

Pothole Fund Application Form



Department
for Transport

Guidance is available at: <https://www.gov.uk/government/publications/pothole-fund-2014-to-2015-application>

Only one application form should be completed per local highway authority.

Applicant Information

Local authority name: Essex County Council

Bid Manager Name and position: xxxxxxxxx

Name and position of officer with day to day responsibility for delivering the proposed scheme.

Contact telephone number: xxxxx xxxxx **Email address:**

Postal address: **Essex County Council**
 Market Road
 Chelmsford
 Essex
 CM1 1QH

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

Please specify the weblink where this bid will be published:

<http://www.essexhighways.org/Transport-and-Roads/Roads-and-Pavements/Potholes.aspx>

SECTION A – Your Highway

The Department would like to understand more about the highway assets that fall under your statutory duties.

We already collect data from your authority in regards to road lengths but we would like to understand more about the other assets you are responsible for. Please answer the following in your application:

A1: What is the number of bridges owned by your authority with span over 1.5 metres?
1,428 (including subways)

A2: What is the total number of street lighting columns under your authority's responsibility?

118,378 (excluding roof, wall and pole column types)

A3: What is the total number of street lighting columns under your authority's responsibility over 40 years old?

11,991 (excluding roof, wall and pole column types)

A4: What is the total length of footways under the responsibility of your authority (in miles)?

3,688.7

A5: What is the total length of off road cycleways under the responsibility of your authority (in miles)?

54.9 (does not include in carriageway or shared use with footways; it is figure for 'remote' cycleways only)

A6: Please provide a weblink to your authority's statement of how the flood recovery funding, awarded in March 2014, has/will be spent:

http://www.essexhighways.org/Uploads/Files/Spending_plan_for_severe_weather_damage_funding_awarded_by_DfT_in_March_2014.pdf

Also

<http://www.essexhighways.org/Transport-and-Roads/Roads-and-Pavements/Roads-strategies.aspx>

Also

<http://www.essexhighways.org/Transport-and-Roads/Roads-and-Pavements/Winter-travel.aspx>

SECTION B – Potholes

B1: Which of the recommendations arising from the Pothole Review Report has your authority adopted?

The report can be viewed here:

https://www.gov.uk/government/uploads/system/uploads/attachment_data/file/3995/pothole-review.pdf

Please answer the following, including providing supporting information, where applicable:

Question	Yes/No	All 'yes' answers must be supported evidence. Please append supporting information, clearly marking the question number to which the information refers.
<p>A. Has your authority aligned its maintenance programme to the Government's highways maintenance funding years (i.e. 2011-2015 and 2015-2021)?</p>	<p><input type="checkbox"/> Yes <input checked="" type="checkbox"/> No</p>	<p>Whilst long term, prioritised lists of capital schemes are held for some asset groups, long term capital programmes are problematic to formalise due to the uncertainties regarding future budgets. Capital budgets are approved on a three year basis, but budgets for future years are indicative only and are reviewed and updated annually. Definitive budgets are decided on an annual basis, therefore, and capital programmes are currently aligned to the annual budget setting process.</p> <p>Essex Highways assesses capital funding need for all asset groups for each year of a rolling five year plan period, however, and this information contributes to budget decisions. In acknowledgement of the efficiencies which can be derived from longer term planning, Essex Highways plans to refer to the indicative capital budget levels, and the capital funding need levels for years beyond this period, to identify long term, capital maintenance programmes for all asset groups in 2014/15, with year one to commence from 2015/16.</p>
<p>B. Has your authority adopted the principle that 'prevention is better than cure' in determining the balance between structural, preventative and reactive maintenance activities in</p>	<p><input checked="" type="checkbox"/> Yes <input type="checkbox"/> No</p>	<p>Capital road maintenance programmes reflect a balanced, combined treatment approach which emphasises the use of low cost, value for money treatment types such a surface dressing and micro asphalt, with limited use of higher cost strengthening treatments. This approach is aimed at arresting the earlier stages of network deterioration annually, while addressing higher levels of deterioration over current and future years.</p> <p>Sealing the network with low cost surface treatments such as surface dressing prevents the ingress of water which is a major cause of pot holes. This treatment increases network resilience and decreases the</p>

