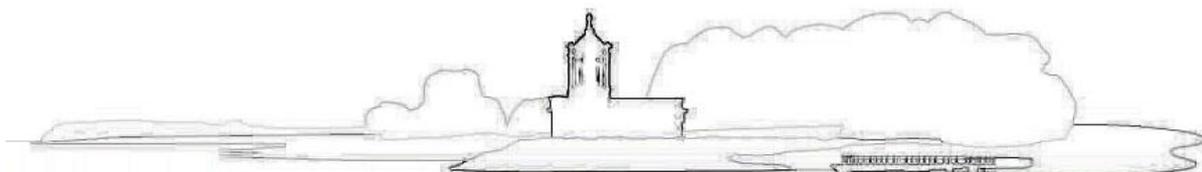


Rutland County Council

Highway Asset Management Plan

Version & Policy Number	Version 1.0
Guardian	Neil Tomlinson, Senior Highways Manager 01572 758 342
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RUTLAND COUNTY COUNCIL

HIGHWAYS ASSET MANAGEMENT PLAN

FOREWORD

We are pleased to introduce and endorse the second Rutland Highways Asset Management Plan.

Rutland is a great place to live, learn, work, play and visit. Our overriding aim is to make it even better in a sustainable way that builds on what we value. This is the vision we set out in our Corporate Plan.

Highways infrastructure is a key enabler for each component of our vision. It is vital for the social and economic wellbeing of our community. Within the Corporate Plan we have set an objective of continuing to maintain our road network as cost effectively as possible.

Our Highways Asset Management Plan (HAMP) sets out how we will manage our highway infrastructure to support this vision and objective.

In adopting an asset management approach and producing a HAMP, we will use a longer term approach to achieve the best possible value for money for Rutland. This approach means focussing on proactive maintenance to ensure that we:

- Prioritise customer needs;
- Direct resource to where it is most effectively utilised;
- Provide transparent and accountable decision making.



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Terry King
Leader and Portfolio Holder for Finance and Development



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Tony Mathias
Deputy Leader and Portfolio Holder for Places (Highways, Environment, Transport and Community Safety) and Market Towns



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Helen Briggs
Chief Executive

EXECUTIVE SUMMARY

Over recent years local authorities have been under increasing pressure to do more for less. Rutland is no exception. Our highways infrastructure is our largest asset and it is vital to the economic and social wellbeing of our community.

Our first Transport asset Management Plan was published in 2011. Since then we have embraced the principles of asset management. This has provided a strategic approach for the optimal allocation of resource to manage and maintain the highways infrastructure to meet the needs of our community.

This plan sets out our policy and strategy for highway asset management. It builds on the previous plan, reflecting the latest asset management guidance and practice. The objectives of the HAMP contribute to the objectives set down in the Corporate Plan 2016 – 2020 and the Local Transport Plan 3 2011 – 2026.

The objectives of the Highways Asset Management Plan are to:

- Minimise whole life costs through better planning;
- Improve customer satisfaction;
- Improve transparency in decision making;
- Inform decision making; and
- Decrease financial, operational and legal risk.

The Government, and the Department for Transport (DfT), has placed a greater emphasis on the need for asset management, demonstrated through the requirements of the Whole of Government Accounts and the DfT Incentive Fund. The HAMP addresses improvement areas to optimise our funding allocations.

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1.0 INTRODUCTION

- 1.1 Highway infrastructure is vital to the social and economic well-being of Rutland. It is our largest asset with an estimated gross replacement cost of approximately £680M (Whole of Government Accounts (WGA) report 2015/16) for paved areas.
- 1.2 The HAMP is developed in accordance with the recommendations set out in the HAMP guidance published by the Highways Maintenance Efficiency Programme (HMEP) in 2013, and other associated and recommended guidance.
- 1.3 This plan sets out our approach to asset management. It defines the policy, strategy and plan to delivery our obligations and objectives.
- 1.4 We define highway infrastructure asset management as:

“A strategic approach that identifies the optimal allocation of resources for the management, operation, preservation and enhancement of highways infrastructure to meet the needs of current and future customers”
- 1.5 The objectives of the HAMP are to:
 - Minimise whole life costs through better planning;
 - Improve customer satisfaction;
 - Improve transparency in decision making;
 - Inform decision making;
 - Decrease financial, operational and legal risk.

