



Shropshire Council
Legal and Democratic Services
Shirehall
Abbey Foregate
Shrewsbury
SY2 6ND

Date: Friday, 24 February 2017
:

**Committee:
Environment and Services Scrutiny Committee**

Date: Monday, 6 March 2017

Time: 2.00 pm

Venue: Shrewsbury/Oswestry Room, Shirehall, Abbey Foregate, Shrewsbury, Shropshire, SY2 6ND

You are requested to attend the above meeting.
The Agenda is attached

Claire Porter
Head of Legal and Democratic Services (Monitoring Officer)

Members of Environment and Services Scrutiny Committee

Vince Hunt (Chairman)

Keith Roberts (Vice Chairman)

Dean Carroll

Ted Clarke

Nigel Hartin

Roger Hughes

Christian Lea

Pamela Moseley

Vivienne Parry

Arthur Walpole

Your Committee Officer is:

Tim Ward Committee Officer

Tel: 01743 257713

Email: tim.ward@shropshire.gov.uk

AGENDA

1 Apologies for absence and substitutions

2 Disclosable Pecuniary Interests

Members are reminded that they must not participate in the discussion or voting on any matter in which they have a Disclosable Pecuniary Interest and should leave the room prior to the commencement of the debate.

3 Minutes of the meeting held on 23 January 2017 (Pages 1 - 4)

To consider the Minutes of the Environment and Services Scrutiny Committee meeting held on 23 January 2017.

4 Public Question Time

To receive any public questions or petitions from the public, notice of which has been given in accordance with Procedure Rule 14. The deadline for this meeting is 5.00pm on Wednesday 1 March 2017

5 Member Question Time

To receive any questions of which members of the Council have given notice. Deadline for notification for this meeting is 5.00pm on Wednesday 1 March 2017

6 Update on X75 Bus Route

To receive a verbal update on the X75 bus route

7 Overview of Shropshire Homepoint - Housing Allocations (Pages 5 - 48)

This report provides an overview of Shropshire HomePoint and explains how affordable housing is allocated in Shropshire.

8 Street Works - West and Shire Permit Scheme (Pages 49 - 106)

The following report presents the West and Shires Permit Scheme (WaSP) Annual Report which details its performance in the first two years of operation by the Street Works team in Highways and Transport; April 2014 – March 2016 inclusive

9 Date/Time of next meeting

The Committee is next scheduled to meet on Monday 12 June 2017 at 2.00pm

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Environment and
Services Scrutiny
Committee

6 March 2017

2.00 pm

Item

Public

**MINUTES OF THE ENVIRONMENT AND SERVICES SCRUTINY COMMITTEE
MEETING HELD ON 23 JANUARY 2017
2.00 - 3.15 PM**

Responsible Officer: Tim Ward
Email: tim.ward@shropshire.gov.uk Tel: 01743 257713

Present

Councillor Vince Hunt (Chairman), Councillors Keith Roberts (Vice Chairman), Ted Clarke, Nigel Hartin, Roger Hughes, Christian Lea, Pamela Moseley, Vivienne Parry and Arthur Walpole

46 Apologies for absence and substitutions

46.1 Apologies were received from Councillor Dean Carroll

47 Disclosable Pecuniary Interests

47.1 There were no declarations made

48 Minutes of the meeting held on 28 November 2017

48.1 The minutes of the meeting held on 28 November 2016 had been circulated.

48.2 RESOLVED:

That the minutes of the meeting of the Environment and Services Scrutiny Committee held on 28 November 2016 be approved as a true record and signed by the Chairman.

49 Public Question Time

49.1 There were no questions from members of the public

50 Member Question Time

50.1 Councillor Viv Parry raised the case of a block of flats in her ward where they had nowhere to store the bins and asked what could be done. She also made

reference to the removal of the recycling bank and expressed concern that this could lead to more fly tipping.

- 50.2 The Waste Contracts Manager advised her that individual solutions could be found for blocks of flats as had been the case with other flats in the county, and asked her to advise the flat owners to liaise directly with the Council with regards to solving the problem.
- 50.3 The Waste Contracts Manager advised her that the tetrapak recycling banks are funded by the companies that makes the containers and that it is very expensive to recycle them. He added that there were no plans to remove these recycling banks at the moment but that this is under monthly review by the manufacturers and that there is a risk that they may be removed in the future.

51 Update on the X75 Bus Service

- 51.1 The Transport Commissioning Group Manager updated the meeting on the X75 bus service. He advised the meeting that a user survey had been carried out which showed that peak journeys were at 8.30am and 5.00pm. He added that he had attended a meeting with officers from Powys County Council (PCC), which had been very productive and that PCC would be developing a proposal regarding the ongoing funding contribution that would be required from Shropshire Council. He informed Members that he would be assisting Officers in obtaining the Bus Service Operators Grant in relation to the portion of the route in Powys. The Transport Commissioning Group Manager agreed to update the local Members on progress with the service, and to provide the committee with a further update at a future meeting.
- 51.2 A Member made reference to the bus service in Ludlow and commented that often there were two busses following each other around the town. She asked how this could be fed into the current consultation. The Transport Commissioning Group Manager advised the meeting that the current Bus Strategy Consultation was looking at the principles of funding the service and would not be looking at individual services, and that where there were changes to services proposed in the future a separate consultation would be held. He added that with regard to the busses in Ludlow he was happy to speak to the service providers.
- 51.3 A Member commented that he had been unable to complete the consultation as it required you to be a bus user. The Transport Commissioning Group Manager agreed to look at this.

52 The changing role and focus of the Community Enablement Team

- 52.1 The meeting received the report of the Locality Commissioning Manager which updated Members on the changing role and focus of the Community Enablement Team. She highlighted the existing core work of the team and outlined the new externally funded commercial activity which would be undertaken to achieve the required budgetary savings.

52.2 A number of Members paid tribute to the good work carried out by their Community Enablement Officers and the vital role that they played in their communities. A Member expressed concern that the additional commercial activity may impinge on the core activity of the team.

