

THE SCOTTISH ROAD WORKS COMMISSIONER



REPORT JAN 2014 – MAR 2016

Authorising Context

This Report has been produced in accordance with the duties, set out in Schedule 2 of the *Transport (Scotland) Act 2005*, and covers the 27 month period from January 2014 to March 2016.

Disclaimer

In May 2015, the second Commissioner stepped down. Angus Carmichael was appointed as Scottish Road Works Commissioner on an interim basis pending a review of the office and took up his appointment on 28 September 2015. The views offered by the Commissioner are his own and do not necessarily reflect the approach taken by previous Commissioners.

The Scottish Road Works Commissioner's Role

The Scottish Road Works Commissioner is a Ministerial appointment, established in 2005 under 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

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1. Commissioners Introduction



**Picture 1 - Angus Carmichael,
Scottish Road Works Commissioner**

This is my first report since taking up office in September 2015, and covers the period January 2014 to March 2016. My appointment is for a period of two years, pending a review of the post by Scottish Ministers.

Whilst initially minded to follow established practice and report on the basis of calendar years, I have realigned individual annual reviews of organisations and my report with the office fiscal year and the Roads Authorities and Utilities Committee (Scotland), (RAUC(S)), business year (Quarters 1-4). Future reports will be published annually, reporting on the period April – March.

I do not intend to make comment on the views of my predecessor, but have reflected on performance during the period January 2014 to September 2015 prior to taking office and on the period October 2015 to March 2016 which together inform my priorities and strategies going forward.

Key office roles are to monitor road works across Scotland and to promote compliance with the legislation. The office uses a range of indicators to monitor performance, which provide a picture of how well roads authorities and utility companies are managing and co-ordinating road works. Monitoring results are included in the body of this report. These figures provide a fair reflection of the performance of roads authorities and utility companies and continue to demonstrate harmonisation between the two major groups carrying out road works.

Community engagement with the road works community during the reporting period included an involvement in the publication of a revised “*Specification for the Reinstatement of Openings in Roads (SROR)*” and an ongoing participation in the Scottish Road Research Board (SRRB). A particular priority of the office is to pursue further research into “long term damage” as a consequence of utility company openings in roads. I am pleased to advise that the SRRB advanced some preliminary research into this area during the period of this report.

Both myself and colleagues participated in the Roads Maintenance Study Group advising Audit Scotland on the recently published “*Maintaining Scotland’s Roads a follow-up report.*”

Co-ordination of road works is closely monitored and recorded through the Scottish Road Works Register (SRWR), and is generally robust. However, the variable noticing practices of roads authorities, when compared with their peer authorities, is in need of investigation and has been introduced as an indicator in annual performance reviews.

Quality was again brought into question in 2014, following publication of the results of the National Coring Programme of the bound layers in utility company reinstatements undertaken during 2012. Although a marginal improvement was recorded, poor performance by some organisations resulted in the issue of Commissioner penalties to 6 utility companies, totalling £57,500. This compares with penalties to utility companies for similar offences totalling £92,500 during the 2011-2012 reporting period. A further National Coring Programme is planned by RAUC(S) during 2016 and will focus on reinstatements completed during 2015.

Whilst coring of the bound layers is one measure of performance, in Type 3 and 4 roads, the bound layer frequently only represents around 15% of the original depth of the excavation. There is currently no formal compaction testing of the remaining 85% unbound depth. It is my view that increased scrutiny of the unbound layer in utility company reinstatements is required. In order that greater focus is given to this area, the office has recently taken delivery of a Light Weight Deflectometer and will be undertaking ad hoc testing and data collection to assess compaction performance which will inform future policy development.

In parallel with a greater focus on the unbound layers in utility company reinstatements, consideration should be given to significantly extending the existing guarantee periods applied to utility company reinstatements to protect the road network asset against unnecessary early failure.

Having been involved in road works for many years, I endorse the views of my predecessors in this post regarding the willingness of the road works community in Scotland to work together and develop solutions. This co-operation and commitment make a real contribution when addressing the challenges presented to us. Finally, I would like to thank the staff in my office for their hard work during the period of this report and, in particular, during the months prior to my appointment.



Angus Carmichael
Scottish Road Works Commissioner

2. Executive Summary

Organisation

A review of staffing levels in late 2013 resulted in the recruitment of a Technical Standards Manager at the start of the reporting period and the secondment of a Scottish Government Accountant towards the end of the period. The staffing establishment is now well placed to achieve the remits of the *Transport (Scotland) Act 2005* whilst addressing the governance required of a public office.

Monitoring and Performance Trends

In previous years, annual reports considered three years of data. As this report covers a 27 month period, four years of data have been considered to provide context, 2012/13, 2013/14, 2014/15 and 2015/16. The improvement in the performance of both utility companies and roads authorities was significant prior to 2012/13. However, as performance has improved, the rate of improvement has reduced more recently. It is important that organisations embrace the concept of continuous improvement in their performance which is key to the delivery of co-ordinated road works.

An area of scrutiny which has been introduced to this report is the noticing performance of roads authorities across their peer groups. Significant variance in the number of works notified per 100 km of road network is evident in some organisations and will be subject to greater scrutiny in future years.

Utility Company Reinstatements

National coring of the bituminous layers of utility company reinstatements undertaken during 2012 was carried out in 2013, with the results published early in the 2014/15 reporting period. The trend of gradual improvement, which has formed over the last 10 years, continued. It is disappointing that after 15 years of national coring programmes, 10 years of gradual improvement in performance and the imposition of Commissioner penalties in 2011/12, that further penalties with a total value of £57,500 were necessary in 2014.

Compliance and Good Practice

The promotion of compliance and good practice was maintained throughout the reporting period, engaging with the road works community and reviewing secondary and tertiary legislation.

Consultations and Research

The SRWC continues to take an active role in the Scottish Road Research Board and the Strategic Consultation on Works on Scottish Roads.

Scottish Road Works Register

As reported last year, management of the Scottish Road Works Register (SRWR) was brought “in-house” in 2013. There have been no reports of operational difficulties during the last 2½ years as a result of this change and management practices are now well embedded in the office.

Legislation

The SRWC continues to participate in a number of groups which routinely review and update road works legislation.

Annual Report and Accounts

2014/15 audited Annual Report and Accounts, incorporating the operation of the Scottish Road Works Register, are available at:

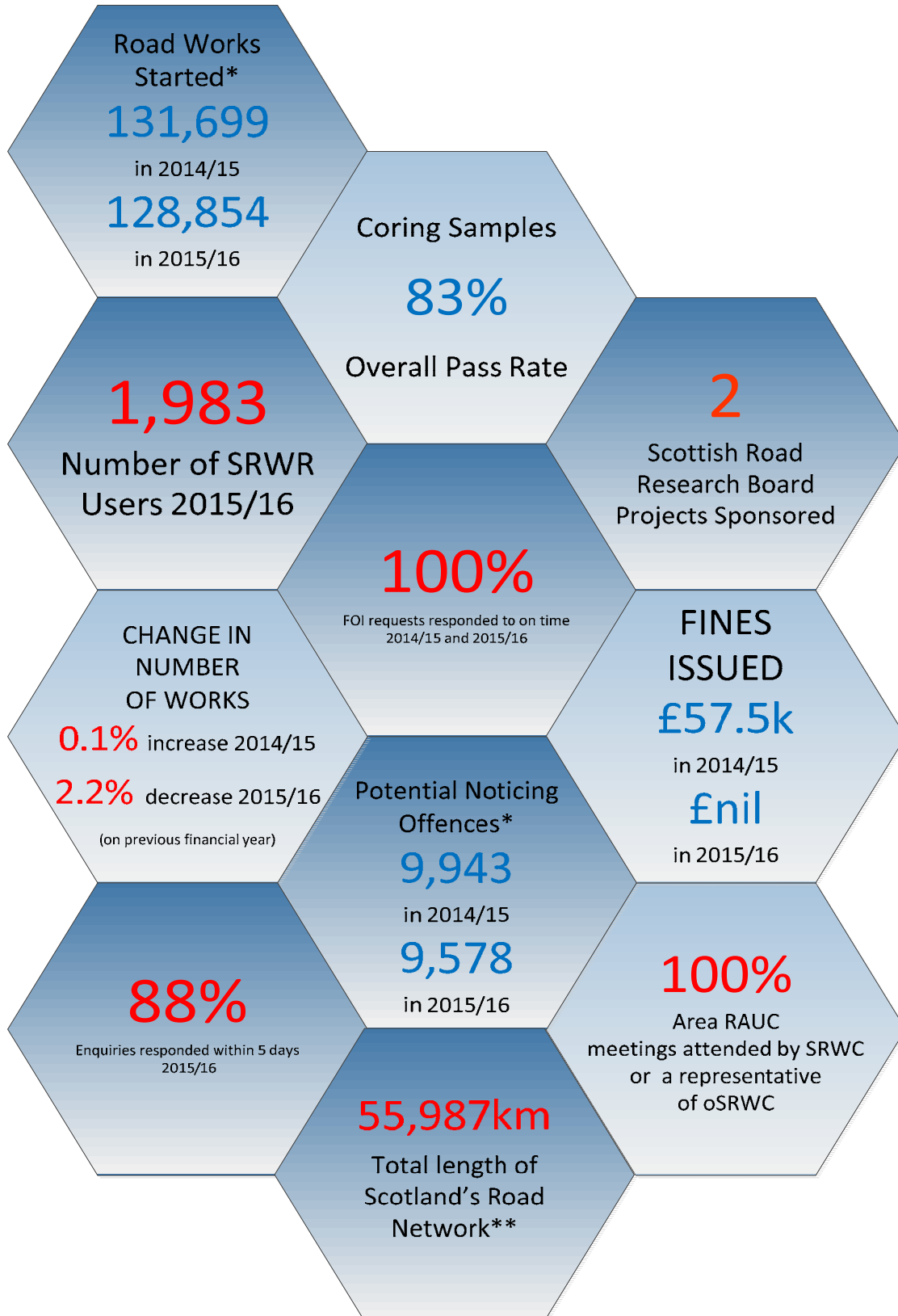
www.roadworks.scot/Publications/AnnualAccounts.aspx

2015/16 Annual Report and Accounts were lodged with Audit Scotland in June and are currently subject to audit. The audited accounts will be published in due course at the same address.

Internal Audit

The office was subject to internal audit during 2015/16 which reported in March 2016.





* Source – Scottish Road Works Register

** Source – Scottish Transport Statistics 2015

3. The Organisation

Staff numbers increased slightly during the reporting period following a review which identified skills gaps. In particular, the appointment of a Technical Standards Manager has allowed the office to put a greater emphasis on the adequacy of traffic management compliance on both roads authority and utility company road works and the technical standards achieved by utility companies when reinstating openings in roads.

The current establishment consists of:

Policy Manager

Key functions include monitoring compliance with legislation, keeping the Regulations, Codes of Practice and Advice Notes under review, promoting Good Practice, Managing requests under FOI(S)A and EIRs and media/complaint handling.

Performance Manager

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

SRWR Manager

The key function of this post is to manage the operation of the Scottish Road Works Register (SRWR). The SRWR Manager is the primary contact with the provider of the SRWR, currently Symology Ltd. When Susiephone Ltd, the former “not for profit” provider of the register was wound up in 2013, this post was the subject of a TUPE transfer and is now well established in the office. Duties also include routine maintenance of the office website.

Technical Standards Manager

Recruited in December 2013 following a staff review, 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.



Picture 2 - Office of the Scottish Road Works Commissioner

Business Officer

This key role deals with the general administration of the office, enquiries from the public, statutory returns, invoicing and management of the diary of the Commissioner.

Accountancy Support

Prior to the 2014/15 annual accounts, the SRWC accounts preparation was outsourced. The task of consolidating the SRWR accounts into the SRWC accounts required additional resource and an accountant was seconded from the Scottish Government in March 2015. Both the 2014/15 and 2015/16 accounts were subsequently prepared in-house. Having established due process, it is again intended to procure accountancy support externally in the future.

4. Monitoring

Introduction

The Commissioner's duties include "monitoring the carrying out of works in roads in Scotland" to ensure that roads authorities and utility companies are meeting their statutory obligations.

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?
- Is traffic management (the signing, lighting and guarding associated with road 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 against which the performance of individual organisations can be measured. Indicator information is held on the Scottish Road Works Register (SRWR), where a suite of reports is available to the whole of the road works community to interrogate.

Indicator Development

Periodically the Commissioner reviews the suite of indicator reports to ensure that they are relevant, up-to-date and transparent

In October 2013 a survey of the existing reports was undertaken and a working group was set up by the Commissioner to review the findings and identify any changes to be implemented. Indicators were subsequently revised or enhanced as required.

The Commissioner considers that there is inconsistency in the noticing practices adopted by roads authorities. When authorities are scrutinised using their SCOTS groupings, it would appear that a number are not registering all qualifying works on the register. As a consequence, a report has been developed which reports the number of works registered by roads authorities per 100km of their network. This is shown in Table 4 in Section 5 – Trends from Performance Review Indicators.

Use of Commissioner Performance Indicators

Data is extracted on a quarterly basis from the SRWR and is presented at Area RAUC meetings (regional sub groups of the Roads Authority and Utilities Committee (Scotland)) for information and appropriate action. Quarterly data is then aggregated and annual trends established and performance measured.

Performance Indicators form the basis of the Commissioner's Annual Performance Reviews of individual roads authorities and utility companies. During the period of this report, Annual Reviews were issued to utility company and roads authority Chief Executives in March 2014 and April 2015. Follow up performance reviews were issued in cases where an organisation's performance was considered to be in need of improvement. Mid-year interim reviews, to named senior managers in all organisations, were also introduced in November 2015. Several organisations met with the Commissioner during the reporting period to discuss their performance and agree improvement plans.

Community Monitoring

Roads authorities and utility companies have access to the complete suite of performance indicators available on the SRWR. In general, those who monitor their activity have a higher level of performance than others and should be considered to be following good practice. Unfortunately, a number of organisations are either not interrogating the system, or are not taking appropriate action where their indicator statistics are less than favourable. In view of this, it is intended to scrutinise those organisations more closely.



5. Trends from Performance Review Indicators

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

Indicator reports are based on the financial reporting year e.g. Q1 2014/15 refers to the period 1 April 2014 to 30 June 2014. The analysis in this report considers the last four financial years 2012/13, 2013/14, 2014/15 and 2015/16.

Utility Company and Roads Authority Noticing Failures

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 failure rates of individual utility companies and roads authorities.

One of the key indicators is that of noticing compliance (Indicator Report 2a for roads authorities and Report 2b for utility companies). The four triggers are as follows:

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

After several years of monitoring, it is reassuring to see that noticing compliance continues to improve, albeit there remains scope for further improvement. The average rate between 2009/10 and 2011/12 was around 16% for utility companies and 32% for roads authorities, compared with the current average rate of 7% for utility companies and 8% for roads authorities during this reporting period.

Utility company overall noticing compliance as shown in Figure 2 was 9% in 2012/13 and 7% in 2013/14, 2014/15 and 2015/16. However, in 2015/16, the compliance of

the smaller utility companies such as Concept Solutions People, Level 3 Communications, Verizon, ES Pipelines, Energetics, Fulcrum, GTC Pipelines, Zayo, Royal Mail and Edinburgh Trams was unacceptable.

The roads authority average was 9% in 2012/13 and 8% in 2013/14, 2014/15 and 2015/16. Some roads authorities show significant variations between quarters e.g. during 2015/16 Dundee City varied between 5% and 40% non-compliance and Dumfries and Galloway between 6% and 60% non-compliance. It is expected that the failure rate should remain below 15% and not be subject to large fluctuations between quarters.

Trunk road operating companies on behalf of Transport Scotland continued to show a wide fluctuation in noticing performance over the period. Whilst the North East Operating Company clearly have robust processes in place and the North West Operating Company made significant improvements in 2014/15 and 2015/16, achieving zero failures in 2015/16, the A90 Aberdeen Western Peripheral Route (AWPR) DBFO recorded very poor performance with an overall failure rate of 35% in 2015/16.