2.0 ASSET MANAGEMENT FRAMEWORK

- 2.1 For the HAMP to be effective, robust and easily communicated an Asset Management Framework (AMF) has been developed in line with best practice guidance. The framework visually presents the relationships between asset management, national and local influences and the dependencies that are in place to deliver these services. This is approved and supported by senior decision makers and will ensure continual improvement to our highway asset management.
- 2.2 In the diagram below the ‘Context’ section lists the policies, guidance and constraints within which the local highway service is delivered.
- 2.3 ‘Planning’ describes the policies and strategies to be implemented.

- 2.4 'Enablers' identify the systems and processes that support the implementation of the asset management framework.
- 2.5 'Delivery' describes the mechanisms in place to ensure the delivery of the overall policy and strategy and establishes a structure for continual improvement.



Note: OPEX = Operational Expenditure

3.0 COMMUNICATIONS

- 3.1 Actively communicating and engaging with relevant stakeholders is crucial to the transparent implementation of our HAMP.
- 3.2 By implementing a two way communication process we will further enhance our understanding of our stakeholder needs and expectations, which also allows them to become increasingly aware of our commitment to highway asset management.
- 3.3 In support of our commitment to engaging with our stakeholders a stakeholder communication plan has been developed, which also relates to their role in the Asset Management Framework.

Stakeholder Communications Plan	Asset Management Framework			
	Stakeholder	Context	Planning	Enablers
RCC Members	Approval and publication. Revisions as required.	Approval and publication. Revisions as required.	In accordance with Council cycle.	Weekly
RCC Residents	Consultation as required	Consultation as required		As appropriate
Rutland Parish Councils	Consultation as required	Consultation as required	As appropriate	As relevant to the parish
Interest Groups	Consultation as required	Consultation as required	Annually	Annually
Member of Parliament	Consultation as required	Consultation as required	Consultation as required	Consultation as required
RCC Staff			As appropriate	As appropriate
Emergency Services	Consultation as required	Consultation as required		As appropriate
Media	Press releases	Press releases	Press releases	Press releases
Neighbouring Authorities				As appropriate

- 3.4 In implementing our communications plan we will adopt the following principles:
- All stakeholders will be kept informed of work on the network that will potentially affect them;
 - We will use a variety of communications channels, including social media, to communicate with all media, residents, communities,

voluntary and other public sector partners, stakeholders and businesses;

- We will use plain English, avoiding technical and engineering terms to residents;
- We will safeguard and maintain the reputation of the Council;
- We will demonstrate our ethical duty to be open and transparent.

3.5 In pursuit of our aim to be open and transparent we will publish the relevant highways policies, strategies, plans and work programmes on our public website. The website will be reviewed and updated on a regular basis.

4.0 ASSET MANAGEMENT POLICY AND STRATEGY

4.1 A critical component of the HAMP is the development of an asset management policy and strategy, which align with the corporate vision.

4.2 The policy is an overarching document which aligns with our Corporate Plan and Local Transport Plan (LTP) 3 objectives.

4.3 The strategic aims developed during the wide consultation on the Council's Corporate Plan and LTP 3 are fully understood and integrated into the policy.

4.4 Our Highway Asset Management Policy is to:

- Maintain a resilient highway network and minimise delays and congestions in order to support the existing and future social and economic needs of Rutland;
- Manage existing highway assets in an environmentally friendly way and minimise adverse impacts on quality of life, and at the same time reduce our carbon emissions;
- Ensure safe use of the highways infrastructure for our residents and visitors;
- Improve quality of life for the residents and visitors of Rutland by providing a connected, reliable and safe highway network.

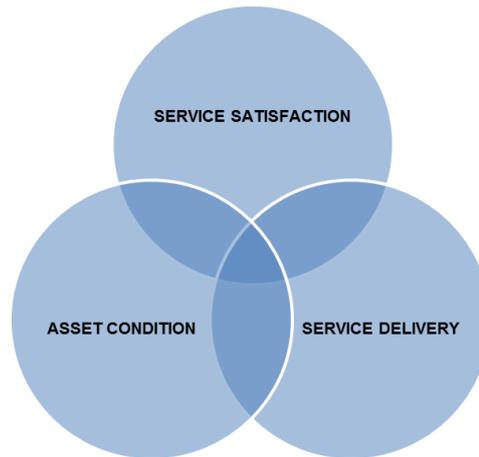
4.5 Our Highway Asset Management Strategy is to:

- Minimise whole life costs through better planning;
- Improve customer satisfaction through defined levels of service;
- Improve transparency in decision making;

- Make informed decision making;
- Decrease financial, operational and legal risk.

