# The Sefton Metropolitan Borough Council Permit Scheme for Road and Street Activities#



SEFTON MBC NETWORK MANAGEMENT 12 MONTH REVIEW, 2015-16





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#### 1 INTRODUCTION

# 1.1 Background

- 1.1.1 The Sefton Metropolitan Borough Council (SMBC) Permit Scheme went live on 2<sup>nd</sup> February 2015.
- 1.1.2 This report forms the statutory 12 month review and report to DfT, following the first full 12 months of operating the Permit Scheme, 'Sefton Council 12 Month review, 2015-16'.
- 1.1.3 The purpose of the 12 month review is;
  - Demonstrate a reduction in the duration of works.
  - Demonstrate a reduction in the number of Permit applications (through an increase in collaborative working).
  - Report the monitored Key Performance Indicators (KPI 1, KPI 2, KPI 3 & KPI 7).
  - Re-evaluate the Cost Benefit Assessment to show an economic return on the investment.
  - Report the annual scheme benefit to all road users.

## 1.2 Report Structure

- 1.2.1 Chapter 2 presents the analysis of the permit applications and actual durations. The review of the key performance indicators is reported in Chapter 3.
- 1.2.2 Chapter 4 presents the report summary, conclusions and recommendations.

### 2 PERMIT APPLICATIONS

# 2.1 Methodology

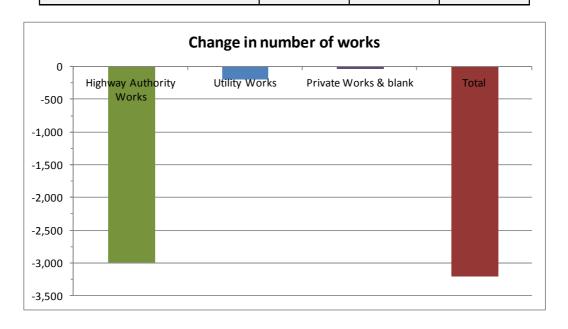
- 2.1.1 Data sources available for this review are:
  - Noticing work stops notices, 2010 2013 (Mayrise database)
  - Permit Scheme work stops notices, February 2015 February 2016 (Mayrise database)
- 2.1.2 This review will assess the year on year change in the number of Permit applications and to review the breakdown of key metrics. The purpose of the review is to quantify the benefit of the Permit Scheme in terms of a reduction in number of days worked on the road network.

#### 2.2 All works

- 2.2.1 The following series of charts and tables present a comparison of the first year under the Permit Scheme and the average year selected under Noticing for the CBA business case assessment.
- 2.2.2 The total number of Permit applications and a breakdown by highway authority and utility company is shown in Table 1 and the accompanying chart.

Noticing Permitting PROMOTER TYPE Change 2012-13 2015-16 Highway Authority Works 8,970 11,945 -2,975 Utility Works 7,761 7,562 -199 Private Works & blank 80 71 -9 Total 19,786 16,603 -3,183

**Table 1 Number of Permit applications** 

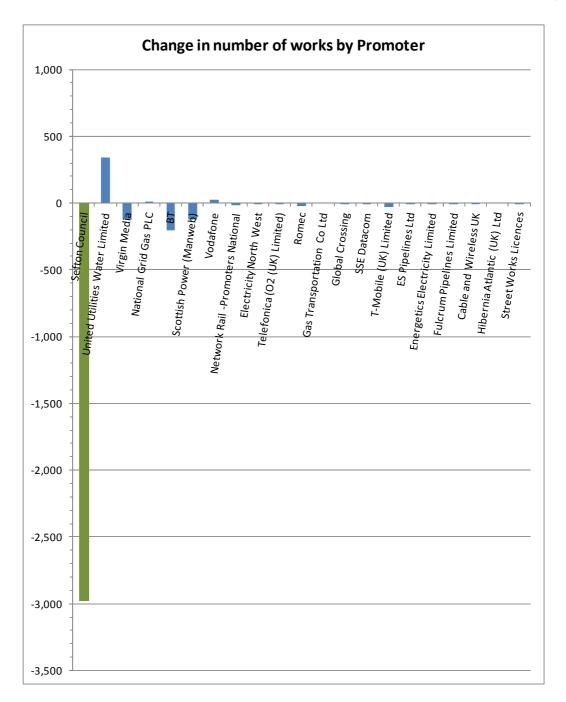




- 2.2.3 The biggest change is a near 3,000 reduction in highway authority works, compared with the noticing records. This is a 25% reduction in highway works.
- 2.2.4 The change in number of Permit applications by works promoter is presented in Table 2 and the accompanying chart.

