

Leicester  
City Council

Leicester City Council

# Annual Permit Scheme Evaluation Report

Period: May 2020 to April 2021

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## 1. Executive Summary

The Leicester City Permit Scheme was introduced on 1st May 2018, replacing the noticing system & processes that had previously been in place. The Permit Scheme applies to works on all adopted and publicly maintainable streets within the administrative boundaries of Leicester City Council (LCC), including works undertaken by Highway Authority and Statutory Undertakers. This report evaluates the operational performance of the permit scheme in its third year covering the period from 1st May 2020 to 30th April 2021. It also summarises the performance of the LCC Permit Scheme over the 3 years of its operation.

LCC received 26,393 Permit and Permit Variation applications during third year of the scheme's operation. Internal works had a combined approval rate of 84.8% whilst Utility works had a slightly lower approval rate of 78.2% for all processed permit applications. The higher approval rate of internal works is justified by the high volume of short duration repair jobs, as opposed to the more complex works undertaken by external work promoters. Only 0.2% of overall applications received were deemed which is significantly lower than other authorities.

During year 3, occupancy of the highways by utility work promoters has increased from an average of 2.8 days per permit to 3.4 days per permit whereas for LCC Highway works, the average occupation has been sustained at 1.0 days per permit. LCC traffic operations team continues to maintain excellent communications with all works promoters along with effective use of applying conditions and duration challenges for all planned works. The increase in average duration of works for utility companies is attributed to more complex works being undertaken by transmission and distribution companies and an increase in longer duration works (major and standard) by all work promoters.

During year 3, only 3.5% of the approved permits requested a duration extension. Approximately 6.8% of the works carried out, requested early starts. These included 8.1% of LCC permits and 3.7% of utility permits which is similar to the percentage requested in year 2. The percentage of early start requests that were granted are similar for both utility and LCC works.

LCC has continued to diligently challenge permit applications which has resulted in a reduction of 127 days occupation. In addition, the quality of permit applications by all promoters has improved and approximately 94% of works were completed first time avoiding fewer revisits and reducing further potential disruption. Both internal and external schemes are discussed at quarterly meetings and have resulted in an increase of collaborative working.

The COVID pandemic has had a massive impact on all our lives, and during year 3, both LCC and external promoters were faced with unprecedented challenges. The small recorded increase in average highway occupancy may have been amplified as a consequence of COVID. (e.g. operational teams standing down temporarily to self

isolate and the administration of communications and permit closure in a timely manner whilst home-working).

Fee income analysis for year 3 considered the salary adjustments to 2020 levels. There has been an under recovery of £44,321 of income in year 3 (9.6% of annual fee income) for processing utility permits. Similarly, an under recovery of £48,069 total (£18,916 in year 1 and £29,153 in year 2) against the cost of processing permit applications for utility companies was reported in previous years. In addition, a small proportion of the invoices sent to utility companies over the 3 years also remains unpaid. The current total to the end of year 3 is £18,571.

Overall, the under recovery from operating Leicester City Permit Scheme over 3 years is calculated at £114,550 which is approximately 9% of total fee income recovered (£1,214,655) for the period. Hence, LCC will initiate a separate fee review consultation to propose an updated fee structure for continuing to operate the Permit Scheme in year 4 and beyond.

The Permit Scheme continues to deliver value after the third year of its operations. An updated Cost Benefit Analysis recalculated the annual impact on the network at £41.8M in year 3 due to the increase in number of works, from 9,039 to 14,906 carried out on Cat 0-4 network only. However, the 6.2% effective reduction in occupancy recorded for utility works produces a BCR (Benefit to Cost Ratio) of 2.5 and a NPV (Net Present Value) of £1,334,577 which is above the Department for Transport's value for money and occupancy saving thresholds.

Overall, LCC considers the third year of Permit Scheme operation to have been a success and recommendations continue to be monitored. As a part of this review, LCC has identified key operational and performance measures to focus on in year 4 and going forward, to add improvements and value to the scheme. Below is a summary of all active recommendations for year 4.

- Review and approve the consultation report for increasing permit fees during year 4 and going forward, to prevent the annual losses in the first three years from accumulating further.
- Monitor the duration of works for all promoters in year 4, to determine whether the increase observed in year 3 is primarily a result of COVID lockdown or whether duration challenges are required to further reduce the average durations.
- Continue to monitor and review Leicester City Council's potential Fixed Penalty Notice data and implement measures to reduce the amount in future years.

- Continue to review highways permit applications to ascertain if all works / activity types require dedicated permit applications, so that volume of works can be optimised for better utilisation of efforts.

In addition, two optional recommendations have considered for further system and data quality improvements.

- Leicester City Council to review the number of historic works that were not closed which are causing unprecedented high numbers for occupancy of highways (TPI3) and overrun days (TPI6).
- Leicester City Council to consider upgrading its mobile workforce system capabilities for Highway's work promoters to capture works information within desired duration (2 hours) as per the updated legislation.

## 2. Introduction

This report sets out the operational performance of LCC Permit Scheme in its third year for the period 1st May 2020 to 30th April 2021.

The Traffic Management Act 2004 (TMA), Part 3 Sections 32 to 39 and the Traffic Management Permit Scheme (England) Regulations 2007 and Traffic Management Permit Scheme (England) (Amendment) Regulations 2015 made provision for the Permit Schemes to be introduced in England. The LCC Permit Scheme was approved by the council on 29th March 2018 and reflects the requirements of this legislation. The scheme supports our duties under both section 59 of the New Roads and Street Works Act 1991 and section 16 of the Traffic Management Act 2004.

Operational review of the Permit Scheme in year 1 and year 2 had proposed various recommendations for continuous improvement in order to meet objectives of the scheme. A summary of progress on the recommendations is provided. Year 1 recommendations were actioned over year 2, and the ones indicated for monitoring were carried over to year 3. Similarly, year 2 recommendations which could not be fulfilled during year 3 will be carried over to future years for continuous improvement.

Recommendations – year 1		Status	Commentary
1	Monitor durations for highway works in year 2 and evaluate durations against the year 1 base level.	Fulfilled	Average duration of works improved by circa 9% in year 2.
2	Review Leicester City Council's potential Fixed Penalty Notice data and implement measures to reduce the amount in future years.	Monitor	In year 2, an increase in potential FPN per permit was observed.
3	Review utility application permit conditions to see if all stated conditions are required.	Monitor	Permit conditions used for utility applications in year 2 demonstrated a similar profile as year 1, hence were deemed necessary.
4	Review internal procedures for submitting permit applications to ensure all highway works that require a permit have a valid permit in place within the required notice period.	Monitor	Procedures and appropriate level of staffing was deployed for Highways permitting.
5	Review highways permit applications to verify if all works recorded in the first year do require a permit and that the correct	Monitor	An opportunity for bundling was identified for highway

Recommendations – year 1		Status	Commentary
	permit type is being used.		works.

Recommendations – year 2		Status	Commentary
1	Monitor durations for highway works in year 3 and evaluate durations against the year 2 base level (Proactively manage the activities on the highway to ensure minimum disruption to the road users).	Fulfilled	Average duration of works in year 3 was maintained at the same level as year 2.
2	Review Leicester City Council's potential Fixed Penalty Notice data and implement measures to reduce the amount in future years (Improve the quality and timeliness of information received by the Authority from all Works Promoters).	Mitigate	In year 3, potential FPN for highways works has significantly increased. This needs further attention and mitigation action.
3	Review utility application permit conditions to see if all stated conditions are required.	Fulfilled	In year 3, significant drop in use of 'Date Constraints' and rise in 'Out of Hours Work' conditions is observed. All other conditions are monitored and managed.
4	Review internal procedures for submitting permit applications to ensure all highway works that require a permit have a valid permit in place within the required notice period.	Fulfilled	Permit applications for highways works are maintained at desired level for number of works completed and closed.
5	Review highways permit applications to verify if all works recorded in the first year do require a permit and that the correct permit type is being used.	Monitor	Decision required on management of highways works to optimise volume.

This report reviews the year 3 operations along with scheme objectives and the status of recommendations from year 1 and year 2 in order to recommend areas of potential improvements in year 4.

### 3. Objectives of the Leicester City Permit Scheme

The purpose of the scheme is to provide LCC with increased powers to effectively manage and coordinate both Utility and Highway Authority works, with an aim to enable LCC to better perform its network management duties. The objectives of the Leicester City Permit Scheme are detailed in Section 3 of the scheme and are again stated below along with how we consider they have been achieved during this period.

#### 3.1. Manage activities on Highway

Proactively manage the activities on the highway to ensure minimum disruption to the road users

During year 3 of operations, LCC and its work promoters were faced with unprecedented challenges due to the pandemic. LCC continued to monitor and manage conditions and coordinated regularly with all work promoters. However, the average occupancy of the highways demonstrated a small rise by 0.3 days (for all works), primarily due to 21% increase in average occupancy by utility work promoters. During this period, there has been a 17.6% increase in number of days worked by utility work promoters across LCC's road network. Additional information on duration analysis of key work promoters can be provided separately.

