Highways and winter maintenance
Data template guidance notes

If you cannot see these notes in full please click on View → Zoom and select a lower percentage.

Priority symbols

Highways maintenance
Highways maintenance function definition

Includes
- Carriageway repairs
- Patching, edge/haunch repairs, surface dressing, proprietary surfacing, thin surfacing, plane and surface, overlay
- Footways and kerbs
- Gully emptying
- Bridges
- Tunnels
- Structures
- Drainages
- Verges
- Street trees and grass furbish maintenance (only if there is a payment to a maintenance contractor for this)
- Bus lanes
- Cycle routes
- Street furniture (including fencing, barriers, signs and bollards, but not bins)
- Traffic engineering (The design and installation of measures to increase road safety, e.g. road narrowing, speed bumps)
- Engineering design
- Signals, signs, illuminated signs and bollards
- Temporary road works
- CCTV and speed cameras
- Weed control on hard pavements or other surfaces (Include the payment to the grounds maintenance section if they cut the grass on verges)
- Flooding (Include flooding on to the carriageway and flooding onto adjacent land where the existing drainage system is beyond its capacity; examples include ditching).

Excludes
- Highways maintenance excludes:
  - School crossing patrol service / road safety team
  - Street lighting
  - Street cleansing
  - Traffic management
  - Urban traffic control
  - CCTV

If this is not part of the highways maintenance function. If this is the case, enter N (No) to range code ACCAM on the data template.

In the following guidance notes, current definitions from the Audit Commission and other bodies, where available, have been used to avoid re-classification. If authorities in Scotland, Wales and Northern Ireland are not able to comply with the definitions, an alternative is provided.

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Management arrangement

Please select the most appropriate one of the four options to indicate the type of management arrangement in place at your authority.

If the authority uses a wholly external client/designer and contractor you should answer Y (Yes) to option four whether this involves a single external organisation or more than one.

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Agencies

Answer Y (Yes) if the authority is an agency contracted by a highways authority (e.g. a District Council working for County Council).

The inclusion of information in the APSE highways and winter maintenance exercise largely depends upon the relationship between the local authorities. If the submission is from an agency then the lengths of highways maintained should be included in the km of road network and the agency payment received should be shown in the net charge.

Fabric maintenance refers to actual pothole repairs, temporary or permanent replacement of surfaces, kerbs and footways rather than just acting as an agent for weed spraying, verge maintenance, litter clearance and other ‘non-fabric’ contracted responsibilities.

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Condition surveys

Please note: an authority can appear in more than one type and will therefore appear in more than one PI report. Results will be reviewed at the working group in September to decide on which reports to produce/possible amalgamation across family groups.

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Kilometres of road network maintained (principal and non-principal roads)

Principal roads (not including trunk roads and motorways) within the authority and that the authority maintains. For Wales, please use categories from TP1; principal roads relate to ‘A’ roads. For Scotland principal roads relate to ‘A’ road as per SRMCS.

Non-principal roads within the authority and that the authority maintains. If you are able to, please enter this separately for classified and unclassified non-principal roads. If you are unable to separate these figures, please enter the total km of non-principal roads maintained by overwriting the subtotal calculation (TKNPR).

Note: do not include any length of roads maintained outside the Authority boundary (e.g. on behalf of another Authority). If part is directly maintained, part is maintained by District Councils, then include both direct and indirect km as long as you are including the cost of the agency service (e.g. payments to District Council for work done plus any other overhead cost) then you should include the statistical data. If including dual carriageway, the length of each individual carriageway should be included.

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Total Kilometres of non-principal roads maintained

If you are unable to separate total km maintained for classified and unclassified non-principal roads you may overwrite the subtotal calculation (TKNPR) with the total of all non principal roads maintained.

If you do overwrite this total then you should leave the individual input cells for classified and unclassified non principal roads as zero. This will also affect how you show the percentage of non principal roads where maintenance work should be considered later in the template.

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Kilometres of road network (trunk roads, motorways and private roads)

Enter the total kilometres of road network whether maintained or not.

Note: do not include any length of roads maintained outside the authority boundary (e.g. on behalf of another authority).

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Traffic control/closure

Enter the total number of days of temporary traffic controls / road closures per Km of traffic sensitive roads.
Roadworks should be only included if one or more of the criteria outlined in Clause 13 (1) (a)-(e) of the Street Works ( Registers, Notices, Directions and Designations) Regulations 1992 are affected by the period of control/closure.

Note:
This definition is as per the former BVPI 100 (England) and National Performance Indicators for Wales 6.6 definition.

Temporary traffic controls are manual traffic controls and/or traffic lights.

Exclude traffic controls at road works that were completed in less than a day.

For 2010/11, this does not require authorities to measure the number of days of temporary traffic controls, or road closure on traffic sensitive roads, caused by utility works.

The definition of a traffic sensitive road can be found at http://www.uk-legislation.hmso.gov.uk. Scroll down to Regulation 13 “Designation of streets as traffic-sensitive”.

Condition of principal roads

Due to the difference in the way that authorities in Scotland are required to report the percentage of roads where structural maintenance should be considered, compared to England & Wales you should only fill in the section of the data collection template that is applicable to your authority. For authorities in Scotland, show percentages using the 'Amber' and 'Red' thresholds. Authorities in England & Wales should show percentages using the 'Red' thresholds only.

Negative residual life (deflectograph only)
Deflectograph Survey Results Guidance: The percentage of the network with negative residual life, derived from deflectograph surveys of nominally 100% of the network (concrete pavements are the only exception).

Structural maintenance (TRACS type survey)

Scotland Authorities should not enter any data here but complete the sections referring to SRMCS instead. This applies to both principal and non-principal roads.

The figure is derived from scanner surveys (formerly known as TTS survey). The following provisions apply for the programming and reporting of TTS surveys:

The data must be derived from surveys carried out during financial year being reported upon

All road surface types are included

‘Beam coverage’ will not be permitted

TTS surveys should be carried out in the nearside lane on all principal roads including single carriageways, dual carriageways and slip roads, roundabouts that have been referenced as separate sections are, however, excluded from the survey, since it is difficult to achieve consistency of survey on such sections.

