

# Department for Transport Self Assessment Questionnaire - Gap Analysis

	Asset Management								Resilience			Customer			Benchmarking & Efficiency		Operational Service Delivery					
	1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16	17	18	19	20	21	22
	Asset Management Policy and Strategy	Communications	Performance Management Framework	Asset Data Management	Lifecycle Planning	Leadership and Commitment	Competencies and Training	Risk Management	Resilient Network	Implemented Potholes Review	Implemented the Drainage Guidance	Satisfaction	Feedback	Information	Benchmarking	Efficiency Monitoring	Periodic Review of Operational Service Delivery	Supply Chain Collaboration	Lean Reviews	Works Programming	Collaborative Working	Procuring External Highway Maintenance Services
	Does your local authority have an asset management policy and strategy for its highway infrastructure?	Has your local authority communicated its approach to highway infrastructure asset management?	Does your local authority have a performance management framework and maintenance regime that supports its highway infrastructure asset management strategy and continuous?	Does your local authority have an effective regime to manage its highway infrastructure asset data?	Is your local authority undertaking lifecycle planning as part of its highway infrastructure asset management?	Is your authority able to demonstrate leadership and commitment from senior decision makers in taking forward its highway infrastructure asset management?	Has your local authority identified the appropriate competencies required for highway infrastructure asset management and what training may be required?	Does your local authority have a comprehensive approach to managing current and future risks associated with the highway infrastructure assets?	Has your local authority established a resilient network as recommended by the 2014 Transport Resilience Review?	Has your local authority implemented the relevant recommendations of the 2012 HMEP Potholes Review - Prevention and a Better Cure?	Has your local authority implemented the relevant recommendations of the 2012 HMEP Guidance on the Management of Highway Drainage Assets?	Does your local authority undertake customer satisfaction surveys into the condition of its highway network and if so how does it use this information to help drive?	Does your local authority have a mechanism in place to gather customer feedback on its highway maintenance service and if so how does it use this information?	How does your local authority ensure that customers are kept informed about their highway maintenance service?	Does your local authority undertake benchmarking to drive improvement in its highway maintenance service?	Does your local authority have a process in place to measure the ongoing cashable and non-cashable efficiencies that are being delivered in the highway maintenance?	Does your local authority have a mechanism in place to undertake a periodic review of its operational service delivery arrangements for the highway maintenance service?	Is your authority working in collaboration with your operational service provider and their supply chain in delivering the highway maintenance service or any component of it?	Has your local authority undertaken a Lean or equivalent transformational change management review of its highway infrastructure assets?	Has your local authority produced a long term forward programme of capital maintenance works for all its highway infrastructure assets?	Is your local authority working in collaboration with your operational service provider in delivering the highway maintenance service or any component of it?	Is your local authority adopting a good practice approach in the way it procures external highway maintenance services?
<b>3</b>	In addition: Outcomes from investment in the asset are clearly identified in the strategy. Demonstration that the strategy has been used to develop the level of service for setting and measuring performance, and the outcomes from the strategy can be demonstrated. All staff and stakeholders can demonstrate knowledge and alignment to this policy and strategy. Regular asset management briefings with the senior decision-makers, and relevant staff.	In addition: Communication strategy is in place, its implementation is monitored and "lessons learnt" are incorporated. Stakeholder consultation information is used to develop levels of service. There is a transparent process for the decision-making available to the public.	A complete performance management framework is in place. Performance targets are in place and linked to investment levels. Stakeholders including road users, other groups and the senior decision-makers have been consulted in the development of customer focused measures and levels of service. Performance targets are aligned to financial requirements over the next 3 years and the funding required has been identified. Regular reviews by senior management are undertaken and improvement actions developed as a consequence. These have been aligned with senior decision-makers and the service delivery.	