





HAUC(England) Advice Note No. **001/2016**

Report Template for the Evaluation of Permit Schemes

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PERMIT SCHEME EVALUATION REPORT TEMPLATE

Regulation 10 of The Traffic Management Permit Scheme (England) (Amendment) Regulations 2015 inserts a new regulation (16A) into the 2007 Regulations. This new regulation makes provision for the content and timing of permit scheme evaluations which states that permit schemes be evaluated following the first, second and third anniversary of the scheme's commencement and then following every third anniversary. It also requires that the outcome of each evaluation be made available within three months of the relevant anniversary.

The regulation states that, in its evaluation, the Permit Authority shall include consideration of:

- (a) whether the fee structure needs to be changed in light of any surplus or deficit;
 - (b) the costs and benefits (whether or not financial) of operating the scheme; and
 - (c) whether the permit scheme is meeting key performance indicators where these are set out in the Guidance.
- (4) The outcome of each evaluation shall be made available to the persons referred to in regulation 3(1) within three months of the relevant anniversary.

This report template sets out the suggested layout and content for an evaluation report for each authority to use to ensure that the requirements of the regulations are met and that it can demonstrate that the permit scheme is meeting its objectives.

This guidance template is intended to assist permitting authorities in producing evaluation reports in relation to their permit schemes. The measures contained within this document are an example only. The permit TPIs have been agreed with EToN developers as set out in section 7 though it is possible to report other measures those additional measures are set out in section 8. The suggested content for each measure is given in Section 6.

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1 Executive Summary

General points for authorities to consider when drafting the report;

In the Executive Summary and the Objectives sections of this document it is recommended that the permit authority provides an overview of how the permit scheme has performed over the period that may include specific examples linked to their own authority. Authorities can provide examples of successes/achievements and their contribution to those successes/achievements.

2 Introduction

The Traffic Management Act 2004 (TMA), Part 3 Sections 32 to 39, and the Traffic Management Permit Scheme (England) Regulations 2007 make provision for Permit Schemes to be introduced in England. The XXX Permit Scheme (XXX) was adopted by Authority Name on XX and has been amended to reflect the requirements introduced in 2015 as required.

This report sets out an overview of XXX operational performance in its XX year. The report provides detailed scrutiny of the available data in relation to street works and activities in Authority Name.

3 Objectives of the XXX Permit Scheme

The objectives of XXX were laid out in Section X of the Scheme. These are summarised below along with how they have been met. Set out each of the objectives of the permit scheme and address how each has been met by the authority in the relevant year.

1) Objective 1

Authority Input

2) Objective 2

Authority Input

Continue as necessary to cover all objectives of scheme

4 Fee structure

The Traffic Management Permit Scheme (England) (Amendment) Regulations 2015 require that the permit authority shall give consideration to whether the fee structure needs to be changed in light of any surplus or deficit;

Authority to provide information regarding whether or not fee structure needs to be changed

5 Costs and Benefits

The Traffic Management Permit Scheme (England) (Amendment) Regulations 2015 require that the permit authority also shall give consideration to whether the permit scheme is meeting key performance indicators where these are set out in the Guidance.

6 Performance Indicators

[AUTHORITY TO PROVIDE INFORMATION ON PIs IN INDIVIDUAL SCHEMES]

6.1 PI1 The number of permit and permit variation applications

The number of permits and permit variation applications received, the number granted and the number refused and shown as:

- The total number of permit and permit variation applications received, excluding any applications that are subsequently withdrawn
- The number of applications granted as a percentage of the total applications made
- The number of applications refused as a percentage of the total applications made.

6.1.1 Results

Permits Granted and Refused

The table below shows a breakdown of permit applications received, granted and refused for the second year of operation in AuthorityName. The complete summary of the data can be found in Appendix 1.

Table 1

Permits Received/Granted/Refused	Number
Total permit applications received by AuthorityName during XXXX year of scheme	

Total permit variation applications received by Authority Name during XX year of scheme	
- Total permits with status that cannot be determined:	
= Total permits granted or refused:	
Total granted:	
Total refused:	

The charts below show a breakdown of the data into applications granted and refused in relation to highway authority works for road purposes and works by utility promoters, and provide a comparison with the percentage of permits granted in XXX for the same periods. Also, the data is further broken down by activity type into applications granted and refused.

The data provided in the above table has been collated from the AuthorityName permitting system and a summary of collated data is shown in Appendix 1.

The following considerations must be noted in relation to this data(*delete as appropriate)

1. Each application has an appropriate response period which means that the number of applications received in any one period does not correspond to the permits granted and refused within that same period. In other words, a permit application received in one period may be responded to within the next period.

[USE ONLY WHEN APPLICABLE]

2. *The permitting software used by Authority Name did not allow the authority to grant or refuse Immediate” permit applications where a works stop was received before an authority could respond to the initial application. This was particularly prevalent where works were undertaken at weekends or out of normal working hours.*

These issues mean that there are a number of permit applications, the status of which cannot be determined.

Number of Permit Applications

The following graph shows the split of permit applications received from both highway authority and utility promoters. On average, highway authorities generated X1% and utility promoters X2% of the applications received.

6.1.2 Analysis

Permits Granted and Refused

Authority input to explain any significant findings (e.g. different rates of refusals, changes from previous year)

Number of Permit Applications

Authority input to explain any significant findings (e.g. different rates of applications, changes from previous year)

6.2 PI2 The number of conditions applied by condition type.

This will be measured by promoter and shown as:

- the number of permits granted
- the number of conditions applied, broken down into condition types. The number of each type being shown as a percentage of the total permits issued.

