes and use this in asset management planning.

C.4.2. RISK MANAGEMENT PRINCIPLES FOR HIGHWAY STRUCTURES

- C.4.2.1. The principles of a risk based approach for highway infrastructure are dealt with in Section A.6 of this Code, and risk management is dealt with in the [UKRLG Highway Infrastructure Asset Management Guidance \(HIAMG\), Part C](#). This section contains information on risk specifically related to highway structures.
- C.4.2.2. Risk management principles can be used by practitioners to help the decision making process for the management of highways structures. With limited budgets bridge owners can use principles of risk management to identify and prioritise the allocation of resources in the most appropriate location.
- C.4.2.3. An integrated management approach is required. The assessment of a structure's performance (or lack of) needs to be assessed with a strong reference to the criticality of the structure's location on a network.
- C.4.2.4. A small structure/culvert on a critical network link may warrant more attention than a much larger structure on a remote unclassified road. Alternatively, a small structure on an unclassified road (with no local diversion routes possible) that provides the only local link between adjacent villages could be assessed as being more important than a much larger structure on a more significant road (where simple diversions are possible). Hence bridge owners should consider the hierarchy of their structures relative to the hierarchy of the road network, coupled with local factors and constraints to ensure that by applying an integrated asset approach, more efficient management strategies with a reduced impact for users can be realised.
- C.4.2.5. Undertaking risk assessment and developing management strategies from these assessments, should allow for funding to be prioritised in areas where the need is greatest. This can support practitioners in managing the deterioration of their bridge stock in a more proactive integrated manner. It should be noted that the risk assessment approach should be undertaken with caution. This process should not be used to justify a 'Do Nothing' approach, unless it can be shown that 'Do Nothing' is not adversely affecting the condition of the structure. Care should also be given to ensure that bridge owners do not place themselves at an excessive/unacceptable level of risk. Authorities should develop risk based policies to manage and coordinate decision making from risk management/assessment.

C.4.3. RESILIENCE REQUIREMENTS

- C.4.3.1. The principles of resilience for highway infrastructure are dealt with in Part A of this Code. This section contains information on resilience requirements specifically related to highway structures.

- C.4.3.2. Structural failures can result in network disruption with significant repair costs, damage to third party property, and more importantly the potential loss of human life. Bridges and other highway structures rarely experience complete collapse during non-extreme events, however when such collapses do occur, the results can be catastrophic. The review of past bridge failures allows bridge designers to apply lessons learned to new design projects and to the preservation of existing structures which will help prevent future failures.
- C.4.3.3. Failure is defined as the inability of a structure, or one of its primary load-carrying components, to perform its intended function of being safe for use and fit for purpose. Failures can be caused by one, or a combination of the following (not exhaustive):
- errors in design, detailing and construction;
 - effects of unanticipated stress concentrations;
 - inadequate maintenance;
 - use of improper materials or foundation types;
 - unplanned extreme event;
 - unknown deterioration and defects;
 - hidden deterioration and defects;
 - lack of appreciation of the significance of observed defects or of appropriate action;
 - lack of inspection and monitoring;
 - lack of funding for essential maintenance;
 - pressure to keep structures in service; and
 - effects of unanticipated or unforeseen change of use.
- C.4.3.4. It has been shown through various studies that a bridge collapse is most likely to be caused by an extreme event, with the most prevalent type being flooding and scour. Recent extreme weather events have demonstrated this and in 2009 a large number of bridge failures were observed in Cumbria as a result of scour damage from flood events. The extreme flooding observed in 2009 resulted in significant infrastructure damage with an estimated value in excess of £250m. The estimated cost of the damage to the county's roads and bridges alone was circa £34m.
- C.4.3.5. The frequency of occurrence of these events has been increasing. This rise in occurrences is considered to be due to the effects of climate change. Hence further events are possible which need to be planned for by the asset owners during the development of management strategies for the relevant assets. An assessment of high risk structures should be undertaken to understand the adequacy of such structures highlighting any potential for accelerated deterioration as a result of extreme events.

- C.4.3.6. A risk assessed process should be followed to identify critical assets that have the potential to be affected by extreme events and the like, as described in Section A.6 of this Code. Subsequent actions could be monitoring post event and/or remediation work.
- C.4.3.7. Extreme events should not solely be thought of as 'Flood' and 'Scour' events. Fire, vandalism and terrorism may also be significant factors that need to be considered in developing management strategies. Hence any resilience review on existing highway structures should consider all local factors in developing any management strategies. For new structures, building redundancy into the design should be considered; however, the economical balance of resilience v sustainability/lean construction needs to be understood in terms of whole life performance and best value. This assists with unforeseeable future change in use.

Bridge Inspection and Maintenance

- C.4.3.8. Regularly scheduled inspections enable bridge owners to record the general conditions of the bridge to help detect any potential problems that could lead to a failure. Regular inspections give the asset owner a data set to base their decision on. Consequently the inspection process is invaluable and the quality of this information will impact the effectiveness of any agreed maintenance strategies.
- C.4.3.9. When developing maintenance strategies for bridges and highway structures a good maintenance programme will help to reduce the potential for deterioration that leads to a bridge failure. If bridge inspections are not routinely performed, deteriorated areas in need of repair will increase, resulting in the increased potential for a bridge failure. Thus, the use of increased inspection intervals should be undertaken with care and due consideration given to the resilience of the structure and the potential for bridge failure as indicated above.

C.4.4. INTERACTION WITH OTHER OWNERS AND THIRD PARTIES

- C.4.4.1. The Bridge Manager must be prepared to work with other owners and third parties in order to maintain the safe operation of the public highway and to carry out maintenance work.

Access

- C.4.4.2. Maintenance work, including inspections, frequently requires access onto land in other ownership, either at the structure or gaining entry to it. The Highway Authority or other owner does not necessarily own the land adjacent to a structure or under a bridge or have a right to access covered by a legal agreement. Records should be consulted and any landowners contacted to agree arrangements. If agreement cannot be reached it may be necessary for the Highway Authority to use the powers in the Highways Act 1980 (Sections 289 to 292) or equivalent legislation in Scotland and Northern Ireland.
- C.4.4.3. Access to the structure should be arranged so as to minimise damage to the environment. On agricultural land, for example, the timing of the inspection can be significant due to possible damage to growing crops or interference with other farming activities. There may also be a need for special precautions to avoid the spread of animal or plant diseases. Vehicles and equipment can cause rutting or ground compaction as well as direct damage to the vegetation.

Border Agreements

- C.4.4.4. Section 3 of the Highways Act 1980 states that when a bridge straddles a boundary between authority areas an agreement has to be entered into between the two authorities whereby one of the authorities becomes the Highway Authority for the whole bridge and its approaches. Normally all the structures crossing a particular boundary are considered and a fair distribution of individual structures is agreed between the authorities.
- C.4.4.5. These agreements should be adequately documented and recorded to enable effective future management and adjustments that may be required to accommodate changes to authority boundaries and any further local government reorganisation.
- C.4.4.6. Maintenance on structures that straddle authority boundaries necessitates an especially high level of consultation, communication and joint planning of operations between the authorities. Work on strategic routes can also have a significant impact on the whole highway network of adjoining authorities and significant costs may result. Particular attention should be given to emergency planning for these types of structure as any major incident can have a significant effect on both authorities.

Structures Owned by Other Bodies

- C.4.4.7. Highways are frequently supported by or go under structures owned by parties other than the Highway Authority for that highway. Typically, local highways go under and over trunk roads, trunk motorways, live and disused railways, canals, and private accesses. The bridges may be owned by Highways England, Scottish Ministers, Welsh Ministers, Network Rail, London Underground Limited, Canal & River Trust, Scottish Canals, Environment Agency, Internal Drainage Boards, other public authorities or private owners.
- C.4.4.8. A clear definition of responsibilities in respect of the structure and related elements should be prepared for all such situations. Responsibilities are based generally on the reasons the bridge was built and on the need to ensure the integrity of safety and protection systems.
- C.4.4.9. There is also a residual responsibility on the authority, in respect of the public using its roads, relating to bridges owned by other bodies. The authority has a responsibility to seek to ensure that other owners are exercising adequate stewardship over their structures. The Highways Act 1980 Section 56 allows proceedings for an order to enforce repair. Whilst it is reasonable to assume that major infrastructure owners such as Network Rail, Highways England and the Canal & River Trust will be competent in this regard, this level of confidence cannot be taken for granted elsewhere.
- C.4.4.10. Section 130 of the Highways Act 1980 allows proceedings for the protection of public rights and can be used by authorities to enforce another owner to undertake maintenance. This was used in the particular case Railtrack Plc v London Borough of Wandsworth EWCA, where droppings from pigeons roosting in an overbridge were causing a public nuisance.

Structures Over or Adjacent to Operational Rail Lines

- C.4.4.11. When required to undertake inspections or maintenance work on structures over or adjacent to operational railways, the Bridge Manager of the authority is required to adhere to Network Rail procedures for outside parties. Early notice is necessary to enable the Outside Parties Manager of Network Rail to book track possessions and attendance to facilitate safe access to undertake the work. Similar procedures are required for operational underground and metro systems. Heritage railways often follow similar systems to their previous operators.

Structures Over or Adjacent to Canals or Navigable Waterways

- C.4.4.12. Inspections or maintenance work on structures over or adjacent to canals or navigable waterways should be carried out in such a way as to ensure the safety of waterway users and the integrity of the waterway. The Canal & River Trust, Scottish Canals or the relevant navigation authority may require the Bridge Manager of the Highway Authority to adhere to their procedures. These procedures may be covered in the agreement for the construction of the structure, but in the absence of an agreement or if the agreement is silent, Highway Authorities can use their powers under Sections 289 and 291 of the Highways Act 1980 to gain entry with compensation being determined in accordance with Section 292. As the work being undertaken is primarily for the benefit of highway users and not canal users, Section 118 of the Transport Act 1968 does not apply. Documents, such as the [Canal & River Trust Code of Practice](#) and [Scottish Canals Code of Practice](#) are not mandatory, although certain sections need to be adhered to in order to ensure the safety of canal users.
- C.4.4.13. Early consultation is necessary to enable the bodies concerned to programme the work so as to minimise the effect on users of the waterway. The Canal & River Trust require all work which may cause a restriction or closure of the waterway, to be agreed before the 31 March of the current financial year for work to take place in the following financial year.

Developer Promoted Structures

- C.4.4.14. All proposals for new structures within or over an existing or proposed highway or works which affect existing highway structures should be subject to a formal Technical Approval (TA) process.
- C.4.4.15. Highway managers and District Planning Authorities should inform developers at the outset of development proposals that they must obtain TA for their designs and inform Highway Authorities of the proposals immediately when they become known. This action will encourage liaison between the developer and the TAA at the beginning of the process and avoid potentially abortive work by the developer.
- C.4.4.16. Structures being built as part of any development, irrespective of whether or not they will be maintainable by the Highway Authority, are included in the TA process if they:
- are adjacent to the highway and interfere with the support of the highway or access to it for inspection and maintenance;
 - form part of any road that is to be adopted into the highway under a Section 38, Highways Act 1980, agreement; and

- form part of any road that is being built under a Section 278, Highways Act 1980, agreement.
- C.4.4.17. Transport NI has published guidance for [Technical Approval of Highway Structures: Information for Developers and their Designers](#).
- Utility Companies and NRSWA**
- C.4.4.18. Utility companies operate under statutory powers provided and obligations imposed by enabling legislation which is specific to each industry. They are empowered by statute to undertake street works.
- C.4.4.19. The New Roads and Street Works Act 1991 (NRSWA) as amended by the TMA controls and co-ordinates work carried out in the street by utility companies (undertakers). The Act also requires the Highway Authority to take due regard of undertaker's apparatus when planning and carrying out highway and bridge works. It is essential that, before any work in the ground occurs, all statutory undertakers are consulted regarding the presence of apparatus and appropriate notice given. Reliance should not be placed on information on a highway structures' database regarding apparatus as it could be out of date.
- C.4.4.20. Detailed interpretation of and guidance on the use of the Act has been published in the DfT New Roads and Street Works Act 1991 and Traffic Management Act 2004; Code of Practice on Co-ordination; Volume 2: Operations and Guidance; Section 5: Street Works near Highway Structures.
- C.4.4.21. The [Highway Authorities and Utilities Committee](#) (HAUC(UK)), a national group representing local authority associations and the [National Joint Utilities Group](#), have produced a number of codes of practice dealing with the Act. Measures necessary where apparatus is affected by major works (Diversionary works), sets out the procedures involved from the early stages of a highway or bridge scheme including requirements for budget estimates, to the construction stage and early payments.
- C.4.4.22. The [JAG\(UK\) website](#) also contains a range of guidance, information and assistance.
- C.4.4.23. Section 50 of the Act contains provisions for issuing licences for apparatus to be installed in the highway by persons other than statutory undertakers, e.g. a private sewer. Advance notice to the undertakers is required to be given by the street authority when such a licence is to be issued and details of the installation are to be recorded by the street authority.
- Obligations of Undertakers***
- C.4.4.24. Before carrying out any work, undertakers are required to give notice to the authority (not always the Highway Authority). Designated notice periods are given in the Act or associated Code of Practice. These notification periods are intended to give the street authority an opportunity to consider and comment on the implication of works proposals for the highway infrastructure.
- C.4.4.25. Section 88 of the Act imposes an additional obligation on an undertaker proposing works affecting the structure of a bridge. The undertaker is required to consult the bridge authority before giving the usual notice. The undertaker is required to comply with reasonable requirements for safeguarding the structure.

- C.4.4.26. Section 63 of the Act permits a street authority to designate certain streets as “streets with special engineering difficulties”. Under this section, an undertaker must submit plans and sections for approval by the authority before street works can be undertaken. This is the only time that drawing details are required. The authority has the power to require modifications if considered necessary.
- C.4.4.27. Section 63 of the Act suggests that the designation of streets with special engineering difficulties may be appropriate at bridges where strength, stability, waterproofing and access for maintenance may be affected. The designation need only apply to the structure and the street directly adjacent and includes areas adjacent to retaining walls where stability may be an issue. Designating all structures under this section is recommended because it gives the greatest control over statutory undertakers working in the proximity of a highway structure, although some sub-sections of Section 88 would not apply in this case.

Obligations of the Street Authority and the Structure Owner

- C.4.4.28. The authority is required to keep a street works register under Section 53 of the Act and to include the streets with special engineering difficulties. All structures that are likely to be sensitive to undertaker’s work should be recorded in the register. The resulting register provides the Bridge Manager with the earliest opportunity to advise undertakers on works likely to affect highway structures.
- C.4.4.29. The Act defines the requirements when undertaking major highway and bridge works. The authority is required to serve notice of the proposed works under Section 58.
- C.4.4.30. Where apparatus is to be diverted for major bridge works (i.e. replacement, reconstruction or substantial alteration of a bridge), the cost of any alterations to the apparatus will be shared providing advanced notice has been served under Section 85 of the Act and the authority pays in advance to the undertaker 75% of the estimated charge to the authority. The Act and codes of practice make provision for the authority’s costs to be reduced to allow for betterment. Also, where the length of apparatus diverted exceeds 100 metres and that apparatus is more than 7 years old a cost adjustment should be made for financial benefit conferred on undertakers by reason of the deferment of the time for renewal of the apparatus. Guidance on the calculation of these sums is also provided in the Act. No costs of diversionary works to apparatus should be borne by the authority when apparatus is placed in the bridge after advance notice has been given. Advance notice may be served up to 10 years in advance of works for the replacement of a bridge and 5 years in advance for all other works. In view of the cost of diverting apparatus, it is recommended that this procedure is followed.
- C.4.4.31. In all cases, there is no obligation on the part of the authority to provide space for additional apparatus in the future. Such an approach may be prudent when reconstructing a structure or carrying out major works in order to minimise problems in the future with inappropriately placed apparatus. Any costs incurred in making provision for additional apparatus requested by undertakers may be charged to them although it is advisable not to allocate spare ducts to undertakers until they need to lay apparatus across the structure.

Regional Variations

- C.4.4.32. The NRSWA 1991 provides for road works in Scotland in Sections 107-165. England and Wales are covered in the earlier sections of the Act and refer to the relevant sections of the Highways Act 1980.
- C.4.4.33. In Northern Ireland the equivalent legislation is contained in The Street Works (Northern Ireland) Order 1995].

SECTION C.5.

INSPECTION, ASSESSMENT AND RECORDING – STRUCTURES

C.5.1. INTRODUCTION

- C.5.1.1. The general principles to be applied to inspections, assessment and recording are outlined in Section A.5 of this Code. This section covers guidance for each category of inspection relating to structures.
- C.5.1.2. Inspection, testing and monitoring should be used to:
- provide data on the current condition, performance and environment of a structure, e.g. severity and extent of defects, material strength and loading. The data enables the Bridge Manager to assess if a highway structure is currently safe for use and fit for purpose, and provides sufficient data for actions to be planned where structures do not meet these requirements;
 - inform analyses, assessments and processes, e.g. change in condition, cause of deterioration, rate of deterioration, maintenance requirements, effectiveness of maintenance and structural capacity. The outputs inform asset management planning and enable cost effective plans, which deliver the agreed levels of service, to be developed; and
 - compile, verify and maintain inventory data, e.g. structure type, dimensions and location, for all the highway structures the authority is responsible for.
- C.5.1.3. The above points illustrate that the data provided by inspection, testing and monitoring is fundamental to highway structures management and hence to Good Management Practice. It is essential that authorities recognise the importance of inspection, testing and monitoring and seek to plan, perform, resource, and use them accordingly.
- C.5.1.4. The extent of inspection, testing and monitoring of structures should be determined using a risk based approach, as defined in Section A.5 of this Code. This should consider the position of the structure on the highway network hierarchy and hence, its importance to the overall transport infrastructure, and also the characteristics of the structure itself in terms of its type, material, condition, vulnerability to closure or restriction due to component failure, flooding, impact etc.
- C.5.1.5. Reducing the level of inspection, or increasing the interval between inspections increases the level of risk to the manager/owner of the asset. This should only be carried out using good practice and asset management techniques, such as deterioration modelling. Asset owners should not be put under unacceptable pressure to reduce inspection periods for any reason that may put public safety at risk.

C.5.1.6. [The Inspection Manual for Highway Structures](#) (Volumes 1 and 2) was commissioned by Highways England and published in May 2007. A Technical Project Board, representing UK highway bridge owners, oversaw the development; the manual is supported, endorsed and recommended by the UK Bridges Board.

C.5.1.7. The manual contains detailed guidance which covers the following areas:

- The inspection process;
 - scheduling inspections;
 - planning and preparing for inspections;
 - performing inspections;
 - recording inspection findings; and
 - input to maintenance planning process.
- Defects, descriptions and causes;
 - Principal causes of defects;
 - Concrete defects;
 - Steel defects;
 - Masonry defects; and
 - Defects in miscellaneous materials.
- Investigation and testing;
 - The testing process;
 - Summary of testing techniques;
 - General testing techniques;
 - Tests on concrete;
 - Tests on metal;
 - Tests on masonry;
 - Tests on timber; and
 - Tests on advanced composites.

C.5.2. INSPECTION REGIME

- C.5.2.1. An inspection, testing and monitoring regime should minimise risks to public safety, provide sufficient data for management and make effective use of resources. The mix of techniques used in the regime, and frequencies at which they are applied, should be determined by considering appropriate criteria in an objective manner, e.g. through a formal risk assessment. The criteria should include, but not be restricted to, public safety, the characteristics of the assets, the consequence of failure, the environment the assets operate in, the services provided, typical rates of deterioration and susceptibility to damage.
- C.5.2.2. The inspection, testing and monitoring techniques should be sufficient to:
- identify condition, defects and signs of deterioration that are significant to highway structure safety and management;
 - identify any significant changes in condition, loading or environment that have occurred since the last observation;
 - assess or provide information for the assessment of stability and serviceability;
 - determine or assist the determination of the cause, extent and rate of deterioration; and
 - provide information that can be used to support highway structures management, i.e. the identification of needs and associated maintenance works.
- C.5.2.3. The inspection regime should enable any defects which may cause an unacceptable safety or serviceability risk or a serious maintenance requirement to be detected in good time in order to safeguard the public and the structure and implement remedial actions. The regime should consist of a combination of Acceptance, Routine Surveillance, General and Principal Inspections of the whole structure and more detailed Safety and Special Inspections (including Inspections for Assessment), as necessary, concentrating on known or suspected areas of deterioration or inadequacy. Guidance on inspections for highway structures is included in [BD 63 Inspection of Highway Structures](#).
- C.5.2.4. All inspections should result in a report, in a format commensurate with the inspection type, which gives a clear and accurate description of the structure's condition.
- C.5.2.5. A procedure should be implemented whereby the inspector has a clearly defined duty to inform the Bridge Manager, at the earliest possible opportunity, of any defects that may represent an immediate risk to public safety.

Routine Surveillance

- C.5.2.6. All structures should be subjected to Routine Surveillance as part of regular Highway Safety Inspections carried out by highway maintenance staff. Routine Surveillance is normally undertaken from a slow moving vehicle. Inspectors should immediately report to the Bridge Manager any obvious defects that are apparent from the vehicle which need urgent attention, such as damage to the superstructure and bridge supports of overbridges, damage to parapets, flood damage, insecure expansion joint plates, etc. The Bridge Manager should be satisfied that the frequency of Highway Safety Inspections is suitable for the Routine Surveillance of highway structures and, if unsuitable, decide how to deal with the need for additional surveillance.
- C.5.2.7. All highway structure management and maintenance staff should be encouraged to be vigilant at all times when moving around the network and to report anything that might need urgent attention. The general public should also be informed of the need to report any highway structure defects they feel may pose a risk to public safety. This is normally best achieved by providing appropriate contact details (e-mail and/or telephone) on the authority's website.
- C.5.2.8. The Bridge Manager should make formal contact with the highway maintenance staff and, if necessary, explain the important features to observe or defects to report on highway structures during Routine Surveillance and the information that should be recorded if a defect is observed, e.g. structure location and defect description. The Bridge Manager's contact details, or the contact details of an appropriate member of their team, should be provided to the highway maintenance staff.

General Inspection

- C.5.2.9. General Inspections comprise a visual inspection of all parts of the structure (that can be inspected without the need for special access or traffic management arrangements) and, where relevant to the behaviour or stability of the structure will include an inspection of the adjacent earthworks or waterways. Riverbanks, for example, in the vicinity of a bridge should be examined for evidence of scour or flooding or for conditions, such as the deposition of debris or blockages to the waterway, which could lead to scour of bridge supports or flooding. Guidance on General Inspections for highway structures is included in [CSS Bridge Condition Indicators Volume 2: Guidance Note on Bridge Inspection Reporting](#) and Addendum to CSS Bridge Condition Indicator Volume 2.

Principal Inspection

- C.5.2.10. Principal Inspections comprise a close examination, within touching distance, of all accessible parts of a structure, including, where relevant, underwater parts and adjacent earthworks and waterways, utilising suitable access and/or traffic management works as necessary. Closed circuit television, high resolution digital photography/video or drones may be used for areas of difficult or dangerous access, e.g. obscured parts of a structure, confined spaces and underwater inspections.
- C.5.2.11. A Principal Inspection may include a modest programme of tests, when considered necessary, e.g. hammer tapping to detect loose concrete cover or half-cell and chloride measurements to enable risk of reinforcement corrosion to be assessed, tests for cement content and measurements of concrete cover and electrical resistivity of concrete (see Section 7.3 of [BA 35](#)).

C.5.2.12. A Principal Inspection should be of sufficient scope and quality to determine:

- the condition of all parts of the structure;
- the extent of any significant change or deterioration since the last Principal Inspection; and
- any information relevant to the stability of the structure and/or continued use in service and safety.

C.5.2.13. A Principal Inspection should establish:

- the scope and urgency of any remedial or other actions required before the next inspection;
- the need for a Special Inspection and/or additional investigations; and
- the accuracy of the main information on the structure held in the inventory.

Special Inspection

C.5.2.14. There are occasions when a more specific inspection, concentrating on the condition of particular parts of the structure, is required. This is known as a Special Inspection. The need for a Special Inspection normally arises due to specific circumstances or following certain events, for example:

- when a particular problem is detected during an earlier inspection of the structure or of similar structures;
- on particular structural forms or types, e.g. cast iron structures, post tensioned structures, structures strengthened with bonded plates;
- on structures that have loading or other forms of restrictions on use, e.g., restriction of traffic on bridges;
- when the necessary frequency or access arrangements for a particular part of the structure are beyond those available for General or Principal Inspections;
- on bridges that have to carry an abnormally heavy load - inspections may be done before, during and after the passage of the load;
- following a bridge strike;
- following a flood or high river flow to check for scour or other damage;
- to check specific concerns, possibly based on new information, e.g. concerns over the quality of previously used batches of rebar or concrete; and
- where a post tensioned bridge has a regime of Special Inspections implemented as a result of an earlier investigation or a Special Inspection is required in accordance with BA 50 Management of Post-Tension Concrete Bridges, organisation and methods for carrying out Special Inspections.

C.5.2.15. A policy should be developed clarifying when it is appropriate to carry out a Special Inspection. Further guidance on Special Inspections is provided in [BD 63 Inspection of Highway Structures](#).

Inspection for Assessment

C.5.2.16. This is another type of inspection, which is carried out before a structural assessment. [BD 21](#) provides guidance on undertaking an Inspection for Assessment.

Safety Inspection

C.5.2.17. A Safety Inspection may be undertaken following Routine Surveillance or after information has been received which indicates the structure is damaged and may be unsafe. The Safety Inspection should determine the extent of the damage and whether immediate safety precautions or other action should be taken. A Special Inspection may then follow to monitor the condition and effectiveness of interim measures and to determine what repair or other actions should be undertaken in the longer-term.

C.5.2.18. Extreme unplanned events such as storms, high winds and flooding have a significant impact on infrastructure. Bridges are highly susceptible to damage from extreme events. The susceptibility of the asset owner's bridge stock should be reviewed to highlight potential structures at risk. These structures should be inspected following extreme events such as flooding to check on their integrity. Inspecting certain 'at-risk' structures during extreme events should also be considered to allow early closure if the particular risk level warrants closure.

Acceptance Inspection

C.5.2.19. The need for an Acceptance Inspection should be considered when there is a changeover of responsibility for the operation, maintenance and safety of a structure from one party to another. The purpose of an Acceptance Inspection is to provide the party taking over responsibility for the structure with a formal mechanism for documenting and agreeing the current status of, and outstanding work on, a structure prior to handover. The scope of an Acceptance Inspection depends on the circumstances, e.g. handover of a new structure, transfer of an existing structure, handback of a structure after a concession period. Acceptance responsibilities and activities depend upon the form of contract, but the Acceptance Inspection is normally carried out by the party taking over responsibility but who may be accompanied by the other party to facilitate agreement. The Acceptance Inspection should include:

- the identification of any permanent access provisions and features affecting the safety and security of the structure. These should be discussed in detail and agreement reached before handover;
- the identification and handover of all the necessary records, maintenance and operating manuals which have an impact on the future management of the structure; and
- agreement of the date on which the authority takes over responsibility for the structure. The agreement should be recorded in the Structure File.

C.5.2.20. Acceptance Inspections on new, existing and concession structures should also include the following, as appropriate.

- Handover of a new structure:
 - An Acceptance Inspection should be undertaken for new structures about one month before the issue of the completion documentation or opening to traffic. A Principal Inspection should be used for this purpose. The inspection should identify and record any defects, developing problems and work outstanding under the contract and secure agreement on any works to be completed before handover. This should act as the benchmark for the inspection carried out at the end of the Defects Correction Period and for subsequent inspections.
 - A construction contract normally includes a Defects Correction Period (also referred to as the Period of Maintenance or Defects Liability Period) during which the contractor is responsible for making good defects that appear. The length of the Defects Correction Period should be specified in the contract.
 - An inspection should be undertaken prior to the end of the Defects Correction Period to identify all defects before the expiry of the contractual obligations. The timing of the inspection should be sufficient to allow agreement of the work to be undertaken by the contractor and, if necessary, enforcement of contractual obligations. The inspection may be a General or Principal Inspection depending upon the type and form of the structure and the length of time since handover or the last inspection.
 - Prior to adoption of a new structure, asset information should be obtained, in the appropriate format, and at the appropriate BIM level, for the authority taking over responsibility for a new structure.
 - The ADEPT Bridges Group has published guidance for the [calculation of commuted maintenance sums for structures to be adopted or transferred](#).
 - Authorities may also wish to use the above, or a similar, procedure for accepting major maintenance work.
- Transfer of an existing structure:
 - An Acceptance Inspection should be undertaken prior to an authority taking over responsibility of an existing structure. A Principal Inspection should be carried out as part of the Acceptance Inspection unless the results of a recent Principal Inspection are deemed to be relevant and sufficient. Should there be areas of concern highlighted in the PI such as defects that could impact on the long term durability of the structure then a Special Inspection should be carried out to ascertain the extent and implications of the defect(s) with respect to the structures future lifecycle costs and commuted maintenance sums.
- Handback after a concession period:
 - An Acceptance Inspection should be undertaken before handback at the end of a concession period, e.g. a PFI or PPP type contract. The inspection should compare the current condition and performance of the structure against the measures specified in the contract. This should include a Principal Inspection unless the results of a recent Principal

Inspection are deemed to be relevant and sufficient. This information should be used to identify and agree items of outstanding work to be completed, in order to satisfy the contract measures, before handback. The timing of the Acceptance Inspection should be sufficient to allow agreement of the outstanding work to be undertaken by the contractor and, if necessary, enforcement of contractual obligations.

Inspection Requirements of Other Owners

- C.5.2.21. Where other owners have structures within the footprint of the highway, they are responsible for ensuring the safety, integrity and adequacy of those structures for use by the public. The inspection of other owner structures normally falls into two categories:
- **Newer structures** – an appropriate inspection regime is likely to have been recorded in the licence/maintenance agreement; and
 - **Older Structures** – there is unlikely to be a statement of inspection requirements in a formal agreement. The Highway Authority only has the power to act to ensure safety in default of action by the other owner when the structure becomes dangerous. A Highway Authority cannot insist retrospectively on a regime of inspection and maintenance to be undertaken by the other owner where there is no clear statement of requirements in a formal agreement.

- C.5.2.22. In certain cases an authority can be reasonably confident on the basis of available information that an owner is acting responsibly and has an adequate regime of inspections in place, e.g. Network Rail, Canal & River Trust, Scottish Canals, London Underground Limited. In some cases, however, this conclusion cannot be justified and the Highway Authority should carry out General Inspections of such structures in the wider interests of public safety. This in no way negates the primary responsibility of the actual owner toward public safety and structural integrity.

Frequency of Inspections

- C.5.2.23. When a structure is known or suspected to be subject to a rapid change in condition, consideration shall be given into reducing the interval between inspections (for General or Principal Inspection), alternatively the programming of additional Safety Inspections as noted above should be considered to manage the risk of change.
- C.5.2.24. The reduced interval should be such that any significant change in condition or circumstances can be identified and assessed in time for appropriate action to be implemented. The revised inspection regime and reasons for more frequent inspections should be recorded in the Structure File. The more frequent inspection regime may be limited to a specific element or feature.
- C.5.2.25. When a structure is deteriorating slowly towards the point where it is no longer serviceable, but before it reaches that state, a management plan should be prepared for the structure, with frequencies of inspection, and intervention levels, established by risk assessment, and this should be recorded in the Structure File.

C.5.2.26. Highway structures are long life assets and their constituent components deteriorate at different rates due to a wide range of factors, e.g. material type, construction form, usage, exposure and maintenance. The suitability of increased inspection intervals should be assessed and justified using a risk assessment, giving due consideration to the following:

- type, quality, extent and results of previous inspections, testing, monitoring, structural assessment, etc;
- accessibility of all parts of a structure, for example:
 - if the inspector can get close to all parts of a structure during a General Inspection, there may be little difference between the General and Principal Inspection. A Principal (or Special) Inspection may only be required when the need has been identified by a General Inspection; and
 - if the inspector cannot get close to all parts of the structure during a General Inspection and there is a likelihood of significant defects not being detected, there is a need for regular Principal (or Special) inspections.
- providing suitably current data for calculating the Condition Performance Indicator (Bridge Condition Indicator) and determining the extent and priority of all defects; and
- the ease of producing practical and workable inspection budgets and schedules, i.e. scheduling may become unduly complicated if different inspection intervals (especially for General Inspections) are used across the highway structures stock.

Risk Assessment

- C.5.2.27. A risk assessment should be specific to a structure or group of similar structures. An assessment method should be developed that seeks to quantify:
- the likelihood of rapid deterioration or other incidents; and
 - the consequence of unchecked deterioration/incidents.
- C.5.2.28. Assessment of the likelihood of rapid deterioration or other incidents should include, but not be limited to, the following criteria where relevant:
- exposure severity, e.g. mild, moderate or severe, and external influences which may cause rapid deterioration or failure, e.g. significant change in use (above, adjacent or beneath), loading that exceeds existing restrictions, stray current/electrical corrosion;
 - current condition and level of contamination, e.g. chlorides or carbonation, and how these conditions may influence the rate of deterioration. The age of the structure may also be considered;
 - material type and the typical rate of deterioration for the observed deterioration mechanism. Many defects are known to take many years to develop to the point where they require maintenance or present a risk to structural integrity or public safety. The maintenance/repair history of the

structure should be taken into consideration and structure specific characteristics such as fatigue-prone details and susceptibility to scour damage, should be considered;

- severity and extent of damage due to incidents, such as vehicle impact, scour and vandalism, and whether this is likely to lead to further deterioration before it is repaired;
 - potential mode of failure, e.g. brittle or ductile failure;
 - extent of failure, e.g. local or global failure;
 - structural form and age; and
 - visibility / access to critical elements.
- C.5.2.29. Assessment of the consequence of unchecked deterioration and other incidents should include, but not be limited to, the following criteria where relevant:
- consequence of failure of the structure or its elements, e.g.
 - the likely number of fatalities and casualties based on the size of the structure and traffic volume on the route crossed and obstacle crossed;
 - traffic delay costs incurred through diversions/congestion based on the route type and availability of diversion routes;
 - socio-economic impact based on the location of the structure and the community served, e.g. industrial, business or residential;
 - increased costs due to unchecked deterioration/incidents resulting in more expensive maintenance work at a later date; and
 - to determine in so far as is reasonably practicable based upon the available information and interpretation, when to intervene to close the structure or the road to ensure public safety.
- C.5.2.30. The risk assessment should be recorded in the Structure File and agreed by the Bridge Manager before the frequency of inspections is changed. The validity of the risk assessment should be re-confirmed and recorded by the Bridge Manager after each Principal Inspection or when any other significant change in the condition of the structure becomes apparent.

Scheduling Inspections

- C.5.2.31. Inspection scheduling should seek to make the most efficient use of the resources available and minimise disturbance to the public, e.g. plan inspections to take advantage of traffic management planned for other reasons.

Tunnels

- C.5.2.32. The authority should follow the requirements for the inspection of road tunnels given in [BD 53 Inspection and records for road tunnels](#). The inspection categories are the same as for other highway structures but special attention should be given to the requirements for the inspection of the mechanical and electrical equipment (M&E) of the tunnel. This equipment should receive a General Inspection every year and a Principal Inspection every three years.
- C.5.2.33. [BA 72 Maintenance of Road Tunnels](#) and [BD 78 Design of Road Tunnels](#) also provide guidance on aspects of inspections/maintenance.
- C.5.2.34. The Principal Inspection may require removal of cladding, casings and mountings to fans, etc. in order to gain access. In many cases special testing and access equipment may be required and it may be necessary to employ specialist firms. An emergency exercise involving relevant emergency services should be undertaken as part of the M&E inspection.
- C.5.2.35. Acceptance Inspections (of the Principal type) are required at handover of a new or existing road tunnel. There are two classes of Acceptance Inspection: for new road tunnels (including refurbishment of existing tunnels) and for existing road tunnels. These inspections are described in BD 53.
- C.5.2.36. The Tunnel Operating Authority (TOA) is required to keep and update records for all road tunnels for which it is responsible. A comprehensive list of the required records, with their distribution, is given in BD 53.

Inspection of Mechanical and Electrical Equipment

- C.5.2.37. Mechanical and Electrical (M&E) equipment associated with highway structures includes, but is not limited to, lighting and ventilation in road tunnels, lighting in pedestrian underpasses and hydraulic rams on moveable bridges. The stewardship of this equipment may be the responsibility of the Bridge Manager.
- C.5.2.38. An appropriate regime of inspection (and testing) of M&E equipment should be established. The inspection regime should be commensurate with the manufacturer's recommendations.
- C.5.2.39. Useful guidance on the inspection and testing of M&E equipment associated with highway structures is provided in Series 7000 Mechanical and Electrical Installations in Road Tunnels, Moveable Bridges and Bridge Access Gantry MCHW.

C.5.3. MONITORING

- C.5.3.1. Monitoring is the periodic, or continuous, measurement of structural behaviour by visual / electronic means, or other means to record data on deterioration and performance, e.g. deflections, strains and crack sizes. There are many instances where measurements can usefully be repeated periodically, or in rare circumstances taken continuously, so that condition and performance can be monitored over time.

Need for Monitoring

- C.5.3.2. Key reasons for undertaking monitoring include:
- during construction to check behaviour;
 - after construction as an aid to the future maintenance management;
 - where deterioration or damage has occurred and it is necessary to check for further loss of strength, condition or performance;
 - on structures that, when assessed to modern codes, have a load-carrying capacity that is below current standards but do not appear to be suffering distress; and
 - to determine safety to remain in use.

Selection of Monitoring Techniques/Design of Monitoring Systems

- C.5.3.3. Monitoring covers a wide range of applications, from determining the ingress of chlorides into concrete over a period of years to the transient behaviour of a structure as a heavy vehicle passes over it. Typically, monitoring systems may be put in place to determine long-term movements, crack growth, changes in strain (either long-term or short-term) or the corrosivity of the environment.
- C.5.3.4. The techniques used depend on the reasons for monitoring, which should be clearly defined at the outset. The aim should be to install the simplest monitoring system that meets the objectives, providing it is sufficiently robust for the specific location. The following issues should be considered when selecting a monitoring system.
- External factors
 - When devising a monitoring system consideration should be given to monitoring the external factors that may influence the property being measured. Temperature, for example, has a major influence on both structural behaviour and the various deterioration mechanisms that occur in highway structures.
 - Data collection frequency
 - Where access is difficult or more frequent measurements are required, e.g. to monitor changes due to temperature, it may be necessary to install sensors that can be connected to a data logging system. This is particularly advantageous in those cases where access causes traffic disruption. It is important to consider how the data will be collected, e.g., it could be downloaded locally by visiting the site, or remotely through telephone lines.
 - The interval between readings depends on what is being monitored and the rate at which it is likely to change, e.g., it might be appropriate to repeat certain types of measurement, such as the determination of chloride concentration, every time a Principal Inspection is carried out. Other types of measurement might need to be repeated more frequently, e.g. monitoring crack widths might require weekly or monthly measurements. Monitoring temperatures or strains might require

measurements every hour and recording transient strains might require measurements to be taken several times a second.

- Most monitoring systems can collect data at regular intervals for the period of the monitoring but in other cases data is collected only when an event triggers the monitoring system. An example is the detection of wire fractures in post-tensioned structures using acoustic monitoring. The structure is monitored continuously but data is recorded only after an acoustic event is detected that has the characteristics of a wire break. Another example is the measurement of stresses under traffic loading where the monitoring system is triggered by heavy vehicles and data is collected only during their passage over the structure.
- Monitoring systems can also be designed to process data as it is being collected from the instrumentation. With this setup, if the system is connected by telephone or other transmission system, it can be designed to act as an early warning device, automatically issuing an alarm when pre-defined limits of the parameters are reached. This type of system can be used effectively as part of a risk management strategy.
- Scour
 - [BD97 outlines requirements for the assessment of scour](#) and other hydraulic actions at highway structures crossing or adjacent to waterways. It provides processes to determine the level of risk associated with scour effects. It also includes processes to assess the robustness of structures in a flood, and references to measures for reducing risk.
 - Advice on the monitoring of highway structures for scour is given in [Manual on scour at bridges and other hydraulic structures](#).
 - Scour monitoring and inspection is not straightforward because scour is not normally visible during a flood and scour holes often fill in during the falling stages of a flood. As a result it can be difficult to assess in flood conditions the magnitude of scour holes and determine whether the structure is safe.
- Retaining walls
 - Monitoring the performance of retaining walls can be carried out by measuring movements directly, but sometimes it is more appropriate to use inclinometers, or electro-levels. Loads and moments in walls can be measured using pressure cells and strain gauges. Associated behaviour of the nearby ground can be monitored using inclinometers, pressure cells and piezometers. Installation and monitoring of these devices is a skilled operation and recourse should be made to a specialist.
- Installation
 - Key issues that need to be addressed when considering the installation of a monitoring system include:
 - Environment of installation;

- Maintenance and power supply;
 - Data logging capacity; and
 - Protection against vandalism.
- C.5.3.5. Details of the monitoring system should be included in the Structure File and Health and Safety File, if appropriate, so that others working on the structure are aware of its presence.

Monitoring of Sub-standard Structures

- C.5.3.6. Advice on the monitoring of structures that fail a strength assessment is given in BD 79 Management of sub-standard structures. Monitoring interim measures can avoid the disruptive effect of applying load mitigation interim measures.

Evaluation of Monitoring Results

- C.5.3.7. Monitoring a highway structure should not be an end in itself but part of a wider strategy for management. Monitoring shall also include the establishment of critical trigger levels to highlight when and where remedial action is required.
- C.5.3.8. Monitoring may generate large volumes of data and consideration needs to be given at the outset to its storage, analysis and eventual presentation, to support a focus on what is needed and avoid becoming immersed in data.

Recording and Reporting of Monitoring Results

- C.5.3.9. A detailed record should be kept of the monitoring system. The record should include objectives of the monitoring, the equipment used, the location and position of sensors and data logging system (where appropriate), procedures for maintaining the system and collection of data, where the data is stored and how it is analysed.
- C.5.3.10. Where necessary, sensors should be calibrated before use and the calibration records maintained in the Structure File for future reference.
- C.5.3.11. Action plans shall be developed as part of a proactive management approach to highlight the required interventions when trigger levels are breached.

C.5.4. COMPETENCE AND TRAINING

- C.5.4.1. A basic premise of this Code is that highway structures management (including maintenance planning management and structural review and assessment) is carried out by suitably qualified and experienced civil or structural engineers and on-site work (including inspections, testing and maintenance) is carried out by appropriately qualified, trained and experienced personnel.
- C.5.4.2. To assist progress towards the good management practice described in the Code, a programme of Continuing Professional Development (CPD) and training for Bridge Managers, engineers, inspectors and other staff should be provided to enable them to understand and implement the processes described in the Code. It is recommended that agents and contractors are required to demonstrate that their personnel are adequately trained and competent for the work they undertake in relation to highway structures.

Bridge Inspection Competence

- C.5.4.3. The capture of condition information on structures is of prime importance in developing effective maintenance strategies. Studies by the ADEPT Bridges Group have identified a lack of consistency in inspection reporting, while the use of asset management plans and decision support tools have created a greater need for better quality inspection data, both in terms of consistency and accuracy. International, high-profile bridge collapses in the United States, Canada and China have increased the importance of rigorous inspection routines.
- C.5.4.4. Competences that a bridge inspector should have include the following:
- structures types and elements / behaviour of structures;
 - inspection process;
 - defects descriptions and causes;
 - investigation and testing; and
 - repair techniques.
- C.5.4.5. A competence framework for Bridge Inspectors, entitled [Bridge Inspector Certification Scheme](#), has been jointly developed by the UK Bridges Board and the Irish National Roads Authority and has been overseen by ADEPT, Department for Transport, Highways England, London Bridges Engineering Group, London Transport Asset Management Board, National Roads Authority of Ireland, Transport for London, Transport Scotland and Welsh Government. The scheme is being run as one of the widely used National Highway Sector Schemes.
- C.5.4.6. The benefits of the scheme are anticipated to include:
- an increase in the profile of Bridge Inspectors via the introduction of a recognised certification scheme across the UK and Ireland;
 - an increase in the quality of bridge inspections resulting from improved levels of consistency both in the training provided to Bridge Inspectors and the reported results from inspections leading to a greater level of confidence;
 - a reduction in risk for bridge owners due to evidence of competence and best practice;
 - costs savings as a consequence of minimised rework and the ability to better prioritise limited maintenance budgets; and
 - increased flexibility for organisations in moving inspection staff around and sharing them with other sectors.
- C.5.4.7. To link with the Bridge Inspector Competence certification scheme, Highways England have produced [Interim Advice Note 192/16](#) and Transport Scotland have released [Interim Amendment 46/16](#), which provide details on the competencies required for structures inspectors and their certification, which supplements the requirements of [BD63, The Inspection of Highway Structures](#).

C.5.5. ASSESSMENT OF STRUCTURES

- C.5.5.1. The purpose of the assessment of a highway structure is to determine the ability or capacity of the structure to carry the loads which are imposed upon it, and which may reasonably be expected to be imposed upon it in the foreseeable future. The assessment provides valuable information for managing the safety and serviceability of highway structures.
- C.5.5.2. A regime of structural reviews should be implemented whereby the adequacy of structures to carry the specified loads is ascertained when there are significant changes to the usage, loading, condition or the assessment standards. A structural review should identify structures which need a detailed assessment.
- C.5.5.3. A prioritised programme of structural review should be put in place to establish the need to assess, or update the assessment of, all structures which have not been designed or previously assessed to current standards. Where a requirement for assessment is identified, such assessments should be carried out in accordance with national standards which are current at the time.
- C.5.5.4. The results of assessments and structural reviews should be recorded, together with relevant data and assumptions, and kept up-to-date and utilised in the planning and management of future maintenance programmes on the structures.

Structural Review

- C.5.5.5. A review of an individual structure or group of structures, within the structures stock, to establish or confirm the validity of its latest assessment (or its original design if there has been no subsequent assessment) is termed a 'structural review'. A structural review should consider all available current information, taking account of the known condition of the relevant structures, their inherent strengths and weaknesses and anticipated effects of any changes, including changes to assessment standards. A structural review should not normally require detailed analysis of particular structures.
- C.5.5.6. Assessment and structural review are key elements of the management process for highway structures to check their safety and serviceability. All structures should therefore be assessed or reviewed against current national standards.

Assessments

- C.5.5.7. Since detailed assessments require considerable effort, an assessment should only be undertaken when a structural review has identified the need for assessment.
- C.5.5.8. The assessment should take account of all available information about the structure including its service performance. In addition, an 'Inspection for Assessment' should be performed to establish the current condition of key structural elements as accurately as is practicable.

- C.5.5.9. The scope of assessment and method of analysis used should be commensurate with the form of the structure, information available and the consequences of a potential shortfall in the assessed load bearing capacity. Assessment of simple structures not showing signs of distress, particularly if details of the hidden parts of the structure are unknown, may be based solely on inspection as permitted by current standards. This would include mass concrete or masonry retaining walls that did not show signs of bulging, cracking, deformation, tilting etc.
- C.5.5.10. Assessment should generally be carried out initially using simple but conservative analytical methods. Where the adequacy of a structure cannot be confirmed, or falls short of requirements using simple methods, progressively more precise and advanced methods should be employed where it is judged that a desired increase in assessed load bearing capacity might reasonably be achieved.

C.5.6. STRUCTURAL REVIEW AND ASSESSMENT REGIME

- C.5.6.1. [BD101 provides a system for Structural Review and Assessment of structures](#), which links the assessment and inspection processes.
- C.5.6.2. The future management of highway structures should include a regime of ongoing structural reviews to ascertain their adequacy to support imposed loads. Such reviews should be undertaken when significant events occur that could increase the imposed loads above those previously assessed for and/or reduce the load bearing capacity of structures. A structural review should be undertaken, for example, when one or more of the following conditions or events occur:
- the structures are known or suspected to have load bearing capacities below those deemed to be appropriate for the class of highway supported;
 - there is a significant change in the regulations governing the configurations and weight limits of vehicles which may use the relevant highway. The impact of such changes would generally have been assessed by the Department for Transport or Highways England and guidelines issued to authorities on the actions to be taken;
 - the hierarchy of the road carried by the structure has changed or is proposed to be changed. The change may modify the density and type of traffic carried resulting in a change to the ‘loading class’ defined in [BD21 The Assessment of Highway Bridges and Structures](#);
 - records of the original design or subsequent assessment do not exist or have become discredited;
 - the structure has been modified or is proposed to be modified;
 - the structure is on a route proposed for an abnormal load movement, either a Special Order vehicle or an un-common STGO vehicle, for which the structure has not been previously assessed;
 - significant deterioration or damage has been identified by an inspection. Conditions considered would include those found in structures such as arches which may be susceptible to changing condition factors; and

- structural reviews are recommended to follow alternate Principal Inspections when these are done at the frequency included in the Inspection Manual for Highway Structures. Where Principal Inspection intervals have been changed, the interval for structural review should also be determined and noted on the Structure Files.
- C.5.6.3. Many highway structures have already been assessed. A prioritised programme of structural review should be put in place to establish the validity of existing assessments, the appropriate periods of review and the need for new assessments for structures that have not been assessed to current standards. The following priorities are suggested in the absence of any other information:
- structures with suspected load bearing capacities below those deemed to be appropriate for the class of highway supported;
 - structures built prior to and including 1975, unless known to have been designed to Technical Memorandum (Bridges) BE 1/73 Reinforced Concrete for Highway Structures where appropriate. 1975 broadly corresponds to the cut off for Stage 2 of the Overseeing Organisations' assessment programme in the 1990's, which picked up bridges not designed to the reinforced concrete shear design rules in BE 1/73;
 - reassessment of structures that have passed the 40 tonne Assessment Live Load requirement, to determine their capacity to carry abnormal loads. BD [86/11 The Assessment of Highway Bridges and Structures for the Effects of Special Types General Order \(STGO\) and Special Order \(SO\) Vehicles](#) is a relevant consideration when assessing bridges for abnormal loads;
 - structures built between 1975 and 1985. This period saw significant increases in the HA (normal traffic) loading associated with HB (abnormal) loading and the implementation of BS 5400; Steel, concrete and composite bridges; and
 - structures built after 1985, if deterioration or other factors indicate the structure may not meet the required operational load bearing capacity and structural integrity may be compromised. Current highway design loading has remained effectively unchanged since BD 37 Loads for Highway Bridges was first published in 1988. However, during the previous two to three years various interim design standards were in place such that 1985 is believed to represent a reasonable date to assume for the introduction of the current design loading criteria.
- C.5.6.4. The ADEPT Guidance Document on the [Implementation of Structural Eurocodes](#) was published in December 2010. This document is a relevant consideration when undertaking structural assessments and/or strengthening.

C.5.7. ASSESSMENT PROCESS

Initial Appraisal

- C.5.7.1. Most assessments require an initial appraisal to establish what level of assessment is required and whether any additional information in the form of further inspections or testing is needed. The form of this appraisal may vary, but may include a Level 1 analysis.

- C.5.7.2. When sufficient information has been obtained, the appropriate scope of the assessment should be formally agreed between the overseeing manager and the assessor and be subject to a Technical Approval process. The appropriate scope of assessment may range from a judgement based simply on the Inspection for Assessment for a small retaining wall, as allowed by BD 21 The Assessment of Highway Bridges and Structures, to a detailed structural analysis of all parts of a structure based on information from records, inspections and investigations.
- C.5.7.3. Structures that have not previously been assessed generally require an assessment of all load bearing elements. Assessments arising out of identified local damage and/or deterioration may only require assessment of a limited number of elements that lead towards the design of a suitable repair. Depending on the circumstances, there may be variations in traffic loads that may need to be considered.

Inspection and Testing for Assessment

- C.5.7.4. The report on the Inspection for Assessment should include the observations made and comment on the condition of the structure, giving the condition factors required by BD 21 The Assessment of Highway Bridges and Structures. If the condition has deteriorated since the previous inspection, a statement should be included on its importance and, if appropriate, how the deterioration should be taken into account in the assessment calculations. For example, a condition factor might be used or the assessment might be based on a deteriorated (smaller) section of structural elements.

Technical Approval

- C.5.7.5. Technical Approval is the formal arrangement by which the Technical Approval Authority (TAA) agrees the basis on which a structural design or assessment is to be carried out. It confirms the scope and level of the assessment together with the standards to be used and the forms of analysis models that are to be used. Technical Approval extends to formal acknowledgement of completion by the acceptance of appropriate certification. Guidance on the Technical Approval process is given in [BD 2 Technical Approval of Highway Structures](#).
- C.5.7.6. An appropriate system of Technical Approval should be established and an appropriate organisation or individual should be formally appointed to act as the TAA.
- C.5.7.7.** The authority and the TAA should jointly maintain an up-to-date list of current design and assessment standards similar to those listed in Annex B of BD 2.

Formal Assessment Analysis

- C.5.7.8. The analysis of a structure to determine its load bearing capacity should employ an approach that is appropriate for the structural form and materials as recommended by national standards.
- C.5.7.9.** The three Levels of Assessment as defined in [BD79 The Management of Sub-standard Highway Structures](#) should be considered, and are summarised in Table 8 below.

Table 8 – Levels of Assessment

Level	Requirement
1	Use of simple analysis methods and full partial safety factors from appropriate assessment standards to produce a conservative assessment.
2	Use of a more refined analysis model such as grillage or finite element models. Also allows the determination of actual characteristic strengths based on existing test data deemed to be relevant to the particular structure.
3	Allows the use of Bridge Specific Assessment Live Loading (BSALL). Also allows the use of characteristic strengths or worst credible strengths based on testing of samples of materials from the structure.

- C.5.7.10. The level of analysis should be appropriate to the circumstances. Where initial assessment does not provide the required confidence in the structure, progressively more advanced methods should be employed, taking into account the cost of more advanced analysis and the benefits that might reasonably be gained.
- C.5.7.11. Level 1 may be used for initial assessments, leading to subsequent Level 2 or 3 assessments. Level 1 should only be relied upon as a definitive assessment if it clearly demonstrates the required load bearing capacity of the structure.
- C.5.7.12. Levels 2 or 3 generally provide the degree of confidence required to establish the load bearing capacities of most structures. The additional testing associated with Level 3 should be dependent on whether or not such evidence might reasonably increase the assessed load bearing capacity to a level which is considered appropriate or desirable for the particular structure.
- C.5.7.13. Where practicable, assessment should include an estimate of any reserve load bearing capacity of the structure. Where there is likely to be ongoing deterioration of a structure, assessment should include the determination of critical condition factors.
- C.5.7.14. Where the assessment indicates that a structure is substandard in relation to the requirements of current standards, remedial options should be considered, appraised and a final action recommended. Interim measures (including those necessary to protect the structure and the public) to be taken prior to the implementation of the recommended remedial action, including restriction of use or monitoring if appropriate, should be recommended. All decisions taken need to be appropriately documented.

C.5.8. ASSESSMENTS FOR ABNORMAL LOADS

- C.5.8.1. The principles of managing abnormal loads are dealt with in Section A.4 of this Code. This section contains information on specifically related to structural assessments.
- C.5.8.2. Assessment for the effects of abnormal loads on bridges and other highway structures should be carried out in accordance with [BD 86](#). This standard is based upon a series of "SV" loading models which more closely model the behaviour of real heavy vehicles than the old HB model, and defines how a Reserve Factor should be calculated for each acceptable vehicle.

- C.5.8.3. BD 86 also provides guidance for converting existing HB ratings to equivalent SV ratings to aid correlation of such ratings with the effects of real vehicles. However, this is necessarily conservative and reassessment to BD 86 should be considered for critical bridges.
- C.5.8.4. For Special Order movements (greater than 150 tonne) and, in some special cases, for General Order movements, detailed assessments may be required for particular structures where no alternative route is readily available.
- C.5.8.5. In such cases, for bridges, consideration may be given to limiting Dynamic Amplification Factors and the effects of normal traffic, which might be on a bridge at the same time as the abnormal load. Guidance for such assessments is provided in Annex D of BD 86.
- C.5.8.6. Where an initial assessment shows that the load effects induced by an abnormal load marginally exceed the capacity of a bridge on the route, it may be possible for the abnormal load to safely cross the bridge provided the speed of the vehicle is restricted and other normal traffic is kept clear of the bridge when the abnormal load crosses it. Checks for such situations can be made in accordance with the procedures given in Annex D of BD 86.
- C.5.8.7. An engineer with good experience of Highway Structure Assessments shall undertake the role of Structures Advisor, to whom the Abnormal Loads Officer should refer decisions relating to vehicle movements which fall outside the agreed guidelines which otherwise determine whether or not particular vehicle movements should be accepted.

C.5.9. RECORDING OF ASSESSMENT RESULTS

Assessment Report

- C.5.9.1. Structural assessment results should be fully detailed in a formal report which should consider providing the following information:
- the name, location and any formal identification number of the structure;
 - for bridges, details of obstacles crossed and roads carried;
 - the date and reason for the assessment;
 - an overview of the method of analysis including a description and diagram of any computer model used;
 - any appropriate geological assumptions and parameters;
 - loading details;
 - level of assessment;
 - overall assessed load bearing capacity;
 - identification of any critical elements of the structure;
 - all condition factors used and if relevant, the pavement condition or other variable factors which formed part of the assessment;

- recommendations in respect of any elements having an assessed load bearing capacity below that required or considered desirable;
- guidance on timescale for which the assessment results are expected to be valid and the date or specific circumstances for undertaking a subsequent structural review; and
- the signed AIP and accepted certification should be included in an appendix together with the assessment calculations or reference to other documents containing the calculations.

Basic Records for the Bridge Management System

- C.5.9.2. The basic results of an assessment should be recorded in a standard format common to all of the structures for which the authority is responsible. Ideally the record would take the form of an electronic database.
- C.5.9.3. The level of detail transcribed from the assessment report into the database should be defined by the Bridge Management System adopted by the authority. This could include basic details of each structure including location, form of structure, details of road(s) carried, span arrangements, and designed or assessed load bearing capacity.
- C.5.9.4. Where the results of the assessment are dependent on variable factors such as pavement condition, as allowed by BD 21, there should be a clear feedback to the Highway Authority to ensure that the ongoing requirements form part of the planning process for periodic maintenance. In such cases, committing to a protocol that ensures good stewardship of the surface quality can lead to the benefit of an increased load bearing capacity rating for the bridge. However, poor condition should generally be assumed if that commitment cannot be assured.
- C.5.9.5.** Information on reserves in load bearing capacity with respect to both normal and abnormal traffic loading, where available, and critical condition factors for elements susceptible to deterioration should be used in the planning and management of future maintenance programmes on structures.

Additional Records for Critical Structures

- C.5.9.6. A structure that has a load bearing capacity below those of others on a particular section of road is termed a ‘critical structure’. This is a technical term unrelated to the [HIAMG](#) definition of ‘critical infrastructure’. If the load bearing capacity of a critical structure is below that required for unrestricted normal traffic (typically the 40 tonne Assessment Loading defined in BD 21), it will effectively restrict the whole section of the road to this weight limit. Alternatively, a structure may be critical with respect to the movement of abnormal loads. In either case, it is useful to record additional information from the assessment to aid consideration of what vehicles should or should not be allowed to use the road.
- C.5.9.7. The additional information recorded for critical structures (particularly bridges) could include:
- details and load bearing capacities of all potentially critical elements with live load capacities up to 15% higher than the governing element/capacity;

- load ratings in terms of HB units and all relevant Reserve Factors against SV vehicles as defined in BD 86 The Assessment of Highway Bridges for the Effects of Special Types General Order (STGO) and Special Order (SO) Vehicles;
- if practicable, lane influence lines for critical effects together with the associated limiting load bearing capacities; and
- for arches, details of the bogie configurations considered and their associated maximum axle loads.

C.5.10. INTERIM MEASURES AND MANAGEMENT OF SUBSTANDARD STRUCTURES

- C.5.10.1. A structure which does not meet the requirements of standards used in its assessment is termed a 'substandard structure'. The assessment of a substandard structure should identify the appropriate remedial action required to maintain its safety.
- C.5.10.2. Prior to strengthening or replacement, all substandard structures should be considered as representing a risk to the public. Where such works have to be deferred, detailed risk assessments should be undertaken and where appropriate interim measures should be implemented as soon as possible.
- C.5.10.3. If there is deemed to be an immediate risk to public safety, [BD 21](#) and [BD 79](#) require that formal interim measures which would effectively mitigate the risk, be put in place until the identified remedial action is implemented. These measures may include:
- weight or width restrictions plus monitoring;
 - propping or temporary bridge plus monitoring;
 - closure and diversion of traffic; and
 - deterring vehicles over-running substandard areas of structures.
- C.5.10.4. BD 79 also provides guidance on the short to medium term management of structures where the immediate application of any of the above measures may not be practicable.
- C.5.10.5. In particular BD 79 provides guidance on the use of weight restrictions and/or the application of monitoring to appropriate structures, and provides a Technical Approval framework for agreeing such measures.
- C.5.10.6. BD 79 indicates that structures that satisfy **all** the criteria in 1, 2 and 3 below and additionally small span bridges as described in 4, may be considered to be appropriate for monitoring subject to Technical Approval.
1. Structures with no significant signs of distress, or structures where distress is observed which does not appear to be recent or significant and detrimental to the safety of the structure.
 2. Structures where failure is likely to be gradual over time, progressing from local signs of distress to more extensive failure before reaching the point

where total collapse is precipitated. It must also be possible to predict the mode(s) of failure under traffic load with reasonable certainty.

3. Structures and situations where monitoring would be meaningful and effective.
4. Bridges of spans less than 5 metres where the consequences of failure are low.

SECTION C.6. PROGRAMMING AND PRIORITIES – STRUCTURES

C.6.1. INTRODUCTION

- C.6.1.1. Programming and priorities are dealt with in the [UKRLG Highway Infrastructure Asset Management Guidance \(HIAMG\), Part B](#). This document should be referred to and the advice below considered supplementary.
- C.6.1.2. The general principles to be applied to programming and priorities are outlined in Section 8 of Part A of this Code, with this section covering guidance relating to structures.
- C.6.1.3. Highway structures are exposed to a wide range of naturally-occurring and man-made factors that lead to, or directly cause, deterioration. In addition, the highway network is a dynamic system with changing user demands, some of which may be reflected in changes to codes and standards. The purpose of maintenance is to repair damage caused by deterioration, vehicle impact or vandalism, slow down or prevent the deterioration process and, where appropriate, meet the changing demands of users.
- C.6.1.4. The purpose of maintenance planning and management is to enable the Bridge Manager to develop and implement cost effective and sustainable maintenance plans for highway structures that support the safe operation of the network while delivering the required asset performance and levels of service. The maintenance planning and management process enables the Bridge Manager to deliver the authority's long term goals and objectives by developing maintenance plans that align with and provide detail to the work volumes and phasing identified in the Asset Management Framework.
- C.6.1.5. Maintenance planning should adequately support the safe operation of highway structures. Performance levels should be identified at which a structure or component is considered to be sub-standard and which, if left unmanaged, may result in the structure becoming unsafe. Identifying minimum safety and performance levels assists the prioritisation of needs and development of maintenance plans.
- C.6.1.6. Authorities should be suitably prepared for urgent safety and stability concerns and emergencies and deal with them effectively when they occur. An emergency response procedure should be developed for this purpose and documented, and an associated emergency budget determined.

C.6.2. CLASSIFICATION OF WORK TYPES

C.6.2.1. An important feature of maintenance planning is the appropriate classification of all items of maintenance work. Classification provides a beneficial tool for analysing the workbank and removing appropriate work types from the Value Management and Value Engineering phases, i.e. regular and reactive maintenance. Eleven work type definitions grouped under three headings are given below that cover the majority of operational activities. These work types and the terminology should be used to provide clarity to work volumes identified in plans, i.e. Asset Management Framework, Forward Work Plan and Annual Work Plan.

1. Regular Maintenance

- a. Inspections – covers all inspection types, i.e. Safety, General, Principal and Special. Inspections include confined space inspections, boat inspections, underwater inspections and special follow-up investigations identified from the inspections;
- b. Structural Reviews and Assessments – structural reviews should ascertain the adequacy of structures to carry the specified loads when there are significant changes to usage, loading, condition or the assessment standards. A review should identify structures which need a structural assessment. An assessment quantifies the load bearing capacity of the structure in accordance with the appropriate current standards;
- c. Routine Maintenance – minor work carried out on a regular or cyclic basis that helps to maintain the condition and functionality of the structure and reduce the need for other, normally more expensive, maintenance works. Examples of routine maintenance common to highway structures include cleaning out expansion joints and drainage systems, greasing of metal bearings, removal of vegetation, removal of blockages in watercourses including removal of silt; and
- d. Management of Substandard Structures – normally constitutes implementing interim measures to protect users of substandard structures and may include monitoring. Guidance is given in [BD79 The Management of Sub-Standard Highway Structures](#).

2. Programmed Maintenance

- a. Preventative Maintenance – work carried out to maintain the condition of the structure by protecting it from deterioration or slowing down the rate of deterioration. Preventative maintenance is justified on economic grounds because it provides minimum whole life cost maintenance. By timely intervention preventative maintenance reduces the need for essential work and/or the likelihood of essential work arising prematurely in the future. Examples of preventative maintenance include re-pointing, repainting, minor defect repairs, silane impregnation, cathodic protection and re-waterproofing. Re-surfacing is not included because it is considered to be a road maintenance activity;

- b. Component Renewal – renewal of components that have a finite service life, e.g. bearings and expansion joints;
- c. Upgrading - work that brings an existing structure up to the appropriate current standard, e.g. strengthening, upgrading parapets, waterproofing. The work may have resulted from a change to standards or a change in requirements for the structure, e.g. enhanced network levels of service;
- d. Widening and Headroom Improvements – increasing the width or headroom of the existing structure. These improvements are generally considered to be network issues unless arising due to structural maintenance requirements; and
- e. Replacement – a structure/component is replaced when it reaches the end of its useable life, excluding cyclic Component Renewal item (2b) above. The replacement structure/component restores the full design performance of the structure/component it replaces (if the performance is enhanced it is classified as an upgrade – item (2c) above).

3. Reactive Maintenance

- a. Emergency – work that must be dealt with immediately due to the high risk the situation poses to public safety, e.g. caused by accidents such as bridge strikes; and
- b. Essential Maintenance – major structural repair work and especially that undertaken when part or all of a structure is considered to be, or about to become, structurally inadequate or unsafe, or unpredictable in its deterioration. Examples of essential maintenance include major concrete, masonry and steelwork repairs, and scour repairs.