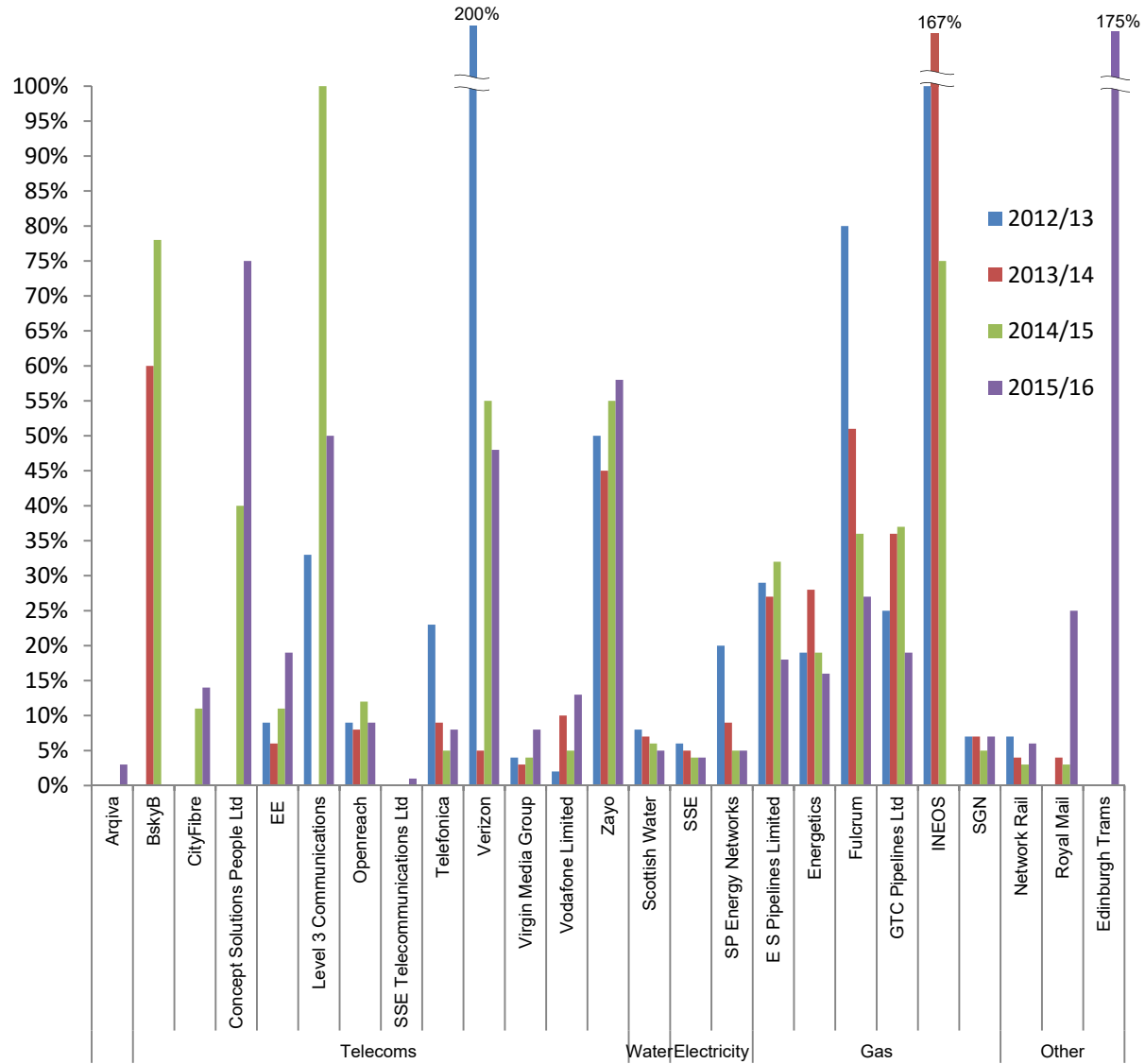


Figure 1 – Percentage of Potential Noticing Failures to Works Started over the last 4 years by Utility Company (Source: Report 2b SRWR)

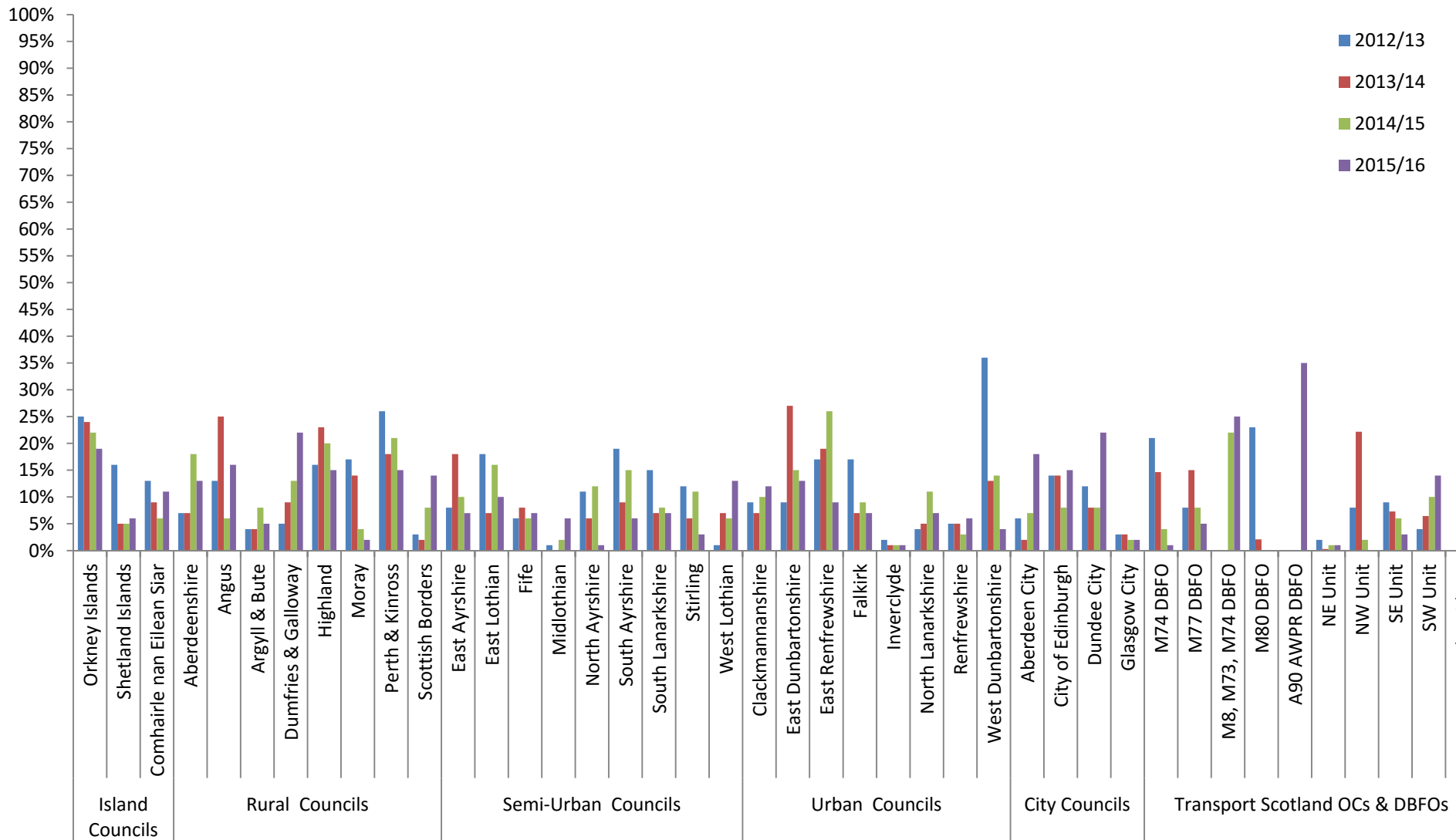


Figure 2 – Percentage of Potential Noticing Failures to Works Started over the last 4 years by Local Authority (Source: Report 2a SRWR)

Comparison of Roads Authority and Utility Company Failure Rate

All qualifying road works carried out by utility companies and roads authorities are required to be registered (noticed) on the Scottish Road Works Register (SRWR). This indicator compares the average noticing failure rate of all utility companies against the average noticing failure rate of all roads authorities.

Utility company noticing (registration) failures ranged between 6% and 8%, averaging 7% in each of 2014/15 and 2015/16. Roads authority noticing failures ranged between 7% and 10%, averaging 8% in each of 2014/15 and 2015/16. Whilst utility companies are trending downwards, roads authorities continue to fluctuate between quarters.

There remains scope for further reductions in the average failure rates of both roads authorities and utility companies. Noticing is primarily an administrative function and an improvement should be achievable through good co-operation, co-ordination and management.

Where an organisation records a consistently high failure rate, the Commissioner may require the submission of an Improvement Plan against which greater scrutiny will be exercised.

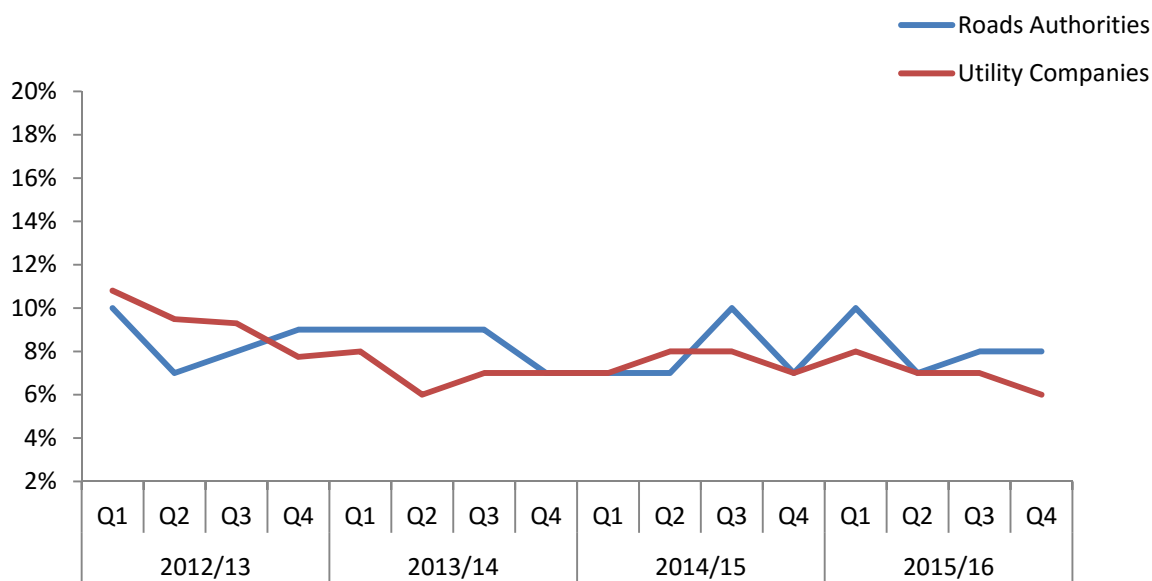


Figure 3 – Comparison of Failure Rate Ratio between Roads Authorities and Utility Companies by quarter over the last 4 years (Source: Report 2a and 2b SRWR)

Fixed Penalty Notices (FPNs) Received by Utilities 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 compliance with the legislation. Currently, FPNs are issued by 20 of the 32 Council roads authorities, four of the five Transport Scotland operating companies and none of the five Transport Scotland DBFO companies.

Table 2 is a comparison of the number of actual Fixed Penalty Notices (FPNs) given to all utility companies as a percentage of their works undertaken.

The overall rate of FPNs issued to utility companies has maintained the trend of previous years, continuing at 4% of all road works being subject to the issue of an FPN during 2014/15 and 2015/16. Major utility companies such as Scottish Water and SP Energy Networks each received FPNs on 3% of their road works. Against this backdrop, in 2015/16, Concept Solutions People and Level 3 Communications received FPNs on 50% of their works and Edinburgh Trams on 63% of their works. This suggests a lack of co-operation and requires further scrutiny.

The total value of actual FPNs served, assuming payment was made at the lower rate of £80 each, is shown below:

Year	Amount Received
2012/13	£321,280
2013/14	£306,800
2014/15	£323,360
2015/16	£287,520

Table 1 – Costs collected by roads authorities through the issue of Fixed Penalty Notices (Source: Report 1 SRWR)



Organisation	2012/13			2013/14			2014/15			2015/16		
	Actual FPNs	Works Started	%	Actual FPNs	Works Started	%	Actual FPNs	Works Started	%	Actual FPNs	Works Started	%
Arqiva	-	-	-	-	-	-	-	-	-	1	34	3%
BskyB (inc Easynet)	0	No Works	-	4	5	80%	None	9	0%	0	0	0
City Fibre	0	No Works	-	0	No Works	-	0	19	0%	45	893	5%
Concept Solutions People	0	No Works	-	0	No Works	-	26	108	24%	2	4	50%
E S Pipelines Limited	43	206	21%	38	245	16%	58	213	27%	16	110	15%
Edinburgh Trams	-	-	-	-	-	-	-	-	-	5	8	63%
EE (T - Mobile and Orange)	16	419	4%	16	253	6%	27	430	6%	26	424	6%
Energetics	32	369	9%	44	383	11%	57	472	12%	27	329	8%
Fulcrum	103	222	46%	46	135	34%	12	80	15%	4	82	5%
GTC Pipelines Limited	1	21	5%	6	42	14%	23	79	29%	6	48	13%
INEOS	0	1	0%	0	3	0%	0	4	0%	0	2	0%
Level 3 Communications	0	3	-	1	3	33%	0	1	0%	2	4	50%
Network Rail	3	640	0%	8	946	1%	7	1192	1%	5	1056	0.5%
Openreach	169	19361	1%	1160	23925	5%	1781	28126	6%	1222	28175	4%
Royal Mail	0	44	0%	2	440	0%	16	1371	1%	14	170	8%
SP Energy Networks	1212	9395	13%	487	10177	5%	301	10573	3%	293	10247	3%
Scottish Water	1542	32112	5%	1224	31330	4%	1014	29188	3%	702	27356	3%
SGN	456	13416	3%	460	12770	4%	341	12042	3%	421	11358	4%
SSE	57	2930	2%	37	2862	1%	20	2516	1%	51	2783	2%
SSE Telecoms	0	No Works	-	N/A	No Works	-	0	21	0%	0	74	0%
Telefonica (inc O2)	10	103	10%	31	405	8%	10	420	2%	10	370	3%
Verizon	0	1	0%	0	20	0%	0	11	0%	11	75	15%
Virgin Media Group	344	12245	3%	211	11423	2%	320	11510	3%	661	10924	6%
Vodafone	22	445	5%	55	1048	5%	28	935	3%	70	1164	6%
Zayo (inc Geo)	6	18	33%	5	24	21%	1	11	9%	0	12	0%
Total	4016	91951	4%	3835	96439	4%	4042	99331	4%	3594	95702	4%

Table 2 – Comparison of Fixed Penalty Notices Issued to Utility Companies over the past 4 years (Source: Report 1 SRWR)

Works Overruns

Works overruns take place when the completion date of the road works goes beyond the expected end date recorded in the Scottish Road Works Register.

Roads authority overrunning works remained at 2% of all major, standard and minor works registered over the reporting period.

Utility company overrunning works increased to 3% in 2014/15, returning to 2% in 2015/16.

Year	Roads Authorities	Utility Companies
2012/13	2%	2%
2013/14	2%	2%
2014/15	2%	3%
2015/16	2%	2%

Table 3 – Comparison of work over-runs as a percentage of Major/Standard/Minor Works over the last 4 years. (Source: Report 6 SRWR)



Works Extensions Recorded in the Scottish Road Works Register

Works Extensions can be granted with the agreement of the roads authority once the expected completion date is unlikely to be achieved.

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

In both 2014/15 and 2015/16, roads authorities continued the trend of the previous two years, fluctuating between 15% and 24% of their works being extended. Whilst the annual increase in failures during Q4 coincides with winter maintenance activities, improved works planning is required by roads authorities to stabilise this metric.

Utility companies have maintained the downward trend of the previous year and are now recording extensions for around 9% of their works. This trend could be due to improved works planning, but should be considered against the upward trend in works overruns in 2014/15.

Although the use of works extensions is not bad practice, it is important that realistic works durations are registered when planning works.

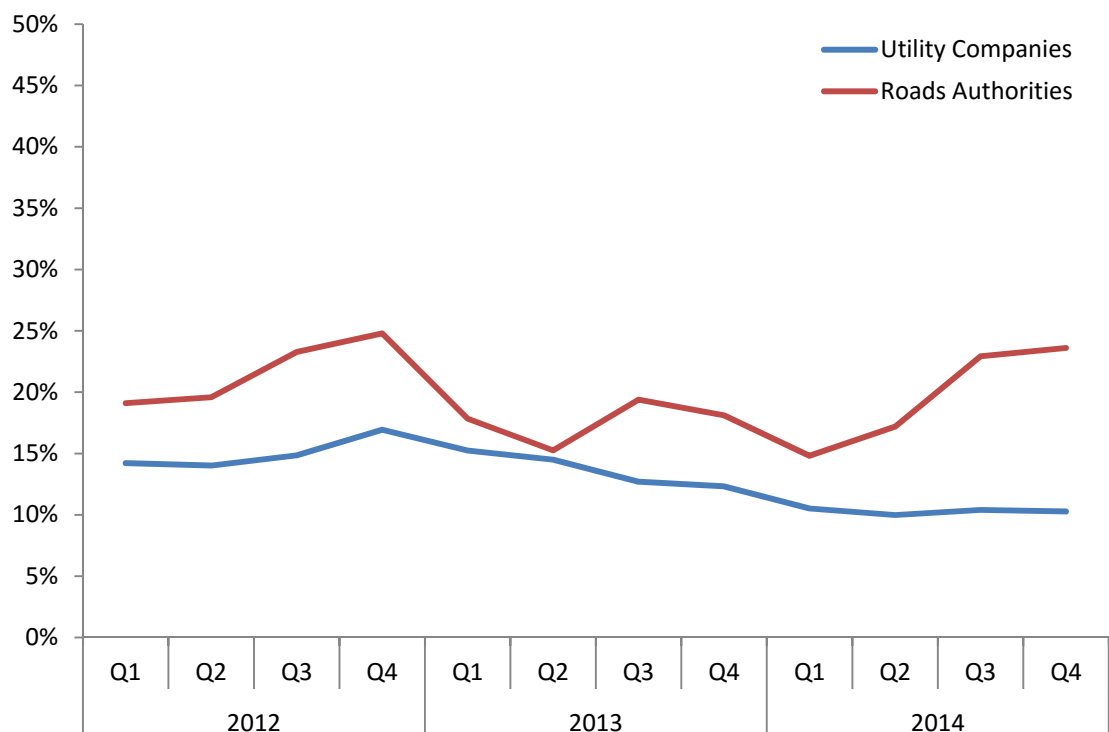


Figure 4 – Comparison of percentage of Works Extensions as a percentage of Works Started over the last 3 years (Source: Report 12 SRWR)

Works which have passed their Expected Completion Date, but not recorded as finished in the Scottish Road works Register

On completion of road works on site, utility companies are required to place a “Works Closed” notice on the SRWR by 16:30 the following day. This is followed by “Site Reinstatement Details” notice” within 5 days.

On completion of road works on site, roads authorities place a “Works Closed” notice on the SRWR by 16:30 the following day, there is no further requirement to record reinstatement details.

This report compares utility company failures to place a “Works Closed” notice and/or a “Site Reinstatement Details” notice against roads authority failures to place a “Works Closed” notice.

Following fluctuating performance during 2014/15, utility company performance improved in 2015/16 with outstanding notices following a downward trend.

Roads authority performance fluctuated between quarters throughout the reporting period with the number of works awaiting closure trending upwards.

At the end of Q4 of 2015/16, 158 roads authority works and 133 utility company works remained open on the SRWR after the expected completion date. Whilst together these figures total 0.2% of all works recorded it is expected that all organisations proactively manage their works.