53.3 A Member welcomed the approach that was being adopted but commented that he was less sure of the underlying business need as there was a lack of information in the report. The Director of Place and Enterprise advised the meeting that Officers were developing an Action Plan to support the Business Plan and suggested this could be brought back at a future meeting.

53.4 The Chair thanked the Locality Commissioning Manager for her report.

53 Date/Time of next meeting

53.1 Members were advised that the next meeting of the Environment and Services Scrutiny Committee would be held on Monday 6 March 2016 at 2.00pm

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Date: 6th March 2017

Environment and Services
Scrutiny Committee

Item

Public

OVERVIEW OF SHROPSHIRE HOMEPOINT – HOUSING ALLOCATIONS

Responsible Officer: Jamie Burns, Housing Services Manager

Email: jamie.burns@shropshire.gov.uk

Tel: 01743 251791

1. Summary

Shropshire HomePoint is a choice-based lettings scheme. Its purpose is to advertise affordable housing and manage the Housing Waiting List in Shropshire.

Founded in 2009, it advertises the properties of twelve of the county's leading social housing landlords. It provides a single point of contact, preventing the need to fill in lots of different landlord application forms and having to deal with multiple organisations.

It does not own any properties, it does not allocate properties (the landlord does) and it does not increase the number of properties available.

However, it does make it easier to apply for housing. It also simplifies (as much as possible) the assessment and prioritisation of housing need (a statutory duty) in strict accordance with the Shropshire Affordable Housing Allocations Policy.

The Allocations Policy was written in conjunction with partners and stakeholders. It incorporates a large amount of complex housing and eligibility legislation with a smaller amount of local housing policy. Landlords also have their own additional policies regarding eligibility, such as age entitlement, to make the best use of their own housing stock.

Following the introduction of a new software system, a revised Allocations Policy and the introduction of a performance management culture, the scheme is believed to be one of the best performing choice-based lettings agencies in the UK.

This report provides an overview of Shropshire HomePoint and explains how affordable housing is allocated in Shropshire.

2. Recommendations

Members of Environment and Services Scrutiny Committee are asked to:

- 2.1** Scrutinise the allocations process and delivery of choice-based lettings by Shropshire HomePoint and to request officers return in 12 months time with a further update on the scheme.

REPORT

3.1 Background

Shropshire HomePoint is a countywide choice-based lettings scheme (CBL). It launched in 2009 under contract to the Shropshire Housing Group.

South Shropshire Housing Association, part of the Shropshire Housing Group, had operated a successful in-house CBL Scheme previously and was awarded the contract to run the countywide scheme.

In 2011, Severnside Housing joined the Partnership, merging their Housing Waiting List into the Shropshire Housing Register.

In 2014, the running of the scheme transferred to Shropshire Council. A new software system implemented and a new Allocations Policy adopted.

In 2015, a new performance management culture was initiated. This along with the improved software and Allocations Policy resulted in record performance.

3.2 Why Was CBL Introduced

Choice-based lettings was introduced to simplify applying for housing and make it easier to understand. Unfortunately, given the complexities of housing legislation (largely because demand far outstrips supply), no system will ever be as simple as everyone would like.

Enquiries are made to one team, using one application form. Clients are helpfully signposted to other sources of help and assistance.

Understanding of housing assessments is improved using bands (compared to traditional points-based systems). However, it cannot remove all of the complexity.

Applying for properties is quick and easy and includes a list of the property features with information on local services and amenities. Photographs are often included to help decide which property to apply for.

Results are published to give feedback and ensure clients are kept informed. It also provides transparency on decision making, with an audit trail of every decision made.

CBL minimises operating costs and strategically gives a clear overview of the housing situation in the local housing authority area.

As clients choose for themselves the property they would like to live in, it also encourages more sustainable communities.

3.3 Eligibility

Most people can apply. Some exceptions include those with previous unacceptable behaviour and people subject to immigration control (unless they fall into a class of applicant that the Secretary of State has specified as eligible).

With the scheme advertising properties of twelve separate landlords, many of which operate across multiple local housing authority areas, with different types of housing, they each have their own additional policies. They should always note this in the property adverts, which they create.

As examples, landlords set minimum age criteria, bedroom entitlement / when to allow under-occupation of bedrooms and rent arrear amounts they will consider. These policies are designed to make the best use of their housing stock and take into consideration factors such as welfare reform. Shropshire HomePoint has no influence over these policies.

3.4 Local Connection

Shropshire operates an open housing register, which means most people can apply. This allows families to move to support one another and mobility for economic reasons.

The scheme prioritises people with a local connection to Shropshire. Applicants without a local connection to Shropshire are still able to apply to be on the housing register but have a reduced preference.

For a small number of properties, for example where there is an obligation within the original planning, a local connection is also required to the parish / town the property lies within.

Many would like to be able to introduce a local connection requirement at a town and parish level for all properties. This is not legally possible and local connection (bar the above exception) must be to the local housing authority area. For HomePoint, this is Shropshire, excluding Telford and Wrekin, which is its own local housing authority area.

3.5 Banding System

Clients can apply to join the Housing Register by going online or completing a paper application form. HomePoint where needed, will also go and visit applicants to help them fill in the form.

The need for housing is assessed using a banding system rather than the traditional complicated points based method. There are four main bands (levels) of housing need, Priority, Gold, Silver and Bronze. Gold band applicants are considered to have a high level of housing need, but in emergency cases, a Priority band is issued to help with finding a home more quickly.

The detailed criteria used for each banding is available to view and many applicants are able to judge for themselves their own likely banding.

Once registered, HomePoint writes to applicants informing them of their registration date, reference number and band. It also uses this opportunity to signpost to other sources of advice and assistance.

Once clients have a reference number, they can begin to apply for properties. A copy of the Allocations Policy is included in Appendix 1.