<p>order to improve the resilience of the highway network and to minimise the occurrence of potholes in the future?</p>		<p>likelihood of pot holes reforming. Higher cost, strengthening treatments also increase network resilience, especially for evolved roads which are not of modern construction and are therefore more prone to pot holes.</p> <p>This approach is explained in more detail in our winter weather funding report: http://www.essexhighways.org/Transport-and-Roads/Roads-and-Pavements/Winter-travel.aspx</p> <p>Evidence of our treatment approach can be seen in 'B B Capital Maintenance Programme 14-15.xls' (file location: N:\7 Programme and Information\Asset Management\Budgets\Budget 14-15\Pot Hole Fund), which is the current draft of the planned treatment types and corresponding lengths. This shows that Surface Dressing is approximately 37% of the total treatments planned, compared with approximately 8% of higher cost, strengthening treatments. Surface Dressing Pre-Patching, which will repair pot holes and prepare the road surface for surface dressing treatments to be carried out in 2015/16, account for approximately 50% of planned treatment lengths.</p>
<p>C. Has your authority ensured that appropriate competencies have been made available to make the right choices when designing and specifying techniques and materials for the maintenance and repair of highways? Note - these competencies can be secured through training, collaboration with neighbouring authorities or external advice.</p>	<p><input checked="" type="checkbox"/> Yes <input type="checkbox"/> No</p>	<p>Essex Highway pursues this undertaking by:</p> <p>Attendance of the Eastern Region Best Practice Group (EEDET), where information is shared between authorities on best practice relating to treatment types and techniques (and treatment priorities) for both reactive repairs and planned maintenance.</p> <p>Direct Competency Training, through seminars and talks delivered to engineers, inspectors and asset management personnel, by leading industry experts in treatments and techniques such as Eurovia which has links to specialist laboratories.</p> <p>Through the Essex Highways membership of the Highways Term Maintenance Association (HTMA), which encourages excellence in highway maintenance through education, training and continued professional development.</p> <p>Attendance by senior colleagues of industry conferences and training.</p> <p>Discussions with specialist suppliers.</p> <p>Consultation advice from external asset management experts.</p>
<p>D. Does your</p>	<p><input checked="" type="checkbox"/> Yes <input type="checkbox"/> No</p>	<p>Essex Highways attends regular, formal meetings at the</p>

<p>authority co-ordinate with other parties working on the highway short and long term programmes of work activities for up to four years in advance?</p>		<p>Highway Authorities and Utilities Committee (HAUC) which facilitates liaison between local authorities, utility companies and government with the aim of working safely and in a co-ordinated manner to reduce the impact of road works on the travelling public.</p> <p>Short and Long Term planned utility works are held on record at Essex Highways for purpose of co-ordinating these activities with our own highway works. All planned utility works, with a minimum notice period of three months for works with a duration of more than ten working days, are held in our electronic asset management system Confirm. This information is accessible to all Confirm users, not least to our highway inspectors via their hand held data capture devices which they use for recording highway defects.</p> <p>Essex Highways also liaises with neighbouring local authorities and London Boroughs, as well as the Highways Agency (HA) and Transport for London (TFL), for cross boundary works or for those occasions where road closures and diversion routes have impact beyond Essex.</p> <p>Essex Highways liaises with District, Borough and Parish Councils to co-ordinate environmental maintenance such as grass cutting, as these activities are shared across the county.</p>
<p>E. Has your authority considered the guidance provided in the ADEPT report Potholes and Repair Techniques for Local Highways and adopted as appropriate to your local circumstances?</p>	<p><input checked="" type="checkbox"/> Yes <input type="checkbox"/> No</p>	<p>The ADEPT report 'Potholes and Repair Techniques for Local Highways' is a very technical analysis of pot-hole formation mechanisms. It highlights the requirement for effective repair preparations combined with the use of strain compatible repair materials that compact well to resist permeability. It also acknowledges that the formation of a pot hole is complex and the occurrence of pot holes difficult to model. The report is a collection of related technical investigations which include a raft of principles relating to good practice.</p> <p>Essex Highways believes that its current practices comply with the salient principles set out in the report. That is to say, when undertaking pothole patching repairs, it assesses the type of repair material to be applied for the location and wider road material in question, in order to effect a long term, compatible and durable repair. It also carries out suitable preparations, and lays the materials using correct engineering techniques within an appropriate environment. Refer to 'B E Patching and Re-Instatement of Carriageway Method Statement MS 3-01.doc' (file location N:\7 Programme and Information\Asset Management\Budgets\Budget 14-15\Pot Hole Fund)</p>
<p>F. Has your</p>	<p><input checked="" type="checkbox"/> Yes <input type="checkbox"/> No</p>	<p>The Essex Highways Maintenance Strategy April 2008</p>