**Table 2 Change by works promoter** 

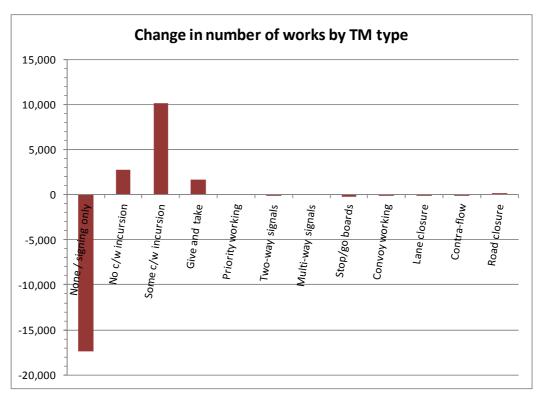
PROMOTER	Noticing 2012-13	Permitting 2015-16	Change
Sefton Council	11,945	8,970	-2,975
United Utilities Water Limited	3,090	3,432	342
Virgin Media	879	753	-126
National Grid Gas PLC	1,012	1,025	13
вт	1,600	1,392	-208
Scottish Power (Manweb)	931	810	-121
Vodafone	32	59	27
Network Rail -Promoters National	48	30	-18
Electricity North West	4		-4
Telefonica (O2 (UK) Limited)	11	3	-8
Romec	25	2	-23
Gas Transportation Co Ltd	1	4	3
Global Crossing	6		-6
SSE Datacom	12		-12
T-Mobile (UK) Limited	61	29	-32
ES Pipelines Ltd	9	7	-2
Energetics Electricity Limited	10		-10
Fulcrum Pipelines Limited	25	14	-11
Cable and Wireless UK	4		-4
Hibernia Atlantic (UK) Ltd		2	2
Street Works Licences	80	68	-12
Blank	1	3	2
Total	19,786	16,603	-3,183



- 2.2.5 The general trend for utility companies is a small change (+ or -) in permit applications compared with the noticing benchmark statistics.
- 2.2.6 The biggest increase is a 10% increase, 342 additional works, for United Utilities Water Limited. There is a corresponding reduction in works for Virgin Media and BT and Scottish Power (Manweb).
- 2.2.7 The changes are not felt to be significant and are generally indicative of annual fluctuations in promoter works numbers to be expected year on year.
- 2.2.8 The following analysis is presented for applications by all works promoters. The same analysis is presented separately in Appendix A for highway authority works and utility company works.
- 2.2.9 Table 3 and the accompanying chart presents a comparison of the change in number of all works applications by traffic management type.



TRAFFIC MANAGEMENT TYPE	Noticing 2012-13	Permitting 2015-16	Change
None / signing only	17,397		-17,397
No c/w incursion		2,717	2,717
Some c/w incursion		10,133	10,133
Give and take	1,053	2,668	1,615
Priority working	5	27	22
Two-way signals	326	318	-8
Multi-way signals	159	188	29
Stop/go boards	324	91	-233
Convoy working	148	1	-147
Lane closure	229	182	-47
Contra-flow	4	1	-3
Road closure	111	277	166
Blank	30		-30
Total	19,786	16,603	-3,183



- 2.2.10 The biggest change is the transition from EToN5 to EToN6 traffic management types, and a move from None/signing only to no carriageway incursion and some carriageway incursion.
- 2.2.11 Almost all highway works in this category are classified as having some carriageway incursion. Whilst almost 50% of utility works are classified as taking place with no carriageway incursion.



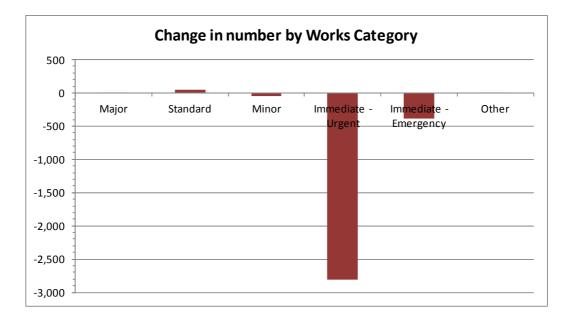
- 2.2.12 Otherwise the most significant change is a 1,600 increase in give and take works.
- 2.2.13 There is also a significant reduction in works using stop/go boards or convoy working and a significant increase in road closures. This change is evident for both highway authority and utility works.

