

Oxfordshire County Council



The Oxfordshire Permit Scheme

September 2019

Document Control Sheet

Record of Issue

| | |
|---------|------------------------------------|
| Title: | Oxfordshire Permit Scheme Document |
| Status: | Draft |

| Issue | Status | Author | Date | Check | Date | Authorised | Date |
|-------|---|----------------|------------------------------------|-------|------|------------|------|
| 1 | Draft | D Capon | 26 th April 2019 | | | | |
| 2 | Draft Consultation | D Capon | 13th May 2019 | | | | |
| 3 | Draft including consultation comments | D Capon | 28 th June 2019 | | | | |
| 4 | Draft Final Document | D. Capon | 27 th August 2019 | | | | |
| 5 | Draft Final Document following meeting with Phil Whitfield | D.Capon | 28 th August 2019 | | | | |
| 6 | Draft final Document following review by Keith Stenning | P Whitfield | 29 th August 2019 | | | | |

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1. **Background**

- 1.1. Permit Schemes provide a way to manage activities on the public highway and were introduced by Part 3 of the Traffic Management Act 2004 (TMA) to improve authorities' ability to minimise disruption and inconvenience from street and road works.
- 1.2. This Permit Scheme is known as the 'Oxfordshire Permit Scheme for Road Works and Street Works' or within this document as 'the Permit Scheme'.
- 1.3 The Permit scheme is constructed in accordance with the following legislative framework. Highway Authority Permit Schemes were introduced by Part 3 (sections 32 to 39) of the Traffic Management Act 2004 (TMA) and are regulated in England by the Traffic Management Permit Scheme (England) Regulations 2007 (the 2007 regulations). The Deregulation Act 2015 removed in England the requirement for permit schemes to be approved by the Secretary of State. It amended the TMA enabling highway authorities in England to make their own schemes and to vary or revoke existing schemes. Amendments made by the Deregulation Act 2015 and the Infrastructure Act 2015 also enable Highways England to make permit schemes in relation to highways for which it is responsible. The 2007 Regulations have been amended by the Traffic Management Permit Scheme (England) (Amendment) Regulations 2015 (S.I. 2015/958) (available at: <http://www.legislation.gov.uk/ukSI/2015/958/contents/made>) to reflect changes made by the Deregulation Act 2015 and other changes to the operation of permit schemes. The amended regulations applied to all new schemes from 30 June 2015 and will apply to all existing schemes from 1 October 2015. Under section 33(5) of the TMA highway Authorities preparing a permit scheme are also required to have regard to Statutory Guidance issued by the Secretary of State. In this Statutory Guidance "must" has been used to refer to a statutory requirement. "Should" is used where the Department for Transport strongly recommends specific action is taken. Where "may" is used it refers to those things a highway authority will want to consider in the development of a scheme and as part of its own approval process. In developing and operating a permit scheme authorities must comply with the TMA and the 2007 Regulations, and must have regard to this guidance, which this scheme does.
- 1.4. **Chosen design for Oxfordshire's Permit Scheme.**
 - 1.4.1. The Oxfordshire Permit Scheme is based on the feasibility study undertaken by Oxfordshire County Council, which reviewed current Permit Schemes and options utilised across England since 2010. The chosen method was to base our scheme on the West Sussex & Cambridgeshire County Permit Schemes structures with minor developments to best fit the County of Oxfordshire.
 - 1.4.2. Options were put before Oxfordshire County Council Member for Environment in April 2019, who supported a recommendation of developing a full permit scheme and applying permits to 100% of the network. It was considered that this would be best to meet the Council's objectives in support of its network management duty.
 - 1.4.3. Key stakeholders will be part of the continuous improvement process within the scheme and be an integral part of developing innovation and evaluation

1.4.4. The Permit scheme is being developed around the notion of behaviour change and the need to manage all activities within a consistent, transparent and collaborative framework. Part of the schemes overall aim is to drive change through innovation and the Council is keen to explore the role of incentives within the scheme to try and move the innovation agenda forward. The council is keen to work with stakeholders to try and develop an innovation model which can provide real change. Incentivised innovation will be viewed on a 12 monthly basis and discounts will be applied where sustainable innovation can be demonstrated. Each year the council will look to support innovation through this process and incentives will be given where ideas can benefit the industry in terms of materials, techniques, technology or process. The Council is keen to work with stakeholders in the first months of the scheme to develop an innovation protocol. It is accepted that this will not form part of the scheme in the first year but by the end of year one and to coincide with the annual review process the council will announce incentives through discounting on innovation for the year two activities. This will then become an annual process.

1.5. **General Principles**

1.5.1. The Permit Scheme (as a scheme defined within the TMA), is designed to control the carrying out of relevant activities on the public highway. It replaces the “notice system” under the New Roads and Street Works Act 1991 “NRSWA” whereby Statutory Undertaker companies inform highway authorities of their intentions to carry out works in their areas. It uses similar concepts to the notice system in several key areas, such as road categories and works categories. This is to ensure consistency and to facilitate better co-ordination.

1.5.2. Oxfordshire County Council whilst preparing the Permit Scheme has taken into consideration the requirements of the Equality Act 2010.

1.5.3. The Permit Scheme is operated by Oxfordshire County Council as the Highway Authority for Oxfordshire, hereinafter referred to as ‘the Permit Authority’. The scheme will apply to the whole of the area encompassed by the authority’s boundaries except for the Highway England’s Motorway & Trunk Roads.

1.5.4. The Permit Scheme applies to the road categories as set out in paragraph S1.3.1 of the Specification for the Reinstatement of Openings in Highways (Third Edition) and as set out in the National Street Gazetteer, The Permit Scheme shall not apply to roads not maintained at public expense. Within the Permit Authority’s area permits will be required on all road categories.

1.5.5. The Permit Scheme will apply to any person or organisation responsible for commissioning activities [works] in streets covered by the Permit Scheme. In the Permit Scheme, these persons or organisations will be referred to as a “Promoter”, who will be either a Statutory Undertaker or Oxfordshire County Council as a highway or traffic authority.

1.5.6. Oxfordshire County Council Works Promoters must apply for permits in the same manner as a Statutory Undertaker. All fees and charges for highway authorities will not apply in the application

of the Permit Scheme, but shadow fees and charges should be collated and monitored in demonstration of “Parity”.

- 1.5.7. All works comprising and categorised as “specified works” in the Permit Regulations will require a permit. NRSWA prescribes the “registerable activities” which qualify as “specified works” and which activities will require a permit. Registerable activities for the Permit Scheme are set out in section 6.2 of this document.
- 1.5.8. Permits will be required for all registerable activities and works for road purposes except activities licensed under section 50 of the New Roads and Street Works Act 1991. All applications must be made by licensed undertakers or highway authorities. Each application will be treated in a non-discriminatory way as required in Regulation 40 of the Permit Scheme Regulations.
- 1.5.9 All Highway Works (including Developer activities under Section 278 of the Highways Act 1980) will require a permit however permit fees will not be applied.

2. Objectives and Benefits of the Permit Scheme

- 2.1. Any activity undertaken in a street has the potential to cause disruption. Activities can reduce the width of the street available to traffic, pedestrians and other users, and can also inconvenience businesses and residents.
- 2.2. The scale of disruption caused is relative to the type of activities being undertaken, the capacity of the street, the duration and timing of the works and the methods employed to carry them out. Works on those streets where the traffic flow is close to, or exceeds, the physical capacity of the street will have greatest potential to cause congestion, disruption and delays.
- 2.3. The objective of the TMA and therefore this permit scheme is to enable the management of the traffic network to ensure expeditious movement of traffic (including pedestrians, cyclists and other vulnerable road users) as required under the TMA Network Management Duty.
- 2.4. The Permit Scheme is intended to enable more effective co-ordination and to empower the Local Highway Authority (Permit Authority) to minimise disruption from both street and highway works.

2.5. The Permit Scheme Objectives

- 2.5.1. The strategic objective for the Permit Scheme is to provide a capability to manage and maintain the local highway network for the safe and efficient use of road space, whilst allowing Promoters access to maintain their services and assets, including installing new connections.
- 2.5.2. The principle of the Permit Scheme is to improve the planning, scheduling and management of activities so that they do not cause unnecessary traffic disruption to any road user. It will help Oxfordshire County Council meet their network management duty under the TMA. Co-ordination of activities through the Permit Scheme will enable differences between those competing for space or time in the street, including traffic, to be resolved in a positive and constructive way.

2.5.3. The sub-objectives of the Oxfordshire Permit Scheme are: -

- To manage proactively the local highway network to maximise the safe and efficient use of road space.
- To improve the quality and timeliness of information and compliance with highway legislation from all Activity Promoters.
- To improve the information available to the public to help provide and inform reliable journey times.
- To manage road works and street works to support public transport (including buses) reliability and punctuality.
- To ensure the safety of those using the street and those working on activities that fall under the scheme.
- To protect the structure of the street and the integrity of the apparatus in it.
- To ensure parity of treatment for all Activity Promoters particularly between Statutory Undertakers and Highway Authority Promoters works and activities.

2.6. **Aligned Objectives**

2.6.1. The Permit Scheme objectives align with the strategies and themes of the latest Oxfordshire Local Transport Plan which include:

- **Supporting growth and economic vitality**
Oxfordshire suffers from congestion and several roads are already approaching capacity during peak hours. If Oxfordshire is to secure its place as a world-class economy, that attracts international investment, the County's transport links need to be managed as efficiently as possible, in order to prove that Oxfordshire is connected to Britain's wider economy.
- **Reducing emissions**
The County Council is committed to achieving its Air Quality targets, however these cannot be realised if traffic is not managed.
- **Improving quality of life**
Through this scheme, the County Council can influence when and for how long works are undertaken and this will minimise disruption and inconvenience which will help to improve the quality of life for the people of Oxfordshire.

2.7. Benefits

2.7.1. The benefits to be derived from the operation of the Permit Scheme have been identified as:

- Improvements to overall network management
- Reduced congestion on the road network
- Improved journey time reliability, in particular for public transport
- A reduction in duration of works
- A reduction in cost pressures to businesses caused by delays
- Promotion of sustainable communities and businesses
- Promotion of a safer environment
- Reduced carbon emissions

2.7.2. This could include the consideration of the environmental impact of activities, for example where works involve excavating activities under the canopy of a tree, emphasis will be applied to the Promoter to adhere to the appropriate Code of Practice requirements when excavating.

2.7.3. Another example could be the minimising of any impact where permission for the storage of materials or plant is required, outside of the main activity. The locations of these storage areas can create difficulties for traffic flows, businesses and deliveries.

2.7.4. The Permit Scheme has been prepared to accommodate the undertaking of street and road works while delivering the statutory duties of all stakeholders.

2.7.5. Works will always need to be carried out by Promoters, but people will be more understanding if they perceive that the activities are being authorised and monitored by the Permit Authority and Promoters in ways that minimise impact. These quality of life factors are of relevance on the minor, more residential roads.

3.0 Co-ordination and Co-operation

3.1 Introduction

Effective co-ordination is essential to minimise traffic disruption in the Permit Authority area whilst allowing activity promoters the necessary time and space to complete the activity.

The Permit Authority and activity promoters should commit appropriate skilled and sufficient, experienced human resource(s) to be used in the co-ordination process, to deal with matters and issues as they arise.

3.3 Principles of Co-ordination and Co-operation

To meet the objectives outlined in Section 1 and The Traffic Management Act (TMA) objective of expediting the movement of traffic, activity promoters and the Permit Authority should adhere to four key principles:

- The need to balance the potentially conflicting interests of road users and activity promoters and their customers;

- The importance of close co-operation and liaison between the Permit Authority and activity promoters;
- An acknowledgement that activity programmes and practices may have to be adjusted to ensure that the statutory objectives of the co-ordination provisions are achieved;
- The provision of timely, clear, accurate and complete information between promoters and the Permit Authority's-ordinating and Managing Permit Activities

3.3.1 Planning and Executing Activities

Although the Permit Scheme provides greater influence over how and when activities are carried out, the prime responsibility for planning, supervising and carrying out individual activities falls on the promoters. Promoters must consider the needs of all road users, including those with disabilities; whether they are pedestrians, equestrians, cyclists or motorists throughout the planning and execution of activities.

This principle has implications for:

- The timing of activities;
- The way in which they are carried out; and,
- The programming of activities.

3.3.2 The Process

The co-ordination process has four phases:

1. Information – The authority requires accurate and timely information on what is proposed and when it is happening;
2. Analysis – The authority needs a means of assimilating and analysing this information;
3. Consideration – The authority must consider whether any changes are required to minimise disruption before it agrees to the proposals;
4. Co-operation – All parties must co-operate with the authority to achieve the minimum disruption.

Underpinning all this process are common aspirations under which all parties agree that the measures are to the benefit of the Permit Authority, activity promoters and road users.

3.3.3 Considerations for Co-ordination

3.3.3.1 Timing

As a general principle all activity promoters should accept that the greater the disruption an activity is likely to cause, the sooner the permit application should be made. Promoters should recognise that the statutory application periods are a minimum and whenever possible longer periods should be given. This co-operation benefits both the Permit Authority and the promoter. If modifications are required, the earlier the Permit Authority informs the promoter, the easier it will be for them to comply. If there are no objections to a promoter proceeding before the end of the full prescribed application period consent should be given if an early start is requested by the promoter.

3.3.3.2 Working Space

Promoters should consider the space needed for both the works, access for plant and vehicles and the storage of plant and/or materials when assessing the likely disruption an activity might cause.

3.3.3.3 Other

Activity promoters must discuss their proposals with other interested parties, including frontages, and modify them, as requested, where it is appropriate and practicable.

3.4 Co-ordination Machinery

3.4.1 Principles of Co-ordination

In some cases, the Permit Authority and activity promoters will be able to co-ordinate effectively on a one-to-one basis. However, for the most part, regular meetings of dedicated groups will be needed. The Permit Authority co-ordination meetings provide the principle means of doing this. All promoters requiring permits for activities on the roads in the Permit Authority area are required to actively and constructively participate in the relevant co-ordination meetings.

The key principles to follow if co-ordination machinery is to work effectively are:

- The sharing of information and consultation between interested parties at the earliest opportunity;
- Making information available in a common format;
- Regular input and attendance of relevant people (those empowered to take decisions) at co-ordination meetings;
- Activity promoters and authorities sharing business development plans and replacement programmes for apparatus and highway assets with the Permit Authority;
- Communication of decisions at the earliest opportunity so that promoters' plans can be adapted, if necessary;
- Cross boundary co-ordination between neighbouring authorities, utilities, and others, especially for all planned works and planned maintenance on strategic routes.

3.4.3 Co-ordination Meetings

The Permit Authority co-ordination meetings will be chaired by the Traffic Manager (or a nominated deputy). The meetings will be concerned primarily with direct co-ordination of activity promoters' advance programmes and dissemination of information. Co-ordination will cover all activities including those covered by both the Permit Scheme and those being dealt with under the NRSWA notification regime.

Co-ordination meetings will occur quarterly, or more frequently if the need arises, but a discussion should always take place whenever proposed major activities are likely to conflict with other activities, especially in a street or streets known to be prone to congestion. Local co-ordination meetings will cover:

- Medium-term and annual programmes for all activity promoters; these must be submitted at least 21 days before the meeting and show a six-month rolling programme of work. This information will allow the Permit Authority to compile a co-ordinated schedule of activities;
- Planned road closures for the next quarter and rolling year ahead, to allow all activities to be planned within such closures as far as possible;
- Other significant events.

The following topics may also be covered, as appropriate:

- Local policies and strategies affecting street works, traffic management proposals (including the effect of diversionary routes), and the potential for reducing disruption from activities through common schemes/trench sharing etc;
- Proposed designations of streets subject to special controls and other constraints;
- Reviews of performance at local level, including damage prevention;
- Feedback from HAUC(UK) and YHAUC;
- Street works licences;
- Any joint forward advertisement of activities where major traffic disruption is likely.

Representatives from all major interests will be invited and must attend each meeting. This includes all promoters and Highways England. The representatives must be well enough informed to discuss major projects, individual proposals and medium-term and annual programmes that are relevant to them and have delegated responsibility to take decisions.

The medium-term and annual programmes for all activity promoters are typically too large to carry out detailed individual scheme discussion at the meeting. These detailed discussions will take place with individual work promoters at separate scheme specific meetings. Relevant interested parties will be invited to these meetings such as other activity promoters, emergency services or transport authorities. Information from the meetings will be distributed to any other interested parties.

The Permit Authority will also arrange regular performance meetings to be held quarterly with the most active work promoters in the Permit Authority area. These meetings will review the work promoter's performance in relation to levels of compliance with all aspects of the permit scheme.

3.4.4 **Liaison with Other Bodies**

The Permit Authority will liaise with adjacent authorities if activities are likely to affect traffic flows across boundaries and/or on trunk roads. The Permit Authority will also provide information to other bodies likely to have an interest in the Permit Authority area, such as:

- The police, fire, ambulance and other emergency services;
- Public transport operators and public transport authorities;
- Other appropriate representative bodies, e.g. organisations representing disabled people, pedestrians, motorists, and cyclists;
- The appropriate planning and environmental health officers.

3.4.5 **Technology**

The day-to-day co-ordination of most proposals can be achieved only using technology, especially given the relatively short lead times for minor and standard works. This is particularly so for permit and notice management systems that use a geographic information system (GIS).

Permit applications will include locations by means of National Grid References (NGRs). This together with the use of the nationally consistent street gazetteer means that the Permit Authority will be able to visualise the impact of different activities on their networks and the interaction between these activities.

To increase the benefit of this technology, the Permit Authority will work toward the inclusion of NGRs on other relevant documents, such as applications for skips or scaffolding on the highway.