Local Authorities should insist that Survey Contractors fully comply with the requirements of the TTS Quality Assurance and auditing procedures that form part of the TTS Specification:

Only data collected using Survey Equipment possessing a valid TTS Acceptance Certificate, which explicitly states that the survey vehicle has been approved for use in the production of Best Value Performance Indicators, may be used in the calculation of BV96.

Scanner survey facilities have been available to local authorities since 2004/05. The full Scanner specification (essential guidance to survey contractors) has been published on the UKPMS website, and a quality assurance procedure for survey machines is now in place.

Maintenance treatment (SRMCS)

Road definition in Scotland
A = principal road
B / C = non-principal road (classified)
U = unclassified

Local authority road network condition - the Scottish road maintenance condition survey

The Scottish road maintenance condition Survey, which is organised by the Society of Chief Officers of Transportation in Scotland (SCOTS) on behalf of Local Authorities, is carried out by specialist contractors using vehicles equipped with lasers and high resolution cameras, which collect data for processing by computer. The vehicles currently record:

The road geometry (gradient and shape)

Variations in the longitudinal profile (easiness of ride along the road)

Transverse profile variance (deformation across the road)

Wheel track rutting / deformation in the wheel path

The presence of cracking within the carriageway

Texture (roughness of the surface of the road)

The extent of edge deterioration (due to over-riding or lack of lateral support)

At present, the performance indicator is based only on the results from the longitudinal profile, rutting and surface texture, although it is intended to include other parameters in future through the adoption of a standard Road Condition Indicator (RCI) throughout the UK. When the results are summarised, each ten metre stretch of road is assigned to one of three categories ("green", "amber" and "red"), depending on whether one of the "threshold" limits has been breached. Each stretch of road is counted only once, on the basis of the poorest rating.

The survey currently aims to cover all local authority A roads each year, all B and C roads every two years, and unclassified roads every four years. Therefore, there may be some year-to-year variation in the results for B, C and unclassified roads due to sampling issues. In addition, while the machines used have been calibrated and shown to provide consistent results, variations can occur due to minor differences in machine settings or in the path followed by the survey vehicle (which may well be dictated by, for example, the presence of other vehicles on particular parts of the road).

The survey started in the 2002-03 financial year, when it covered all A roads in all local authorities plus a sample of the B, C and unclassified roads in some local authority areas. 2003-04 was the first year for which the survey covers a sample of all road categories in all local authority areas, and is therefore the first year for which results can be produced for Scotland as a whole.

Source: Scottish Executive National Statistics Publication 2006

Condition of non-principal roads

For non-principal roads, you can either enter data separately for classified and unclassified roads or if you are unable to separate this, enter the total by over-writing the unprotected calculation cell.

Structural maintenance for classified and unclassified roads separately (England & Wales)

Enter the percentage of local authority non-principal classified and unclassified roads where maintenance should be considered. Enter this separately for classified and unclassified non-principal roads. If you measure both classified and unclassified roads through TRACS Type Survey, please use guidance as per the former BVPI 224a below.

Scotland authorities should not enter any data here but complete the sections referring to SRMCS instead. This applies to both principal and non-principal roads. Guidance is also provided below if you use CVI or DVI to measure unclassified roads, as per the former BVPI 224b guidance.
The outturn for the indicator is derived from SCANNER (Surface Condition Assessment for the National Network of Roads) surveys.

The following provisions apply for the programming and reporting of SCANNER surveys:

A sample of at least 10% of C roads will be surveyed each year in one direction
The data must be derived from surveys carried out during the financial year being reported upon
All road surface types are included
Deemed coverage “will not be permitted
Authorities must refer to DfT guidance for detailed explanation of the above points
The requirements for each of the data items, including accuracy and coverage requirements, as well as methods for their acceptance, are given in the SCANNER Specification which is published by the Roads Board and is available from the DfT and UKPMS websites.

Local Authorities should insist that Survey Contractors fully comply with the requirements of the SCANNER Quality Assurance and auditing procedures that form part of the SCANNER Specification.

CVI or DVI - (formerly BVPI 224b)
Based on a visual survey of a proportion of the uncleared road network (minimum 25% per year) using either a UKPMS Coarse Visual Inspection Survey (CVI) or a more detailed equivalent visual inspection survey (DVI).
Visual surveys must be carried out in accordance with the UKPMS Visual Survey Manual, Version 1.0. Detailed Visual Inspection (DVI) surveys may also be used, if carried out in accordance with version RP3.02 of the UKPMS Rules and Parameters.

Concrete or part-covered roads should be included in the visual survey.

Where CVI and DVI results are combined, CVI data must not be mixed with unconverted DVI data. If DVI surveys are to be used as the basis for the survey, they should be converted to a ‘CVI-equivalent’ survey using Version 2.0 or later of the UKPMS HMDIF Conversion Software, and processed as a CVI survey. The HMDIF Conversion Software is available from the UKPMS Project Support Team.

In accordance with normal procedures in England and Wales you should report the percentage of the road network length that is equal to or above the ‘Red’ threshold.

Structural maintenance for classified and unclassified roads (unable to separate) (England & Wales)

If you are unable to separate classified and unclassified non-principal roads in terms of Km maintained (input cells TKNPRC and TKNPRU above) or the percentage of each type of road where maintenance should be considered (NPNRLC and NPNRLU above) but you do have information for non principal roads in total then you may over-write the calculation in this cell with the overall percentage applying the same criteria as above for classified and unclassified).

You should not need to do this unless both NPNRLC and NPNRLU are unavailable.

In accordance with normal procedures in England and Wales you should report the percentage of the road network length that is equal to or above the ‘Red’ threshold.

Maintenance treatment for classified and unclassified roads separately (SRMCS – Scotland only)

Enter the percentage of local authority non-principal classified and unclassified roads where maintenance should be considered. Enter this separately for classified and unclassified non-principal roads.

In accordance with normal procedures in Scotland you should report the percentage of the road network length that is equal to or above the ‘Amber’ threshold.