<p>authority developed a detailed highway inspection manual and have put appropriate training in place for your Highway Inspectors?</p>		<p>(plus amendments) sets out Essex County Council's approach to providing the highway maintenance service in accordance with statutory duties, whilst implementing the philosophy of the Code of Practice. Chapter 8, 'Inspections, assessment and recording', sets out the practice for carrying out highway safety inspections. This includes Defect categorisation, priority repair response times, risk assessments, Defect recording, frequency of inspection, and details of items to be inspected and corresponding investigatory levels. Each highway inspector has access to the Essex Highway Maintenance Strategy April 2008. A link to the document is below: http://www.essexhighways.org/Uploads/Files/essex_highway_maintenance_strategy_april_08.pdf</p> <p>A supporting document, the 'B F Highways Inspectors' Handbook.pdf' (file location N:\7 Programme and Information\Asset Management\Budgets\Budget 14-15\Pot Hole Fund) is provided to each inspector. It summarises key points from the Essex Highways Maintenance Strategy April 2008, includes guidance on processes, procedures and good practice, and is used to assist with training inspectors.</p> <p>A full day of training is provided to each inspector once every six months, to ensure practices are compliant with current requirements. In addition, every highway Defect which is recorded each month is subject to a recording compliance and timeliness of completion audit by the inspection engineer. A proportion of Defects are also re-inspected each month by the inspection engineer, within seven days of the original Defect being identified, to ensure compliance with Essex Highways Maintenance Strategy April 2008. The inspector accompanies the inspection engineer, so that this activity is also used as a training exercise. Regular 'Tool box talks' are carried out as part of inspectors' training, and meetings to train inspectors on changes to procedures are also rolled out on an ad-hoc basis.</p>
<p>G. Does your authority use technology and systems for the effective identification and management of potholes?</p>	<p><input checked="" type="checkbox"/> Yes <input type="checkbox"/> No</p>	<p>Essex Highways uses the Confirm electronic asset management system, an on-line system hosted by Pitney Bowes, for: recording customer enquiries (requests for service), for establishing inspection regimes (inspection routes and frequencies), for recording highway Defects and associated repair priorities, and for raising and committing subsequent jobs and works orders to carry out repairs.</p> <p>Inspection routes and requests for ad hoc inspections (from requests for service) are allocated to each inspector and automatically downloaded to the inspector's I-Pad (electronic data recording device).</p>

		<p>The results of inspections are recorded on the I-Pad, including the GPS locations of Defects recorded to an electronic map, and this information is uploaded to the Confirm system automatically. Defects are batched on to electronic Jobs, and corresponding works orders are commissioned to the works programming system 'X – Service' (a product of 'three X'). The Jobs are downloaded from 'X – Service' to the works operative's PDA (electronic data recording device). The works operative carries out the works, then updates his PDA with completion date and other information which is uploaded to the 'X – Service' system then automatically transferred to the Confirm system.</p>
<p>H. Does your authority have a public communications process in place that provides clarity and transparency in the 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.</p>	<p><input checked="" type="checkbox"/> Yes <input type="checkbox"/> No</p>	<p>The Essex Highways Maintenance Strategy April 2008 (plus amendments) is published on the Essex County Council website, and sets out Essex County Council's approach to repairing pot holes (refer to hyperlink below). http://www.essexhighways.org/Uploads/Files/essex_highway_maintenance_strategy_april_08.pdf</p> <p>Specifically, chapter 8, 'Inspections, assessment and recording', sets out the practice for carrying out highway safety inspections, including Defect categorisation, priority repair response times, risk assessments, Defect recording, frequency of inspection, and details of items to be inspected and corresponding investigatory levels.</p> <p>In addition, the Council's website enables members of the public to view an existing pot hole, and to report a pot hole as well as to track the progress of response. Additional functionality is in development to improve the 'customer journey', such as the provision of 'live' information about what we're doing and where we're doing it, in order to provide transparency as well as greater clarity to the public. It will also provide further opportunities for those who wish to have a more on-line, interactive relationship with highway services and to be kept up to date personally (refer to link below). http://www.essexhighways.org/Report-a-highways-problem.aspx</p>
<p>I. Does your authority monitor public satisfaction with road, footway and cycleway condition and report annually through the National</p>	<p><input checked="" type="checkbox"/> Yes <input type="checkbox"/> No</p>	<p>Essex County Council has procured the National Highways and Transport Public Satisfaction survey annually since 2010/11, refer to 'B I NHT Survey 2013 Survey Results Summary [1] PDF' (file location: N:\7 Programme and Information\Asset Management\Budgets\Budget 14-15\Pot Hole Fund). For comparative results refer to link below: http://nhtsurvey2013.econtrack.co.uk/Content.aspx?6365</p>

