

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: Cumbria County Council

Bid Manager Name and position: Andrew Coleman, Asset Manager

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

Contact telephone number: 07901 925475

Email address: Andrew.Coleman@cumbria.gov.uk

Postal address: Highways, Transport & Fleet
Environment and Community Services Directorate
Cumbria County Council
Parkhouse Building
Baron Way
Kingmoor Business Park
Carlisle
Cumbria, CA6 4SJ

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.cumbria.gov.uk/roads-transport/highways-pavements/highway-maintenance/potholes/Potholes.asp>

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?

1,906 road bridges;
61 highway footbridges;
1,578 footbridges on the Public Rights of Way network

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

45,000

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

12,500

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

1,942 miles

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

83 miles

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.cumbria.gov.uk/roads-transport/additionalfunding.asp>

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.
A. Has your authority aligned its maintenance programme to the Government's highways maintenance funding years (i.e. 2011-2015 and 2015-2021)?	✓ Yes	The Council's Transport Capital Programme expenditure report sets out preliminary capital budget allocations for the next three years. The 15/16 programme and beyond will be set on receipt of confirmed allocations by DfT. <i>Appendix: 3-Year Transport Capital Programme</i>
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 order to improve the resilience of the highway network and to minimise the occurrence of potholes in the future?	✓ Yes	Getting the right balance of its highway maintenance activities is embedded in the Council's core strategies, policies and procedures and recognises the importance of the highway network to the economy and the public. The Council's adopted Transport Asset Management Plan sets the policy framework for this, together with its draft HAMP which is currently under development. At a practical operational level, the annual planning and programming of highway maintenance schemes (transport capital programme) is assembled through a prescribed development process. HMEP has provided valuable information and advice from which we have, and continue to review our processes, procedures and the supporting systems that underpin service delivery. We assess best practice with other authorities and adjust our business as necessary. The attached summarises the HMEP themes and work we have done which supports this principle. <i>Appendix: Application of HMEP (Pothole Review) in Cumbria</i>

Question	Yes/No	<p>All 'yes' answers must be supported evidence.</p> <p>Please append supporting information, clearly marking the question number to which the information refers.</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>✓ Yes</p>	<p>The Council utilises and refers to a range of documents to ensure the correct choices are made. These include:</p> <ul style="list-style-type: none"> • HMEP guidance • Highway Maintenance Manuals • Transport Asset Management Plan • Highway Asset Management Plan • Highway Service Procedures to ensure compliance (Surface dressing design; Safety Inspections on County Roads; Works defect remedial procedure) <p>Our manuals and service procedures are built on national standards, specifications and codes of practice, and are regularly reviewed.</p> <p>Our maintenance and inspection methodology is strengthened by our in-house UKPMS accredited – Coarse Visual Inspection team and Visual Condition Surveys to aid the development of our forward programme of works.</p> <p>Competences across the highway service are regularly assessed and reinforced through individual annual appraisals. Staff training needs are delivered through both in house (tool box talks, mentoring, group training sessions etc) as well as by external providers.</p> <p><i>Appendix: List of Cumbria Highway Service Procedures</i></p>
<p>D. Does your 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>✓ Yes</p>	<p>The Council liaises and coordinates with statutory undertakers, road and user bodies, District Councils, developers, public transport providers, communities and residents through, for example:</p> <ul style="list-style-type: none"> • Interface with Truck Road network and Rail network - regular liaison with Highways Agency, Connect Roads, A69 Road Link and Network Rail over future work programmes. • Streetworks programmes - NRSWA team liaise with statutory undertakers at local, regional and national level at HAUC.

