

THE SCOTTISH ROAD WORKS COMMISSIONER



2017/18 ANNUAL REPORT

Authorising Context

This Report has been produced in accordance with the requirements set out in Schedule 2 of the *Transport (Scotland) Act 2005*, and covers the 12 month period from April 2017 to March 2018.

Appointment

Angus Carmichael was appointed as Scottish Road Works Commissioner on 28 September 2015, for a period of 2 years. Following a review of the role and powers of the Commissioner by Scottish Ministers, his appointment was extended to a maximum period of 5 years to provide stewardship through the ongoing Transport Bill process.

The Scottish Road Works Commissioner's Role

The Scottish Road Works Commissioner is an independent public official, appointed by Scottish Ministers. The Office was established following enactment of the *Transport (Scotland) Act 2005*.

The Act states:

[The Commissioner] will oversee improvements to the planning, co-ordination and quality of road works in Scotland.

The general functions of the 2005 Act are to:

- monitor the carrying out of road works in Scotland
- promote compliance with the New Roads and Street Works Act 1991
- promote the pursuit of good practice

The specific functions of the 2005 Act are to:

- publish an annual report
- prepare an annual account
- keep a register to be known as the Scottish Road Works Register

Disclaimer

The views offered by the Commissioner within this document are his own and do not necessarily reflect the approach taken by previous Commissioners.

Contents

1.	Commissioner's Introduction	1
2.	Executive Summary.....	4
3.	The Organisation.....	9
4.	Monitoring.....	11
5.	Trends from Indicator Reports.....	14
6.	Quality of Utility Company Reinstatements	63
7.	Commissioner Penalties.....	67
8.	Promotion of Compliance and Good Practice.....	69
9.	Consultations and Research	73
10.	Scottish Road Works Register (SRWR)	75
11.	Legislation	83
12.	Annual Report and Accounts.....	86
13.	Reflection and Forward Planning	87
	Appendix A – List of Acronyms and Terms	88
	Appendix B – List of Scottish Roads Authorities and Utility Companies.....	89
	Appendix C – Business Plan 2017/18	90
	Appendix D – Business Plan 2018/19	96
	Appendix E – Extent of Engagement.....	102

1. Commissioner's Introduction

I am delighted to present my third report since taking up office in September 2015, which covers the period 1 April 2017 to 31 March 2018.

Having been appointed for a period of two years, my tenure as Scottish Road Works Commissioner (SRWC) was extended to a maximum period of five years in 2016. This extension provides Scottish Ministers with continuity of stewardship of the office pending completion of the ongoing Transport Bill process.

In parallel with my appointment in 2015, a strategic "Review of the Functions and Office of the Scottish Road Works Commissioner" was called for by the Minister for Transport and the Islands. The "Barton Report" was received by the Minister in 2016 and was used to inform road works policy development. Recommendations included the strengthening of enforcement powers and the introduction of an inspection function for the office. If taken forward, these provisions will represent the first major changes to the office since its inception under the 2005 Transport (Scotland) Act.



**Picture 1 - Angus Carmichael,
SRWC**

My report maintains the practice of reviewing data and trends over five consecutive years. The reporting period continues to align with annual performance reviews of organisations, the office fiscal year and the Roads Authorities and Utilities Committee (Scotland), (RAUC(S)), business year.

The SRWC prioritises five key business areas, including the monitoring of road works performance across Scotland and promoting compliance with primary and secondary road

works legislation. A number of key indicators are used to inform the monitoring process. These indicators form the basis of Section 5 of this report, highlighting trends in performance and providing a picture of how well utility companies are co-operating and how well roads authorities are co-ordinating road works. Whilst several small improvements were made during the reporting period, the rate of improvement has slowed and underperforming organisations need to demonstrate a greater commitment to meeting their statutory road works obligations. I am liaising with these organisations to ensure that poor performance is addressed.

Community engagement is an essential part of the successful delivery of both utility company and roads authority road works across Scotland. In addition to regular attendance at quarterly local, area and national RAUC meetings, my office routinely engage with a range of individual organisations and stakeholder groups. These

include Roads Authorities, Utility Companies, the Roads Maintenance Stakeholder Group, the Bus Stakeholder Group and various Scottish Government Agencies. Specific reference should be made to the office involvement in the UK wide Training and Accreditation Group (TAG). Having participated in the development of the Road Works (Qualifications of Operatives and Supervisors) (Scotland) Regulations, the focus has moved to drafting new question banks for operatives and supervisors. Training and Accreditation are key to driving improvements in the safety of road works sites and in the quality of reinstatements across the country.

Collaborative working between utility companies and roads authorities is essential to the successful delivery of road works. Jointly developing Codes of Practice, participating in UK wide initiatives and resolving differences are examples of the close collaborative approach between roads authorities and utility companies.

As reported in previous years, the co-ordination of road works is closely monitored using the Scottish Road Works Register (SRWR). It is generally robust, however, the variable noticing practices of roads authorities, when compared with peer authorities in their respective Society of Chief Officers of Transportation in Scotland (SCOTS) groups, remains in need of further investigation. The introduction of an indicator comparing the number of road works registered by roads authorities per 100km of road network has driven a number of improvements over the last 3 years, but further improvement is required.

Improving the quality of utility company reinstatements remains one of my highest priorities. It is simply not acceptable that the bituminous surfacing layers in 20% of utility company reinstatements do not meet the required specification, leaving a legacy for roads authorities to address in future years. A further RAUC(S) National Coring Programme of utility company reinstatements was completed this period and a report published in December 2017. Summary details are available in Chapter 6.

Coring of the bound bituminous layers in utility company reinstatements is only one measure of quality. In Type 3 and 4 roads, the bound layer frequently only represents around 15% of the overall depth of the excavation. Unfortunately there is currently no formal compaction testing regime of the remaining 85%, which consists of unbound general backfill material. It remains my view that increased scrutiny of the unbound layers in utility company reinstatements is required. Both material type and the quality of compaction require investigation to avoid future “long term” settlement liability falling to roads authorities. Testing on site using the office Light Weight Deflectometer continued on an ad hoc basis throughout the year to assess compaction performance, however, insufficient data has been collected to provide a robust trend analysis at this stage.

In addition to increased scrutiny of the unbound layers in reinstatements, it remains my view that consideration should be given to significantly extending the existing

guarantee periods applied to utility company reinstatements to protect road network assets against unnecessary early failure.

Following an 18 month re-tendering period, I am pleased to report that a new contract to provide the SRWR for a period of 4 years, commencing 1 April 2018, was successfully awarded in August 2017. There is an option to extend the contract by up to 3 years in increments of 1 year.

The task of scrutinising the performance of organisations across Scotland is undertaken robustly using information held in the SRWR. Performance is measured consistently across the country using this single national road works register, unlike England where around 170 disparate registers exist, and information is not transferred openly between organisations.

The role of Road Works Commissioner is unique to Scotland within the context of the UK. Its creation demonstrates a desire by the Scottish Government to encourage organisations to work collaboratively to improve the safety and the quality of road works sites and to minimise disruption to road users by reducing congestion.

Finally, I would again thank both the staff in my office for their continued commitment and enthusiasm for the work of the office, and the wider road works community for their ongoing engagement and support during this reporting period.



Angus Carmichael
Scottish Road Works Commissioner

2. Executive Summary

The Organisation

Permanent staffing levels remained constant over the period with no turnover. One temporary part time post was introduced to support the work of the Technical Standards Manager during the reporting period. Accountancy is now largely undertaken in-house with external chartered accountancy support as required. The staffing establishment remains well placed to deliver the requirements of the *Transport (Scotland) Act 2005* and to address the governance required of a public office.

Monitoring

Monitoring the performance of organisations continued substantially unchanged throughout 2017/18.

Quarterly SRWC performance dashboards were established during the reporting period and were well received by the road works community. Details of all metrics included in quarterly dashboards can also be downloaded directly from the SRWR by organisations and reviewed at any time. Dashboards have led to increased engagement with organisations and an improved understanding of statutory duties.

Performance Indicator Trends

The 5 year rolling period introduced last year over which performance trends were analysed has been retained this reporting period.

Following significant improvements in both utility company and roads authority performance prior to 2012/13, the rate of improvement slowed significantly. It is to be expected that improvements will be slower as performance improves, however, there are several areas in need of early improvement including:

- percentage of unplanned works registered by Scottish Water, SP Energy Networks and SGN
- overall performance of many smaller utility companies
- seasonal variance/fluctuation in the performance of roads authorities
- works registered per 100km of road network by roads authorities

Despite the resourcing challenges facing the Scottish road works community, it is important that they continue to fully embrace the concept of continuous performance improvement which is key to the delivery of co-ordinated road works.

Performance Reviews

Annual Performance Reviews were again issued to CEO's of all organisations undertaking road works in Scotland during the summer of 2017. Mid-year interim reviews were also issued to designated Senior Managers.

Safety at Road Works

Safety at utility company road works and at roads authority works for roads purposes remains a key priority of the office and will continue to be scrutinised.

Utility Company Reinstatements

Improving the quality of utility company reinstatements remains a high priority of the SRWC. It is simply not acceptable that any utility company leaves a legacy defect for a roads authority to repair in future years. An indication of the quality of reinstatements is found in the results of national coring programmes which sample and test the upper bituminous bound layers of utility company reinstatements. Programmes are undertaken by RAUC(S) every two to three years.

The most recent national coring programme, which reviewed a 2% sample of utility company reinstatements undertaken between 1 January 2015 and 31 December 2015, recorded a pass rate of 82% against an expected minimum pass rate of 90%. This represents an overall fall in performance of 1% against the previous programme. If these figures are interpolated, around 18,000 utility company reinstatements undertaken across Scotland in 2015 were substandard.

Commissioner Penalties were applied to five organisations as a result of their coring performance. Four in the telecoms sector and one multi utility provider.

Commissioner Penalties

Commissioner Penalties totalling £124,000 were issued to seven organisations during the reporting period for failures to comply with Sections 118 and 119 of the NRSWA 1991.

£83,500 was levied on five organisations who failed to achieve a pass rate of 80% in the national coring programme described above and £40,500 on two organisations for safety related failures.

Promotion of Compliance and Good Practice

The promotion of compliance and good practice is fundamental to encouraging organisations undertaking road works to co-operate and co-ordinate. The office continued to engage proactively with the road works community throughout the reporting period.

Consultations and Research

The SRWC continued to take an active role in the Scottish Road Research Board and related consultation and technical groups.

Scottish Road Works Register (SRWR)

Management and operation of the SRWR continued with the support of the SRWR Steering Group, the Systems Assurance Team and the Gazetteer Group.

There was one significant loss of service recorded during the year, which resulted in a service credit penalty being applied to the provider.

Provision of the SRWR was retendered during the reporting period and awarded to the incumbent for a minimum period of 4 years commencing 1 April 2018.

SRWR User Forums were held at 11 venues around Scotland during February and March 2018 prior to the new contract commencing on 1 April 2018. In addition, road works performance seminars were held in Glasgow and Edinburgh during the autumn of 2017.

Legislation

The SRWC continued to participate in the road works Policy Development Group (PDG) and other forums reviewing and updating primary, secondary and tertiary road works legislation in Scotland during 2017/18. The PDG informed Scottish Government officials drafting the road works section of the proposed Transport Bill, which will be subject to parliamentary process.

Annual Report and Accounts

Scott-Moncrieff Business Advisors and Accountants carried out an external audit of the 2016/17 SRWC Annual Report and Accounts during the summer of 2017.

Annual Report and Accounts are available to download at:

<https://roadworks.scot/publications/annual-accounts>

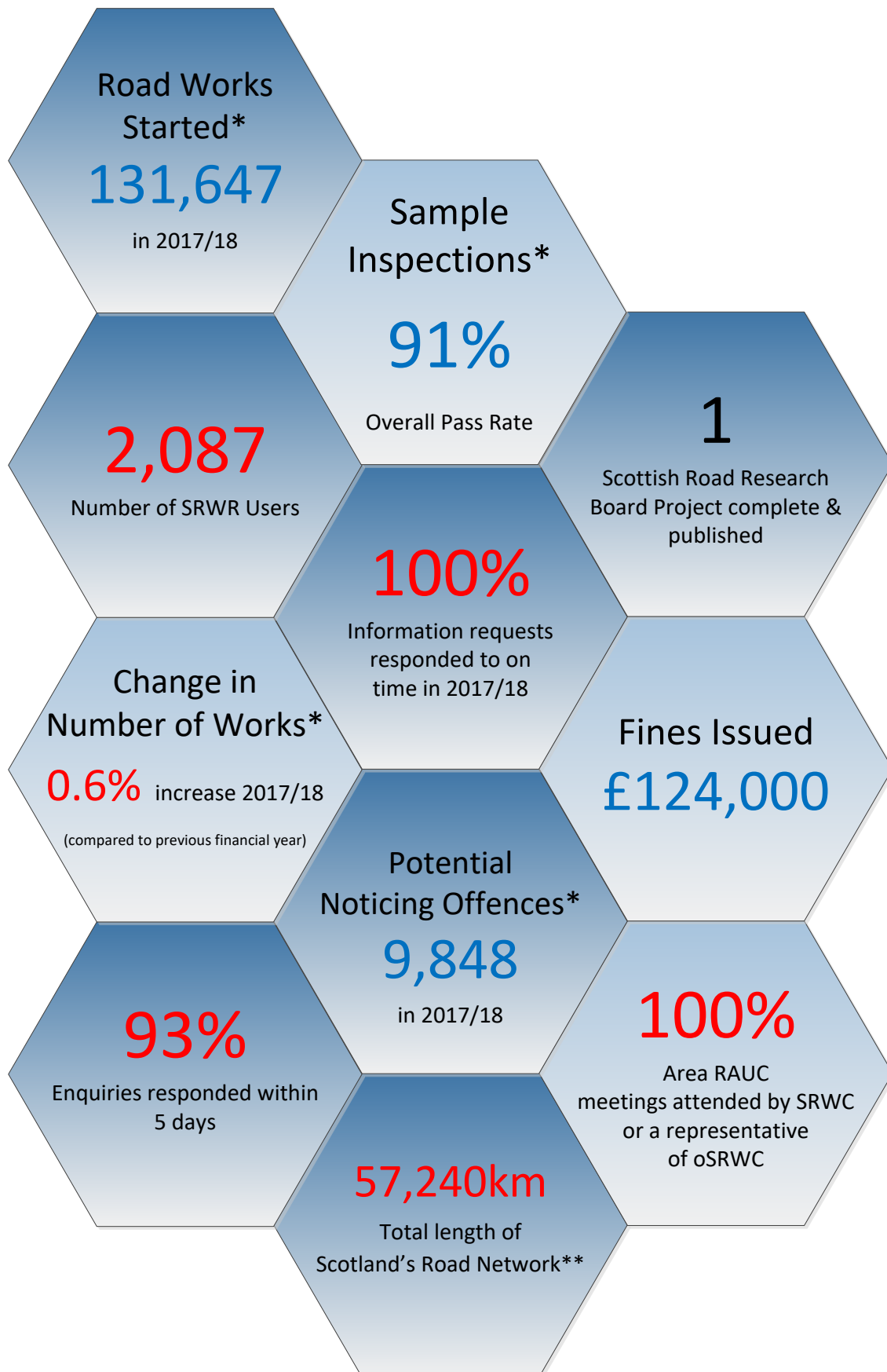
Reflection and Forward Planning

The SRWC remains of the view that changes are required to the current legislative provisions to achieve further improvements in noticing performance, safety at road works sites and in the quality of reinstatements. Looking forward, the Transport Bill objectives outlined in the *Programme for Government* made reference to expanding the role of the SRWC and the wider regulation of road works in Scotland. These proposals are welcomed and are being closely followed by the SRWC through the parliamentary process.

Reflecting on 2017/18, the Scottish road works community continued to co-ordinate and co-operate collaboratively.



Picture 3 – Good use of a sandbag?



* Source – Scottish Road Works Register

** Source – Scottish Transport Statistics 2016

3. The Organisation

The organisation remained relatively unchanged, with the only addition being the establishment of a temporary Technical Consultant to support the work of the Technical Standards Manager.



Picture 4 – The staff of the office of the Scottish Road Works Commissioner.

The current establishment consists:

Policy Manager

Key functions include monitoring compliance with legislation, keeping regulations, codes of practice and advice notes under review, promoting good practice, managing requests under FOI(S)A and EI(S)R and media/complaint handling.

Performance Manager

Key functions include the management of indicators and statistical information, working with the community to improve compliance and drafting performance reviews.

SRWR Manager

The key function of this post is to manage the operation of the SRWR. The SRWR Manager is the primary contact with the provider of the register, currently Symology Ltd.

Technical Standards Manager

This post provides the office with engineering support. A key function is to drive improvements in the overall standard and quality of road works through increased scrutiny of road works sites across Scotland.

Technical Consultant

This new part-time post allows the SRWC to gather independent evidence and information about works currently being carried out on Scotland's roads. The Technical Consultant supports the Technical Standards Manager in developing robust quality management systems.

Business Officer

This key role deals with the general administration of the office, in house accounting, enquiries from the public, statutory returns, invoicing, budget monitoring and the management of the Commissioner's diary.



Picture 5 – Satisfies the SROR, but aesthetics?

4. Monitoring

Introduction

The duties of the SRWC include “monitoring the carrying out of works in roads in Scotland” to ensure that roads authorities and utility companies are meeting their statutory obligations.

The SRWC has been monitoring the performance of organisations since indicators were introduced in 2009. In parallel, roads authorities and utility companies have been improving their own use of management information, available from the SRWR, to monitor their own works. As organisations continue to reduce resources to make savings, the resulting loss of knowledge has proved challenging. Consequently, it is increasingly common for previously satisfactory performance to deteriorate. The SRWC will continue to monitor these organisations and encourage improvements in performance.

All roads authority and utility company CEO's received a bespoke *Annual Performance Review* in August and September 2018 in respect of their performance during 2016/17. Interim Performance Reviews, in respect of performance during the first two quarters of 2017/18 were also issued to senior managers in December 2017.

Five key questions are considered when monitoring performance:

- are roads authorities co-ordinating works on their roads?
- are utility companies co-operating with roads authorities?
- are works taking too long to complete?
- are works being carried out safely (is the signing, lighting and guarding associated with roads works to an acceptable standard)?
- are reinstatements (the backfilling and resurfacing of openings) in roads meeting the required standard?

Performance Indicators

Indicator reports are used to identify trends in the performance of roads authorities and utility companies over time. A suite of indicator reports is available directly to roads authorities and utility companies with access to the SRWR. Organisations are encouraged to regularly interrogate the SRWR to monitor their own performance and take appropriate mitigating action.

During Q4, the following performance “dashboard” was developed which captures key indicators and presents them in a Red/Amber/Green status report.

	No of Works	% of Noticing Failures	% of Emergency/Urgent Remedial Dangerous	% of Overruns	% of Early Starts	% of Late Starts	% of Works Extensions	Works Awaiting Closure	Works Awaiting Registration	S125 Notices Issued/Received	No of Interim reinstatements after 6 months without agreement	Substandard TW*	% of Works with misuse of "TM Not Yet Known"	% of works missing Contact Details	Sample Cat A Inspections*	Sample Cat B Inspections*	Sample Cat C Inspections*	Quarterly Submissions this quarter	VAULT Submissions this quarter
Roads Authorities	R9a	R2a	R9a	R6	R10	R10	R12	R16	R16	R17e	R18	R19	R24	R24	Done				
Aberdeen City Council	199	34.17%	2.51%	6.91%	10.55%	7.04%	4.52%	0	19	0			0.00%	38.19%	77	75	104	Y	Y
Aberdeenshire Council	289	2.77%	5.19%	0.37%	71.63%	3.11%	42.56%	4	90	1			0.36%	2.77%	98	72	91	Y	Y
Angus Council	80	6.25%	3.75%	2.90%	5.00%	1.25%	3.75%	0	62	0			0.00%	0.00%	37	44	60	Y	Y
Argyll & Bute Council	118	2.54%	4.24%	0.89%	5.93%	2.54%	14.41%	0	1	0			0.00%	1.69%		43	56	Y	Y
City of Edinburgh Council	332	22.59%	6.93%	0.00%	21.99%	9.04%	36.55%	3	585	0			28.31%	0.00%	16	162	238	Y	Y
Clackmannanshire Council	62	14.52%	12.90%	5.96%	17.74%	1.61%	16.13%	0	2	0			1.61%	3.23%	13	7	Y	Y	Y
Comhairle nan Eilean Siar	128	7.03%	1.56%	0.00%	4.69%	0.00%	5.47%	1	3	0			17.97%	0.00%	19	12	11	Y	Y
Dumfries & Galloway Council	166	9.04%	3.01%	0.62%	36.16%	1.81%	26.33%	0	49	0			0.00%	1.81%	51	54	65	Y	Y
Dundee City Council	37	18.92%	2.70%	0.00%	21.62%	2.70%	21.52%	5	0	0			5.41%	0.00%	44	39	57	Y	N
East Ayrshire Council	96	3.13%	1.04%	0.00%	3.13%	6.25%	20.83%	0	0	0			0.00%	0.00%	69	66	74	Y	Y
East Dunbartonshire Council	114	0.88%	0.00%	0.00%	13.16%	3.51%	21.93%	0	0	0			0.00%	0.00%	6	30	42	Y	Y
East Lothian Council	43	11.63%	4.65%	2.44%	37.21%	0.00%	44.19%	0	2	14			0.00%	2.33%	2	31	33	Y	N
East Renfrewshire Council	37	2.70%	16.22%	3.33%	16.22%	2.70%	43.24%	2	3	0			0.00%	0.00%	14	39	43	Y	N
Falkirk Council	245	8.16%	8.98%	0.00%	4.90%	0.41%	6.12%	0	3	0			0.00%	0.00%	2	49	41	Y	Y
Fife Council	307	14.01%	2.61%	3.10%	24.10%	1.30%	22.15%	3	16	0			0.00%	6.19%	82	95	115	Y	Y
Glasgow City Council	225	4.44%	30.67%	0.64%	25.33%	0.44%	24.89%	2	0	1			1.33%	27.56%	69	162	201	Y	Y
Highland Council	398	6.78%	9.05%	4.43%	3.02%	0.00%	12.06%	3	70	0			0.00%	0.50%	12	64	64	Y	Y
Inverclyde Council	81	2.47%	3.70%	0.00%	20.99%	12.35%	38.27%	0	0	0			0.00%	0.00%	24	43	53	Y	N
Midlothian Council	78	3.85%	1.28%	0.00%	10.26%	3.85%	43.59%	0	0	1			0.00%	0.00%	3	31	24	Y	Y
Moray Council	159	0.00%	4.40%	0.00%	12.58%	1.26%	16.35%	0	5	0			0.00%	0.00%	15	34	39	Y	Y
North Ayrshire Council	116	3.45%	0.00%	0.89%	40.52%	0.00%	15.52%	0	28	0			12.07%	0.00%	55	44	54	Y	Y
North Lanarkshire Council	449	22.27%	1.34%	1.13%	45.43%	4.90%	5.12%	3	0	0			0.00%	0.89%	13	56	65	Y	Y
Orkney Islands Council	72	29.17%	0.00%	0.00%	15.28%	1.39%	2.78%	0	16	0			0.00%	1.39%	3	6	7	Y	Y
Perth & Kinross Council	133	3.76%	7.52%	0.00%	63.91%	3.01%	42.86%	0	18	11			0.75%	0.00%	106	47	58	Y	Y
Renfrewshire Council	115	0.87%	1.74%	0.00%	1.74%	11.30%	7.83%	0	0	0			0.00%	0.00%	90			Y	Y
Scottish Borders Council	88	20.45%	1.14%	1.16%	34.09%	9.09%	34.09%	0	1	0			0.00%	0.00%	15	63	66	Y	N
Shetland Islands Council	51	0.00%	0.00%	0.00%	15.69%	1.96%	11.76%	0	0	0			0.00%	0.00%	4	3	3	Y	Y
South Ayrshire Council	77	16.88%	5.19%	0.00%	19.48%	0.00%	12.99%	0	0	0			0.00%	0.00%	19	52	66	Y	Y
South Lanarkshire Council	454	10.35%	4.19%	0.70%	18.06%	9.25%	21.37%	2	26	0			0.00%	0.00%	178	129	172	Y	Y
Stirling Council	91	7.69%	16.48%	0.00%	26.37%	8.79%	70.33%	0	11	1			0.00%	0.00%	22	32	30	Y	Y
Tay Road Bridge Joint Board	7	0.00%	28.57%	0.00%	14.29%	0.00%	0.00%	0	0	0			0.00%	0.00%					N
Transport Scotland	31	22.58%	0.00%	3.23%	25.81%	0.00%	9.68%	0	145	0			0.00%	0.00%					N
Transport Scotland - A90 AWPR DBFO	2	150.00%	0.00%	0.00%	0.00%	0.00%	3000.00%	0	5	0			0.00%	0.00%				Y	N
Transport Scotland - Forth Bridges OC	20	0.00%	0.00%	0.00%	5.00%	0.00%	0.00%	0	0	0			0.00%	0.00%				Y	Y
Transport Scotland - M74 DBFO	15	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0	0	0			0.00%	0.00%				Y	N
Transport Scotland - M77 DBFO	18	16.67%	22.22%	0.00%	27.78%	0.00%	16.67%	0	0	0			0.00%	0.00%				Y	N
Transport Scotland - M8, M73, M74 DBFO	79	6.33%	0.00%	1.27%	3.80%	0.00%	3.80%	0	3	0			0.00%	1.27%				Y	N
Transport Scotland - M80 DBFO	23	0.00%	17.39%	0.00%	0.00%	0.00%	0.00%	0	0	0			0.00%	0.00%				Y	N
Transport Scotland - NE OC	292	1.37%	1.03%	0.40%	38.01%	1.37%	14.38%	0	0	0			3.77%	0.00%	8	6	Y	Y	Y
Transport Scotland - NW OC	507	0.79%	10.45%	0.00%	12.43%	0.00%	14.99%	0	0	0			1.78%	0.00%	23	26	Y	Y	Y
Transport Scotland - SE OC	385	0.78%	2.60%	0.00%	5.71%	0.26%	4.16%	2	4	0			0.00%	0.00%	1	12	10	Y	Y
Transport Scotland - SW OC	908	1.76%	4.96%	0.12%	16.08%	0.00%	4.19%	42	0	0			0.39%	0.00%	4	15	30	Y	Y
West Dunbartonshire Council	23	30.43%	21.74%	0.00%	73.91%	0.00%	13.04%	0	0	0			0.00%	0.00%	7	33	34	Y	N
West Lothian Council	193	4.15%	1.04%	1.63%	26.94%	1.04%	25.39%	0	3	1			0.00%	0.52%	48	51	75	Y	Y
National Total Average	7343	8.03%	5.54%	0.98%	21.50%	2.72%	17.96%	1	16				2.21%	2.48%					

Undertakers	R9a	R2b	R9a	R6	R10	R10	R12	R16	R16	R17e	R18	R19	R24	R24	Passed %				Vault	
Arqive	27	3.70%	0.00%	0.00%	0.00%	0.00%	0.00%	0	0	0			0.00%	0.00%	0.00%				N	
BP		0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0	0	0			0.00%	0.00%					N	
Broadband for the Rural North Limited		0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0	2	0			0.00%	0.00%					N	
CenturyLink	7	0.00%	0.00%	0.00%	42.86%	0.00%	42.86%	0	0	0			0.00%	0.00%					Y	
CityFibre	328	2.74%	1.52%	0.00%	14.02%	0.00%	7.01%	0	1	0			1	0.00%	90.91%	72.00%	89.29%		Y	
CLH Pipelines		0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0	0	0			0.00%	0.00%					N	
Concept Solutions People		0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0	0	3			0.00%	0.00%					N	
E S Pipelines	25	8.00%	0.00%	0.00%	4.00%	0.00%	0.00%	0	58	11			0.00%	0.00%	100.00%	77.78%	77.78%		N	
Edinburgh Trams		0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0	0	0			0.00%	0.00%					N	
EE	79	5.06%	2.53%	0.00%	15.19%	0.00%	3.80%	2	5	0			6	1	100.00%	77.78%	88.89%		N	
Energetics	58	12.07%	3.45%	6.25%	12.07%	5.17%	10.34%	0	87	0			7	2	0.00%	0.00%	0.00%		N	
Energy Assets Pipelines	1	100.00%	0.00%	200.00%	0.00%	0.00%	0.00%	0	0	0			0.00%	0.00%					N	
EnQuest		0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0	0	0			0.00%	0.00%					N	
ESP Electricity		0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0	0	0			0.00%	0.00%					N	
Fulcrum	10	120.00%	10.00%	12.50%	0.00%	0.00%	40.00%	1	6	1			2	0.00%	66.67%	100.00%			N	
Gamma Telecom		0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0	0	0			0.00%	0.00%					N	
Gas Transportation Company	19	15.79%	5.26%	12.50%	26.32%	5.26%	15.79%	0	2	0			5	2	0.00%	0.00%	0.00%	80.00%	100.00%	N
Hutchison 3G		0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0	0	0			0.00%	0.00%					N	
Hyperoptic	19	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	4	0	0			0.00%	0.00%					N	
INEOS		0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0	0	0			0.00%	0.00%					Y	
INEOS FPS		0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0	1	0			0.00%	0.00%					N	
National Grid		0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0	0	0			0.00%	0.00%					N	
Network Rail	264	7.58%	3.41%	0.00%	20.08%	0.76%	5.30%	0	24	1			2	3	66.67%	100.00%	72.73%	Y	N	
Openreach	6772	6.29%	15.99%	2.01%	6.87%	0.34%	8.64%	38	191	12			228	46	0.49%	1.57%	91.47%	89.15%	93.23%	N
Royal Mail	16	6.25%	75.00%	0.00%	12.50%	0.00%	0.00%	0	1	0			0.00%	0.00%					N	
Scottish Water	7139	3.36%	57.99%	1.54%	3.77%	0.88%	8.84%	9	11	6			48	82	0.11%	2.91%	92.21%	91.91%	92.14%	Y
SGN	2538	9.57%	43.54%	6.11%	9.42%	2.13%	15.21%	24	139	8			44	45	0.16%	0.35%	88.65%	90.66%	96.31%	Y
Shell		0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0	0	0			0.00%	0.00%					N	
Sky UK		0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0	0	0			0.00%	0.00%					Y	
SP Energy Networks	2286	10.37%	49.13%	9.22%	10.50%	0.66%	11.64%	28	44	1			47	53	0.74%	0.39%	90.48%	89.22%	96.72%	Y
SSE	732	5.33%	39.62%	3.89%	8.47%	0.68%	13.11%	17	428	1			10	2	0.96%	5.19%	97.92%	90.20%	96.43%	Y
SSE Telecoms	22	9.09%	0.00%	0.00%	4.55%	0.00%	9.09%	0	0	0			1	0.00%	0.00%					N
TakTalk Business		0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0	0	0			0.00%	0.00%						

Indicator Development

SRWC indicator reports are continually reviewed to ensure that they are relevant, up to date and transparent. The performance dashboard captures key indicators, allowing organisations to review and benchmark their performance at a glance. It has been well received by the road works community, who are expected to provide a written response when their performance is “Red”. One new indicator, missing contact details, was introduced during 2017/18.

