

Annex B

List of requirements for permit schemes in legislation and statutory guidance Permit Application: Evaluation template

Authority				
		Name of authority	Type of scheme	Date received
		Southampton City Council	Single Scheme	

Content checklist

No.	Ref	Subject	Yes/No	Reference
		Consultation		
1	r3(a)	Consulted all statutory undertakers and s50 holders in the area	YES	Consultation Report
2	r3(b)	Consulted all authorities whose streets / areas are included or affected by the scheme	YES	Consultation Report
3	r3(c)	Consulted TFL if the scheme is in London	N/A	
4	r3(d)	Consulted any PTE if the scheme covers their area	N/A	
5	r3(e)	Consulted the emergency services which operate in the area covered by the scheme	YES	Consultation Report
6	r3(f)	Consulted the SoS (transport)	YES	Consultation Report
7	r4(i)	The submission contains a summary of responses to the consultation and the changes made in the light of the consultation	YES	Consultation Report
8	Sg25	There is a commitment to provide all activity promoters operating within the permit area, and all those consulted on the proposed scheme, with the details of post consultation changes before the scheme goes live	YES	Scheme Annex
		Scheme objectives, design, cost-benefit analysis and evaluation arrangements		
9	r4(b)	The scheme states the objectives	YES	Scheme Doc Section 3
10	Sg24	There is an explanation of the Permit Authority's chosen design for the permit scheme	YES	1.1.1
11	r4(c)	The scheme sets out how the permit authority will ensure non - discrimination between permit applicants	YES	2.8.3 5.2.2

No.	Ref	Subject	Yes/No	Reference
				22.1.1
12	Sg23	The scheme is designed to ensure, as far as possible, parity of treatment between both types of works by evidence of compliance with KPIs.	YES	22.1.1
13	Sg23	At least 4 KPIs are included in the scheme, including the two mandatory ones	YES	Section 22
14	r4(d)	The scheme sets out how and when the permit authority will evaluate the scheme to ensure that the stated objectives are met	YES	Section 22
15	r4(e)	The submission sets out the costs and benefits of the scheme	YES	Cost Benefit Analysis
		Coverage of the scheme		
16	r4(a)	The scheme lists all highway authorities with streets included in it	YES	Section 2.3.2
17	r7(1)	The scheme states the area it will cover	YES	Section 4
18	r8(1)	The scheme states the streets within the area that are included in the scheme	YES	Section 4.3.1
19	r6(1)	The scheme states the types of works the scheme applies to	YES	Section 2.5
20	Sg7	The scheme includes both highway and statutory undertakers' works	YES	Section 2.5.2
21	Sg7	All works comprising "registerable works" in terms of the 2007 Notices Regulations under NRSWA are included in the scheme	YES	Section 2.5.3
22	r9(2)	The scheme states which specified people or types of people do not have to apply for a permit, and in what circumstances	YES	Section 6.2
		Implementation and transition		
23	r4(g)	The scheme states the date when the permit scheme is going to start operation	YES	Section 2.3.6
24	r4(h)	The scheme sets out any transitional arrangements that the authority proposes to implement	YES	Section 21
		Compliance with general technical and definitional requirements		
25	Sg9	The scheme is set up to receive applications, issue notices and otherwise communicate electronically	YES	Section 10.2
26	Sg21	The scheme is designed to operate in a manner which complies with the Technical Specification and follows its requirements	YES	Section 10.2.1
27	Sg18	The scheme uses a nationally consistent street gazetteer system for identifying streets that is used under NRSWA	YES	Section 4.3.2
28	Sg60	The scheme provides that 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	YES	Section 2.7.1