<p>Highways and Transport Public Satisfaction Survey or their own surveys?</p>		<p>Essex County Council also subscribes to the higher level of detailed analysis of the results. A number of Essex Highways Key Performance Indicators (KPIs) are based on public satisfaction outcomes. Note that prior to 2010/11 Essex County Council procured bespoke customer satisfaction surveys via Ipsos-Mori. Whilst these provided invaluable information, bench marking these results with other local authorities proved problematic.</p>
<p>J. Does your authority adopt permanent repairs as the first choice when repairing potholes?</p>	<p><input checked="" type="checkbox"/> Yes <input type="checkbox"/> No</p>	<p>Essex Highways is strongly committed to ‘getting it right first time’, permanent repairs to minimise costs associated with revisits. Indeed, this principle is being rigorously applied through performance monitoring across its spectrum of maintenance and improvement works.</p> <p>For example: Key Performance Indicator (KPI) A19 Right First Time – Minor Maintenance, relates specifically to Pothole repairs, whereby a random sample of 3% of repairs at all priority levels completed within the previous three months is assessed for how much rework has had to take place. The performance outturn for each month in 2013/14 revealed the ‘right first time approach’ was 100% efficient. Refer to ‘B J Right First Time Potholes outturns 13-14.xls’ (file location: N:\7 Programme and Information\Asset Management\Budgets\Budget 14-15\Pot Hole Fund)</p>
<p>K. Has your authority adopted dimensional definitions for potholes based on best practice as part of its maintenance policy?</p>	<p><input checked="" type="checkbox"/> Yes <input type="checkbox"/> No</p>	<p>As referenced in ‘Prevention and a Better Cure’ there is no agreed definition of a pothole. This type of Defect is recorded in our asset management system as a ‘Carriageway Surface Defect’ or a ‘Carriageway Structural Defect’. There is no nationally agreed measurement for a pothole. Essex Highways prescribes a dimensional definition relating to the point at which either of the types of Carriageway Defect referenced above will be deemed to have met a point requiring investigation; the investigation is an evaluation of the risk and a subsequent categorisation of the Defect and identification of priority for repair.</p> <p>These matters are detailed in the Essex Highways Maintenance Strategy April 2008 (plus amendments) which is published on the Essex County Council website (refer to hyperlink below). http://www.essexhighways.org/Uploads/Files/essex_highway_maintenance_strategy_april_08.pdf Specifically, chapter 8, ‘Inspections, assessment and recording’, sets out the items to be inspected and corresponding investigatory levels. The investigatory levels for ‘potholes’ are described via dimensional measurements relating to the depth and lateral extent (in any horizontal direction). These dimensions have been determined with reference to regional and national practice, statutory obligations and the priorities of the</p>

		Council (which reflect the priorities of its residents), and have been approved by Council Members.
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B2: Does your authority adopt any innovative methods to help repair potholes? This could include, for example, specialist pothole maintenance crews.

Yes No

If yes, please provide details as an annex as part of your bid. Refer to 'B2 Annex A to Support Application for Pothole Pledge Funding.doc' (file location: N:\7 Programme and Information\Asset Management\Budgets\Budget 14-15\Pot Hole Fund)

B3: Does your authority use reporting tools to identify potholes in your local area including:

CTC Fill that Hole Yes No
Council's Own Web Reporting Yes No
Other Yes No

Please specify: Essex Highways personnel who have Confirm system I-Pads (this includes the highways inspectors, reactive works engineers, NRSWA inspectors, PRow inspectors) can raise ad hoc customer enquiries and Defects when either identifying these when travelling the network or when contacted by members of the public or Councillors. Refer also to Section B answer G for more information on how this data is captured and addressed.

For evidence regarding CTC refer to 'B3 CTC Pot Hole Report.doc' (file locations: N:\7 Programme and Information\Asset Management\Budgets\Budget 14-15\Pot Hole Fund)
For information regarding Council's own Web Reporting please refer to Hyperlink below:
<http://www.essexhighways.org/Report-a-highways-problem.aspx>

B4: Does your authority regularly consult and seek feedback on its highways maintenance regime, including potholes, with key stakeholders?