Engagement and Improvement

Ongoing engagement is intended to improve performance without the need to take formal enforcement action.

A number of organisations met with the SRWC to discuss their performance during 2017/18. In general terms, the major Gas, Electricity and Water utility companies, and around 40% of roads authorities, performed satisfactorily. However, the Telecommunications sector, along with a number of roads authorities, require to give greater priority to meeting their road works statutory obligations.

Liaison took place with the following:

Roads Authorities

Aberdeen City Council
City of Edinburgh Council
Dumfries & Galloway Council
Dundee City Council
East Ayrshire Council
East Dunbartonshire Council
East Renfrewshire Council
Fife Council
Glasgow City Council
Highland Council
Orkney Islands Council
North Ayrshire Council
North Lanarkshire Council
Perth & Kinross Council
Renfrewshire Council
Shetlands Islands Council
South Ayrshire Council
Stirling Council
Tay Road Bridge Joint Board
Transport Scotland

Utility Companies

CityFibre Metro Networks
Edinburgh Trams
EE
Energetics
Fulcrum
INEOS
Openreach
Royal Mail
Telefonica UK
Verizon
Virgin Media Group
Vodafone
Zayo

5. Trends from Indicator Reports

Roads authorities and utility companies have a statutory duty to register their qualifying road works in the SRWR. This section of the annual report considers trends in compliance using a suite of key performance indicator reports extracted from the SRWR. Utility companies and roads authorities are encouraged to interrogate performance reports on a regular basis and to monitor their own performance.

The following summarises the data analysed in this section:

Trend	Figure(s)
Actual starts (road works commenced)	Figure 2, Figure 3 & Figure 4
Roads authority noticing failures as a percentage of actual starts	Figure 5 & Figure 6
Utility company noticing failures as a percentage of actual starts	Figure 5 & Figure 7
Early and late starts as a percentage of actual starts	Figure 8 & Figure 9
Unplanned works as a percentage of actual starts	Figure 10
Works extensions as a percentage of actual starts	Figure 11
Overrunning works as a percentage of planned works	Figure 12
Works awaiting closure and/or registration of final site reinstatement details	Figure 13 & Figure 14
Utility company interim reinstatements	Figure 15 & Figure 16
Sample Inspections undertaken by roads authorities	Figure 17
Sample inspections utility company failure rate	Figure 18
Substandard traffic management from inspection results	Figure 19
Works registered with missing contact details	Figure 20 & Figure 21
Misuse of traffic management type “not yet known”	Figure 22 & Figure 22
Fixed Penalty Notices (FPNs) issued to utility companies	Figure 24
Undue delay (S125) notices issued by roads authorities and received by utility companies	Figure 26 & Figure 25
Roads authority works registered per 100 km	Figure 27 to Figure 34

Analysis in this report considers trends over five financial years, 2013/14, 2014/15, 2015/16, 2016/17 and 2017/18.

Period	Date Range
Quarter 1 (Q1) 2017/18	1 April 2017 to 30 June 2017
Quarter 2 (Q2) 2017/18	1 July 2017 to 30 September 2017
Quarter 3 (Q3) 2017/18	1 October 2017 to 31 December 2017
Quarter 4 (Q4) 2017/18	1 January 2018 to 31 March 22018



Picture 6 – Raises a number of questions

Actual starts (road works commenced)

Subject to the scale of the road works, utility companies and roads authorities are required to register 24 hour, 3 day or 7 day advance notifications on the Scottish Road Works Register (SRWR) for all qualifying works.

When road works actually commence on site, organisations are then required to register an actual start notice.

For example, works subject to a 7 day notification require an actual start to be registered between Day 7 and Day 14, and this must be registered by noon the following day.

This indicator shows the number of actual start notices, including emergency and urgent works, registered in the SRWR by utility companies and roads authorities.

Actual starts registered in the SRWR by roads authority SCOTS groups are shown in Figure 2. Whilst it is encouraging that a majority of SCOTS groups show a small increase in the number of works registered, it is disappointing that the works registered by both the Semi Urban and City groups decreased.

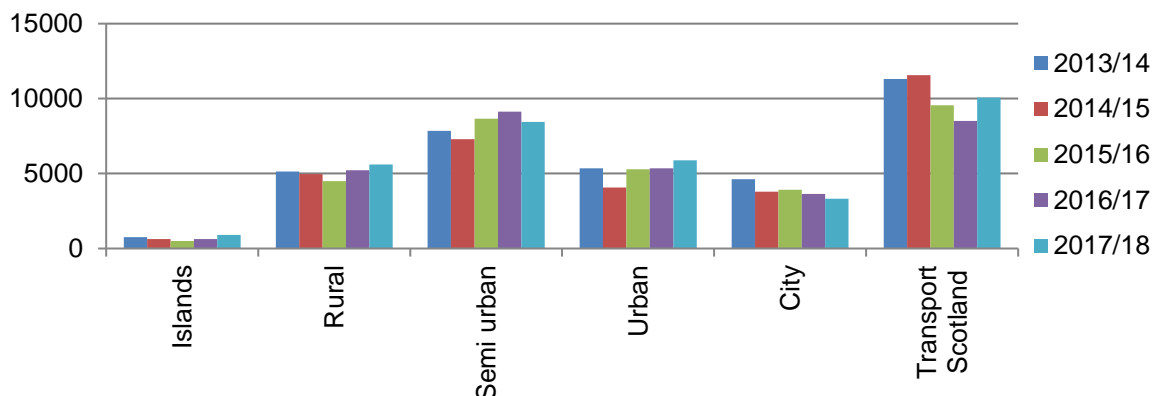


Figure 2 – Actual starts by roads authority SCOTS grouping.
(Source: SRWR Report 9a)

It is the view of the SRWC that the majority of roads authorities are failing to register significant numbers of their qualifying road works.

Utility company actual starts registered in the SRWR show that the number of works decreased across the electricity, water and gas sectors. It is likely that capital investment in new assets has led to a steady decline in reactive road works over the last 5 years in the gas sector. The continued roll out of superfast broadband again increased the number of works registered by the telecoms sector.

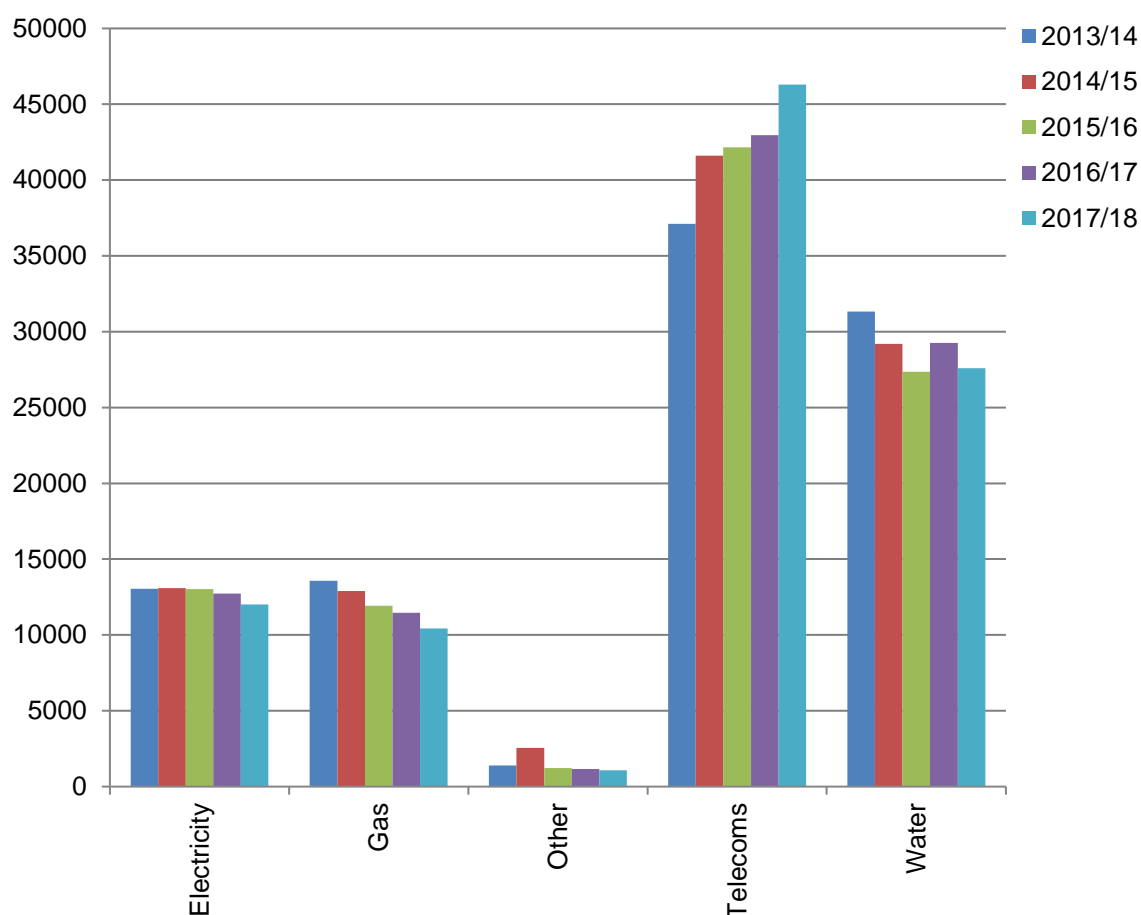


Figure 3 – Actual starts by utility sector.
(Source: SRWR Report 9a)

Whilst scope remains for some improvement in the number of road works registered by utility companies, it is the view of the SRWC that overall, a large percentage of their works are registered.

Analysis of the percentage of roads authority works to utility company works within each roads authority SCOTS group (Figure 4) shows that the percentage of road works registered by roads authorities varies significantly across Scotland. For example, in the SCOTS urban group North Lanarkshire registered 33% of all works in their area, whereas East Renfrewshire, only registered 9% of all works in their area.

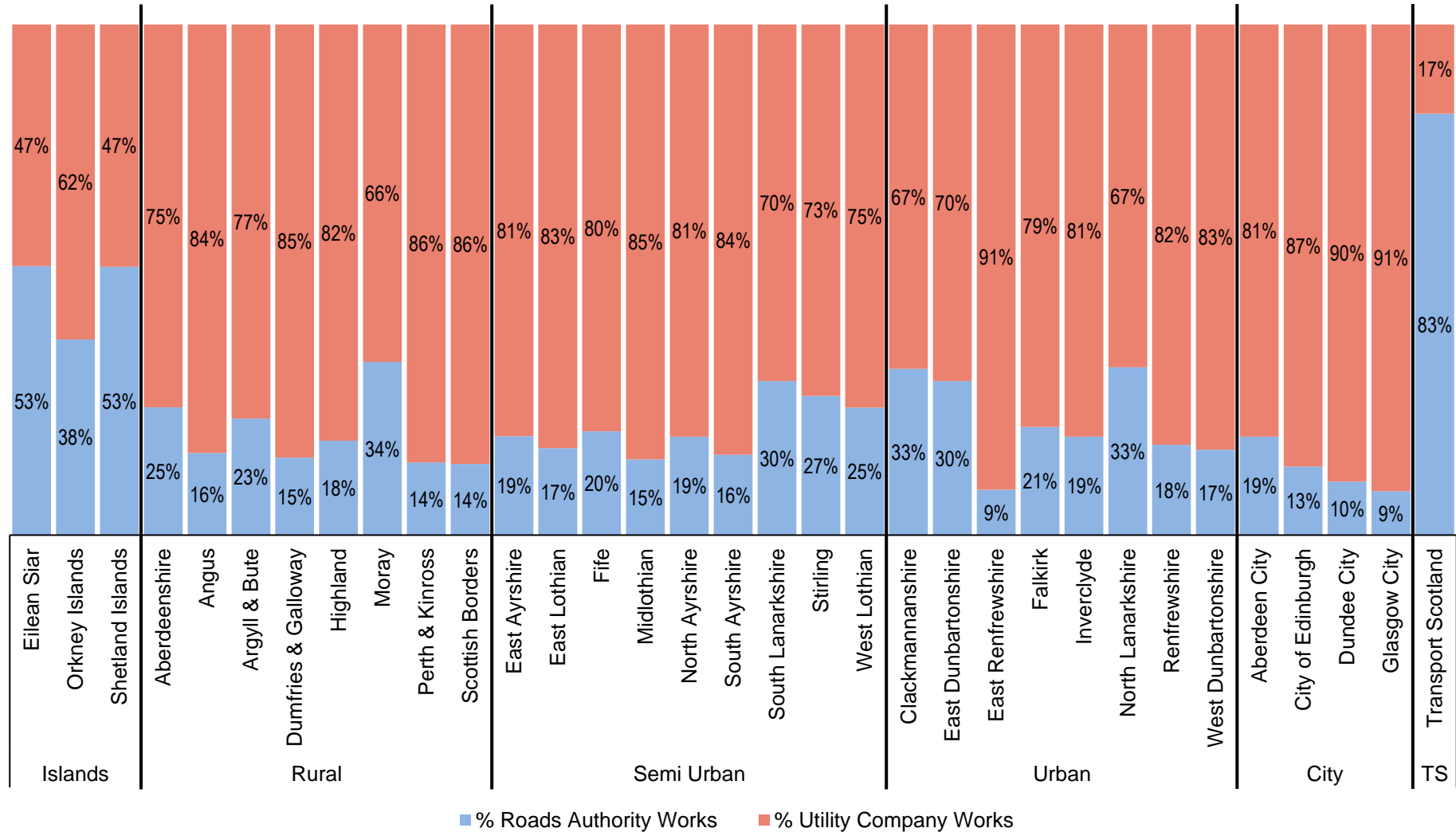


Figure 4 – Comparison of actual starts in each roads authority area.
(Source: SRWR Reports 9a & 2b)

Roads authority and utility company noticing failures as a percentage of actual starts

All qualifying road works carried out by utility companies and roads authorities are required to be registered (noticed) in the Scottish Road Works Register (SRWR).

Utility company noticing failures are system generated by the SRWR and referred to as potential noticing offences. Each potential noticing offence is reviewed by a roads authority and may attract a Fixed Penalty Notice (FPN) (not all roads authorities have taken up the option to issue FPNs).

Roads authority noticing failures are also system generated by the SRWR and referred to as potential noticing failures for comparison purposes with utility company performance. They are not subject to FPNs as an authority cannot issue a penalty against themselves.

This indicator compares the average noticing failure rate of all utility companies against the average noticing failure rate of all roads authorities and the individual failure rates of utility companies and roads authorities.

One of the key performance indicators is that of noticing compliance.

The main notices required are:

- Advance Notice (NRSWA Section 113(5))
- Start Notice (NRSWA Section 114(5))
- Emergency Notice (NRSWA Section 116(4))
- Works Closed Notice (NRSWA Section 129(6))

Overall, noticing failure performance improvement slightly. Roads authorities improved their average failure rate from 10% in 2016/17 to 9% in 2017/18 and utility companies improved from 8% in 2016/17 to 7% in 2017/18, as shown in Figure 5.

Again this year, the performance of organisations fluctuated over the year with roads authorities peaking at 11% in Q2.

Noticing of road works is an administrative function. It is expected that both utility companies and roads authorities routinely achieve a failure rate of 4% or less. Performance of individual organisation is shown in Figure 6 & Figure 7. Several organisations, including Moray Council, Inverclyde Council, Argyll & Bute Council, Hyperoptic and Scottish Water achieved 4% or less. It is particularly encouraging that Scottish Water consistently demonstrated best practice over a very large number of road works undertaken.

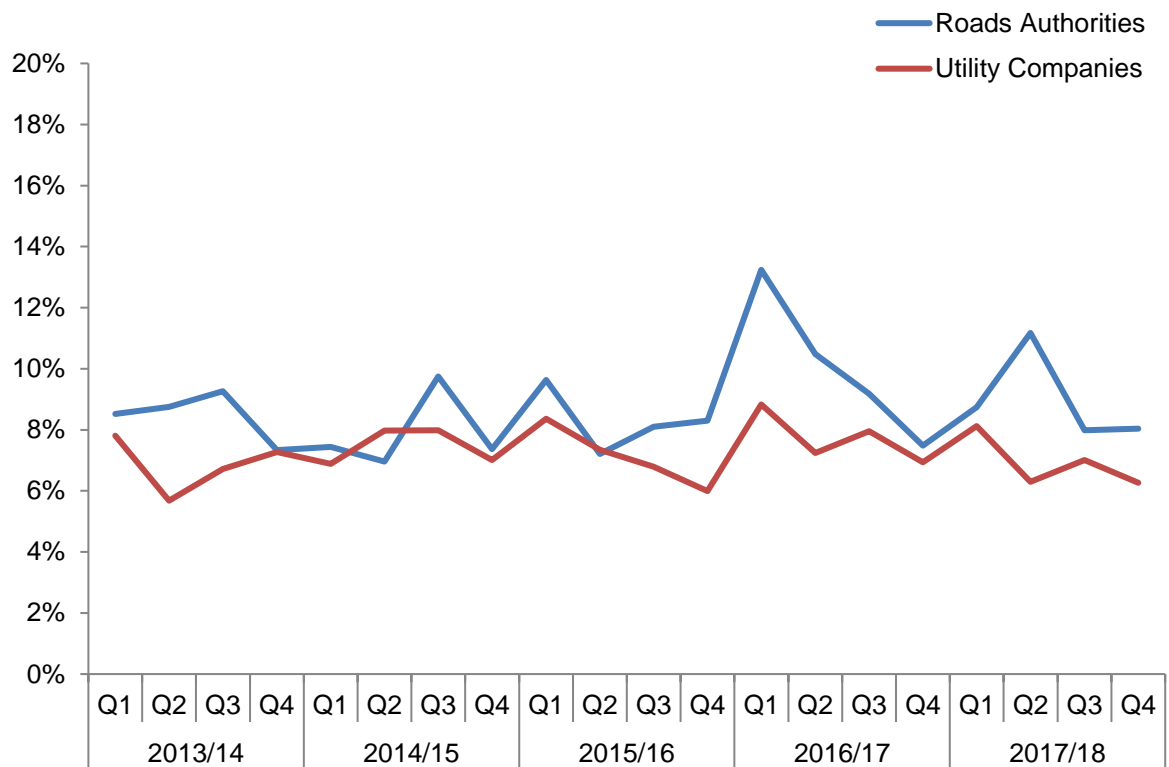


Figure 5 – Roads authority and utility company noticing failures
(Source: SRWR Reports 2a and 2b)



Picture 7 – Provision for pedestrians and vulnerable road users?

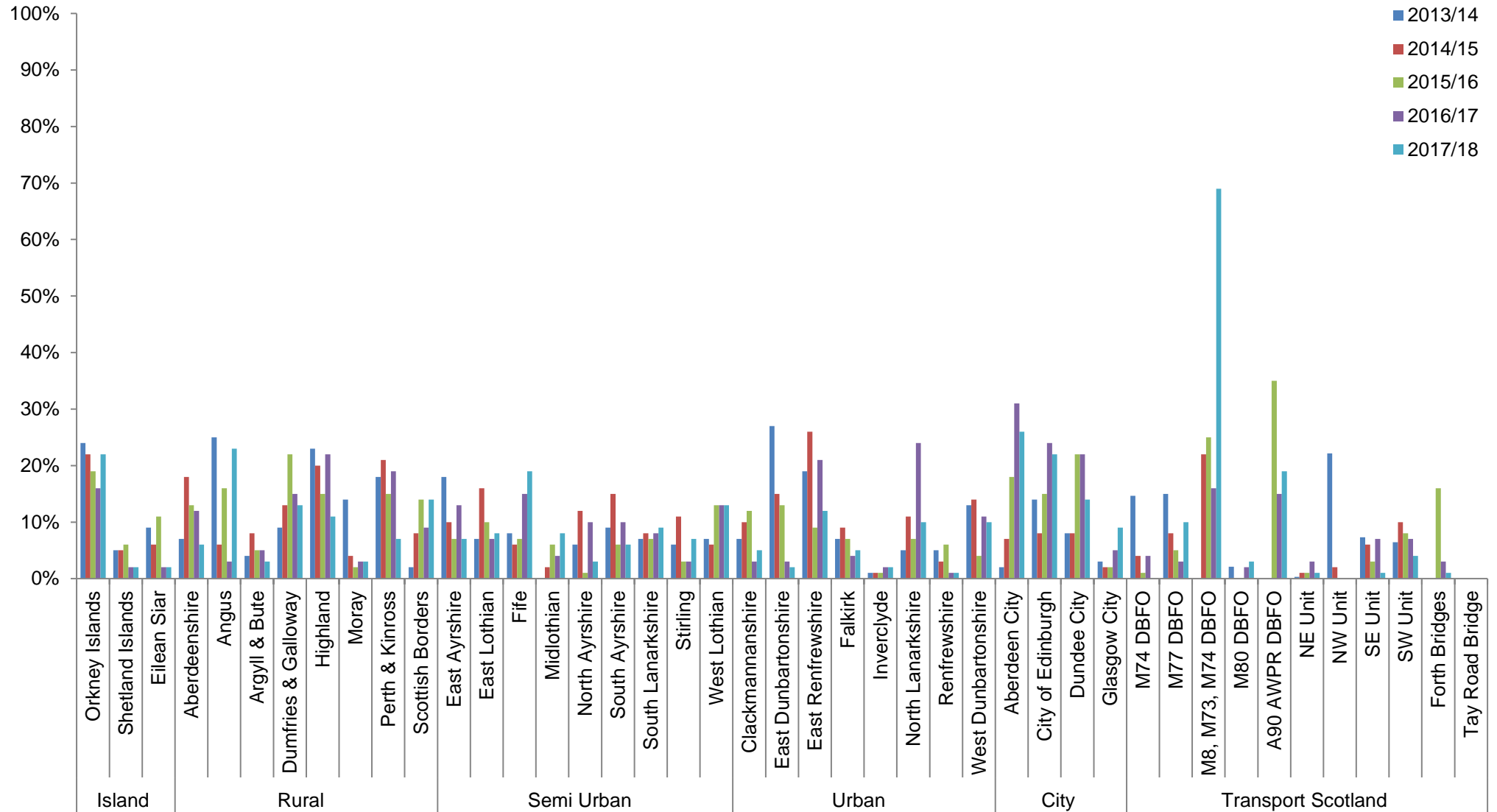


Figure 6 – Roads authority noticing failures as a percentage of actual starts
(Source: SRWR Report 2a)

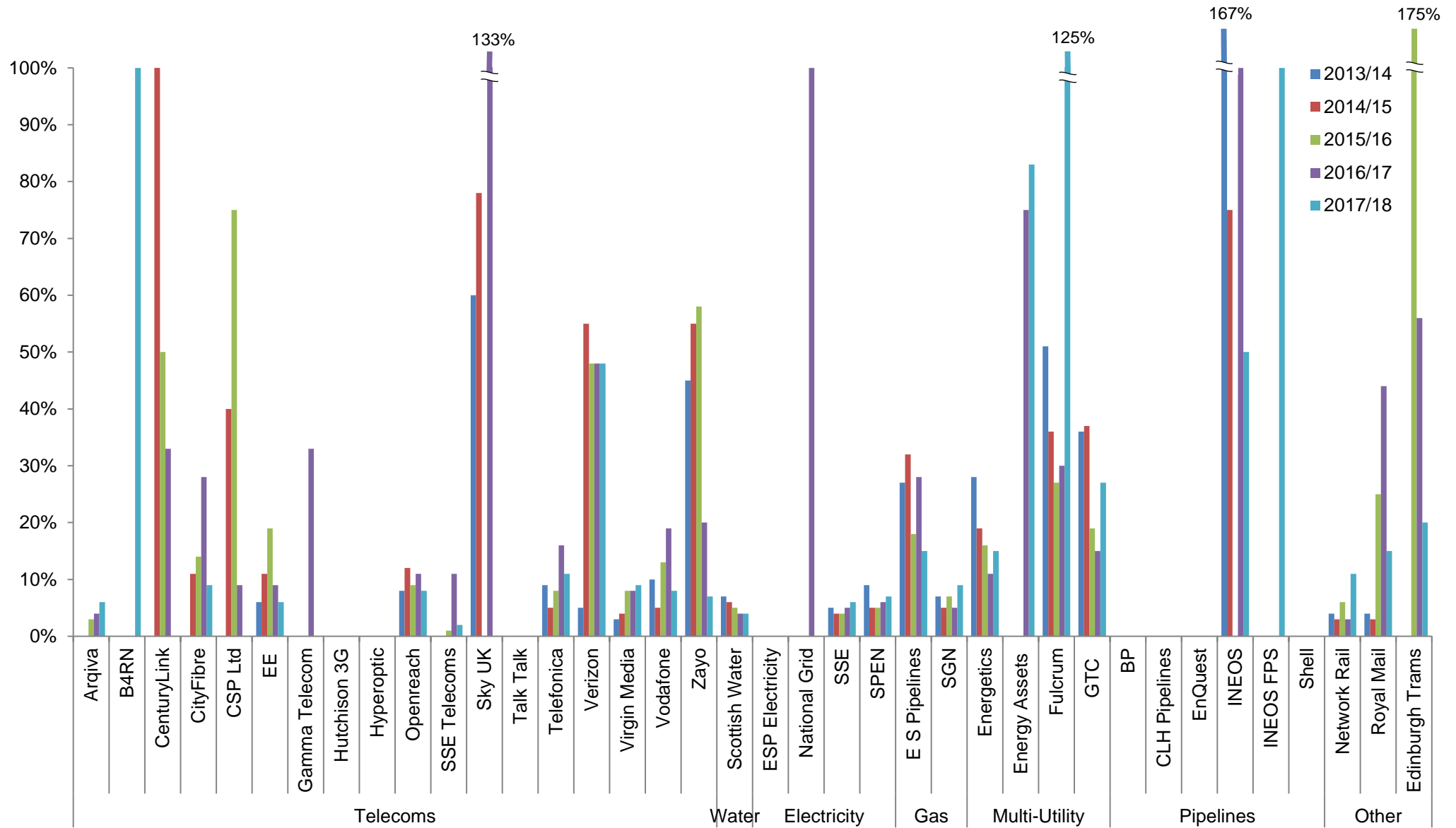


Figure 7 – Utility company noticing failures as a percentage of actual starts
(Source: SRWR Report 2b)

Around 35% of organisations continue to give insufficient priority to improving their road works noticing performance. Regular self-monitoring using the comprehensive suite of management reports available on the SRWR is key to achieving tangible improvements, in conjunction with good works management. In particular, the apparent disjoint between operational staff and administrative staff in a number of organisations needs to be reviewed to improve the overall management and co-ordination of road works. It is particularly disappointing that the majority of organisations listed below also appeared last year. This suggests that many organisations continue to give insufficient priority to meeting their road works statutory obligations with respect to noticing.