5.0 PERFORMANCE MANAGEMENT FRAMEWORK

5.1 A clear and accessible performance management framework has been developed which supports the asset management strategy.



5.2 A series of national, regional and Rutland specific measures are used within this framework to identify areas of good performance and those in need of improvement.

5.3 Performance monitoring is covered in [Section 14.0](#).

6.0 ASSET DATA MANAGEMENT

6.1 We will continue to utilise asset management data systems that comply with national recommendations.

6.2 Asset data is collected by internal and external resources. We will verify all data as follows:

- Visual inspection data – Annual in-house random sample peer review, additional external reviews may be instructed at the discretion of the Senior Highways Manager;
- All pavement condition data recorded on the Horizons software – Annual external audit;
- SCANNER condition data – Internal QA audit within one month of receipt.

- 6.3 Asset data held on our behalf by other authorities will be subject to the validation and audit procedures of those authorities.

7.0 LIFECYCLE PLANNING

- 7.1 Lifecycle planning is the economic viability of an asset, or group of assets, over their entire lifespan. This provides clarity and oversight of the specific costs associated with implementing, maintaining and terminating each asset.
- 7.2 To date forward programming has been carried out on a condition needs basis to develop a 5 year rolling programme.
- 7.3 During the life of this HAMP we will develop a lifecycle planning approach to enable effective long term investment decisions to be made. This will build on the initiatives we are currently undertaking in respect to structures.
- 7.4 Our methodology will be based on “The Lifecycle Planning Toolkit” published by HMEP in November 2012.
- 7.5 Our strategy for all asset types will be to undertake preventive maintenance to extend the life of the asset.
- 7.6 The implementation of an effective lifecycle plan will support investment decisions and substantiate the need for appropriate and sustainable long term investment.
- 7.7 Lifecycle plans will be developed for the following asset types:
- Carriageway;
 - Footways
 - Cycleway;
 - Structures;
 - Signals;
 - Signs;
 - Lighting;
 - Markings; and
 - Drainage.
- 7.8 The lifecycle plans will be monitored and updated by the Senior Highways Manager and the Portfolio Holder for Places (Highways, Environment, Transport and Community Safety) and Market Towns.

8.0 WORKS PROGRAMMING

- 8.1 A rolling medium term, i.e. 3 – 5 years, works programme for all asset types will be established and regularly updated. This will include both

routine and planned maintenance works. Reactive (safety/emergency) works will be added as necessary.

- 8.2 This programme will be made available to the public and other stakeholder on our public website and other forums, following Cabinet approval.

9.0 LEADERSHIP AND COMMITMENT

- 9.1 Our senior decision makers have demonstrated their leadership and commitment to highway asset management by:

- Adopting and endorsing this HAMP, including the Policy and Strategy;
- Annual budget setting at Council;
- Annual review of performance management at Cabinet;
- Annual review and approval of the rolling programme at Cabinet.

10.0 THE CASE FOR ASSET MANAGEMENT

- 10.1 The short, medium and longer term benefits of highway infrastructure asset management are widely understood and adopted by the industry.
- 10.2 Asset management supports the transparent allocation of capital investment for asset maintenance and development. It also justifies diverting and reallocating funds for particular assets.
- 10.3 The DfT Incentive Fund self-assessment questionnaire highlights the importance of asset management plans. In total 8 of the 22 questions relate to asset management. This HAMP addresses the themes of those questions.

11.0 COMPETENCIES AND TRAINING

- 11.1 The specific competencies necessary to successful implementation of our asset management have been identified. This will be monitored and updated by the Senior Highways Manager and the Portfolio Holder for Places (Highways, Environment, Transport and Community Safety) and Market Towns.
- 11.2 Both internal and external resource will be evaluated against these core asset management competencies to ensure Rutland has the right people in the right place to deliver its service.

- 11.3 Personal development plans for staff will be linked to the required competencies and appropriate training identified as necessary to link with our business need.

12.0 RISK MANAGEMENT

- 12.1 Our approach to risk management follows the guidance contained in the HMEP Asset Management Guidance and the UKRLG Codes of Practice (10, 11, 12 and 13).
- 12.2 The risks have been categorised at three levels:
- Corporate
 - Strategic and Tactical
 - Operational.
- 12.3 A risk register has been developed and approved by Cabinet. The nominated overall owner of the register is the Senior Highways Manager. All identified risks will be managed to minimise their impact on Rutland and the management of the highway assets.
- 12.4 The risk register is shown in Appendix A.