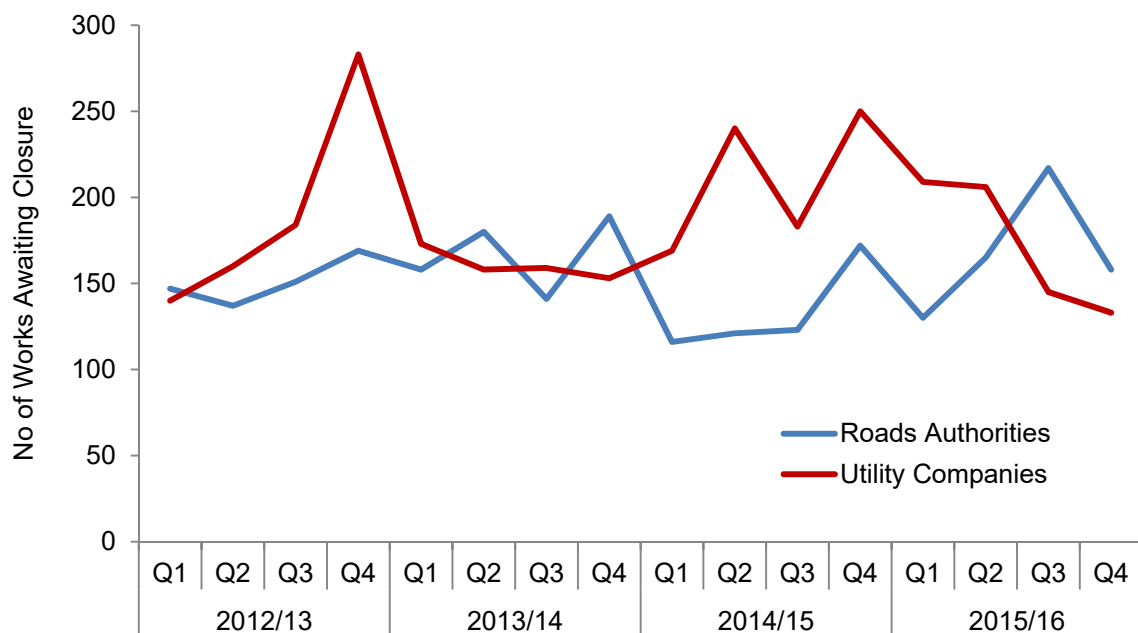


Figure 5 – Works passed Expected Completion Date, but not recorded as finished in the Scottish Road works Register (Source: Report 16 SRWR)

Actual Start Dates Registered in Scottish Road Works Register

Utility companies undertaking road works and roads authorities undertaking works for roads purposes are required to register a 7 day advance notification on the SRWR for all qualifying works. In practice, this allows organisations to commence their works at any time between Day 7 and Day 14. When work actually commences on a road, organisations are then required to register an “Actual Start” by 16:30 the following day.

This indicator shows the actual number of road works undertaken by measuring the number of actual starts.

A Comparison of the number of Actual Start notices recorded on the SRWR by the roads authorities in each SCOTS group over the last 4 years is shown in Figure 6. The same comparison across the utility sectors over the same period is shown in Figure 7.

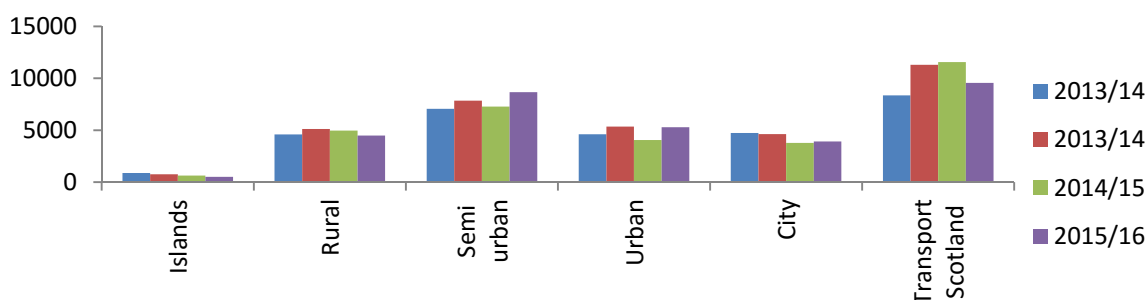


Figure 6 – Comparison of the number of Actual Start Dates across Roads Authority SCOTS grouping (Source: Report 9a SRWR)

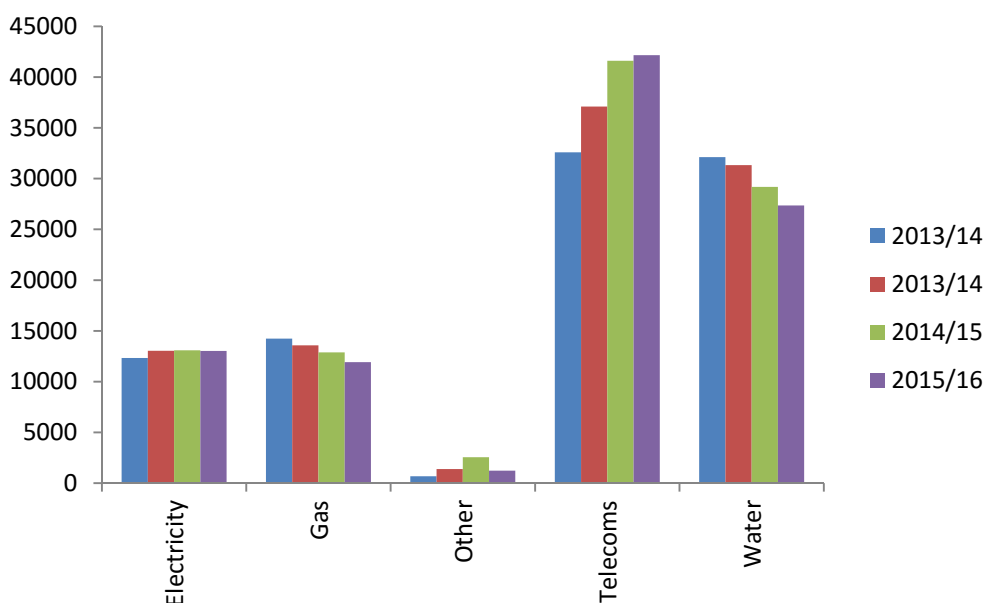


Figure 7 – Comparison of the number of Actual Start Dates across Utility Sectors. (Source: Report 9a SRWR)

Roads Authority Works Registered in the Scottish Road Works Register per 100km of Network

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. 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 authorities against others with a similar demographic make-up.

The results of this analysis are presented in Table 4, which details the works registered by council roads authorities, trunk road operating companies and trunk road DBFO operating companies across Scotland.

It is acknowledged that these figures are influenced by a number of factors such as geographic location, political priorities, population, weather, etc. Consequently, any view on the relative performance between authorities considers available resources (numbers of operatives), structural and routine budgets and road network lengths.

It is reasonable to expect a degree of correlation across Scotland, within SCOTS family groups and within trunk road operating areas. In view of this, it is intended to apply increased scrutiny to those authorities and operating companies at the lower end of each group.

Council Roads Authorities

Perhaps not surprisingly, the greatest number of Council roads authority works are carried out by authorities in the SCOTS City and Urban groups, with the least number carried out by authorities in the Islands group. However, there are large variations within SCOTS family groups which requires further investigation and scrutiny to confirm that council roads authorities are placing all qualifying works on the register.

SCOTS "Islands" Grouping

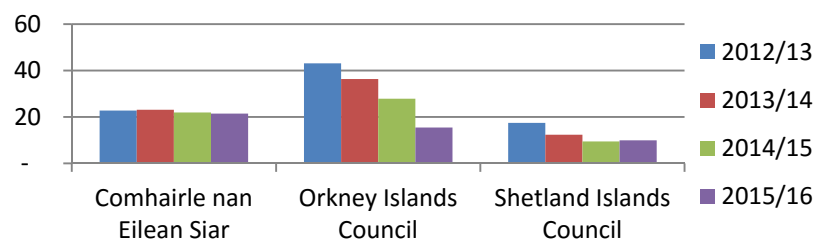


Figure 8 - Number of Road Works per 100km Comparison of Islands SCOTS group

2014/15 – range 9 to 28 works/100 km

2015/16 – range 10 to 21 works/100 km

Comhairle nan Eilean Siar registered a consistent number of works per 100km between 2012/13 and 2015/16. Over the same period, Shetland reduced their works registered by 41% and Orkney reduced by 65%. In 2014/15, Shetland registered 32% of the works registered by Orkney per 100km of network.

SCOTS “Rural” Grouping

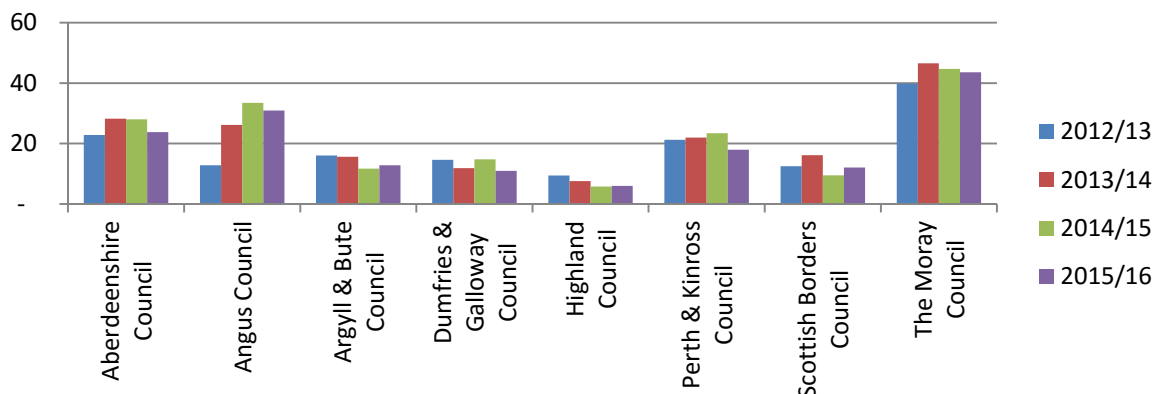


Figure 9 - Number of Road Works per 100km Comparison of Rural SCOTS group

2014/15 – range 6 to 45 works/100 km

2015/16 – range 6 to 44 works/100 km

The Moray Council registered a consistently high number of works per 100 km of road network over the period 2012/13 – 2015/16 and are likely to demonstrate best practice in this group. Aberdeenshire and Angus also demonstrated good performance. Argyll & Bute, Dumfries & Galloway, Highland and Scottish Borders registered the fewest road works. Highland Council registered 13.6% of the works registered by The Moray Council per 100 km of road network in 2015/16.

SCOTS “Semi Urban” Grouping

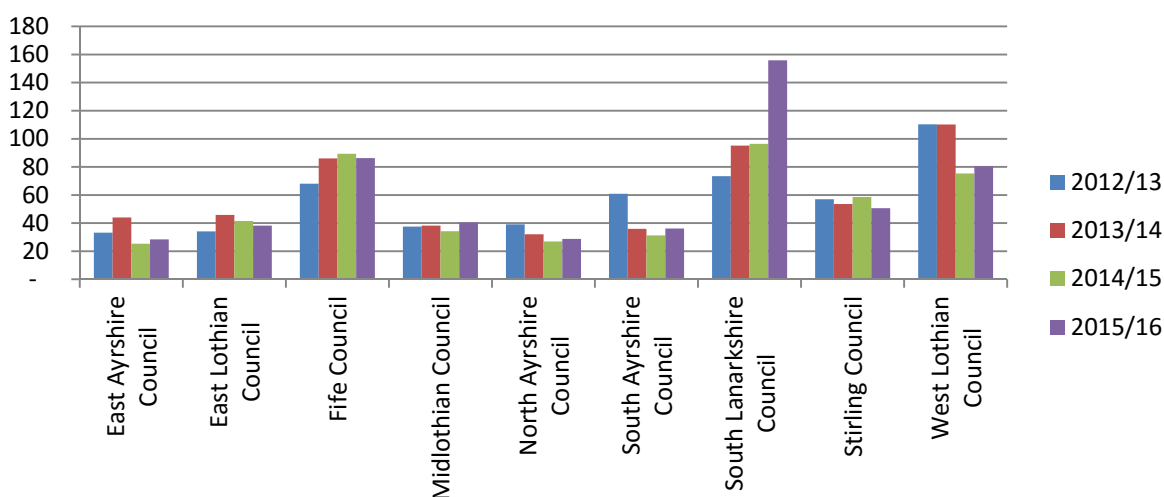


Figure 10 - Number of Road Works per 100km Comparison of Semi-Urban SCOTS group

2014/15 – range 25 to 96 works/100 km

2015/16 – range 28 to 156 works/100 km

Fife and South Lanarkshire registered the highest number of works per 100 km of road network in 2014/15 and 2015/16 and are likely to be the benchmark in this group. East Ayrshire, North Ayrshire and South Ayrshire registered the fewest. In 2015/16, East Ayrshire registered 17.9% of the works registered by South Lanarkshire per 100km of network.

SCOTS “Urban” Grouping

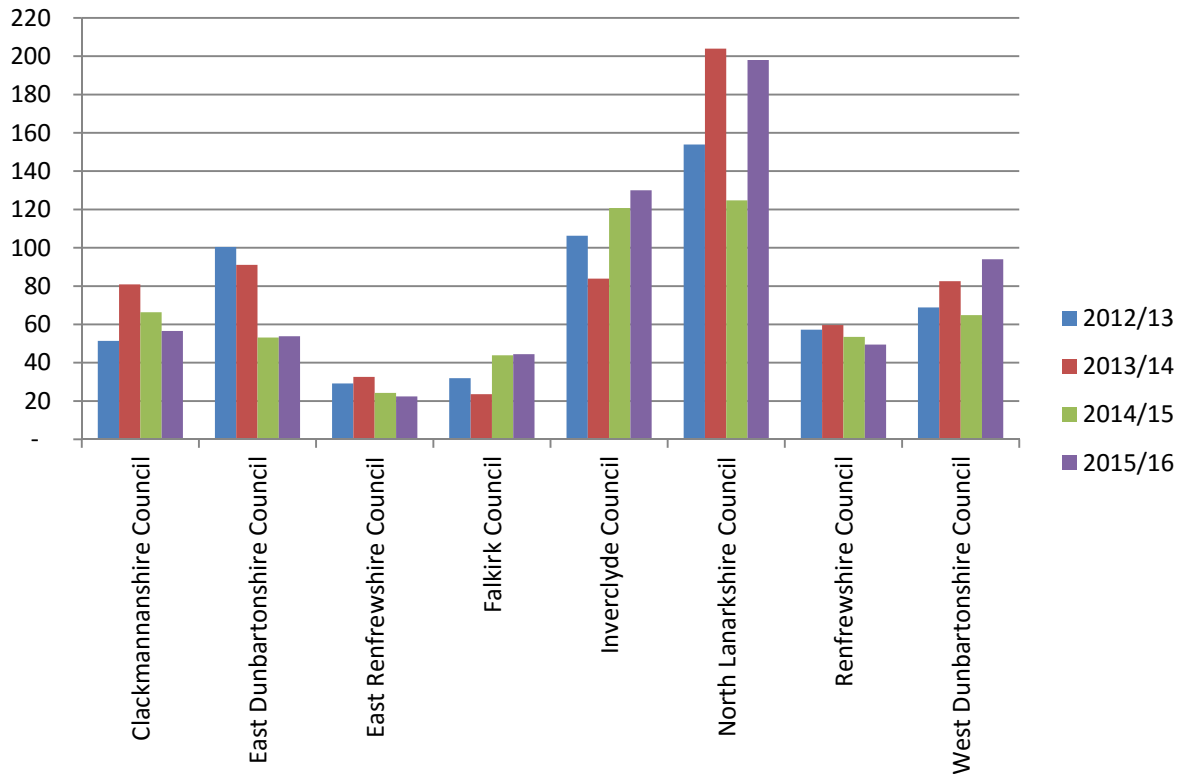


Figure 11 - Number of Road Works per 100km Comparison of Urban SCOTS group

2014/15 – range 24 to 125 works/100 km

2015/16 – range 22 to 198 works/100 km

Inverclyde and North Lanarkshire registered by far the highest number of road works per 100km of road network in both 2014/15 and 2015/16 and along with several authorities in other groups are likely to demonstrate best practice. East Renfrewshire registered the lowest number of works in both 2014/15 and 2015/16. In 2015/16, East Renfrewshire registered 11.1% of the works registered by North Lanarkshire Council per 100km of network. In 2015/16, East Dunbartonshire registered 54% of the number of works registered in 2012/13.

SCOTS "City" Grouping

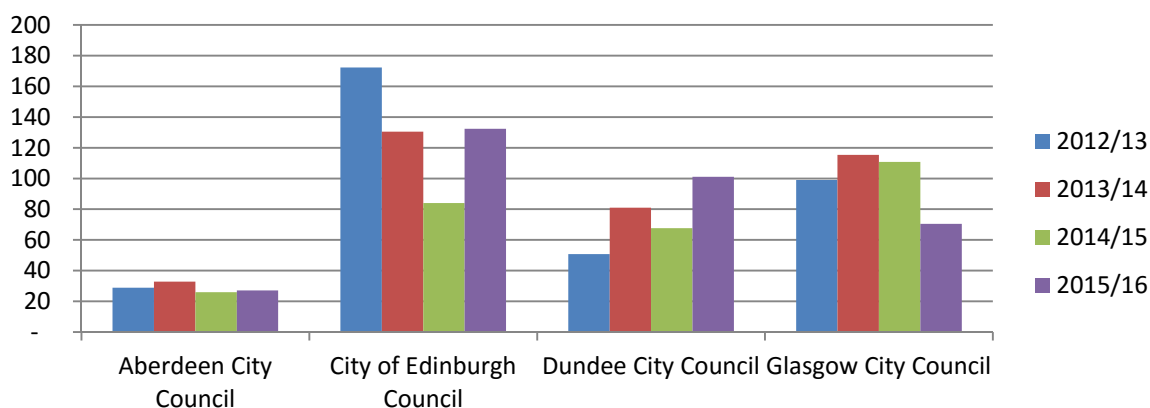


Figure 12 - Number of Road Works per 100km Comparison of City SCOTS group

2014/15 range 26 to 111 works/100 km

2015/16 range 27 to 132 works /100 km

In 2014/15, Glasgow, Edinburgh and Dundee registered a good number of works per 100 km of road network, with both Edinburgh and Dundee significantly increasing the number of works registered in 2015/16. Whilst the works registered by Glasgow dropped by 36% from the previous year in 2015/16, Edinburgh, Dundee and Glasgow are likely to be demonstrating best practice in this group. Aberdeen registered 23.4% of the works registered by Glasgow per 100 km in 2014/15 and 20.4% of the works registered by Edinburgh in 2015/16 and are in need of significant improvement.