Specific action is required where an organisation's failure rate is 10% or greater. Organisations listed below are required to demonstrate an early improvement in their noticing practice.

Roads Authorities		Utility Companies	
<i>(2017/18 average failure rate 9%)</i>		<i>(2017/18 average failure rate 7%)</i>	
Aberdeen City Council	26%	Broadband for Rural North	100%
Angus Council	23%	ES Pipelines	15%
City of Edinburgh Council	22%	Edinburgh Trams	20%
Dundee City Council	14%	Energetics	15%
Dumfries & Galloway Council	13%	Energy Assets Pipelines	83%
East Renfrewshire Council	12%	Fulcrum	125%
Fife Council	19%	GTC Pipelines	27%
Highland Council	11%	INEOS	50%
North Lanarkshire Council	10%	INEOS FPS	100%
Orkney Islands Council	22%	Network Rail	11%
Scottish Borders Council	14%	Royal Mail	15%
West Dunbartonshire Council	10%	Telefonica UK	11%
West Lothian Council	13%	Verizon	48%

Early and late starts as a percentage of actual starts

This indicator records the percentage of works with a registered start date in the SRWR where an early or late start request has subsequently been made.

Early starts with the agreement of utility companies and roads authorities can be a sign of good co-ordination. Where a window of opportunity exists to undertake works, it should be considered. Excessive use suggests poor works planning.

Roads authorities continued to make significant use of early starts averaging 18.3% during 2017/18. It was encouraging that their Q2 performance fell to a low of 13%, albeit rising again to 22% in Q4.

Utility companies' use of early starts averaged 9.2%, declining over the period from a high of 13% in Q4 of 2016/17 to 6% in Q4 of the current reporting year.

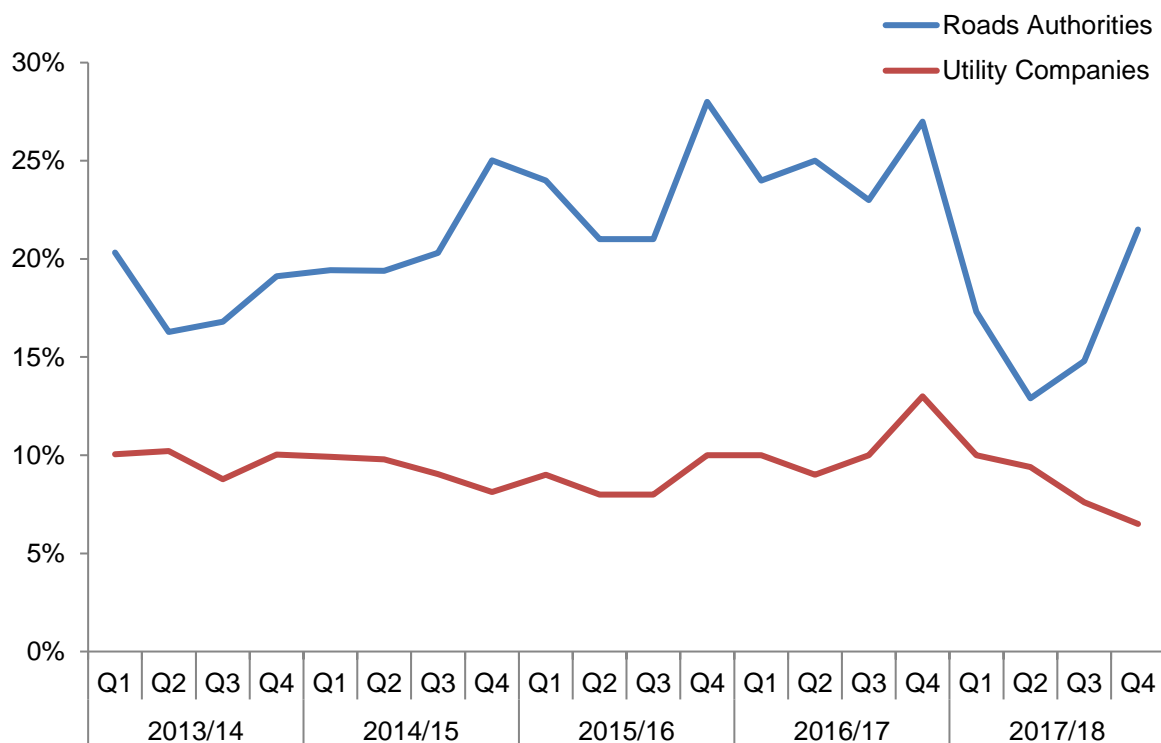


Figure 8 – Early starts as a percentage of actual starts
(Source: SRWR Report 10)

Roads authority use of late starts fluctuated between 1% and 3% throughout the year.

The use of late starts by utility companies again remains low and steady at around 1%.

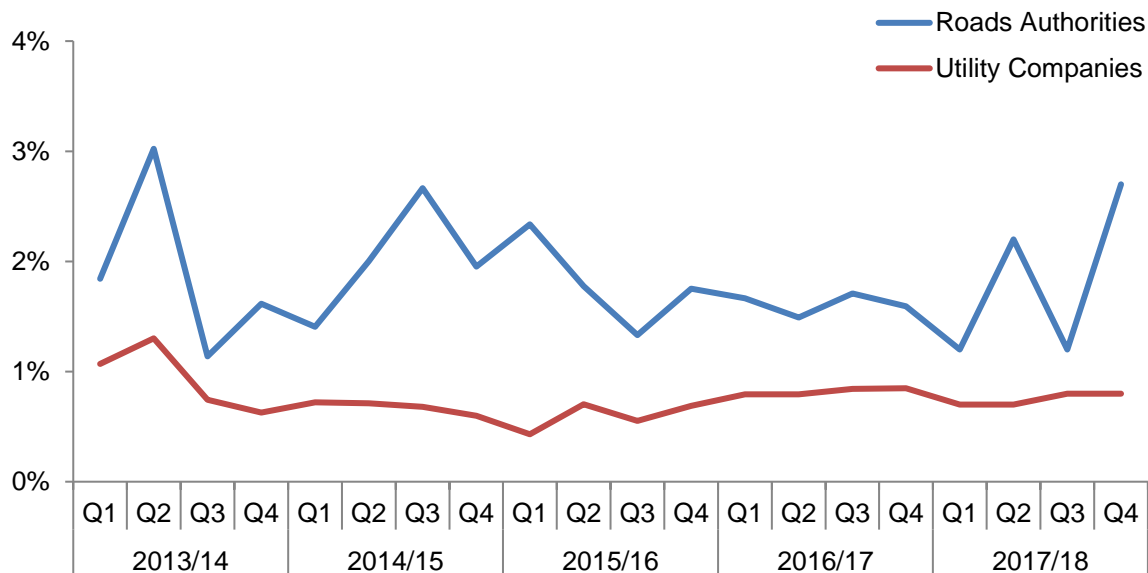


Figure 9 – Late starts as a percentage of actual starts
(Source: SRWR Report 10)

Again this year, roads authorities increased their use of early and late starts in Q4. This may be attributable to resources being redeployed to winter maintenance activities.

It is important that these works categories are not used excessively to address poor works planning, co-operation and co-ordination.



Picture 8 – Does this satisfy the Safety Code?

Unplanned works as a percentage of actual starts

Where works are considered, by a roads authority or utility company to be emergency, urgent or remedial dangerous they are considered to be unplanned works and there are special noticing procedures which allow works to start as soon as possible.

It is important that the use of unplanned works (emergency, urgent or remedial dangerous works) is minimised and that road works are properly planned and co-ordinated to minimise disruption to the travelling public. Excessive use of unplanned works is a failure by utility companies to co-operate and a failure by a roads authorities to co-ordinate.

Roads authority use of unplanned works averaged 4.3% in 2017/18 (2016/17 4%), peaking at 5.5% in Q4.

Utility company use of unplanned works averaged 28.3% in 2017/18 (2016/17 28%). However, the performance of the major water, gas and electricity providers remains a concern as they appear to focus on meeting the expectations of their other utility sector regulators. In particular, Scottish Water continued to reflect the noticing practices of previous years averaging 51.8% overall, peaking at 58% in Q4. Whilst this may assist Scottish Water in meeting the response targets of their other regulators, it is completely unacceptable in terms of demonstrating their statutory duty to co-operate in terms of road works legislation. Accepting that Scottish Water has to manage leakage and a high number of bursts, particularly in Q4, in practice many works are planned in advance and should be correctly registered. A performance of 58% suggests that almost 6 out of 10 operatives involved in road works did not know where they were going to be working the following day during Q4. To a lesser extent, the performance of SP Energy Networks and SGN reflects this conflicted management strategy and is also in need of greater scrutiny.

In addition to the larger utility companies, a number of smaller organisations, undertaking a relatively low number of road works, routinely use high numbers of unplanned works. In particular, Royal Mail, continued to use unplanned works for the repair of post boxes which are generally unlikely to present an immediate danger to road users or property, which suggests poor co-ordination.

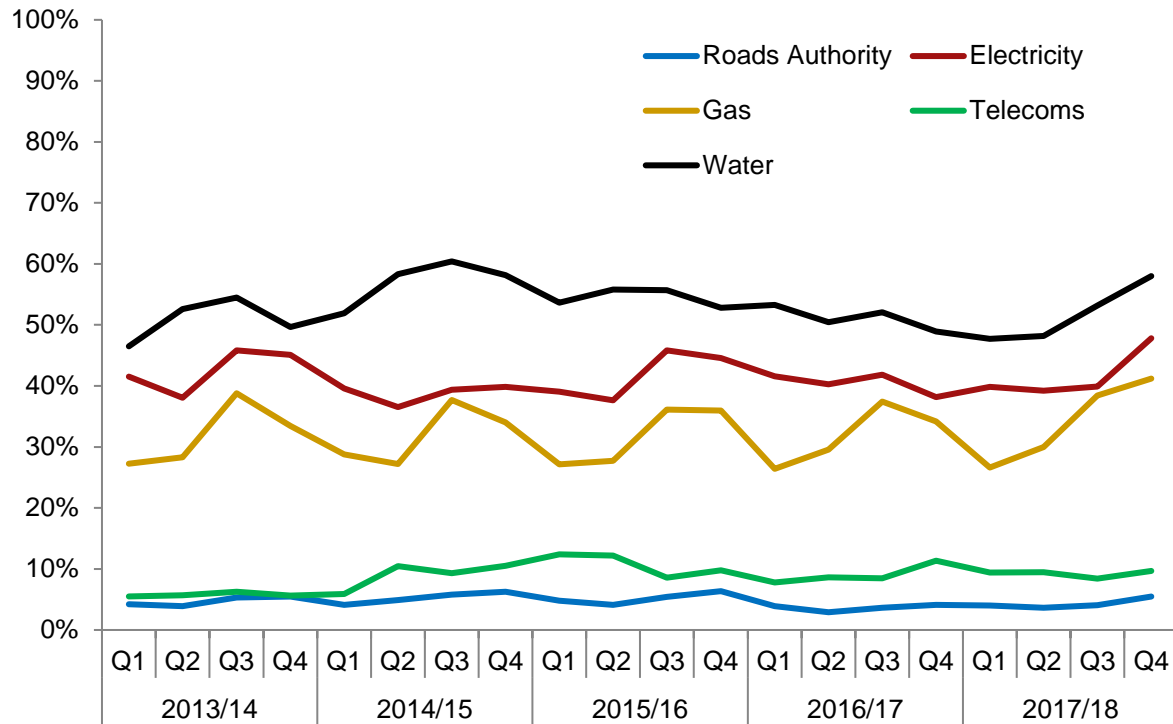


Figure 10 – Unplanned works as a percentage of actual starts
(Source: SRWR Report 9a)



Picture 9 – Diversionary Provision?

Work extensions as a percentage of actual starts

Works extensions are granted to a utility company with the agreement of the affected roads authority when an expected completion date is unlikely to be achieved.

This indicator compares the percentage of utility company road works and roads authority works which have been extended beyond their expected end date.

Utility company works extensions again remained relatively constant at around 9% over the reporting period, continuing the performance of recent years. Roads authority performance varied significantly ranging between 12% and 18% of works being subject to a works extension. This variance, with high numbers of roads authority works extensions in Q4, may be influenced by weather conditions and redeployment of staff to winter maintenance activities.

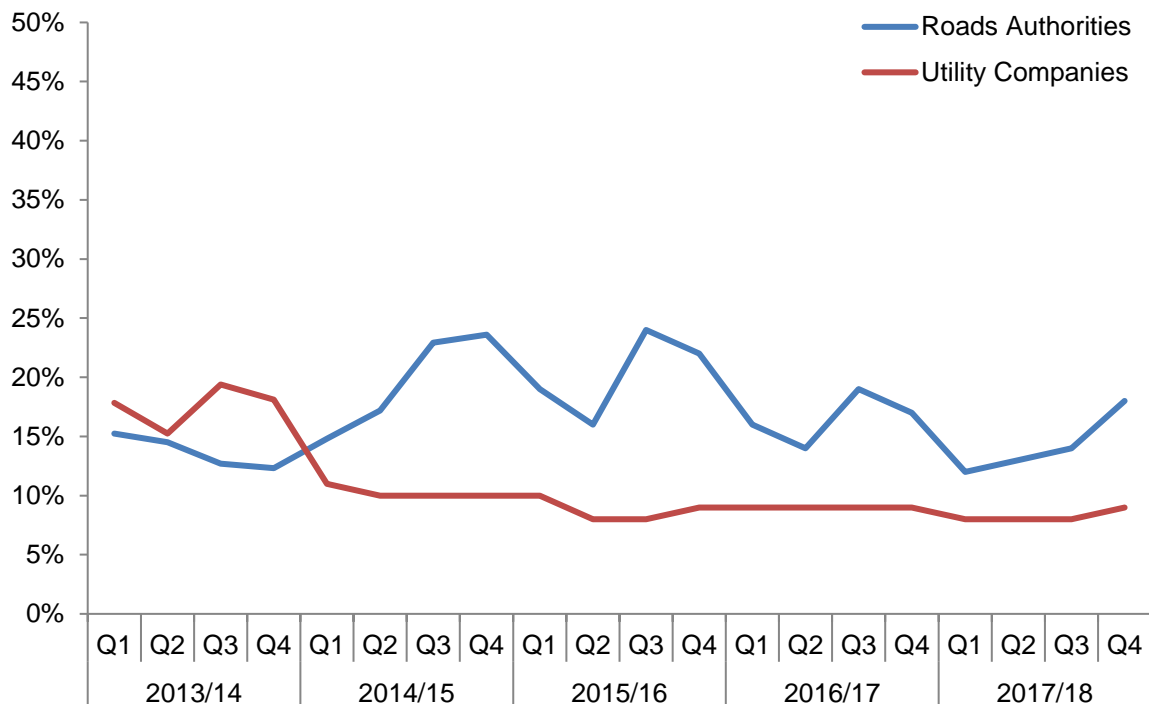


Figure 11 – Works extensions as a percentage of actual starts
(Source: SRWR Report 12)

Overrunning works as a percentage of planned works

Works overruns occur when a road works completion date goes beyond the expected end date recorded in the Scottish Road Works Register (SRWR).

Planned works consist of major, standard and minor works registered in the SRWR.

The performance of roads authorities continued to improve during 2017/18 with only 1% of all planned works registered overrunning their expected end date.

After several years of consistent performance of between 2% and 4%, utility company performance peaked at 6% in Q3.

Despite the utility performance in Q3, these statistics suggest that works durations are generally well planned.

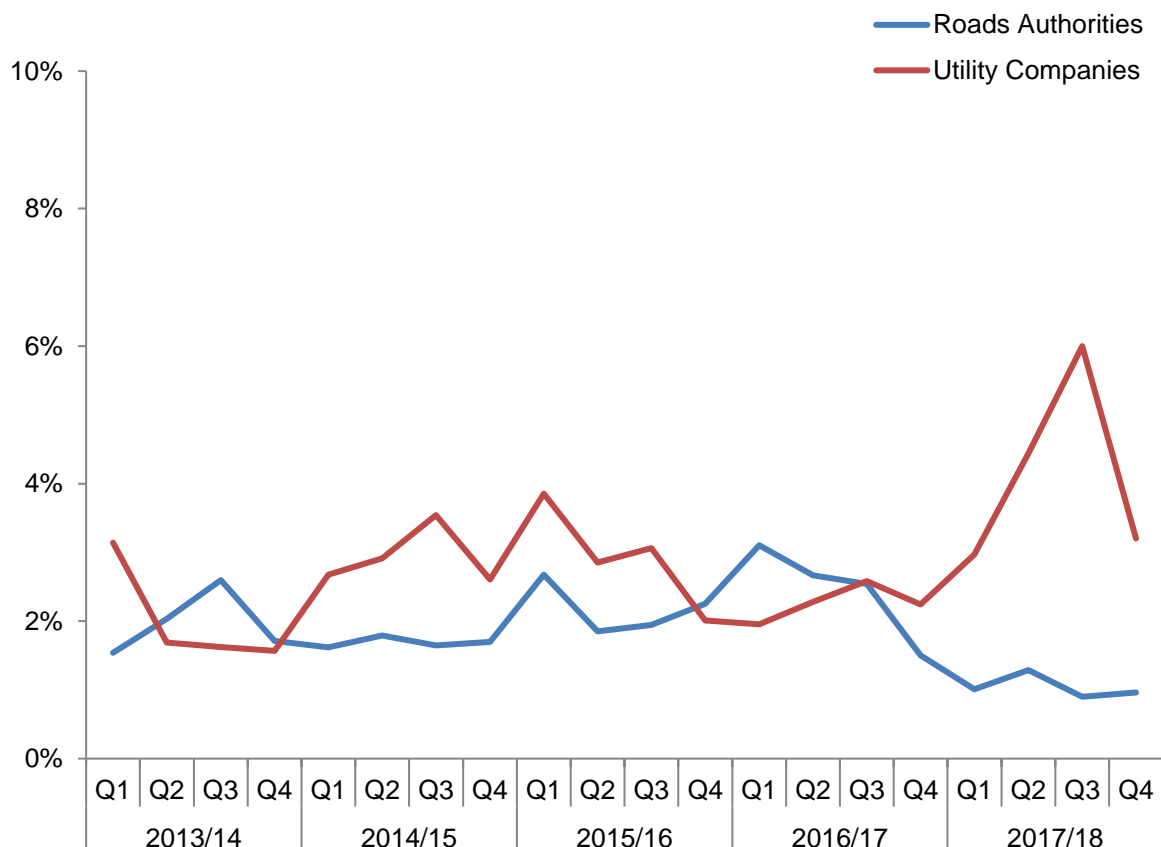


Figure 12 – Overrunning works as a percentage of planned works
(Source: SRWR Report 6)

Works awaiting closure and/or registration of final site reinstatement details

On completion of road works on site, utility companies are required to place a “works closed” notice in the SRWR by 16:30 the following day. This is followed by a “final site reinstatement details” notice within 5 days.

On completion of road works on site, roads authorities are required to place a “works closed” notice in the SRWR by 16:30 the following day. There is no requirement to record site reinstatement details.

This report compares utility company failures to place “works closed” notices against roads authority failures to place “works closed” notices.

Roads authority works awaiting closure notices continued the downward trend of recent years. At the end of Q4 there were only 72 works requiring closure. This represents 0.2% of all roads authority works carried out in 2017/18, a small reduction on 2016/17.

Utility company works awaiting closure increased to 196 at the end of Q4. Whilst the number grew steeply between Q1 and Q2, this again represents 0.2% of all utility company road works carried out in 2017/18.

In general terms, these figures suggest that works closed notices are being well managed.

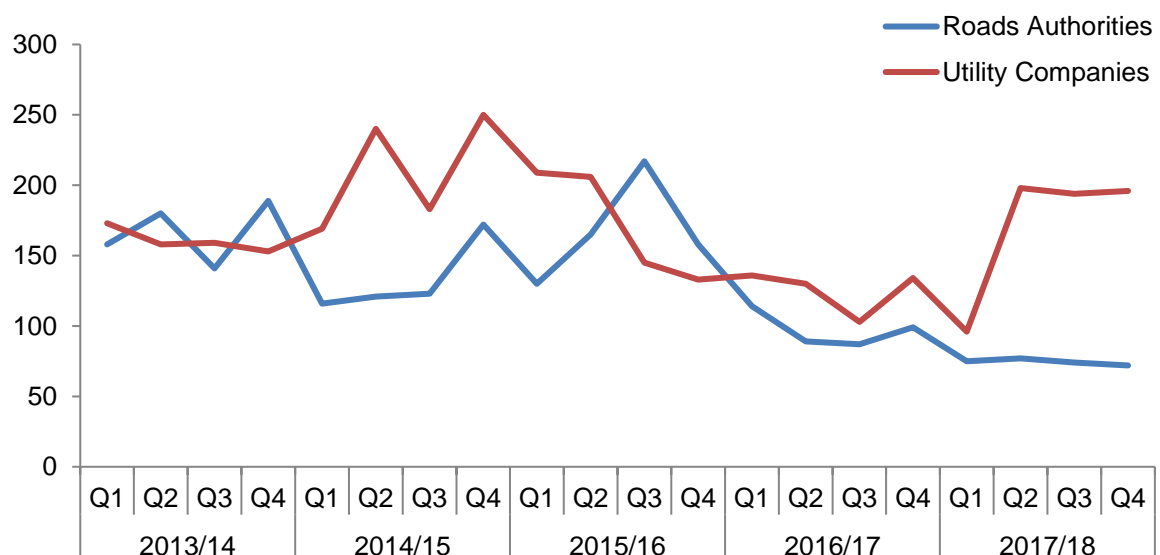


Figure 13 – Works awaiting closure (Source: SRWR Report 16)

The number of utility company works awaiting registration of final site reinstatement details has fluctuated over the last three years and shows little variance this year.

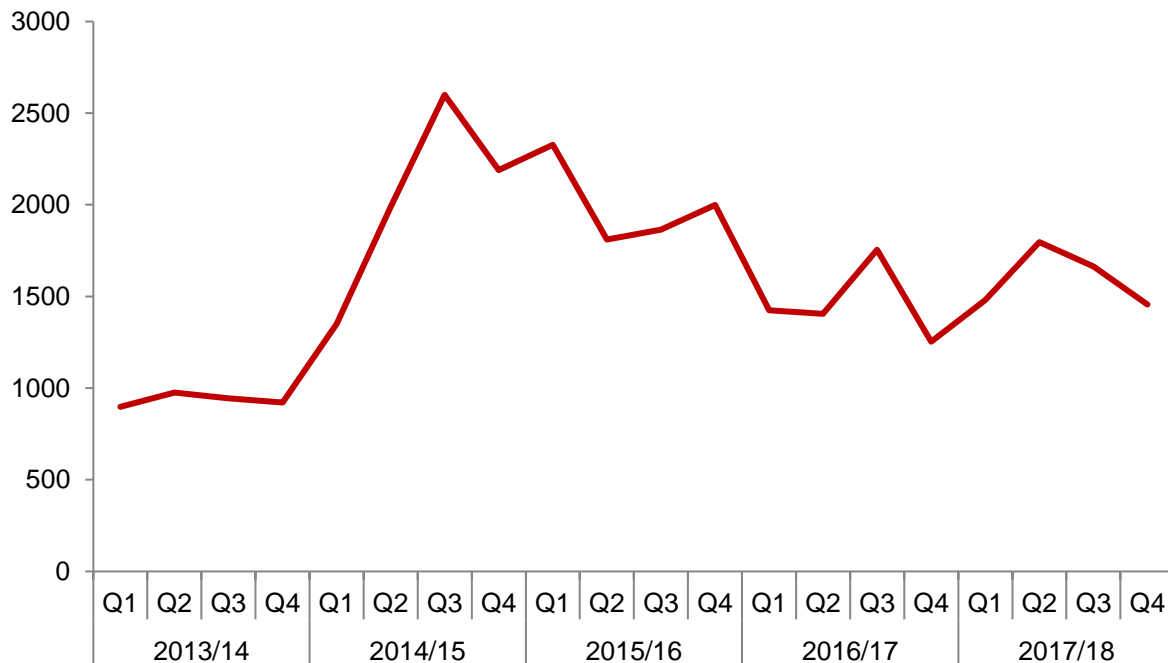


Figure 14 – Works awaiting registration of final site reinstatement details
(Source: SRWR Report 16)



Picture 10 – Daily maintenance check?

Utility company interim reinstatements

Utility companies are permitted to use a temporary road surface (interim reinstatement) to allow a road to be reopened to the travelling public. A permanent road surface (permanent reinstatement) must be made within 6 months of the temporary road surface being placed.

This indicator shows the number of interim reinstatements overdue to be made permanent (outstanding more than 6 months) without agreement from a roads authority, against the number of interim reinstatements made permanent at the year end.

The use of interim reinstatements should be minimised to avoid repeat visits and excessive disruption to road users.

The average number of interim reinstatements overdue to be made permanent increased from 683 in 2016/17 to 849 in 2017/18.

There were 1,401 interim reinstatements made permanent during the final quarter of the year.

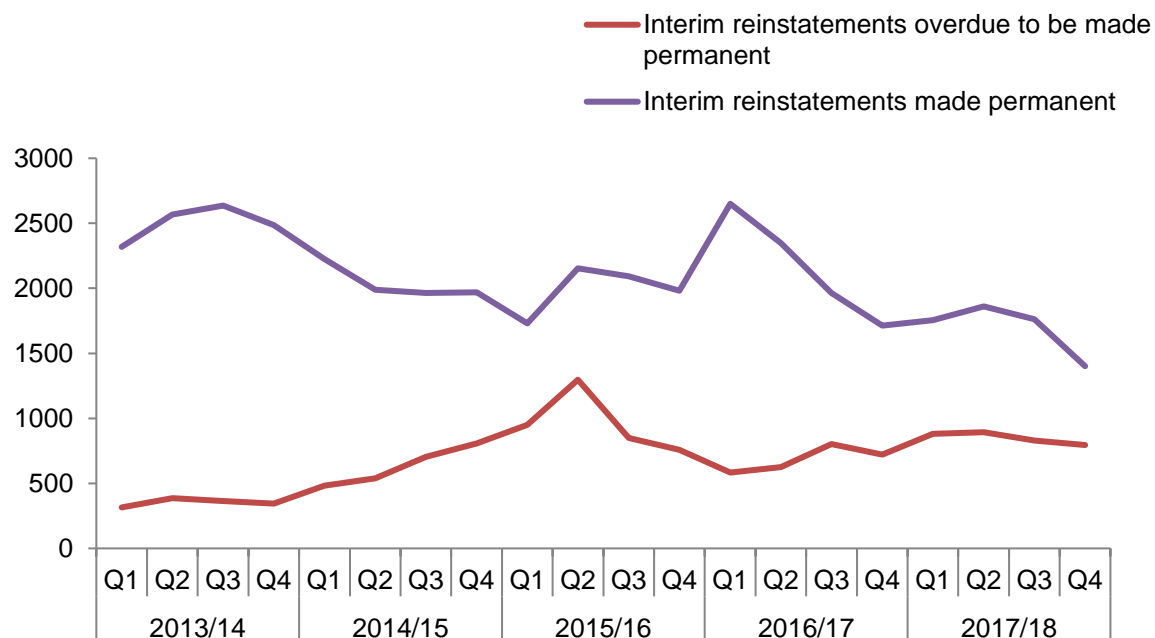


Figure 15 – Utility company interim reinstatements
(Source: SRWR Report 14 and Report 18)

Openreach, Scottish Water, SGN, SP Energy Networks, Virgin Media and Vodafone all increased the number of interim reinstatements overdue to be made permanent at the year end.