3.5 Considerations for Permit Applications

In coming to decisions on permit applications, the Permit Authority will consider all aspects of the proposed activities and other influences that may affect traffic. These include:

- The road network capacity;
- The scope for collaborative working arrangements, including trench and duct sharing between promoters;
- The optimum timing of activities from all aspects;
- The effect on traffic, in particular the need for temporary traffic restrictions or prohibitions;
- Appropriate techniques and arrangements, particularly at difficult road junctions and pinch points;

3.6 Forward Planning of Activities

3.6.1 Forward Planning Information

Forward planning information on long-term programmes from all activity promoters will help the Permit Authority to co-ordinate activities. Forward planning will also help promoters to identify opportunities for joint working and to co-ordinate the timing of resurfacing. This might include mains replacement programmes or the reconstruction of main roads, which will usually be planned several years ahead.

Activity promoters should give forward planning information about road or street works in their long-term programme, which may include those works in their annual operating programme, or three or five-year rolling programmes. This forward planning information could also include works identified through asset condition surveys. It could be provided at any time before an application for a Provisional Advance Authorisation is required.

It is much easier to adjust the timing of medium and long-term programmes to coordinate with the plans of other activity promoters than short-term programmes with detailed plans when contractual commitments may have been made. The early sharing of information will therefore benefit promoters as well as the Permit Authority. While accurate information is important, the Permit Authority accepts that the longer the lead time the greater the uncertainty about timing.

3.6.2 Recording Information

It is essential that information on large-scale or potentially very disruptive activities is included in the permits register at the earliest opportunity. This will enable activity promoters to:

- Take part in early co-ordination;
- Consider joint working;
- Consider trench sharing;
- Highlight other activities which need to be co-ordinated with these activities;
- Produce reports for the permit team co-ordinators.

The entry should give as much detail as possible. The minimum information needed is the street involved, the nature of the activity and the proposed dates. This information should be reviewed and updated regularly to include details as they are finalised. Forward planning information does not remove the need to apply for a Provisional Advance Authorisation or a permit at the appropriate time.

3.7 Collaborative Working

- 3.7.1. Collaborative working within the Permit Scheme provides an opportunity for co-operation and co-ordination between Promoters with respect to concurrent activities on a single street. The primary objective of collaborative working is to coordinate activities so that they take place within the same set of traffic management or tailored traffic management to incorporate different works within the same street.
- 3.7.2 No permit fee will be charged for any permit where the works are carried out with collaborative working involving more than one other Promoter and/or trench sharing. This is conditional on the correct collaboration type being notified in accordance with the latest version of the electronic system being used.

4. Key Performance Indicators (KPI) and Evaluation of Scheme Success

- 4.1. Every authority wishing to implement a permit scheme is required to indicate how they intend to demonstrate parity of treatment for Promoters in its application.
- 4.2. The DfT's Statutory Guidance for Highway Authority Permit Schemes contains seven KPIs, which may be used for this purpose. These KPIs may be amended, removed or replaced by future amendments to Permit Regulations. The scheme will always follow the latest KPI requirements.
- 4.3. These KPI's apply to both Road Works and Street Works. KPI results will be produced on a monthly basis. Such KPIs may be redeveloped by the DfT and/or HAUC (England) and Statutory Guidance may be subject to change from time to time.
- 4.4. The Permit Authority will remain committed to submitting the performance scorecard data to the DfT quarterly.

4.5. Scheme Monitoring

The Permit Scheme will be evaluated after each of the first 3 years, then 3-yearly after that. Evaluations these will be made available within 3 months of the yearly date on which the Permit Scheme came into effect. The evaluation shall include consideration of:

- i. whether the fee structure needs to be changed considering any surplus or deficit;
 - ii. the costs and benefits (whether financial) of operating the scheme; and
 - iii. whether the Permit Scheme is meeting key performance indicators where these are set out in the document
 - iv. 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.
- 4.6. Evaluation Reports shall include measurement of success against the key objectives of this Permit Scheme and will follow the latest published in line with the Statutory Guidance for Highway

Authority Permit Schemes. Such guidance and templates may change from time to time. Such a report may include the use of the following:

- a) KPIs as described in Section 4 of this document.
- b) HAUC TPI (The Permit Indicators) Measures as defined and agreed by the National Permit Forum which may be subject to change from time to time.
- c) Authority Measures which will include further data collated by the Permit Authority to support the objectives of this scheme. Such measures will be defined and agreed by the National Permit Forum and as above, may be subject to change from time to time and subject to the capabilities and needs of the current electronic system.

5. **Common Elements with NRSWA**

- 5.1. To facilitate working across highway authority boundaries, the Permit Scheme uses the same or similar definitions or requirements as used in the NRSWA approved notice system for:
 - a) Registerable activities/works;
 - b) Categories of activities/works (Major, Standard, Minor and Immediate);
 - c) Street gazetteers, including street referencing by means of Unique Street Reference Number (USRN) and Additional Street Data (ASD);
 - d) Street reinstatement categories as defined in the Specification for the Reinstatement of Openings in Highways;
 - e) The distinction between main roads and minor roads, where such distinctions are relevant; and
 - f) Streets designated as protected, having special engineering difficulty or traffic sensitivity.
- 5.2. The Permit Authority will be set up to receive applications, issue and receive notices and otherwise communicate electronically. All such communications relating to works on the highway will be made using the current electronic system wherever possible.
- 5.3. All streets maintained by or on behalf of Oxfordshire County Council are included within the Permit Scheme; these are the “specified streets” as set out in the Regulations. Trunk roads and motorways for which the Highways England is the highway authority are not included in the Permit Scheme.
- 5.4. Privately maintained streets are not included in the Permit Scheme but will be added if they are subsequently adopted by the Permit Authority and shown as maintainable within the street gazetteer.

5.5. **Street Gazetteer**

- 5.5.1. The Permit Authority will also operate and maintain a Street Gazetteer including a list of Unique Street Reference Numbers (USRN) and Additional Street Data (ASD).
- 5.5.2. Every highway authority has a Street Gazetteer which forms part of the National Street Gazetteer (“NSG”). This is held centrally on behalf of all local highway authorities by a custodian.
- 5.5.3. In relation to permits, the term “street” refers to an individual USRN. Details about the Street Gazetteer, and the ASD associated with each street on the Street Gazetteer are maintained on the street works register.

5.6. **Streets with Special Designations and Controls**

- 5.6.1. Streets designated under NRSWA with special controls, protected streets, streets with special engineering difficulty and traffic-sensitive streets, will have the same designations under the Permit Scheme.

5.7. **Reinstatement Categories**

- 5.7.1. The reinstatement category, as given in the ASD will be treated as definitive. If Oxfordshire County Council has not entered reinstatement categories for streets on the NSG, the streets will all be treated as category 4 for the purposes of the Permit Scheme and for overrun charges and other elements of NRSWA.

6. **Permit Scope**

- 6.1. The Permit Scheme applies to all registerable activities as defined in NRSWA undertaken on any publicly maintainable highways, which are the responsibility of Oxfordshire County Council. The Permit Scheme does not apply to activities licensed under Section 50 of the NRSWA.
- 6.2. The term “registerable activities” corresponds to what are “specified works” under Regulations. The following activities defined in the Permit Regulations as specified works are registerable for all Promoters and information related to them must be recorded on the register:
 - a) All activities that involve the breaking up or resurfacing of any street;
 - b) All activities that involve the opening of the carriageway or cycleway of traffic sensitive streets at traffic-sensitive times;
 - c) All activities that require the use of any form of temporary traffic control as defined in the Code of Practice for Safety at Street Works and Road Works;
 - d) All activities that reduce the number of lanes available on a carriageway of three or more lanes;

e) All activities that require a Temporary Traffic Regulation Order or Notice, or the suspension of pedestrian crossing facilities;

f) All activities that require a reduction in width of the existing carriageway of a traffic-sensitive street at a traffic-sensitive time;

6.3. Non-Registerable Activities

6.3.1 Non-registerable activities are activities which do not fall under criteria set out in section 6.2 above and can take place without requiring a permit. If the circumstances change so that the work then becomes a “registerable activity”, the work should cease and the highway fully restored for use by all traffic, until the correct permit is obtained.

The following activities are non-registerable:

1) Traffic Census Surveys

This permit scheme does not include traffic census surveys as disclosure of this information prior to a census taking place is likely to encourage a change to the normal pattern of traffic flows.

2) Pole testing

Only pole testing which involves excavation needs a permit; as would be the case with other excavations, when one or more of rules a to f above apply. However, in all circumstances the work must be registered using Section 70 (3) of NRSWA, for the purpose of reinstatement inspections within 10 days of completion.

3) Fire service vehicles

The Permit Authority recognises that fire service vehicles occasionally need to be parked adjacent to hydrants which are being tested. These operations are exempt from the permit scheme, provided the work is undertaken outside traffic-sensitive periods.

6.4 Bar Holes

6.4.1 Bar holes are used to detect and monitor gas leaks. When bar holes are carried out and it is known that no further activity in the street is required (such as when a gas leak is reported but none detected), a registration under Section 70 of NRSWA should be sent within 10 days, once final monitoring checks have been established. The bar holes will count as a single excavation and reinstatement for registration purposes.

6.4.2 An application for a permit should be made within two hours of the commencement of any other registerable activity (i.e. excavation, or any other activity defined above) associated with the bar holes. In this latter case, the registration of any reinstated bar holes not covered by the further excavations and reinstatements will be incorporated as an additional site within the registration of the permitted activity. Permit Scheme.

6.5 Street Lighting

6.5.1 The definition of works for road purposes may include some works carried out by undertakers, such as street lighting. It is for activity promoters to ensure that permit applications for such activities are made and that the activity is registered as appropriate. Fault repairs and works carried out for any other authority, such as District or Parish Councils, are not works for road purposes.

6.6 Permit start and end dates

6.6.1 A permit will allow an activity to be carried out for a specific duration (in calendar days) between the start and end date on the permit. A promoter working outside those dates would not have a valid permit and potentially would be committing an offence. It should be noted that if the work should start on a Monday and finish on a Friday, the subsequent weekend cannot be used as additional days without the express approval of the Permit Authority through a permit variation.

6.6.2 For all permit applications the duration of the activity will exactly match the time from the start date to the end date. For example: start date Wednesday 1st June, end date Friday 10th June, duration eight (working) days. The permit start date will be the proposed start date of the activity. If the activity cannot begin on the permit start date, the promoter should inform the Permit Authority on the previous working day by email. There is no automatic extension of the permit in these circumstances.

6.6.3 If the promoter thinks that they could still complete the work before the permit end date, then they could begin the activity on a subsequent day, submitting a start of works notice under section 74. If the promoter could not complete the activity before the permit end date, they must apply for a permit variation. This variation would be required even if the extra days were at a weekend (in the above case the permit expires at midnight on Friday night). The Permit Authority may or may not agree to an extension, depending on the circumstances, and the promoter may be subject to over-run charges

6.7 All registerable activities for which a permit is required but has not been granted cannot be carried out without committing an offence. Works for immediate purposes can commence with subsequent permit application, as defined within the Permit Scheme any immediate permit application must be received within two hours of starting works.

7. Types of Permit

7.1. The Permit Scheme has been designed so that:

a) In relation to category 0, 1, 2, and traffic sensitive streets, the planned commencement date and finishing date for the activity are the start date and end date respectively on the permit. The permit is not valid before the start date on the permit and ceases to be valid once the end date has passed.

b) On category 3 and 4 streets that are not traffic sensitive, permit start and end dates allow for flexibility in the start of the activity, but once the activity is started it should be completed within the activity duration period specified in the permit. The starting window is five working days for major and standard activities and two working days for minor activities.

7.2. **Provisional Advance Authorisation (PAA)**

- 7.2.1. A Provisional Advance Authorisation should be obtained as part of the application process for certain classes of permits. PAA's are a means of enabling significant activities to be identified, coordinated and programmed in advance, by allowing activities to be provisionally "booked in" by the Permit Authority pending the subsequent decision on whether, and with what conditions, to issue a permit for the activities.
- 7.2.2. The Permit Scheme incorporates a requirement for PAA's in relation to major works, but not in relation to other work. The PAA application should be submitted not less than three months in advance of those activities or as agreed with the Permit Authority. The information required in support of an application for a PAA is equivalent to that required in support of an application for a permit although very detailed information may not be known at this early stage.
- 7.2.3. In circumstances where a PAA has been granted, but a full permit has not yet been issued and proposals change, the Promoter should inform the Permit Authority of the proposed changes and the Permit Authority will indicate whether a new application for PAA or permit should be made by the Promoter. This reflects the importance of ensuring that PAA's can be properly considered and issued in the expectation that a permit will ultimately be issued for the activities. The purpose of the PAA is to allow the Promoter to advise that they have work to undertake and would like to provisionally reserve workspace on the highway, although it should be made clear [Regulation 11(5)] that the issue of a PAA does not guarantee that a permit will subsequently be issued. In keeping with this purpose, the Permit Scheme requires an application for a PAA to specify proposed start and end dates for the relevant activities, although there is enough flexibility to enable the dates to be reasonably adjusted when a permit is ultimately issued.

8. **Permit Applications**

- 8.1. The information which shall accompany a permit application is set out Section 10 of this document. Such information requirements may alter with future changes to Permit Regulations. The Scheme will abide by such changes. This information should, wherever possible, be supplied electronically using current data systems and should be within the timescales as set out in Appendix D of this document.
- 8.2. Applicants should also note that in line with Regulation, the Permit Scheme requires Promoters applying for permits or PAA's to copy their applications to any authority, Statutory Undertaker or other relevant body that has requested to see notices or permit applications on certain streets.
- 8.3. Where an activity crosses the boundary between Oxfordshire County Council and its neighbouring authorities, the Promoter should apply for a permit from each authority in accordance with its relevant scheme. Where an activity crosses the boundary between a Permit Scheme and an area where noticing under NRSWA is used, both regimes will need to be followed.
- 8.4. The minimum times within which applications should be made are set out in Section 11 and Appendix D of this document. Promoters are however encouraged to contact the Permit Authority

early so conditions can be discussed and, if possible, an agreement can be reached so that the application is approved quickly. Early applications will improve the co-ordination process and enable the Permit Authority to better control activities that take place on the highway.

8.5. Activity Categories

8.5.1. Applications from Promoter to carry out specified works through the Permit Scheme should use the following activity categories: Major, Standard, Minor and Immediate (defined below).

8.5.2. Major Activities are defined in current regulation as those activities which:

a) Have been identified in a Promoter's annual operating programme or are normally planned or known about at least six months in advance of the proposed start date for the activity; or

b) Require a Temporary Traffic Regulation Order (i.e. not a temporary traffic notice) under the Road Traffic Regulation Act 1984 for any other activities other than immediate activities; or

c) Have a duration of 11 working days or more, other than immediate activities.

8.5.3. Standard Activities are defined as those activities, other than immediate or major activities, that have a planned duration of between four and ten working days inclusive.

8.5.4. Minor Activities are those activities, other than immediate or major activities, where the planned duration is three working days or less.

8.6. Immediate Activities are either:

a) Emergency works, which are defined in section 52 of NRSWA, are works required to end, or prevent, circumstances, either existing or imminent, that might cause damage to people or property. This applies to both street works and works for road purposes which fall within the definition of activities. The term also includes activities not falling within that definition, but which cannot be severed from those that do - such as activities away from the emergency site that are necessary to shut off or divert a supply; or,

b) Remedial works for dangerous defects which are classed as emergency works (but there will be a need to cross reference these to the parent activity); or,

c) Urgent activities which are defined in the 2007 Regulations as activities:

i. (not being emergency works) whose execution at the time they are executed is required (or which the person responsible for the works believes on reasonable grounds to be required):

ii. to prevent or put an end to an unplanned interruption of any supply or service provided by the Promoter;

- iii. to avoid substantial loss to the Promoter in relation to an existing service; or
- iv. to reconnect supplies or services where the Promoter would be under a civil or criminal liability if the reconnection is delayed until after the expiration of the appropriate notice period; and,
- v. includes works that cannot reasonably be severed from such works.

9. **How to Make a Permit Application**

- 9.1. Any Promoter, as prescribed in the 2007 Regulations, who wishes to perform or carry out an activity on a street within an area covered by the Permit Scheme should first obtain a permit from the Permit Authority. This permits the Promoter to carry out the specified activity, at the specified location, between the dates shown and agrees the conditions which are attached.
- 9.2. The timings of applications will vary according to the proposed activity. Early applications will allow the Permit Authority to give better advice to the Promoter in relation to the use of conditions and requirements, to deliver more effective co-ordination especially in the cases of major works.
- 9.3. Permit, PAA applications and variation applications should be made by electronic means.
- 9.4. The definitive format and content of electronic permit applications should conform to the current rules for electronic transfer of data. This could be subject to amendment from time to time, and all applications should comply with the current requirements.
- 9.5. The description of activities should be in plain English without any industry specific jargon. A standard description used consistently, with added text for exceptions, will allow quicker analysis resulting in clearer information to assist the Permit Authority to coordinate activities. Both the Statutory undertaker and Council Works Promoters are encouraged to agree standard descriptions and durations locally that can be used.
- 9.6. **The Application Process**
 - 9.6.1. A permit application process starts when the Permit Authority receives the application not when it is sent. In most cases when using electronic systems this process should be almost instantaneous and the precise time that the application is received is defined by the time of the electronic acknowledgement.
 - 9.6.2. Where a permit application has failed three times by electronic means and the notice or application cannot be sent for reasons such as server failure, notification can be given by telephone for immediate activities with a formal electronic application sent as soon as reasonably practical. Where the activity falls into Major, Standard or Minor an application can be made by other electronic means such as email as agreed between the Authority and Promoter when an issue has been identified.

