

1. Strategy and Planning (7 Questions)

Policy & Strategy

Question 1.1	How do you use your asset management policy and strategy to promote asset health and long-term operational resilience?
Guidance	Please describe how your asset management policy promotes asset health and long-term resilience alongside other drivers (for example, legal and health and safety). Please describe how your asset management strategy considers asset health and long-term resilience and helps mitigate shocks and stresses such as climate change. Please describe how you set your asset management objectives. Please include how you establish a line of sight on asset health and operational resilience from your asset management policy to strategy to plans to delivery. Please explain how a common understanding of this policy and strategy is achieved across your organisation, and whether there is consistent consideration of asset health across asset types and activities.
Suggested evidence	An example of how asset health and resilience are included in your strategic direction statement, asset management policy or strategy. Asset management objectives relating to asset health and operational resilience.
Maturity scale	
Unaware	The organisation is unable to demonstrate that its asset management policy and strategy considers asset health and operational resilience and there is a lack of consistency between the policy, strategy and plans.
Aware	The organisation has identified the need to use the asset management policy and strategy to promote asset health and operational resilience. There are plans in place to develop an asset management policy and strategy, which include asset health and operational resilience.
Developing	The organisation's asset management policy and strategy include high-level consideration of asset health and resilience. The asset management policy and strategy are owned by senior leadership. There is an understanding of asset management policy and strategy within some areas of the organisation, however, it is not embedded throughout the organisation. The organisation is unable to demonstrate the line of sight from the asset management policy to asset management strategy and plans and / or consistent management of service and asset health across asset types, activities and geographies.
Competent	The asset management policy includes principles and intentions relating to asset health and operational resilience. The asset management strategy considers asset health and resilience issues relevant to the organisation and includes objectives to address them. There is line of sight from the asset management policy to asset management strategy and plans and consistent management of asset health across asset types, activities and geographies. There is a common understanding of the asset management policy and strategy across the organisation and they are widely and consistently used across the organisation.
Optimising	The organisation considers resilience issues over the long-term in their asset management policy and strategy. There is a process in place to review and update the asset management policy and strategy should the organisation's external or internal context change. Learning from the implementation of asset health improvements are incorporated into future policy and strategy.

Maturity Score	Unaware	Aware	Developing	Competent	Optimising	Leading
Current Maturity						
Maturity at the end of AMP7						
Maturity at the end of AMP8						
Please evidence your current maturity (500 words)						
What are your plans in AMP7 & AMP8 (if applicable)? (500 words)						
If you are demonstrating leading practice, please provide details of the practice and its benefits (300 words)						
Quantitative indicator						
<p>What objective measures do you have to measure policy and strategy effectiveness? How frequently do you report on them? Please complete table 1.1a in the attached spreadsheet.</p> <p>How many years into the future do your asset management strategies look? Please complete table 1.1b in the attached spreadsheet.</p>						
Please signpost any documents you are appending to support your answers. Please provide the name, chapter/section number and page numbers relevant to this question.						

Question 1.2	How do you understand and manage the interaction between asset health and long-term resilience?
Guidance	Please describe how you consider the impact of asset health on long-term resilience, including any measures and/or modelling. Please describe how you consider the impact of short-term shocks and long-term trends on asset health and operational resilience.
Suggested evidence	Relevant section of the resilience strategy or plan
Maturity scale	
Unaware	The organisation is unable to demonstrate that it understands the interaction between asset health and long-term resilience or plans to do this.
Aware	The organisation has identified the need to understand the interaction between asset health and long-term resilience, and there is evidence of plans to achieve this.
Developing	The organisation has identified the means of systematically and consistently monitoring asset health across different asset groups. The organisation has identified relevant long-term resilience trends.
Competent	The organisation identifies long-term resilience trends and understands the impact that they will have on its assets. The organisation understands asset health trends and understands the impact that they will have on the operational resilience of the organisation.

Optimising	The organisation has procedures in place to monitor long term resilience trends and asset health trends and to incorporate them into future planning and decision making. This applies to all asset types and geographies.					
Maturity Score	Unaware	Aware	Developing	Competent	Optimising	Leading
Current Maturity						
Maturity at the end of AMP7						
Maturity at the end of AMP8						
Please evidence your current maturity (500 words)						
What are your plans in AMP7 & AMP8 (if applicable)? (500 words)						
If you are demonstrating leading practice, please provide details of the leading practice and its benefits (300 words)						
Quantitative indicator						
None						
Please signpost any documents you are appending to support your answers. Please provide the name, chapter/section number and page numbers relevant to this question.						