C.6.3. INPUTS TO THE PLANNING PROCESS

- C.6.3.1. Maintenance planning and management is an on-going activity and as such, requires up-to-date and relevant information on structural condition and performance, to ensure the correct work is being planned and to assess the effectiveness of previous work. Relevant condition and performance inputs to the maintenance planning and management process include, but are not restricted to:
- **Inspection, testing and monitoring** – inspections, primarily General and Principal Inspections, generally provide the most up-to-date and comprehensive data on the condition of highway structures, and as such are a key input for maintenance planning. Inspections are sometimes supplemented by testing and monitoring;
 - **Assessment of structures** – structural reviews identify structures that require a structural assessment, while structural assessments identify sub-standard structures. Resources are required for the structural reviews and assessments and for dealing with sub-standard structures. These should be taken into account in the planning process; and

- **Other** – may include incidents, emergencies and reports from the police or public, e.g. bridge strikes, scour damage from a flood, loose bricks.
- C.6.3.2. The above data enables a response to any urgent needs or emergencies and to plan work based on the actual current condition and performance. It also allows the maintenance planning process to provide the essential detail to the generic work volumes and phasing produced by the long term asset management planning process.

C.6.4. DETERMINE CURRENT PERFORMANCE

- C.6.4.1. The asset inventory, condition and performance data should be used to determine the current performance of the highway structures in a way that supports the identification of needs and Value Management. Much of the information should be in a format that can be readily used for identifying needs, for example element condition data and assessed capacity. Some data may require manipulation in order to provide information that assists identification and Value Management, for example, structure specific Performance Indicator values.
- C.6.4.2. The current performance should be determined for individual elements and/or structures using absolute measures, e.g. severity and extent of a defect or assessed capacity of a structure. The description of current performance should be commensurate with the level of detail required for short term maintenance planning. This implies a greater reliance on absolute measures that describe current condition and performance in detail rather than performance measures. Performance measures are more suited to determining performance in the long term asset management planning process.

C.6.5. IDENTIFICATION OF NEEDS

- C.6.5.1. The purpose of this task is to identify and document all maintenance required on highway structures and the associated cost estimates. The documented maintenance needs and costs are referred to as the structures workbank. The structures workbank forms the basis of the subsequent Value Management and Value Engineering processes.
- C.6.5.2. A formal approach to the identification of needs should be developed but the Bridge Manager should be aware that maintenance needs can arise due to a wide range of factors, some of which may not be covered by a formal approach. Common criteria that should inform the identification of needs are:
- assessment of condition and performance data by a suitably qualified and experienced engineer to identify needs;
 - development of lifecycle plans to identify maintenance cycles and intervention thresholds; and
 - identification of regular maintenance needs (e.g. inspections, structural reviews and assessments and routine maintenance) and planned improvement/development schemes.

- C.6.5.3. The following sections describe the above criteria in more detail. Some modern structures also have Maintenance Manuals as required by Appendix A of [BD 62 As Built, Operational and Maintenance Records for Highway Structures](#). These should also be used to inform the identification of needs.

C.6.6. CONDITION AND PERFORMANCE DATA

- C.6.6.1. The condition and performance data should be reviewed periodically by a suitably qualified and experienced engineer to identify maintenance needs. It is recommended that General Inspection pro forma are reviewed and signed off no longer than two months after the inspection, but preferably within one month. Thereby the signing off and identification of needs are combined. Some authorities may also wish to combine data entry with these tasks.
- C.6.6.2. This exercise is heavily dependent on the engineer's knowledge of the elements/structures and the appropriate methods for dealing with the needs. As a minimum, the engineer should have knowledge of a range of appropriate maintenance techniques and in which circumstances the techniques should be applied.
- C.6.6.3. The Bridge Manager may wish to define some generic rules/guidelines, which define when a particular maintenance method should be used. These rules/guidelines are normally defined in the lifecycle plans (see below), but may need to be defined separately for situations that the lifecycle plans do not cover, e.g. when elements deteriorate below the intervention thresholds defined in the lifecycle plans and may require alternative maintenance techniques.

C.6.7. LIFECYCLE PLANS

- C.6.7.1. Lifecycle plans should be used to identify needs on specific structures and elements. The cyclic/intervention rules established in the lifecycle plans are compared against the current condition and performance of a structure/element and the specific characteristics of the structure are assessed to determine if the lifecycle plan activity is appropriate, i.e. the lifecycle plans should be used as general guidance when identifying specific maintenance needs.
- C.6.7.2. Where appropriate, lifecycle plans should be amended through the maintenance planning process because the bridge engineer is undertaking a more detailed review of needs compared to asset management planning. Such amendments should then be passed back to asset management planning to improve long term work predictions.
- C.6.7.3. A lifecycle plan should be developed for each structure group/sub-group. Refinement of the groups and sub-groups may prove beneficial as it allows greater management planning control through more targeted lifecycle plans, but more knowledge of deterioration rates and mechanisms is required.
- C.6.7.4. Lifecycle plans should be developed using whole life costing, if appropriate, in order to establish the most cost-effective approach. Whole life costs should not be the sole consideration and other issues such as asset performance and network safety should also be considered where relevant.

- C.6.7.5. [A Good Practice Guide on Lifecycle Planning for Highway Structures](#) has been published by the London Bridges Engineering Group (LoBEG). This is a useful reference document providing a step-by-step approach on structure specific lifecycle planning and whole life costing. The Good Practice Guide is accompanied by a computerised Lifecycle Planning Model and associated User Guide.
- C.6.7.6. [The Structures Asset Management Planning Toolkit](#) was developed by the Highways Asset Management Finance Information Group (HAMFIG), with ownership taken by the UK Bridges Board. It was developed to provide a tool to undertake lifecycle planning and asset valuation of structures in accordance with the CIPFA Code of Practice on Transport Infrastructure Assets (since August 2016 this has been renamed the [Code of Practice on the Highways Network Asset](#)).
- C.6.7.7. In Scotland and Wales, guidance and lifecycle planning tools are available to members of the SCOTS/CSSW Roads Asset Management Project group via the RAM Knowledge Hub. Cost projection tools are available for structures and other asset types.

Routine Maintenance Regime

- C.6.7.8. Highways England has a well-developed routine maintenance regime which is described in the [Routine and Winter Service Code](#). This comprises tasks such as removing graffiti, removing vegetation, clearing debris and bird droppings from components, clearing drainage systems, repairing gap sealant, cleaning sliding and roller surfaces of bearings and re-greasing, checking and, if necessary, tightening fixings on deck movement joints and removing debris and silt from culverts.
- C.6.7.9. Highways England considers that, whilst many of these tasks are fairly minor in themselves, failure to carry them out may lead to deterioration of the structure and the need for more costly repair operations in the future. Highways England considers that generally a routine maintenance regime is cost effective in whole life terms.
- C.6.7.10. Authorities are recommended to follow the guidance provided in the Routine and Winter Service Code and establish an appropriate routine maintenance regime for highway structures. In doing so particular consideration should be given to the following points:
- Removal of graffiti – whilst the removal of all graffiti is commendable in improving the local environment, it can be an expensive operation if the graffiti is persistent. Some authorities have therefore decided only to remove racist or obscene graffiti (generally as soon as it is reported), unless there is little likelihood of more appearing in the medium term or there is an area-wide clean-up campaign organised by the local council or community body with the intention of keeping the area clean. Some urban authorities remove all graffiti in order to meet council objectives and tourist expectations; they accept this is a significant and essential expense; and
 - Repair of gap sealant – sealant has often been specified by designers for gaps/joints where it is not essential and as a result some authorities have decided only to repair sealant where it is required. Examples include open joints that are visually unacceptable (but are not prone to vandalism) or where

replacement will help prevent ingress of water which could lead to frost damage, corrosion of metalwork or reinforcement or unacceptable staining.

Structures Workbank

- C.6.7.11. The structures workbank is a database of all work that is currently outstanding on the network, including estimated costs for doing the work. It is recognised that certain work types by their very nature, e.g. re-active maintenance, cannot be planned in detail in advance but the workbank should still include a volume of work for these, albeit on unknown structures, based on past experience and engineering judgement. A workbank format should be established that is appropriate to local, and if appropriate, national needs. Figure 3 highlights three possible approaches.

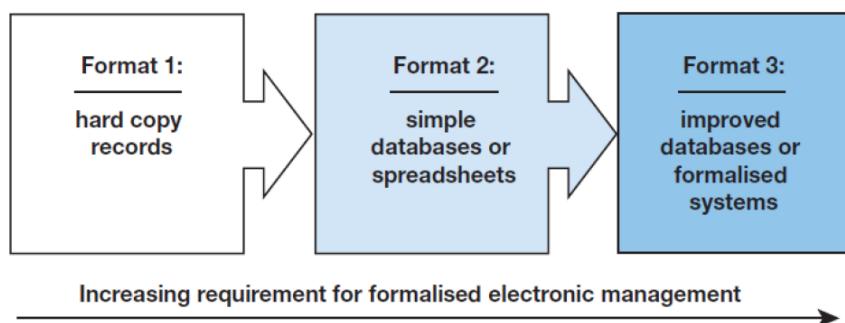


Figure 3 – Possible formats for the structures workbank

- C.6.7.12. The workbank should include a full list of all maintenance required on the structures stock. The workbank should provide the following information for each item of work:
- name and number/reference of the structure;
 - element where work is required;
 - defect, including severity and extent (if appropriate);
 - required work;
 - work type;
 - recommendation for when the work should be undertaken, i.e. which year; and
 - estimated cost.
- C.6.7.13. The full list of information is taken forward to the Value Management and Value Engineering phases. Once work has been undertaken it should be identified as completed and removed from the workbank.

C.6.8. VALUE MANAGEMENT

- C.6.8.1. Value Management is used to prioritise the identified needs compiled in the structures workbank. This process is the planning (including value engineering if appropriate), scheduling and implementation of non-value managed work. The workbank identifies all work, not only value-managed work, and all the work needs to be appropriately managed.
- C.6.8.2. Value Management should be used because it provides a formalised approach for assessing the benefits of undertaking maintenance and the associated risks of not undertaking maintenance. The risks and benefits should cover hard issues, e.g. condition and assessed capacity, that can be assessed objectively and soft issues such as local importance, customer feedback and synergies with other work that may need to be assessed subjectively.
- C.6.8.3. The outcome of the Value Management process should be a prioritised list of actions in the structures workbank that is taken forward to the Value Engineering process. It should also identify where there will need to be an option appraisal in the Value Engineering process.
- C.6.8.4. Value Management should not be a complex and overly involved process. It should cover the appropriate criteria in a manner that enables engineers readily to compare and identify a priority score.
- C.6.8.5. The full Value Management process is only appropriate for major schemes. A simplified process should be used to deal with common types of moderate and minor maintenance.

Value Management Regime

- C.6.8.6. A Value Management regime should be established that identifies the frequency of review and the approach to be taken. The regime should identify:
 - **Value Management frequency** – some activities may be performed on a continuous basis, e.g. automated prioritisation of needs based on objective criteria. Other, more subjective criteria, e.g. local importance, are best analysed at regular intervals when one or more appropriate staff can review the latest needs. Value Management reviews or workshops held at least once every year, but preferably every six months, are likely to be appropriate for most authorities;
 - **Prioritisation criteria** – the criteria considered during the Value Management process to prioritise needs. They may be objective or subjective in nature; and
 - **Value Management review/workshops** – the staff to be involved in the Value Management review or workshop and the format this activity should take.
- C.6.8.7. The Value Management regime should be appropriate to the size and characteristics of the highway structures stock.

Prioritisation Criteria

- C.6.8.8. The Value Management process should be developed by suitably qualified and experienced staff who have a sound understanding of maintenance requirements and an awareness of longer term goals and objectives, as identified in the Asset Management Framework. The process should be transparent, encompassing the important prioritisation criteria, but it should also be flexible enough to assess a wide range of work and structure types. The sensitivity of the process to each prioritisation criterion should be fully trialled and the output assessed, possibly against predefined expectations.
- C.6.8.9. The Value Management process should include a range of prioritisation criteria that are appropriate to the characteristics of the highway structures stock and network. As a minimum, prioritisation criteria should be considered that relate to the following three categories:
- **Safety and functionality** – criteria in this category should seek to use information from the asset inventory and database to rank the importance of the need. Examples of criteria that could be considered are structure type, structure location, route carried, obstacle crossed, element condition, assessed capacity, height restriction and traffic flow restrictions. The criteria considered should influence the prioritisation score in an appropriate manner, e.g. as condition deteriorates the prioritisation score increases, as route classification increases the prioritisation score increases;
 - **Benefits and dis-benefits** – criteria in this category should seek to quantify in a simplified manner, the benefits and dis-benefits produced by addressing and not addressing a need. It may be more appropriate to use engineering judgement rather than an automated procedure. If the former approach is used it should be guided by a simple classification procedure, e.g. High, Medium or Low benefit/dis-benefit. Examples of benefits/dis-benefits that should be considered include lower or higher whole life costs, reduced or increased journey times, minimisation of network disruption, and integrating work items to achieve cost savings; and
 - **Socio-economic and environmental** – criteria in this category should cover the softer issues that cannot be readily quantified by an automated prioritisation process, e.g. local policies, user/customer perception, impact on local communities and businesses, environmental impact and sustainability considerations. A formalised approach should be developed that allows the reviewer, or workshop attendees, to quantify criteria easily, e.g. High, Medium or Low impact.
- C.6.8.10. Many of the above criteria can be assessed through a formalised risk analysis and risk assessment approach.
- C.6.8.11. During the development of the Value Management process, careful consideration should be given to the weighting of each criterion. While it is recognised that safety will be a motivating factor other issues should be addressed to ensure a balanced work programme, e.g. priorities of the Asset Management Framework. Otherwise the process may focus solely on more apparent maintenance needs and fail to address preventative maintenance requirements. The system should also provide robust and justifiable prioritisation scores.

C.6.8.12. The level of refinement depends upon the complexity of the network and the number of issues that have to be accounted for. The adopted system should allow for future development and have the ability to cope with increasingly complex situations.

Value Management Review/Workshop

C.6.8.13. The prioritisation criteria should be challenged in a formal Value Management review or workshop. In the context of this Code, a review is performed by one person, preferably the Bridge Manager, and a workshop is attended by more than one appropriately qualified and experienced person.

C.6.8.14. The review/workshop should assess each need in turn and give it a final prioritised score. The starting point for the review/workshop may be:

- **Un-prioritised workbank** – in this case the review/workshop must address all the prioritisation criteria. It is advisable to use a small number of important criteria in order to avoid the review becoming overly complex; and
- **Semi-prioritised workbank** – in this case an automated prioritisation would have already been performed based on the asset inventory and database information (primarily using the safety and functionality criteria). The review or workshop should therefore concentrate on the softer prioritisation issues that may not be appropriate for automation, e.g. **socio-economic and environmental**.

C.6.8.15. The cost estimates for the prioritised needs are compared against the 1 to 3 year funding plan. Starting at the top of the prioritised list, i.e. taking the most critical need first, the cost estimates are added together until they equal the 1 to 3 year budget.

C.6.9. VALUE ENGINEERING

C.6.9.1. Value Engineering is the process of developing an optimal solution to a maintenance need and reducing waste and inefficient aspects of design, construction and maintenance [Achieving Excellence in Construction]. Value Engineering takes the prioritised needs from the Value Management exercise and creates cost effective schemes that can be planned, scheduled and implemented.

C.6.9.2. The two key components of Value Engineering are option appraisal and scheme development. Important criteria that feed into these components include maintenance options and standards, Whole Life Costing and synergies with other schemes. Option appraisal, scheme development and Whole Life Costing are described below.

C.6.9.3. The full Value Engineering process is only appropriate for major schemes but a simplified process should be used to deal with moderate and minor works, where minor works should be grouped into those of a similar type to streamline the process.

Option Appraisal

- C.6.9.4. Option appraisal is necessary to identify the appropriate maintenance solution when there is more than one practical alternative for addressing the maintenance need. There may be only one practical maintenance option for many of the identified needs and it may have already been determined from the Identification of Needs and Value Management exercises. When there is only one practical maintenance solution, option appraisal is not required and the work item can be passed through to the scheme development process.
- C.6.9.5. The Value Management phase should have flagged up needs that are suitable for option appraisal. These needs should now be assessed by suitable personnel in order to identify the practical maintenance options. Personnel suitable for assessing options may include:
- Bridge Manager/engineer and other suitably qualified and experienced staff within the authority; and
 - external consultant and contractor staff with suitable experience and preferably a sound knowledge of the structures and network.
- C.6.9.6. It is beneficial to involve the aforementioned personnel as early as possible in the exercise as this may lead to alternative proposals that benefit the network and lead to long-term savings. Early contractor involvement may enable the cost of work to be more robustly informed and effectively assessed. This process increases confidence levels and makes achievement of the planned work regime more likely.
- C.6.9.7. The options should be analysed using Whole Life Costing to identify the most cost effective solution. Larger maintenance or improvement needs may merit the use of more sophisticated analysis techniques that account for a wider range of socio-economic issues, e.g. Multi Criteria Decision analysis. Expert advice should be sought regarding the suitability of applying more sophisticated techniques.
- C.6.9.8. Large upgrade or improvement schemes may require a formal public consultation exercise. In such cases, authorities should identify appropriate parties to include in the consultation, e.g. local residents and businesses, and give them a suitable opportunity to comment on the options proposed.

Scheme Development

- C.6.9.9. Scheme development is the effective combination of individual work items into schemes, in which each item makes best use of available funding and resources.
- C.6.9.10. Procurement routes have a major effect on scheme development and out-turn costs. Senior managers, Bridge Managers and budget holders should be involved in the choice of procurement routes. In choosing a procurement route due consideration should be given to obtaining value for money, monitoring quality and rewarding or penalising good/poor quality respectively. The adoption of supply chain partners helps in the effective choice of maintenance solutions because advice can be sought at an earlier stage. Early contractor involvement is one method available.

C.6.9.11. The scheme development process should focus on the minimisation of network disruption and minimisation of whole life costs without compromising other important aspects such as appearance, access arrangements, environmental and sustainability issues, etc. It should be recognised that it may not be possible to minimise both network disruption and whole life costs and a compromise may have to be accepted. When developing schemes a number of alternative techniques are available for combining work items, each having different outcomes. Commonly used techniques include:

1. **Combine different work items on one structure** - addresses all actions on one structure thereby creating one period of longer network disruption compared to several interventions of shorter individual disruption but possibly longer total disruption. This technique may have relatively high scheme costs because the contractor has to mobilise for a range of activities and possibly more than one contractor is required;
2. **Combine similar work types** – a scheme of works that concentrate on one specific work type or similar work types. This technique should achieve cost savings by procuring the work in bulk because mobilisation fees are reduced and the contractor is provided with a steady work stream. A disadvantage is increased network disruptions at a particular location because different contractors may visit one structure in order to carry out their specific activities; and
3. **Combine schemes based on route or area** – this technique is similar to technique 1 above except that it is extended to cover a series of schemes on a route. It should achieve cost savings by procuring the work in bulk because contractor mobilisation fees are reduced and they are provided with a steady work stream. A disadvantage is that a number of contractors are likely to be required, leading to the possibility of programme extensions, site conflicts and continued network disruption over a short period.

C.6.9.12. The developed schemes are used to prepare the Forward Work Plan.

C.6.10. PREPARE FORWARD WORK PLAN

- C.6.10.1. The Forward Work Plan is a detailed 1 to 3 year programme of work. This provides details of the schemes to be carried out in the 1 to 3 year period and their approximate annual phasing.
- C.6.10.2. The Forward Work Plan should draw together all the work that has passed through the Value Management and Value Engineering phases, i.e. developed schemes, and non-value managed work, e.g. inspections, structural assessments, routine maintenance and management of substandard structures.

C.6.11. MONITORING, REVIEW AND FEEDBACK

- C.6.11.1. The Annual and Forward Work Plan should be regularly monitored and reviewed to assess work delivery, i.e. planned programme and costs vs actual. Changes may be required to the planned schedule of works if it has deviated significantly from the original plan. Feedback loops should also be implemented to assess and record out-turn costs and the quality of the final solution (this data may also inform improvements).

C.6.11.2. The workbank should be continually reviewed to check that maintenance needs are being properly addressed and removed from the workbank once acted upon. It is helpful to record the dates when the scheme is included and removed from the workbank so the turnaround can be monitored.

C.6.12. IDENTIFY IMPROVEMENTS

- C.6.12.1. The Bridge Manager should continually seek to improve the efficiency and effectiveness of the maintenance planning and management process. Improvements to the maintenance planning and management process may align with improvements to the long term asset management planning process, and the Bridge Manager should seek to combine the work required on these improvements where appropriate.
- C.6.12.2. Feedback from inspections and maintenance work should be used to improve the accuracy and development of lifecycle plans and maintenance strategies. Out-turn costs should be used to improve workbank cost estimates, whole life costing and asset management planning.

C.6.13. STRENGTHENING PRIORITISATION BASED ON BD 79

- C.6.13.1. *BD 79 The Management of Sub-Standard Highway Structures* lists the factors which should be taken into account in any prioritisation of strengthening work. These include:
- risk of structure collapsing;
 - traffic delay costs caused by interim measures;
 - other social, environmental and economic consequences caused by interim measures;
 - the negotiability of alternative routes;
 - the cost-effectiveness of the strengthening (ratio of costs and benefits); and
 - other benefits from scheme.
- C.6.13.2. A Good Practice Guide on [Maintenance Prioritisation for Highway Structures: Phase 1](#) has been published by London Bridges Engineering Group (LoBEG).

WELL-MANAGED HIGHWAY INFRASTRUCTURE

PART D. LIGHTING

SECTION D.1.

INTRODUCTION TO PART D –

LIGHTING

D.1.1. INTRODUCTION

D.1.1.1. Part D of Well-managed Highway Infrastructure covers specific issues and themes regarding lighting, and includes the following asset types:

- lighting columns;
- lighting units attached to walls/wooden poles;
- heritage columns;
- illuminated bollards;
- illuminated traffic signs;
- columns and foundations;
- brackets;
- luminaires;
- control equipment, cables; and
- control gear, switching, internal wiring cabling (within ownership).

D.1.1.2. The overarching principles and common themes of maintaining highway infrastructure are covered within Part A. Asset specific guidance for highways and structures are covered in Part B and Part C respectively.

D.1.1.3. The [Management of Electronic Traffic Equipment](#) is covered within a separate Code of Practice.

D.1.1.4. The objectives of this Part of the Code are as follows:

- to encourage delivery of the right quality and amount of light in the right place and at the right time;
- to support a risk based approach for lighting management that is suitably recorded and documented;
- to deliver value for money through the adoption of appropriate technology;
- to encourage the development, adoption and regular review of policies for lighting operation and maintenance, consistent with the wider principles of integrated transport, crime reduction, sustainability and best value;

- to encourage harmonisation of lighting maintenance practice, where this is consistent with user expectations, whilst retaining reasonable diversity to accommodate local requirements; and
- to encourage the adoption of an efficient and robust approach in the collection, processing and recording of lighting asset inventory and condition data for the purpose of local and national needs assessment, including:
 - scenario planning and investment modelling;
 - management;
 - performance monitoring; and
 - electricity purchase.

D.1.2. FURTHER GUIDANCE

D.1.2.1. Guidance on general best practice and recommendations can be found on the following websites:

- [The Institution of Engineering and Technology;](#)
- [The Institution of Lighting Professionals;](#)
- [The London Lighting Engineers Group;](#)
- [The Highway Electrical Association;](#)
- [The Scottish Futures Trust;](#)
- [TRL;](#)
- [ADEPT; and](#)
- [Transport Advice Portal.](#)

Reduced Lighting

D.1.2.2. Increases in electrical energy charges have placed additional burdens on Local Authority budgets. As a result some Authorities have responded by reducing the period of operation of their highway lighting installations (for example instead of from dusk until dawn to perhaps dusk until midnight and then from 05:00hrs to dawn) or in some cases by switching off parts of the installation completely. The alternatives to the reduction or removal of street lighting should be considered such as the “[invest to save](#)” approach.

D.1.2.3. Work funded by the ADEPT, Transport Scotland, SCOTS and TfL has resulted in detailed case studies which have been published as free downloads from the [TRL website](#).

D.1.2.4. [The LANTERNS report](#) considered the risks of reduced lighting. The full report is available free from the Journal of Epidemiology and Community.

SECTION D.2. LEGAL FRAMEWORK – LIGHTING

D.2.1. INTRODUCTION

- D.2.1.1. General duties and powers are dealt with in Part A of this Code. This section contains information on duties and powers specifically related to lighting.

D.2.2. LIGHTING SPECIFIC LEGAL CONSIDERATIONS

- D.2.2.1. There is no statutory requirement on local authorities in the United Kingdom to provide public lighting. The following statutes empower local authorities to light roads but do not impose a duty.
- D.2.2.2. In England and Wales, the [Highways Act 1980](#) empowers a Highway Authority to provide lighting for any highway or proposed highway for which they are, or will be, the Highway Authority. District Councils and many Parish or Town Councils also have the power to provide lighting as local lighting authorities; these powers being conferred by the Public Health Act 1985, or the Parish Councils Act 1957. Where such Councils wish to provide lighting on a highway, the consent of the Highway Authority is required.
- D.2.2.3. In Northern Ireland, the Roads (Northern Ireland) Order 1993, Article 44 grants the Department for Infrastructure the power to provide road lighting, where the Department considers that any road should be illuminated.
- D.2.2.4. In Scotland, the Roads (Scotland) Act 1984, Section 35, empowers a local roads authority to provide lighting for roads, or proposed roads, which are, or will be, maintainable by them and which in their opinion ought to be lit.
- D.2.2.5. Highway Authorities have a duty of care to the road user. Any loss to an individual as a consequence of the inappropriate use of these powers may result in action being taken to recover the loss. Such action could be taken on several grounds:
- negligent exercise of power (including failure to use that power). There is no blanket immunity;
 - action for misfeasance of public office; and
 - breach of the common law duty of care (if it can be established).
- D.2.2.6. NOTE: This duty of care does not imply any duty on the Highway Authority to keep the public lighting lit. However, an authority responsible for the maintenance of public lighting should be able to demonstrate that they have systems in place to maintain the public lighting equipment in a safe condition, including the detection of dangerous equipment.

New Roads and Street Works

- D.2.2.7. [The New Roads and Street Works Act 1991 \(NRSWA\)](#) is an enabling act setting out the duties of Street Authorities to coordinate and regulate works carried out in the highway. All underground cables should be recorded in accordance with the Electricity Safety, Quality and Continuity Regulations 2002 (as amended) and the Code of Practice for Recording of Underground Apparatus in Streets.
- D.2.2.8. The [JAG\(UK\) website](#) contains a range of guidance, information and assistance.

Statutory Nuisance: Lighting

- D.2.2.9. In England and Wales street lighting is not specifically exempt from the legislation, but it is unlikely to qualify as a statutory nuisance as generally speaking it is not considered to be within the definition of 'premises'.
- D.2.2.10. In England and Wales the [Clean Neighbourhoods and Environment Act 2005](#) applies and Section 102 of the legislation makes artificial light a potential statutory nuisance.
- D.2.2.11. In Scotland the [Public Health etc \(Scotland\) Act 2008](#) applies.
- D.2.2.12. In Scotland street lighting is more exposed to complaint of statutory nuisance, as in addition to defining 'premises' as a source of potential statutory nuisance the Scottish Act also includes artificial light from 'any stationary object'. [Guidance documents](#) have been published by the Scottish Government,

Natural Habitats

- D.2.2.13. Local Authorities should be aware that under the [Conservation \(Natural Habitats, &c\) Regulations 1994](#) and as amended in 2007 European Protected Species of plants and animals receive protection.
- D.2.2.14. One such protected species on which artificial light can have adverse effects is bats and so care needs to be taken not to disturb the animals themselves or their roosts and habitats. Guidance is available from the [Bat Conservation Trust](#) and the [Institution of Lighting Professionals](#).

Traffic Management

- D.2.2.15. Guidance for Local Authorities regarding their general duties relating to network management including enforcement of network management duties the maintenance of records and information (e.g. including records and locations of apparatus) and the duty to inspect records etc. can be found in the [Traffic Management Act 2004](#) document.

Climate Change

- D.2.2.16. [The Climate Change Act 2008](#) empowered the government to set national targets for the year 2050 for the reduction of greenhouse gas emissions and to encourage energy users to meet the objectives of the Act, such as reducing such emissions or removing greenhouse gas from the atmosphere.
- D.2.2.17. The Act also introduces legally binding carbon budgets, which set a ceiling on the levels of greenhouse gases that can be emitted into the atmosphere. The ensuing Carbon Reduction Commitment was renamed to [CRC Energy Efficiency Scheme](#).

D.2.2.18. In summary, if the organisation is within the scope of CRC, then all unmetered electricity with the exception of lighting for domestic use, should be reported.

Crime and Disorder

D.2.2.19. Section 17 of the [Crime and Disorder Act 1998](#) states the duty to consider crime and disorder implications. The Crime and Disorder Act does not apply to Scotland or Northern Ireland.

Traffic Signs

D.2.2.20. [The Traffic Signs Regulations and General Directions 2016](#) prescribes the design and conditions of use of traffic signs on or near roads in England, Scotland and Wales. Further guidance is available in the form of [DfT Circular 01/2016](#).

D.2.3. CONSERVATION AREAS

- D.2.3.1. The introduction of the Civic Amenities Act 1967 gave legislative control to the protection of conservation areas which are defined as - 'an area of special architectural or historic interest, the character or appearance of which it is desirable to preserve or enhance.'
- D.2.3.2. Conservation Areas are designated more on local criteria than on national criteria and their designation is derived by a local authority with support and advice from [Historic England](#), the English Government's lead advisory body for the historic environment, and [Cadw](#), the Welsh Government's historic environment service. Consideration is given to the history, building style, important views and different activities performed in the area as well as other factors of which the exterior lighting may be one.
- D.2.3.3. After a Conservation Area has been designated it undergoes a dynamic process of assessment to preserve and enhance the character and appearance of the Area. A conservation area appraisal document should be developed and the maintenance and appearance of exterior lighting should be considered when an appraisal is put together.
- D.2.3.4. The maintenance and/or replacement of heritage equipment can be a costly process and financial constraints may have an effect on the decision as to which equipment may or may not be used. Alternatives to exact physical replacements of existing equipment which give the same 'feel' to the conservation area may be considered by the authority and proposals for alternative equipment should be investigated.
- D.2.3.5. A grant scheme may be available for preventative maintenance and repair of historic places, some examples of which can be seen below:
 - [Historic England](#);
 - [The Architectural Heritage Fund](#);
 - [Funds for Historic Buildings](#);
 - [Heritage Lottery Fund](#); and
 - [War Memorials Trust](#).

SECTION D.3.

ASSET MANAGEMENT INFORMATION

– LIGHTING

D.3.1. INTRODUCTION

- D.3.1.1. Asset data management is dealt with in the [UKRLG Highway Infrastructure Asset Management Guidance \(HIAMG\), Part B](#). This document should be referred to and the advice below considered supplementary.
- D.3.1.2. Asset management systems are dealt with in the [UKRLG Highway Infrastructure Asset Management Guidance \(HIAMG\), Part C](#). This document should be referred to and the advice below considered supplementary.

D.3.2. PRINCIPLES AND CONSIDERATIONS

- D.3.2.1. Lighting asset management systems should provide and support the following list of functions:
 - collection, storage and retrieval of inventory data and condition data;
 - works management and prioritisation;
 - production and reporting of national and local performance data;
 - deterioration modelling and life cycle planning;
 - management and storage, in electronic format, of drawings, photographs and reports;
 - identify different cleaning intervals for installations with different conditions, lamp types, environmental zones and luminaire IP ratings; and
 - identify different routine maintenance intervals for installations with different conditions, including for example: lamp types, LED configuration, Driver type, environmental zones and luminaire and gear compartment IP ratings.
- D.3.2.2. The asset management system should be kept up to date to ensure the currency of the data held, and responsibility for updates should be confirmed.
- D.3.2.3. Accurate recording of asset data, inspection records and maintenance activities is essential. A suitable monitoring regime should be in place to ensure good quality information is in use.
- D.3.2.4. Asset data will also support the calculation of Gross Replacement Cost and Depreciated Replacement Cost for lighting associated with highway infrastructure, as required for Whole of Government Accounts. Guidance on this is available from [CIPFA](#).
- D.3.2.5. Guidance has been developed on [Managing Unmetered Energy Street Lighting Inventories \(MUESLI\)](#), which covers the following:

- the proper establishment and maintenance of unmetered supply inventories for unmetered supply customers;
- appropriate practices for Distribution Network Operators when checking that inventories are accurate and being properly maintained; and
- procedures for remedial actions if material irregularities or discrepancies are identified.

D.3.3. CENTRAL MANAGEMENT SYSTEMS (CMS)

- D.3.3.1. Central Management Systems (CMS), also known as telemanagement, is a system that provides remote dynamic street lighting control. Using a CMS, the operator can choose exactly when to switch each individual street light on or off and/or by how much to reduce the lamp power. This allows any number of switching events and/or dimming levels. CMS can use web based technology to control lighting times based on official lighting up time and traffic conditions as well as fault reporting and warning of imminent lamp failure
- D.3.3.2. To ensure consistent records it is essential that there is an effective interaction between the inventory and CMS databases. CMS is best characterised as a communication system for providing ‘Monitoring’, ‘Reporting’ and ‘Control’ of street lighting.
- D.3.3.3. CMS allows detail monitoring and reporting of key aspects of the asset including:
- whether the light is operating as expected or not – i.e. faults or outages;
 - circuit characteristics - current, voltage, power factor;
 - switch on and off times;
 - adapting levels; and
 - total energy consumed (see Section D.7, trading arrangements).
- D.3.3.4. In addition, it is possible to include the following:
- predictive faults based on history to date and component characteristics;
 - breach of base compartment / door off; and
 - light output.

SECTION D.4.

ASSET CONDITION AND INVESTIGATORY LEVELS – LIGHTING

D.4.1. INTRODUCTION

- D.4.1.1. To maintain the service to the public there is a need to identify lighting units and illuminated traffic signs which have failed or have mechanical defects, and then to repair them within timescales based upon a risk based approach to managing the public lighting and illuminated stock. The time period from initial failure through identification and assessment to rectification should follow that in the authority's street lighting strategy, in line with the risk management principles set out in this document.
- D.4.1.2. Provision must be made to deal with emergency situations and to protect the public from danger, by dealing appropriately with events such as vandalism and vehicle impact within the authorities risk based response times.
- D.4.1.3. Failures such as twisted luminaires or rotated brackets do affect light distribution and, consequently, optical performance. All non-emergency faults should be subject to the same risk based response criteria as failed units.
- D.4.1.4. The efficient organisation of work schedules and routing, coupled with adequate materials and competent staff, will help keep the installation safe and maintained. The quantity and application of these resources should be set at levels which will meet the risk based response times for repairs.

D.4.2. MONITORING FOR INOPERATIVE LIGHTING

- D.4.2.1. Procedures should be implemented which identify failed lighting so that faults and urgency of response can be risk assessed. Methods of identifying lighting not working include:
 - periodic patrols at night at an appropriate frequency. Faults shall be recorded for subsequent transfer to the asset management system;
 - central management system (CMS), which remotely monitors the equipment with an electronic device at each luminaire which is capable of recording and reporting the status and/or failure (or imminent failure) of the equipment; and
 - the public can be encouraged to participate in monitoring by reporting lights out. Encouragement can include advertisements, notices on vehicles and lighting columns, and items in authority publications.
- D.4.2.2. Call handling staff should receive sufficient training to enable them to identify emergencies, and to assure appropriate coordination between them and emergency teams.
- D.4.2.3. CMS will report certain faults including outages and day-burners, and public reporting may also generate reports about mechanical defects including:

- wilful damage;
- overhanging trees and vegetation;
- vehicle damage;
- misaligned brackets;
- missing doors;
- unsecured or missing lantern bowls;
- missing identification numbers; and
- partial faults in LED lanterns.

- D.4.2.4. A system of assessment to evaluate the appropriate actions and responses on receipt of such information must be set up and operated.
- D.4.2.5. When using a Central Management consideration should be given as to how this information can be obtained proactively. The provision of a dedicated day or night scout at regular intervals may be needed to supplement these other methods.

D.4.3. RESPONSE TIMES

- D.4.3.1. Examples of typical reactive maintenance activities are given below:
- non-emergency faults involving the replacement of components of apparatus;
 - non-emergency faults involving the replacement of a complete unit of apparatus, including those made safe as emergency faults;
 - non-emergency faults requiring the replacement of mandatory traffic signs and illuminated traffic bollards, including those made safe as emergency faults;
 - non-emergency faults involving the repair or replacement of any of the DNO's / IDNO's equipment;
 - non-emergency faults requiring the removal from apparatus of any offensive and/or racist graffiti;
 - non-emergency faults requiring the removal of all other graffiti and/or any unauthorised attachments from apparatus;
 - non-emergency faults involving rectification of non-operating Belisha beacons and flashing school warning signs;
 - emergency faults, including the removal of unauthorised attachments that pose a safety hazard;
 - installation of a complete unit of apparatus; and
 - following completion of task, return of completed paperwork.

D.4.4. EMERGENCY SERVICE

- D.4.4.1. Parts of the installation may become a danger to the public as a result of incidents such as vehicle impact, cable damage, vandalism, storm damage and deterioration of components. Such incidents can result in potential danger and require emergency response.
- D.4.4.2. Arrangements should be in place to provide an emergency response at any time. Both the asset owner and service provider may be involved in processing and undertaking this work. The action to be taken will depend on a technical assessment at the time a report of damage or fault is received. Where situations arise which present a potential danger to health and safety, there is a need for an immediate attendance and a risk based practical maximum response time should be imposed.
- D.4.4.3. Staff involved in providing the emergency service must be competent and exercise their risk based judgement as to the action required, and those directly involved on-site must also have appropriate tools and plant to deal with the incident. There should be provision to mobilise additional resources to assist or to attend other emergency calls.
- D.4.4.4. The principal task must be to make the installation safe but in doing so there is a possibility that street lighting or illuminated traffic signs or bollards will be taken out of service. An assessment of the consequent road safety risk should be made and, if necessary, steps taken to carry out temporary repairs providing it can be done without endangering personal safety or that of the public. Traffic bollards are intended to guard obstructions in the carriageway and when damaged or removed a process to protect the road user from a potential impact with the island must be in place. In the absence of temporary repairs adequate signage and temporary warning lights should be provided.
- D.4.4.5. Due to the nature of emergency work, oral instructions are the most likely way of instigating an attendance. As soon as possible a Work Instruction should be raised to ensure the incident is properly tracked and recorded. Records should be kept of all relevant information, including:
- the time and source of the call-out;
 - time arrived and extent of work undertaken;
 - further work required; and
 - time left site.
- D.4.4.6. If the incident was a result of vehicle impact then details of the vehicle(s) should be recorded to institute procedures for the recovery of costs.

SECTION D.5.

INSPECTION, ASSESSMENT AND RECORDING – LIGHTING

D.5.1. INTRODUCTION

- D.5.1.1. The general principles to be applied to inspections, assessment and recording are outlined in Section 5 of Part A of this Code. This section covers guidance for each category of inspection relating to lighting assets.

D.5.2. DEFECT RISK ASSESSMENT

- D.5.2.1. Risk management is dealt with in the [UKRLG Highway Infrastructure Asset Management Guidance \(HIAMG\), Part C](#), and Section 5 of Part A of this Code.

D.5.3. ELECTRICAL INSPECTION AND TESTING

Introduction

- D.5.3.1. In terms of possible dangers from electricity, the Electricity at Work Regulations 1989 require all systems to be constructed, maintained and operated, so far as is reasonably practicable to prevent danger. In any action for contravention of these duties it is a defence to prove that all-reasonable steps and due diligence to avoid an offence had been exercised. To illustrate due diligence it follows that periodic inspections should be undertaken to understand whether or not an electrical installation may present a danger and prove that on the day of inspection the installation was in a safe condition.
- D.5.3.2. BS 7671 Requirements for Electrical Installations (formerly known as the IEE Wiring Regulations) do not themselves impose statutory requirements but state: “Installations which conform to the standards laid down in BS 7671:2008 are regarded by HSE as likely to achieve conformity with the relevant parts of the Electricity at Work Regulations 1989”.
- D.5.3.3. The IET Guidance Note 3 [Inspection and Testing](#) supports a risk based approach for inspection of electrical installations, stating: “The person carrying out subsequent inspections may recommend that the interval between future inspections be increased or decreased as a result of the findings of their inspection.”
- D.5.3.4. The co-ordination of electrical inspection and testing with other cyclic maintenance activities should be considered to help reduce disruption to the public; however this may not be the most cost effective means of carrying out this operation and separate personnel may be needed for this purpose.

Visual inspection of electrical equipment

- D.5.3.5. The nature and location of public lighting installations is such that visual inspection of the electrical equipment and wiring is of paramount importance. The condition of the electrical equipment and wiring should be visually checked at each cyclic maintenance or repair visit and its condition reported back to the asset owner. So far as reasonably practicable, the visual inspection should verify that the health and safety of persons, animals and property is not endangered.
- D.5.3.6. The general visual conditions of the electrical installation should be noted on the inspection report. However, if any particular item causes concern, it is recommended that the problem be detailed on an appropriate supporting schedule.
- D.5.3.7. During the visual inspection, any dangers should be identified that may arise during the testing procedure. The street lighting operative should take any necessary action and implement safety precautions to avoid danger. Where a problem is considered as dangerous, the item of equipment should be repaired immediately or taken out of service by removing the fuse from the supply termination until the fault has been rectified. Problems related to the Distributors cable or cut-out (cracked, broken fuse carrier, loose connection, exposed live conductors, etc.) should be reported to the relevant Distributor. See section 7. Under no circumstances should an electrically dangerous item of equipment be left in operation.
- D.5.3.8. Failure to carry out an electrical inspection must be recorded in the street lighting operative's report. A record should be made of any departure from the regulations.
- D.5.3.9. For further details on electrical inspections see refer to BS7671 and associated guidance including in particular Guidance Note 3.

Electrical Testing

- D.5.3.10. Testing should only be carried out by a competent person. All test equipment should be suitable for the test intended, correctly calibrated and regularly certified. For further details on electrical testing refer to BS7671 and associated guidance including in particular Guidance Note 3.

Electrical testing records

- D.5.3.11. The results of periodic electrical inspection and testing must be recorded.
- D.5.3.12. Records of maintenance, including electrical test results, should be kept in accordance with the agreed retention period of the organisation, enabling the condition of the equipment and the effectiveness of maintenance policies to be monitored. A computerised asset management system should allow electrical test certificates to be linked to the specific individual item of equipment, thus providing an efficient maintenance system.
- D.5.3.13. It should be noted that the scope of testing for highway lighting circuits and columns extends to 5th core distributor cabling in relation to the measurement of external earth fault loop impedance.

Capacitor replacement

- D.5.3.14. Capacitors should be replaced on failure. As the power factor of the circuit should be maintained at 0.85 lagging or above, it should be measured at each electrical test. It is possible that the most economical way of ensuring the power factor of the circuit is maintained, is by group replacement of the capacitors during the electrical test.

Surge Protection

- D.5.3.15. The operation of electronic equipment in street lighting can be severely affected by lightning or electrical switching events. These increases in voltages (surges or transient overvoltages) could possibly cause irreparable damage to equipment.
- D.5.3.16. A Surge Protective Device (SPD) is specifically designed to protect equipment from such events by redirecting the harmful voltage away from the equipment.
- D.5.3.17. SPDs should be checked, where practicable, during the periodic electrical inspection and test that it is still in a serviceable condition (Many SPDs have fault indicators that will show when the device has operated or has been damaged or destroyed by a surge).
- D.5.3.18. It is important prior to applying any insulation resistance tests, to establish if the installation has any SPDs installed. SPDs should be isolated during insulation resistance testing, as the SPD could operate, by treating the test voltage applied to the system as a transient overvoltage. (see [BS 7671](#))
- D.5.3.19. The type and use of SPDs varies between manufacturers and all maintenance should be carried out in accordance with the manufacturer's instructions. Further guidance can be found at the [BEAMA website](#).

Structural inspections and testing

- D.5.3.20. Structural failures of corroded lighting columns and illuminated traffic sign posts, together with under-investment in replacement, have raised awareness of the increasing age of the stock and its deteriorating condition.
- D.5.3.21. A visual inspection of each lighting column and illuminated traffic sign post should be carried out at every cyclic maintenance or repair visit and a report made, stating the equipment's condition and any remedial works required. Lighting operatives should have the competence to recognise specific defects in different types, materials and constructions of lighting columns and illuminated traffic sign posts and to assess the severity of the problem.
- D.5.3.22. Consideration should be given to inspecting and analysing lighting columns or illuminated traffic sign posts when removed from service, due to accident damage or replacement. The general condition of the unit, particularly the root section, will give an overall guide as to the condition of other similar units in similar locations and of similar age.
- D.5.3.23. Whilst visual inspections can provide a cost-effective means of assessing the general condition of the stock, they cannot identify internal or underground corrosion. The information determined from visual inspections should be recorded and used to develop further inspection and testing programmes as part of an overall assessment procedure for determining the condition of the stock.

Risk Assessment

- D.5.3.24. A strategy for the management of the structural safety of lighting columns and illuminated traffic sign posts should be developed and implemented. This strategy should include risk management procedures for prioritising the inspection and testing of lighting columns and illuminated traffic sign posts and the development of non-destructive testing programmes to determine the structural integrity of these items.

Structural Testing

- D.5.3.25. An assessment of the structural condition of lighting columns and illuminated traffic sign posts can be made by a number of methods. These methods vary from “indicative tests”, such as ultrasonic testing at critical points on the unit, to “strength tests”, such as a full dynamic test, where a unit is subjected to a load equivalent of the maximum design load and its deflection at ground level recorded. Indicative tests do not give a direct measure of the structural strength of the unit tested; the data has to be analysed to provide an indication of structural strength. Strength tests should provide an actual measurement of the residual structural strength of the lighting column at the time of testing.
- D.5.3.26. Most of the tests and in particular the strength tests need to be carried out by specialist contractors with the correct equipment and procedures.
- D.5.3.27. Structural testing should be carried out using a risk based approach. The risk based approach to structural testing should include the following factors for the testing of lighting columns and traffic sign posts:
- locations where the poor condition of the lighting columns has been established as a result of routine visual inspections or other reports;
 - environmental conditions;
 - lighting columns of greater than 8 m mounting height;
 - other steel lighting columns on classified roads;
 - steel lighting columns on other roads including residential streets;
 - results of previous inspections and tests;
 - age profile;
 - homogeneous asset groups;
 - known asset types with problems;
 - luminaire conversions;
 - unusual column foundations/footings;
 - types of lighting column posing a significant risk (e.g. those fitted with unauthorised attachments; steel columns with right-angled door openings; steel columns with hot swaged joints and brackets with missing bolts or sealing gaskets; and pre-stressed concrete columns with poorly fitted or missing spacing plugs);

- non-galvanized steel columns may be more prone to failure than older steel lighting columns or newer galvanized lighting columns;
- areas of high and frequent wind exposure;
- lighting columns mounted on over-bridges; and
- volume of traffic.

D.5.3.28. The above criteria should provide sufficient detail on which the testing of steel lighting columns and illuminated traffic sign posts can be prioritised. However, each authority should establish its own priorities based on the types, ages and condition of their stock. The results obtained from the testing programme should be iteratively reapplied to update and refine the process and to ensure that the most appropriate priorities are being addressed.

D.5.4. LIGHTING COLUMNS AND ILLUMINATED TRAFFIC SIGN POSTS

Inspection and assessment of protective coatings

- D.5.4.1. Lighting columns and illuminated traffic sign posts can be protected from the effects of the weather, pollution and other environmental elements. Steel lighting columns and illuminated traffic sign posts in particular will quickly deteriorate if they are not provided with a protective system such as hot dipped galvanizing. Further protection may also be given by the application of an additional protective system such as paint or powder coating.
- D.5.4.2. The condition of lighting columns' and illuminated traffic sign posts' protective systems, including the finish to aluminium, stainless steel or composite materials, should be inspected at each maintenance visit and a report on its condition submitted by the service provider to the asset owner. Maintenance street lighting operatives should have the competence to recognise the different types of materials used in manufacture of lighting columns and illuminated traffic sign posts and the different types of protective systems applied, together with the potential defects and severity of the defects applicable to each.

Protective coatings and their application

- D.5.4.3. The frequency for the reapplication of protective systems to lighting columns and illuminated traffic sign posts should be determined on a risk based approach taking account of the following matters:
- condition and age of equipment;
 - condition of existing coating;
 - level of atmospheric pollution;
 - location of equipment;
 - type of protective system used; and
 - other environmental factors.

D.5.4.4. Further guidance on the application and maintenance of protective coatings can be found in [National Highway Sector Scheme 19A](#) and the [lighting column technical forum](#).

D.5.4.5. Lighting columns are particularly vulnerable to corrosion underground and consideration should be given to extra protection to the root section and proportion of column directly above the ground.

D.5.5. LIGHT MEASUREMENT

D.5.5.1. The process for measuring lighting performance is set out in [BS EN 13201-2:2015](#).

D.5.5.2. Lighting measurements can also be used to verify the failure point of LED luminaires, where this is due to parametric failure (the most common failure mode), and also for non-LED lighting systems, to verify that a lamp change has taken place as part of a bulk lamp change cycle.

D.5.6. TREES

D.5.6.1. The effect of trees on the performance of the lighting installation should be considered at the design stage and care taken to minimise the need for unnecessary pruning and damage to the tree throughout the expected life of the lighting installation. Account should be taken of the inevitable growth in height and spread of the tree, and help and advice sought from an arboriculturist at the design stage.

D.5.6.2. Care should be taken to avoid unnecessary damage to roots and branches when erecting or removing lighting columns or excavating cable trenches. See [NJUG Guidelines for the Planning, Installation and Maintenance of Utility Services in Proximity to Trees](#) for further details.

D.5.6.3. More details can be found in Section B.4 of this Code regarding siting of trees, and clearance for vehicles.

D.5.7. RELIABILITY OF DATA

D.5.7.1. Asset data management is dealt with in the [UKRLG Highway Infrastructure Asset Management Guidance \(HIAMG\), Part B](#). This document should be referred to and the advice below considered supplementary.

D.5.7.2. Opportunities to ensure quality and reliability of data occur at a number of levels including:

- survey instructions and documentation;
- selection and appointment of staff;
- training;
- specification and procurement of surveys;
- audit procedures;
- survey procedures;

- data capture software;
- processing software;
- maintenance and calibration of equipment; and
- record keeping.

D.5.7.3. Considerable care should be taken in the derivation of locally enhanced versions of surveys to ensure that data can be extracted, without bias from the survey.

D.5.8. COMPETENCE

- D.5.8.1. Competence of staff is dealt with in the [UKRLG Highway Infrastructure Asset Management Guidance \(HIAMG\), Part C](#). This document should be referred to and the advice below considered supplementary.
- D.5.8.2. Employers of persons working on lighting installations, including client and contractor's personnel, must have a system in place to authorise and certify the level of competency of those employed and be able to demonstrate the necessary training and supervision to achieve and maintain the certified level of competency.
- D.5.8.3. Regulation 16 of the Electricity at Work Regulations states that: "No person shall be engaged in any work activity where technical knowledge or experience is necessary to prevent danger or where appropriate, injury, unless he possesses such knowledge or experience, or is under such degree of supervision as may be appropriate having regard to the nature of the work".
- D.5.8.4. Regulation 16 applies to any work relating to electrical equipment whether or not a risk of injury is actually present at that time.
- D.5.8.5. Some work, such as testing, may need to be carried out on live equipment and must only be carried out by an appropriately trained, skilled and experienced person competent in these activities.
- D.5.8.6. Competence requires training, technical knowledge and experience sufficient to provide:
 - adequate knowledge of electricity
 - adequate knowledge of the system to be worked on
 - adequate knowledge of the hazards which might arise and the precautions to be taken
 - adequate experience of electrical work
 - adequate experience of working on the appropriate system; and
 - ability to recognise at all times when it is safe for work to continue.
- D.5.8.7. Operatives should be trained and instructed to ensure that they understand the safety procedures which are relevant to their work and should only work in accordance with any instructions or rules.

- D.5.8.8. When operating or working on the DNO / IDNO cut-out the operative should be appropriately trained and, where necessary, approved by the DNO / IDNO.
- D.5.8.9. In some circumstances, operatives will need to be supervised where their technical knowledge or experience is insufficient to ensure that they can carry out the work safely. Supervisors must have their responsibilities clearly explained to them by the duty holder, as defined in the Regulations, who must decide on the degree of supervision required.
- D.5.8.10. Options for demonstrating on-site competence are National Highway Sector Scheme 8 (NHSS 8) and the associated Highway Electrical Registration Scheme (HERS) that sets out a reasonably practicable approach to the identification, achievement, recording and maintenance of competence. Some DNOs / IDNOs may require evidence of training and assessment to Electricity Association Engineering Recommendation G39/2 (which includes a reference to HERS). However reliance solely on G39/2 without additional training and assessment of competence would leave the employing organisation open to failures to meet the requirements of the Health & Safety at Work etc. Act, the Management of Health and Safety at Work Regulations, the Electricity at Work Regulations and the Construction Design and Management Regulations amongst others.
- D.5.8.11. By law all gas engineers in the UK must be on the [Gas Safe Register](#). Maintenance of gas equipment in lighting units should only be carried out by gas engineers registered with Gas Safe.

D.5.9. RECORDING OF INFORMATION

- D.5.9.1. Information from all inspections and surveys, together with any immediate or programmed action, including nil returns, should be accurately and promptly recorded, monitored, and utilised with other relevant information in regular reviews of maintenance strategy and practice. This is particularly relevant in the case of safety inspections.

D.5.10. DEVELOPMENTS IN SURVEY TECHNOLOGY

- D.5.10.1. Regular reviews of survey strategy should take account of new technologies and methods. This could include the use of in-vehicle location and communications technology to record the position of defects and to ensure that they are instantaneously recorded with the works gang. These defects should then be reviewed and prioritised for correction.

SECTION D.6.

PROGRAMMING AND PRIORITIES – LIGHTING

D.6.1. INTRODUCTION

- D.6.1.1. Programming and priorities are dealt with in the [UKRLG Highway Infrastructure Asset Management Guidance \(HIAMG\), Part B](#). This document should be referred to and the advice below considered supplementary.
- D.6.1.2. The general principles to be applied to programming and priorities are outlined in Section A.8 of this Code, with this section covering guidance relating to lighting assets.

D.6.2. PRINCIPLES

- D.6.2.1. A well-designed risk based cyclic maintenance programme will help to prevent the performance of the installation falling below the designed level; will identify any mechanical, structural, electrical or optical work necessary to maintain or increase the life of the installation; may reduce the incidence of faults; and check that the installation is safe.
- D.6.2.2. Cyclical maintenance programmes should be determined taking account of all variables including lighting system, light source, luminaire sealing, age and type of equipment and other requirements such as electrical testing. Whilst it is desirable to carry out as many of these tasks as possible on a single visit, the tasks required and the competency of the workforce may limit the range of work that can be completed at one time.
- D.6.2.3. The principles of maintenance are equally applicable to high-mast lighting. However, due to the added complexities of maintaining high-mast lighting, in particular the need typically to lower head frames for access for works, consideration should be given to carrying out a complete maintenance of the equipment, including group replacement of the lamps at appropriate intervals.
- D.6.2.4. Luminaire maintenance intervals may be set to correspond with group lamp replacement. The luminaire maintenance intervals should be calculated taking account of the maintenance factor and suggested luminaire maintenance factors are given in BS 5489.

D.6.3. MANAGEMENT OF MAINTENANCE

Strategy

- D.6.3.1. A lighting system requires inspection and maintenance to ensure that it is safe, operates correctly, continues to provide the designed performance and in order to maximise its useful life. Maintenance can be divided into two aspects:
- Routine or cyclical, a process of preventative maintenance carried out on a cyclical basis to help reduce or eliminate failures and to ensure the system is operating at its intended design outputs.

- Reactive, where failures of equipment are recorded and the equipment repaired or replaced.
- D.6.3.2. An asset management strategy covering the details of the service provision and the targets it is intended to achieve, should be implemented. The targets should be related to the defined policies of the authority. Performance management is covered in Section A.7 of this Code, and also the [HIAMG](#) document.

D.6.4. DESIGN FOR MAINTENANCE

- D.6.4.1. Equipment used in lighting systems should be selected, installed, maintained and operated to give a durable and efficient performance. Each item should be assessed for its potential life, availability, cost of spares and replacements, ease of maintenance, recycling/disposal and, when used in combination, compatibility with other components.
- D.6.4.2. Initial cost is important but it is whole life costs that should guide the final selection of equipment, including:
- ongoing maintenance;
 - energy;
 - traffic management;
 - carbon;
 - disposal costs;
 - performance of existing equipment; and
 - initial capital procurement costs.
- D.6.4.3. LED lighting is increasingly being deployed and there are often energy efficiencies from its use. However LED lighting systems are complex and appropriate guidance should be consulted before considering procurement.
- D.6.4.4. The Institution of Engineering and Technology (IET) have published the [Code of Practice for the Application of LED Lighting Systems](#) and [Recommendations for Energy Efficient Exterior Lighting Systems](#).

D.6.5. RECYCLING AND WASTE DISPOSAL

- D.6.5.1. Lamps and luminaires have to be recycled where possible and disposed of appropriately. Most lamps are considered hazardous waste. Lamp and Luminaire Producer Schemes, funded by a levy on new products, exist to ensure the disposal of such equipment in line with the WEEE Regulations and Environment Agency requirements. Examples of these can be found via the links below (other compliant schemes are available):
- [Lumicom](#); and
 - [Recolight](#).

D.6.6. COMMUTED SUMS

- D.6.6.1. ADEPT has published [guidance on the commuted sums mechanism](#), through which developers may be required to contribute to future maintenance of areas adopted by local authorities.

D.6.7. TRAFFIC SIGN AND BOLLARD MAINTENANCE

- D.6.7.1. Cleaning of sign faces should be carried out in accordance with the asset owners risk assessment and policy. Optical inspection and cleaning of illuminated traffic sign luminaires should be carried out in conjunction with the group replacement of lamps, or more frequently if necessary, to ensure the conspicuity of the sign.
- D.6.7.2. External cleaning of traffic bollards should be carried out in accordance with the asset owners risk assessment and policy. In areas of heavy traffic, and especially in winter, additional cleaning may be required. Such additional cleaning should be built in to the cyclic maintenance schedules. Optical inspection and internal cleaning of illuminated traffic bollards should be carried out in conjunction with the group replacement of lamps.
- D.6.7.3. Solar powered bollards utilising battery storage will need maintenance in accordance with manufacturers guidance to ensure effective operation throughout the night
- D.6.7.4. Further information regarding the maintenance of traffic signs can be found in Part B of this Code.

D.6.8. LAMP REPLACEMENT

Introduction

- D.6.8.1. There are two options for the replacement of discharge lamps and the asset owner needs undertake a risk based approach to determining which of these strategies it uses:
- group lamp replacement; under which all lamps of a similar type and burning hours in a particular area or street are replaced at the same pre-defined time; and
 - burn to extinction, under which lamps are replaced on failure.

- D.6.8.2. The legal requirements for the illumination of certain mandatory traffic signs may influence whether a group lamp replacement strategy may be adopted.

Burn to extinction

- D.6.8.3. A burn to extinction lamp replacement strategy will run all lamps until they eventually fail. The performance of discharge lamps depreciates over time and more significantly towards the point of ultimate failure, so just before failure the lamps will be emitting significantly lower levels of light than required by design. Best value will not be obtained from the electrical energy consumed, as at end of life lamps are performing well below optimal performance.

- D.6.8.4. With a burn to extinction policy each individual lamp will fail at a different time to its neighbours, this may lead to a peak of replacements being required in the winter months when lamps are burning longer and the risk of failure is higher, this places peaks and troughs in the workload. Eventually each street will contain a mixture of new and old lamps, some giving more light than others and leading to patchy lighting levels. While this may not be acutely obvious, frequent changes in light levels will fatigue the driver's eye, resulting in a road safety hazard.
- D.6.8.5. If a burn to extinction policy is adopted, then consideration should be given to introducing 'find and fix' night scouting. The alternative is that the authority will incur the financial and environmental cost of attending to widely dispersed and sporadic faults, which can be significant, both in urban and rural areas.
- D.6.8.6. Burn to extinction has also not been seen as good practice in the past because lamp lumen depreciation would normally be included within any designed lighting solution and this would then advise when an installation would start to drop beyond compliant design standards. Extending the lamp life until the lamp actually fails will run the risk of the lighting solution failing to deliver the illumination required for the task in hand.
- D.6.8.7. However, with the take up of LED, it is likely that Lighting Authorities will potentially operate these assets until failure which may be many years, while this may be the case, an authority should continue to understand that the lighting levels maintain their compliant design expectation.

Group lamp replacement

- D.6.8.8. Bulk lamp replacement is intended to replace all lamps in a series well before they reach the point of failure and before they begin to perform sub optimally in terms of energy consumed for the light generated. Advantages of a well-planned bulk replacement programme are that it will ensure isolated lamp failures are minimised and that the lighting system performance is maintained at an appropriate level throughout the life of the installation. It will also help to ensure that there is a reasonably uniform workload and expenditure profile within and across the years.
- D.6.8.9. The lamp replacement frequency should be determined by;
- the type of lamp;
 - the manufacturer;
 - the lamp wattage; and
 - its annual hours of operation.
- D.6.8.10. To take advantage of improved products, bulk replacement and cleaning intervals should be continually reviewed in line with the specific lamp manufacturers' performance predictions. In order to maintain their thermal characteristics LED lantern canopies may need more frequent cleaning of their external heat sink areas.

- D.6.8.11. Authorities that adopt a policy of bulk lamp change but then do not replace isolated lamp failures as they occur, should be aware that this may actually increase energy consumption and the likelihood of premature failure of the control gear, when it continuously tries to ignite a failed lamp.
- D.6.8.12. Group lamp replacement is generally seen as good practice reducing the risk of lighting solutions running below design standards.
- D.6.8.13. The proactive lamp change model generally provides owners with improved Value for Money and lowering cost through planned lamp change regimes. This maintenance approach enables service planning and accurate forecasting which supports good asset management.
- D.6.8.14. An assessment should be undertaken to determine whether a group replacement or a burn to extinction regime is most appropriate for the authority.

D.6.9. COMPATIBILITY OF COMPONENTS

- D.6.9.1. Compatibility of appropriate replacement components or assemblies may be an issue. Generic substitutes may not have the same visual appearance or give the same lighting performance as the original equipment. The main issues to be considered are:
- Lighting Performance. The original design for lighting any given road, footpath or area usually depends on optimising a number of factors, environmental, optical and functional (relating to anticipated use). From this process the optimum choice of luminaire performance and their spacing and mounting heights will be determined to achieve a specific performance in accordance with the requirements of the following:
 - [BS 5489-1:2013 Code of practice for the design of road lighting – Lighting of roads and public amenity areas;](#)
 - [BS 5489-2:2016 Code of practice for the design of road lighting – Lighting of tunnels;](#)
 - [BS EN 13201-2:2015. Road lighting. Performance requirements;](#)
 - [BS EN 13201-3:2015. Road lighting. Calculation of performance;](#)
 - [BS EN 13201-4:2015. Road lighting. Methods of measuring lighting performance;](#) and
 - [BS EN 13201-5:2015. Road lighting. Energy performance indicators.](#)
 - It is important that maintenance repairs do not introduce components (e.g. luminaires) or carry out adjustments (reflector positions, lamp positions, LED modules, surge protection, drivers) that affect the designed performance. Changes in luminaire type and / or LED modules will require assessment, prior to installation, to establish that the distribution and light control are at least equivalent either to that of the original installed or to the current requirements of the asset owner as set out in their policy;
 - Many high-speed roads are often subject to restrictions on the times that access can be made available for maintenance activities and therefore every

effort must be made to ensure that lights not working are repaired and put back into full operation in the shortest time on-site. Maintenance activities on restricted access roads have to be planned in advance and this should allow the purchase of the correct luminaires to replace those that need replacement. Care should be taken when ordering replacement luminaires to ensure that the performance matches those in situ on the road. Good records and knowledge of the lighting system will provide good guidance as to the quantity of units needed for maintenance purposes;

- Mechanical performance will also be affected by changes in mounting height, bracket out-reach, spigot angle and through the incorrect alignment of bracket and luminaire relative to the lit area;
- Lighting column replacement has to be considered on an individual basis as movement to a different location may affect light distribution and potentially reduce performance;
- Replacement control gear must be capable of operating the lamp no less efficiently than the original control gear. New or revised circuit wattages must be recorded in the inventory particularly as electronic ballasts have a lower consumption than wire wound ballasts;
- Operating hours. Photocells have standardised switching levels relating to a total number of operating hours per annum. The cells also have specific characteristics relating to power consumption, reliability and stability that effect the operating hours and the charging arrangements. Changes in photocell types and/or operating hours must be recorded in the inventory particularly as electronic cells have lower consumption than thermal cells and new cells typically have lower lux levels (e.g. 35/18) than those they replace;
- Increased weight, the replacement product should be checked for suitability with the structure that it is proposed to be fitted;
- Energy consumption of CMS nodes compared to that of any photocells being replaced; and
- CE Marking applies to lighting and associated equipment. Guidance on this is available in the [HEA / HEA-HEMSA Guide to the Construction Products Regulations \(CPR\) and CE Marking](#).

SECTION D.7.

SERVICE AGREEMENTS

D.7.1. INTRODUCTION

- D.7.1.1. To obtain or continue to have an unmetered supply an authority must comply with:
- the criteria identified in [The Electricity \(Unmetered Supply\) Regulations 2001](#);
 - the [NMRO](#) have issued guidance about compliance;
 - a Connection agreement with the respective Distribution Network Operator(s) (DNO). This agreement will follow the [national terms of connection](#); and
 - the obligations described in the Balancing and Settlement Code (BSC) for unmetered supplies captured in [BSCP520 and its associated documents](#).

