

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: Derby City Council

Bid Manager Name and position: Dave Kinsey, Area Manager Highways

Contact telephone number: 01332 641837 **Email address:**
david.kinsey@derby.gov.uk

Postal address: Highways Maintenance
Derby City Council
15 Stores Road
Derby
DE21 4BD

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.derby.gov.uk/transport-and-streets/roads-highways-pavements/roads-maintenance>

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?

126

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

28,788 columns within our PFI.

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

Zero

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

1346 Miles

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

44 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.derby.gov.uk/transport-and-streets/roads-highways-pavements/roads-maintenance/#funding-from-d-f-t>

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)?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	Derby City Councils previous and existing LTP3 implementation plans covered the periods of 2011-2013 and 2013 – 2015. We will produce our third LTP3 implementation plan in Spring 2015 which is expected to cover 2015 – 2021.
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?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	As part of our annual Highways and Transport Programme, we undertake early intervention programmes to help manage the deterioration of our network. These include surface dressing, micro-asphalt and slurry sealing techniques, This is in line with the asset management principles, which we will formally adopt in our HAMP this year. In addition, we use available funding to complete large scale patching, removing the need for reactive crews to continue returning to troublesome locations. We have also embarked on a programme of replacing paved footways with a flexible bituminous surface, to manage the number of complaints and claims relating to defects and

		trips.
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.	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	<p>Our Highway Maintenance Officers have many years of experience in identifying, designing and specifying appropriate treatments for highway repair. They are trained in the principles of asset management and have been coached by leading experts to have a detailed understanding of the use of surface treatments to delay the deterioration process of carriageways and footways and lifecycle planning. Some are members of the Institute of Asset Management, which involves demonstrating their level of understanding and competence in several areas, before they are permitted to become members.</p> <p>We are also members of the CIPFA HAMP network.</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?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	<p>The authority has foresight of utility company work programmes for up to 24 months. The authority meets with utility companies and Derbyshire County Council regularly to discuss planned works and changes to programmes, this includes changes and development to highway schemes and coordination of maintenance works with planned utility infrastructure programmes. Further, we engage in Early Contractor Involvement with colleagues on the Derby & Nottingham Joint Framework to share best practice on most appropriate methods of treatment for highway repairs.</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?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	<p>The Adept Report has been considered and adopted. Potholes in Derby are repaired as per section 3 of the report. Since the highway maintenance service returned to the council in August 2013, we have adopted the approach of considering</p>

		large scale patching to eliminate the recurrence of repeat potholes. This is in line with Section 5, in that our planned maintenance programmes for carriageway repair are, in part, informed by the records of pothole reports / repairs and available budgets are apportioned to balance for reactive / planned repairs.
F. Has your authority developed a detailed highway inspection manual and have put appropriate training in place for your Highway Inspectors?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	We have developed a detailed Inspection manual. See appendix 1.
		Our Highways Inspectors hold City & Guilds qualifications, Highway safety Inspections. Further, we will be rolling out enforcement training and providing warrant cards for Highway Inspectors to enable them to enforce issues pertaining to the Highways Act 1980.
G. Does your authority use technology and systems for the effective identification and management of potholes?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	As an authority we use the Atlas Asset and Highways Maintenance Application (Atlas) to submit the identification of Potholes in to defects, this is then arranged and put on to works orders ready to be scheduled for repair.
		<p>To schedule the work orders they are exported out of Atlas and imported in to Works Order Management System (WOMS), the works are scheduled and allocated to a crew to carry out the repair. The Crew while they are on site use an iPhone with the WOMS software on to receive, start and end works that are scheduled. A Traffic Management Act (TMA) notice is sent automatically to the Atlas system to inform the Authority of the repair work starting on the Pothole.</p> <p>Throughout the management of Potholes and other defects, Derby City Council Highway Inspectors can use their Phones</p>

		<p>and Laptops with 3g Data Dongles to access the Derby City Council Network whilst on site. This will provide the Inspectors with access to Email, Atlas and WOMS; keeping communication open and the continuity of service.</p> <p>We are also looking to allow customers to report potholes via a map on our website. This is on target to be operational by the end of May and customers will be able to report potholes and track their progress via a web based map.</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.	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	<p>Our Highway Inspectors Manual is available on our website at http://www.derby.gov.uk/transport-and-streets/roads-highways-pavements/roads-maintenance</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?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	<p>Derby City Council uses the National Highways and Transport survey in annual basis to monitor public satisfaction with the local highway network and has done since 2010. An executive summary of Derby City Councils performance against other unitary authorities that take part in the NHT survey is included in appendix 1. In addition to the NHT survey we also have regular communication with each of the local Neighbourhood Boards on their perceptions of highway condition and repairs. Local priorities for investment in the ward are partly based on the information we can provide them on the condition of the network and how spending limited budgets on early intervention treatments, such as surface dressing or slurry sealing will remove some of the complaints they receive of potholes, poor surface etc. We also seek</p>

		customer feedback from residents of streets we have undertaken works on. An example of this is included in appendix1.
J. Does your authority adopt permanent repairs as the first choice when repairing potholes?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	Since the highway maintenance service returned to the council in August 2013, this has become the adopted approach. If for whatever reason, a permanent repair is not possible (i.e. time of day reported, location on the network or amount of hot tarmac available) then we will complete a temporary repair and return within 24 hours to complete a permanent reinstatement.
K. Has your authority adopted dimensional definitions for potholes based on best practice as part of its maintenance policy?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	Adopted dimensional definitions of a pothole are included in the Highway Inspections Manual

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.