No.	Ref	Subject	Yes/No	Reference
29	Sg19	The permit authorities street gazetteer is upgraded to level 3	YES	Section 4.3.2
30	r33(2)	The permit authority is committed to creating and maintaining a register containing the names of each street included in the scheme and specifying whether such streets have been designated as protected, of special engineering difficulties, or traffic-sensitive	YES	Section 20
31	Sg20	The permit authority is committed to maintaining a register in connection with their permit scheme containing information about all registerable activities on those streets	YES	Section 5.1.2
32	Sg21	The permit authority is committed to ensuring that all the information held in permit registers is referenced to the Elementary Street Unit Identifier, and the Unique Street Reference Number (USRN) and that permit registers follow the street works equivalent by being GIS (Geographic Information System) based	YES	Section 20.1
33	Sg8	The scheme uses the same or equivalent definitions or requirements as are used in the NRSWA notice system for: Registerable activities/works Categories of activities/works (major, standard, minor and immediate activities/works); Street gazetteers, including street referencing by means of Unique Street Reference Number (USRN) and Associated Street Data (ASD) Street reinstatement categories as defined in the NRSWA Reinstatement Specification The distinction between main roads and minor roads, where such distinctions are relevant Streets designated as protected, having special engineering difficulty or traffic sensitive	YES	Section 2.7
34	Sg 36	The scheme defines major activities as works that: have been identified in an organisation'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 activity; or other than immediate activities, require a temporary traffic regulation order; or other than immediate activities, have a duration of 11 working days or more	YES	Section 9.2
		Provisional Advance Authorisations		
35	Sg36	If the scheme requires a PAA for major works then the promoter should be required to provide the final detailed information in support of its application for a permit at least 10 working days before the activity is due to commence	YES	Section 10.7 Table 1
36	Sg38	The scheme incorporates a requirement for PAAs in relation to major permits only	YES	Section 8.2
37	r11(2)	Where a scheme requires PAAs to be applied for it specifies the	YES	Section 8.2.6

No.	Ref	Subject	Yes/No	Reference
		information that should be included in the application for a PAA		
38	Sg39	The scheme requires an application for a PAA to specify proposed start and end dates for the relevant activities, although the scheme should allow sufficient flexibility to enable the dates to be reasonably adjusted when a permit is ultimately issued	YES	Section 8.2.6
39	Sg40	The information stipulated by the scheme to support an application for a PAA should be equivalent to, and certainly should not exceed, that required in support of an application for a permit	YES	Section 8.3.2
40	r11(6)	Where a scheme requires a PAA to be applied for, it requires that a copy of the PAA is sent to a relevant authority or any other body having kit in the street when it is requested by that body	YES	Section 8.2.9
41	Sg45	Where a PAA has been given but a full permit has not yet been issued, and proposals change, the scheme stipulates that the Permit Authority has to be informed of the proposed changes and a revised application for PAA or permit made	YES	Section 15.4.2
42	Sg36	If the scheme requires a PAA for major works then the promoter should be required to provide the final detailed information in support of its application for a permit at least 10 working days before the activity is due to commence	YES	Section 8.3.1 + 10.7
		Immediate activities		
43	Sg36	Immediate Activities are defined as emergency works as defined in section 52 of NRSWA, or 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 promoter; (ii) to avoid substantial loss to the promoter in relation to an existing service; or (iii) 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; This includes works that cannot reasonably be separated or severed from such works	YES	Section 9.5
44	Sg36	The scheme provides that the initial stage of immediate activities are exempt from requiring a permit	YES	Section 6.3
45	Sg36	The scheme requires promoters of immediate activities to apply for a permit within two hours of the activity starting.	YES	Section 6.3.1
46	Sg43	The scheme is able to link an immediate activity and the conditions attached to it prior to a permit being issued with the application for a permit for that immediate activity when it is made	YES	10.2 + 10.4 EToN specification provides this
47	Sg48	The scheme is compliant with paragraph 48m of the SG (different procedures regarding immediate works and fault finding)	YES	Section 15.10
48	Sg57	The ASD must be marked with any streets for which the scheme requires a promoter to ring the authority when starting immediate	YES	Section 13.3.1