Recommendation 01: Monitor traffic management types and confirm if an apparent move from stop/go boards and convoy working to road closures is appropriate.

2.2.14 The total number of Permit applications by Works Category is shown in Table 4 and the accompanying chart.

Noticing Permitting WORKS STOPPED Change 2012-13 2015-16 Maior 223 232 9 Standard 994 1,038 44 Minor 11,977 11,935 -42 Immediate - Urgent 5,376 2,567 -2,809 Immediate - Emergency 1,215 829 -386 Other 2 1 1 Total 19,786 16,603 -3,183

Table 4 Applications by works category

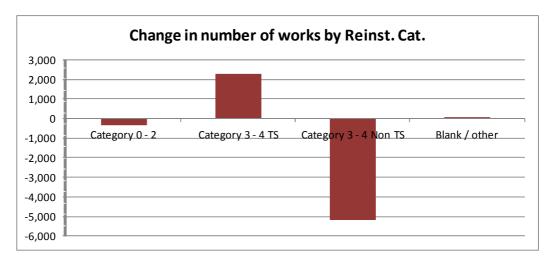


- 2.2.15 The most significant change is a reduction in Immediate Urgent works (from 5,376 to 2,567). The data analysis presented in Appendix A shows that almost all of this change is a result of an overall reduction in highway authority works.
- 2.2.16 Utility works show a reduction in Standard and Immediate Emergency works and an increase in Minor works. The total number of utility permit applications

- in the year is consistent with the noticing records and the changes are not thought to be significant.
- 2.2.17 The total number of Permit applications by reinstatement category type is shown in Table 5 and the accompanying chart.

Table 5 Number by reinstatement category type

REINSTATEMENT CATEGORY	Noticing 2012-13	Permitting 2015-16	Change
Category 0 - 2	2,814	2,449	-365
Category 3 - 4 TS	1,354	3,649	2,295
Category 3 - 4 Non TS	15,618	10,429	-5,189
Blank / other		76	76
All works	19,786	16,603	-3,183



- 2.2.18 The change in number of permits on each road type has changed since the CBA business case was developed. There are two reasons for this;
  - Traffic sensitivity was reviewed and updated prior to the introduction of the Permit Scheme. The result of this review was an increase in the number of category 3 and 4 streets with traffic sensitive status.
  - The overall 3,000 reduction in works annually is primarily on non-traffic sensitive streets.
- 2.2.19 Works on category 0-2 routes show very little change following the move to a Permit Scheme.
- 2.2.20 Table 6 shows a comparison of the average works duration for all works.

# Table 6 Average works duration

Total number of days worked	65,672	40,996	-24,676
Average duration (days)	3.3	2.5	-0.8
DURATION	Noticing 2012-13	Permitting 2015-16	Change

- 2.2.21 The overall reduction in average duration is significant; reducing from 3.3 days to 2.5 days. This is a 25% reduction in average works duration. The reduction constitutes 24,500 fewer days worked compared with the situation under Noticing, an overall 38% reduction in working days.
- 2.2.22 Reviewing the highway authority works durations (Appendix A.1) shows a large reduction in average duration, down from 2.8 to 1.8. The total number of days worked on highway authority works reduces by 16,300 or nearly 50%.
- 2.2.23 Average durations are low for each highway works category. It is unlikely that durations could be reduced much further, but highway works durations should be monitored in year 2 to avoid an increase in subsequent years.
- 2.2.24 Reviewing the utility company works durations (Appendix A.2) shows a reduction in average duration for all works, from 4.2 days to 3.2 days. Overall, the number of days worked on utilities schemes reduced by 8,400 compared with works records under Noticing.
- 2.2.25 Average durations by works category are logical, but average durations for Immediate works are higher than for highway works (3.8 and 5.3 days compared with 1.7 and 1.2 days).

Recommendation 02: Monitor utility works durations on Immediate works in year 2, to identify if durations can be challenged to further improve benefits from the Scheme.

#### 2.3 Scheme Benefit

- 2.3.1 The reduction in number of works across the network is significant at 16%. The detailed analysis indicates that the majority of this reduction is achieved on highway works on category 3 and 4 non-traffic sensitive streets. There is no significant change in the number of utility works on the network compared with the typical year selected under Noticing.
- 2.3.2 Figure 1 presents the number of works per annum under Noticing and during the first full year of operation following the introduction of the Permit Scheme.