10. **Content of Permit Applications**

10.1. All permit applications received by the Permit Authority should contain the required level of information in line with the current regulations for the Permit Authority to properly assess the application. Details such as duration, location, timings, method and traffic management provisions should be indicated on applications as follows; -

a) The Street - An application shall relate to proposed activities in one street only. A street for these purposes should correspond to a USRN.

b) Detailed Description of Activity and Collaborative Promoters - For all works a detailed description of the activity, clearly setting out what the works are and their purpose should be provided to allow the Permit Authority to assess its likely impact. Where collaborative working is proposed the Promoter should provide a detailed description of the collaborative scheme of works.

c) Contact Details - each application should provide contact details of the Promoter's appointed representative who can deal with any problems occurring during the activity. This should include out-of-hours contact details for the Promoter. Where collaborative works are to be performed, the identity of the lead Promoter should also be provided.

d) Location - Promoters should give an accurate location using a spatial feature (point, line or polygon) covering the extent of the works area based on National Grid References (NGR's). Provision of more detailed information will enable better understanding of the implications of the works and lead to fewer rejected applications.

e) Duration - The permit start and end dates will be in calendar days. This will prevent ambiguity as to whether the permit is valid, even at weekends or on Bank Holidays.

The duration is the number of working days on which the activity can take place

If the permit allows working at weekends or on Bank Holidays, then the permit start and end dates will accommodate this, even though those days will not count towards the activity duration. Each permit application should include proposed start and end dates of the works (the date from which the Promoter requires the road space until the road space is no longer required).

f) Illustration - Promoters should provide an illustration of the activity with their permit application, where they consider there is potential for disruption due to the position and size of the activity. Illustrations provided should be based on an extract of the plan held by the Promoter showing the location of its apparatus at the site in question. Promoters are encouraged to provide illustrations in appropriate cases. Where the Permit Authority requires an illustration, which is not submitted as part of the application, the application may be refused with a request for the illustration to be provided.

The illustration should include details of the activity and whether it is likely to affect more than one lane of the street. The Technical Specification of the current electronic system will provide

appropriate details as to the form of such illustrations, but plans, digital photographs and similar would normally be required. Activities on those streets or parts of a street subject to a Special Engineering Difficulty designation, will in all cases require a plan and section as indicated in NRSWA Schedule 4 (Part 2).

For certain activities and/or locations, the Permit Authority may request additional information in relation to contingency plans for expedient removal of site occupation, as part of the application.

Where it is not possible for a Promoter to submit an illustration to the Permit Authority using electronic means, the Promoter should contact the Permit Authority in the first instance to discuss and agree an alternative method.

g) Method - Details of the proposed techniques, such as open cut, trench share, minimum dig technique or no dig should be provided.

h) Traffic Management, Parking and Traffic Regulation Orders/Notices - Where traffic management proposals will be required because of the proposed works, then a description of the proposals and when they will be instituted as part of the works should be provided in the application.

Any requirement for action on the part of the Permit Authority, including those listed below, should be included within the application:

(i) The need to make Temporary Traffic Regulation Orders (TTRO's);

(ii) The approval for all temporary traffic signals. Applications should be made using the latest notice in accordance with the current electronic system. Applications to use portable traffic signals on "immediate" activities should also be supported by the Promoter in accordance with the "Safety at Street Works and Road Works", a code of practice, which may vary from time to time.

(iii) The approval for the storage of materials or plant on the highway;

(iv) The approval for the deactivation of permanent traffic signals; and

(v) The approval for the suspension of controlled pedestrian crossings.

In these instances, an associated traffic management plan should be provided within the application where the work affects a traffic sensitive street. Justification for use of 24-hour portable traffic signals should also be provided. The processing costs associated with the above orders or approvals are not within the scope of the permit fees and will be separately applied.

i) Inspection Units - To ensure consistency the Permit Authority require permit applications to include the provisional number of estimated inspection units appropriate to the activity, in accordance with the rules laid down in the latest NRSWA Inspections Code of Practice and The Street Works (Inspection Fees) (England) (Amendment) Regulations 2004 (or any overriding future legislation or guidance).

j) Site Depth - A Permit application requires a Promoter to provide their best estimate of the excavation depth as part of the application. This estimate may be expressed as a range but should nonetheless provide a meaningful indication of the nature and extent of activity involved.

k) Reinstatement Type - The application should, wherever possible, indicate whether the activity is intended to be completed with interim or permanent reinstatement or a mixture of both.

l) Proposed Conditions - Promoters are encouraged to support their applications with suitable conditions should they find that the location, type of work to be undertaken, road category or any other site-based circumstance require consideration.

The approach adopted by the current electronic system, is based on the Promoters including conditions in their permit application.

If the Permit Authority does not agree with the condition(s) applied or requires additional conditions, then it can either:

1. Refuse the request with an inclusion of a comment to reflect the change required. This will require a new or modified permit application to be submitted by the Promoter; or
2. Respond to the request using a Permit Modification Request. This will also require a new or modified permit application to be submitted by the Promoter, or for Immediate works a works data variation.

The above will be subject to any changes made by the proposed introduction of Street Manager.

The Permit Authority will consider all permit applications on an equal basis.

10.2. Form of the Issued Permit

10.2.1. A permit will be granted in accordance with the current electronic system. A permit application will be generated by the Promoter and granted by the Permit Authority, unless the application is deemed to have been granted where no grant or refusal has been issued within the period outlined in Appendix D. The permit will contain all relevant conditions so that there is no ambiguity about the validity and terms of the permit.

10.2.2. In accordance with the current electronic system parameters, each permit will have a unique reference number. A permit is issued to the Promoter for every permit that is granted via electronic means.

10.2.3. For all permits it is a requirement that where there are any other linked permits, references to those other linked permits should also be included with the permit.

- 10.2.4. Where remedial works or works to make an interim reinstatement, permanent are to be carried out, following completion of permitted works, a separate permit is required. This new permit should cross-reference the original activity, by raising the remedial works permit application using the same works reference as the original works.
- 10.2.5. Where a Promoter makes a permit application or variation to a permit application as a result of the Permit Authority's action, e.g. where the Permit Authority has imposed a variation, it is recommended a comment is included to this effect within the application. If applicable, reference to another relevant permit application can also be included.
- 10.2.6. The Permit Scheme requires all granted permits to be placed on the Permit Register and copied to any undertaker, authority or other relevant body that has asked to be informed about activities on a street.

11. Timings of Permit Applications

- 11.1. For effective planning and co-ordination, information needs to be provided to the Permit Authority in a timely manner. In accordance with the advice contained in the Statutory Guidance, the Permit Scheme provides for the minimum time periods before the proposed start date of an activity by which time the relevant permit application should be made by the Promoter and a subsequent response made by the Permit Authority.
- 11.2. The Permit Authority is aware of the need to be proactive in running a scheme. Time limits have been set out in Appendix D of the Permit Scheme committing the Permit Authority to respond to applications within set periods.
- 11.3. A "response" for these purposes means a decision to grant, refuse or issue a permit modification request. Where there are reasons why the permit could not or should not be granted in the terms applied for, (e.g. because of insufficient or obviously incorrect information or because of a clash with other activities), the response indicating that a permit will not be granted in those terms will explain the reasons. This will enable the Promoter to make a revised and compliant application.

11.4. Timing of Applications and Responses

- 11.4.1. The time period for a response to an application starts at the time of receipt of the application by the Permit Authority. The current electronic system will provide an auditable record of the actual date and time of the receipt of the application, however, the calculation of the application and response time for a permit application received after 16:30 will use the next working day as the effective receipt date.

11.5. Minimum Application Times – Major Activities

- 11.5.1. Under the Permit Scheme, for a major activity, Promoters are required to apply for a PAA at least three months in advance of a proposed activity and a permit ten working days before the activity is due to start.

11.5.2. Where a major activity does not involve asset activity, a PAA cannot be generated and therefore in such circumstances a permit application will be made in the first instance.

11.6. **Minimum Application Times - Standard Activities**

11.6.1. A permit application for standard activities is required ten working days before the proposed start date.

11.7. **Minimum Application Times - Minor Activities**

11.7.1. A permit application for minor activities is required three working days before the proposed start date.

11.8. **Minimum Application Times - Immediate Activities**

11.8.1. In order not to prevent activities that are necessary for emergency or urgent reasons, the Permit Scheme provides that these works may proceed without a permit given their nature. Promoters should apply for a permit within two hours of the immediate activity commencing or, in the case of the works commencing out of normal working hours as defined by NRSWA, within two hours of the start of the next working day. As a reminder Immediate activities are those which:

- a) Are emergency activities as defined in section 52 of NRSWA;
- b) Activities (not being emergency works) whose execution at the time they are executed is required (or which the person responsible for the works believes on reasonable grounds to be required):
 - i. To prevent or put an end to an unplanned interruption of any supply or service provided by the customer;
 - ii. To avoid substantial loss to the promoter in relation to an existing service;
 - iii. To reconnect supplies or services where the activity promoter would be under a civil or criminal liability if the reconnection is delayed until after the expiration of the appropriate permit period;

11.8.2. In instances on Strategic Street, of an Immediate Activity, the Promoter should telephone the Permit Authority prior to, or immediately after works commence on such Strategic streets where such a requirement is designated by the Permit Authority, (as indicated in the ASD for that Permit Authority with contact telephone number also supplied within the ASD).

11.9. **Non-Compliance with the Minimum Application Times**

11.9.1 Early Starts

11.9.2 Where it is not possible for a Promoter to adhere to the minimum permit application periods, the Permit Authority may consider applications where mitigating circumstances justify this failure. Permission to allow a Promoter to submit such an application is solely at the discretion of the Permit

Authority and will only be given exceptionally. Permission to allow an Application to be made with an 'early start' does not necessarily mean the permit will be granted. The Authority will still be required to carry out all required checks in terms of data quality, conditions and co-ordination related matters.

11.9.3 Where a permit application is granted, thereby providing such permission, it will be recorded by the Permit Authority. Where permission is not granted the permit application will be refused. It is recognised that some early starts will be required to achieve a positive outcome to potential collaborative working arrangements, however, a Works Promoter proceeding with the planned work following a refusal would be working without a permit.

11.10. Agreement Process

11.10.1 In situations where a Promoter cannot comply with the minimum permit application times, it should initially contact the Permit Authority to discuss the application and the associated justification. At such time the Permit Authority may agree for the permit application to be submitted.

11.10.2 In circumstances where the Permit Authority will accept such a permit application, the Promoter should then submit a relevant application to the Permit Authority - providing the detail and justification within the application - in order to obtain a formal grant for the early start, variation or extension to the permit.

11.11. Maximum Response Times

11.11.1 Appendix D of the Permit Scheme sets out the time limits within which the Permit Authority will respond to permit applications. It is essential that the Permit Authority replies to permit applications within the given response times. If it fails to do so, the permit is deemed to be granted in the terms of the application.

11.11.2 A "response" for the purposes of the Permit Scheme means a decision to grant, refuse or issue a permit modification request, in accordance with the "Statutory Guidance". Where there are reasons why the permit cannot or should not be granted in the terms applied for, (e.g. because of insufficient or obviously incorrect information or because of a clash with other activities), the response indicating that a permit will not be granted in those terms will explain the reasoning. This will enable Promoters to make a revised and compliant application. The Authority will utilise any HAUC (England) agreed codes and reasons for refusal text where possible when a Permit is refused.

11.11.3 Temporary Traffic Signal Applications should be made in accordance with the latest electronic system and the authority's own timeframe for dealing with such applications. Providing that a complete application has been received a response granting the approval will be given by the Permit within the stated periods and should be cross referenced to any permit application.

11.12. Phasing of Activity

11.12.1 One permit can only relate to one phase of an activity. A phase of an activity is a period of continuous occupation of the street, (whether work is taking place for the whole time), between the start and completion of the works. For example, a separate permit would be required for interim, permanent and remedial reinstatements.

11.12.2 The dates given in a permit application and in the issued permit will denote the dates for that phase. A phase can end only when all the plant, equipment and materials, including any signing, lighting and guarding, have been removed from the site and the highway is returned to full use.

11.12.3 A Promoter should clarify when an activity is to be carried out in phases on the application. Each phase will require a separate permit and, if a major activity involving asset activity, also a PAA, which will be cross referenced to the other permits.

11.12.4 Phased activities should relate to the same works, with applications submitted using the same works reference.

11.13. New customer connections

11.13.1 A new main or cable run, which includes new customer connections, can be classed as one phase if all the work is completed in a single occupation of the street. Otherwise a new permit should be obtained for the customer connections stage.

12. Decisions with Regards to Permit Applications

12.1. The Permit Authority on reaching a decision for a permit application should act reasonably and, should consider whether issuing the permit will accord with the statutory duties to co-ordinate and to manage the network and the objectives of the Permit Scheme. Where an application for a permit meets the relevant requirements of the Permit Scheme, the Permit Authority shall grant the permit

12.2. When reaching decisions on permit applications, the Permit Authority will consider all aspects of the proposed activity and other influences that may affect traffic. These include, but may not be limited to:

a) The road network capacity;

b) Safety (major impacts e.g. on traffic signal operation);

c) The scope for collaborative working arrangements, including trench and duct sharing between Promoters;

d) The overall effect upon the local and regional highway network;

- e) The optimum timing of activities from all aspects, including the legislative requirement for the works taking place, e.g. new customer connections, duty to maintain under the Highways Act;
- f) The effect on traffic, the need for temporary traffic restrictions or prohibitions;
- g) Appropriate techniques and arrangements particularly at difficult road junctions and pinch points;
- h) The working arrangements required in protected streets, traffic-sensitive streets, and streets with special engineering difficulties;
- i) The effect of skip, scaffold, storage and hoarding licences, pavement licences, any known special events and other licences or consents issued in respect of affected streets under the Highways Act 1980;
- j) The environmental impact of the proposed works;
- k) Developments for which planning permission has been granted on streets affected by the works;
- l) The benefits to be achieved from extended working hours;
- m) Effect of a planned activity to public transport routes;
- n) Contingency plans for expedient removal of site occupation.

12.3. Permit Issue and Deemed Permit

- 12.3.1. Where the Permit Authority is satisfied with the permit application, having considered all relevant matters set out in the application and all other material considerations, including ensuring the statutory duties to coordinate and to manage the network and that the Permit Scheme objectives are met, it will issue a permit to the Promoter within the response time.
- 12.3.2. The permit will cross reference the details provided in the application, including any associated documentation such as drawings, and any conditions imposed by the Permit Authority. Section 10 of this document specifies details and requirements of permit contents
- 12.3.3. Where the Permit Authority fails to meet the response times defined in Appendix D, the permit is deemed to be granted and, in such terms, only as reflected in the application. In such circumstances there will be no fee charged.

12.4. Refusal of Permit Applications

- 12.4.1. Whilst the Permit Authority cannot refuse legitimate activities, it can refuse a permit application, (and a Provisional Advanced Authorisation), if elements of the proposed activity, such as timing, location or conditions are not acceptable when measured in accordance with the relevant factors as referred to in Sections 9 and 10 of this document. In such cases the Permit Authority will respond to

the Promoter as soon as possible and within the response period specified in Appendix D of this document, to explain precisely why the application is not satisfactory and which aspects need modification.

12.4.2. A Promoter may cancel an application by an electronic works notice at any point prior to the Permit Authority granting, or refusing, the permit application.

12.5. **Grounds for Refusal**

12.5.1. If, after careful consideration, the Permit Authority decides to refuse the PAA or Permit application, the refusal will be issued electronically, and an explanation of the refusal will be given and discussions with the Promoter may be held regarding amendment to the application.

12.5.2 Grounds for refusal of a scheme compliant permit application will always relate to the Permit Authority's responsibility to discharge its Network Management Duty. In an exceptional circumstance, where a specific situation affects, or will affect the Highway Network, the Permit Authority may invoke other grounds for refusal.

13. **Permit Variations**

13.1. The Permit Scheme allows for the variation of permits and for conditions to be attached to permits. This allows the Permit Authority actively to manage other activities on the network in the light of changing circumstances. Variations can take place at any time after the permit has been issued and before the activity has commenced or during the activity itself. However, if a variation to a permit is required by the Promoter, the application to vary the permit should be made before the permit end date is passed and in accordance with the requirements of the current electronic system.

13.2. PAA's cannot be varied. In circumstances where a PAA has been given but a full permit has not been issued and proposals change, the Promoter should advise the proposed changes to the Permit Authority who will indicate whether a new application for a PAA is required.

13.3. Data changes are notified as new applications (prior to approval) or variations (post approval). Error corrections for registration notices and works status corrections are still relevant however and should be made in accordance with the relevant Code of Practice or successor document.

13.4. Application by the Promoter to vary a permit or to vary permit conditions should be made in the following way:

a) Where the existing permit has more than 20% of its duration or more than two working days to run, whichever is the longer, the Promoter shall apply for a variation; or

b). In any other case the Promoter shall first contact the Permit Authority to ascertain whether the authority is prepared to grant a variation and only apply if the authority is so prepared.

Where the Promoter fails to apply for a permit variation or extension within the relevant time limits, the Permit Authority may consider applications to vary or extend permits where the Promoter is able to provide mitigating circumstances justifying the failure to adhere to the relevant timings. The Permit Authority is aware of the need to be proactive in running a scheme. Time limits have been set out in Appendix D of the Permit Scheme committing the Permit Authority to respond to applications within set periods.

13.5. Activities can be particularly subject to change where a Promoter has to make several excavations or registerable openings of the street in order to locate a fault. While the Permit Scheme seeks to avoid too many permit variations, the Permit Authority should be advised of the site situation to enable co-ordination and management of these and other works in the area.