6.2.1 Results

If the Authority is able to supply the data: Explain how this data was produced (e.g. built-in system report, manual analysis) and potential issues with data interpretation.

If the Authority is not able to supply the data: Explain why you were unable to supply the data (e.g. EToN system issues)

The charts below show the percentage of permit conditions applied against permits in relation to works for road purposes and streets works undertaken by statutory undertakers on the basis of the 13 standard EToN conditions. A summary of the data is shown in Appendix 1.

6.2.2 Analysis

Authority to explain any significant trends in the data and compare with the previous year's figures (if available)

6.3 The number of approved revised durations

This will be measured by promoter and shown as:

- the total number of permits granted
- the number of requests for revised durations shown as a percentage of permits issued
- the number of agreed revised durations as a percentage of revised durations applied for

6.3.1 Results

XXXX

6.4 The number of occurrences of reducing the application period

Also known as “early starts”, this will be shown as:

- the total number of permit and permit variation applications made
- the number of requests to reduce the notification period as a percentage of total applications made
- the number of agreements to reduce the notification period as a percentage of requests made.

6.4.2 Results

6.4.2 Analysis

This measure was considered to be in relation to the number of times promoters were allowed by AuthorityName to start their works without having to comply with the minimum permit application lead-in period, commonly known as an early start agreement.

Permit Scheme X provides a framework for AuthorityName to treat all activities and activity promoters covered by the scheme on an equal basis. The above data shows that largely to be the case. Early start requests are considered individually on their own merits by AuthorityName and are never refused without a valid reason.

Authority to explain any significant trends in the data and compare with the previous year's figures (if available)

7 TPI measures

This section outlines the Permit Indicators (TPI) contained as Annex A within the Statutory Guidance for Highway Authority Permit Schemes .

These indicators for permit schemes are additional to the general TMA Performance Indicators (TPIs), which are already being produced.

7.1 TPI1 Works Phases Started (Base Data)

7.2 TPI2 Works Phases Completed (Base Data)

7.3 TPI3 Days of Occupancy Phases Completed

7.4 TPI4 Average Duration of Works

7.5 TPI5 Phases Completed on time

7.6 TPI6 Number of deemed permit applications

7.7 TPI7 Number of Phase One Permanent Registrations

8 Authority Measures

In addition to the above measure. Authority XXX has collated its own data.

These measures should reflect the business case and objectives put forward in the scheme submission documentation.

8.1 AM 1 - Average duration of works by permit type

Authority to provide data for this measure from local registers and summarise the results and analyse any significant trends in comparison with the previous year's figures.

8.2 AM 2 – Inspections

This measure was intended to provide two separate performance indicators:

1. Number of failed Sample A inspections shown as a percentage of the total undertaken within a period.
2. Number of failed permit conditions checks (where one or more permit conditions have been breached) shown as a percentage of the total undertaken within a period.

8.2.1 Results

This data has been collated by AuthorityName and a summary of the output is shown in Appendix 1.

The chart below shows a breakdown of Category A inspections completed by AuthorityName, and provides a comparison with the previous year's failure rates for the same periods.

8.2.2 Analysis

Authority to explain any significant findings in the data and compare with the previous year's figures

8.3 AM 3 - Days of Disruption Saved/ Number of collaborative works

This measure is the number of days of disruption saved by an authority through the various co-ordination methodology available to them e.g. collaborative works or challenging initial duration and/or proposed methodology of working (whether formally through the S74 mechanism or through informal discussion at the planning stage).

The authority data of the number of collaborative works and the number of days

saved as a result of collaborative works on the Authority road network

8.3.1 Results

This data was collated by AuthorityName outside the EToN system and a summary of the output is shown in Appendix 1.

The chart below shows the number of collaborative works that took place in AuthorityName and the number of days saved in 2011/12.

8.3.2 Analysis

Authority Specific Information and Examples of Collaborative Working Sites and Benefits Achieved

8.4 AM 4 Response Code – broken down by promoter

This measure is the number of refusals broken down by response code where this has been used by the authority.

8.4.1 Results

The chart below shows the number of [refusals collaborative works that took place in AuthorityName and the number of days saved in 2011/12. Broken down by response code](#)

8.4.2 Analysis

Authority Specific Information and how provision of information to promoters has assisted.

8.5 AM 5 FPNs (Permit Breaches)

The Authority may wish to provide a breakdown of FPNs given, by promoter FPN type and provide comparison with previous years.

8.6 AM 6 Levels of Customer Enquiries

The authority may wish to provide details and levels of customer enquiries relating to road and streetworks and provide a comparison with previous year.

9 Conclusion

Authority to summarise findings in relation to authority corporate objectives (e.g. smoothing traffic flow), and outline any future objectives as part of the permit scheme.

10 Glossary

EToN system – The Electronic Transfer of Notices, the nationally agreed format for the transmission of notice information.

EToN developers – representatives of the main software developers involved in street works

EToN Strategy Group – responsible for the development of the EToN system

NMD – Network Management Duty, a legal obligation created by the Traffic Management Act 2004 for highway authorities to secure the expeditious movement of traffic

AM – Authority Measure

PAN – Permit Advice Note

TMA – Traffic Management Act 2004

Sample A – An inspection undertaken during the progress of the works as defined in Section 2.3.1 of The Code of Practice for Inspections 2002

Appendix 1

Authority to provide more detailed breakdown of measures provide din main body of report including base data wherever possible.