

THE SCOTTISH ROAD WORKS COMMISSIONER



BUSINESS PLAN 2016-17

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INTRODUCTION

The Scottish Road Works Commissioner is an independent regulator unconnected to the Roads Authorities or 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 2016-17.

Angus Carmichael was appointed as Scottish Road Works Commissioner in September 2015. This is his first formal Business Plan.

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 Commissioner has powers to appoint staff and has set up a team to assist in the execution of the Commissioner's 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 are reflected in the business objectives for the 2016-17 period.

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.

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.

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:

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

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 scrutinize 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 Scrutinize 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 AreaRAUC 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	Scrutinize 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% FOISA 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

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

RESOURCES

The grant allocated by the Scottish Government for 2016-17 is £375,000. This business plan identifies activities to be completed and spending expected within the 2016-2017 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 2015.

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

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7 April 2016	1.0	PM	SRWC	N/A