

**BUSINESS PLAN 2022-23**

Contents

[Introduction 3](#_Toc102481427)

[Legal Framework 3](#_Toc102481428)

[Vision 4](#_Toc102481429)

[Transport (Scotland) Act 2019 Implementation 4](#_Toc102481430)

[Scottish Road Works Commissioner’s Corporate Aims 4](#_Toc102481431)

[Review of 2021-22 Objectives 5](#_Toc102481432)

[Structure of this Business Plan 5](#_Toc102481433)

[BUSINESS AREA 1 : TECHNICAL/QUALITY MONITORING 7](#_Toc102481434)

[BUSINESS AREA 2 : POLICY AND QUALITY 9](#_Toc102481435)

[BUSINESS AREA 3: SRWR OPERATION AND MANAGEMENT 10](#_Toc102481436)

[BUSINESS AREA 4 : PERFORMANCE MONITORING 11](#_Toc102481437)

[BUSINESS AREA 5 : BUSINESS AND OFFICE GOVERNANCE 12](#_Toc102481438)

[MONITORING AND REPORTING 14](#_Toc102481439)

[RESOURCES 14](#_Toc102481440)

[FEEDBACK / CONTACT US 14](#_Toc102481441)

[ACCESSIBILITY AND INCLUSION 14](#_Toc102481442)

[APPENDIX A – BUSINESS PLAN 2021/22 OBJECTIVE MONITORING 15](#_Toc102481443)

# 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 for the year 2022-23.

Kevin Hamilton was appointed as Scottish Road Works Commissioner in November 2020 for a period of five years. This is his second formal Business Plan as SRWC.

The ongoing COVID-19 pandemic continues to impact on the road works community and the work of the SRWC. It is expected that the effects will reduce through the period of this plan although contingency measures will remain in place should impacts continue.

# 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 a 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.

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

# Vision

The overarching vision of the SRWC is set out in the Corporate Plan as:

*“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 SRWC’s overall vision aligns with the [National Performance Framework](https://nationalperformance.gov.scot/) (NPF). The SRWC’s vision aims to contribute to the Scottish National Outcomes in the NPF.

Further information on the vision of the SRWC and how this supports the Scottish National Outcomes is provided in the SRWC 2020-23 Corporate Plan.

# Transport (Scotland) Act 2019 Implementation

The Transport (Scotland) Act 2019, which received Royal Assent in November 2019 contained several provisions relation to roadworks. The commencement of these provisions was delayed significantly by the COVID-19 pandemic with only a small number of provisions having been commenced to date.

It is likely that some further provisions of the Act will be commenced during this plan period which will require some input from the SRWC and changes to the SRWR. Whilst the timescales are not fixed, it is expected that changes to the noticing requirements for works start and works complete will be introduced as well as the formal regulations governing reinstatement quality plans.

# Scottish Road Works Commissioner’s Corporate Aims

The Scottish Road Works Commissioner has 4 overarching corporate aims, set out in the Corporate Plan 2020-2023, to achieve the overarching vision for his office, and to maintain the standards set from previous years.

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.

# Review of 2021-22 Objectives

A full breakdown of progress against the objectives set in the 2021-22 Business Plan is included in Appendix A.

The Policy Manager took up a secondment out of the organisation in March 2021 and decided to take up a permanent post, leaving the Commissioner’s office in November 2021. Recruitment to a slightly revised post, Policy and Quality Manager is underway as of March 2022.

The intention had been to review the Corporate Plan and several policies in 2021 but resource pressures and the priority to complete the Reinstatement Quality Plan Code of Practice meant this activity will be carried forward to 2022-23.

The 2021-22 Business Plan set out an objective to produce a climate change action plan within the review of the Corporate Plan but as stated above this has been carried forward. However, the Commissioner did ensure that all staff received Carbon Literacy training in 2021 and disposed of the diesel office pool car. The Commissioner is committed to minimising car use and will only replace the vehicle when a clear use case is identified. Any replacement will be a zero emission vehicle.

On a more positive note, all other objectives were delivered and in addition, the Commissioner published a new Code of Practice on Reinstatement Quality Plans and held two well attended webinar events through the year.