3.6 Property Advertisements

Landlords submit and create the property adverts on a Monday using the HomePoint software system they share.

Property adverts can be viewed at any of the partner offices and on the HomePoint website. Where required, paper adverts are mailed out directly. A weekly email reminder link is sent out for those preferring to use the internet.

Clients are able to apply for one affordable / social rented property each week. Properties are advertised on a Wednesday and they have seven days to apply. It is not first come first served.

Due to the high demand for properties, it is not practical for landlords to process multiple bids (expressions of interest) every week for affordable housing. Landlords need to check each successful applicant and arrange viewings, which can be very complicated and time consuming.

The number of bids to allow clients each week to make is a hotly debated topic within CBL, with many opposing views. Generally, the majority of choice-based lettings schemes across the country started out with the ability to bid on all properties. Gradually over the years, they have reduced the number of bids allowed, with one bid being the most commonly used.

For other types of property adverts, such as mutual exchanges, house shares, low cost homeownership, private rented, and private properties for sale, clients can apply for as many as they like and they will be advertised until someone is successful.

3.7 Ways to Bid

Applying for properties is called 'bidding', it is just a way of expressing an interest in a property.

The scheme caters for those comfortable with newer types of technology and for those that prefer traditional approaches.

Clients can ring or write in but can also bid online, by email and by text.

The majority of bids are now made online, which frees up time for officers to focus on more vulnerable customers that prefer to chat through properties to apply for.

3.8 Successful Applicants

For affordable / social rented properties, once the weekly property cycle has ended, a shortlist of everyone interested in each property is automatically formed and ranked according to their banding and registration date. The landlord then checks the eligibility of the applicants ranked first and confirms the application details are correct and up-to-date. A property viewing is then arranged and the property offered.

If the offer is rejected, the landlord will review the application of those ranked second and so on until the property is accepted.

HomePoint then publishes the banding, the waiting time of the successful applicant and the number of bids received on the HomePoint website and Advert Newsletter.

Other property advert types are advertised continuously until a successful applicant is offered and accepts the property.

All properties are allocated by the landlord and not HomePoint.

3.9 Performance

Shropshire HomePoint has reduced its average processing time of applications and correspondence from a high of 15 weeks in 2013/14 to same / day next day. The current average processing time is 1.1 days.

In a typical week, the scheme will process:

- 215 applications
- 433 correspondence
- 293 renewal applications each week
- 1,191 telephone phone calls per week

The website receives over 9,000 unique visits per week.

A new business intelligence and performance management system is being developed for official launch later this year. It will provide information (automatically and in real-time) on thousands of metrics and enable vast quantities of data to be easily understood.

To ensure the scheme continues to improve and evolve to meet the needs of its clients, HomePoint is currently carrying out a review with partners. It includes an evaluation and update of the Allocations Policy to ensure the use of county's affordable housing stock is maximised to deliver better outcomes.

A copy of the Housing Fact Sheet 2017 (downloadable from the HomePoint website) is included in Appendix 2.

3.10 Statistics

There are a number of misconceptions surrounding the Housing Waiting List (currently 5,497 applications) and housed applicants.

A good example is that, 'you have to be in priority to be successful'. Last year of the 1,696 lets, over 61% were allocated by landlords to the two lowest bands of silver and bronze.

Another is the number of applications from foreign nationals (whom are legally entitled to be considered for housing). Only 3% on the Waiting List are foreign nationals. Foreign nationals last year were successful for 3% of housing.

Syrian Refugees are not housed through CBL. Currently Shropshire Council has helped thirteen families to be rehomed in Shropshire with another two families expected shortly.

The overall average median waiting time for all allocations in 2015/16 was 9 months. By number of bedrooms it was:

- 1 Bedroom - 8 months
- 2 Bedrooms - 9 months
- 3 Bedrooms - 9 months
- 4 Bedrooms plus - 10 months

With social housing being only 14% of the overall housing stock in the county, the Housing Waiting List will not be a solution for everyone.

The increasing challenge now (especially with our aging population), is to better help clients resolve their housing situation through other housing options. Whether that's to privately rent, buy a home or improve the home they already live in.

4. Risk Assessment and Opportunities Appraisal

Access to good quality, suitable and sustainable Housing is a pivotal need for all. Ensuring sufficient availability throughout the county, to meet the needs of Shropshire's population, is a primary focus of Housing Services. Shropshire HomePoint enables all social landlords to be able to transparently advertise their stock and evidence an audit trail for allocations. Data collated on Shropshire HomePoint also enables social landlords to be able to better plan development throughout the county.

5. Financial Implications

Shropshire HomePoint operates on a revenue budget of £224,620 (2016/17), with forecasted income from advertising properties of £124,000. It is expected to operate within budget for 2016/17.

Development and implementation of software systems in 2014 was achieved through DCLG grant funding of £70,000.

6. Conclusion

The introduction of a highly automated, efficient and effective business software system, a fit for purpose Shropshire Affordable Housing Allocations Policy and the introduction of a performance management culture has transformed HomePoint into a lean, high performing CBL Scheme.

With this solid foundation, the Service now looks forward to evolving further to meet the increasing housing demands, needs and aspirations of Shropshire.