13.0 ASSET MANAGEMENT SYSTEMS

- 13.1 For asset management to be effective it must be supported by quality data. A number of commercial off the shelf (COTS) systems are available that provide a range of functionality to support the asset management process. We have selected Horizons to be our prime asset management system. This is compliant with the requirements of UKPMS and other national standards and guidance.
- 13.2 Investigations are currently in hand to identify systems, to compliment Horizons for the management of visual condition (safety) inspections data.
- 13.3 Other asset management systems for defined asset types are detailed in Sections 16.0 to 22.0 later in this document.

14.0 PERFORMANCE MONITORING

- 14.1 Within the context of our performance management framework (Section 5.0) we will monitor our performance in achieving the asset management policy and strategy as set out in [Section 4.0](#).

14.2 The monitoring will consist of:

- Strategic Monitoring – An annual audit to assess that the strategic outcomes are being achieved and that the approach to asset management has been documented and implemented. This will be carried out in conjunction with the completion of the DfT Incentive Fund self-assessment questionnaire and incorporate the results of the annual customer survey. An action plan will be prepared to address any issues arising and reported to Cabinet.
- Performance Measures – A combination of national, regional and local measures will be used:
 - Annual RCC Customer Survey – Reported to Cabinet Annually;
 - DfT annual condition data submission - Reported to Cabinet Annually;
 - DfT Incentive Fund questionnaire scoring – Reported to Cabinet Annually;
 - Midland Highway Alliance Term Maintenance performance indicators – Reviewed with the Term Contractor monthly, reported to Cabinet annually;
 - Rutland performance measures - Reviewed monthly by the highways Senior Manager, Director for Places and Portfolio Holder; reported to Cabinet annually.

15.0 BENCHMARKING

15.1 Benchmarking will be carried out at national, regional and local levels.

15.2 National:

- DfT Incentive Fund questionnaire scoring;
- DfT annual condition data submission.

15.3 Regional:

- DfT Incentive Fund questionnaire scoring;
- DfT annual condition data submission;
- Midland Highway Alliance Term Maintenance performance indicators.

15.4 Local:

- Rutland performance measures;
- DfT annual condition data submission.

16.0 ASSET MANAGEMENT PLAN FOR CARRIAGEWAYS

16.1 Asset management of the carriageways will follow the principles of the Code of Practice for Highways Maintenance Management published by the UK Roads Liaison Group (UKRLG) (July 2005) and the Potholes Review published by the HMEP (July 2013).

16.2 The local road hierarchy and variations to the code of practice will be published on the Rutland public website.

16.3 The road hierarchy adopted, in accordance with national standards, is:

- Strategic/Main Distributor
- Secondary Distributor
- Link Road
- Local Access Road

The road hierarchy may not follow the road classification, but is based on Rutland’s social and economic needs.

16.4 The carriageway inventory and condition data will be maintained on the Horizons asset management system.

16.5 Condition data will be collected by:

- SCANNER Survey - 100% of strategic/main distributor, secondary distributor and link roads per annum;
- Course Visual Inspection (CVI) – Approximately one third of the network per year;
- Sideways-force Coefficient Routine Investigation Machine (SCRIM): Approximately one third of the strategic/main distributor and secondary distributor road network per annum.

16.6 Local access roads that serve bus routes, schools, hospitals or have a high percentage of HGV usage will be regarded as a link road for the collection of condition data.

16.7 Our strategy will be to identify and prioritise planned works to maintain the network at the following levels:

Road Hierarchy	Percentage of carriageway where planned maintenance is required
Strategic/Main Distributor	No more than 5%
Secondary Distributor	No more than 10%
Link Road	No more than 20%
Local Access Road	No more than 30%

17.0 ASSET MANAGEMENT PLAN FOR FOOTWAYS

- 17.1 Asset management of footways will follow the principles of the Code of Practice for Highways Maintenance Management published by the UK Roads Liaison Group (UKRLG) (July 2005).
- 17.2 The footway inventory and condition data will be maintained on the Horizons asset management system.
- 17.3 The completeness of the footway inventory requires to be validated. A programme to validate the footway and cycleway inventory (location, length and width) will be carried out in conjunction with the condition inspections, over the next full cycle of inspections.
- 17.4 Footways will be inspected by coarse visual inspections (CVIs). The condition of footways will be assessed in accordance with the requirements of the Footway Network Survey.
- 17.5 The frequency of inspections will be determined by the functionality and scale of use of the footways.
- 17.6 Our strategy will be to identify and prioritise planned works to maintain the network at the following levels:

Footway Hierarchy	Percentage of Footway where planned maintenance is required
Primary Walking Route	No more than 5%
Secondary Walking Route	No more than 10%
Link Footways	No more than 15%
Local Access Footways (paved)	No more than 20%

- 17.7 Maintenance requirements for public rights of way are not covered by this plan.