Question	Yes/No	<p>All ‘yes’ answers must be supported evidence.</p> <p>Please append supporting information, clearly marking the question number to which the information refers.</p>
		<ul style="list-style-type: none"> • Development management process - entering into and monitoring Section 278 Agreements. <i>Appendix: Sample of Section 278 Schemes.</i> • Temporary closures of the highway (roads / footways / public rights of way). <p>Information is shared throughout the Service by the Highways Integrated Management System (HIMS).</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>✓ Yes</p>	<p>In 2010 the Council introduced “Better Highways” – a new working practice to replace its outsourced works contract with in house operational teams across the county. Its purpose is to manage and control the work better, adopt “best-practice” for the repair of potholes (“right first time” approach), and provide a more responsive service. The ADEPT report contributed to our service review as well as the developing HMEP methodology – Matthew Lugg visited the team to share ideas.</p> <p>The “Better Highways” service continues to adapt to demand and is linked to key asset management activities such as life cycle management and the forward programme of works.</p> <p>We have utilised the HMEP toolkit to establish quantum for the carriageway asset. From this we are investigating scenarios that establish where we can realise efficiencies. The scenarios will provide information to help senior decision makers on the best strategy and tactics for determining the balance required between capital and operational expenditure for maintenance works.</p>
<p>F. Has your authority developed a detailed highway inspection manual and have put appropriate training in place for your Highway Inspectors?</p>	<p>✓ Yes</p>	<p>The Council has a suite of documents that support the highway maintenance service including:</p> <ul style="list-style-type: none"> • Highway Maintenance Manual • Safety Inspection Plan • Highway service procedures <p>When the Better Highways model was introduced, this included a fundamental change to an “inspect and repair approach” at operative level, reducing the cost of inspection and revisiting. All operatives complete a documented training process, and additional training is provided where necessary.</p> <p><i>Appendix: Safety Inspection Flowchart</i></p>

Question	Yes/No	<p>All 'yes' answers must be supported evidence.</p> <p>Please append supporting information, clearly marking the question number to which the information refers.</p>
<p>G. Does your authority use technology and systems for the effective identification and management of potholes?</p>	<p>✓ Yes</p>	<p>The Council has adopted a new highways integrated management system (purchased from WDM) to modernise and improve all aspects of identifying, recording, processing and initiating highway work.</p> <p>Its works management and service centre modules came on line in March 2013 which includes all aspects of reporting, managing and monitoring pothole defects.</p> <p><i>Appendix: Screen shot of HIMS Report</i></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>✓ Yes</p>	<p>The service consults with and reports to six Local Area Committees on its proposed programmes of highway work, including pothole repairs. (Committee reports are published on the Council's website). Local area teams engage with members and local community interests about these programmes of work.</p> <p>The Council's website provides information about reporting potholes and the approach the Council adopts to undertake this work.</p> <p>The Council's "highways hotline" provides a transparent and open process for the public to report and track the progress for the repair of reported defects including potholes.</p> <p>The following link provides access to the highways hotline and information about reporting potholes: http://www.cumbria.gov.uk/roads-transport/highways-pavements/reporting-problem-on-highway/reportingproblemswithstreetsorhighways.asp</p>
<p>I. Does your authority monitor public satisfaction with road, footway and cycleway condition and report annually through the National Highways and Transport Public Satisfaction Survey or their own surveys?</p>	<p>✓ Yes</p>	<p>The Council regularly undertakes a Quality of Life Survey with 10,000 of its residents to establish levels of public satisfaction on key services. This includes views on the quality and importance of pavement and road repairs across the County and its six District areas. The 2012 Quality of Life Survey can be viewed via the following web-link: http://www.cumbriaobservatory.org.uk/Surveys/qualityoflifesurvey2012.asp</p> <p>The Council is a member of the National Highways and Transport Network and in recent years has taken part in their Public Satisfaction Surveys. The Council is also an active member of APSE. At</p>

Question	Yes/No	All 'yes' answers must be supported evidence. Please append supporting information, clearly marking the question number to which the information refers.
		present we are rationalising our involvement with these organisations in light of budget savings and the quality of our own surveys.
J. Does your authority adopt permanent repairs as the first choice when repairing potholes?	✓ Yes	Wherever possible we carry out permanent repairs by cutting out the affected area around the pothole, sealing the sides of the hole, filling it with hot bitumen macadam and compacting the material with a roller or vibrating plate. Details are provided on the following web-link: http://www.cumbria.gov.uk/roads-transport/highways-pavements/highway-maintenance/potholes/Potholes.asp
K. Has your authority adopted dimensional definitions for potholes based on best practice as part of its maintenance policy?	✓ Yes	Depth is recorded to help our teams establish the required response time. The new safety inspection plan explains and sets out requirements. <i>Appendix: Draft Highway Safety Inspection Plan</i>

B2: Does your authority adopt any innovative methods to help repair potholes? This could include, for example, specialist pothole maintenance crews.