List of Background Papers (This MUST be completed for all reports, but does not include items containing exempt or confidential information):

Name and Portfolio of Executive Member responsible for this area of responsibility:

Cllr. Malcolm Price

Portfolio Holder for Planning, Housing, Regulatory Services and Environment

Local Member:

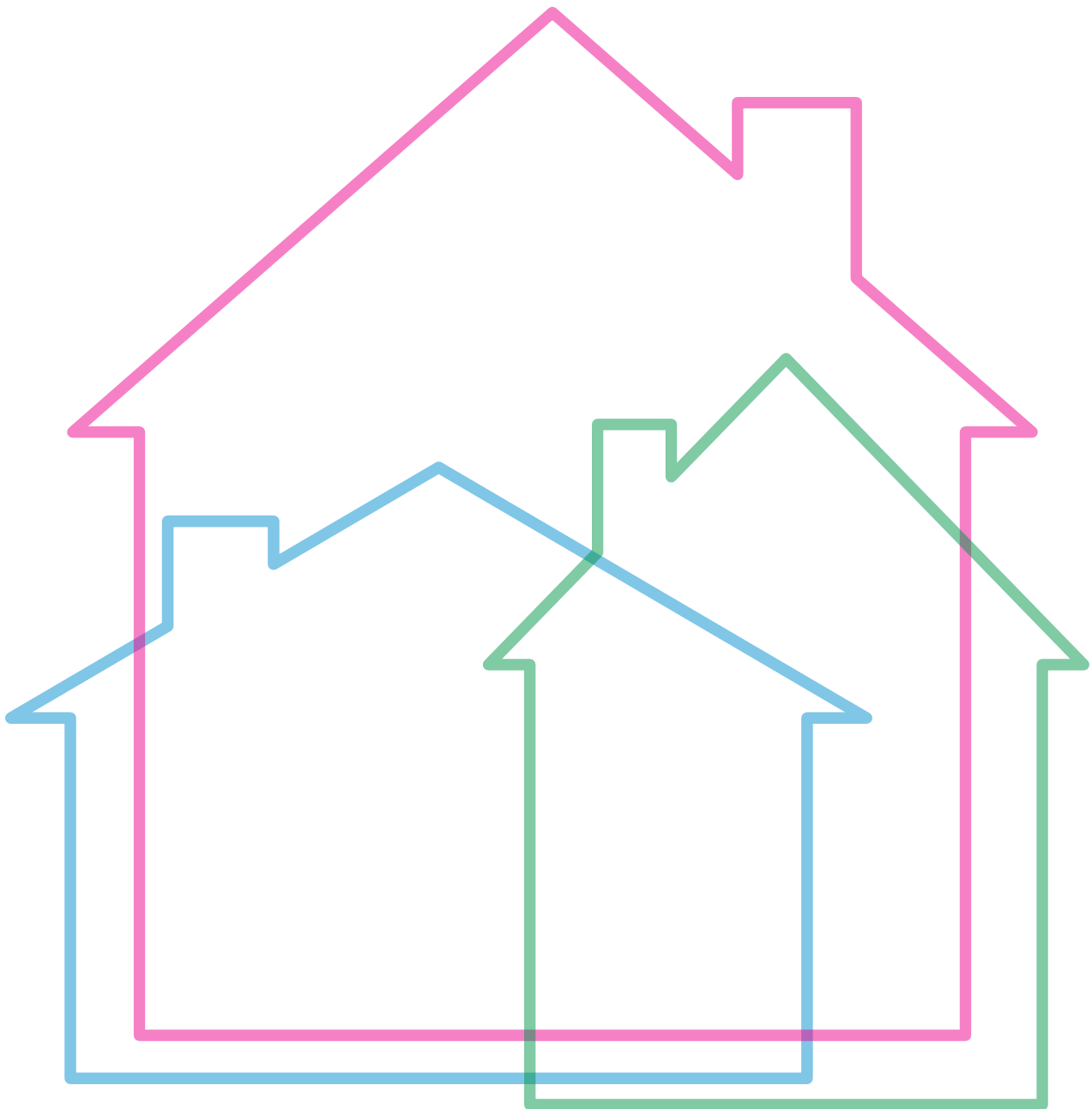
All members

Appendices:

Appendix 1: Shropshire Affordable Housing Allocations Policy.

Appendix 2: February 2017 Housing Fact Sheet.

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Shropshire Affordable Housing Allocation Policy and Scheme

26 March 2014

www.shropshire.gov.uk/housingscheme

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Shropshire HomePoint

LOOK ONLINE: www.shropshirehomepoint.co.uk

CONTACT US VIA EMAIL: enquiries@shropshirehomepoint.co.uk

PHONE US:

General Queries: 0300 303 8595

ADDRESS: Shropshire HomePoint, Shirehall, Abbey Foregate, Shrewsbury, Shropshire SY2 6ND

Shropshire Council Customer Service Point contact details

Albrighton: Tuesdays and Fridays: 9am – 2pm. 82b High Street, WV7 3JA.

Bridgnorth: Monday – Friday: 9am – 5pm Westgate, WV16 5AA

Bishops Castle: Mon, Tues & Fri 9am – 2:30pm. Enterprise House, Station Street, SY9 5AQ

Broseley: Monday 2pm - 5pm. Thursday 9.30am - 5pm. Friday 3pm - 5pm Broseley Library, The Old School, Bridgnorth Road, TF12 5EL

Church Stretton: Monday – Saturday: 9:30am – 3pm (Closed Wednesday) The Library, Church Street, SY6 6DQ

Craven Arms: Tuesday - Friday 10am - 4pm. Shropshire Hills Discovery Centre, School Road, SY7 9RS

Ellesmere: Tuesday and Friday 10:00am – 4:30pm. Library, Victoria Street, SY12 0AA

Shrewsbury: Monday – Friday 8.30am – 5pm. Guildhall, Frankwell Quay, SY3 8HQ

Oswestry: Monday – Friday 9am – 5pm. Oswestry Library, Arthur Street, SY11 1JN

Ludlow: Monday – Friday 9am - 5pm. Stone House, Corve Street, SY8 1DG

Market Drayton: Monday - Saturday 9.30am - 4pm. 49 Cheshire Street, TF9 1PH

Shifnal: Monday: 2pm - 5pm: Wednesday: 10am - 1pm, 2pm - 5pm Friday: 10am - 1pm, 2pm - 5pm. Shifnal Library, Broadway, TF11 8AZ

Wem: Monday - Friday 9am - 5pm. Edinburgh House, New Street, SY4 5DB

Whitchurch: Monday - Friday: 10am - 4pm. Saturday: 10am-1pm. Whitchurch Heritage Centre, 12 St Mary's Street, SY13 1QY

Email: customer.service@shropshire.gov.uk

This document is also available in Braille, large print, audio and other languages upon request

WELSH

Os oes amoch chi eisiau cael y gwybodaeth yma yn gymraeg, mae hi'n bosibl inni drefnu cael gwasanaeth cyfieithydd. ffoniwch 01746 713100 os gwelwch chi'n dda.