See earlier note

Structural maintenance for classified and unclassified roads (unable to separate) (SRCMS - Scotland only)

If you are unable to separate classified and unclassified non-principal roads in terms of Km maintained (input cells TKNPRC and TKNPRU above) or the percentage of each type of road where maintenance should be considered (NPNRLC and NPNRLU above) but you do have information for non principal roads in total then you may over-write the calculation in this cell with the overall percentage applying the same criteria as above for classified and unclassified).

You should not need to do this unless both NPNRLCS and NPNRLUS are unavailable.

In accordance with normal procedures in Scotland you should report the percentage of the road network length that is equal to or above the ‘Amber’ threshold.

Road/footway re-surfacing/dressing

Resurfacing

Resroad
Edge recycling
In-situ deep recycling
Thin surfacing (Fibredec, Colin; Masterpave, etc).

Percentage of maintained principal road network re-surfaced during year

If including dual carriageway, the length of each individual carriageway should be included.

Do not include the percentage where surface treatment only was applied.

Percentage of maintained non-principal road network re-surfaced during year

Do not include the percentage where surface treatment only was applied

Percentage of maintained principal road network where applied surface treatment only used during year

This includes all types of treatment, but should exclude any part of the network that has been resurfaced or included in the figure above

Percentage of maintained footways where applied surface treatment only used during year

This includes slurry only applied. This should exclude any part of the footway that has been resurfaced or included in the figure above

Principal road network surveys

The survey refers to UK PMS CVI surveys. Enter Y (Yes) to ONE of the six options as is most appropriate.
Category one defects
Enter the number of category one defects identified/reported during the year (2010/11). Also enter the number of category one defects identified/reported during the previous year 2009/10.

"Defects that require prompt attention because they represent an immediate or imminent hazard or there is a risk of short-term structural damage. If it is not possible to correct or make safe the defect at the time of inspection, which will generally be the case, repairs of a temporary nature should be carried out as soon as possible, and in any case within a period of 24 hours. Permanent repair should be carried out within 28 days."

Number of planned routes subject to salting regime
Enter the number of regular gritting planned routes designated. Routes that are salted occasionally due to severe weather conditions should not be included.

Km of total highway network covered by salting regime
Include regular salting only, not secondary. This should include all of the highway network (not just primary routes) that is regularly covered by the salting regime. Highway salted occasionally due to severe weather conditions should not be included.

Primary routes covered by salting regime
Enter the cumulative size of the primary network routes, which are covered by the salting regime in kilometres.

Primary Routes
The roads between primary destinations (the "green-sign" routes). This refers to the length of road gritted.

Mileage travelled by all gritting vehicles on all planned routes
This should include all routes (not just primary routes) that are regularly planned for gritting. Routes gritted occasionally due to severe weather conditions should not be included.

Treatment mileage travelled by all gritting vehicles on all planned routes
This should include all routes (not just primary routes) that are regularly planned for gritting. Routes gritted occasionally due to severe weather conditions should not be included.

Target response time for the completion of planned salting
This refers to the target time as opposed to the time it actually takes. It also relates to where this is planned as a result of a weather warning, for instance, rather than actual snow clearance.

Target response time for non planned salting (priority routes)
This is unplanned treatment of entire routes/areas as a result of sudden or worse than predicted weather changes. This should be the total duration of the operation, from the time when staff are called in, to the completion of salting.

Average actual response time for the completion of planned salting
It also relates to where this is planned as a result of a weather warning, for instance, rather than actual snow clearance. This should cover the total duration of operation (to completion, not just the time to sending out the vehicles).

Average actual response time for non planned salting (priority routes)
This is the average time for completion of pre salting, not the average time to complete pre-salting runs. For example, if on one day you had five gritting runs of the following times:
3 hours
3.2 hours
4 hours
2 hours
4 hours.
Then the time for completion for that day would be 4 hours. You should then take the average completion time across the applicable days.

Number of planned salting runs carried out during the year
The number of runs refers to the number of times that the roads are salted. For example, if you go out in the morning and then return to the same roads in the evening, this is classed as two runs. However, if you pre-salt half of the roads in the morning and then the other half in the evening, this is classed as one run.

Show the annual frequency of planned runs where one run includes all the routes / vehicles. Do not multiply the number of planned runs by the number of routes. (i.e. if you break down your planned salting into 15 different routes and undertake all or part of these on 80 occasions then you should enter 80 as the number of planned runs - not 1,200).

Number of days on which any non planned winter maintenance function was carried out during the year
This includes snow and ice clearance. This refers to unpredictable events only and when a ‘stand to’ or ‘patrol’ is ordered, as this is planned and should not be included.

Footway subject to regular salting/gritting
This figure should relate to the kilometres and should not be multiplied by the frequency of salting/gritting (for example, if you regularly salt/grit 50km footway 10 times a year, this should be entered as 50km and not 500km). This includes any footway that is subject to salting/gritting even if it takes place after ice has formed.

National code of practice in identifying dangerous/hazardous incidents
Describe how your local authority reflects the National Code of Practice in identifying dangerous/hazardous incidents, using the following abbreviations:
Enter N - National Code is followed
Enter M - Local Authority is more stringent
Enter L - Local Authority is less stringent.

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Hazardous incidents of damage to roads/footways requiring making safe
This does not include non-hazardous structural defects that are included in (CAT1D).
What constitutes a dangerous/hazardous incident is locally defined, in accordance with your answer above.

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Number of non repudiated third party claims
Note: This should only include claims that have been settled in that year, irrespective of when they occurred.
Include all claims that relate to the public highway including winter maintenance.

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Community/stakeholder consultation / QA (general notes)
If you have an external contractor with different systems & procedures to your local authority, please answer the community/stakeholder consultation / QA questions with regard to the systems used by your local authority.
Formal accreditations must relate to the department/section specifically and not the local authority as a whole unless the overall system / procedure / accreditation clearly covers the department/section in question (e.g. ISO accreditations).
Note: you should only answer Y (Yes) to formal accreditations / systems if these systems are current and are annually inspected.
All questions regarding community/stakeholder consultation exercises undertaken should be answered in the context of exercises carried out within the last 3 years. These may include 'public customer perception / satisfaction' surveys (also covered in the next section) but may also cover public and community consultation exercises via other stakeholders (e.g. Town, Parish & Community Councils; schools; Housing Tenants; residents groups, etc).

