

An outline of the methodology used in this compliance assessment is provided at the end of the document.

The Code of Practice can be accessed on the web at:

<http://www.ukroadsliaisongroup.org/en/codes/index.cfm>

RECOMMENDATION 1 – USE OF THE CODE (A.2.1.3.)	Compliance:
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 (A.2.1.3.)	
An Asset Management Framework should be developed and endorsed by senior decision makers. All activities outlined in the Framework should be documented.	
RECOMMENDATION 3 – ASSET MANAGEMENT POLICY AND STRATEGY (A.2.1.3.)	
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.	
Response:	
1. The Code has been adopted by the authority to help develop a highway asset management policy.	High
2. All 22 Welsh authorities are working through the County Surveyors Society Wales (CSSW) to help develop improvements in asset management. Consultants have been engaged to assist in developing and delivering prioritised asset management projects.	High
3. The latest asset management policy and outline strategy were approved by the Portfolio Holder for Highways approved 11th July 2017.	High
4. A programme of development for a highway asset management plan is ongoing.	Medium

RECOMMENDATION 4 – ENGAGING AND COMMUNICATING WITH STAKEHOLDERS (A.2.2.)	Compliance:
Relevant information should be actively communicated through engagement with relevant stakeholders in setting requirements, making decisions and reporting performance.	
Response:	
1. The council includes questions on highway services within the residents surveys.	Low
2. Engagement is generally undertaken on major improvement and new provision schemes.	Medium
3. The council operates social media sites e.g. web; twitter, Facebook to disseminate information on projects, roadworks, road closures etc.	Medium
4. The council issues media communications on topics deemed to warrant proactive publicity.	High
5. Performance data is provided through Welsh Government public accountability measures (PAM) and services measures.	Medium
RECOMMENDATION 5 – CONSISTENCY WITH OTHER AUTHORITIES (A.2.3.5.)	Compliance:
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.	
Response:	
1. Discussions have been held with other authorities in the past resulting in semi-formal agreements on arrangements for bridge maintenance; bridge major repairs; winter service treatments; general highway maintenance. These are generally on a reciprocal basis where efficiency of operation is achievable. It is planned to commence a review and seek to implement more formal agreements.	High
2. The council considers that there is general consistency with other authorities.	High
RECOMMENDATION 6 – AN INTEGRATED NETWORK (A.2.4.10)	Compliance:
The highway network should be considered as an integrated set of assets when developing highway infrastructure maintenance policies.	
Response:	
The authority considers that it is progressing well in this respect but will review this more fully in a future part of the HAMP development/ implementation project.	Medium

RECOMMENDATION 7 – RISK BASED APPROACH (A.2.5.2.)	Compliance:
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.	
Response:	
A risk based approach was adopted in the HAMP in 2007 across key aspects of the service. This approach will continue to be reviewed and expanded to further area during the HAMP development/implementation project.	High
RECOMMENDATION 8 – INFORMATION MANAGEMENT (A.2.7.7.)	Compliance:
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.	
Response:	
<ol style="list-style-type: none"> 1. All 22 Welsh authorities are working through the CSSW to help develop improvements in asset management. Consultants have been engaged to assist in developing and delivering prioritised asset management projects. This includes reviewing information management and is informing developments. 	Medium
<ol style="list-style-type: none"> 2. The highway service has acquired and is implementing new software systems to enable better recording and tracking of information. Implementation includes connectivity opportunities with corporate systems such as CRM, finance and claims. Systems being implemented include: <ul style="list-style-type: none"> • AMX (Asset Management Expert) - Structures, highways, street lighting; • Tablet/Smartphone based for site work e.g. inspections. 	Medium moving toward High
RECOMMENDATION 9 – NETWORK INVENTORY (A.4.2.6.)	Compliance:
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.	
Response:	
<ol style="list-style-type: none"> 1. Work through CSSW project is assisting in identifying gaps in data and quality. This will inform development of a costed gap analysis on which to make decisions about future collection strategies using a risk based approach. 	Medium
<ol style="list-style-type: none"> 2. Some aspects of inventory are at a high level (e.g. primary structures; adopted road network). Others are poor (e.g. drainage runs; footways) 	Medium