In addition: An information strategy has been developed and implemented that supports the asset management strategy. The strategy should be appropriate for the authority and proportionate to the funding allocated for asset management. The information required to support performance management is documented, auditable and used to inform decisions.	In addition: Performance targets link to the performance management framework. Lifecycle planning decisions are based on documented evidence of the performance of each major asset. Deterioration profiles have been developed and are continuously improved. There is a fully optimised approach to lifecycle planning that can be demonstrated, together with the benefits of that optimal approach.	In addition: Senior decision-makers are involved in providing direction to asset management and are consulted on an appropriate basis through reviews. These reviews include all parties involved in the delivery of asset management, such as contractors, service providers and in-house teams. Regular communication between those undertaking key roles including sharing knowledge and "lessons learnt" is undertaken. PAS55/ISO 5500 competency framework has been rolled out and individuals undertaking key roles in asset management have participated. Competencies are regularly reviewed as part of individual development action plans.	In addition: Vocational, educational and professional training has been funded and is underway for all key staff involved in asset management. Regular communication between those undertaking key roles including sharing knowledge and "lessons learnt" is undertaken. PAS55/ISO 5500 competency framework has been rolled out and individuals undertaking key roles in asset management have participated. Competencies are regularly reviewed as part of individual development action plans.	In addition: Approach to management of risk is continually improved and appetite to risk is clearly documented. "Lessons learnt" from incidents are recorded at all levels of the organisation. Documented approach to management of critical infrastructure on the network exists together with documented contingency plans.	In addition: The resilient network is reviewed annually and updated as appropriate based on lessons learnt. It is used as a basis for decision making and included in the prioritisation criteria for relevant assets. It has been communicated with the public and is on the website.	In adopting the relevant recommendations of the HMEP Potholes Review progress, has been monitored across a number of ongoing performance measures including: - Response standards - A reduction in the need to undertake repair repairs - Improvements in public satisfaction. - Cost savings.	The Guidance has been adopted and the recommendations implemented. There are measurable improvements in managing drainage on the network including: - Fewer flooding incidents. - A reduction in the number of properties flooded adjacent to the highway as a consequence of highway runoff. - An improvement in the management of delays and disruption caused by roads blocked as a result of flooding.	Maximises the value of customer and public feedback collected via robust mechanisms. Tracks feedback from previous surveys and uses this information to measure, benchmark and diagnose performance. Action plan developed and "lessons learnt" captured and shared. Contemplates feedback with reference to other performance data, including benchmarking, is able to demonstrate effective use of the information and measure improvement from previous surveys.	Captures information and makes it accessible to the wider service and stakeholders. This information is available visibly and is accessible for supporting all maintenance decisions. Publishes details of measures taken to respond to feedback from the public.	A pro-active approach is taken to informing customers. There is a communication strategy in place that has been approved. This strategy is acted upon and reviewed regularly.	Tracks annual progress of efficiency and can demonstrate evidence of efficiency.	Implementation of the highway service review recommendations deliver a more efficient and effective service.	Formalisation of working in collaboration with the supply chain which may be supported by working towards accreditation through BS 11000 or an equivalent Standard.	Implementing the findings of the Lean or equivalent transformational change management review of its highway infrastructure assets.	In addition: All major assets, as described in the asset management strategy, have an approach to prioritisation. This approach is to align with the asset management objectives of the organisation described in its strategy. Key stakeholders have been consulted regarding the prioritisation process and their comments considered for inclusion. There is a single 3 year programme of work across all assets and works have been continued where possible.	Maximising the potential of the joint working to deliver ongoing and wider long-term benefits, including financial and improvement in service delivery.	By applying good practice in procurement achieving the desired outcomes through the external providers.	
