

# Process Classification Document

## Forward Programme & Budget Setting Process

Owner	Author	Date of Issue	Version
		July, 2016	V1.0

## Document Location

### Approvals

Name	Title	Date of Issue	Version
Andrew Lewis	Director Department for Place		V1.0
Peter Geraghty	Head of Planning & Transport		V1.0

### Distribution

Name	Title	Date of Issue	Version
Neil Hoskins	Asset & Programme Manager Service Manager Lot 2		V1.0
Paul Mathieson	Group Manager Major Projects & Strategic Transport Policy		V1.0
Zulfiqar Ali	Group Manager, Traffic Management & Highways Network		V1.0
Richard Atkins	Coastal Sea Defences Service Manager Lot 1		V1.0
Richard Backhouse	Team Leader Project Implementation Service Manager Lot 3 & 4		V1.0
David Gilkes	Highway Engineer Service Manager Lot 5		V1.0
Shan Shanmugalingam	Team Leader - Highways & Street Works		V1.0
Cheryl Hindle-Terry	Team Leader- Traffic Management and Road Safety Team		V1.0
Liz Pearman	Performance and Business Support Manager		V1.0
Sharon Griffiths	Business Analyst Officer		V1.0

## Contents

<b>1</b>	<b>Introduction and Background</b>	<b>4</b>
<b>2</b>	<b>Process Overview</b>	<b>4</b>
2.1	Process Name	4
2.2	Process Objective	4
2.3	Triggers	5
2.4	Process Hand offs	5
<b>3</b>	<b>Business Rules &amp; Data Requirements</b>	<b>6</b>
3.1	Business Rules	6
3.2	Data Requirements	7
<b>4</b>	<b>Access Channels</b>	<b>7</b>
<b>5</b>	<b>Change Impact Considerations</b>	<b>7</b>
<b>6</b>	<b>Forward Programme of Works and Budget Setting Process</b>	<b>8</b>
<b>7</b>	<b>Forward Programme of Works and Budget Setting Timeline</b>	<b>9</b>

## 1. Introduction and Background

In December 2014, the Secretary of State for Transport revised the way maintenance capital and incentive funding for local highways will be allocated.

As a result, there is a requirement to demonstrate we are delivering value for money in carrying out cost effective improvements. Demonstrating efficiency measures are being pursued in order to receive a full share of the funding.

The Highways service in Southend Borough Council (SBC) is therefore in the process of reviewing established practices ensuring evidence based justification is available.

The purpose of this document is to capture all relevant supporting information regarding the forward programme of works and budget setting process including:

- Process objectives
- Process steps/activities (process map)
- Business rules
- Data requirements
- Reporting requirements

The information within this document will be used to communicate to and inform all staff within the Department for Place, Planning and Transport teams with an aim to ensure a consistent approach is applied and any requests for funding are based on asset data analysis.

## 2. Process Overview

### 2.1 Process Name

Forward Programme and Budget Setting Process

### 2.2 Process Objective

The objective of the Forward Programme and Budget Setting process is to ensure the forward programme of works and the associated funding required is determined following evidence based justification.

Regular analysis of key asset data should be undertaken using inspection (safety & serviceability) and condition survey findings to initially identify the work requirements and associated costs required.

The initial analysis should be undertaken by those in roles where responsibility lies on a day to day basis for decisions relating to the assets lifecycle status and maintenance needs (data owner).

The collective information provided by the data owners, combined with Lifecycle Planning, customer perception data and appropriate asset strategies will enable priorities and efficiency savings, across all key assets, to be identified by the Asset Manager and a draft future programme of works and budget requirements proposal

produced in agreement with Group Managers prior to seeking approval from Senior Managers and ultimately the Cabinet.

### 2.3 Triggers

The process is triggered following the results of inspection and surveys being recorded/reported. The data owner will then assess/analysis findings on a regular basis.