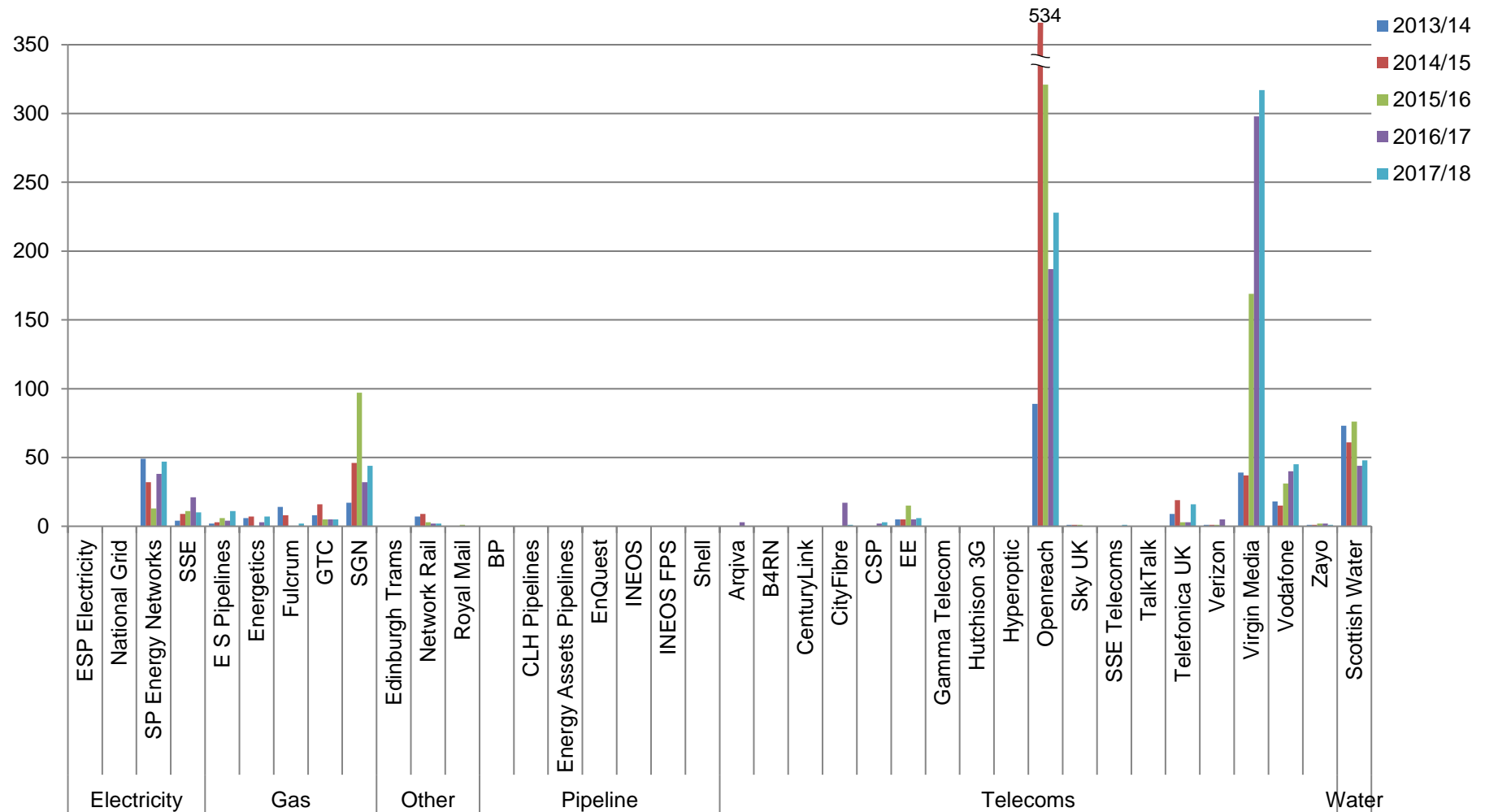


Figure 16 – Interim reinstatements overdue to be made permanent at the year end
(Source: SRWR Report 18)

Sample inspections undertaken by roads authorities and utility company failure rate

Sample inspections are undertaken, on a 30% randomly generated sample of utility company road works. Inspections are carried out at various stages during the works and the reinstatement guarantee period. These inspections are carried out by roads authorities.

Sample Inspections carried out by roads authorities consist:

Category A (10% sample) – Undertaken while works are in progress.

Inspections check that works are carried out safely and that signs, barriers, safety zones, compaction, layer depth, etc., comply with *Safety at Street Works and Road Works : A Code of Practice* (commonly known as “The Red Book”) and the *Specification for the Reinstatement for Openings in Roads* (SROR).

Category B (10% sample) – Undertaken within the six month period following interim or permanent reinstatement.

Inspections check that works are completed to the proper standards. Checking for items, such as edge depression, crowning, etc., in accordance with the SROR.

Category C (10% sample) – Undertaken within the three month period preceding the end of the guarantee period.

Inspections again check that works are constructed to the proper standards in accordance with the SROR. Greater focus is given to settlement, cracking and joint failure following trafficking.



Picture 11 – Typical information board

Many roads authorities achieved in excess of 95% of their target sample inspections. East Dunbartonshire Council and North Lanarkshire Council undertook less than 65% of their target sample inspections. These inspections are an indication of utility companies co-operation and roads authorities co-ordination and identify which utilities are carrying out road works safely and to the proper standard.

When a utility company fails in excess of 10% of their sample inspections, under the *Code of Practice for Inspections*, a roads authority may require a utility company to follow an improvement plan process.

Category A results

Both SGN and SSE performed well achieving failure rates of 7% and 3% respectively. However, several utility companies had particularly high rates of failure. In particular, Energetics at 63%, GTC at 100% and Verizon at 100%. This is unacceptable.

Category B results

Scottish Water recorded a low failure rate of 6% of their 2,340 works sampled failing. Arqiva failed 100% of 2 works and Verizon failed 75% of 4 works.

Category C results

SP Energy Networks achieved a commendably low failure rate of 3% of their 1,146 works sampled failing. Edinburgh Trams failed 100% of 4 works, Concept Solutions People (CSP) failed 100% of 1 works and SSE Telecoms failed 100% of 2 works.



Picture 12 – Chaos?

Regardless of the number of road works undertaken, organisations are obliged to meet their statutory obligations.

As Category A inspections are based on a 10% sample, the actual number of substandard road works sites across Scotland is likely to be 10 times greater. For example, in Q4 it is possible that around 7,333 sites across the country had substandard traffic management layouts.

A small number of roads authorities recorded a pass rate of 100% for category A sample inspections during 2017/18. It is unlikely that this is a robust representation of works on site in an environment where utility companies are failing to achieve 90% across the rest of Scotland. Six roads authorities have been asked to review their inspection practices.



Picture 13 – What is intended here?

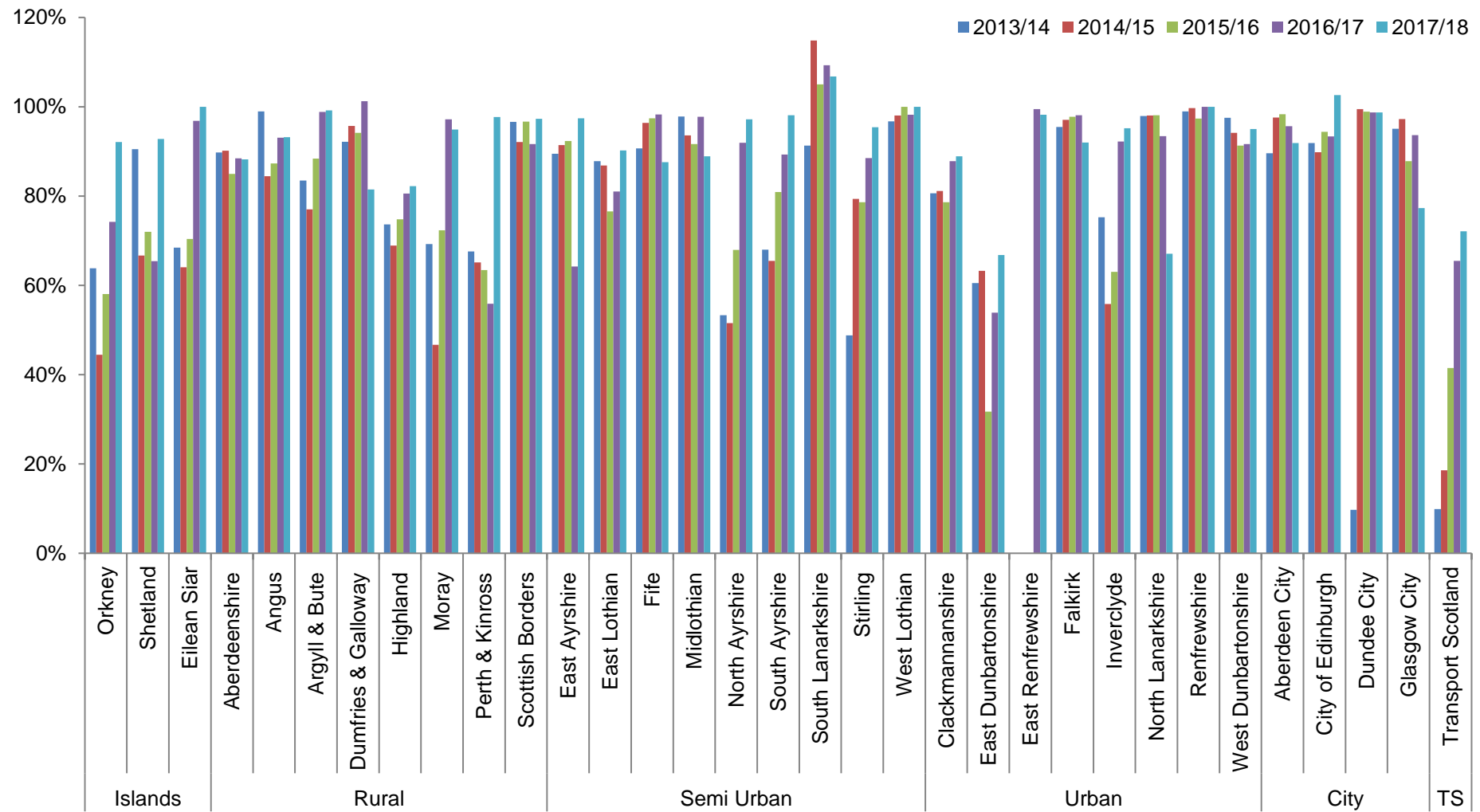


Figure 17 - Sample inspections undertaken by roads authorities (Source: SRWR inspection reports)

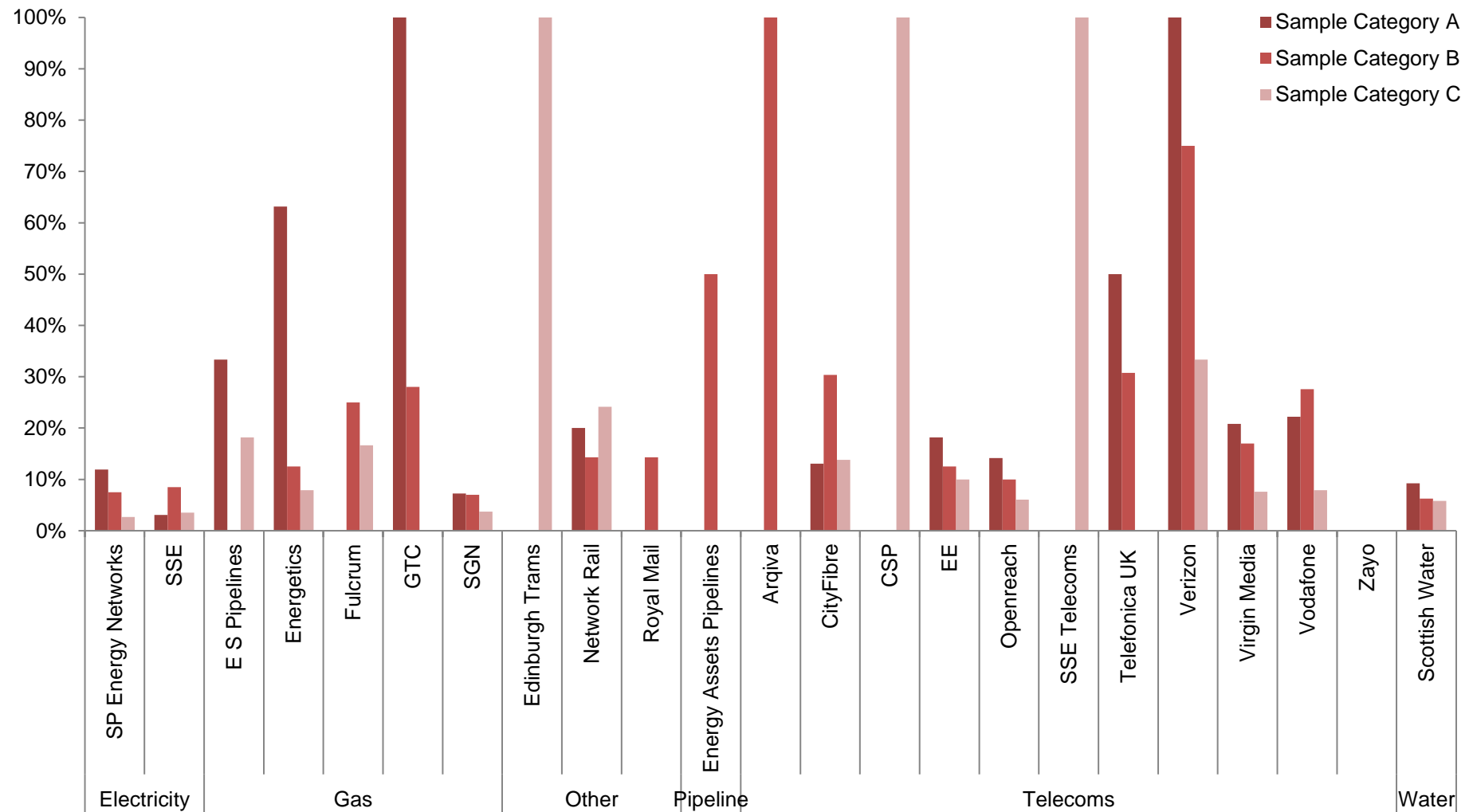


Figure 18 – Sample inspections utility company failure rate (Source: SRWR inspections reports)

Substandard traffic management from inspection results

This indicator considers the number of substandard traffic management layouts recorded during roads authority inspections of utility company road works.

In addition to sample inspections, roads authorities also carry out inspections at their discretion. These inspections include routine inspections, inspections relating to a previously identified defect, inspections following a third party report and inspections following notification of a defective reinstatement. This report shows the total number of inspection results which failed, showing substandard traffic management as the reason for failure.

Performance during 2017/18 was again variable, reflecting 2016/17 performance and showing no significant overall reduction in the number of failures, albeit, fluctuating less than previous years.

In addition to legislated qualifications for operatives and supervisors, the office Technical Standards Manager continues to offer traffic management awareness sessions for operatives and managers to encourage greater compliance.

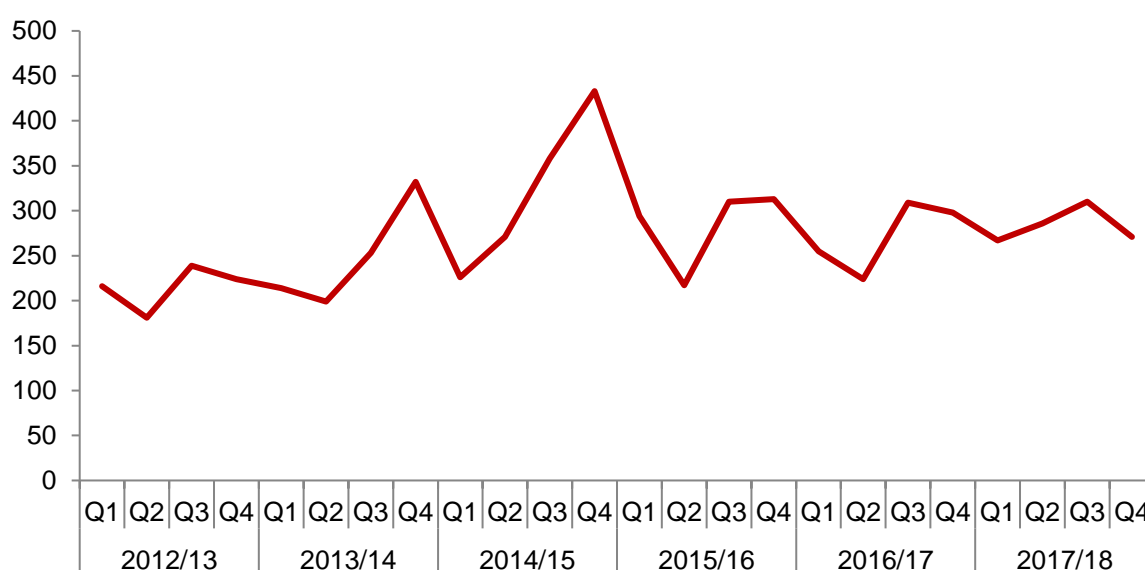


Figure 19 – Substandard traffic management from inspection results
(Source: SRWR Report 19)

Works registered with missing contact details

Organisations are required to provide contact details of the contractor carrying out road works and details of the person registering the works on the Scottish Road Works Register (SRWR).

Each road works notice recorded in the SRWR must include the originator name, the originator telephone number, the contractor name and the contractor telephone number. At the very latest, these four fields must be populated when works reach the “in progress” phase. For example when an actual start notice is registered for a works.

Contact details entered in the SRWR by roads authorities and utility companies undertaking road works are expected to be accurate. This information is required for co-ordination and co-operation.

Aberdeen City Council, West Lothian Council and Glasgow City Council performed poorly at 55%, 25% and 21% non-compliance respectively. Gamma Telecom failed 100% of 2 road works.

Over the reporting period roads authorities performed poorly, failing to provide contact details on 4% of all works. Utility companies performance was considerably better at a failure rate of 2% despite undertaking three times as many works as roads authorities.

Provision of contact details is an administrative function and 100% compliance is expected.

Figure 20 and Figure 21 show the number of works with missing contact details (as Report 24 is a new performance indicator only data for 2017/18 is available).

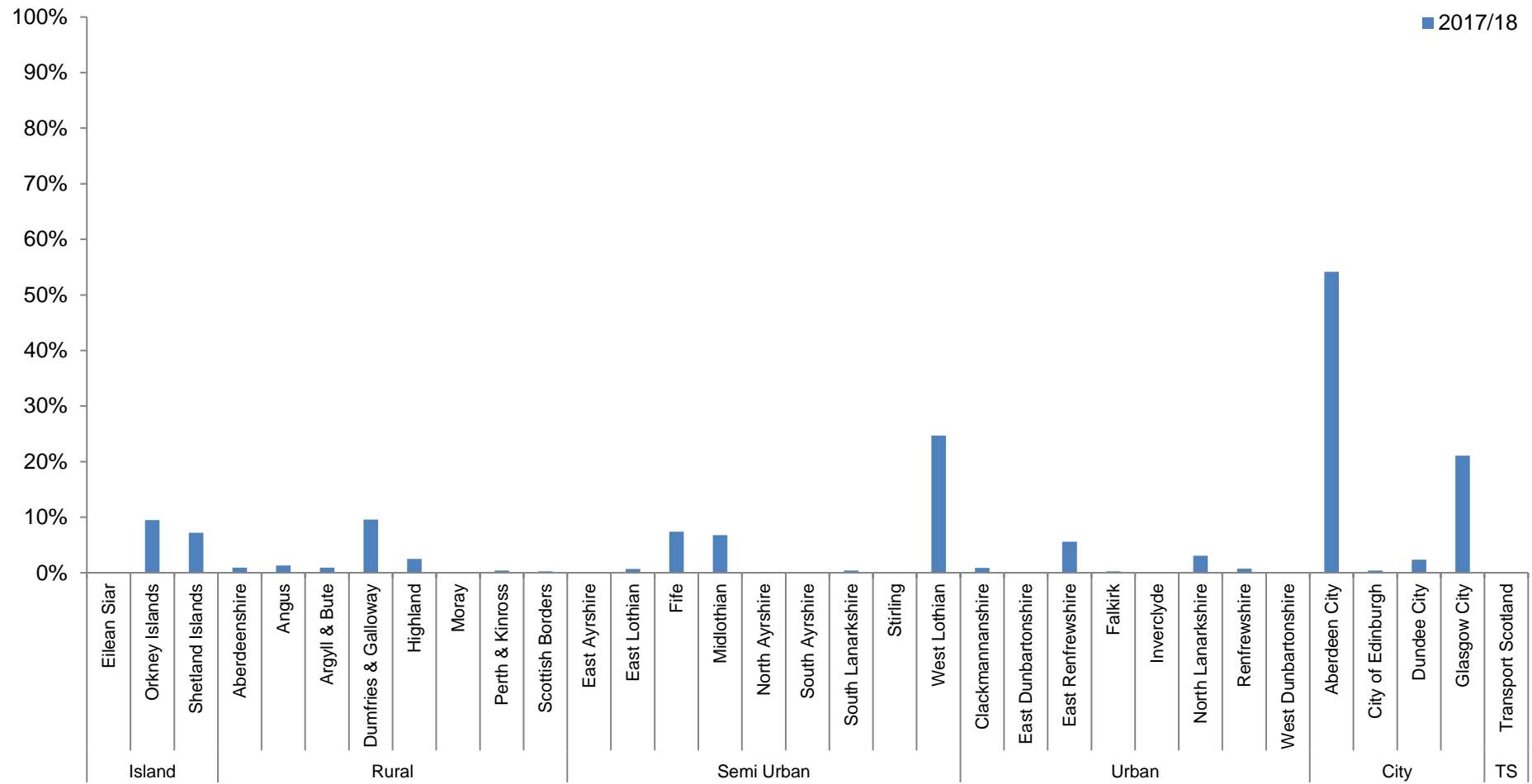


Figure 20 – Roads authority works registered with missing contact details as a percentage of actual starts
(Source: SRWR Report 24)

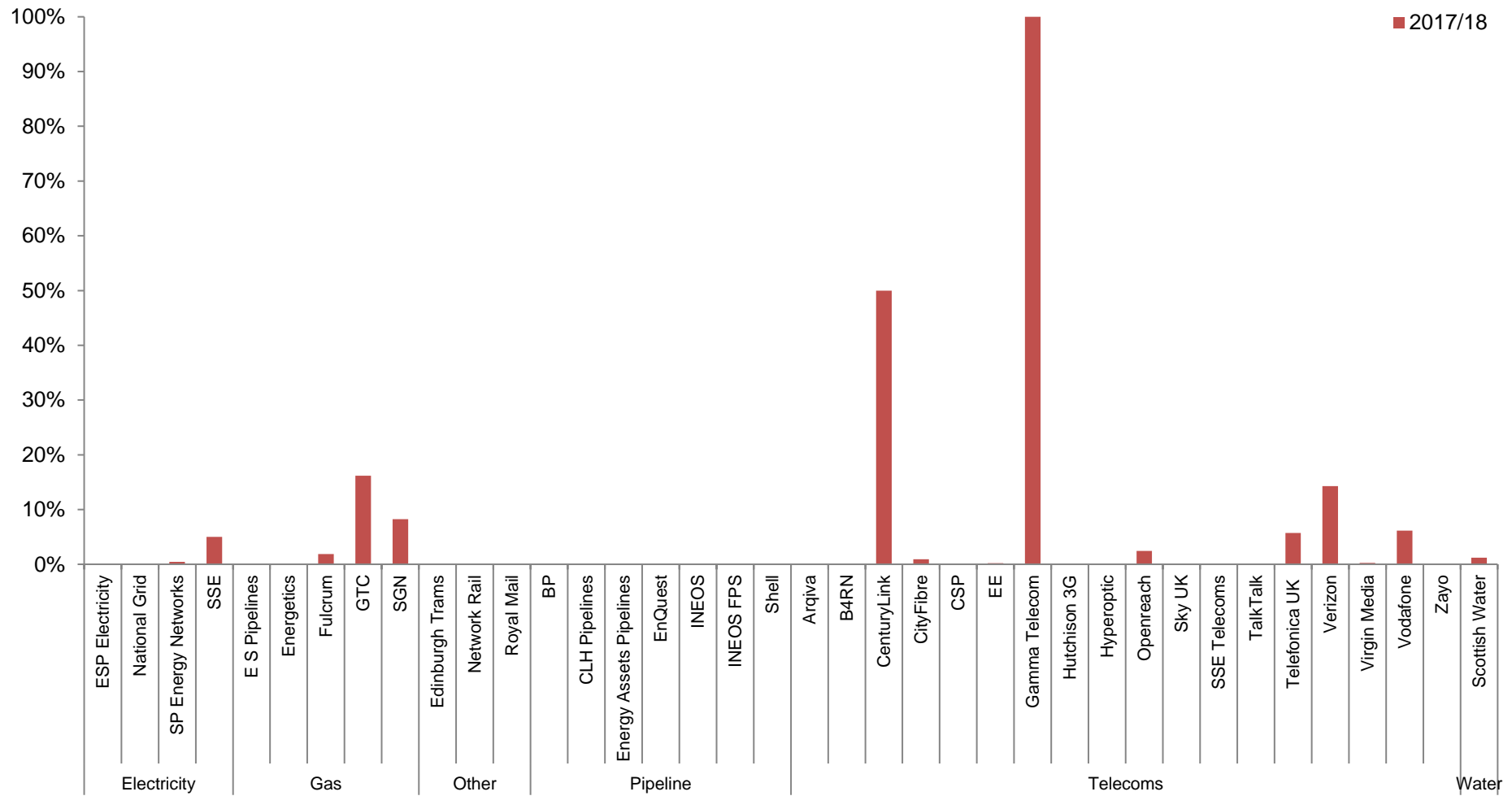


Figure 21 - Utility company works registered with missing contact details as a percentage of actual starts
(Source: SRWR Report 24)

Misuse of traffic management type “not yet known”

Organisations are required to provide details of traffic management layouts for each of their road works sites. When registering an expected start date, it is not acceptable to record “Not Yet Known” as the traffic management layout.

It is expected that the correct traffic management types are populated in the SRWR for all road works. This information is used for co-ordination and displayed on the Scottish Road Works Online site. Information must be as accurate as possible to highlight the impact/severity of the works.

When placing a 7 day notice (in advance of planned Substantial, Major and Standard Works), a 24 hour notice (in advance of planned Remedial or Minor Works) or a 2 hour notice (for Urgent and Emergency Works) it is not acceptable to describe the traffic management which is planned to be used as “Not Yet Known”. As traffic management types should always be known in advance of works the SRWC considers it unacceptable for this information to be missing.



Picture 14 - Fit for purpose sign?

The failure rate of roads authorities ranged between 0% and 20%. In particular City of Edinburgh Council had high misuse, in excess of 20% which is unacceptable.

The performance of utility companies was good with an average failure rate of less than 1% (Figure 23).

As traffic management details should be known in advance of works commencing, compliance is considered an administrative function. Improved performance should be possible for all organisations.



Picture 15 - Do you really need to block both footpaths?

Figure 22 and 23 show the percentage of road works where the traffic management type has not been correctly registered in the SRWR (as report 24 is a new performance indicator, only data for 2017/18 is available).