<b>2</b>	An asset management policy and strategy has been developed, clearly communicating the links with corporate vision and other policy documents providing the "line of sight" for the asset management strategy. It has been endorsed by the Executive and published on the authority's website. This document must have been published or reviewed in the past 24 months.	Key competencies have been identified. Progress has been made in communicating with them around the benefits of the asset management strategy and the reasons behind decisions that affect them. This includes consultation regarding their specific requirements. This should be supported by a procedure for communicating and consulting on relevant issues on a regular basis that is transparent and understood.	A set of performance measures and a monitoring regime have been developed to support the implementation of the asset management strategy, the works programmes and other aspects that will support continuous improvement. This includes measures of stakeholder satisfaction, safety, serviceability and sustainability. These are measured and reported on a regular basis and the approach is clearly documented, together with relevant action plans.	Key assets have been identified and data is collected at specified frequencies. This data is the minimum required to support asset valuation. Gaps in data are documented and action plans are in place to address the issues. An asset register is in place and accessible to all relevant asset management staff. There is evidence of regular documented audits of data coverage and quality.	An approach to lifecycle planning for each major asset and investment is managed on this basis. Processes to support the investment decision-making are in place, such as the HMEP Lifecycle Toolkit. Investment for future funding has been developed using scenarios in order to identify best return from investment. Lifecycle plans are used to support investment decisions, audited and checked.	The Executive has communicated its commitment to the implementation of asset management and endorsed the policy and strategy. They have provided resources, including finances, to deliver the programme of works. Senior decision-makers have identified and appointed the person responsible for leading asset management and developed a plan of action for the implementation of asset management.	The competencies for key asset management roles have been identified, individual competency has been assessed against these roles and development action plans determined consistent with the corporate approach to risk. This includes regular assessment of risks, communication of those risks and their management. Risk is also considered as part of the decision-making process for investment and programme development for maintenance schemes. A resilient network is in place (as identified by the Transport Resilience Review) and appropriately influences the decision-making process.	A documented process to assess risk associated with the management of assets is in place for all activities of the organisation with key business and interest groups. The resilient network has been agreed with senior decision-makers. All risks associated with adopting the resilient network have been documented together with mitigation.	The process for developing the resilient network has been developed and documented. Consultation has been undertaken with key business and interest groups. The resilient network has been agreed with senior decision-makers. All risks associated with adopting the resilient network have been documented together with mitigation.	A review of the authority's current practice against the recommendations of the Potholes Review has been undertaken. Where this practice doesn't reflect the Guidance a prioritised action plan has been produced. If there is a need for changes to policy and investment a report has been produced to secure sign-off by the Executive.	Regularly collects customer and public feedback with highway condition annually through robust mechanisms such as the National Highways and Transport (NHT) Public Satisfaction Survey or equivalent. This information is used to support investment decisions.	Provides a full range of facilities for the public to provide feedback and report defects. This includes facilities for customers to register feedback on highway-related issues by phone, on-line via the authority website and/or using proprietary or bespoke developed apps.	Ensures that the use of the highway authority is explained and high maintenance policies, standards and service levels are easily accessible and understandable to members of the public.	Member of a benchmarking club that measures and compares service delivery performance. A member of a recognised benchmarking club as an active member, regularly attends meetings, contributes and shares performance data and/or information on practice and process for comparison.	Monitoring and reporting efficiency of operations annually using Customer Quality Cost (CQC) methodology or similar established approach.	Undertaking a review of the highway service supported by the HMEP Strategic Peer Review or some other equivalent challenge process. Making use of the HMEP Procurement Route Choices Toolkit or some other equivalent appraisal mechanism to identify suitable alternative service delivery options. For local authorities in long-term contracts, the review may be undertaken as part of the process to determine whether to award further extensions or not.	For a mechanism in place such as that recommended by the HMEP Supply Chain Collaboration Toolkit, to improve relations with the local authority's key highway maintenance suppliers, which encourages collaboration.	Processes a Lean review, using the HMEP Lean Toolkit or some other equivalent transformational change management review, on the highway maintenance service or aspect of it.	There is a minimum of a fully notified and approved 3 year rolling programme of works for all major assets. The schemes have been prioritised based on an agreed set of criteria reflecting current condition. The programme has been agreed with the Executive with scope for programme change to reflect any accelerated deterioration of these assets.	Working in collaboration or a joined service arrangement with one or more local highway authorities on any aspect of highway maintenance service delivery, or providing evidence that consideration has been given to try to work collaboratively with adjoining authorities but this has not progressed.	Recognising HMEP-Endorsed Highway Maintenance Services Contract or an equivalent recognised good practice approach to secure an outsourced highway maintenance services or aspects of maintenance services from external providers.	