13.6. For planned activities the first application will contain the location of the initial proposed excavation or opening. If any further excavations are required, variation of the permit will also be required.

Promoters applying for permits for immediate activities should do so within two hours of starting work. Where they find that the location in which they have started digging is not where the leak (or another emergency) actually is, a permit is still required. The Promoter will have to apply for a permit variation for:

the first excavation in each further 50 metre band away from the original hole in the same street, i.e. 50-100 metres, 100-150 metres etc. Separate variations would be required for bands going in opposite directions.

If the search carries into a different street, or a new USRN (including if the street changes to a different authority), then a separate permit application is needed.

13.7. **Variation at Permit Authority's Initiative**

13.7.1. The Permit Authority may impose variations upon permits already granted or deemed. This may be required where it is considered that upon commencement of a granted or deemed permit, further conditions or requirements are needed to reduce the impact of the activities on the Public Highway.

Such imposition should only take place when circumstances could not have been reasonably predicted.

13.7.2. Once a permit is issued it will provide the Promoter with reasonable confidence that the road space will be available for them. Nevertheless, even where a permit has been issued by the Permit Authority, circumstances beyond the Permit authority's control may require a review of the permit and may lead them to conclude that the permit or its conditions require changing.

13.7.3. Such changes will be the exception and will only happen when the new circumstances could not have been reasonably foreseen or where the impact is significant

- 13.7.4. If the consequent disruption cannot be suitably mitigated, it may then be necessary to vary the permit for the activity e.g. by changing the time or manner of working. In such circumstances the Permit Authority will contact the Promoter to discuss the best way of dealing with the situation whilst meeting the co-ordination duties and other statutory requirements of those involved. The aim of these discussions is to try to reach an agreement and see if a variation is a feasible option
- 13.7.5. If agreement is reached, the Permit Authority will issue an Authority Imposed Variation to the Promoter. The Promoter may then either cancel the existing permit and apply for a new permit in those terms, or they may apply for a permit variation. The latter will be more appropriate if the Promoter needs to reconsider elements of its plans within the parameters agreed with the authority.
- 13.7.6. If agreement cannot be reached, the Permit Authority will revoke the permit. The Promoter would have the option of invoking the dispute resolution procedure where it disagrees, set out in Section 19 of this document.
- 13.7.7. No fee is payable for either the permit variation, or a new permit for the original planned activity if appropriate, as a result of a variation initiated by the Permit Authority. If at the same time the Promoter seeks a variation which is not the result of the circumstances causing the Permit Authority's action, a variation fee would be payable, subject to the exemptions in Section 15 of this document.

14. Revocation

- 14.1. There is no mechanism in the Permit Scheme to formally suspend or postpone a permit, only to vary or revoke one. If the Permit Authority needs to suspend or postpone an activity for which it has already given the Permit Authority will contact the Promoter and agree that a variation is submitted by the Promoter. There will be no fee for this permit variation.
- 14.2. A Promoter who wishes to cancel a permit, for which they have no further use, should use a cancellation notice via the current electronic system. There is no fee for a cancellation notice, but no refund of the fee paid for issuing the permit will be made.
- 14.3. The Permit Authority can revoke a permit at its own initiative where there has been a breach of a condition, (which is also a criminal offence). In such circumstances the Permit Authority may use the provisions replacing Section 66 NRSWA to clear the street, if required.
- 14.4. Where a permit is granted but subsequently revoked by the Permit Authority before commencement of the specified works, the Permit Authority shall refund in full any fee charged in accordance with the regulations, provided the revocation is not the fault of the permit holder.
- 14.5. Where the Promoter disagrees with the Permit Authority's decision in any of the above respects, then the Promoter may invoke the dispute resolution procedure detailed in Section 19 of this document.

15. **Fees**

15.1. In accordance with the provisions set out in Section 37 of the TMA and Regulation 30 of the 2007 Regulations, the Permit Authority may charge a fee for each of the following:

a) the issue of a permit;

b) an application for a permit, where the Permit Scheme requires a Provisional Advance Authorisation to be obtained as part of that application;

c) the granting of a Provisional Advanced Authorisation

d) each occasion on which there is a variation of a permit or the conditions attached to a permit after it has been granted.

15.2. The Permit Authority will charge Fees in accordance with the Permit Regulations. Fees are contained within Appendix F.

15.3. Permit fees do not include costs charged or recoverable by highway authorities in relation to consents or other requirements such as for Temporary Traffic Orders, Notices or parking suspensions related to other works being carried out.

15.4. It is not the purpose of fee charging under the Permit Scheme to generate revenue for Oxfordshire County Council although subject to the constraints set out Oxfordshire County Council may cover its costs.

15.4.1. Fees are payable by Statutory Undertakers, but highway authorities are not charged. This is due simply to the fact that the money charged would only circulate around a highway authority.

15.5. **Level of Fees**

15.5.1. The Permit Regulations and Statutory Guidance set maximum fees the Permit Authority may not exceed.

15.5.2. The Permit Regulations and Statutory Guidance set a maximum flat fee for permit variations initiated by the Promoter with a lower fee for category 3 and 4 non-traffic-sensitive streets and a higher fee for category 0, 1 and 2 and traffic-sensitive streets.

15.5.3. If a permit variation moves an activity into a higher fee category, the Promoter will be required to pay the difference in permit fee as well as the permit variation fee.

15.5.4. All the Permit Scheme fee levels are at or within the current Regulations and Statutory Guidance maxima.

15.5.5. The permit fees for the Oxfordshire Permit Scheme are shown in Appendix F of this document. These fee levels will also be published on Oxfordshire County Council's website.

15.5.6. It is possible for both charging categories to be relevant to a single USRN. To ensure the correct permit fee is always applied, spatial data is required in accordance with 10.1 d) of the Permit Scheme.

15.6. **Circumstances where no Fee will be charged**

15.6.1. No fee will be charged in the circumstances described below:

a) Cancellation of a permit - prior to the Permit Authority's determination, a Promoter cancels a permit application;

b) Refusal of Permit or Variation - when an application for a permit or variation is refused;

c) Revocation of Permit - where a permit is revoked on the Permit Authority's initiative and the Promoter had to apply for a new permit, there would be no fee for the new permit, except where the original permit is revoked because of any action or omission on the part of the Promoter.

d) Variation of Permit at the Permit Authority's initiative - for permit variations initiated by the Permit Authority, unless at the same time the Promoter seeks variations which are not the result of the circumstances causing the Permit Authority's action - in that case a variation fee would be payable.

In addition, if the Promoter decides to cancel the existing permit as a result of the Permit Authority imposed variation, any new permit for the originally planned activity would not be subject to a fee.

e) Deemed Permits - where the Permit Authority fails to serve a response to an application for a permit or variation within the relevant response time and the permit is subsequently deemed to be granted.

f) Coring Activity - any coring activity where the scope of the specified works is limited to the breaking up of any street. Where a coring activity scope of work covers additional criteria - as defined within Section 6.2(b) to (f) (inclusive) of the Permit Scheme - the permit for this activity would be subject to a fee.

g) Permits for Collaborative Works - where at least two or more Promoters intend to collaborate their works within the same site over the same period they should submit applications in accordance with the Technical Specification for the current electronic system & ensure that the appropriate 'collaboration type' is defined.

If work cannot be arranged for the same period that results in one of the works only being partially completed during the collaborative period, then a reduction in permit fee will be calculated on a

pro-rata basis using the number of working days where collaborative working took place to the number of days it did not.

h) Highway Authority Works - permits required by the Highway Authority.

i) Phasing of Works to Lessen Risk and Inconvenience to Highway Users - where temporary reinstatement is required by the Permit Authority e.g. to minimise risk to the public and allow safe passage and the Permit Authority request the Promoter submits a new permit application for the remaining works, no fee will apply for the permit application.

15.6.2. Where a Promoter expects a permit or variation would not be subject to a fee, it is recommended that they include a comment to this effect within their application.

15.7 **Circumstances where Fees may be reduced**

15.7.1 Where an Application has been made, (and is subsequently granted), stating clearly that activities will not take place, (at any time or any day), within the Traffic Sensitive periods as indicated on the ASD supplied within the Authority National Street Gazetteer submission, so long as such time constraints are met during activities throughout the full duration of the permit.

Such Permit Applications, (and Provisional Advanced Authorisations), may be required to contain specific time related conditions.

15.7.2 The variation process may be used to alter such timings and conditions; however, such application may be reasonably refused. Any reductions to permit fees may be removed by the Authority in this instance.

Where, upon evidence gained the indications of Traffic Sensitivity impact are not being followed throughout the activities, the fee reduction may be removed by the Authority. If related Timing Conditions are also being breached, Offence or Offences may have occurred.

15.8 **Fee Review**

15.8.1 The Permit Authority may need to review fee levels particularly closely in the first years of the Permit Scheme.

15.8.2 Oxfordshire County Council will review fees at the end of year three to ensure that overall fee income does not exceed allowable costs. In the event of any surplus in a given year, the fee income will be applied towards the cost of the Permit Scheme in the next year and the fee levels adjusted accordingly.

15.8.3 A sustained surplus would indicate that the income was regularly exceeding the prescribed costs and that the fee levels should be adjusted. In such circumstances Oxfordshire County Council will adhere to relevant regulations to affect any amendments to the Permit Scheme.

15.8.4 The outcome of annual fee reviews will be published and open to scrutiny.

16. **Permit Conditions**

16.1. **Principles for Conditions**

16.1.1. The Permit Scheme includes for the attaching of national conditions to permits and specifies the types of conditions that may be applied. Any permit issued will specify in detail the activity it allows, and the conditions attached.

16.1.2. Any permit issued should set out in detail the activity it allows as set out in Section 10 of this document and the conditions attached.

16.1.3. In applying conditions, the Permit Authority will consider the proposed activity's potential to cause disruption. Where possible, conditions attached to a permit will provide flexibility for the Promoter by requiring an outcome rather than stipulating the method by which the work should be carried out. When setting any condition, the Permit Authority should act reasonably and take account of how feasible it is for the Promoter to comply not only with the condition being imposed but also on their ability to meet their statutory obligations. Conditions cannot be imposed which causes a Promoter to breach current statute.

16.1.4. Where Oxfordshire County Council considers a condition attached to a permit has been breached, it may impose sanctions as specified in Section 18 of this document.

16.1.5. Oxfordshire County Council may also revoke the permit. The policy that will be applied is set out in Section 14 of this document.

16.1.6. Oxfordshire County Council may vary the conditions of a permit issued, as an Authority Imposed Variation - set out in Section 13 of this document. This will also be done in accordance with the requirements of the current electronic system.

16.2. **Condition Types**

16.2.1. The conditions Oxfordshire County Council can apply to permits will be in accordance with the national condition and will be around:

(a) days on which permit works may not be carried out;

(b) times of day during which permit works may not be carried out;

(c) the area (including areas not forming part of the street) which may be occupied in connection with the permit works;

(d) the prohibition or restriction of traffic pursuant to orders or notices under Section 14 of the Road Traffic Regulation Act 1984 (temporary prohibition or restriction on roads)

(e) traffic management arrangements to be made in connection with the permit works (including arrangements for the particular benefit of persons with a disability);

(f) the way the specified works are to be carried out;

(g) consultation and publicity in relation to the specified works, including the display of information at the location of those works; and

Of these, certain conditions apply to all permits. The attaching of conditions and the process for applying will comply with the current electronic data rules.

The Permit Authority may take reasonable actions if any of these conditions are breached.

All the standard conditions 'NCT' will be detailed on the Oxfordshire County Council website. These conditions may change in line with any amended Statutory Guidance for Highway Authority Permit Schemes produced by the DfT

16.2.2. Conditions applied to a permit by the Permit Authority will be pertinent to the objectives of the Permit Scheme, including the reduction of congestion and disruption, recognising the needs of other users of the highway and the integrity of the highway itself.

16.3. **Applying a Condition to a Permit**

16.3.1. Where the Permit Authority considers it necessary and appropriate to impose standardised conditions that differ from the proposals in the permit application or PAA, the Permit Authority will state the reasons for this action on their response to the permit or PAA. The Promoter can then choose whether to make a modified permit application, cancel the activity or dispute the matter.

16.3.2. If the Permit Authority does not agree with the condition(s) applied or requires additional conditions the application may be either:

a) Refused with the inclusion of a comment to reflect the changes required.

b) Responded to with the issuing of a Permit Modification Request which is also a form of Refusal.

If a permit is still required, the Promoter should submit a subsequent, modified permit application with any agreed changes. It is the responsibility of the Promoter to ensure the application meets the permit conditions specified by the Permit Authority.

16.3.3. Promoters are encouraged to consider the inclusion of conditions on their permit during the initial application. By doing so, the likelihood of the Permit Authority refusing a permit with a subsequent re-application, could be minimised.

16.4. **Conditions upon Immediate Activities before Permit Issued**

- 16.4.1. Activities that are necessary for emergency or urgent reasons, (i.e. immediate activities), can commence and continue for an initial stage without requiring a permit to be obtained first. Where an application has been initially granted and further practical conditions, reasonably unforeseen at the time of granting are required to lessen the impact of the activities upon the highway, further conditions may be imposed through an Authority Imposed Variation.
- 16.4.2. Until a permit is issued following an application for an immediate activity, a Promoter will be required to work within the terms of their application. For example, if the application refers to specific working hours then the Promoter should work within those hours.
- 16.4.3. Promoters of immediate activities should contact the Permit Authority immediately where the specified strategic street is susceptible to unplanned disruption as indicated in the ASD for Oxfordshire County Council.
- 16.4.4. Promoters should make an application to the Permit Authority for any Temporary Traffic Regulation Order or Notice for immediate works by the end of the next working day, even if work on site has been completed.

16.5. **Conditions Available on Site**

- 16.5.1. The Permit Authority recognises the importance for the Promoter workforce to have access to the permit detail, including conditions when carrying out the planned activity. It is recommended the Promoter ensures this information is available on site.
- 16.5.2. Work undertaken in breach of a condition, or without a valid permit, because of lack of knowledge from the Promoter work-force will not be accepted by the Permit Authority as any form of mitigation for such failure.

16.6. **Conditions for Timing and Duration of Activity**

- 16.6.1 Every permit will contain a condition relating to timing and duration of the activity. Conditions may include:
- Any date(s) between the start and completion dates on which works should not take place, which may also include periods when, not only should no work take place, but that the site should also be cleared of all plant, materials and equipment, including all traffic management measures and signing, lighting and guarding;
 - The times of day at which works can and cannot be carried out;
 - Whether or not the duration of the works includes, allows for, or requires weekend or Bank Holiday working.

If the activity cannot be completed within the timeframe specified in a permit condition, the promoter will need to apply for a variation.

16.7. **Reasonable Period for Section 74 NRSWA purposes**

16.7.1. For all works the “reasonable period” for NRSWA Section 74 purposes will be the same as the duration of the activity set out in the original permit. Variations may be granted to extend the duration of the permit; however, Section 74 durations may still be challenged after a variation to the duration has been granted.

Where works are in progress and a promoter applies for a Duration Variation Application (DVA) there are three possible outcomes set out below;

- i. Where the permit authority agrees with the proposed new duration it should grant the permit DVA. In this instance the permit period and the reasonable period will correspond.
- ii. Where the permit authority disagrees with the proposed new duration again it should grant the DVA and then use the S74 duration challenge to set the reasonable period, after which S74 charges may apply
- iii. Where there is a conflict with other works or events, the permit authority will refuse the DVA and work with the promoter to ensure that the site is cleared as soon as possible

16.7.2. The start and end dates will be in calendar days, even though many aspects of Permit Schemes will operate on working days. Where a permit allows working at weekends or on Bank Holidays, the permit start and end dates will also accommodate that, even though those days do not count towards the reasonable period under NRSWA Section 74.

16.8. **Conditions for Road Space**

16.8.1. Conditions for road space will apply are those held within Statutory Guidance for Highway Authority Permit Schemes – Permit Scheme Conditions March 2015 take into consideration the amount of space taken by the activity in the highway and the impact of congestion and disruption. Where the area required to carry out the actual work is relatively small the activity may have little effect on traffic. Where associated plant and excavated material take up a greater area, possibly resulting in lane restrictions and/or temporary traffic control measures, the impact could be magnified considerably, especially when works are complete, but such associated items remain in the highway.

16.8.2. When applying conditions related to road space, the Permit Authority recognises conditions should be realistic and allow works to be carried out in compliance with Statutory Guidance and codes of practice.

16.8.3. If a Promoter is concerned about the safety at work in complying with a condition, they should contact the Permit Authority to discuss this and reach agreement on the permit.

16.8.4. The Permit Authority recognises the impact to users of the highway resulting from visible route signage for a diversion no longer in effect. It is therefore a requirement of the Permit Scheme that signage relating to temporary traffic orders is only visible to the highways user when the restriction is in operation.

- 16.8.5. Where it is considered necessary to limit the impact of the works to the road space, either through the space occupied for works or to ensure that a certain width of road space is to be available to traffic, (vehicles and/or pedestrians), a condition may be applied.
- 16.8.6. The current Code of Practice for Safety at Street and Road Works indicates that one metre absolute minimum width of footway should be available for pedestrians where footways are affected by works.
- 16.8.7. Where permission for the storage of materials or plant is required, outside of the main activity, the location of these storage areas can create difficulty to traffic flows and result in public complaints by their impact on residents and other frontages. In such circumstances, Promoters will be required to discuss the arrangements in advance with the Permit Authority.