The frequency of analysis is dependent on the frequencies applied to:

- Safety Inspections
- Serviceability Inspections
- Condition Surveys
- NHT Survey - Customer Perception
- Lifecycle Planning

Initial analysis provided by the data owners should be available to the Asset Manager no later than the beginning of July annually.

### 2.4 Process Hand offs

Step number	Process Step	Hand off Area	Hand off mechanism
1	Each Data Owner will extract from Symology and other appropriate systems information necessary to identify required works and associated costs.		
2	Each Data Owner will then create a draft 'wish list' of future works and cost by updating the Future Programme of Work Requirements document template. Format excel spread sheet.	Asset Manager	Electronic
3	The Asset Manager will collate all spread sheets taking a 'global view' of requirements and identify key asset priorities. Taking into consideration 'Life Cycle Planning' expectations, current condition reports and customer perception feedback.		
4	The Asset Manager will draft the future programme of works and associated costs proposal, providing evidence based justification.		Electronic
5	The draft report and justification should be reviewed and agreed with the Group Managers of Major Projects & Strategic Transport Policy and Traffic Management & Highways Network.	Group Managers	
6/7	The Asset Manager will then present the draft report to Senior Managers, Head of Planning & Transport	Senior Managers	Electronic

Step number	Process Step	Hand off Area	Hand off mechanism
	and Corporate Director for Department of Place for review and approval.		
8	The final report is then presented to Cabinet for review and approval in accordance with Corporate Procedures and Processes.	Cabinet	Electronic
9/10	The agreed programme of works and budgets set will then be communicated to the Management team.	Senior Managers Group Managers	Electronic
10a	Appropriate Purchase Orders to be raised on Agresso.	Service Managers or those with delegated authority	
10b	Revised budget codes and balances uploaded to Symology.	ICT Officer	
11	The agreed programme of works is progressed by those with day to day responsibility for the assets using the required budgets.	Highways Teams	Symology

### 3. Business Rules & Data Requirements

#### 3.1 Business Rules

Ref:	Business Rule	Description
1	The Highway Engineers, Highways Inspectors and Sea Defence Engineer are responsible for data collection	Asset Data is to be collected on a daily basis primarily within the Symology system when raising works orders/observations and recording inspection results. This populates the Asset Database and also provides expenditure information.
2	The data owner is responsible for analyzing the data provided	By extracting reports from the system(s) a consistent set of information can be provided which will enable needs and potential costs to be identified.  The information may also show gaps in data, the value of the missing data can then be established to identify if there is also a need to amend procedures and processes to capture going

Ref:	Business Rule	Description
		<p>forward, or, a need to purchase services to capture on mass.</p> <p>There also may be a need to update the Risks Register and or Lessons Learnt Log following analysis.</p>
5	Analysis will be undertaken by Data Owners on a regular basis but no less frequently than	As follows:

### 3.2 Data Requirements

The following data quality principles will be followed. All data will be:

1. **Accurate:** The data is recorded correctly for its intended purpose
2. **Valid:** The data is recorded and used in compliance with requirements
3. **Reliable:** The data is reliable and definitions are consistent over time
4. **Timely:** The data is kept up to date and captured in advance of its intended use
5. **Relevant:** The data needs to be relevant for its use and reviewed over time to reflect changing circumstances
6. **Complete:** All data requirements are specified and all data has been recorded

Priorities will be applied with regard to ensuring the data quality principles are met for each Asset data set. These are to be reviewed as required.

The Data Owner will verify the updated data to ensure that it meets both service needs and data quality principles. Liaising with the System Administrator and Business Analyst to resolve any queries relating to data structures and or data cleansing activities required.

The System Administrator has responsibility for the export and import of data into ICT systems.

The data is maintained by the business as usual team in line with agreed processes.