Transport Scotland

Trunk Road Operating Companies

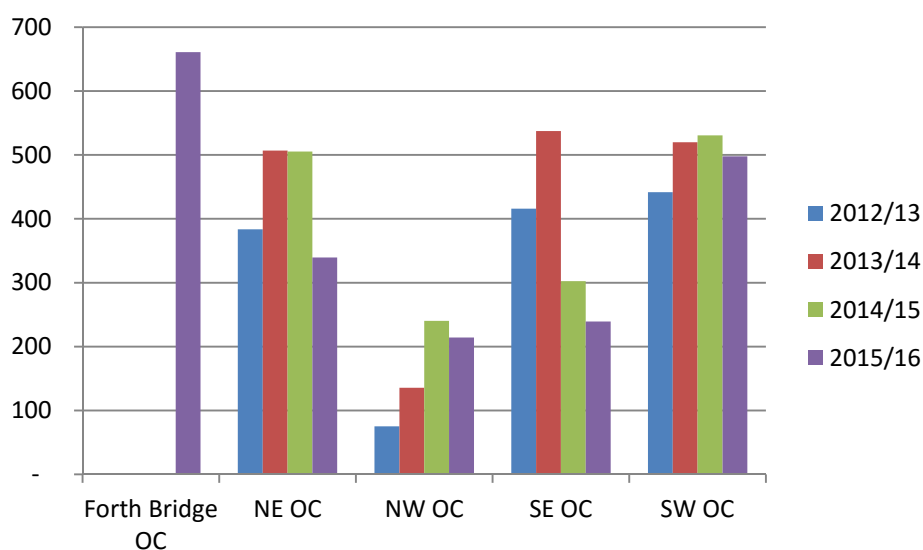


Figure 13 - Number of Road Works per 100km Comparison of Trunk Road Operating Companies group

2014/15 – range 240 to 531 works/100 km

2015/16 – range 214 to 498 works/100 km

As FBOC manage a network of 23km in length, their figures in Table 4 are subject to a pro-rata adjustment upwards. It is not considered appropriate to compare their performance against the other 4 operating companies pending completion of the Queensferry Crossing.

In 2014/15 the North East and South West operating companies registered a high number of works / 100km of road network. In 2015/16, the North East registered 68% of the works registered by the South West. North West and South East registered 45% and 57% of the works registered by South West in 2014/15 and 43% and 48% of the works registered by South West in 2015/16. This may be due to the more rural nature of certain networks and/or traffic volumes. Further scrutiny is required.

Trunk Road DBFO Companies

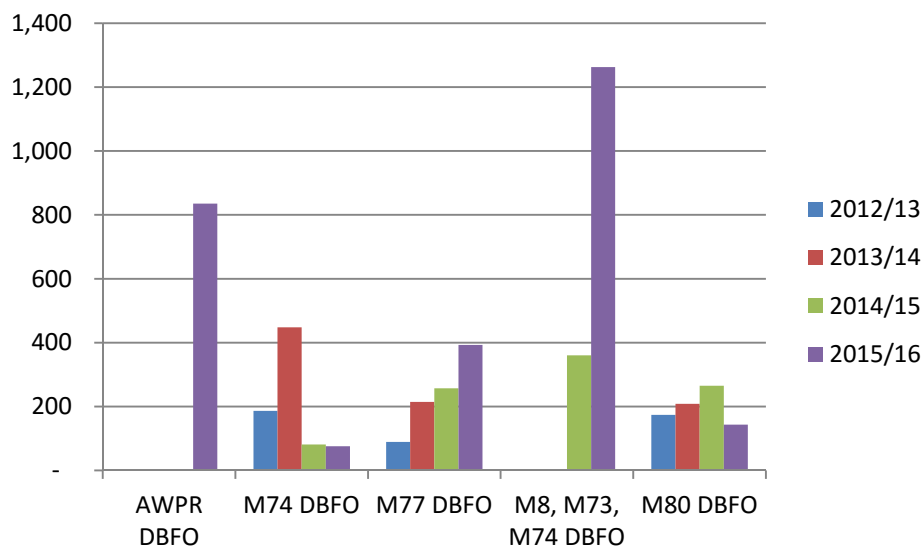


Figure 14 Number of Road Works per 100km Comparison of Trunk Road DBFO group

2014/15 – range 81 to 360 works/100 km

2015/16 – range 76 to 1263 works/100 km

DBFO companies manage networks of between 17.4km and 90.4km in length. The figures in Table 4 are subject to a pro-rata adjustment upwards for comparison purposes.

Given the variances between the scale and operations undertaken by DBFO companies, a direct comparison of all 5 is not appropriate. It may be reasonable to compare the performance of companies currently constructing projects and companies currently maintaining projects.

Works under construction (AWPR and M8/M73/M74) – During 2015/16, the AWPR and M8/M73/M74 registered a pro-rata high number of works.

Works under maintenance (M74, M77 and M80) – During 2014/15, the M74 registered 30% of the works registered by the M80 and in 2015/16, the M74 registered 19% of the works registered by the M77 per unit road length.



Grouping	Organisation	2012 /13	2013 /14	2014 /15	2015 /16
Island Group	Comhairle nan Eilean Siar	23	23	22	21
	Orkney Islands Council	43	36	28	15
	Shetland Islands Council	17	12	9	10
Island Group Totals/Average per 100km		28	24	20	16
Rural	Aberdeenshire Council	23	28	28	24
	Angus Council	13	26	33	31
	Argyll & Bute Council	16	16	12	13
	Dumfries & Galloway Council	15	12	15	11
	Highland Council	9	8	6	6
	Perth & Kinross Council	21	22	23	18
	Scottish Borders Council	12	16	9	12
	The Moray Council	40	47	45	44
Rural Group Totals/Average per 100km		19	22	21	20
Semi-Urban Group	East Ayrshire Council	33	44	25	28
	East Lothian Council	34	46	41	38
	Fife Council	68	86	89	86
	Midlothian Council	38	38	34	40
	North Ayrshire Council	39	32	27	29
	South Ayrshire Council	61	36	31	36
	South Lanarkshire Council	73	95	96	156
	Stirling Council	57	54	59	51
	West Lothian Council	110	110	75	80
Semi Urban Group Totals/Average per 100km		57	60	53	61
Urban Group	Clackmannanshire Council	51	81	66	57
	East Dunbartonshire Council	100	91	53	54
	East Renfrewshire Council	29	33	24	22
	Falkirk Council	32	24	44	44
	Inverclyde Council	106	84	121	130
	North Lanarkshire Council	154	204	125	198
	Renfrewshire Council	57	60	53	49
	West Dunbartonshire Council	69	83	65	94
Urban Group Totals/Average per 100km		75	82	69	81
City	Aberdeen City Council	29	33	26	27
	City of Edinburgh Council	172	131	84	132
	Dundee City Council	51	81	68	101
	Glasgow City Council	99	115	111	71
City Group Totals/Average per 100km		351	360	288	331
Transport Scotland Operating Companies	Forth Bridge OC	-	-	-	661
	NE OC	384	507	505	340
	NW OC	75	136	240	214
	SE OC	416	537	302	239
	SW OC	442	520	531	498
OC Totals/Average per 100km		329	425	395	390
Transport Scotland DBFOs	AWPR DBFO	-	-	0	835
	M74 DBFO	187	448	81	76
	M77 DBFO	89	214	257	393
	M8, M73, M74 DBFO	-	-	360	1263
	M80 DBFO	174	209	265	143
DBFO Totals/Average per 100km		150	290	241	542

**Table 4 – No of Works started per 100 km entered by Roads Authority by SCOTS classification
(Source: Scottish Transport Statistics public road lengths and Report 9a SRWR)**

Registration of Emergency, Urgent and Remedial Dangerous Works in the Scottish Road Works Register

Where works are considered as Emergency, Urgent or Remedial Dangerous there are special noticing procedures which allow works to start as soon as possible.

Whilst around 5% of roads authority works use these unplanned works categories, the figure is closer to 30% for utility company road works as shown in Figure 8. With 1 in 3 of all works undertaken by utility companies using these categories, it is considered that further scrutiny of this indicator is required. Incorrect and excessive use of these works categories is considered to be poor co-operation.

Scottish Water make greatest use of the urgent works category. This is largely attributed to the nature of their unplanned works such as burst pipes and water leaks.

Openreach has increased its use of the urgent works category which may be attributable to the superfast broadband rollout?

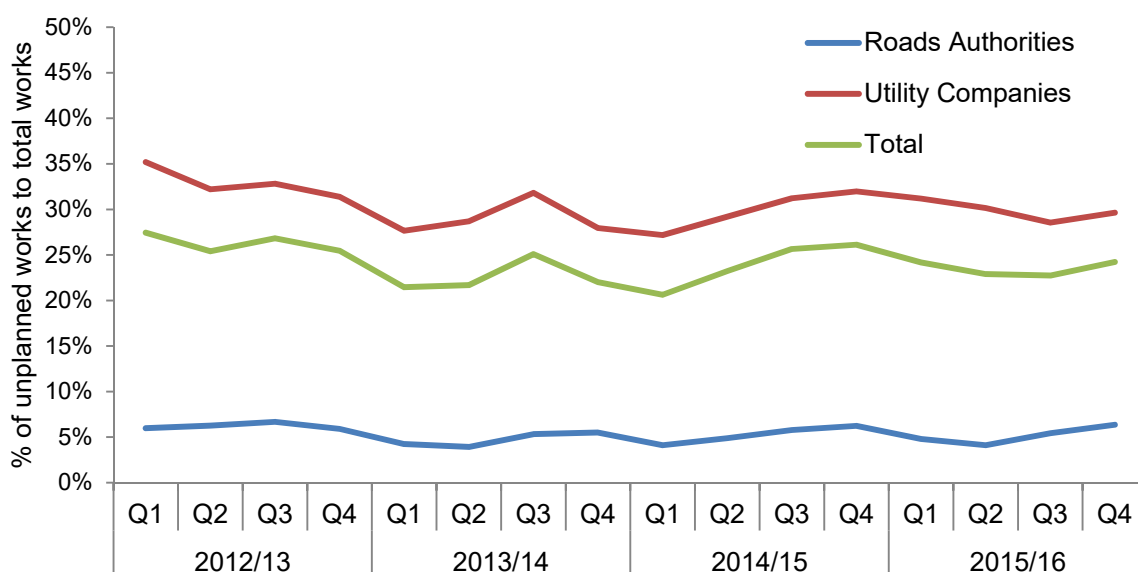


Figure 15 – Emergency, Urgent and Remedial Works over the last 4 years
(Source: Report 4a SRWR)

	2012/13	2013/14	2014/15	2015/16
Openreach	8%	6%	12%	14%
Scottish Water	55%	57%	56%	52%
SGN	16%	11%	14%	13%
SP Energy Networks	16%	16%	13%	15%

Table 5 – Largest utility users of the categories emergency, urgent and remedial works
(Source: Report 4a SRWR)

Early and Late Start Agreements

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

Early starts with the agreement of utility companies and roads authorities can be a sign of good co-ordination. Where a window of opportunity to undertake works is available, it should be considered.

Roads authority use of early starts increased throughout the reporting period to 28% in Q4 of 2015/16, the highest since 2009. In comparison, utility company use fell during 2015/16 to 8% in Q2 and Q3 and then increased slightly to 10% in Q4. It is important that this category is not misused to address poor planning and co-ordination of road works.

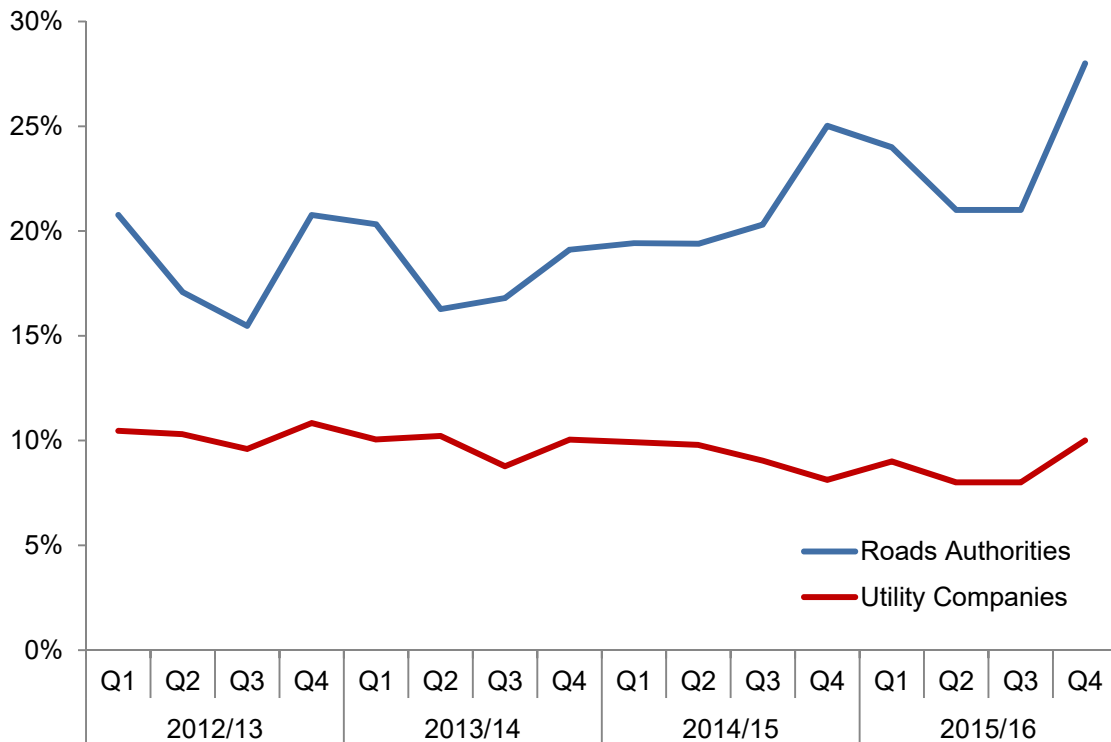


Figure 16 – Comparison of Early Start Agreements as a percentage of Works Started over the last 4 years (Source: Report 10 SRWR)

The use of late starts by utility companies is minimal averaging around 1%.

Roads authority late starts have fallen to 2% over the last few years from a high of 5%. The correlation between roads authority late starts and the summer holiday period in Q2/Q3 of 2012/13, 2013/14 and 2014/15 has now largely disappeared, although some fluctuation is still evident. This may suggest improved works planning and co-ordination.

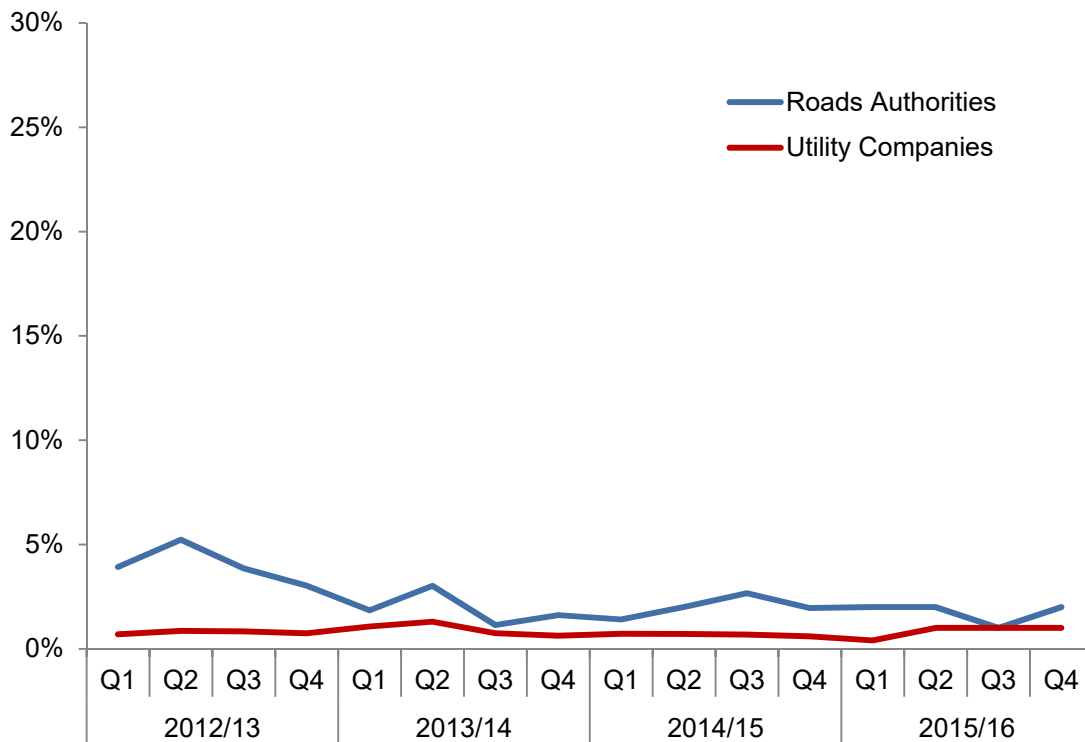


Figure 17 – Comparison of percentage of Late Start Agreements as a percentage of Works Started over the last 4 years. – Source: Report 10 SRWR

Section 125 Notices

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 a notice on the utility requiring that the works are completed within a specified time.

This indicator shows that the use of Section 125 notices remains low, which suggests that roads authorities reserve this power for extreme situations. Of the notices issued, the majority were served on Openreach, SP Energy Networks, SGN and Scottish Water.

During 2014/15, the numbers issued to Openreach remained broadly similar to previous years whilst the numbers issued to SGN, SP Energy Networks and Scottish Water fell significantly. After a sharp decline in 2014/15, the numbers issued to SP Energy Networks increased significantly to 22 notices in 2015/16 returning to their 2012/13 performance level. This matter will be kept under review going forward.