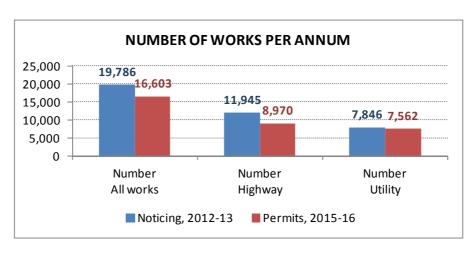


Figure 1 Number of works per annum

2.3.3 The combination of a reduction in the number of works and a significant reduction in average works durations has resulted in an overall 38% reduction in number of days worked on the road network. This equates to nearly 25,000 fewer days worked on the network in the last year.

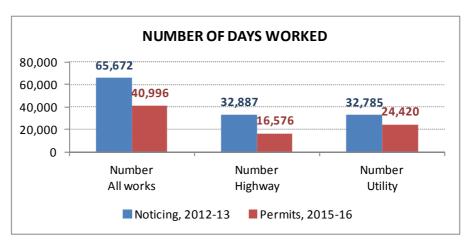


Figure 2 Number of days worked per annum

- 2.3.4 The CBA business case calculated the cost per day for each traffic management type on each street type. Since the majority of the reduction in works numbers is accounted for with short duration Immediate Urgent works on category 3 and 4 non-traffic sensitive streets, the financial benefit to road users of the Permit Scheme in year 1 is calculated as:
  - Average monetary cost of works per day, £159 (source: CBA report 2010 prices, works with some form of give and take management)
  - Number of days saved under Permit Scheme, 24,676
  - Monetary benefit to road users, £3.9M per annum
- 2.3.5 This saving equates to approximately 20% of the overall cost of works calculated in the CBA (£18.25M per annum total cost to road users).

#### 2.4 Conclusions

- 2.4.1 The biggest change in the number of works is a near 3,000 reduction in highway authority works, compared with the noticing records. This is a 25% reduction in highway works.
- 2.4.2 The general trend for utility companies is a small change (+ or -) in permit applications compared with the noticing benchmark statistics. The biggest increase is a 10% increase, 342 additional works, for United Utilities Water Limited. There is a corresponding reduction in works for Virgin Media and BT and Scottish Power (Manweb).
- 2.4.3 The overall reduction in average duration is significant; reducing from 3.3 days to 2.5 days. This is a 25% reduction in average works duration. The reduction constitutes 24,500 fewer days worked compared with the situation under Noticing, an overall 38% reduction in working days. The total number of days worked on highway authority works reduces by 16,300 or nearly 50%. Overall, the number of days worked on utilities schemes reduced by 8,400 compared with works records under Noticing.
- 2.4.4 The CBA business case calculated the cost per day for each traffic management type on each street type. The financial benefit to road users of the Permit Scheme in year 1 is calculated as:
  - Average monetary cost of works per day, £159 (source: CBA report 2010 prices, works with some form of give and take management)
  - Number of days saved under Permit Scheme, 24,676
  - Monetary benefit to road users, £3.9M per annum
- 2.4.5 The 25% reduction in number of days worked is substantially higher than the 5% benefit specified in the DfT guidelines for the business case justification for a move to Permit Schemes.

#### 3 KPI MONITORING

#### 3.1 Introduction

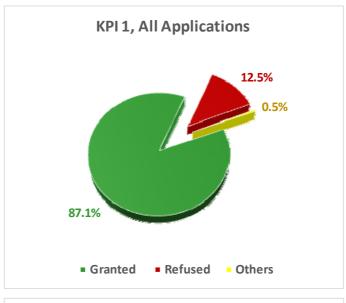
- 3.1.1 The four Key Performance Indicators committed for inclusion in the annual review are;
  - **KPI 1**, the number of Permit and Permit Variation applications received and a breakdown of the number granted and refused
  - **KPI 2**, the number of conditions applied by condition type
  - **KPI 3**, the number of approved Permit variations (extensions)
  - **KPI 7**, the number of inspections carried out to monitor conditions
- 3.1.2 The above data should be presented separately for highway authority and utility company applications to demonstrate parity in the application of the Scheme.

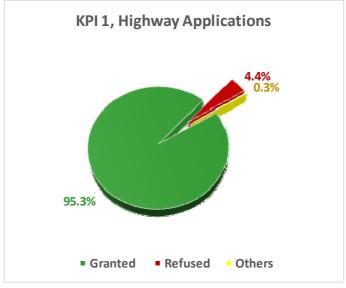
#### 3.2 KPI review

- 3.2.1 KPI 1 the number and proportion of Permit and Permit Variation applications received and refused; a breakdown of refusal rate is presented below.
- 3.2.2 Table 7 and Figure 3 shows the breakdown of number of permit applications and permit variation requests received and the refusal rate.