# Structure of this Business Plan

This business plan is a working document which acts as a guide for the Commissioner though the financial year. This document details a programme of objectives and activities designed to achieve the strategic aims of the SRWC.

Activities undertaken 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 ongoing COVID-19 pandemic is expected to affect activities which involve travel and/or meeting with other people in person. Remote working technology has enabled continued operation in relation to business meetings, working groups and the general running of the office. However, activities such as on-site visits and in-person training are unlikely to recommence until mid-way through the plan period at the earliest.

The following abbreviations are used in the activities tables:

SRWC Scottish Road Works Commissioner

PQM Policy and Quality Manager

TSM Technical Standards Manager

SRWRM Scottish Road Works Register Manager

BGM Business and Governance Manager

PrM Performance Manager

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** | **NPF Outcome** |
| 1.1 | Work with road works community at all levels to improve communication | 100% Attendance at National RAUC(S) by the SRWC or a representative 100% Attendance at Area RAUC meetings by the SRWC or a representative | SRWCALL | 1,2,3 | Economy |
| 1.2 | Contribute to National (UK) working groups | Ensure that the training and accreditation group (TAG) and safety at street works review has appropriate devolved nations input and that discrepancies are kept to an absolute minimum where possible.Attend at least 75% of quarterly TAG meetings.Attend at least 75% of Safety at Street Code working group meetings | TSMTSMTSM | 2,3 | Economy, Environment |
| 1.3 | Provide support to RAUC(S) working groups | 75% attendance at Coring Working Group and lead authority meetings75% attendance at SROR working group | TSMTSM | 3 | Economy, Environment |
| 1.4 | SROR Review | Progress the review of the SROR with the aim of a completed draft for consultation by October 2022. | TSM | 2,3 | Economy, Environment |
| 1,5 | Service Life of Reinstatements Research project | Manage and support the appointed consultant in Service Life of Reinstatement Research project with aim of final report by end December 2022. | SRWC / TSM | 2,3 | Economy, Environment |
| 1.6 | Continue to work with the wider Scottish road works community to seek strategies for an overall improvement in the standard of road works | SRWC represented at 75% of meetings as follows: * Scottish Road Research Board
* SCOTS Liaison Committee
* Scottish Pavement Forum
 | SRWC/ TSM | 1,2,3 | Economy, Environment |

# BUSINESS AREA 2 : POLICY AND QUALITY

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
|  | **Objective** | **Key Milestones/Performance Measures** | **Owner** | **Corporate Aim** | **NPF Outcome** |
| 2.1 | Corporate Plan review | Review the Corporate plan, incorporating climate change plan and publish by April 2023 | SRWC/ PQM | 3,4 | Economy, Environment, Fair Work |
| 2.2 | Equality and Diversity Plan | Review Equality and Diversity plan by April 2023 | SRWC / PQM | 3, 4 | Human Rights, Fair Work |
| 2.3 | Reinstatement Quality Plans Framework Development | Produce internal RQP assessment framework by end August 2022Produce and maintain RQP tracker by end July 2022Achieve approval of RQP for 100% of major utilities by April 2023 | PQMPQMPQM | 2,3 | Economy, Environment |
| 2.4 | Continue to provide technical advice to the Scottish Government through implementation of Transport (Scotland) Act 2019 | Provide input to proposed secondary legislationDedicate staff time to sponsor body as required to assist with the implementation of the Act | SRWC/PQMSRWC/PQM | 1,2,3 | Economy, Environment |
| 2.5 | Continue to input to the development of policy through participation in the Scottish Government’s Policy Development Group (PDG) | SRWC is represented at 100% of meetings of PDG | SRWC | 1,2,3 | Economy, Environment |
| 2.6 | Quarterly community SRWC/SRWR newsletter | Produce and disseminate 3 newsletters in line with RAUCS meeting cycle. | SRWC/PQM/SRWRM | 3 | Economy, Environment |