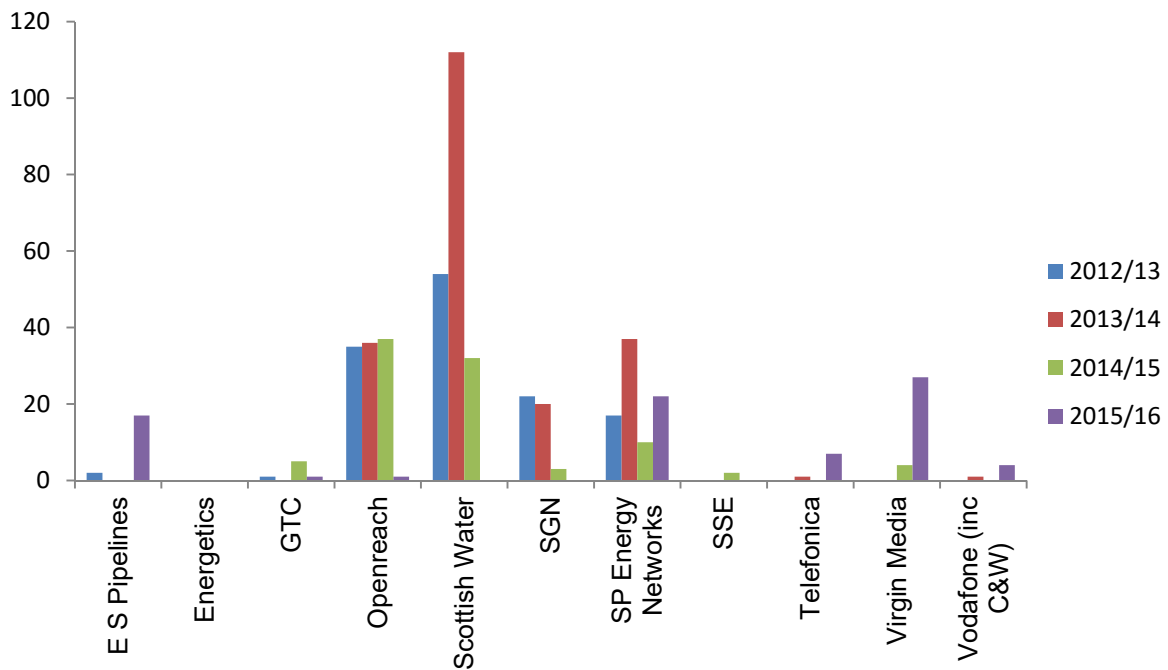


Figure 18 – Number of Section 125 Notices issued to Utility Companies over the last 4 years
(Source: Report 17e SRWR)

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 temporary road surfaces still in place beyond 6 months. The permanent reinstatement is considered due six months after the installation of temporary reinstatement.

Figure 19 shows that the number of reinstatements overdue to be made permanent has increased steadily from 168 in Q2 of 2012/13 to 1297 in Q2 of 2015/16. Whilst the numbers decreased to 757 in Q4 of 2015/16, this steady increase in the level of overdue reinstatements suggests that utility companies are not fully co-operating with roads authorities to assist in the co-ordination of all road works, minimising disruption to road users.

There were 10,161 utility company interim reinstatements carried out in 2012/13, 10,009 in 2013/14, 8,148 in 2014/15 and 7,957 in 2015/16. This downward trend in the use of interim reinstatements should be reflected by a downward trend in the number of overdue interim reinstatements. Unfortunately this is not the case, which may suggest that utility companies are not affording this metric sufficient priority when planning their works.

Openreach with 321 overdue reinstatements, Virgin Media with 169, SGN with 97 and Scottish Water with 76 have been advised that an improvement in their performance is required.

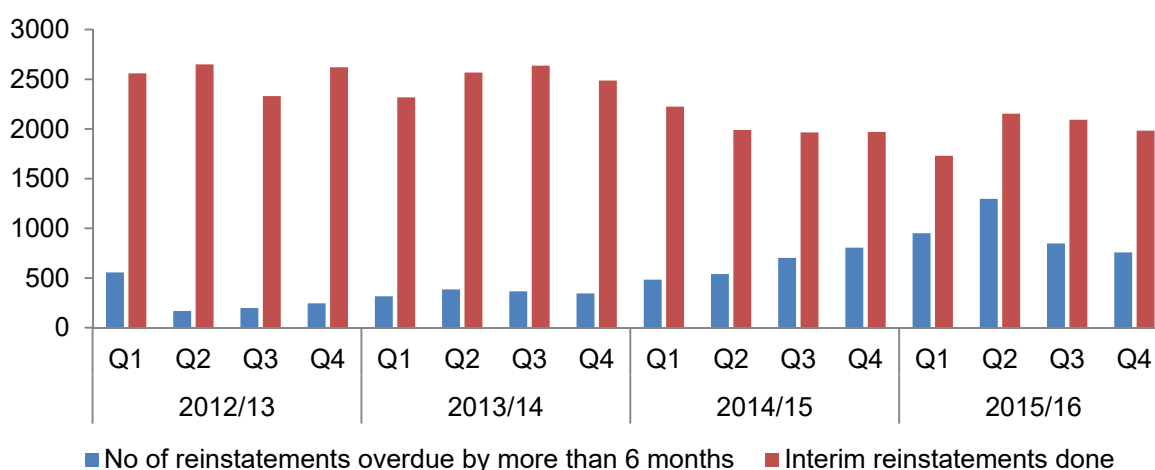


Figure 19 – The number of outstanding utility interim reinstatements due (over 6 months) compared with the number of interim reinstatements done (Source: Reports 14 and 18 SRWR)

Substandard Traffic Management from Inspection Results

This indicator considers the number of substandard traffic management layouts recorded during roads authority statutory inspections of utility road works. Roads authorities only inspect a random 10% sample of works, therefore, the actual number of substandard installations across Scotland is likely to be 10 times greater.

The number of substandard traffic management installations recorded during the reporting period are shown in Figure 20.

Following a peak in the numbers of substandard traffic management layouts recorded in Q4 of 2014/15, performance improved during Q1 and Q2 of 2015/16. Unfortunately this improvement was not sustained in the latter part of the year.

In view of the safety implications, this is an area in need of early improvement and consideration should be given to further training of operatives and managers. The office of the SRWC have been assisting utility companies through briefing sessions for operatives and managers.

The Commissioner looks for a trend towards zero failures.

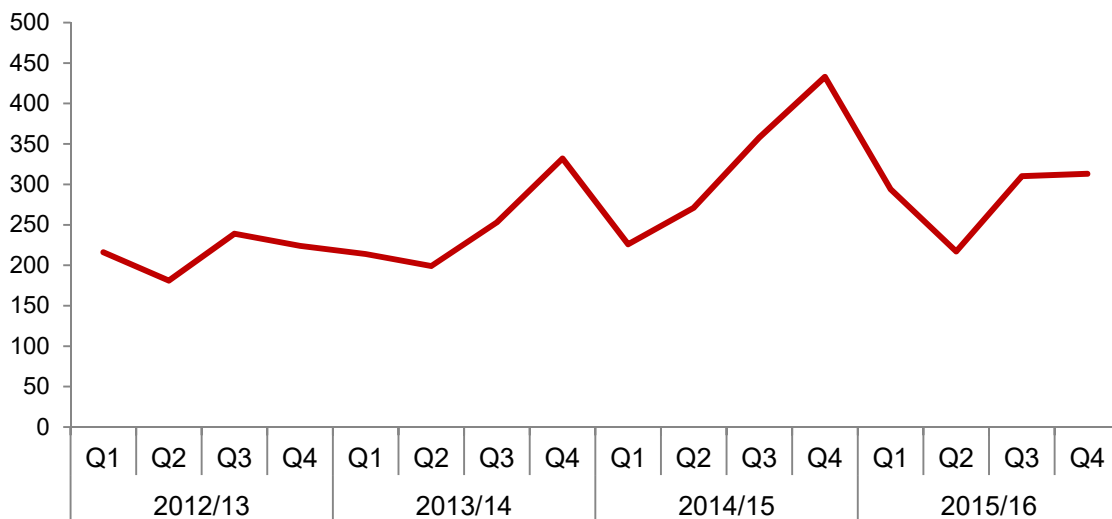


Figure 20 –Incidences of Utility Substandard Traffic Management over the last four years
(Source: Report 19 SRWR)

As the number of substandard traffic management layouts recorded is based on the findings of a 10% random sample inspection regime, the actual number at any given time across Scotland is likely to be at least 10 times greater, therefore, in Q4 of 2014/15 for example it is possible that around 4,250 sites across the country may have had substandard traffic management layouts.

6. Utility Company Reinstatements

Utility company reinstatements are required to be undertaken in accordance with the Code of Practice for the Reinstatement of Openings in Roads (SROR). Coring of the bituminous (bound) layers of utility company reinstatements has been carried out across Scotland approximately every two years since 1997/98 by RAUC(S). The eighth, and most recent, National Coring Programme scrutinised reinstatements completed between 1 January 2012 and 31 December 2012. Core locations were taken from a SRWR system generated 2% random sample. The sampling and testing was completed during 2013 and the results were published in March 2014, during the period of this report.

	2001/02	2003/04	2005/06	2008/09	2010/11	2012/13
Cores Taken	1909	1861	1340	1566	1349	1534
Pass	44%	59%	59.9%	64%	74%	83%
Fail	56%	41%	40.1%	36%	26%	17%

Table 6 – Number of cores taken compared with those which passed and failed over the 6 most recent programmes – Source: 2012/13 Coring Programme Report, RAUC(S)

Figure 21 compares the total number of cores taken and the percentage pass rate over each of the last six coring programmes. A trend line has been added which shows a gradual improvement, albeit below the required 90% minimum pass rate.

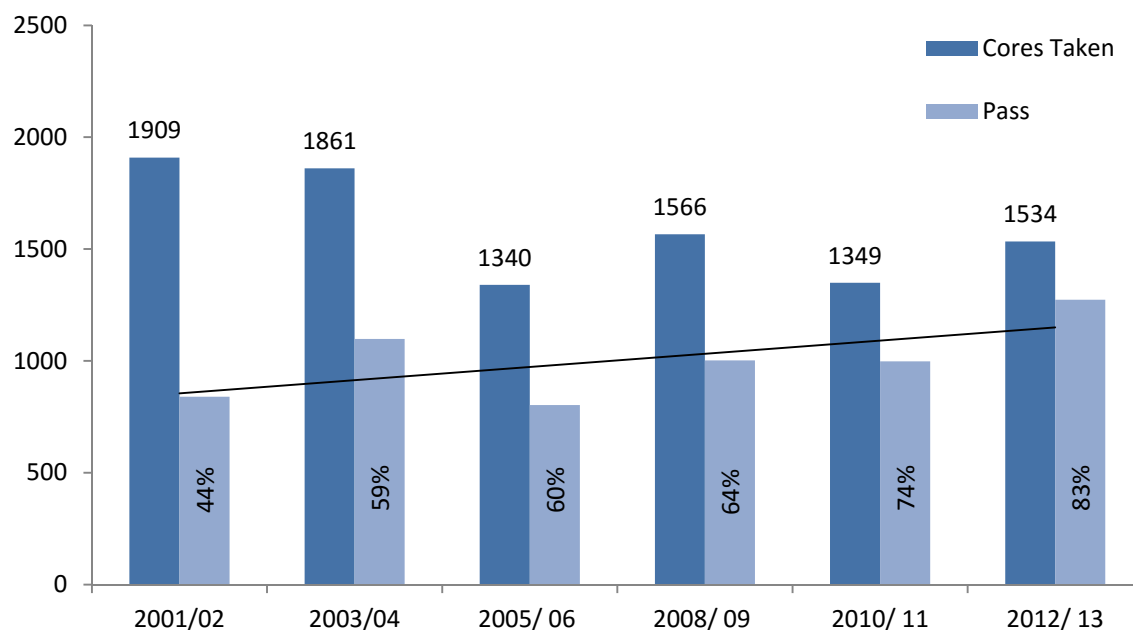


Figure 21 – Number of Pass results in comparison with Number of Cores taken (Source: 2012/13 Coring Programme Report, RAUC(S))

Whilst there has been an overall improvement in the coring results, detailed analysis indicates that some companies are performing well and others very poorly, as shown in Figure 22.

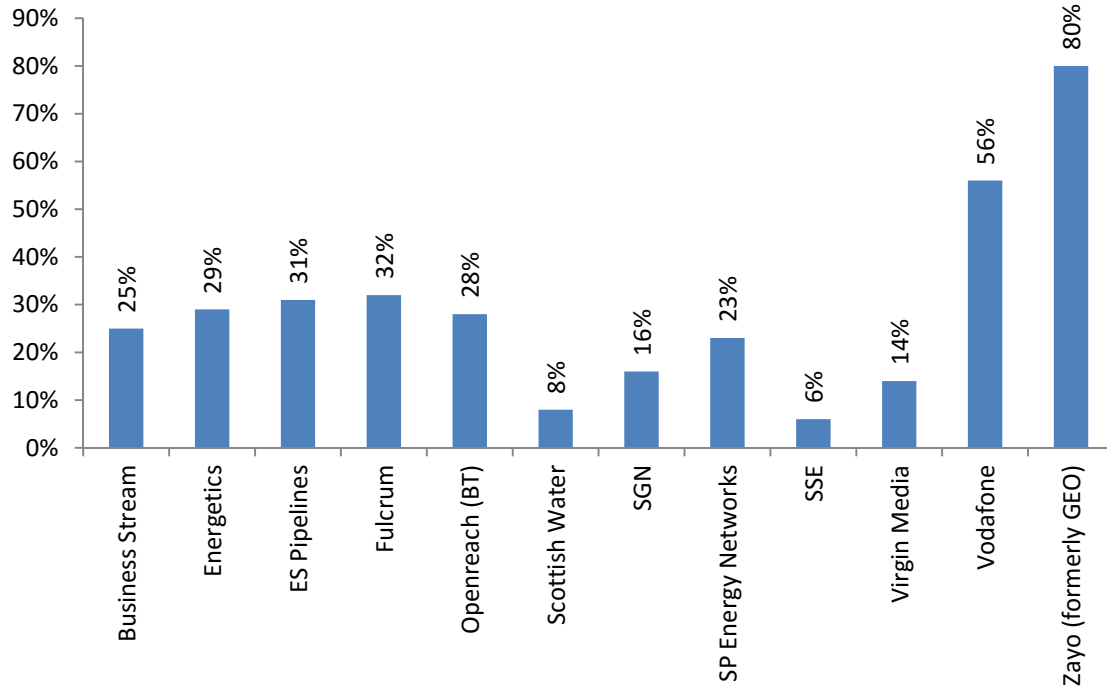


Figure 22 – Percentage of Failed Cores by Utility Company (Source: 2012/13 Coring Programme Report, RAUC(S))

Note: Vodafone includes Cable & Wireless and THUS

The reasons for core failures were also analysed and are detailed in Figure 23. Of those that failed 42% were due to issues with the layer thickness and 31% due to poor compaction.



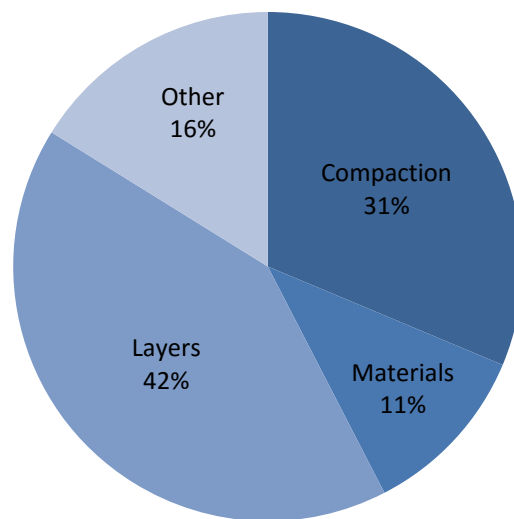


Figure 23 – Percentage of Failed Cores by Failure Reason
(Source: 2012/13 Coring Programme Report, RAUC(S))

In September 2011, RAUC(S) agreed that, after a decade of coring, 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 that all utility companies shall, so far as reasonably practical, achieve a pass rate of 90% during all future National Coring Programmes.

During 2012, Scottish Water undertook 35% of all reinstatements across Scotland. It is likely that Scottish Water's in-house monitoring of contractors is a major factor in their improved performance.

Where a large organisation the size of Scottish Water can achieve a pass rate of 92%, all other organisations should be able to achieve a similar level of performance. Other major utility companies such as Openreach who achieved a pass rate of 72% and SP Energy Networks with a pass rate of 77% need to be more proactive in their engagement with contractors.

Contractors failing to achieve the required performance should consider introducing quality assurance schemes, increased monitoring, reviewing supervision arrangements and introducing utility company coring.

7. Commissioner Penalties

Where a systematic failure to deliver an improvement is evident, the Commissioner has powers to impose a penalty.

In June 2014, following careful consideration of the results of the 2012/13 National Coring Programme, the Commissioner imposed penalties against companies who failed to achieve a pass rate of 80%. Amongst other factors, the level of penalty considered individual pass rates, number of works undertaken and any known mitigation measures which were evidencing improvement.

The penalties imposed in this reporting period are detailed in Table 7.

Organisation	Penalty Imposed
Openreach	£30,000
SP Energy Networks	£20,000
Vodafone	£3,000
Energetics	£1,500
ES Pipelines	£1,500
Fulcrum	£1,500

Table 7 – Penalties Imposed



8. Promotion of Compliance and Good Practice

The promotion of compliance and good practice is a central function of the Commissioner.

It is recognised that long established working relationships in the road works community in Scotland are key to assisting in the delivery of compliance and good practice.

Committees and Working Groups

Across Scotland the majority of roads authorities convene quarterly local co-ordination meetings with utility companies and other interested parties. In turn, these local meetings inform five area meetings, each of which is represented at a national level on the RAUC(S).