✓ Yes

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

The Council has piloted the use of specialist maintenance crews across the county to tackle pothole repairs, and would be able to mobilise this approach again should additional DfT funding be made available. These have been formed from suitably trained and equipped hand-picked teams, plus specialist contractors, to target network lengths where potholes have proven hard to manage. Examples of this work include:

Immediate works:

- dedicated small scale patching work
- bitumen spray and chip to seal surface
- jet patching
- nu-phalt

Medium term life cycle plan works:

- repave
- deep in situ recycling
- planned / programmed patching

Our asset management team work closely with our area based operational teams to provide a level of value engineering to help identify, prescribe and prioritise where work is required. The process relies on data derived from road condition surveys and input from practitioners managing the delivery of the service.

Appendix: HIMS process

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

CTC Fill that Hole	✓ Yes
Council's Own Web Reporting	✓ Yes
Other	✓ Yes

Please specify:

Members of the public can report and track the progress of faults using the Council's highways hotline service.

Problems can also be reported by the public through the National CTC website

Reporting tools within the WDM-HIMS system are currently under development. The system is not yet fully operational, but is currently available, in real time, to the Council's service delivery teams, managers and elected members.

Parish Councils are also able to report faults directly through contact with the Council's Highway Stewards.

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
District, Borough and Parish Councils	✓ Yes
Local Residents	✓ Yes
(Including neighbourhood Forums)	✓ Yes
Business Community	✓ Yes
Emergency Services	✓ Yes

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

The Council consults with and informs a wide range of organisations, representative bodies and communities about its highways maintenance programme (see response to question B1(H)), as well as through wider engagement with bodies such as Cumbria Association of Local Councils, Neighbourhood Forums and Local Area Committees etc. It also consults and informs affected organisations and individuals before undertaking highway works. Guidelines for this are set out in a service procedure.

Appendix: Service Procedure 12/006 Consulting & Informing People.

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

✓ Yes

If yes, please provide a weblink:

The Council's LTP3 policy sets out its vision to increase the number of journeys made on foot by residents and visitors. LTP3 documents can be accessed in the following location:

<http://www.cumbria.gov.uk/roads-transport/public-transport-road-safety/transport/transportplan/3rdcumbriatransportplan.asp>

There are three key programmes that flow from LTP3;

- **Improved infrastructure for pedestrians** - including new footways, crossing points, and dropped kerbs are being delivered in villages and towns across Cumbria to achieve this.
- **Active Travel programme** - aims to significantly increase the number of students walking to and from school through promotion of walking and improvements in infrastructure as detailed on; <http://www.cumbria.gov.uk/roads-transport/public-transport-road-safety/transport/Active-Travel/walking/walking.asp>
- **Rights of Way Improvement programme** – a rolling programme of demand led improvement schemes to improve the quality, provision and connectivity of footpaths and bridleways with other parts of the network, which in turn will encourage greater walking and cycling.

Appendix: ROWIP Executive Summary

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, and co-ordination meetings?

Works are synchronised through coordination sheets which are regularly distributed to all statutory undertakers and the Council's highway service delivery teams. All parties collaborate to ensure that aspirations are realised and, disruption to road users, the local community and business is kept to a minimum. Work is now recorded and reported through a new HMS "streetworks" module.

A link to Highway Permits and Licences required, with associated fees and charges can be found in the following location: <http://www.cumbria.gov.uk/roads-transport/highways-pavements/roads/highway-permits-licences/licenceapplications.asp>

Where required individual schemes are coordinated in more detail and may include in-depth consultation with specific stakeholders. These activities are facilitated by the Council.

