

— THE OFFICE OF —
THE SCOTTISH
ROAD WORKS
COMMISSIONER

**INTERIM
BUSINESS PLAN
2015-2016**

DISCLAIMER

This Business Plan has been created to guide the work of the OSRWC over the Interim Period. On successful appointment of a new Scottish Road Works Commissioner, this plan may be superseded.

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DOCUMENT STATUS

Date	By	Version	Comment
Aug 2015	HO/PM	1.0	Created
Aug 2015	PM	1.1	Minor Drafting Changes

1. INTRODUCTION

The second Scottish Road Works Commissioner stepped down at the end of May 2015. The Scottish Ministers have since asked the current Head of Operations to step in to provide continuity and run the Office of the Scottish Road Works Commissioner (OSRWC).

The current period has been defined as an “Interim Period”. As such, an Interim Business Plan has been created to guide the work of the OSRWC over the next financial year.

2. LEGAL FRAMEWORK IN WHICH THE COMMISSIONER OPERATES

The Scottish Road Works Commissioner (the Commissioner) is an independent public official, established under Section 16 of the Transport (Scotland) Act 2005, who is accountable to the Scottish Ministers and ultimately the Scottish Parliament. Full details of the legal framework in which the Commissioner operates are detailed in the current OSRWC Corporate Plan, which is available on the Commissioner’s website.

ACCOUNTABILITY

The Scottish Road Works Commissioner is appointed by the Scottish Ministers through sponsorship by Transport Scotland, an agency of the Scottish Government. As part of the Commissioner’s accountability, a Business Plan, detailing the annual activities for the Office of The Scottish Road Works Commissioner must be prepared. The Commissioner must also lay an annual report and accounts before Parliament.

3. VISION

“COMPLIANCE COMMUNICATION AND QUALITY - SUSTAINABLE IMPROVEMENT OF ROAD WORKS IN SCOTLAND”

The vision of the OSRWC 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.

Further information on the vision of the OSRWC and how this supports the Scottish National Outcomes is provided in the OSRWC 2015-2018 Interim Corporate Plan.

4. OSRWC CORPORATE AIMS

The OSRWC has 4 overarching corporate aims, set out in the Interim Corporate Plan 2015-2018, to achieve its vision of maintaining high standards of compliance and promoting good practice.

The aims are as follows:

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

5. STRUCTURE OF THE BUSINESS PLAN

The business plan is a working document which acts as a guide for the Commissioner and the OSRWC through the financial year. The document details a programme of activities designed to achieve the strategic aims of the OSRWC.

A high proportion of work undertaken by the Commissioner and the OSRWC is “Business as Usual” and this has been indicated as BaU, however a number of specific targeted projects have been programmed for this year and these have been marked as Proj.

6. MONITORING AND REPORTING

The OSRWC 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

7. RESOURCES

The Grant allocated by the Scottish Government for 2015-16 is £375,000. This business plan identifies activities to be completed and spending expected within the 2015-2016 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 by the Prescribed Fees and Amounts Regulations 2015.

The Scottish Government has also committed to meeting the costs of the SRWR 2016 tender, which will start to be incurred this year. It also currently directly funds the Head of Operations role.

8. ACTIVITY PLAN

The OSRWC’s Business Plan has been split into six activity areas which will enable the Office to achieve the Aims set in the Corporate Plan.

A large proportion of the work undertaken is noted as ‘Business as Usual’ as it is seen as essential to fulfil the minimum responsibilities of the Commissioner, as set out in the Transport (Scotland) Act 2005. The plan details the significant recurring activities planned for the office.

Specific areas of interest and discrete packages of work have been identified to be targeted in 2015-2016, noted as ‘Project’ in order to either support the operation of the Office or the role of the Commissioner.

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ACTIVITY PLAN TABLES

Activity Key:

BaU Business as Usual

Proj Project

HO Head of Operations

SRWC Scottish Road Works Commissioner

PM Policy Manager

TSM Technical Standards Manager

SM Scottish Road Works Register Manager

BM Business Manager

BO Business Officer

Corporate Aims Key:

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

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

FOISA : Freedom of Information (Scotland) Act

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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	2014	Sept 2015	1, 2	SM	Revised Indicators available on the SRWR that work for the OSRWC 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 FOISA 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	Activities undertaken to meet Scottish Biodiversity embedded in staff objectives. SG Diversity Objectives embedded into Staff objectives.

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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	HO	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	BM	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	BM	Report published.
● Develop a Records Management Plan	Proj	Sept 2015	Mar 2016	4	BM	Implementation of Policy and completion of submissions 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	HO	Plan reviewed in time for new BP for 2016/17.

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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 all levels to improve communication.	BaU	Apr 2015	Mar 2016	1, 2, 3	PM/SM/TSM	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 Newsletter quarterly to circulate good practice	BaU	Apr 2015	Mar 2016	2	SM	100% issued. 75% issued 2 weeks in advance of Area RAUC(S).

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Activity	Type	Start	End	Corporate Aim	Lead	Measures of Success
● Provide and publish Annual Report	BaU	Oct 2015	Nov 2015	4	PM/HO	Issued on time.
● Develop a strategy to handle general enquires	Proj	Apr 2015	Oct 2015	4	BM	Strategy developed and embedded in review cycle.
● Develop programme to ensure relevance of the website	Proj	Sept 2015	Mar 2016	1, 3, 4	SM	Website Hosting agreement reviewed. Review cycle developed and embedded in recurring actions list.
● Identify good practice and promote such practice	BaU	Apr 2015	Mar 2016	3	PM/HO	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.

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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/SM	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 (ACOP) and Advice Notes (AN)	BaU	Apr 2015	Mar 2016	2, 3	PM	Comment made on 100% of ACOP 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	BM/SM	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	SM	100% of Monthly Contract reviews held. 100% of SRWR Steering Groups attended with Papers issued 2 weeks before. Contract extension reviewed by Jun 2015.

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Activity	Type	Start	End	Corporate Aim	Lead	Measures of Success
● Ensure SRWR re-tender progresses	Proj	Apr 2015	Mar 2016	1, 2, 3, 4	SM	SRWR Tender project programme developed by June 2015. SRWR Kick Off Meeting held Aug 2015. SRWR Tender progresses to programme.
● 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/HO	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.

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ACTIVITY 5 HUMAN RESOURCES

Activity	Type	Start	End	Corporate Aim	Lead	Measures of Success
● Undertake Annual Performance Cycle	BaU	Jun 2015	Mar 2016	4	HO	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	HO	100% PDPs tailored to staff created by Sept 2015.
● Review OSRWC Terms and Conditions	Proj	Jun 2015	Dec 2015	4	HO	Full review of T&Cs and HR Policies.

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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	BM	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	BM	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	BM/HO	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	BM	Internal Audit plan developed and actions embedded in Recurring Actions list.
● User feedback analysis	Proj	Sept 2015	Feb 2016	1, 3, 4	SM/PM	Feedback report developed and rolled out to enable bench marking for 2015/2016 BP.