Table 7 KPI 1, Permit and Variation applications received and refused

PROMOTER	Received	Refused	%
Highway authority	9,936	440	4.4%
Utility	9,485	1,985	20.9%
ALL	19,421	2,425	12.5%





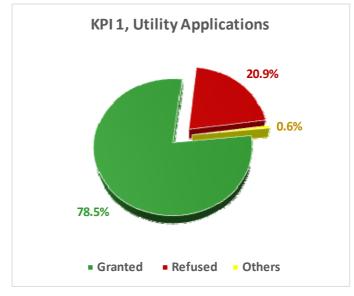


Figure 3: KPI 1, Permit and Variation Applications



- 3.2.3 KPI 1 Approximately one fifth of all permit and permit variation applications by statutory undertakers were refused. 12.5% of all applications are refused.
- 3.2.4 With regards to KPI 1, the high amount of granted permits does not reflect the actual amount of work involved by Scheme co-ordinators, as they only refuse permits where the activity promoters fail to update the permit.
- 3.2.5 It should be noted that the refusal data for KPI 1 includes Permit Modification requests for which the majority would have subsequently been granted. As the majority of the PA works are patching works and are completed within 1 day a high proportion of the modifications which have been requested are only applicable to utility works. This makes the KPI figures reported by Mayrise slightly misleading.
- 3.2.6 KPI 2 the number of conditions applied by condition type; a breakdown of the number of conditions applied by condition type for highway and utility permit applications is shown in Figure 4.

All Conditions	Utility	Highway	All
TOTAL	8,132	3,342	11,474

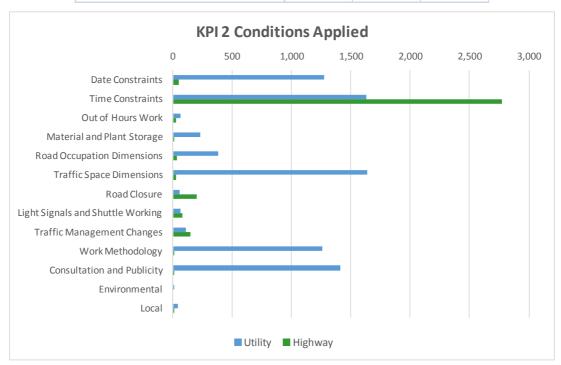
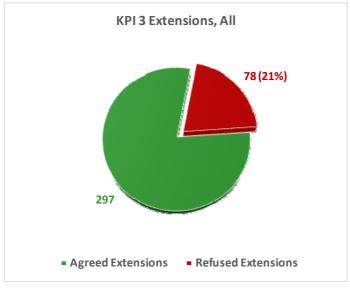
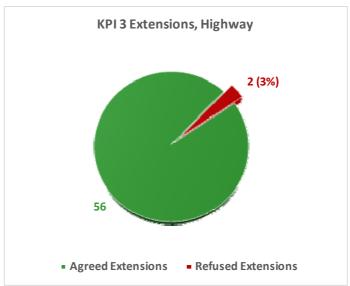


Figure 4: KPI 2, Conditions Applied

- 3.2.7 Approximately two thirds of the conditions applied relate to applications by utility promoters. The remaining third apply to highway authority applications.
- 3.2.8 KPI 3 number of approved extensions; the following figures show the number of extensions granted and refused, for all promoters, and separately for highway authority applications and for statutory undertakers.