<b>1</b>	No asset management policy and strategy is in place but there is an awareness that it should be developed. or A commitment to producing an asset management policy and strategy has been given, but it has not been approved.	No approach to communication has been developed. or The need for communication with key stakeholders is understood, however no relevant action has been undertaken. There is an intent to improve the organisation's ability to communicate asset management activities that affect stakeholders.	No reference to performance measures and monitoring linked to asset management. or Historical measures are being used as the only point of measuring and monitoring asset management performance. There are not being used to support asset management decisions or continuous improvement.	There is no asset register, or inventory data is held for major assets in an asset register, but is incomplete and not updated regularly.	There is an awareness of the need for an investment plan for major assets that can be achieved through lifecycle planning. or An approach to lifecycle planning is commencing but has not yet been implemented and adopted to support investment planning.	Senior decision-makers are not involved in the decisions to develop or implement asset management. or Senior decision-makers have stated they are aware of the need to provide leadership in asset management but no credible plan is in place.	The need for asset management competencies has not been identified. or The need to identify competencies has been understood but no positive actions or training undertaken.	Risks associated with asset management are not considered. or There is an understanding amongst key staff that risk must be managed but there is no approach developed.	There has been no progress in identifying the authority's roads which are a priority in terms of ensuring resilience to extreme weather events – the "resilient network". or There is recognition of the need to identify a resilient network but limited progress has been made.	Specific recommendations relating to local authorities (2, 3, 6, 7, 9, 10, 11, 12, 13, and 15) of the Potholes Review have not been implemented. or There is an intention to implement recommendations but limited progress has been made.	The 11 recommendations in the Guidance for authorities have not been implemented. or There is an intention to implement recommendations but limited progress has been made.	Recognises the need to have customer and public feedback (including satisfaction) on highway condition, and might proactively generate this, but inconsistent, irregular or unsystematic methods are employed and limited value derived.	Recognises the need for customer feedback but has no consistent processes or systems in place.	Recognises the need to make highway maintenance policies, standards and service levels publicly available but there is nothing in place.	Aware of the benefits of benchmarking performance but has no robust mechanism in place.	Aware of the need to measure efficiency but no recognised method in place.	Recognises the need to periodically review operational service delivery arrangements but there is no process in place.	Recognises the need to collaborate but has no formal processes in place.	Recognises the benefits of undertaking a Lean or equivalent transformational change management review of the highways service but has not yet undertaken.	There is no programme of works. Work that is undertaken is on a reactive basis and addresses problems on the network as they arise. or The intention to produce a 3 to 5 year works programme has been stated but no timetable for production is in place. or There is no programme of works. Work that is undertaken is on a reactive basis and addresses problems on the network as they arise. or The intention to produce a 3 to 5 year works programme has been stated but no timetable for production is in place.*	Aware of the benefits of working in collaboration but do not have any arrangements in place.	Aware of good practice in procuring external highway services but unable to implement.

DfT Banding

## Action Plan Summary

Action	Policy and Strategy to be approved by Lead Member and published on ESCC website.	Asset Management Communication & Engagement Strategy to be approved. Action Plan to be fully implemented.	Extract latest Service KPI Targets. Develop performance measures and monitoring to support Asset Management Strategy.	Senior Management to approve Asset Data Management Strategy. Develop documented audits of data quality.	Continue to work with Yotta to produce lifecycle plans for all of our major assets.	Follow communications strategy and asset management framework.	Capture competencies matrix and action plan for team roles.	Devise and document process for risk management for all assets.	Develop a resilient network and approach to managing it	Report illustrating move to 28 day fix has already been approved. Action plan to be developed.	Drainage Strategy to be approved by Lead Member October 2015	Have required information. Ensure information is up-to-date.	Have required information. Ensure information is up-to-date.	Publish available policies and service standards. Work with web team and communications officer.	Currently a member of NHT Efficiency Network 'Benchmarking Club'.	Collate evidence.	Collate evidence.	Collate evidence.	Collate evidence.	Collate evidence.	Collate evidence.	Collate evidence.
Lead	Senior Policy Officer	Senior Policy Officer	Senior Asset Strategist/ Senior Policy Officer	Senior Asset Technician	Senior Asset Strategist/ Senior Asset Technician	Asset Team Manager/ Senior Policy Officer	Asset Team Manager	Asset Team Manager/ Senior Asset Technician	Asset Team Manager/ Senior Asset Technician	Senior Policy Officer/ Asset Technician	Senior Asset Technician- Drainage	Senior Policy Officer/ Senior Asset Technician	Senior Policy Officer/ Senior Asset Technician	Senior Policy Officer/ Senior Asset Technician	Senior Policy Officer	Senior Policy Officer /Business Improvement (BI) Team	Senior Asset Strategist/ BI Team	Senior Asset Strategist/ BI Team	Senior Policy Officer/ BI Team	Senior Asset Strategist	Senior Policy Officer/ SBI Team	Senior Policy Officer / BI Team
Completion Date	Sep-15	Oct-15	Nov-15	Oct-15	Nov-15	Continuous	Sep-15	Mar-16	Mar-16	Nov-15	Oct-15	Nov-15	Nov-15	Nov-15	Jul-15	Oct-15	Nov-15	Nov-15	Nov-15	Nov-15	Mar-16	Nov-15