D.7.2. SERVICE AGREEMENT

- D.7.2.1. The provision of public lighting is dependent on the supply of electricity through the network of the DNO or an Independent DNO (IDNO). An IDNO is an embedded network within a DNO area increasingly used for new domestic or commercial developments. The obligations on IDNOs and DNO are the same.
- D.7.2.2. [Ofgem](#) have set out a minimum level of service for new connections. This is currently covered under the Guaranteed Standards of Performance (GSoPs) set out by Ofgem. Departures from the GSoPs should mean that rebates for non-performance are made by the DNO / IDNO and if necessary, after exhausting the DNO / IDNO complaints procedure, recourse to Ofgem in terms of non-performance.
- D.7.2.3. It should be borne in mind that following a decision in the High Court (PN Daly Ltd and United Utilities Electricity PLC v Wigan MBC, 2003), it has been established that the works involved in the connection and disconnection of street lighting and other items of street furniture to the electricity distribution system are not “street works”, but are “works for road purposes”.
- D.7.2.4. Competitive arrangements are also now in place for connections, disconnections and transfers through the use of authorised Independent Connection Providers (ICP). DNOs / IDNOs are obliged to facilitate competition and also not to discriminate between their own business activities and that of competitors. Reference should be made in particular to the [Competition in Connections Code of Practice](#).

D.7.3. PROCEDURES FOR NEW INSTALLATIONS

- D.7.3.1. New installations include the following:
- new capital lighting schemes;
 - road improvement schemes;

- provision of connections and/or disconnections;
 - transfers; and
 - new services.
- D.7.3.2. The agreement or contact should detail the procedures to be followed by both parties when:
- placing orders;
 - notifying that equipment is installed and ready for connection; and
 - notifying that equipment has been connected.
- D.7.3.3. In order for the ICP or DNO / IDNO to comply with the required response time for a new installation the authority will need to supply relevant information:
- an accurate location of the equipment involved including:
 - postcode;
 - asset number;
 - location, road name and, for example, side of, rear of, outside house number, etc;
 - a map of the area (minimum size 1:1250 with the apparatus highlighted); and
 - Ordnance Survey co-ordinates or GIS co-ordinates.
 - a description of the work involved and the number of points involved.
- D.7.3.4. The estimate from the ICP / DNO / IDNO should include the following information:
- a plan showing the extent of the works together with any civil engineering works (for instance ducts) required from the authority;
 - a schedule detailing the estimated costs based on the standard schedule of rates where applicable; and
 - a breakdown of contestable and non-contestable works
- D.7.3.5. The authority may also request one or more ICPs to provide an estimate for the contestable elements. The authority, on accepting the estimate, shall provide an order for the works together with a programme of works.
- D.7.3.6. On installation of the new equipment, or when existing equipment is ready to be disconnected/transferred, the authority shall advise the ICP / DNO / IDNO advising that the site is now ready for their works.

- D.7.3.7. The authority should amend the Asset Management System accordingly as soon as practicable with all connections, disconnection and alterations. The relevant DNO / IDNO should also be recorded.

D.7.4. PROCEDURES FOR REPAIRS

- D.7.4.1. The agreement or contract should detail the procedures to be followed by both parties when placing orders.
- D.7.4.2. When the authority has identified a fault on a DNO / IDNO electricity service it shall notify the DNO / IDNO as soon as possible.
- D.7.4.3. The DNO / IDNO shall respond to faults within or better than the timescales set out in the [Electricity \(Connection Standards of Performance\) Regulations 2015](#) and the [Quality of Service Guaranteed Standards](#).
- D.7.4.4. The authority is responsible for providing a safe enclosure for the DNO service termination equipment and reporting any concerns or faults with the cut-out or service termination equipment.
- D.7.4.5. The authority should monitor the DNO / IDNO performance in order to validate or, if required, claim rebates. It should be noted that the DNO / IDNO is required to pay rebates for non-performance, there is no requirement for these to be claimed by the customer. Authorities should appreciate the necessity to ensure that DNO / IDNOs are provided with accurate and reliable information in a timely manner when they are requested to carry out work. Failure to do so may lead to a failure to enforce any remedial action or rebates.

D.7.5. CUT-OUTS

- D.7.5.1. Most authorities have the ability to operate the cut-out for the purpose of connecting internal wiring, withdrawing fuse carriers during maintenance of equipment and replacing failed fuse cartridges. This is included within ENA EREC G39/2 and the [Competition in Connections Code of Practice](#).

D.7.6. ELECTRICITY SETTLEMENT INVENTORY

- D.7.6.1. The Connection Agreement and the Balancing and Settlement Code (BSC) obligations require the authority to maintain an accurate inventory of all unmetered equipment. This inventory should be submitted to each of the DNOs who have connections on a frequency agreed with the DNO. If there are frequent changes to the inventory then this may be monthly but where few changes this may extend to annually.
- D.7.6.2. The content and file structure of the inventory submission is defined in the BSC Operational Information Document. The parties may agree an alternative format.
- D.7.6.3. The key data items are the Charge Code which is a 13 digit code defining the type of unmetered equipment and the Switch Regime defines the type of operation of the equipment (i.e. continuous, electronic photocell 35/18lux, or part night).
- D.7.6.4. [Generic LED Charge Codes and variable power switch regimes](#) have been produced by Elexon.

- D.7.6.5. The BSC website includes lists of approved Charge Codes and Switch Regimes and their associated information, such as chargeable watts. Equipment manufacturers apply for Charge Codes when they first place equipment on the [market](#).
- D.7.6.6. The asset management system should identify the relevant DNO / IDNO to which the equipment is connected and whether the connection is metered or unmetered.
- D.7.6.7. Unmetered supplies are based on an assumption that the authority maintains an accurate and up to date inventory. Under the Connection agreement the DNO can audit the identified street furniture and the inventory records to identify material discrepancies. The [Managing Unmetered Energy Street Lighting Inventories \(MUESLI\)](#) covers the audit methodology.

D.7.7. TRADING ARRANGEMENTS

- D.7.7.1. Unmetered supplies can be traded on a Half Hourly (HH) or Non-Half Hourly (NHH) basis. Most large unmetered supplies are traded on a HH basis.
- D.7.7.2. NHH trading uses the inventory to determine an Estimated Annual Consumption (EAC) using predefined annual hours which differ across 14 areas of GB.
- D.7.7.3. HH trading can utilise a PECU Array and/or CMS equipment switching information to give more reflective consumption data. The authority should contract with a BSC approved Meter Administrator to use the inventory and switching data to calculate HH data.
- D.7.7.4. Authorities should procure energy through their corporate procurement arrangements who normally employ a specialist utilities procurement organisation.

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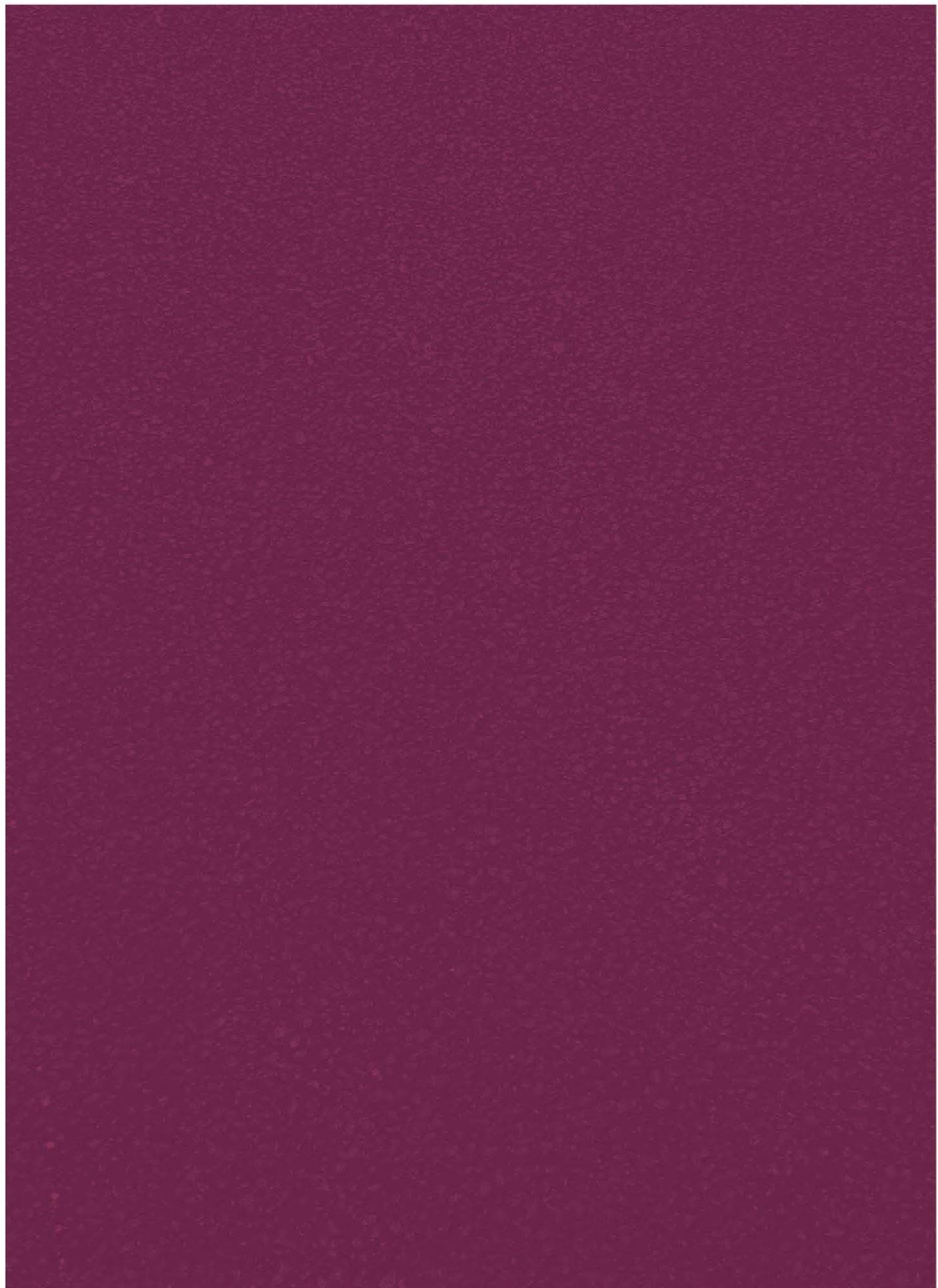
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Disclaimer

Whilst every care has been taken in the preparation of this Code, the authors stress that it is intended for guidance purposes only. No legal liability is accepted for its contents and the code is not intended as a substitute for legal advice. The views expressed do not necessarily reflect those of the sponsoring organisations.

UK ROADS LIAISON GROUP





Public Report
Cabinet and Commissioners' Decision Making Meeting

Summary Sheet**Name of Committee and Date of Committee Meeting**

Cabinet and Commissioners' Decision Making Meeting – 21 May 2018

Report Title

Removal of the public phone box at the junction of Stubbin Road and Cortworth Lane, Nether Haugh, S62 7RZ

Is this a Key Decision and has it been included on the Forward Plan?

No, but it has been included on the Forward Plan

Strategic Director Approving Submission of the Report

Damien Wilson, Strategic Director, Regeneration & Environment

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Ward(s) Affected

Hoober

Summary

BT has notified the Council of the proposed closure and removal of a phone box at Nether Haugh. Under Ofcom guidance the Council is required to undertake a two stage public consultation on the proposal. After considering any consultation responses the Council must then make a final decision as to whether it agrees or objects to removal of the phone box. This final decision must be made within 90 days of the Council being notified of the proposal by BT.

It was not possible within the 90 day timeframe for the Council's final decision to be made by Cabinet; thus the final decision to agree to the closure and removal of the phone box was made in consultation with the Cabinet Member for Jobs and the Local (as detailed in Appendix 1). This decision took into account an assessment of the phone box against a number of criteria, that the request for phone removal came from the community and not through a cost cutting exercise from BT, and that no consultation responses were received objecting to the removal.

Recommendation

That the final decision agreeing to the proposal to permanently remove the public phone box at the junction of Stubbin Road and Cortworth Lane, Nether Haugh be noted.

List of Appendices Included

Appendix 1: Final decision on the public phone box at the junction of Stubbin Road and Cortworth Lane, Nether Haugh, S62 7RZ

Appendix 2: Criteria for phone box retention

Appendix 3: Legislative information and procedures or removal

Background Papers

Ofcom guidance on procedures for the removal of public phone boxes (including required consultation requirements):

<http://stakeholders.ofcom.org.uk/binaries/consultations/uso/statement/removals.pdf>

Consideration by any other Council Committee, Scrutiny or Advisory Panel

No

Council Approval Required

No

Exempt from the Press and Public

No

Removal of the public phone box at the junction of Stubbin Road and Cortworth Lane, Nether Haugh, S62 7RZ

1. Recommendations

- 1.1 That the final decision agreeing to the proposal to permanently remove the public phone box at the junction of Stubbin Road and Cortworth Lane, Nether Haugh be noted.

2. Background

- 2.1 On 8 December 2017, BT notified the Council of the proposed closure and removal of this phone box. BT reported that a local resident has asked them to consider removing the phone box as it had become "a magnet for vandalism".
- 2.2 Ofcom guidance outlines a procedure for phone box removal, which necessitates that the Council consults on the proposal and that a final decision is made within 90 days of receiving the proposal from BT. Should the Council object to the removal of any phone boxes then BT must retain these in place and continue to maintain them for public calls (referred to as the 'local veto'). Where it is agreed that BT can remove phone boxes they will do so unless the kiosks are adopted by an appropriate group (following removal of the phone equipment).

3. Key Issues

- 3.1 Whilst an extension of time until 19 March 2018 was granted by BT, it was still not possible for the Council's final decision to be made by Cabinet by this date. Therefore a final decision to agree to the closure of the phone box was made in consultation with the Cabinet Member for Jobs and the Local Economy (see Appendix 1).
- 3.2 The final decision has been published and the Secretary of State and BT have been notified accordingly in line with the Ofcom guidance.

4. Options considered and recommended proposal

- 4.1 This report is for information and therefore Cabinet is recommended to note the submission made in consultation with the Cabinet Member for Jobs and the Local Economy.

5. Consultation

- 5.1 In line with Ofcom guidance the Council has consulted on the proposals by BT. No responses objecting to the removal of the phone box were received. The phone box was considered against the local criteria for removal (see Appendix 2).

- 5.2 In particular, it is noted that the phone box is located in an area of higher than average level of population over 75 years of age, in an area of below national average home ownership, and where there are fewer than 50 properties within 400 metres of the phone box. Normally, this would have resulted in the Council considering applying its local veto to prevent the removal of this phone box. However, it is recognised that there have been no calls from the phone box over the past 12 months and the area has mobile phone coverage by at least 3 networks. Taking these factors into account, and that the request for phone removal came from the community and not through a cost cutting exercise from BT, and that no responses were received objecting to the removal, a decision was made to agree to the phone box removal.

6. Timetable and Accountability for Implementing this Decision

- 6.1 Ofcom guidance advises on the role of the Council in objecting or consenting to public phone box removal within a time frame of 90 days of the initial notice being received. Following agreement with BT the 90 day period was extended and a final decision was required by 19 March 2018. The table below sets out the key dates relating to this process.

Receipt of notice from BT	8 December 2017
First consultation	8 December 2017 to 18 January 2018
Draft Decision made in consultation with the Cabinet Member for Jobs and the Local Economy	23 January 2018
Consultation on Draft Decision	29 January to 2 March 2018
Final Decision made in consultation with the Cabinet Member for Jobs and the Local Economy	8 March 2018
Deadline for response to BT and Secretary of State	19 March 2018

7. Financial and Procurement Implications

- 7.1 The consultation and associated administration costs of the public phone box removal proposals have been met from existing approved revenue budgets. BT previously confirmed that on removal of a telephone box their contractors will reinstate the ground surface to match the surroundings. Where these works are carried out on land owned by the Council, if any safety concerns are identified, then the Council can serve a notice on BT to make good any reinstatement and recover any costs incurred.

8. Legal Implications

- 8.1 The Council must ensure that the final decision made complies with the requirements of the Communications Act 2003 (set out in Appendix 3).

9. Human Resources Implications

9.1 There are no Human Resources implications arising from this report.

10. Implications for Children and Young People and Vulnerable Adults

10.1 There are no implications for Children, Young People and Vulnerable Adults arising from this report.

11. Equalities and Human Rights Implications

11.1 There may be residents who have limited access to mobile phones and land line connections, particularly those on low incomes and elderly people. The criteria set out in the Communications Act 2003 and the internally derived criteria as set out in appendix 2 have been used to assess phone box removal. In this instance, the results of this assessment were not considered sufficient to apply the local veto.

12. Implications for Partners and Other Directorates

12.1 There are no implications for Partners and Other Directorates arising from this report.

13. Risks and Mitigation

13.1 The risk to communities and individuals of the phone box removal has been reduced by considering the proposal against the criteria for phone box retention and public consultation on BT's proposals.

14. Accountable Officer(s)

Damien Wilson, Strategic Director of Regeneration & Environment

Approvals obtained on behalf of:

	Named Officer	Date
Strategic Director of Finance & Customer Services	Jon Baggaley	05.04.2018
Assistant Director of Legal Services	Sumera Shabir	09.04.2018
Head of Procurement (if appropriate)	Lorna Byne	10.04.2018
Head of Human Resources (if appropriate)	John Crutchley	05.04.2018

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This report is published on the Council's website or can be found at:
<http://moderngov.rotherham.gov.uk/ieDocHome.aspx?Categories=>

Appendix 1: Final decision on the public phone box at the junction of Stubbin Road and Cortworth Lane S62 7RZ

Decision by Rotherham Metropolitan Borough Council in response to a proposal by British Telecommunications plc for the removal of public call boxes pursuant to Part 2 of the Schedule to a Direction published by Ofcom on 14 March 2006 ('the Direction').

Telephone number	Address	Postcode	Decision (consent/object)	Reasons
01709 522863	Stubbin Road / Cortworth Lane	S62 7RZ	Consent	No objection was raised. Despite the phone box meeting local criteria developed for assessing phone boxes worthy of retention there has been no community support received in the consultation in favour of the phone box retention. It has been identified locally as a magnet for vandalism.

Appendix 2: Criteria for phone box retention or removal

The table below shows locally derived criteria and the criteria previously applied by BT for selecting phone boxes for removal

Local Criteria	Stubbin Road/Cortworth Lane Phone Box Assessment
Whether phone boxes are recorded as having had 52 or more calls in 12 months (this is equivalent to one call per week which is considered to be a reasonable level of usage).	No 0 calls over the last 12 months
Whether phone boxes are close to areas where highways injury incidents have been recorded.	Yes The collision record for the last three year period 14/11/14 – 14/11/17 for the location has indicated there has been one recorded slight collision.
Whether the subject is a red phone box (typically a "K6" box) located in a Conservation Area.	No
Whether sites are located in areas at high risk of flooding.	No
Whether phone boxes are in areas with: <ul style="list-style-type: none"> • a high level of population over 75 years of age, • is in an area of below national average home ownership and has • Fewer than 50 properties within 400 metres. 	Yes Phone box is in area with: <ul style="list-style-type: none"> • A higher than average level of population over 75 years of age (10.4% whereas borough average is 7.8%), • In an area of below national average home ownership (Home ownership is 54.8% whereas the national figure (England & Wales) is 63.6%) and has fewer than 50 properties within 400 metres of the phone box (46 properties).
BT criteria for the removal of payphones	
BT indicated that they do not propose to remove any public payphones located in <ul style="list-style-type: none"> • suicide hotspots, • accident blackspots, or in • areas without any mobile coverage • and BT would not remove payphones which satisfy all of the following criteria: are the only payphone within 800 metres and had at least 12 calls of any type within 12 months, that the local population is not fewer than 500 households within 1 kilometre of the payphone. 	<ul style="list-style-type: none"> • Suicide Hot Spot: status unknown • The collision record is as set out above. • Mobile coverage is available by at least 3 networks • Nearest Payphone over 1KM away, 0 calls from the phone over the last 12 months and fewer than 50 properties within 400 metres of the phone box

Appendix 3: Legislative information and procedures

1. Procedures set out by Ofcom, under the Communications Act 2003, require the Council to organise consultation with local communities about the proposed call box removal. The Ofcom guidance outlines a number of factors local planning authorities are advised to consider when making a decision over the proposed removal of public telephone boxes. It requires a draft decision to be made by the Council and the Secretary of State to be notified.
2. The Relevant Public Body must be satisfied that it acted in accordance with the six community requirements set out in section 4 of the Communications Act 2003 ('the Act'). These are:
 - To promote competition in the provision of electronic communications networks and services, associated services and facilities and the supply of directories;
 - To contribute to the development of the European internal market;
 - To promote the interests of all persons who are citizens of the European Union;
 - Not to favour one form of, or means of, providing electronic communications networks or services i.e. to be technology neutral;
 - To encourage network access and service interoperability for the purpose of securing competition in the electronic communication networks and services markets and the maximum benefit for customers of communications providers; and
 - To encourage compliance with standards necessary for facilitating service interoperability and securing freedom of choice for the customers of communications providers.
3. The consultation procedure then requires the Council to consult on the draft decision for one month and subsequently come to a final decision. A Final Notification (of the outcome of the second consultation) is published which details reasons for support or objection to BT's proposals. The Final Notification is to be sent to BT and the Secretary of State for Business, Enterprise and Regulatory Reform within 90 days of the original receipt of notification of the proposal for phone service closure from BT. BT cannot proceed to remove any call box that is the subject of objections supported by the Council in the Final Notification - known as the "local veto".
4. Full information on procedure and legislative requirements is given in Ofcom guidance on procedures for the removal of public call boxes:

<http://stakeholders.ofcom.org.uk/binaries/consultations/uso/statement/removals.pdf>



Public Report
Cabinet and Commissioner's Decision Making Meeting

Summary Sheet

Name of Committee and Date of Committee Meeting

Cabinet and Commissioners' Decision Making Meeting – 21 May 2018

Report Title:

The Transformation of Services and Support for People with a Learning Disability

Is this a Key Decision and has it been included on the Forward Plan?

Yes

Strategic Director Approving Submission of the Report

Anne Marie Lubanski – Strategic Director of Adult Care, Housing and Public Health

Report Author(s)

Janine Moorcroft – Head of Service for Provider Services
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Garry Parvin – Joint Head of Commissioning for Learning Disability, Autism and Transitions

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Ward(s) Affected

All

Summary

The purpose of this report is to set out the next steps in the transformation of services and support for people with a learning disability in line with the learning disability strategy, vision and the learning from the consultation with people and families.

The needs of people with a learning disability are continuing to change and are becoming more diverse. People and families have higher expectations of what it means to have an independent life in their community, and want more control over their lives.

There are a number of key steps that the Council needs to take to achieve the vision and the three year improvement journey for people with a learning disability.

Recommendations

1. That approval be given to the draft Learning Disability Strategy and approve future stakeholder engagement.

2. That approval be given to the development of a Rotherham Supported Living and Better Days Framework as detailed in the Learning Disability Strategy (Appendix C).
3. That approval be given to the transformation of the Learning Disability Services over the next two years which will see the services move from existing building based locations to alternative care and support that will be situated as close to the person as possible in their local community, using and developing existing resources and community buildings i.e. leisure centres and community provision. Oaks Day Centre, Addison Day Centre, Treefields, Quarryhill and Parkhill will be decommissioned.
4. That the Council continue to provide a service to people with high complex needs. The Elliott Centre and Maple Avenue buildings will be reviewed and may be moved to more suitable alternative premises should they become available.
5. That approval be given to the delivery plan which sets out how the Council will make sure all people with a learning disability have access to community based services that promote independence, wellbeing and social inclusion. This will ensure that:
 - Each person with a learning disability has a review based on a person centred approach, which will inform the support and services the Council needs to provide to meet their individual needs by 2020. A dedicated team of social workers with the support of the existing staff will undertake the reviews. This will also include advocacy support and engagement with carers.
 - Each person will have the opportunity to make sure every day in their life is meaningful, of value and leads to them having a 'Good Day'. Doing things which have a purpose; being in ordinary places doing things most other people in the community would be doing; doing things that are for the individual; making sure they receive the right amount of support; and are in touch with local people, developing friendships.
 - More people have the opportunity to participate in paid employment.
 - A strength based approach will be taken to develop a range of opportunities, including shared lives, use of personal budgets, develop skills for independent living provide support when the carer needs it and making sure more people have their own front door.

List of Appendices Included

- Appendix A Consultation Executive Summary
- Appendix B Delivery plan
- Appendix C Learning Disability Strategy
- Appendix D Equalities Analysis
- Appendix E Outcome following consultation held between September 2017 to December 2017.
- Appendix F Rotherham Case Studies

Background Papers

Vision and Strategy for Adult Social Care – March 2016

Implementing a Strategic approach to the commissioning and delivery of learning disability services- 26 May 2016

Consultation on the modernisation of the Learning Disability Offer and the future of In-house Services for Adults with a Learning Disability and/or Autism” on 14 November 2016

Transforming Care for people with Learning Disabilities, 2015

Care Act 2014/15

Mental Capacity Act 2005

Making it Real 2012

Think Local, Act Personal 2010

Valuing people now

Rotherham Housing Strategy 2016 – 2019

Together for Change Document (Learning Disabilities)

Full consultation document from online consultation (Sept 2017 – Dec 2017)

Consideration by any other Council Committee, Scrutiny or Advisory Panel

Overview and Scrutiny Management Board – 16 May 2018

Council Approval Required

No

Exempt from the Press and Public

No

The transformation of services and support for the people with people with a learning disability

1. Recommendations

- 1.1 That approval be given to the draft Learning Disability Strategy and approve future stakeholder engagement.
- 1.2 That approval be given to the development of a Rotherham Supported Living and Better Days Framework as detailed in the Learning Disability Strategy (Appendix C).
- 1.3 That approval be given to the transformation of the Learning Disability Services over the next two years which will see the services move from existing building based locations to alternative care and support that will be situated as close to the person as possible in their local community, using and developing existing resources and community buildings i.e. leisure centres and community provision. Oaks Day Centre, Addison Day Centre, Treefields, Quarryhill and Parkhill will be decommissioned.
- 1.4 That the Council continue to provide a service to people with high complex needs. The Elliott Centre and Maple Avenue buildings will be reviewed and may be moved to more suitable alternative premises should they become available.
- 1.5 That approval be given to the delivery plan which sets out how the Council will make sure all people with a learning disability have access to community based services that promote independence, wellbeing and social inclusion. This will ensure that:
 - Each person with a learning disability has a review based on a person centred approach, which will inform the support and services the Council needs to provide to meet their individual needs by 2020. A dedicated team of social workers with the support of the existing staff will undertake the reviews. This will also include advocacy support and engagement with carers.
 - Each person will have the opportunity to make sure every day in their life is meaningful, of value and leads to them having a 'Good Day'. Doing things which have a purpose; being in ordinary places doing things most other people in the community would be doing; doing things that are for the individual; making sure they receive the right amount of support; and are in touch with local people, developing friendships.
 - More people have the opportunity to participate in paid employment.
 - A strength based approach will be taken to develop a range of opportunities, including shared lives, use of personal budgets, develop skills for independent living provide support when the carer needs it and making sure more people have their own front door.

2. Background

- 2.1. People with a learning disability have been telling people who commission and provide services that they want the same quality of life as anyone else; that they have the same dreams and wishes as other people; and that they want the same chance as anyone else of being able to realise these dreams.
- 2.2. People with a learning disability want access to a wider range of services and support which are part of their local community; they want access to employment, jobs, good leisure time, friendships and to travel as independently as possible around the borough. Examples of what this looks like are contained within the Rotherham Case Studies (Appendix E).
- 2.3. The Community Catalysts programme has given people who currently attend a day centre the opportunity to try or ‘taste’ great local community activities, which has led to people feeling part of something of value and “ordinary”. The learning from this will inform the future development of services and support.
- 2.4. The needs of people with a learning disability are continuing to change and are becoming more diverse. People and families have higher expectations of what it means to have an independent life in their community, and want more control over their lives. This change is reflected in the declining numbers of people who have accessed traditional building based “day services” (Oaks - 0, Addison - 2, Adpro - 4) over the past two years. People and families are telling us they expect support and services to be more person centred, flexible, available during the day, evening and weekends, and are community based and as close to where the person lives as possible. People and families want more opportunity to contribute and be part of main stream life.
- 2.5. Good practice and national research tells us that it is possible for people to develop skills and gain greater independence through providing alternatives to day services. This is achieved through volunteering projects (such as cafes, volunteering in a community/hospital radio station, a park warden service and other services run by the large statutory organisations) and through real, paid jobs. There are people with high support needs in paid employment in places such as large department stores, supermarkets, and the entertainment sector. There are job share schemes, where jobs are broken down into a number of tasks and the tasks undertaken by a number of people who together complete the whole job. Some people become self-employed and are supported by the development of a number of projects, such as the ‘nursery project’, where people with learning disabilities learn about horticulture, work towards qualifications and producing a certain amount of produce which they can sell at local farmers markets. There are new ways of developing supported employment by bringing together employers and work with them strategically and supportively to employ people from many different under-represented groups, including people with a learning disability.
- 2.6. The Department for Education has recently made changes to the regular minimum English and Maths requirements needed to complete an apprenticeship for people with a learning difficulty or disability. These changes will allow more people to access apprenticeships through local colleges and educational providers and move into paid employment.

- 2.7. The Care Act 2014 reinforces national policy for adults with a learning disability, including the core principles in Valuing People (2001), and Valuing People Now (2009): rights, independence, choice and social inclusion. It reaffirms the principles of personalisation, legislating for Personal Budgets and requiring local authorities to promote Direct Payments. For example, a person with a learning disability can use their direct payment to employ personal assistance to support their care needs in their own home and help them travel to the local college, rather than relying on a care agency, who may send different people each time and would not spend all the allotted time with them. Assessments should build on individual, family and community strengths, support access to universal services and aim to prevent, delay or reduce people's dependency on services and transitions for young people with a learning disability into adulthood must be effective.
- 2.8. Rotherham Council faces significant challenges. Some local services are out of date, expensive, and need to change if the Council is to meet people's expectations for the future. The current building based services of day care; respite and residential care restrict independence, choice and control and may not provide the best outcomes for the customer. In addition the model is not in line with government policy, good practice and does not provide value for money when looking at other Council's offers.
- 2.9. The Council is also facing severe financial pressures, and there is an increase in the number of people with a learning disability. Higher numbers of people with a learning disability are reflected in the proportion of 2017/18 budget spend with 30% of all Adult Care expenditure being spent on people with a learning disability. It is recognised that the current service spends a net £20.4m on learning disability services for approximately 750 people.
- 2.10. Recognising the challenges facing the Council, a review of the learning disability services began in 2015, resulting in a number of Cabinet reports and consultation with the people who use services. The review is integral to the Council's overall vision for transforming social care and builds on the principles of the Care Act 2014 and the need to move away from traditional building based support.
- 2.11. The Learning Disability Strategy sets out the Vision for services for the next two years and the direction of travel to achieve this ambition.

Our vision is that in two years' time:

The Services	will provide high quality care and support to people with a learning disability and their families.
	will actively promote people's wellbeing, helping them have a good life and be as independent, healthy and well as possible.
	will be more diverse so all people with a learning disability in Rotherham, whatever their age, background, or level of need, will have more choice in their support.
	will move away from traditional building based or institutional form of support and will focus on support which is personalised, flexible and meets people's individual needs.
	will help people work together and pool their personal funds so they can share their support and sustain meaningful and rewarding relationships.
	will provide the best value for the people of Rotherham.
Improved Accommodation and Support	will enhance the local offer and ensure that there is support for people who live away from their families. Housing will be of high quality, with more people having their own "front door" and the support will promote people's independence and wellbeing, offering dignity and privacy.
	will ensure fewer people with a learning disability live out of Rotherham, and people who need and want to return will have been helped to do so.
A Focus on Work and Skills	will ensure that more people with a learning disability will be in paid work and volunteering opportunities, working alongside the rest of the community.
An Inclusive Approach	will be promoted throughout everything the Council does. More people with learning disabilities will be doing more within their community. Support will build on resources in the community, tackle barriers to social inclusion and reduce dependence on social care services alone. The Council will stimulate creative and innovative ways to make this happen.
	will enable people to say they have been fully included and involved in the planning and implementation of changes over the next two years.
Enhanced Information and Advice	will enable more coordinated information about services and support to be shared across all relevant agencies.
Carers	will have improved support available to them in their own right, making life better for people with learning disabilities who live in the family home. This will include comprehensive carers assessments and a diverse approach to respite.
Improved Transition	will enable young people with a learning disability to positively move into adulthood.
Strong Partnerships	will ensure that services and support are joined up across Rotherham in both the voluntary and statutory sectors.

2.12. Previous reports from 2016/17 have acknowledged that this approach will be a three year improvement journey to ensure the success of the future model and to build on the vision for Rotherham. The Council therefore envisage changes to continue until 2020 to allow sufficient time to develop alternative community enterprises, build on our employment offer and for the transition time that will be required for customers.

3. Key Issues

3.1. The purpose of this report is to set out the next steps in the transformation of services and support for people with a learning disability in line with the learning disability strategy, vision and the learning from the consultation with people and families.

3.2. The consultation commencing September 2017 was undertaken and guided by best practice in co-production with people with a learning disability and their carer. The findings from the consultation found that people with a learning disability expressed the following views;

- People were anxious about any changes and loss of contact with their friends.
- People wanted to do more things outside of the day centre and more activities in the community.
- People wanted more opportunities for real employment.
- Respite services are important to carers but not all carers have access.
- Across all groups consulted with, on average, at least 32% (up to 45%) of people were either unsure what services should look like in the future or they didn't want them to look the same.
- One third of carers want the services to remain the same, while another third want the same and more investment and the final third want more integration into the community (Appendix A).

3.3. There are a number of key steps that the Council needs to take to achieve the vision and the three year improvement journey for people with a learning disability.

- The Council needs culture and practice in Rotherham to change so it is based on high expectations of people's capabilities and their ability to develop new skills (whether they live with, or away from their families), and recognises that unnecessary dependence on institutionalised services is 'disabling'.
- The Council will require major improvements in the quality of community-based services, including robust, preventative and proactive care. This will involve innovative approaches including the rapid development in assistive technology.
- The need to ensure that the Council has a spectrum of support in place which meets the needs of all people, including those with significant and complex needs and those in a caring role, who may require support in a building environment whilst optimising their independence.

- The need to make sure pathways are developed to meet the changing needs and expectations of younger adults with a learning disability, at the same time as meeting the changing needs of an ageing population.
- The Council needs to ensure that the assessment and commissioning process understands and practices within the principles of Person Centred Planning and looks at the person's whole life. It is acknowledged that people may need to be supported to be actively involved in their care planning and consideration will be given to provide advocacy support to facilitate involvement in care planning and review.
- The Adult Services Change Programme Board will oversee the transition from a centre-based to a community-based service, as the Council moves from reliance on building and service based model. Commissioning will lead on the reconfiguration of services/support and the transition to community based model (Appendix B sets out the delivery plan over the next two years for the transformation of services moving away from a building based model, with key milestones and targets).
- Maximise the availability of different revenue streams to ensure equal access to mainstream opportunities.
- Ensure the voluntary sector services know how they link into the modernisation.
- Develop a robust communication strategy to ensure people and their carers receive reliable and timely information and are fully engaged and included in the modernisation of services as the Council moves forward.

- 3.4. Progress and updates on the learning disability modernisation programme will be monitored and managed by the Adult Services Change Programme Board which is chaired by a national expert, with the involvement and regular reporting to the Learning Disability Partnership Board.
- 3.5. Over the next two years the Council aims to realise our vision and strategy for people with a learning disability. This will improve people lives, aspirations and opportunities and make sure all people with a learning disability have access to community-based services that promote independence, wellbeing and social inclusion. It will be the difference between "having a life rather than just a service".
- 3.6. The Council understands that changes can create anxiety and will be respectful of this. The Council will consider and take into account the learning from the consultations that have taken place and will develop a robust communication and engagement strategy to ensure people with learning disabilities, their families and carers receive reliable and timely information and are fully engaged and included throughout the development of plans.

4. Options considered and recommended proposal

- 4.1. **Approve the Transformation of services and the move away from segregated building based support, as outlined in the delivery plan (Appendix B)**

The current building based services of day care, respite and residential care restrict independence, choice, and control and may not provide the best outcomes for the customer. In addition it is not in line with government policy and good practice and does not provide value for money.

Differing estimates make needs analysis of the population very difficult. What the Council does know is that people are living longer with complex health problems and profound and multiple learning disabilities. Younger people with learning disabilities have different expectations about the support they require than older people with learning disabilities .The Council needs to enable people with learning disabilities to be supported in the most appropriate way to meet their needs taking into account both quality and cost.

A third of the people and families who took part in the consultation want more integration into the community.

“My son has never used day centres - they can be good for other people but I prefer to have my son out of day centres and be in college with other students and do more community based activities.” (Appendix A. Executive summary of the consultation on the modernisation of In-house services for Adults with a learning disability and or Autism:Sept- December 2017, Cabinet approval 10th July 2017)

The delivery plan sets out how the Council will make sure all people with a learning disability have access to community based services that promote independence, well-being and social inclusion. The Council will do this by ensuring;

- Each person with a learning disability has a review based on person centred approach which will inform the support and services the Council needs to provide to meet their individual needs by 2020. A dedicated team of social workers with the support of the existing staff will undertake the reviews. This will also include advocacy support and engagement with carers.
- Each person will have the opportunity to make sure each day in their life is meaningful, of value and leads to them having a ‘Good Day’. Doing things which have a purpose; being in ordinary places doing things most other people in the community would be doing; doing things that are for the individual; making sure they receive the right amount of support; and are in touch with local people, developing friendships.
- More people have the opportunity to participate in paid employment.
- A strength based approach will be taken to develop a range of opportunities, including shared lives, use of personal budgets, develop skills for independent living provide support when the carer needs it and making sure more people have their own front door.

Examples of alternative support/provision can be seen in the Rotherham Case Studies (Appendix E).

4.2. To approve the learning disability strategy and the development of a Rotherham Supported Living and Better Days Framework as detailed in the strategy (Appendix C).

The learning disability strategy sets out the vision and direction of travel for the next two years including the aims for a greater choice of supported living options in Rotherham.

4.3 Take no further action.

This option is not viable and therefore is not recommended. The option does not tackle the need to change and transform service in-line with the requirements of the Care Act 2014. Further, the vision and aspirations outlined within the Draft Learning Disability Strategy would not be met as this would not offer any choice and control to customers to move on to live independently or to promote independence.

5. Consultation

- 5.1. Since 2015 there have been a number of consultation and engagement sessions which have taken place with people and families of Rotherham. This has included a wide consultation on the Learning Disability and Autism Offer for Rotherham and more recently a specific consultation on the Learning Disability In house provision. This is referenced in Appendix A of the report.

6. Timetable and Accountability for Implementing this Decision

- 6.1. The timescale for delivery is set out in the attached Delivery Plan (Appendix B).
- 6.2. Commissioning will drive through the change as part of the Learning Disability Strategy.

7. Financial and Procurement Implications

- 7.1. The current spend on adults with a learning disability is £20.4m. As part of the budget setting process for 2017/18 and 2018/19, £3.4m of potential savings were agreed based on a review of services provided. The items identified in the Delivery Plan will contribute towards the required saving. The actual amount saved will be dependent on individual assessments which will focus on better outcomes for service users.

8. Legal Implications

- 8.1 The Care Act 2014 sets out that the general duty of a local authority in exercising a function under the Care Act is to promote an individual's wellbeing in decisions made with and about them. This duty extends to meeting needs for care and support where the eligibility criteria are met.
- 8.2 The legislation sets out specific duties of local authorities including:
 - to provide or arrange services that help prevent people developing needs for care and support or delay people deteriorating such that they would need on going care and support.
 - providing information and advice that people need to make good decisions about their care and support; and
 - having a range of quality and appropriate services to choose from.

- 8.3 Local authorities are required to approach assessments looking at an individual's life in a holistic way and to consider their needs in the context of what they can do and what their goals and priorities are; and how the people involved in their life can support them to achieve the same.
- 8.4 The Care Act s12 and the Care and Support (Assessment) Regulations 2014 specify local authorities should ensure that appropriate and proportionate assessments are undertaken including effective participation of the person being assessed.
- 8.5 While there is no timescale for assessment in the Care Act or associated regulations, the statutory guidance to the Care Act sets out that:

"An assessment should be carried out over an appropriate and reasonable timescale taking into account the urgency of needs and a consideration of any fluctuation in those needs. Local authorities should inform the individual of an indicative timescale over which their assessment will be conducted and keep the person informed throughout the assessment process"

(Care and Support Statutory Guidance (2014), para. 6.29)

- 8.6 This is supported by guidance from the Local Government Ombudsman stating that they normally consider it reasonable for an assessment to be carried out between four to six weeks from the date of the request for assessment.
- 8.7 While the Council is entitled to take the account of resources when assessing needs and deciding what arrangements to make to meet needs, once a decision has been made that it is necessary to make the arrangements, the Council is under an absolute duty to make them.
- 8.8 Direct Payments are a mechanism for personalised care and support, giving individuals more choice and control and a means to commission their own care. The Council has a key role in promoting the use of Direct Payments.

"A Direct Payment (DP) is money given to individuals by social services departments to buy the support they have been assessed as needing. A Direct Payment can ensure people have the kind and amount of support they need to live their lives as fully, as freely and with as many choices and opportunities as they can". (SCIE good practise and guidance.)

- 8.9 Local authorities are required to consider the following:
 - what services, facilities and resources are already available in the area (for example local voluntary and community groups), and how these might help local people
 - identifying people in the local area who might have care and support needs that are not being met
 - identifying carers in the area who might have support needs that are not being met

- 8.10 In discharging this duty, local authorities are required to work with their communities and provide or arrange services that help to keep people well and independent. This should include identifying the local support and resources already available and helping people to access them.
- 8.11 The Council currently discharges its duties to adults with a learning disability through a combination of in-house services and externally provided services. As set out in this report, the Council has carried out a thorough consultation exercise (Appendix A) which has been considered in making the recommendations set out in this report.
- 8.12 The Council must ensure it complies with its duties under the Equality Act 2010. Under Section 1 of that Act the Council must, when making decisions of a strategic nature about how to exercise its functions, have due regard to the desirability of exercising them in a way that is designed to reduce the inequalities of outcome which result from socio-economic disadvantage. In addition under Section 149 of the Equality Act, the Council must comply with the public sector equality duty which requires it to have due regard to the need to:
- Eliminate discrimination, harassment, victimisation and any other conduct that is prohibited by or under the Act.
 - Advance equality of opportunity between persons who share a relevant protected characteristic and persons who do not share it.
 - Foster good relations between persons who share a relevant protected characteristic and persons who do not share it.
- 8.13 In dealing with this duty, the Council must have due regard in particular, to the need to:
- Remove or minimise disadvantages suffered by persons who share a relevant characteristic that are connected to that characteristic.
 - Take steps to meet the needs of people who share a relevant protected characteristic that are different to the needs of persons who do not share it.
 - Encourage persons who share a relevant characteristic to participate in public life or any other activities where their participation is disproportionately low.
- 8.14 Protected characteristics include disability, age, race, sex, religion or belief, gender reassignment, marriage and civil partnership, pregnancy/maternity and sexual orientation.

9. Human Resources Implications

- 9.1. The staffing establishment supporting the current Learning Disability service model will need to be reviewed in line with the modernisation of the service. As such a robust consultation will need to commence with all affected employees as per Council policy on restructure and change management. A reduction in staffing numbers may be inevitable and where possible redeployment will be considered in order to avoid redundancy processes.

10. Implications for Children and Young People and Vulnerable Adults

- 10.1. The development of a range of high quality sustainable opportunities for future customers who may transition from children's services will help these young people to maintain their skills and have choice and control over where they live and how they spend their time. Services will be local to where people live and customers will become fully integrated within their local communities. Through the transition board progress has been made to gain an understanding of whom the younger people are and identify any needs at an earlier stage and the impact on Adult Services. This will form a key work stream to be taken forward.
- 10.2. The Council have engaged with young people and attended events such as the "parent's partnership group". Work has taken place with the Strategic Commissioner in CYPS to ensure that the strategies across the services are aligned. There has been development with the schools in Rotherham to build better working relationships and solutions for younger people.

11. Equalities and Human Rights Implications

- 11.1. The attached is the Learning Disability Equality Analysis (Appendix C) for the Adult Social Care Development Programme. There will be a need to work on individual analyses that relate directly to each area. There will be work with customers to co-produce an equality analysis for each decision made.

12. Implications for Partners and Other Directorates

- 12.1. There is a need for a clear engagement and communication/media plan. There will need to be a working group that would drive this project and include dedicated officers from a variety of teams including the communications team.

13. Risks and Mitigation

- 13.1. The risks of not agreeing to the recommendations are that the aspirations and outcomes for people with a learning disability may not be achieved.
- 13.2. There is a risk that the savings identified for 2017/18 will be delayed and that this will leave a pressure within existing budgets. Alternative options will therefore need to be identified in order to achieve a balanced budget.
- 13.3. Young people coming through transition will have limited choice if alternative service models are not developed in a timely way.
- 13.4. Market development as part of Shaping the Future Strategy, and more specifically highlighted in the Market Position Statement will be required to deliver the alternative solutions with the proposed decommissioning as outlined within the report. Effective engagement will increase the range of options available to facilitate further transformation.

14. Accountable Officer(s)

Richard Smith - Interim Assistant Director of Independent Living and Support
 Anne Marie Lubanski - Strategic Director of Adult Care, Housing and Public Health
 Nathan Atkinson - Assistant Director of Strategic Commissioning.

Approvals obtained on behalf of:

	Named Officer	Date
Strategic Director of Finance & Customer Services	Julie Copley	06.04.2018
Assistant Director of Legal Services	Neil Concannon	13.03.2018
Head of Procurement (if appropriate)	Neil Murphy	21.02.2018
Head of Human Resources (if appropriate)	Kay Wileman	13.03.2018

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Learning Disability Consultations

Executive Summary

This Executive Summary sets out the key points of the two separate Learning Disability consultations which took place from December 2016 and February 2017 to gain people's views about what future support and services should look like for people with Learning Disabilities.

1. The Consultation

- 1.1 The first public consultation took place from 5 December 2016 to 2 February 2017 with customers and residents of Rotherham regarding the Learning Disability and Autism offer.
- 1.2 The 90 day consultation provided a questionnaire which was co-produced with the not for profit organisation Speak Up. This asked for input from customers, carers, staff and members of the public on the Learning Disabilities and Autism offer within Rotherham.
- 1.3 The questionnaire was available online by hard copy on request and information was also captured through 23 separate engagement events across the borough.
- 1.4 There were 627 people from across Rotherham who engaged in the completion of questionnaires or attended one of the 23 engagement opportunities (one to ones, focus / discussion groups). This consisted of customers, carers, staff, members of the public and stakeholders, and young people who may access services in the future.
- 1.5 A total of 487 questionnaires were completed either online or via requesting a hard copy.
- 1.6 70% of the customers who completed the questionnaire had a Learning Disability and 5% had Autism. The majority were young with 70% being under the age of 45.
- 1.7 The second piece of consultation took place from 27th September – 22nd December 2017 and focussed on people thoughts and opinions of the current in house services provision.
- 1.8 The online questionnaire was co-produced with over 100 people and was easy read. Hard copy questionnaires were provided upon request. In addition to the online questionnaire there was a series of engagement sessions across the borough.
- 1.9 People with a learning disability, carers, and stakeholders had the opportunity to engage digitally through a range of methods including, on line questionnaire, planned webinars' and a dedicated inbox for more individual and specific enquires.
- 1.10 The total online questionnaires completed were 497 with 47 people attending engagement sessions.

2. Key Themes from the two consultations.

- 2.1 There were some key themes from the consultations that have informed the development of the Learning Disability Strategy, the future vision and the delivery plan (see Appendix C).

2.2 Support to improve Choice and Control. 15% of those who responded said that they already have support they needed. A further 15% wanted more support and for those who came up with suggestions some wanted more choice and said that this may come from having a job and gaining more independence.

2.3 Opportunity to Work. 51% of customers said that they would want to work or volunteer (if not already). Some made suggestions about working in a bar, bakers shop, café and library and 11% wanted to work outside (parks, gardens etc). Some customers were more creative with their ideas;

"Work at New York Stadium", "Volunteer at Disneyland Paris".

2.4 Travel - The response was overwhelming, with 67% of people suggesting support for travel training and bus buddies, with an escort and community transport for those who are more vulnerable.

2.5 Future Planning. From the 92 carer respondents who were asked if the person they cared for had a plan in place for the future, 85% said no. There were worries about the future and a time when carers are no longer around. There were also anxieties around services closing.

2.6 Availability and Access to Services - There was a concern from people that there are insufficient services for people with a learning disability in Rotherham. There is also a perception of a lack of services/groups available and lack of local groups to access.

2.7 Health and Well-being - Out of the 23 engagement opportunities, health and wellbeing was raised at 22 events. Within the health and wellbeing theme, friendships were of key importance. Participants placed significance on the importance of maintaining friendship groups, making new friends and socialising outside of day centres:

"I would like to see my friends more outside of the day centre" (People's Parliament)

"Friendships are more important than where he is based".

"People currently think that Day Centres are the only option as this is what they are used to"

2.8 Carers Views. Carers outlined their own perspective on the quality of what a service should be like in the future;

- One third of carers want the services to remain the same
- Others want the same and more investment
- A third want more integration into the community
- Approximately 22 out of 55 (40%) of the staff focused on advocating for the buildings and equipment in day centres, the majority (60%) focused on the need to offer choice, personalisation and flexibility in the services provided

Carers comments included

"He needs stimulating learning and socialising mixing with young people like himself with trained staff".

"People currently think that Day Centres are the only option as this is what they are used to"

"No care available for complex needs in Rotherham - need to access out of borough services".

"We need to move away from a one size fits all thought to look at individuals to get the right placement for them, with people of same interests, age groups etc" and that there should be "community resources for all, not just people with learning disabilities"

"I am worried about loneliness and the accessibility of services and available services"

"Goes to Oaks as there is nothing else"

"Day Centres can't provide choice"

"Day services unable to provide activities"

2.9 Other people felt that the current Day Centres:-

- Do not meet need
- No one to ones in place at day centre so some customers are bored
- People are pigeon holed and aren't given opportunity to try things at day centres
- Day centres should not be the only option available
- Day centres are unable to provide activities

2.10 Some people with learning disabilities commented they had to rely on others to get out and about and that money impacted on their ability to take part in activities they would like.

2.11 Some people with learning disabilities felt that their carer's and the people who worked with them tried to put their opinions on to them, and that the parent/carer and some staff would tell them what to do, and would continue to make decisions for them.

"X is not able to make choices and control, X is better being told what to do rather than being given a choice"

2.12 People with learning disabilities felt there that the lack of other services impacted on their ability to have choice and control.

2.13 Respite services

People who responded felt that the respite was:

- important to support carers in their caring role.
- however not all carers have access to respite care as the service is not accessible to all people with a learning disability.
- there is a need to make respite accessible, fair and to enhance the skills of staff to support a wide range of support needs in a personalised way.
- a fairer respite service is needed for access to all people with a learning disability including those with autism and physical disability.

Some of the quotes captured the following:

"I love this respite centre the staff are really nice and understand me and make me feel welcome"

"They could have more staff to support me"

"Technology could be improved such as iPads, more funding and include affordable holidays"

"Sometimes I would like to go somewhere else"

2.14. Respite service for people autism

People who responded felt that:

- Respite services need to be made more available and accessible
- Respite care services are important to support carers in their caring role.

However, not all carers have access to respite care as the service is not accessible to all people with a learning disability.

- There is a need to make them accessible, fair and to enhance the skills of staff to support a wide range of support needs in a personalised way.
- carers suggested ideas to improve the services, including more accessibility and flexibility in the service.

"I'd like to have more opportunities available with different venues and options. For example respite in environments with gardens, sensory rooms and people with similar disabilities and age ranges"

3. Conclusion

The two consultations have given us information and feedback about what people think about current services and how they would like support and services to look in the future. The key theme that runs from all the consultation is that they want support and services which are 'about them' with a person centred approach that meets their needs. People also want a wider range of options, opportunities and choice to help them live a more fulfilled and valued life.

Appendix B

Title: Transformation of Learning Disability Services Delivery Plan 2018-2020

Person Centred Planning				
Over the next two years we aim to realise our vision and strategy for people with a learning disability. This will improve people lives, aspirations and opportunities and make sure all people with a learning disability have access to community-based services that promote independence, wellbeing and social inclusion. It will be the difference between "having a life rather than just a service".				

Current Position	Factors to consider	Risk/Uncertainties	18/19	19/20
We know that we have in excess of 750 people who access adult social care who have a learning disability.	Each person with a Learning Disability needs to have a review based on the principles of a person centred plan which sets out their aspirations, their dreams and what they want future support to look like. Assessing carers – carers are entitled to their own assessment under the Care Act. Consideration needs to be given to their requirements as they are at the forefront of providing unpaid support.	Skilled workforce able to carry out person centred reviews. Advocacy support. Completion of a large number of individual reviews within the identified time frame.	All reviews will be completed. Commissioning will develop the market to meet the needs of people with a learning disability as set out in the Learning Disability Strategy.	People with a Learning Disability tell us they want: Money in their pocket; Their own front door; and The opportunity to make their own relationships. The reviews will provide the details of what support and services we need to provide to meet what

Current Position	Factors to consider	Risk/Uncertainties	18/19	19/20
				people with a learning disability want.
Proposal	<p>Each person with a learning disability will have a review based on person centred approach which will inform the support and services we need to provide to meet their individual needs by 2020.</p> <ul style="list-style-type: none"> A dedicated team of social workers with the support of the existing staff will undertake the reviews. This should also include advocacy support and engagement with family carers. 			

Oaks Day Centre
Description of the service: Learning Disability (LD) Day Service in Wath

Current Position	Factors to consider	Risk/Uncertainties	18/19	19/20
The current customer numbers at Oaks Day Centre is 93.	<p>Consultation has taken place about the redesign and delivery of day services within the Oaks building.</p> <p>The consultation feedback for Oaks Day Centre about its future was mixed with people very unclear about what the service should look like. Good practice would</p>	<p>Market response to development of support and services as detailed in the reviews.</p> <p>Enthusiasm and motivation</p>	<p>All reviews will be completed.</p> <p>Commissioning will ensure:</p>	<p>All people accessing alternative solutions in line with their</p>

Current Position	Factors to consider	Risk/Uncertainties	18/19	19/20
The service has 42 staff	<p>tell us that we need to move away from a heavy reliance on building based services.</p> <p>There have been many positive examples of customers accessing community based services via the Community Catalysts programme. The Care Act and personalisation agenda sets out how we should support and encourage people with Learning Disabilities to engage in community based services and or employment links and opportunities where possible. The use of personal budgets and putting the person at the centre of the choice and control.</p> <p>30 customers have moved on from Oaks Day Centre to access alternative provision, this has been through the carers and customers taking a positive approach to the new opportunities available in the community and as part</p> <p>The existing building requires significant works to bring the building back to a good condition. This work would require a full rewire and heating system which would total to approximately £900K. As we have already seen 30 people with a learning disability find alternative solutions, it is not a viable option to refurbish the building.</p> <p>Out of the 93 customers around 40% reside within a 24 hour residential setting and access Oaks Day Service 5 days per week (Monday to Friday)</p> <p>There have been no new referrals into the service for 4 years as other alternative options were taken up.</p>	of staff to support the direction of travel	<p>There is a wider and more flexible range of personalised activities.</p> <p>Strong partnerships with both the statutory and voluntary agencies to link up working.</p> <p>Strengthened links with mainstream services including libraries and leisure complexes to provide more diverse opportunities</p> <p>Continue the trend of no further referrals into the service</p> <p>Increase in the number of people (30) accessing alternative solutions, working with Community Catalysts.</p>	aspirations and eligible needs outside the current building basis.

Current Position	Factors to consider	Risk/Uncertainties	18/19	19/20
			<p>Services will move from existing locations and will be based, as close to the person as possible in their local community, using and developing existing resources and community buildings i.e. leisure centres, libraries, community halls</p> <p>Decommission Oaks Building</p>	
Outcome	<p>All people Having the opportunity to make sure each day in their lives is meaningful, valued and leads to them having a 'good day'</p> <ul style="list-style-type: none"> • Doing things that have a purpose • Being in ordinary places doing things most people of the community would be doing • Doing things that are right for the individual • Receiving the appropriate support • Being in touch with local people, meeting people and developing friendships. 			

Addison Day Centre
Description of the service: Learning Disability (LD) Day Service in Maltby with joint LD employment service (Ad-Pro) on site.
Additional outreach building: Kiveton Park Youth Centre

Current Position	Factors to consider	Risk/Uncertainties	18/19	19/20
The current customer numbers at Addison is 107. The service has 34 staff The current customer numbers at AdPro is 25. The service has 6 staff	<p>People with a Learning Disability need to be given the opportunity to participate in paid employment. Changes that we make need to be based on the high expectation of peoples' capabilities and ability to develop new skills to undertake paid employment.</p> <p>Consultation has taken place about the redesign and delivery of day services within the Addison Centres.</p> <p>We need to strengthen our offer of supporting people into employment as in line with the Council's vision of '<i>extending opportunities and prosperity</i>' and '<i>supporting people into jobs</i>' through working closely with employment services, education authorities and Rotherham employers.</p> <p>Employment services have seen some positive outcomes for people with a learning disability and it is felt that this service can be expanded through links with the Rotherham Town Centre Developments.</p> <p>Good practice would tell us that we need to move away from a heavy reliance on building based services.</p> <p>Out of the 107 customers around 40% reside within a</p>	<p>Market response to development of support and services as detailed in the reviews.</p> <p>Enthusiasm and motivation of staff to support the direction of travel.</p>	<p>All reviews will be completed.</p> <p>Commissioning will ensure:</p> <ul style="list-style-type: none"> There is a wider and more flexible range of personalised activities. Strong partnerships with both the statutory and voluntary agencies to link up working. Strengthened links with mainstream services including libraries and leisure complexes to provide more 	<p>More people with a learning disability will be in paid work and volunteering opportunities and working along-side the rest of the community.</p> <p>All people accessing alternative solutions in line with their aspirations and eligible needs outside the current building basis.</p> <p>Decommission</p>

Current Position	Factors to consider	Risk/Uncertainties	18/19	19/20	
	<p>24 hour residential setting and access Addison Day Service 5 days per week (Monday to Friday)</p> <p>Addison day centre has received only 2 new referrals in the past 2 years</p> <p>AdPro has received 4 new referrals in the past 2 years. We need to improve access to employment opportunities for people by offering a range of support which is community based.</p>		<p>diverse opportunities</p> <p>Continue the trend of no further referrals into the service</p>	Addison Building	
Outcome	<p>All people Having the opportunity to make sure each day in their lives is meaningful, valued and leads to them having a 'good day'</p> <ul style="list-style-type: none"> • Doing things that have a purpose • Being in ordinary places doing things most people of the community would be doing • Doing things that are right for the individual • Receiving the appropriate support • Being in touch with local people, meeting people and developing friendships. <p>More people with a learning disability will be in paid work and volunteering opportunities and working along-side the rest of the community</p>				

Respite (Quarryhill and Treefields) and Parkhill Lodge

Description of the service: Two in-house respite services for Learning Disabilities and Autism.

Each service is set within a semi-detached house and holds 6 bedrooms

Quarryhill Respite is based in Wath

Treefields Respite is based in Wingfield

Parkhill Lodge is a 22 bed Learning Disability residential home based in Maltby.

Current Position	Factors to consider	Risk/Uncertainties	18/19	19/20
<p>Parkhill Lodge has 20 customers At any one time: Quarryhill- up to 6 people Treefields- up to 6 people</p>	<p>We accept that respite and short stay services are important to family carers. We also need to ensure that the experience is meaningful and of value to the person.</p> <p>We need to provide a range of opportunities for people which are innovative meaningful and provide value for money at the same time as meeting the needs of the carers.</p> <p>As outlined in the draft Learning Disability Strategy the Shared Lives service will be strengthened and more carers recruited to offer a wide range of short and long term support to people. This will include more flexible support in the day, evening, weekend and respite support for carers.</p> <p>The services are rated 'good' by the CQC. However, current buildings are not accessible to all people and there are issues with the conditions and maintenance which questions if the existing buildings are fit for purpose.</p> <p>The building at Parkhill residential home does not provide accessibility to those with high complex needs or fit with local or national good practice in terms of the size of the bed base. This decommission will take place in 19/20, however concerns regarding the building were raised April 2018 including by the CQC. The issues around significant building deterioration e.g. disruption and costs of repair may force the need to expedite this decision. This will be communicated to relevant stakeholders further if this needs to be actioned.</p>	<p>Market response to development of support and services as detailed in the reviews.</p> <p>Enthusiasm and motivation of staff to support the direction of travel.</p>	<p>All reviews will be completed.</p> <p>Commissioning will ensure:</p> <ul style="list-style-type: none"> There is a wider and more flexible range of personalised activities. Strong partnerships with both the statutory and voluntary agencies to link up working. Strengthened links with mainstream services including libraries and leisure complexes to provide more diverse opportunities Explore the current usage of respite services. Each carer will have a carer's assessment. Treefields 	<p>Provide a range of opportunities for people to access respite services.</p> <p>More people to have access to their own front door.</p> <p>Services and support will move from their building bases.</p> <p>Quarry Hill and Parkhill Lodge Buildings will be decommissioned.</p>

Current Position	Factors to consider	Risk/Uncertainties	18/19	19/20
	We will decommission Tree Fields in 18/19 and we will further decommission Quarry Hill in 19/20. Through the assessment process if respite is required this will be commissioned through different alternatives e.g. shared lives or independent respite provision.		building to be decommissioned	
Outcome	<p>Through strengths based approach we will develop a range of opportunities</p> <ul style="list-style-type: none"> • Expansion of current Shared Lives • Use of personal budgets, including direct payments to provide support when the carer needs it • Develop skills for independent living • More people to have access to their own front door. 			

Title: Reach
Description of the service:
The service is a Learning Disability and Autism Day Centre provision for customers with complex needs and behaviours that can challenge.
The service currently operates from Elliott Centre (Badsley Moor Lane) and Maple Avenue at Maltby.

Existing Customer and Staff Numbers	Proposal and other factors to support decision	Risk/Uncertainties	18/19	19/20
There are 51 customers accessing the services across	We need to ensure that we have a spectrum of support in place to meet the needs of all people including those who have significant or complex needs who may require support in a building environment	Market response to development of support and services as detailed in the reviews.	All reviews will be completed. Commissioning will develop the	All people accessing alternative solutions in line

Existing Customer and Staff Numbers	Proposal and other factors to support decision	Risk/Uncertainties	18/19	19/20
the two sites. The service operates with 25 FTE staff.	<p>whilst maximising their independence.</p> <p>The consultation told us that people are in favour of the relocation of the service to more suitable premises.</p> <p>All people currently using this service will be assessed as part of the delivery plan and only those who will meet the criteria for a new offer specifically to people with complex needs: who need to be supported physically, behaviourally as well as emotionally, will attend this new service.</p> <p>More suitable alternative buildings may be identified in the future leading to the decommissioning of Elliott Centre and Maple Avenue. This will be communicated to relevant stakeholders further if this comes to fruition.</p>	Enthusiasm and motivation of staff to support the direction of travel.	market to meet the needs of people with a learning disability as set out in the Learning Disability Strategy.	with their aspirations and eligible needs.
Proposal	All people accessing appropriate solutions in line with their aspirations and needs by 2020			

We understand that changes can create anxiety and we will be respectful of this. We will consider and take into account the learning from the consultations that have taken place. We will develop a robust communication and engagement strategy to ensure people with learning disabilities, their families and carers receive reliable and timely information and are fully engaged and included throughout the development of plans.

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Rotherham's DRAFT Joint
Learning Disability Strategy:
2018 – 2020

Rotherham's Joint Learning Disability Strategy: 2018 – 2020 (2 years)

Structure:

1. Forward: Cllr David Roche
3. Introduction
4. Vision
5. The National Picture
6. The Local Picture
7. Act to Help Yourself, Act when you need it and Act to live your life

** This document is in draft and will be published in its final form following consultation with health partners.

Forward: Cllr David Roche

This document sets out Rotherham's strategy for people with learning disabilities from 2018-2020.

The strategy builds on the conversations Rotherham Council, Rotherham Clinical Commissioning Group, and partners have been having with people with learning disabilities and their families since 2015. It is intended for all people with learning disabilities aged 14 and over, their families, carers and all those who have involvement in commissioning and delivering services or who have an interest in improving these services.

This strategy will connect and overlap with other strategies:

- Health and Wellbeing Board Strategy
- SEND strategy
- Autism strategy

The vision for Adult Social Care is of developing active independence. This means acting together to support the residents of Rotherham to live full and active lives; to live independently; and to play an active part in their communities.

This strategy has been developed in line with local and national policies, with a focus on providing high quality care that promotes independence, social inclusion, choice, and provides best value.

We have found that people want:

- To have a good and meaningful everyday life
- To feel safe in the community
- To have choice and control
- To enjoy the same outcomes as everyone else: having relationships, working

We want this strategy to transform 'the offer' made to people with learning disabilities and their families living in Rotherham. There is a challenge and an opportunity; but we do want things to change and improve.

We hope that this strategy will help to meet these challenges through a shared vision for people with learning disabilities in Rotherham.

The 'we' used in the strategy refers to:

Rotherham Council, the NHS, Rotherham Foundation Trust, RDASH, South Yorkshire Police and Crime Commissioner and the many voluntary and independent organisations who work in Rotherham.

Introduction:

People with a learning disability have been telling people who commission and provide services that they want the same quality of life as everyone else. That they have the same dreams and wishes as other people, and they want the same chance as anyone else of being able to realise their dreams.

We want to build upon the success to date and continue to respond to what people with learning disabilities and their families are telling us they want: more choice and control, to have healthier lives, to gain relationships and employment and volunteer opportunities in their community. We know this from consultations that the Council and partners have been undertaking.

Finances are becoming increasingly stretched, which means that all partners in Rotherham and local communities will need to work together to explore new ways of delivering services and meeting needs.

