

— OFFICE OF THE —
SCOTTISH ROAD WORKS COMMISSIONER



BUSINESS PLAN 2018-19

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INTRODUCTION

The Scottish Road Works Commissioner (SRWC) is an independent public official, appointed by and accountable to the Scottish Ministers. The SRWC acts as a regulator for the Roads Authorities and Utility Companies undertaking works in Scotland's roads.

As well as the Commissioner's duties as an independent regulator, the post oversees improvements to the planning, co-ordination and quality of road works in Scotland. He is responsible for promoting good practice across the sector and can impose financial penalties to drive compliance when necessary.

This Business Plan sets out the Commissioner's objectives, in pursuance of his Corporate Aims (2018-20) for the year 2018-19.

Angus Carmichael was appointed as Scottish Road Works Commissioner in September 2015 for an initial period of 2 years. This period was later extended up to 5 years (2020) to provide continuity during the strategic ministerial review of the status and functions of the post.

This is Angus Carmichael's third formal Business Plan as SRWC.

LEGAL FRAMEWORK

The SRWC is an independent public official established under Section 16 of the Transport (Scotland) Act 2005 and is accountable to the Scottish Ministers and ultimately the Scottish Parliament. The SRWC has powers to appoint staff and has an established team to assist in the execution of his duties, who operate as the office of the Scottish Road Works Commissioner (oSRWC).

The Commissioner currently has powers to impose financial penalties on roads authorities who systematically fail in their duty to co-ordinate and on utility companies who systematically fail to co-operate when undertaking road works.

The power to issue penalties are only used as a last resort following opportunity for improvement having been given, or where previously established reasonable compliance targets are not achieved within the required timescale.

The functions of the Commissioner are laid out by the Transport (Scotland) Act 2005 and are as follows:

- Monitoring the carrying out of road works in Scotland;
- Promoting compliance with the New Roads and Street Works Act 1991 (the Act); and
- Promoting the pursuit of good practice by those persons who have functions conferred on or permissions granted to them by the Act.

The Commissioner is also the “Keeper” of the Scottish Road Works Register (SRWR). The SRWR is a single, centralised national public register which is used for the co-ordination of road works in Scotland. The functionality of this register underpins most of the work carried out by the Commissioner.

ACCOUNTABILITY

The Scottish Road Works Commissioner is appointed by the Scottish Ministers. The post is sponsored by Transport Scotland, an agency of the Scottish Government.

As part of this accountability, the SRWC produces a Corporate Plan detailing the strategic outlook for the office of the Scottish Road Works Commissioner. The Commissioner must also lay an annual report and financial account before the Scottish Parliament.

VISION

The vision of the Scottish Road Works Commissioner is to improve the planning, co-ordination and quality of road works throughout Scotland, monitor performance of road works at a national level, while also promoting minimised disruption for the public.

“to minimise disruption to the travelling public by improving the planning, co-ordination and quality of road works in Scotland.”

As an independent public official the SRWCs overall strategy for the office aligns with updated national performance network. The SRWC’s vision aims to contribute to the 16 revised Scottish National Outcomes set out by the Scottish Government as part of the national performance network (NPF). These were reflected in the SRWC business objectives for the 2016-17 period and are further addressed in this plan.

Further information on the vision of the SRWC and how this supports the Scottish National Outcomes is provided in the SRWC 2018-2020 Corporate Plan.

THE SCOTTISH ROAD WORKS COMMISSIONER IN THE CURRENT TRANSPORT BILL AND THE COMMISSIONER'S FOCUS FOR 2018-19

Following the 2015 - 2016 independent review of the functions and office of the Scottish Road Works Commissioner, which was completed in April 2016, 21 proposed new measures were presented to then Minister for Transport and the Islands, Humza Yousef MSP. The response by Scottish Government to the official report was published on the Transport Scotland website¹

A consultation on these measures, "Raising Standards and improving the Quality of Road Works in Scotland" was run by Scottish Government in 2017

"The consultation followed an earlier independent review of the office and functions of the Scottish Road Works Commissioner (SRWC), which resulted in a number of accepted recommendations to improve the regulation of road works in Scotland."²

The report, its recommendations and the response by government have informed part of the 'road works' section of the forthcoming Transport Bill. This has outlined new functions and powers available to the SRWC, including settling the juristic status of the post.

One member of staff from the Commissioner's team is currently seconded to the Bill team to provide technical input.