16.9. **Traffic Management Provisions**

- 16.9.1 As set out in Section 10 of the Permit scheme, Promoters should submit details of traffic management proposals with their permit applications. Traffic Management during the activity can have a major influence on congestion and disruption, e.g. Promoters may propose closing a road which may be necessary for some activities but for others it may be possible and less disruptive to keep at least part of the road open. With smaller scale activities, portable light signals may be enough.
- 16.9.2 In such circumstances the Permit Authority may apply conditions for traffic management provisions, for instance:
- the road, or relevant section of the road is closed to traffic during the works;
 - that shuttle working and/or portable lights are to be used.
- 16.9.3 Where advance approval for any traffic management restriction, (either by traffic order or notice), is required this should be noted within the permit application. A permit may be granted prior to any necessary traffic management order or approval being created; however, it is a requirement of the Permit Scheme that no activity, or part of the activity, commences prior to the traffic management order being operational.
- 16.9.4 It is possible that traffic management arrangements may change during an activity. These changes can be included in the conditions where it is known that such changes will be needed. In all cases when traffic management arrangements change, the Promoter should inform the Permit Authority before any changes take place.
- 16.9.5 Permit applications should state the most severe type of traffic control required for the works even when that type of control is not required for the whole duration of the works. This can make the co-ordination and selection of appropriate conditions difficult to determine.

16.9.5.1 It is a requirement of the Permit Scheme that Promoters at both the application stage and during the course of the works to inform the Permit Authority when significant changes to traffic management measures are likely to be needed or are about to take place, during permitted works. This will allow road users to be advised and complementary traffic management measures implemented to minimise disruption.

16.9.5.2 It is recommended that where this type of traffic control is planned that the permit application is accompanied with a traffic management plan detailing the dates of the differing traffic management arrangements in order to minimise the amount of rejected applications.

16.9.6 Where there are either deliveries to a site, or where spoil or other materials are to be removed from a site it is the Promoter's responsibility to ensure the movement of traffic at that location is not significantly delayed or interrupted by that operation in line with Safety at Street Works and Road Works Code of Practice.

16.10. Conditions for Methodology for Carrying Out Activities

16.10.1 The method the Promoter proposes to employ to carry out an activity can have a significant effect on the level of disruption. A Permit Authority may therefore attach conditions relating to the methodology for carrying out activities.

16.10.2 While it would not be appropriate for the Permit Authority to make an engineering judgement on a Promoter's proposed methodology of work, the Permit Authority should be satisfied that minimum dig technology can be employed wherever practical to minimise inconvenience to the public and reduce congestion. It is therefore a requirement that a Promoter details in their application the methodology they propose to use.

16.10.3 The Permit Authority acknowledges that site conditions may be different from those planned in the permit application and the Promoter may need to revert to other dig methods. In such cases an application for a permit variation would be required unless the Permit Authority decides that it is not necessary in the individual circumstances.

16.11. Conditions for Consultation and Publicity

16.11.1 To achieve many of the objectives of the Permit Scheme the advanced publicity and consultation of planned works will be the key for success. The availability of on-site information for the highway user on works in progress will provide information to assist journey planning and management of any disruption.

16.11.2 Advance Publicity

16.11.2.1 Where activities have the potential to be especially disruptive to local residents, businesses and/or

road users, the Permit Authority may attach a condition requiring the Promoter to provide advanced notice to nearby householders or businesses, or to traffic or pedestrians using the road.

16.11.2.2 In order to be beneficial such an exercise has to be carried out well before the activity commences. The need for such an exercise will be identified at either the permit or PAA application stage in order to ensure that the Promoter has sufficient time to carry out any related exercise. In respect of permit applications for major works where advance publicity is required, the permit application may have to provide evidence that the exercise has been carried out.

16.11.2.3 The effect of planned activities to a Public Transport provider, such as bus company, must be taken into consideration when the Permit Authority considers the permit application. These providers require consultation on the planned works to provide alternative services in order to minimise the impact of works.

16.11.2.4 Where the Promoter seeks a variation or extension to a permit, the permit authority may apply a further condition for consultation and publicity (if the circumstances justify it). In these circumstances, the Permit Authority should act reasonably, and such conditions will be local to the site and the activity.

16.11.3 **Display of Permit Numbers and Other Related Signage.**

16.11.3.1 For all planned works a Permit Reference Number should always be prominently displayed on site for each phase of the works. This reference number will comprise the content of the Works Reference number. Displaying this information will assist in identification of the site for the Permit Authority and members of the Public. It is a standard condition of this Permit Scheme that works shall not commence until a site information board has been erected on site in a prominent place so that it may be read easily by the Public, clearly displaying the correct Permit Reference Number. The sign will remain in place for the duration of works.

16.11.3.2 Where immediate works have started, it is accepted that the permit reference number may be unavailable and therefore cannot be immediately displayed on site. However, Promoters will still be required to ensure that an information board is displayed.

Specific requirements with regard to conditions relating to the display of Permit and works reference numbers for Immediate Activities will be utilised based upon Statutory Guidance for Highway Authority Permit Schemes which may change from time to time.

16.11.3.3 Conditions related to the display of the Permit Reference Number are to assist inspections, particularly in relation to the checking of conditions with which Promoters are required to apply and to help identify the site for members of the public who may report queries to Oxfordshire County Council or Promoters.

16.11.3.4 In certain circumstances the location of planned works may have an impact to local business,

especially within the footprint of the activity. In these circumstances a condition related to specific signage may be applied.

16.12. Condition for Environmental Factors

16.12.1 The Permit Authority may apply a condition for an environmental factor when considering the impact of the proposed activity to the local environment, including residents and the highway infrastructure.

16.12.2 Promoters may be required to contact the Environmental Health Officer (EHO) of the local authority in whose area the works are to be carried out, when drawing up proposals that involve carrying out works during environmentally sensitive hours. That is, hours outside of 08:00 to 18:00 Monday to Friday and 08:00 to 13:00 on a Saturday (see Section 60, Control of Pollution Act 1974). This should ensure that wherever possible, and at reasonable cost, the requirements of the EHO's can be met. However, this will not be a Condition attached to a permit.

16.12.3 The Permit Authority may need to impose environmental conditions to protect residents or people working, as well as schools, close to the proposed activities from disturbance particularly as a result of noise. This can be done by imposing conditions limiting the times of day when the permitted activities can take place.

16.12.4 The Permit Authority may also need to impose environmental based conditions where there is concern about maintaining the site in a clean and tidy condition, including removal of any spillage of materials on the public highway, during and on completion of the works. In such circumstances a condition requiring action at the end of any working period to ensure that waste, whatever the source, should not be left on site, may be applied.

16.13. Imposing Conditions upon Highway Authority Works Permits

16.13.1 Conditions will be imposed upon all permits regardless of Promoter. In addition, the Permit Authority will impose conditions upon a permit in respect of works to be carried out by or on behalf of a highway authority in the same form and for the same reasons for any Promoter.

16.13.2 In addition, in accordance with Permit Regulations, conditions on such permits may also require the Highway Authority to consult with any person who has apparatus likely to be affected by the works and require the Highway Authority to take all reasonably practicable steps to comply with any requirement made by that person which is reasonably necessary for the protection of the apparatus or for securing access to it.

17. Inspections

17.1. The procedures for dealing with all aspects of inspections under the Permit Scheme, apart from those related to overrun charges under Section 74 NRSWA and permit condition checks, will reflect the procedures set out in the current Code of Practice for Inspections, which may change from time to time.

17.2. **Section 74 Inspections**

- 17.2.1. These inspections are related to works that should have been completed by a due date or have been notified as having done so.
- 17.2.2. The Permit Authority will run the overrun charging scheme alongside the Permit Scheme under Section 74 of NRSWA as set out in Section 20.

17.3. **Permit Conditions Inspections**

- 17.3.1. Ad hoc inspections may be used to assess compliance with permit conditions specified in individual permits.

18. **Sanctions**

- 18.1. The Permit Authority may use the sanctions provided by the Permit Regulations to achieve compliance with the Permit Scheme.
- 18.2. Where there is proof that a Statutory Undertaker has committed a criminal offence and it is both practicable and appropriate, the Permit Authority may contact the Statutory Undertaker before acting and seek to discuss the matter in order to establish whether such action is required.
- 18.3. The Permit Authority may act for unauthorised works, where a Promoter:
 - a) Undertakes, without a permit, works for which a permit is required to have been obtained; or
 - b) Breaches a permit condition.
- 18.4. Any Statutory Undertaker not working within the content of an issued permit (either granted or deemed) may be undertaking works, without a permit, for which a permit is required to have been obtained. It is the responsibility of the Statutory Undertaker and all other Works promoters to ensure the content of the permit accurately reflects the proposed activity.
- 18.5. **Criminal Offences**
 - 18.5.1. It is a criminal offence for a Statutory Undertaker or someone acting on its behalf to undertake works without a permit. The offence carries a maximum fine of level 5 on the standard scale. Apart from immediate activities where a retrospective permit can be raised.
 - 18.5.2. Permit offences only apply to Statutory Undertakers, not to highway authorities, however Oxfordshire County Council is required to monitor the performance of Highway Authority Promoters to ensure a consistent approach is taken. It will therefore be a matter of public record if a highway

authority acts in such a way that would amount to the commission of an offence under Permit Regulations 19 and 20.

18.5.3. Regulation 20 provides that it is a criminal offence for a Statutory Undertaker or someone acting on its behalf to undertake works in breach of a condition.

18.6. **Fixed Penalty Notices (FPN)**

18.6.1. The Traffic Management Act Permit Regulations authorise Oxfordshire County Council to issue Fixed Penalty Notices (FPN's) in respect of the criminal offences. Fixed Penalty Notices offer the offender an opportunity to discharge liability for an offence by paying a penalty amount.

18.6.2. FPN's shall be in the form as set out in the TMA and Code of Practice for Co-ordination of Streetworks and Works for Road Purposes (or successor documents) for Permits and where issued via electronic systems, shall conform with the technical specification of that system.

18.6.3. Section 98 (2) NRSWA provides that a notice given after 16:30 on a working day is deemed to have been given on the next working day.

18.6.4. Where the Permit Authority considers that a FPN has been incorrectly issued a further notice will be issued to the recipient withdrawing the FPN via an FPN Withdrawal Notice supported by FPN Comments where required as defined by the electronic systems technical specification.

18.7. **Other Offences under NRSWA**

18.7.1. Any offences relating to sections of NRSWA which run in parallel to Permit Schemes will continue to apply. These include offences relating to reinstatements, overrunning works and failure to send appropriate notices.

18.10. **Revocation of Permit**

18.10.1 Whilst it is a criminal offence for a Statutory Undertaker or someone acting on its behalf to undertake works in breach of a condition, as a further alternative to taking criminal action in such circumstances against the Statutory Undertaker the Permit Authority may revoke the permit.

19. **Dispute Resolution**

19.1. The TMA provides wide powers to devise a suitable dispute resolution procedure and to identify the stages of the permit application process at which it can be invoked. There are no prescribed statutory dispute resolution procedures yet and the approach taken therefore, is to build on arrangements which already exist through the Highways Authorities and Utilities Committee (HAUC UK) at local and national level for resolving disputes.

19.2. The Permit Authority and Promoter are expected to use their best endeavours to resolve disputes

without having to refer them to a formal appeals procedure. This might, for instance, be achieved by referring the issue to management for settlement.

19.3. **Appeals Procedure**

19.3.1 The dispute resolution procedure for appeals under the Permit Scheme may be by dispute review, adjudication or arbitration.

19.4. **Dispute Review**

19.4.1. If agreement cannot be reached locally on a matter arising under any part of the Permit Scheme the dispute will be referred for review on the following basis:

a) Straightforward issues - Where the two parties consider the issues involved in the dispute are relatively straightforward, the matter will be referred to impartial members of a regional HAUC, (that is those not representing parties directly involved in the dispute) for review. That review should take place within five working days from the date of referral. Both parties are recommended to accept the result as binding.

b) Complex issues - If the parties to the dispute think the issues are particularly complex, they should/will ask HAUC (UK) to set up a review panel of four members - two Statutory Undertaker and two Permit Authority representatives. One of the four persons will be appointed as Chair of the panel by the HAUC (UK) joint chairs.

19.4.2. Each party should make all relevant financial, technical and other information available to the review panel. The review would normally take place within ten working days from the date on which the issue is referred to HAUC (UK). It is recommended that both parties accept the advice given by the review panel as binding.

20. **Related Matters and Procedures**

20.1. **Oxfordshire County Council & the Permit Authority Contact Details**

20.1.1 Oxfordshire County Council & the Permit Authority will publish their contact details, including out-of-working-hours, on their website.

20.2. **Traffic Restrictions and Road Closures**

20.2.1. Provisions governing temporary road closures and traffic restrictions for works or other activities in the street are found in Sections 14–16 of the Road Traffic Regulation Act 1984, (“RTRA 1984”), as amended by the Road Traffic (Temporary Restrictions) Act 1991 and Regulations made under RTRA 1984.

20.2.2. There are two procedures:

a) Where urgent action is needed the relevant Permit Authority may issue a 'temporary notice' imposing a short-term closure or restriction. Prior notice is not necessary. The notice is limited to 21 calendar days if there is a danger to the public or risk of serious damage to the road, independent of street works - a leaking gas main, for example. It can be extended by one further notice. The notice is limited to 5 calendar days if there is no risk of danger or damage.

b) For planned works and in less urgent cases the Permit Authority may make a 'temporary traffic order'. A Temporary Traffic Order may remain in force for a maximum period of up to 18 months. This is limited to six months for footpaths, bridleways, cycle tracks and byways open to all traffic.

20.2.3. A temporary notice and a temporary order may provide that restrictions have effect only during the operational period of the order and when traffic signs are lawfully in place. This will assist to limit traffic disruption where activities progress along a length of road.

20.2.4. In extraordinary circumstances, the RTRA (1984), allows the police to suspend designated street parking places temporarily to prevent or mitigate traffic disruption, or danger to traffic, which may assist Promoters carrying out emergency works.

20.3. **Temporary Notices**

20.3.1. This procedure will normally only apply to immediate activities. The Promoter will inform the Permit Authority as soon as practicable if a closure or traffic restriction is needed. The Permit Authority will consult with the police and all relevant parties, and confirm, as soon as possible, whether a notice will be made.

20.3.2. The Permit Authority should state in the notice:

- a) the reason for issue;
- b) its effect;
- c) alternative routes (where applicable); and
- d) the date and duration of the notice.

20.3.3. The Permit Authority should also notify the emergency services statutory consultees and any other Permit Authority with roads that may be affected. This should be done on, or before, the day the notice is issued.

20.4. **Temporary Orders**

20.4.1. A temporary traffic order is generally required for planned activities in a street (and may be created where operations under a temporary notice have established the need for the closure to remain in

place beyond the legal period for a temporary notice). If a Temporary Order is required, the Promoter should notify the Permit Authority at least three months in advance. This will allow the authority time to consult, and to obtain approvals and advertise the order.

20.4.2. Activities that require a temporary traffic order are automatically classed as major works and require at least three months' notice for applying for a PAA, initially, and the temporary traffic order.

20.4.3. The Promoter should submit all the information needed to justify a road closure with the application for a temporary traffic order.

20.5. **Maintenance of Statutory Undertakers' Apparatus**

20.5.1. Statutory Undertakers have a duty, under Section 81 NRSWA, to maintain apparatus in the street to the reasonable satisfaction of the street authority, having regard for the safety and convenience of traffic, the structure of the street, and integrity of apparatus in it. Bridge, sewer and transport authorities also have an interest, so far as any land, structure or apparatus they own is concerned.

20.6. **Practical NRSWA Considerations**

20.6.1. Although NRSWA gives Street Authorities certain default powers to inspect and carry out emergency works, neither street authorities nor Statutory Undertakers expect the need to arise. However, should it happen, (without impeding any immediate emergency action), then the matter will be referred to the agreed dispute resolution procedure.

20.6.2. The Street Authority will notify the Statutory Undertaker if surface apparatus is found to be defective or the cause of significant surface irregularity, or where an unexplained subsidence or other disturbance of the road surface occurs.

20.6.3. If the fault identified by the Permit Authority is for or as a result of previously un-attributable activities by Statutory Undertakers, and a Statutory Undertaker subsequently accepts responsibility for that activity, the Statutory Undertaker should retrospectively submit all the required notifications for the original works, before submitting a permit application for remedial works.

20.6.4. If the problem is agreed to be the Statutory Undertaker's responsibility, they should take immediate action to investigate and initiate any necessary remedial works, in accordance with the following principles:

a) Dangerous defects - requires an immediate response;

b) Non-Dangerous - requires a response within the timescales agreed with the authority.

20.7. **Dangerous Occurrence or Defects**

20.7.1. Apparatus that requires an immediate response or remedial works to avoid injury or damage to persons or property shall be considered dangerously defective.