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Complaints procedure and handling
Assess your performance against your own local definition for formal complaints.

Definition of a formal complaint
A formal complaint would normally be a written (including e-mail) complaint about service standards or employees or a verbal complaint which warrants recording, investigation and identification of any action required. This will also usually involve responding to the complainant with advice as to any action identified. A formal complaint may be direct to employees, the service office, a central call centre or switchboard or it may come via an elected member or another department.
These are complaints on the standard of service such as lack of work previously done, staff behaviour or vehicles. This should not include the reporting of defects unless there is a claim resulting from this.

Formal complaints procedure
If you have not asked a specific question about overall satisfaction with the service but have broken down the questions into different service aspects then you should calculate the comparable 'rating achieved' expressed as a percentage score.
There are numerous ways in which you may have reported the results of your own survey. Depending upon which method you used please use the guidance below to calculate a comparable 'rating achieved' expressed as a percentage score.
If you asked for an overall expression of satisfaction with the highways maintenance service then please show the positive response total to this as a ratio of all respondents who gave a firm answer (i.e. excluding 'Not Applicable' or 'Don’t Know' responses). For example, 500 Yes, 100 No, and 100 Don't Know should be scored as 500 / 600 = 83.33%.
If you asked for a 'graded' expression of satisfaction with the highways maintenance service then please show the total positive response total to this as a ratio of all respondents who gave a firm answer (again excluding 'Not Applicable' or 'Don’t Know' responses). For example, 100 Excellent, 300 Good, 200 Satisfactory, 100 Poor, 100 Very Poor and 100 Don't Know should be scored as 600 / 800 = 75.00%. Add all positive responses 100 + 300 + 200 to equate to a "Yes" to overall satisfaction.
If you have used the standard APSE performance networks customer survey then you should report the overall calculated satisfaction score from the 'How are we doing' answers without the 'Importance' weighting applied.
If you have not asked a specific question about overall satisfaction with the service but have broken down the questions into different service aspects then you should calculate the grand total of positive respondents for all questions and divide this by the number of respondents excluding 'Not Applicable' or 'Don’t Know' to get an overall score.

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**Public customer perception / satisfaction - number of respondents**

Please enter the number of individual independent respondents that completed the customer perception / satisfaction survey.

You should only include results of surveys which covered at least 200 independent respondents.

**Human resources/people management section**

If you have an external contractor and they have differing systems to the service provider/purchaser in the council, please answer the qualitative questions with regard to the council's own systems. This should relate to the department/section only and not the local authority as a whole. If the data is not available from your contractor, please do not include partial data (e.g. from the client side only). If this is the case, please leave this section blank.

Note: these figures/responses are required to produce specific qualitative performance indicator reports.

**FTE total / front line staff numbers**

Enter the total number of full time equivalent (FTE) employees dedicated to Highways Maintenance and Winter Maintenance. Enter the total numbers included above who are front-line employees. You may calculate this figure yourself or use the FTE calculation worksheet provided.

**Front line staff**

All operational employees engaged on-site including working supervisors.

Do not include street lighting staff numbers in this figure.

**Calculation of full time equivalent (FTE) employee numbers**

This is a measurement of the resources/availability the department has available. A worksheet to calculate the number of full-time equivalent employees has been included in the data template.

Complete each applicable cell with total annual figures for the period April 1st to March 31st. The worksheet will automatically calculate your FTE employee numbers and populate the 'input' cells in the main data template.

**Actual hours (front line employees)**

Front line FTE staff numbers are calculated by adding together all paid staff hours and then deducting any hours which do not result in an increase in resources available to the operation (i.e. cover for lost resources). This total is then divided by 52.14 weeks and divided further by the number of hours that a full time employee would work in a normal working week (in accordance with harmonised working under single status agreements).

Enter the total annual hours worked by front line staff which is attributable to the specific service. Adjust hours for staff who have shared responsibility for other service areas.

Firstly, you should enter the total aggregate core staff hours paid for the whole year for all front line employees (permanent, temporary, casual and agency) including annual leave entitlement for permanent/temporary employees. This total should exclude any hours unpaid for vacant posts or any additional hours paid for overtime, sickness, casual and agency staff, unpaid leave or training during working hours.

**Overtime/additional hours to create additional resources (front line employees only)**

Overtime or additional paid hours to cover additional workloads, annual leave, time off in lieu or vacancies should be entered here. These will be added to the core paid hours to reflect the additional staff resources available to the operation and to increase the FTE staff numbers accordingly.

Do not duplicate any hours already included in HRFEE above.

**Casual, agency temporary and front line employee hours (additional resources)**

Temporary, casual and agency staff hours paid to cover additional workloads, annual leave, time off in lieu or vacancies should also be entered separately. These will be added to the core paid hours to reflect the additional staff resources available to the operation and to increase the FTE staff numbers accordingly.

Do not duplicate any hours already included in either of the cells above.

**Overtime/additional hours to cover for lost resources (front line employees only)**

Overtime or additional paid hours to cover vacant posts, sickness, unpaid leave, training during normal working hours should be entered here. These will be added to the core paid hours to reflect the actual paid hours. However, these hours are deployed to cover for staff resources not available to the operation and therefore do not increase the FTE staff numbers. These hours are excluded from the FTE calculation below.

Do not duplicate any hours already included in any of the cells above.

**Casual, agency temporary and front line employee hours (cover for lost resources)**

Temporary, casual and agency staff hours paid to cover vacant posts, sickness, unpaid leave, training during normal working hours should also be entered separately. These will be added to the core paid hours to reflect the actual paid hours. However, these hours are deployed to cover for staff resources not available to the operation and therefore do not increase the FTE staff numbers. These hours are excluded from the FTE calculation below.

Do not duplicate any hours already included in any of the cells above.

**Actual hours (management and admin staff)**

FTE staff numbers for management and admin staff are not adjusted for overtime or cover for absence. This reflects the normal practices of flexi time, temporary staff cover for vacancies, etc.