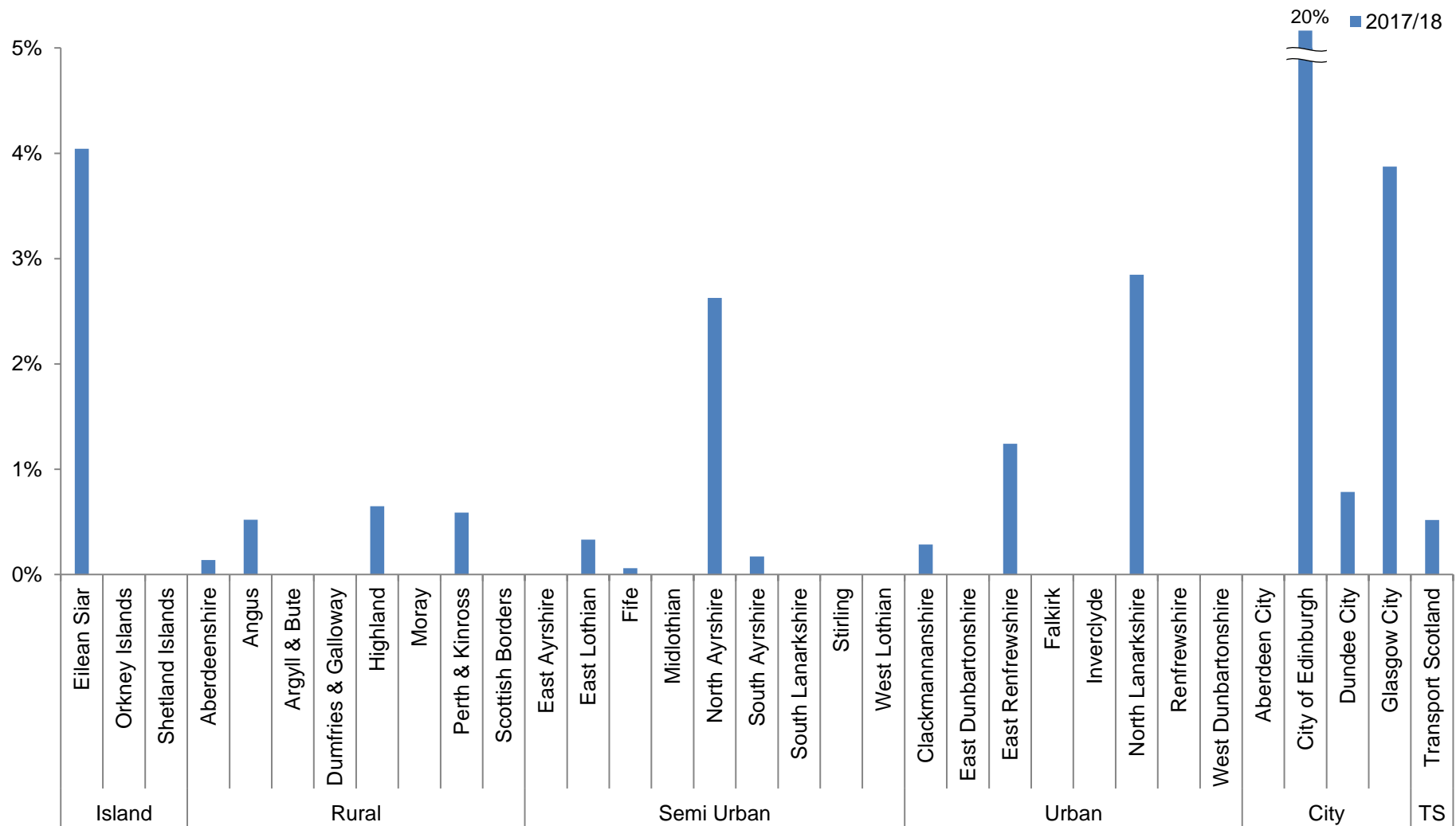


Figure 22 – Roads authority works which misuse the traffic management type "Not Yet Known" as a percentage of actual starts
(Source: SRWR Report 24)

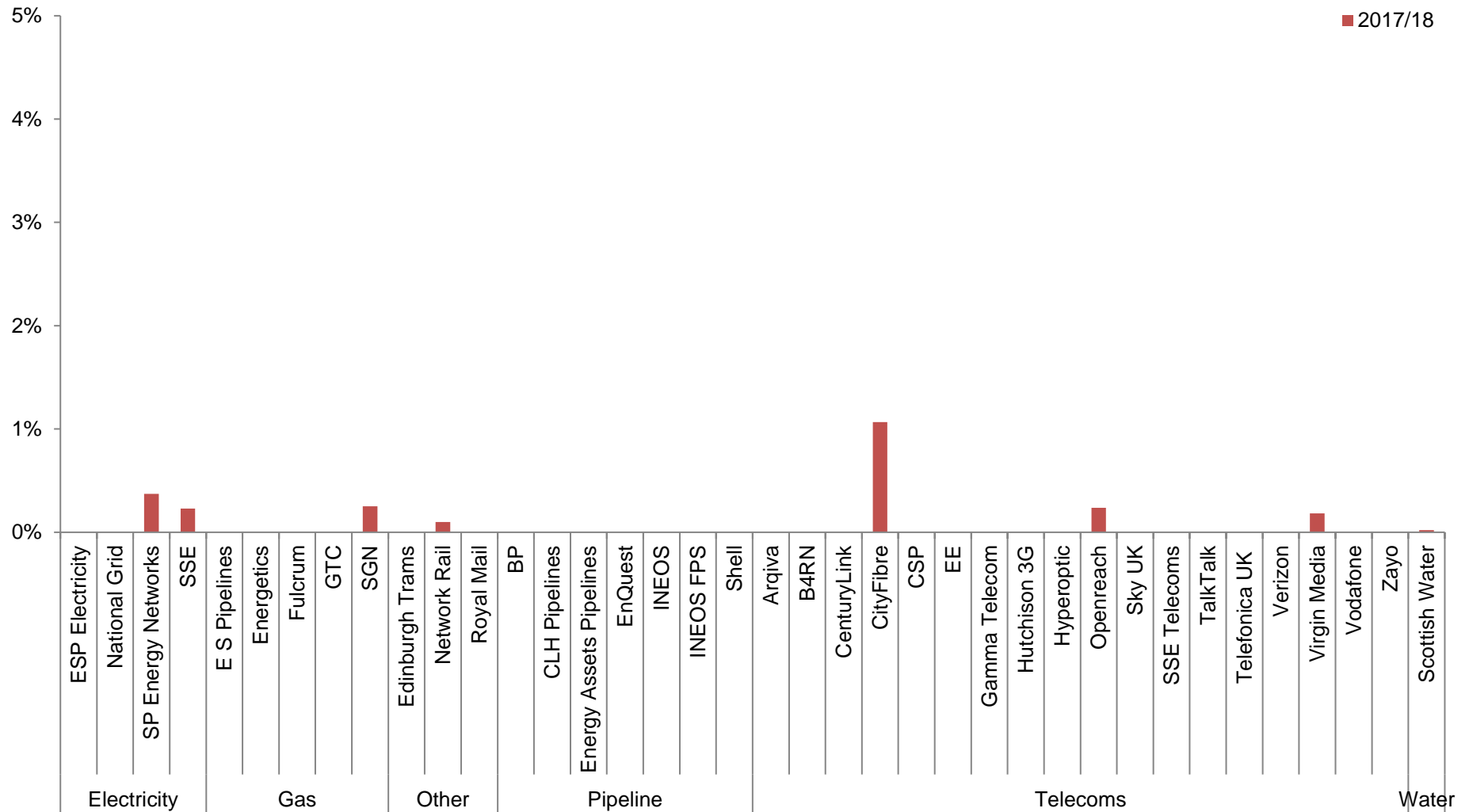


Figure 23 – Utility company works which misuse the traffic management type “Not Yet Known” as a percentage of actual starts
(Source: SRWR Report 24)

Fixed Penalty Notices (FPNs) issued to utility companies

Fixed Penalty Notices (FPNs) are similar in nature to Parking Penalty Charge Notices. Roads authorities are not required by legislation to issue FPNs. Where they are not issued, generally authorities consider that the potential financial returns would not cover the cost of administration. However, the benefit is improved utility company compliance with road works legislation.

Fixed Penalty Notices (FPNs) were issued by 19 of the 32 council roads authorities and 4 of the 5 Transport Scotland Operating Companies.

The overall rate of FPNs issued to utility companies dropped to 3.4% of all road works being subject to a penalty in 2017/18, the lowest rate for six years.

Whilst it is encouraging that the performance of CityFibre improved from 16% in 2016/17 to 7% in 2017/18 and SSE Telecoms improved from 9% to 4%, it is disappointing that the performance of some of the smaller organisations was again inconsistent. Full details are shown in Figure 24.

Roads authorities collected approximately £268,000 from the issue of FPNs, a reduction of 6.6% on the previous year.

Approximate amounts collected through the issue of FPNs over the last 5 years are:

Year	Amount
2013/14	£307,000
2014/15	£323,000
2015/16	£288,000
2016/17	£287,000
2017/18	£268,000

Organisation	2013/14			2014/15			2015/16			2016/17			2017/18		
	Actual FPNs	Works Started	%	Actual FPNs	Works Started	%	Actual FPNs	Works Started	%	Actual FPNs	Works Started	%	Actual FPNs	Works Started	%
Arqiva	-	-	-	-	-	-	1	34	3%	1	50	2%	0	49	0%
B4RN	-	-	-	-	-	-	-	0	-	0	2	0%	1	1	100%
CenturyLink	1	3	33%	0	1	0%	2	4	50%	0	6	0%	0	9	0%
CityFibre	0	No Works	-	0	19	0%	45	893	5%	416	2587	16%	136	1873	7%
Concept Solutions People	0	No Works	-	26	108	24%	2	4	50%	0	23	0%	0	4	0%
CLH Pipelines	0	No Works	-	0	No Works	-	0	No Works	-	0	No Works	-	-	0	-
E S Pipelines Limited	38	245	16%	58	213	27%	16	110	15%	30	187	16%	11	105	10%
Edinburgh Trams	-	-	-	-	-	-	5	8	63%	1	9	11%	0	5	0%
EE	16	253	6%	27	430	6%	26	424	6%	20	797	3%	14	518	3%
Energetics	44	383	11%	57	472	12%	27	329	8%	21	270	8%	20	241	6%
Energy Assets Pipelines	0	No Works	-	0	No Works	-	0	No Works	-	0	3	0%	3	6	50%
EnQuest	-	-	-	-	-	-	-	-	-	-	-	-	0	No Works	0
ESP Electricity	0	No Works	-	0	No Works	-	0	No Works	-	0	No Works	-	0	No Works	-
Fulcrum	46	135	34%	12	80	15%	4	82	5%	9	57	16%	38	53	72%
Gamma Telecom	0	No Works	-	0	No Works	-	0	No Works	-	0	3	0%	0	2	0%
GTC Pipelines Limited	6	42	14%	23	79	29%	6	48	13%	6	71	8%	15	99	15%
Hutchison 3G	0	No Works	-	0	No Works	-	0	No Works	-	0	No Works	-	0	No Works	-
Hyperoptic	-	-	-	-	-	-	-	-	-	-	-	-	0	42	0%
INEOS	0	3	0%	0	4	0%	0	2	0%	0	2	0%	0	2	0%
INEOS FPS	-	-	-	-	-	-	-	-	-	-	-	-	1	1	0%
National Grid	0	No Works	-	0	No Works	-	0	No Works	-	0	5	0%	0	1	0%
Network Rail	8	946	1%	7	1192	1%	5	1056	0%	-1	1111	0%	12	1006	1%
Openreach	1160	23925	5%	1781	28126	6%	1222	28175	4%	1279	25823	5%	1053	26982	4%
Royal Mail	2	440	0%	16	1371	1%	14	170	8%	10	36	28%	-6	55	-11%
Shell	0	No Works	-	0	No Works	-	0	No Works	-	0	No Works	-	0	No Works	-
Sky UK	4	5	80%	None	9	0%	0	0	0	0	3	0%	0	0	0
SP Energy Networks	487	10177	5%	301	10573	3%	293	10247	3%	341	10193	3%	305	9392	3%
Scottish Water	1224	31330	4%	1014	29188	3%	702	27356	3%	584	29252	2%	401	27595	1%
SGN	460	12770	4%	341	12042	3%	421	11358	4%	234	10866	2%	353	9910	4%
SSE	37	2862	1%	20	2516	1%	51	2783	2%	34	2522	1%	47	2614	2%
SSE Telecoms	N/A	No Works	-	0	21	0%	0	74	0%	10	116	9%	3	173	2%
TalkTalk	0	No Works	-	0	No Works	-	0	No Works	-	0	No Works	-	0	No works	-
Telefonica	31	405	8%	10	420	2%	10	370	3%	5	236	2%	17	227	7%
Verizon	0	20	0%	0	11	0%	11	75	15%	6	33	18%	5	21	24%
Virgin Media Group	211	11423	2%	320	11510	3%	661	10924	6%	540	12749	4%	907	15953	6%
Vodafone	55	1048	5%	28	935	3%	70	1164	6%	46	534	9%	10	457	3%
Zayo	5	24	21%	1	11	9%	0	12	0%	0	10	0%	1	14	7%
Total	3835	96439	4%	4042	99331	4%	3594	95702	4%	3592	97556	4%	3347	97410	3%

Figure 24 – Fixed Penalty Notices issued to utility companies (Source: SRWR Report 1)

Undue delay (S125) notices issued by roads authorities and received by utility companies

When a utility company unduly delays completion of their road works, a roads authority has the power, under section 125 of the New Roads and Street Works Act 1991 (NRSWA), to serve an undue delay direction on the utility directing that the works are completed within a specified time.

The overall use of section 125 undue delay directions remains very low, with only 174 issued. Only 13 of the 33 roads authorities made use of their statutory powers to accelerate works which had been unduly delayed.

A disproportionately high 84 directions were served on Virgin Media, mainly associated with their Project Lightning broadband rollout. This represents 48% of the total number served.

Of the smaller multi-utility providers, Energetics, Fulcrum and in particular, Energy Asset Pipelines need to review their works management processes and compliance with their statutory obligation to co-operate.

The following 7 authorities issued 164 of the total 174 directions:

Authority	S125
Midlothian Council	63
Perth & Kinross Council	33
East Lothian Council	28
East Ayrshire Council	16
Clackmannanshire Council	9
West Lothian Council	8
North Ayrshire Council	7

Midlothian Council and Perth & Kinross Council significantly increased their use of directions. Midlothian Council increased from 6 in 2016/17 to 63 in 2017/18.

It is unlikely that organisations the size of Glasgow, Edinburgh, Dundee, Aberdeen, Fife and South Lanarkshire were not subject to significant numbers of unduly delayed utility company road works. The view of the SRWC is that roads authorities are reserving this power for extreme situations and are not fully utilising the available legislation to improve the co-ordination of road works in their area.

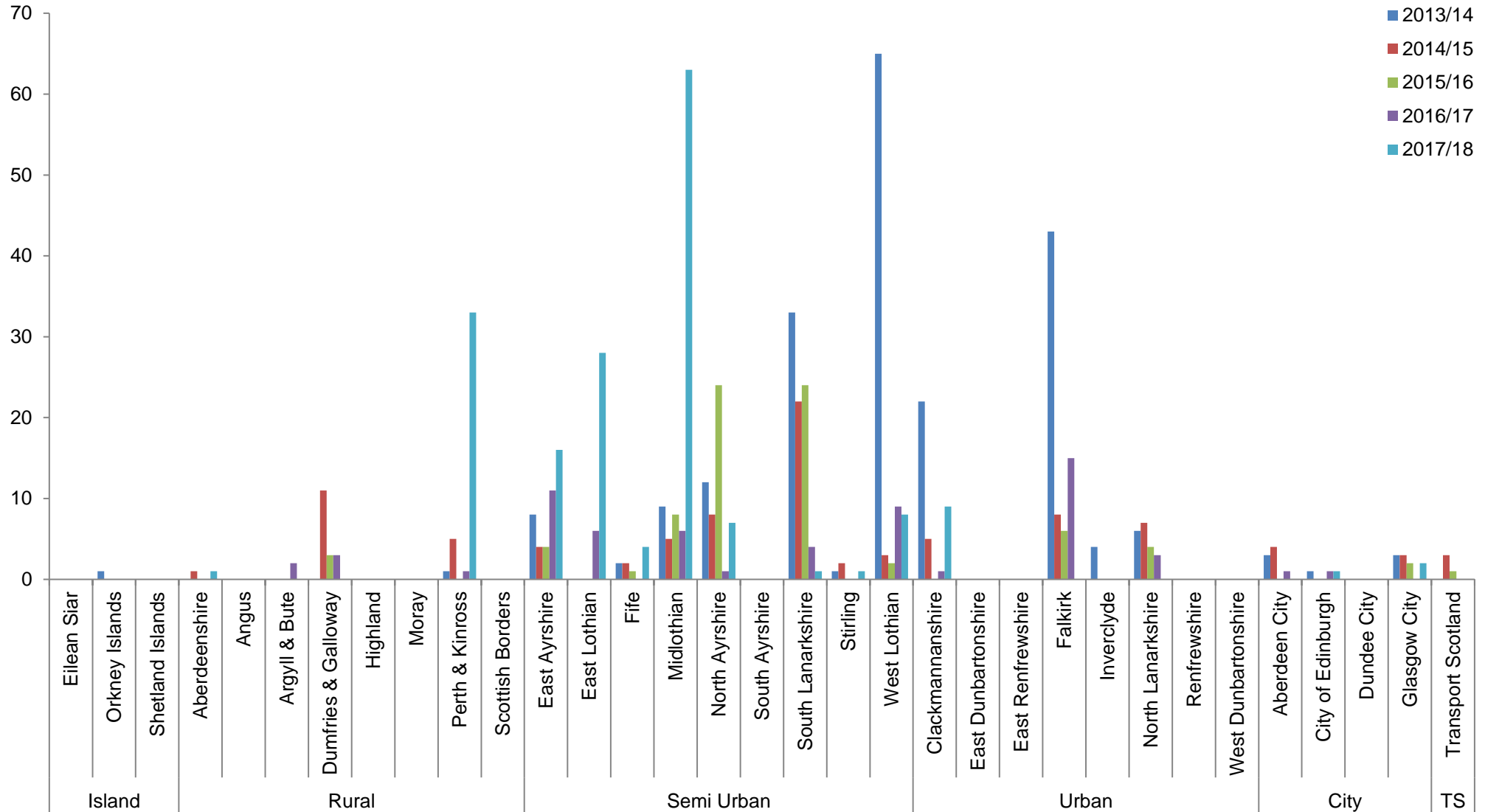


Figure 25 – Number of undue delay direction notices issued by roads authorities (Source: SRWR Report 17e)

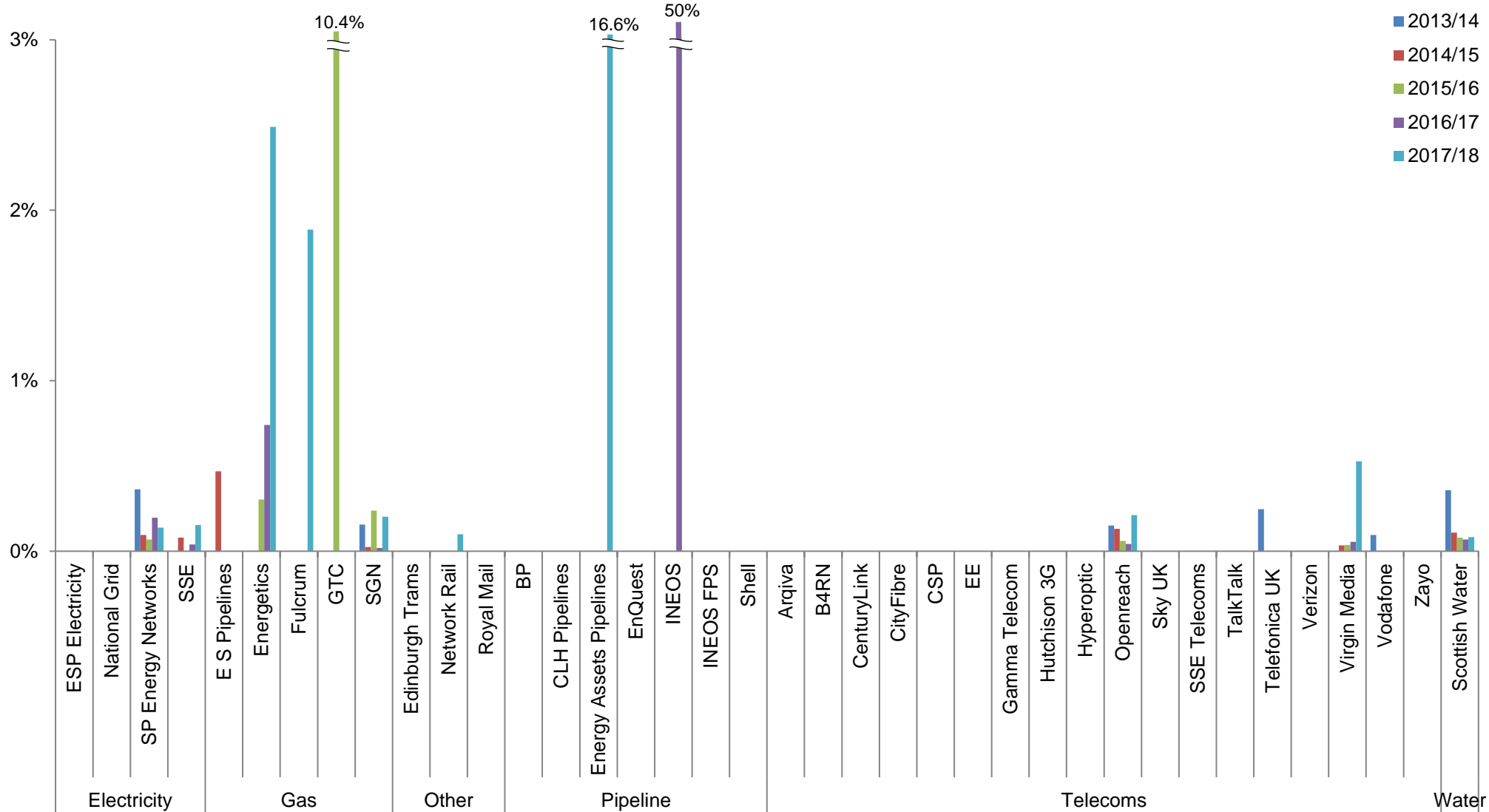


Figure 26 –Undue delay (S125) direction notices received by utility companies as a percentage of actual starts (Source: SRWR Report 17e)

Roads authority works registered per 100km

Prior to enactment of the Transport (Scotland) Act 2005, only utility companies were required to register their qualifying road works in the Scottish Road Works Register (SRWR).

Since 2005, roads authorities have also been required to register their qualifying works, however, their performance remains inconsistent and in need of further scrutiny.

This indicator compares roads authority works registered against others with a similar demographic make-up.

This indicator scrutinises the number of road works registered in the SRWR by council roads authorities, Transport Scotland trunk road operating companies and Transport Scotland trunk road DBFO companies across Scotland.

Road works registered are influenced by many factors such as geographic location, political priorities, population, weather, available resources (numbers of operatives), structural and routine budgets, road network lengths, etc. For example, islands and rural authorities register fewer road works than urban authorities. Consequently, for reporting purposes, authorities are grouped with peer organisations and any view on their performance is relative.

Despite 21 of the 32 council roads authorities improving the number of works registered, many again failed to register all of their qualifying works during 2017/18.

Over the course of the reporting period, the office undertook random site visits around the country to research noticing practices. Significant non-compliance was recorded in:

- Argyll and Bute Council
- City of Edinburgh Council
- East Renfrewshire Council
- Falkirk Council
- Midlothian Council
- Stirling Council
- West Lothian Council

It is particularly interesting that City of Edinburgh Council and West Lothian Council are included as both register more works than peer authorities. The performance of

these councils confirms the view that many authorities are not complying with their statutory obligations and that organisational culture change is required.

As in previous years, there were significant variations in the numbers of road works noticed by roads authorities within each of the five SCOTS groups and across the trunk road network managed by Transport Scotland.

Group	Range
Island	15 to 48 works registered / 100km (3 authorities)
Rural	13 to 53 works registered / 100km (8 authorities)
Semi Urban	33 to 118 works registered / 100km (9 authorities)
Urban	34 to 168 works registered / 100km (8 authorities)
City	45 to 108 works registered / 100km (4 authorities)
TS OCs	239 to 554 works registered / 100km (5 companies)
TS DBFOs	90 to 804 works registered / 100km (5 companies)

In general terms, the noticing of works by roads authorities across all groups was inconsistent, particularly across authorities in the SCOTS Rural group. Best practice appears to exist across the Transport Scotland operating companies (Amey, BEAR & Scotland Transerv), who are contracted to provide this service. Similar best practice appears to exist in North Lanarkshire Council where Amey is their term contractor.

Significant increases in the numbers of works registered / 100km were made by Comhairle nan Eilean Siar, East Ayrshire Council, West Lothian Council, Clackmannanshire Council, East Dunbartonshire Council, Falkirk Council and Aberdeen City Council.

It is reasonable to expect a degree of correlation across Scotland within SCOTS family groups and within trunk road operating areas. Further scrutiny of authorities and operating companies at the lower end of each group will continue in order to confirm that all qualifying works are being registered.

Grouping	Organisation	2013/14	2014/15	2015/16	2016/17	2017/18
Island Group	Comhairle nan Eilean Siar	23	22	21	31	48
	Orkney Islands Council	36	28	15	10	15
	Shetland Islands Council	12	9	10	16	18
	Average per 100km	24	20	16	19	27
Rural Group	Aberdeenshire Council	28	28	24	25	26
	Angus Council	26	33	31	35	21
	Argyll & Bute Council	16	12	13	20	23
	Dumfries & Galloway Council	12	15	11	17	15
	Highland Council	8	6	6	7	14
	Moray Council	47	45	44	47	53
	Perth & Kinross Council	22	23	18	19	21
	Scottish Borders Council	16	9	12	13	13
	Average per 100km	22	21	20	23	23
Semi-Urban Group	East Ayrshire Council	44	25	28	26	57
	East Lothian Council	46	41	38	37	33
	Fife Council	86	89	86	72	70
	Midlothian Council	38	34	40	35	46
	North Ayrshire Council	32	27	29	46	55
	South Ayrshire Council	36	31	36	31	50
	South Lanarkshire Council	95	96	156	186	108
	Stirling Council	54	59	51	52	64
	West Lothian Council	110	75	80	90	118
	Average per 100km	60	53	61	64	67
Urban Group	Clackmannanshire Council	81	66	57	105	122
	East Dunbartonshire Council	91	53	54	95	135
	East Renfrewshire Council	33	24	22	28	34
	Falkirk Council	24	44	44	44	75
	Inverclyde Council	84	121	130	125	92
	North Lanarkshire Council	204	125	198	169	168
	Renfrewshire Council	60	53	49	72	85
	West Dunbartonshire Council	83	65	94	78	71
	Average per 100km	82	69	81	90	98
City Group	Aberdeen City Council	33	26	27	66	79
	City of Edinburgh Council	131	84	132	98	108
	Dundee City Council	81	68	101	60	45
	Glasgow City Council	115	111	71	73	46
	Average per 100km	90	72	83	74	69
Transport Scotland Operating Companies	Forth Bridge OC	-	-	661	218	388
	NE OC	507	505	340	303	352
	NW OC	136	240	214	150	239
	SE OC	537	302	239	204	402
	SW OC	520	531	498	455	554
	Average per 100km	425	395	323	266	443
Transport Scotland DBFOs	AWPR DBFO	-	-	546	340	179
	M74 DBFO	448	81	34	112	90
	M77 DBFO	214	257	167	344	392
	M8, M73, M74 DBFO	-	360	481	938	804
	M80 DBFO	209	265	56	205	370
	Average per 100km	290	241	257	388	171

Figure 27 – Roads authority actual starts per 100km
(Source: SRWR Report 9a and Scottish Transport Statistics “Public Road Lengths”)

SCOTS – Island group

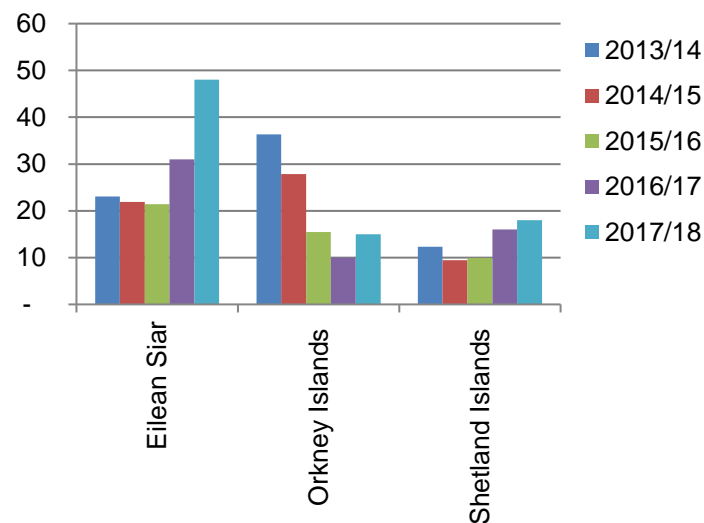


Figure 28 – SCOTS Island group – actual starts per 100km

Year	Range
2016/17	10 to 31 works per 100km
2017/18	15 to 48 works per 100km

Comhairle nan Eilean Siar continued to demonstrate an improvement in their performance increasing works registrations by 55% during 2017/18, following a similar improvement of 48% in 2016/17. The performance of both Orkney Islands Council and Shetlands Islands Council continues to be mediocre at best with very low numbers of works registered. In view of the high percentage of single track road network in both Orkney and Shetland, it is unlikely that a significant number of works are exempt from registration and these organisations need to review their current practices.



Picture 16 – Is the road closed?

SCOTS – Rural group

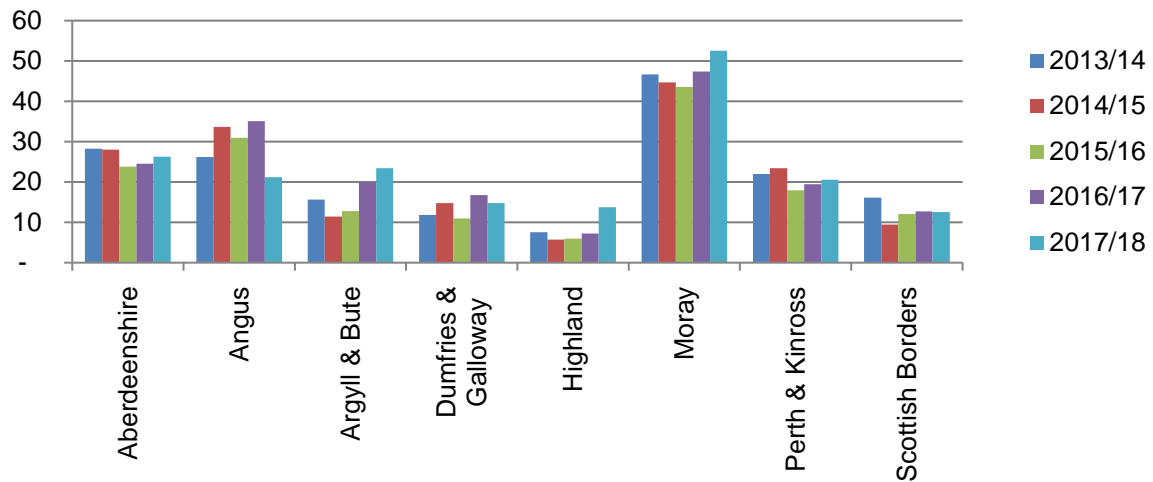


Figure 29 – SCOTS Rural group – actual starts per 100km

Year	Range
2016/17	7 to 47 works per 100km
2017/18	13 to 53 works per 100km

Moray Council registered the highest number of works at 53 / 100km and Scottish Borders Council the lowest at 13 / 100km.