- 20.7.2. Oxfordshire County Council may execute any emergency action required to safeguard the public and recover the costs of taking such action.
- 20.7.3. Non-Dangerous defect or occurrence requires a response within the timescales agreed with the street authority. Non-Dangerous defective apparatus is apparatus which requires attention to comply with specifications or remove nuisance or has the potential to escalate to “Dangerous” soon.
- 20.7.4. The decision on whether an occurrence is Dangerous or Non-Dangerous will, by necessity, be made on site. The relevant street authority will make the decision objectively
- 20.7.5. A Statutory Undertaker may reduce the time for response, to meet operational needs for example, but should not exceed the agreed timescales. It is important that only the responsible Statutory Undertaker, or a specialist contractor working on its behalf, investigates suspected damaged or defective apparatus.
- 20.7.6. Oxfordshire County Council will carry out investigations or remedial works (using appropriately trained and experienced persons) only in an emergency, or where the Statutory Undertaker is unable or unwilling to use their own operatives or specialist contractor.
- 20.7.7. Permit applications for any necessary remedial work that is a registerable activity should be made following the rules set out in this Permit Scheme and using the protocols set out in the technical specification for the current electronic system.
- 20.7.8. If Oxfordshire County Council has opened the street or exposed a Statutory Undertaker’s apparatus in an emergency, or in the circumstances described above, the Statutory Undertaker will assist the authority by jointly inspecting the problem, within a reasonable time agreed between them, to agree a remedial plan and timescale. The reasonable costs incurred by the Oxfordshire County Council may be charged to the Statutory Undertaker.
- 20.8. **Working near Rail Tracks**
- 20.8.1 Particular attention should be given to the possible effects of activities taking place at or in the vicinity of level crossings. Promoters planning works in such locations should refer to the advice contained within the Code of Practice for co-ordination of street works and Works for Road Purposes and Related Matters, or subsequent amendments, which sets out Network Rail’s requirements.
- 20.9. **Storage of Materials**
- 20.9.1 Promoters should ensure materials are not placed where they would cause an obstruction to road users. The location of any storage outside the designated working space should be with advance agreement of the Permit Authority. This is especially important if materials are stored away from the working space but are still deposited on the highway. Prior consultation with the Authority is recommended as the Promoter may require a separate licence for depositing materials on the highway.

20.10. Apparatus Belonging to Others

20.10.1 There may be other apparatus where activities are planned. Section 69 NRSWA requires those carrying out activities should ensure that the owners of any other apparatus can monitor the activity and measures to reasonably protect the other apparatus are followed. Failure to do so is a criminal offence.

20.11. Assessing the Impact of Activities

20.11.1 All activities in the highway have a disruptive effect on traffic. An assessment of any effects is undertaken by Oxfordshire County Council as part of the process of the permit application process where deemed necessary.

20.12. Environmental Issues

20.12.1 Where works are planned near any conservation areas, culverts, water courses, trees with preservation orders, basements, bridges, monuments or any other location where environmental factors may be of concern, Promoters are strongly advised to liaise with the authority's relevant departments to ensure that environmental officials along with any necessary authority officers are notified when drawing up their proposals. This should ensure that wherever possible, and at reasonable cost, their requirements can be met.

20.13. Overrun Charging Scheme – Section 74 NRSWA

20.13.1 Oxfordshire County Council will operate a scheme for overrun charging under Section 74 NRSWA alongside the Permit Scheme.

20.13.2 "Section 74 Regulations" are currently applied by the Street Works (Charges for Unreasonably Prolonged Occupation of the Highway) (England) Regulations. Any enactment which amends, applies, consolidates or re-enacts the provisions of these Regulations shall be constructed as a reference to the Regulations by virtue of that subsequent enactment. The operation of the overstaying regime however is modified under the Permit Scheme to incorporate the process of setting and modifying the duration of the activity (or "works" in Section 74 terms) through the permit application, approval and variation processes.

20.13.3 Activities carried out by a Promoter on behalf of a highway authority or by the highway authority themselves are not subject to Section 74 overrun charges. However, under the Permit Scheme, Promoters of such activities will be required to follow the same procedures as Promoters who are Statutory Undertakers.

20.14. Exempt Activities

20.14.1 The following types of activities are exempt from NRSWA Section 74 charging:

- Activities in non-traffic sensitive streets that require opening the highway, but not breaking it up;

- Replacing manhole or chamber covers - that do not involve breaking up the street;
- Replacing poles, lamps, columns or signs in the same location where that does not involve breaking up the street;
- Pole testing that does not involve breaking up the street;
- Bar holes.

If one of the exemptions applies, the promoter must record the appropriate charge exemption in the permit or permit variation application or Works Stop notice - see the current specification for electronic data transfer.

20.15. **Prescribed Period**

20.15.1 The “Prescribed Period” is the period during which no overrun charges can be levied. It is determined by the Secretary of State in the Section 74 Regulations.

20.16. **Section 58 & 58a NRSWA Restrictions**

20.16.1 Details of Section 58 and 58A NRSWA restrictions will be provided as required under the NRSWA Code of Practice for the Co-ordination of Street Works and Works for Road Purposes and Related Matters which may change from time to time.

20.16.2 Similar procedures will be followed for highway activities in relation to Section 58 and 58a restrictions, in order to facilitate the operation of the Permit Scheme and, as far as possible, parity of treatment for all Promoters.

21. **Changes and Ceasing to Operate**

21.1. It may be necessary to change the Permit Scheme from time to time.

21.2. Oxfordshire County Council may vary or revoke the Permit Scheme. Prior to this application Oxfordshire County Council should consult with those consultees originally consulted on implementation of the scheme including the Department for Transport and any other parties referred to in the Traffic Management Permit Scheme (England) (Amendment) Regulations 2015 regulation 3(1).

21.3. Any variation to the Permit Scheme should contain the relevant explanation and justification for the change(s).

21.4. Where revision to Permit Regulations by the Secretary of State necessitates changes in existing schemes, new Regulations and Statutory Guidance will make provision for such changes.

21.5. **Ceasing to Run the Permit Scheme**

21.5.1. Should Oxfordshire County Council wish to cease to run the Permit Scheme, they will first consult all interested parties.

22. **Street Works Registers and National Street Gazetteer NSG**

22.1. In accordance with Part 7 of the 2007 Regulations the Permit Authority will maintain a register in connection with its Permit Scheme. Each Permit Authority will maintain its own local register for its geographic area. The Register will include information on all streets other than those streets that are the responsibility of another authority

22.2. The Permit Authority will also maintain a street works register required under Section 53 of NRSWA for any private streets and for historic information.

22.3. Details in respect of registers are also shown in Chapter 3 of the Code of Practice and requirements for NRSWA registers are contained in the Code of Practice for Co-ordination of Street Works and Works for Road Purposes and Related Matters.

22.4. The statutory requirements for maintaining the two registers will be met in such a way that the information can be combined easily to aid the co-ordination of activities and to provide information to road users.

22.5. **Form of Registers**

22.5.1. The registers will be kept on an electronic system. In accordance with The Street Works (Registers, Notices, Directions and Designations) (England) Regulations 2007 requirement, the Permit Registers will use Geographic information System (GIS). Permit Registers will follow this requirement to ensure consistency between all holdings of street related data. Each register will be maintained against the same digital map base to ensure consistency between all holdings of street-related data. This common geographical dataset will be vector based, nationally consistent, maintained and seamless, with changes published on a regular update cycle.

22.5.2. The Permit Authority will ensure that all information held in the Permit Register is referenced to the Unique Street Reference Number (USRN). The Permit Authority will follow the requirements in the technical specification for the electronic system which maintains the street works register.

22.5.3. The permit register will include:

a) vector objects, (polygons, lines and points), representing real-world geographical features and boundaries, each with well-defined lifecycles and royalty-free unique identifiers suitable for referencing; and

b) road centreline geometry objects, each with royalty-free unique identifiers, which reference the road surface and form a complete and fully consistent topological network with no breaks or misalignments at administrative boundaries.

22.5.4. The minimum specification of the common map base is as follows:

- a) Scale Urban areas: 1:1250;
- b) Rural areas: 1:2500;
- c) Remote areas: 1:10000;
- d) Accuracy Urban areas: $\pm 1.0\text{m}$;
- e) Rural areas: $\pm 2.0\text{m}$;
- f) Remote areas: $\pm 4.0\text{m}$;
- g) Coverage: National and seamless, exhausting space over all land areas;
- h) Geometry Types: Point, Line and Polygon;
- i) Classification: Objects classified by physical form; and
- j) Update Cycle: every 6 months

22.6. **Content of Registers**

22.6.1. The Oxfordshire Permit Scheme register will record:

- a) copies of all PAA's, permit and permit variation applications submitted to the Permit Authority relating to registerable activities in any street;
- b) copies of all permits and PAA's given by the authority, including conditions attached as well as all variations to permits and conditions, including any permits "deemed" to be granted;
- c) copies of all revoked permits, refused PAA's and refused permits, together with the reasons for such refusals;
- d) copies of all notices, consents and directions served by a street authority under Sections 58 or 58A of NRSWA;
- e) copies of all notifications served by a Promoter / Statutory Undertaker under Sections 58 and 58A of NRSWA;

- f) copies of all notices given under Section 74 of NRSWA;
- g) description and location of activities for which plans and sections have been submitted under Schedule 4 of NRSWA (streets with special engineering difficulties);
- h) particulars of notices given by any relevant authority under Schedule 4 NRSWA;
- i) particulars of street work licences under Section 50 of NRSWA, including details of conditions and changes of ownership and of any NRSWA notices or directions associated with those licenses;
- j) information under Section 70 (3) and (4A) of NRSWA as to completion of reinstatements;
- k) particulars of apparatus notified to the street authority under Section 80(2) of NRSWA;
- l) every notice of works pursuant to Section 85 (2) of NRSWA;
- m) details of every street for which the highway authority are the street authority;
- n) details of every street which is a prospectively maintainable highway over which the Permit Scheme would operate;
- o) details of every street over which the Permit Scheme would operate, and which is a highway but not maintainable by the highway authority; and
- p) details of every street which is a:
 - i. protected street;
 - ii. street with special engineering difficulties; or
 - iii. traffic-sensitive street.
 - iv. private street

22.6.2. Oxfordshire County Council will ensure that their register includes the road category of each street.

22.7. Access to Registered Information

22.7.1. Everyone has a right to inspect Oxfordshire County Council's register, free of charge, at all reasonable times, except as noted below where there are restrictions. "All reasonable times" means normal office hours (e.g. 08:00 to 16:30, Monday to Friday except Bank Holidays).

22.7.2. Oxfordshire County Council will publish a limited content version of their register on their public website or version of their register. This will be available 24 hours a day, seven days a week, except for those occasional times when it will be unavailable due to upgrade and maintenance. This work will, wherever possible, be done outside normal office hours.

22.7.3. Much of the detailed information in the register is unlikely to be of interest to the Public and it is the responsibility of Oxfordshire County Council to decide how much information to make available in this way. Permit applications and notices contain information such as names and telephone numbers of contacts in organisations. Whilst Oxfordshire County Council will restrict such contact information being published, the Promoter should take responsibility to ensure information contained in free-text fields does not contain information that they do not want to be published. Oxfordshire County Council will make it clear that they are not responsible for the accuracy of information concerning those activities for which they are not the Promoter.

22.7.4. The websites will allow records to be searched by the USRN or the "street descriptor" (the street name, description or street number) as given in the NSG. The Highways Agency has its own methods of disseminating such information on trunk roads and motorways. Public access to websites will be read-only to prevent unauthorised amendment to records.

22.8. **Restricted Information**

22.8.1. Restricted information is anything certified by the Government as a matter of national security, or information which could jeopardise the Promoter's commercial interests such as details of a contract under negotiation. The Promoter should indicate restricted information on the application.

22.8.2. The right of access to restricted information is limited to:

a) persons authorised to execute any type of activity in the street; or

b) persons "otherwise appearing to the authority to have a sufficient interest".

22.8.3. Any person wishing to see restricted information should satisfy the Permit Authority, as a minimum, that his interest is greater than the general interest of the ordinary member of the public.

22.9. **Street Gazetteer**

22.9.1. The Permit Scheme recognises that a key element of controlling or managing an activity is knowing accurately where the activity will take place, in which street and where in the street.

22.9.2. There is already a nationally consistent street gazetteer system for identifying streets that is used under NRSWA whereby every highway authority produces a Local Street Gazetteer (LSG) and a copy is held centrally by the NSG Custodian. Each of these local gazetteers shall contain the information, required by and defined in the NSG Custodian documentation, about the streets in Oxfordshire County Council's area.

22.9.3. Oxfordshire County Council and Promoters should obtain full copies and updates of the street data from the NSG Custodian's website.

22.9.4. Under this system each street has a Unique Street Reference Number (USRN). The Permit Scheme provides for the same system to be used, along with the Additional Street Data linked to those streets.

22.9.5. USRN's can refer to a whole street (as identified on the ground) or, if the street is long, to part of a street between significant junctions. Under the Permit Scheme a "street" refers to that length of road associated with a single USRN, i.e. to part of a whole street where a street is subdivided.

22.9.6. It is the responsibility of the highway authority (which in the case of the Oxfordshire Permit Scheme is the Permit Authority), either individually or jointly with others, to create, maintain and publish street gazetteer data for all streets within their geographical area, whether they are the street authority for any particular street.

22.9.7. The specification for street gazetteers is set out in British Standard BS 7666. This standard may be amended or superseded from time to time. The Standard specifies three levels of detail; the highest, level 3, includes the geospatial representation of the centre-line of the street as well as the end points. With the degree of attention which will be exercised by the Permit Authority, accurate locations will often need the centre-line information if the impact of activities is to be properly assessed.

22.10. **Additional Street Data (ASD)**

22.10.1 Additional Street Data (ASD) refers to other information about streets held on the NSG Custodian's website alongside the NSG data. Highway authorities, Promoters and other interested and approved parties may obtain copies and updates to this data from the Custodian.

22.10.2 Oxfordshire County Council will provide the following information for the ASD alongside NSG data:

- a) the Primary Notice Authority for each street;
- b) whether the street is publicly maintainable, prospectively publicly maintainable, or private;
- c) whether the street, or part of the street, is covered by the Permit Scheme or NRSWA notification regime, which the Permit Authority is or street authority is and details of shared streets if this applies.
- d) any other authorities and Promoters with an interest in the street;
- e) the street reinstatement category;
- f) designations of protected streets;
- g) designations of streets with special engineering difficulty; and
- h) designations of traffic-sensitive streets.

22.10.3 Oxfordshire County Council may also provide the following information for the ASD which is optional:

a) whether the street is subject to early notification of immediate activities;

b) where possible, streets on which it might be expected that conditions relating to the non-use of that street for new apparatus, but not the maintenance of existing apparatus, may be used; and

c) other features of the street, such as structures, environmental areas, parking restrictions, priority lanes, special surfaces, standard surface and special construction needs etc.

22.10.4 Designations may cover only part of a street or vary along a street. The relevant detail should/will be recorded in the ASD.

22.11. Responsibility for Creating and Updating ASD

22.11.1 Where the street authority is also the highway authority, it creates the ASD together with the NSG.

22.11.2 Where the street authority is not the highway authority, it may create and submit its own ASD to the NSG Custodian. This will be referenced to the highway authorities' gazetteers. Organisations that may fall into this category are:

a) The Highways Agency (which manages the motorway and trunk road network in England)
However the Highways Agency currently provides its own gazetteer as well as ASD referenced to it

b) Network Rail (which is the street authority for level crossings between the barriers and some bridges).

22.11.3 Any other authority, Promoter or interested party should send their records to the NSG Custodian to ensure that their interest in a street is logged. The interest records should/will be entered into the ASD maintained by the highway authority.

22.11.4 This is particularly appropriate to neighbouring authorities in the exercise of their network management duty. The NSG Custodian will administer this process.

22.12. Use of ASD and Level 3, Street Gazetteer

22.12.1 All Promoters are advised to use the level 3 gazetteer and this ASD information when making their permit applications.

22.12.2 Promoters should ensure that they make their permit application to the Permit Authority.

22.13. Whilst not all activities require a permit, Promoters are strongly recommended to check Oxfordshire County Council's street works register to ensure that all opportunities to work in a collaborative way with other Promoters are taken & to avoid directly conflicting with other planned works.

- 22.14. Permits for all qualifying street works and works for road purposes, and all applications, (which can only be made by licensed undertakers or highway authorities), will be treated in a non-discriminatory way, as required in Regulation 40 of the 2007 Regulations. In effect the highway authority's activities and their applications will be treated in exactly the same way as those of licensed undertakers with regard to co-ordination and the setting of conditions.
- 22.15. In order to show that Oxfordshire County Council is operating the Permit Scheme in a fair and equitable way each Officer responsible for making any decision related to a permit application will be separated from the highway activities of the authority.

24. **Payment of Permit Fees**

- 24.1. All Promoters, except on behalf of highway authority works, will be required to pay the appropriate fee for a permit to Oxfordshire County Council under the Permit Scheme
- 24.2. In most cases the Statutory Undertaker will already have arrangements in place for payments to Oxfordshire County Council in relation to NRSWA, e.g. for inspection or for section 74 overrun charges. These arrangements can be used for permit fee payments provided there is transparency over precisely which permit a payment is for. In any event, Oxfordshire County Council will provide flexibility over how payments are made, although electronic payments are the preferred option.

24.3. **Payment Options for Permit Fees**

- 24.3.1 The range of payment options available are:

a) by electronic payment using the Bankers Automated Clearing Services ("BACS"). The Statutory Undertaker should contact Oxfordshire County Council, Finance Department;

b) by post to Oxfordshire County Council Finance Department at the relevant address.

- 24.3.2. For BACS payment, the Statutory Undertaker should support payment with details of the relevant invoice reference.

- 24.3.3. When paying by post, the payment should be accompanied with the relevant invoice reference.

- 24.3.4. While the use of electronic payment methods is strongly encouraged, in the event of a systems failure a Statutory Undertaker may use any of the other options available.

- 24.3.5. The Statutory Undertaker should set up payment facilities, provide contact details and agree methods of payment with the Oxfordshire County Council's Finance Department.

24.4. **Permit Fee Payment and Reconciliation**

- 24.4.1 There is no specific legislation regarding the reconciliation and invoicing arrangements for permit fees, however, it is recognised the internal financial arrangements of Oxfordshire County Council and Statutory Undertaker do differ and some flexibility should be provided for this process.