18.0 ASSET MANAGEMENT PLAN FOR CYCLEWAYS

- 18.1 Asset management of cycleways will follow the principles of the Code of Practice for Highways Maintenance Management published by the UK Roads Liaison Group (UKRLG) (July 2005).
- 18.2 The cycleway inventory and condition data will be maintained on the Horizons asset management system.
- 18.3 The completeness of the cycleway inventory requires to be validated. A programme to validate the footway and cycleway inventory (location, length and width) will be carried out in conjunction with the condition inspections, over the next full cycle of inspections.
- 18.4 Cycleways will be inspected by coarse visual inspections (CVIs). The condition of footways will be assessed in accordance with the requirements of the Footway Network Survey or the carriageway over which they exist.
- 18.5 The frequency of inspections will be determined by the functionality and scale of use of the cycleways.
- 18.6 Our strategy will be to identify and prioritise planned works to maintain the network at the following levels:

Cycleway Hierarchy	Percentage of Cycleway where planned maintenance is required
Category A	No more than 5%
Category B	No more than 15%
Category C	No more than 20%

19.0 ASSET MANAGEMENT PLAN FOR STRUCTURES

- 19.1 Asset management of structures will follow the principles of the Code of Practice for Management of Highways Structures published by the UK Roads Liaison Group (UKRLG) (August 2013) and the ADEPT Bridge Condition Indicators (BCI).
- 19.2 Under a Service Level Agreement asset management of the highway structures is undertaken by Leicestershire County Council (LCC). This includes maintenance of records, condition inspections and the identification and prioritisation of planned works.
- 19.3 In accordance with the Design Manual for Roads and Bridges, Volume 3, Section 1, Part 4, BD 63/07 we have undertaken a risk assessment for the principal inspection interval for each structure. The principal inspection intervals will be not less than six years and not greater than 12 years. The risk assessment for each structure will be reviewed following the principal inspection.
- 19.4 Whilst there is a backlog of minor repairs to structures, dependent on prioritisation and funding, there are no major issues relating to the structures. Our asset management strategy for highways structures is therefore to maintain all structures in a steady state.

20.0 ASSET MANAGEMENT PLAN FOR HIGHWAY LIGHTING

- 20.1 Asset management of highway lighting will follow the principles of the Code of Practice for Highways Lighting Management published by the UK Roads Liaison Group (UKRLG) (August 2013) and Rutland County Council Street Lighting Policy (February 2016).
- 20.2 The highway lighting inventory is recorded on an Excel spreadsheet and MapInfo (GIS system), including lamp type, column height, column type and column age.
- 20.3 Condition inspections will be in accordance with the recommendations of the Code of Practice.
- 20.4 Our asset maintenance strategy will be to:
- Where identified from the condition surveys undertake a planned programme of column replacement;
 - To undertake a programme to replace existing lamps with LED lamps;
 - To implement a bulk lamp change for non-LED lamps on a three year cycle.

21.0 ASSET MANAGEMENT PLAN FOR TRAFFIC MANAGEMENT SYSTEMS

- 21.1 Asset management of traffic management systems will be in accordance with the Design Manual for Roads and Bridges, Volume 8, Section 1, Part 2, TA 84/06, Code of Practice for Traffic Control and Information Systems for All-Purpose Roads (February 2007).
- 21.2 Under a Service Level Agreement (SLA) asset management of the traffic management systems is undertaken by Leicester City Council (LC). This includes maintenance of records, condition inspections and the identification and prioritisation of planned works.
- 21.3 Inventory and condition data is collected by LC, or contractors appointed on their behalf, and records maintained in Excel format.
- 21.4 A programme of traffic management system replacement has been undertaken and currently there are no planned works. This will be monitored and reviewed in the light of the annual condition survey by LC who will advise the Senior Highways Manager of any changes.
- 21.5 Our asset maintenance strategy is to maintain all traffic management systems in a steady state.