Question 1.3	How does your asset management system enable you to maintain and improve asset health and operational resilience?
Guidance	Please describe how your asset management system is used to manage operational resilience, including asset health, across your organisation and whether it is used consistently across asset types. Please describe how your asset management system is maintained and continually improved to improve efficiency and outcomes for customers, society, and the environment.
Suggested evidence	Flowchart of asset management system
Maturity scale	
Unaware	The organisation has not recognised the need to establish an asset management system.
Aware	The organisation has identified the need for an asset management system. There is evidence of intent to use it across the organisation.
Developing	The organisation has processes for managing assets but not all of these are formally documented and consistently used across the organisation or asset types.
Competent	The organisation has an asset management system to direct, coordinate and control asset management activities to maintain or improve asset health and operational resilience. The asset management system is formally documented and consistently used. The asset management system includes the necessary components across people, processes, information, and technology with appropriate linkages to other organisational functions and management systems. The asset management system is used to manage most of the organisation's assets.

Optimising	The organisation has an asset management improvement plan to outline how it will establish, implement, maintain, and continually improve the asset management system. The asset management system is used to manage most, if not all, of the organisation's assets. All of the organisation's assets have been considered for inclusion in the asset management system and there is reasonable justification for any assets not included in it.					
Maturity Score	Unaware	Aware	Developing	Competent	Optimising	Leading
Current Maturity						
Maturity at the end of AMP7						
Maturity at the end of AMP8						
Please evidence your current maturity (500 words)						
What are your plans in AMP7 & AMP8 (if applicable)? (500 words)						
If you are demonstrating leading practice, please provide details of the practice and its benefits (300 words)						
Quantitative indicator						
What percentage of your operational assets are managed through your asset management system for each asset system / type? Please complete table 1.3 in the attached spreadsheet.						
Please signpost any documents you are appending to support your answers. Please provide the name, chapter/section number and page numbers relevant to this question.						

Planning

Question 1.4	How does your organisation ensure its asset management plan achieves an appropriate balance between short and medium-term needs and long-term objectives?
Guidance	Please describe how the organisation ensures that the asset management plan addresses current needs without compromising those needs of future generations. Please describe how the plan considers trade-offs between the short and long-term including intergenerational issues around environmental, social and financial sustainability.
Suggested evidence	Decision-making framework
Maturity scale	
Unaware	The organisation is unable to demonstrate that the asset management plan considers more than the price review period.
Aware	The organisation is aware of the need for the asset management plan to consider the short, medium and long-term and there is evidence of plans to achieve this.

Developing	The asset management plan considers trends in asset health and resilience over the medium-term. There are plans to consider the impacts of delays in investment in asset health and operational resilience on environmental, social, and financial sustainability. The organisation has a decision-making framework in place but it is not applied consistently across the organisation.					
Competent	The asset management plan considers trends in asset health and resilience over the long-term. The trade-offs between short-term needs and long-term objectives and the impacts on the organisation and customers are considered. The organisation has a decision-making framework in place, which considers whole-life costs and impacts on the organisation and customers, and it is applied consistently across the organisation.					
Optimising	The asset management plan has been developed using future scenarios relating to asset health and operation resilience. The trade-offs between short-term needs and long-term objectives and the impacts on environmental, social and financial sustainability are considered. The asset management plan takes an adaptive approach with monitoring of performance indicators driving when investment should be made. The organisation has a decision-making framework in place which considers wider values such as natural capital and public value.					
Maturity Score	Unaware	Aware	Developing	Competent	Optimising	Leading
Current Maturity						
Maturity at the end of AMP7						
Maturity at the end of AMP8						
Please evidence your current maturity (500 words)						
What are your plans in AMP7 & AMP8? (500 words)						
If you are demonstrating leading practice, please provide details of the practice and its benefits (300 words)						
Quantitative indicator						
How many years into the future do your asset management plans look? Please complete table 1.4a in the attached spreadsheet.						
How many optimising constraints do you consider and what are they? Please complete table 1.4b in the attached spreadsheet.						
Please signpost any documents you are appending to support your answers. Please provide the name, chapter/section number and page numbers relevant to this question.						

Question 1.5	How do you track and report on the effectiveness and success of the asset management plan in delivering your objectives?
Guidance	Please describe how you track and report on the effectiveness of the asset management plan in delivering the objectives, including any performance

	indicators. Please outline how frequently they are tracked and what improvement actions are undertaken if the asset management plan is not achieving targets.					
Suggested evidence	Asset management plan measures of success or performance indicators Example of reporting on asset management plan measures of success (e.g. scorecard)					
Maturity scale						
Unaware	The organisation is unable to demonstrate that it monitors or measures the effectiveness and success of the asset management plan.					
Aware	The organisation has identified what is needed to be monitored to measure progress in the asset management plan. There is evidence of intent to progress this.					
Developing	The organisation uses its Performance Commitments and Outcome Delivery Incentives to monitor the progress of the asset management plan.					
Competent	The organisation has established a hierarchy of measures to regularly track and report on the success of the asset management plans including internal key performance indicators as well as regulatory Performance Commitments. There are clear methods of monitoring including frequency of monitoring, appropriate methods of measurement to obtain accurate results, and criteria to establish when there is a deviation from a required level of performance. The organisation reports on asset performance, including asset health and has a hierarchy of asset performance and asset health reporting through the organisation appropriate to the decisions that are being taken. The organisation's measures meet the reporting obligations of their stakeholders. The organisation has a process in place to review if its investments have achieved the intended benefits and outcomes. Action is taken if the asset management plan is not achieving targets.					
Optimising	The organisation uses asset health trends and forward-looking measures to predict the success of its asset management plan and refine its asset management plan in response. The organisation reviews and continuously improves its monitoring capability. The organisation sets out how the outcome of the investment will be measured prior to making the investment. The organisation has a process in place to review if its investments have achieved the intended benefits and outcomes at an individual project and system level. It can evidence the decisions it has made and actions it has taken to continuously improve as a result of gaps identified and lessons learnt from realised and non-realised benefits.					
Maturity Score	Unaware	Aware	Developing	Competent	Optimising	Leading
Current Maturity						
Maturity at the end of AMP7						
Maturity at the end of AMP8						
Please evidence your current maturity (500 words)						
What are your plans in AMP7 & AMP8? (500 words)						
If you are demonstrating leading practice, please provide details of the practice and its benefits (300 words)						