ENGLISH

If you would like this information in your language we can arrange an interpreter. Please telephone 01746 713100.

ARABIC

إذا كنت تود الحصول على هذه المعلومات بلغتك يمكننا توفير المترجم. 01746 713100 ليس عليك إلا الاتصال بنا.

BENGALI

যদি আপনি এই তথ্য আপনার নিজের ভাষায় পছন্দ করেন তাহলে আমরা এক ব্যাখ্যাতারের ব্যবস্থা করিতে পারি। দয়া করিয়া টেলিফোন করিবেন 01746 713100।

CHINESE

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FARSI

چنانچه مایلید این اطلاعات را به زبان خود داشته باشید، ما می توانیم مترجم دراختیارتان بگذاریم. لطفاً با شماره تلفن 01746 713100 تماس حاصل فرمائید.

FRENCH

Si vous voulez que cette information soit disponible dans votre langue, nous pouvons faire appeler au service d'un interprète. Veuillez -vous telephoner au 01746 713100.

GUJARATI

એ તમને આ માહિતી તમારી ભાષામાં જાહેતી હોય તો અમે દુભાષિયાની વ્યવસ્થા કરી શકીશું. 01746 713100 પર ટેલિફોન કરવા વિનંતી.

HINDI

अगर आप यह जानकारी अपनी भाषा में चाहते हो, तो हम इन्टरप्रेटर (दुभाषिया) का प्रबन्ध कर सकते हैं। कृपया इस नम्बर 01746 713100 पर फोन करें।

POLISH

Jeżeli chciałby Państwo uzyskać informacje w języku ojczystym, możemy zapewnić tłumacza ustnego. Prosimy o kontakt pod numerem 01746 713100

PUNJABI

ਜੇਕਰ ਤੁਸੀਂ ਇਹ ਜਾਣਕਾਰੀ ਆਪਣੀ ਭਾਸ਼ਾ ਵਿੱਚ ਚਾਹੁੰਦੇ ਹੋ ਤਾਂ ਅਸੀਂ ਇਨਟਰਪ੍ਰਿਟਰ (ਦੁਭਾਸ਼ੀਆ) ਦਾ ਅੰਦੋਸ਼ ਕਰ ਸਕਦੇ ਹਾਂ। ਕਿਰਪਾ ਕਰਕੇ ਇਸ ਨੰਬਰ 01746 713100 ਉੱਤੇ ਫੋਨ ਕਰੋ।

URDU

اگر آپ یہ معلومات اپنی زبان میں حاصل کرنا چاہتے ہیں تو ہم ترجمان کا انتظام کرسکتے ہیں۔ 01746 713100 برائے مہربانی فون کریں

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Introduction

This overarching Affordable Housing Allocation Policy and Scheme applies only to the Unitary Shropshire Council Local Authority Area and does not include Telford and Wrekin. References to the 'county' or 'Council' refer to Shropshire excluding Telford and Wrekin, which is a separate local housing authority.

Affordable housing is provided by organisations collectively known as Registered Providers (RPs). In Shropshire this is a mixture of Shropshire Council owned and managed properties and those of Registered Providers of Social Housing, often called Housing Associations.

The Shropshire HomePoint Partnership is the means adopted by the Council and a number of other Registered Providers to determine allocation of housing stock through a jointly operated choice-based lettings scheme.

To maximize the benefits to applicants on the Housing Register, the scheme also acts as a means to provide nominations and referrals to other non-partner Registered Providers and Landlords.

The purpose of the Allocation Scheme is to determine the degree of housing need and priority for housing of those people seeking affordable housing in Shropshire. Shropshire HomePoint is a partnership between Shropshire Council and Shropshire Housing Group. Shropshire HomePoint holds and maintains the countywide Housing Register and advertises properties of member Landlords that become available for letting and sale.

Other prominent Landlords that allocate their properties through Shropshire HomePoint include:

- Bromford Housing Group
- Marches Housing Association
- Raglan Housing Association
- Sanctuary Housing
- Severnside Housing
- Shropshire Rural Housing Association
- Shropshire Towns and Rural Housing
- South Staffordshire Housing Association
- Trident Housing Association

Shropshire HomePoint

Shropshire HomePoint does not actually allocate housing. Once it is determined who has greatest priority for a property that has been advertised through Shropshire HomePoint, the relevant Landlord will review applications, check the information that has been provided on the application form is correct and then make an offer of accommodation based on eligibility, level of housing need and date of registration on the Shropshire HomePoint Housing Register.

Aims of the Allocation Policy and Scheme

The demand for, and indeed need for, affordable housing exceeds available supply in the county. Therefore this housing allocation selection scheme endeavours to meet the following aims:

- To allow for the greatest degree of choice possible in the allocation of affordable housing;
- To ensure that those who have the greatest need of housing have the greatest opportunity to secure it;
- To help contribute to the development of sustainable communities;
- To help the Council meet other identified strategic aims, including those surrounding Supporting People and prevention of homelessness etc;
- To assist in achieving mobility for existing tenants;
- To make the best use of available housing resources;
- To ensure that local people have preference in the allocation of housing in the county;
- To contribute to mobility within affordable housing;
- To promote independence;
- To contribute towards tackling social exclusion and poverty by creating an open and accessible system for allocating affordable housing;
- To contribute towards tackling discrimination;
- To enable the authority to meet its statutory duties – including duties owed to homeless households under Part VII of the Housing Act 1996 as amended by the Homelessness Act 2002;
- To ensure simplicity and transparency whilst minimising subjectivity;
- To contribute towards the meeting of strategic aims of Partner Landlords.