The annual review of the Permit Scheme in year 2 recommended LCC to "Monitor durations for highway works in year 3 and evaluate durations against the year 2 base level". LCC highways promoters have maintained the average duration of works at the same level as in year 2, although the number of works carried out were 13.9% less than the previous year. The operations appear to have stabilised, however it will be prudent to keep monitoring the average occupancy in year 4.

The use of permits has increased the Highway Authority's ability to challenge, and refuse works where they feel that the proposed duration is excessive. Table 3-1 below shows the number of days of potential disruption saved on applications that were initially refused and subsequently resubmitted with shorter durations.

**Table 3-1: Number of Working days saved following challenge**

Month	Working Days Saved		
	Leicester City Council	External Promoters	Total
May 2020	0	9	9
June 2020	3	55	58
July 2020	0	3	3
August 2020	0	8	8
September 2020	0	0	0
October 2020	0	3	3
November 2020	0	0	0
December 2020	0	1	1

Month	Working Days Saved		
	Leicester City Council	External Promoters	Total
January 2021	0	26	26
February 2021	0	7	7
March 2021	4	5	9
April 2021	0	3	3
<b>Total</b>	<b>7</b>	<b>120</b>	<b>127</b>

Leicester City Council continues to use **one.network UK** (previously roadworks.org) to show all approved permits for all works. This has been beneficial for the public who are able to visualise upcoming works in their local area. In addition, works promoters could also see proposed works by date range during their planning stage to avoid clashes with any existing or upcoming works. This reduces the likelihood of rejections and improves collaboration opportunities. Similar information is also available on Street Manager.

The number of works completed with first time reinstatement were approximately 94% in year 3, which has helped to avoid revisits and further disruptions to the network.

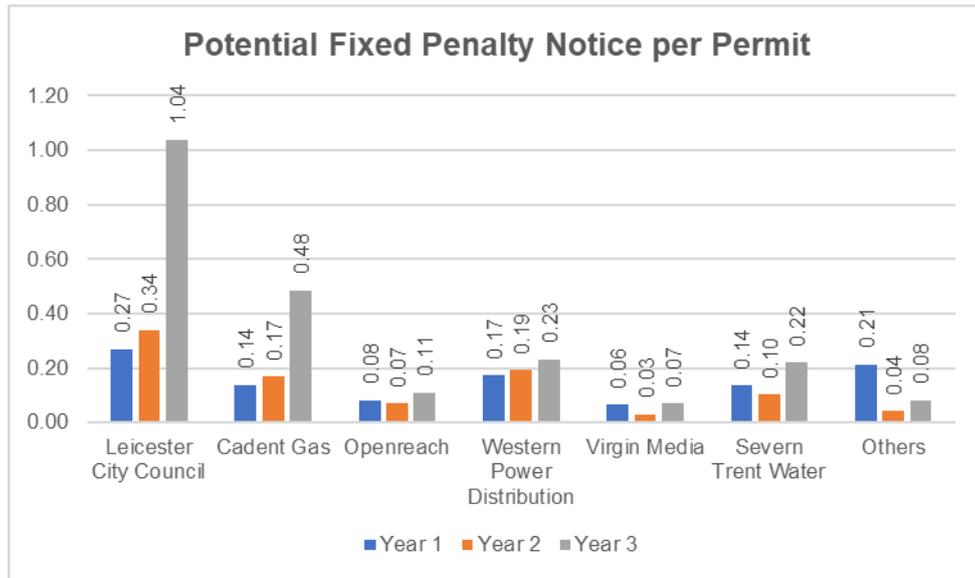
Overall, it can be concluded that LCC permit scheme has encouraged proactive management of activities on the highways to minimise disruption to road users.

### 3.2. Quality of information

Improve the quality and timeliness of information received by the Authority from all Works Promoters

The use of a permit scheme means that LCC has the authority to refuse works where the information submitted is not of the desired quality. FPNs are also issued where Promoters fail to submit quality information in a timely manner. Use of these mechanisms has resulted in increased quality of submissions from both internal and external Promoters. Potential FPN's identified over permit applications granted for key work promoters has been presented in Figure 3-1.

**Figure 3-1 Potential Fixed Penalty Notices per permit**



The annual reports in year 1 and year 2 had a recommendation to monitor and review potential FPNs data for LCC’s Highways (internal) work promoter, and to implement measures in order to reduce infringements in future years. However, the number of potential FPNs for LCC Highway works has significantly increased from 0.34 to 1.04 per permit, over 200% increase from year 2 to year 3. This increase is noted in spite of 14% reduction in the volume of approved works carried out in year 3.

The overall volume of works recoded by LCC Highways has increased more than ninefold since implementation of the permit scheme, which includes high volumes of shorter duration works such as pothole repairs. Although permit requests are efficiently managed for all internal works, it is possible that subsequent work notices are delayed. The updated legislative requirements for notices to be sent 2 hours after start or completion of works has potentially contributed to the rise in number of FPNs. LCC will consider upgrading its mobile workforce system capabilities for Highway’s work promoters to capture works information within desired duration. A similar trend of rise in FPNs is also observed for key utility work promoters.

Hence, it is **recommended** (#3) that LCC continues to monitor and review the potential FPN data for their own (Highway) work promoters and implement measures to reduce the number in future years.

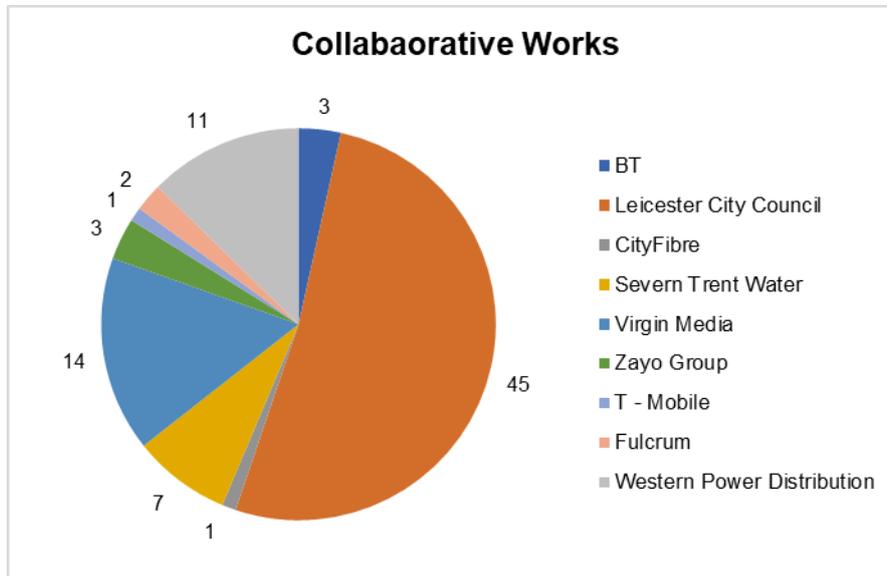
### 3.3. Collaborative working

#### Encourage collaborative behaviour among Promoters

Improved communication between all work promoters has been encouraged during year 3 resulting in opportunities to work at the same location during the same time. There has been an increase in collaborative working, particularly in conjunction with LCC schemes. The Permit Scheme makes use of discounts to encourage collaborative working and notifies works promoters when road closures are planned so they can plan to undertake works collaboratively. Figure 3-2 demonstrates the

number of collaborative works undertaken by work promoters during year 3 of the scheme operations.

**Figure 3-2: Collaborative Works**



As a practice established by LCC's traffic operations team, internal and external schemes are discussed at the quarterly coordination meetings. anywhere potential clashes are identified through permit applications for a particular location, LCC advises the work promoters and shares relevant information to encourage the possibility of collaborative working. Permits are only refused for a clash of works where there is no opportunity for collaboration. The permit fee for all collaborative works is discounted at 30% as per guidance established during implementation of the scheme.

### 3.4. Integrity of street asset

Protect the structure of the street and integrity of apparatus in it

Advance planning notices for Highway works, allow LCC to better protect its assets by using Section 58 restrictions. Regular co-ordination meetings have helped to identify potential instances where maintenance and renewal works can be undertaken before resurfacing works.

The quality of the information received from both internal and external promoters have continued to improve in year 3, enabling LCC to coordinate any required utility works before commencing major schemes. This has resulted in a further reduction of the need for excavations to be carried out after completion of works.

Under the permit scheme, increased site visits by compliance officers have helped LCC to protect the structure of the streets. If any issues are identified as part of the permit inspection process, these are raised with the operatives on site.

### **3.5. Safety of street users and work promoters**

**Ensure the safety of those using the street and those working on activities that fall under the scheme**

LCC has employed additional co-ordinators and compliance officers over the 3 years period to cater for the increased volume of coordination duties and best practices implemented through the permit scheme. LCC continuously engages with work promoters and issues identified on site are discussed with operatives and made safe immediately instead of waiting for an instruction from the office, which may often be after works have been completed.

The use of the permit scheme has enabled LCC to request more information for proposed works prior to granting the application and this gives the ability to apply conditions specific to the work and site. This has resulted in improved design and planning by Promoters to ensure that the permit is not rejected, and the impact of the work is minimised. For certain types of traffic management such as road, lane, footway closures, LCC has mandated submission of traffic management plans in advance to ensure the safety of road users and those working on site.