- 24.4.2. As a standard process for permit fee payment and reconciliation it is expected that an account for a specified period will be produced, containing the permit fees to be charged for that period. Each account will have a number which can be used as the reference for any payment, instead of the individual permit numbers.
- 24.4.3. Oxfordshire County Council will submit this account to the relevant Statutory Undertaker to provide an opportunity for them to reconcile the charges to be invoiced for the specified period, prior to the generation of an invoice for payment.
- 24.4.4. Oxfordshire County Council will confirm with each Statutory Undertaker the invoicing arrangements together with the frequency of the account reconciliation and/or invoicing. This section contains a standard payment and reconciliation model, including (a) the information to be provided within the account issued to the Statutory Undertaker; and (b) the reconciliation and invoicing process.
- 24.4.5. The following standard procedure for the reconciliation and payment of permit fees is recommended:
- a) A draft account of the permit fees to be charged for during the specified period will be produced by the Permit Authority and submitted to the Promoter to review for reconciliation. This will be sent via email and a month in arrears.
 - b) There will be a period of 10 working days after receipt of the draft account to confirm fees and charges for the entire period.
 - c) During the reconciliation period it is the Promoter's responsibility to liaise with Oxfordshire County Council if they have any comments or queries on the content of the account.
 - d) Once the reconciliation period is complete, a full invoice for the full period will be issued.
- 24.4.6. If during the reconciliation Oxfordshire County Council and Promoter cannot reach agreement on a permit fee and any details are still under discussion, these fees will be omitted from the final account for the period and subsequent invoice. Fees under discussion can be included or not included as a result of discussions, in a later invoice.
- 24.4.7. The account produced by Oxfordshire County Council will contain the following information related to the specified period:
- i. Account Reference - The reference for the account, or list of permit fees to be charged for;
 - ii. Date Issued - Date the account was issued to the Statutory Undertaker (DD/MM/YYYY format);
 - iii. Account Period – start and end date for the period the account relates to;
 - iv. District - the Statutory Undertaker Operational District (OD Number)

Held over charges from a previous period may be included in such a statement. For example, these may include charges that were previously queried or PAA charges held back from a previous period which were awaiting the granting of permit for the activities.

24.4.8. In addition to the information listed above, the account will also include details of the permit being charged for. These details will include:

- i. Application Type - PAA, permit or permit variation;
- ii. Permit Number - the Works Reference number, including the application reference, for each PAA, permit or permit variation;
- iii. Date Granted - the date (DD/MM/YYYY) when the PAA, permit or variation was granted by the Permit Authority;
- iv. Works Category - the type of works for which the permit has been issued;
- v. Reinstatement Category - the reinstatement category of the street for the permit activity;
- vi. Permit Fee and Discount - the permit fee being charged, and any related discount applied.

24.4.9. The account period and subsequent invoicing frequency may vary but only with prior agreement being obtained from the relevant Statutory Undertaker.

Appendices

Appendix A – Glossary

| Term | Explanation |
|--------------------------|---|
| Above Ground | Any works which do not involve the breaking up or opening of the street or tunnelling or boring under it. |
| Activity | Means street works as defined within part 3 NRSWA except for works under licence such as Section 50 NRSWA and works for road purposes as set out in Section 86 NRSWA. |
| Apparatus | Has the same meaning as in Section 105 NRSWA ("apparatus includes any structure for the lodging therein of apparatus or for the gaining access to apparatus"). |
| Appeals | Where disagreement remains unresolved between the Promoter and the Permit Authority about a Permit Authority's decision or actions, the Promoter may appeal using the procedure in Section 19 of this document. |
| Arbitration | Has the same meaning as in Section 99 of NRSWA, ("any matter which under this Part is to be settled by arbitration shall be referred to a single arbitrator appointed by agreement between the parties concerned or, in default of agreement, by the President of the Institution of Civil Engineers"). |
| ASD | Additional Street Data (ASD) means other information held on the National Street Gazetteer Custodians website alongside the NSG adjudication. |
| Bank holiday | Has the same meaning as in Section 98 (3) of NRSWA, ("a day which is a bank holiday under the Banking and Financial Dealings Act 1971 in the locality in which the street in question is situated"). |
| Bar hole | A bar hole is used to detect and monitor gas leaks. |
| Breaking up (the street) | Any disturbance to the surface of the street (other than opening the street). |
| Bridge | Includes the entire meaning specified in Section 88(1)(a) of NRSWA, ("references to a bridge include so much of any street as gives access to |

| | |
|--------------------------|--|
| | the bridge and any embankment, retaining wall or other work or substance supporting or protecting that part of the street"). |
| Bridge authority | Has the same meaning as in Section 88(1)(b) NRSWA, ("the authority, body or person in whom a Permit Scheme bridge is vested"). |
| Bridleway | Has the same meaning as in Section 329 Highways Act 1980, "(a highway over which the public have the following, but no other, rights of way, that is to say, a right of way on foot and a right of way on horseback or leading a horse, with or without a right to drive animals of any description along the highway"). |
| Carriageway | Has the same meaning as in Section 329 of Highways Act 1980, ("a way constituting or comprised in a highway, being a way (other than a cycle track) over which the public have a right of way for the passage of vehicles". |
| Central Register | A central register is a register covering two or more street authority areas that is maintained by one single authority, the 'register authority'. For example, a central register could include all authorities in a metropolitan or county area. |
| Co-ordination Meetings | Quarterly meetings to co-ordinate work within the highway authority's geographical area and neighbouring authorities' roads. |
| Culvert | A structure in the form of a large pipe or pipes, box or enclosed channel generally used for conveying water under a road. |
| Cycle track | Has the same meaning as in Section 329 of the Highways Act 1980, ("a way constituting or comprised in a highway, being a way over which the public have the following, but not other, rights of way, that is to say, a right of way on pedal cycles with or without a right of way on foot"). |
| Day | Unless explicitly stated otherwise the reference to day means a working day. |
| DfT | Department for Transport. |
| Disability | Has the same meaning as defined in Section 105(5) NRSWA, "Section 28 of the Chronically Sick and Disabled Persons Act 1970 ("the 1970 Act") (power to define "disability" and other expressions applies in relation to the provisions of this Part as to the provisions of the 1970 Act"). |
| Disability Equality Duty | Has the same meaning as in Section 49A of the Disability Discrimination Act 1995, inserted by the Disability Discrimination Act 2005 which requires that |

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| | <p>(1) Every public authority shall in carrying out its functions have due regard to—</p> <p>(a) the need to eliminate discrimination that is unlawful under this Act;</p> <p>(b) the need to eliminate harassment of disabled persons that is related to their disabilities;</p> <p>(c) the need to promote equality of opportunity between disabled persons and other persons;</p> <p>(d) the need to take steps to take account of disabled persons' disabilities, even where that involves treating disabled persons more favourably than other persons;</p> <p>(e) the need to promote positive attitudes towards disabled persons; and</p> <p>(f) the need to encourage participation by disabled persons in public life.</p> <p>(2) Subsection (1) is without prejudice to any obligation of a public authority to comply with any other provision of this Act.</p> |
| Distribution Network Operator (DNO) | Operator of an electricity distribution network. |
| e-government | The Government objective to deliver efficiency savings while improving the delivery of public services by joining up electronic government services around the needs of customers. |
| Emergency works | Has the same meaning as in Section 52 NRSWA, ("works whose execution at the time when they are executed is required in order to put an end to, or to prevent the occurrence of, circumstances then existing or imminent (or which the person responsible for the works believes on reasonable grounds to be existing or imminent) which are likely to cause danger to persons or property"). |
| Excavation | Has the same meaning as in "Breaking up" (the street)". |
| Fixed Penalty Notice | Has the same meaning as in schedule 4B NRSWA, ("a notice offering a person the opportunity of discharging any liability to conviction for a fixed penalty offence by payment of a penalty"). |
| Footpath | Has the same meaning as in Section 329 Highways Act 1980, ("a highway over which the public have a right of way on foot only, not being a footway"). |

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| Footway | Has the same meaning as in Section 329 Highways Act 1980, ("a way comprised in a highway which also comprises a carriageway, being a way over which the public have a right of way on foot only"). |
| Frontager | A person or body occupying premises abutting the street. |
| Geographical information system (GIS) | A computer system for capturing, storing, checking, integrating, manipulating, analysing and displaying data related to positions on the Earth's surface. |
| HAUC(UK) | The Highway Authorities and Utilities Committee for the UK. |
| Heavy commercial vehicle | Has the same meaning as in Section 138 Road Traffic Regulation Act 1984, ("any goods vehicle which has an operating weight exceeding 7.5 tonnes"). |
| Highway | Has the same meaning as in Section 328 Highways Act 1980, ("the whole or part of a highway other than a ferry or waterway"). |
| Highway authority | Has the same meaning as in Sections 1 and 329 Highways Act 1980. |
| Highway works | Means "works for road purposes" or "major highway works". |
| Highways Act 1980 | Means the Highways Act 1980 |
| Immediate activities | Means emergency works as defined in Section 52 NRSWA or urgent activities or works as defined in The Street Works (Registers, Notices, Directions and Designations) (England) Regulations 2007. |
| Land | Has the same meaning as in Section 329 of Highways Act 1980, ("land includes land covered by water and any interest or right in, over or under land"). |
| Level 1 (or 2, or 3) Gazetteer | As defined in the British Standard BS7666. |
| Local authority | Has the same meaning as in Section 270(1) Local Government Act 1972(a). |
| Local highway authority | Has the same meaning as in Section 329 Highways Act 1980, ("a highway authority other than the Minister"). |
| Local planning authority | Has the same meaning as in the Town and Country Planning Act 1990. |
| Local register | Means a register that is maintained by a single street authority for its own geographic area and will include information on all streets other than those streets that are the responsibility of another street authority. |

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| Local street gazetteer | A subset of the NSG containing details of all streets in a local highway authority area, being a self-contained entity created and maintained by the local highway authority covering all streets in their geographic area regardless of maintenance responsibility. |
| Main roads | Category 0, 1 and 2 streets and category 3 and 4 streets which are traffic-sensitive for all or part of the time. |
| Maintainable highway | Has the same meaning as “Highway maintainable at public expense” in S329 Highways Act 1980, and includes highway by virtue of Section 36 Highways Act 1980, and any other enactment (whether contained in the Highways Act 1980 or not ”. |
| Maintenance | Has the same meaning as in Section 329 Highways Act 1980, (“maintenance includes repair, and “maintain” and “maintainable” are to be construed accordingly”). |
| Major activities | Activities which have been identified in an Promoter’s annual operating programme, or if not identified in that programme, are normally planned or known about at least six months in advance of the date proposed for the works; or street works, other than immediate works, where (i) the street authority has indicated to the undertaker; or (ii) the undertaker considers, that an order under Section 14 of the Road Traffic Regulation Act 1984 (temporary prohibition or restriction on roads) is required; or street works, other than immediate street works, which have a planned duration of 11 days or more”. |
| Major bridge works | Has the same meaning as in Section 88 (2) NRSWA, (“works for the replacement, reconstruction or substantial alteration of a bridge”). |
| Major highway works | Has the same meaning as in Section 86 (3) NRSWA, (“works of any of the following descriptions executed by the highway authority in relation to a highway which consists of or includes a carriageway - (a) reconstruction or widening of the highway; (b) works carried out in exercise of the powers conferred by Section 64 Highways Act 1980 (dual carriageways and roundabouts); (c) substantial alteration of the level of the highway; (d) provision, alteration of the position or width, or substantial alteration in the level of a carriageway, footway or cycle track in the highway; (e) the construction or removal of a road hump within the meaning of Section 90F Highways Act 1980; |

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| | <p>(f) works carried out in exercise of the powers conferred by Section 184 Highways Act 1980 (vehicle crossings over footways and verges);</p> <p>(g) provision of a cattle-grid in the highway or works ancillary thereto; or</p> <p>(h) tunnelling or boring under the highway”.</p> |
| Major transport works | Has the same meaning as in Section 91(2) NRSWA, (“substantial works required for the purposes of a transport undertaking and executed in property held or used for the purposes of the undertaking”). |
| Material consideration | A consideration which relates to the carrying out of registerable activities and the impact of those activities. The weight to be accorded to any material consideration will depend upon the circumstances of the case. |
| Minor roads | Streets in reinstatement categories 3 and 4 which are not traffic sensitive at any time. |
| Minor works | Means those street works other than immediate works or major works where the planned duration is three days or less. |
| National Grid Reference (NGR) | Location reference using nationally defined eastings and northings. |
| National Land and Property Gazetteer (NLPG) | Gazetteer providing a national reference of land and property related Data Nationally consistent street gazetteer (NSG), a database defined as “an index of streets and their geographical locations created and maintained by the local highway authorities” based on the BS7666 standard. |
| Nationally Consistent Street Gazetteer (NSG) | Means a database defined as “an index of streets and their geographical locations created and maintained by the local highway authorities” based on the BS7666 standard. |
| Network management duty | <p>Means the duty imposed upon the local traffic authority under Section 16 TMA to manage their road network. The duty should be undertaken with a view to achieving, so far as may be reasonably practicable having regard to their other obligations, policies and objectives, the following overriding objectives:</p> <p>(a) securing the expeditious movement of traffic on the authority’s road network; and</p> <p>(b) facilitating the expeditious movement of traffic on road networks for which another authority is the traffic authority.</p> |

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| Notice management system | Notice management systems receive electronic street works notices and are used by street authorities to manage them together with other relevant information. |
| NRSA | New Roads and Street Works Act 1991. |
| NSG | National Street Gazetteer. |
| NSG Custodian | The body appointed to manage the NSG on behalf of the local highway authorities. |
| ODD | Operational District Data. |
| Opening (the street) | Removing a lid or cover to a manhole, inspection chamber, meter box or other structure embedded in the street without any “breaking up” of the street. |
| Ordnance Survey Grid | A spatial location based on the geospatially referenced national grid owned by the Ordnance Survey. |
| OSGR | Ordnance Survey Grid Reference. |
| PAA | Provisional Advanced Authorisation. An indication of the likely future issue by the Permit Authority of a permit for certain proposed works. |
| Passenger Transport Authority | One of seven authorities (Greater Manchester, Merseyside, South Yorkshire, Strathclyde, Tyne & Wear, West Midlands and West Yorkshire) made up of representatives from local authorities in the area, responsible for public transport in their area. |
| Passenger Transport Executive | The executive arm of a Passenger Transport Authority. |
| Pedestrian Planning Order | Means an order made under Section 249(2) or (2A) Town and Country Planning Act 1990. |
| Permit Authority | The relevant local highway authority or authorities authorised by a Statutory instrument to operate a Permit Scheme. |
| Permit Scheme | A Scheme approved by Order under which Permits for activities are sought and given. |
| Portable Traffic Signals | Portable signals used to control traffic at road junctions (multi-way) or to control traffic along a road (two-way), which are defined within the Traffic Signs Regulations and General Directions (2002). |

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| Prescribed | Has the same meaning as in Section 104 NRSWA, “prescription by the Secretary of State by Regulations, which may (unless the context otherwise requires) make different provision for different cases”. |
| Promoter | A person or organisation responsible for commissioning activities (works), in streets covered by the Permit Scheme. In the Permit Scheme Promoters will be either a Statutory Undertaker or a participating Council as a highway or traffic authority. |
| Protected street | Has the same meaning as in s61 NRSWA and includes any street that serves a specific strategic traffic need and therefore needs to be protected from unnecessary excavation and works and providing there is a reasonable alternative route in which undertakers can place the equipment that would otherwise lawfully have been placed in the protected street. |
| Provisional street | A street that does not yet have an entry in the NSG. Typically these will be newly created and/or private streets. |
| Public sewer | Has the same meaning as in the Water Industry Act 1991. |
| Railway | Has the same meaning as in Section 105(1) NRSWA and includes a light railway other than one in the nature of a tramway. |
| Reasonable period | Has the same meaning as in Regulation 37(4) of the 2007 Regulations and Section 74(2A) NRSWA as inserted by section 256 Transport Act 2000. |
| Reasonable times | Means normal office hours (08:00 to 16:30, Monday to Friday except Bank Holidays). |
| Registerable activities | As set out in Section 6.2 registerable activities correspond to what are “specified works” in the Traffic Management Permit Schemes (England) Regulations 2007 and Mended 2015 Regulations. |
| The 2007 Regulations | The Traffic Management Permit Scheme (England) Regulations 2007. |
| Reinstatement | Has the same meaning as in Section 105(1) NRSWA, “and includes making good”. |
| Reinstatement Category | The reinstatement category of a street in the Permit Scheme is the same as the reinstatement category under NRSWA, as defined in the Specification for the Reinstatement of Openings in Highways. |
| Relevant authority | Has the same meaning as in Section 49 (6) of NRSWA, (“references in this Part to the relevant authorities in relation to any works in a street are to |

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| | the street authority and also (a) where the works include the breaking up or opening of a public sewer in the street, the sewer authority; (b) where the street is carried or crossed by a bridge vested in a transport authority, or crosses or is crossed by any other property held or used for the purposes of a transport authority, that authority; and (c) where in any other case the street is carried or crossed by a bridge, the bridge authority"). |
| Remedial works | Means those works required to rectify defects identified in accordance with the provisions of the Code of Practice for Inspections and Regulations. |
| Road | Means "Highway". |
| Road category | Means one of the road categories specified in paragraph 1.3.1 Chapter S.1 of the Code of Practice entitled "Specification for the Reinstatement of Openings in Highways" dated April 2010, or where revised or reissued from time to time. |
| Road works | Works for road purposes. |
| Sewer | Has the same meaning as in the Water Industry Act 1991. |
| Small Openings and Small Excavations | All openings with a surface area of two square metres or less. |
| Special Engineering Difficulties (SED) | Has the same meaning as in Section 63 NRSWA, and refers to streets or parts of streets associated with structures, or streets of extraordinary construction where street works should be carefully planned and executed in order to avoid damage to, or failure of, the street itself or the associated structure with attendant danger to person or property. |
| Specified works | Means registerable activities and comprises both street works and works for road purposes as described in the Permit Scheme. |
| Standard works | Standard works are those street works, other than immediate works or major works, which have a planned duration of between four and ten days inclusive. |
| Statutory Guidance | Means the Traffic Management Act 2004 Statutory Guidance for Permits (March 2008). |
| Statutory right | Has the same meaning as in Section 105 (1) NRSWA, ("a right (whether expressed as a right, a power or otherwise) conferred by an enactment (whenever passed or made), other than a right exercisable by virtue of a street works licence"). |