Statement of choice

Shropshire Council and the Partner Landlords involved in the Shropshire HomePoint Affordable Housing Allocation Scheme are committed to offering the greatest choice possible in the allocation of affordable housing in the county, whilst ensuring that housing goes to those with the greatest need.

There will be certain situations where choice cannot be offered in the allocation of housing, such as when a Landlord needs to make a direct let as a matter of urgency. These circumstances are detailed within the scheme.

With the exception of these limited circumstances, housing will only be allocated to applicants who apply for a specific property, and all applicants have the opportunity to bid for properties they are entitled to be considered for, having regard to household size and other eligibility criteria. The scheme operates on a weekly property cycle from a Wednesday to the following Tuesday with applicants able to apply (bid) for one property each cycle.

This enables those seeking housing in Shropshire to identify the level of priority they are awarded within the allocation selection scheme, to develop awareness of the availability of accommodation suitable to their needs within the county, and to make informed decisions balancing their need for accommodation with the availability of properties meeting their requirements. It will also enable applicants to make an informed choice about whether they wish to seek alternative solutions to their housing needs.

Whilst keen to encourage and facilitate geographical mobility, Shropshire Council will ensure that in determining priorities for housing, preference may be given to applicants who have a local connection with the county.

Shropshire Council is committed to extending choice of housing to those who are accepted as homeless under the statutory duties contained within Part VII of the Housing Act 1996 as amended by the Homelessness Act 2002, as far as is compatible with the effective use of Council resources and the provision of temporary accommodation. Consequently those accepted as being owed the full housing duty under Part VII of the Housing Act 1996 will be given eight weeks from notification of acceptance within which to bid for properties through Shropshire HomePoint. If during the eight weeks they have not been bidding appropriately for a property, administering staff may bid on their behalf for each suitable property that becomes available and may change bids when an applicant has applied for a property that they are ineligible for. When a bid is successful for a suitable property this will then be considered a nomination for the purposes of discharging the homeless duty.

The homelessness duty may also be discharged through the offer of flexible tenancies and affordable privately rented tenancies.

Advice and assistance

Shropshire HomePoint is an internet web-based service and is unable to provide personal appointments. Shropshire HomePoint staff are however able to signpost applicants to other sources of advice and assistance including those of dedicated teams and organisations throughout Shropshire. In particular, assistance will be provided to anyone who may have

difficulty participating due to disability, learning disability, illness, age, not speaking English as a first language, or any other reason that might make it harder for them to fully participate within the scheme.

Information about the Allocation Scheme

Anyone who wishes is entitled to a free summary of the allocation selection scheme, which can be obtained from Shropshire HomePoint. A copy of this document is available to be downloaded from the Shropshire HomePoint website and from the Shropshire Council website.

Applicants to Shropshire HomePoint are also entitled to request details of information that has been used to assess their application.

When each property advertised through Shropshire HomePoint has been successfully allocated, the banding and registration date of the successful applicant will be made available on the website. This information should be sufficient for applicants to determine their prospects of success in obtaining housing, and roughly how long they are likely to have to wait to obtain such housing.

Information required for registration

In order to register with Shropshire HomePoint, a housing application form must be completed. The information requested on the application form is used to assess housing need and must be updated by the applicant should there be any change of circumstances. Shropshire HomePoint may also request general information to assist with assessing housing needs within the county at a strategic level. Further information may be requested if necessary to ensure proper understanding of housing circumstances and assessment of housing needs. This may include requesting information about previous behaviour (including household members), convictions and rent arrears.

Ensuring all the information provided is true and accurate is the responsibility of the applicant. Each Landlord will carry out verification checks at the point of offer to confirm the information on the application form is correct and also ensure they have completely up-to-date information.

Shropshire HomePoint may share information as appropriate within the Partnership, and with other agencies when and where this is legally required and when providing nominations and referrals to other agencies.

Applicants are advised to check carefully the full postage has been paid when sending applications or correspondence, as Shropshire HomePoint cannot collect underpaid mail.

How the scheme operates

In order to apply for a home with a Partner Landlord in Shropshire, an applicant needs to register with Shropshire HomePoint and can have only one active application. To register they must fill out an application form requiring relevant information about themselves and any household members they wish to have included in the application.

The application can either be completed using a paper application form or online through the Shropshire HomePoint website. Paper applications are available by post from Shropshire HomePoint, from Shropshire Council's Customer Contact Points or from participating Landlords.

The application will then be assessed by Shropshire HomePoint and placed within one of the housing needs bands explained below. Each application is also given a registration date. Once their application has been registered, applicants will receive details of their banding, a password to use when bidding for property and confirmation of their registration date.

All properties managed by the Partner Landlords that become available for letting (with the exception of those specified below) will be advertised through Shropshire HomePoint. The exact rent, service charge, for sale price, tenancy type and if applicable the length of tenancy will be clearly advertised on the property details. A definition of tenancy types is available to download from the Shropshire HomePoint website and from Shropshire Council's Customer Contact Points.

Those who are registered through Shropshire HomePoint can then bid (apply) for properties that are advertised, and Shropshire HomePoint will determine which of those bidding has the highest priority, using the guidance laid out below. The list of eligible applicants will be put forward to the Landlord, who will carry out verification checks to confirm that the circumstances on the application form still apply. Shropshire HomePoint does not allocate the property; this is a decision for the landlord. When making allocations, some landlords may apply additional criteria, for example where there are previous rent arrears. The individual Landlord's allocation criteria can be obtained directly from them.

When a property is allocated by the Landlord, notification will be given on the Shropshire HomePoint website identifying the band of the successful applicant and their registration date.

Local connection with Shropshire

Shropshire HomePoint operates an open Housing Register. The choice-based letting scheme aims to provide opportunities for anyone to obtain housing within Shropshire, whilst providing a degree of preference to people who have a local connection with the county.