### **3.6. Demonstration of parity**

**Ensure parity of treatment for all Works Promoters**

Similar to previous years of the scheme operations, LCC Highway works accounted for over 60% of all permit applications in year 3. This includes permit requests for shorter duration works such as pothole repairs. Out of 15,260 overall works carried out on LCC's network, 9,208 have been undertaken by LCC Highways whereas 6,052 has been carried out by utility work promoters.

During year 3 of operating the permit scheme, LCC's traffic operations team demonstrated parity of treatment by granting / refusing comparable percentages of permit applications and variations. Any deviations are duly explained by the more complex nature of works undertaken by utility work promoters when compared to LCC Highways work promoters. Section 6 of this report provides data details of how parity of treatment has been delivered for LCC permit scheme.

## 4. Fee Structure

The Traffic Management Permit Scheme (England) (Amendment) Regulations 2015 require that the permit authority to review existing fee levels to determine if any revisions are needed when a surplus or deficit exists.

The current fee structure for the Leicester City Council Permit Scheme is presented in table 4-1.

**Table 4-1: Current Fee Structure**

Permit Type	Reinstatement Category	
	Category 0,1, 2 or Traffic Sensitive	Category 3 & 4 and Non-Traffic Sensitive
PAA	£97	£64
Major: Over 10 days	£201	£107
Major: 4-10 days	£101	£54
Major: Up to 3 days	£51	£27
Standard	£121	£62
Minor	£61	£31
Immediate	£58	£28
Permit Variations	£45	£35

In year 3 (May 2020 - April 2021), the Permit Fee income invoiced was **£463,482**.

The operating costs to process utility permit applications for the same period is £507,803. This comprises of cost of staff (calculated with LCC's current employee band and remuneration) at £469,627 and allowable overheads of £38,176 (difference amount).

The DfT Fees Matrix used to calculate permit fee structure prior to the implementation of the scheme, with staff salaries and employer NI and pension contributions, has been adjusted to April 2020 levels for year 3 review.

The Fees Matrix calculates that 8.9 FTE (full time equivalent) staff would be required to process all permits applications recorded in a year, which comprises of 4.2 FTE for all utility applications and 4.7 FTE for highway applications.

This is an increase in number of staff required to the 5.8 FTE forecasted for processing all applications in the 2017 business case for implementation of the Permit Scheme. This comprised of 3.1 FTE for all utility applications and 2.7 FTE for highway applications. The additional number of staff required than the forecast is due to an increase of 31% for utility permit applications forecasted and more than double for the highway permit applications.

The utilities share of the allowable overheads is 40% of total overheads (based on 6,052 works carried out by utilities out of 15,260 total for which applications were granted). This equates to a total allowable overhead of £86,330. Work requests where permit applications were cancelled before they were processed by the Highway Authority have been excluded. The actual overhead costs in year 3 are higher than the allowable overheads calculated using the 2017 baseline.

As a result of the increase in salaries and associated staff costs, Leicester City Permit Scheme has under recovered £44,321 in year 3 (9.6% of annual fee income). Further, the permit scheme had reported under recovery of £48,069 total (£18,916 in year 1 and £29,153 in year 2) against the cost of processing permit applications for utility companies.

An estimated loss of £22,160 (pro rata based on year 3 analysis) has also been accounted for first 6 months in year 4 (up to October 2021) until the proposed fee structure becomes applicable. Any adjustment to the fees should seek to recover this reported loss.

A small proportion of the invoices sent to utility companies over the 3 years also remains unpaid. The current total to the end of year 3 is £18,571. Any outstanding payments are expected to be cleared in full by relevant utility companies.

**Overall, the under recovery from operating Leicester City Permit Scheme over 3 years is calculated at £114,550** which is approximately 9% of total fee income recovered (£1,214,655) for the period. Hence, LCC proposes an updated fee structure for continuing to operate the Permit Scheme in year 4 and beyond.

The Fees Matrix for year 3 calculates that the increase in staff salaries and other costs would require an increase in permit fees charged of between 9% and 10% for the scheme to be cost neutral up to year 3 and going forward. A separate fee review consultation report will be circulated to all work promoters and relevant parties notifying about the changes.

(Note: all numbers calculated for the permit scheme operations are rounded off to the nearest £1)

On the basis of above fee structure review, it is **recommended** (#1) that Leicester City Council must review and approve a consultation report for increasing permit fees during year 4 and going forward, in order to prevent the annual losses incurred over the first three years from accumulating further.

## 5. Costs and Benefits

The Traffic Management Permit Scheme (England) (Amendment) Regulations 2015 require that the Permit Authority also shall consider whether the permit scheme is meeting Key Performance Indicators (KPIs) where these are set out in the guidance. The benefits of permit schemes are normally quantified by multiplying the number of days saved on the network over the whole year multiplied by the average cost per day incurred by motorists travelling through traffic managed sites.

Under Noticing, 25,593 working days were recorded during 2016. For the equivalent 12 months period in year 3, 30,099 working days were recorded; an increase of 4,506 days worked on the network.

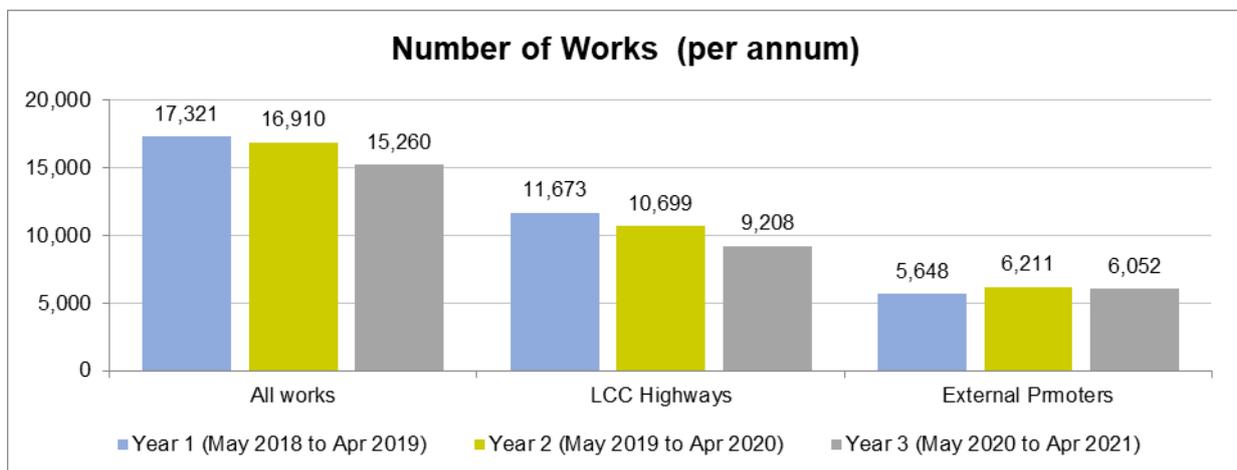
The number of highway works recorded under permitting has increased ninefold, from 1,197 under Noticing to 9,208 in year 3 of the scheme. This is primarily due to improvement in recording Highway maintenance works which has also driven parity of performance under the LCC permitting regime. It must be noted that there is a reduction in average duration from 5.5 days to 1.0 day, hence the steep increase in number of works has still resulted in a much lower 44.8% increase in the number of days worked, increasing from 6,621 to 9,589 days.

The number of utilities works also increased from 4,616 under Noticing to 6,052 in year 3, a 31% increase. There has been a reduction in the average duration from 4.1 days to 3.4 days, therefore the 31% increase in utility works only resulted in an 8.1% increase in the number of days worked. (Increasing from 18,972 days to 20,510 days).

The effective saving in network occupancy for utility works due to the 17% reduction in average duration is 4,236 fewer days worked (calculated for a comparable number of works in each year).

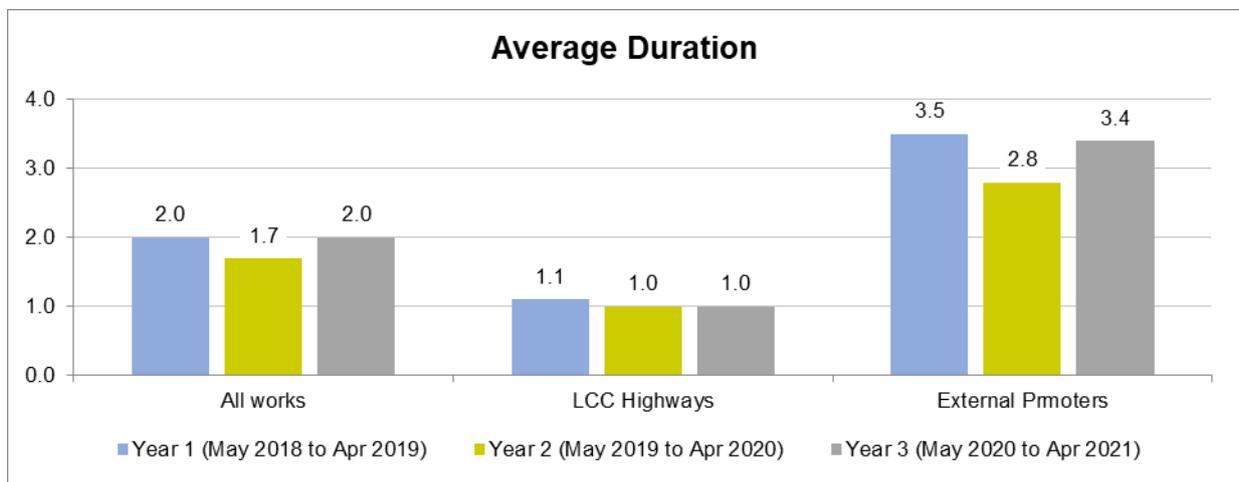
A summary of works undertaken by all work promoters since implementation of LCC Permit Scheme is presented in Figure 5-1.