RECOMMENDATION 10 – ASSET DATA MANAGEMENT (A.4.2.6.)	Compliance:
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.	
Response:	
<p>1. All 22 Welsh authorities are working through CSSW to help develop improvements in asset management. Consultants have been engaged to assist in developing and delivering prioritised asset management projects. This includes reviewing asset data management and is informing developments.</p>	Medium
<p>2. The highway service has acquired and is implementing new software systems to enable better recording and tracking of information. Implementation includes connectivity opportunities with corporate systems such as CRM, finance and claims.</p> <p>Systems being implemented include:</p> <ul style="list-style-type: none"> • AMX (Asset Management Expert) - Structures, highways, street lighting; • Tablet/Smartphone based for site work e.g. inspections. 	Medium moving toward High
RECOMMENDATION 11 – ASSET MANAGEMENT SYSTEMS (A.4.2.7.)	Compliance:
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.	
Response:	
<p>1. All 22 Welsh authorities are working through CSSW to help develop improvements in asset management. Consultants have been engaged to assist in developing and delivering prioritised asset management projects. This includes reviewing asset management systems and is informing developments.</p>	Medium
<p>2. The highway service has acquired and is implementing new software systems to enable better recording and tracking of information. Implementation includes connectivity opportunities with corporate systems such as CRM, finance and claims.</p> <p>Systems being implemented include:</p> <ul style="list-style-type: none"> • AMX (Asset Management Expert) - Structures, highways, street lighting; • Tablet/Smartphone based for site work e.g. inspections. 	Medium moving towards High

RECOMMENDATION 12 – NETWORK HIERARCHY (A.4.3.10.)	Compliance:
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.	
Response:	
<p>1. All 22 Welsh authorities are working through CSSW to help develop improvements in asset management. Consultants have been engaged to assist in developing and delivering prioritised asset management projects. This includes reviewing network hierarchy following which CSSW have approved a recommended a basis for establishing a network hierarchy regime. It is proposed that this be adopted within Powys and will be recommended for inclusion in the HAMP.</p> <p>Note: Consideration needs to be given to cycleway hierarchy as this is not covered by the CSSW proposal.</p>	High
2. It is anticipated that data required to complete the development of a hierarchy will not be available. Adoption of the hierarchy will therefore require judgemental decisions with any data gaps identified and included in a gap analysis report.	Medium
RECOMMENDATION 13 – WHOLE LIFE / DESIGNING FOR MAINTENANCE (A.4.6.9.)	Compliance:
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.	
Response:	
Whole life costing has been considered in some capital projects but further work is required to integrate it more fully with the full range of HAMP activities	Low
RECOMMENDATION 14 – RISK MANAGEMENT (A.5.1.5.)	Compliance:
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.	
Response:	
1. The council maintains a corporate risk register that is fed from the service risk registers.	High
2. Whilst risks are known for specific assets, work is required to develop a documented more comprehensive and broader asset level approach.	Low