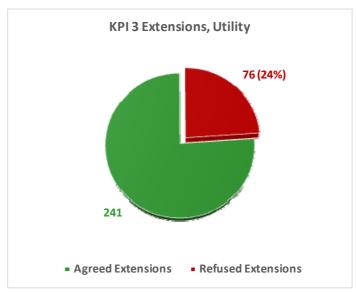


Figure 5: KPI 3, Permit Extensions

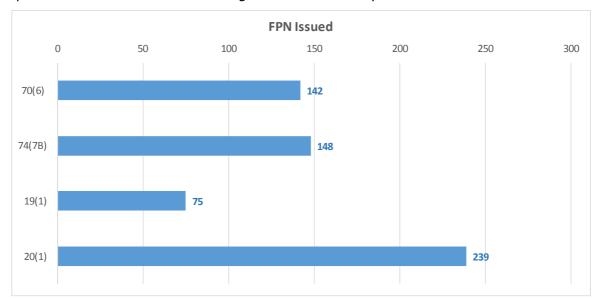


- 3.2.9 Approximately 60% of permit extensions granted were for statutory undertakers. All but 14 of extensions refused (142 of 156) were for statutory undertakers.
- 3.2.10 Sefton Permit Co-ordinators and Inspectors continue to work closely with each other. They are fully aware of the works that are being undertaken on-site and therefore only grant permit variations (extensions) where they feel that they are appropriate. This helps to reduce occupation of the highway.
- 3.2.11 KPI 7 the Number of Inspections carried out to monitor conditions. During the year 1,055 inspections have been carried out to monitor conditions and from these inspections 883 passed and 172 (16%) were found to be non-compliant, see Table 8 below.

Table 8 Number of inspections carried out to monitor conditions

	Passed	Non-Compliant	Number of Inspections	Fail %
TOTAL NUMBER OF INSPECTIONS	883	172	1,055	16%

3.2.12 Consequently, 604 fixed penalty notices (FPN) have been issued for breaches of permit conditions identified during the course of the year.



**Figure 6: Fixed Penalty Notices Issued** 

3.2.13 The FPN figures for 70 (6) and 74 (7B) are consistent with that from previous years. Offence codes 19(1) and 20 (1) are new offences relating specifically to permit schemes. It is the Council's intention to monitor these more closely throughout year 2 with a view to working with works promoters to identify and resolve potential issues.

Recommendation 03: Monitor site inspection failures and FPN issued for breach of permit conditions in year 2. Meet with poor performing utilities if necessary, to promote performance improvements.

#### 3.3 Conclusions

- 3.3.1 **KPI 1**, the number of Permit and Permit Variation applications received and a breakdown of the number granted and refused; approximately one fifth of all permit and permit variation applications by statutory undertakers were refused (the refusal rate for applications by the highway authority was 5%).
- 3.3.2 It should be noted that the refusal data for KPI 1 includes Permit Modification requests for which the majority would have subsequently been granted. A high proportion of the modifications which have been requested are only applicable to utility works. This makes the KPI figures reported by Mayrise slightly misleading.
- 3.3.3 **KPI 2**, the number of conditions applied by condition type; approximately two thirds of the conditions applied relate to applications by utility promoters. The remaining third apply to highway authority applications.
- 3.3.4 **KPI 3**, the number of approved Permit variations (extensions); approximately 60% of permit extensions granted were for statutory undertakers. All but 14 of extensions refused (142 of 156) were for statutory undertakers.
- 3.3.5 Sefton Permit Co-ordinators and Inspectors continue to work closely with each other. They are fully aware of the works that are being undertaken on-site and therefore only grant permit variations (extensions) where they feel that they are appropriate. This helps to reduce occupation of the highway.
- 3.3.6 **KPI 7**, the number of inspections carried out to monitor conditions; during the year 1,055 inspections have been carried out to monitor conditions and from these inspections 883 passed and 172 (16%) were found to be non-compliant.
- 3.3.7 Consequently, 604 fixed penalty notices (FPN) have been issued for breaches of permit conditions identified during the course of the year. The FPN figures for 70 (6) and 74 (7B) are consistent with that from previous years. Offence codes 19(1) and 20 (1) are new offences relating specifically to permit schemes. It is the Council's intention to monitor these more closely throughout year 2 with a view to working with works promoters to identify and resolve potential issues.

#### 4 CONCLUSIONS

# 4.1 Summary

- 4.1.1 The Sefton Metropolitan Borough Council (SMBC) Permit Scheme went live on 2<sup>nd</sup> February 2015.
- 4.1.2 This report forms the statutory 12 month review and report to DfT, following the first full 12 months of operating the Permit Scheme, 'Sefton Council 12 Month review, 2015-16'.
- 4.1.3 The purpose of the 12 month review is;
  - Demonstrate a reduction in the duration of works.
  - Demonstrate a reduction in the number of Permit applications (through an increase in collaborative working).
  - Report the monitored Key Performance Indicators (KPI 1, KPI 2, KPI 3 & KPI 7).
  - Re-evaluate the Cost Benefit Assessment to show an economic return on the investment.
  - Report the annual scheme benefit to all road users.
- 4.1.4 The Council plan to undertake this review annually.