**Figure 5-1: Year on Year comparison (number of works)**



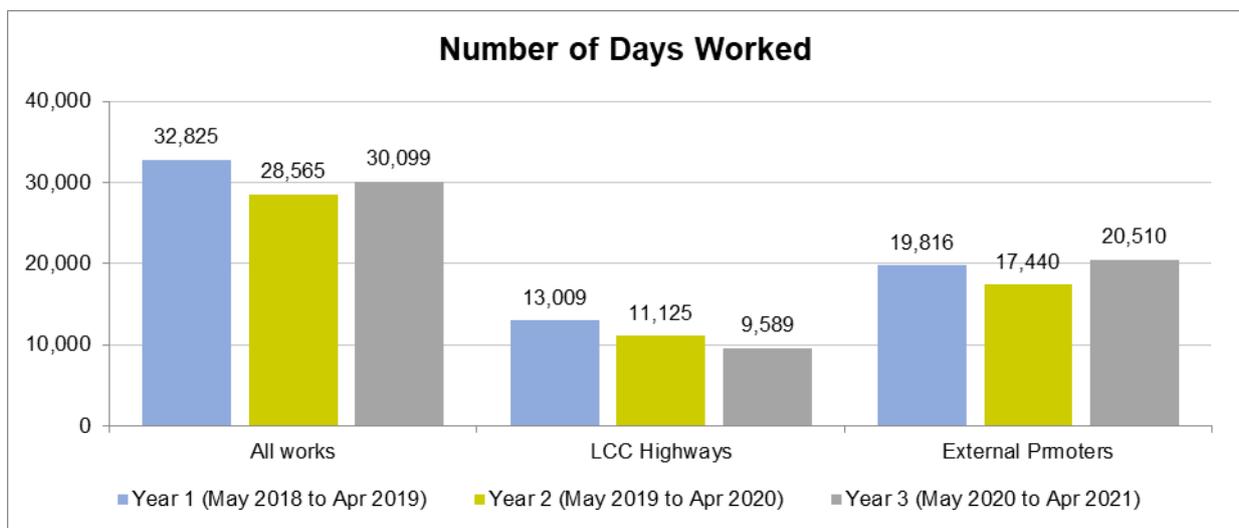
The permit scheme has witnessed the average duration of all works reduce from 2.0 days in year 1, to 1.7 days in year 2, and then increased again to 2.0 days in year 3. Figure 5-2 demonstrates that average duration of highway works has reduced from 1.1 days to 1.0 days and has been sustained in year 3. For utility works, the average duration has increased from 2.8 days in year 2 to 3.4 days in year 3. The increase in average duration of utility works is attributed to more complex works being undertaken by transmission and distribution companies towards the end of their respective regulatory periods, and also an increase in longer duration works (major and standard) being undertaken by all work promoters with a significant reduction in number of minor works.

**Figure 5-2: Year on Year comparison (average duration of works)**



The increase in average duration of works has resulted in slight increase in overall occupancy of the network in year 3, demonstrated in Figure 5-3, in spite of the reduction in total number of works undertaken.

**Figure 5-3: Year on Year comparison (total number of days worked)**



The Cost Benefit Analysis (CBA) conducted in 2018 (source: *Cost Benefit Analysis, The Leicester City Council Permit Scheme for Road & Street Activities* February 2018, Table 11 page 29) calculated the impact of 1 years' worth of typical street works at £18.8M (stated at 2010 values, in line with standard CBA procedures).

Under Noticing, the 9,039 estimated number of works with an average duration of 7.6 days recorded equated to an average cost of £275 per day for all work types. Therefore, the calculated monetary benefit to transport users of the LCC Permit Scheme in year 3 is.

- Actual net increase in year 3: Utility works total **-£422,950** (at 2010 values) or an increase in occupancy of **2.2%** of annual impact (due to the 31% increase in utility works)

After discounting for the effect of the increase in the number of utility works from the Noticing benchmark period to year 3, the reduction in average duration from 4.1 days to 3.4 days, the effective saving is a 6.2% reduction in network occupancy in year 3.

- Effective saving in year 3 (after discounting for effect of increase in utility works): Utility works effective saving £1,165,010 (at 2010 values) or a reduction of 6.2% of the annual impact.

The small increase in average duration of utility works is a result of an increase in the average duration of Major and Standard works for several works promoters and a large increase in the number of works undertaken by Cityfibre (from 75 in year 2 to 1,043 works completed in year 3). The waning of permit scheme benefits due to higher occupancy of network in year 3 is justified by works that are necessary for long term development of the City and delivers benefits to local businesses and the community.

Some of the increase in duration for Major and Standard works can also be explained by the effect of lockdown in 2020 due to COVID pandemic (an exceptional situation which was not accounted in the baseline study), with Councils reporting works gangs having to self-isolate occasionally when one worker was symptomatic thereby impacting the ability to schedule longer duration works efficiently.

Hence, it is **recommended** (#2) that the traffic operations team monitors the duration of works for all promoters in year 4, in order to determine whether the increase observed in year 3 is primarily a result of COVID lockdown or whether duration challenges are required to further reduce the average durations.

## 5.1. Cost Benefit Assessment Update

In addition to calculating the monetary benefit of the third year of the scheme, this section also re-evaluated the Cost Benefit Analysis replacing the estimated number of works and works types with the numbers recorded in year 3. The methodology involves the following steps using year 3 data.

- Identify the number of works, by works category and road type
- Recalculate the annual impact using original Quadro model outputs
- Recalculate the operating costs (replacing the Fees Matrix forecast with the actual number of permit works stopped records)
- Recalculate the NPV and BCR for default 5% saving and recorded 6.2% effective saving in working days

The updated CBA recalculated the annual impact on the network at £41.8M in year 3 due to the near twofold increase in number of works, from 9,039 to 14,906 carried out on Cat 0-4 network only.

A 5% reduction in occupancy results in a BCR of 2.2 and a Net Present Value (NPV) of £962,482.

The 6.2% effective reduction in occupancy recorded for utility works produces a BCR of **2.5** and a NPV of **£1,334,577**.

The scheme benefit calculated for year 3 remains above the DfT value for money threshold of 2.0 for the both the recommended 5% occupancy saving, and the actual 6.2% effective saving recorded.

**This demonstrates that the Permit Scheme continues to deliver value for money in its third year.**

## 6. Key Performance Indicators

To demonstrate that the Authority is operating a Permit Scheme in a fair and equitable way, LCC have applied a set of Key Performance Indicators (KPIs). This data was extracted from our Mayrise Streetworks system for the dates between 01/05/2020 and 30/04/2021 and is discussed in detail below.

KPI 1: The number of permit and permit variation applications received, the number granted, and the number refused. This will be measured and shown as:

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

KPI 2: The number of conditions applied by condition type. This will be measured and shown as:

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

KPI 3: The number of approved revised durations. This will be measured and shown as:

- Total number of permits and permit variations granted.
- The number of requests for revised durations shown as a percentage of permits issued.
- The number of agreed revised durations as a percentage of revised durations applied for.

KPI 4: The number of occurrences of reducing the application period (early starts). This will be measured and shown as:

- Total number of permits and permit variations applications made.
- The number of requests to reduce the notification period shown as a percentage of permits issued.
- The number of agreements to reduce the notification period as a percentage of revised durations applied for.

## 6.1. KPI1: Permit and Permit Variation Applications Received, Granted and Refused

Table 6-1 shows the number of permit **applications** received, granted, refused, and deemed during third year of the scheme operations. Table 6-2 shows the number of permit **variations** received, granted, refused, and deemed during third year of the scheme operations.