Consequently, those who have a local connection are likely to be given additional preference for rehousing. Households with no local connection will usually only be successful in a bid for a property in exceptional circumstances or where no-one else with a local connection from the band they are in (or a higher band), who has bid for the property. Date of application will only be relevant if a choice is necessary between more than one applicant with no local connection.

Local connection is defined as:

- Applicants currently living in Shropshire Council Area
- Those that have resided in the county three of the last five years, where residence has been out of choice;

- Members of the British Armed Forces based within the county may be considered to have a local connection. Please see section below.
- Those who are employed in the area, other than of a casual nature;
- Those who have close family connections (see Glossary), who have themselves lived in the county for five or more years;
- The applicant was a permanent resident of the local area for five years as a child, and attended a local school;
- Those who need to move to Shropshire for urgent social reasons such as to receive / give support

Those with financial resources sufficient to secure alternative accommodation

Affordable housing in Shropshire is targeted towards those households unable to afford open market housing. Reduced preference against people in the same banding will be given to applicants who are considered to have sufficient financial resources to secure alternative accommodation. Financial resources will be taken to include income, capital and equity in property. Reduced preference may be given to households whose income and / or capital resources exceed £63,000 (reviewed annually)

This assessment will be carried out by Shropshire HomePoint, having regard to the financial resources of the applicant and the cost and availability of alternative suitable accommodation. The assessment will also have regard to special circumstances e.g. where an older person is committed to paying for care or support costs in order to remain living independently.

Final verification will be sought at point of offer by the Landlord. As with all other decisions made by HomePoint under this policy, any applicant who is deemed to have such resources will have a right of appeal against that decision. Please see Appeals and Complaints Section below.

Hard to let and for sale properties

For hard to let or for sale properties, should a period of 4 weeks pass from the date of the first advertisement without a successful applicant being found and the shortlists exhausted, Landlords will be able to advertise the property outside of Shropshire HomePoint. The property will still be let / sold according to this policy and the result published.

For properties subject to affordable housing planning conditions, this period is extended to 12 weeks. Please see next section below.

New Affordable Housing and local housing need

As part of the Local Development Framework the Council has adopted a Supplementary Planning Document on the "Type and Affordability of Housing". This document seeks to increase the supply of new affordable housing provided through the planning system to help

meet the needs of all residents in Shropshire. Some housing developments may be subject to special planning conditions or legal restrictions applied through Section 106 of the Town and Country Planning Act 1990 (as amended) specifying local occupancy or employment conditions on who is able to live in the accommodation (known as qualifying persons).

These conditions are particularly relevant in our more rural areas and aim to ensure that people from the Housing Register with a Local Connection to a particular Parish or defined area ('Local Need') are given priority for rehousing, over and above those who do not have that connection. This means for example that an applicant in Bronze Band who satisfies the Local Need criteria may have priority for rehousing over an applicant in Gold Band who does not satisfy the criteria. The criteria used by the Council for determining Local Need are set out in the prevailing Supplementary Planning Document. Applicants who do not satisfy the Local Need criteria will normally only be considered for accommodation restricted in this way after it has been made available exclusively to qualifying persons for a period of no less than 12 weeks. After this period, the accommodation may be made available to people from a wider geographic area through the 'Cascade' process specified in the Supplementary Planning Document.

Local letting plans

The Shropshire HomePoint Partnership may from time to time agree a Local Letting Plan to achieve particular objectives in a neighbourhood or geographical area. Where a Local Letting Plan is in place, priority will normally be given to applicants who directly meet the criteria of the Plan. Details of each Local Letting Plan will be available on request from the Council and / or the partner Landlord. Advertisements for properties included in the Local Letting Plan will specify the required criteria. Some properties may also be restricted by S.106 Town and Country Planning Act 1990 (as amended).

Local Letting Plans are typically put in place to:

- Balance communities to achieve sustainable neighbourhoods;
- Ensure housing is available to support local employment and encourage local business development;
- To allocate empty properties brought into residential use;
- Deliver specific local strategic outcomes.

Letting privately rented accommodation

Private landlords offering affordable housing to households registered with Shropshire HomePoint are permitted to use additional criteria when selecting prospective tenants. The use of a Private Landlord's Letting Plan must be agreed with Shropshire Council and referred to in the property advertisement. The Plan must also be available to applicants on request. Where more than one applicant meets the criteria within the Plan, the property should be allocated to the applicants in highest housing need, as determined by the priority banding criteria within this Policy and Scheme.

Sensitive lets

The Shropshire HomePoint Partnership may from time to time identify specific properties for Sensitive Let. This means specific criteria will be applied to individual homes to achieve wider objectives. Where a Sensitive Let is identified, priority may be given to applicants who directly meet the required criteria. Advertisements for properties defined as Sensitive Lets will specify the required criteria.

Direct lets

Landlords in Shropshire may from time to time need to make a direct let of a property to an applicant in exceptional or urgent circumstances, for example to facilitate or maintain essential support arrangements, or who has very specific housing requirements. Properties identified for a Direct Let will be advertised in the normal way but will not be available for bids.

Direct lets may also be routinely made to address under-occupation of homes by existing tenants or to release an adapted property when it is no longer required.

Adapted properties

Properties which have been adapted to meet the needs of people with disabilities will be identified when advertised. Priority will normally be given to people requiring the adaptations provided.

The Partner Landlords may occasionally need to hold back properties from the Shropshire HomePoint allocation selection scheme and directly let them when the property has been specifically built or converted for an applicant with an identified medical need/s or when needed for urgent management reasons, which could include, temporarily accommodating another tenant whilst urgent repairs are carried out to their home; public safety considerations under Multi Agency Public Protection Arrangements recommendations; witness protection; or providing an immediate move to protect the safety of an existing tenant. This is not intended to be an exhaustive list. These properties will normally still be advertised by Shropshire HomePoint, but the advertisement will state that it is reserved for a direct let and other applicants are unable to bid.