Enter the total annual hours worked by management and admin staff which is attributable to the specific service. Adjust hours for staff who have shared responsibility for other service areas you have an allocation to.

Deduct any hours that remain unpaid as a result of vacant posts during the year if these are not covered by other staff (e.g. temporary appointments or overtime).

**Hours in normal working week (full time, front line employees)**

Enter the hours in that would constitute a normal contracted working week for a full time, permanent front line employee. This should take account of harmonisation under single status agreements but should exclude any guaranteed overtime or enhancements.

This figure will be used to calculate the FTE front line employee numbers.

**Hours in normal working week (management and admin staff)**
Enter the hours in that would constitute a normal contracted working week for a full time, permanent managerial or administrative employee. This should take account of harmonisation under single status agreements but should exclude any overtime, hours in excess of contractual requirements or enhancements.

Back to FTE calculation sheet

Definition of a full time equivalent (FTE) employee

You may use the 'Staffing' worksheet to automatically calculate FTE employee numbers or over write the calculation in the input cell with your own calculated figure.

There is a difference in the treatment of sickness and annual leave. Annual leave is taken into account when an organisation calculates the resources it needs to fulfil its work commitments. Annual leave entitlement is therefore treated as part of the FTE calculation so one permanent full time employee (worked hours plus annual leave) equals to one FTE. However, in some cases annual leave will be covered by overtime, casual or agency staff and therefore the available resources have been increased. On the other hand, if someone is off sick the resource goes down and overtime, casual or agency staff cover only brings the resource back to normal. Therefore, cover for sickness, training or unpaid leave should not increase the FTE employee number.

The FTE employee number is calculated by dividing the total, aggregate number of hours worked by all employees by 52.14 weeks, and then dividing by the standard contracted hours per week worked by a full-time employee.

Extra resources included:
All paid hours for all employees including annual leave, time off in lieu, training during normal working hours, unpaid leave, sickness and overtime hours worked to cover for additional workloads, annual leave, time off in lieu or vacant permanent staff positions.

Agency and casual staff hours worked to cover annual leave, time off in lieu, additional work/covering for vacant permanent staff positions (unless covering training during normal working times, unpaid leave and sickness).

Employed resources excluded:
Overtime hours worked to cover training during normal working hours, unpaid leave and sickness.

Sub-contractors other than agency staff under the direct management of the authority.

Full time APT&C
A full-time member of APT&C staff is classified as working between 35 and 37 hours per week.

Full time manual
A full-time member of manual staff is classified as working 39 hours per week (or between 35 and 37 hours per week following the introduction of single status arrangements).

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Back to training days guidance note

Training Placements

Training placements are defined as trainees, which are placed with your organisation by a sponsoring body.

Include information relating to training for all employees. i.e. service provider/contractor (e.g. DSO) and service purchaser/commissioning organisation (e.g. Client Unit).

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NVQ/SVQ Level I

Enter the percentage of permanent workforce with or working towards NVQ/SVQ Level I. This also includes work-related qualifications equivalent to NVQ/SVQ. This does not include qualifications above NVQ level I, but may include any equivalent industry qualifications.

Include information relating to training for all employees. i.e. service provider/contractor (e.g. DSO) and service purchaser/commissioning organisation (e.g. Client Unit).

If any employee has been trained to more than one NVQ/SVQ Level then they should be included in both/all categories for which they have received their NVQ/SVQ certificate. This will reflect the structured, continual training investment of the authority.

If an employee has been trained for a higher level only (e.g. placed straight on to NVQ/SVQ II then they should only be included in this category and not included in NVQ/SVQ Level I.

You may include employees who obtained their NVQ/SVQ qualifications with previous employers or independently of their current employment.

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NVQ/SVQ Level II

Enter the percentage of permanent workforce with or working towards NVQ/SVQ Level II. This also includes work-related qualifications equivalent to NVQ/SVQ. This does not include qualifications above NVQ level II, but may include any equivalent industry qualifications.

Include information relating to training for all employees. i.e. service provider/contractor (e.g. DSO) and service purchaser/commissioning organisation (e.g. client unit).

If any employee has been trained to more than one NVQ/SVQ Level then they should be included in both/all categories for which they have received their NVQ/SVQ certificate. This will reflect the structured, continual training investment of the authority.

If an employee has been trained for a higher level only (e.g. placed straight on to NVQ/SVQ II then they should only be included in this category and not included in NVQ/SVQ Level I.

You may include employees who obtained their NVQ/SVQ qualifications with previous employers or independently of their current employment.

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RIDDOR

For RIDDOR (Reporting of Injuries, Diseases and Dangerous Occurrences Regulations 1995), enter the following numbers:

Death or major injury
Where there has been an accident connected with work and your employee, or a self-employed person working on your premises is killed or suffers a major injury (including as a result of physical violence); or if a member of the public is killed or taken to hospital.

An over-three-day injury
Where there has been an accident connected with work (including an act of physical violence) and your employee, or a self-employed person working on your premises has suffered an over-three-day injury. An over-three-day injury is one which is not major but results in the injured person being away from work or unable to do their normal work for more than three days (including any days they would not normally be expected to work such as weekends, rest days or holidays) not counting the day of the injury itself.

A work-related disease
Where a doctor notifies you that your employee is suffering from a reportable work-related disease.

A dangerous occurrence
Where something has happened which does not result in a reportable injury, but which clearly could have done.

Source: Health and Safety Executive

Back

Average number of days lost per FTE employee in reportable accidents under RIDDOR

For all reportable accidents (including deaths/major injuries, over three day injuries and work related diseases), enter the average number of days lost per FTE (Full Time Equivalent) employee. The figure should be the Full Time Equivalent number of days lost divided by the FTE number of staff. Therefore, if you have a member of staff that works half of the time of a full time employee (therefore, they are 0.5 of an FTE employee), and this person has 10 days off as a result of RIDDOR, this counts as (10 x 0.5) 5 days off.
Training days
Show the total number of training days during the year for all employees and front-line employees only.

Training Day
Where an employee has been absent from their place of work for the purpose of training.