People with a learning disability in Rotherham are living longer and there are more people with learning disabilities with complex needs. We will have to look at what services are currently available, if they are the right services and consider how they are funded to meet this changing need.

This strategy sets out how we will do this and is built around *the Vision for Adult Social Care* which promotes active independence.

It is based on three themes:

1. Act to help yourself
2. Act when you need it
3. Act to live your life

We hope that this strategy will help to meet these challenges through a

shared vision for people with learning disabilities in Rotherham.

Our approach is centred on promoting health and wellbeing across people's lives and enabling independence. This approach may help to prevent, delay and reduce the need for support, while keeping people safe. The strategy will be used to enable continuous improvement of services which support people with a learning disability and help them to achieve their outcomes and goals. We want to maximise people's strengths whilst providing support and opportunities within local communities.

The two year strategy will underpin a detailed delivery plan. The plan will set out how the change will happen, who will lead, where and what will change.

It will be monitored both by the Learning Disability Partnership Board and report on progress to the Mental Health and Learning Disability Transformation group, part of the Integrated Health and Social Care Plan governance. This group will report on progress annually to Rotherham's Health and Wellbeing Board.

The Health and Wellbeing Board partners are committed to delivering this strategy to help people with learning disabilities to be more independent, live better and longer lives.

Rotherham's Vision: “What will it all look like?”

(quote from a customer with learning disabilities)

This strategy is built around *The vision for Adult Social Care*. It is a vision of developing Active independence.

It is based on three themes:

1. Act to help yourself
2. Act when you need it
3. Act to live your life

The vision for people with learning disabilities living and working in Rotherham builds on this fundamental golden thread of supporting choice, building and maintaining independence:

All children, young people and adults with a learning disability have the right to the same opportunities as anyone else to live independent, satisfying and valued lives, and to be treated with the same dignity and respect. They should have a home within their community, be able to develop and maintain relationships, and get the support they need to live a healthy, safe and fulfilling life.

This means that in two years' time all services will provide high quality care and support to people with a learning disability and their families.

Services will be integrated and will actively promote people's wellbeing, helping them have a good life and be as independent, healthy and well as possible.

Social inclusion will be promoted throughout everything we do and local support services will be more diverse with people with learning disabilities

being more prominent and actively involved within their community. Support will build on resources in the community, tackle barriers to social inclusion and reduce dependence on social care services alone. We will stimulate creative and innovative ways to make this happen so that people with a learning disability in Rotherham, whatever their age, background, or level of need, will have more choice in their support.

More people with learning disabilities will be in paid work and have access to volunteering opportunities, working alongside the rest of the community.

There will be major improvements in the support for family carers, improving the support available to carers in their own right, and making life better for people with learning disabilities who live in the family home.

There will be major improvements in local accommodation and support for people who live away from their families. By developing a framework of Landlords and Support Providers we will ensure that housing is of high quality, with more people having their own "front door". The support provided will promote people's independence and wellbeing and will offer dignity and privacy.

Fewer people with a learning disability will live out of Rotherham, and people who need and want to return will have been helped to do so.

Rotherham will have moved away from traditional or institutional forms of support and will focus on support

which is personalised, flexible and meets people's individual needs. Services will help people work together and pool their personal funds so they can share their support and sustain meaningful and rewarding relationships.

There will be more coordinated information about services and support across all relevant agencies

The transition for young people with a learning disability to adulthood will be positive.

There will be strong partnerships across Rotherham, with both statutory and voluntary agencies to make services and support joined up.

All services will provide best value for the people of Rotherham.

Over the next two years people with a learning disability will say they have been fully included and involved in the planning and implementation of changes.

The National Picture

The Care Act 2014 reinforces national policy for adults with a learning disability, including the core principles in Valuing People (2001), and Valuing People Now (2008): rights, independence, choice and social inclusion. It reaffirms the principles of personalisation, legislating for Personal Budgets and requiring local authorities to promote Direct Payments. Assessments should build on individual, family and community strengths, support access to universal services and aim to prevent, delay or reduce people's dependency on services. Further, transitions for young people with a learning disability into adulthood must be effective.

This strategy is informed by a number of national legislative and quality developments relevant to the commissioning of care and support and healthcare for people with learning disabilities. These include:

- Building The Right Support (2016)
- Driving Up Quality Code and Quality of Life Standards
- No voice unheard, no right ignored – a consultation for people with learning disabilities, autism and mental health conditions (Green Paper March 2015)
- Death by Indifference and Getting it Right Charter (2007/10)
- Think Local Act Personal – Making it Real
- Putting People First Concordat-development of personalisation (2009)
- Valuing Every Voice Respecting Every Right (2014)
- Children and Families Act 2014
- Individual Service Funds (ISFs) and Contracting for Flexible Support Practice guidance to support

implementation of the Care Act 2014 – Think Local Act Personal, June 2015

- Moving forward with personal health budgets: a CCG development programme – NHS England 26th May 2015

This strategy enables Rotherham to deliver its statutory and other responsibilities as outlined in national policy and guidance as well as meeting the challenges of the current climate.

Value for Money

Central and local government spend £8 billion each year supporting adults with a learning disability. Local authorities spend £4.61 billion supporting 129,000 adults (18 to 64) with a learning disability.

Adults with a learning disability can access welfare benefits from the Department for Work & Pensions, which amounts to approximately £2.45 billion annually. The NHS also spends an estimated £0.93 billion on specialist learning disability health services.

Local authority spending on learning disability services has increased. In real terms, between 2010-11 and 2013-14 spending on adult social care fell by 8.4% while spending on learning disability services increased by 2.1%. The trend appears to be continuing with a reported increase of 3.5% in real terms between 2014-15 and 2015-16. 39% of adult social care spend is on adults (18 to 64) with a learning disability and it is the second largest spend after older peoples' services.

Winterbourne View inquiry and 'Building the Right Support'

The Winterbourne View inquiry led to a government pledge to move people with a learning disability and/or autism who are inappropriately placed in hospitals into Community based support. In response to this NHS England developed the '*Building the Right Support*' programme. *The national* programme aims to develop community services and close inpatient facilities for people with a learning disability and/or autism who display behaviour that challenges, including those with a mental health condition.

Forty eight Transforming Care Partnerships have been established to create and implement plans which deliver the '*Building the Right Support*' programme. These partnerships are made up of NHS organisations and local authorities, including Rotherham Metropolitan Borough Council which is part of the South Yorkshire and North Lincolnshire footprint along with Doncaster, Sheffield and North Lincolnshire Councils and CCGs.

The needs of people in Rotherham with autism will be addressed in a separate strategy which is being developed.

The Local Picture

What does the data tell us?

How many people in Rotherham have a learning disability?

In Rotherham, there is a higher rate of people with a learning disability per 100,000 population at 371.77. This is compared to a regional rate of 346.06 and our neighbouring authorities - Barnsley with 313.76 and Doncaster with 348.53. Rotherham also has significant cohorts, for example, 204 people aged 18-30 years and 164 people aged 51-64 years. It should also be noted that there are 347 carers aged between 55 and 69 who support a service user with a learning disability.

We know that people with a learning disability experience isolation and are dependent on others for support.

Carers of people with a learning disability are often parents and they experience difficulties with increasing age.

We know that the numbers of people with a learning disability who have behaviours that challenge are increasing.

We know that people with learning disability want the right to lead full and inclusive lives, learning the skills to enable them to reach their full potential.

Having relationships, a home and employment is very important to a person with a learning disability.

Currently there are 686 customers with a learning disability aged between 18 and 64 accessing 1154 placements or services. Rotherham has a higher rate of 18-64 Learning Disability customers

per 100,000 head of population at 445.75. We are ranked as the 24th highest out of 152 local authorities.

(Insert Rotherham Pictures)

The total number of young people with a learning disability aged 14-18 in Rotherham is approximately 45.

(insert Rotherham Pictures)

There are 99 people with learning disabilities who also have autism known to the Council.

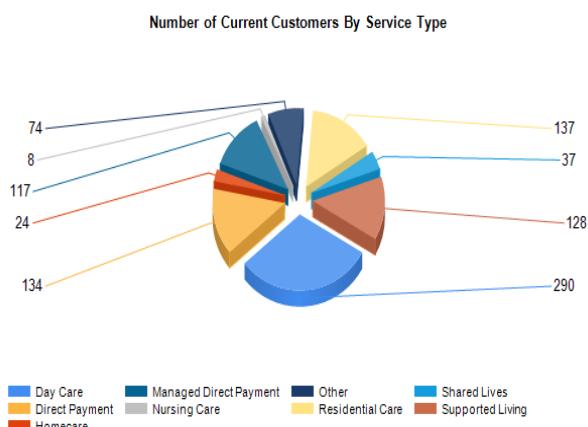
(insert Rotherham pictures)

Rotherham's 18-64 population is 91.99% White British (ref: Census 2011), in comparison 95.65% of the learning disability cohort are from this ethnic group. Customers from Black Minority Ethnic (BME) groups appear to be under represented in this cohort; 4.35% of the cohort are from a BME background compared with 8.01% of the total population. The 'Asian-Pakistani' BME group has the highest number of customers (19)(2.76% of cohort.)

Rotherham has 80 Older people with a learning disability over the age of 65 Rotherham's older population(65 plus) with a learning disability is estimated to increase 29% by 2035.

Support currently being provided to

people with learning disabilities in Rotherham



Below is the number and percentage of customers that are currently receiving the following services:

- Daycare 290 (42.27%)
- Direct Payments 134 (19.53%)
- Managed Direct Payment to Agency 117 (17.06%)
- Supported Living 128 (18.66%).
- Residential and Nursing having 145 client (21%) of the service provided

As of March 31 2016 our figure for 18-64 residential and nursing placements per 100,000 head of population is 100.13, which ranks us 26th highest based on 155 customers in residential and nursing placements. This is compared to:

- The Yorkshire and Humber Region 70.01
- We have almost double that of Doncaster(57.25), Barnsley(58.69) and Sheffield(56.65) (ref: SALT Return 15/16).

Four hundred customers (all ages) are accessing Rotherham's in-house services and 541 customers (all ages) are accessing Rotherham's

commissioned external providers. There are 155 customers who are accessing both in-house and external services.

There are some people who have complex needs and behaviours that challenge. There are currently 10 local people receiving a service as an inpatient in secure accommodation (funded by NHS England) or from within an assessment or treatment unit (funded by the RCCG).

Fifty two people are receiving support within Shared Lives settings.

There are currently 294 people attending day care services at five different locations across Rotherham. Around 50% of these customers reside in supported living or residential care and transport is provided for their journey. Effectively this means that these people receive three elements of funding, for 24 hour care, for day care activities and for transport.

Nine hundred people with a learning disability receive 'paid support' directly commissioned by the Council.

One hundred and forty five people with learning disabilities receive Direct Payments to pay for support to live at home, and 138 receive a Managed Direct Payment paid to an agency.

In 2017/18 2382 adults in Rotherham were registered with GP's as having a learning disability, and 822 have had their annual health check.

45 young people with learning disabilities are estimated to transfer to adult services between 2018-2023.

The Financial Picture

Rotherham as a place spends approximately £30 million on learning disability services (this figure includes spending on Continuing Health Care-CHC).

The Council spent £22.5 million on learning disability services for approximately 736 people during 2017/18. Rotherham CCG spent £4.6 million in 2017/18, this is expected to raise to 5.1 million in 2018/19. With costs for Continuing Health Care, the figures increase to £7.3 million in 2017/18 rising to £8.1 million in 2018/19.

Increased financial pressures make it even more important to have a clear, joint strategic plan and to work collaboratively to make best use of resources and harness innovation across the borough.

This strategy proposes the way that Rotherham can deliver change, better outcomes for individuals, as well as efficiencies.

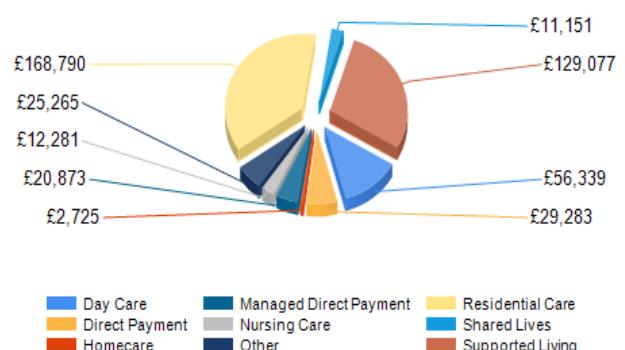
Having choice and control, core to good ordinary lives, does not mean being entitled to increased funding. It does mean being supported to:

- Get the best from the money you are eligible for
- Receive services you are entitled to

- Value and maximise the non-paid natural support from family, friends and community

The number of people with a learning disability in Rotherham is increasing and, understandably this leads to increasing demand for services. This is expected and in line with national trends.

Weekly Service Cost for Current Customers



This commissioning strategy must be delivered in the context of reducing Council budgets, and we expect any future changes to help us meet our financial challenges. It is important to make sure all services are delivered in an effective and efficient way, and of high quality.

Working together with people who use services, family carers, providers and community groups will create the innovative solutions necessary to achieve both improved outcomes and better value for money.

1. ACT TO HELP YOURSELF:

We want to promote personal responsibility and enable people with learning disabilities to become a greater part of their community through increased opportunities for socialising, gaining personal recognition and building relationships, whilst remaining in their own homes and communities for as long as possible.

We need culture and practice in Rotherham to change so it is based on high expectations of people's capabilities and their ability to develop new skills (whether they live with, or away from their families), and recognition that unnecessary dependence on services is 'disabling'.

Information, Advice and Advocacy

What we know

Advocacy support in Rotherham is currently provided by Cloverleaf Advocacy, who provides mental health advocacy, Mental Capacity Act advocacy, Care Act advocacy and generic advocacy.

People need access to information and advocacy to make good decisions.

Self Advocacy support is provided by Speak Up Rotherham.

There is also information available on Rotherham's offer from voluntary groups on [Connect to Support](#) and [GISMO](#).

You said:

"Self Advocacy and support from Speak Up is really important."

"Access to information, advice and advocacy needs to be better."

"It's essential to have better access to information to support people to make choices and understand what is possible."

"We hope to find out more information about services that are out in our local community."

We Will

Ensure a full range of advocacy support is available to people e.g. Statutory, Community, Self-Advocacy, Independent Mental Capacity Advocacy and Care Act Advocacy.

Ensure support is available to help people plan life changes.

Ensure that partners follow the NHS Accessible Information Standard. The Standard sets out a specific, consistent approach to identifying, recording, flagging, sharing and meeting the information and communication support needs of patients, service users, carers and parents with a disability, impairment or sensory loss.

Staying Healthy and Well

What we know

In 2016/17 Rotherham delivered health checks under a Direct Enhanced Service (DES). Adults with learning disability should have a health check every year. During 2016/17 822 people received a health check.

All GP practices across Rotherham have been trained in Learning Disability awareness.

All GP practices across Rotherham have received Autism Awareness training.

We joined a national pilot and conduct local reviews of deaths of adults with learning disability. We use the learning to improve the quality of health services.

The Integrated Health and Social Care Plan for Rotherham offers more opportunities to better meet the needs of people with learning disabilities from a whole system perspective making better use of community assets and universal provision.

You said

"I don't always understand what the doctors are saying to us."

"The chemist is really good at getting my prescriptions on time. My doctor is very patient with me and explains what he means, so that I understand."

We Will

Co-ordinate efforts to increase uptake of annual health checks for people with learning disabilities – so that the number of people receiving an annual health check from their GP is 64% higher than in 2016/17 (1196 health checks in 2018/19)

Ensure people with learning disabilities are supported to access community opportunities for staying healthy and well - A programme to contact GP practices will be developed, supported by training. The new supported living framework being developed by the

Council will embed the 'Learning Disabilities Health Charter'.

Take advantage of the integration of health and social care services in Rotherham for benefit of people with learning disabilities in Rotherham.

Work in ensuring people with learning disabilities are included in plans to develop an integrated home first team, with access to step up/step down community bed base (smaller scale/flexible model) only when needs cannot be met at home.

Caring Together: Supporting Carers

What we know

In Rotherham we recognise that informal carers are the backbone of the health and social care economy, and that enabling them to continue this role is vital.

The role of unpaid carers in the lives of people with learning disabilities is very important.

Carers Aged 50+ By Primary Support Reason of Customer



There are 387 carers aged 50 and over who support a service user with a learning disability

The findings from this consultation report that respite care services are important to support carers in their caring role, however not all carers have access to respite care as the service is not accessible to all people with a learning disability.

You said

"My son has never used respite services but as a general feeling, respite centres are a good idea for carers that really need a break and support from their son or daughter."

"Could be more flexible such as short daytime or evening service."

We Will

Develop a new offer expanding the use of Shared Lives to provide both day support and respite.

Develop opportunities in different venues and options. For example respite in environments with gardens, sensory rooms and people with similar disabilities and age ranges.

Develop a fairer respite service open to all people with a learning disability including those with autism and physical disability.

Support carers through the Better Days, Better lives programme of alternative day support.

Being Part of the Community

What we know

"I would like a job at a charity shop."

"I want to go out at night."

"I want to socialise to have local activities."

"We need access to facilities like disabled toilets and accessible changing areas."

"I hope for exciting communities."

You said

"I want to go out at night."

"We hope to find out more information about services that are out in our local community."

"I want to socialise to have local activities."

We Will

Ensure social inclusion is a part of everything we do.

Support more people with learning disabilities to do more within their community.

Require major improvements in the quality of community-based services, including robust, preventative and proactive care.

Work in partnership to develop an early help offer which sees all age family integrated services.

Look at innovative ways to reshape our existing buildings and centres into all age delivery points in localities and communities.

Ensure that people with learning disabilities and their families are included in the revitalised town centre with a new urban community.

Rotherham - Better Days, Better Lives, Work and Purpose.

What we know

Two hundred and ninety four people with learning disabilities use day services.

Of these, 32% of customers also receive day care with an associated weekly cost of £50,000.

The Council has contracted with the not for profit organisation Community Catalysts (who specialise in capacity building for social/micro enterprises) to provide a specific focus on learning disabilities and to build on the number of social enterprises available in Rotherham.

You Said

"Having a job is important to me and I need help to find one."

"I want to work somewhere safe."

"Paid work gives you satisfaction."

"If I never went out I'd lose my mind!"

"Services shouldn't be central"

"It is important to meet people and do things."

We Will

Offer a wider range of more flexible and personalised activities in the day and evenings and weekends and activities, so people have choice.

Move towards a major shift in culture and practice towards promoting people's social inclusion, and reducing people's reliance on institutionalised forms of care as their only form of support.

Ensure more people with learning disabilities will be in paid work and volunteering opportunities, working alongside the rest of the community.

Enable people to join in general community activities such as gyms, community centres - We will link with the Council's leisure and libraries services to provide opportunities to enable people with learning disabilities to have enjoyable day activities.

2. ACT WHEN YOU NEED IT:

Choice and control over my Life

What we know

All adults with a learning disability have a needs assessment, a personalised care and support plan and have choice and say in the final content.

Technology Enabled Care (TEC) offers real opportunities to ensure that people with learning disabilities are supported in the least restrictive way and supports choice.

You said

"I want to be given real choices."

"I don't always know what is possible or what is on offer."

"People need support to help them make decisions, and want more independent and advocacy."

We Will

Work to develop mechanisms, knowledge and skills to ensure Personal Budgets for all those eligible, maximising the use of Direct Payments and Individual Service Funds to give people choice and control.

Ensure providers and others to encourage people to develop networks, circles of support and use of community resources to enhance quality of life.

Work with providers to demonstrate how they maximise choice and control for people they support.

Develop innovative new approaches in using assistive technology.

Consider the development of Community Circles to expand people's natural support networks and strengthen community presence.

Shared Lives

What we Know

Shared Lives carers provide day support, short breaks for the person and their family, home from hospital care or a stepping stone for someone wanting to get their own place. Whatever the type of support, sharing family and community life is part of the arrangement.

Only a small number of people with learning disabilities use Shared Lives.

You said

"I really like shared lives."

We Will

Ensure that Shared Lives is explored as one of the first options for care and support for people with learning disabilities – if needed.

Significantly expand the number of carers and ranges of options for Shared Lives.

ACT TO LIVE YOUR LIFE

Rotherham - Choosing Where I Live: Having My own front door

What we know

Rotherham has a bold 30 year Housing Strategy. The Council will do all that it can within its powers to ensure that all of our residents' right to decent housing becomes a reality.

There are 159 people (20.76%) with learning disabilities living in supported living and 164 people (21%) in residential and nursing.

There are currently 29 people in receipt of 24 hour care living out of the borough in various placements across the country.

The largest proportion of spending on people with a learning disability by the Council is on residential care and supported living which accounts for 71% of the weekly service costs.

However, the current offer encourages people to be dependent and is reliant on a residential rather than independent living approach, including in some supported living settings. Sometimes people with learning disabilities with complex needs are having to live away from Rotherham to receive services.

You Said

"I don't want to move anymore."

"I need the right services to live independently."

"It's important that I live with people I get on with."

We Will

Develop a stepped approach in Rotherham's learning disability housing offer. It is imperative that Rotherham has a greater choice of supported living options and the Council is developing a Supported Living and Better Days, Better Lives framework by the summer 2018 to expand the range of future options.

Develop a spectrum of support in place which meets the needs of all people including those with significant and complex needs, who may require support in a building environment whilst optimising their independence.

Commission 40 new units of supported living across Rotherham. Two new properties will be Council housing.

Ensure that a wide range of **housing options** are available for people with learning disabilities and their families.

Being Respected and Safe

What we know

Keeping people safe from abuse is **everyone's business**. Rotherham's Safeguarding Adults Board (RSAB) is working to ensure that local safeguarding arrangements and partnerships act to help and protect adults at risk or experiencing neglect and/or abuse.

The Council has developed a quality assurance framework. This will assist the Council and all providers working to ensure that services are of the highest quality.

Rotherham NHS Foundation Trust has a dedicated learning disability lead nurse and has developed awareness training for all staff. This has been in conjunction with Speak Up Rotherham.

Rotherham is playing an active part in Learning Disabilities Mortality Review (LeDeR) Programme and has a process to review all premature deaths of people with learning disabilities.

Rotherham is working to improve access to health services, education and training of staff, and by making reasonable adjustments for people with a learning disability and/or autism.

You Said

"I spend a lot of time in Rotherham town centre, but I do sometimes get bullied because of my autism. The Bus can be an unfriendly place – even some bus drivers are not friendly and can be impatient. It only takes a faulty machine that won't accept my disabled pass, and they can get cross. The last driver abruptly said 'Just get on!'"

"I don't feel safe in Rotherham bus station at night time."

"Being asked myself what I think, not just other people."

"Need to be sure that my son gets the quality of care and the personal care for what suits his needs."

We Will



Work with The Safer Rotherham Partnership to re-launch the 'Safe in Rotherham' - a safety scheme to help vulnerable adults feel safe when they are out and about in the borough and help make Rotherham a 'friendly' town. We want work with all our services to ensure they are open and accessible to all people with learning disabilities.

Transition: Preparing for Adulthood

What we know

Transition is defined as a purposeful and planned process of supporting young people to move from childhood into adulthood. In Rotherham, the Council and its partners use a more holistic definition of preparing for adulthood and building independence. It is still thought of as a very anxious time both for the young person and their family. It comes at a time when a lot of change takes place in both the young person's life and their family.

The vast majority of adult customers (>87%) who have transitioned from Children's Services have a learning disability or are diagnosed on the autistic spectrum. The remainder have complex physical disability or sensory needs.

This strategy considers the needs of people with learning disabilities aged 14 and over. There is an overlap with Rotherham's Special Educational Needs and Disability (SEND) Strategy (2018-21).

A clear thread running through both Rotherham's SEND Strategy and the Learning Disability Strategy is supporting young people with learning disabilities and their families to have an effective and person centred transition.

There has been much work to improve Rotherham's offer to young people with learning disabilities going through transition into adulthood, but there is more that we need to do to process and improve customer/family experience.

- Development of a post 14 pathway for transition

Primary Needs	Identification of Need					
	Primary Schools		Secondary Schools		Special Schools	
	Rotherham	National	Rotherham	National	Rotherham	National
Specific Learning Difficulty	24.3%	10.1%	29.8%	21.3%	4.3%	1.4%
Moderate Learning Difficulty	15.4%	22.2%	16.4%	23.4%	23.9%	14.1%
Severe Learning Difficulty	0.3%	0.7%	0.2%	0.5%	12.5%	24.2%
Profound & Multiple Learning Difficulty	0.3%	0.3%	0.0%	0.1%	8.3%	8.8%
Social, Emotional & Mental Health	13.1%	15.7%	16.2%	18.5%	5.0%	11.8%
Speech, Language & Communication Needs	23.1%	29.7%	4.6%	11.2%	0.0%	0.0%
Hearing Impairment	1.5%	1.7%	2.7%	2.3%	0.2%	1.2%
Visual Impairment	0.8%	0.9%	0.8%	1.3%	0.6%	0.6%
Multi-Sensory Impairment	0.1%	0.3%	0.0%	0.2%	0.0%	0.2%
Physical Disability	2.0%	2.8%	2.4%	2.9%	5.6%	2.9%
Autism Spectrum Disorder	8.5%	6.7%	18.2%	8.8%	30.4%	26.9%
No Specialist Assessment of type of Need	5.9%	4.7%	3.8%	3.0%	0.0%	0.1%
Other Difficulty/disability	4.7%	4.3%	4.7%	6.5%	2.9%	1.7%

Rotherham's high numbers of Specific Learning Difficulty, Speech, Language and Communication Needs and Moderate Learning Difficulty are being met within Local Authority Provision.



Rotherham has developed a dedicated Transition team. The team have developed a database for referrals received for young people who are likely to require a Preparing for Adulthood /Year 9 (14+) assessment. The database contains referrals from the Looked After Children's Team, Children's Disability Team, Education and Health. The referral process is open for anyone to make a referral including the young person themselves or their family/carers

You Said

"It feels like a cliff edge."

"I worry about what will happen."

What do we need to do

We want to increase Post 16 educational options within Rotherham for young people with learning disabilities.

Increase apprenticeships, internships and employment for young people with learning disabilities.

We want schools and colleges working to build independence.

Rotherham will report that there are more young people with learning disabilities in employment, training,

education, apprenticeships or internships after they complete school.

- More young people with learning disabilities will say they are able and confident to travel independently in their daily lives.

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Transforming Care

What we know

In April 2015 the Department of Health announced it would radically change how services for people with learning disability, autism or both, and behaviour that challenges, were delivered. A national programme, Transforming Care, was established to make these changes happen.

In October 2015 NHS England, ADASS and the LGA jointly published Building the Right Support¹ - a national plan that outlines how the programme would ensure that more people can live in the community, with the right support, closer to home.

Forty eight partnerships were established across England to deliver these changes, including six in Yorkshire and Humberside. The programme will close at the end of March 2019.

Each Transforming Care Partnerships is a collaboration of CCGs, local authorities, NHS England, specialised commissioners and NHS providers. The partnership is developing services in their own 'footprints' as well as commissioning some services.

Rotherham is part of the Sheffield, Doncaster, Rotherham, North Lincolnshire Transforming Care Partnership (TCP) and have identified the following priorities:

- To have reduced the overall number of in-patient beds to 30 – 40 beds by 2019.
- Reinvest in new models of care, such as expanded crisis teams,

greater use of personal health budgets and a more coherent response to offender and forensic health.

- Developed a coherent engagement strategy to ensure that customers and their families are genuine co-producers of models of care.
- Development of the workforce, not just for statutory services, but also supporting the independent and private sector to access training across the system.

The South Yorkshire and North Lincolnshire TCP target by 2019 is to have **10-15** people with learning disabilities in CCG commissioned beds, and **20 – 25** people with learning disabilities in NHSE beds.

In September 2017 the TCP had **81** people with learning disabilities in total (both CCG or NHSE) NHS commissioned beds.

Currently, Rotherham has nine people in total - four people with learning disabilities in CCG commissioned beds (CCG target is 3) and five people with learning disabilities in NHSE commissioned / secure beds

Strengths, Risks and Challenges

Rotherham has a dynamic risk register. This is coordinated by the RDaSH learning disability Intensive Support Team (IST) based at Badsley Moor Lane.

If a person with a learning disability is being considered for a hospital admission, Rotherham CCG and partners convene either a Care Treatment Review (25 plus), or a Care, Education, Treatment Review (14 -25) to review if an admission is required.

Rotherham CCG works very closely with Speak Up Rotherham to ensure people with learning disabilities and their families are included in the Transforming Care programme both at local level in Rotherham and across the South Yorkshire and North Lincolnshire footprint.

What we need to do

Continue to work with partners across the Transforming Care Partnership (TCP) to ensure delivery of the South

Yorkshire and North Lincolnshire TCP Plan - The Transforming Care Programme enters its final year in 2018. The national programme will close in March 2019.

Rotherham CCG has set a target of having no more than three people with a learning disability detained in CCG commissioned beds. This ambition is lower than the NHSE / TCP target of 5. NHSE/ TCP target for NHSE / Secure beds is six.

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Under the Equality Act 2010 Protected characteristics are age, disability, gender, gender identity, race, religion or belief, sexuality, civil partnerships and marriage, pregnancy and maternity.	
Name of policy, service or function. If a policy, list any associated policies	Outcome of the 60 day Consultation and Recommendations on the Learning Disability In-house Services for Adults with a Learning Disability and/or Autism
Name of Service and Directorate	Adult Social Care Housing and Public Health
Lead Manager	Richard Smith – Assistant Director – Adult Care Janine Moorcroft – Head of Service – Provider Services
Date of Equality Analysis (EA)	February 2018
Names of those involved in the EA (Should include at least two other people)	Anne Marie Lubanski – Strategic Director of Adult Care and Housing Richard Smith – Assistant Director, Adult Care Nathan Atkinson – Assistant Director, Strategic Commissioning Janine Moorcroft – Head of Service, Provider and Change Jayne Metcalfe – Learning Disability Operations Manager Zaidah Ahmed – Equality Officer Scott Clayton – Interim Performance Manager Odette Stringwell – Human Resources Partner Zafar Salem – Community Engagement Manager Hayley Richardson Roberts - Adult Care and Housing Communications Account Manager Mark Scarrott – Finance Manager
Aim/Scope <p>The aim of this Equality Analysis is to ensure that current and future customers, stakeholders and residents of Rotherham have been considered when developing the future of Learning Disability Services. The purpose is to ensure that everyone's protected characteristics are considered.</p> <p>The report sets out the direction of travel for people with a Learning Disability. It is intended to bring service provision in line with best practice and enable people to, not only be part of their local communities, but to give them more choice and control on where they live and how they spend their time. It is intended through the modernisation that customers have greater expectations for themselves. In response communities are able to contribute towards solutions including developing micro enterprises to meet identified need for people with Learning Disabilities. It should be noted that there is currently a cohort of customers receiving traditional services, but that if any of the recommendations in the report are agreed it may affect young people who may come into Adult Services, customers that the Council does not know of yet</p>	

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(including some people from BME communities), carers and families, external providers, partners and staff.

In Rotherham, we have a higher rate of people with a learning disability per 100,000 population at 371.77 compared to a regional rate of 346.06 and our neighbouring Authorities of Barnsley with 313.76 and Doncaster at 348.53. Rotherham also has significant cohorts, for example, 204 people (aged 18 – 30 years) and 164 people aged 51-64 years.

The potential changes to the future delivery of services could also impact on the whole community.

- 238 users of day care and respite services may be impacted if current building based services close.
- 157 people who are in 24 hour residential care placements may, in some instances, see a reduction in support and in some cases, a possible move to a supported living environment following re-assessment. People with a Learning Disability from BME communities are under-represented in existing services. 26 (3.5%) out of a cohort of 728 people with a Learning Disability are from a BME community, despite BME people making up 6.9% of the Rotherham population. New service models must consider their needs and ensure inclusivity.
- Young people coming through transition will be able to access a range of opportunities to meet their needs that are within their local communities and give them choice and control over where to live and how to spend their time. 44 young people aged 16-18 are currently in the transition cohort. Please see link to JSNA for children and young people
http://www.rotherham.gov.uk/jsna/info/23/people/55/children_and_young_people/
- The type and frequency of transport provision could have a considerable impact on customers who use the existing social care provision.

The average age of the carers is 64 and the potential changes to services will directly impact on them. This needs to be considered in terms of expectations on carers and the support required through the modernisation process.

There are a significant number of people with a Learning Disability without carers or family support – circa 150 people. They will require independent advocacy in some instances in order to make informed decisions.

Work is underway to continue to develop community based services and promote this through the carers and families that have experienced the positive impact of this. Commissioning are involved in this work and are working on a Learning Disability Strategy which will take into consideration all the work that has been undertaken as part of the Learning Disability modernisation work and feedback from customers, carers and stakeholders.

The Council will need to ensure that there is accessible information readily available containing a range of different services that customers can choose from to meet their eligible needs. Every customer will have a Care Act 2014 Compliant Assessment and where appropriate a Mental

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Capacity Assessment.

A team of staff will be led by a Team Manager to oversee this process and ensure that the appropriate links are made with the services.

Under the Care Act the Council has a responsibility to ensure anyone with an assessed need has their need met. However, this may not be in a traditional service. All customers will be offered the choice of a personal budget to buy their care directly.

The Council is working with a range of organisations to look at developing many different types of support to meet a variety of needs. Where a customer has been reliant on social care transport and is not eligible for this service moving forward, the Council will work with the customer to increase their skills in travelling independently.

All customers, where appropriate, will have a transition plan to support them to move from one service to another.

A specific piece of consultation was undertaken around in house provider services from September – December 2017 to obtain people's views on the future offer and existing Learning Disability services.

The breakdown of this is as follows:-

Customer 177

Carers 112

Staff 99

General Public 85

In Rotherham the current offer of assistive technology and how we prevent customers from coming through our front door is a challenge. It is recommended that Adult Care builds on the improvement of the information and advice offer which demonstrate a model that "prevents, reduces and delays"

In order to give people more choice and control we need to maximise opportunities for people within their own communities. It is recommended that to allow for customers to gain skills and independence in self-travel and furthermore to give people the opportunity to access places that they do not currently that we look at support through additional travel training.

What equality information is available? Include any engagement undertaken and identify any information gaps you are aware of. What monitoring arrangements have you made to monitor the impact of the policy or service on communities/groups according to their protected characteristics?

Attached:

- Learning Disability Cohort information as of April 2017
- Timeline of engagement events carried out to support the consultation

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- Together for Change report
- 26 May 2016 Cabinet and Commissioner's Decision Making Meeting Report – Implementing a Strategic Approach to a Commissioning and Delivery of Learning Disability Services.
- 10 October 2016 Cabinet and Commissioner's Decision Making Meeting - Shaping the Future Report
- 10 October 2016 Cabinet and Commissioner's Decision Making Meeting - Development of a Rotherham All Age Autism Strategy
- Learning Disability Market Position Statement

The formal 60 day consultation which commenced 27 September 2017 to 22 December 2017 comprised of a series of engagement events across the Borough and online questionnaires.

There were in excess of 500 people who engaged in the completion of questionnaires or attended events. This consisted of customers, carers, staff, members of the public and stakeholders and young people who may access services in the future.

The data analysis for the online questionnaires has been completed by an external body. This is available as a separate report.

Engagement undertaken with customers. (date and group(s) consulted and key findings)	<p>A variety of engagement events have taken place across the borough to meet with customers face to face.</p> <p>This process has been undertaken as part of the consultation however engagement with customers has continued to be the focus through the individual services on a regular basis.</p>
Engagement undertaken with staff about the implications on service users (date and group(s) consulted and key findings)	<p>There have been a number of events held with Council staff throughout the consultation process. These events have been though the managers and staff and have also included the presence of HR and Unions.</p> <p>Consistent messages have been given to all staff in relation to the consultation and staff have also had the opportunity to talk on a one to one to managers where necessary and have been able to offer their comments and feedback through the use of the Learning Disability inbox which was created as another way of communicating and sharing views.</p>

The Analysis

How do you think the Policy/Service meets the needs of different communities and groups?

Protected characteristics of age, disability, gender, gender identity, race, religion or belief, sexuality, Civil Partnerships and Marriage, Pregnancy and Maternity. Rotherham also includes Carers as a specific group. Other areas to note are Financial Inclusion, Fuel Poverty, and other

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social economic factors.

Traditional services have been delivered from buildings across the borough for many years. Some customers will have been accessing the same services for all of their adult life. Potential closures or reconfiguration of services may bring fear and anxiety and a perception that something is being taken away from people. There is little evidence to show that the current services maintain and develop people's skills. In some cases the traditional models may lead towards a degree of dependency and reliance on services.

- Over the past 18 months there have been a range of briefings, engagement events, newsletters, visits to other authorities to look at best practice and meetings to discuss the need to change the way services are provided (Together for Change events)
- National evidence from a range of sources shows that moving towards locally based service provision will increase choice and control to customers.
- A number of external partners are working with the Council to support the journey towards less formal, restrictive services.
- Speakup will provide self and peer advocacy for people who need it.
- Absolute Advocacy will support individuals through the re-assessment process.
 - Community Catalysts are working with the Council to develop micro enterprises in the community and will support the access to existing assets within the local area and across the borough.
 - Shared Lives will be also supported by Community Catalysts to develop recruitment strategies to encourage more people to become carers and therefore expand the service.
 - The approach to assessments has radically changed since the implementation of the Care Act 2014. The Council is committed to strength based assessments and is undergoing a workforce development programme. The emphasis of which is to support customers to maintain their wellbeing and identify their eligible need and find alternative ways to meet these.
 - There has been considerable work undertaken to understand the cohort of 728 people with a Learning Disability who are in receipt of a service funded by the Council. This includes age, gender, ethnicity and carer data and is refreshed daily from Liquid Logic case management content.
 - Co-production moving forward with customers and their carers will ensure that a more diverse solution that better meets the current and future needs of carers can be sought
 - More locally and community based solutions will assist in integrating all communities.

Analysis of the actual or likely effect of the Policy or Service:

Does your Policy/Service present any problems or barriers to communities or Group?

Does the Service/Policy provide any improvements/remove barriers?

People with Learning Disability and /or Autism currently using existing services may not fully understand the changes that are being suggested due to barriers with communication. The Council will need to make every effort to ensure that the recommended further service specific consultations are as accessible as possible. This may include producing information in a range of formats and Speak Up (or another independent specialist voluntary sector organisation) will assist

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with engagement.

People with Learning Disabilities and/ or Autism may have differing views to their family members and the Council will need to ensure that all stakeholders can have their say in their own right.

What affect will the Policy/Service have on community relations?

- It is likely that the media coverage will be negative. The Communications Team will provide timely press releases.

Equality Analysis Action Plan

Time Period: May 2018

Manager: Richard Smith

Service Area: Adult Care

Tel: 01709

Consultation on the Modernisation of the Learning Disability Offer and the Future of In-House Services for Adults with a Learning Disability and/or Autism

Action/Target	State Protected Characteristics (A,D,RE,RoB,G,GI O, SO, PM,CPM, C or All)*	Target date (MM/YY)
April 2015 – Start of Adult Social Care Development Programme (Alternatives to Traditional Care and The Customer Journey – Key workstreams)	A, C, D, G, GI, RE, RoB, SO, CPM, PM.	April 2015
Appointment to Community Link Worker Roles	A, C, D, G, GI, RE, RoB, SO, CPM, PM.	July 2015
Together for Change Events – Learning Disability In house services	A, C, D, G, GI, RE, RoB, SO, CPM, PM.	January 2016
Report to Cabinet in May agreement - Strategic Approach to commissioning and delivery of Learning Disability Services	A, C, D, G, GI, RE, RoB, SO, CPM, PM.	May 2016
Community Opportunities Pathway Programme Launch	A, C, D, G, GI, RE, RoB, SO, CPM, PM.	September 16 – January 17
Agreed 3 year programme with Community Catalysts	A, C, D, G, GI, RE, RoB, SO, CPM, PM.	November 2016
Report to Cabinet – Consultation on the modernisation of the Learning Disability and Autism Offer	A, C, D, G, GI, RE, RoB, SO, CPM, PM.	November 2016
Start of formal 60 day Consultation on the Learning Disability and Autism Offer	A, C, D, G, GI, RE, RoB, SO, CPM, PM.	5 December 2016 – 2 February 2017

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Data from consultation analysed	A, C, D, G, GI, RE, RoB, SO, CPM, PM.	February 2017 – April 2017
Report for further recommendations following consultation in preparation for Cabinet Meeting (26 June 2017)	A, C, D, G, GI, RE, RoB, SO, CPM, PM.	June 2017
Co-production work with customers, carers and stakeholders to co-produce easy read questionnaire and gain feedback from previous consultation.	A, C, D, G, GI, RE, RoB, SO, CPM, PM	July – Sept 2017
Formal 60 day consultation on specific recommendations around in house services	A, C, D, G, GI, RE, RoB, SO, CPM, PM	27 th September – 22 nd December 2017
Data collected and analysed from consultation. Initial feedback to carers, customers and stakeholders on high level information from the consultation.	A, C, D, G, GI, RE, RoB, SO, CPM, PM	January 2018

Name of Director who approved Plan	Anne Marie Lubanski	Date:	
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*A = Age, C= Carers D= Disability, G = Gender, GI Gender Identity, O= other groups, RE= Race/ Ethnicity, RoB= Religion or Belief, SO= Sexual Orientation, PM= Pregnancy/Maternity, CPM = Civil Partnership or Marriage.

Website Summary – Please complete for publishing on our website and append to any reports to Elected Members, SLT or Directorate Management Teams

Completed equality analysis	Key findings	Future actions
Directorate:		
Function, policy or proposal name:		

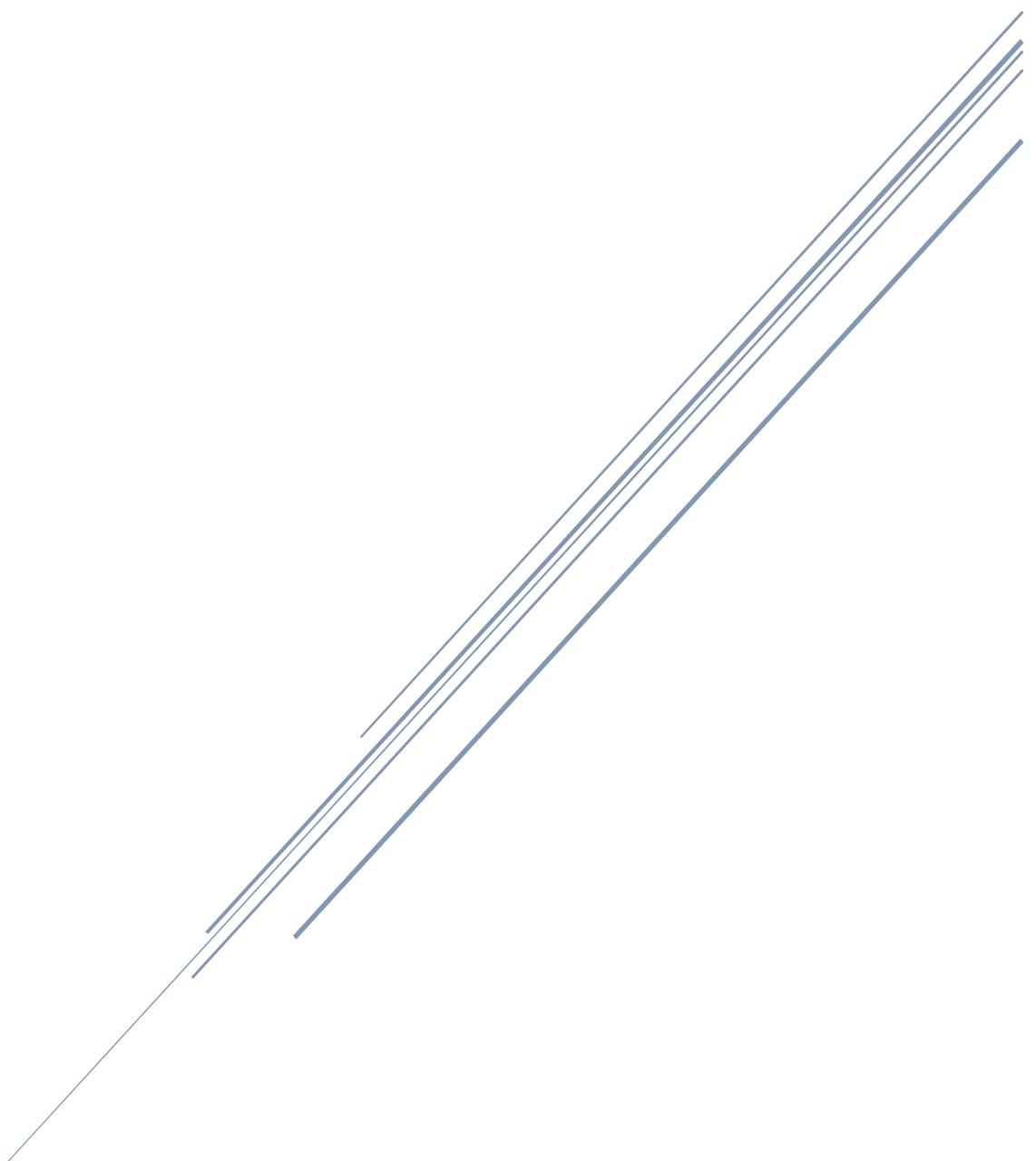
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Completed equality analysis	Key findings	Future actions
<p>Function or policy status (new, changing, existing):</p> <p>Name of lead officer completing the assessment:</p> <p>Date of assessment:</p>		

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RMBC CONSULTATION

The review of the learning disability offer and future in-house services for adults with a learning disability and or autism



Dr Jill Aylott, Dr Prosenjit Giri
January 2018

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Acknowledgements

We would like to express our thanks and appreciation to a number of people who engaged with the design and implementation of this consultation process through co-production. We would like to say a special thank you to those who participated as 'Consultation Champions' who guided and supported many people to complete the consultation questionnaire. Our thanks go to: **Mrs Ann McMahon, Ellen McMahon and Mrs Mary Wade and Michael Wade**, who invested time in the pre-consultation stage and Mrs Ann McMahon, Jonno Evans and Vicky Farnsworth who co-designed the teaching sessions and delivered the sessions to **Michelle, Disa, Mark, Julia and Julie, Sharron Walker**. We would also like to thank **Hayley and Michael** who worked on data inputting and data analysis. Without the support from you all, we would not have managed to have achieved the level of engagement that was possible.

1. Executive Summary

- 1.1. A consultation process on the future of in-house respite care and day services was approved at the RMBC Cabinet Decision Making Meeting on 10 July 2017. The consultation was undertaken and guided by best practice in co-production with people with a learning disability and their carers and undertaken in three parts.
- 1.2. 1) Part 1: A literature review was undertaken to inform best practice and legal compliance in the design and implementation of the consultation process;
- 1.3. 2) Part 2: the Pre-consultation period was shaped by consulting with people with a learning disability and their carers about the content, process and method for the consultation to ensure equity of access across the representation of all stakeholder groups. An online questionnaire was finalised after seventeen iterations with the engagement of 104 stakeholders; a set of flashcards were developed for people with complex needs and an easy read paper based questionnaire were developed between July and October 2017.
- 1.4. 3) Part 3: The 12 week consultation ran from **6 October - 22 December** and was supported by a 'train the trainer' 'Consultation Champion programme, where 12 people with learning disabilities, carers and staff from across the service underwent a training programme to disseminate practical skills to engage as many people in the consultation process from within a standardised approach. In addition a set of engagement sessions were tabled and facilitated by RMBC and Speakup. An easy read report has been produced to document the issues raised in these sessions.
- 1.5. A sample of 473 consultation questionnaires were returned from 177 people with learning disability and or autism and either mental health or a physical disability; 112 carers; 99 staff and 85 members of the public.

- 1.6. An analysis of the data were undertaken by two independent social researchers (aceppe.com) who presented descriptive statistics of the quantitative data with accompanying slides and subjected all the qualitative data to a combined thematic analysis with a content analysis.
- 1.7. Limitations of the consultation process include: Minimal coverage across some post code locations in Rotherham to consult with young people, and people with a learning disability and or autism and mental health issues; Despite contact with colleges our strategy did not result in engagement with young people; There was also a lack of engagement with 'hard to reach' communities.
- 1.8. The findings from this consultation report that **Respite care services** are important to support carers in their caring role, however not all carers have access to respite care as the service is not accessible to all people with a learning disability. There is a need to make them accessible, fair and to enhance the skills of staff to support a wide range of support needs in a personalised way. 50% of people with a learning disability want to keep the respite service the same and 50% want the respite service to be more accessible to others with a learning disability including people with a physical disability. A fairer respite service is needed for access to all people with a learning disability including those with autism and physical disability. One third of members of the public wanted to keep respite services the same. Two thirds suggested modernising respite care services and looking at other local authorities to see what models are used elsewhere.
- 1.9. **Day Services:** The majority of people with a learning disability do not want day services to change and will need support through any change process to prevent distress and anxiety about change. One third of carers want the services to remain the same, while another third want the same and more investment and the final third want more integration into the community. One half of the members of the public either want to keep the services the same or invest in them further. While the other half wants to modernise day services. While approximately 22 out of 55 (40%) of the staff focused on advocating for the buildings and equipment in day centres, the majority 60% focused on the need to offer choice, personalisation and flexibility in the services provided.

2. Introduction

This report presents the data and analysis of the Rotherham Metropolitan Borough Council consultation on the future of in-house respite care and adult day services. The consultation process was approved following the planning meeting at the RMBC Cabinet Decision Making Meeting on 10 July 2017. A pre-consultation period ran from the beginning of **July - 5 October** and involved:

- A literature review on current best practice when consulting with people with a learning disability and their carers
- A review of case law and recommendations for legal compliance with public consultation and best practice in the design of an accessible consultation (with reasonable adjustments for people with a learning disability and their carers)

A twelve week consultation ran from **6 October - 22 December 2017**. This 12 week consultation process was supported with a 'train the trainer' programme to support and prepare 12 consultation champions (named in the acknowledgements section of this report). The 'Train the Trainer' programme consisted of a one-hour session every two

weeks for 12 weeks and repeated in each of the three day centres. This training programme allowed for regular feedback from the consultation champions to seek either adjustment to the online questionnaire or to review the process of face to face to support with the use of the paper-based version of the questionnaire. The consultation champions were then given an opportunity to feedback to RMBC at a 'Celebrating co-production' even in week 12 of the consultation. We were delighted that those who were unable to be physically present at the event, created videos to be shown at the event summarising the process of the consultation in their day centre.

3. Background and Context

The consultation built upon the lessons learnt from the previous consultation report presented in March 2017, with recommendations to address the following in any subsequent consultation:

- Consult with 'hard to reach' individuals and communities
- Consult with older people across Rotherham
- Consult with young people in transition from children to adult services
- Engage staff across health, independent and private sectors
- Apply a governance structure to ensure carer and service user engagement in the design and implementation of the consultation
- Commission a dynamic, flexible online survey tool that will create one questionnaire with several branches for bespoke consultation with 11 stakeholder groups
 - 1. People with a learning disability
 - 2. People with autism
 - 3. People with a learning disability and autism
 - 4. Young people in transition to adult services aged 13 - 18
 - 5. Carers of a person with a learning disability and or autism
 - 6. Members of the public living in Rotherham
 - 7. Members of the public who uses the facilities of in house services
 - 8. People with a learning disability and or autism and a physical disability
 - 9. People with a learning disability and or autism and a mental ill health
 - 10. Members of staff working with a person with a learning disability and or autism
 - 11. People living outside Rotherham and is a relative of a person with learning disability and or autism who uses learning disability services

This shaped the rationale and design of the methodology for the consultation, which would be a mixed methods consultation with an underpinning structure of co-design with carers and people with a learning disability and or autism (with a range of additional needs) across Rotherham.

4. Methodology

The methodology of co-design required a three-stage approach to the consultation process:

Stage 1 - Literature Review and Scoping of the Project

Stage 2 - Pre - consultation

Stage 3 - The 12 week consultation

Stage 1 - Literature Review and Scoping of the project

A literature review was undertaken to identify the core knowledge and research requirements to inform the design of the consultation. Emerson and Hatton (2008) undertook a major consultation with people with a learning disability and developed 'flashcards' to facilitate the consultation process. It is recommended by Nind (2008) that the use of photographs or flashcards can decrease the processing load in interviews with people with a learning disability and enable greater engagement and access to the consultation process.

Our literature review included tacit knowledge, which led us to listen to Rotherham MBC's vision for the 'three conversation model' to deliver personalisation within the constraints of austerity. This approach has been developed elsewhere in Adult social care with reported success (Kirin, 2016).

It is considered best practice to assess an individual's communication ability and preferred method of communication in any consultation process to ensure that there is trust and confidence in the data generated (Aylott, 2015). Research on 'communication profiles' elsewhere provided guidance on how to collect these data for the consultation process (Table 1):

Table 1: Extract from Autism Specialist Practice Guidance (Aylott, 2015)

TABLE 4 An example of a communication profile	
(This is based on a real person who had a minimum of two male staff members on each shift to work with him in his flat. Staff often expressed difficulties they experienced in understanding his communication.)	
Question	Example
1. Does the person use verbal communication? If so, how is this used in communication with others and how effective is it as a means of communication?	John Brown makes his needs known by vocalising various sounds. The sounds used vary in loudness and pitch depending on his mood. John uses sounds that can communicate happiness and sadness. If staff do not attend to the noises, the sad ones will escalate and result in some form of negative behaviour. His most commonly used sad sound is 'na-na, na-na'. If the 'na-na' sound continues and he starts to grind his teeth and to rock back and forth, he is becoming even more unhappy about something.
2. What non-verbal methods of communication are used?	John claps his hands to let staff know that he wants something. If staff do not understand, he may take them by the hand to show them what he is trying to communicate. If staff have still not understood, he will become agitated and start to sit on his hands and rock backwards and forwards. He may then start to make a na-na sound if he continues to be unhappy. After grinding his teeth, he may become frustrated and try to attack a member of staff.
3. Does communication change when anxiety levels increase? If yes, how does this change?	As John becomes more anxious, his Makaton signing becomes more vague and difficult to interpret and understand. The sounds he makes become louder and higher pitched.
4. What is the person's special interest?	John loves garden tools; he likes the variation in form rather than using them. He likes to visit garden centres and look through catalogues.
5. What is the meaning of	John will point to the vehicle's keys and sign for you to give him some

A consultation process needs to be framed against the vision for future services and to ensure legal compliance to the cabinet office guidelines on public consultations (Cabinet Office, 2012). A consultation process should be informed by an evidence base that enables the consultation to be legally compliant. This requires consideration of case law which will in turn provide the basis for core principles that must be followed in any public consultation process. The principles are highlighted below:

1. *Fairness* - The underlying principle of 'fairness' should be at the forefront of any consultation process. This principle is defined by law and needs to be explained clearly in relation to the people likely to be significantly affected by any decision-making process.
2. *Participation* - The length of time to consult would normally be at least 12 weeks but this might be longer if it is considered that in being 'fair' to the service users involved in the consultation, a longer time period is required to process information, understand it and to be supported to respond appropriately.
3. *Openness* – Establishing a steering group where all information can be made accessible and the process is open and transparent, will help to build trust in the process of consultation. The steering group to be chaired by the Head of Adult social care with support from Speakup and Aceppe. This is a critical principle to engage all stakeholders in the consultation.
4. *Accountability* – producing a strategy for consultation that responds to all stakeholders and is inclusive and compliant with the Equalities Act (2010) will be critical for the consultation strategy.
5. *Effectiveness* – Ensuring the public consultation is robust and credible from the start will create a consultation that is resistant to legal challenge. This is an effective and efficient way to spend public money particularly in times of austerity.
6. *Proportionality* – of the type and scale of consultation, with planning for real engagement rather than as a bureaucratic exercise. Consideration needs to be given as to what is proportionate for the consultation exercise.

Rotherham is a borough with two thirds of the population living in deprived areas. Rotherham has a population of 236,438 (2011 census) with 91.9% white British and 29,842 (2011 census) BME. The largest BME group is Pakistani with 7,912 people (3.1% of the population). This data is 2011 census data and the BME figure is likely to now be 10%.

A summary of population numbers and postcodes in Rotherham is presented in Table 2:

Table 2: Areas of Deprivation in Rotherham and Postcodes

Table 2: Rotherham Postcode, Ethnicity and Deprivation					
Rotherham Postcode	Rotherham areas	Number of people	%BME	%White English	Position of Day or Respite service
S61 Affluent	Greasbrough	35,866 people			Treefields (S61 4AB)
	Kimberworth				
	Thorpe Hesley				
	Wingfield				
S62	Rawmarsh	19,772			

Deprived	Wentworth				
	Parkgate				
S63 (some parts are Barnsley) Affluent	Wath-upon Dearne			97.3%	Quarry Hill Respite (S63 7TD) Oaks Day Service (S63 7BB)
	Goldthorpe (Barnsley)				
	Thurnscoe (Barnsley)				
	Bolton on Dearne (Barnsley)				
	Brampton Bierlow				
S64	Swinton				
	Mexborough (Doncaster)				
	Kilnhurst				
S60	Brinsworth	38,007	18.9% Pakistani	63% White English	
	Catcliffe				
Deprived	Central Rotherham				
Deprived	Masbrough				
	Canklow				
	Broom				
	Treeton				
Affluent	Whiston				
Affluent	Moorgate				
S65 (Two thirds deprivation)	Herringthorpe	35,222	18.9% Pakistani	63% White English	Reach Day Service (S65 2QU) (Badsley Moor Lane)
	Ravenfield				
	Thrybergh				
	Eastwood				
	Dalton				
	Clifton				
	East Dene				
S66 (Deprived)	Maltby	45,857	97% White English	Addison Rd (S66 8DG) REACH: Maple Avenue (S66 8AY) Park Hill Lodge (S66 8AZ)	
	Bramley				
	Hellaby				
	Thurcroft				
	Wickersley				
	Braithwell (Doncaster)				
	Stainton (Doncaster)				
S25	Dinnington				
	Laughton Common				

	Laughton en-le- Morthen				
	North Anston				
	South Anston				
S26	Aston				
	Aughton				
	Todwick				
	Kiveton Park				
	Wales				
	Harthill				
S81	Woodsetts				
	Firbeck				

Stage 2 - Pre-consultation

Pre-consultation stage

A pre-consultation process was undertaken over a period of 13 weeks (from July - 5 October) and involved 104 stakeholders from eleven different stakeholder groups (Table 3). The pre-consultation process produced seventeen iterations of the online and 'easy read' paper based version of the questionnaire. In addition, at this stage of the consultation, two people with a learning disability and their families were instrumental in the development of flashcards to accompany the questionnaire to enable large visual images to augment the online survey and the easy read document.

Table 3: Eleven (11) Different stakeholder groups for the Learning Disability and or Autism Consultation

1. People with a learning disability
2. People with autism
3. People with a learning disability and autism
4. Young people in transition to adult services aged 13 - 18
5. Carers of a person with a learning disability and or autism
6. Members of the public living in Rotherham
7. Members of the public who uses the facilities of in house services
8. People with a learning disability and or autism and a physical disability
9. People with a learning disability and or autism and a mental ill health
10. Members of staff working with a person with a learning disability and or autism
11. People living outside Rotherham and is a relative of a person with learning disability and or autism who uses learning disability services

One online questionnaire was developed, with specific branching for each stakeholder group (please see Appendix 1). The questionnaire consisted of 101 questions for people with a learning disability and or autism and these questions were branched according to the relevance for each stakeholder group.

To enable compliance to the Equality Act, 2010, and accessibility to specific learning difficulties of the questionnaire, it was agreed to use a number of ways to enable access to the consultation. These are listed in Table 4:

Table 4: Multiple access points to the consultation process

Method to access the consultation survey	Designed for	By whom
On-line survey on the council website	Members of staff, the public, carers	Direct access and promoted by letters, emails, telephone calls
Hard paper version of the on-line survey in 'easy read'	People with a learning disability and or autism, some carers, for staff assisting others to complete of the survey	To be made available by the Council and disseminated by the Council and speakup on request
One to one support with a trained 'Consultation Champion'	Anyone who has difficulty understanding how to engage with the online survey but would still like to have a say in the consultation	Carers, people with a learning disability and some staff within each day service
Pictorial flashcards to accompany the on-line questionnaire and the easy read	People with complex needs to enable a more personalised and adaptive approach to the consultation process	Consultation champions
Consultation information and engagement sessions during the 12 week consultation across Rotherham	Members of the public, staff, carers, people with a learning disability, and everyone who would like to know more about the consultation	RMBC

Stage 3 - The Twelve (12) week consultation process

The on-line questionnaire was designed with a facility to set up a log in name and password so that the respondents could have several points of access to the questionnaire over a time and period that suited them. It was only in the last week of the consultation that one of respondents flagged up that entry and re-entry to the questionnaire expired after seven days. As we were alerted to this the day before closure of the questionnaire we extended the time for those who had partially completed to complete them within a 24hour period. Any subsequent questionnaire design would be advised to extend the access to the questionnaire beyond 7 days. However too long a period of time may affect the reliability of the data as there is a risk of deteriorating recall over time or repetition of information.

Due to the complexity of the multiple routes of entry to the consultation process it was agreed to support and train consultation champions with a course based on the curriculum

of the City and Guilds Award: 'Independent Advocacy'. These sessions ran every two weeks during the 12 week period and were delivered in the three different day services locations to provide support to the consultation champions who were encouraging all customers and carers and staff to engage in the consultation and to have their say. The continued engagement with the consultation champions over the 12 week consultation also acted as a point of guidance and advice on several issues that were presented during this time. These issues were:

1. Slight differences in the easy read and on-line version of the questionnaire
2. Difficulties obtaining hard copies of the questionnaire for carers
3. Flashcards delayed by print services
4. Staff lacking internet access at their place of work to access the on-line consultation
5. The need to manually submit data from paper based versions of the questionnaire
6. Support for people with complex needs to enable a non-biased submission of the consultation

A Project Management team for oversight of the consultation process was led by the Head of Service, Provider Services and jointly between Speakup and Aceppe and this team received specific issues raised regarding the implementation of the consultation at weekly meetings. The action agreed from issues flagged is outlined in Table 5:

Table 5: Project Management Team and Governance for the Consultation process

Issue flagged in the Project Management meeting	Action
Slight differences in the on-line version and hard paper 'Easy Read' version	Speakup made amendments for alignment
Difficulties obtaining hard copies of the questionnaire	RMBC and Speakup resolved this. Speakup printing copies of the flashcards and delivering them to the services. This created an additional cost to speakup.
Flashcards delayed by print services	Speakup produced flashcards x 3 sets and delivered to day services date
Staff lacking internet access	An internet bus was arranged to visit specific locations - insert date
A need to manually submit data from completions of the hard copy	Individuals in Oaks and Addison agreed to input the data and Speakup picked up any outstanding paper versions that required inputting
Support for people with complex needs to complete non-biased consultation submission	Carers and staff trained as consultation champions were available to support keyworkers and carers take part in a 'tripartite' 'mini-review' process to complete the consultation with the person with complex needs.

5. Limitations of the consultation

While Aceppe and Speakup worked with carers, customers and staff in the pre-consultation process and produced 17 iterations of the consultation questionnaire there were still limitations in the process. These are explored below:

1. Minimal coverage across some post code locations in Rotherham to consult with young people, and people with a learning disability and or autism and mental health
2. Despite contact with colleges our strategy failed to engage young people in the consultation process.
3. A lack of engagement with 'hard to reach' communities
4. A need for respondents to access the on-line questionnaire more times than the design allowed and to go back and add comments as they remembered information.

Our recommendations made on the basis of these limitations for any future consultation are:

1. Access GP practices in 'hard to reach' communities and have a 'live' presence at 'hard to reach' events in these communities as well as being based at the GP/Health practice
2. Work with schools with children in transition more actively in the pre-consultation stage and encourage letters home to parents advising them of the pending dates for the consultation
3. Work with RDASH and Rotherham Foundation Trust to capture more people with a learning disability and or autism and mental ill health
4. Design an 'add in' facility with the on-line questionnaire for when people want to return to the questionnaire after they have finally submitted.

6. Findings

This section of the report will be presented in three sections: Section 6.1 will present a summary of the sample by postcode; Section 6.2 will provide a qualitative analysis of the feedback from the consultation and finally Section 6.3 will present the quantitative data and accompanying graphs.

6.1 The sample

Table 6 is a summary of the numbers of people who completed a consultation questionnaire (by any of the routes described in Table 3 above) and who provided a postcode or place name (where this was supplied¹). Staff were not asked for their postcode and a significant number did not insert the postcode or a place name.

Table 6: Sample by postcode

Stakeholder Group	S60	S61	S62	S63	S64	S65	S66	S25	S26	S81
PWLD	7	4	5	3	4	12	21	2	10	1
PW autism	2						2	2		
PWLD/A		3	3	1	2	4	6	3	1	

13-18										
PWLD/A/PD										
PWLD/A/MH	1	1	2			3	2			
Carers	13	5	5	5	7	12	13	7	7	3
Member Public	6	4	2	5	1	6	7	4	1	
Member of public who uses services						1				
Total	29	17	17	14	14	38	51	18	19	4

Q1f1 Qualifications

Forty seven (47%) of staff have qualifications, 36% have NVQ Level 2 or 3 in Health and Social Care. Four (4%) have NVQ in photography or horticulture

Seven (7%) have NVQ level 4 and above. This level of qualification is higher than the average across the borough of Rotherham.

Customers are much less qualified with just 12 people with a qualification. The NVQs of customers are more vocational, while the NVQs of staff are in health and social care.

An NVQ in catering was the most popular:

“NVQ catering level 1” (11) “NVQ catering Level 1&2” (12) “catering” (6) “catering” (3)

Two had an NVQ in “animal care and gardening, level 1 (10) “computer/lawnmower safety” (1) “gardening” (8)

Others had NVQ in “information technology, level 1 & 2” (2) “motor vehicle” (4) “OCN leadership” (5)

6.2 Qualitative analysis

Question 3B What changes could we make to respite services to make them better?

1. People with a learning Disability

Summary: 53 responses, 13 replied “don’t know”. Those who responded to this question, 50% wanted to keep the service the same and 50% wanted the respite service to be more accessible to people with a physical disability. A fairer respite service is needed.

Other respite care services used by people with a learning disability were: Ladycroft (mentioned by two people) personal assistant through direct payment (one person) AdPro, Addison (mentioned by one person) and Broad Horizons (one person).