Argyll & Bute Council and Perth & Kinross Council made small increases in their works registrations.

Highland Council's performance improved by 100% while Angus Council works registrations fell by 40% to their lowest number since 2013/14.

Organisations across this group have been reminded of their statutory obligation to register all qualifying works.

SCOTS – Semi Urban group

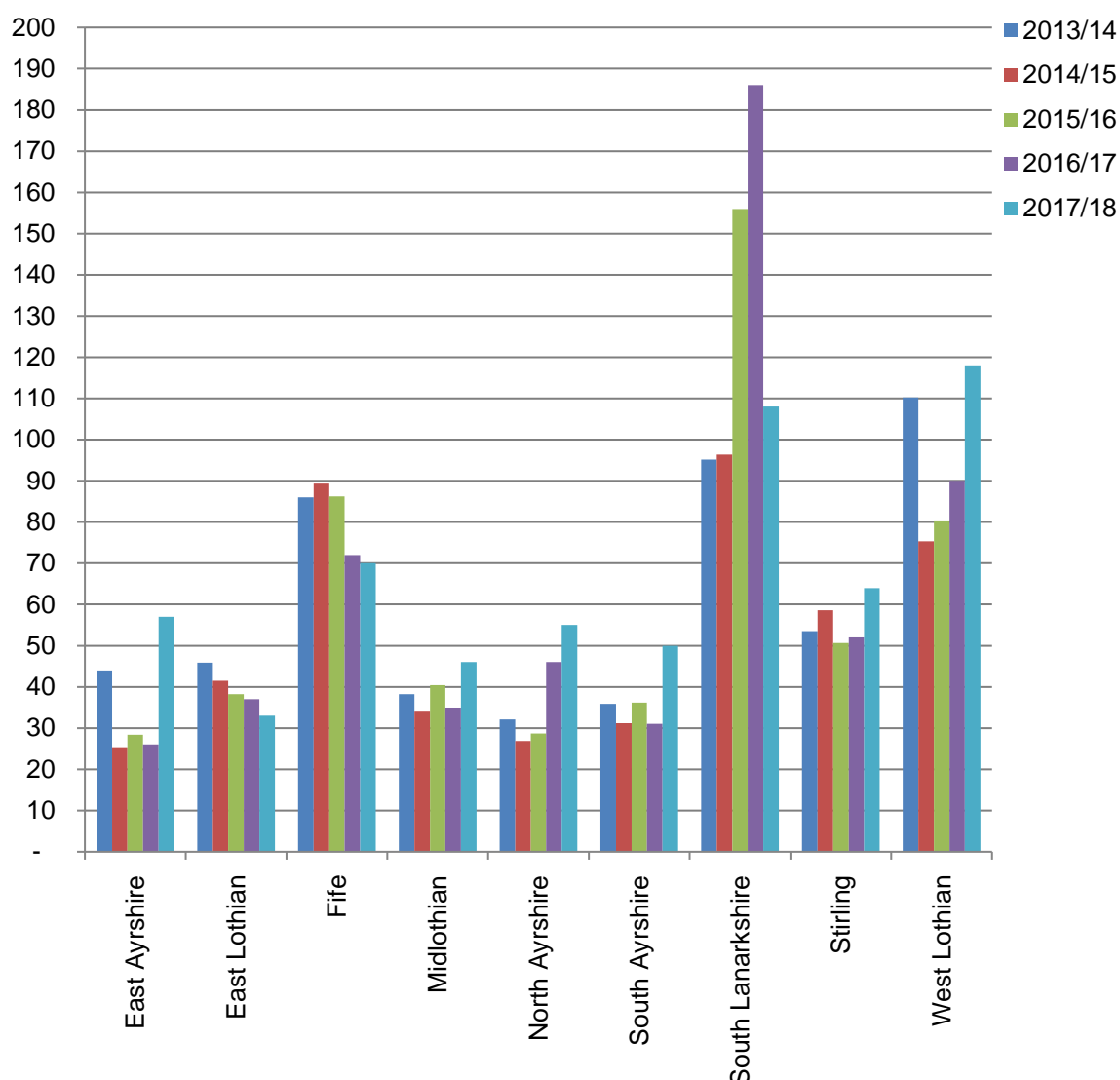


Figure 30 – SCOTS Semi Urban group – actual starts per 100km

Year	Range
2016/17	26 to 186 works per 100km
2017/18	33 to 118 works per 100km

In the Semi Urban group, 6 of the 9 organisations improved their noticing performance. Significant improvements were made by East Ayrshire Council (+119%) and South Ayrshire Council (+61%). Midlothian Council (+31%), West Lothian (+31%) and North Ayrshire Council (+20%) also made good progress.

It is disappointing that the performance of South Lanarkshire Council fell by 42%.

SCOTS – Urban group

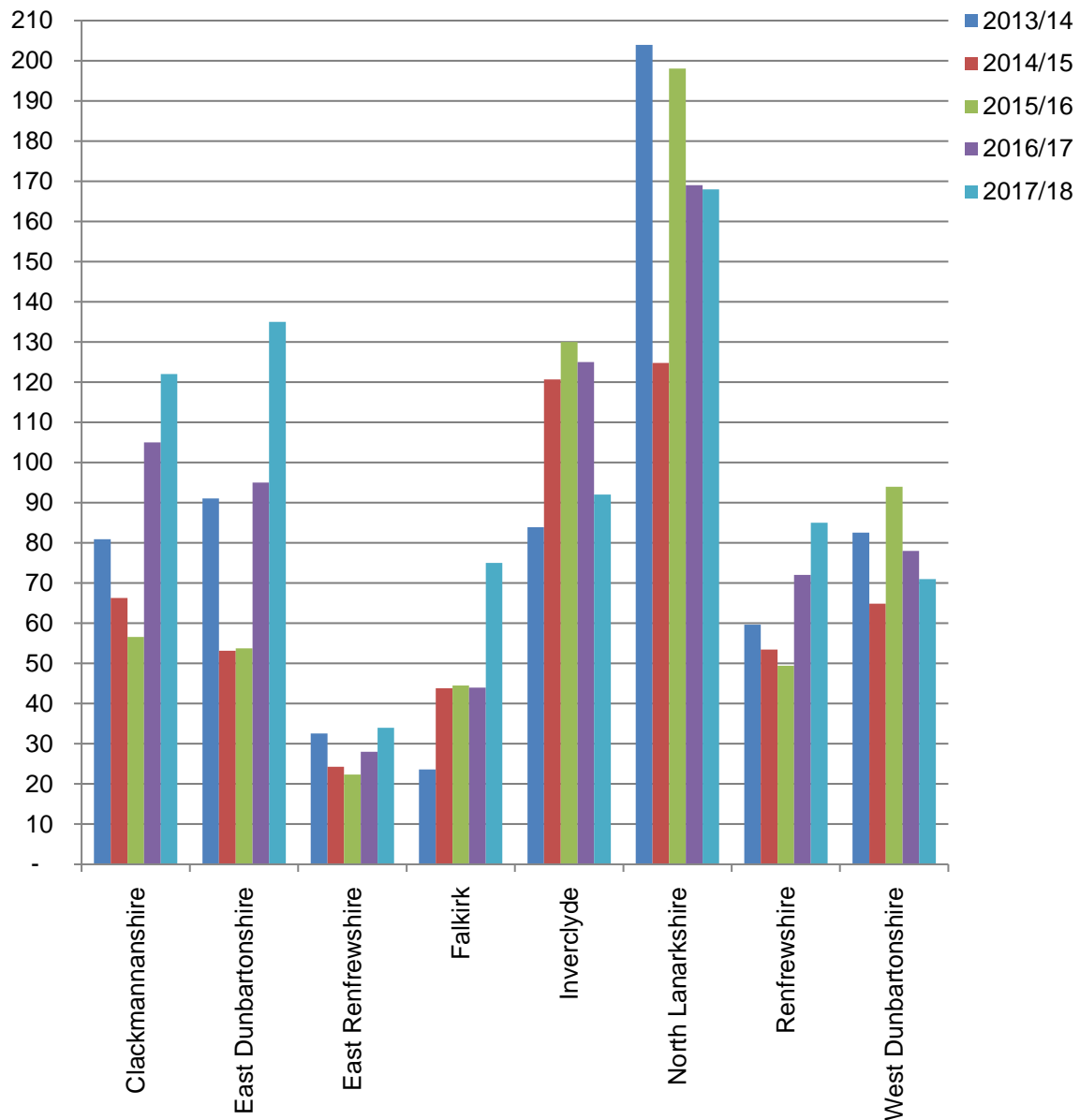


Figure 31 – SCOTS Urban group – actual starts per 100km

Year	Range
2016/17	28 to 169 works per 100km
2017/18	34 to 168 works per 100km

The urban group continued to show a wide variation. North Lanarkshire Council demonstrated best practice. East Renfrewshire Council performance remained very poor despite a 21% improvement.

Clackmannanshire Council (+16%), East Dunbartonshire Council (+42%) and Renfrewshire Council (+13%) maintained their year on year improvement since 2014/15.

It is disappointing that the previously good performance of Inverclyde Council fell by 26%.



Picture 17 – Pretty good?

SCOTS – City group

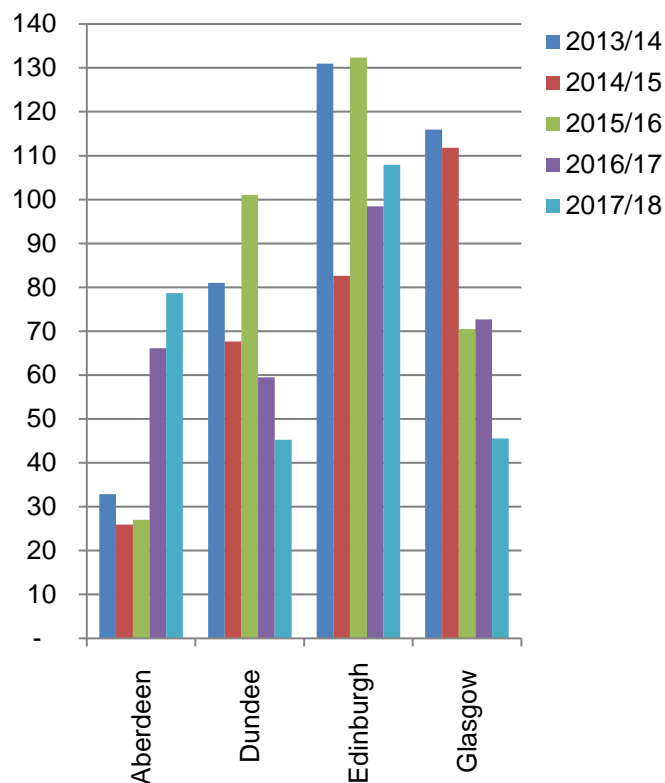


Figure 32 – SCOTS City group – actual starts per 100km

Year	Range
2016/17	60 to 98 works per 100km
2017/18	45 to 108 works per 100km

Despite some fluctuation during 2017/18, City of Edinburgh Council made a small improvement on their previous performance.

Following engagement with Aberdeen City Council their performance improved significantly by 144% in 2016/17 and by a further 20% in 2017/18.

Dundee City Council works registered fell for a second year and are now only 45% of the number registered in 2015/16.

After a small improvement last year, the works registered by Glasgow City Council once again took a significant fall to 40% of the works registered in 2013/14.

These variable statistics will be closely scrutinised in future reporting periods.

Transport Scotland - Trunk Road Operating Companies

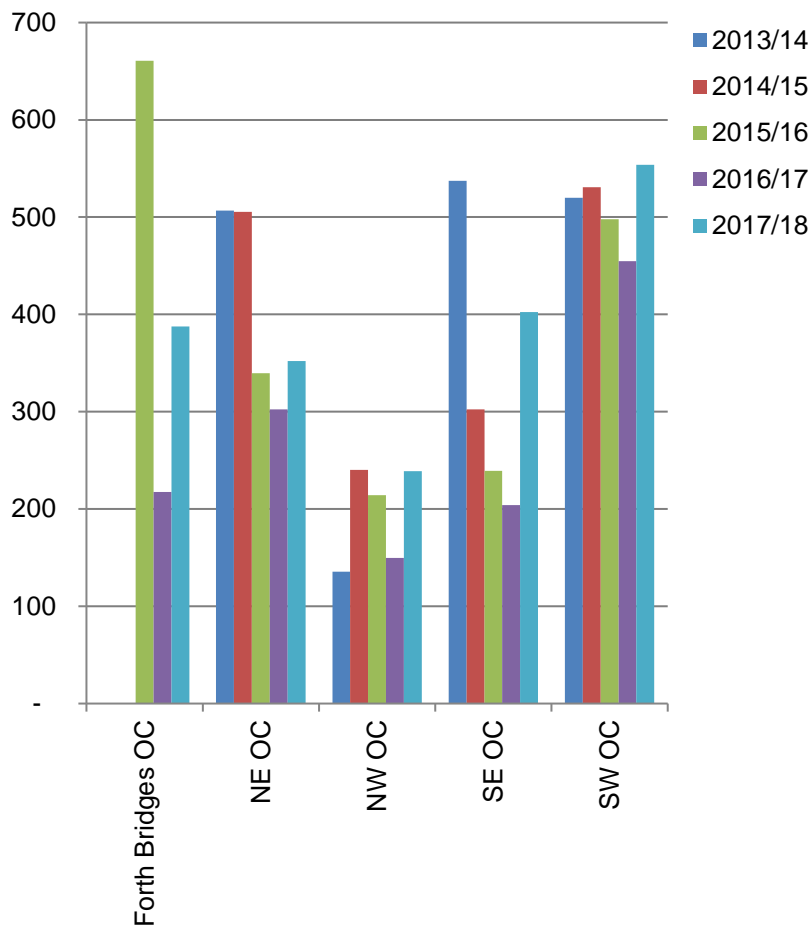


Figure 33 – Transport Scotland Trunk Road Operating Companies – actual starts per 100km

Year	Range
2016/17	150 to 455 works per 100km
2017/18	239 to 554 works per 100km

Following a downward trend over recent years, it is encouraging that all 5 operational units increased the number of works registered / 100km of road network within their respective operational areas.

In addition to the consistently high performance of the South West unit, the significant improvements made by the South East and Forth Bridges units are encouraging.

Transport Scotland - Trunk Road DBFO Companies

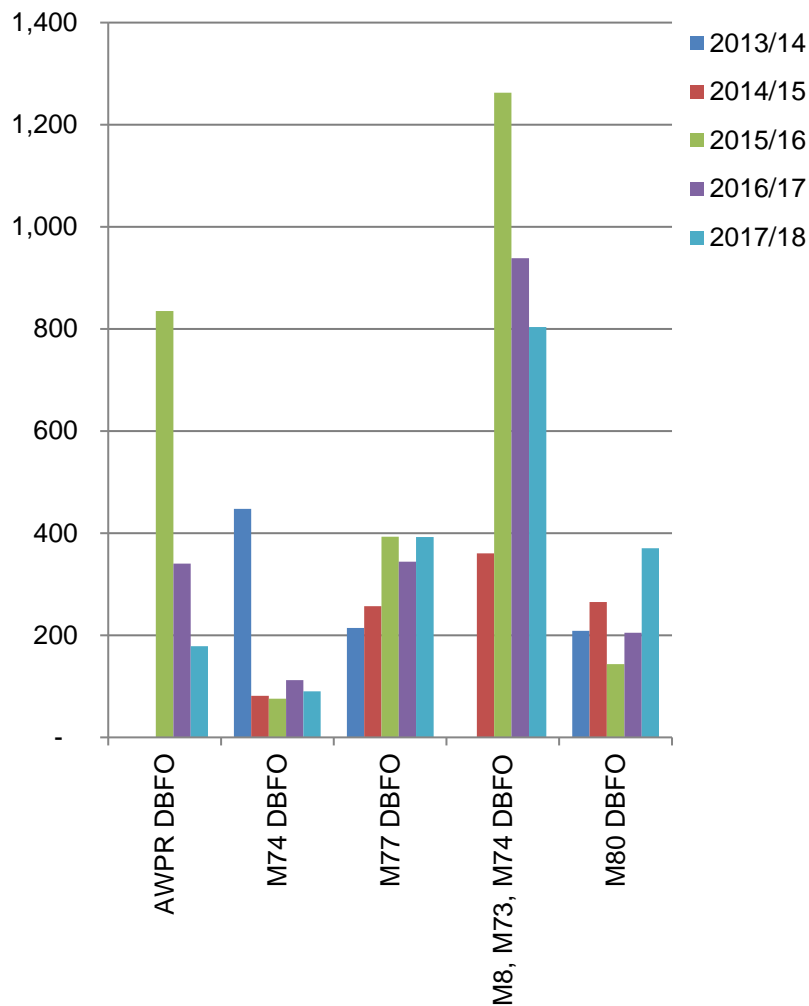


Figure 34 – Transport Scotland Trunk Road DBFO Companies – actual starts per 100km

Year	Range
2016/17	112 to 938 works per 100km
2017/18	90 to 804 works per 100km

DBFO companies construct and maintain networks of between 17.4km and 99.8km in length.

It continues to be difficult to compare the performance of DBFO companies as projects are at varying stages of construction and maintenance. The M80 DBFO and the M77 DBFO encouragingly increased the number of works registered as they consolidate their transition from construction to maintenance.

6. Quality of Utility Company Reinstatements

Utility company reinstatements are required to be undertaken in accordance with the Specification for the Reinstatement of Openings in Roads (SROR).

Roads authorities across Scotland, as part of their investigative regime, have undertaken coring of the bituminous upper bound layers of utility company reinstatements approximately every second year since 1997/98.

In September 2011, RAUC(S) agreed that a minimum acceptable pass rate of 90% should be introduced for all future National Coring Programmes.

A Commissioner Direction was issued to all organisations on 23 January 2012 requiring all utility companies to achieve a pass rate of 90% during all future National Coring Programmes, so far as reasonably practical.

The ninth, and most recent, National Coring Programme sampled and tested reinstatements completed between 1 January 2015 and 31 December 2015.

A full copy of the report can be download here:

<https://roadworks.scot/news/nationalcoring2015-16>

Analysis of the 2015/16 National Coring Programme

Approximately 2% of all utility company reinstatements undertaken during 2015 were cored. Cores were taken across Scotland with the exception of reinstatements on roads managed by Transport Scotland and the three island authorities. Core locations were randomly selected by the SRWR and agreed by the promoting utility company and the affected roads authority, prior to sampling.

Testing of the sampled cores was completed in the autumn of 2017. RAUC(S) reported an overall pass rate of 82%, which is a fall of 1%, compared with 83% in the last programme. This result is again below the expected minimum pass rate of 90%.



Picture 18 – Core location and sample showing surface course and binder course

Overall Pass Rates

Results from the last seven national coring programmes are summarised below, detailing the number of locations sampled and the percentage pass rates.

2001/02	2003/04	2005/06	2008/09	2010/11	2012/13	2015/16
44%	59%	60%	64%	74%	83%	82%

Figure 35 – Percentage pass rate

Unfortunately the trend of continuous improvement between 2001/02 and 2012/13 failed to continue into the 2015/16 programme.

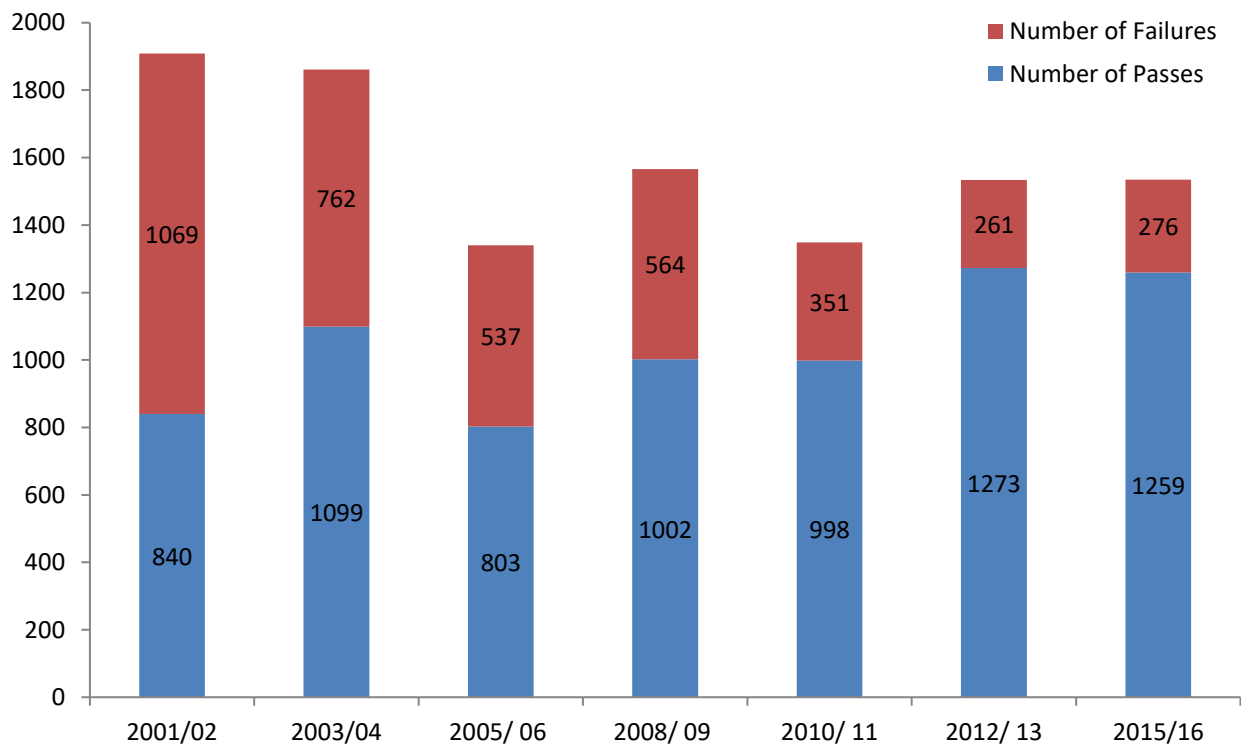


Figure 36 – Core pass/fail numbers (Source: RAUC(S))

Pass Rate by Organisation

Only three organisations achieved the minimum acceptable pass rate of 90%.

Organisations and their corresponding pass rates are shown below.

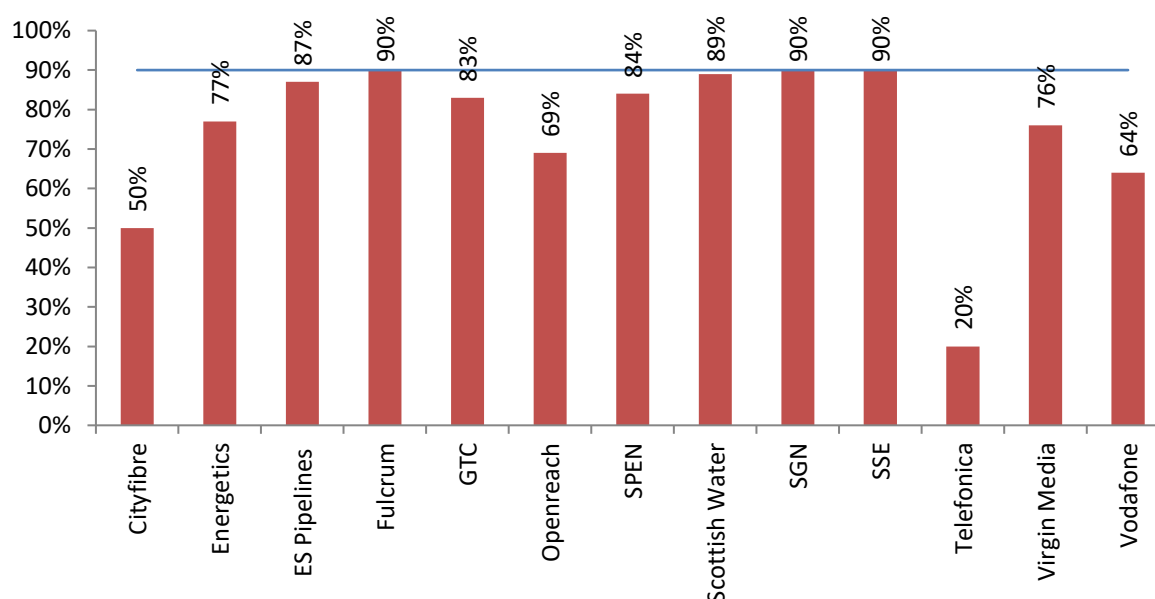


Figure 37 - Percentage Pass rate by organisation in the 2015/16 programme

The 90% minimum acceptable pass rate has generally been achieved by each of the major Gas, Water, and Electricity providers. However, the telecommunications sector again struggled to deliver a tangible improvement in their performance. The performance of Openreach is particularly disappointing at a pass rate of 69% over 28,895 road works, whilst Scottish Water achieved 89% over 27,946 road works.

Reason for Failure

The reason for each failure was analysed. Layer thickness accounted for 41% of failures, poor compaction accounted for 26% of failures and incorrect material type accounted for 21%.

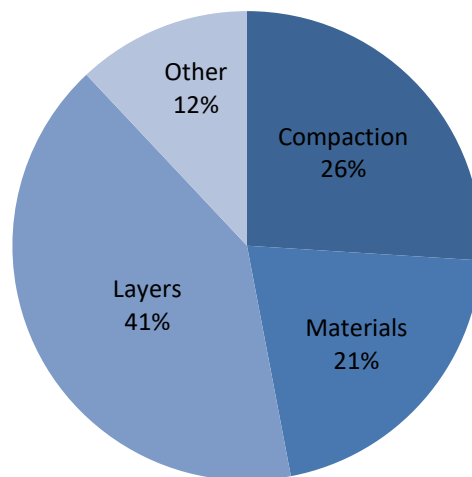


Figure 38 - Summary of the reasons for core failure.

Summary

The 2015/16 Report noted that, where a utility company failed to achieve the required reinstatement performance, consideration should be given to:

- Introducing quality plans
- Increasing site monitoring
- Introducing in-house coring regime, and
- Reviewing supervision arrangements

Following the 2015/16 National Coring Programme the Commissioner issued 5 penalties to utility companies. Further information on this matter can be found in the next section of this report.

7. Commissioner Penalties

Section 119A of the *New Roads and Street Works Act 1991* (NRSWA), as amended by the *Transport (Scotland) Act 2005*, provides powers to the SRWC to impose penalties.

Where the Commissioner is satisfied that a roads authority has failed to comply with duties imposed on them under section 118 of NRSWA, or a utility company has failed to comply with duties imposed on them under section 119 of NRSWA, the SRWC may impose a penalty on the roads authority or the utility company, as the case may be.

Penalties issued during the reporting period

Over the reporting period the SRWC issued penalties to both roads authorities and utility companies totalling £124,000.

April 2017 - The SRWC issued a penalty of £35,000 to CityFibre Metro Networks Limited (CityFibre) following a number of serious failures to comply with road works legislation in Scotland. Although CityFibre had works across Scotland, the offences occurred primarily in the Edinburgh area and included endangering road workers and the general public, non-compliance with the reinstatement specification, working without valid notification in the SRWR, a lack of qualifications and not co-operating with the City of Edinburgh Council.

January 2018 - The SRWC issued a penalty of £5,500 to North Lanarkshire Council. The penalty was issued to North Lanarkshire Council for failing to comply with their statutory duties under section 118 of NRSWA. Specifically, the council failed to follow safety procedures which resulted in endangering road workers and the general public. The council also failed to comply with the *Code of Practice for the Co-ordination of Works in Roads* and were working without valid notification in the SRWR.

February 2018 - The SRWC issued penalties totalling £83,500 to five utility companies for failing to comply with their statutory obligations when placing assets in roads. These failings were identified by the latest Scottish National Coring Programme which took cores to confirm that the correct materials, layer depths and compaction were used when reinstating the bituminous layers of their excavations.