# BUSINESS AREA 3: SRWR OPERATION AND MANAGEMENT

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
|  | **Objective** | **Key Milestones/Performance Measures** | **Owner** | **Corporate Aim** | **NPF Outcome** |
| 3.1 | Prescribed Fees and AmountsCollect all fees due in accordance with SPFM segregated duties | Levels of fee determined. Estimates issued by 1 March 2023, invoices issued by 1 April 2023.Collection of all Statutory Fees for use of the Register by end June 2022.  | SRWRMBGM | 1,2,3,4 | Economy, Environment |
| 3.2 | Ensure that the SRWR operates in line with the contractual requirements and continues to develop, to provide added benefits to the Commissioner and the road works community | Monthly performance and progress review of Symology (Incumbent SRWR Provider)100% attendance at quarterly contract meeting with SRWR Provider100% attendance at quarterly meetings with SRWR Steering Group | SRWRMSRWC/ SRWRMSRWRM | 1,2,4 | Economy, Environment |
| 3.3 | SRWR Customer Survey | Complete analysis of 2021/22 survey and report to Steering group by May 2022 .Undertake 2022/23 Customer survey by end March 2023. | SRWRM | 2,3,4 | Economy, Environment |
| 3.4 | SRWR Contract Re-tender | Commence Re-tender process. Produce milestone plan and engage with SG procurement and digital colleagues by end July 2022. | SRWRM | 1,2,3,4 | Economy, Environment |

# BUSINESS AREA 4 : PERFORMANCE MONITORING

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
|  | **Objective** | **Key Milestones/Performance Measures** | **Owner** | **Corporate Aim** | **NPF Outcome** |
| 4.1 | Operational objectives monitoring | Report on operational objectives performance quarterly to team meetings | SRWC | 3,4 | Economy, Environment, Fair Work |
| 4.2 | Increased scrutiny of roads authorities and their use of the register | Continue to examine inconsistencies in the placing of notices on the SRWR between roads authorities in each of the five SCOTS peer groups.Report on findings by Dec 2022. | PrM | 1,2 | Economy, Environment, |
| 4.3 | Increased scrutiny of roads authority inspection processes | Examine level of inspection activity, pass rates and differences in process.Report on findings by end March 2023. | PrMPrM | 1,2 | Economy, Environment, |
| 4.4 | Refine quarterly Performance Reviews in order that performance is tracked though the year | Produce and refine quarterly dashboard. Ensure dashboard issued to organisations quarterly. | PrM/SRWRMPrM/SRWRM | 1,2 | Economy, Environment, |
| 4.5 | Develop monthly performance metrics | Develop appropriate sector wide monthly performance metrics for internal use initially.Develop options for publishing monthly performance trends. | PrMPrM | 1,2 | Economy, Environment |
| 4.6 | Produce SRWC Annual Performance Review of organisations | Full performance review issued for all of SRWR users by end of June 2022. | PrM/SRWRM | 1,2 | Economy, Environment, |

# BUSINESS AREA 5 : BUSINESS AND OFFICE GOVERNANCE

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
|  | **Objectives** | **Key Milestones/Performance Measures** | **Owner** | **Corporate Aim** | **NPF Outcomes** |
| 5.1 | Statutory Returns | All returns made on time | BGM | 4 | Economy, Environment |
| 5.2 | Adhere to Service Standards | 95% FOI(S)A/EIRs request timescales met | BGM | 4 | Human Rights, Fair Work |
| 5.3 | Undertake staff development and review process | Reviews undertaken by May 2022Mid-year reviews undertaken by November 2022 | SRWCSRWC | 1,2,4 | Fair Work |
| 5.4 | Compliance with SRWC and Scottish Public Finance Manual Procedures, policies and controls, including the FReM | At least 10 monthly budgeting meetings held95% of payment made to suppliers within 10 days | BGMBGM | 4 | Economy, Environment |
| 5.5 | Publish Annual Report and Accounts 2021-2022 | Accounts prepared and submitted to Auditors by end June 2022 with appropriate working papers and report text.Accounts agreed and signed off by end October 2022. | BGM/SRWCBGM/SRWC | 4 | Economy, Environment, Fair Work, Human Rights |
| 5.6 | Update the Commissioner’s website. Review and revamp ensuring that it is up to date. | Review website content twice a year | BGM/PrM | 3,4 | Economy, Environment, Fair Work, Human Rights |
| 5.7 | Oversee all financial transactions and ensure they are recorded correctly | 100% of invoices recorded correctly and reconciled with bank accounts and accounting system. | BGM | 4 | Economy, Environment, Fair Work, Human Rights |
| 5.8 | Records Management review | Implement recommendations from records management plan review by End August 2022.  | BGM/PrM | 4 | Economy, Environment, Fair Work, Human Rights |
| 5.9 | Risk Management Review | Review Risk Management Processes including risk appetite statement and transition of risk register to new format by August 2022 Ensure all staff complete Risk Management training by end July 2022 | SRWCALL | 4 | Economy, Environment |