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)**

The Council's delivery of NRSWA 1991 are in accordance with the Act itself; this is supported by the County Council's Service Procedures and asset information register. As part of this work, the County Council carries out its required 10% inspections of A, B and C stage works and the results from these are provided to each Utility Company / other permit holder. From these results, performance improvement notices are issued to any Utility Company / other permit holder that has a failure rate of over 10% of A, B or C stage inspections.

There is a robust enforcement process. Currently improvement notices have been issued to several Utility Companies, whilst others have recently been lifted. The Council regularly pursues prosecutions under Section 65 of the NRSWA and its safety Codes of Practice, with 82 successful cases to date.

In addition to the 10% inspections set out with the Codes of Practice, the Council endeavours to inspect 90% of all C stage works.

A regular coring programme is also in operation. This cores up to 90 openings in the Network each week to ensure structural as well as visual compliance.

Regular meetings are held with Utility Companies, to share lessons learnt and best practice, to ensure standards are met and maintained.

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

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.
A. Has your authority got an up to date asset management policy and strategy?	✓ Yes	<p>The Council has developed an asset management policy as set out in its Transport Asset Management Plan and a defined strategy for delivering this, as set out in its Highway Asset Management Plan.</p> <p>The TAMP document and the HAMP Executive Summary can be viewed on the Council's website in the following location: http://www.cumbria.gov.uk/landing_page/roadsandtravel.asp</p>
B. 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?	✓ Yes	<p>The Council communicates with stakeholders about its management of the highway network through a range of media to ensure the public are engaged and informed in decisions made. Methods include;</p> <ul style="list-style-type: none"> • CCC website – general information about the highway service, service delivery and how to report problems. • Reports to the Council's six Local Area Committees - who represent the communities and residents across the county. • Regular liaison meetings – with the six District Councils, the Cumbrian Association of Local Councils (Parish Council representation), Neighbourhood Forums, the Cumbria Cycle Group, Cumbria Local Access Forum, Cumbria Disability Network etc. • Annual budget consultation process – the Council reports on proposed levels of service and budget choices to be made.
C. Does your authority have an asset management register?	✓ Yes	<p>The Asset Management Register is stored on an integrated GIS-based system. All relevant information is accessed spatially.</p> <p><i>Appendix: Asset Register Summary</i></p>

D. 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?	✓ Yes	<p>The Council has set out its approach to the lifecycle planning of its assets through its draft Highways Asset Management Plan and Appendices. Life cycle planning is an integral part of planning, developing and prioritising highway schemes which are entered onto the Council's rolling Transport Capital Programme and associated Service Procedures (see Section 13 from the Appendix from Question B1(C) <i>List of Cumbria Highway Service Procedures</i> for relevant Service Procedures).</p> <p><i>Appendix: Transport Capital Programme Guide</i></p> <p>The HMEP Toolkit and software was recently used to analyse and report the positive impacts of potential invest-2-save highway maintenance proposals.</p> <p>A joint work party has been set up with neighbouring northern shire counties and TRL-Appia to develop life-cycle tools utilising HMEP. This includes Cumbria, Northumberland, Durham and is led by North Yorkshire County Councils.</p>

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
Lighting	✓ Yes
Structures	✓ Yes
Street Furniture	✓ Yes

Appendix: L-Pack Return

SECTION D – Efficiencies

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

✓ Yes

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 Council has completed a major restructure and remodelling of its highways services to provide a better service, and secure greater efficiency and effectiveness from its operating activities. This includes an enhanced in house team capability across all key disciplines, responsive operating teams working across the county and outsourced framework contractors providing the best mix of additional capacity and specialist services where required. These efficiencies have been secured at a time when the Council has had to make an overall £83M saving in its budget.