22.0 ASSET MANAGEMENT PLAN FOR DRAINAGE

- 22.1 Asset management of highway drainage will follow the principles of the Guidance on the management of Highway Drainage Assets published by the HMEP (November 2012).
- 22.2 Gully inventory data is managed on the Kaarbon Tech GIS system. The completeness of other drainage asset data requires to be validated. Collection of further drainage asset data will be collected, as required, during the execution of works on the drainage system, for example, repairs, jetting, and CCTV. Priority will be given to GIS mapping the location of manholes, inspection chambers and outfalls to watercourses.
- 22.3 Our drainage asset maintenance strategy is to maintain the highway drainage system in a steady state, to mitigate the risk due to flooding.

23.0 ASSET VALUATION

- 23.1 Valuation of our highway asset is a requirement for Whole of Government Accounts. The valuation is based on the guidance issued by the HM Treasury.
- 23.2 The asset valuation for 2015/16 was in the order of £680 million pounds. This is based on the valuation of carriageways, footways and cycleways, where sufficiently robust asset data exists.
- 23.3 For the submission of future asset valuations we will include other assets where robust data exists or there is a cost benefit in collecting data.

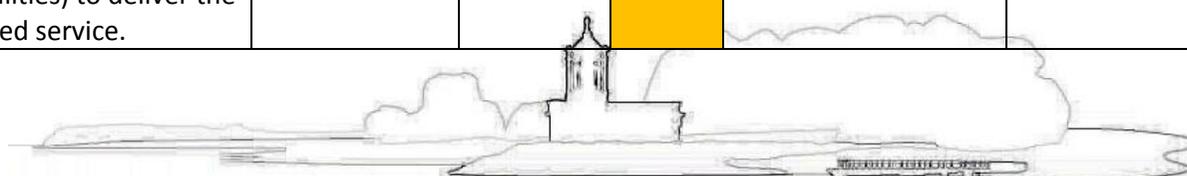
APPENDIX A

Asset Management Risk Register

Rutland County Council - Highways Asset Management Risk Register

Overall owner: Senior Highways Manager

Ref	Risk	Uncontrolled Score Risk			Control Measure	Owner	Controlled Risk Score		
		Consequence	Likelihood	Risk			Consequence	Likelihood	Risk
Corporate									
C1	Overall Authority priorities result in inadequate funding to manage to highway assets to the required level	Medium	Medium	12	Approval of Highways Asset Management Plan and robust approach to lifecycle planning	Portfolio owner / Senior Highways Manager	Medium	Very low	6
C2	Business interruption	Medium	Low	9	Emergency planning / business continuity planning in place	Emergency planning officer / IT Manager	Medium	Very low	6
Strategic and Tactical									
S1	Buy-in of decision makers and key stakeholders to the approach for highways asset management	Medium	Low	9	Asset management framework and communications plan	Senior Highways Manager	Medium	Very low	6
S2	Inadequate funding to maintain the highway asset to the required level.	High	Medium	16	HAMP in place	Senior Highways Manager	High	Very low	8
					Incentive Fund action plan in place	Senior Highways Manager			
S3	Completeness of asset data does not facilitate informed decision making	Medium	Medium	12	Key asset data identified	Senior Highways Manager	Medium	Low	9
S4	Insufficient resource (including skills and capabilities) to deliver the required service.	Medium	Low	9	Competency Matrix in place	Senior Highways Manager	Medium	Very low	6



Appendix 1

Ref	Risk	Uncontrolled Score Risk			Control Measure	Owner	Controlled Risk Score		
		Consequence	Likelihood	Risk			Consequence	Likelihood	Risk
S5	Not achieving a DfT Incentive Funding Band 2 score	Medium	Medium	12	Incentive Fund action plan in place	Senior Highways Manager	Medium	Low	9
S6	Legal Defence under Section 58 of the Highways Act	High	Medium	16	Appropriate policies and procedures in place	Senior Highways Manager	High	Very low	8
Operational									
O1	Untimely procurement of services	Medium	Medium	12	Use of MHA procurement models	Senior Highways Manager	Medium	Very low	6
					Use of MHA PSP2 framework	Senior Highways Manager			
O2	Asset failure	Severe	Low	15	Asset condition inspection regime in place	Senior Highways Manager	Severe	Very low	10
O3	Supply chain failure to deliver services	High	Low	12	Project and contract management control procedures in place	Senior Highways Manager	High	Very low	8

Appendix 1

Risk Qualitative Matrix

Likelihood of Event Occurring	Consequence of Event Occurring				
	Negligible	Low	Medium	High	Severe
Negligible	1	2	3	4	5
Very Low	2	4	6	8	10
Low	3	6	9	12	15
Medium	4	8	12	14	20
High	5	10	15	20	25

Key to Risks	Low
	Medium
	High

**A large print version of this document is
available on request**



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