This should include all day releases, formally organised training sessions and all travel time/half-days as well as full day sessions. Evening courses should be classed as half-day. Exclude days for apprentices/trainees on normal, day-to-day job training. However, include away training for apprentices/trainees.

Internal or short briefing sessions and "tool box talks" (including practical on-site training during downtime) should be aggregated to a half-day/full-day equivalent, where the sessions are formally organised on a regular basis.

Please refer here for a definition of front line staff

Calculation of staff absence using the calculation sheet
Complete one column only for front line employees (hours or days) and one column only for other staff (i.e. management, administration and other support staff). If you use both columns for an employee type then your staff absence data will be over stated.

If you already have a formula for calculating staff absence which corresponds to the guidance notes for range codes STAAE, STAAAL, STAOE, STAL in (the HR input sheet) then you may ignore this calculation table and over write the appropriate cell(s) in that input sheet.

This calculation table has been provided to enable members to calculate staff absence percentages in a consistent and like-for-like manner.

Staff absence
Firstly you need to enter the total actual hours (or days) deployed for the whole year for all permanent and long term temporary employees.

Include:
- Overtime or additional hours worked
- Paid annual leave

Exclude:
- Absence (paid or unpaid sickness, special care leave, maternity/paternity leave, unpaid leave)

Hours per working day
Only complete either of these data cells if you are calculating your annual staff absence in days instead of hours.

Calculate the average length of a standard working day for a full time employee (based upon a harmonised working week under single status agreements if applicable). This should be done by dividing the contracted hours in a standard working week or month by the number of working days in the same period. For example, a 37 hour, five day week equates to 7.4 hours per day.

This figure will be used to convert the number of working days, and the number of days absence, into hours so that it can be correctly compared to other authorities who calculate their absence in hours.

Staff absence (self certified, short term sickness absence)
Enter the total number of hours (or days) of self certified sickness absence recorded for the year for absence periods of up to four continuous weeks (i.e. short term absence). If you are unable to separate certified absence and self certified absence then you may enter the total figure in one or the other of these cells.

Include:
- Paid and unpaid sickness absence
- Industrial injury absence

Exclude:
- Maternity/paternity leave or special care leave.

Only use one column (hours or days) for front line employees and one column for other staff (i.e. management, administration and other support staff). You may use hours for one employee type and days for the other but you must be consistent with which column you use for all input cells.

Staff absence (certified, short term sickness absence)
Enter the total number of hours (or days) of certified sickness absence recorded for the year for absence periods of up to four continuous weeks (i.e. short term absence). If you are unable to separate certified absence and self certified absence then you may enter the total figure in one or the other of these cells.

Include:
- Paid and unpaid sickness absence
- Industrial injury absence

Exclude:
- Maternity/paternity leave or special care leave.

Only use one column (hours or days) for front line employees and one column for other staff (i.e. management, administration and other support staff). You may use hours for one employee type and days for the other but you must be consistent with which column you use for all input cells.

Staff absence (maternity/paternity leave, special care and unpaid leave)
Enter the total number of hours (or days) absence recorded for year (paid or unpaid) as a result of maternity/paternity leave, special care leave or unpaid leave.

This figure will not be used in the calculation of percentage sickness absence and should not have been included in the core hours deployed figure above.

Only use one column (hours or days) for front line employees and one column for other staff (i.e. management, administration and other support staff). You may use hours for one employee type and days for the other but you must be consistent with which column you use for all input cells.

Staff absence (long term absence)
Enter the total number of hours (or days) absence recorded for the year for absence periods in excess of four continuous weeks (i.e. long term absence). If you are unable to separate short term sickness absence from long term sickness absence then you should enter the total hours (or days) as short term and leave this cell as zero. If this cell is left as zero then you will be included in any performance indicators for 'all sickness absence' but excluded from any performance indicators for 'excluding long term'.

Include:
- Paid and unpaid sickness absence
- Industrial injury absence

Source: Health and Safety Executive.
Excluded:
Maternity/paternity leave or special care leave.

Only use one column (hours or days) for front line employees and one column for other staff (i.e. management, administration and other support staff). You may use hours for one employee type and days for the other but you must be consistent with which column you use for all input cells.

Staff absence (general notes)
If staff absence data cannot be disaggregated from other services and is only available for a wider service area (e.g. including street lighting, engineering, workshops etc), then use the overall figure. If the data is not available from your contractor, please do not include partial data (e.g. from the client side only). If this is the case, please leave this section blank.

You may calculate these figures yourself or use the staff absence calculation worksheet provided.

Percentage staff absence – all employees
Enter the percentage staff absence for all employees. Show this figure as the days or hours lost as a result of sickness, as a percentage of the total days or hours deployed (including holiday, etc) annually. You may be able to calculate this figure more easily by using the 'Staff Absence calc' sheet.

Include:
- Long term, certified and self-certified sickness absence and absence for other health related or injury reasons, for all permanent employees
- All industrial injuries service provider/contractor (e.g. DSO) and service purchaser/commissioning organisation (e.g. Client Unit) employees.

Exclude:
- Maternity/paternity leave or special care leave.
- Temporary or agency staff. Staff on fixed term contracts who have been employed by the authority for over a year should be considered permanent.

Note:
This definition has been revised to correspond to the Best Value Performance Indicator definitions.

Unpaid sickness absence as a result of termination of entitlement to pay should be included in the calculation of total sickness absence. Whether or not an employee is entitled to payment for sickness absence is irrelevant to the question of whether they are an employee and whether they are not at work because of ill health.


Percentage staff absence – all employees (excluding long-term absence)
Enter the percentage staff absence for all employees (excluding long-term absence). Show this figure as the days or hours lost as a result of sickness, as a percentage of the total days or hours deployed (including holiday, etc) annually. You may be able to calculate this figure more easily by using the 'Staff Absence calc' sheet.

Include:
- Certified and self-certified sickness absence and absence for other health related or injury reasons, for all permanent employees, excluding long term absence.
- All industrial injuries.
- Service provider/contractor (e.g. DSO) and service purchaser/commissioning organisation (e.g. Client Unit) employees.