RECOMMENDATION 15 – COMPETENCIES AND TRAINING (A.5.3.4.)	Compliance:
The appropriate competency required for asset management should be identified, and training should be provided where necessary.	
Response:	
<p>1. All 22 Welsh authorities are working through CSSW to help develop improvements in asset management. Consultants have been engaged to assist in developing and delivering prioritised asset management projects. This includes reviewing competencies and a draft assessment framework has been developed. Initial assessment indicates the authority achieves a satisfactory level of competence but formal assessment has yet to be completed.</p> <p>The CSSW project is facilitating the development of local authority staff in asset management practices and continues to deliver training through workshops on key issues.</p>	Medium
<p>2. As part of the CSSW project training schemes have been devised for key topic areas and it is proposed to build these in to training packages for relevant staff.</p>	Medium
<p>3. Training requirements for staff are considered: as part of the annual performance review process; when service re-design takes place or when concerns are identified.</p> <p>Training is being carried out for highway inspection staff following recent service re-design.</p>	Medium
RECOMMENDATION 16 – INSPECTIONS (A.5.5.8.)	Compliance:
A risk-based inspection regime, including regular safety inspections, should be developed and implemented for all highway assets.	
Response:	
<p>All 22 Welsh authorities are working through the CSSW to help develop improvements in asset management. Consultants have been engaged to assist in developing and delivering prioritised asset management projects. This includes reviewing inspection requirements.</p> <p>CSSW have approved a recommended a basis for establishing an inspection regime. It is proposed that this be adopted with minor modification within Powys and will be recommended for inclusion in the HAMP.</p>	High
RECOMMENDATION 17 – CONDITION SURVEYS (A.5.5.8.)	Compliance:
An asset condition survey regime, based on asset management needs and any statutory reporting requirements, should be developed and implemented.	
Response:	
<p>A range of condition surveys are undertaken but a review is required to assess the future need. The CSSW project has undertaken some work in this area and this will form the basis of assessing need.</p>	Medium

RECOMMENDATION 18 – MANAGEMENT SYSTEMS AND CLAIMS (A.5.6.8.)	Compliance:
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.	
Response:	
<p>1. All 22 Welsh authorities are working through the County Surveyors Society (Wales) to help develop improvements in asset management. Consultants have been engaged to assist in developing and delivering prioritised asset management projects. This includes reviewing management systems and is informing developments.</p>	Medium
<p>2. The highway service has acquired and is implementing new software systems to enable better recording and tracking of information. Implementation includes connectivity opportunities with corporate systems such as CRM, finance and claims.</p> <p>Systems being implemented include:</p> <ul style="list-style-type: none"> • AMX (Asset Management Expert) - Structures, highways, street lighting; • Tablet/Smartphone based for site work e.g. inspections. 	Medium moving toward High
<p>3. Claims in Powys are considered to be at a relatively low level but repudiation rates are showing a gradually declining trend. It is thought that a number of reason may be affecting this trend and further work is required to ensure systems remain robust.</p> <p>Recent changes to the delivery of inspections and a streamlining of the claims management process have been implemented.</p>	Medium
RECOMMENDATION 19 – DEFECT REPAIR (A5.8.4.)	Compliance:
A risk-based defect repair regime should be developed and implemented for all highway assets.	
Response:	
<p>All 22 Welsh authorities are working through CSSW to help develop improvements in asset management. Consultants have been engaged to assist in developing and delivering prioritised asset management projects. This includes reviewing defect repair regimes.</p> <p>Powys introduced a risk based approach to defect repair with the 2007 HAMP and are content that t has delivered an appropriately level of service in challenging times.</p> <p>CSSW consider that a key dis-benefit of using a risk based approach at inspector level is that inspection staff may struggle to defend decisions in court. They have therefore developed and adopted a defect repair regime that reduces the need for an inspector based risk approach.</p> <p>It is proposed to adopt the CSSW approach as part of the HAMP with minor modification.</p>	High

RECOMMENDATION 20 – RESILIENT NETWORK (A.6.3.4.)	Compliance:
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.	
Response:	
<p>The highway network across Powys is heavily reliant on trunk roads for providing a resilient network. Whilst under the control of Welsh Government the council does provide services to Welsh Government under agreement. The most significant of these is winter gritting where the council provides services on both trunk and local authority roads is a combined response. This combined network is generally accepted as the "resilient network" for the majority of activities and receives priority accordingly. Local roads are included in the network to ensure feeder routes from centres of strategic need to the trunk road network which enables onward connections within and out of county.</p>	High
RECOMMENDATION 21 – CLIMATE CHANGE ADAPTATION (A.6.4.9.)	Compliance:
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.	
Response:	
<p>Extreme weather events to date have been centred on flooding issues and have typically been isolated and erratic in terms of location, intensity and impact. Known problem sites are identified and treated accordingly (see Recommendation 22). Land drainage impacts are managed through the land drainage team and now focus on sustainable drainage.</p>	Medium
RECOMMENDATION 22 – DRAINAGE MAINTENANCE (A.6.5.9.)	Compliance:
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.	
Response:	
1. A schedule of drainage sites prone to blockage that may result in flooding is maintained and are routinely inspected when deemed necessary.	High
2. Drainage assets on the county resilient network receive periodic maintenance treatment.	High
3. Drainage maintenance on the remainder of the network is driven by inspection or customer reports with works programmed accordingly	Medium