## 4.2 Scheme benefits

- 4.2.1 The reduction in number of works across the network is significant at 16%. The detailed analysis indicates that the majority of this reduction is achieved on highway works on category 3 and 4 non-traffic sensitive streets. There is no significant change in the number of utility works on the network compared with the typical year selected under Noticing.
- 4.2.2 The combination of a reduction in the number of works and a significant reduction in average works durations has resulted in an overall 38% reduction in number of days worked on the road network. This equates to nearly 25,000 fewer days worked on the network in the last year.
- 4.2.3 The CBA business case calculated the cost per day for each traffic management type on each street type. The financial benefit to road users of the Permit Scheme in year 1 is calculated at £3.9M per annum. This saving equates to approximately 20% of the overall cost of works calculated in the CBA (£18.25M per annum total cost to road users).
- 4.2.4 The 25% reduction in number of days worked is substantially higher than the 5% benefit specified in the DfT guidelines for the business case justification for a move to Permit Schemes.

# 4.3 Recommendations

4.3.1 Three recommendations have been made to monitor performance during year 2 to prevent the year 1 benefits being eroded and to drive further improvements across the network;

Recommendation 01: Monitor traffic management types and confirm if an apparent move from stop/go boards and convoy working to road closures is appropriate.



Recommendation 02: Monitor utility works durations on Immediate works in year 2, to identify if durations can be challenged to further improve benefits from the Scheme .

Recommendation 03: Monitor site inspection failures and FPN issued for breach of permit conditions in year 2. Meet with poor performing utilities if necessary, to promote performance improvements.

#### 4.4 Conclusions

- 4.4.1 Monitoring the key performance indicators and evidence gained from the first year of operation demonstrates that the Permit Scheme;
  - improves coordination of activities
  - improves safety at road and street works
  - improves communication between authority and utility companies
  - reduces occupancy of the highway
  - improves accuracy of works records recorded in the Register
  - reduces customer complaints
- 4.4.2 This review has demonstrated that Scheme has achieved its objectives in the first year, as defined in the application documents.

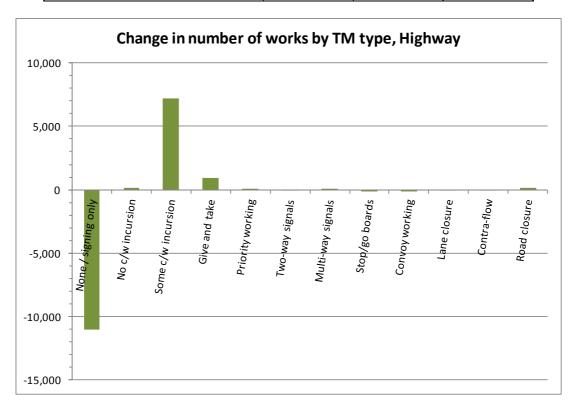
## A. PERMIT APPLICATIONS 2015-16

# A.1 Highway authority works

The number of highway authority applications by traffic management type is shown in Table A.1.

Table A.1 Number of applications by traffic management type

TRAFFIC MANAGEMENT TYPE	Noticing 2012-13	Permitting 2015-16	Change
None / signing only	11,047		-11,047
No c/w incursion		127	127
Some c/w incursion		7,189	7,189
Give and take	122	1,068	946
Priority working		2	2
Two-way signals	189	173	-16
Multi-way signals	68	75	7
Stop/go boards	146	40	-106
Convoy working	148	1	-147
Lane closure	144	109	-35
Contra-flow	1		-1
Road closure	50	186	136
Blank	30		-30
Total	11,945	8,970	-2,975

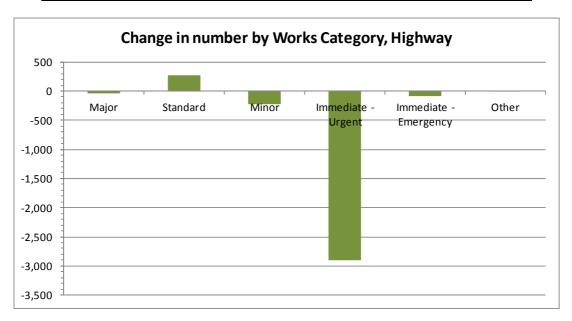


The biggest change for year 3 is the transition from EToN5 to EToN6 traffic management types, and a move from None/signing only to no carriageway incursion and some carriageway incursion. The number of works using give and take traffic management has also increased.

The number of works requiring a road closure has increase significantly from 50 to 186 and there is a reduction in the number of works using stop/go boards or convoy working.

