

— OFFICE OF THE —  
SCOTTISH ROAD WORKS COMMISSIONER



## BUSINESS PLAN 2017-18

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## **INTRODUCTION**

The Scottish Road Works Commissioner (SRWC) is an independent regulator of the Roads Authorities and Utility Companies undertaking road works in Scotland.

The role of the SRWC is to provide independent scrutiny of those carrying out road works in Scotland and to promote good practice across the sector.

This Business Plan sets out the Commissioner's objectives, in pursuance of his Corporate Aims (2016-18) for the year 2017-18.

Angus Carmichael was appointed as Scottish Road Works Commissioner in September 2015 for a period of 2 years. This period has since been extended up to 5 years (2020).

This is Angus Carmichael's second 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 set up a team to assist in the execution of his duties.

The Commissioner 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 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 public register which is used for co-ordination of road works in Scotland. The functionality of this register underpins much of the work carried out by the Commissioner.

## **ACCOUNTABILITY**

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

As part of the Commissioner's accountability a Corporate Plan, detailing the strategic outlook for the office of the Scottish Road Works Commissioner, should be prepared. The Commissioner must also lay an annual report and accounts before Parliament.

## **VISION**

The vision of the Scottish Road Works Commissioner is to improve and monitor national performance of road works, creating a positive contribution to Scotland's road network, resulting in minimised disruption for the public.

***“TO MINIMISE DISRUPTION TO THE TRAVELLING PUBLIC BY  
IMPROVING THE CO-ORDINATION OF ROAD WORKS IN  
SCOTLAND”***

At the industry seminar, Roads Expo 2015, the Commissioner set out his methodology to move towards this vision with the identification of clear work streams that his staff would pursue in the coming year. This methodology fits with the overall strategy of the office to contribute to the Scottish National Outcomes set out by the Scottish Government. 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 2016-2018 Corporate Plan.

## REVIEW OF THE OFFICE AND FUNCTIONS OF THE SCOTTISH ROAD WORKS COMMISSIONER AND THE COMMISSIONER'S FOCUS FOR 2017-18

At the request of the then Minister for Transport and the Islands, Derek Mackay MSP, a Review of the Office and Functions of The Scottish Road Works Commissioner was requested at the same time as the appointment of the current Commissioner in September 2015. The review was completed in April 2016 and a response by the Scottish Government has been published on the transport Scotland website.

In September 2016, the Scottish Government announced its programme for Government which included reference to the Scottish Road Works Commissioner and road works -

*“As part of our preparation for a Transport Bill later in the Parliament, during 2016-17 we will work with roads authorities, utilities, road users and others to develop legislative and other options for enhancing and improving the role of the Scottish Road Works Commissioner and the wider regulation of road works”.*<sup>1</sup>

Considering the above statement and the results of the independent review, the Scottish Government have been progressing work towards consulting on a new Miscellaneous Transport Bill. The Commissioner and his team have been closely involved with this work and have provided input where required. 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 is due for renewal on 1 April 2018 and therefore a great deal of work has been carried out in preparation. Forward planning by the Commissioner with respect to the new register has resulted in the Commissioner's office being in a relatively favourable position at the time of writing with the tender for procurement being issued in March 2017.

Given that the proposed Transport Bill may introduce significant changes to the SRWC regime this business plan does not promote as many policy objectives as would normally be progressed in order to avoid unnecessary work. However, the plan focuses on driving forward technical work streams initiated over the last 12 months, in-depth scrutiny of organisations working on Scotland's roads and the delivery of a new Scottish Road Works Register.

The review of the SRWC's Corporate Plan in 2018 will provide a clear vision for the SRWC over the remainder of Angus Carmichael's tenure as Commissioner. The plan will be informed by the on going changes to the governance of road works in Scotland, as a result of the new SRWR and any significant changes proposed by any Transport Bill.

<sup>1</sup> <http://www.gov.scot/Publications/2016/09/2860/5>

## SCOTTISH ROAD WORKS COMMISSIONER'S CORPORATE AIMS

The Scottish Road Works Commissioner has 4 overarching corporate aims, set out in the Corporate Plan 2016-2018, to achieve the vision of maintaining high standards of compliance and promoting good practice. This is the second and final year of the current SRWC Corporate Plan.

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 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:

<b>SRWC</b>	Scottish Road Works Commissioner
<b>PM</b>	Policy Manager
<b>TSM</b>	Technical Standards Manager
<b>SRWRM</b>	Scottish Road Works Register Manager
<b>BusO</b>	Business Officer
<b>PrM</b>	Performance Manager
<b>SROR</b>	Specification for the Reinstatements of Openings in Roads
<b>RAUC(S)</b>	Roads Authorities and Utilities Committee (Scotland)
<b>Area RAUC</b>	Area Roads Authorities and Utilities Committee
<b>Local RAUC</b>	Local Roads Authorities and Utilities Committee
<b>SCOTS</b>	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"> <li>100% Attendance at National RAUC(S)</li> <li>Attendance at Area RAUC meetings</li> <li>Attendance at 15% of Local RAUC meetings</li> <li>Assist with Advice Notes and Codes of Practice</li> </ul>	SRWC  SRWC  TSM  PM	1,2,3
1.2	Contribute to National (UK) working groups.	<ul style="list-style-type: none"> <li>Represent Scotland at Training and Accreditation Group (TAG) UK (quarterly attendance)</li> </ul>	TSM	2,3
1.3	Further develop the Technical Standards programme with emphasis on the rollout of the Superfast Broadband programme in Scotland.	<ul style="list-style-type: none"> <li>Review programme and strategy by June 2017</li> <li>Continue the implementation of the TSM strategy (2017-2018)</li> </ul>	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"> <li>Implement Testing/Data Collection Plan</li> <li>Provide a report on data collected by the end March 2018</li> </ul>	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"> <li>Continue to provide Traffic Management Advice sessions at a rate of 2 per quarter (depending on uptake)</li> </ul>	TSM	3