**Table 6-1: Permit Applications**

	<b>Applications</b>	<b>Granted</b>	<b>Refused</b>	<b>Deemed</b>	<b>Cancelled/ Superseded</b>
Leicester City Council	10,751	8,652 (80.5%)	341 (3.2%)	10 (0.1%)	1,748 (16.2%)
External Promoters	8,260	6,396 (77.4%)	580 (7.0%)	10 (0.1%)	1,274 (15.4%)
<b>Combined</b>	<b>19,012</b>	<b>15,049 (79.2%)</b>	<b>921 (4.8%)</b>	<b>20 (0.1%)</b>	<b>3,022 (15.9%)</b>

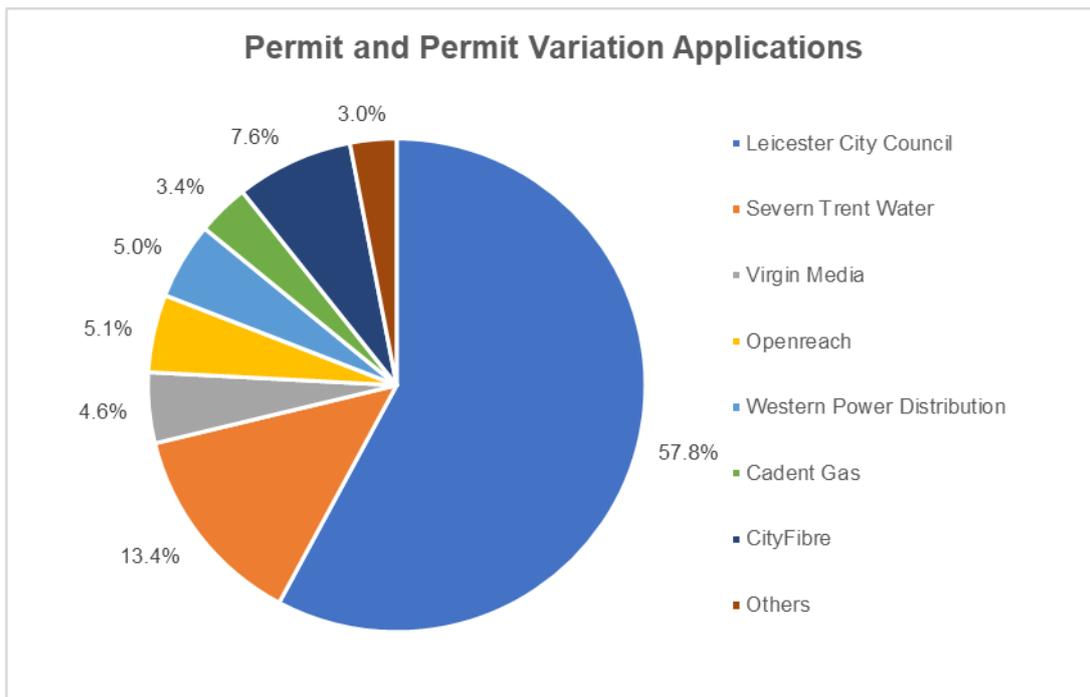
**Table 6-2 Permit Variation Applications**

	<b>Applications</b>	<b>Granted</b>	<b>Refused</b>	<b>Deemed</b>	<b>Cancelled/ Superseded</b>
Leicester City Council	4,513	4,295 (95.2%)	193 (4.3%)	2 (0.01%)	23 (0.5%)
External Promoters	2,868	2,305 (80.4%)	439 (15.3%)	19 (0.6%)	105 (3.7%)
<b>Combined</b>	<b>7,381</b>	<b>6,600 (89.4%)</b>	<b>632 (8.6%)</b>	<b>21 (0.3%)</b>	<b>128 (1.7%)</b>

LCC received a total of 26,393 Permit and Variation applications in year 3, an average of 2,199 applications a month. Highway (City of Leicester) works accounted for 58% of the total applications received while the 42% applications were received from 25 external work promoters.

During year 3 of operations, around 82% of all permit and permit variation applications received by LCC were granted which is less than granted rate in previous year. This is primarily due to higher number of applications being cancelled or superseded before they were actioned. A little over 6% of applications were refused and 0.2% of applications were deemed (significantly lower than other authorities). Permits granted for highways applications at 84.8% is slightly higher when compared to 78.2% for utility applications. This is due to less complex nature of majority of LCC works, permit conditions being discussed in advance with the Traffic Operations team, and due to greater awareness of traffic sensitivity demonstrated by internal promoters. However, the percentage of permit applications granted for utility companies compares favourably with other Highway Authorities in the region and suggests that parity is being observed between Highways and external work promoters. Figure 6-1 shows the percentage of Permit and Permit Variations applications submitted by promoters.

**Figure 6-1: Permit and Variation Applications submitted**

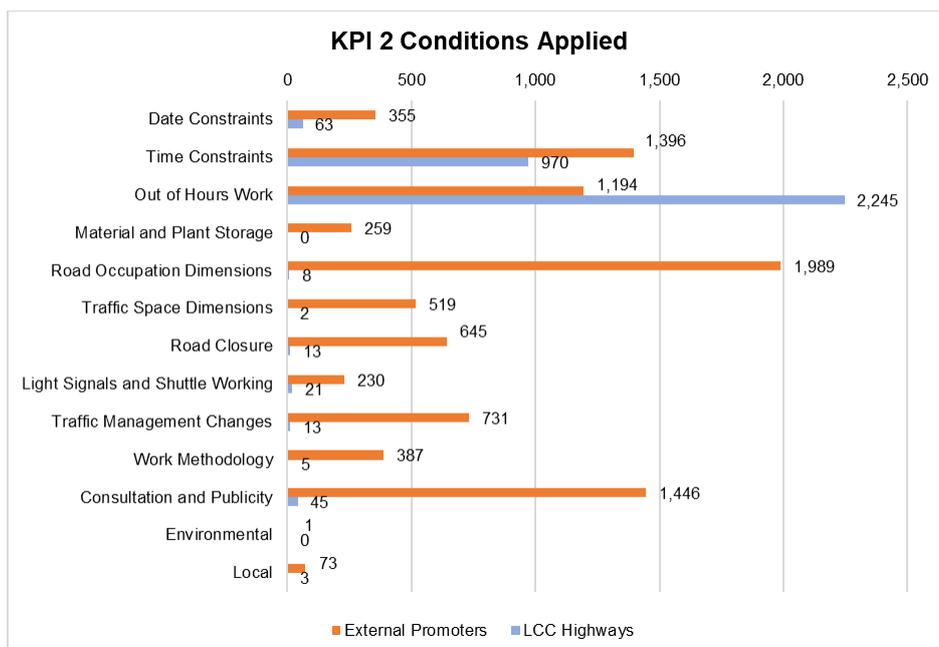


\*Others: Abovenet Communications UK Ltd, Concept Solutions People Ltd, ES Pipelines Ltd, Fulcrum Pipelines Ltd, GTC, GEO, Hyperoptic Ltd, Independent Fibre Networks, Last Mile Electricity, Level 3 Communications UK Ltd, Network Rail, Romec, SSE Datacom, SSE Pipelines Ltd, T-Mobile (UK) Ltd, Telefonica (O2) UK Ltd, Utility Distribution Networks Ltd, Vodafone, WarwickNet Ltd.

**6.2. KPI 2: The Number of Conditions Applied by Condition Type**

Figure 6-2 shows type of conditions and the number of times conditions were applied for LCC Highways and utility work promoters.

**Figure 6-2: Permit Conditions applied**



Analysis of condition types being used by all work promoters has highlighted improvement from previous years.

Date constraints were included as a permit condition on 418 permits in year 3 which is a significant improvement from 3,224 permits in year 2. The condition for ‘Out of Hours Work’ in year 3 was used for 3,439 permit applications by the Traffic Operations team compared to 255 in year 2. This demonstrates improved coordination and a reduction of the impact of disruption. The condition on Consultation and Publicity has been used 1,491 times in year 3, a comparatively lower number than 2,878 in year 2 which can be attributed to reduction in special publicity during Covid 19 restrictions.

Time constraints conditions were used on 2,366 permits, demonstrating the authority’s continued efforts to restrict works to the times of day when they will have least disruption on the network. Lower number of time constraints applied to Highway permits are explained by the majority of their works taking place on non-traffic sensitive streets and higher awareness of traffic sensitivity while applying for the permits and variations.

It appears that some permit conditions like Road Occupation Dimensions, Traffic Management Changes and Traffic Space Dimensions are excessively used by utility work promoters. These are voluntary and are required to be used when something is above the standard requirements and not for every permit. Use of such voluntary permit conditions will be monitored by the traffic operations team.

The data also shows 76 instances of Local conditions being applied, but these are all down to the incorrect condition being selected in error. No actual local conditions were used during the third year of scheme operation.

The monitoring and management of permit conditions has improved permit applications during year 3. The current level of performance has to be sustained with continued monitoring and communication as necessary.

**6.3. KPI 3: The Number of Approved Revised Durations**

Table 6-3 shows the number of Revised Duration (extension) requests received for internal and external works, along with the number and percentage of the extensions that were granted.

**Table 6-3: Revised Duration Requests**

	Leicester City Council	External Promoters	Overall
Permits Issued	12,192	7,496	19,864
Extension Requests	159 (1.3%)	521 (7.0%)	701 (3.5%)
Extensions Agreed	159 (100%)	514 (98.7%)	694 (99.0%)
Extensions Refused	0 (0%)	7 (1.3%)	7 (1.0%)

\* Data Source: Mayrise ‘KPI 3 - Number of Approved Extensions’ report

During the third year of operations, only 3.5% of granted permits requested a duration extension. Extensions requested for highway (internal) work promoters were

only 1.3% compared to the extensions requested by utility (external) work promoter at 7.0%. External promoter works often have a greater complexity due to the underground location of assets compared to the highway works, which may have resulted in the higher volume of extensions requested. The approval rates are similar for both internal and external work promoters' requests which demonstrates parity of treatment.

#### 6.4. KPI 4: The Number of Occurrences of Reducing the Application Period (Early Starts)

Table 6-4 shows the number of early start requests received from work promoters, along with the agreement rate for internal and external works.