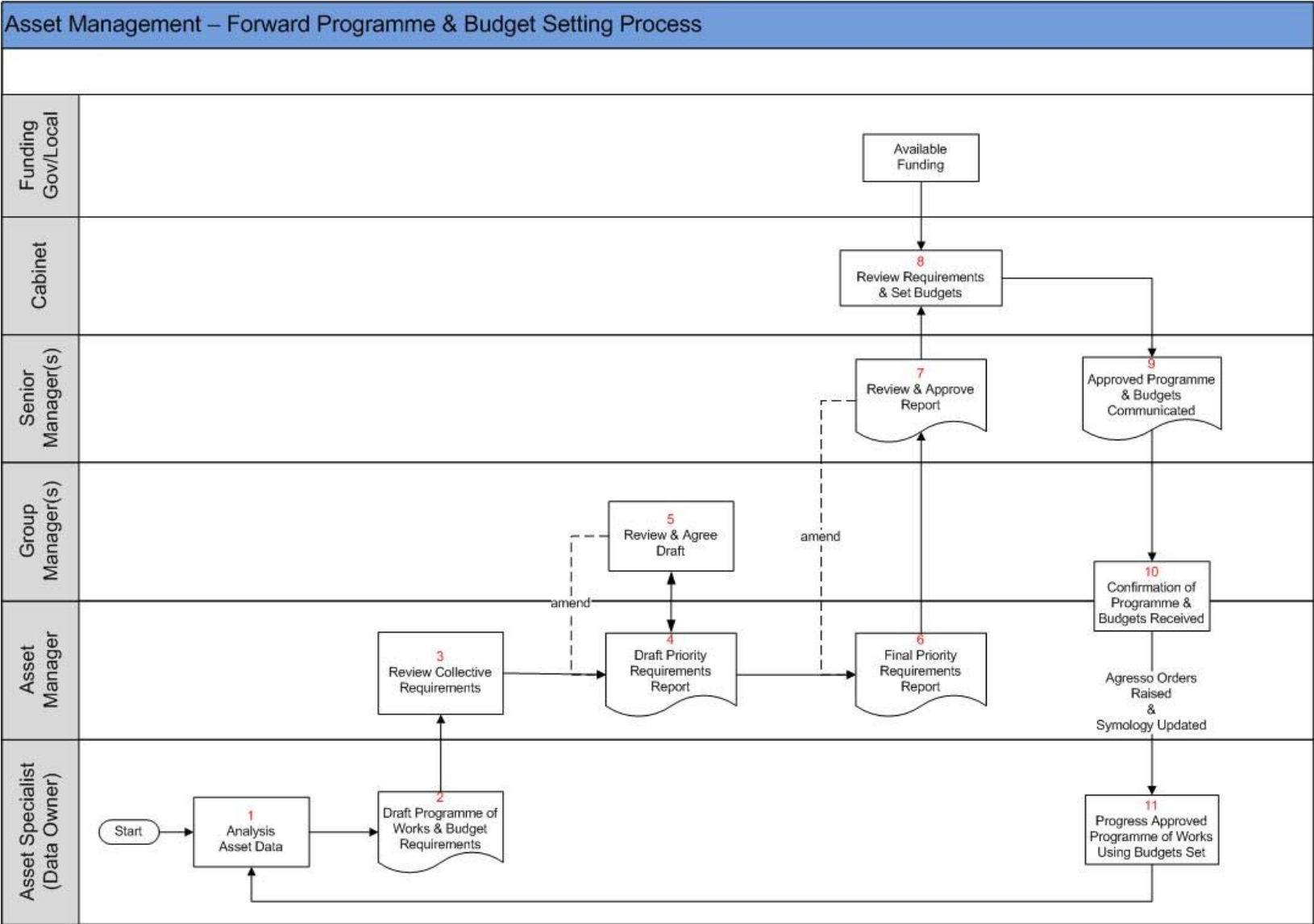
## 4. Access Channels

This section isn't applicable for this business process. This process is managed via the system and liaising with the appropriate Manager.

## 5. Change Impact Considerations

A separate Change Impact Log has been created as part of the standardised process design. These change impacts will need to be addressed as part of the transition phase and subsequent change plan and associated activities.

## 6. Forward Programme and Budget Setting Process





# 7. Forward Programme and Budget Setting Timeline