¹ People with a learning disability and others were invited to write a place name if they did not know the postcode for their address. Our co-researcher Michael Aylott, Speakup, converted the place names to postcodes in the data analysis stage

There were fifty three (53) Reponses from people with a learning disability, thirteen (13) of who said they “don’t know” how the respite service could be made better and twenty one (21) wanted to keep the respite care services the same:

“I wouldn’t change anything. I enjoy going to respite” (24)

“stay open” (20)

“I don’t want any of them to go, really. I enjoy it at .. (25)

What people liked about the service was the building and the staff

“I love this respite centre the staff are really nice and understand me and make me feel welcome” (46)

“I really like ... the staff look after me and I feel welcome” (51)

“I don’t want any of them to go, really. I enjoy ...” (25)

Four of those who liked the service, felt they wanted more of the same:

“make them bigger and build more rooms so that they can have 15 residents and not 6” (3)

“bring more people in .. we want more staff, more seniors, more clients. The building needs decorating” (11)

However, several people commented on how the service could be improved:

“sometimes I cannot go out for the day every time and I would like to” (1)

“get rid of bedtimes let people go when they are ready”

“they could have more staff to support me” (19)

“technology could be improved such as teles and maybe have ipads” (53)

“more funding and include affordable holidays” (45)

“sometimes I would like to go somewhere else” (21)

There was a recognition that the respite care service needs to be more accessible to others:

For emergencies “availability for emergency situations” (11)

More people can access the services:

“more can go” (17)

“more people able to use them” (27)

or that people who use the current service can have more use of the service:

“..... respite care service was taken away from me. Because I enjoyed it, I would like to have it back please” (23)

2. People with autism

Summary: Respite services need to be made more available and accessible

Five people with autism (from the sample of 12) responded to this question with one saying “I don’t know” (5) and two suggesting better accessibility as they could be improved by “make them more available” (1) and “help more older people such as parents with autism who hadn’t gotten the proper help when they were younger” (3). The remaining

two comments were suggestions as to how to improve the building: "star wars themed rooms" (2) "stair lift and more bedrooms downstairs" (4)

3. People with a learning disability and autism

Summary: The respite service should be more accessible and disabled friendly

Out of 32 people with a learning disability and autism, just 10 people used the respite services (3 used Treefields and 7 used quarry Hill). None used shared lives but five people mentioned they used respite services from

- Maple Avenue
- Direct payments
- Lady croft

Five (5) people suggested that nothing could be improved:

"none" (1) "none" (4) "I am happy as it is" (6) "nothing" (10) "I love it there" (11)

One person had not used the service so was unable to comment "I have not been offered any support so I am unaware of the above" (7). Two others had practical suggestions: "modernisation bigger and more disabled friendly" (2) "would like sky tv at quarryhill respite that he uses" (8).

4. Young person 13-18

From the two responses, neither used respite care services.

5. Carers of a person with a learning disability and or autism

Summary: Respite care services are important to support carers in their caring role, however not all carers have access to respite care as the service is not accessible to all people with a learning disability. There is a need to make them accessible, fair and to enhance the skills of staff to support a wide range of support needs in a personalised way.

Fifty four (54) carers provided a response to how respite services could be improved. Carers felt that respite care services were important to support families living with an adult with a learning disability:

"my son has never used respite services but as a general feeling, respite centres are a good idea for carers that really need a break and support from their son or daughter" (19)

"I don't have experience of the respite services but would think they are for family's of people with a disability and they are a lifeline for them" (53).

For those who used the services they liked them and wanted more of the same:

"nothing they are brilliant as they are" (3)

"no changes to be made as long as they are happy with the staff and the service I am happy with it" (7)

"no changes needed apart from a few more days" (12)

"Increase capacity" (14)

"stop cutting the allocated days down and changing them" (16)

One carer summarised her level of satisfaction as follows:

"quarryhill needs no changes. It is a brilliant service which meets our needs and our sons needs. We benefit from the respite and are able to rest knowing our son is happy and very well cared for. Dates are very flexible and we have a choice. The environment is clean, cosy and fit for purpose. Staff are very professional and understanding to the needs of both clients and carers. My son very much looks forward to going and sees it as a holiday with his peers. Without places like Quarryhill and The Oaks his social life with people he can relate to would be very limited. Staff at Quarryhill have gained a great knowledge about my sons day to day care. They understand his ways and I feel confident that they care for him well. The change of staff after a shift is good as sometimes a fresh approach is advantageous on both sides. My son enjoys his food there and is given the same choice as he has at home. He is allowed to purchase items which he can store in the fridge. I cannot speak highly enough of the service" (43)

But other carers suggested ideas to improve the services, suggesting more accessibility and flexibility in the service:

"modernisation - bigger and more disabled friendly" (1)

"from a personal viewpoint I am happy with the service currently being received. The only issue would be only one downstairs bedroom which can restrict access to the provision" (21)

"give it a lift, so my daughters wheelchair using friend could have respite at the same time" (8)

"Perhaps more flexibility" (2)

"could be more flexible such as short daytime or evening service" (9)

"To be able to use the day centre and council buses for trips on a night and on weekends" (4)

"more nights, easier accessibility, more respite centres" (10)

"more flexible" (13)

"be more aligned to the special needs of my daughter and me" (31)

Addressing the issues of accessibility of people with a physical disability and health needs one carer reported:

"My daughter uses Ten Acre due to her nursing needs. She temporarily lost her CCG funding last year and we had to look at Treefields and Quarryill and Shared lives. None were suitable as they could not provide the nursing needs required, i.e. giving medication covertly, being sufficiently accessible for personal care and giving one to one staff at personal care/dressing times and having the correct aids and adaptions for someone with limited mobility or ability. These factors need to be looked at to make any respite better. Also en suite rooms do help my daughter as she is in respite with males and females and is not totally aware of her own dignity" (40)

Another carer suggested the need for the service to be able to support people with a wider range of needs:

"make them more accessible. Allow staff to assist with bathing e.g. help get customers in and out of the bath. Have someone with nursing qualification to administer medicines etc" (46)

Others suggested alternative models:

"have more opportunities available with different venues and options. For example respite in environments with gardens, sensory rooms and people with similar disabilities and age ranges" (19)

While the respite care service was mostly underused by families, one of the carers who used it raised the point of a 'respite care allowance' for carers:

"I would like to receive my full allowance of respite as I still don't receive this despite having a 15% cut already and emergency bed covering - which gets cancelled. Also as the respite is 1 evening a week there is not always a bed available" (Shared lives carer)

Another discussed a break down in trust:

"being told the truth and no lies regarding stays etc" (35)

6. Members of the public living in Rotherham

Summary: one third of members of the public wanted to keep respite services the same. Two thirds suggested modernising respite care services and looking at other local authorities to see what models are used elsewhere.

Thirty (30) members of the public gave a response to this question and eleven (11) one third were happy to keep the services the same:

"keep as they are" (5)

"put more into them" (6)

"keep them open" (7)

"more availability and cheaper" (8)

"nothing needs changing just spend more money on them" (15)

"more spaces available" (16)

"my friends daughter attends and is more than happy about the service. So no changes are necessary" (23)

"None" (27)

There was an understanding that respite care is an important part of a service to support people with a learning disability to live at home with their families. One wrote:

"Shared lives is a good idea, parents and carers need respite and a rest to let them have the energy to care for the rest of the time" (1) However this respondent added "... respite needs to be available for people who are wheelchair users too" (1)

"invest in services or run the risk of families collapsing" (21)

Accessibility to respite care services was a concern to members of the public and so too was the need for personalised services:

“fundamentally person centred and not viewed through the lens of budget constraints”
(2)

“more choice personalised budgets” (9)

“accessible to all abilities and disabilities” (11)

“personalised choice options rather than set venues” (14)

Equality of access was also a concern:

“three centres across the borough” (4)

They wanted to see alternative models

“explore alternatives available. Look at what other local authorities do” (10)

“They need to be more flexible with the person and the family at the centre, I think there should be new resources built which are modern and meaningful” (19)

“have options where families can go away together as a family. But where the carers do not do the caring role as the people on the site do the caring role. For example Calvert Trust in Hexham have you all to stay as a family but calvert trust carers do the caring role so you can just have fun as a family in a different environment” (28)

And to use respite care as a model to build life skills:

“build independence skills with the person and communication with the carer” (17)

7. Members of the public who uses the facilities of the in house services

No data

8. People with a learning disability and or autism and a physical disability

Summary: this group are not able to access the in-house respite services and instead have to use alternative services.

Seven (7) people responded to this question with one suggestion that Treefields or Quarry Hill respite care service need to be “ more culturally appropriate” (1). This question wasn’t applicable to another person as they don’t use the service (7).

Due to this groups physical disability they were using Ten Acre or Sunnyside Respite care services. And one person reported “ my respite service has bought wifi for me which has made a big difference. I like having my own space but knowing were everyone is e.g.having an open door and being on the ground floor. There are staff available for me to help with assisted showering and giving me medication” (5)

9. People with a learning disability and or autism and a mental health issue

Summary: More information on respite services and what is available is needed.

While there were twelve (12) respondents from this group, none used the respite care services and reported that they “didn’t know” about what to propose to change. One young woman wrote:

“Make people aware who the service is for exactly. I think that I don’t qualify for example. But I don’t know what you offer. I would like the chance to help others and volunteer at a centre. I understand how it feels to be autistic and have mental health issues” (1)

10. Members of staff working with a person with a learning disability and or autism

Summary: Some staff are carers as well as staff members and one mentioned an alternative respite care service currently used.

Ninty nine (99) staff participated in the survey and out of this number there were seven (7) replies about the respite care service. One person replied they use Rainbow house respite care and one other replied that they “provide direct payment respite care”. Five (5) others commented on the relevance of the question being asked of them.

11. People living outside Rotherham and is a relative of a person with learning disability and or autism who uses learning disability services

Summary: A recognition that respite care is important to support carers

There was a small response to this question three (3) and these were favourable to supporting a respite care service, without specific mention to any particular service:

“For the staff and clients to be assured that the service was not in danger of closing” (1)

“Provide more” (2)

“Offer the help that people need - and assistance to organise suitable respite for carers” (3)

Q3H What changes could we make to day services to make them better?

1. People with a learning disability

Summary: The majority of people with a learning disability did not want day services to change and will need support through any change process to prevent distress and anxiety about change.

There were 76 people from the sample of 104 who responded to this question with just two replying “I don’t know because I don’t use day services” (72) (78) and fifty (50) of them 66% wanted the day services to stay the same:

“its okay” (5) “happy as it is” (14) “I am happy at Addison, I go out and about and do a variety of activities” (15) “happy with how day services are” (19) “no” (21) “keep it open” (22) “I want to come” (23) “no changes” (26) “I like it how it is” (31) “I don’t want changes” (32) “KEEP THEM ALL OPEN AND DO NOT CLOSE THEM” (33) “nothing I am happy as it is” (40) “none happy with the they are” (42) “stay the same” (46) “I am happy at Addison and don’t need to change anything” (49) “I like coming to Addison and Kiverton outreach” (50) “nothing” (65) “nothing” (66)

while others wanted to invest more money in the day services:

“give them money” (1)
“put more money into day services rather than cutting it from those who need it most” (16)
“money to pay for it, rather than saying there isn’t any!” (17)
“spend more money on the building, some more staff” (6)
“money spent on the building and how it works” (24)
“They need to get more funding to keep them open” (25)
“spend more money retaining staff and maintaining buildings” (64)
“invest in the projects” (71)
“pay the staff more to improve moral” (74)

While there was a suggestion to invest more money into the day services, there was also a request to make the services cheaper:

“cheaper please” (48)
“Make them more financially accessible as most individuals who attend are on low benefits” (51)

There was the request for more staff as this was associated with improving the service:

“new staff and clients to come to the centre so more things can happen” (9)
“more staff to make us have more to do” (12)
“more staff so can go out better stay open” (13)
“Keep it open, I would like more staff to listen to me when I am upset” (29)
“put back the things we used to do and more staff” (43)
“higher staff ratio to accommodate swimming” (45)

or more resources:

“more tables and chairs so people can sit around it” (18)

or more of the same:

“would like to attend more days in the week” (11)
“offer me more days to attend” (35)
“a bigger building, more staff. More clients. More gardening” (39)
“same staff everyday” (44)
“they could make the day services bigger and get new staff in” (83)

While others wanted to do something else as a secondary issue:

“I would like to attend Kiverton outreach an extra day (Monday) so that I can do more sports” (2)
“I would like to ride a bike” (27)
“I attend Addison and would like to do gardening next summer” (41)
“day services should stay but they need to do more things outside of the day centre and more activities in the community” (57)
“more employment opportunities” (66)

"I like Oaks day centre as it is, however I volunteer at the Light Bite café which is run by the day centre, the kitchen is very small so maybe they could be some money spent on the kitchen to make it have more space" (69)

"there should be more outdoor activities, which needs in both the day centre and the community" (75)

Or that the model could be a different one

"have some groups about life skills, bus training, ironing, woodwork and do literacy groups" (3)

Be better accessible by 'hard to reach' groups

"better understanding of BME communities and people with an ethnic background" (4)

or more accessible generally:

"Addison centre change the door size I find it hard to get around" (60)

Others didn't know how day services could be improved "no idea" (7) "I don't know" (8) "cant think of anything"(10)"don't know" (47) while one person who was attending Addison and used to attend Oaks, reflected on his/her experience at Oaks: "I used to go to Oaks day centre, but don't go now, I think Oaks could do more activities out in the community" (57)

The fear of the loss of the day service was communicated in the potential loss of a place where they wouldn't be able to see friends:

"don't close it so I can keep integrating and make friends" (28)

"I like it here, I get on with everybody (30)

"I wouldn't change anything because I am very happy with the service I get ... we do a lot of different things and I see my mates" (34)

Others appeared upset:

"the council should stop messing and get their finger out. They shouldn't be telling people that they are shutting them down" (37)

"we want to fight for our country! Keep services open" (73)

2. People with autism

Summary: small sample with an emphasis of not wanting closure.

Eight (8) people from the sample of 12 people with autism respond to this question. Two people replied "don't know" (4) (5) and one reported that they hadn't used the service: "I don't know because I haven't used these services before" (7). One person stated "none, they are there for me and I chose my activities love the allotment, bowling, swimming and café" (1)

Two responses focussed on keeping the day service open:

"MAKE SURE THEY ARE NOT CUT AND THAT STAFF FEEL VALUED BY RMBC NOT JUST THE SERVICE USERS" (2)

"I only know about Oaks and the priority is to keep it open. Do RMBC know how the Oaks centre help people in the community be being helped by the facility. Its unfortunate that A... S ... has moved away. He has helped very good link between the oaks and people in the community of Wath. To close Oaks would undo all the good work" (3)

3. People with a learning disability and autism

Summary: people with a learning disability and autism want more of a structure in their week. This supports the evidence that people with a learning disability and autism benefit from a structured routine for most of the time and not some of the time.

Nineteen (19) people offered responses to this question and three reported that they didn't know "don't know" (16) (19) and "I don't know I have never used these services" (18)

Four (4) people didn't want changes to be made: "I enjoy reach and I don't want any changes to be made" (1) "none" (2) "At the moment everything is working for my son (4) "very good as it is" (5)

Or they want it to become bigger: " a bigger purpose built centre is needed - keep the Elliot centre the same but Maple needs a new building (3) "more staff s that I can go on more activities instead of stuck in base bored" (6) "more choice of activities 1:1" (7) "more staff so I could access more community activities" (13)

4. Young people in transition to adult services aged 13 - 18

No data

5. Carers of a person with a learning disability and or autism

Summary: One third of carers want the services to remain the same, while another third want the same and more investment and the final third want more integration into the community.

There were fifty nine (59) responses by carers who broadly fell into five categories.

5.1 The carers who feel the day services should remain the same (18)

5.2 The carers who want the day services to remain the same but have more investment (21)

5.3 Those who want flexibility and improvement (9)

5.4 Those who feel that the model of 'Day Services' needs to develop more integration into the local community (6)

5.5 Those who are unsure (5)

We will explore each in turn

Carers who want the day services to remain the same as they are:

"nothing they are brilliant as they are, excellent range of activities offered" (3)

"happy with the service, no changes, keep it open" (12)

"service is very good, cant fault it" (23)

"Addison day centre is excellent as it is and does not require altering" (24)

“Oaks is a great centre and works fine for my son” (25)
“use for son and happy with service” (26)
“keep it open” (29)
“none” (30)
“Happy with the service received from Oaks Day Centre for daughter and the support from staff etc” (31)
“happy with the service provided” (37)
“none” (34) “none” (40) “none” (42) “none” (46)
“not sure as my daughter enjoys everything she does” (48)
“nothing its perfect it meets all the needs of my daughter and us as a whole family” (49)
“I am very pleased with the service my son receives from Addison” (57)
“We need to keep them open and to keep them the same as working with some people with a disability change isn’t something that they easily accept” (59)

Carers who want to keep the same model but more staff, money and resources:
“a bigger and purpose built centre is needed - in terms of improving reach day services, you don’t need to move reach but yes to maple avenue” (1)
“improve management and staffing” (2)
“more staff” (45)
“more staff to allow extra activities” (47)
“services need more money” (6)
“Don’t close - don’t change apart from increased staffing” (8)
“more staff to provide more activities, more money in general putting into the service” (10)
“put more full time staff in” (14)
“leave experienced staff to do their job and more full time staff needed” (16)
“keep them open, upgrade the building” (17)
“happy with the service provided at Oaks day centre. Nothing could be improved apart from the building” (36)
“satisfied with the current service received. Only concern is the constant issues around staffing shortages which impacts on clients” (21)
“invest in the service” (22)
“get more experienced staff” (33)
“give them more funds to do everyday things” (35)
“stop cutting staff and activities and go back to how they used to be” (39)
“keep them fully staffed as in the past” (50)
“more staff” (51) “more permanent staff or more shared jobs” (34) “more staff” (55)
“more staff” (56)

“Day centres are a vital part of our community. They mean different things for different people. For example for some people they may prefer to have more flexibility instead of attending 5 days full time, whereas others require routine. They like that familiarity and the changes being made can seriously upset users. Instead of taking away day centres, people should be given options. Instead of worrying that the familiar day centre will be closed, it should remain but be used differently. For example there could be services on

the premises to help maintain the premises i.e. community hubs, shops etc, but are also safe environments. Adapting to the current social climate is crucial but that doesn't mean closing services. First and foremost the service should not be closed. Instead alternative ways to maintain the premises should be made in the same way that a charity would be undertaken" (19)

Carers who want flexibility (person centred)in the day services:

"offer evening sessions/ social groups and same on weekends" (4)

"more activities (person centred)" (9)

"I would like more to choose from but the staff know me well and that is important to me, they do a good job with what they have got" (11)

"more flexible" (13)

"more activities trips. More feedback to carers on what ive done and eaten" (20)

"bring back swimming, horse riding and outdoor activities. Free transport. Weekend care" (32)

"more information out there to more accessible" (38)

"better communication" (41)

"could offer more varied activities" (43)

Carers who want more integration in the local community (or a different model):

"Putting money in day centres in the same way the council would with schools to make sure that those who attend are given the best opportunities in life. Make sure that carers are appropriately qualified. You need caring people who are suitably qualified. **I would make day centres integrated into the community.** Make sure those who attend the day centre have enough activities in the day centre but also integrate with the community. This will help ensure that everyone knows about the centre and supports the centre too. I.e local fundraising for the day centre, local events etc so that everyone supports the day centre" (5)

"Oaks is old fashioned. I took my daughter to an employment event at Addison and wished she could transfer there. **My daughter wants a job** and they could help her" (7)

"improve facilities, **more outreach** and increase provision for other community groups. Invest more money. It is also difficult to answer question 3J as it all depends on the individuals care plan" (15)

"more staff, **more opportunities to go out in the community**, more activities" (27)

"my son has never used day centres they can be good for other people but I prefer to have my son out of day centres and **be in college** with other students and do more community based activities" (18)

"I am writing as a carer of someone who attends Reach. I am thrilled with her progress with the staffs patience and persistence. They should continue with or have more

resources to continue to train customers in life skills and continue to **take them out into the community**.

Regarding all the day centres, I think thee term 'day centre' should be dropped and whatever provision is provided it shouldn't just end at 3.30pm and not be available Monday to Friday. I do not know precisely about what happens at Oaks or Addison but there should be an ethos to promote life skills and be adequately staffed to promote **customers going out into the community**"(52).

Seeing the family unit when people have complex needs:

"You means 'we' in our case. My daughter uses Reach. Reach also provides me with emotional support" (44)

6. Members of the public living in Rotherham

Summary: one half of the members of the public either want to keep the services the same or invest in them further. While the other half wants to modernise day services.

There were thirty two (32) responses to this question and one quarter, eight (8) wanted to keep services the same:

"Do not reduce services" (6)
"nothing it's a good service" (12)
"no changes required" (14)
"cant be made any better. RMBC should be proud of their reputation" (15)
"don't get rid of them" (17)
"I know that we should stop all these cuts as they will hurt the most vulnerable" (20)
"my friends daughter is happy st Addison. She would like it to stay the same" (23)
"think they are very good" (27)

Another quarter of respondents suggested there should be more investment in the services:

"more funding" (7)
"more good quality staff" (11)
"higher staff ratio to clients" (16)
"more staff continuity" (19)
"continuity of staff" (21)
"more funding to improve services" (28)
"improve the finances and keep them open" (30)

While half of the respondents wanted to day services to improve in a particular way:

Two respondents felt there should be a focus on employment:

"I only know about Addison. My friends' daughter goes there. She is very happy and meets her friends there. I visit to have my dinner on a Tuesday. The dinner is cooked by people who go to Addison and it is very good. My friends daughter wants to get a job and the staff at Addison are training her to cook and serve people so that she can get a job in a café.

The ADPRO part of Addison is really helping her to get ready for work - she loves working and likes the people helping her" (1)

"make Addison into a employment resource for 16-25 year olds" (25)

Others wanted a more flexible and person-centred day service:

"Provide more activities from a central location to keep the routine and familiarity that most people with learning disabilities and autism need" (2)

"ensure people are treated as individuals, with their own needs and aspirations. Move away from the use of buildings and traditional services. Look at what other local authorities have done - what works well and what does not. Share positive stories to increase knowledge and confidence in what can be done differently with better outcomes for people" (9)

"start with the needs of the individual not on budget constraints" (3)

"more flexible hours so they do not clash with school opening and closing times" (13)

Others wanted to integrate services into the local community:

"Integrate services with community options. There needs to be smaller community opportunities" (31)

"smaller community based opportunities" (32)

"make them more human" (18)

While others suggested devolving responsibility to day centres for improvement:
"give day centres more control over their budgets so they can source services locally and competitively" (4)

"look after the buildings that are being used and bring them up to standard" (5)

and exploring a business advantage:

"concentrate on unmet needs not available in the independent sector" (10)

"allow them to income generate" (24)

One member of the public reflected on their experience as a customer:

"I cannot use Addisons because I chose to have a direct payment. Direct payments cannot be spent on in house services. So I cannot use any of the respite services because I have a direct payment".

Another was angry:

"get rid of the over paid council parasites in riverside. Then you would be able to fund these needed resources" (26)

7. Members of the public who uses the facilities of in house services

Summary: The luncheon club and café is used and valued by two members of the public.

Three members of the public responded to this question and while one person replied they "don know" (3) The two other respondents suggested: "extend lunch for the elderly 5 days a week" (1) and "I use Addisons Cafe and takeaway. To have this facility seven days would be good" (2).

8. People with a learning disability and or autism and a physical disability

Summary: the day service is important for people with a physical disability who will face more challenges accessing the community through public transport.

Nine (9) people responded to this question, with one third of the respondents wanting to keep the day services the same:

"I enjoy my time at Addison, its great and I cannot think of anything I would like to change" (1)

"I really enjoy attending Addison and cannot think of anything I would change" (2)

"no changes needed as it is good as it is. JUST KEEP IT OPEN" (9)

However two thirds suggested ways to improve the day service:

"keep them open, support can be better, more staff would be ideal" (3)

"we believe that this person is fully happy with the services provided by Oaks, although hydrotherapy would be great if this could be reinstated" (4)

"I really like the staff there. I enjoy the activities especially going out to some places on the minibus (it took my quite a few years to gain confidence to on the minibus but we eventually got there with the patience and expertise of the Reach staff). I'm not one for getting up early so its great that people seem ok about me coming in around 9.45am. Both mum and me have to take medication etc so more flexible hours are welcome, same for afternoons/early evenings" (5)

"more shows and plays including my favourite music because I love listening to music" (6)

"I get to do a lot of things at the day centre. The only think I would like to do is swimming. I used to go swimming with the people from Addison but I am not in the swimming group at the moment" (7)

"I would like evening services with my friends and Saturday club to start again" (8)

9. People with a learning disability and or autism and a mental health issue

Summary: people with a learning disability, autism and a mental health issue are not likely to know about what the inhouse day services offer.

There were seven (7) responses from people with a learning disability and or autism and mental health with half of this group not knowing what services are offered:

- “say exactly who they are for, I don’t know” (1)
- “I don’t know as I have never used them” (4)
- “I don’t know as I have never used them” (5)

While two people suggested the day service should be “kept open” (2) or should be redecorated “decorations” (3), the remaining two responses were promoting the awareness of “non-epileptic seizures”(6) and to encourage more community based activities : “there should be more activities done in the community and not so much staying in the day centre all day” (7).

10. Members of staff working with a person with a learning disability and or autism

Summary: While approximately 22 out of 55 (40%) of the staff focused on advocating for the buildings and equipment in day centres, the majority 60% focused on the need to offer choice, personalisation and flexibility in the services provided.

Fifty five (55) respondents replied to this question with three (3) members of staff not optimistic about change

“There have been many cut backs over the past few years and this reflects in the service provision” (46)

“the day service has had a potential to develop and merge into the shape it is now pressured to become - taken over and managed by private sector as charities, social enterprises and private services - but it has been run down and neglected by poor management ad totally disgraceful lack of vision of people in charge. It had a potential of taking on board direct payments but it has missed the opportunity completely having on board highly qualified staff” (28)

“These are the vital life blood to adults with LD not only for our service users but their families. A lot of the families we work with are elderly and would not be able to provide the same standard of carer that we can (due to ill health and mobility issues). If these were to change in anyway I think more people would become vulnerable, more safeguarding issue would come to light and more pressure would be added to the social work teams, NHS” 47)

Seven (7) staff suggested the day services should stay the same:

- “in the main they are fine as they are” (13)
- “I know they need to be kept and not cut!” (14)
- “none” (19)
- “none” (29)
- “Give them a more certain future” (36)
- “keep them open” (39)
- “keep it as it is” (43)

Others wanted to keep the day services the same but to invest in them:

“alright as they are, more staff” (7)
“more modern - gym onsite to improve well being” (8)
“new buildings” (12)
“invest some money to make buildings fit for purpose” (51)
“invest in the buildings instead of running them into the ground” (52)
“more funding” (15)
“improved funding; more staff; more choice of activities, a more flexible service” (21)
“spend some money on the buildings” (27)
“more staff” (37)
“stop blocking referrals in order to wind down the service” (41)
“none. These services are a lifeline for service users and their carers. Maintain the buildings rather than letting them fall into disrepair and end up not being viable” (42)

There was mention of investment in “equipment” but it was unclear as to what equipment was being referred to:

“day services need to be staffed adequately so that activities can run daily. Support should be given from higher management levels instead of negativity. More funds need to be made available for **equipment** to enhance activities that can be provided” (17)

“ensure the appropriate type of **equipment** is available for service users at these services” (20)

“invest more money, lose the 5 day service and make it accessible 7 days a week, update buildings and **equipment**, have specialised areas for complex needs, i.e. postural care management, sensory impairment workshops, memory clinics, health promotion drop ins”(30)

The view of flexibility in opening hours was shared by others:

“for day services to be open early morning breakfast clubs and evening services (32)
“more flexibility in opening times offer drop in session” (33)
“open building to other users, investment needed to further modernise and change, review” (31)
“offer flexible times, include weekends where needed, not just Monday - Friday” (38)
“longer hours and seven day service continue taking transitions” (10)
“not as structured hours” (11)

While approximately 22 out of 55 (40%) of the staff focused on advocating for the buildings and equipment in day centres, the majority focused on the need to offer **choice, personalisation** and **flexibility** in the services provided:

“day centres need to be more person centred and individualised” (49)

“day centres could be more person centred and look at the individualised needs, making them smaller could do this” (50)

“the people I work with are content with the services they receive at Oaks, Addison and Reach Day Services. In my opinion, I think the answer to Q3 J (*Should the council lower the amount of time people spend in day services and offer personal budgets?*) should be Yes, but only if the personal budgets are substantial and there are suitable / adequate services on offer to purchase. In the first instance the amount of time people spend in Day Services should not be lowered gradually over time” (1)

“more modernisation is needed within the day services, smaller focused groups within the community, rather than opposed to the larger old school places” (22)

“modernise services to meet the needs of the customer” (40)

“services should be more flexible with more peer support, people with learning disabilities should be able to support other people” (54)

“offer more flexible hours of service, bespoke packages, incorporate life skills training” (23)

“better breadth of services on offer” (9)

“put on large choice of activities across all sites” (18)

“have better activities” (3)

“have better activities, staff to get involved more and don’t just sit away from the kids” (4)

Staff also wanted services to become more accessible and equitable:

“provide adequate provision for all who need it” (16)

“able to meet all needs” (2)

“They should be there for those with complex needs and should have an enabling philosophy. They should not be those people who live in a 24 hour setting or who we could be more aspirational for and could be managed in a community setting or be supported into work” (56)

“modernise activities but keep the central focus of inclusion, along with the importance of social networking and friendships, that are vital to a person with learning disabilities and autism” (5)

“let more disabled people have access to day services and not restrict them to only one day a week. Employ more staff to give service users one to one who may require this” (6)

“I don’t use these services, but they could be more open to the community people who can use the facilities for e.g. the public could pay to use rooms in the day centres when they are not been used this could then pay for the day centre to keep running” (55)

Some staff were supportive of Direct Payments and personalising day services:

“self funding” (24)

"greater choices and options including retaining some traditional day services for those who choose that option. Increasing the number of people on personal budgets so they can choose whether they spend it on a traditional day service or something different" (25)

There was a commitment to support employment:

"get outside contracts for work projects and pay people a small wage. Working makes people feel valued" (26)

"more people to go to the service and do more outside work" (44)

There was a request for more openness in the communication about change:

"for management to be more open and honest about the need for change" (45)

12. People living outside Rotherham and is a relative of a person with learning disability and or autism who uses learning disability services

Summary: accessibility of day services is important

Four people who are living outside of Rotherham but wanted to have a say in the consultation process reported their concerns about a "threat of closure" of the day service:

"Security for staff and clients that the services were not under threat of closure" (1)

"More support for the person using the services including transport" (2)

"Spend money on the building which should have been maintained over several years" (4).

One person had concern about the accessibility of services:

"Provide more varied activities within each centre and cater for all needs of the people who use them" (3)

Q3P Is there anything else you would like to say on the Rotherham Council options for Respite or Day Services in Rotherham?

Where comments repeat points already made in this report, they will not be duplicated here. However where new points are made they will be presented.

1. People with a learning disability

Summary: People with a learning disability have a fear of change and need support in the consultation process to manage levels of anxiety and distress.

Seventy (70) people responded to this question and where comments repeated comments made to earlier questions, they were not repeated here. A summary of the core themes are presented here. There appears to be a lot of emotion expressed in the additional responses given to this question. It is evident that individuals with a learning disability need opportunities to learn and understand how services need to change and adapt over time. One person wrote: "I think the council are taking the piss out of all of us. I don't agree with what they are doing. It causes me to get upset because I know that Quarry Hill

will go. I want Quarry Hill to stay the same but we need to have more staff on a weekend because we cant go to the pub like we used to" (p2)

It is evident that the day services and respite services have filled a major role in people's lives for many years: "they provide purpose in my life .. I don't know what I would do if they weren't there" (p2)

Two people made specific comments about their experience of shared lives respite care: ""I need to be in a centre with people who care about me. I've tried shared lives and it does not work at all. I need to be in a centre where I can be looked after by more than one person" (p1)

"shared lives is not working, day activities are few and far between, Addison provides value for money, how do you quantify good care, please tell us" (p3)

There was a direct expression of fear from the potential loss of contact with friends if the day service was to close: "you cant close my day centre Addison, it's the best, I can cook and do drama and the staff look after me well and I wouldn't see my friends if it closed and that would be bad" (p2)

Another person stated "I am happy with the services provided and don't want them to change as it would affect my wellbeing and quality of life. Why punish me for being disabled and different from others?" (p2) "we want to keep the place open, we have to fight for our services" (p3)

More work is required in co-production to support people with a learning disability and their carers not to feel personally aggrieved from the process of change, but to work together to shape a future service offer.

2. People with autism

Summary: A need to live meaningful lives and have access to qualifications.

Seven people responded with similar comments to those made to earlier questions. One person suggested that more could be done to help people obtain qualifications: "There should be more opportunities to help people gain certified qualifications through school or work ad focus on their strengths. More good news stories about what people can do and less of 'people with learning disability or autism cant do this and cant do that'" (1)

3. People with a learning disability and autism

Fifteen people responded with comments that repeated what they had already stated in response to previous questions.

4. Young people in transition to adult services aged 13 - 18

One comment which repeated what had already been stated in response to previous questions.

5. Carers of a person with a learning disability and or autism

Summary: Carers want to have an open and honest discussion about options for the future and to be central to any decision-making process that shapes alternative services to day services

There were fifty three (53) responses and many repeated points made to earlier questions. However carers were concerned to know what was on offer in replacement services: "There does not appear to be options for services at all only the option to close buildings, no plans for replacement of services - a very one sided document - very odd consultation!" (2). A lack of discussion about 'replacement of services' created speculation that "the council should not pass services over to private companies who want to make money" (1) and carers seeking reassurance that services would not close until other services were available : "don't close any without making sure that there's plenty of other options for them to do and at a cost that they can afford" (4). Carers were keen to be part of the discussion about alternative options: "you need to be more proactive in explaining what the options are and how they would benefit individuals and communicate (this) better" (8).

While most carers were carers of current service users one carer reported: "think every parent needs these respite services, at the moment I don't have any and finding it really hard on my own as I lost my husband" (43).

The carers were anxious about direct payments and personal budgets as they were worried about the calibre of the workforce and the experiences and training that the individuals would have "personal budgets are one example but if don't have the right people to employ it wont work" (16). "The quality of trained staff and the relevant safeguard monitoring means that adults can attend safely and in confidence. Who would control the personal budgets and ensure security and structure. Carers!!!!" (18).

With the above very practical concerns about an alternative model to day services, others still struggle to believe that an alternative to day services is even possible: "there are no other realistic options for the majority of the people who attend Addison Day Centre" (23). Many carers believe that there will be negative as opposed to positive outcomes should the day centres close reporting "cant understand that changes have to be made My son is happy ... he will have a lonely life if not able to mix with others in the day centre .. why should we suffer and our children?" (27) "The closure option should not be considered. These kind of services are vital to carers and attendees for any kind of quality of life" (31).

There is a dominant view that the drive to close day services is led by an economic argument as opposed to a personalisation agenda. One carer reported: "my daughter has attended Oaks Day Centre for 30 years and moving her would make her distressed and upset. There should be other ways of saving money than taking away the pleasures and needs of the disabled. Day services help me to have a life of my own" (35) "my son has been using these services for 48 years and enjoys the socialisation and has made friends over the years. Take these away and his life will change for the worse" (39).

6. Members of the public living in Rotherham

Summary: A concern that people with a learning disability don't lose the long term friendships they have made

There were forty three (43) responses from the public, many repeated the points they had already made to earlier questions. However where the responses are presented for the first time, they are summarised here. Some members of the public are relatives of people who are using the day services: "my brother has used day centres for over 40 years" (4) "my parents are in their 70s and my disabled brother still lives at home" (9) or as a niece "my auntie is disabled and respite and day centres help my nan so much and give her the break she needs" (17) "my family and friends both use respite and day services and would be lost without it" (41).

The emotion from members of the public was primarily related to the potential loss of friendships of people with a learning disability "... he loves the variety of activities and seeing his friends regularly. The worst time was the break up of friendships when leaving Eastwood" (4) "by closing all provision there will be a lot of vulnerable people without any respite / someone human interaction" (28) and the loss of support for the whole family.

In summary the key concerns communicated here are: "there should be more staff to help people into work" (2) "the Lite Bite Café at Wath, enables people to have responsibility, care and dignity" (5) "more imagination and flexibility in services" (6) "adults with Learning Disability and or autism will have changing needs as they get older, they need to be able to move on too, not 'stagnate'" (15). Access to future services needs to be equitable and "ensure carers health and wellbeing is taken into account" (24) also important to recognise that the "luncheon club at Addison is a club for people from all walks in life" (37).

There are however extremes of views on how to move forward with the modernisation of services with one member of the public suggesting "to save money why not move people from reach and move them to Addison. It seems silly to have 3 buildings when you could move everyone into a fully functioning building" (40) to "everyone should be on direct payments so that they can choose places that they would like to go. Carers should not be allowed to choose for the person with a learning disability, only advocate. People who are in supported living or a residential setting should have activities put on by voluntary organisations in the place where they live" (42).

7. Members of the public who uses the facilities of in house services

Four (4) people provided comments, two of whom reported their pleasure participating in the lunch club for pensioners (raised earlier in this report). One member of the public communicated that they had no idea what the questions were asking. The fourth person made a suggestion to "produce more activities and make it less boring" (4).

8. People with a learning disability and or autism and a physical disability

Seven people responded with comments that repeated points made in the earlier questions. However there was a general fear of social isolation from the respondents that suggests accessing the community is more difficult if you have a learning disability and or autism as well as a physical disability:

"I would not be able to get out if I didn't go (to the day centre) as there are not enough staff on duty at home to take me out" (2)

"I love my three days at Addison and I would like them to continue" (3)
"I am worried about losing contact with long standing friends if the day service changes"
(4)
"if Addison closed I would miss all my friends and staff. I would be bored" (5)

9. People with a learning disability and or autism and a mental ill health

One person replied to this question: "make people aware who it is for. I think that I don't qualify for example. But I don't know what you offer. I would like the chance to help others and volunteer at the centre. I understand how it feels to be autistic and have mental health issues" (1)

10. Members of staff working with a person with a learning disability and or autism

Summary: 50% of staff wanted to keep day services the same while the remaining 50% had a different view of day services that involved more personalisation and choice for people with a learning disability. There is a worry by staff that a risk of personalising services will result in a loss of friendships as there wont be such a chance for people to meet as a large group.

There were fifty three responses (53) to this question, with 26 (49%) responses repeating the same points expressed in relation to Question 3. The main points argued by the twenty six respondents were that "all people love coming to the day centre, so please do not change it, although a modern building would be good" (5) "day centres provide a quality service for people" (10) "to shut day services will be a crime" (12) "stop paying out high wages to people who have no idea about what the service does for people on a daily basis" (15), a "disgusted with the way learning disability services have been portrayed in the report" (16) "this is a very poor questionnaire and will tell the person nothing" (41) "they should always keep the staff who have known people for a long time, so that if change happens its not as scary for people" (46).

However 27 (51%) staff contributed new ideas in this section and were more positive in their view of the future for an alternative model of day services in Rotherham:

There was an emphasis on the need for people with a learning disability to have an opportunity to stay in contact with their friends and in the absence of "nothing else out in the community" the day service appeared to provide this service. Any future consultation or service model needs to outline how people with a learning disability will still be able to see each other if day service buildings are not this central meeting point:

"The service users who I look after have been going to the day centre for many years and **have many friends who they meet at the centre**. If they did not attend the centre their lives would be severely affected as there is nothing else out in the community for them again due to funding cuts" (4).

"The service that is provided is paramount to the well being of our service users. They have **friendship networks here** and have a purpose with what they access" (14)

"friends are formed and should be maintained" (25)

“people need to **keep their friendship circles**” (45)

“those living in residential care or supported living **need to be with friends** away from fellow resident for the sake of their health” (42)

“**protect friendship groups**, supporting the formation of inclusive communities for those with lower level needs is key.Need to review approach and be Care Act compliant to have an enabling approach” (53)

This was a continuing theme that staff wanted to protect people with a learning disability from social isolation:

“**don't leave service users isolated**” everyone benefits by being part of a community” (6)

The theme of “protection” extended in the wish to protect people from utilising long term care placements: “when community based services don't work, more expensive services may be needed. Stay true to the white paper and **prevent the need for people to have to utilise long term care placements**. I have worked in assessment and treatment centres and seen the damage this can do” (11)

Others recognised that the current day service model was not the right model to move forward with:

“day services need to be fit for purpose and offer a wide range of options for adult learners” (7)

“there needs to be good day centre provision but through person centred approaches and very individualised” (45)

“I believe that the day services activity schedule needs improvement” (8)

“I feel there should be a range of options available to people to allow for personal choice. I think the young people coming through services are more likely to opt for a personal budget but it is important to recognise the value of day services for others. Those in supported living should pay” (21)

“there needs to be a variety of activities or could be more person centred to the person for e.g. asking the person what activities they like to do and then tailoring this to the person or grouping people together who like the same activities e.g. going out swimming” (50)

“I feel the services we offer are quite dated and don't meet the needs of younger people accessing these services. I also feel a lot of money appears to be wasted on continuously doubling up services i.e. service users going into respite but then still having Pas etc to come and take them out” (47)

And that any future model needs to be flexible to meet the needs of customers:
“need a more open service across 7 days” (9)

“day service should be able to offer places for complex and challenging behaviour and autism needs. And should offer separate activities for those with less challenging needs e.g drop in session” (30)

“although I have answered yes to day centre closure, out of the box day thinking needs to happen with some provision remaining” (45)

Although there was caution against creating a “Learning Disability HUB” in Maltby:
“I also think that the current options lead towards the creation of a Learning Disability Hub in Maltby, this goes against Transforming Care and Personalisation” (51)

In addition to flexibility and choice, there needs to be more equity in the services provided:
“reduce the amount service users attend to a limit of 3 days, supported living and residential shouldn’t attend at all. Some clients get too many services i.e. respite, daycare and a PA” (23)

“respite services are needed within Rotherham, we have a growing older community and the carers need that support where they know their relatives are safe and looked after. I think there would be people who benefit from a personal budget and those that wont. Merge the 2 respite to a suitable building” (48)

“respite services should be kept open, they are vital for families to have a rest. However respite services could be more personal for e.g. staff could possibly give more time on a one to one basis doing activities that the person would like to do during their time in respite services” (52)

Staff felt that the day service model was the best model: “the council need to look more carefully on what services provide as there is very good practice and value for money within our services. People need to stop wasting money buying in specialist organisations and use the knowledge and expertise that we already have” (36). Day services were felt to be the best to ‘safeguard’ service users:

“respite and day services provide outstanding opportunities for people attending ... they are at the forefront to support when issues arise with safeguarding issues and to provide vulnerable individuals with care, compassion and respect in a professional manner” (29).

There were suspicions of other service models that may take advantage of people with a learning disability:

“shared lives will not work for everyone and is *open to abuse* and there are few families willing to “share their lives” with someone with a learning disability” (18)

“There would need to be an *auditing process* in place to ensure people are living their lives to the full in the event there were closures” (28)

"I feel it would be difficult to monitor the services that people are receiving and *difficult to police how personal budgets are spent* e.g. not always in the customers best interest!" (32)

"personal budgets could be open to abuse as clients do not see some of their budgets and families use it as an income, day centres have been run into the ground, no money invested.." (49)

There was also an awareness by staff that people need to go through a transition and through a process of change and this might be difficult for some people: "Many of the people who attend are not looking for the positive outcomes proposed, the whole thing terrifies a lot of people. We should be looking to incorporate more life skills training for people" (19)

People wanted more discussion and debate about different models on offer: "the original consultation was about the need to modernise the services but nothing I've seen proposed actually modernises anything" (22)

They had questions to explore: "I wonder how long the personal budgets will last? All those service users having a personal budget will surely be more expensive than running the day and respite services. Yes they are all ready for updating but not closures, why do the council not listen to their staff and service users as they know best?" (27)

11. People living outside Rotherham and is a relative of a person with learning disability and or autism who uses learning disability services

Five (5) people provided comments that had been made in the earlier sections. One person made a comment that had not previously been raised: "If Addison is to be closed what is the plan for the people who at present attend? These people will have to be supported somewhere. The staffing ration at Addison is not 1:1 but if these people live in supported living they could be 1:1 or 2:1 and that in real terms could increase costs" (2)

Q2B1 If you have chosen another way that you communicate, please tell us what?
People with a learning disability used "pictures and symbols" (1) "lip reading" (3) "People chatting to me" (4) "my phone" (5) "ipad" (6)

Carers replied: "sentence cards with simple sentences" such as 'can I have a drink please?' (1) "eye gaze" (2)

Q7e Where would you like to volunteer?

Seventeen (17) people with a learning disability answered this question and the two most popular response was with animals or in the service sector:

"I like animals, so somewhere with them" (5)
"Jurassic park" (8)
"RSPB" (10)

“working with horses” (14)

“I would like to do some volunteering with animals” (5)

The second popular response was in the service sector:

“I am happy at SENSE” (1)

“Office” (4)

“I work two days a week at a school” (6)

“blind charity - hopefully transitioning this year” (7)

“In a music shop stacking CDs” (12)

Two other people wanted to work in sport:

“Rotherham United” (2)

“Volunteer at Barnsley football club” (16)

Twelve (12) carers do volunteering with the most popular area to volunteer as ‘JDS social club” (4 people), churches: “natter group, rawmarsh church and Rotherham hospice” (4) “Todwick Church” (1) and delivering leaflets (12)

“Speakup and the National Autistic society” (2)

“my son volunteers at speakup, this organisation has really supported my son to do travel training, he is now more confident at travelling around, he actually is now able to show me how to get to different places” (5)

“I volunteered for Sova in Sheffield, Sheffield Mind, Rotherham Hospice and British Heart Foundation in Rotherham and Sheffield”

While carers are volunteering with health and social care organisations, staff volunteer across a mixture of health and social care organisations and girlguiding / scouts:

Eight (8) staff volunteer with three volunteering for scouts and girlguiding:

“girlguiding UK” (3)

“Scouts” (4)

“scouts” (7)

two volunteering at Nayhi Zingadi

“Nayhi Zingadi, Rotherham” (1)

“Nayhi Zingadi, life act, hospice, Grimm and Co, Samaritans” (2)

Others at Speakup, and the hospice.

[Q7f What are the barriers to Volunteering](#)

Nineteen (19) people with a learning disability answered this question and the main barrier cited was a lack of information and support:

Three people did not know what the barriers were and two people said there were no barriers, however most of the responses suggested that if they had support then they would be able to do volunteering:

“sometimes places close down, I worked at a charity shop in the past that closed down and it left me struggling to find more voluntary work” (1)

“would possibly need support” (2)

“travelling, places can be difficult to find” (5)

“Travel, level of support I need” (6)

“staff support” (7)

“learning how to work in a kitchen” (9)

“finding placements”

“lack of communication with the organisation with horses” (14)

A smaller number of responses cited their disability as a barrier:

“limited abilities, no places available” (3)

“cant see” (4)

“Eyesight” (7)

“my epilepsy can be unpredictable and can stop me fro going to volunteer for the day” (12)

Carers cited support as a barrier

“insufficient support” (4)

“support and adequate supervision” (3)

“companies that will come forward to offer one to one support” (1)

Physical barriers were

“my own health and transport as I don’t drive” (2)

“health and safety rules” (9)

“age and disability” (10)

Finally the caring role was a barrier to volunteering:

“being the primary and sole carer for my son” (11)

“lack of care and support for my daughter having to transport her - these limit my hours available to volunteer” (8)

“if the day centre closed would be unable to do this as I would have son with me” (5)

“volunteering in the day is better for my son than at night” (6)

[Q7g What support do you need to volunteer?](#)

Twenty people with a learning disability ideas for support, with 4 people identifying that AD-PRO would be able to support them:

“support from Ad-PRO” (5) “AD-PRO” (7) “go to AD-PRO (8) “AD PRO Services” (14)

Others were less specific but requested support in a job buddy or in travel training:

- “support from staff and help learning the journey” (1)
- ‘someone to support me’ (2)
- “someone who has a good understanding of my needs especially in relation to mobility” (6)
- “in work support” (10)
- “just to have someone around to check that I am ok and doing the right thing” (11)
- “transport, time, expenses” (12)
- “someone who understands me and knows about my epilepsy” (13)
- “I need support to read” (16)
- “direct payment worker to support me to volunteer” (18)
- “show me how to do new skills with animals and support to get a placement” (19)
- “to be patient and help me read. I want to learn how to tell the time so I need people to tell me what time it is so that I can go to placement on time” (20).

Section 6.3 Quantitative Analysis and Graphs

Report of Rotherham Consultations (with graphical representation)											
Question	Total responses/Total number approached										
Customer response	177/unknown										
Carer response	112/unknown										
Staff response	99/unknown										
Public response	85/unknown										
Interpretation	It is difficult to comment the number of the eligible study subjects										
 <p>Total Response</p>  <table border="1"> <thead> <tr> <th>Category</th> <th>Responses</th> </tr> </thead> <tbody> <tr> <td>Customer</td> <td>177</td> </tr> <tr> <td>Carer</td> <td>112</td> </tr> <tr> <td>Staff</td> <td>99</td> </tr> <tr> <td>General Public</td> <td>85</td> </tr> </tbody> </table>		Category	Responses	Customer	177	Carer	112	Staff	99	General Public	85
Category	Responses										
Customer	177										
Carer	112										
Staff	99										
General Public	85										
Question 1a	Identification										

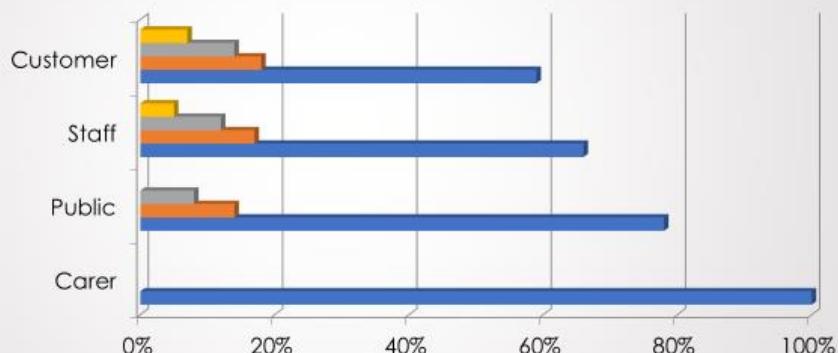
Customer response (177)	Learning Disability 104 (59%) Autism 12 (7%) Learning Disability+ Autism 32 (18%) Young 2 (1%) Learning Disability+ Autism+ Physical disability 15 (8%) Learning Disability+ Autism+ Mental Health issues 12 (7%)
Carer response (112)	Carer of a person with LD and/or Autism
Staff response (98)	RMBC – 64 (65%) Private provider 17 (17%) VCS 12 (12%) RDASH – 2 (2%) CCG 2 (2%) Rotherham Foundation Trust 1 (1%)
Public response (85)	I am a member of the public who uses the facilities of in house services 7 (8%) I am a member of the public living in Rotherham 66 (78%) I live outside Rotherham and I am a relative of person with a Learning Disability and/or Autism who uses Learning Disability Services in Rotherham 12 (14%)
Interpretation	*Most of the employees who responded are Local Authority staff. Very few responses were obtained from the CCG employees.

Identification

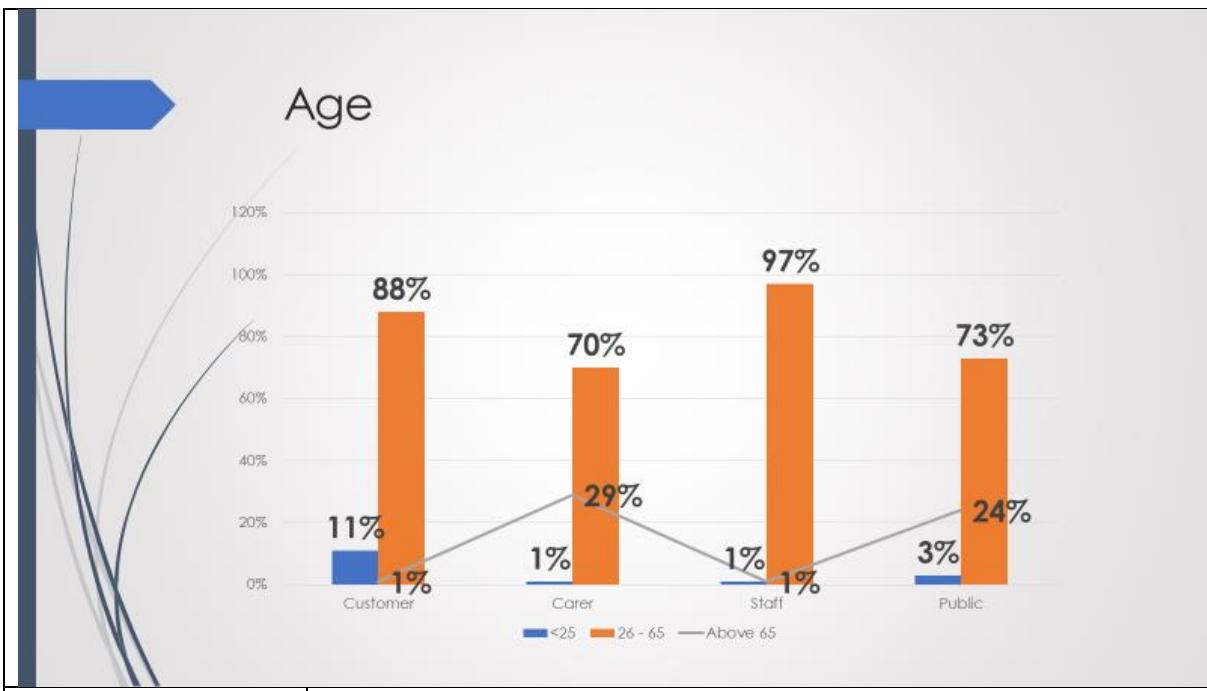
Customer: LD – 59% LD+A – 18% LD+A+P/M – 14% A – 7%

Staff: RMBC – 66% Private – 17% VCS – 12% RDASH+CCG+RFT – 5%

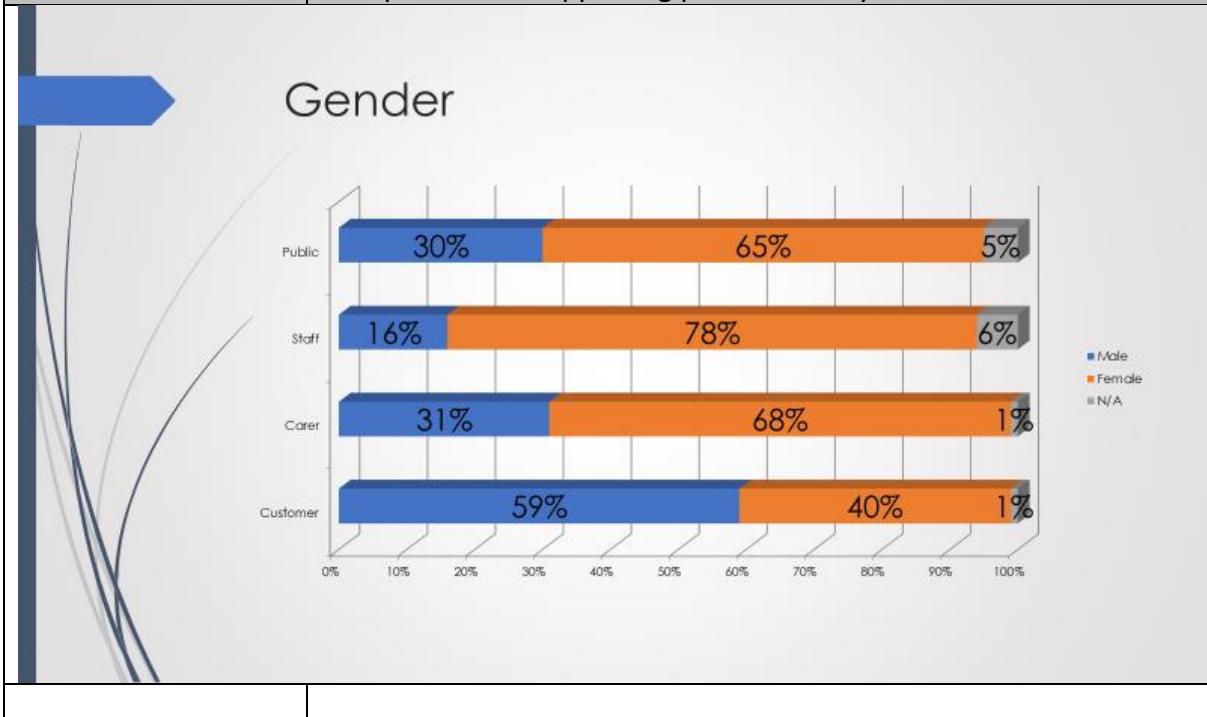
Public: Local – 78% Outsider + Local LD/A relative – 14% Others – 8%



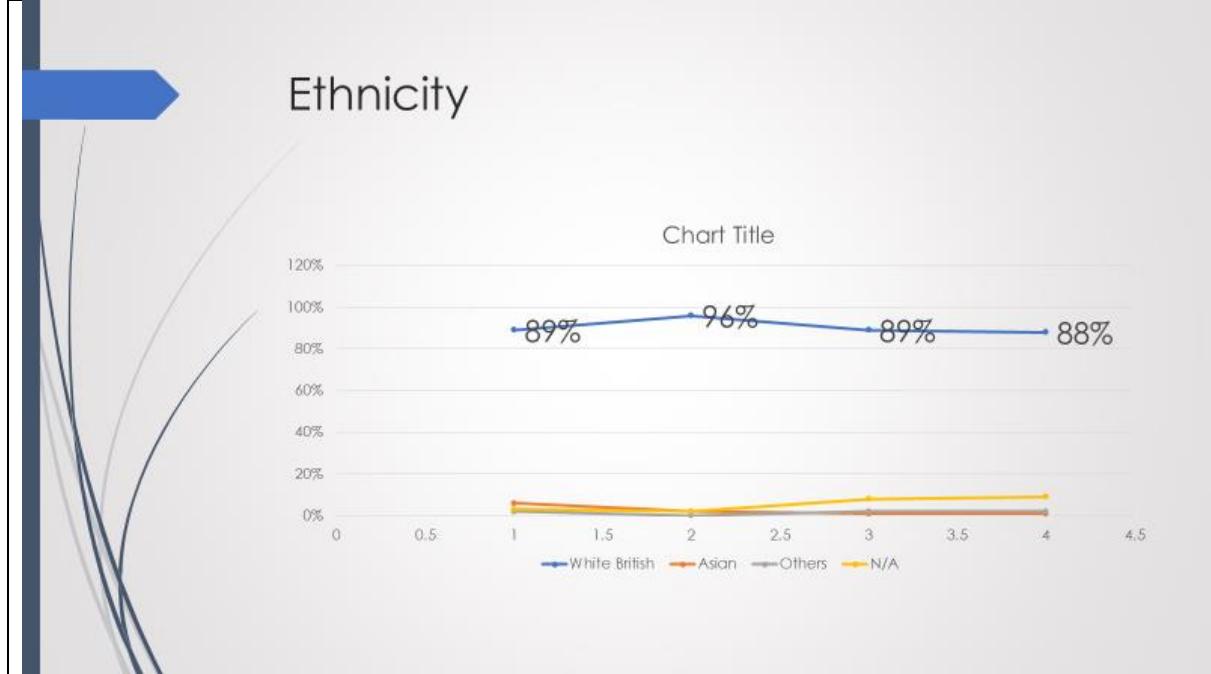
Question 1b	Which area of Rotherham do you live in? (please see Section 6.1)
Question 1c	Age
Customer response (171)	<18 2 (1%) 19 – 25: 18 (10%) 26 – 65: 150 (88%) >66: 1 (1%)
Carer response (110)	<18 1 (1%) 19 – 25: 0 (0%) 26 – 65: 77 (70%) >66: 32 (29%)
Staff response (96)	<18 0 (0%) 19 – 25: 1 (1%) 26 – 65: 93 (97%) >66: 2 (2%)
Public response (80)	<18 2 (2%) 19 – 25: 1 (1%) 26 – 65: 58 (73%) >66: 19 (24%)
Interpretation	There is a relatively young learning-disabled population against an ageing carer population.



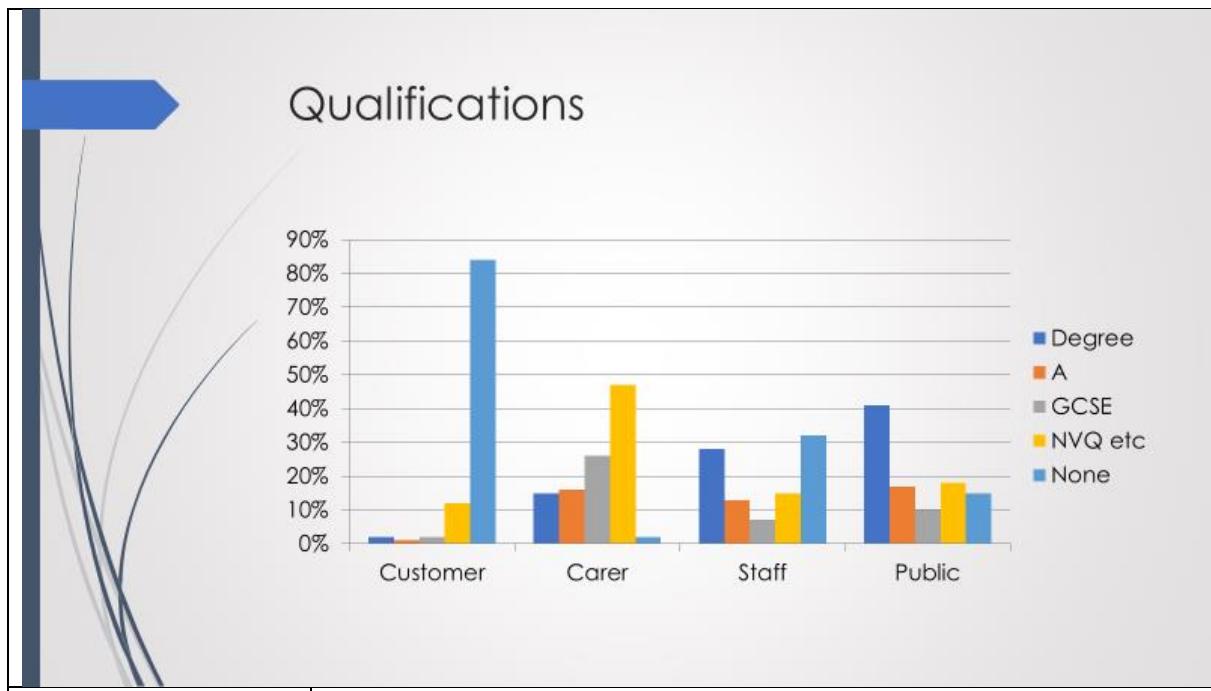
Question 1d	Gender
Customer response (170)	Male 101 (59%) Female 68 (40%) Prefer not to say 1 (1%)
Carer response (111)	Male 34 (31%) Female 76 (68%) Prefer not to say 1 (1%)
Staff response (98)	Male 16 (16%) Female 76 (78%) Prefer not to say 5 (5%) Own term 1 (1%)
Public response (80)	Male 24 (30%) Female 52 (65%) Prefer not to say 3 (4%) Own term 1 (1%)
Interpretation	There is a female preponderance among staff and carers. This may be a problem in supporting predominantly male customers.