RECOMMENDATION 23 – CIVIL EMERGENCIES AND SEVERE WEATHER EMERGENCIES PLANS (A.6.5.13.)	Compliance:
<p>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.</p>	
<p>Response:</p>	
<p>The highway authority are recognised as a key responder to civil emergencies due to the level of staffing, equipment and experience retained to provide day to day services. The highway authority provides 24 hour services for emergency response on highway matters that can be readily switched to other demands as required. A significantly enhanced resource is available during the winter periods to meet the demand of gritting, flooding response etc. Periodic reviews of service provision are undertaken to review historical response and inform future response.</p>	<p>High</p>
RECOMMENDATION 24 – COMMUNICATIONS (A.6.7.6.)	Compliance:
<p>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.</p>	
<p>Response:</p>	
<p>The severe weather plan does not include for a specific communications plan. The highway authority uses web, twitter, Facebook and local media to disseminate information. A review of the need for a service specific communications plan as part of a the winter service review.</p>	<p>Medium</p>
RECOMMENDATION 25 – LEARNING FROM EVENTS (A.6.8.1.)	Compliance:
<p>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.</p>	
<p>Response:</p>	
<p>Events are generally managed by the local authority emergency planning service or key stakeholders. The service provides appropriate staff and resources in response to requests.</p>	<p>High</p>

RECOMMENDATION 26 – PERFORMANCE MANAGEMENT FRAMEWORK (A.7.1.2.)	Compliance:
A performance management framework should be developed that is clear and accessible to stakeholders as appropriate and supports the asset management strategy.	
Response:	
1. The service contributes to Public Accountability Measures (PAM) and Service Improvement Plan (SIP) measures.	High
2. Performance frameworks are being reviewed as part of the CSSW project .	Low
RECOMMENDATION 27 – PERFORMANCE MONITORING (A.7.1.2.)	Compliance:
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.	
Response:	
As part of the CSSW project guidance has been drawn up to inform performance monitoring regimes. It is proposed to adopt this as a basis for performance monitoring with the HAMP.	Medium
RECOMMENDATION 28 – FINANCIAL PLANS (A.8.1.4.)	Compliance:
Financial plans should be prepared for all highway maintenance activities covering short, medium and long term time horizons.	
Response:	
Financial planning is undertaken with the local authority finance service. Improved data on assets, condition, impacts etc. would enable more refined planning and collection of data will be considered as part of the ongoing HAMP development.	Medium
RECOMMENDATION 29 – LIFECYCLE PLANS (A.8.1.4.)	Compliance:
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.	
Response:	
Lifecycle planning for core assets has been developed as part of the CSSW project. Carriageways represent the single highest value asset and models developed for these have been used successfully in informing funding levels and supporting capital bids.	Medium