Local Member(s) of Parliament Yes No
District, Borough and Parish Councils Yes No
Local Residents (Including neighbourhood Forums) Yes No
Business Community Yes No
Emergency Services Yes No

Regular and direct engagement is undertaken with all the above key stakeholders by the Cabinet Member for Highways and Transportation. In addition, the Essex County Council maintenance regimes are detailed in the Essex Highways Maintenance Strategy April 2008 (plus amendments) which is approved by Council Members following consultation with the above. This document is published on the website and is accessible to all; please refer to hyperlink below:
[http://www.essexhighways.org/Uploads/Files/essex_highway_maintenance_strategy_april_08.p
df](http://www.essexhighways.org/Uploads/Files/essex_highway_maintenance_strategy_april_08.pdf)

The public is also able to provide feed-back on the maintenance regime through contact with the Council ('customer enquiries') or contact with Council Members ('Member Enquiries'). Each customer/Member enquiry is logged, and a response provided within an agreed time scale.

In addition, the Council operates 12 'Local Highway Panels' (one for each District), each of which is chaired by an elected Member. Each Local Highway Panel is provided annually with a revenue and capital funding for highway works regarded as a priority by the public or organisations specific to their locality. As well as being consulted directly on maintenance regimes, the Local Highway Panels are able to provide feed-back on specific elements of the highway service or maintenance strategy through Member enquiries.

We also seek feed-back through our procurement of the National Highways and Transport Public Satisfaction Survey (refer to answer to question Section B I for more information).

All feed-back is noted and subsequently taken in to account – and indeed more recently pothole repair priorities have been changed following consultation and feed-back.

Please refer to: 'B4 lhp-terms-of-reference-and-membersguide.pdf' (file locations: N:\7 Programme and Information\Asset Management\Budgets\Budget 14-15\Pot Hole Fund)

If yes, please provide details as an annex as part of your bid.

B5: Does your authority have an up-to-date vision and action plan to improve the walking environment and encourage walking?

Yes No

If yes, please provide a weblink: please refer to 'B5 Essex Walking Strategy.pdf' which is still current (refer to file location: N:\7 Programme and Information\Asset Management\Budgets\Budget 14-15\Pot Hole Fund).

B6: Please explain how you deliver your duty under NRSWA to 'co-ordinate the execution of works of all kinds', including for example permit schemes, noticing, co-ordination meetings?

We comply with the salient aspects of the Traffic Management Act Electronic Transfer of Notices, Version 6 (EToN6), with the exception of issuing permits. Essex Highways plans to move to issuing permits by the end of 2015/16.

Under EToN6 Essex Highways registers a notice for any works being undertaken on the highway (a minimum notice period of three months is required for any works of duration which exceeds ten working days). This includes notices from Utility Companies and Minor Undertakers as well as works on behalf of Essex County Council. This information is recorded in the Essex Highways asset management system Confirm which is accessible to all Essex Highways staff who are registered Confirm users. The information is also accessible to the public and external organisations via website <http://roadworks.org/> Understanding where works are being planned on the highway, facilitates working safely in a co-ordinated manner to reduce the impact of road works on the travelling public.

Essex Highways attends regular, formal meetings at the Highway Authorities and Utilities Committee (HAUC) which facilitates liaison between local authorities, utility companies and government.

Essex Highways also liaises with neighbouring local authorities and London Boroughs, as well as the Highways Agency (HA) and Transport for London (TFL), for cross boundary works or for those occasions where road closures and diversion routes have impact beyond Essex. Essex Highways liaises with District, Borough and Parish Councils to co-ordinate environmental maintenance such as grass cutting, as these activities are shared across the county.

B7: What actions does your authority take to ensure road repairs undertaken by other parties (such as utilities companies) meet the standards in the specification?

- Inspections regime**
- Scoring programme**
- Performance bench-marking**
- Meetings**
- Other (please specify) Fixed Penalty Notices**

Essex Highways employs NRSWA inspectors to assess the standard of reinstatements during the guarantee period, including an assessment nearing the end of the guarantee period. Score for % failures is recorded, and is used for Performance bench marking to identify undertakers with relatively high failure rates. Subsequent to this, meetings are held between Essex Highways and the undertaker(s) in question, and an improvement plan aimed at restoring reinstatement performance is agreed and accordingly monitored by both parties.

In addition to this, Essex Highways issues fixed penalty notices (FPNs) to those undertakers who fail to comply with the code of practice in terms of noticing. This invariably relates to failure to provide an updated notice of highway occupancy on those occasions when works exceed the notice period.