Table A.2 Applications by works category

WORKS STOPPED	Noticing 2012-13	Permitting 2015-16	Change
Major	65	32	-33
Standard	259	525	266
Minor	7,618	7,393	-225
Immediate - Urgent	3,543	646	-2,897
Immediate - Emergency	459	374	-85
Other	1		-1
Total	11,945	8,970	-2,975



The overall reduction in number of highway works accounted for by the 80% reduction in Immediate – Urgent works (2,897 fewer works). Otherwise there are only small changes in the number of other works categories.

**Table A.3 Average works duration** 

DURATION	Noticing 2012-13	Permitting 2015-16	Change
Average duration (days)	2.8	1.8	-1.0
Total number of days worked	32,887	16,576	-16,311

Highway authority works show a large reduction in average duration and a near 50% reduction in number of days worked.

Table A.4 Average works duration, by works category

21.8	7.4	1.4	(URGENT)	(EMERG.) 1.2
669	3,883	10,430	1,099	465

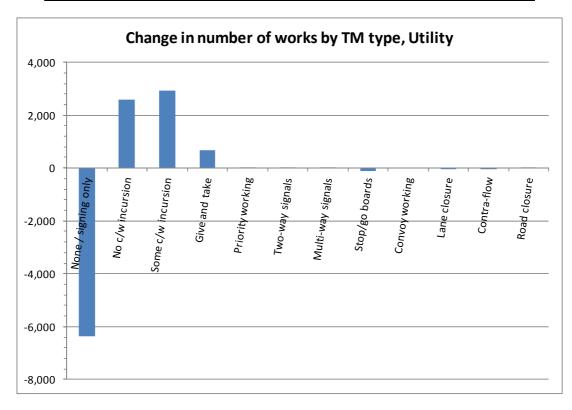
Highway authority average durations are within the range expected for each works category.

# A.2 Utility works

Traffic management changes are primarily a result of the transition from EToN5 to EToN6 traffic management types, with a shift from None/signing only to No or Some Carriageway Incursion. Approximately 50% of the transfer is classified as taking place with no carriageway incursion.

Table A.5 Number of applications by traffic management type

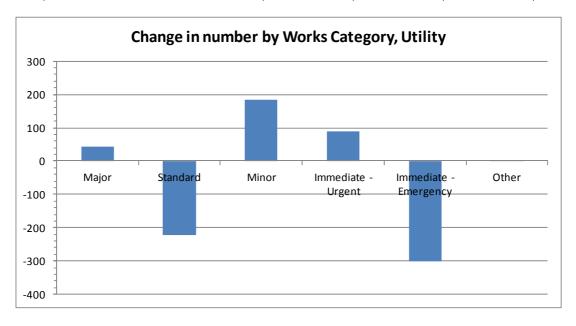
TRAFFIC MANAGEMENT TYPE	Noticing 2012-13	Permitting 2015-16	Change
None / signing only	6,350		-6,350
No c/w incursion		2,590	2,590
Some c/w incursion		2,944	2,944
Give and take	931	1,600	669
Priority working	5	25	20
Two-way signals	137	145	8
Multi-way signals	91	113	22
Stop/go boards	178	51	-127
Convoy working			
Lane closure	85	73	-12
Contra-flow	3	1	-2
Road closure	61	91	30
Blank			
Total	7,841	7,633	-208



There is an increase in Give and Take control and a large reduction in the number of works using stop/go boards. These changes are consistent with the change in highway works traffic management.

Table A.6 Applications by works category

WORKS STOPPED	Noticing 2012-13	Permitting 2015-16	Change
Major	158	200	42
Standard	735	513	-222
Minor	4,359	4,542	183
Immediate - Urgent	1,833	1,921	88
Immediate - Emergency	756	455	-301
Other		2	2
Total	7,841	7,633	-208



There is no significant change in works category numbers with the Permit Scheme in place.

Table A.7 Average works duration

Average duration (days)	2012-13 4.2	2015-16 3.2	-1.0
Total number of days worked	32,785	24,420	-8,365

Utility works show a near 25% reduction in average works duration and over 8,000 fewer days worked for the same number of works.

Table A.8 Average works duration, by Works Category

MAJOR	STANDARD	MINOR	IMMED. (URGENT)	IMMED. (EMERG.)
14.1	5.9	2.0	3.8	5.0
2,829	3,027	9,081	7,215	2,263

Average durations for Immediate – Urgent and Emergency works are higher than the corresponding durations for highway authority works (3.8 and 5.0 days compared with 1.7 and 1.2 days).