RECOMMENDATION 30 – CROSS ASSET PRIORITIES (A.8.3.4.)	Compliance:
In developing priorities and programmes, consideration should be given to prioritising across asset groups as well as within them.	
Response:	
The service receives core and asset specific capital funding. Indicative funding allocations are provided for a five year period and assigned to asset groups having regard to need across asset groups. A ranking scheme is used to assess priorities within key groups.	High
RECOMMENDATION 31 – WORKS PROGRAMMING (A.8.3.4.)	Compliance:
A prioritised forward works programme for a rolling period of three to five years should be developed and updated regularly.	
Response:	
The service receives core and asset specific capital funding. Indicative funding allocations are provided for a five year period and assigned to asset groups. A rolling list of potential schemes is maintained with specific allocations confirmed each year. Larger schemes covering more than one financial year will have funding allocations confirmed for the period of the scheme.	High
RECOMMENDATION 32 – CARBON (A.9.1.6.)	Compliance:
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.	
Response:	
There is currently no over arching policy or assessment framework for whole life carbon costing. This will be considered in due course.	Low
RECOMMENDATION 33 – CONSISTENCY WITH CHARACTER (A.9.2.8.)	Compliance:
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.	
Response:	
The council seeks to take such factors into account but does not currently have a specific policy or regime for assessing need.	Medium

RECOMMENDATION 34 – HERITAGE ASSETS (A.9.2.8.)	Compliance:
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.	
Response:	
Lists are readily available to staff to assist in identifying potential assets. Advice is sought through appropriate bodies (e.g. CADW, Planning Built Heritage) and specialist consultants/contractors engaged where required.	High
RECOMMENDATION 35 – ENVIRONMENTAL IMPACT, NATURE CONSERVATION AND BIODIVERSITY (A.9.9.4)	Compliance:
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.	
Response:	
1. Consideration is generally given to selection of materials, products and treatments but it is accepted that further commitment is required in this area.	Medium
2. Environmental information is available primarily through mapping data provided by statutory bodies (e.g. CADW, NRW) to assist in identifying area of special interest. Specialist consultants/contractors are engaged where required.	High
3. The principles of conservation and biodiversity are followed for highway verges, trees and landscaped areas. Sites of special interest are managed under the Roadside Verge Nature Reserve protocol which involves site specific cutting regimes.	High
4. The council was a founding partner of the Biodiversity Information Services (BIS) and continues to provide financial support. The service collects information on local habitats that is used to inform decision on maintenance, new build and development sites.	High
5. The council directly employs an ecology team who work across highway and planning services.	High
6. Whilst whole life costing is used in relation to some schemes (e.g. new build) further work is required to integrate it in to all areas of operation.	Low
7. Highway safety and serviceability are a high priority for users and staff.	High

RECOMMENDATION 36 – MINIMISING CLUTTER (A.9.11.4.)	Compliance:
Opportunities to simplify signs and other street furniture and to remove redundant items should be taken into account when planning highway infrastructure maintenance activities.	
Response:	
Such opportunities have been taken for a number of years and will continue in order to ensure clear and concise messages for users and efficiency.	High
Examples include: <ul style="list-style-type: none"> rationalisation during renewal/upgrade; new build schemes (including developments for adoption). 	

Outline of the methodology used in this compliance assessment	
<p>The assessment of compliance is based on a subjective evaluation of performance against each recommendation. The nature of the recommendations makes it difficult to introduce a structured scoring regime that could be consistently and efficiently applied. The factors listed below represent a range of examples and are not intended to be exhaustive.</p> <p>Recommendations may have elements in different compliance levels for which the assessed compliance will consider where the major factors sit.</p>	
Compliance Level	Examples used to assess level of compliance.
High	<ol style="list-style-type: none"> Recommendation met in full through existing policy and practice; Planned approach to implementation/compliance clearly stated and in process of being delivered with high expectation of achieving goals.
Medium	<ol style="list-style-type: none"> Evidence of custom and practice but no formal policy/systems/working practice; Planned approach to implementation/compliance evident and in process of being delivered but with medium expectation of achieving goals; Understanding of key principles crossing over in to decision making but no formal process/procedure adopted; Prioritised programme to deliver compliance established but yet to commence or in early stages of implementation.
Low	<ol style="list-style-type: none"> Acknowledgement of requirements and considered for future prioritised work programme but not currently prioritised or with no implementation plan; Some pockets of compliance; No widespread acknowledgement of requirement; No formal or informal process to deliver; Requirements identified but little prospect of implementation due to other constraints.