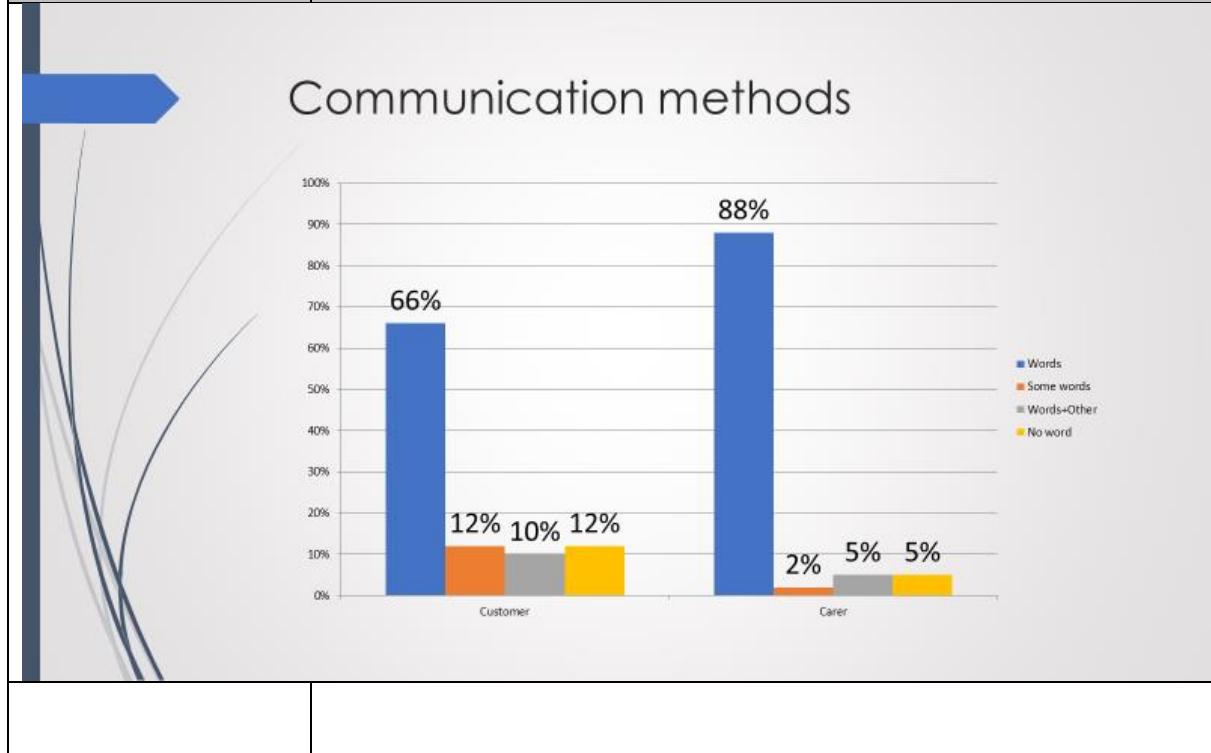
Question 1e	Ethnicity – White British (WB)
Customer response(172)	WB 153 (89%) Asian 10 (6%) Mixed 3 (2%) Chinese 1 Black 0 Not declared 5 (3%)
Carer response(111)	WB 106 (96%) Asian 2 (2%) Mixed 0 Chinese 0 Not declared 3 (2%)
Staff response (97)	WB 86 (89%) Asian 1 (1%) Other 2 (2%) Not declared 8 (8%)
Public response (80)	WB 70 (88%) Asian 1 (1%) Chinese 1 (1%) Other 1 (1%) Not declared 7 (9%)
Interpretation	Overwhelming White British responders to the survey

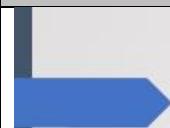


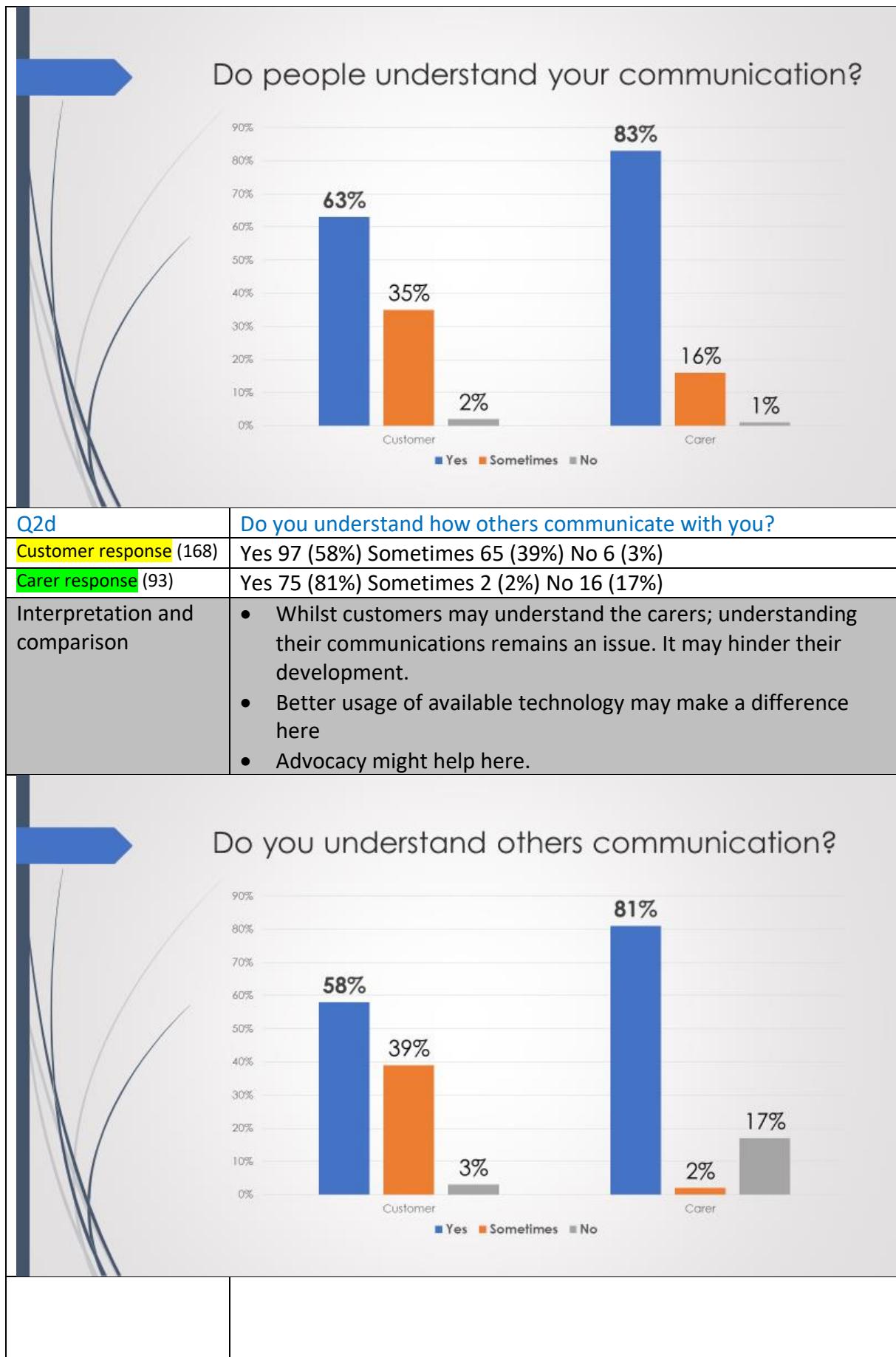
Question 1f	Qualifications
Customer response (163)	Degree/Masters/PHD 3 (2%) A level 1 (1%) GCSE 3 (2%) NVQ/City Guild/BTEC/OCN 19 (12%) None 137 (84%)
Carer response (103)	Degree/Masters/PHD 15 (15%) A level 15 (16%) GCSE 27 (26%) NVQ/City Guild/BTEC/OCN 45 (47%) None 2 (2%)
Staff response (96)	Degree/Masters/PHD 27 (28%) A level 13 (13%) GCSE 7 (7%) NVQ/City Guild/BTEC/OCN 15 (15%) None 33 (32%)
Public response (79)	Degree/Masters/PHD 32 (41%) A level 13 (17%) GCSE 8 (10%) NVQ/City Guild/BTEC/OCN 14 (18%) None 12 (15%)
Interpretation	<ul style="list-style-type: none"> High academic achievement among carers and general public are noticeable It clearly indicates that caring responsibility is likely to have an impact on the ability to work among the carers It may however indicate self-selection bias to the survey



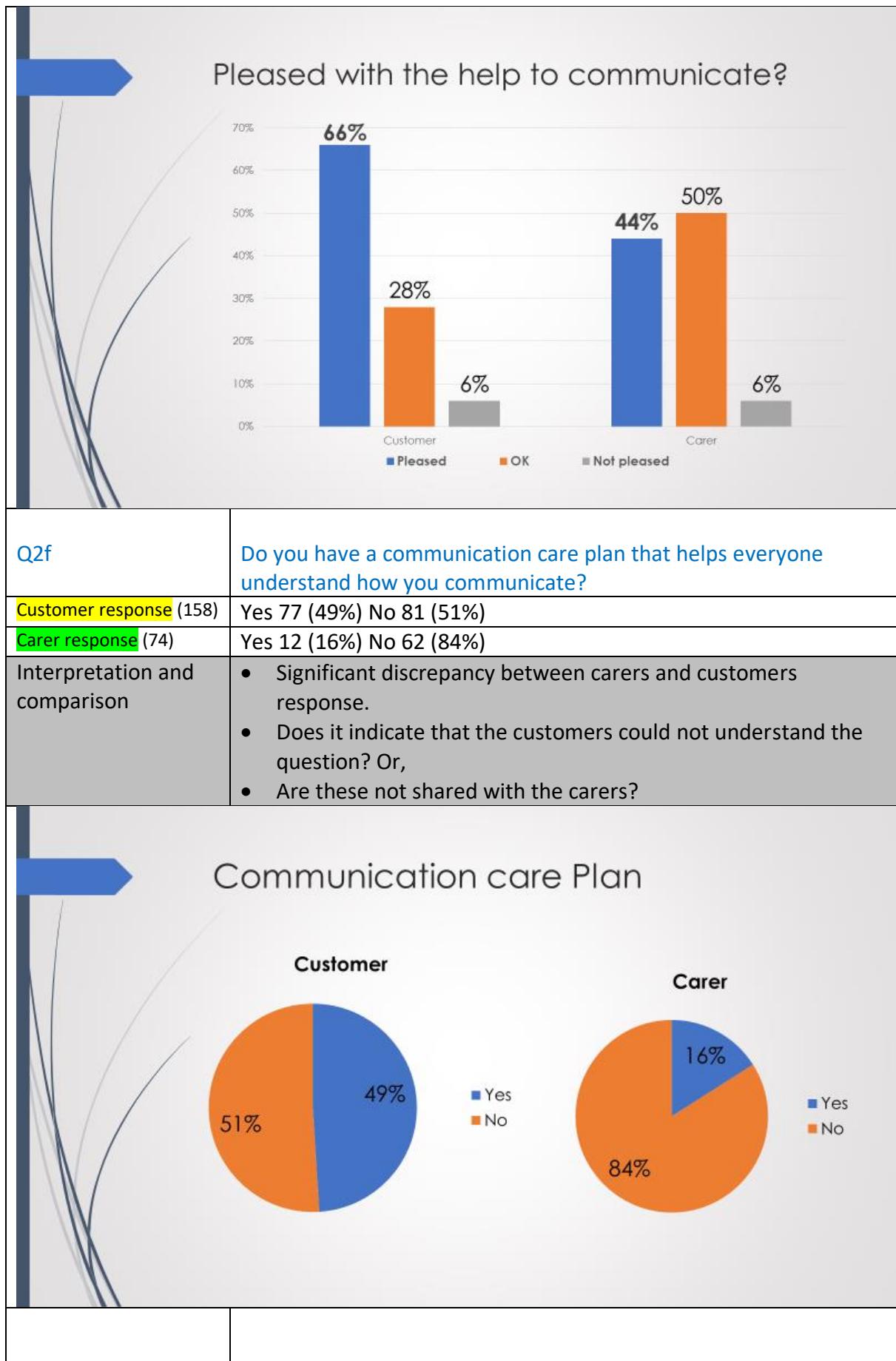
Question 1f1	If you have chosen NVQ/City and Guilds/BTEC/OCN as your qualifications, please tell us what subject (Please see Section 6.1)
Q2a	Do you use words to communicate?
Customer response (180)	Yes 119 (66%) No 21 (12%) Some words 22 (12%) Words + Other methods 18 (10%)
Carer response (106)	Yes 93 (88%) No 5 (5%) Some words 2 (2%) Words + Other methods 6 (5%)
Interpretation	

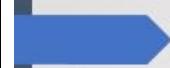


Q2b	Which other way do you communicate?																										
Customer response	Gestures 71 (24%) Behaviour 70 (24%) Makaton 37 (13%) Sound 36 (12%) Photographs 33 (11%) IPAD/Tablets 23 (8%) Other technology 12 (4%) Something else 11 (4%)																										
Carer response	Gestures 36 (29%) Behaviour 23 (19%) Makaton 19 (15%) Sound 17 (14%) Photographs 9 (11%) IPAD/Tablets 7 (6%) Other technology 7 (6%) Something else 3 (2%)																										
Interpretation and comparison	<ul style="list-style-type: none"> Lack of usage of assistive communication methods is thought provoking The effectiveness of communication through gestures and behaviour can be questioned It may also result in inability to develop customers to their full potentiality including supporting their independence. 																										
 <h3>Other communication Methods</h3> <table border="1"> <caption>Data for Other communication Methods (approximate values from chart)</caption> <thead> <tr> <th>Category</th> <th>Gesture</th> <th>Behaviour</th> <th>Makaton</th> <th>Photograph</th> <th>Sound</th> <th>IPAD/Tablet</th> <th>Other technology</th> <th>Something else</th> </tr> </thead> <tbody> <tr> <td>Carer</td> <td>~30%</td> <td>~20%</td> <td>~15%</td> <td>~12%</td> <td>~10%</td> <td>~8%</td> <td>~5%</td> <td>~3%</td> </tr> <tr> <td>Customer</td> <td>~25%</td> <td>~20%</td> <td>~15%</td> <td>~12%</td> <td>~10%</td> <td>~8%</td> <td>~5%</td> <td>~3%</td> </tr> </tbody> </table>	Category	Gesture	Behaviour	Makaton	Photograph	Sound	IPAD/Tablet	Other technology	Something else	Carer	~30%	~20%	~15%	~12%	~10%	~8%	~5%	~3%	Customer	~25%	~20%	~15%	~12%	~10%	~8%	~5%	~3%
Category	Gesture	Behaviour	Makaton	Photograph	Sound	IPAD/Tablet	Other technology	Something else																			
Carer	~30%	~20%	~15%	~12%	~10%	~8%	~5%	~3%																			
Customer	~25%	~20%	~15%	~12%	~10%	~8%	~5%	~3%																			
Q2b.1	If you have chosen something else above please tell what? (Please see Section 6.2)																										
Q2c	Do people (who you relate to) understand how you communicate?																										
Customer response (171)	Yes 107 (63%) Sometimes 60 (35%) No 4 (2%)																										
Carer response (94)	Yes 78 (83%) Sometimes 15 (16%) No 1 (1%)																										
Interpretation and comparison	<ul style="list-style-type: none"> Whilst customers may understand the carers; understanding their communications remains an issue. Better usage of available technology may make a difference here Advocacy might help here. 																										



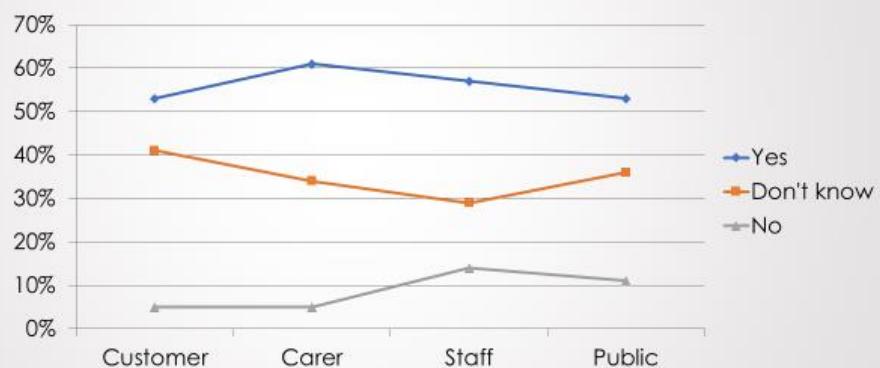
Q2e	Do you need someone to help you communicate or speak on your behalf?												
Customer response (170)	Yes 51 (30%) Sometimes 79 (47%) No 40 (23%)												
Carer response (90)	Yes 12 (13%) Sometimes 15 (17%) No 63 (70%)												
Interpretation and comparison	<ul style="list-style-type: none"> Here customers are more realistic and they understand that they need help But even family carers may need advocacy support Technology may be a solution here. 												
<p style="text-align: center;">→ Needing help with communication?</p> <table border="1"> <thead> <tr> <th>Category</th> <th>Pleased</th> <th>OK</th> <th>Not pleased</th> </tr> </thead> <tbody> <tr> <td>Customer</td> <td>30%</td> <td>47%</td> <td>23%</td> </tr> <tr> <td>Carer</td> <td>13%</td> <td>17%</td> <td>70%</td> </tr> </tbody> </table>		Category	Pleased	OK	Not pleased	Customer	30%	47%	23%	Carer	13%	17%	70%
Category	Pleased	OK	Not pleased										
Customer	30%	47%	23%										
Carer	13%	17%	70%										
Q2e1	How pleased are you with the help that you get to communicate?												
Customer response (151)	Very pleased 50 (33%) Pleased 51 (33%) OK 43 (28%) Not pleased 5 (3%) Not pleased at all 2 (1%)												
Carer response (56)	Very pleased 12 (21%) Pleased 13 (23%) OK 28 (50%) Not pleased 1 (2%) Not pleased at all 2 (4%)												
Interpretation and comparison	<ul style="list-style-type: none"> Agreement between carers and customers. But it is clearly evident that more needs to be done with the support 												



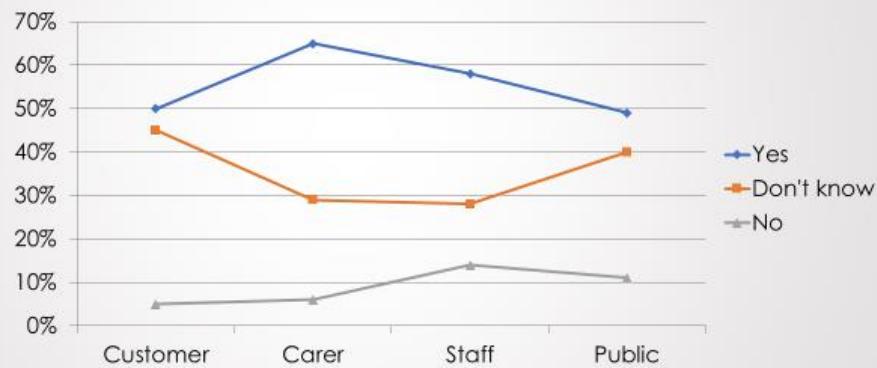
Q3a		Do you use Respite Care Services in Rotherham																									
Customer response		Treefield; Yes 22 (15%) No 120 (85%) – Total 142 Quarry Hill; Yes 21 (15%) No 21 (15%) – Total 140 Shared life; Yes 1 (1%) No 132 (99%) – Total 133 Other; Yes 16 (16%) No 81 (83%) – Total 97																									
Carer response		Treefield; Yes 23 (36%) No 41 (64%) – Total 64 Quarry Hill; Yes 19 (35%) No 36 (65%) – Total 55 Shared life; Yes 2 (5%) No 42 (95%) – Total 44 Other; Yes 14 (32%) No 30 (68%) – Total 44																									
Staff response		Treefield; Yes 4 (5%) No 75 (95%) – Total 79 Quarry Hill; Yes 7 (9%) No 71 (91%) – Total 78 Shared life; Yes 3 (4%) No 73 (96%) – Total 76 Other; Yes 5 (7%) No 62 (93%) – Total 67																									
Public response		Treefield; Yes 5 (7%) No 65 (93%) – Total 70 Quarry Hill; Yes 2 (3%) No 67 (97%) – Total 69 Shared life; Yes 1 (1%) No 66 (99%) – Total 67 Other; Yes 0 (0%) No 51 (100%) – Total 51																									
Interpretation and comparison		<ul style="list-style-type: none"> Respite care facilities are largely unutilised. More so the Shared life 																									
 <h3>Use of Respite care</h3>  <table border="1"> <caption>Data for Use of Respite care chart</caption> <thead> <tr> <th>Group</th> <th>Treefields</th> <th>Oaks</th> <th>Others</th> <th>Shared life</th> </tr> </thead> <tbody> <tr> <td>Customer</td> <td>15%</td> <td>15%</td> <td>~32%</td> <td>~2%</td> </tr> <tr> <td>Carer</td> <td>35%</td> <td>35%</td> <td>~32%</td> <td>~5%</td> </tr> <tr> <td>Staff</td> <td>5%</td> <td>8%</td> <td>~5%</td> <td>~2%</td> </tr> <tr> <td>Public</td> <td>7%</td> <td>3%</td> <td>~5%</td> <td>~2%</td> </tr> </tbody> </table>			Group	Treefields	Oaks	Others	Shared life	Customer	15%	15%	~32%	~2%	Carer	35%	35%	~32%	~5%	Staff	5%	8%	~5%	~2%	Public	7%	3%	~5%	~2%
Group	Treefields	Oaks	Others	Shared life																							
Customer	15%	15%	~32%	~2%																							
Carer	35%	35%	~32%	~5%																							
Staff	5%	8%	~5%	~2%																							
Public	7%	3%	~5%	~2%																							
Q3a.1	If you use others please state (Please see Section 6.2)																										
Q3b	What changes could we make to respite services to make them better? (Section 6.2)																										
Q3c	Should we keep the Respite Services the same as they are?																										
Customer response	Treefield; Yes 79 (53%) No 8 (5%) Don't know 61 (41%) – Total 148																										
	Quarry Hill; Yes 75 (50%) No 8 (5%) Don't know 66 (45%) – Total 148																										

	Shared life; Yes 57 (40%) No 11 (8%) Don't know 75 (52%) – Total 143	
Carer response	Treefield; Yes 46 (61%) No 4 (5%) Don't know 26 (34%) – Total 76	
	Quarry Hill; Yes 43 (65%) No 4 (6%) Don't know 19 (29%) – Total 66	
	Shared life; Yes 32 (53%) No 2 (3%) Don't know 27 (44%) – Total 61	
Staff response	Treefield; Yes 49 (57%) No 12 (14%) Don't know 25 (29%) – Total 86	
	Quarry Hill; Yes 48 (58%) No 12 (14%) Don't know 23 (28%) – Total 83	
	Shared life; Yes 39 (50%) No 10 (13%) Don't know 29 (37%) – Total 78	
Public response	Treefield; Yes 38 (53%) No 8 (11%) Don't know 25 (36%) – Total 71	
	Quarry Hill; Yes 35 (49%) No 8 (11%) Don't know 29 (40%) – Total 72	
	Shared life; Yes 29 (42%) No 4 (6%) Don't know 36 (52%) – Total 69	
Interpretation and comparison	<ul style="list-style-type: none"> Although these services are underused there is minimum impetus among all the groups to close them. As the sample did not incorporate HARD TO REACH users these findings may be biased Staff are most supportive of change among all the groups Public on the other hand are reluctant to change as are the customers and carers Shared life responders are not sure 	

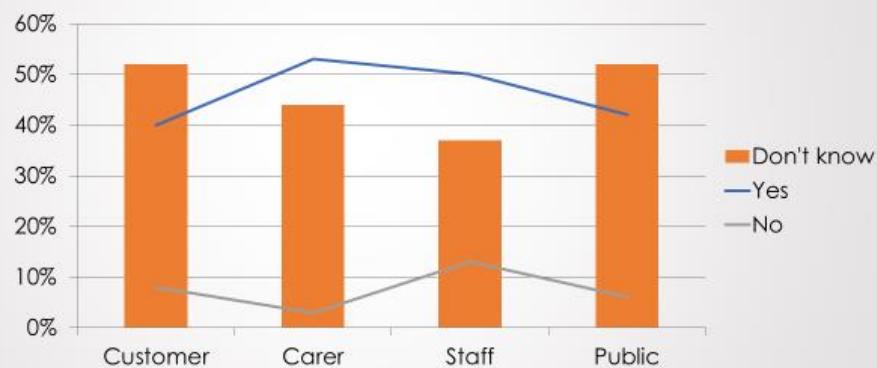
Keep Treefields Respite Service same?



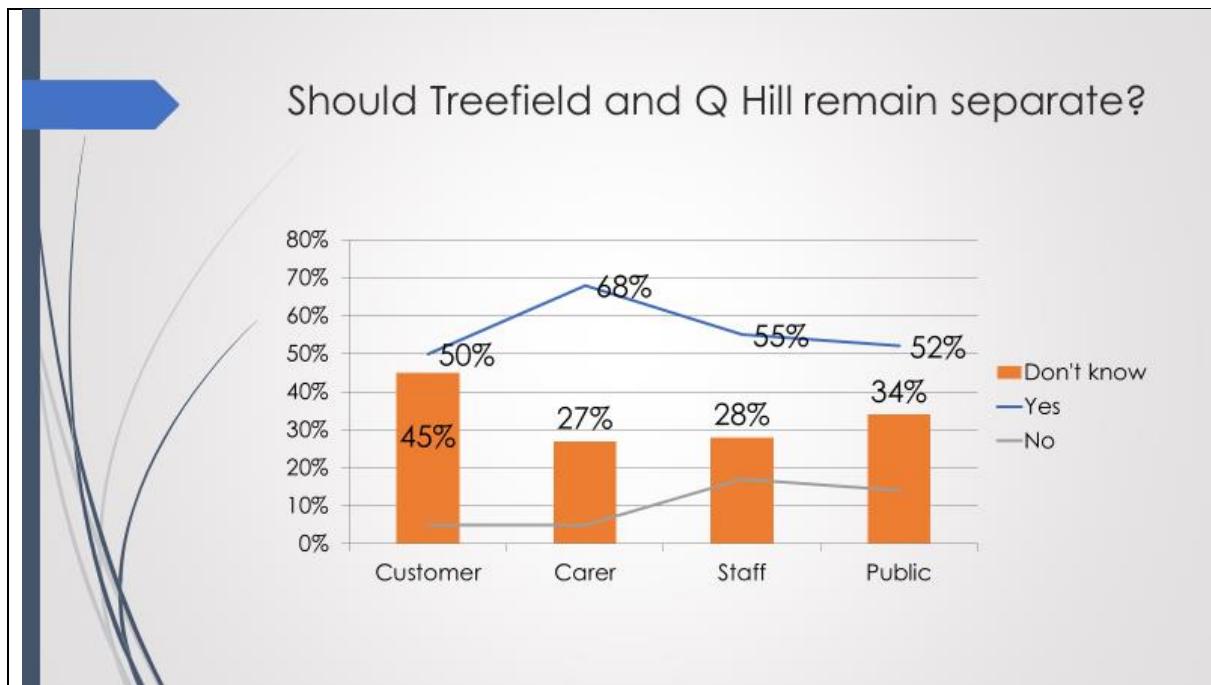
Keep Quarry Hill Respite Service same?



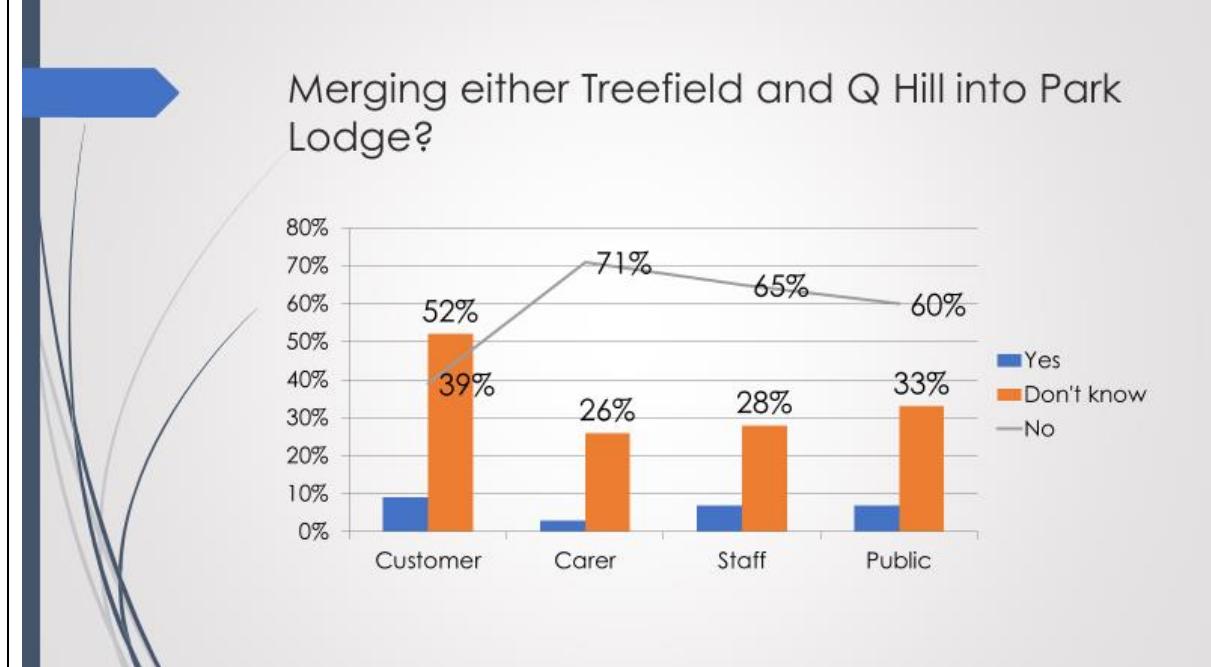
Keep Shared life Respite Service same?



Q3d	Should we keep Treefields and Quarry Hill separate?
Customer response (152)	Yes 75 (50%) No 9 (5%) Don't know 68 (45%)
Carer response (85)	Yes 58 (68%) No 4 (5%) Don't know 23 (27%)
Staff response (88)	Yes 48 (55%) No 15 (17%) Don't know 25 (28%)
Public response (73)	Yes 38 (52%) No 10 (14%) Don't know 25 (34%)
Interpretation	Again overwhelming support to continue with present facilities



Q3e	Shall we put either Treefields and Quarry Hill into Park hill lodge?
Customer response (154)	Yes 14 (9%) No 60 (39%) Don't know 80 (52%)
Carer response (85)	Yes 3 (3%) No 60 (71%) Don't know 22 (26%)
Staff response (90)	Yes 7 (7%) No 58 (65%) Don't know 25 (28%)
Public response (73)	Yes 5 (7%) No 44 (60%) Don't know 24 (33%)
Interpretation	Customers were unsure but other groups did not wish change

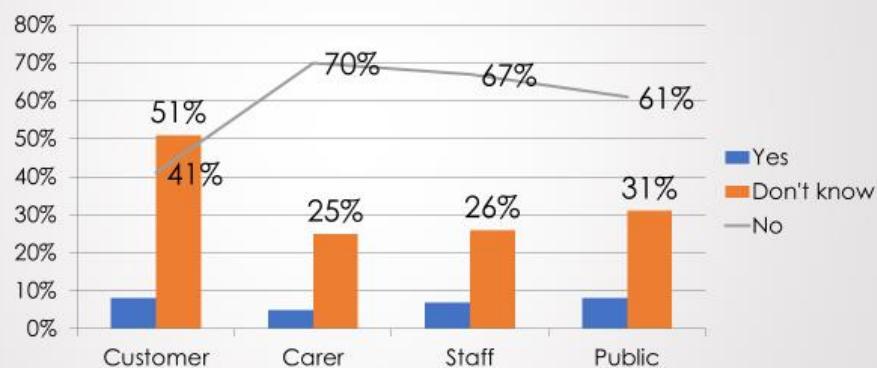


Q3f	Shall we put both Treefields and Quarry Hill together and put them into Park hill lodge?
Customer response (155)	Yes 13 (8%) No 63 (41%) Don't know 79 (51%)
Carer response (86)	Yes 4 (5%) No 60 (70%) Don't know 22 (25%)

Staff response (88)	Yes 6 (7%) No 59 (67%) Don't know 23 (26%)
Public response (72)	Yes 6 (8%) No 44 (61%) Don't know 22 (31%)
Interpretation	Again customers were unsure but other groups were decisive in favour of continuity



Merging either Treefield and Q Hill together and putting into Park hill Lodge?

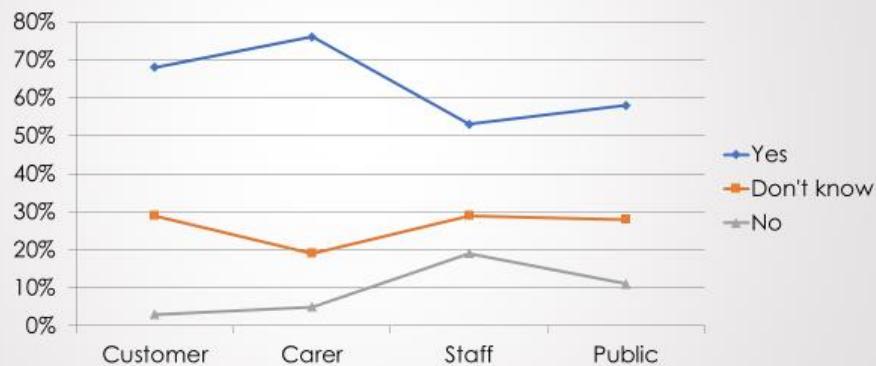


Q3g	Do you use Day Services in Rotherham?
Customer response	Addison; Yes 69 (51%) No 65 (49%) – Total 134 Oaks; Yes 25 (19%) No 106 (81%) – Total 131 Reach; Yes 29 (21%) No 107 (79%) – Total 136
Carer response	Addison; Yes 25 (40%) No 37 (60%) – Total 62 Oaks; Yes 32 (53%) No 28 (47%) – Total 60 Reach; Yes 11 (23%) No 37 (77%) – Total 48
Staff response	Addison; Yes 8 (11%) No 68 (89%) – Total 76 Oaks; Yes 11 (15%) No 64 (85%) – Total 75 Reach; Yes 6 (8%) No 66 (92%) – Total 72
Public response	Addison; Yes 9 (13%) No 58 (87%) – Total 67 Oaks; Yes 5 (8%) No 58 (92%) – Total 63 Reach; Yes 0 (0%) No 62 (100%) – Total 62
Interpretation	<ul style="list-style-type: none"> Both Addison and Oaks are well used The discrepancy in response among Customers and Carers merit revisiting

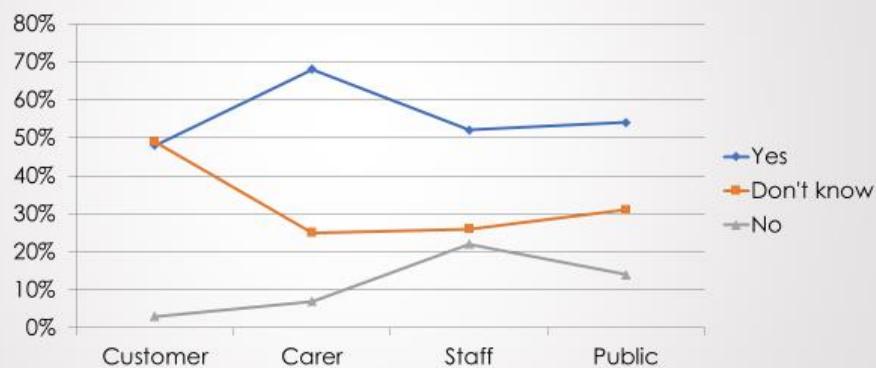


Usage of day services																							
<p>A bar chart titled "Usage of day services" comparing three organizations (Addison, Oaks, Reach) across four groups: Customer, Carer, Staff, and Public. The Y-axis represents the percentage from 0% to 60%. Addison (blue) consistently shows the highest usage, peaking at 53% for Carers. Reach (grey) follows, and Oaks (orange) shows the lowest usage in most categories, notably 0% for the Public.</p> <table border="1"> <thead> <tr> <th>Group</th> <th>Addison (%)</th> <th>Oaks (%)</th> <th>Reach (%)</th> </tr> </thead> <tbody> <tr> <td>Customer</td> <td>51%</td> <td>21%</td> <td>19%</td> </tr> <tr> <td>Carer</td> <td>40%</td> <td>53%</td> <td>23%</td> </tr> <tr> <td>Staff</td> <td>11%</td> <td>15%</td> <td>8%</td> </tr> <tr> <td>Public</td> <td>13%</td> <td>8%</td> <td>0%</td> </tr> </tbody> </table>				Group	Addison (%)	Oaks (%)	Reach (%)	Customer	51%	21%	19%	Carer	40%	53%	23%	Staff	11%	15%	8%	Public	13%	8%	0%
Group	Addison (%)	Oaks (%)	Reach (%)																				
Customer	51%	21%	19%																				
Carer	40%	53%	23%																				
Staff	11%	15%	8%																				
Public	13%	8%	0%																				
Q3h	<p>What changes could we make to the day services to make them better? <i>(Section 6.2)</i></p>																						
Q3i	<p>Should we keep Oaks and Addison the same as they are?</p>																						
Customer response	<p>Addison: Yes 107 (68%) No 4 (3%) Don't know 46 (29%)</p> <p>Oaks: Yes 72 (48%) No 5 (3%) Don't know 73 (49%)</p>	Total 157	Total 150																				
Carer response	<p>Addison: Yes 63 (76%) No 4 (5%) Don't know 16 (19%)</p> <p>Oaks: Yes 47 (68%) No 5 (7%) Don't know 17 (25%)</p>	Total 83	Total 69																				
Staff response	<p>Addison: Yes 42 (53%) No 15 (19%) Don't know 23 (29%)</p> <p>Oaks: Yes 43 (52%) No 18 (22%) Don't know 21 (26%)</p>	Total 80	Total 82																				
Public response	<p>Addison: Yes 38 (58%) No 9 (14%) Don't know 19 (28%)</p> <p>Oaks: Yes 37 (54%) No 10 (15%) Don't know 21 (31%)</p>	Total 66	Total 68																				
Interpretation	<ul style="list-style-type: none"> All the groups expressed their desire to continue with present service as it is Customers were a little unsure about Oaks 																						

Keep Addison day services as it is?



Keep Oaks day services as it is?



Q3j	Should the Council lower the amount of time people spend in day services and offer people personal budgets?
Customer response (164)	Yes 35 (21%) No 93 (57%) Don't know 36 (22%)
Carer response (91)	Yes 4 (4%) No 79 (87%) Don't know 8 (9%)
Staff response (82)	Yes 22 (26%) No 46 (56%) Don't know 14 (18%)
Public response (65)	Yes 13 (20%) No 47 (72%) Don't know 5 (8%)
Interpretation	<ul style="list-style-type: none"> The overwhelming response is negative, however very little information is currently available on how people manage personal budgets in Rotherham.

Reduction of day services budget by offering people personal budget?



Q3j1

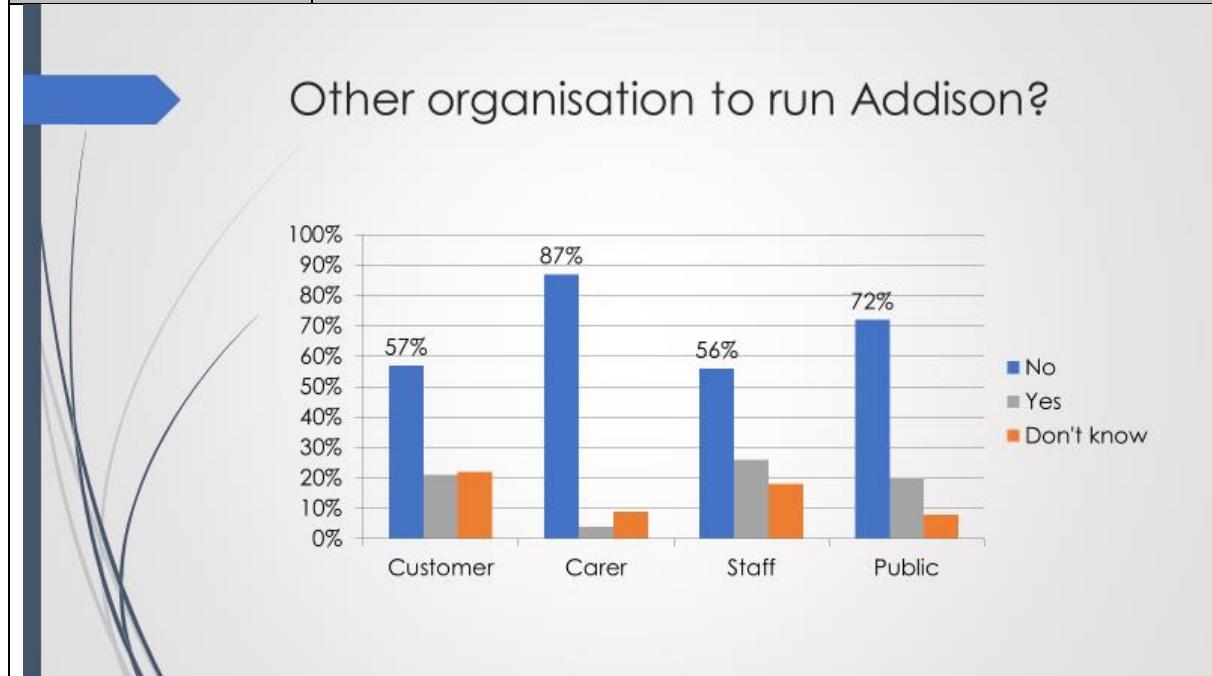
How much should we lower it by?

Customer response (117)	100% - 9 (8%) 75% - 3 (3%) 50% - 17 (15%) 25% - 9 (8%) 0% - 79 (68%)
Carer response (72)	100% - 1 (1%) 75% - 0 (0%) 50% - 2 (3%) 25% - 3 (4%) 0% - 66 (92%)
Staff response (71)	100% - 3 (4%) 75% - 2 (3%) 50% - 13 (18%) 25% - 8 (11%) 0% - 45 (64%)
Public response (57)	100% - 2 (3.5%) 75% - 2 (3.5%) 50% - 8 (14%) 25% - 0 (0%) 0% - 45 (79%)
Interpretation	Again no support for lowering the amount of time people use day services if they currently reside in residential care.

Reduction of the amount of time spent in day services by offering people personal budget?

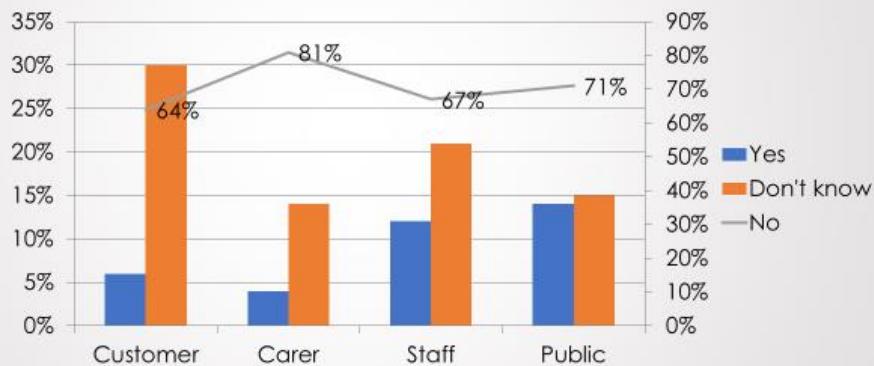


Q3k/j	Should the Council look for other organisations in the community to take over and run Addison?
Customer response (164)	Yes 17 (11%) No 78 (49%) Don't know 63 (40%)
Carer response (90)	Yes 7 (8%) No 55 (61%) Don't know 28 (31%)
Staff response (84)	Yes 16 (19%) No 45 (54%) Don't know 23 (27%)
Public response (67)	Yes 10 (15%) No 42 (63%) Don't know 15 (22%)
Interpretation	<ul style="list-style-type: none"> Groups were not enthusiastic about changes, however, they seem to be unsure about the pros and cons of this change as well.



Q3l	Should the Council move Addison and only provide a service to people with high and complex needs?
Customer response (162)	Yes 9 (6%) No 104 (64%) Don't know 49 (30%)
Carer response (91)	Yes 4 (5%) No 74 (81%) Don't know 13 (14%)
Staff response (83)	Yes 10 (12%) No 56 (67%) Don't know 17 (21%)
Public response (66)	Yes 9 (14%) No 47 (71%) Don't know 10 (15%)
Interpretation	Decisive response – no support for the proposed change

Addison to provide service to people with high and complex need only?



Q3m

Should we close Oaks and Addison Day Centre?

Customer response

Addison: Yes 12 (9%) No 119 (91%) - Total 131
 Oak: Yes 4 (4%) No 109 (96%) - Total 113

Carer response

Addison: Yes 3 (4%) No 74 (96%) - Total 77
 Oak: Yes 5 (7%) No 70 (93%) - Total 75

Staff response

Addison: Yes 4 (6%) No 65 (94%) - Total 69
 Oak: Yes 9 (13%) No 61 (87%) - Total 70

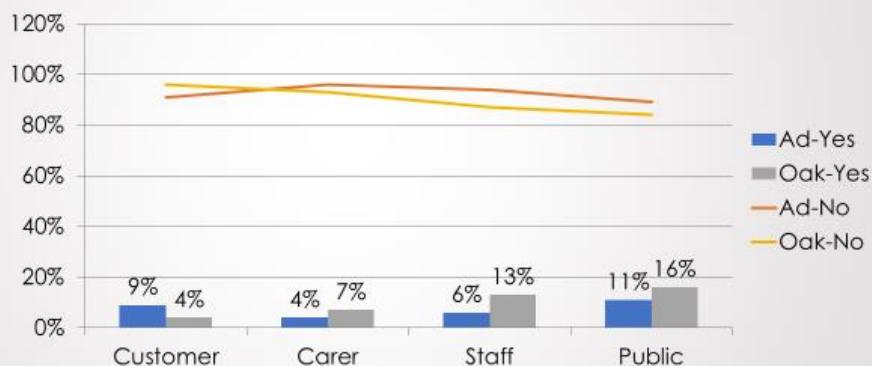
Public response

Addison: Yes 6 (11%) No 51 (89%) - Total 57
 Oaks: Yes 9 (16%) No 47 (84%) - Total 56

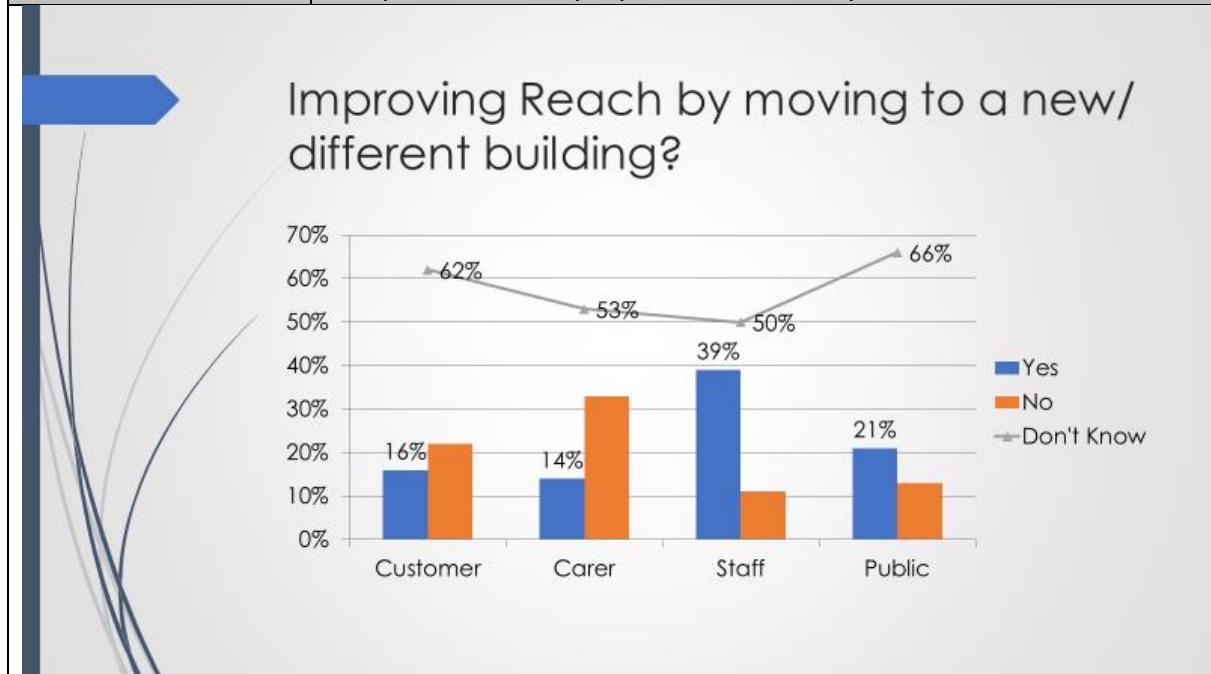
Interpretation

Decisive response – no support for the proposed closure

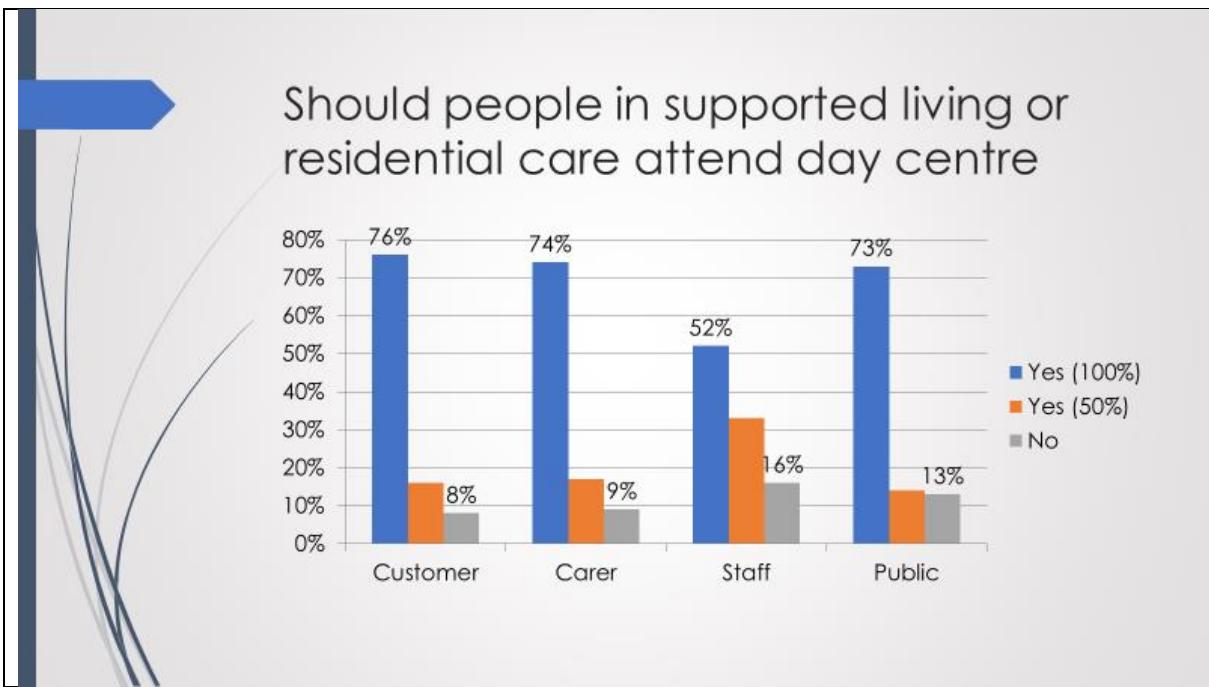
Closing Addison and Oaks?



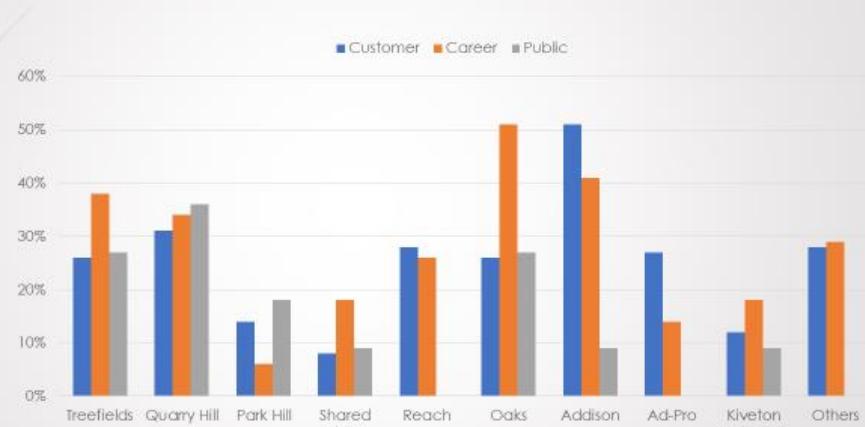
Q3h	Could we improve Reach Day Services by moving into a new/different building?
Customer response (154)	Yes 24 (16%) No 34 (22%) Don't Know 96 (62%)
Carer response (87)	Yes 12 (14%) No 29 (33%) Don't Know 46 (53%)
Staff response (82)	Yes 32 (39%) No 9 (11%) Don't Know 41 (50%)
Public response (67)	Yes 14 (21%) No 9 (13%) Don't Know 44 (66%)
Interpretation	Contrary to other changes proposed responders here were more receptive with this proposal. Council may wish to look into it.



Q3o	Should people who live in Residential Care or Supported Living be able to attend a Day Centre?
Customer response (162)	Yes (100%) 106 (76%) Yes (50%) 23 (16%) No 11 (8%)
Carer response (88)	Yes (100%) 65 (74%) Yes (50%) 15 (17%) No 8 (9%)
Staff response (83)	Yes (100%) 43 (52%) Yes (50%) 27 (33%) No 13 (16%)
Public response	Yes (100%) 47 (73%) Yes (50%) 9 (14%) No 8 (13%)
Interpretation	All the groups are supportive of this dual service, however, the rationality of these support mechanisms combined needs to be studied.

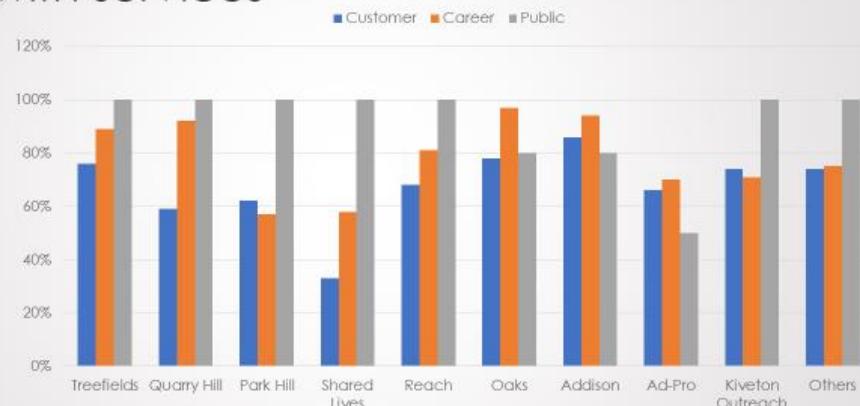


Q3p	Is there anything else you would like to say on the Rotherham Council options for Respite or Day Services in Rotherham? (Section 6.2)			
Q4a	Please tell us what you do each day of the week?			
Q4b	What would you like to do with your time? (If you don't know please leave blank)			
Q5a	Do you use any of these services?			
Customer response	Treefields (124)	Now 18 (15%)	Past 14 (11%)	Never used 92 (74%)
	Quarry Hill (131)	Now 20 (15%)	Past 11 (8%)	Never used 100 (76%)
	Park Hill (126)	Now 11 (7%)	Past 9 (7%)	Never used 106 (84%)
	Shared Lives (123)	Now 4 (3%)	Past 6 (5%)	Never used 113 (92%)
	Reach (126)	Now 28 (22%)	Past 8 (6%)	Never used 90 (71%)
	Oaks (136)	Now 25 (18%)	Past 11 (8%)	Never used 100 (74%)
	Addison (136)	Now 60 (44%)	Past 10 (7%)	Never used 66 (49%)
	Ad-Pro (123)	Now 21 (17%)	Past 12 (10%)	Never used 90 (73%)
	Kiveton outreach (122)	Now 13 (11%)	Past 2 (1%)	Never used 107 (88%)
	Others (112)	Now 25 (22%)	Past 7 (6%)	Never used 80 (71%)
Carer response	Treefields (60)	Now 18 (30%)	Past 5 (8%)	Never used 37 (62%)
	Quarry Hill (59)	Now 18 (31%)	Past 2 (3%)	Never used 39 (66%)
	Park Hill (50)	Now 1 (2%)	Past 2 (4%)	Never used 47 (94%)
	Shared Lives (51)	Now 4 (8%)	Past 5 (10%)	Never used 42 (82%)
	Reach (54)	Now 8 (15%)	Past 6 (11%)	Never used 40 (74%)
	Oaks (65)	Now 32 (49%)	Past 1 (2%)	Never used 32 (49%)
	Addison (64)	Now 25 (39%)	Past 1 (2%)	Never used 38 (59%)

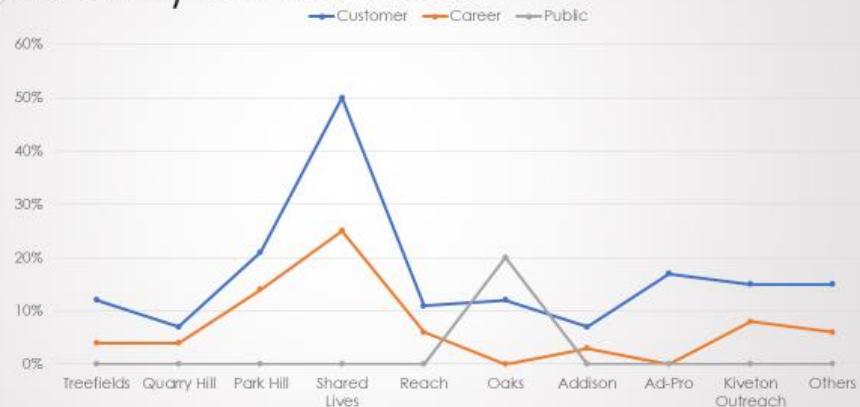
	Ad-Pro (52)	Now 4 (8%)	Past 3 (6%)	Never used 45 (86%)																																												
Kiveton																																																
outreach (56)	Now 8 (14%)	Past 2 (4%)	Never used 46 (82%)																																													
Others (48)	Now 11 (23%)	Past 3 (6%)	Never used 34 (71%)																																													
Staff response																																																
Public response	Treefields (11)	Now 1 (9%)	Past 2 (18%)	Never used 8 (73%)																																												
	Quarry Hill (11)	Now 1 (9%)	Past 3 (27%)	Never used 7 (64%)																																												
	Park Hill (11)	Now 0 (0%)	Past 2 (18%)	Never used 9 (72%)																																												
	Shared Lives (11)	Now 1 (9%)	Past 0 (0%)	Never used 10 (91%)																																												
	Reach (11)	Now 0 (0%)	Past 0 (0%)	Never used 11 (100%)																																												
	Oaks (11)	Now 3 (27%)	Past 0 (0%)	Never used 8 (73%)																																												
	Addison (11)	Now 3 (27%)	Past 0 (0%)	Never used 8 (73%)																																												
	Ad-Pro (11)	Now 1 (9%)	Past 0 (0%)	Never used 10 (91%)																																												
Kiveton																																																
outreach (11)	Now 1 (9%)	Past 0 (0%)	Never used 10 (91%)																																													
Others (10)	Now 0 (0%)	Past 0 (0%)	Never used 10 (100%)																																													
Interpretation	<ul style="list-style-type: none"> Whilst the services by and large seem to be underused; these answers are not easy to interpret – Here an individual had 10 choices and it is impossible for them to access more than one or two services at a time. Addison and Oaks seem to be mostly used followed by Treefields, Quarry Hill, Ad-Pro and Reach. Shared life and park Hill does not appear to be that popular. Reason for this response worth exploring. 																																															
 <h3>Usage of respite and day services</h3>  <table border="1"> <thead> <tr> <th>Location</th> <th>Customer (%)</th> <th>Career (%)</th> <th>Public (%)</th> </tr> </thead> <tbody> <tr> <td>Treefields</td> <td>26</td> <td>38</td> <td>27</td> </tr> <tr> <td>Quarry Hill</td> <td>32</td> <td>35</td> <td>36</td> </tr> <tr> <td>Park Hill</td> <td>14</td> <td>7</td> <td>17</td> </tr> <tr> <td>Shared Lives</td> <td>8</td> <td>18</td> <td>10</td> </tr> <tr> <td>Reach</td> <td>28</td> <td>26</td> <td>0</td> </tr> <tr> <td>Oaks</td> <td>26</td> <td>52</td> <td>27</td> </tr> <tr> <td>Addison</td> <td>51</td> <td>41</td> <td>10</td> </tr> <tr> <td>Ad-Pro</td> <td>27</td> <td>14</td> <td>0</td> </tr> <tr> <td>Kiveton Outreach</td> <td>12</td> <td>19</td> <td>10</td> </tr> <tr> <td>Others</td> <td>28</td> <td>29</td> <td>0</td> </tr> </tbody> </table>					Location	Customer (%)	Career (%)	Public (%)	Treefields	26	38	27	Quarry Hill	32	35	36	Park Hill	14	7	17	Shared Lives	8	18	10	Reach	28	26	0	Oaks	26	52	27	Addison	51	41	10	Ad-Pro	27	14	0	Kiveton Outreach	12	19	10	Others	28	29	0
Location	Customer (%)	Career (%)	Public (%)																																													
Treefields	26	38	27																																													
Quarry Hill	32	35	36																																													
Park Hill	14	7	17																																													
Shared Lives	8	18	10																																													
Reach	28	26	0																																													
Oaks	26	52	27																																													
Addison	51	41	10																																													
Ad-Pro	27	14	0																																													
Kiveton Outreach	12	19	10																																													
Others	28	29	0																																													

Q5b	How pleased are you with this service? (Very Please/Pleased; OK; Not pleased/Not at all pleased)	
Customer response	Treefields (33) VP/P 25 (76%) OK 4 (12%) NP 4 (12%) Quarry Hill (32) VP/P 19 (59%) OK11 (34%) NP 2 (7%) Park Hill (24) VP/P 15 (62%) OK 4 (17%) NP 5 (21%) Shared Lives (12) VP/P 4 (33%) OK 2 (17%) NP 6 (50%) Reach (34) VP/P 23 (68%) OK 7 (21%) NP 4 (11%) Oaks (40) VP/P 31 (78%) OK 4 (10%) NP 5 (12%) Addison (67) VP/P 57 (86%) OK 5 (7%) NP 5 (7%) Ad-Pro (35) VP/P 23 (66%) OK 6 (17%) NP 6 (17%) Kiveton outreach (19) VP/P 14 (74%) OK 2 (11%) NP 3 (15%) Others (27) VP/P 20 (74%) OK 3 (11%) NP 4 (15%)	
Carer response	Treefields (27) VP/P 24 (89%) OK 2 (7%) NP 1 (4%) Quarry Hill (24) VP/P 22 (92%) OK1 (4%) NP 1 (4%) Park Hill (7) VP/P 4 (57%) OK 2 (29%) NP 1 (14%) Shared Lives (12) VP/P 7 (58%) OK 2 (17%) NP 3 (25%) Reach (16) VP/P 13 (81%) OK 2 (13%) NP 1 (6%) Oaks (34) VP/P 33 (97%) OK 1 (3%) NP 0 (0%) Addison (29) VP/P 27 (94%) OK 1 (3%) NP 1 (3%) Ad-Pro (10) VP/P 7 (70%) OK 3 (30%) NP 0 (0%) Kiveton outreach (14) VP/P 10 (71%) OK 3 (21%) NP 1 (8%) Others (16) VP/P 12 (75%) OK 3 (19%) NP 1 (6%)	
Public response	Treefields (6) VP/P 6 (100%) Quarry Hill (5) VP/P 5 (100%) Park Hill (7) VP/P 3 (100%) Shared Lives (2) VP/P 2 (100%) Reach (2) VP/P 2 (100%) Oaks (5) VP/P 4 (80%) OK 0 (0%) NP 1 (20%) Addison (5) VP/P 4 (80%) OK 1 (20%) Ad-Pro (2) VP/P 1 (50%) OK 1 (50%) Kiveton outreach (2) VP/P 2 (100%) Others (1) VP/P 1 (100%)	
Interpretation	<ul style="list-style-type: none"> By and large the responders are happy with the service that they receive Shared life seems to have worst reputation among the customers 	

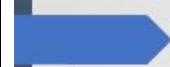
Satisfaction (Pleased or very pleased) with services

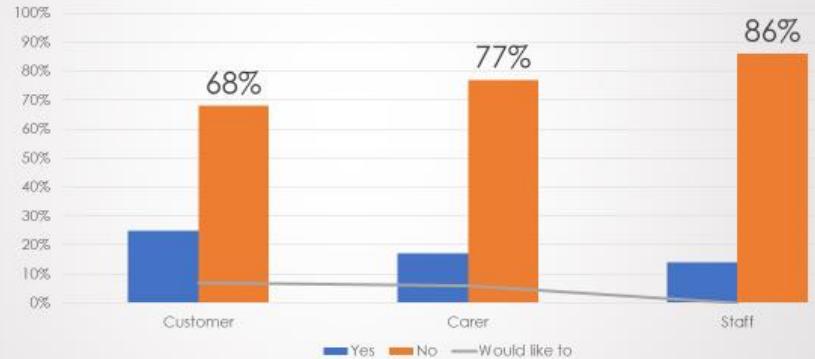


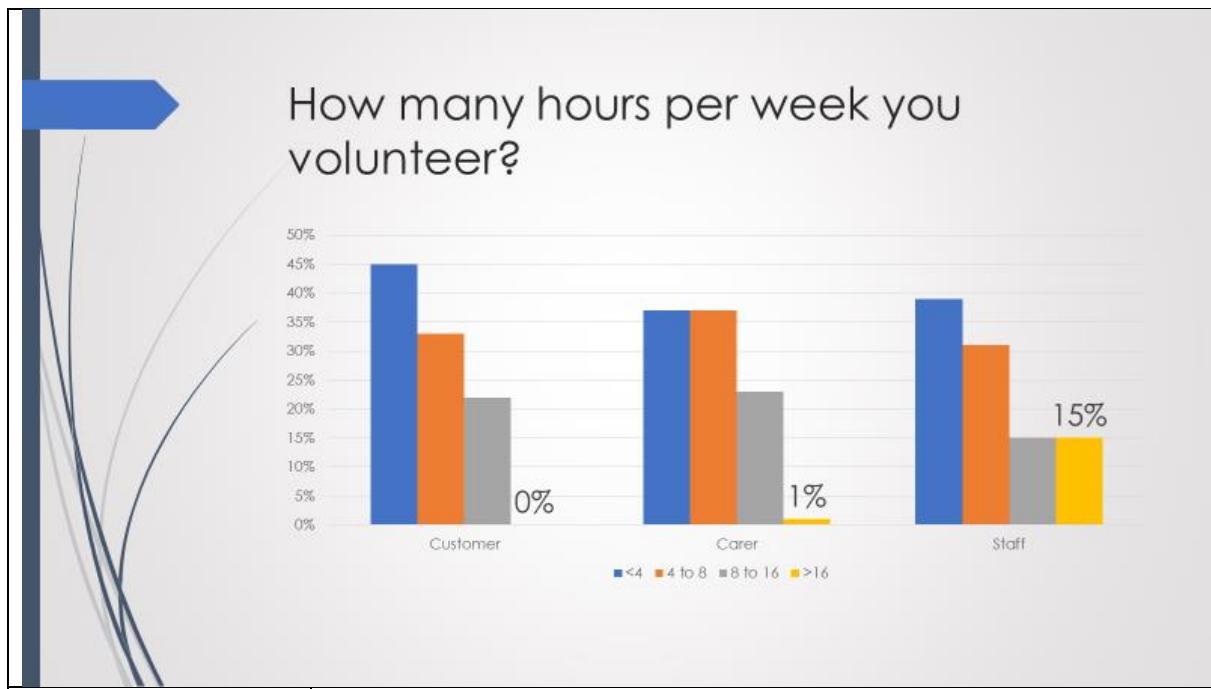
Dis-satisfaction (Not pleased or not at all pleased) with services