**Table 6-4: Early Start Requests and Agreements**

	Leicester City Council	External Promoters	Overall
Permits Issued	12,192	7,496	19,864
Early Start Requests	996 (8.1%)	281 (3.7%)	1,345 (6.8%)
Early Start Agreements	506 (50.8%)	124 (44.1%)	696 (51.7%)
Early Starts Refused	490 (49.2%)	157 (55.9%)	649 (48.3%)

\* Data Source: Mayrise 'KPI 4 - Number of Reduced Application/Notification Periods' report

Out of 19,864 permit applications approximately 6.8% requested for early starts. These included 8.1% of LCC permits and 3.7% of utility permits requesting early starts, which is similar to the percentage requested in year 2. The impact of each of early start request has been assessed through good communication and dialogue between the traffic operations team and work promoters. Early planning and communication continue to be encouraged to control the need for early start requests.

The number of early start requests by LCC Highway work promoters has reduced from 1,255 in year 2 to 996 in year 3, whereas the same has significantly reduced from 2,084 in year 2 to 281 in year 3 for utility work promoters. These reduction in early start requests has been achieved for a slightly higher number of permit applications processed in year 3 when compared to year 2.

LCC traffic operations team will continue to collaborate with all work promoters on planning of works, in order to limit the number of early start requests to the ones which are absolutely necessary.

## 7. Traffic Management Act Performance Indicators (TPI)

The TMA Performance Indicators (TPI's) are a collection of measures for Works Promoters in the Streetworks Industry designed by HAUC UK and EDG members. These are produced quarterly using standard reports from the Mayrise system.

### 7.1. TPI 1 Works Phases Started

Table 7-1 shows the count of Works phases started by work promoters.

**Table 7-1: Works Phases Started**

Promoter	Q1 20/21	Q2 20/21	Q3 20/21	Q4 20/21
BT	109	131	183	198
Cadent Gas Limited	103	76	83	121
CenturyLink Communications UK Limited	0	3	1	0
CityFibre	76	198	227	461
Concept Solutions People Ltd	1	3	3	0
Energy Assets Networks Ltd	2	0	2	0
ES Pipelines Ltd	1	5	4	0
Fulcrum Pipelines Limited	8	10	6	2
GEO	22	1	0	3
GTC	0	0	0	3
Hyperoptic Ltd	0	2	2	0
Independent Next Generation Networks Ltd	2	1	0	1
Last Mile Electricity Limited	1	0	0	0
LEEDS	0	0	0	1
NETWORK RAIL -PROMOTERS NATIONAL	2	6	3	5
Romec	1	0	0	2
SEVERN TRENT WATER LTD.	496	378	468	625
SSE DATACOM	13	4	0	0
SSE Pipelines Ltd	0	0	0	1
Telefonica (O2 (UK) Limited)	11	5	5	5
T-Mobile (UK) Limited	30	29	60	46
VIRGIN MEDIA	181	150	214	221
Vodafone	6	1	9	8
WarwickNet Ltd	4	3	4	1
Western Power Distribution (Midlands)	174	221	221	270
Zayo Group UK Ltd (formerly AboveNet)	3	2	0	0

Promoter	Q1 20/21	Q2 20/21	Q3 20/21	Q4 20/21
<b>Total utility promoter</b>	<b>1246</b>	<b>1229</b>	<b>1495</b>	<b>1974</b>
LEICESTER CITY COUNCIL	655	2194	2492	2840
<b>Total</b>	<b>1901</b>	<b>3423</b>	<b>3987</b>	<b>4814</b>

## 7.2. TPI 2 Works Phases Completed

Table 7-2 shows the count of Works phases completed by work promoters.

**Table 7-2: Works Phases Completed**

Promoter	Q1 20/21	Q2 20/21	Q3 20/21	Q4 20/21
BT	108	133	184	195
Cadent Gas Limited	102	78	91	116
CenturyLink Communications UK Limited	0	3	1	0
CityFibre	60	193	248	416
Concept Solutions People Ltd	1	3	3	0
Energy Assets Networks Ltd	1	0	2	0
ES Pipelines Ltd	1	5	4	0
Fulcrum Pipelines Limited	6	12	6	2
GEO	22	1	0	3
GTC	0	0	0	3
Hyperoptic Ltd	0	2	2	0
Independent Next Generation Networks Ltd	2	1	0	1
Last Mile Electricity Limited	1	0	0	0
NETWORK RAIL -PROMOTERS NATIONAL	2	6	3	5
Romec	1	0	0	2
SEVERN TRENT WATER LTD.	489	370	475	622
SSE DATACOM	15	4	0	0
SSE Pipelines Ltd	0	0	0	1
Telefonica (O2 (UK) Limited)	12	5	5	5
T-Mobile (UK) Limited	26	33	61	45
VIRGIN MEDIA	178	155	214	220
Vodafone	6	1	9	7
WarwickNet Ltd	4	3	4	1
Western Power Distribution (Midlands)	164	220	234	261
Zayo Group UK Ltd (formerly	3	2	0	0

Promoter	Q1 20/21	Q2 20/21	Q3 20/21	Q4 20/21
AboveNet)				
<b>Total utility promoter</b>	<b>1204</b>	<b>1230</b>	<b>1546</b>	<b>1905</b>
LEICESTER CITY COUNCIL	652	2169	2425	2851
<b>Total</b>	<b>1856</b>	<b>3399</b>	<b>3971</b>	<b>4756</b>

### 7.3. TPI 3 Days of Occupancy Phases Completed

Table 7-3 shows the count of all Works occupancy days for works phases that were active (in progress) at any time within a given quarter, only days within the quarter are counted.

**Table 7-3: Days of Occupancy Phases Completed**

Promoter	Q1 20/21	Q2 20/21	Q3 20/21	Q4 20/21
BT	1073	1146	1273	1283
Cadent Gas Limited	2588	2250	2515	2422
CenturyLink Communications UK Limited	0	7	1	0
CityFibre	639	1812	2112	3982
Concept Solutions People Ltd	3	7	9	0
Energy Assets Networks Ltd	14	92	102	90
ES Pipelines Ltd	12	13	29	0
Fulcrum Pipelines Limited	117	147	128	99
GEO	93	6	0	3
GTC	0	0	0	24
Hyperoptic Ltd	0	2	2	0
Independent Next Generation Networks Ltd	14	3	0	8
Last Mile Electricity Limited	8	0	0	0
LEEDS	0	0	0	49
NETWORK RAIL -PROMOTERS NATIONAL	4	18	6	9
Romec	1	0	0	2
SEVERN TRENT WATER LTD.	2038	2625	3102	3585
SSE DATACOM	27	6	0	0
SSE Pipelines Ltd	0	0	0	2
Telefonica (O2 (UK) Limited)	569	559	558	552
T-Mobile (UK) Limited	67	77	141	108
VIRGIN MEDIA	299	223	287	267

Promoter	Q1 20/21	Q2 20/21	Q3 20/21	Q4 20/21
Vodafone	18	5	28	26
WarwickNet Ltd	21	6	10	1
Western Power Distribution (Midlands)	1400	1353	1684	1590
Zayo Group UK Ltd (formerly AboveNet)	9	6	0	0
<b>Total utility promoter</b>	<b>9014</b>	<b>10363</b>	<b>11987</b>	<b>14102</b>
LEICESTER CITY COUNCIL	53194	56572	60028	61994
<b>Total</b>	<b>62208</b>	<b>66935</b>	<b>72015</b>	<b>76096</b>

\* The numbers as exported using Mayrise standard TPI report appears to include all works started any time before the observation period which were not closed using work stop notices. These may include planning activities for Highways works. Further clarification will be requested from the application development team at an appropriate time.

#### 7.4. TPI 4 Average Duration of Works

Table 7-4 shows the average duration in days for all those Work phases that were completed within each quarter by promoters.

**Table 7-4: Average Duration of Works**

Promoter	Q1 20/21	Q2 20/21	Q3 20/21	Q4 20/21
BT	2.32	2.42	2.42	2.37
Cadent Gas Limited	8.34	16.15	12.12	7.53
CenturyLink Communications UK Limited	0	2.33	1	0
CityFibre	7.22	8.77	8.72	8.75
Concept Solutions People Ltd	3	2.33	3	0
Energy Assets Networks Ltd	8	0	5	0
ES Pipelines Ltd	12	2.6	7.25	0
Fulcrum Pipelines Limited	3.83	4.83	6	4.5
GEO	4.23	6	0	1
GTC	0	0		8
Hyperoptic Ltd	0	1	1	0
Independent Next Generation Networks Ltd	7	3	0	8
Last Mile Electricity Limited	8	0	0	0
LEEDS	0	0	0	0
NETWORK RAIL -PROMOTERS NATIONAL	2	3	2	1.8
Romec	1	0	0	1
SEVERN TRENT WATER LTD.	3	2.3	2.89	2.96
SSE DATACOM	2.93	1.5	0	0

Promoter	Q1 20/21	Q2 20/21	Q3 20/21	Q4 20/21
SSE Pipelines Ltd	0	0	0	2
Telefonica (O2 (UK) Limited)	2.17	1.4	1.2	2.4
T-Mobile (UK) Limited	2.27	2.48	2.36	2.02
VIRGIN MEDIA	1.63	1.49	1.34	1.2
Vodafone	3	5	3.11	3.57
WarwickNet Ltd	5.25	2	2.5	1
Western Power Distribution (Midlands)	6.32	5.84	6.67	5.26
Zayo Group UK Ltd (formerly AboveNet)	3	3	0	0
<b>Total utility promoter</b>	<b>3.71</b>	<b>2.98</b>	<b>2.74</b>	<b>2.44</b>
LEICESTER CITY COUNCIL	1.51	1.21	1.19	1.45
<b>Total</b>	<b>2.61</b>	<b>2.1</b>	<b>2.0</b>	<b>1.9</b>

### 7.5. TPI 5 Phases Completed Involving Overrun

Table 7-5 shows the count of works phases where the Works Stop Date was after the “Reasonable Period” for the phase for each quarter by promoters.