# 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 in next year’s business plan.

# RESOURCES

The Grant in Aid allocated by the Scottish Government for the SRWC 2022-23 is £411,000. This business plan identifies activities to be completed and spending expected within the 2022-2023 financial year in pursuance of the Commissioner’s purpose, reflecting best value, whilst also being open honest and accountable.

The Commissioner is the legislative Keeper of the SRWR. This is funded through the fees levied by Scottish Road Works Register (Prescribed Fees) Regulations 2022. The total amount to be collected in 2022-23 is £882,933.

# 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

🖱 You can email us at enquiries@roadworks.scot

🖂 You can contact us by post at

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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.

# APPENDIX A – BUSINESS PLAN 2021/22 OBJECTIVE MONITORING

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
|   | **Objective** | **Key - Milestones/Performance Measures** | **Status** | Complete Y/P/N |
|   | **BUSINESS AREA 1 : TECHNICAL/QUALITY CONTROL** |   |   |
| **1.1** | **Work with road works community at all levels to improve communication** | 100% Attendance at National RAUC(S) by the SRWC or a representative 100% Attendance at Area RAUC meetings by the SRWC or a representative Attendance at 15% of Local RAUC meetings by the SRWC or a representative | Attended 100% of RAUC(S) and AREA Raucs meeting. Attended in execess of 15% of local RAUC meetings. | Y |
| **1.2** | **Contribute to National (UK) working groups** | Represent Scotland at Training and Accreditation Group (TAG) UK (quarterly attendance)Represent Scotland on Safety at Street Works Code of Practice working group | Attended all meetings of these working groups. | Y |
| **1.3** | **Provide support to RAUC(S) working groups** | 75% attendance at Coring Working Group75% attendance at RQP working Group | Attended all meetings of these working groups. | Y |
| **1.4** | **Continue to work with the wider Scottish road works community to seek strategies for an overall improvement in the standard of road works** | SRWC represented at 75% of meetings as follows:• Scottish Road Research Board;• SCOTS Liaison Committee;• Transport Scotland Pavement Forum | Attended all meetings of these working groups. | Y |
|  |  |  |  |
|   | **BUSINESS AREA 2 : POLICY** |  |  |
| **2.1** | **Corporate Plan review** | Review the Corporate plan, incorporating climate change plan and publish by April 2022 | Delayed due to secondment of Policy Manager. Carried over to 2022/23. | N |
| **2.2** | **Equality and Diversity Plan** | Review Equality and Diversity plan by April 2022 | Delayed due to secondment of Policy Manager. Carried over to 2022/23. | N |
| **2.3** | **Continue to provide technical advice to the Scottish Government through implementation of Transport (Scotland) Act 2019** | Provide input to proposed secondary legislationDedicate staff time to sponsor body as required to assist with the implementation of the Act | Provided responses to requests for input to secondary legislation. Dedicated time to assist with other queries related to the Act. | Y |
| **2.4** | **Continue to input to the development of policy through participation in the Scottish Government’s Policy Development Group (PDG)** | SRWC is represented at 100% of meetings of PDG | Attended all mmetings of the PDG. | Y |
| **2.5** | **Quarterly community SRWC/SRWR newsletter** | Produce and disseminate 4 newsletters (in line with quarterly RAUC(S) meeting cycle) | Newsletters produced in July, October, December, March | Y |
|  |  |  |  |
|   | **BUSINESS AREA 3 : SRWR OPERATIONS AND MANAGEMENT** |  |  |
| **3.1** | **Produce annual matrix for the collection of prescribed fees and amountsIssue prescribed fees and amounts invoices in accordance with SPFM segregated dutiesCollect all fees due in accordance with SPFM segregated duties** | Levels of fee determinedInvoices issuedCollection of all Statutory Fees for use of the Register by end June 2021.  | Complete | Y |