Quantitative indicator
How frequently do you report your progress against your asset management plan and performance indicators? Please complete table 1.5a in the attached spreadsheet.
How frequently do you revise or update your asset management plan? Please complete table 1.5b in the attached spreadsheet.
Please signpost any documents you are appending to support your answers. Please provide the name, chapter/section number and page numbers relevant to this question.

Question 1.6	What processes do you have in place to develop an implementable asset management plan from your asset management policy and strategy?					
Guidance	Please demonstrate how you develop your asset management plan from your asset management policy and strategy with a particular focus on the line of sight on asset health and resilience from policy, strategy to plan. Please demonstrate the alignment and interactions relating to asset health and operational resilience between your strategic plans such as your drainage and wastewater management plans (DWMPs), water resources management plans (WRMPs), business plan and asset management plan. Please show how your organisation incorporates the outputs from deterioration models into asset failure models, water resources models, hydraulic network models and investment planning models.					
Maturity scale						
Unaware	The organisation is unable to demonstrate that it has a strategic planning process.					
Aware	The organisation recognises the need for a strategic planning process and there is intent to develop one.					
Developing	The organisation has basic processes in place to develop the asset management plans from asset management policy and strategy. These are not consistent over all activities or businesses. This is a limited, linear process with the policy and strategy informing the asset management plan.					
Competent	The organisation has a consistent approach to developing the asset management plan from the asset policy and strategy. This process is not only linear, with lessons learnt from delivery also informing future planning. The line of sight on asset health and resilience is clearly understood by all teams across the business.					
Optimising	The asset management plan is integrated with your other plans such as your water resources management plan. There is also clear evidence of links to wider stakeholders and of the impact of external constraints. The asset management plan takes an adaptive approach with monitoring of performance indicators driving when investment should be made. It is continuously updated as a result of gaps identified and lessons learnt from realised and non-realised outcomes of investment.					
Maturity Score	Unaware	Aware	Developing	Competent	Optimising	Leading
Current Maturity						
Maturity at the end of AMP7						
Maturity at the end of AMP8						
Please evidence your current maturity (500 words)						

What are your plans in AMP7 & AMP8? (500 words)
If you are demonstrating leading practice, please provide details of the practice and its benefits (300 words)
Quantitative indicator
None
Please signpost any documents you are appending to support your answers. Please provide the name, chapter/section number and page numbers relevant to this question.

Question 1.7	How do you incorporate uncertainty in your asset strategies and plans?					
Guidance	Please describe how your organisation considers and communicates uncertainty in short-term shocks and long-term stresses in your investment and operational planning. Please outline your approach, for example scenarios, stress-testing, adaptive planning. Please describe how you review and adapt your strategy and plans to take account of changing contexts.					
Suggested evidence	An example of inclusion of uncertainty in your planning.					
Maturity scale						
Unaware	Consideration of uncertainties is not included in asset strategy and plans.					
Aware	The organisation has identified the need for the inclusion of uncertainty in the decision-making process and there is intent to develop this.					
Developing	Uncertainty in a small number of resilience and asset health trends are qualitatively considered in asset policies, strategies and plans.					
Competent	The organisation undertakes scenario planning to consider the plausible impacts of resilience and asset health trends across the organisation. There is combination of qualitative and quantitative consideration of the resilience trends and uncertainties. These are incorporated into the decision making process.					
Optimising	The organisation undertakes adaptive planning to consider the potential interventions that could be undertaken as resilience and asset health scenarios materialise. Plans are stress-tested against a variety of low likelihood, high consequence scenarios. Uncertainty analysis is reviewed at an appropriate level.					
Maturity Score	Unaware	Aware	Developing	Competent	Optimising	Leading
Current Maturity						
Maturity at the end of AMP7						
Maturity at the end of AMP8						
Please evidence your current maturity (500 words)						
What are your plans in AMP7 & AMP8? (500 words)						

If you are demonstrating leading practice, please provide details of the practice and its benefits (300 words)
Quantitative indicator
None
Please signpost any documents you are appending to support your answers. Please provide the name, chapter/section number and page numbers relevant to this question.