No.	Ref	Subject	Yes/No	Reference
		works		
		Other works requiring permits		
49	r9(1)	The scheme includes a provision requiring a permit to be obtained before specified works are carried out in a specified street	YES	Section 5
50	r9(8)	The scheme provides that each phase of work requires a separate permit, e.g a separate permit would be required for interim and permanent reinstatements	YES	Section 7.4.1
51	Sg36	Standard activities are defined in the scheme as those activities, other than immediate or major activities, that have a planned duration of between 4 and 10 working days inclusive	YES	Section 9.3.1
52	Sg36	The scheme stipulates that a standard permit is applied for 10 days in advance of works commencing	YES	Section 10.7 Table 1
53	Sg36	Minor Activities are defined in the scheme as activities, other than immediate or major activities, where the planned working is 3 working days or less	YES	Section 9.4.1
54	Sg36	The scheme stipulates that a minor permit is applied for 3 days in advance of works commencing	YES	Section 10.7 Table 1
		Applications for permits		
55	Sg55	The scheme requires promoters applying for permits or PAAs to copy their applications to any authority or undertaker that has requested to see permit applications on certain streets	YES	Sections 8.2.9 + 8.3.4
56	r9(3)	The information that has to be included in a permit application is specified in the scheme	YES	Section 11
57	r9(4)	The scheme requires that each application for a permit only covers one street	YES	Section 12
58	r9(5)	The scheme requires each application for a permit or a variation of a permit to include an estimate of the likely duration of the works	YES	Section 11
59	Sg61	The scheme requires a sufficiently detailed description of the activities to be provided to allow the street authority to assess the likely impact of the activity	YES	Section 11.1.3
60	Sg62	The scheme requires promoters to include an accurate location in their application based on National Grid References (NGRs), one in the centre of the excavation for small excavations and one at each end of trenches, along with the dimensions of the space taken up by the activity in the street	YES	Section 11.1.1
61	Sg63	The scheme requires each application for a permit to include proposed start and end dates, and should require applicants to indicate whether they wish the permit to cover work at weekends and on Bank Holidays (where applicable)	YES	Section 12.4
62	Sg64	The scheme allows the Permit Authority to require the applicant to provide an illustration of the works (including plans, digital photographs etc) in appropriate cases. Activities on streets with Special Engineering Difficulty will in any case require a plan and section. This should include details of what the works are, whether	YES	Section 12.5

No.	Ref	Subject	Yes/No	Reference
		they are likely to affect more than one lane of the street and if possible a numerical measure of estimated disruption		
63	Sg65	The scheme requires applicants to supply details of the planned techniques to be used, such as open cut, trench share, minimum dig technique or no dig	YES	Section 12.6
64	Sg66	The scheme requires applicants to supply details of their traffic management proposals, including any requirement for action by the local authority, such as the need for Traffic Regulation Orders (TROs), lifting of parking restrictions and approval for portable light signals	YES	Section 12.7
65	Sg67	The scheme requires that activity promoters provide their best estimate of the excavation depth as part of the application	YES	Section 12.8
66	Sg68	The scheme requires applicants to indicate whether the activity is intended to be completed with interim or permanent reinstatement or a mixture of both. If the latter, then details would need to be provided as to where interim or permanent reinstatements will be completed within that permit	YES	Section 12.9.1
67	Sg69	The scheme requires applications to include the provisional number of estimated inspection units appropriate to the activity	YES	Section 12.10.2
68	Sg70	The scheme requires all applications to include the contact details of the person appointed by the activity promoter to deal with any problems that may occur during the activity, including any provision made for out of hours contact by the promoter	YES	Section 11.2.1
		Permit content and conditions		
69	r9(6)	The scheme provides for each permit to specify the duration within which the specified works on a specified street are by that permit authorised	YES	Section 12.4
70	Sg32	There is a commitment to date permits in calendar days not working days	YES	Section 14.2.2 + 9.3 + 9.4
71	Sg35	The scheme is designed so that 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 dates respectively on the permit. The permit will not be valid before the start date on the permit and will cease to be valid once the end date has passed unless a variation is granted	YES	Section 9
72	Sg35	The scheme is designed so that on category 3 and 4 streets that are not traffic sensitive, permit start and end dates should allow for flexibility in the start of the activity but once the activity is started it must be completed within the activity duration period specified in the permit. The starting window should be 5 working days for major and standard activities and 2 working days for minor activities	YES	Section 7.10
73	Sg35	The scheme is designed to ensure that working at weekends or on bank holidays is reflected in the permit start and end dates	YES	Section 12.4 + 14.2.2
74	Sg41	The scheme provides for permit conditions to be applied and specifies the types of conditions that will be applied	YES	Section 13