SECTION C – Asset Management

C1: Has your authority adopted the recommendations arising from the Asset Management Strategy Guidance published in May 2013 –

<http://www.ukroadsliasongroup.org/en/utilities/document-summary.cfm?docid=5C49F48E-1CE0-477F-933ACBFA169AF8CB> ?

Yes No

The fourteen recommendations within the Guidance are intrinsic to Essex Highways service delivery. In addition, this Guidance was the primary reference document when identifying an individual asset management framework for the A127; the A127 is one of the busiest non trunk roads in the country and is regarded as critical infrastructure. This plan is regarded as a pilot study for other critical highways infrastructure, and supporting asset management activities are currently in progress. Refer to 'C1 A127 Asset Management Framework.doc' (file location: N:\7 Programme and Information\Asset Management\Budgets\Budget 14-15\Pot Hole Fund). For evidence for the element of the Guidance relating to communication strategy to manage public expectations please refer to hyperlink below:

<http://www.essexhighways.org/Report-a-highways-problem.aspx>

Please answer the following, including providing supporting information, where applicable.

Question	Yes/No	All 'yes' answers must be supported evidence. Please append supporting information, clearly marking the question number to which the information refers.
<p>Has your authority got an up to date asset management policy and strategy?</p>	<p><input checked="" type="checkbox"/> Yes <input type="checkbox"/> No</p>	<p>If yes, please provide a weblink. Essex County Council was among the first local authorities to produce a Transport Asset Management Plan, in 2006/07. The implementation of a full asset management approach was supported at the very highest levels of management, and remains the key driver for all Essex Highways services. Objectives are embedded in long term investment planning, as well as the pursuit of value for money outcomes based on minimising whole life costs. This approach has enabled standards to be aligned closely with budgets, which has facilitated the generation of levels of service options that can be appraised effectively against corporate priorities.</p> <p>In response to the challenge of reduced government funding, an ageing infrastructure and a trend of increased severe weather, however, Essex Highways is embarking upon a rigorous and ambitious review of its asset management practices to derive even greater efficiencies. The review is to be delivered by the 30th September 2014, with the outcome a revised asset management strategy designed to safeguard standards for residents in a sustainable manner. Please refer to 'Asset Management Strategy 14-15.doc' (file location: N:\7 Programme and Information\Asset</p>

<p>Does your authority communicate relevant information associated with asset management through engagement with your relevant stakeholders when you set requirements, make decisions and report performance?</p>	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	<p>Management\Budgets\Budget 14-15\Pot Hole Fund).</p> <p>Asset Management principles and activities are key references when explaining the impact of decisions to key stakeholders. For example, refer to 'Section C Business case highways and transportation capitalised maintenance and improvements 14-15.doc' (file location: N:\7 Programme and Information\Asset Management\Budgets\Budget 14-15\Pot Hole Fund).</p> <p>This is a business case for additional capital funding for all assets to support the primary objectives of the Council which are to safeguard the flow of traffic and other resources across the main routes in the County. It is based on the current level of performance of each asset and the predicted performance trends based on indicative funding levels. It also highlights the need to make main routes more resistant to the occurrence of pot holes and the like by improving network resilience as recommended via the advice to Local Authorities under the Highways Maintenance Efficiency Programme (HMEP).</p>
<p>Does your authority have an asset management register?</p>	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	<p>The Essex Highways' Asset Management Register provides a detailed indication of the data availability compared with the data collection requirements for each asset group, and is the basis of the Data Management Strategy. Refer to 'Section C Master Copy of the Asset Management Register.xls' (file location: N:\7 Programme and Information\Asset Management\Budgets\Budget 14-15\Pot Hole Fund).</p> <p>Note that more than one asset register system is employed due to the differences in specialist service delivery requirements of individual asset groups; i.e. roads and footways inventory information is stored in Confirm and in the WDM UKPMS; Structures inventory information is stored in Confirm; Street Lighting inventory is stored in Mayrise; Intelligent Transport Information Systems (ITS) inventory is stored in 'Inview'.</p>
<p>Does your authority follow lifecycle planning principles which are used to review the level of funding and which will help support investment decisions including long term investment in your assets?.</p>	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	<p>As recommended in the HMEP Asset Management Strategy Guidance May 2013, deterioration modelling is employed for roads and footways to predict network performance (levels of service) based on budget scenarios. Road and footway condition data is used as a proxy for detailed construction information, to support life cycle planning. In addition a register of all ancillary assets is recorded at component level, with corresponding service life information and age profile data. Replacement costs, and any capital costs which are required in order for assets to reach their service life potential are also recorded.</p> <p>This information is used to predict the capital funding need for asset replacement and maintenance over a future ten year period, and this forms the basis of</p>