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:

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

☒ Yes ☐ No

(Including neighbourhood Forums)

☒ Yes ☐ No

Business Community

☒ Yes ☐ No

Emergency Services

☒ Yes ☐ No

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:

Our LSTF vision for walking in Derby can be found at:

<http://www.derbyconnected.com/getting-around-derby/walking/>

Since the start of LTP3, we have continually invested in improving the pedestrian environment by resurfacing and reconstructing footways across the city in addition investing in pedestrian accessibility improvements such as signalised and dropped crossings. This has been done in close consultation and cooperation with our neighbourhood forums, business and other stakeholders across the city. Further to our regular investment in the walking environment, we have implemented a number of improvement schemes as part of the Local Sustainable Transport Fund. A longer term vision will be contained within our Active Travel Strategy which is currently in development.

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?

Derby City Council introduced a Permit Scheme for works on 'Streets of Strategic Significance' on October 1st 2013. The scheme applies to all 'registerable' works on the specified streets. The scheme applies equally to highway and utility works. NRSWA as amended by the Traffic Management Act 2004 applies to works on other streets. The coordination processes and registration processes are similar for both regulatory regimes, with local coordination meetings taking place to discuss all planned works and any changes to works programmes.

The authority maintains an electronic register of works and in compliant with EToN6. The permit scheme also includes provision for 'Optional Permits', which allows works, such as private sewer connections, to also be included in the register and coordinated within one data-set.

Since 2008 the authority has been serving notices to the street work register for planned, routine and emergency highway works, including street lighting.

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 authority carries out inspections in line with the NRSWA Code of Practice. The sample inspection figure is agreed each year with utilities and the same formula is applied to highway works for categories A, B and C.

The figures for all works sample inspections, including the performance of the authority, are reported to local HAUC meetings. Where the figures suggest action is required then the authority will use the intervention process, as set out in the Code of Practice. Each year we actually inspect more than the agreed sample 10% sample inspections. This will usually require the work promoter to meet with the authority, develop an action plan, develop or improve their own inspection regime, and fund additional inspections by the highway authority.

The authority also carries out routine inspection of the highway in accordance with the Code of Practice for Highway Maintenance. During these inspection defects may be identified which have not formed part of the random sample inspection programme. The highway inspectors have access to information which allows them to identify the defect and issue a defect notice to the relevant work promoter. This starts the process of remedial work, with follow up inspections to ensure that a remedial reinstatement is to the required standard.

The authority also conducts core sampling regimes, sometimes in conjunction with utility companies. These results are shared at local and regional HAUC and may indicate where reinstatements will require remedial action.

All inspection, scoring and performance results are shared with authorities and utilities at East Midlands HAUC. Occasionally, the authority may take part in joint performance improvement action in coordination with other highway authorities in the East Midlands.

Performance information is also routinely submitted as part of the JAGUK score card performance monitoring.

In Derby, we have a dedicated NRSWA Inspections Officer whose sole duty is to ensure reinstatement work undertaken by utility companies meet our specification, that they leave the highway surface safe / without defect and that traffic disruption is minimised by monitoring for unnecessary delays / obstructions. This has proved successful in that some companies. We are now also utilising our Highways Inspectors to complete even more utility inspections, whilst completing their scheduled walked routes to generate income and ensure the network is operating as efficiently as possible.

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

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.
Has your authority got an up to date asset management policy and strategy?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	We do have a draft Policy/Strategy, yet to be formally adopted. This is expected to be complete by March 2015.
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?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	We are in regular dialogue with elected Members on asset management, in addition to external stakeholders within the City. We report progress and performance of all our Highways and Transport schemes in a quarterly members report, which is also distributed to neighbourhood boards and forums.
Does your authority have an asset management register?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	We have an asset management register of the following assets: - carriageways, street furniture, bus stop infrastructure, street lighting and illuminated street furniture, traffic signals, highway drainage, structures and footways
Does your authority follow lifecycle planning principles which are used to review the level of funding and which will	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	We also utilise alternative models and aim to refine the results later this year for

help support investment decisions including long term investment in your assets?.		as part of our HAMP.
---	--	----------------------

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	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
Lighting	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No
Structures	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No
Street Furniture	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No

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 estimated saving the authority is expecting by bringing the highways maintenance service back in-house is in the region of £500k, although in 13/14 this was contributed to by mild winter conditions. We are looking to save £300-400k per year and at present this is being reinvested back into the highway network

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.