Exclude:
- Long-term absence. Long-term absence is defined as absence for more than 4 continuous weeks.
- Maternity/paternity leave or special care leave.
- Temporary or agency staff. Staff on fixed term contracts who have been employed by the authority for over a year should be considered permanent.

A working example of this calculation is as follows:

Calculate the total staff absence throughout the year.

Exclude from this figure, any absence in excess of four weeks at one time. Thus if a member of staff is absent during the year twice (i.e. once for two weeks and once for three months), the three month absence would be excluded from the calculation.

Calculate for all staff, the aggregate time they were contracted to work over the year (including the total time that any staff on long-term absence were contracted to work). This will be the same figure used to calculate total staff absence and staff absence excluding long-term absence.

Note: this definition has been revised to correspond to the Best Value Performance Indicator definitions.

Percentage staff absence – front line employees
Enter the percentage staff absence for all front line employees. Show this figure as the days or hours lost as a result of sickness, as a percentage of the total days or hours deployed (including holiday, etc) annually. You may be able to calculate this figure more easily by using the 'Staff Absence calc' sheet.

Include:
- Long-term certified and self-certified sickness absence and absence for other health related or injury reasons.
- All industrial injuries.

Exclude:
- Non-front line employees.
- Maternity/paternity leave or special care leave.
- Temporary or agency staff. Staff on fixed term contracts who have been employed by the Authority for over a year should be considered permanent.

This absence also forms part of the percentage staff absence – all employees figures above.

Note: this definition has been revised to correspond to the Best Value Performance Indicator definitions.

Unpaid sickness absence as a result of termination of entitlement to pay should be included in the calculation of total sickness absence. Whether or not an employee is entitled to payment for sickness absence is irrelevant to the question of whether they are an employee and whether they are not at work because of ill health.


Percentage staff absence – front line employees (excluding long-term absence)
Enter the percentage staff absence for all front-line employees excluding long-term absence. Show this figure as the days or hours lost as a result of sickness, as a percentage of the total days or hours deployed (including holiday, etc) annually. You may be able to calculate this figure more easily by using the 'Staff Absence calc' sheet.

Include:
- Certified and self-certified sickness absence and absence for other health related or injury reasons, for permanent front-line employees only, excluding long term absence.
- All industrial injuries.

Exclude:
- Non-front line employees.
- Long-term absence (defined as absence for more than 4 continuous weeks).
- Maternity/paternity leave or special care leave.
- Temporary or agency staff. Staff on fixed term contracts who have been employed by the authority for over a year should be considered permanent.
Financial data guidance notes

Total capital and revenue expenditure
Do not include any expenditure which is not associated with the highways function definition. You can check this definition by clicking on the 'See note' link against 'Service Areas' heading in the 'Highways' input sheet.

Include expenditure carried out under any agency agreement with Highways Authority.

Staff expenditure
Enter total direct staff costs including all management, administration, supervisory, technical and front line staff. This should include any temporary, agency, casual or trainee staff costs.

Include all staff in costs.

Exclude client staff costs which are to be included in COEXP below and sub contractor staff.

Exclude winter maintenance staff.

Equipment, plant and vehicles
Include all leasing, hire, annual depreciation, outright purchase (not annually depreciated), fuel, maintenance, testing, insurances.

Exclude sub contractor costs.

Exclude winter maintenance equipment and vehicles.

Materials
Include all purchase of materials for use in the highways operation.

Exclude salt / grit for winter maintenance operations.

Annual direct, net expenditure (external contractors / sub contractors)
Enter the actual direct, net expenditure figure spent with any external contractors for the year on Highways function. This should also include any sub contractors working for the in house service provider.

Include:
All capital schemes irrespective of their nature (e.g. all grants, capital element of PFI, ERDF, SRB, developer capital).
Expenditure on bridge strengthening.

Exclude:
Street lighting. If your expenditure includes street lighting, apportion the amount applicable to highways only.
Winter Maintenance.
Asset rentals, debt charges and other capital charges.

Waste disposal
Enter the total expenditure for the year associated with the disposal of rubble, arisings and other waste resulting from highways work. This should include landfill tax, gate fees from landfill to disposal contractors.

Other direct expenditure
Enter all other direct expenditure not included in the itemised breakdown above.

Include allowances, office expenditure, direct overheads, communications equipment, etc.

Do not include winter maintenance costs. Where necessary, apportion overhead and other direct costs between highways and winter maintenance / street lighting.

Exclude client costs or central establishment charges.

Exclude asset rentals, debt charges and other capital charges.

Central Establishment Charges
Show all annual/End of year re-charges made by central departments to the in-house contractor/service provider and/or to the commissioning organisation/service purchaser in the appropriate columns. All Local Authorities should ensure that the allocation of Central Establishment Charges (CECs) is in accordance with the CIPFA code of practice on Local Authority Accounting.

If these costs are not included then you will NOT receive any Performance Indicator reports that include Central Establishment Charges (CECs). Do not include any charges, which have already been shown under 'Departmental Administration'.

Exclude CECs associated with the winter maintenance operation, street lighting.

Annual net expenditure (commissioning organisation)
Enter the actual, net commissioning organisation (client) costs relating to expenditure for the year on Highways. Use an estimated apportionment of salaries and direct overheads.

Include:
Highways public liability insurance, if this is charged to your revenue budget (if not included above).
Central Establishment Charges (if not included already above).
Payments to other sections for highways maintenance work (e.g. the payment to the grounds maintenance section if they cut the grass on verges).
Costs incurred by the Council excluding service provider expenditure identified above including any overhead costs (e.g. staff costs, admin charges, CEC, vehicle costs) that are incurred by the Council in letting, monitoring, managing and making payments relating to the contract.

Definition of Central Establishment Charges (CEC)
Show all annual/End of year re-charges made by central departments to the in-house contractor/service provider and/or to the commissioning organisation/service purchaser.
Exclude:
Street lighting. If your expenditure includes street lighting, apportion the amount applicable to highways only.
Winter maintenance.
Asset rentals, debt charges and other capital charges.
School crossing patrol service / road safety team

**Percentage of actual, net expenditure spent on maintenance work to the fabric of the highway/footway**
Enter the percentage of the protected subtotal for ‘Total actual, net expenditure on highways for year’ (range code TOTSP) that is spent on maintenance work to the fabric of the highway/footway.