The contract for the provision of the Scottish Road Works Register was awarded on 1 April 2018 following a long preparatory period and open tender process.

The Scottish Government's Model ICT Service Contract was used as a basis for the contract used in the tender, with adaptations made to suit the unique requirements of the SRWC as the legal keeper of the register. The contract and associated documentation was produced with assistance from the Scottish Government Procurement Team, key community stakeholders, and with input from the oSWRC legal advisors, Anderson Strathern.

Evaluation was carried out by a team made up of the oSRWC, Scottish Government's Procurement Team & representatives of the SRWR user community. Following evaluation Symology were identified as the preferred bidder and were awarded the contract, which was signed on 17 August 2017.

¹ <https://www.transport.gov.scot/publication/review-of-the-office-and-functions-of-the-scottish-road-works-commissioner/>

² <https://www.transport.gov.scot/publication/analysis-of-responses-from-the-consultation-march-2018-raising-standards-and-improving-the-quality-of-road-works-in-scotland/>

SCOTTISH ROAD WORKS COMMISSIONER'S CORPORATE AIMS

The Scottish Road Works Commissioner has 4 overarching corporate aims, set out in the Corporate Plan 2018-2020, to achieve the overarching vision for his office, and to maintain the standards set from previous years. This is the first year of the current updated SRWC Corporate Plan for 2018 – 2020 which will conclude with the remainder of Angus Carmichael's term.

The aims are as follows:

- 1. To monitor the carrying out of works in roads in Scotland;*
- 2. To ensure compliance with road works legislation and the obligations imposed under it;*
- 3. To promote good practice; and*
- 4. To ensure the effective operation of the Commissioner's office.*

STRUCTURE OF THIS 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 are broadly split into 5 distinct 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
BusO	Business Officer
PrM	Performance Manager
SROR	Specification for the Reinstatements of Openings in Roads
RAUC(S)	Roads Authorities and Utilities Committee (Scotland)
Area RAUC	Area Roads Authorities and Utilities Committee
Local RAUC	Local Roads Authorities and Utilities Committee
SCOTS	Society of Chief Officers of Transportation in Scotland

BUSINESS AREA 1 : TECHNICAL/QUALITY MONITORING

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

BUSINESS AREA 2 : POLICY

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

BUSINESS AREA 3: SRWR OPERATION AND MANAGEMENT

	Objective	Key Milestones/Performance Measures	Owner	Corporate Aim
3.1	Produce annual matrix for the collection of prescribed fees and amounts Issue invoices pertaining to prescribed fees and amounts, and training Collect all fees due for training, prescribed fees and other purposes	<ul style="list-style-type: none"> Levels of fee determined Invoices issued Collection of all Training fees as required, and of all Statutory Fees for use of the Register by end June 2018. 	SRWRM BusO BusO	1,2,3,4
3.2	Ensure that the Scottish Road Works Register operates in line with the contractual requirements and continue to ensure that it develops to provide added benefits to the Commissioner and the road works community until contract completion (March 2018).	<ul style="list-style-type: none"> Monthly performance and progress review of Symology (Incumbent SRWR Provider) Quarterly contract meeting with Symology (Incumbent SRWR Provider) Quarterly meetings with SRWR Steering Group 	SRWRM SRWC/ SRWRM SRWRM	1,2,4
3.3	Issue SRWR Newsletter.	<ul style="list-style-type: none"> Issue 4 newsletters 	SRWRM	3,4
3.4	SRWR Specification of Requirements	<ul style="list-style-type: none"> Quarterly review SRWR changes Annual update of Technical Specification 	SRWRM SRWRM	1,2,4
3.5	Facilitate competency in the Road Works Community	<ul style="list-style-type: none"> Arrange SRWR User Seminars (as required) Organise Register Specific Training (as required) 	SRWRM SRWRM	2,3,4
3.6	Begin preparatory work for procurement of the next SRWR contract.	<ul style="list-style-type: none"> Annual review of draft Contract Terms. 	SRWRM	1,2,4