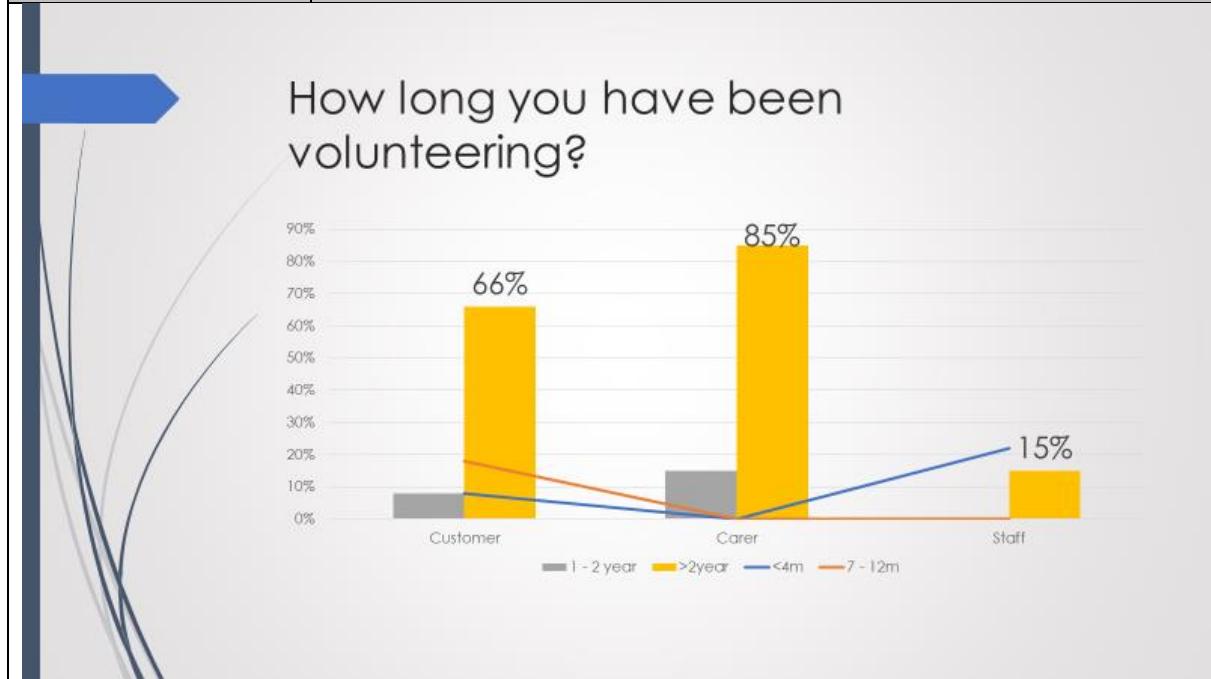
Q7a	Do you volunteer?
Customer response (160)	Yes 40 (25%) No 109 (68%) Don't volunteer but would like to 11 (7%)
Carer response (83)	Yes 14 (17%) No 64 (77%) Don't volunteer but would like to 5 (6%)
Staff response (80)	Yes 11 (14%) No 69 (86%) Don't volunteer but would like to 0 (0%)
Public response	
Interpretation	Customers would love to keep themselves engaged Even carers are interested. Not high in Staff agenda



Do you volunteer?																		
	 <p>A bar chart titled 'Do you volunteer?' comparing three groups: Customer, Carer, and Staff. The Y-axis represents percentages from 0% to 100%. For each group, there are three bars: 'Yes' (blue), 'No' (orange), and 'Would like to' (grey). The 'No' bars are the tallest, reaching approximately 68% for Customers, 77% for Carers, and 86% for Staff.</p> <table border="1"> <thead> <tr> <th>Role</th> <th>Yes (%)</th> <th>No (%)</th> <th>Would like to (%)</th> </tr> </thead> <tbody> <tr> <td>Customer</td> <td>~25</td> <td>~68</td> <td>~0</td> </tr> <tr> <td>Carer</td> <td>~18</td> <td>~77</td> <td>~0</td> </tr> <tr> <td>Staff</td> <td>~15</td> <td>~86</td> <td>~0</td> </tr> </tbody> </table>	Role	Yes (%)	No (%)	Would like to (%)	Customer	~25	~68	~0	Carer	~18	~77	~0	Staff	~15	~86	~0	
Role	Yes (%)	No (%)	Would like to (%)															
Customer	~25	~68	~0															
Carer	~18	~77	~0															
Staff	~15	~86	~0															
Q7b	<p>If you volunteer, please tell us where you do volunteering? Please tell us the name of company and location. (Please list all) (Section 6.2)</p>																	
Q7c	<p>How many hours do you volunteer per week?</p>																	
Customer response (40)	<p><4 hours – 15 (37%); 4 – 8 hrs – 15 (37%); 8 – 16 hrs 9 (23%); >16 hours – 1 (3%)</p>																	
Carer response (13)	<p><4 hours – 5 (39%); 4 – 8 hrs – 4 (31%); 8 – 16 hrs 2 (15%); >16 hours – 2 (15%)</p>																	
Staff response (9)	<p><4 hours – 4 (45%); 4 – 8 hrs – 3 (33%); 8 – 16 hrs 2 (22%); >16 hours – 0 (0%)</p>																	
Public response																		
Interpretation	<p>Most responders are doing volunteering up to 8 hours which seems to be realistic</p>																	

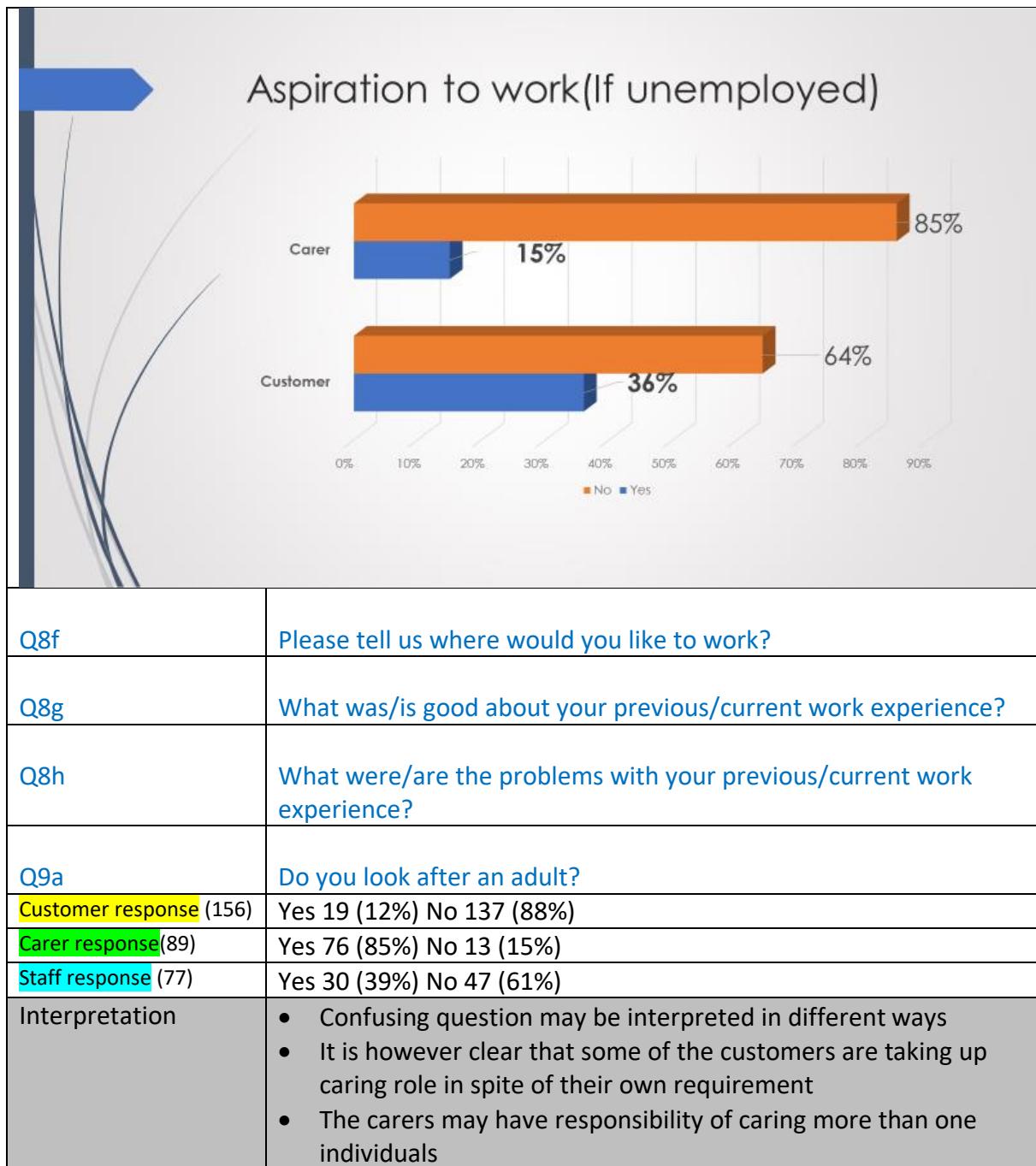


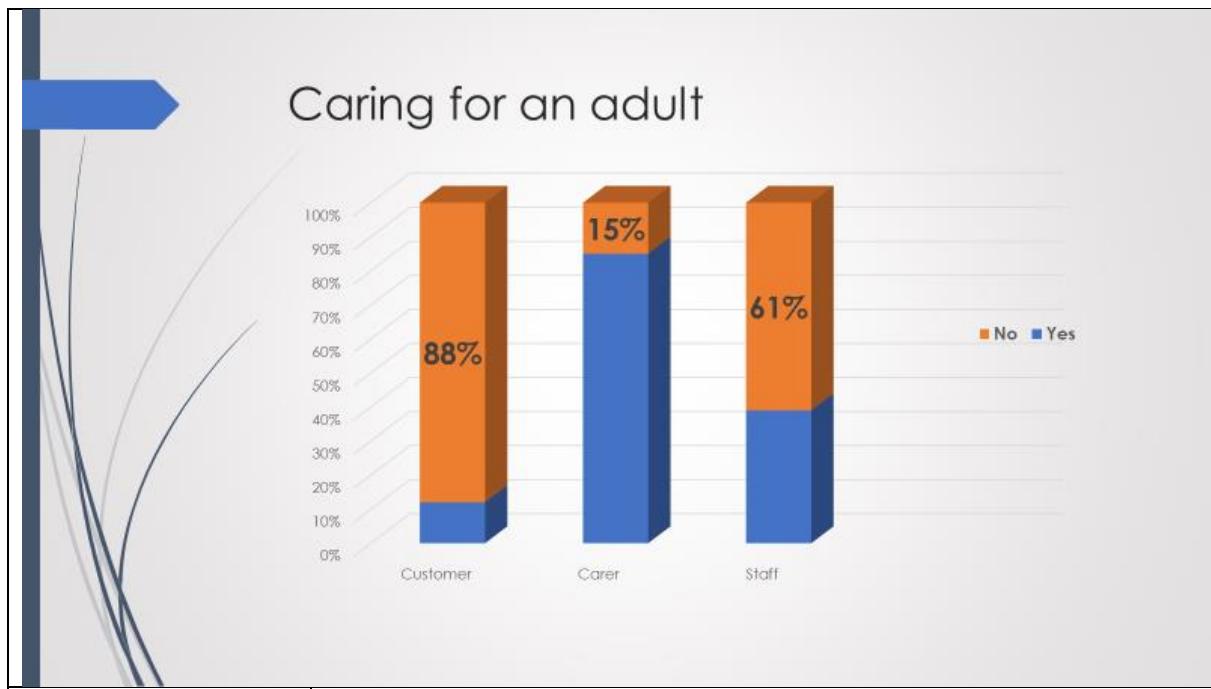
Q7d	How long have you been volunteering?
Customer response (40)	<4 months – 3 (8%); 7 – 12m – 7 (18%); 1 – 2 years 3 (8%); >2 years – 25 (66%)
Carer response (13)	<4 months – 0 (0%); 7 – 12m – 0 (0%); 1 – 2 years 2 (15%); >2 years – 11 (85%)
Staff response (9)	<4 months – 2 (22%); 7 – 12m – 0 (0%); 1 – 2 years 0 (0%); >2 years – 7 (78%)
Interpretation	It is encouraging that more and more customers are starting volunteering



Q7e	Where would you like to volunteer? (Section 6.2)
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Q7f	What are the barriers to volunteering? (Section 6.2)
Q7g	What would need to be in place to support you to volunteer? (Section 6.2)
Q7h	What qualifications do you need to move from volunteering to work?
Q8a	Are you in paid work?
Customer response (156)	Yes 23 (15%) No 133 (85%)
Carer response (81)	Yes 21 (26%) No 60 (74%)
Staff response (84)	Yes 84 (100%)
Public response	
Interpretation	<ul style="list-style-type: none"> The response from the customers seems to be high as national average is around 6%. This could be explained by 11 people who are employed by Speakup and those who work for AdPro The numbers of people with a degree or higher level qualification does not relate to the national statistics on this and needs further exploring.
Q8b	If yes, please tell us where you work? Name and location of the company
Q8c	How many hours do you work and get paid per week?
Customer response (3)	<4 hours – 2 (67%); 4 – 8 hrs – 1 (33%)
Carer response (2)	<4 hours – 2 (100%); 4 – 8 hrs – 0 (0%)
Interpretation	<ul style="list-style-type: none"> The discrepancy between Q8a, 8c and 8d needs exploring
Q8d	How long have you been in paid work?
Customer response (3)	<6 months – 1 (50%); 1 – 2 years – 1 (50%)
Carer response (0)	<6 months – 0 (0%); 1 – 2 years – 0 (0%)
Interpretation	As above
Q8e	If you do not do paid work would you like to?
Customer response (100)	Yes 36 (36%) No 64 (64%)
Carer response (33)	Yes 5 (15%) No 28 (85%)
Interpretation	<ul style="list-style-type: none"> One third of customers want to do paid work

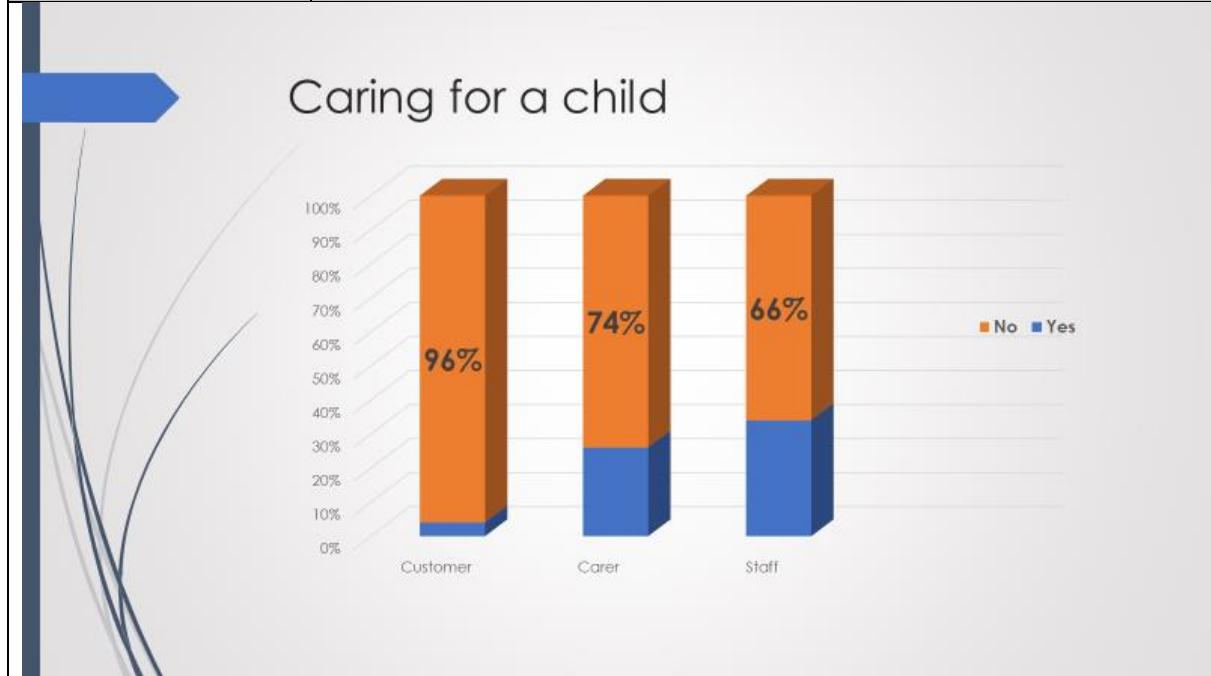




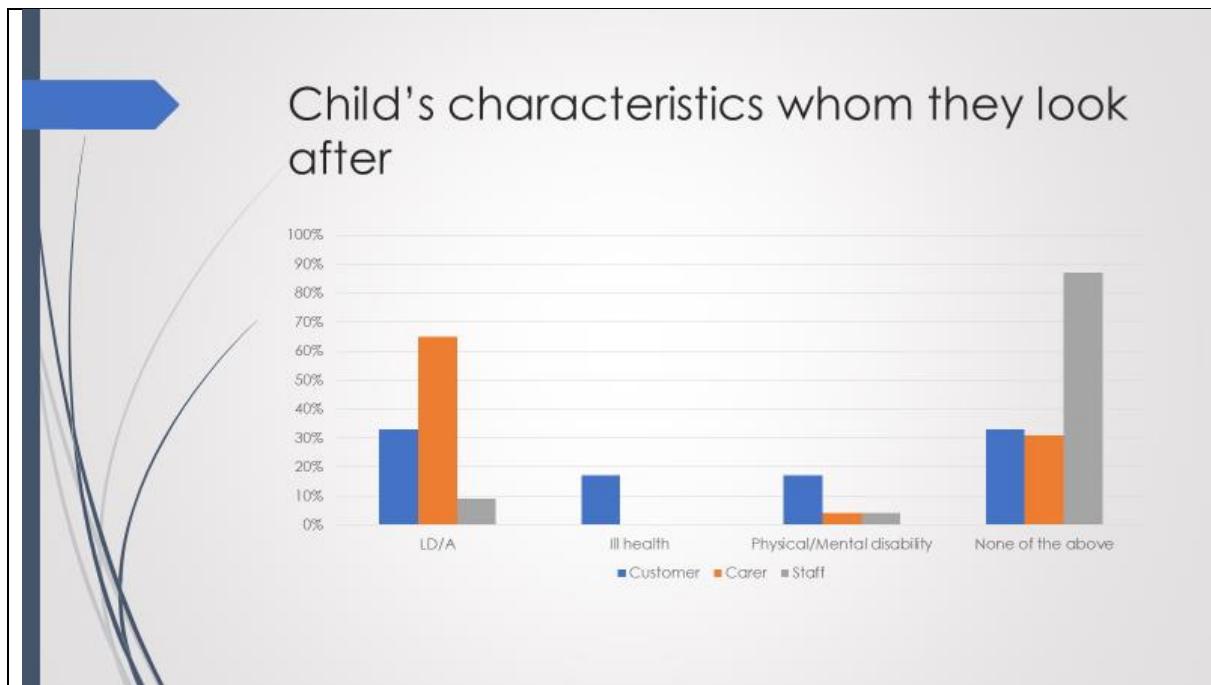
Q9b	Which term best describes the adult you look after?
Customer response (158)	Learning disability/autism 13 (72%) Ill health 5 (28%)
Carer response (75)	Learning disability/autism 70 (93%) Physical disability 4 (5%) Ill health 1 (1%)
Staff response (29)	Learning disability/autism 20 (69%) Physical disability 3 (10%) Ill health 2 (7%) Mental Health 1 (3%) Other 3 (11%)
Public response	
Interpretation	It seems that most of the individuals who have care need have Learning Disability/Autism



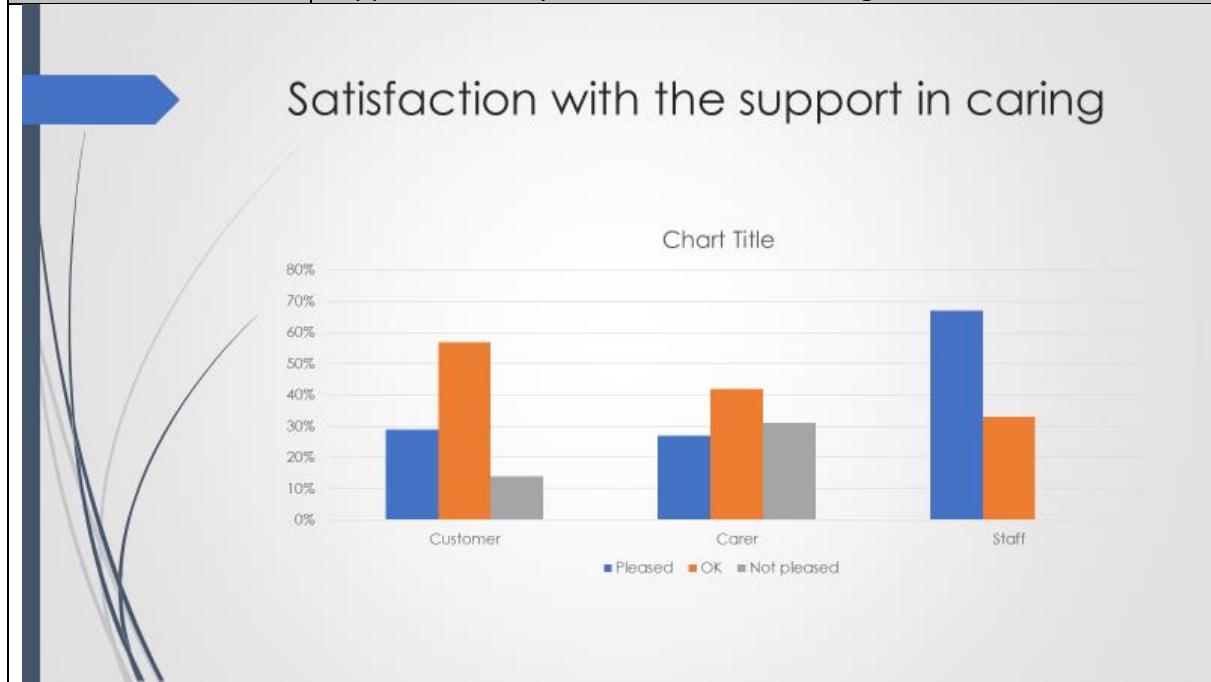
Q9c	Do you look after a child in your home?
Customer response (156)	Yes 6 (4%) No 150 (96%)
Carer response (85)	Yes 22 (26%) No 63 (74%)
Staff response (76)	Yes 26 (34%) No 50 (76%)
Interpretation	<ul style="list-style-type: none"> Some customers are taking up caring role despite their own requirement The carers may have responsibility of caring more than one individuals



Q9d	Does the child have?
Customer response (6)	Learning disability/autism 2 (33%) Mental ill health 1 (17%) Other 1 (17%) None of the above 2 (33%)
Carer response (23)	Learning disability/autism 15 (65%) Mental ill health 0 (0%) Physical disability 1 (4%) Other 0 (0%) None of the above 7 (31%)
Staff response (23)	Learning disability/autism 2 (9%) Mental ill health 0 (0%) Physical disability 1 (4%) Other 0 (0%) None of the above 20 (87%)
Interpretation	<ul style="list-style-type: none"> It seems that most of the individuals who have care need have Learning Disability/Autism. It however does not apply to the staff

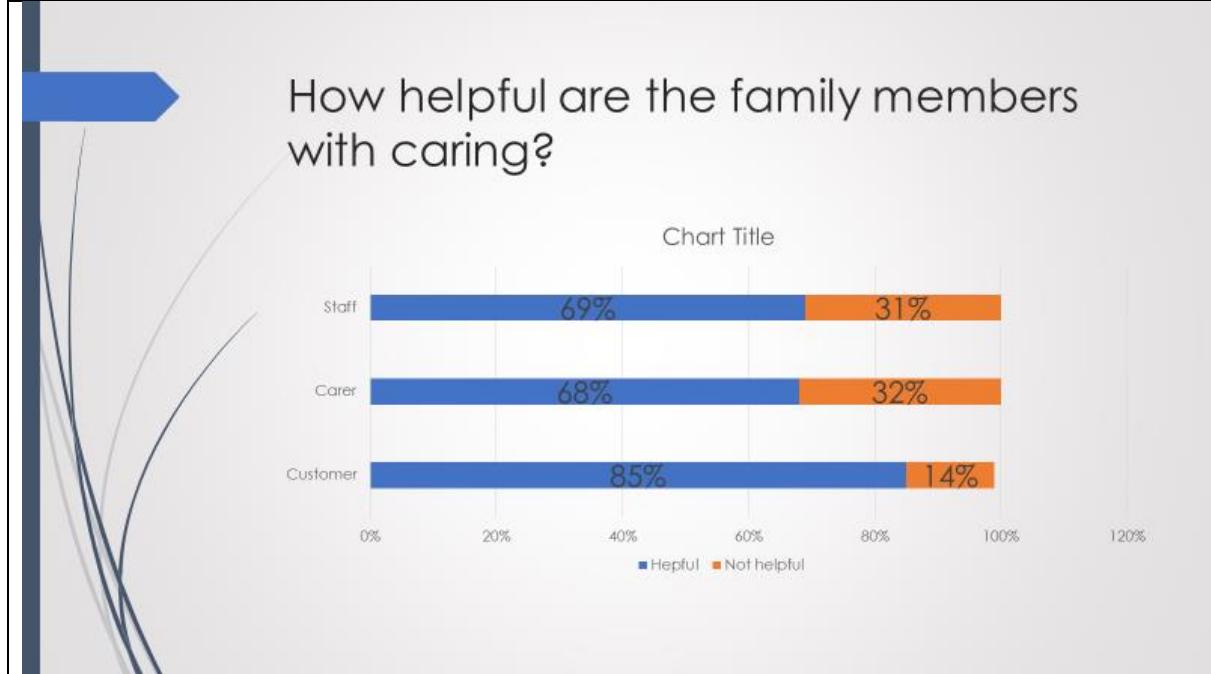


Q9e	How pleased are you with the support you get in your caring role?
Customer response (7)	VP/P 2 (29%) OK 4 (57%) NP 1 (14%)
Carer response (26)	VP/P 7 (27%) OK 11 (42%) NP 8 (31%)
Staff response (15)	VP/P 10 (67%) OK 5 (33%) NP 0 (0%)
Public response	
Interpretation	Neither the customers not the carers are very pleased with the support that they receive with their caring role

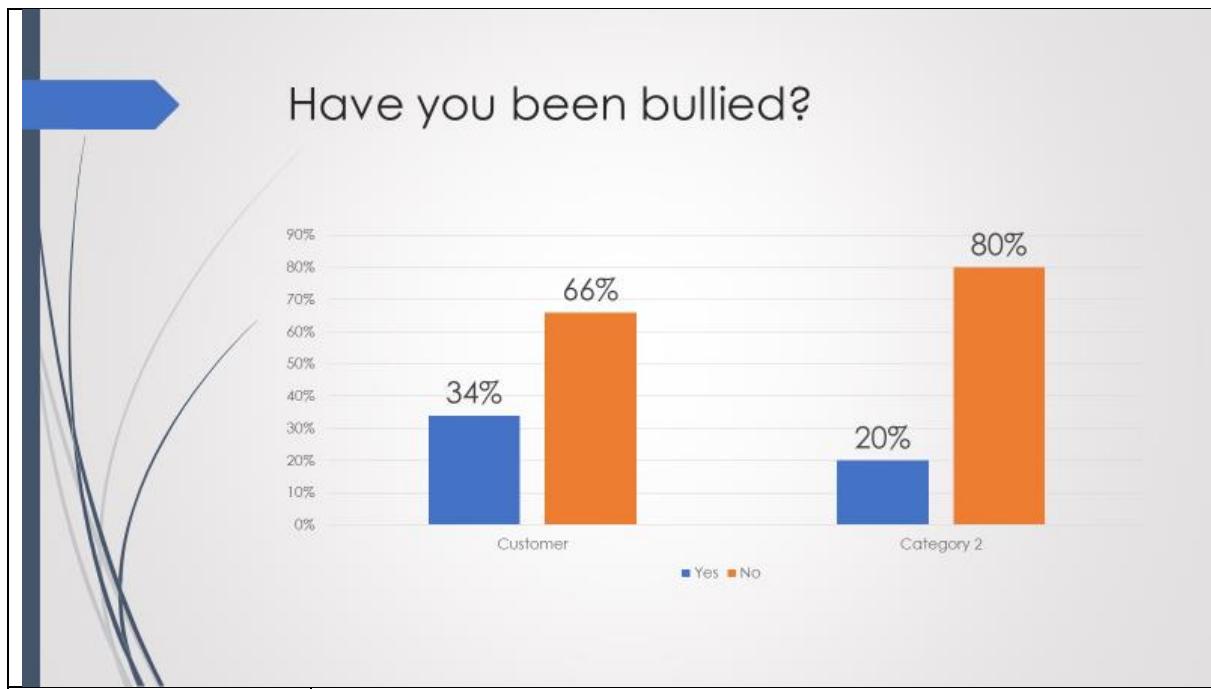


Q9e	How can the Council support you in your caring role?

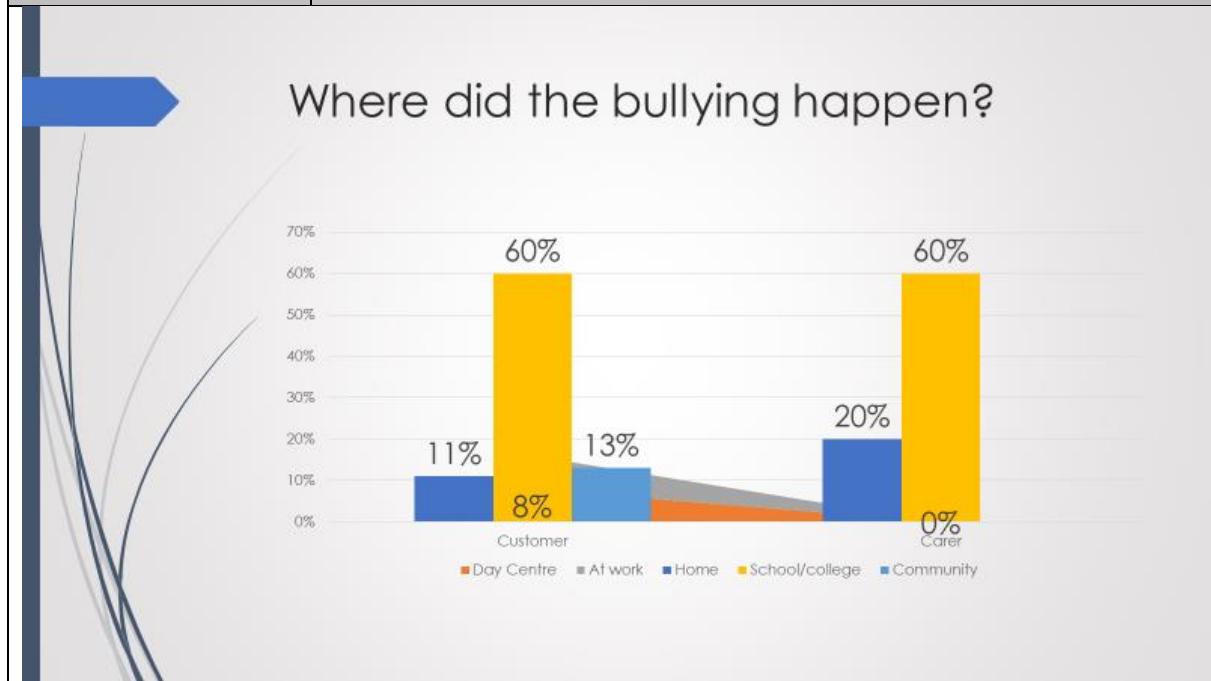
Q9g	How much do your family help you in your caring role?
Customer response (20)	Very helpful 5 (71%) Sometimes helpful 1 (14%) Not helpful 1 (14%)
Carer response (25)	Very helpful 10 (40%) Sometimes helpful 7 (28%) Not helpful 8 (32%)
Staff response (16)	Very helpful 3 (19%) Sometimes helpful 8 (50%) Not helpful 5 (31%)
Interpretation	Neither the customers nor the carers are very pleased with the support that they receive with their caring role however they receive some support from their other family members which may increase the burden on the family members



Q10a	Have you been bullied?
Customer response (154)	Yes 53 (34%) No 101 (66%)
Carer response (74)	Yes 15 (20%) No 59 (80%)
Interpretation	<ul style="list-style-type: none"> Bullying remain a problem. At least one fifth of the service users were bullied at some stage. One fifth of their carers had same unfortunate experience



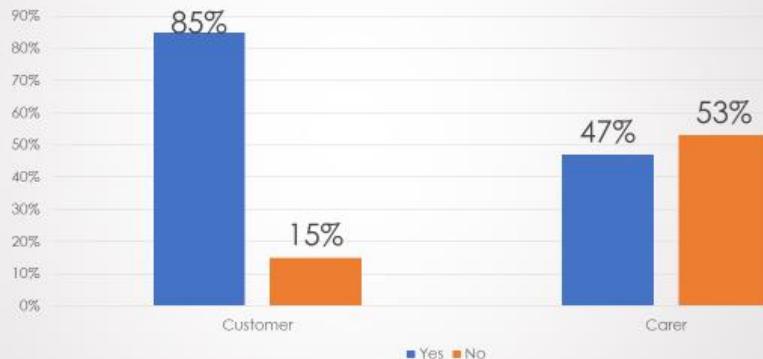
Q10b	Where did the bullying happen?
Customer response (52)	At home 6 (11%) Day Centre 4 (8%) at work 4 (8%) At School/college 31 (60%) In the community where I live in 7 (13%)
Carer response (15)	At work 3 (20%) At School/college 9 (60%) In the community where I live in (20%)
Interpretation	Worryingly bullying is spread across the society including home environment



Q10c	Did you report the bullying?
Customer response (53)	Yes 45 (85%) No 8 (15%)
Carer response (15)	Yes 7 (47%) No 8 (53%)

Interpretation	<ul style="list-style-type: none"> Customers are more confident in complaining about bullying Carers seem to be more tolerant which reflects real life experience
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Reporting bullying



Q10d

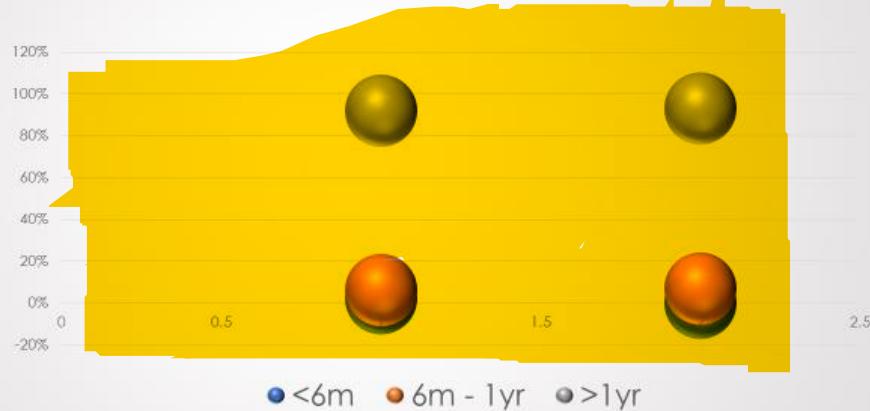
When did this happen to you?

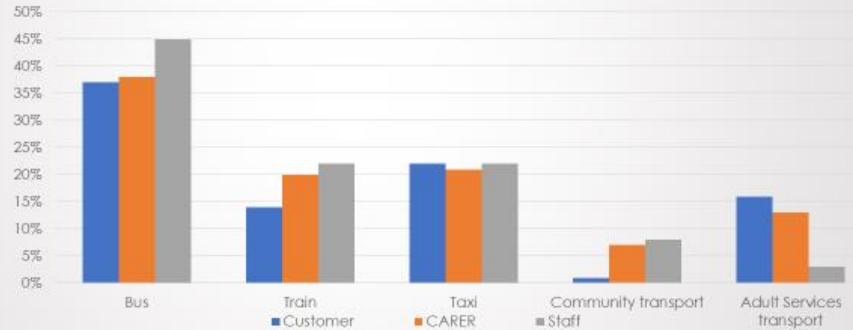
Customer response (53) In the last 6 months 1 (2%) 6m – 1 year 3 (6%) Over a year ago 47 (92%)

Carer response (14) In the last 6 months 0 (0%) 6m – 1 year 1 (7%) Over a year ago 13 (93%)

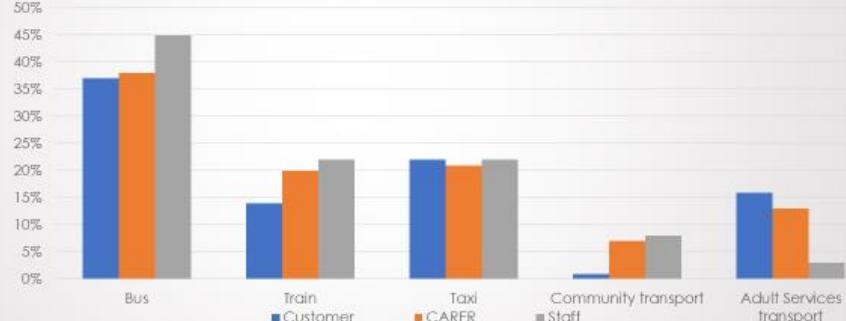
Interpretation Fortunately situation has improved considerably recently

Time scale of bullying (Response on the customer; right hand Carer)

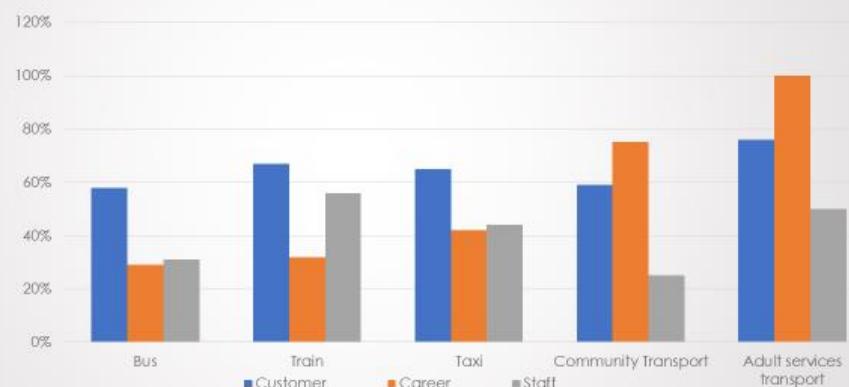


Q11a	Do you use public transport to get to places?																								
Customer response (160)	Yes 129 (80%) No 31 (20%)																								
Carer response (80)	Yes 41 (51%) No 39 (49%)																								
Staff response (73)	Yes 38 (52%) No 35 (48%)																								
Interpretation	Customers frequently use public transport which may indicate to their inability to drive or financial difficulty in buying a car Both staff and carer are more reliant on their own transport which may be because of the significant pressure on their time																								
<p style="text-align: center;">Type of Public Transport used</p>  <table border="1"> <thead> <tr> <th>Type of Transport</th> <th>Customer (%)</th> <th>CARER (%)</th> <th>Staff (%)</th> </tr> </thead> <tbody> <tr> <td>Bus</td> <td>37</td> <td>38</td> <td>44</td> </tr> <tr> <td>Train</td> <td>14</td> <td>20</td> <td>22</td> </tr> <tr> <td>Taxi</td> <td>21</td> <td>21</td> <td>22</td> </tr> <tr> <td>Community transport</td> <td>2</td> <td>8</td> <td>8</td> </tr> <tr> <td>Adult Services transport</td> <td>16</td> <td>13</td> <td>4</td> </tr> </tbody> </table>		Type of Transport	Customer (%)	CARER (%)	Staff (%)	Bus	37	38	44	Train	14	20	22	Taxi	21	21	22	Community transport	2	8	8	Adult Services transport	16	13	4
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Community transport	2	8	8																						
Adult Services transport	16	13	4																						
Q11b	What type of transport do you use?																								
Customer response	Bus 108 (37%) Train 42 (14%) Taxi 64 (22%) Community transport 31 (11%) Adult Services Transport 46 (16%)																								
Carer response	Bus 36 (38%) Train 19 (20%) Taxi 20 (21%) Community transport 7 (7%) Adult Services Transport 12 (13%)																								
Staff response	Bus 33 (45%) Train 16 (22%) Taxi 16 (22%) Community transport 6 (8%) Adult Services Transport 2 (3%)																								
Interpretation	The choice of public transport possibly indicates towards the availability of services which is available locally																								

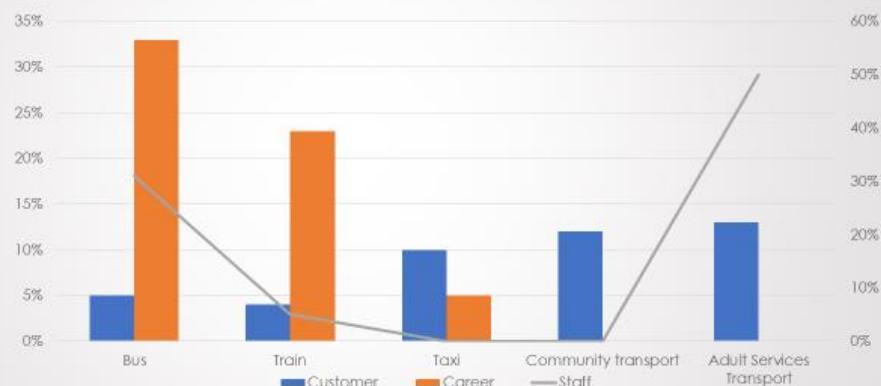


Type of Public Transport used																														
																														
<p>Q11b.1 How pleased are you with the public transport that you use?</p>																														
<table border="1"> <tbody> <tr> <td colspan="2">Customer response</td><td>Bus (110)</td><td>VP/P 64 (58%)</td><td>OK 41 (37%)</td><td>NP 5 (5%)</td></tr> <tr> <td colspan="2">Train (49)</td><td>VP/P 33 (67%)</td><td>OK 14 (29%)</td><td>NP 2 (4%)</td></tr> <tr> <td colspan="2">Taxi (69)</td><td>VP/P 45 (65%)</td><td>OK 17 (25%)</td><td>NP 7 (10%)</td></tr> <tr> <td colspan="2">Community Transport (42)</td><td>VP/P 25 (59%)</td><td>OK 12 (29%)</td><td>NP 5 (12%)</td></tr> <tr> <td colspan="2">Adult Services Transport (54)</td><td>VP/P 41 (76%)</td><td>OK 6 (11%)</td><td>NP 7 (13%)</td></tr> </tbody> </table>					Customer response		Bus (110)	VP/P 64 (58%)	OK 41 (37%)	NP 5 (5%)	Train (49)		VP/P 33 (67%)	OK 14 (29%)	NP 2 (4%)	Taxi (69)		VP/P 45 (65%)	OK 17 (25%)	NP 7 (10%)	Community Transport (42)		VP/P 25 (59%)	OK 12 (29%)	NP 5 (12%)	Adult Services Transport (54)		VP/P 41 (76%)	OK 6 (11%)	NP 7 (13%)
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Adult Services Transport (6)		VP/P 3 (50%)	OK 0 (0%)	NP 3 (50%)																										
<p>Interpretation</p> <ul style="list-style-type: none"> The customers were by and large happy with the public transport facility The carers and staff were clearly not pleased with services and buses came out as the worst mode of transport. Identification of its root cause is beyond the remit of this study but in view of its wide coverage it merits exploring Adult Services Transport had the highest approval rate 																														

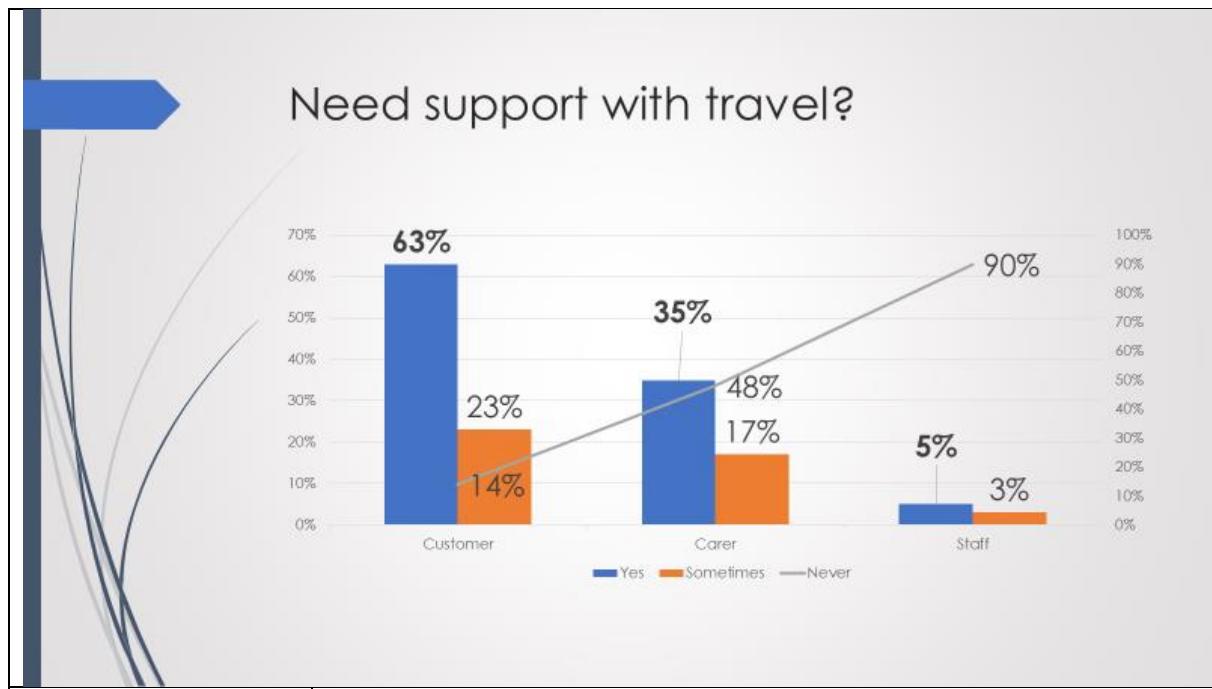
Satisfaction (Pleased or very pleased) with public transport



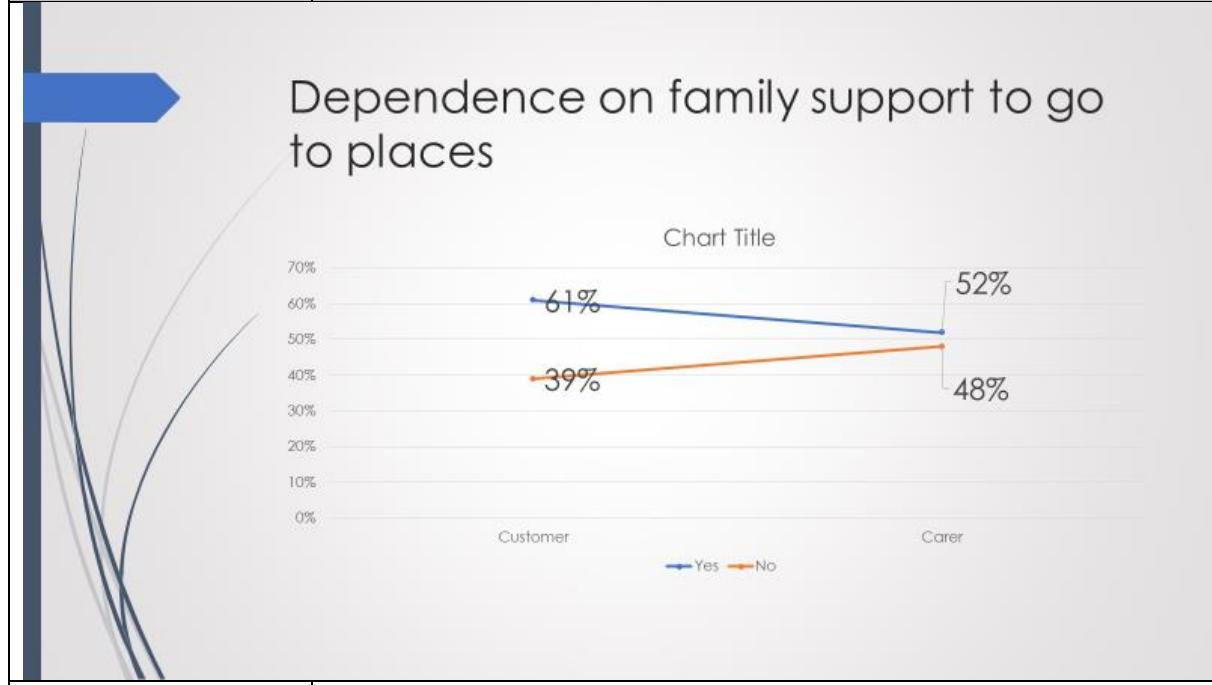
Dis-satisfaction (Not pleased or not at all pleased) with transport



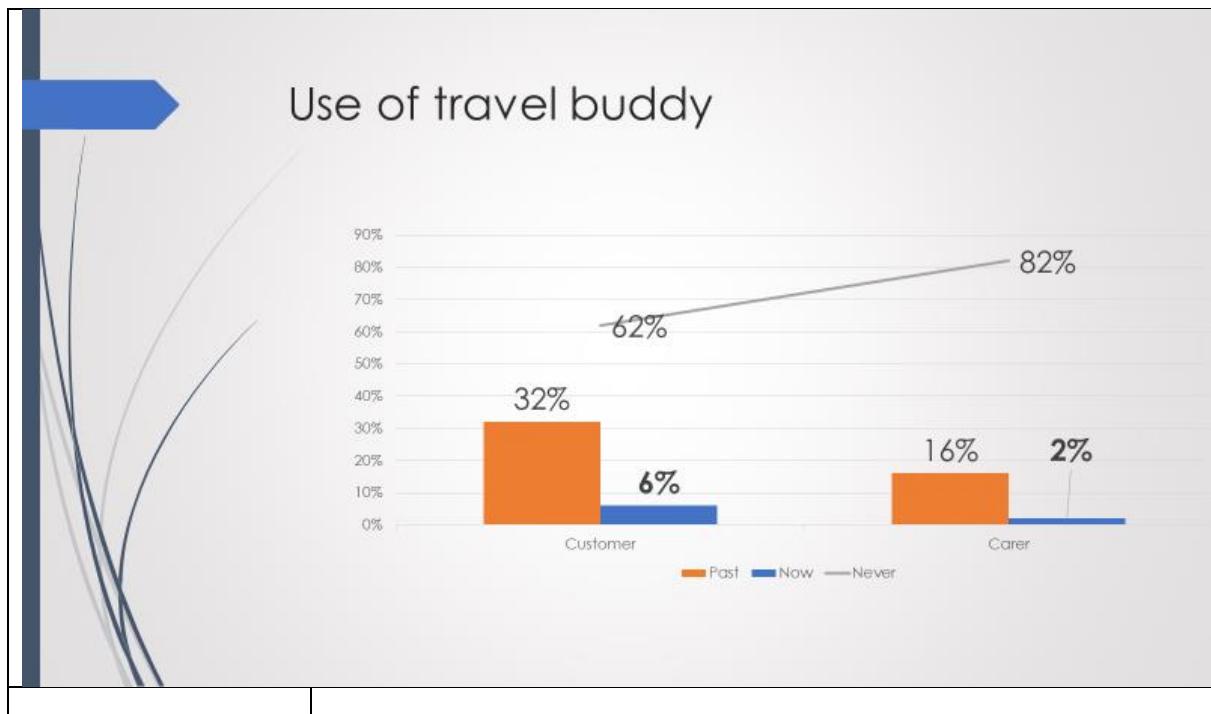
Q11c	What stops you from using public transport?
Q11d	Do you need support to travel?
Customer response (161)	Always 102 (63%) Sometimes 37 (23%) Never 22 (14%)
Carer response (65)	Always 23 (35%) Sometimes 11 (17%) Never 31 (48%)
Staff response (63)	Always 3 (5%) Sometimes 3 (5%) Never 57 (90%)
Public response	
Interpretation	<ul style="list-style-type: none"> Customers are rarely independent. 63% of them relies on support all the time; 23% sometimes. Even 1 in 3 carers need support all the time with transport to fulfil their caring responsibilities.



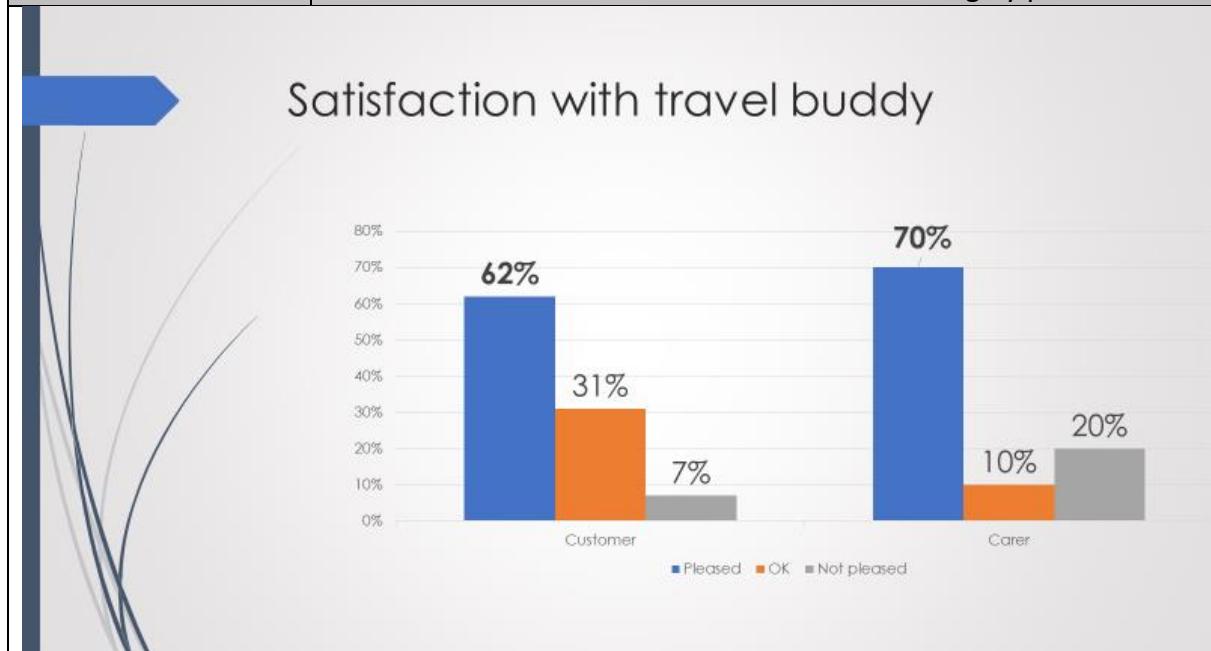
Q11e	Do you depend on family member to take you to places?
Customer response (161)	Yes 99 (61%) No 62 (39%)
Carer response (62)	Yes 32 (52%) No 30 (48%)
Interpretation	It is the family members who provide maximum support. Invariably it is likely to have an impact on their life, work and wellbeing



Q11f1	Have you ever used a travel buddy or had travel training?
Customer response (155)	Now 9 (6%) In the past 50 (32%) Never 96 (62%)
Carer response (61)	Now 1 (2%) In the past 10 (16%) Never 50 (82%)
Interpretation	Travel buddies had a role in supporting the customers when they were available



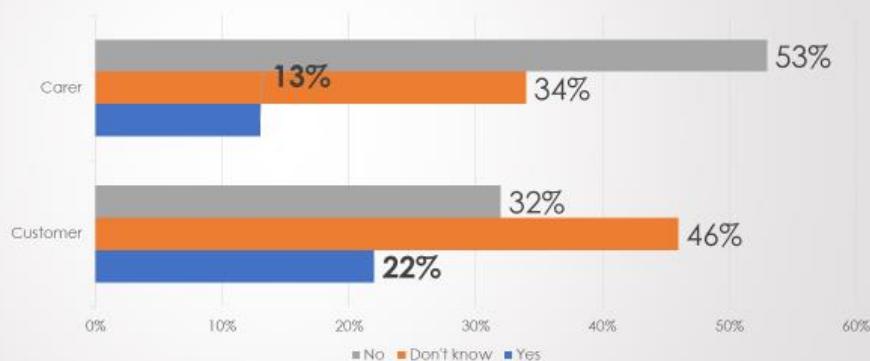
Q11f2	If you have used a travel buddy or had travel training, how pleased were you with the service?
Customer response (58)	VP/P 36 (62%) OK 18 (31%) NP 4 (7%)
Carer response (10)	VP/P 7 (70%) OK 1 (10%) NP 2 (20%)
Interpretation	Travel buddies and travel training may have had a significant role in the customers life. Their contribution has been highly praised



Q11g	Do you need further travel training?
Customer response (138)	Yes 31 (22%) No 64 (46%) I don't know 43 (32%)
Carer response (47)	Yes 6 (13%) No 25 (53%) I don't now 16 (34%)

Interpretation	Neither customers nor the carers believed that the customers will require further travel training. However, a large number of customers were not sure of their requirement
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Further travel training needed?



Q12a

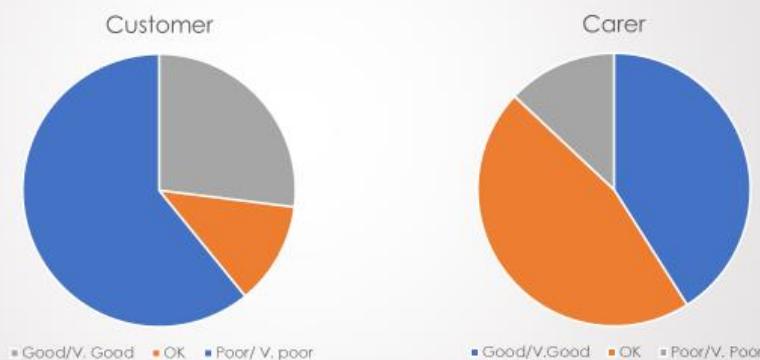
How would you describe your health?

Customer response (156) Very Good 49 (31%) Good 49 (31%) OK 43 (28%) Poor 12 (8%) Very poor 3 (2%)

Carer response (74) Very Good 8 (11%) Good 22 (30%) OK 34 (46%) Poor 7 (9%) Very poor 3 (4%)

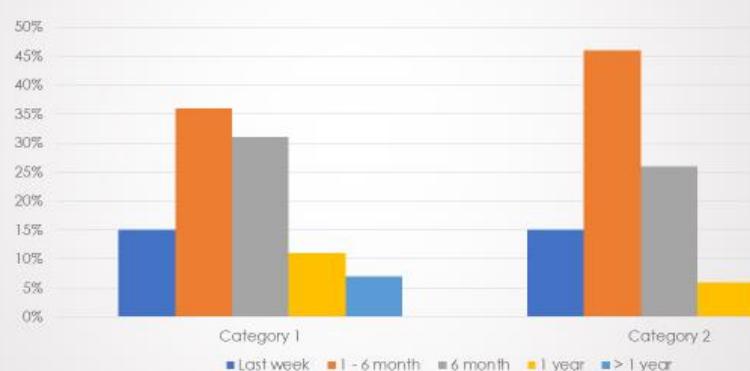
- Interpretation
- No significant health concern was expressed by the customers.
 - Carer however were not that optimistic

Health – Self assessment



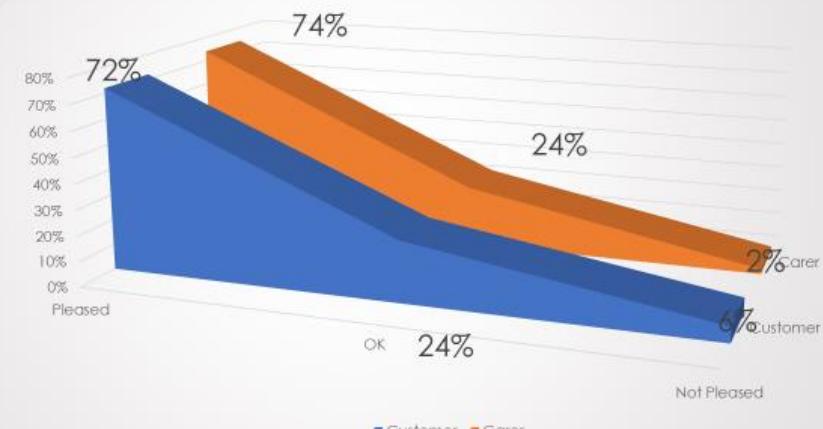
Q12b	When was the last time you saw the doctor?
Customer response (158)	In the last week 23 (15%) 1 week to 6 months (36%) 6 months ago 49 (31%) A year ago 18 (11%) Longer than a year ago 11 (7%)
Carer response (72)	In the last week 11 (15%) 1 week to 6 months 33 (46%) 6 months ago 19 (26%) A year ago 4 (6%) Longer than a year ago 5 (7%)
Interpretation	Most of the responders had a visit with their doctors within last year

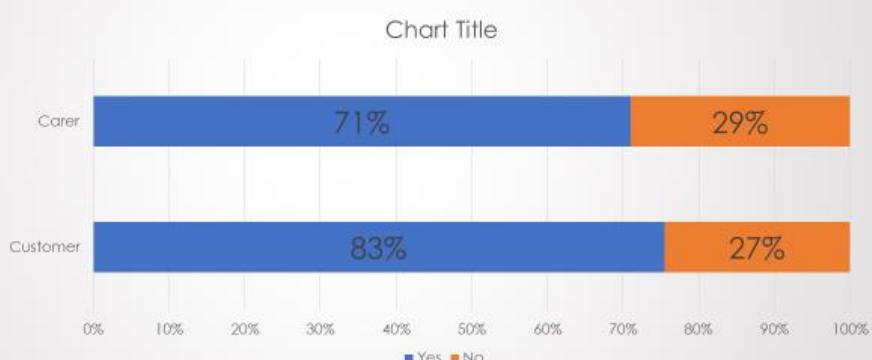
Timescale of last een by a doctor



Q12c	How pleased were you with your doctor?
Customer response (159)	VP/P 114 (72%) OK 39 (24%) NP 6 (4%)
Carer response (70)	VP/P 52 (74%) OK 17 (24%) NP 1 (2%)
Interpretation	The responders were by and large happy with their doctors

Satisfaction with the doctor



Q12d	What stops you from visiting the doctor?													
Q12e	Have you had annual health check last year?													
Customer response (158)	Yes 131 (83%) No 27 (17%)													
Carer response (69)	Yes 49 (71%) No 20 (29%)													
Interpretation	Most of them had a health check last year. This is higher than the national average which is 52% (Learning disability observatory reference)													
 <h3>Annual Health Check</h3> <p>Chart Title</p>  <table border="1"> <thead> <tr> <th>Category</th> <th>Response</th> <th>Percentage</th> </tr> </thead> <tbody> <tr> <td rowspan="2">Carer</td> <td>Yes</td> <td>71%</td> </tr> <tr> <td>No</td> <td>29%</td> </tr> <tr> <td rowspan="2">Customer</td> <td>Yes</td> <td>83%</td> </tr> <tr> <td>No</td> <td>27%</td> </tr> </tbody> </table>		Category	Response	Percentage	Carer	Yes	71%	No	29%	Customer	Yes	83%	No	27%
Category	Response	Percentage												
Carer	Yes	71%												
	No	29%												
Customer	Yes	83%												
	No	27%												
Q13a	Please tell us where you live?													
Customer response (161)	A house 73 (45%) A flat 9 (6%) A bungalow 32 (20%) Residential service 21 (13%) Supporting living 24 (15%) Other 2 (1%)													
Interpretation	1 in 5 customers were residing in a residential setting													



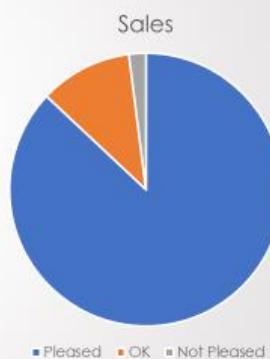
Dwelling Place & Satisfaction

Place



Place	Percentage
Other	~1%
Supported living	~12%
Residential Services	~12%
A Flat/Other	~8%
A Bungalow	~20%
A house	~45%

Sales

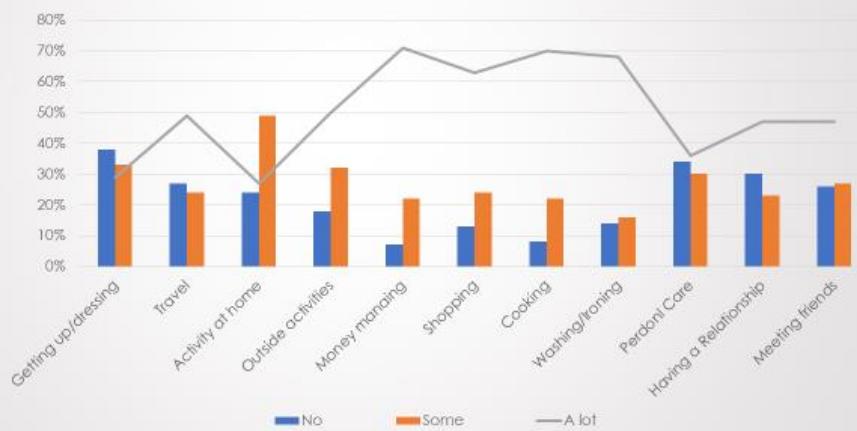


Satisfaction Level	Percentage
Pleased	~85%
OK	~10%
Not Pleased	~5%

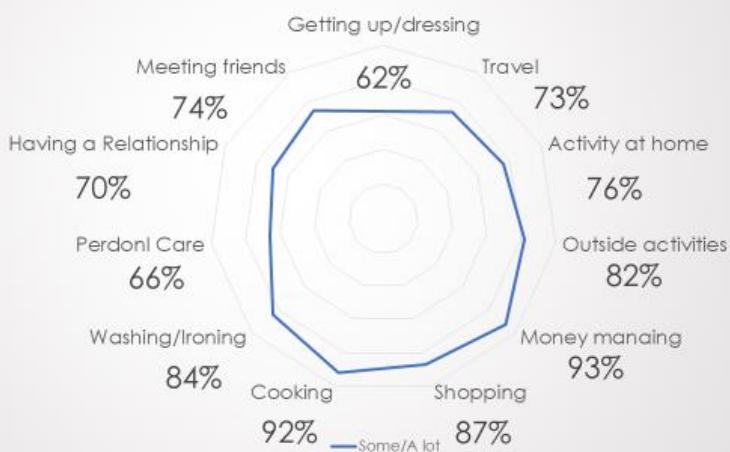
Q13b	How pleased are you about where you live?																																															
Customer response (159)	VP/P 138 (87%) OK 17 (11%) NP 4 (2%)																																															
Interpretation	The responders were very pleased with their residence																																															
Q14a	What help do you need?																																															
Customer response	<table border="1"> <tbody> <tr> <td>Get up in the morning, get dressed and have breakfast (158)</td> <td>No help 60 (38%)</td> <td>Some help 52 (33%)</td> <td>A lot of help 46 (29%)</td> </tr> <tr> <td>Travel to work, day centre or voluntary placement (156)</td> <td>42 (27%)</td> <td>37 (24%)</td> <td>77 (49%)</td> </tr> <tr> <td>Do activities in the home (157)</td> <td>38 (24%)</td> <td>77 (49%)</td> <td>42 (27%)</td> </tr> <tr> <td>Do activities outside of the home (159)</td> <td>29 (18%)</td> <td>51 (32%)</td> <td>79 (50%)</td> </tr> <tr> <td>Manage money (158)</td> <td>11 (7%)</td> <td>34 (22%)</td> <td>113 (71%)</td> </tr> <tr> <td>Shopping (157)</td> <td>20 (13%)</td> <td>38 (24%)</td> <td>99 (63%)</td> </tr> <tr> <td>Cooking (154)</td> <td>13 (8%)</td> <td>34 (22%)</td> <td>107 (70%)</td> </tr> <tr> <td>Washing and Ironing (146)</td> <td>21 (14%)</td> <td>26 (18%)</td> <td>99 (68%)</td> </tr> <tr> <td>Personal Care (158)</td> <td>53 (34%)</td> <td>48 (30%)</td> <td>57 (36%)</td> </tr> <tr> <td>Having a relationship (133)</td> <td>40 (30%)</td> <td>31 (23%)</td> <td>62 (47%)</td> </tr> <tr> <td>Meeting friends (153)</td> <td>40 (26%)</td> <td>42 (27%)</td> <td>71 (47%)</td> </tr> </tbody> </table>				Get up in the morning, get dressed and have breakfast (158)	No help 60 (38%)	Some help 52 (33%)	A lot of help 46 (29%)	Travel to work, day centre or voluntary placement (156)	42 (27%)	37 (24%)	77 (49%)	Do activities in the home (157)	38 (24%)	77 (49%)	42 (27%)	Do activities outside of the home (159)	29 (18%)	51 (32%)	79 (50%)	Manage money (158)	11 (7%)	34 (22%)	113 (71%)	Shopping (157)	20 (13%)	38 (24%)	99 (63%)	Cooking (154)	13 (8%)	34 (22%)	107 (70%)	Washing and Ironing (146)	21 (14%)	26 (18%)	99 (68%)	Personal Care (158)	53 (34%)	48 (30%)	57 (36%)	Having a relationship (133)	40 (30%)	31 (23%)	62 (47%)	Meeting friends (153)	40 (26%)	42 (27%)	71 (47%)
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Interpretation	<ul style="list-style-type: none"> The responders were largely struggling with their confidence Highest level of confidence was expressed in their ability to dress and have breakfast but that too was only 1 in 3. They required most support in managing money and cooking (93% and 92%). 																																															

- 4 out of 5 required support with Ironing/cleaning, shopping and outside home activities
- 3 out of 4 required help with travel and household chores

Level of help needed – no/some/a lot



Services where help is needed



Q14b

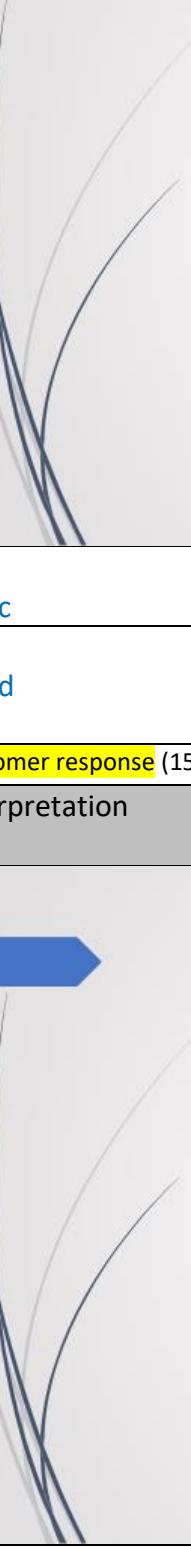
How pleased are you with the level of support you get?