| **3.2** | **Ensure that the SRWR operates in line with the contractual requirements and continues to develop, to provide added benefits to the Commissioner and the road works community** | Monthly performance and progress review of Symology (Incumbent SRWR Provider)Quarterly contract meeting with Symology (Incumbent SRWR Provider)Quarterly meetings with SRWR Steering Group | Quarterly meetings held May, August, November, February | Y |
| **3.3** | **SRWR  Specification of Requirements**  | Quarterly review  SRWR changesAnnual update of Technical Specification | Quaterly review through SAT meetings. | Y |
|  |  |  |  |
|  | **BUSINESS AREA 4 : PERFORMANCE MONITORING** |  |  |
| **4.1** | **Operational objectives monitoring** | Report on operational objectives performance quarterly to team meetings | Commenced November, reviewed December, January, March | Y |
| **4.2** | **Increased scrutiny of roads authorities and their use of the register** | Continue to examine inconsistencies in the placing of notices on the SRWR between roads authorities in each of the five SCOTS peer groups | Delay in receiving financial data from APSE. Data finally received for all authorities in March 2022. Carry over to 2022/23. | P |
| **4.3** | **Increased scrutiny of roads authority sample inspections** | Examine the numbers and percentages of sample inspections planned and undertakenScrutinize the pass rates of inspections | Ongoing. Dashboard was altered to specifically measure inspections undertaken. Four authorities contacted and advised regarding sample inspection processes. Paper produced for SRWR steering group. Now closed off. | Y |
| **4.4** | **Refine quarterly Performance Reviews in order that performance is tracked though the year** | Produce and refine quarterly dashboardProvide SRWR statistics prior to each Area RAUC meeting. | Monthly graphs now being produced. Ongoing development. Meeting arranged to discuss ongoing frequency. Carry over to 2022/23 | P |
| **4.5** | **Produce SRWC Annual Performance Review of organisations** | Full performance review issued for all of SRWR users by end of August 2021 | Complete | Y |
| **4.6** | **Improvement Strategy** | Continue to implement formal SRWC improvement strategy for undertakers and roads authorities. | Six organisations currently on improvement plan with one under active consideration. | Y |
|   | **BUSINESS AREA 4 : BUSINESS AND OFFICE GOVERNANCE** |   |   |
| **5.1** | **Statutory Returns** | All returns made on time | All returns made on time. | Y |
| **5.2** | **Adhere to Service Standards** | 95% FOI(S)A/EI(S)R request timescales met | 100% at year end. | Y |
| **5.3** | **Undertake staff development and review process** | Reviews undertaken by May 2021Mid-year reviews undertaken by November 2021 | Initial staff reviews undertaken in March 2021. Interim reviews took place October 2021. | Y |
| **5.4** | **Compliance with SRWC and Scottish Public Finance Manual Procedures, policies and controls, including the FReM** | Monthly budgeting meetings held95% of payment made to suppliers within 10 days | External audit - no significant issues | Y |
| **5.5** | **Publish Annual Report and Accounts 2020-2021** | Accounts prepared and submitted to Auditors by end August 2021 with appropriate working papers and report textAccounts agreed and published by end October 2021 | Annual Report and Accounts finalised and signed 3 September 2021. Issued to sponsor on 12 October. Still awaiting to be laid before Parliament. | Y |
| **5.6** | **Update the Commissioner’s website. Review and revamp ensuring that it is up to date** | Review website content twice a yearEnsure that documents uploaded are accessible | Reviewed 29 September | Y |
| **5.7** | **Oversee all financial transactions and ensure they are recorded correctly** | 100% of invoices recorded correctly | All invoices recorded correctly. | Y |
| **5.8** | **Records Management review** | Undertake review of records management procedures to ensure ongoing compliance with relevant legislation. Submission by 9th July. | Submission made to Keeper of Records. Recommendations received and will be taken forward in 2022/23. | Y |