## BUSINESS AREA 2 : POLICY

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

### BUSINESS AREA 3: SRWR OPERATION AND MANAGEMENT

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



## BUSINESS AREA 4 : PERFORMANCE MONITORING

	Objective	Key Milestones/Performance Measures	Owner	Corporate Aim
4.1	Operational objectives monitoring	<ul style="list-style-type: none"> <li>Continue to produce and publish a quarterly dashboard on the SRWC website – e.g. Red Amber, Green Flags</li> </ul>	PrM	1,2,3,4
4.2	Increased scrutiny of roads authorities and their use of the register.	<ul style="list-style-type: none"> <li>Continue to examine inconsistencies in the placing of notices on the SRWR between roads authorities in each of the five SCOTS peer groups.</li> <li>Scrutinise the use of Section 125 notices by Road Works Authorities.</li> </ul>	PrM PrM	1,2
4.3	Increased scrutiny of utility companies	<ul style="list-style-type: none"> <li>Examine the noticing practices of multi utility undertakers by October 2017</li> <li>Scrutinize undertakers who consistently fail to achieve a sample inspection pass rate of 90% by October 2017</li> </ul>	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"> <li>Produce quarterly dashboard – e.g. Red Amber, Green Flags</li> <li>Provide SRWR statistics prior to AreaRAUC meetings</li> </ul>	PrM SRWRM	1,2
4.5	Produce SRWC Annual Performance Review of organisations	<ul style="list-style-type: none"> <li>Full performance review issued for all of SRWR users by end of May 2017.</li> </ul>	PrM	1,2
4.6	Review of Annual Performance Trends	<ul style="list-style-type: none"> <li>Consider the overall performance of SRWR users, comparing 2015/16 against 2016 and taking follow up action where required by December 2017.</li> </ul>	PrM	1,2
4.7	Scrutinize the outcome of the 2014-15 coring programme.	<ul style="list-style-type: none"> <li>Review RAUC(S) coring data (expected early 2017).</li> <li>Issue a SRWC statement on coring</li> <li>Follow up action on coring data if required.</li> </ul>	PrM PM SRWC	1,2,3
4.8	Improvement Strategy	<ul style="list-style-type: none"> <li>Develop a formal SRWC improvement strategy for undertakers and roads</li> </ul>	PM/PrM	1,2,3

		authorities.		
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## 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"> <li>Established policy and procedures to be reviewed by October 2017</li> </ul>	BusO	4
5.2	Statutory Returns	<ul style="list-style-type: none"> <li>All returns made on time</li> </ul>	BusO	4
5.3	Adherence to Service Standards	<ul style="list-style-type: none"> <li>100% FOISA/EIRS request timescales met</li> <li>100% SRWC timescales met</li> </ul>	BusO BusO	4
5.4	Publish Annual Report 2016-2017	<ul style="list-style-type: none"> <li>Report published by end July 2017</li> </ul>	SRWC	4
5.5	Undertake staff development and review process	<ul style="list-style-type: none"> <li>Reviews undertaken by May 2017</li> <li>Mid-year reviews undertaken by November 2017</li> </ul>	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"> <li>Monthly meetings held</li> <li>Additional staff training</li> <li>95% of payment made to suppliers within 10 days</li> </ul>	BusO SRWC/BusO BusO	4
5.7	Publish Annual Accounts 2016-2017	<ul style="list-style-type: none"> <li>Accounts prepared and submitted to Auditors by end June 2017 with appropriate working papers and report text.</li> <li>Accounts agreed and published by end August 2017</li> </ul>	SRWC SRWC	4
5.8	Implementation of SAGE accounting.	<ul style="list-style-type: none"> <li>Full Integration of Sage for financial year 2017-18.</li> </ul>	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"> <li>Review website content twice a year</li> <li>Award for new website provision by June 2017</li> </ul>	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 action to be taken at an appropriate time should this be required.

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

**[www.roadworksscotland.gov.uk/Publications](http://www.roadworksscotland.gov.uk/Publications)**

## **RESOURCES**

The Grant in Aid allocated by the Scottish Government for 2017-18 is £375,000. This business plan identifies activities to be completed and spending expected within the 2017-2018 financial year in pursuance of the Commissioner's purpose, reflecting best value, whilst being open honest and accountable.

The Commissioner is the Keeper of the SRWR. This is funded through the Prescribed Fees and Amounts Regulations 2017.

## 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



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



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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
27 April 2017	1.0	PM	SRWC	N/A