	<p>investment planning and funding bids to corporate finance. A range of funding scenarios are generated to indicate the levels of service which can be achieved for each scenario, so that informed decisions can be made. This process is supported with a risk assessment which identifies the increase/decrease in the current level of risk for each asset group associated with each funding scenario, which sets out the impact of investment decisions. Refer to 'Section C Capital Maintenance 14-15 to 18-19 Headline Information.pdf' (file location: N:\7 Programme and Information\Asset Management\Budgets\Budget 14-15\Pot Hole Fund).</p>
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C2: As part of your last L-Pack return for Whole Government Accounting requirements for the accounting period 2012/13, can you confirm you submitted the following return:

Carriageway and Footways Yes No
Lighting Yes No
Structures Yes No
Street Furniture Yes No

Refer to 'Section C 'L Pack' Infrastructure Valuation Submission 12-13 v2.xls' (file location: N:\7 Programme and Information\Asset Management\Budgets\Budget 14-15\Pot Hole Fund).

SECTION D – Efficiencies

D1: Is your authority actively engaged with securing efficiencies for highways maintenance?

Yes No

If yes, please provide additional information on what your authority has done since 2011 including what % efficiency savings (where efficiency savings are defined as delivering a similar or a better outcome at a lower cost) your authority has achieved year on year and what savings you hope to achieve by end of 2014/15.

The Essex Highways partnership commenced on the 1 April 2012, and derives savings by batching works together and obtaining the corresponding lowest 'target costs' from the Ringway Jacobs wide supply chain. This procurement approach is contrary to a schedule of rates contract where the cost of items of works is known prior to delivery. In addition, Essex Highways is committed to continual improvement and continued innovation throughout all aspects of service delivery, to drive costs down through unique and competitive solutions. For a summary of the direct and indirect highways maintenance efficiency savings, totalling approximately £2.5m for Year 1 (2012/13), please refer to 'D1 Highway Maintenance Efficiency Savings.xls' (file location: N:\7 Programme and Information\Asset Management\Budgets\Budget 14-15\Pot Hole Fund). This reflects an overall service delivery saving of approximately 4%.

The information referenced above shows additional savings across the service for Year 2 (2013/14) and Year 3 (2014/15), totalling in the order of £375,000 are also planned.

D2: Is your authority exploring or has it already joined with neighbouring local highway authorities or a Highways Maintenance Alliance to achieve economies of scale?

Yes No

If yes, please provide additional information. For example the names of other authorities or the Alliance.

Essex Highways achieves economies of scale through its membership of the Eastern Highway Alliance, for highway works over £500,000. The Eastern Highway Alliance is an unincorporated Association by Agreement involving local authorities engaged in developing ways to provide highway services in a cost effective and efficient way. Its members are:

- Essex County Council
- Cambridgeshire County Council
- Southend Borough Council
- Hertfordshire County Council
- Suffolk County Council
- Central Bedfordshire Council
- Norfolk County Council
- Bedford Borough Council
- Peterborough City Council
- Luton Borough Council
- Thurrock Borough Council

All other works are delivered under the partnership between Essex County Council and Ringway Jacobs, called Essex Highways. Under the Essex Highways partnership procurement of works is **not** via a 'schedule of rate contract' where the cost of each piece of work undertaken is known prior to delivery. Indeed, in order to derive savings attributed to economies of scale, items of works are batched together and the corresponding lowest 'target costs' obtained from the Ringway Jacobs wide supply chain.

Background Information

Essex County Council selected Ringway Jacobs Limited to form one of the largest integrated highways partnerships in the UK (Essex Highways), which will deliver significant savings whilst providing an improved level of service for residents in a challenging climate of decreasing budgets. Ringway Jacobs brings with them a proven track record and an innovative approach in delivering highway services. The contract commenced on 1st April 2012 and will run for ten years, with the option to extend for a further period of up to five years. The contract, which has an estimated value of over £1 billion, will ensure that a greater proportion of money is spent on delivering frontline services and improving customer satisfaction and will transform the way in which Highway and Transportation services are delivered. The formation of Essex Highways is part of the planned Transformation projects currently being undertaken by Essex County Council to establish a new, value for money operating model for commissioning services.