Coupled with this, the service is engaged in a number of detailed studies to produce further efficiencies and savings. Examples of recent efficiency work include;

Procurement of lighting equipment: £7.6M invest to save proposal for a countywide project to replace over 50% of lanterns with light emitting diode units. Alongside this we will 'dim' around 25% of the main road lanterns to provide a cumulative annual saving in the region of £430K by year three.

Procurement of ticket machines: The Council is taking forward a single project to introduce 'pay & display' parking within 11 town centres. Quality, efficiency and VFM have been achieved through a collaborative procurement exercise undertaken by the public sector buying consortia comprising five potential suppliers.

Disposal of highway waste: Analysis of depot and highway waste metrics and break up of supply chain from a single supplier has enabled more competitive provision of waste management and disposal processes provided by local contractors leading to annual savings of circa £36K.

Procurement; framework contractors: The Council has introduced an improved process for selecting a suite of suitably skilled framework consultants and contractors based on quality and value for money. This has produced greater competition, better rates of work, flexibility and availability through draw-down arrangements.

Standardisation of contracts: Contracts use NEC suite of documents.

Urban Traffic Control: Additional funding was provided this year to support the introduction of UTC in towns across Cumbria with benefits and savings for the highway network as well as improving levels of service for road users and other stakeholders. The UTC principal is providing central monitoring of faults, reducing site visits and traffic congestion.

Appendix: UTC Ambleside flows graph

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

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

Durham County Council
North Yorkshire County Council
Northumberland County Council
CIPFA: HAMP Network
Local Councils Highway Investment Group
ADEPT North West Structures Group
ADEPT Materials Sub-group

Cumbria has been actively involved with other local highway authorities and participated in industry led groups at regional and national level for many years. This demonstrates our commitment to sharing experience and collaborative methods of working. Activities have included looking at a range of asset management issues including life cycle planning, whole of government accounts, application of HMEP toolkits, cross boundary working, specification, performance of materials and the reintroduction of appropriate benchmarking.

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

Members of the directorate attend and participate in the national forum, HMEP, CIPFA, regional forums and events, and have contributed towards the development of some HMEP documents.

Assistant Director Highways and Transport has spoken at HMEP national seminars on efficiency programme themes highlighting the journey Cumbria has taken to reshape and modernise its highway service.

Highway staff regularly attend and participate in HMEP, ADEPT and other regional events.

If yes, please provide state where.

Durham County Council
North Yorkshire County Council
Northumberland County Council
Roads Board – Asset Management Sub-Group
Local Councils Highway Investment Group
IAM North West Group
ADEPT North West Structures Group
ADEPT Materials Sub-group
HAUC UK SROH Working Party
North West Traffic Managers Group

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

The directorate has explored and developed business cases to support a number of invest to save proposals where we have been able to show that up front capital investment in highway assets would accrue significant revenue savings over time. Two recent examples have been a Road Lighting Invest to Save Proposal which was approved, and a Highway Maintenance Invest to Save Proposal which failed due to the cumulative costs of serving the interest on the debt.

Appendix (a): Lighting Invest to Save Proposal

Appendix (b): Highway Maintenance Invest to Save Proposal

Cross boundary collaboration ✓Yes

We regularly engage with peer group authorities in relation to developing and reviewing highway policy and service procedures. Examples include roadside memorials, highway tree management, pavement design, life cycle planning, brown tourism signage, Transport Asset Management Plan, disabled parking etc.

Other (please specify):

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

✓Yes

If yes, please explain why.

The Council has demonstrated its ability to respond to the challenge of managing a very large rural road network with less money, and to balance the needs for planned, routine and reactive highway maintenance across the county which fits with local priorities. It has done this with the best mix of a competent leaner workforce coupled with outsourced framework contractors to provide a resilient and responsive high quality service at a comparatively lower cost base.

Members have demonstrated their support for highway maintenance by placing it as a strategic priority in the current Council Plan, and have invested an additional £2M in 2014/15 to deliver capital road schemes.

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

✓Yes

SECTION F: Declarations

F1. Senior Responsible Owner Declaration

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

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

Name: Andrew Moss

Signed:

Position: Assistant Director Highways, Transport and Fleet