**Include:**
Planned and reactive repair work.
Resurfacing to the fabric of the highway/footpath surface.

**Exclude:**
Street furniture
Road marking
Road studs
Structures (e.g. tunnels and bridges)
Drainage
Signals and signs
Fencing
Street trees and grass turfs maintenance
Verge maintenance (such as weed spraying)
Temporary road management
Road construction (new housing estates, roads, bridges)
CCTV
Road cameras
Street lighting. If your expenditure includes street lighting, apportion the amount applicable to Highways only.

This figure would equate to the charge made to the Authority by either in-house or external contractors for highways maintenance.

**Income from own authority**
If an internal transfer is generated between the highways client / commissioning organisation and the direct in house service provider then enter the gross annual payment received for works completed as part of the core highways department function.

Exclude any income which is generated from outside the core highways department function such as private roads maintenance, non standard services, commercial or retail area maintenance.

**Grants**
Identify any additional government or European grants awarded for use within 2010/11 financial year, which have been included in the above expenditure. These include local transport plan payments from the Government.

**Non contract / discountable income (own authority/external work)**
Include any income which is generated from outside the core highways department function such as private roads maintenance, non standard services, commercial or retail area maintenance.

Include income from government agencies for maintenance of roads not owned by the local authority.

**Capital/revenue ratio**
Enter the estimated percentage of total actual direct net expenditure (SPEXP above) that was annual revenue budget funded. Enter the estimate percentage of total direct net expenditure (SPEXP above) that was funded from capital/other sources.

**Planned/reactive work.**
Split the actual, maintenance spend on Highway Fabric Maintenance Work (i.e. the figure in the protected cell, range code TOTHR) into:
The percentage spent on planned/reactive work AND
The percentage spent on reactive work.

The subtotal (range code PMTOT) should equal 100%. A definition of Planned and Reactive Work is included below, for information.

**Planned work**
Planned work is that which is part of a cyclical schedule or can be considered to be pre-set or part of a planned schedule defined to be pro-active/preventative. This is pre-planned at the start of the financial year irrespective of the state of the road/footway.

**Reactive work**
Re-active work includes emergency works, repairs arising from defect reports and requiring rectification. Repair work arising during year and funded from contingency budget or re-directed budget (i.e. not planned/surveyed in advance on a specific location by location basis).

Reactive Work also includes pothole repairs, minor patching, and work resulting from damage or deterioration that was not identified prior to the start of the financial year.

**Carriageways/footpaths split**
Split the actual maintenance spend on highway fabric maintenance work (the figure in protected cell TOTHR) into the percentage spent on carriageways and the percentage spent on footpaths. The subtotal (range code PMSTOT) should equal 100%.

**Financial data - winter maintenance**
Show the total net charge made for the year for winter maintenance. This should relate to the net payment (minus any income for private work) from the service purchaser/commissioning organisation (e.g. client unit) to the in-house contractor.

Include:
Profit.
All legitimate winter maintenance costs including snow clearance, footway, salt boxes etc.

Overheads.

Central Establishment Charges payable by the service provider/contractor (e.g. DSO).

Charges to the transport department for use of their vehicles.

**Exclude:**

Management and overhead costs of the service purchaser/commissioning organisation (e.g. client unit).

Asset rentals, debt charges and other capital charges.

**Payment to external service providers for winter maintenance**

Enter the total net payment to external service providers for Winter Maintenance, excluding costs of the service purchaser/commissioning organisation. This should relate the net payment (minus any income for private work) from the service purchaser/commissioning organisation (e.g. client unit) to the external contractor.

**Total client expenditure for winter maintenance**

Show the total management and overhead costs of the service purchaser/commissioning organisation (e.g. client unit) for the year related to the winter maintenance function, excluding payments made to service providers above. Use an estimated apportionment of salaries and direct overheads.

Include the costs incurred by the council excluding service provider expenditure identified above including any overhead costs (e.g. staff costs, admin charges, CEC, vehicle costs) that are incurred by the council in letting, monitoring, managing and making payments relating to the contract.

**Family group review**

You should only complete these data input cells if you have not participated in the performance networks exercise in the last two years or if you wish to review your family group.

**Secondary driver: percentage of SSA (Standard Spending Assessment) / GAE (Grant Aided Expenditure) / FSS (Formula Funding Share) spent on highways maintenance**

This secondary driver measures how much is spent proportionate to identified need. This score is calculated automatically.

This driver is scored in two stages. First estimate the percentage of the allocated SSA/GAE/FSS budget for the Highways function, which was actually used in 2010/11.

If this information is unavailable, score as 100% (e.g. if highways function is undertaken on an agency basis).

Where a district operates under agency agreement the figure should either reflect the percentage the County Council plans to spend against its overall SSA or will be 100%.

**Note:**

Where no such needs analysis is in place, the figure should reflect the percentage of SSA the county is committing to the Highways function. If this figure is not available the figure must be expressed as 100%. This figure may exceed 100%.

If this information is unavailable, score as 100% (e.g. if highways function is undertaken on an agency basis)

If more than 100% of allocated SSA/GAE/FSS is used then state the actual percentage.

This refers to revenue only.

Where a district operates under agency agreement the figure should either reflect the percentage the County Council plans to spend against its overall SSA or will be 100%.

**Draft reports**

If you submit your completed data files by 15th July 2011, you will receive a draft PI standings report to check your data. Draft reports are produced in the format of summarised PI standings reports showing your initial results for each PI and how you stand against other authorities that have submitted their data by this date.

Draft reports are only supplied for the purpose of self checking to assist you in identifying any missing data, errors or exclusions as a result of report parameters. As a result of these, you should review your submitted data and inform APSE of any updates or amendments as quickly as possible.

Draft reports should not be used for any reporting or management information purposes as they are produced prior to any data validation or error checking of your own data or the data submitted by other comparator authorities and are therefore unreliable for this purpose.

You do not need to select this option. All authorities submitting data by the above date will automatically receive an electronic (MS Excel) version of the draft report for self error checking as part of the data validation process.