No.	Ref	Subject	Yes/No	Reference
75	Sg41	The scheme provides that the permit will specify in detail the activity it allows and the conditions attached	YES	Section 13
76	Sg41	The scheme provides that any constraints in the original application should be reflected in conditions in the permit	YES	Section 13.1.1
77	Sg71	The scheme provides that an issued permit will contain all the conditions attached to the permit so that there is no ambiguity about the validity and terms of the permit	YES	Section 13
78	Sg73	The scheme imposes standard conditions on permits which will require the permit reference number to be prominently displayed on the site information board for each set of works	YES	Section 13.3.5
		Time limits for responses to applications		
79	Sg58	The scheme sets out times in which the permit authority will respond to applications for PAAs; and, variations of permits; and permit conditions	YES	Section 10.7 Table 1
80	Sg58	The time limits for the permit authority to respond to a permit application are as set out in the statutory guidance	YES	Section 10.7 Table 1
		Issue of permits: procedure		
81	Sg71	The scheme provides that permits will be sent to the promoter electronically through the EToN system	YES	Section 14.2
82	Sg71	The scheme provides that the permit will 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 particular street	YES	Section 20.1
83	Sg71	The scheme provides that a permit will be issued to the promoter for every permit that is granted	YES	Section 14.2
84	Sg72	The scheme provides that all permits will be given a unique reference number (following the EToN numbering conventions)	YES	Section 15.11.1
85	Sg72	The scheme provides that permits will be marked so as to indicate cross references to any linked permits which have also been issued	YES	Section 7.5 + 7.4.3
		Revocation and variation of permits		
86	r15(1)	The scheme includes provisions to enable the permit authority to vary and/or revoke permits and permit conditions	YES	Section 15
87	r10(4)	The scheme provides that the permit authority can revoke a permit where it appears that the conditions have been broken	YES	Section 15
88	Sg50	The scheme includes a statement of the Permit Authority's policy as to the circumstances in which it will review, vary or revoke permits on its own initiative	YES	Section 15.1.2
89	Sg52	The scheme sets out the process by which:	YES	Section 15.3.1

No.	Ref	Subject	Yes/No	Reference
		a promoter who no longer requires a permit for an activity can request the authority to revoke or cancel a permit that has already been issued; or cancel or withdraw an application that has been submitted but for which a permit has not yet been granted		
90	Sg46	The scheme sets out clearly how applications for variations to permits or conditions should be made. It provides that 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 electronically	YES	Section 10.7 Table 1
91	Sg46	The scheme stipulates that in any other case the promoter shall first telephone the Permit Authority to ascertain whether the Authority is prepared to grant a variation and only apply, again electronically, if the Authority is so prepared	YES	Section 15.5 + 15.9.2
92	r15(2)	The scheme specifies the information that needs to be included in an application for a variation or revocation of a permit or permit condition	YES	Section 15.11
		Other miscellaneous aspects of scheme content		
93	Sg94	Part 8 of the Regulations amend NRSWA section 58 (restrictions on works following substantial road works) and section 74 (charge for occupation of the highway where works unreasonably prolonged) for undertakers' works only. The scheme provides similar arrangements for highway authorities' works, in the interests of parity	YES	Section 2.8.2
94		The scheme has taken into account any major known projects such as Cross Rail, Olympics, TIF projects, Thames Gateway projects etc	YES	Section 2.3.5
95	r13	If a scheme has specified conditions and types of works where a permit does not apply, but still wants to apply conditions to these types of works, then the scheme specifies how these conditions are to be identified and how any variations applicable to these conditions will be brought to the attention of the undertaker	NO	
		Fees		
96	r4(f)	The submission provides the evidence considered by the permit authority when deciding on the proposed fee levels, and the reasons for their decisions	YES	Fees Matrix
97	Sg77	Permit fees are within the maximum specified.	YES	Section 24
98	r30(2)	Where applicable the scheme sets out the range of fees that may be charged and the criteria which are taken into account when determining how the fee applicable is identified from the range	YES	Section 24
99	Sg80	The scheme provides that where a permit variation would move an activity into a higher category, the promoter will be required to pay the difference between the permit fees for the two categories as well as the permit variation fee	YES	Section 24.2.3
100	Sg82	The scheme provides that where through no action, failing or fault on the part of the promoter, the Permit Authority revokes the promoter's permit, no fee should be payable for the new permit	YES	Section 17.2.2 iv
101	Sg84	The permit scheme sets out the circumstances in which the permit	YES	Section 17.2.3

No.	Ref	Subject	Yes/No	Reference
		fees are discounted		
		Joint schemes		
102	Sg14	For joint schemes, applicants show that they have fully discussed, and come to an agreement on, the way the scheme will be controlled and any fees apportioned	N/A	N/A
103	Sg14	For joint schemes, the relevant authorities have appointed a person to be responsible for financial accounting in relation to such a scheme who is capable of issuing the relevant certificates under regulation 26(5)	N/A	N/A
104	Sg14	For joint schemes, all applicants have demonstrated how each authority will meet their network management duty requirements	N/A	N/A