**Table 7-5: Phases Completed Involving Overrun**

Promoter	Q1 20/21	Q2 20/21	Q3 20/21	Q4 20/21
BT	2	1	1	2
Cadent Gas Limited	6	9	9	24
Independent Next Generation Networks Ltd	0	1	0	0
SEVERN TRENT WATER LTD.	7	10	13	23
T-Mobile (UK) Limited	0	0	1	0
Western Power Distribution (Midlands)	2	8	3	6
<b>Total utility promoter</b>	<b>17</b>	<b>29</b>	<b>27</b>	<b>55</b>
LEICESTER CITY COUNCIL	58	166	176	341
<b>Total</b>	<b>75</b>	<b>195</b>	<b>203</b>	<b>396</b>

### 7.6. TPI 6 Number of Overrun Days

Table 7-6 shows the sum of the total overrun days for those work phases that were completed during the quarter by work promoters.

**Table 7-6: Number of Overrun Days**

Promoter	Q1 20/21	Q2 20/21	Q3 20/21	Q4 20/21
BT	2	1	1	2
Cadent Gas Limited	15	13	25	59
Independent Next Generation Networks Ltd	0	1	0	0
SEVERN TRENT WATER LTD.	13	26	32	41
T-Mobile (UK) Limited	0	0	1	0
Western Power Distribution (Midlands)	4	17	8	10
<b>Total utility promoter</b>	<b>34</b>	<b>58</b>	<b>67</b>	<b>112</b>
LEICESTER CITY COUNCIL	1003	543	757	1845
<b>Total</b>	<b>1037</b>	<b>601</b>	<b>824</b>	<b>1957</b>

### 7.7. TPI 7 Number of Phase One Permanent Registrations

Table 7-7 shows the count of works of all sites on the Full Registration notice for the works phase. It also shows the percentage where permanent reinstatement has been carried out in Phase One.

**Table 7-7: Number of Phase One Registrations/Phase One Permanent Registrations**

Promoter	Registration	Q1 20/21	Q2 20/21	Q3 20/21	Q4 20/21
BT	Phase One Registrations	82	103	122	173
	Phase One Permanent Registrations	82	100	121	171
	% Of Phase One Permanent Registrations	100%	97.09%	99.18%	98.84%
Cadent Gas Limited	Phase One Registrations	89	68	85	95
	Phase One Permanent Registrations	89	68	80	88
	% of Phase One Permanent Registrations	100%	100%	94.12%	92.63%
CenturyLink Communications UK Limited	Phase One Registrations	0	0	1	0
	Phase One Permanent Registrations	0	0	1	0

Promoter	Registration	Q1 20/21	Q2 20/21	Q3 20/21	Q4 20/21
	% Of Phase One Permanent Registrations			100%	
CityFibre	Phase One Registrations	44	165	217	313
	Phase One Permanent Registrations	43	163	215	305
	% Of Phase One Permanent Registrations	97.73%	98.79%	99.08%	97.44%
Concept Solutions People Ltd	Phase One Registrations	1	3	3	0
	Phase One Permanent Registrations	1	1	3	0
	% Of Phase One Permanent Registrations	100%	33.33%	100%	
Energy Assets Networks Ltd	Phase One Registrations	0	0	2	0
	Phase One Permanent Registrations	0	0	2	0
	% Of Phase One Permanent Registrations			100%	
ES Pipelines Ltd	Phase One Registrations	1	5	2	0
	Phase One Permanent Registrations	1	4	1	0
	% Of Phase One Permanent Registrations	100%	80.00%	50.00%	
Fulcrum Pipelines Limited	Phase One Registrations	3	7	6	0
	Phase One Permanent Registrations	3	6	5	0
	% Of Phase One Permanent Registrations	100%	85.71%	83.33%	
GEO	Phase One Registrations	7	1	0	0

Promoter	Registration	Q1 20/21	Q2 20/21	Q3 20/21	Q4 20/21
	Phase One Permanent Registrations	2	1	0	0
	% Of Phase One Permanent Registrations	28.57%	100%		
GTC	Phase One Registrations	0	0	0	1
	Phase One Permanent Registrations	0	0	0	1
	% Of Phase One Permanent Registrations				100%
Hyperoptic Ltd	Phase One Registrations	0	2	0	0
	Phase One Permanent Registrations	0	2	0	0
	% Of Phase One Permanent Registrations		100%		
Independent Next Generation Networks Ltd	Phase One Registrations	1	1	0	0
	Phase One Permanent Registrations	1	1	0	0
	% Of Phase One Permanent Registrations	100%	100%		
Last Mile Electricity Limited	Phase One Registrations	1	0	0	0
	Phase One Permanent Registrations	1	0	0	0
	% Of Phase One Permanent Registrations	100%			
Romec	Phase One Registrations	1	0	0	0
	Phase One Permanent Registrations	1	0	0	0
	% Of Phase One Permanent Registrations	100%			

Promoter	Registration	Q1 20/21	Q2 20/21	Q3 20/21	Q4 20/21
SEVERN TRENT WATER LTD.	Phase One Registrations	367	336	416	532
	Phase One Permanent Registrations	316	315	397	499
	% Of Phase One Permanent Registrations	86.10%	93.75%	95.43%	93.80%
SSE DATACOM	Phase One Registrations	1	0	0	0
	Phase One Permanent Registrations	1	0	0	0
	% Of Phase One Permanent Registrations	100%			
SSE Pipelines Ltd	Phase One Registrations	0	0	0	1
	Phase One Permanent Registrations	0	0	0	1
	% Of Phase One Permanent Registrations				100%
Telefonica (O2 (UK) Limited)	Phase One Registrations	6	2	0	1
	Phase One Permanent Registrations	6	2	0	1
	% Of Phase One Permanent Registrations	100%	100%		100%
T-Mobile (UK) Limited	Phase One Registrations	20	14	18	13
	Phase One Permanent Registrations	20	13	18	12
	% Of Phase One Permanent Registrations	100%	92.86%	100%	92.31%
VIRGIN MEDIA	Phase One Registrations	127	141	175	158
	Phase One Permanent Registrations	110	138	170	150

Promoter	Registration	Q1 20/21	Q2 20/21	Q3 20/21	Q4 20/21
	% Of Phase One Permanent Registrations	86.61%	97.87%	97.14%	94.94%
Vodafone	Phase One Registrations	6	0	6	2
	Phase One Permanent Registrations	6	0	6	2
	% Of Phase One Permanent Registrations	100%		100%	100%
WarwickNet Ltd	Phase One Registrations	1	3	4	1
	Phase One Permanent Registrations	1	2	4	1
	% Of Phase One Permanent Registrations	100%	66.67%	100%	100%
Western Power Distribution (Midlands)	Phase One Registrations	137	197	203	227
	Phase One Permanent Registrations	126	184	191	215
	% Of Phase One Permanent Registrations	91.97%	93.40%	94.09%	94.71%
Zayo Group UK Ltd (formerly AboveNet)	Phase One Registrations	2	2	0	0
	Phase One Permanent Registrations	0	2	0	0
	% Of Phase One Permanent Registrations	0.00%	100%		
<b>Total utility promoter</b>	<b>Phase One Registrations</b>	<b>897</b>	<b>1050</b>	<b>1260</b>	<b>1517</b>
	<b>Phase One Permanent Registrations</b>	<b>810</b>	<b>1002</b>	<b>1214</b>	<b>1446</b>
	<b>% Of Phase One Permanent Registrations</b>	<b>90.30%</b>	<b>95.43%</b>	<b>96.35%</b>	<b>95.32%</b>
LEICESTER CITY COUNCIL	Phase One Registrations	640	496	256	377

Promoter	Registration	Q1 20/21	Q2 20/21	Q3 20/21	Q4 20/21
	Phase One Permanent Registrations	625	455	238	342
	% Of Phase One Permanent Registrations	97.66%	91.73%	92.97%	90.72%
<b>Total</b>	<b>Phase One Registrations</b>	<b>1537</b>	<b>1546</b>	<b>1516</b>	<b>1894</b>
	<b>Phase One Permanent Registrations</b>	<b>1435</b>	<b>1457</b>	<b>1452</b>	<b>1788</b>
	<b>% Of Phase One Permanent Registrations</b>	<b>93.36%</b>	<b>94.24%</b>	<b>95.78%</b>	<b>94.40%</b>

It is noted that approximately 94% of overall works were completed with Phase one permanent registrations during year 3 and this has helped in avoiding further visits to the sites, hence reducing disruption to the public.