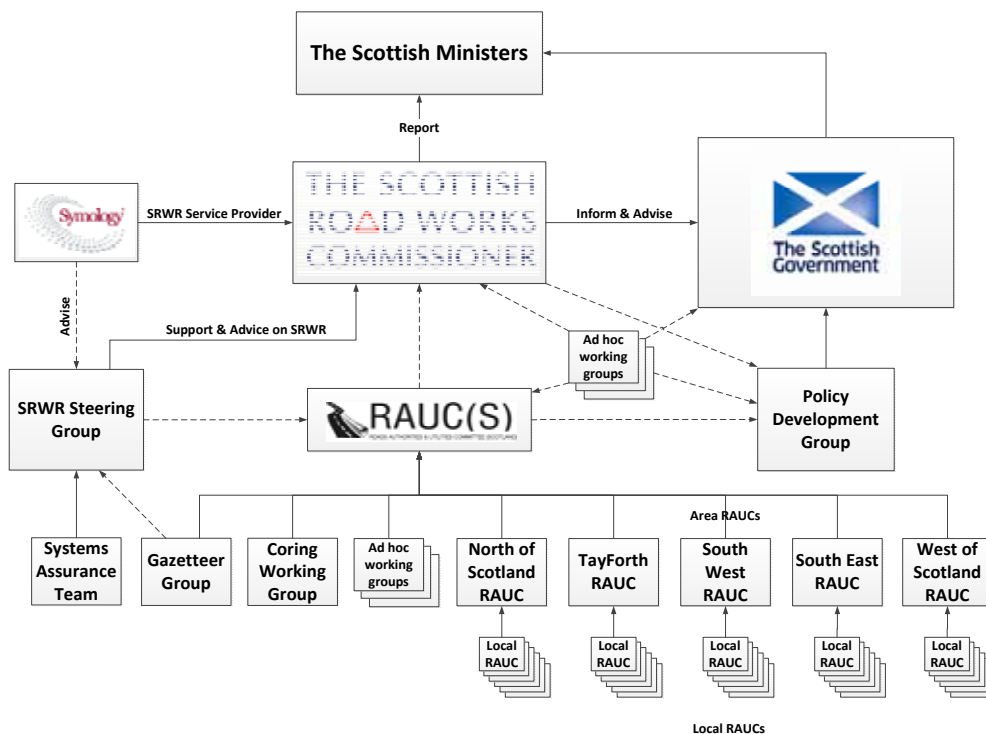


Figure 24 - Scottish Road Works Community

RAUC(S) is the overarching committee with the objectives 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 Commissioner.

In addition to the RAUC(S) committee hierarchy, the road works community is represented on a wide range of working groups, both 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 Scottish Road Works Register (SRWR)

Working Groups generally report directly to RAUC(S) or, where there are legislative or policy implications, to the Scottish Road Works Policy Development Group 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 the legislation, codes of practice and advice notes are fit for purpose. The Commissioner appreciates the resourcing challenges facing both the public and private sectors, but still encourages organisations to maintain their support and participation in this vital area of work. The Commissioner would also 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 is a list of legislation and guidance updated during the reporting period:

Codes of Practice

- *Code of Practice for Penalties* (Jan 2014)
- *Safety at Street Works and Road Works A Code of Practice* (Oct 2014)
- *Specification for the Reinstatement of Openings in Roads* (Jan 2015)

RAUC(S) Advice Notes

- *Advice Note 1 – The Exchange of Plant Information* (Mar 2014)
- *Advice Note 3 – Coring* (Dec 2015)
- *Advice Note 5 – SRWR Associated Data* (Nov 2014)
- *Advice Note 23 – Use of Potential Works* (Jun 2014)
- *Advice Note 24 – Material & Trial Registers* (Sep 2015)
- *Advice Note 25 – Unidentified Buried Objects* (Dec 2015)
- *Advice Note 26 – Traffic Management in Advance of Works* (Dec 2015)
- *Advice Note 27 – Interrupted Works* (Dec 2015)

Commissioner Advice Papers

- *Commissioner Penalty Guidelines* (May 2014)

Links to the above publications can be found at the following address:

<http://www.roadworksscotland.gov.uk/legislationguidance>

Appendix F details the extent of community engagement and provides a list of committees and working groups which met during the period of this report. The Commissioner was represented at all meetings.

Technical Standards Monitoring Programme

As noted in the Commissioners 2013 Annual Report, a Technical Standards Manager (TSM) was appointed to strengthen the resources available to the office to monitor the quality of reinstatements and the quality of traffic management measures used.

During the latter part of the reporting period, the TSM monitored compliance with the Code of Practice covering Safety at Street Works and Road Works, attended local RAUC meetings, carried out site visits and generally increased the visibility of the office on active sites. It is planned to further develop the role of the TSM during future years to include ad-hoc compaction testing of the unbound layers of reinstatements. Additional scrutiny should encourage a regime of self-regulation and monitoring by utility companies.

Broadband Delivery UK (BDUK)

The initial phase of BDUK, the programmed superfast broadband rollout across Scotland, was awarded by Digital Scotland to Openreach in the Highlands and Islands during March 2013 and in the rest of Scotland during July 2013. As a consequence of the resultant increase in works undertaken by Openreach, they now register more notices on the SRWR than any other single utility.

Early engagement with the BDUK team was implemented to minimise any potential conflicts with other works and maximise compliance with the legislative framework. BDUK appointed a dedicated liaison manager to help with communication across the road works community. Monthly meetings with the liaison manager, senior managers in Openreach / BDUK and their contractors representatives were introduced and continue.

Following concerns raised by a number of Roads Authorities, in early 2015, Openreach developed a seminar package to promote the need to have appropriately maintained and managed work sites. This seminar was delivered to all Openreach contractors. The oSRWC contributed directly, raising awareness of the traffic management legislation, site auditing and assisting where required. Subsequently the materials and steps taken by the oSRWC have been made available to the rest of the road works community.



9. Consultations and Research

A key role of the Commissioner is to promote good practice. The Commissioner's office supports and encourages consultations and research where appropriate. This section details the input and support provided by the office in various work areas over the reporting period.

Strategic Consultation on Works on Scottish Roads

In October 2014, Transport Scotland published their analysis of consultation responses to the Strategic Consultation on Works on Scottish Roads. This followed extensive consideration by the Road Works Policy Development Group which consists of representatives drawn from roads authorities, utility companies, SCOTS, Transport Scotland and the SRWC. This analysis will inform the development of future legislation and can be viewed at:

<http://www.transportscotland.gov.uk/report/j321226-00.htm>

Research Projects

Long term damage to roads as a consequence of utility company excavations has long been debated.



During the reporting period, the Scottish Road Research Board (SRRB) awarded funding to research the benefits of tapered joints in bound pavement layers and compaction of the unbound layers (backfill). The SRRB is a partnership between Transport Scotland, the SCOTS and the Scottish Road Works Commissioner.

Funding was awarded over financial years 2014/15, 2015/16 and 2016/17.

Scottish National Roads Maintenance Review

The office of the Scottish Road Works Commissioner continued to participate and contribute as a member of the National Road Maintenance Review (NRMR) Strategic Action Group along with COSLA, SOLACE and Transport Scotland. The group met with the Minister for Transport and the Islands in November 2014 and in March 2015.

10. Scottish Road Works Register

Under the *Transport (Scotland) Act 2005* the Scottish Road Works Commissioner has a statutory obligation to keep a register, known as the Scottish Road Works Register (SRWR). The Act requires the Commissioner to make arrangements to enable any person who is required, by a provision of the Act, to enter particulars, information or a notice in the SRWR, to have access to the SRWR for that purpose. This section provides information on the register and details improvements to the service provision that fall within the reporting period.

What is the Scottish Road Works Register?

The SRWR is a centralised cloud based service used for the transfer, retention and management of road works data. Every roads authority and utility company operating in Scotland has access to the SRWR. It is a statutory requirement for them to share details of planned road works.

The SRWR is:

- the main tool for use by roads authorities and utility companies to assist the planning and co-ordination of works on roads;
- a source of data for performance reviews in relation to the undertaking of works on roads; and
- an accurate source of information for the public and other interested parties regarding future, ongoing and past works on roads.

Service Supplier Contract

The SRWR continues to be provided to the Commissioner by Symology Ltd.

During this period the SRWR was available for 99.99% of the contracted core operational time. While unplanned downtime occurred, these periods were of a short duration and mainly outwith the operational time periods. All outages were reported to the Commissioner and an investigation undertaken to identify the cause of failure and any steps required to prevent a similar outage in the future. No outage threatened to breach the contracted service levels.

The average number of named users of the SRWR remained consistent over the period at 1,570. The average number of concurrent users (those logged on at any one time) was 249. Figure 25 below shows the number of named SRWR users between January 2014 and March 2016.

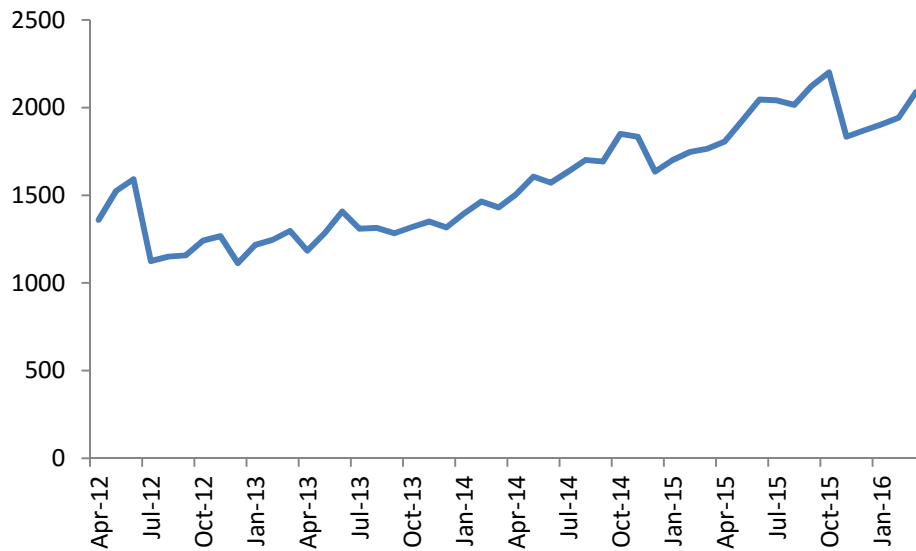


Figure 25 – Number of Named SRWR Users by month over the last financial year (2014/15)

System Enhancements

The SRWR contract with Symology Ltd includes a continuous improvement clause whereby the service provider is required to keep the SRWR up to date and compliant with all relevant legislation.

The following are the main enhancements introduced during the reporting period.

Orphaned Gazetteer Records

The SRWR makes use of the National Street Gazetteer as a referencing system for locations. An issue was discovered where a number of records were found to be on the SRWR gazetteer which were not included in the gazetteer submissions provided by authorities. In November 2014 a process was run to clear down these orphaned records, ensuring that only the correct records are used in the SRWR to identify location.

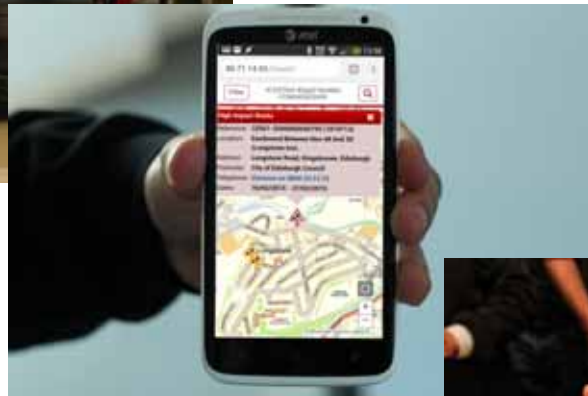
Scottish Road Works Online Website

A cut down version of the SRWR is available as an online web service known as the Scottish Road Works Online website. This site shows summary details of all works currently taking place or planned for the future. A completely new system was developed to replace the existing website, released in March 2015. The new site offers many benefits, including:

- improved appearance and functionality;
- compatibility for use across different platforms (in particular touch-screen operation on tablet/phone devices); and
- functionality to allow authority websites to link directly to a map of their area.

The site can be found at the following address:

<http://www.roadworksscotland.org>



Continuous Improvement

Continuous improvement in the functionality of the SRWR is achieved through system upgrades throughout the year. The implementation of further upgrades during the reporting period has meant that the SRWR continues to develop and meet the functionality requirements of the Scottish road works community.

These upgrades were a mixture of enhancements, alterations and requests from the community and included:

- Comments “Awaiting Assessment” added ability to filter by Index Group.
- Streets look-up window – added option to include/exclude Closed USRNs.
- New Agreement Enquiry (includes all retrospective agreements).
- Show “Payment Due Date” for FPNs and other charges, with facility for authority to amend.
- Restricting the “Change Works Reference” function to inhibit change of organisation on a notice.
- Improved functionality to allow undertakers to track inspections under review.
- User can change their email address on User Login screen.
- Improvements to ease the recording of inspections.
- Inspection Results “Awaiting Assessment” added a new Info button to explain the rules for clearing assessments.
- Easier method of setting up required Target inspections level.
- Improved Inspection follow-up procedures for roads authorities.
- New Road Restrictions layer on the map.
- Restrictions included in Restrictions and Daily Whereabouts layers from initial “Proposed Restriction” notice until expiry of restriction period.
- Extended conflict checking including NRSWA S117 and NRSWA S144 works, recording on History and drill-down from Conflicts window.
- Improved Major Works conflict reporting.
- Road Closure assessment list and link from works to Licences for recording diversion route and documentation.
- New facilities for plotting routes (e.g. diversion routes) and associated improved conflict checking procedures.

Dial before you Dig

Before any excavation takes place, it is important for those digging are aware of the location of buried plant. The SRWR allows utility companies and roads authorities to ask each other about the location of such plant using a Plant Information Request (PIR) facility. Dial before you Dig is a free service to anyone who is carrying out works involving excavation, but who do not have access to the SRWR and the PIR function. Calls placed to the Dial before you Dig service are routed to Symology Ltd as part of the agreed contract for provision of the SRWR and processed by them on

behalf of the Commissioner. The service can be accessed by contacting the Dial before you Dig team on: **08000 231 251**

When a call is made to the Freephone number, details of the location of the intended works are recorded in a PIR and passed to all organisations on the SRWR who may have plant in that location. Organisations then respond with details of where their apparatus is located. On average there were 224 requests a month over the period. Figure 26 below details the use of the Dial before you Dig service over the last 4 years. The number of users has been seen to increase by approximately a third over the last two year.

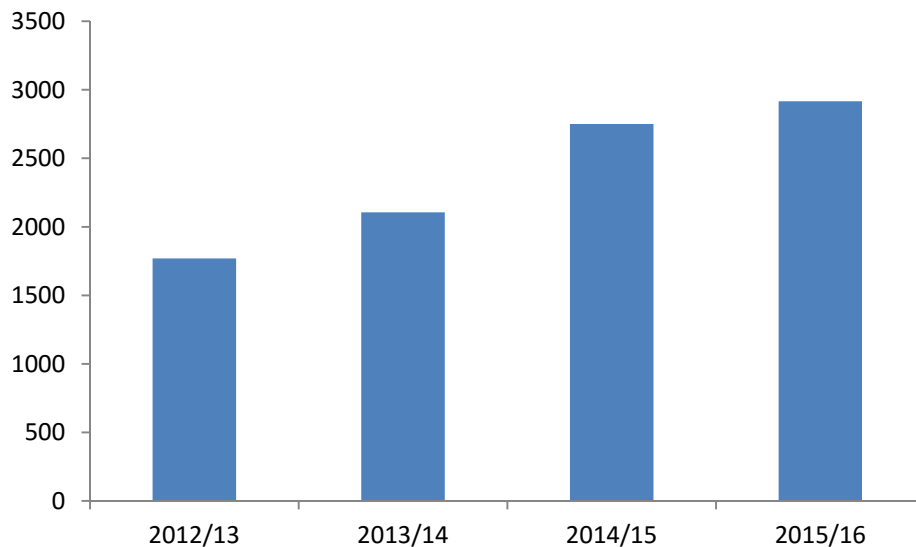


Figure 26 – Number of Dial before you Dig requests processed

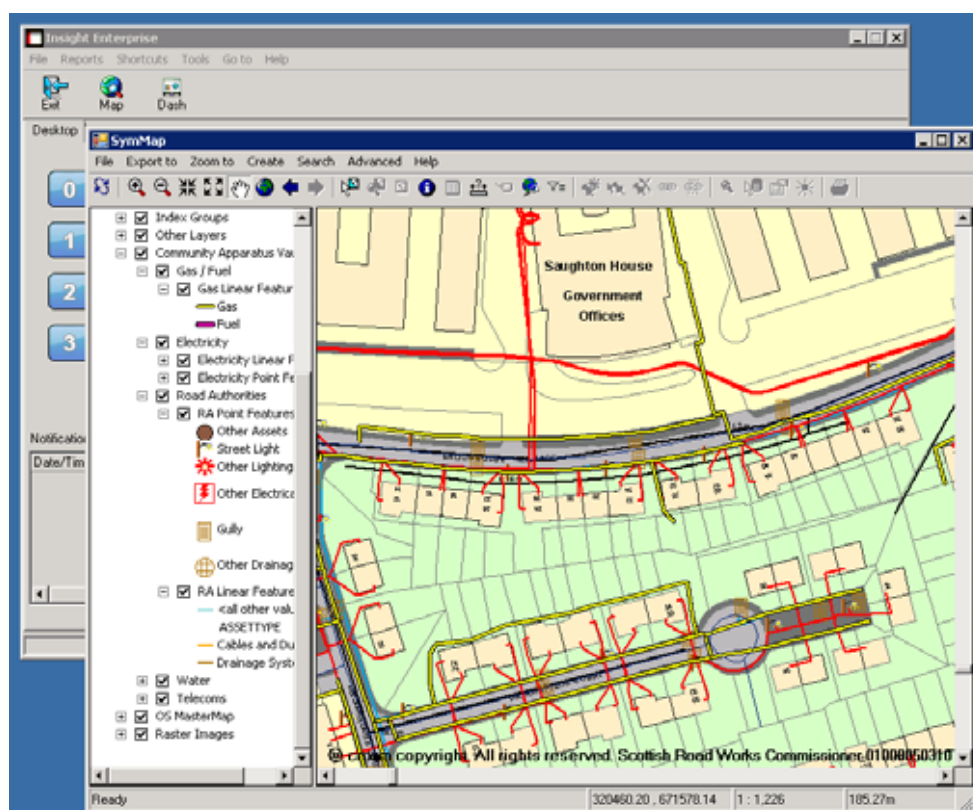
Community Apparatus Data Vault

As described above, the SRWR is used to facilitate sharing of information relating to the location of underground apparatus using PIRs. The response to these requests is often provided using proprietary systems such as maps by email, access to websites, physical CDs containing the data, or printed paper plans. The Community Apparatus Data Vault (Vault) is a non-statutory facility provided as part of the SRWR to centralise this data, adding apparatus information alongside details of where works are taking place.