Organisations penalised were:

- Openreach - £50,000 (maximum)
- Virgin Media - £16,000
- Telefonica - £8,000
- Vodafone - £8,000
- Energetics - £1,500

Penalties issued prior to the current reporting period

- 2012 - £92,500
- 2013 - £58,000
- 2014 - £57,500

Penalties issued since 2008

Since the office was established in 2008, the SRWC has issued penalties to utility companies and roads authorities totalling £332,000 for failures to comply with their statutory obligations.



Picture 19 - Busy?

8. Promotion of Compliance and Good Practice

The promotion of compliance and good practice is central to driving up standards across the road works community.

The long established committee and working group structure in Scotland is central to the promotion of compliance and good practice across the road works community.

Organisational Structure

Council roads authorities convene quarterly local co-ordination meetings with utility companies and other interested parties. These local meetings inform five area meetings, each of which is represented at a national level at RAUC(S).

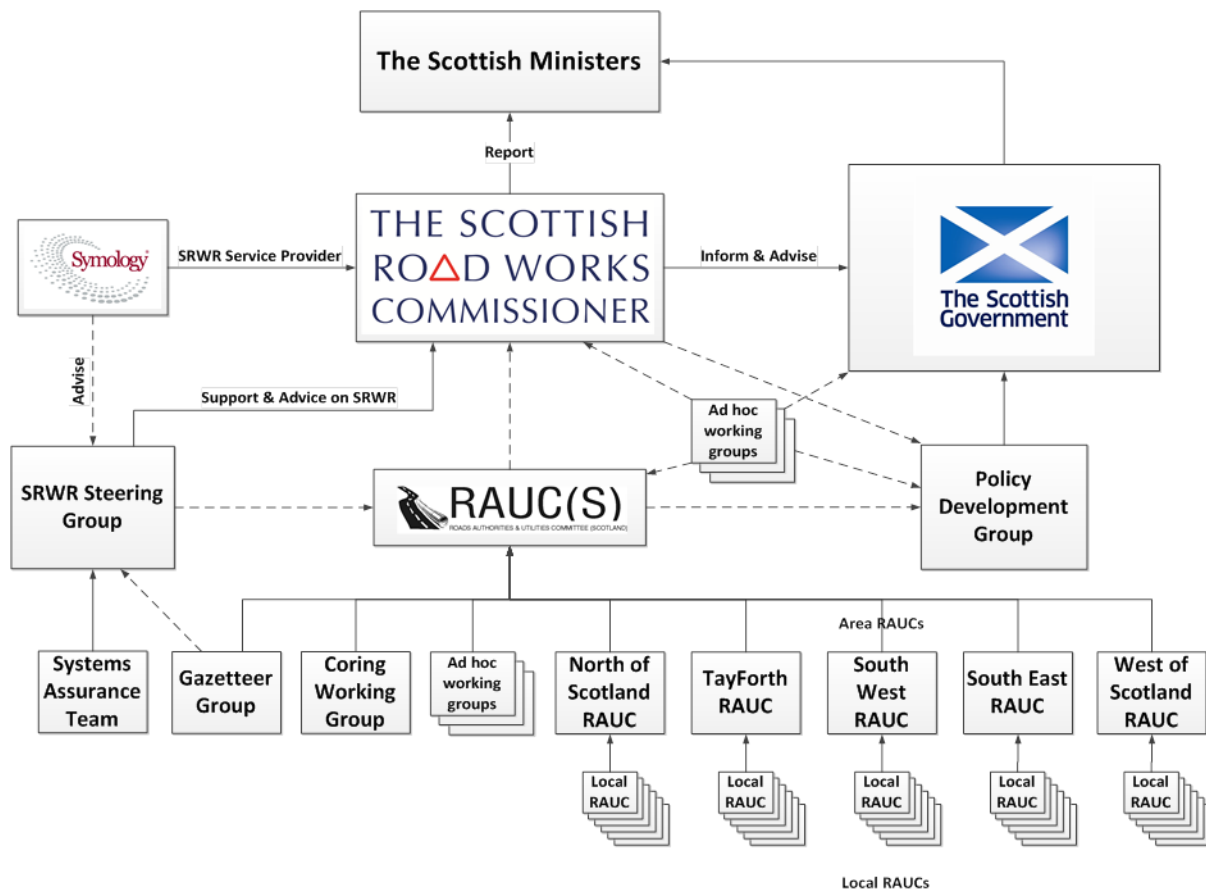


Figure 39 - Scottish road works community structure

RAUC(S) is the overarching committee with the objective of improving the planning, co-ordination and quality of road works in Scotland. RAUC(S) consists of representatives from both sides of the road works community and provides support and advice to the SRWC.

In addition to the RAUC(S) committee hierarchy, the road works community is represented on a wide range of working groups in Scotland and across the UK. These working groups inform the development of advice on:

- Legislation
- Codes of Practice
- Advice Notes, and the
- Management and development of the SRWR

Working Groups generally report directly to RAUC(S) or, where there are legislative or policy implications, to the Scottish road works PDG which is chaired by the Scottish Government.

Publication of Codes of Practice and Advice

The continued participation of both roads authorities and utility companies in the development of guidance ensures that legislation, codes of practice and advice notes are fit for purpose. The Commissioner appreciates the resourcing challenges facing both the public and the private sectors, and continues to encourage organisations to maintain their support and participation in this vital area of work. The Commissioner would also like to take this opportunity to thank those members of the Scottish road works community and their employing organisations for their continued participation and contribution.

The following direction and guidance was developed during the reporting period:

- *The Road Works (Qualifications of Operatives and Supervisors) (Scotland) Regulations 2017* was laid before Scottish Parliament in 2017
- *Advice Note 29 Guidance on Core & Vac Excavation and Reinstatement* (Oct 2017)

Links to these and other publications can be found at:

<https://roadworks.scot/legislationguidance>

Although there were only two pieces of formal guidance published during the reporting period, work continues developing legislation and guidance. Detail will be published in future Annual Reports.

Appendix E lists committees and working groups which met during the period of this report. The SRWC was represented at all meetings.

Superfast Broadband

The Department for Digital, Culture, Media and Sport (DCMS), in conjunction with the Scottish Government, have been delivering the Broadband Delivery UK (BDUK) initiative since 2010, with BT Openreach as the main contractor. This programme is due to be completed in 2021.

In December 2017 the Scottish Government's announced plans for their "Reaching 100%" (R100) programme. This programme is intended to provide digital connectivity to 100% of premises in Scotland by 2021. The procurement process is likely to take around 12 months. Implementation of the R100 programme will be monitored by the SRWC.



Picture 20 – Fibre, a rapidly growing fact of life to improve broadband speeds

Further information on the R100 programme can be found at:

<https://www.gov.scot/publications/digital-scotland-reaching-100-programme>

Technical Standards Monitoring Programme

A temporary technical consultant post was established in June 2017 to monitor road works sites and report on technical standards. This post supports the role of the Technical Standards Manager, monitoring safety, quality and noticing compliance.

Analysis of site visits suggests that only 35% of sites achieve a satisfactory level of signing, lighting and guarding. It is concerning that 19% of sites visited did not have a valid notice in the SRWR and 59% of sites observed had no work in progress when visited.

SRWC Traffic Management and Noticing Awareness Sessions

Traffic management awareness sessions were introduced in 2015. SRWR noticing awareness was added in 2017. These sessions continue to be popular.

Organisations taking advantage of these sessions;

- Scottish Water
- Argyll and Bute Council
- East Lothian Council
- Orkney Islands Council
- SSE
- Openreach
- Falkirk Council
- Moray Council

Subject to resources, it is hoped that these presentations can continue to benefit of the road works community.

SRWC Vehicle

The SRWC car assists the Technical Standards Monitoring Programme. The vehicle is fully liveried to comply with the *Safety at Street Works and Road Works: A Code of Practice and Traffic Signs Manual - Chapter 8*. In addition to assisting the technical standards monitoring programme, the vehicle has increased the visibility of the office. It has reduced private mileage, in line with the office sustainability, efficiency, effectiveness and economy statement objectives.



Picture 21 – Promotion of compliance

9. Consultations and Research

The SRWC supports and encourages consultations, research and the promotion of good practice.

This section summarises the involvement of the office during 2017/18.

Scottish Road Research Board (SRRB)

SRRB is a partnership between Transport Scotland, SCOTS and the SRWC.

SRRB commissions research and development to inform improvements in safety, construction, operation and maintenance of the Scottish road network. Objectives include promoting innovation and best practice across roads authorities.

The research programme is jointly funded by Transport Scotland and SCOTS.

Transport Scotland Pavement Forum (TSPF)

The TSPF was established to promote and develop best practice in the selection and use of paving materials, specifically for use on the Scottish trunk road network. The remit was broadened in 2010 to cover all aspects of road pavement design, construction and maintenance, selection of material types and drainage across both trunk and local road networks.

The SRWC continues to support the work of this group.

National Roads Maintenance Review (NRMR) Stakeholder Group

The office continued to participate in the NRMR Stakeholders Group which meets twice a year and reports to the Strategic Action Group (SAG).

National Roads Maintenance Review Strategic Action Group (SAG)

SAG is a partnership between Transport Scotland, SCOTS, Convention of Scottish Local Authorities (COSLA), Society of Local Authority Chief Executives (SOLACE), SRWC and the Minister / Cabinet Secretary.

National Transport Strategy Review

In August 2016, the Transport Minister announced that the National Transport Strategy (NTS) would be subject to a comprehensive review.

The review aims to develop a successor strategy which sets out a comprehensive transport vision for the next 20 years.

Four thematic working groups were put together to examine key issues as part of the NTS review. The groups were as follows:

- Greener and Healthier
- Enabling Economic Growth
- Tackling Inequality
- Delivering Safe and Resilient Transport

The SRWC Policy Manager contributes to this review through participation in the Safe & Resilient Transport Working Group.

This group feeds into the overall review under these five subject areas:

- safety
- security
- resilience
- asset management
- congestion



Picture 22 – Is narrow trenching the way forward to deliver superfast broadband?

10. Scottish Road Works Register (SRWR)

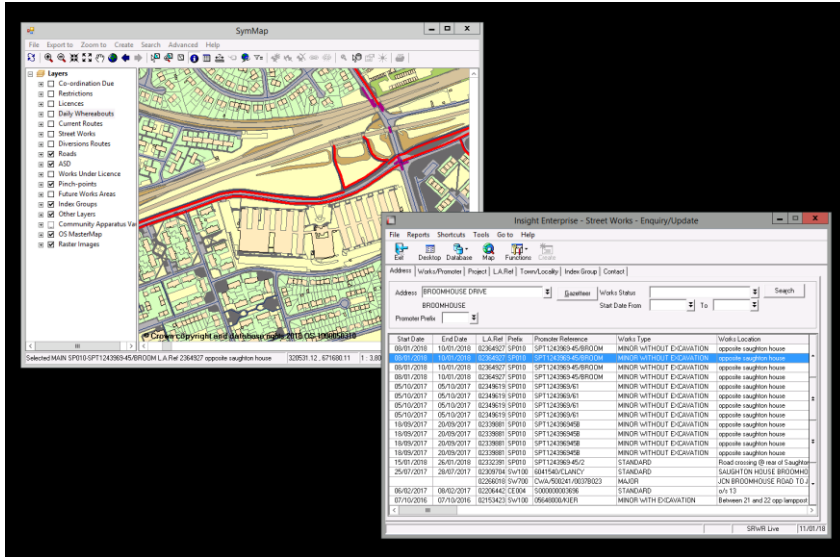
Under section 112 of NRSWA, the SRWC has a statutory duty to keep a register, to be known as the SRWR.

The SRWR is a centralised cloud based register used for the transfer, retention and management of road works data across Scotland. Utility companies and roads authorities operating in Scotland have access to the SRWR and are required to give notice of their proposed road works. It allows roads authorities to co-ordinate works in roads and includes a public facing website to inform the travelling public and others affected by works of potential disruptions. It is funded by the user community through the levy of Prescribed Fees and Amounts which are collected annually by the SRWC.

In summary, the SRWR is:

- the main tool used by roads authorities and utility companies to:
 - share information on roads works
 - assist in the planning and co-ordination of works in roads and
 - share the results of inspections carried out for compliance with safety and reinstatement standards
- a source of data for management information to measure the performance of organisations undertaking works in roads and
- a source of information for the public and other interested parties regarding planned, on-going and completed works.

During the 2017/18 reporting period, the SRWR was available for over 99% of the contracted core operational time. There was one significant service outage on the 17 October 2017 when the service was unavailable. This outage breached the contracted service levels and triggered a reduction to the service charge. Following this outage, the service provider reviewed their communication processes and introduced a web based service status monitor which is available to all users of the SRWR.



Picture 23 –Scottish Road Works Register.

The average number of named users of the SRWR over the period was 2,087. Following a gradual increase in the number between 2013 and 2016, this figure has stabilised over the last two years.

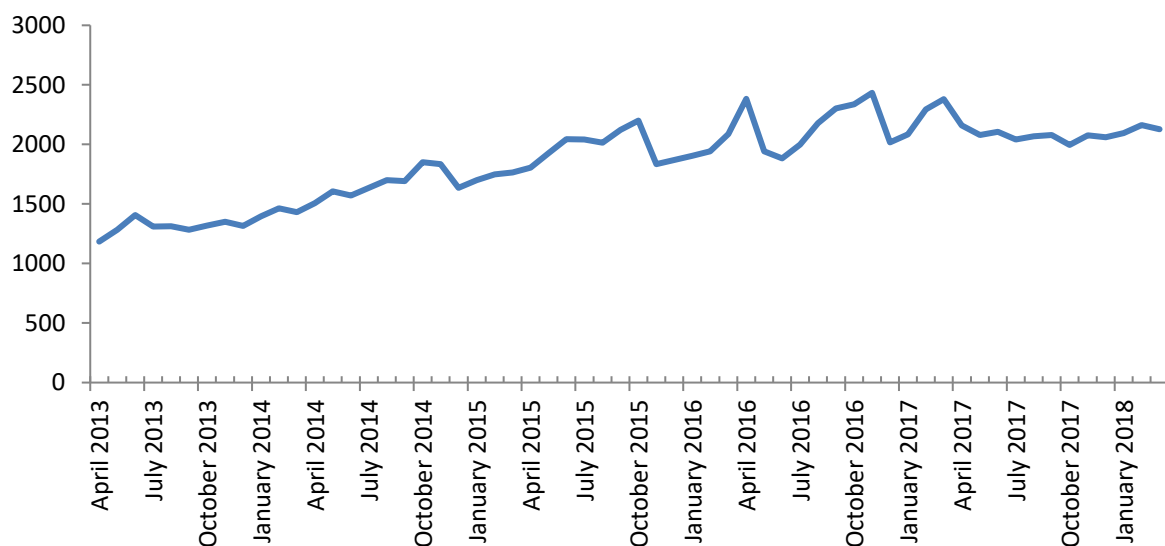


Figure 40 – Number of Named SRWR Users by Quarter.

The contracted maximum number of concurrent users (those logged into the SRWR at any one time) during 2017/18 was 300. This number was reached several times during 2016/17, requiring action to manage numbers. Following intervention, the average number of concurrent users dropped to 250 during 2017/18.

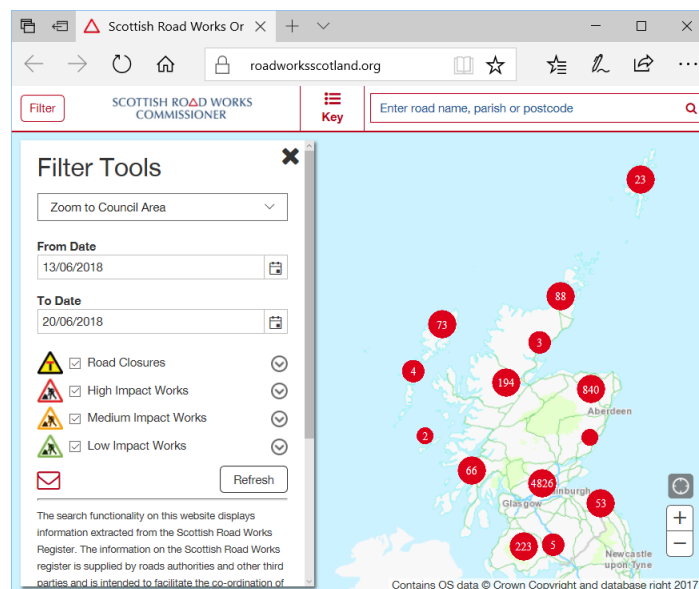
Included in the SRWR are:

Scottish Road Works Online

A cut down version of the SRWR is available as an online web service known as Scottish Road Works Online. This site shows summary details of planned and current road works. The site offers compatibility for users across a variety of platforms (in particular touch-screen operation on tablet/phone devices).

The site can be found at:

<https://www.roadworksscotland.org/>



Picture 24 – Scottish Road Works Online

Dial Before You Dig

Whilst the SRWR allows utility companies and roads authorities to exchange details of their apparatus, third parties (those not classed as utility companies or roads authorities) can request information using the Dial Before You Dig Plant Information Request facility offered by the SRWR.

Before any road works take place it is important that operatives on site are aware of the location of all nearby utility company and roads authority assets. This protects operatives carrying out works from harm and protects assets from accidental damage caused by works. The availability of plant information to third parties through

the Dial Before You Dig service is particularly relevant to underground buried apparatus and overhead apparatus where the danger is not always immediately obvious.

Calls placed to the Dial Before You Dig service are handled by the service provider as part of their contractual obligations for the provision of the SRWR. The provider uses the SRWR to pass details of the request to utility companies and roads authorities, who may have apparatus in the affected area. On receipt of a request utility companies and roads authorities are expected to respond with details of affected assets.

On average 202 requests/month were received during 2017/18.

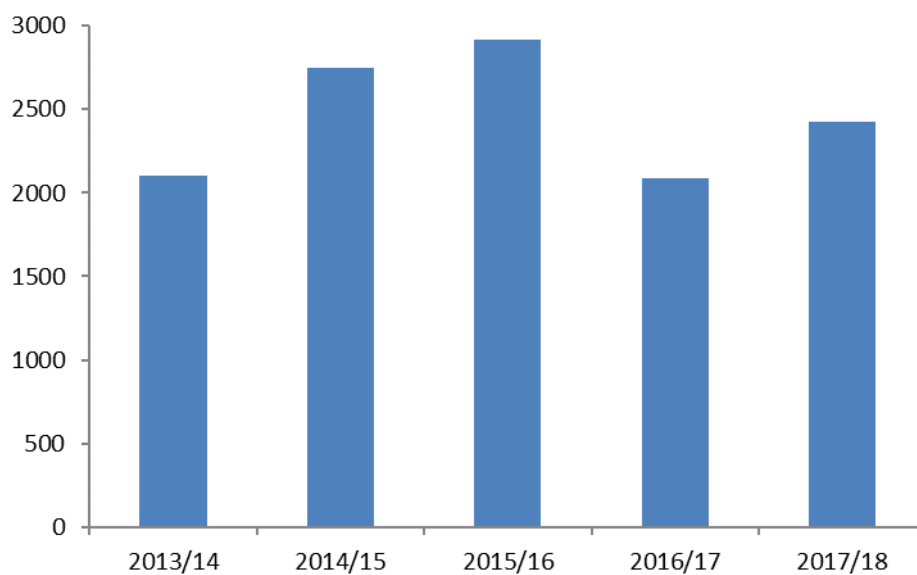


Figure 41 – Number of Dial Before You Dig requests processed

Further details can be found at:

<http://dialbeforeyoudig.scot> or by calling **08000 231 251**

Community Apparatus Data Vault (Vault)

Before any works take place in a road it is important that those working are aware of the location of buried and nearby apparatus/plant.

RAUC(S) Advice Note 1 – The Sharing of Plant Information requires that records relating to apparatus/plant are made freely available for inspection by any roads authority or utility company. This information is provided using websites showing maps, CDs containing the data, maps by email or printed paper plans sent by post.

The Community Apparatus Data Vault (Vault) is a non-statutory addition to the SRWR introduced in 2011. It is one of the easiest ways available to an organisation to comply with its statutory obligation to share information. Vault displays information from all participating organisations simultaneously on one screen.

Although Vault is a non-statutory facility, it is the opinion of SRWC that its use represents best practice when sharing apparatus/plant information. Unfortunately, whilst the number of organisations supplying data continues to grow, with the major Gas, Water and Electricity providers, along with most telecoms companies, supplying information, Openreach have yet to engage proactively.

SRWR System Enhancements

The contract with the SRWR service provider includes a continuous improvement clause requiring the register to be kept compliant with all relevant legislation. Regular enhancements are introduced through quarterly system upgrades. As there were no legislative changes, and 2017/18 was the final year of a 7 year contract to provide the SRWR, no significant enhancements were made to the register during the reporting period.

SRWR System Training

SRWR training courses were available to the user community in June 2017, October 2017 and March 2018.

Courses offered were:

- New users of the SRWR
- Use of the Permits and Consents module
- Use of Fixed Penalty Notices and
- Advanced Noticing Course

The course take up was very good, with most filled to capacity.

SRWR Steering Group and System Assurance Team (SAT)

To ensure that SRWR services are fit for purpose, representatives of the SRWR user community meet as members of the SRWR Steering Group and the System Assurance Team. These groups ensure that the SRWR continues to serve the needs

of roads authorities and utility companies. These groups support the SRWC and the RAUC(S).

Scottish Road Works Register Contract

This reporting period was the final year of a 7 year contract for the provision of the SRWR on behalf of the SRWC.

Following a successful procurement process during 2016/17 and 2017/18, a new 4 year contract was awarded commencing 1 April 2018. The new contract includes provision to extend by up to 3 years, in increments of 1 year.

The main priority during the procurement exercise was to maintain the base functionality of the existing register whilst taking the opportunity to introduce further enhancements.

The contract was advertised in Public Contracts Scotland and within the Official Journal of the European Union. An “Open Procedure” tendering process was adopted to encourage bids from small/medium enterprises. The Quality/Price ratio was set at 60:40.

The Scottish Government’s Model ICT Service Contract was used as the basis for the contract, which was adapted to suit the SRWR. Scottish Government Procurement Service were engaged to manage the procurement process.

The tender technical specification was influenced by input from the SRWR user community to ensure that the contracted service would be fit for use by all roads authorities and utility companies.

The new contract specification included enhancements to the SRWR in areas such as:

- the addition of a Works Promoter App, allowing organisations to record actual start notices, works clear & works closed notices whilst working on-site
- the addition of an Inspectors App, provides access to information in the SRWR and the recording of inspections while attending sites
- the addition of a Vault App, providing organisations with access to plant information records while working on-site
- the addition of new reports to automate the production of performance reviews and facilitate self-scrutiny by organisations
- the addition of transactional alerts to the Scottish Road Works Online website

- improvements to areas of interest, allowing the filtering of notices received by organisations
- enhanced functionality to enable publication of information recorded in the SRWR as Open Data
- options to make use of gazetteer data from different sources and
- the addition of many relatively minor enhancements to the functionality of the SRWR, improving the system for the user community.

Evaluation of tenders was undertaken by the SRWC, the Scottish Government Procurement Service & representatives from the SRWR user community.

Following evaluation, the existing provider was reappointed on 17 August 2017.

A series of 11 user forums were held, 10 across Scotland and 1 in England (for organisations that manage their works noticing from England), to introduce the SRWR enhancements to the user community. Feedback from the community was positive.

The contract includes a continuous improvement clause requiring the service provider to keep the SRWR compliant with all relevant legislation and regularly provide enhancements to the service. Plans are already in place for a major overhaul of the software used in the provision of the SRWR which includes a more accessible web based interface. These enhancements are expected to be implemented early in 2020.

SRWR Open Data

As part of the retendered contract commencing 1 April 2018, it is a requirement that data recorded on SRWR is made available to download as Open Data. Every transaction relating to works from 2008 onwards is intended to be made available for download in a set of CSV (Comma Separated Value) files.

Further information can be found at:

<https://roadworks.scot/opendata>

Financing of the Scottish Road Works Register

Provision of the SRWR is funded by the user community through a statutory Prescribed Fees and Amounts levy which is collected annually by the SRWC.

The Parliamentary Regulations supporting the collection of “Fees and Amounts” required for the 2017/18 financial year were:

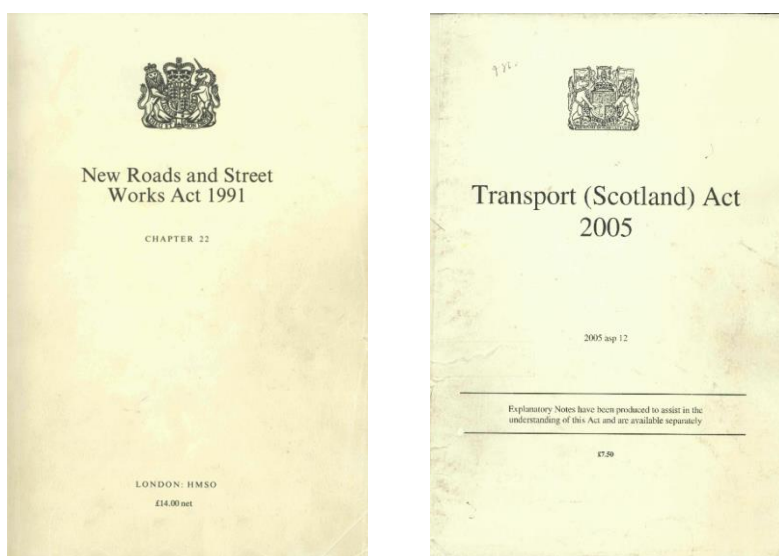
- *The Scottish Road Works Register (Prescribed Fees and Amounts) Regulations 2008* came into force on 29 February 2008. Whilst the “Fees” element of this legislation has been superseded, the “Amounts” element remains current.
- *The Scottish Road Works Register (Prescribed Fees) Regulations 2017* which came into force on 1 April 2017 describes the “Fee” to be collected for 2017/18.

The Fees and Amounts collected for the running of the SRWR totalled £850,000 in 2017/18 and were projected to be £1,029,000 in 2018/19. *The Scottish Road Works Register (Prescribed Fees) Amendment Regulations 2018* were made on 7 February 2018, reducing the Fees and Amounts to be collected for the 2018/19 year to £750,000, following the retendering exercise.

Invoices for the operation of the SRWR during the 2017/18 financial year were issued to the community on 1 April 2017. Of the 68 invoices issued, 53 were paid before the due date of 31 May 2017. The remaining 15 were paid by 30 August 2017 after the 60 day period set for payment in legislation.

11. Legislation

The legal framework for road works in Scotland is the *New Roads and Street Works Act 1991* (as amended by the *Transport (Scotland) Act 2005*) and the associated secondary legislation, codes of practice and advice notes.



Picture 25 – Primary Legislation

Reviewing legislation is an ongoing process which most public sector agencies undertake at some time. Reviews can be driven by sector developments, changes in technology/materials, changes in processes or be policy driven and should benefit stakeholders and the public. Consultation is an essential part of any review and a key part of developing legislation.

The 2016/17 Programme for Government made provision for a Transport Bill including enhancements to the role of the SRWC and the wider regulation of road works in Scotland.

The 2016 “Barton Report”, commissioned by the Minister for Transport and the Islands in October 2015, reviewed the office and functions of the SRWC. The report made 21 recommendations, the principle of which informed Scottish Government officials drafting the road works element of the Bill.

Part 5 of the Transport Bill laid before the Scottish Parliament in May 2018 includes provision to expanded the scope of the SRWC and to introduce an inspection function to the office.

Policy Development Group (PDG)

The road works PDG meets quarterly and is chaired by the Scottish Government. Membership includes representatives from the SRWC, RAUC(S), SCOTS, NJUG (National Joint Utilities Group who now operate as “Street Works UK”) and the SRWR Steering Group. The group considers amendments to road works policy and provides advice on legislation, codes of practice and advice notes.

The main priority during the reporting period was informing policy direction for the planned Transport Bill.

Strategic Action Group

The roads maintenance Strategic Action Group (SAG) was established following publication of *Maintaining Scotland’s Roads* by Audit Scotland. The group was set up to oversee the implementation of initiatives identified in the *National Roads Maintenance Review*.

The SRWC continues to support the Scottish Ministers through regular attendance at SAG.

Inspection Fees Regulations Working Group

The Inspections Fees Regulations Working Group is an advisory group reporting to the Scottish Government. The group includes representatives from the SRWC and RAUC(S). It considers the sufficiency of the roads authority inspection fee to cover the cost of inspecting utility company road works. The fee is reviewed annually.

During the reporting period it was agreed that there would be no change to the current fee following an extensive consultation process.