### 7.8. TPI 13 Early Start Agreements

Table 7-8 shows the count of works phases where an “Early Start” has been agreed. There was a total of 4,419 early starts agreed out of which 4,148 were for Highways works and 271 were for utility works.

**Table 7-8: Early Start Agreements**

Promoter	Q1 20/21	Q2 20/21	Q3 20/21	Q4 20/21
BT	2	1	1	2
Cadent Gas Limited	15	13	25	59
Independent Next Generation Networks Ltd	0	1	0	0
SEVERN TRENT WATER LTD.	13	26	32	41
T-Mobile (UK) Limited	0	0	1	0
Western Power Distribution (Midlands)	4	17	8	10
<b>Total utility promoter</b>	<b>34</b>	<b>58</b>	<b>67</b>	<b>112</b>
LEICESTER CITY COUNCIL	1003	543	757	1845
<b>Total</b>	<b>1037</b>	<b>601</b>	<b>824</b>	<b>1957</b>

\* The numbers as exported using Mayrise standard TPI report could not be fully matched to KPI4 data as KPI data was extracted for the exact reporting period (May 2020 to April 2021) whereas TPI data is restricted to quarterly extracts for the financial year (April 2020 to March 2021).

## 8. Impact of Covid

The COVID pandemic has had a massive impact on all our lives, and during year 3, both LCC and external promoters were faced with unprecedented challenges. The small recorded increase in average highway occupancy may have been a consequence of COVID. (e.g. operational teams standing down temporarily to self-isolate when one worker was symptomatic, staff home working which may have made communications and permit closure in a timely manner more difficult to administer)

A quarterly view of permit applications processed is presented to summarise the impact of the pandemic on permit scheme operations. LCC traffic operations team and all work promoters have demonstrated excellent coordination in handling variability in volumes and to minimise disruptions due to unforeseen circumstances.

**Table 8-1: Permit Applications by Quarter**

	Q1 20/21 (Apr-Jun)	Q2 20/21 (Jul-Sep)	Q3 20/21 (Oct-Dec)	Q4 20/21 (Jan-Mar)	Q1 21/22 (Apr-Jun)
Applications Processed (all work promoters)	3,089	5,520	6,210	8,327	8,110

It is clear that volumes of works requested and carried out across the network was most impacted at the start of pandemic but has since picked up and is currently back to its desired operating level since January 2021.

## 9. Conclusions

Leicester City Council is pleased to have had a successful and continuously improving Permit Scheme operation over the past 3 years. Through this review, LCC has identified key operational and performance measures to focus on for year 4 and beyond.

In the current year the number of days of occupation of highways has increased, but LCC this can be duly justified by more complex nature of works undertaken during the year. There is still an overall improvement in occupancy of the network when compare with the baseline for implementation of the scheme.

LCC has under-recovered (loss) the fee income, for processing utility permit applications over 3 years, primarily due to a discounted fee structure at the time of implementation. This has been analysed and a proposal for fee revision is made to recover previous losses and to maintain a cost neutral permit scheme going forward.

Operation of the Permit Scheme continues to maintain a high degree of data quality, supplied by all work promoters, which has significantly improved over the years. This has enriched the information recorded on LCC's Streetworks Register. Any gaps in standard system reporting are identified and necessary steps are taken to resolve any data anomalies.

## 10. Recommendations

Based on an overall analysis of the Permit scheme operations for 3 years, including performance, work volumes, occupancy of highways, fee income, and cost benefit, the following recommendations are made to successfully operate the scheme in year 4 and beyond.

**Recommendation 01:** Review and approve the consultation report for increasing permit fees during year 4 and going forward, to prevent the annual losses in the first three years from accumulating further.

**Recommendation 02:** Monitor the duration of works for all promoters in year 4, to determine whether the increase observed in year 3 is primarily a result of COVID lockdown or whether duration challenges are required to further reduce the average durations.

**Recommendation 03:** Continue to monitor and review Leicester City Council's potential Fixed Penalty Notice data and implement measures to reduce the amount in future years.

**Recommendation 04:** Continue to review highways permit applications to ascertain if all works / activity types require dedicated permit applications, so that volume of works can be optimised for better utilisation of efforts.

**Recommendation 05: Optional**

Leicester City Council to review the number of historic works that were not closed which are causing unprecedented high numbers for occupancy of highways (TPI3) and overrun days (TPI6).

**Recommendation 06: Optional**

Leicester City Council to consider upgrading its mobile workforce system capabilities for Highway's work promoters to capture works information within desired duration (2 hours) as per the updated legislation.

## 11. Document Control

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Date	Description	Recipient(s)	Action
15/07/2021	Initial Draft	Shantanu Mukherjee	Internal review of structure and high-level content
31/08/2021	Review 1	Joshua Pemberton	Works & duration analysis, CBA, Fee Metrics
06/09/2021	Review 2	Martin Fletcher, Rupert Bedder, Joshua Pemberton	Report walkthrough & acceptance
10/09/2021	Approval	Joshua Pemberton	Final report for publishing and consultation

## 12. Appendix

### 12.1. Infringements

During year 3 of permit scheme operations, it was noted that at times work promoters failed to comply with approved ways of working under the permit scheme. For such instances LCC's traffic team identified the deviations through system generated data or site-based inspections, captured evidence wherever necessary and have issued Fixed Penalty Notices (FPNs) to the work promoters. All works carried out by LCC Highways were also monitored and reported internally for parity, however FPNs were not issued.

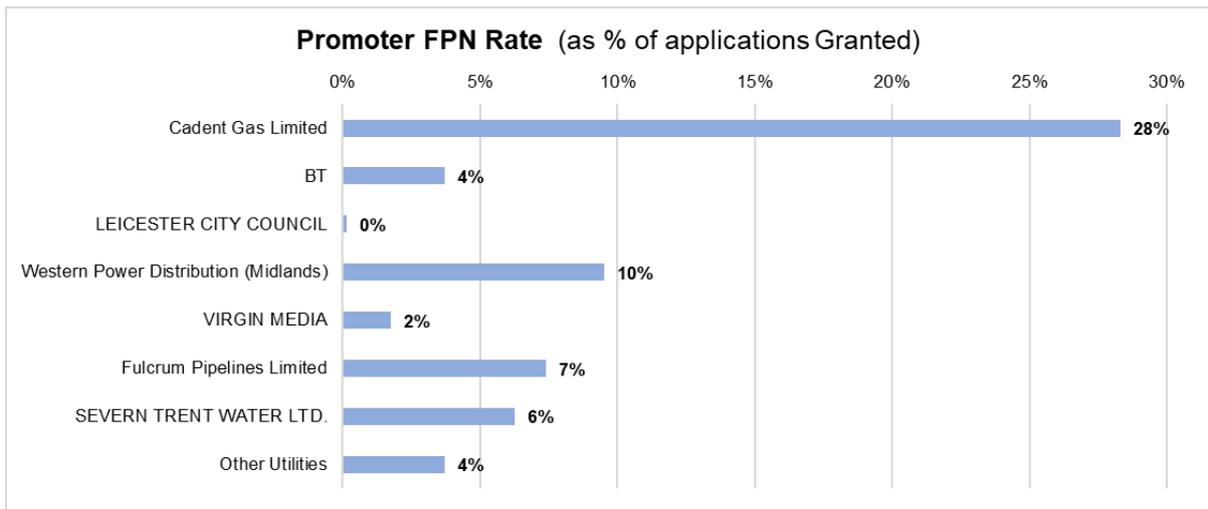
FPNs were classified under below categories to help work promoters focus on specific reasons of non-compliance, and thereof take necessary action to reduce such occurrences in future.

- s.70(6) - Failure to provide registration details (Partial or Full) of interim or permanent reinstatement within 10 working days from the date on which the reinstatement is completed.
- s.74(7B) - Failure to provide a notice of Actual start date, Revised duration or works clear/closed (Works Stop).
- Regulation 19 creates the criminal offence for an undertaker or someone acting on its behalf to undertake works without a valid permit.
- Regulation 20 creates the criminal offence for an undertaker or someone acting on its behalf to undertake works in breach of a condition.

**Table 12-1: Infringements by promoters by categories**

	70(6)	74(7B)	19(1)	20(1)	Total	Permits Granted	% FPNs over Permits Granted
BT	15	4	2	5	26	698	4%
Virgin Media	9	1	0	3	13	743	2%
Severn Trent Water	35	26	11	60	132	2,105	6%
Cadent Gas Limited	93	34	1	11	139	491	28%
Western Power Distribution	34	8	4	41	87	913	10%
Fulcrum Pipelines	2	0	0	0	2	27	7%
Other utilities	15	18	5	11	49	1,321	4%
Leicester City Council	3	0	8	1	12	8,652	0%
<b>TOTAL</b>	<b>206</b>	<b>91</b>	<b>31</b>	<b>132</b>	<b>460</b>	<b>14,950</b>	<b>3%</b>

**Figure 12-1 FPNs by promoters**



**Figure 12-2 FPN by category**