Vault allows the display of information from disparate GISs (Geographic Information Systems) on one screen at the same time. A set of pre-agreed transformations are applied to the supplied data, resulting in a map using common colour coding, symbols and terminology.

RAUC(S) Advice Note 1 – The Sharing of Plant Information requires that records relating to underground apparatus are made freely available for inspection by any roads authority or utility company. Providing information to Vault is one of the

easiest ways to comply with this requirement and organisations not currently sharing their network information are encouraged to participate.



Training

Training in the use of the SRWR was offered in June 2014, September 2014, December 2014, March 2015 and February 2016. As well as courses for new users of the SRWR, there were also Advance Noticing, Advanced Inspector and Advanced FPN courses. The take up of these courses has improved over previous years, with an average of 10 out of 12 places taken for each course offered.

The Commissioner also continued to host annual SRWR User Forums. These events were attended by managers and front line practitioners of the SRWR. They are key to disseminating improvements and changes to the SRWR and promoting operational practice. Events were held in Perth, Rutherglen and Edinburgh. The events continued to score high levels of satisfaction, with a survey recording a score of 3.06 out of a maximum of 4. Whilst 70% of all Notices placed on the SRWR are by utility companies, only 21% of places booked at the User Forums were from utilities.

SRWR Steering Group and System Assurance Team

The SRWR Steering Group and the System Assurance Team ensure that the SRWR continues to develop and serve the needs of the Scottish Road Works Community in partnership with RAUC(S). Both groups are made up of representatives from utility companies and roads authorities. The Commissioner would like to thank these groups for their continued assistance.

Financing of the SRWR

The SRWR is funded by the user community through the levy of a prescribed fee and amount which is collected annually by the Commissioner. The following Parliamentary Regulations support the collection of “Fees and Amounts”.

The Scottish Road Works Register (Prescribed Fees and Amounts) Regulations 2008 came into force on 29 February 2008. Whilst the “Fees” element has generally been updated annually since 2008, the “Amounts” element remains current.

The *Scottish Road Works Register (Prescribed Fees) Regulations 2014* came into force on 1 April 2014 and invoices for the 2014/15 financial year were issued to the community immediately thereafter.

The *Scottish Road Works Register (Prescribed Fees) Regulations 2015* came into force on 1 April 2015 and relates to the 2015/16 and 2016/17 financial years. Invoices for the 2015/16 financial year were issued to the community immediately thereafter.

The cost of running the register in 2014/15 was £872k, in 2015/16 it was £890k and it is estimated at £931k in 2016/17.

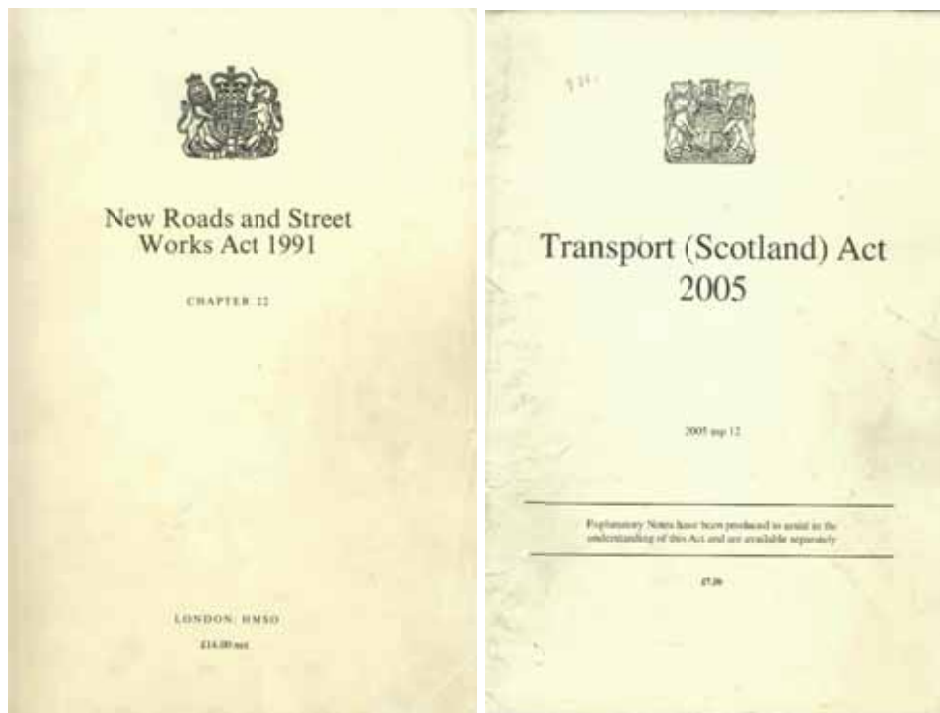
Invoice as issued to the user community annually on the 1 April.

11. Legislation

The legal framework for road works in Scotland is primarily found in the New Roads and Street Works Act 1991 as amended by the Transport (Scotland) Act 2005, in conjunction with a variety of Secondary and tertiary legislation.

Reviewing the effectiveness of legislation is a continual process, taking account of new developments and technologies. This reviewing function is undertaken through encouraging the community to provide feedback on their experience and continuing to work with specific working groups dedicated to policy development. In particular the Scottish Road Works Policy Development Group (PDG) provides assistance to RAUC(S) in the development of new advice papers and codes of practice.

New or amended codes of practice and advice papers, published this reporting period, are discussed in more detail in the Section 8 – Promotion of Compliance and Good Practice.



Policy Development Group (PDG)

The Road Works Policy and Development Group is hosted by the Scottish Government and includes representatives from the office of the Scottish Road Works Commissioner, RAUC(S) roads authority and utility company representatives, SCOTS (the Society of Chief Officers of Transportation in Scotland), NJUG (National Joint Utilities Group) and the SRWR Steering Group. The group consider developments in both primary and secondary legislation, including Codes of Practice. The group meet on a quarterly basis and consider a variety of forthcoming policy and technological advances.

The PDG recently considered the development of new regulations to supersede The Road Works (Qualifications of Supervisors and Operatives) (Scotland) Regulations 1992. This is currently out to consultation with responses invited by 27 September 2016. Amendments will reflect changes to regulations made elsewhere in the UK.

Strategic Action Group

The office of the Scottish Road Works Commissioner continues to support the Scottish Government through the Strategic Action Group (SAG).

SAG co-chairs are the Minister for Transport and Islands and the COSLA Spokesperson for Development, Economy and Sustainability. Participants include representatives from COSLA, SCOTS, Transport Scotland, Improvement Service and the Scottish Road Works Commissioner.

Inspection Fees Working Group

The inspections fees working group is an advisory group reporting to the Scottish Government. The group, which includes representatives from the Commissioner's office, considers the sufficiency of the prescribed inspection fee which is set annually to cover roads authority costs when undertaking inspections of utility openings in roads.

In 2014, it was agreed that in addition to applying an annual inflation increase that a full review of the fee make-up should be undertaken.

Prescribed Fees and Amounts Working Group

The prescribed fees and amounts collected fund the operation of the Scottish Road Works Register and are reviewed annually.

The Commissioner's office continues to work with the Scottish Government and the road works community to consider the prescribed fees and amounts regulations. The prescribed fees and amounts working group is currently considering the model for collecting fees and amounts in the future and whether the existing formula is still appropriate to the use of the register by organisations.

Regulations

Over the period of this report the office has worked with the Scottish Government on the development of the following regulations:

- The Scottish Road Works Register (Prescribed Fees) Regulations 2014, which came into force on the 1 April 2014 and relate to the 2014/15 financial year. These regulations provide the mechanism to enable the collection of the appropriate fees to fund the operation of the Scottish Road Works Register.
- The Scottish Road Works Register (Prescribed Fees) Regulations 2015 which came into force on the 1 April 2015 and relate to the 2015/16 and 2016/17 financial years. Again, these regulations provide the mechanism to enable the collection of the appropriate fees to fund the operation of the Scottish Road Works Register.
- The Road Works (Inspection Fees) (Scotland) Amendment Regulations 2014, which came into force on 1 April 2014. These regulations amended the fee that roads authorities charge utility companies when conducting inspections of utility company road works.

Future Legislation

The outcome of the strategic consultation on the management of road works in Scotland was published in October 2014. The content of this is currently being reviewed by the Strategic Action Group (SAG), led by the Minister for Transport and Islands. The Commissioner attends each of these meetings.

In October 2015 the Minister for Transport and the Islands commissioned a review of the office and functions of the Scottish Road Works Commissioner. The independent consultant updated the Scottish Government in March 2016 and the recommendations will inform future policy direction and legislation.

12. Annual Report and Accounts

As previously reported in the Executive Summary: the 2014/15 audited Annual Report and Accounts, incorporating the operation of the Scottish Road Works Register, are available at:

www.roadworks.scot/Publications/AnnualAccounts.aspx

The 2015/16 Annual Report and Accounts were lodged with Audit Scotland in June and are currently subject to audit. The audited accounts will be published on the website in due course.

13. Reflection and Forward Planning

Reflection

Commissioner engagement with the Scottish road works community includes facilitating effective working relationships between roads authorities and utility companies. The Commissioner has continued to monitor compliance with road works legislation and good practice guidance over the reporting period.

The Commissioner's 2014/15 and 2015/16 Business Plans are attached in Appendices C and D. They cover a range of specific objectives designed to further the strategic aims of the Commissioner. The objectives include targeted challenges and on-going business. Appendices C and D detail the progress made towards meeting each objective. The Business Plans are published on the Commissioner's website,

Forward Planning

The 2016/17 Business Plan was developed in June 2016 and is published on the Commissioner's website. An extract of the activities section is included in Appendix F.

In addition to addressing the overarching corporate aims of the office, the plan focuses on governance.

New initiatives include the introduction of quarterly performance reports/reviews for presentation to and discussion at each of the five Area RAUC meetings, the introduction of mid-year "light version" performance reviews of all organisations and an extension to technical standards monitoring.

Appendix A – Glossary of Terms/Acronyms

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

Term/Acronym	Definition
Area RAUC	Regional level RAUC(S) meeting.
AWPR	Aberdeen Western Peripheral Route
BDUK	Broadband Directive UK.
The Commissioner	The Scottish Road Works Commissioner.
COSLA	Convention Of Scottish Local Authorities.
DBFO	Design, Build, Finance and Operate.
EIRs	Environmental Information (Scotland) Regulations 2004.
FOI(S)A	Freedom of Information (Scotland) Act 2002.
Gazetteer	List of all roads maintained by the Roads Authority.
FPN	Fixed Penalty Notice.
GIS	Geographic Information System.
HAUC (UK)	Highways Authority and Utilities Committee (UK).
JAG	Joint Authorities Group.
Local RAUC	Local Authority level RAUC(S) meeting.
NJUG	National Joint Utilities Group.
NRMR	National Roads Maintenance Review.
NRSWA	New Roads And Street Works Act 1991.
NSG	National Street Gazetteer.
OC	Operating Companies (working on behalf of Transport Scotland).
PDG	Policy Development Group.
PIR	Plant Information Request
RAUC(S)	Roads Authorities and Utilities Committee (Scotland).
The Register	The Scottish Road Works Register.
SAG	Strategic Action Group.
SCOTS	Society of Chief Officers in Transportation in Scotland.
SOLACE	Society Of Local Authority Chief Executives.
SROR	Specification for the Reinstatement of Openings in Roads.

SRRB	Scottish Roads Research Board.
SRWC	Scottish Road Works Commissioner.
TUPE	Transfer of Undertakings (Protection of Employment) Regulations 2006.
USRN	Unique Street Reference Number (or Gazetteer Reference).

Appendix B – List of Scottish Roads Authorities and Utilities

List of Roads Authorities

City Group

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

Urban Group

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

Rural Group

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

Island Group

Comhairle nan Eilean Siar (Western Isles Council)
Orkney Islands Council
Shetland Islands Council

Other

Transport Scotland

List of Utility Companies currently operating in Scotland

Gas (and Pipelines)

BP
E S Pipelines Limited
Energetics
Fulcrum
GTC Pipelines Limited
Independent Pipelines Limited
INEOS
National Grid
Scotland Gas Networks
Shell

Electricity

Scottish and Southern Energy
SP Energy Networks (previously Scottish Power)

Telecoms

BskyB
CityFibre
EE (previously T-Mobile and Orange)
Gamma Telecom
Global Crossing
Hutchison 3G
Openreach
Smallworld Media Group
Talk Talk (previously Opal Telecom)
Telefonica UK (previously O2)
Verizon
Virgin Media Group
Vodafone Limited
Zayo (previously GEO)

Water

Scottish Water

Others

Network Rail
Royal Mail
Tay Bridge Joint Board

Appendix C – Business Plan 2014/15

This section contains an extract of the 2014/15 business plan. The full business plan is available on the Commissioner's website at the following location:

<http://www.roadworkscotland.gov.uk/Publications/BusinessPlans.aspx>

THE SCOTTISH ROAD WORKS COMMISSIONER

BUSINESS PLAN 2014/15

The Commissioner has been committed to working with the road works community to oversee improvements to the planning, co-ordination and quality of road works in Scotland. In order to achieve this outcome, the Commissioner has set the following strategic aims:

- To monitor the carrying out of works in roads in Scotland;
- To promote compliance with the New Roads and Street Works Act 1991 and the obligations imposed under it;
- To promote the pursuit of good practice; and
- To ensure the effective operation of the Commissioner's office.

This business plan details the Commissioner's objectives, activities undertaken to achieve these, their relevant due date and their current status.

Strategic Aim 1 – To monitor the carrying out of works in roads in Scotland				
	Objective	Activities	Due by	Status as at 31 March 2015
1.1	Continue to work with RAUC(S) to ensure that the suite of SRWR Indicators meets the ongoing needs of the Commissioner and the road works community.	<ul style="list-style-type: none"> • Set up the Scottish Road Works Register (SRWR) Reports group to review the Indicators. 	Spring 2015	Working Group set up in Autumn 2014 and has met on two occasions. Work ongoing.
1.2	Monitor the performance of roads authorities and utility companies using Indicators and other data.	<ul style="list-style-type: none"> • Undertake interim performance reviews of poor performing organisations. • Issue annual performance reviews. 	Autumn 2014 April 2015	Achieved. On target.
1.3	Continue to work with the Scottish road works community to seek strategies for an overall improvement to the standard of road reinstatements.	<ul style="list-style-type: none"> • Review RAUC(S) coring data in summer 2014. • Issue of penalties on coring data if required. 	August 2014	Achieved. Six utility companies issued with penalties.

1.4	Ensure that the Scottish Road Works Register operates in line with the 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 meetings with Symology. • SRWC attendance at quarterly contract meeting with Symology. • Attendance at and input to SRWR steering group. 	Ongoing	Achieved.
1.5	Develop the Technical Standards programme with emphasis on the rollout of the Superfast Broadband programme in Scotland.	<ul style="list-style-type: none"> • Prepare programme and finalise strategy. 	July 2014	Achieved.

Strategic Aim 2 – To promote compliance with the New Roads and Street Works Act 1991 and the obligations imposed under it.

	Objective	Activities	Due by	Status as at 31 March 2015
2.1	Publish the Commissioner's Annual Report for 2014.	<ul style="list-style-type: none"> • Produce annual report. • Publish report on Commissioner's webpage 	Spring 2015	Achieved (albeit later than planned)
2.2	Attend HAUC(UK), RAUC(S) and area RAUC meetings to identify emerging issues and influence the direction of future work.	<ul style="list-style-type: none"> • Attendance at HAUC (UK). • Attendance at RAUC(S) meetings. • Representative of the SRWC in attendance at Area RAUC(S). 	Ongoing Jun/Sept/Dec/Feb Jun/Sept/Dec/Feb	Achieved. Achieved. Achieved.
2.3	Continue to advise the Scottish Government on all aspects of road works legislation.		Ongoing	Achieved.
2.4	Continue to work with the Scottish Road Works Policy Development Group to identify where legislative revisions or new legislation might be required.	<ul style="list-style-type: none"> • Attendance at Road Works Policy Development Group. 	Ongoing	Achieved.

Strategic Aim 3 – To promote the pursuit of good practice.				
	Objective	Activities	Due by	Status as at 31 March 2015
3.1	Continue to work with RAUC(S) to review and develop Codes of Practice and Advice Notes to identify where revisions might prove beneficial and to advise on how best to achieve this.	<ul style="list-style-type: none"> Attendance at RAUC(S) Working Groups. oSRWC support to Working Groups. 	Ongoing	Achieved. Significant progress made on several work streams.
3.2	Continue to monitor the information contained within the Commissioner's website to ensure that it is up to date.	<ul style="list-style-type: none"> Review website content. 	Ongoing	Website updated as necessary.
3.3	Where good practice is identified this shall be promoted to the rest of the road works community.	<ul style="list-style-type: none"> Provision of Commissioner papers. Provision of newsletters. SRWC presentations at industry seminars 	Ongoing	Achieved. Newsletters issued. Commissioner gave papers at a number of conferences and events throughout the period.
3.4	Contribute to the Scottish Road Maintenance Review and the Road Maintenance Stakeholder Group.	<ul style="list-style-type: none"> Commissioner attends the Strategic Action Group. SRWC or Representative attendance at Road Maintenance Stakeholder Group. 	Meeting Every 6 Months	Meetings attended.

Strategic Aim 4 – To ensure the effective operation of the Commissioner's office				
	Objective	Activities	Due by	Status as at 31 March 2015
4.1	Ensure that all banking and financial management procedures are adhered to.	<ul style="list-style-type: none"> Undertake monthly reconciliation. 	End of each month	Achieved.
4.2	Publish annual accounts of 2013/14.	<ul style="list-style-type: none"> Publishing of accounts on webpage. 	One month after being laid in Parliament	Achieved.

4.3	Ensure that Freedom of Information and any other requests are dealt with within prescribed timescales.		Quarterly review	Achieved.
4.4	Upgrade the Commissioner's www.roadworksonline.org website.	<ul style="list-style-type: none"> • Update in line with Equalities Act. • Update in line with legislation changes. • Re-branding / Modernising. 	March 2015	Site re-launched on 23 March 2015. Achieved.
4.5	Robust business processes for the SRWR.	<ul style="list-style-type: none"> • Risk register detailed review. • Resolution on Deferred Income requirement. 	September 2014 January 2015	Achieved. Achieved.