Prescribed Fees and Amounts Working Group

The SRWR is funded by monies collected as legislated in the Scottish Road Works Register (Prescribed Fees and Amounts) Regulations, which are reviewed annually. During 2016/17 a working group, including SRWC representation, agreed that the current charging model remained appropriate for the collection of fees and amounts pending further scrutiny of roads authority noticing practice.

Regulations

In July 2017, *The Road Works (Qualifications of Operatives and Supervisors) (Scotland) Regulations 2017* were made by the Scottish Government. The SRWC provided technical advice through representation on the PDG and the Training and Accreditation group (TAG).

In February 2018, *The Scottish Road Works Register (Prescribed Fees) Amendment Regulations 2018* were made. These regulations amended *The Scottish Road Works Register (Prescribed Fees) Regulations 2017*. When applied in conjunction with *The Scottish Road Works Register (Prescribed Fees and Amounts) Regulations 2008* these regulations formed the basis for the collection of the 2018/19 prescribed fees and amounts for the operation of the SRWR.

Future Legislation

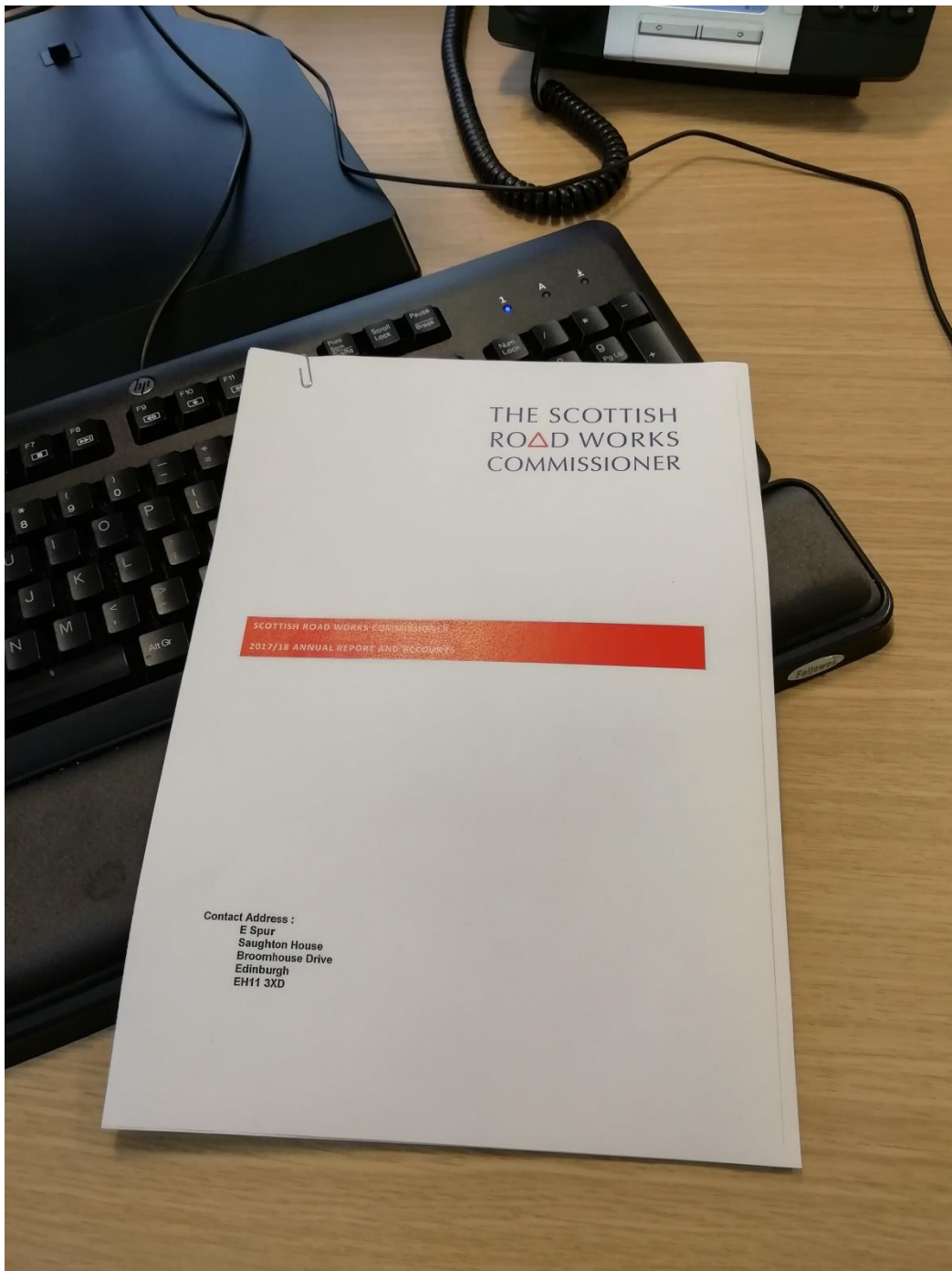
A Transport Bill was laid in the Scottish Parliament in spring 2018. The bill will follow parliamentary procedure, including a call for evidence.

The SRWC will continue to work closely with Scottish Government in the development of this and any future legislation.

12. Annual Report and Accounts

As previously reported in the Executive Summary, the 2017/18 audited Annual Report and Accounts are available at:

<https://roadworks.scot/publications>



13. Reflection and Forward Planning

Reflection

The SRWC continued to engage with the wider Scottish road works community, promoting collaborative working between roads authorities and utility companies.

The SRWC continued to monitor compliance with road works legislation and good practice guidance over the reporting period.

An extract of the SRWC's *Business Plan 2017/18* is attached in Appendix C. It covers a range of objectives designed to further the strategic aims of the SRWC. Objectives include specific targets, development of existing systems and specific responsibilities by business area.

The Business Plan is published on the SRWC's website at the following location:

<https://roadworks.scot/publications/corporate-business-plans>

Forward Planning

The *Business Plan 2018/19*, developed in April 2018, is also published on the SRWC's website. An extract of the activities section is included in Appendix D.

In addition to addressing the corporate aims of the office, the plan focuses on the overall governance and objective setting by business area for the period.

The *2018-20 Corporate Plan* is also published on the SRWC's website as above.

Appendix A – List of Acronyms and Terms

The table below provides a list of acronyms and terms used in this report.

Acronym	Term
Area RAUC	Area Roads Authorities and Utilities Committee
BDUK	Broadband Directive UK
Commissioner	Scottish Road Works Commissioner
COSLA	Convention of Scottish Local Authorities
DBFO	Design, Build, Finance and Operate
DCMS	Department for Digital, Culture, Media and Sport
EI(S)R	Environmental Information (Scotland) Regulations 2004
FOI(S)A	Freedom of Information (Scotland) Act 2002
FPN	Fixed Penalty Notice
Gazetteer	List of all roads maintained by a Roads Authority
HAUC (UK)	Highway Authorities and Utilities Committee (UK)
Local RAUC	Local Roads Authorities and Utilities Committee
NJUG	National Joint Utilities Group (now operating as Street Works UK)
NRMR	National Roads Maintenance Review
NRSWA	New Roads and Street Works Act 1991
OC	Operating Company (working on behalf of Transport Scotland)
PDG	Policy Development Group
RAUC(S)	Roads Authorities and Utilities Committee (Scotland)
Register	Scottish Road Works Register
SAG	Strategic Action Group
SCOTS	Society of Chief Officers of Transportation in Scotland
SOLACE	Society of Local Authority Chief Executives
SROR	Specification for the Reinstatement of Openings in Roads
SRRB	Scottish Road Research Board
SRWC	Scottish Road Works Commissioner
SRWR	Scottish Road Works Register
T(S)A	Transport (Scotland) Act 2005

Appendix B – List of Scottish Roads Authorities and Utility Companies

Roads Authorities

City Group

Aberdeen City Council
Dundee City Council
City of Edinburgh Council
Glasgow City Council

Island Group

Comhairle nan Eilean Siar
Orkney Islands Council
Shetland Islands Council

Rural Group

Aberdeenshire Council
Angus Council
Argyll & Bute Council
Scottish Borders Council
Dumfries & Galloway Council
Highland Council
Perth & Kinross Council
Moray Council

Semi-Urban Group

East Ayrshire Council
East Lothian Council
Fife Council
Midlothian Council
North Ayrshire Council
South Ayrshire Council
South Lanarkshire Council
Stirling Council
West Lothian Council

Urban Group

Clackmannanshire Council
East Dunbartonshire Council
East Renfrewshire Council
Falkirk Council
Inverclyde Council
North Lanarkshire Council
Renfrewshire Council
West Dunbartonshire Council

Trunk Road

Transport Scotland

Other

Tay Road Bridge Joint Board

Utility Companies

Electricity

ESP Electricity
SP Energy Networks
SSE
National Grid

Gas

E S Pipelines Limited
SGN

Multi-Utility

Energetics
Energy Assets
Fulcrum
GTC Pipelines Limited

Pipelines

BP
CLH Pipelines
INEOS
INEOS FPS
Shell

Telecoms

Arqiva
Broadband for the Rural North (B4RN)
CityFibre Metro Networks Ltd
Concept Solutions People Limited (CSP Ltd)
EE
Gamma Telecom
Hutchison 3G
Hyperoptic
Level 3 Communication
Openreach
SSE Telecoms
Sky UK
TalkTalk
Telefonica UK
Verizon
Virgin Media Group
Vodafone Limited
Zayo

Water

Scottish Water

Others

Network Rail
Royal Mail
Edinburgh Trams

Appendix C – Business Plan 2017/18

This section is an extract from the 2017/18 business plan.

The full business plan is available on the SRWC's website at:

<https://roadworks.scot/publications/corporate-business-plans>

The following abbreviations are used in the activities tables:

SRWC	Scottish Road Works Commissioner
PM	Policy Manager
TSM	Technical Standards Manager
SRWRM	Scottish Road Works Register Manager
Acc	Accountant
BusO	Business Officer
PrM	Performance Manager
SROR	Specification for the Reinstatements of Openings in Roads
RAUC(S)	Roads Authorities and Utilities Committee (Scotland)
Area RAUC	Area Roads Authorities and Utilities Committee
Local RAUC	Local Roads Authorities and Utilities Committee
SCOTS	Society of Chief Officers of Transportation in Scotland
FReM	Financial Reporting Manual

Business Area 1: Technical/Quality Monitoring

	Objective	Key Milestones/Performance Measures	Owner	Corporate Aim
1.1	Work with road works community at all levels to improve communication.	<ul style="list-style-type: none"> 100% Attendance at National RAUC(S) Attendance at Area RAUC meetings Attendance at 15% of Local RAUC meetings Assist with Advice Notes and Codes of Practice 	SRWC SRWC TSM PM	1,2,3
1.2	Contribute to National (UK) working groups.	<ul style="list-style-type: none"> Represent Scotland at the Training and Accreditation Group (TAG) UK (quarterly attendance) 	TSM	2,3
1.3	Further develop the Technical Standards programme with emphasis on the rollout of the superfast broadband programme in Scotland.	<ul style="list-style-type: none"> Review programme and strategy by June 2017 Continue the implementation of the TSM strategy (2017-2018) 	PM TSM	1,2
1.4	Extend the scope of ad-hoc site inspections by the SRWC to include in-situ compaction testing of the unbound layers of utility company reinstatements.	<ul style="list-style-type: none"> Implement Testing/Data Collection Plan Provide a report on data collected by the end March 2018 	TSM TSM	1,2,3
1.5	Continue to engage with the road works community to provide an advisory role on signing lighting and guarding and good practice.	<ul style="list-style-type: none"> Continue to provide traffic management advice sessions at a rate of 2 per quarter (depending on uptake) 	TSM	3

Business Area 2: Policy

	Objective	Key Milestones/Performance Measures	Owner	Corporate Aim
2.1	Continue to work with the Scottish road works community to develop strategies to improve the overall standard of road reinstatements.	<ul style="list-style-type: none"> SRWC is represented at 90% of meetings as follows: <ul style="list-style-type: none"> RAUC(S) Scottish Road Research Board Strategic Action Group Roads Maintenance Stakeholder Group 	SRWC/PM	1,2,3
2.2	Continue to scrutinise and participate in the review of advice notes, codes of practice.	<ul style="list-style-type: none"> Comment from SRWC provided on 90% documents referred to SRWC for review by RAUC(S) 	PM	2,3
2.3	Continue to provide technical advice to the Scottish Government to inform the proposed Miscellaneous Transport Bill	<ul style="list-style-type: none"> Provide input to proposed consultation. Dedicate agreed percentage of staff time to sponsor body to assist with proposed consultation. 	SRWC/PM SRWC/PM	1,2,3
2.4	Continue to input to the development of policy through participation in the Scottish Government Policy Development Group.	<ul style="list-style-type: none"> SRWC is represented at 100% of meetings Provide input to consultations issued, where required. 	SRWC/PM SRWC/PM	1,2,3

Business Area 3: SRWR Operation and Management

	Objective	Key Milestones/Performance Measures	Owner	Corporate Aim
3.1	Issue invoices and collect fees.	<ul style="list-style-type: none"> Collection of all statutory fees for use of the Register by end June 2017 Collection of all training fees. 	SRWRM/ BusO SRWRM/ BusO	1,2,3,4
3.2	Ensure that the Scottish Road Works Register operates in line with contractual requirements and continue to ensure that it develops to provide added benefits to the Commissioner and the road works community.	<ul style="list-style-type: none"> Monthly performance and progress review of Symology (Incumbent SRWR Provider) Quarterly contract meeting with Symology (Incumbent SRWR Provider) Quarterly meetings with SRWR Steering Group 	SRWRM SRWC/ SRWRM SRWRM	1,2,4
3.3	Continue to manage the award of a new SRWR contract and completion of the existing contract.	<ul style="list-style-type: none"> Award Contract by end July 2017 Manage exit plan of incumbent Monitor mobilisation reporting at Month 3 and Month 6. 	SRWC SRWRM SRWRM	1,2,4
3.4	SRWR Newsletter.	<ul style="list-style-type: none"> Issue 4 newsletters 	SRWRM	3,4
3.5	SRWR Specification of Requirements	<ul style="list-style-type: none"> Quarterly review SRWR changes Annual update of document 	SRWRM	1,2,4
3.6	Facilitate competency in the Road Works Community	<ul style="list-style-type: none"> Arrange Annual User Seminar Organise Register Specific Training (Quarterly) 	SRWRM SRWRM	2,3,4

Business Area 4: Performance Monitoring

	Objective	Key Milestones/Performance Measures	Owner	Corporate Aim
4.1	Operational objectives monitoring	<ul style="list-style-type: none"> Continue to produce and publish a quarterly dashboard on the SRWC website – using Red Amber, Green Flags 	PrM	1,2,3,4
4.2	Increased scrutiny of roads authorities and their use of the register.	<ul style="list-style-type: none"> Continue to examine inconsistencies in the placing of notices in the SRWR between roads authorities in each of the five SCOTS peer groups. Scrutinise the use of Section 125 notices by Road Works Authorities. 	PrM PrM	1,2
4.3	Increased scrutiny of utility companies	<ul style="list-style-type: none"> Examine the noticing practices of multi utility undertakers by October 2017 Scrutinise undertakers who consistently fail to achieve a sample inspection pass rate of 90% by October 2017 	PrM PrM	1,2
4.4	Refine quarterly Performance Reviews in order that performance is tracked though the year.	<ul style="list-style-type: none"> Produce quarterly dashboard – using Red Amber, Green Flags Provide SRWR statistics prior to Area RAUC meetings 	PrM SRWRM	1,2
4.5	Produce SRWC Annual Performance Review of organisations	<ul style="list-style-type: none"> Performance review issued for all to all organisation by end of May 2017. 	PrM	1,2
4.6	Review of Annual Performance Trends	<ul style="list-style-type: none"> Consider the overall performance of organisations, taking follow up action where required by December 2017. 	PrM	1,2
4.7	Scrutinise the outcome of the 2015-16 Coring Programme.	<ul style="list-style-type: none"> Review RAUC(S) coring data (expected early 2017). Issue a SRWC statement on coring Follow up action on coring data if required. 	PrM PM SRWC	1,2,3
4.8	Improvement Strategy	<ul style="list-style-type: none"> Develop a formal SRWC improvement strategy for undertakers and roads authorities. 	PM/PrM	1,2,3

Business Area 5: Business and Office Governance

	Objectives	Key Milestones/Performance Measures	Owner	Corporate Aim
5.1	Financial policy review	<ul style="list-style-type: none"> Established policy and procedures to be reviewed by October 2017 	BusO	4
5.2	Statutory Returns	<ul style="list-style-type: none"> All returns made on time 	BusO	4
5.3	Adherence to Service Standards	<ul style="list-style-type: none"> 100% FOISA/EIRs request timescales met 100% SRWC timescales met 	BusO BusO	4
5.4	Publish Annual Report 2016-2017	<ul style="list-style-type: none"> Report published by end July 2017 	SRWC	4
5.5	Undertake staff development and review process	<ul style="list-style-type: none"> Reviews undertaken by May 2017 Mid-year reviews undertaken by November 2017 	SRWC SRWC	1,2,4
5.6	Compliance with SRWC policies and controls, including the FReM	<ul style="list-style-type: none"> Monthly meetings held Additional staff training 95% of payment made to suppliers within 10 days 	BusO SRWC/BusO BusO	4
5.7	Publish Annual Accounts 2016-2017	<ul style="list-style-type: none"> Accounts prepared and submitted to Auditors by end June 2017 with appropriate working papers and report text. Accounts agreed and published by end August 2017 	SRWC SRWC	4
5.8	Implementation of SAGE accounting.	<ul style="list-style-type: none"> Full Integration of Sage for financial year 2017-18. 	BusO	4
5.9	Maintenance of SRWC website	<ul style="list-style-type: none"> Review website content twice a year Procure new website provision by June 2017 	SRWRM PrM	3,4

Appendix D – Business Plan 2018/19

This section is an extract from the 2018/19 business plan. It is a working document which details objectives and activities designed to achieve the strategic aims of the SRWC.

Activities undertaken in by the SRWC have been broadly split into 5 business areas in the following tables. The business areas identify how each activity is important in meeting the Corporate Aims of the SRWC, detailed above.

The full business plan is available on the SRWC's website at:

<https://roadworks.scot/publications/corporate-business-plans>

Structure of the Business Plan

The following abbreviations are used in the activities tables:

SRWC	Scottish Road Works Commissioner
PM	Policy Manager
TSM	Technical Standards Manager
SRWRM	Scottish Road Works Register Manager
Acc	Accountant
BusO	Business Officer
PrM	Performance Manager
SROR	Specification for the Reinstatements of Openings in Roads
RAUC(S)	Roads Authorities and Utilities Committee (Scotland)
Area RAUC	Area Roads Authorities and Utilities Committee
Local RAUC	Local Roads Authorities and Utilities Committee
SCOTS	Society of Chief Officers of Transportation in Scotland
FReM	Financial Reporting Manual

Business Area 1 : Technical/Quality Monitoring

	Objective	Key Milestones/Performance Measures	Owner	Corporate Aim
1.1	Work with road works community at all levels to improve communication.	<ul style="list-style-type: none"> 100% Attendance at National RAUC(S) Attendance at Area RAUC meetings Attendance at 15% of Local RAUC meetings Assist with Advice Notes and Codes of Practice 	SRWC SRWC TSM PM	1,2,3
1.2	Contribute to National (UK) working groups.	<ul style="list-style-type: none"> Represent Scotland at the Training and Accreditation Group (TAG) UK (quarterly attendance) 	TSM	2,3
1.3	Further develop the Technical Standards programme with regard to planned government major infrastructure projects	<ul style="list-style-type: none"> Review programme and strategy by June 2019 Further develop the TSM programme with regard to future legislation. 	PM TSM	1,2
1.4	Review the 2017/18 ad-hoc site inspections by the oSRWC to include in-situ compaction testing of the unbound layers of utility company reinstatements.	<ul style="list-style-type: none"> Review 2017/18 Testing/Data Collection Plan Collaborate on a final report on data collected by technical consultant (Aug 18) 	TSM TSM	1,2,3
1.5	Continue to engage with the road works community to provide an advisory role on Signing Lighting and Guarding and good practice.	<ul style="list-style-type: none"> Continue to provide Traffic Management Advice sessions at a rate of 2 per quarter (depending on uptake as required) 	TSM	3

Business Area 2 : Policy

	Objective	Key Milestones/Performance Measures	Owner	Corporate Aim
2.1	Continue to work with the wider Scottish road works community to develop strategies to improve the overall standards of road reinstatements.	<ul style="list-style-type: none"> SRWC represented at 90% of meetings as follows: <ul style="list-style-type: none"> RAUC(S) Scottish Road Research Board Strategic Action Group Roads Maintenance Stakeholder Group 	SRWC/PM	1,2,3
2.2	Continue to scrutinise and participate in the review of advice notes and codes of practice.	<ul style="list-style-type: none"> Comment from SRWC provided on 90% documents referred to SRWC for review by RAUC(S) 	PM	2,3
2.3	Continue to provide technical advice to the Scottish Government to inform the Transport Bill process.	<ul style="list-style-type: none"> Provide input to the proposed consultation. Dedicate staff time to sponsor body as required to assist with Bill 	SRWC/PM SRWC/PM	1,2,3
2.4	Continue to input to the development of policy through participation in the Scottish Government Policy Development Group.	<ul style="list-style-type: none"> SRWC is represented at 100% of meetings Provide input to group output, as required. 	SRWC/PM SRWC/PM	1,2,3

Business Area 3: SRWR Operation And Management

	Objective	Key Milestones/Performance Measures	Owner	Corporate Aim
3.1	Produce annual matrix for the collection of prescribed fees and amounts Issue invoices pertaining to prescribed fees and amounts, and training in accordance with SPFM segregated duties Collect all fees due in accordance with SPFM segregated duties	<ul style="list-style-type: none"> Levels of fee determined Invoices issued Collection of all Training fees as required, and of all Statutory Fees for use of the Register by end June 2018. 	SRWRM BusO BusO	1,2,3,4
3.2	Ensure that the Scottish Road Works Register operates in line with contractual requirements and continue to ensure that it develops to provide added benefits to the Commissioner and the road works community.	<ul style="list-style-type: none"> Monthly performance and progress review of Symology (Incumbent SRWR Provider) Quarterly contract meeting with Symology (Incumbent SRWR Provider) Quarterly meetings with SRWR Steering Group 	SRWRM SRWC/ SRWRM SRWRM	1,2,4
3.3	Issue SRWR Newsletter.	<ul style="list-style-type: none"> Four per year 	SRWRM	3,4
3.4	SRWR Specification of Requirements	<ul style="list-style-type: none"> Ongoing review of SRWR changes Annual review of Technical Specification 	SRWRM SRWRM	1,2,4
3.5	Promote compliance and good practice across the SRWR user community	<ul style="list-style-type: none"> Arrange SRWR user seminars (as required) Organise register specific training (as required) 	SRWRM SRWRM	2,3,4
3.6	Preparatory work for procurement of the next SRWR contract.	<ul style="list-style-type: none"> Annually review contract terms. 	SRWRM	1,2,4

Business Area 4 : Performance Monitoring

	Objective	Key Milestones/Performance Measures	Owner	Corporate Aim
4.1	Operational objectives monitoring	<ul style="list-style-type: none"> Record any failure to achieve operational objective following January, May, August and December team meetings 	PrM	1,2,3,4
4.2	Increased scrutiny of roads authorities and their use of the register.	<ul style="list-style-type: none"> Continue to monitor inconsistencies in the placing of notices in the SRWR by roads authorities in each of the five SCOTS peer groups. Scrutinise the use of Section 125 notices by Road Works Authorities. 	PrM PrM	1,2
4.3	Increased scrutiny of utility companies	<ul style="list-style-type: none"> Examine the use of urgent works notices October 2019 Scrutinize undertakers who consistently fail to achieve a sample inspection pass rate of 90% by October 2019 	PrM PrM	1,2
4.4	Refine quarterly performance reviews to track performance though the year.	<ul style="list-style-type: none"> Produce quarterly dashboard – using red, amber, green Flags Provide SRWR statistics prior to Area RAUC meetings 	PrM/SRWRM	1,2
4.5	Produce SRWC Annual Performance Reviews of organisations	<ul style="list-style-type: none"> Performance reviews issued to all SRWR organisations by end of July 2018. 	PrM	1,2
4.6	Review Annual Performance Trends	<ul style="list-style-type: none"> Review the 2017/18 and 2018/19 performance of SRWR organisations and take follow up action where required by December 2019. 	PrM	1,2
4.7	Improvement Plan Strategy	<ul style="list-style-type: none"> Develop a formal SRWC improvement plan strategy for undertakers and roads authorities. 	PM/PrM	1,2,3
4.8	Review un-actioned items on SRWR.	<ul style="list-style-type: none"> Develop a standard performance review mechanism for SRWR items with outstanding actions 	PrM	1,3

Business Area 5 : Business and Office Governance

	Objectives	Key Milestones/Performance Measures	Owner	Corporate Aim
5.1	Financial policy review	<ul style="list-style-type: none"> Review written financial procedures by August 2018 	BusO	4
5.2	Statutory Returns	<ul style="list-style-type: none"> All returns submitted on time 	BusO	4
5.3	Adhere to service standards	<ul style="list-style-type: none"> 100% FOISA/EIRS request timescales met 100% SRWC timescales met 	BusO	4
5.4	Publish 2017-2018 Annual Report	<ul style="list-style-type: none"> Publish report by the end August 2018 	BusO	4
5.5	Undertake staff development and review process	<ul style="list-style-type: none"> Reviews undertaken by May 2019 Mid-year reviews undertaken by November 2018 	SRWC SRWC	1,2,4
5.6	Compliance with SRWC policies and controls, including the FReM	<ul style="list-style-type: none"> Monthly meetings held 95% of payment made to suppliers within 10 days 	BusO BusO	4
5.7	Publish Annual Accounts 2017-2018	<ul style="list-style-type: none"> Accounts prepared and submitted to Auditors by end of August 2018 with associated working papers and report text. Accounts agreed and published by end September 2018 	SRWC SRWC	4
5.8	Implementation of SAGE accounting.	<ul style="list-style-type: none"> Full integration of Sage for financial year 2017-18. 	BusO	4
5.9	Maintenance of SRWC website.	<ul style="list-style-type: none"> Review website content twice a year Procure new website provision by June 2018 	SRWRM PrM	3,4
5.10	Oversee all financial transactions and ensure they are recorded correctly	<ul style="list-style-type: none"> 100% of invoices recorded correctly 	BusO	4

Appendix E – Extent of Engagement

Committees and working groups which met during the reporting period at which the SRWC or a representative attended.

Committees	Frequency	Reports to
Highway Authorities and Utilities Committee (UK)	3 per year	-
Roads Authorities and Utilities Committee (Scotland)	Quarterly	-
Area RAUC	Quarterly	RAUC(S)
Local RAUC	Quarterly	Area RAUCs

Working Groups	Frequency	Reports to
Policy Development Group	Quarterly	Scottish Government
Specification for the Reinstatement of Openings in Roads Working Group	When required	RAUC(S)
SRWR Steering Group	Quarterly	SRWC/RAUC(S)
Gazetteer Working Group	Quarterly	RAUC(S)
System Assurance Team	Quarterly	SRWR Steering Group
Inspection Fees Working Group	When Required	RAUC(S)
Training and Accreditation Group (UK)	Quarterly	HAUC (UK)
National Road Maintenance Review Strategic Action Group (SAG)	Biannually	Scottish Parliament
National Road Maintenance Review Stakeholder Group	Biannually	SAG

In addition to the above specific groups, the following summarises other engagements undertaken during the reporting period by the SRWC during 2017/18.

Meeting/Engagement	Frequency/Summary
Utility company specific meetings	Meetings include the promotion of good practice, compliance and enforcement.
Roads authority specific meetings	Meetings include the promotion of good practice, compliance and enforcement.
Scottish Government	Specialist technical policy groups to assist in the progress of specialist policies and directives. Input into significant national events. Liaison meetings as required.
Research and development	Meetings to progress road works research and development, e.g. research into long term damage and aggregate performance.
Innovation showcases	SRWC representatives attended various sessions promoting new technology or processes, e.g. core & vac and trenchless technology.
Industry training seminars/conferences	Staff development and knowledge exchange to promote the good practice within the industry. The SRWC has spoken at various industry seminars including the HAUC (UK) Convention
SRWR contract meetings	Quarterly liaison meetings with the software provider.

Contact Details

You can phone us on **0131 244 9936**

You can email us at **enquiries@roadworks.scot**

You can contact us by post at:

**Scottish Road Works Commissioner
E Spur
Saughton House
Broomhouse Drive
Edinburgh EH11 3XD**

Our website is **<https://roadworks.scot>**

Other Formats

The SRWC is committed to making our services, policies and guidance available to everyone. This document may be available in other formats. Please contact us if you wish to discuss this matter.