D3: Is your authority sharing its efficiency experience and/or case studies with other local highway authorities via the Highways Maintenance Efficiency Programme or other good practice networks?

Yes No

If yes, please provide state where.

Essex County Council has active involvement in sharing its efficiency experience. Peter Massie (ECC Head of Service) and Mark Coates (Ringway Jacobs Head of Service) presented a case for Open Book Cost Management (OBCM) as part of the HMEP Standard HM Contract Training on 5/6th March in The Wirral. This included a 'client' and 'provider' view of OBCM, describing advantages/disadvantages from each other's perspective, sharing practical examples and demonstrating how the process is managed. The case was presented jointly as a demonstration of collaborative working and was well received.

Essex Highways also shares experience of good practice and efficiency savings with other authorities within the Ringway Jacobs Partnerships; i.e. Cheshire East, Transport for London, and Transport for Buckinghamshire. It also shares experiences with Local Authorities in the Eastern Region through regular attendance of EEDET meetings where the Highways Maintenance Efficiency Programme (HMEP) principles are discussed fully. For example, in 2012/13 Hertfordshire County Council hosted an HMEP training session for the life cycle planning tool for carriageways, which Essex Highways attended. Essex Highways has also explored this life cycle planning tool in partnership with Suffolk County Council.

SECTION E – Other

E1: Please provide details on which of the following good practice activities your authority is undertaking for its highways management activities.

Invest to save Yes No
Cross boundary collaboration Yes No

Invest to save

The Part-Night lighting project is an initiative to reduce the Local Authority's carbon footprint, and reduce energy costs, by turning off street lighting for a period during each night. In order to undertake this project an investment of additional capital funding over 2011/12 and 2013/14 was required to move street lighting columns from photo-cells which were programmed to full night lighting, to photo-cells where the lighting period could be controlled fully and remotely. The finance charges from the cost of borrowing are being addressed through the annual revenue benefits. Refer to 'Section E E1 Spend to Save - Lighting CMS Final Business Case.dpf' (file location: N:\7 Programme and Information\Asset Management\Budgets\Budget 14-15\Pot Hole Fund).

Cross boundary collaboration

Essex Highways liaises with neighbouring local authorities and London Boroughs, as well as the Highways Agency (HA) and Transport for London (TFL), for cross boundary works or for those occasions where road closures and diversion routes have impact beyond Essex. For an example of cross boundary collaboration please refer to 'Section E E1 Cross boundary with Neighbouring Authorities.doc' relating to winter precautionary salting (file location: N:\7 Programme and Information\Asset Management\Budgets\Budget 14-15\Pot Hole Fund).

Other (please specify):

E2: Do you consider your authority to be an exemplar authority in tackling potholes and undertaking highway maintenance?

Yes No

If yes, please explain why.

Refer to 'E2 Annex B to support Application for Pothole Pledge Funding.doc' (file location: N:\7 Programme and Information\Asset Management\Budgets\Budget 14-15\Pot Hole Fund).

If yes, would your authority be willing to share its experiences more widely with other authorities / organisations?

Yes No

The Essex Highways culture is developed to encourage individuals to come forward with suggestions and to provide them with opportunities to evolve, implement and evaluate the effects of their ideas. Essex Highways is also committed to continual improvement and continued innovation to drive costs down through unique and competitive solutions. It is very happy to share its existing processes and techniques, as well as those for which it has plans. For example, it has formal plans in 2014/15 to formulate capital treatment strategies for its roads in

particular, to be derived from refining its current deterioration modelling processes, to bring about significant efficiency savings through minimising whole life costs. These refinements are prompted by the principles of the HMEP Carriageways Toolkit, but seeks to integrate these at a more detailed level. The treatment strategies are also to be supported by a road condition software facility, designed to locate capital maintenance sites based on the defect characteristics to be addressed through the proposed treatments. These undertakings are highly ambitious and not yet proven, but clearly in the domain promoted through the HMEP, and Essex Highways is very willing to share its ideas and plans with other authorities and organisations.

SECTION F: Declarations

F1. Senior Responsible Owner Declaration

As Senior Responsible Owner for Pothole Fund Application Form I hereby submit this request for approval to DfT on behalf of Essex County Council and confirm that I have the necessary authority to do so.

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

Name: Please refer to the scanned, signed copy attached

Signed: Please refer to the scanned, signed copy attached

Position: Please refer to the scanned, signed copy attached