Appendix D – Business Plan 2015/16

This section contains an extract of the 2015/16 business plan, providing detail on planned activities to achieve in pursuance of the Commissioner's Overarching Corporate Aims for the next fiscal period. The full business plan is available on the Commissioner's website at the following location:

<http://www.roadworksscotland.gov.uk/Publications/BusinessPlans.aspx>

Activity Plan

Activity Key:

BaU	Business as Usual
Proj	Project
SRWC	Scottish Road Works Commissioner
PrM	Performance Manager

PM	Policy Manager
TSM	Technical Standards Manager
SRWRM	Scottish Road Works Register Manager
Acc	Accountant
BO	Business Officer

Corporate Aims:

1 – To monitor the carrying out of works in roads in Scotland.

3 – To promote good practice.

2 – To ensure compliance with road works legislation and the obligations imposed under it.

4 – To ensure the effective operation of the Commissioner's office.

Performance Key:

●	Risk of not achieving
●	Achieving or Achieved
●	In progress but not meeting programme
●	Not in Progress

Other Abbreviations:

YE :	Year End
SG :	Scottish Government
SRRB :	Scottish Roads Research Board
SAG :	Strategic Action Group
RAUC(S) :	Roads Authorities and Utilities Committees (Scotland)
HAUC :	Highways Authorities and Utilities Committees
EIRs :	Environmental Information Regulations
FOI(S)A :	Freedom of Information (Scotland) Act
PSR:	Public Services Reporting
PDP:	Personal Development Plan

Activity 1: Improving OSRWC Practice

Activity	Type	Start	End	Corporate Aim	OSRWC Lead	Measures of Success
Create and agree an internal policy review schedule.	Proj	Apr 2015	Oct 2015	2, 3, 4	PM	Schedule created and reviewed quarterly. Recurring Actions list updated.
Review SRWR indicators to ensure they meet the on-going needs of the community.	Proj	Apr 2015	Sept 2015	1, 2	PrM	Revised Indicators available on the SRWR that work for the SRWC and the Community. Working Group meetings held. SRWR Provider Engaged.
Statutory returns	BaU	Apr 2015	Mar 2016	4	BO	Quarterly Returns completed on time. Recurring Actions list updated.
Information requests	BaU	Apr 2015	Mar 2016	1, 4	PM/BO	EIRs and FOI(S)A Requests 100% within timescales. 100% Enquires handled with 20 working days, with 80% responded to within 5 working days.
Public Body Duties	BaU	Apr 2015	Nov 2015	3, 4	PM/ SRWC	Activities undertaken to meet Scottish Biodiversity embedded in staff objectives. SG Diversity Objectives embedded into Staff objectives.

Activity 2: Managing Information, Planning and Reporting

Activity	Type	Start	End	Corporate Aim	Lead	Measures of Success
Work with road works community and Scottish Government to seek strategies for overall improvement to the standards of re-instatements	BaU	Apr 2015	Mar 2016	1, 3	PM/ SRWC	Policy Development Group Meetings Attended. Deliver SRRB Research Board Projects on Joints and Compaction (Run by TSM). Work with promoters with respect to new materials leading to approved materials noted on SRWR.
Monitor compliance with data protection	BaU	Apr 2015	Mar 2016	4	PrM	100% Compliance on Data protection. Review undertaken of compliance quarterly and reported to team meeting.
Monitor information requests and report as required.	BaU	Apr 2015	Mar 2016	1, 3, 4	BO	Statutory returns and internal targets met.
PSR Annual Reporting	BaU	Apr 2015	Jul 2015	4	PM	Report published.
Develop a Records Management Plan	Proj	Sept 2015	Mar 2016	4	PrM	Implementation of Policy and submission to National Records of Scotland.
Report Against Business Plan	BaU	Apr 2015	Mar 2016	4	PM	Quarterly note published on website.
Review of Corporate Plan	BaU	Feb 2016	Mar 2016	4	SRWC	Plan reviewed in time for new Business Plan for 2016/17.

Activity 3: Promotion and Communications

Activity	Type	Start	End	Corporate Aim	Lead	Measures of Success
Create and agree Communications Plan to promote the work of the oSRWC.	Proj	Apr 2015	Aug 2015	1, 2, 3, 4	PM	Communications Plan developed and embedded in Review Cycle.
Work with SG to advise on and influence legislation and good practice.	BaU	Apr 2015	Mar 2016	1, 2, 3	PM	Policy Development Group Meetings Attended, with oSRWC driving arrangements if slipping. National Road Maintenance Review – 100% meetings of the SAG and Stakeholders attended.
Work with road works community at all levels to improve communication.	BaU	Apr 2015	Mar 2016	1, 2, 3	PM/SM/ TSM/ SRWRM	100% attendance at National and Area RAUC(S). 50% attendance at Local RAUC(S). Input into Advice Notes and Code of Practice. Support all promoters where difficulties arise.
Issue SRWR Bulletin quarterly to circulate good practice	BaU	Apr 2015	Mar 2016	2	SRWRM	100% issued. 75% issued 2 weeks in advance of Area RAUC(S).
Provide and publish Annual Report	BaU	Oct 2015	Nov 2015	4	PM/ SRWC	Issued on time.
Develop a strategy to handle general enquires	Proj	Apr 2015	Oct 2015	4	BO	Strategy developed and embedded in review cycle.
Develop programme to ensure relevance of the website	Proj	Sept 2015	Mar 2016	1, 3, 4	SRWRM	Website Hosting agreement reviewed. Review cycle developed and embedded in recurring actions list.

Activity	Type	Start	End	Corporate Aim	Lead	Measures of Success
Identify good practice and promote such practice	BaU	Apr 2015	Mar 2016	3	PM/ SRWC	Identification of methods used in UK and Internationally. Quarterly review of periodicals. Identification of key stakeholders to support oSRWC work. Attendance at HAUC meetings and conferences.

Activity 4: Regulation

Activity	Type	Start	End	Corporate Aim	Lead	Measures of Success
Monitor the performance of Roads authorities and undertakers	BaU	Jan 2016	Mar 2016	1, 2	PM/ SRWRM	Performance Tables issued for all promoters by start of March 2016. Performance Reviews issued for 70% of Undertakers and 100% Roads Authorities by end of March 2016.
Work with RAUC(S) with Codes of Practice (CoP) and Advice Notes (AN)	BaU	Apr 2015	Mar 2016	2, 3	PM	Comment made on 100% of CoP and ANs being drafted. 100% of approved documents posted on oSRWC website within 5 working days.
Develop a review schedule for Commissioner Advice Papers	Proj	Jun 2015	Oct 2015	3, 4	PM	Review Schedule created and embedded in Recurring Actions list.
Collect statutory levy for running of register	BaU	Apr 2015	Dec 2015	4	BO/ SRWRM	100% Invoices Issued 1 April 2015. Late payment process followed. Prescribed Fees Regulations information passed to SG by Dec 2015. Review of SRWR Undertakers completed by Dec 2015.
Ensure SRWR operates in line with contractual requirements and organising associated events	BaU	Apr 2015	Mar 2016	1, 2, 3, 4	SRWRM	100% of Monthly Contract reviews held. 100% of SRWR Steering Groups attended with Papers issued 2 weeks before. Contract extension reviewed by Jun 2015.
Ensure SRWR re-tender progresses	Proj	Apr 2015	Mar 2016	1, 2, 3, 4	SRWRM	SRWR Tender project programme developed by June 2015. SRWR Kick Off Meeting held Aug 2015. SRWR Tender progresses to programme.

Activity	Type	Start	End	Corporate Aim	Lead	Measures of Success
Finalise Technical Standards Programme	Proj	Apr 2015	June 2015	1, 2, 3	TSM	TSM Strategy agreed and circulated to community for information by June 2015.
Implement Year 1 requirements for Technical Standards programme	BaU	Apr 2015	Mar 2016	1, 2, 3	TSM	TSM Visits meeting numbers set out in strategy.
Review compliance with NRSWA and Undertake enforcement action for non-compliance where required	BaU	Apr 2015	Mar 2016	1, 2	PM/PrM	Interim Performance Reviews undertaken. 100% Quarterly Reports analysed and comments made for rollout to Area RAUC(S).
Strategic Consultation on Scottish Road Works Consultation	BaU	Apr 2015	Mar 2016	1, 2, 3	PM	Attendance at Scottish Government's Policy Development Group.

Activity 5: Human Resources

Activity	Type	Start	End	Corporate Aim	Lead	Measures of Success
Undertake Annual Performance Cycle	BaU	Jun 2015	Mar 2016	4	SRWC	100% Monthly Conversations held. SMART Objectives developed by Sept 2015. 100% mid-year reviews held by Dec 2015.
Provide specific learning and development plans	BaU	Jun 2015	Sept 2015	4	SRWC	100% PDPs tailored to staff created by Sept 2015.
Review oSRWC Terms and Conditions	Proj	Jun 2015	Dec 2015	4	SRWC	Full review of T&Cs and HR Policies.

Activity 6: Resource Management, Risk Management and Quality Assurance

Activity	Type	Start	End	Corporate Aim	Lead	Measures of Success
Review and Provide budget for 2016 – 2017	BaU	Aug 2015	Dec 2015	1, 2, 3, 4	Acc / SRWC	Specific Budget review meeting held in Dec 2015. Linkage to Corporate Aims to be developed by August 2015.
Budget Monitoring and Control for 2015-2016	BaU	Jun 2015	Mar 2016	4	Acc	100% Monthly Budget review meetings held. Management Accounting practices used to forecast YE results.
Review of Risk Registers and associated Reports	BaU	Jun 2015	Mar 2016	4	SRWC	Risk Registers for oSRWC and SRWR reviewed quarterly. Reports from Audit Scotland and external bodies actioned within timescales agreed.
Develop internal audit plan	BaU	Jun 2015	Sept 2015	4	Acc	Internal Audit plan developed and actions embedded in Recurring Actions list.
User feedback analysis	Proj	Sept 2015	Feb 2016	1, 3, 4	SRWRM/ PM	Feedback report developed and rolled out to enable benchmarking for 2015/2016 BP.

Appendix E – Business Plan 2016/17

This section contains an extract of the 2016/17 business plan, providing detail on planned activities to achieve in pursuance of the Commissioner’s Overarching Corporate Aims for the next fiscal period. The full business plan is available on the Commissioner’s website at the following location:

<http://www.roadworksscotland.gov.uk/Publications/BusinessPlans.aspx>

Structure of the Business Plan

This business plan is a working document which acts as a guide for the Commissioner through the financial year. This document details a programme of 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 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
BO	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 10% of Local RAUC meetings Assist with Advice Notes and Codes of Practice 	SRWC/PM SRWRM/PrM TSM PM	1,2,3
1.2	Review the SROR to identify additional areas of potential scrutiny.	<ul style="list-style-type: none"> Provide Commissioner paper as required Provide paper on new materials trials as required 	TSM PM	3
1.3	Develop the Technical Standards programme with emphasis on the rollout of the Superfast Broadband programme in Scotland.	<ul style="list-style-type: none"> Prepare programme and finalise strategy by June 2016 Implement year 1 of TSM strategy (2016-2017) 	PM TSM	1,2
1.4	Extend the scope of 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"> Publish Testing Plan by the end June 2016 Provide a report on data collected by the end March 2017 	TSM PM	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 Training 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	Revision of SRWC and SRWR Risk Registers.	<ul style="list-style-type: none"> Review and amend current situation of dual registers to provide one overarching register by end June 2016 Review risk ownership for SRWC and SRWR by end June 2016 	PM PM	4
2.2	Agree and publish internal and external policy review schedule.	<ul style="list-style-type: none"> Work with RAUC(S) to agree timetable and scope Review of Commissioner Advice Papers 	PM PM	1,2,3,4
2.3	Continue to work with the Scottish road works community to seek strategies for an overall improvement in the standard of road reinstatements.	<ul style="list-style-type: none"> SRWC is represented at 90% of meetings as follows: <ol style="list-style-type: none"> RAUC(S) Scottish Road Research Board Strategic Action Group 	SRWC	1,2,3
2.4	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
2.5	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 	SRWC/PM	3

Business Area 3: SRWR Operation and Management

	Objective	Key Milestones/Performance Measures	Owner	Corporate Aim
3.1	Introduce penetration testing for SRWR.	<ul style="list-style-type: none"> Implement a penetration testing schedule by September 2016 Review schedule by end February 2017 Include penetration testing within new tender 	SRWRM SRWRM SRWRM	2,4
3.2	Issue statutory invoices and collect fees for running of register.	<ul style="list-style-type: none"> 100% fees paid by end May 2016 	BO	1,2,3,4
3.3	Award process for procurement of new SRWR contract.	<ul style="list-style-type: none"> Re-tender the provision of the Scottish Road Works Register. New contract begins 1 April 2018 	SRWC	1,4
3.4	Review SRWR indicators to ensure they meet the on-going needs of the community.	<ul style="list-style-type: none"> Annual review of indicators Hold working group meetings 	SRWRM SRWRM	1,2,4
3.5	Issue SRWR quarterly Newsletter.	<ul style="list-style-type: none"> Issue 100% 	SRWRM	3,4
3.6	Ensure that the Scottish Road Works Register operates in line with the 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 Quarterly contract meeting with Symology. Quarterly meetings with SRWR Steering Group 	SRWRM SRWC SRWC	1,2,4

Business Area 4: Performance Monitoring

	Objective	Key Milestones/Performance Measures	Owner	Corporate Aim
4.1	Operational objectives review	<ul style="list-style-type: none"> Produce and publish a quarterly dashboard on the SRWC website 	PrM	1,2,3,4
4.2	Increased scrutiny of roads authorities and their use of the register.	<ul style="list-style-type: none"> Examine inconsistencies in the placing of notices on the SRWR between roads authorities in each of the five SCOTS peer groups by October 2016 Review the use of Section 125 notices by October 2016 	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 2016 Scrutinise undertakers who consistently fail to achieve a sample inspection pass rate of 90% by October 2016 	PrM PrM	1,2
4.4	Introduce quarterly Performance Reviews	<ul style="list-style-type: none"> Produce quarterly review Provide SRWR statistics prior to Area RAUC meetings 	PrM SRWRM	1,2
4.5	Produce annual Performance Review	<ul style="list-style-type: none"> Full Performance Review issued for 100% of SRWR users by end of May 2016 	PrM	1,2
4.6	Scrutinise the outcome of the 2014/15 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

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 formalised by June 2016 	Acc/BO	4
5.2	Statutory Returns	<ul style="list-style-type: none"> All returns made on time 	BO	4
5.3	Adherence to Service Standards	<ul style="list-style-type: none"> 100% FOI(S)A request timescales met 100% SRWC timescales met 	BO BO	4
5.4	Develop and a strategy for handling general enquiries	<ul style="list-style-type: none"> Implementation of strategy and practice by the end of September 2016 	BO/PM	4
5.5	Publish Annual Report 2014-2016	<ul style="list-style-type: none"> Report published by end June 2016 	SRWC	4
5.6	Embed staff development and review process	<ul style="list-style-type: none"> Reviews undertaken by May 2016 Mid-year reviews undertaken by November 2016 	SRWC SRWC	1,2,4
5.7	Review of data storage and implementation of organisation wide system (ERDM)	<ul style="list-style-type: none"> Data Storage review completed by June 2016 Completion of Records Management Plan by December 2016 Embed full data storage system by December 2016 	PrM PrM PrM	4
5.8	Compliance with SRWC and Scottish Public Finance Manual Procedures, policies and controls, including the FReM	<ul style="list-style-type: none"> Monthly meetings held 95% of payment made to suppliers made within 10 days 	Acc BO	4
5.9	Publish Annual Accounts 2015-2016	<ul style="list-style-type: none"> Accounts prepared and submitted to Auditors by end June 2016 with appropriate working papers and report text Accounts agreed and published by end August 2016 	Acc Acc	4
5.10	Continue to monitor the Commissioner's website to ensure that it is up to date.	<ul style="list-style-type: none"> Review website content twice a year 	SRWRM	3,4

Appendix F – Extent of Community Engagement

The following is a list of committees and working groups which met during the reporting period, the Commissioner or a representative of the Commissioner attended where required.

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

Working Groups based within Scotland	Frequency	Reports to
Scottish Road Works Policy Development Group	Quarterly	Scottish Government
Scottish Specification for the Reinstatement of Openings in Roads Working Group	When required (complete)	RAUC(S)
SRWR Steering Group	Quarterly	RAUC(S)/SRWC
Gazetteer Working Group	Quarterly	RAUC(s)
System Assurance Team	Quarterly	SRWR Steering Group
Above Ground Apparatus Working Group	When required (complete)	RAUC(S)
Traffic Management in Roads in Advance of Activity Commencing Working Group	When required (complete)	When required (complete)
Section 109 Working Group	When required (complete)	RAUC(S)
Commonwealth Games Stakeholder Group	When required (complete)	Scottish Government
National Road Maintenance Review Strategic Action Group (SAG)	Biannually	Scottish Parliament
National Road Maintenance Review Stakeholder Group	Biannually	SAG

In addition to the above mentioned specific groups the Commissioner, or a representative of the Commissioner attended many engagements, in pursuance of the Commissioner’s functions, throughout the year.

The following list summarises the main engagements undertaken during the reporting period by the Commissioner.

Meeting/Engagement	Summary
Utility Specific Meetings	Meetings could include both enforcement action and/or guidance meeting to promote good practice and improve compliance.
Roads Authority Meetings	Meetings could include both enforcement action and/or guidance meeting to promote good practice and improve compliance
Events with Roads Authorities and Scottish Government.	Input into significant national events where required, events such as Ryder Cup 2014 and The Commonwealth Games 2014.
Research and Development Meetings	Meetings to progress research and development in specialist areas of interest, for example “long term damage” research and aggregate performance.
Scottish Government Policy (Specialist Topics)	Specialist technical policy groups to assist in the progress of specialist policies and directives as required.
Technology Development/Research Showcases	The Commissioner or representatives from the office have attended various engagement sessions to discuss new technology or process in the advancement of good practice across the sector.
Industry Training Seminars/Conferences (attending as speaker)	Staff development and knowledge exchange to promote the good practice within the industry. The Commissioner has spoken at various industry seminars including Roads Expo 2014 and 2015.
Register Provider Meetings	Liaison meetings with software provider.

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Other Formats

The Commissioner 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.