In addition to our in-house Highways Maintenance service, the Derby / Nottingham Framework is an exciting opportunity to establish a collaborative procurement solution, to embed partnering principles and achieve construction best practice in all of our work. Through the use of a local supply chain we can ensure good quality, sustainable and economic delivery. Key to this is supporting the local economy and providing real employment opportunities.

This venture provides an improvement model for highway works delivered at a local level, benchmarking providers in order to drive continuous improvement, innovation and collaboration; incentivisation and shared risk will be key to this approach. A major benefit for this partnership is access to “best in class” providers in specialised disciplines to support Derby and Nottingham in delivering quality highway services in the future.

The availability of our combined highway infrastructure is hugely significant and provides a vital contribution to the economic health of both cities, as well as making an important contribution to the economic success of the East Midlands. The Framework will also be available to Midlands Highway Alliance (MHA) Members. Members at the date of this procurement are:

Leicestershire County Council; Derby City Council; Derbyshire County Council; Leicester City Council; Lincolnshire County Council; Northamptonshire County Council; Nottingham City Council; Nottinghamshire County Council; Peterborough City Council; Rutland County Council; South Derbyshire District Council, Staffordshire County Council, Milton Keynes Council, Wolverhampton City Council, Stoke on Trent City Council, Doncaster Council, Rotherham Metropolitan Borough Council, Telford & Wrekin Council and the Highways Agency.

Both Derby and Nottingham have identified that, notwithstanding the above, there is a need to refocus service delivery to better meet the new challenges presented by such as the Asset Management Strategy and Traffic Management Act 2004 and the drive for an improved street scene. In response to this, we are seeking better integration of the planning, design and construction of our service and are committed to working with our partners to achieve our objectives. Achieving best value solutions that make best use of available budgets to maintain and enhance the highway asset that minimise disruption to the travelling public and communities of DCC & NCC and improve customer satisfaction will be key to success for the future.

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.

Derby City Council is a member of the Midlands Highway Alliance (MHA). It is the first organisation of its type in the UK and is a pioneer in collaboration in the highways sector. Members seek to achieve efficiency savings by joining together. The Alliance is an Unincorporated Association by Agreement. In November 2007, the original eleven members; all signed an agreement pledging their on-going commitment to the work of the Alliance. Since then, membership has grown to a total of twenty, including the Highways Agency and it is expected that this growth will continue. Strategic governance of the Alliance is provided by a director-level Executive Board which meets twice a year and receives high level performance reports. It sets targets and agrees the Alliance Annual Business Plan.

We also attend regular Midland Service Improvement Group (MSIG) meetings on issues such as Highway Maintenance and Asset Management, Winter Service, Third Party Claims and Income Recovery, all of which allow us to share ideas with other authorities.

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

Other (please specify):

To enable the highway maintenance service to return in-house, we have 'invested to save' on a number of items to enable us to progress new ways of working:

- A new salt barn to store up 4,500 tonnes which adequately serves the city during winter months. This facility enables us to buy salt in the summer months, at a reduced price.

- A new weather station to predict temperatures more accurately in urban climates, rather than relying on our counterparts in colder countryside areas in Derbyshire

- We have had the city thermally mapped and from winter 2014/15 we will only send three gritters out on marginal nights as opposed to six. The thermal mapping exercise identified the coldest parts of our network, meaning that when the temperature is only just going to hit freezing we only need to treat those areas instead of treating all gritting routes

- New modern vehicles, which are fuel efficient and low emissions
- A new gritting fleet of GPS tracked vehicles with fully automated gritting spread rates, allowing us to spread the appropriate amount of salt for each route
- In line with recommendations from Appendix H Winter Maintenance, we will be using pre-treated salt before application
- Continuing with the Pothole Master project and investing in our own machinery
- Investing in local suppliers for materials and hire of small plant / equipment, which has seen a reduction of 20% in costs and offers excellent value for money and encourages working with local companies

Cross boundary collaboration to date has mainly been with Derbyshire on our winter maintenance service. We are beginning discussions with Derbyshire on possibly combining out of hour call out services for highway maintenance repairs.

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.

Derby City Council is proactive in using and developing new methods and technologies to deliver high quality highways maintenance schemes in the city. We are always keen to engage with stakeholders of the city to determine the best possible solutions to problems on our highway network and are always keen to explore opportunities to develop working relationships with other authorities and utility providers to maintain and improve the highway network to support economic growth and development in the city. Further to this we are seeking to deliver further service improvements by investing in efficient technologies to deliver maintenance works and invest in our current staff to address skills gaps.

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

☒ **Yes** ☐ **No**

SECTION F: Declarations

F1. Senior Responsible Owner Declaration	
As Senior Responsible Owner for the Derby Pothole Repair Programme I hereby submit this request for approval to DfT on behalf of Derby City Council and confirm that I have the necessary authority to do so.	
I confirm that Derby City Council will have all the necessary statutory powers in place to ensure the planned timescales in the application can be realised.	
Name: Tim Clegg	Signed:
Position: Director of Partnerships and Streetpride	