BUSINESS AREA 4 : PERFORMANCE MONITORING

	Objective	Key Milestones/Performance Measures	Owner	Corporate Aim
4.1	Operational objectives monitoring	<ul style="list-style-type: none"> Collate any noted failure to achieve operational objectives in a separate report following January, May, August and December team meetings 	PrM	1,2,3,4
4.2	Increased scrutiny of roads authorities and their use of the register.	<ul style="list-style-type: none"> Continue to examine inconsistencies in the placing of notices on the SRWR between roads authorities in each of the five SCOTS peer groups. Scrutinise the use of Section 125 notices by Road Works Authorities. 	PrM PrM	1,2
4.3	Increased scrutiny of utility companies	<ul style="list-style-type: none"> Examine the use of urgent works notices October 2019 Scrutinize undertakers who consistently fail to achieve a sample inspection pass rate of 90% by October 2019 	PrM PrM	1,2
4.4	Refine quarterly Performance Reviews in order that performance is tracked though the year.	<ul style="list-style-type: none"> Produce quarterly dashboard – e.g. Red Amber, Green Flags Provide SRWR statistics prior to AreaRAUC meetings 	PrM/ SRWRM SRWRM	1,2
4.5	Produce SRWC Annual Performance Review of organisations	<ul style="list-style-type: none"> Full performance review issued for all of SRWR users by end of July 2018. 	PrM	1,2
4.6	Review of Annual Performance Trends	<ul style="list-style-type: none"> Consider the overall performance of SRWR users, 2017/18 to 2018/19 and taking follow up action where required by December 2019. 	PrM	1,2
4.7	Improvement Strategy	<ul style="list-style-type: none"> Develop a formal SRWC improvement strategy for undertakers and roads authorities. 	PM/PrM	1,2,3
4.8	Review un-actioned items on SRWR as provided by Symology	<ul style="list-style-type: none"> Develop a standard performance review mechanism for SRWR items with outstanding actions 	PrM	1,3

BUSINESS AREA 5 : BUSINESS AND OFFICE GOVERNANCE

	Objectives	Key Milestones/Performance Measures	Owner	Corporate Aim
5.1	Financial policy review	<ul style="list-style-type: none"> Review written financial procedures for relevancy by August 2018 	BusO	4
5.2	Statutory Returns	<ul style="list-style-type: none"> All returns made on time 	BusO	4
5.3	Adhere to Service Standards	<ul style="list-style-type: none"> 100% FOISA/EIRS request timescales met 100% SRWC timescales met 	BusO	4
5.4	Publish Annual Report 2017-2018	<ul style="list-style-type: none"> Report published by end August 2018 	BusO	4
5.5	Undertake staff development and review process	<ul style="list-style-type: none"> Reviews undertaken by May 2019 Mid-year reviews undertaken by November 2018 	SRWC SRWC	1,2,4
5.6	Compliance with SRWC 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 within 10 days 	BusO BusO	4
5.7	Publish Annual Accounts 2017-2018	<ul style="list-style-type: none"> Accounts prepared and submitted to Auditors by end August 2018 with appropriate working papers and report text. Accounts agreed and published by end September 2018 	SRWC SRWC	4
5.8	Implementation of SAGE accounting.	<ul style="list-style-type: none"> Full Integration of Sage for financial year 2017-18. 	BusO	4
5.9	Update the Commissioner's website. Review and revamp ensuring that it is up to date.	<ul style="list-style-type: none"> Review website content twice a year Award for new website provision by June 2018 	SRWRM PrM	3,4

MONITORING AND REPORTING

The SRWC will monitor and review the progress against the plan on a quarterly basis. This will allow any requisite action to be taken should this be required.

Progress against the plan will be published on the Commissioner's website annually, using a Red-Amber-Green system. These publications can be found in the following location:

<https://roadworks.scot/publications>

RESOURCES

The Grant in Aid allocated by the Scottish Government for the SRWC 2018-19 is £375,000. This business plan identifies activities to be completed and spending expected within the 2018-2019 financial year in pursuance of the Commissioner's purpose, reflecting best value, in line with the public services reform report 2018-19, whilst also being open honest and accountable.

The Commissioner is the legislative Keeper of the SRWR. This is funded through the Prescribed Fees and Amounts Regulations 2018.

FEEDBACK / CONTACT US

The Scottish Road Works Commissioner is committed to providing a quality service for the road works community and the people of Scotland. To assist and improve this process, the Commissioner would be pleased to receive feedback and your views on the planning of the service. Alternatively, if you have any comments or complaints about our service please let us know.

All feedback received will be used to inform future plans



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ACCESSIBILITY AND INCLUSION

This document may be available in other formats, please contact us if you wish to discuss this matter.

Version Control

Publication Date	Version	Author	Authorised	Review Date
	1.0	PM	SRWC	N/A