Customer response (154) VP/P 125 (81%) OK 22 (14%) NP 7 (5%)

Carer response (65) VP/P 31 (48%) OK 24 (37%) NP 10 (15%)

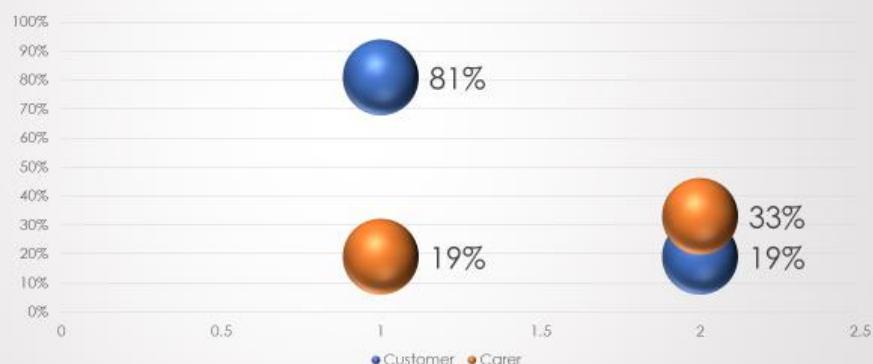
Interpretation

- 4 out of 5 customers were pleased with the level of support that they receive
- In case of carers it drops down to 1 in 2 only

	<h3>Satisfaction with support received</h3>   <p>Carer</p> <table border="1"> <tr> <td>Not Pleased</td> <td>15%</td> </tr> <tr> <td>OK</td> <td>37%</td> </tr> <tr> <td>Pleased</td> <td>48%</td> </tr> </table> <p>Customer</p> <table border="1"> <tr> <td>Not Pleased</td> <td>5%</td> </tr> <tr> <td>OK</td> <td>14%</td> </tr> <tr> <td>Pleased</td> <td>81%</td> </tr> </table> <p>0% 10% 20% 30% 40% 50% 60% 70% 80% 90%</p> <p>■ Not Pleased ■ OK ■ Pleased</p>	Not Pleased	15%	OK	37%	Pleased	48%	Not Pleased	5%	OK	14%	Pleased	81%
Not Pleased	15%												
OK	37%												
Pleased	48%												
Not Pleased	5%												
OK	14%												
Pleased	81%												
Q14c	Is there anything else you need support with – Please tell us what?												
Q14d	Do you know how to complain about a service if you are not happy?												
Customer response (150)	Yes 102 (68%) No 48 (32%)												
Interpretation	<ul style="list-style-type: none"> 2 out of 3 customers and carers were aware of the complaint procedure 												
	<h3>Knowledge of how to complain if unhappy</h3>   <p>No</p> <table border="1"> <tr> <td>Carer</td> <td>31%</td> </tr> <tr> <td>Customer</td> <td>69%</td> </tr> </table> <p>Yes</p> <table border="1"> <tr> <td>Carer</td> <td>48%</td> </tr> <tr> <td>Customer</td> <td>68%</td> </tr> </table> <p>0% 10% 20% 30% 40% 50% 60% 70% 80%</p> <p>■ Carer ■ Customer</p>	Carer	31%	Customer	69%	Carer	48%	Customer	68%				
Carer	31%												
Customer	69%												
Carer	48%												
Customer	68%												
Q14e	Do you know who to go to if you need support to complain?												

Customer response (148)	Yes 120 (81%) No 28 (19%)
Carer response (67)	Yes 45 (67%) No 22 (33%)
Interpretation	<ul style="list-style-type: none"> 80% customers and 67% carers were aware of where to go to lodge a complain

Awareness of where to go if support needed with complains (1 – yes; 2 – No)



Q14f Have you ever complained about a service?

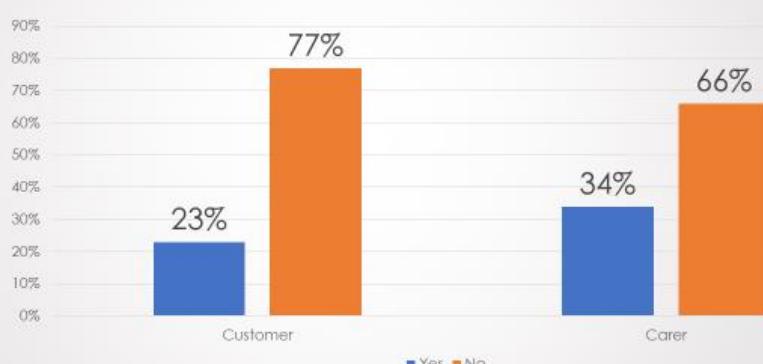
Customer response (149) Yes 35 (23%) No 114 (77%)

Carer response (71) Yes 24 (34%) No 47 (66%)

Interpretation

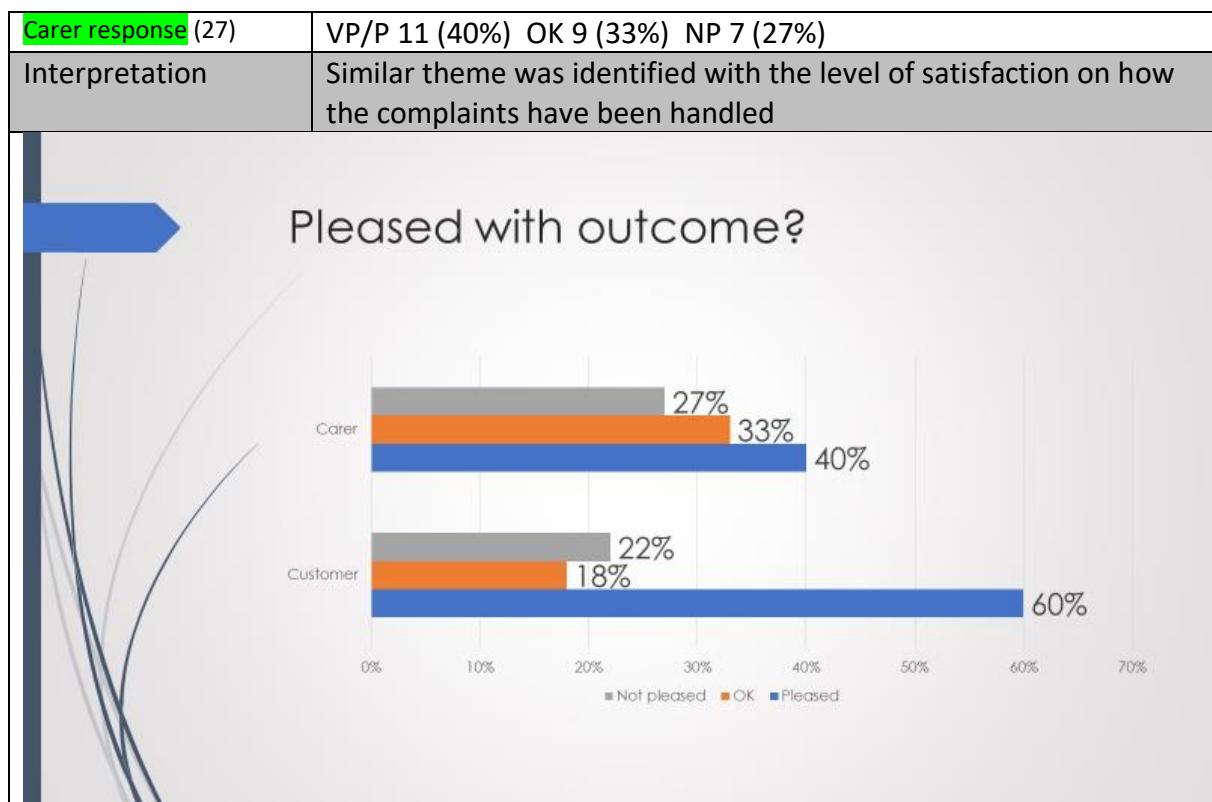
- Carers made more complaints than the customers which may indicate their increased level of confidence over the customers

Ever complained?



Q14g How pleased were you that your compliant was dealt with?

Customer response (45) VP/P 27 (60%) OK 8 (18%) NP 10 (22%)



References

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<https://www.gov.uk/government/publications/consultation-principles-guidance>

Nind M (2008) 'Conducting qualitative research with people with learning, communication and other disabilities: Methodological challenges' ESRC National Centre for Research Methods Review Paper

Appendix 1 - Questionnaire and Questions for each stakeholder group

	A person with a LD	A person with Autism	A Person with a LD/Autism	A young person 13-18	A Person with a LD/Autism & PD	A Person with a LD/Autism & Mental Health need	A carer of a person with a LD/Autism	A member of the public living in Rotherham	A member of the public who uses in house day services	A member of staff	Live outside Rotherham and a relative of PWLD/A
1. Please tell us about you											
1A Are you?	x	x	x	x	x	x	x	x	x	x	x
1B which postcode/area?	x	x	x	x	x	x	x	x	x	x	x
1C How old are you?	x	x	x	x	x	x	x	x	x	x	x
1D What is your gender?	x	x	x	x	x	x	x	x	x	x	x
1E What is your ethnicity?	x	x	x	x	x	x	x	x	x	x	x
1F What are your qualifications?	x	x	x	x	x	x	x	x	x	x	x
2. Communication											
2A Do you use words to communicate?	x	x	x	x	x	x	x				
2B Which other ways do you communicate?	x	x	x	x	x	x	x				
2C Do people understand how you communicate?	x	x	x	x	x	x	x				
2D Do you understand how others communicate?	x	x	x	x	x	x	x				
2E Do you need someone to help you communicate or speak on your behalf?	x	x	x	x	x	x	x				
How pleased are you with the help you get to communicate?	x	x	x	x	x	x	x				

2F Do you have a communication care plan that helps everyone understand how you communicate?	x	x	x	x	x	x	x				
3. Your views on the Consultation of Respite, Day Services and Residential Services in Rotherham											
3A Do you use respite care services in Rotherham?	x	x	x	x	x	x	x	x	x	x	x
3B What changes could we make to respite services to make them better?	x	x	x	x	x	x	x	x	x	x	x
3C Shall we keep respite services the same as they are?	x	x	x	x	x	x	x	x	x	x	x
3D Should we keep Treefields and Quarryhill separate?	x	x	x	x	x	x	x	x	x	x	x
3E Should we put either Treefields or Quarryhill into Parkhill Lodge?	x	x	x	x	x	x	x	x	x	x	x
3F Should we put both Treefields and Quarryhill into Parkhill Lodge?	x	x	x	x	x	x	x	x	x	x	x
3G Do you use Day Services in Rotherham?	x	x	x	x	x	x	x	x	x	x	x
3H What changes could we make to day services to make them better?	x	x	x	x	x	x	x	x	x	x	x
3I Should we keep Oaks and Addison the same as they are?	x	x	x	x	x	x	x	x	x	x	x
3J Should the council lower the amount of time people spend in day services ad offer people personal budgets?	x	x	x	x	x	x	x	x	x	x	x
3K Should the council look for other organisations in the community to take over and run Addison?	x	x	x	x	x	x	x	x	x	x	x
3L Should the council move Addison and only provide a service to people with high and complex needs?	x	x	x	x	x	x	x	x	x	x	x
3m Should we close Oaks and Addison Day Centre?	x	x	x	x	x	x	x	x	x	x	x

3N Could we improve Reach Day service by moving it to a new/different building?	x	x	x	x	x	x	x	x	x	x	x	x
3O should people who live in Residential Care or supported living be able to attend a Day Centre?	x	x	x	x	x	x	x	x	x	x	x	x
3P Is there anything else you would like to say on the Rotherham Council options for Respite or Day Services in Rotherham?	x	x	x	x	x	x	x	x	x	x	x	x
4. A week in the life												
4A Please tell us what you do each day of the week?	x	x	x	x	x	x						
4B What would you like to do with your time?	x	x	x	x	x	x						
5. How Pleased are you with in house services?												
6. School / College				x								
6A Please tell us what you do at school or college?				x								
6B Please tell us what you would like to do when you leave school / college?			x									
6C Is there anything that will stop you doing this?				x								
7. Volunteering												
7A Do you volunteer	x	x	x	x	x	x	x			x		
7B if you volunteer please tell us where	x	x	x	x	x	x	x			x		
7C How many hours do you volunteer?	x	x	x	x	x	x	x			x		
7D How long have you been volunteering?	x	x	x	x	x	x	x			x		
7E Where would you like to volunteer?	x	x	x	x	x	x	x			x		
7F What are barriers to volunteering?	x	x	x	x	x	x	x			x		
7G What would need to be in place to support you to volunteer	x	x	x	x	x	x	x			x		
7H What qualifications do you need to move from Volunteering to work?	x	x	x	x	x	x	x			x		

8. Work											
8a Are you in paid work?	x	x	x	x	x	x	x				
8B If please tell us where you work	x	x	x	x	x	x	x				
8C How many hours do you work and get paid a week?	x	x	x	x	x	x	x				
8D How long have you been in paid work?	x	x	x	x	x	x	x				
8E If you don't do paid work would you like to?	x	x	x	x	x	x	x				
8F Please tell us where you would like to work?	x	x	x	x	x	x	x				
8G What was/is good about your previous/current work experience?	x	x	x	x	x	x	x				
8H What were / are the problems with your previous/current work experience?	x	x	x	x	x	x	x				
9. Caring, Family and Friends											
9A do you look after an adult?	x	x	x	x	x	x	x				x
9B Which term best describes the adult you look after?	x	x	x	x	x	x	x				x
9c Do you look after a child in your home?	x	x	x	x	x	x	x				x
9D Does the child have a disability?	x	x	x	x	x	x	x				x
9E How pleased are you with the support you get in your caring role?	x	x	x	x	x	x	x				x
9F How can the council support you in your caring role?	x	x	x	x	x	x	x				x
9G How much do your family help you in your caring role?	x	x	x	x	x	x	x				x
10. Keeping safe											
10A Have you been bullied?	x	x	x	x	x	x	x				
10B Where did the bullying happen?	x	x	x	x	x	x	x				
10C Did you report the bullying?	x	x	x	x	x	x	x				
10D When did this happen to you?	x	x	x	x	x	x	x				
11. Transport											
11A Do you use transport to get to places?	x	x	x	x	x	x	x				x

11B If yes what sort of transport do you use?	x	x	x	x	x	x	x			x	
11C What stops you from using public transport?	x	x	x	x	x	x	x			x	
11D Do you need support to travel?	x	x	x	x	x	x	x			x	
11E Do you depend on family member to take you places?	x	x	x	x	x	x	x			x	
11F Have you ever used a travel buddy or had travel training?	x	x	x	x	x	x	x			x	
11G Do you need further travel training?	x	x	x	x	x	x	x			x	
12. Health											
12A How would you describe your health?	x	x	x	x	x	x	x				
12B when was the last time you saw your doctor?	x	x	x	x	x	x	x				
12C How pleased were you with your doctor?	x	x	x	x	x	x	x				
12D What stops you from visiting the doctor?	x	x	x	x	x	x	x				
12E Have you had an annual health check in the last year?	x	x	x	x	x	x	x				
13. Where you live	x	x	x	x	x	x	x				
13A Please tell us where you live?	x	x	x	x	x	x	x				
13B How pleased are you about where you live?	x	x	x	x	x	x	x				
14. Where you live and the support you get											
14a what help do you need	x	x	x	x	x	x	x				
14B How pleased are you with the level of support you get?	x	x	x	x	x	x	x				
14c Is there anything else you need support with - please tell us what	x	x	x	x	x	x	x				
14D Do you know how to complain about a service if you are not happy?	x	x	x	x	x	x	x				
14E Do you know who to go to if you need support to complain?	x	x	x	x	x	x	x				

14F Have you ever complained about a service?	x	x	x	x	x	x	x				
14G How pleased were you that your complaint was dealt with?	x	x	x	x	x	x	x				

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Rotherham Community Options Project Taster Programme



The project

The project is a partnership between social enterprise Community Catalysts and Rotherham Council. It aims to develop connections between adults with a learning disability and their local community. Part of the project is the Taster Programme that gives people who attend a Rotherham day centre, the opportunity to try or 'taste' great local community activities. Key to success is that people are supported to 'navigate' their way through the programme by someone who works at the day centre and knows them well.

Taster Session Information	Total
Taster sessions completed	21
Different options accessed	14
Participants	37 (many have done several)
Individual experiences	101
Taster sessions that have been cancelled having been arranged	10
Staff (navigators) involved	6

Taster Programme Update



The project

The project is a partnership between social enterprise Community Catalysts and Rotherham Council. It aims to develop connections between adults with a learning disability and their local community. Part of the project is the Taster Programme giving people who attend a Rotherham day centre the opportunity to try or 'taste' great local community activities. Key to success is that people are supported to 'navigate' their way through the programme by someone who knows them well.

The first taster sessions

The first sessions are now underway and what a great start it has been! Trailblazers were John and Leanne from Oaks day centre who went with Navigators Debbie and Richard to participate in the Open Minds Theatre Company - 'Life Act' drama group. Everyone travelled together on public transport to visit the drama group at their ROAR Art Space venue for the first time.

They were all welcomed by a group of 30 people and took part in a variety of creative activities and exercises.



Life Act has performed to high acclaim across Rotherham. Its members help run and devise all performances, which are mainly based on personal experiences and issues that affect them.

Feedback

Leanne and John said they really enjoyed trying something new and would like to try other new activities.

They were both very complimentary about the 'Life Act' group and the fact that everyone has a chance to get involved. John said that he liked the entire session and felt fine going somewhere new. He also said he was glad to have had the Navigators to support him as he probably wouldn't have gone on his own



The people coming along to the taster sessions have been a real pleasure to work with. Creating theatre and music with new people has been really fun for all of our members - especially as we all like meeting new actors and musicians. With more people coming to the classes now, we may have to start a new group to be able to meet demand!

Amy from Life Act

Navigators Debbie and Richard said they enjoyed the experience and the staff at 'Life Act' were really good, very welcoming and made an extra effort to welcome new people to the group. They felt that the session was very well pitched, friendly and everyone enjoyed it. Richard also described how he liked the challenge, using his skills and stretching himself as a worker through this experience.

Charlie's Story



Charlie has a passion for beauty therapy and has achieved several therapy qualifications. She offers many different treatments including manicures, pedicures and massage.

Charlie is working with Community Catalysts and Speak Up to turn her passion into her own business.



Charlie

'I looked for a salon job and nobody would take me on or give me a chance because of my disability, even though I am hard working. Therefore I thought I might as well set up my own business'.

Charlie is already offering treatments to friends, family and a local carers group. She has also recently held her first taster session in which she invited people from Oaks day centre to try her therapies. This was a resounding success as everyone really enjoyed the session and remarked on Charlie's excellent work.

- Charlie will soon be offering her therapies to more people and is working on developing her flyer and a price list.
- Charlie is getting more interest and customers all the time.
- Her success is because of her hard work and it is also a great example of what is possible when someone is supported to focus on what they are good at.

Alex's Story*

Alex has a lot of skills and interests and so they have been a regular of the Taster Programme, trying a range of activities. Alex participated in a musical group, sports sessions and a drama group. The diversity of these activities shows Alex's enthusiasm for new things and also the great variety of groups based across Rotherham. The tasters also represented an opportunity for Alex and their friends to meet new people.

Alex had a great time and was keen to offer us and the group leaders their positive feedback. Alex has agreed to share their experiences at an upcoming event.

Feedback

Musical group

Alex said they loved it and would like to go again.

Name (navigator) said it was a great group and ideal for Alex as they had a love of music.

Sports group

A talked about how much they enjoyed the session and the high quality of the tutor. The Navigator described how Alex got really involved in the activities.

Drama group

Alex again said how much they had enjoyed the activities.

The Navigator said Alex really loved it and got to catch up with old friends. A felt so comfortable they did an individual performance.

Billie and Charlie Story*



Billie and Charlie went to a gardening/horticultural group with navigators. Billie and Navigator used public transport to get to and from the group and Charlie 'made a day of it' by spending the morning before the session shopping with Navigator.

All 4 people enjoyed seeing the facilities and activities on offer. These included woodwork, gardening and a space for socialising. This is a good example of people getting support in ways that suit them and then using it to access an activity that interests them.

Feedback

The gardening group is open to everyone and the Navigators remarked on how much Billie and Charlie enjoyed meeting and speaking to the other locals accessing the group.

All 4 people commented on how much they enjoyed the group, how welcoming it was and that the groups coordinator Name was great. Both Billie and Charlie said that they would like to go again.

Both Navigators said it was clear how much Billie and Charlie enjoyed trying something new, in a new environment. Charlie's family member called to thank the centre for giving their family member the opportunity. Family member said:

*Fictional names have been used to ensure anonymity

Frankie and Gabriel's Story*



Frankie and Gabriel both have lots of skills and interests which meant they were keen to do a number of different 'taster' activities.

On one day they learnt to drive a barge in the morning, had lunch and then went on to try basketball in the evening! This is a great example of 2 friends sharing support and also shows how different activities can be combined to create a full and fun day that leads to great outcomes.

Frankie and Gabriel also had a try at a musical group, sports group and drama group . Showing that Rotherham has a lot to offer, whatever your interests.

Feedback

Frankie said that they loved the activities and would like to do many of them again. They also talked about how much they enjoyed seeing old friends at one of the groups.

Navigator described how well Frankie took to everything, fitted in with each group and increased their confidence, even performing a solo song. Gabriel also described how they had really enjoyed the activities and would like to go again. The navigator commented that they really got stuck in to each activity.

*Fictional names have been used to ensure anonymity

Transitions Case Study*

Person Profile

Morgan is 18 years old and has a global developmental delay.

They were a Looked After Child and in a long term foster placement which has been converted to shared lives placement in Rotherham within a family setting.

By being part of a Shared Lives offer this enables Morgan to be involved in normal family life: for example, shopping at the local supermarket, being part of family routine and focussing on what they enjoy and developing life skills which will enable future independent living.

About Shared Lives

Shared Lives allows adults to live or spend time with carers and their families - as valued members of their own communities.

Older people and adults with disabilities receive tailored support. This helps them to live as independently and safely as possible.

Shared Lives offers:

Long term accommodation and support in the carer's home

Short break respite care in the carer's home

Day time support and social activities using the carer's home as a base

Person centred planning approach

Morgan has expressed a wish to explore the possibility of returning to their birth family and their shared lives carers are supporting them and their birth family to consider this option.

Morgan's birth father also cares for their birth mother who also has additional support needs. Due to this longer term planning is being undertaken to explore other accommodation options for Morgan which will meet their wishes and support independent living. One of the options that are being looked at is Supported Living. This would enable Morgan to live independently in the community with the required support and enable Morgan to have their own front door and circles of friends and support.

Both shared lives family and birth family are supporting Morgan with their aspiration and both families plan to take a role in their future.

Morgan is in full time education until July 2018 and is hoping to continue education and go to college in September.

*Fictional names have been used to ensure anonymity

Transitions Case Study*

Person Profile

Kennedy is 19 years old and has a learning disability.

Kennedy was a Looked After Child and was with long term foster parents in Hull. Kennedy considered remaining in Hull and the placement being converted to Shared Lives.



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Shared Lives offers:

Long term accommodation and support in the carer's home

Short break respite care in the carer's home

Day time support and social activities using the carer's home as a base

Person centred planning approach

Through conversations and looking at what Kennedy's aspirations and wishes were, it was decided that Kennedy would like to return back to Rotherham to live back with their birth Father and partner.

The transition from Hull to Rotherham has been successful and Kennedy also has regular contact with their birth mother and siblings.

Conversations around Kennedy's ambitions were also explored as part of the move back to Rotherham and whilst Kennedy made the choice not to continue in education they wished to look at work options.

Kennedy has had several work experience placements since returning to Rotherham and is now considering an apprenticeship wish is a positive outcome.

Transitions Case Study

Person Profile

Rowan is 22 years old and has severe autism and cerebral palsy.

Rowan experiences extreme anxiety and can have behaviours that challenge. Rowan uses a wheelchair for mobility and has assistance with transfers.

Rowan also has assistance with all personal care tasks.

Person centred planning approach

Rowan was in out of authority residential educational placement during term time and with parents in Rotherham during school holidays.

Rowan had a direct payment which they used to employ a personal assistant for support during school holidays.

This enabled Rowan to undertake “ordinary life” activities and tasks like going out to socialise with people, going to the shops and generally doing things that Rowan enjoys.

Rowan has now been supported to move back to Rotherham where their family live and they have become confident to now live independently in their own property with 24 hour support via a direct payment. The Direct Payment is used for a variety of support tasks and activities throughout the day to ensure Rowan's needs are met – these include things like accompanying Rowan to attend educational activities and volunteering opportunities. Attendance to community activities in their local area and support in the home for personal care and life skills as far as possible ie: preparation of meals and meal choices.

Rowan has also been awarded fully funded Continuing Health Care.

Case Study examples

Customers who have moved on from Traditional Services

Person Profile

Dylan has Down syndrome and a Learning Disability they attended Oaks Day Centre in Wath for over 10 years , 5 days per week.

Person centred planning approach

Throughout the work that has been undertaken as part of the modernisation work for Learning Disability Services customers have had the opportunity to engage in different activities in the community.

Dylan accessed “Social Eyes” a new community based Day Opportunity. Social Eyes are established for supporting people with Learning Disabilities and Autism and engage in existing community events and activities. The team support people to get involved in everyday activities within the local community and focus on what they can do for themselves with an emphasis on a meaningful outcome for the person.

Quotes from the customers who have transitioned to a new alternative community provision

“I LIKE MY NEW ACTIVITIES, COOKING AND SINGING IN THE BAND. I LIKE MY NEW STAFF”

“I AM SO GLAD I MOVED TO SOCIAL EYES, WE GET TO USE DIFFERENT BUILDINGS, MEET NEW FRIENDS AND TRY NEW ACTIVITIES”

“I HAVE BEEN GIVEN LOTS OF NEW OPPORTUNITIES; I AM TRYING MANY NEW THINGS, MEETING NEW PEOPLE AND BEING SUPPORTED BY NEW STAFF. I AM SO GLAD I CAME HERE”.

*Fictional names have been used to ensure anonymity

Case Study examples*



Harry & Sally have been living in a shared house, with two other tenants. This arrangement had been in place for some time. In the shared house, they had their own living room space.

In this house, there was always a member of staff there. The member of staff would support Harry & Sally with the cooking, cleaning and shopping. Harry & Sally didn't carry out these tasks on their own. Harry & Sally both worked in a charity shop in the local area. Sally attends a day service.

At the end of summer 2017, they got married. The plan was always that, once they were married, they would find their own property.

Social workers helped them to identify a flat in a supported living service for them to move to. They moved in to their own flat in February 2018, there is a support provider on site to help them. They can ask for help when they need it.

This new flat means that they can have their own front door, and privacy but also support at times when they need it. Harry & Sally bought all the furniture for their new flat, even putting up flat pack furniture themselves. Harry & Sally are now doing all of their own cooking, cleaning, meal planning and food shopping. With some help from the provider, they have both learnt the bus routes that they need to use to access all their activities.

Harry is being supported to find activities in the area that they have moved to. Harry has been cooking Sunday lunch, and even making his own Yorkshire puddings. There is a pet shop in the area, and Sally would like to work there.

Case Study examples*



Case study 1

Sam wants to live a full life and make their own choices. Their family wanted to support them with this but didn't want them to attend a traditional day service. They worked with RMBC to get a Direct Payment to support them to achieve their dreams and live a person centred life. Sam has moderate learning disabilities and has a direct payment for a number of hours a week. Sam's direct payment works really well, it is centred around the things they like and love such as Barnsley Football Club. Sam has three Direct Payment workers who support them on a weekly basis, two male and one female. Sam likes having male support as they can have some "banter".

Sam's dream was to play for Barnsley Football Club, and they now use their direct payments to support themselves to attend Barnsley Away Matches and to play for Barnsley Disability Football Team. Sam's Direct Payment workers encourage Sam to try new things, go on holiday and gain independence. Over the last three years Sam's skills have increased – through travel training and peer support from other people with learning disabilities, Sam is now able to travel independently on some bus routes before this, they had to rely on other people to take them places.

Through peer support Sam now has lots of friends and a great social life. Sam says

"I like my direct payment I get to do more things and be independent, I am also doing things I love without my mum and dad".

Case Study examples*



Case study 2

Jamie used to live in supported living, Jamie wanted a Direct Payment as it was more flexible and would give him more choices in their life. Jamie has Autism.

Jamie worked with a social worker to get a Direct Payment and now gets 10 hours of support a week. Jamie uses their direct payment for whatever they need, this can be support to shop, tidy up, socialise and go on holiday. For example, Jamie loves bowling and going to the pictures. Jamie moved from supported living and into Keyring and having a Direct payment helps them keep their independence.

Jamie says

“I get on really well with my DP worker, If I didn’t have his support I wouldn’t be able to do all of the things I can do now, I would end up board and this would affect my health”.

Working together for change

The success of the first taster sessions has only been possible due to the concerted efforts of everyone involved. Taster trailblazers like John and Leanne, and positive, skilled Navigators like Debbie and Richard have made valuable contributions to the tasters so far and have played a key role in planning future sessions.

Day centre managers have shown real positivity and a determination to make sure people get an opportunity to try something new. Senior council managers have supported the project by helping to overcome the kind of early challenges that often come with a ground breaking programme like this. Local community groups and organisations like the Life Act drama group have also been very supportive with a willingness to help the project in any way they can combined with real tolerance as we worked through early delays and changes.

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Summary Sheet**Name of Committee and Date of Committee Meeting**

Cabinet and Commissioners Decision Making Meeting – 21 May 2018

Report Title:

Proposals for the future of Rotherham Intermediate Care Centre (RICC) Badsley Moor Lane

Is this a Key Decision and has it been included on the Forward Plan?

Yes

Strategic Director Approving Submission of the Report

Anne Marie Lubanski, Strategic Director of Adult Care, Housing and Public Health

Report Author(s)

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Claire Smith, Head of Service – Commissioning
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Ward(s) Affected

Rotherham East Ward (Badsley Moor Lane)
All (community based services)

Summary

The Rotherham Plan, Integrated Health and Social Care Plan and Better Care Fund (BCF) Plan 2017-19 illustrates the importance of prevention, early intervention, rehabilitation and reablement to maximise independence, increase quality of life, support people to live in the community for longer and reduce reliance on support from the health and social care economy. The purpose of intermediate care services is to facilitate hospital discharges, prevent admissions and re-admissions to secondary care, and reduce the need for home care packages and admissions to 24 hour residential care.

The RICC is located on Badsley Moor Lane in the centre of Rotherham and delivered in partnership by Rotherham Council and The Rotherham Foundation Trust and contributes to the aims, objectives and outcomes set out in the intermediate care service specification and BCF Plan 2017/19.

The centre is jointly commissioned by Rotherham Clinical Commissioning Group (CCG) and Rotherham Metropolitan Borough Council through a Section 75 Agreement under the Better BCF to provide rehabilitation and community integration facilities within a day setting for residents of Rotherham or who are registered with a Rotherham GP practice. As such, the report has been through the CCG's governance (Operational Executive 13 April 2018 and Strategic Commissioning

Executive 18 April 2018) and the BCF governance (BCF Operational Group 4 April 2018 and BCF Executive Group 12 April 2018).

The centre also accommodates therapists, specialist mental health workers and support workers who are providing services across Rotherham to promote and maximise independence following a person's recent episode in hospital, change in functional abilities or a worsening of their long-term condition.

The national context in relation to Adult Social Care and Health is reflected in:-

- Care Act 2014
- 5 Year Forward View, October 2014
- Next Steps 5 Year Forward View March 2017
- 6 Steps to Managing Adult Social Care, John Bolton, March 2017

The legislation affirms the commitment to personalisation and shaping responses to individual circumstances, enabling people to exercise choice and maintain control over their own lives, whilst promoting efficiency and value for money in the use of shrinking resources. The challenge at both national and local level is to develop robust, sustainable opportunities and support which promotes prevention and early intervention.

Recommendation:

That option 2 of the report be approved, which is to move the provision of rehabilitation out of the building base (RICC at Badsley Moor Lane) and re-provide within the community.

List of Appendices Included:

Appendix A Equality Impact Assessment

Background Papers:

Vision and Strategy for Adult Social Care – March 2016 and January 2018

Care Act 2014/15

Think Local, Act Personal 2010

Rotherham Housing Strategy 2016 – 2019

Rotherham Integrated Health and Social Care Place Plan, November 2016

Health and Wellbeing Strategy 2015-18

Consideration by any other Council Committee, Scrutiny or Advisory Panel:

Overview and Scrutiny Management Board – 21 May 2018

Council Approval Required:

No

Exempt from the Press and Public:

No

**Proposals for the future of Rotherham Intermediate Care Centre (RICC)
Badsley Moor Lane**

1. Recommendations

- 1.1 That option 2 of the report be approved, which is to move the provision of rehabilitation out of the building base (RICC at Badsley Moor Lane) and re-provide within the community.

2. Background

- 2.1 **RICC Day Rehabilitation Service (Phase 1 and Phase 2)** The service provides rehabilitation sessions to adults 60 years and over in a day setting. There are two elements within the day rehabilitation service. The first comprises of the physical rehabilitation service in order to improve safety, function and independence and the second includes the community integration service in order to maintain the physical health and well-being achieved through on going exercise and access to community services. Both services (Phase 1 and Phase 2) are delivered at the RICC.

- 2.2 **Physical Rehabilitation Service (Phase 1)** The physical rehabilitation service provides holistic physiotherapy and occupational therapy assessment leading to a treatment/rehabilitation plan being developed.

The emphasis of this phase is to increase and optimise customer's physical function and ability to live safely at home. This is a 6 week exercise programme that addresses the physical needs of the customer.

The service can only be accessed on 2 days per week, either on a Monday and Wednesday or a Tuesday and Thursday.

- 2.3 **Community Integration Service (Phase 2)** The Community Integration Service concentrates on the person's health and well-being and assists them to consider options available, through existing community opportunities, once their treatment/rehabilitation plan at the physical rehabilitation phase has been fully completed.

If the customer has been referred from the physical rehabilitation phase (Phase 1), then the aim is to maintain the physical well-being achieved through on-going exercises and to enhance this with purposeful activity and access to community services to prevent social isolation and promote good mental health.

Purposeful activity is dictated by the customer's own interests and abilities. A mixture of groups currently run at RICC to assist customers to maintain or improve physical or mental function, while enjoying the activity and achieving an end product or outcome of their choice.

Customers are assisted to access community groups according to their needs and personal interests. For some customers, this will include participation in the Lifestyle Matters programme which covers many topics affecting everyday life, such as keeping physically active, social relationships and memory. This allows customers to set their own goals and outcomes within the area discussed and look at breaking down any barriers to achieving these goals.

- 2.4 The Care Act 2014 requires people to be assessed as individuals and for their needs to be determined in terms of their personal 'wellbeing'. The Act focuses on looking at people's strengths, what they can do and what outcomes they want to achieve, which is described as strength based approach. It anticipates that most individuals can lead full lives focussing on prevention and timely advice and information. This will require a significant practice and cultural shift locally to which the Council has to respond.
- 2.5 Historically adult social care in Rotherham has been based upon a traditional "assess for service" model which has resulted in a higher proportion of adults in receipt of services when compared to regional neighbours. Care and support has been provided by services rather than prevention and promotion of an individual's strengths.
- 2.6 In many Local Authorities, they have moved away from providing any in house building based offers and offered a tailored individualised service to people in the community, predominantly in their own home. A personalised approach will look at the individual's outcomes as outlined in the Care Act 2014 and support a recovery in the person's home environment.

2.7 Opening Hours -

The service operates Monday to Thursday between the hours of 10.00 am and 4.00 pm. Customers arrive at the centre from around 9.30 0am (depending on availability of community transport) and leave at around 3.00 pm.

2.8 Accommodation -

The RICC building accommodates both Phase 1 and Phase 2 services; the service also acts as a central hub to provide office accommodation for all intermediate care therapists (beds, community and day rehabilitation facilities). However, use of RICC by the intermediate care therapists has declined over the past 12 months due to improved IT access within Lord Hardy and Davies Court.

The service operates from a large health building of which the Council pay rent to the NHS. There are a number of issues with the security of the building overnight and weekends and there is underutilised space that remains either unoccupied or rarely used within the centre. The centre is also based in the centre of Rotherham and excluded from the community.

2.9 External Provider Usage -

The Stroke Association (voluntary sector provider providing a service commissioned through CCG contract) occupies some office space at RICC and pays the Council rent.

The TRFT Falls Team uses the Phase 2 large rehabilitation room for customers/patients on a Friday morning (as it is not in use for Phase 2 on a Friday) at no additional cost.

The large room within Phase 2 is also rented out to an Otago self-help exercise group on a Friday afternoon for up to a maximum of 30 customers/patients (mainly for people 60 years and over, although a person of 18 years of age also attends who has autism). This generates an income of £10 per hour (1 hour per week) for room hire which amounts to £470 in 2016/17 (hired out approximately 47 weeks of the year). Otago sessions by this provider are also delivered at Maltby, Wath and Swinton.

If the decision is made to proceed with option 2 to vacate the building then notice will have to be given to the Stroke Association to end their occupation. Otago will also need to be notified that this accommodation will no longer be available.

2.10 Transport -

Transport is provided via the Council's in-house adults transport consisting of the use of around six vehicles at any one time to transport customers from their home address to the Centre (including return journeys) for those living in the Rotherham area or those registered by a Rotherham GP.

The practicalities of this operation are not sustainable or cost effective. This also creates dependency for customers who may be able to self-travel or access services more locally.

Customers currently contribute towards their travel costs (in accordance with the Council's charging policy).

2.11 Meals Provision -

A two course meal is offered and provided to all Phase 1 and Phase 2 customers on Mondays to Thursdays every week. Customers contribute £4.84 per meal (in accordance with the Council's charging policy).

3. Key Issues

- 3.1 The proposal to move away from a building base provision of rehabilitation is in line with the Integrated Care Partnership's vision through the Rotherham Place Plan. The importance of prevention, early intervention, rehabilitation and reablement to maximise independence, increase quality of life, support people to live in the community for longer and reduce reliance on support from the health and social care economy is paramount. The shift to community rehabilitation supports the ability to ensure that individualised care planning takes place to maintain people's independence for longer at home.
- 3.2 At present there are a number of inter-related issues which result in the delivery of a service from a building base which is not easily accessible for some customers and is limited in the number of days per week it operates. This then results in the use of transport (adult care and community transport) of which routes have to be re-configured every six weeks due to a change of customer base.

- 3.3 The building which is occupied at Badsley Moor Lane is one of several buildings on a health site, owned by NHS Prop Co. The site is underutilised and costly with several buildings having to be secured and attracting some anti-social behaviour.
- 3.4 The existing model is delivered within a building based setting and could be maximised through a delivery of an integrated community based offer which would be provided from customers' homes, through the current reablement provision. The current model is a traditional model, which is not replicated elsewhere (based on benchmarking data) and does not provide value for money due to the high cost per customer.

There are new models emerging to support social inclusion, community cohesion and wellbeing principles including self-management, which provide a more innovative approach to Phase 2 of RICC. This includes services such as social prescribing and community connectors employed by the Council.

- 3.5 The current model does not fit with the Rotherham Place (Integrated Care Partnership) vision for a more streamlined pathway of provision to prevent, reduce and delay care and support needs through an increased focus on an integrated intermediate care/ reablement pathway home.
- 3.6 The service is partly funded through the BCF under a Section 75 Agreement with the CCG. Any reconfiguration of the service would require agreement through the appropriate governance arrangements for the BCF. Savings need to be agreed with the CCG in terms of proportionality across the funding partners (CCG and the Council).
- 3.7 The service is provided by both adult social care and health (TRFT) staff; consultation would therefore be required with TRFT as changes may impact on their staff as well as the Council's staff.
- 3.8 The review of RICC needs to coincide with the wider review of intermediate care/reablement in particular community bed base provision.

3.9 Performance 2016-17 & 2017-18

- 3.9.1 The data below is provided by the Council and TRFT staff, based at RICC, on a monthly basis to the joint commissioning team (Council and CCG). The total number of new customers receiving rehabilitation and community integration services from Phase 1 and Phase 2 during 2016/17 was 228.
- 3.9.2 147 people attended rehabilitation sessions at Phase 1 in 2016/17 and the average length of stay was 11.1 days (2 weekly sessions x 6 weeks).
- 3.9.3 81 people were in receipt of Phase 2 services in 2016/17 and the average length of stay was 18.6 days in 2016/17.

Performance Data 2017/18

Year 2017/18	RICC Phase 1	RICC Phase 2
April 2017	7	10
May 2017	23	6
June 2017	13	5
July 2017	14	4
August 2017	13	9
September 2017	28	2
October 2017	11	6
November 2017	13	11
December 2017	15	3
January 2018	15	6
February 2018	25	2
March 2018	15	6
Cumulative Total	192	70

3.9.4 The table above shows that a total of 262 new customers received rehabilitation and community integration services from Phase 1 and Phase 2 in 2017/18.

3.9.5 192 people attended twice a week for rehabilitation sessions at Phase 1 in 2017/18 and the average length of stay is 9.6 days.

3.9.6 70 people were in receipt of Phase 2 services and the average length of stay is 20.9 days in 2017/18.

3.10 **Property Maintenance**

3.10.1 The Adult Care & Housing Directorate has liaised with colleagues from Asset Management to establish its terms of occupation and the potential cost of ending its occupation of the RICC. There is a service charge provision within the lease to pay a fair and reasonable proportion for maintenance of the communal area. The Council are occupying the premises under an expired lease (NHS granted lease to the Council from 1.4.11 to 31.3.16). As the lease has expired, this is now on a periodic tenancy which normally requires 3 months' notice served on the landlord to terminate the tenancy.

3.10.2 The building is owned by NHS Prop Co.

4. **Recommended Proposals**

4.1 Option 1: The service would remain 'as is', the Council and CCG would continue to commission a traditional day service model of provision to a low number of people per annum (an average of 300 new customers per year), at a high cost to the Rotherham health and social care economy, that does not align with the principles of 'Home First' set out in our Rotherham Place Plan priorities.

- 4.1.1 This option is not viable and therefore is not recommended. The option does not tackle the need to change and transform Council business, in line with the requirements of the Care Act 2014.
- 4.2 Option 2: Decommission RICC as a building based rehabilitation service and re provide within the community. The support staff, therapists and admin would be redeployed into the in house reablement service with a focus on recovery at home. Reablement provision supports customers to live life as independently as possible, through an outcome-focused, personalised approach, whereby the person using the service sets their own goals and is supported by a reablement team to achieve them over a limited period. It focuses on what people can do, rather than what they can't, and aims to reduce or minimise the need for on-going support after reablement. This is in line with the current competencies of the RICC staff team.
 - 4.2.1 The current reablement model is being reconfigured with a pilot underway to integrate health and social care provision by including occupational therapy resource. This is having a positive impact on staff skill mix (sharing of knowledge and skill throughout the team) and the ability to assess the reablement needs of more complex customers appropriately. Feedback from the service is that physiotherapy input would also be valuable in the model.
 - 4.2.2 This would leave a small number of (4) staff members that provide maintenance and catering provision at risk. See HR section.

Option 2 Potential staffing models

- 4.2.3 Health employed therapy (Occupational and Physio Therapy) staff, would support the delivery of reablement programmes in customers own homes in order to promote independence and reduce care packages/admission to care homes. This would also help to support clients coming out of bed based provision including Intermediate Care.
- 4.2.4 If the new service is provided purely with the existing qualified therapy provision (Phase One and Two combined) this would limit the likely number of contacts to approximately 12 new customers per week (this is based on appropriate calculations provided by clinical resource at TRFT), and is predicted to meet the current customer base per annum at RICC.
- 4.2.5 By also utilising the current RMBC support staff working alongside the qualified therapists a more balanced skill mix would be achieved, making more efficient use of therapy skills, and delivering a more productive service. The combined service would increase the number of potential contacts.
- 4.2.6 In summary, this would enable a similar level of service that is currently offered but in a more person centred method, closer to the person's home, and making more use of locally available resources.

4.3 Services accessing the Building Base

Falls Group Rehabilitation

4.3.1 One group session per week is delivered at RICC on Friday's by the Falls and Bone Health Team. The falls group rehabilitation session can be re-located to an alternative venue on the Badsley Moor Lane site with no identified impact to the service. The day/time may be subject to review depending on room availability.

Base for TRFT teams/staff

4.3.2 The following TRFT staff currently use RICC as their base:

- Therapy Clinical Lead Localities -Intermediate Care
- Intermediate Care Admin Support Officer
- Central Therapy Locality team members

4.3.3 Alternative accommodation for the above staff will be identified in partnership with the TRFT Estates Lead. The intermediate care therapy teams have recently relocated from using RICC as a base to the respective units (Lord Hardy Court and Davies Court), significantly reducing the number of staff accessing the building.

5. Timetable and Accountability for Implementing this Decision

5.1 The next stages to take the recommendations forward once approved will be to conduct a period of formal consultation with the relevant staff and stakeholders to establish the implementation of the new model and how it will operate. The consultation would take place between June to July 2018 and would involve officers from HR and Union representation where necessary.

6. Financial and Procurement Implications

6.1 The total cost of the service as currently provided, including transport, is £553,655. CCG funding of £240,844 is provided through the Better Care Fund and £47,869 is funded from the intermediate care therapy pooled budget, leaving a net annual cost of £264,942 met by the Council.

6.2 If it was agreed to decommission the service, this is the maximum annual saving which would accrue to the Council. However, further analysis would need to be done around the operational details of the service being reconfigured to move from a building based service to one provided within the community, in order to assess the exact financial savings.

6.3 In particular this includes savings from transport which are closely linked to the review of Learning Disabilities and thus the timescales for delivery of these savings will be determined by how quickly the 2 projects progress.

6.4 In addition decommissioning the service could have the following one-off potential financial implications:

- Severance costs for displaced staff which could cost up to £93k (based on an average severance cost)
- Potential dilapidation costs estimated in the region of £20k

7. Legal Implications

7.1 The purpose of the Care Act is to improve people's independence and wellbeing. The legislation sets out specific duties of local authorities to provide or arrange services that help prevent people developing needs for care and support or delay people deteriorating such that they would need ongoing care and support.

7.2 Local authorities are required to consider the following:

- what services, facilities and resources are already available in the area (for example local voluntary and community groups), and how these might help local people
- identifying people in the local area who might have care and support needs that are not being met
- identifying carers in the area who might have support needs that are not being met

In discharging this duty, local authorities are required to work with their communities and provide or arrange services that help to keep people well and independent. This should include identifying the local support and resources already available and helping people to access them.

7.3 In addition to the legal requirements for robust consultation, the Council has to ensure it complies with its duties under the Equality Act 2010. Under Section 1 of that Act the Council must, when making decisions of a strategic nature about how to exercise its functions, have due regard to the desirability of exercising them in a way that is designed to reduce the inequalities of outcome which result from socio-economic disadvantage. In addition under Section 149 of the Equality Act, the Council must comply with the public sector equality duty which requires it to have due regard to the need to:

- Eliminate discrimination, harassment, victimisation and any other conduct that is prohibited by or under the Act.
- Advance equality of opportunity between persons who share a relevant protected characteristic and persons who do not share it.
- Foster good relations between persons who share a relevant protected characteristic and persons who do not share it.

In dealing with this duty, the Council must have due regard in particular, to the need to:

- Remove or minimise disadvantages suffered by persons who share a relevant characteristic that are connected to that characteristic.
- Take steps to meet the needs of people who share a relevant protected characteristic that are different to the needs of persons who do not share it.
- Encourage persons who share a relevant characteristic to participate in public life or any other activities where their participation is disproportionately low.

Protected characteristics include disability, age, race, sex, religion or belief, gender reassignment, marriage and civil partnership, pregnancy/maternity and sexual orientation.

- 7.4 It is proposed that full assessments of customer and carers will be undertaken to ensure all care and support packages are appropriate.

8. Human Resources Implications

- 8.1 Each proposal will need more detailed work to assess the specific impact on staff and appropriate consultation with staff and trade unions will need to be undertaken.
- 8.2 There is a total of 20 staff members attached to the Phase 1 and Phase 2 RICC service that would be affected by the change in the model of provision from a building base to the community.

The Council currently employs a total of 17 staff members at RICC for Phase 1 and Phase 2:

The Rotherham Foundation Trust currently employs 3 members of staff at RICC.

Transport section – a number of drivers are employed to transfer customers/patients to and from the RICC centre on 4 days a week.

- 8.3 The consultation would include specific consultation with staff for a period of 30 days, to understand the implications of the options detailed in this report.

9. Implications for Children and Young People and Vulnerable Adults

- 9.1 The service is for older people and would not affect the provision of any Children and Young People services.

10. Equalities and Human Rights Implications

- 10.1 An Equality Analysis specific to this piece of work will be completed in conjunction with the consultation to determine the appropriate course of action.

11. Implications for Partners and Other Directorates

- 11.1 It is a requirement as part of the Section 75 agreement for the BCF to ensure that all parties (CCG/RMBC) are fully appraised on any decision regarding BCF provision. Formal agreement from the CCG is being sought in conjunction with agreement through the Council.
- 11.2 Key partners and stakeholders have been engaged in some early discussions and this will continue through the formal consultation stage.
- 11.3 There is a need for a clear engagement and communication/media plan. There will need to be a working group that would drive this project and include dedicated officers from a variety of teams including the communications team.

12. Risks and Mitigation

- 12.1 Risk of not agreeing to the recommendations will mean that the aspirations and outcomes for customers will not be achieved and the budget savings will not be met, and alternative options will need to be identified in order to achieve a balanced budget.
- 12.2 There is an increased risk of formal complaints, which will be mitigated through appropriate consultation with staff and service users.
- 12.3 There is a risk of disruption to other service which utilise the building which will be mitigated through early engagement in the process of decommissioning and support to seek alternative arrangements where appropriate.

13. Accountable Officer(s)

Anne Marie Lubanski, Strategic Director of Adult Care and Housing

Nathan Atkinson, Assistant Director Strategic Commissioning

Janine Moorcroft, Head of Service, Adult Care Services (Provider)

Claire Smith, Head of Adult Commissioning (CCG/RMBC)

Approvals obtained on behalf of

	Named Officer	Date
Strategic Director of Finance & Customer Services	Julie Copley	13.03.2018
Assistant Director of Legal Services	Neil Concannon	13.03.2018
Head of Procurement (if appropriate)	Neil Murphy	21.02.2018
Head of Human Resources (if appropriate)	Kay Wileman	13.03.2018

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This report is published on the Council's website or can be found at:-

<http://moderngov.rotherham.gov.uk/ieDocHome.aspx?Categories=>

RMBC - Equality Analysis Form for Commissioning, Decommissioning, Decision-making, Projects, Policies, Services, Strategies or Functions (CDDPPSSF)

Under the Equality Act 2010 Protected characteristics are age, disability, gender, gender identity, race, religion or belief, sexuality, civil partnerships and marriage, pregnancy and maternity.	
Name of policy, service or function. If a policy, list any associated policies	Recommendations on the Rotherham Intermediate Care Centre (RICC), Badsley Moor Lane
Name of Service and Directorate	Adult Care, Housing and Public Health
Lead Manager	Richard Smith – Assistant Director – Adult Care Janine Moorcroft – Head of Service – Provider Services
Date of Equality Analysis (EA)	March 2018
Names of those involved in the EA (Should include at least two other people)	Richard Smith – Assistant Director, Adult Care Nathan Atkinson – Assistant Director, Strategic Commissioning Janine Moorcroft – Head of Service, Provider and Change Claire Smith – Head of Adults Commissioning (CCG/RMBC) Karen Smith - Strategic Commissioning Manager (RMBC/CCG) Zaidah Ahmed – Equality Officer Scott Clayton – Performance Assurance Manager Odette Stringwell – Human Resources Partner Zafar Salem – Community Engagement Manager Hayley Richardson Roberts - Adult Care and Housing Communications Account Manager Mark Scarrott – Finance Manager

Aim/Scope

The aim of this Equality Analysis is to ensure that current and future customers, key stakeholders and residents of Rotherham have been considered when developing the future of rehabilitation and reablement services for frail older people in the community. The purpose is to ensure that everyone's protected characteristics are considered.

The report sets out the direction of travel for older people who require early intervention and preventative type services through delivery of community based rehabilitation and reablement services to restore independence, prevent frailty and further deterioration in long-term conditions. This would also improve quality of life and delay and reduce the need for formal care and support.

It is intended to bring service provision in line with best practice and enable people to, not only be part of their local communities, but to give them more choice and control on where they receive

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services in their local community.

In Rotherham, the population of Rotherham is at its highest level in terms of the general population of 263,100 and 52,000 older people (20%) aged 65 years and over, with 6,200 people (12%) aged 85 years and over. By the year 2021, the number of older people is predicted to increase to 54,400 and the 85 years and over age group will increase to 6,800. 11,871 people aged 65 years and over lives alone, which is around 36% of people in this age group (POPPI, 2018)

An estimated 20,800 people over 65 (40%) need some help with domestic tasks and 17,160 (33%) need help with self-care. 18% of people over 65 years need assistance with some aspect of mobility such as walking or climbing stairs.

The health and well-being needs of the ageing population continues to increase as older people are likely to experience disability and limiting long-term illnesses and lower quality of life. Falls in older people are of a particular concern because of the risk of hip fracture and subsequent morbidity and mortality. Our reablement pathway, including intermediate care (rehabilitation/reablement), is crucial in improving patient outcomes, providing early intervention to restore independence and prevent frailty.

Therefore, it is predicted there will be a substantial increase in the number of adults with additional health and social care needs over the next five years. This prediction is made on a backcloth of substantial reductions in social care investment; increases to the NHS budget are unlikely to keep pace with the rising demand for services. If the demographic challenge is to be met it will require a joint approach to commissioning services, ensuring through early prevention and intervention at the front door to reduce interventions further up the care pathway.

The existing model is delivered within a building based setting at RICC, which is not easily accessible for some customers which results in the use of transport (adult care and community transport). The building is under-utilised by services which increasing the requirement for it to be secure and attracts anti-social behaviour.

The current service model could be reconfigured through delivery of an integrated community based offer which would be provided from customers' homes, through the current reablement provision. The current model is a traditional model, which is not replicated elsewhere (based on benchmarking data) and does not provide value for money due to the high cost per customer.

The support staff, therapists and administrative staff could be redeployed within the in-house reablement service with a focus on recovery at home where this is appropriate. The reablement provision supports customers to live as independently as possible, through an outcome focused, personalised approach, where the customer using the service sets their own goals.

The potential changes to the future delivery of services could have an impact predominantly on older people as follows:

- Around a total of 300 new customers per year attend Rotherham Intermediate Care Centre for rehabilitation, reablement and community integration sessions.
- Around 200 new customers attend Phase 1 sessions on a twice weekly basis for a period of 6 weeks during the hours of 10.00 am to 3.00 pm.
- Around 100 new customers attend Phase 2 sessions on a one weekly basis for a period of up to 12 weeks during the hours of 10.00 am to 3.00 pm. Some of these customers/patients are now receiving the support in the community through outreach work

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and positive outcomes have been achieved through this new type of service delivery model.

The potential changes to services will directly impact on them in terms of the location they receive support. However, the access is limited in the current model as this is provided on specified available dates and times, due to availability of suitable transport (Monday and Wednesday or Tuesday and Thursday 9 am to 3 pm).

A home based provision would provide customers with more choice and control on when and where they receive services in their local community.

Change of location of support provided from building based day care provision to home based will improve outcomes by increasing independence, health and wellbeing.

What equality information is available? Include any engagement undertaken and identify any information gaps you are aware of. What monitoring arrangements have you made to monitor the impact of the policy or service on communities/groups according to their protected characteristics?

Attached:

- The average age of customers is around 82 years of age and the potential changes to services will directly impact on them in terms of the location they receive support.
- The age of customers ranges from 59 years to 100 years who were in receipt of RICC Phase 1 and Phase 2 in 2017/18.
- The average age of customers is 82 years of age (83 years for Phase 1 and 81 years for Phase 2).
- 2% of customers were aged between 59 to 64 years, 28% aged 65 to 74 years, 40% aged 75 to 84 years and 30% were over the age of 85 years. 2 people accessed the service at the age of 100 years in 2017/18.
- 70% of customers are female and 30% are male.
- 99.5% of customers are from a White British background, with 0.5% from other ethnic background.

Consultation with TRFT colleagues has revealed that a similar number of people can be supported in their own home if the staffing levels remain the same.

TRFT occupational and physiotherapy staff would support the delivery of reablement programmes in client's own homes in order to promote independence and reduce care packages/admission to care homes. This would also help to support clients coming out of bed based provision including intermediate care.

This would enable a similar level of service that is currently being offered but in a more person centred method, closer to the person's home, and making more use of locally available resources.

Consultation will take place with relevant staff and key stakeholders between June to July 2018 on proposed model moving forward. This would involve officers from HR and Union representatives where necessary.

The CCG Patient Engagement Group will carry out a consultation exercise with members of the public, existing and old customers and customer surveys will also be used to inform future model of provision.

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Case studies provided by RICC Phase 1 and Phase 2 show that outcomes achieved include enhanced quality of life, delaying and reducing the need for formal care and support and ensures that people have a positive experience of support

Outcomes also include increased strength and mobility, reabling customers/patients to be able to carry out some or all of daily living acitivities, access to local community facilities and groups including exercise groups, luncheon clubs, social groups, shopping and use of public transport.

Engagement undertaken with customers. (date and group(s) consulted and key findings)	A period of formal consultation will be carried out with the relevant staff and stakeholders. The consultation would take place between June to July 2018 and would involve officers from HR and Union representation where necessary. Once the consultation exercise has been completed, a further report will go to Cabinet which will outline the next steps in future delivery of the service. Engagement evidence to be completed provided during the consultation period.
Engagement undertaken with staff about the implications on service users (date and group(s)consulted and key findings)	Engagement with RICC RMBC managers took place in December 2017 with regard to potential reconfiguration of service to be delivered within the community. Key partners and stakeholders have been engaged in some early discussions and this will continue through the formal consultation stage. The consultation would include specific consultation with staff for a period of 30 days, to understand the implications of the options detailed in the Cabinet report.

The Analysis

How do you think the Policy/Service meets the needs of different communities and groups? Protected characteristics of age, disability, gender, gender identity, race, religion or belief, sexuality, Civil Partnerships and Marriage, Pregnancy and Maternity. Rotherham also includes Carers as a specific group. Other areas to note are Financial Inclusion, Fuel Poverty, and other social economic factors.

Traditional services have been delivered from the Rotherham Intermediate Care Centre for many years. However, the current model does not promote value for money, offer choice and control and promote personalisation.

Some customers will have been accessing the same service during periods of recovery from recent illnesses or physical injuries over a number of years. Potential closures or reconfiguration of services may bring fear and anxiety and a perception that something is being taken away from people.

However, aligning the service to the provision of reablement in the home will mean that people will receive a similar level of service that is currently offered, but in a more person centred method, in the person's own home and making more use of locally available resources. Providing local and community based solutions will promote less formal, restrictive services.

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It is proposed that full assessments of customers and carers will be undertaken to ensure all care and support packages are appropriate. The Care Act (2014) requires people to be assessed as individuals and for their needs to be determined in terms of their personal wellbeing. We will focus on looking at people's strengths, what they can do and what outcomes they want to achieve so that they can lead full lives, focusing on prevention and timely advice and information. We will identify local support and resources which are already available and help customers to access these services.

We need to move away from providing any in-house building based offer and provide a tailored individualised service. By delivering the service in the local community, we will ensure a personalised and outcome focused approach.

Analysis of the actual or likely effect of the Policy or Service:

Does your Policy/Service present any problems or barriers to communities or Group?

Does the Service/Policy provide any improvements/remove barriers?

The proposals will ensure improvements and remove barriers by delivering the service in customer's own homes or in their local community. This will promote choice, control and personalisation to the customer/patients

What affect will the Policy/Service have on community relations?

- It is likely that the media coverage could be negative.
- The Communications Team will provide timely press releases, if this is required.
- A Communication/Media and Engagement Plan will be developed including a working group that will drive this project and include dedicated offices from a variety of teams, including the communications team.
- As part of the recommended future service specific consultations, local residents will be proactively invited to contribute to the consultation process

Equality Analysis Action Plan

Time Period: December 2017 to July 2018

Manager: Nathan Atkinson

Service Area: Adult Care and Housing

Tel: 01709 822270

Consultation on the Future of Rotherham Intermediate Care Centre (RICC)

Action/Target	State Protected Characteristics (A,D,RE,RoB,G,GI O, SO, PM,CPM, C or All)*	Target date (MM/YY)
30 day consultation with staff (RMCB and TRFT) and customers	All	June 18-July 18
Consultation through the CCGs Patient Engagement Group	All	June 18-July 18
Consultation with Rotherham CCG colleagues including report taken through Better Care Fund Governance and CCG governance	All	May 18
Consultation with provider services (voluntary sector) who utilise the RICC building to provide services to determine impact and solutions should the building be decommissioned	All	June 18-July18
Report for further recommendations following consultation in preparation for Cabinet Meeting (date to be confirmed)	All	

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Name of Director who approved Plan	Anne Marie Lubanski	Date:
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*A = Age, C= Carers D= Disability, G = Gender, GI Gender Identity, O= other groups, RE= Race/ Ethnicity, RoB= Religion or Belief, SO= Sexual Orientation, PM= Pregnancy/Maternity, CPM = Civil Partnership or Marriage.

Website Summary – Please complete for publishing on our website and append to any reports to Elected Members, SLT or Directorate Management Teams

Completed equality analysis	Key findings	Future actions
Directorate:		
Function, policy or proposal name:		
Function or policy status (new, changing, existing):		
Name of lead officer completing the assessment:		
Date of assessment:		

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