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| Statutory Undertaker | Has the same meaning as in Section 48 (4) NRSWA, and in relation to street works means the person by whom the relevant statutory right is exercisable (in the capacity in which it is exercisable by him) or the licensee under the relevant street works licence. |
| Street | Has the same meaning as in Section 48 (1) NRSWA, and includes the whole or any part of any of the following, irrespective of whether it is a thoroughfare; - (a) any highway, road, lane, footway, alley or passage; (b) any square or court; (c) any land laid out as a way whether it is for the time being formed as a way or not. |
| Street authority | Has the same meaning as in Section 49 (1) NRSWA. |
| Street managers | Has the same meaning as in Section 49 (4) NRSWA, and where used in relation to a street which is not a maintainable highway, means the authority, body or person liable to the public to maintain or repair the street or, if there is none, any authority, body or person having the management or control of the street. |
| Street works | Has the same meaning as in Section 48 (3) NRSWA, "street works means works of any of the following kinds (other than works for road purposes) executed in a street in pursuance of a statutory right or a street works licence: (a) placing apparatus; or (b) inspecting, maintaining, adjusting, repairing, altering or renewing apparatus, changing the position of apparatus or removing it, or works required for or incidental to any such works (including, in particular, breaking up or opening the street, or any sewer, drain or tunnel under it, or tunnelling or boring under the street). |
| Street works licence | Has the same meaning as in Section 50 (1) NRSWA, "the street authority may grant a licence (a "street works licence") permitting a person (a) to place, or to retain, apparatus in the street, and (b) thereafter to inspect, maintain, adjust, repair, alter or renew the apparatus, change its position or remove it, and to execute for those purposes any works required for or incidental to such works (including, in particular, breaking up or opening the street, or any sewer, drain or tunnel under it, or tunnelling or boring under the street). |
| Traffic Regulation Order | Means an Order made under section 1, 6, 9 or 14 of the Road Traffic Regulation Act 1984. |

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| The "Regulations" or "Regs" | Means the Traffic Management Permit Schemes (England) Regulations 2007 SI 2007 No. 3372. |
| TMA | The Traffic Management Act 2004. |
| Traffic | Has the same meaning as in Section 105 (1) of NRSWA, and includes pedestrians and animals. |
| Traffic authority | Has the same meaning as in Section 121A of the Road Traffic Regulation Act 1984. |
| Traffic control | Any of the five methods of controlling traffic detailed in the Code of Practice "Safety at Street Works and Road Works". |
| Traffic Order | Means an Order made under the Road Traffic Regulation Act 1984. |
| Traffic sensitive street | Means a street designated by a street authority as traffic-sensitive pursuant to Section 64 NRSWA and in a case where a limited designation is made pursuant to Section 64(3). Any reference to works in a traffic-sensitive street shall be construed as a reference to works to be executed at the times and dates specified in such designation. |
| Tramway | Has the same meaning as in Section 105 (1) NRSWA, ("a system, mainly or exclusively for the carriage of passengers, using vehicles guided, or powered by energy transmitted, by rails or other fixed apparatus installed exclusively or mainly in a street"). |
| Transport authority | Has the same meaning as in Section 91(1)(a) NRSWA, "the authority, body or person having the control or management of a transport undertaking". |
| Transport undertaking | As defined in Section 91(1)(b) of NRSWA, "transport undertaking means a railway, tramway, dock, harbour, pier, canal or inland navigation undertaking of which the activities, or some of the activities, are carried on under statutory authority". |
| Trunk road | Has the same meaning as in Section 329 Highways Act 1980, "a highway, or a proposed highway, which is a trunk road by virtue of Section 10(1) or Section 19 Highways Act 1980 or by virtue of an order or direction under Section 10 Highways Act 1980 or under any other enactment". |
| Unique Street Reference Number (USRN) | As defined in the British Standard BS7666. |
| Urgent activities or works | Means immediate activities which are |

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| | <p>a) activities (not being emergency works) whose execution at the time they are executed is required (or which the person responsible for the activity believes on reasonable grounds to be required)</p> <p>i) to prevent or put an end to an unplanned interruption of any supply or service provided by the undertaker;</p> <p>ii) to avoid substantial loss to the undertaker in relation to an existing service; or</p> <p>iii) to reconnect supplies or services where the undertaker would be under a civil or criminal liability if the reconnection is delayed until after the expiration of the appropriate notice period; and</p> <p>(b) Includes activity that cannot reasonably be severed from such activities.</p> |
| Working day | A working day means a day other than a Saturday, Sunday, Christmas Day, Good Friday or a bank holiday; and for the purposes of the Permit Scheme the commencement of a working day will be treated as being 08:00 and its end as 16:30. |
| Working Space | Has the same meaning as specified on page 5 of the current "Safety at Street Works and Road Works, Code of Practice". |
| Works | Street works or works for road purposes. |
| Works clear | A works clear notice is used following interim reinstatement. |
| Works closed | A works closed notice is used following permanent reinstatement. |
| Works comment | Means an electronic communication using electronic systems. |
| Works for road purposes | <p>Has the same meaning as in Section 86(2) NRSWA, ("works for road purposes means works of any of the following descriptions executed in relation to a highway:</p> <p>(a) works for the maintenance of the highway;</p> <p>(b) any works under powers conferred by Part V of the Highways Act 1980 (improvement);</p> <p>(c) the erection, maintenance, alteration or removal of traffic signs on or near the highway; or</p> |

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| | (d) the construction of a crossing for vehicles across a footway or grass verge or the strengthening or adaptation of a footway for use as a crossing for vehicles"). |
| Works Reference | Based on the current electronic system a works reference is detailed as "allocated by the promoter and includes Prefix and District. The works reference should be unique to an individual works". |

Appendix B – Dis-applied Sections from the NRSWA (1991)

| NRSWA Section | | Change | Permit Regulations - Revised Arrangements |
|---------------|---|------------|--|
| Section 53 | The street works register | Disapplied | Permit regulations prescribe similar provisions for permit registers |
| Section 54 | Advance notice of certain works | Disapplied | Replaced by applications for provisional advance authorisation |
| Section 55 | Notice of starting date | Disapplied | Replaced by applications for permits |
| Section 56 | Power to direct timing of street works | Disapplied | Replaced by permit conditions and variations including those initiated by the Permit Authority |
| Section 57 | Notice of emergency works | Disapplied | Replaced by applications for immediate activities |
| Section 66 | Avoidance of unnecessary delay or obstruction | Disapplied | Replaced equivalent provisions for permit authorities to require Promoters in breach of the permit requirements to take remedial action and failing that for the authority to act. 24-hour compliance period to be replaced with a requirement for Promoters to comply within a reasonable specified period determined by circumstances. |

Appendix C - Modifications to NRSWA (1991)

The 2007 Regulations modify the following sections of NRSWA to accommodate the issuing of permits rather than the exchange of notices.

| NRSWA Section | | Change | Permit Regulations – Revised Arrangements |
|---------------|---|----------------------|--|
| Section 58 | Restriction on works following substantial road works | Modified | The authority's ability to issue permits with start and end dates replacing directions to start works covered in NRSWA S58 (5) to (7) - The 2007 Regulations provide the equivalent of S58A powers by allowing authorities to take into account whether Promoters responded to the S58 notice by submitting an application for their planned activities. |
| Section 58A | Restriction on works following substantial street works | Modified | Schedule 3A is modified to work in conjunction with permits. |
| Section 64 | Traffic Sensitive Street | Modified | Permit regulations provide the requirement for notifying permit applicants the proposals to designate further streets as traffic sensitive. |
| Section 64(1) | Traffic Sensitive Street | Modified | Has effect as if— (a) after “or paragraph 2 of Schedule 3A” there were inserted “or the content, operation, variation or revocation of permit schemes”; and (b) after “street works” there was inserted “or works for road purposes”. |
| Section 69 | Works likely to affect other apparatus in the street | Effectively extended | Permit regulations create an equivalent requirement on highway authority promoters. |
| Section 74 | Charge for occupation of the highway where works are unreasonably prolonged | Modified | Permit regulations make provision to operate Section 74 powers in parallel with Permits. |

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| Section 88 | Bridge, bridge authorities and related matters | Modified | Modified to work in conjunction with permits. |
| Section 89 | Public sewers, sewer authorities and related matters | Modified | Modified to work in conjunction with permits. |
| Section 90 | Provisions as to reinstatement of sewers, drains and tunnels | Modified | Modified to work in conjunction with permits. |
| Section 93 | Works affecting level crossings or tramways | Modified | Modified to work in conjunction with permits. |
| Section 105 | Minor definitions | Modified | Modified to work in conjunction with permits. |

Appendix D – Application & Responses Times

| Activity Type | Minimum application periods ahead of proposed start date | | Minimum period before permit expires for application for variation (including extension) | Response times for issuing a permit or seeking further information or discussion | | Response times to applications for permit variations (Days = Working days) |
|------------------|--|---|--|--|---|---|
| | Application for provisional advance authorisation | Application for Permit (Days = Working days) | | Application for provisional advance authorisation | Application for Permit (Days = Working days) | |
| Major | 3 Months | 10 Days | 2 Days or 20% of the original duration whichever is longest | 1 Calendar Month | 5 Days | 2 Days |
| Standard | n/a | 10 Days | | n/a | 5 Days | 2 Days |
| Minor | n/a | 3 Days | | n/a | 2 Days | 2 Days |
| Immediate | n/a | 2 Hours After | | n/a | 2 Days | 2 Days |

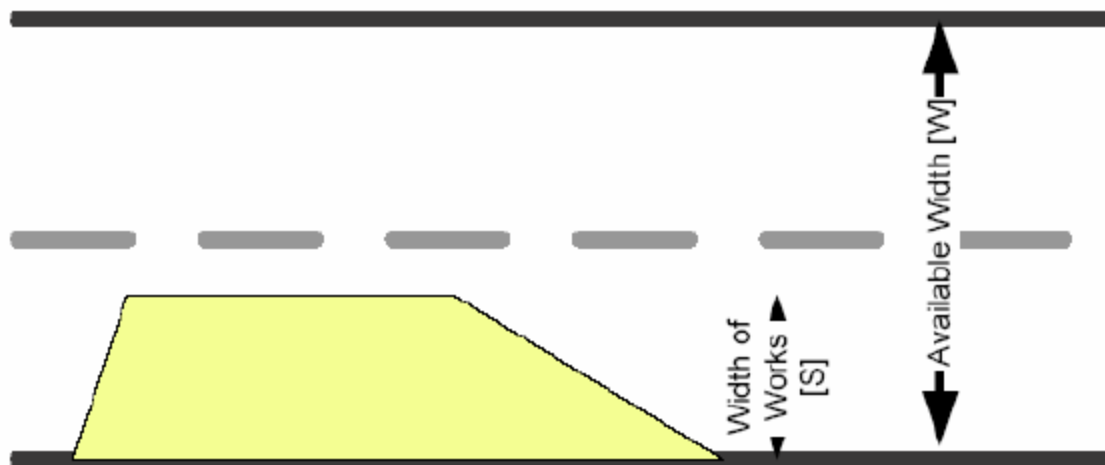
Appendix E – Disruption Effect Score

Derivation of Disruption Effect Score

The disruption effect score is based on the reduction in capacity resulting from an activity on the highway. The reduction in capacity may be calculated using an algorithm that requires the entry of several simple factors. These factors are as follows:

| Factor | Description |
|--------|--|
| [P] | The daily traffic flow, measured as an average am/pm peak hour flow in PCUs per hour, so that it takes account of HGV percentages. (Source: Highway Authority) |
| [W] | The total width in metres of the carriageway (or the width of both carriageways for a dual carriageway road) (Source: Ordnance Survey mapping using GIS tools) |
| [S] | The width in metres of the activity occupying the carriageway, or in the case of activities on the footway, this would be the width in metres of the carriageway occupied by attendant vehicles and associated traffic management, as well as the width needed for any incursion of pedestrians, cyclists and horse riders into the carriageway. (Source: Established as part of the works planning process) |

Disruption Effect Score – Calculation Illustration



Calculation of Disruption Effect Score

The following algorithm is used to calculate the Disruption Effect Score:

$$\text{Disruption Effect Score} = [(P \times 100) / (1600 \times (W - S) / 3.65)]$$

Use of Disruption Effect Score

The disruption effect score has several specific uses including:

- i. Derivation of the Traffic Impact Assessment,
- ii. Objective based prioritisation of activities for co-ordination, and
- iii. Performance indicators

Impact Assessment

The impact assessment is a broad indicator of the potential disruption that could arise from an activity on the highway;

| Disruption Effect Score | Impact |
|--|----------|
| Greater than or equal to 75 | Severe |
| Greater than or equal to 50 and less than 75 | Moderate |
| Greater than or equal to 25 and less than 50 | Slight |
| Less than 25 | None |

Impact on Buses

The impact assessment for bus traffic is assessed for defined bus routes only and is derived as follows:

| Disruption Effect Score Factor | Impact |
|--|----------|
| Greater than or equal to 75 | Severe |
| Dedicated bus lane closed | Severe |
| Greater than or equal to 50 and less than 75 | Moderate |

| | |
|--|----------|
| Dedicated bus lane diverted | Moderate |
| Greater than or equal to 25 and less than 50 | Slight |
| Less than 25 | None |

Impact on Pedestrians

The impact assessment for pedestrian traffic is derived as follows:

| Factor | Impact | | | | |
|---------------------------|----------------------------|----------|----------|----------|----------|
| | Footway Hierarchy Category | | | | |
| | 1a | 1 | 2 | 3 | 4 |
| Closure | Severe | Severe | Severe | Severe | Moderate |
| Complete Diversion | Severe | Severe | Severe | Moderate | Slight |
| Partial Diversion | Severe | Severe | Moderate | Moderate | Slight |
| Narrowing >50% | Severe | Severe | Slight | Slight | None |
| Narrowing <50% | Severe | Moderate | Slight | None | None |

A 'complete diversion' of a footway is where a new route for pedestrians has been established, for example where there is a requirement to cross the road to use the opposite footway. A 'partial diversion' of a footway is where the route for pedestrians is diverted around the activity's site but remains on the same side of the road. In addition, the impact of any activities on footways associated with urban transport facilities will be considered as 'severe'. For the purposes of this section these are any activities on footways that are within 100 metres of an entrance to a bus, tube, railway or tram station.

Appendix F – Permit Fees

| | Main roads | | | Minor roads |
|---|-----------------------|--|--|---|
| | 0,1,2 | 3 & 4 | | 3 & 4 |
| Reinstatement category of street | 0,1,2 | 3 & 4 | | 3 & 4 |
| Street designated as traffic sensitive or not | All streets | Traffic sensitive at some times/ locations | | Non traffic sensitive at any time or location |
| Time and location of activity | Any time and location | Any part within traffic times/ locations | Wholly within non traffic sensitive times/ locations | Any time and location |
| Provisional advance Authorisation | £ 105.00 | £ 105.00 | £ 50.00 | £ 50.00 |
| Major works over 10 days and all major works requiring a traffic regulation order | £ 240.00 | £ 240.00 | £ 80.00 | £ 80.00 |
| Major works 4-10 days | £ 130.00 | £ 130.00 | £ 50.00 | £ 50.00 |
| Major works up to 3 days | £ 65.00 | £ 65.00 | £ 35.00 | £ 35.00 |
| Standard activity | £ 130.00 | £ 130.00 | £ 50.00 | £ 50.00 |
| Minor activity | £ 65.00 | £ 65.00 | £ 32.00 | £ 32.00 |
| Immediate activity | £ 60.00 | £ 60.00 | £ 32.00 | £ 32.00 |

Permit Variation Fees

For permit variations, the Permit Authority will charge: -

- for all works on category 0, 1 and 2 streets and category 3 and 4 streets that are traffic-sensitive;
- for activities on category 3 and 4 streets which are not designated as traffic sensitive.

Permit Fee Reduction

Reduction for works wholly outside of Traffic Sensitive Times on Traffic Sensitive Streets. The Authority will apply a discount to both Road Categories 3 – 4 that are Traffic Sensitive and Road Category 0-2, where the works are wholly outside indicated Traffic Sensitive Times.

Discount rates

30% on permit fees as per marked on table above (*)

Collaborative Working

Any Statutory Undertaker shall be eligible for a discount where an activity involves more than one promoter and collaborating in one single set of works. This may include collaboration with highway authority promoters as well as other Statutory Undertakers. Promoters should utilise the relevant electronic system data fields to indicate whether collaboration is to take place. Requirements and discounts are set out in Section 3.8 & 15.6.

PERMIT VARIATION FEES

£45 for activities on category 0, 1 & 2 streets, and on 3 & 4 traffic sensitive streets.

£35 for activities on category 3 and 4 non traffic sensitive streets.

If a Permit variation moves an activity into a higher fee category, the Promoter will be required to pay the difference in Permit fee.

No fee is payable if a Permit variation is initiated by the Permit Authority.

The review will consider the on-going Scheme costs and inflationary rates.

The fees will not exceed the maximum charges as set by the DFT.

All Promoters will be notified of any changes to the fees.