Landlords will also have the right to withhold from this scheme accommodation in supported housing schemes if they consider it appropriate.

Target allocations

The allocation of affordable housing in Shropshire is a key strategic activity. We aim to balance allocation of housing to properly reflect the diversity of housing need within the community. To achieve this balance, target allocations have been agreed for selected housing needs and are as follows:

- Moving to independent living: 10%;
- Former members of the British Armed Forces (subject to eligibility): up to 5%;
- Bronze Band: 5%;
- Community Benefit: up to 5%.

Moving to independent living

The Shropshire HomePoint Partnership may enter into arrangements with specified supported housing projects and other supported or residential schemes whereby applicants who have been assessed as ready to move into settled independent accommodation will receive Gold Band priority. The project will contact the Housing Options Team when a resident is ready to move on through a managed process and an application will be taken from that resident who will then be awarded Gold Band.

The agreement between the Shropshire HomePoint Partnership and the scheme provider will require that, where appropriate, arrangements will be made for tenancy support.

Under this heading, Gold Band is awarded by Shropshire Council Housing Options Team.

Former members of the British Armed Forces

Up to 5% of properties for each Partner Landlord may be targeted for Former Members of the British Armed Forces as defined in S.364 Armed Forces Act 2006, where the application is made within 5 years of discharge, they have a local connection to Shropshire and have served a minimum of 4 years with the British Armed Forces.

Those that have been dishonourably discharged will be considered individually based upon the circumstances and reasons for the discharge.

Other eligibility criteria will still apply.

Community benefit

Up to 5% of properties for each Partner Landlord may be targeted for Community Benefit. This is not intended to be prescriptive but flexible, arranged and agreed in advance with Shropshire Council to promote the best interests of the local community. Examples of a Community Benefit might include:

- Working Households, to promote economic growth
- Key Workers
- Those obtaining a Pre-tenancy Qualification, to reward potential good tenants who have attended and passed 'Good Tenant' training / qualification where applicable with individual Landlord schemes.

Other eligibility criteria will still apply.

Monitoring

Shropshire HomePoint monitors all allocations and reports them in a 'Quarterly Monitoring and Statistics Report' which is published and available to download from the Shropshire HomePoint website.

Exclusion from registration

Applicants in Shropshire can only be excluded from registration in two main circumstances:

- 1) On the basis of their immigration status as detailed in S.160A of the Housing Act 1996 as amended by the Homelessness Act 2002.

Where the application form indicates that this may be an issue, Shropshire HomePoint will investigate to determine whether the applicant is eligible.

- 2) Where the applicant, or a member of their household, has been guilty of unacceptable behaviour serious enough to make them unsuitable to be a tenant. Behaviour would only meet this criterion if it was so serious that, had the applicant been a tenant of the Local Authority, the Authority would have been entitled to a possession order against them by virtue of the behaviour. This is a stringent test, relating to an entitlement to possession on the following grounds:

- Rent arrears;
- Nuisance or annoyance to neighbours;
- Conviction of using for immoral or illegal purpose;
- Damage or neglect;
- Any other breach of tenancy agreement;
- Conviction for arrestable offence committed in the locality of the premises;
- Domestic violence causing other/s to leave, or the applicant being required to leave;
- False statement to induce grant of tenancy;
- Premium paid for assignment;
- Tied accommodation - dismissed for misconduct.

Shropshire HomePoint will investigate the behaviour to make a determination of whether these conditions are met for exclusion from the register. Where exclusion is considered on the basis of behaviour affecting suitability to be a tenant, Shropshire HomePoint will also take account any recent changes in circumstances and demonstration of good behaviour.

Where required, applicants may be suspended for periods of 3 months to review this behaviour. The Scheme's intention is to minimise exclusion from the Housing Register and enable Landlords to determine suitability according to the property, situation and local community.

Applicants under Multi Agency Public Protection Panel Arrangements (MAPPA) may upon MAPPA's recommendation be excluded from registration and assisted separately.

Where an applicant is refused registration because of their behaviour, or that of a member of their household, they will be notified of the reasons and that they have a right to seek a review of this decision. Please see Appeals and Complaints Section below for further information.

Offers of accommodation

Applicants have a responsibility to ensure their contact details are up to date including, change of address, contact telephone numbers and email addresses. Shropshire HomePoint publishes a list of supporting information required at point of offer which applicants are expected to have available immediately for verification. Landlords in most instances will make offers of accommodation by telephone and will allow 3 working days for applicants to respond. If you do not respond within this timescale, the offer may be withdrawn.

Where the offer of accommodation is to those with a statutory homeless duty from Shropshire Council, they will be given 3 working days for applicants to respond. If no response is received the Landlord will notify the Housing Options Team and agree whether or not to withdraw the offer.

Those applicants, with the exception of those with a homeless duty, who have refused or have failed to make contact on 4 or more occasions within a 12 month period when suitable offers of accommodation have been made through the Shropshire HomePoint Scheme, may be declined further offers for a period of up to 6 months by individual landlords. The Landlord will write to the applicant and inform them of the reasons for their decision.

Determining priority for housing

Based upon the criteria detailed below, applicants will be placed in one of the following:

- Priority Band;
- Gold Band;
- Silver Band;
- Bronze Band.

Priority Band

Unless specified otherwise in this policy, Priority Band will normally be valid for eight weeks from date of award as notified to the applicant by Shropshire HomePoint or Shropshire Council's Housing Options Team. If accommodation has not been secured in this period there will be a review carried out. If no suitable properties have become available during the period the Priority Band will be extended for a further period, usually eight weeks, at the discretion of Shropshire HomePoint or the Housing Options Team. If the applicant has been bidding for suitable properties but has not been successful, the status may be extended. If however, the applicant has failed to bid for properties, or has been bidding for unsuitable properties, the reasons for this will be determined and if there are valid reasons the Priority Band may be extended, but where there are insufficient reasons, the Priority Band will be withdrawn and the applicant will be reassessed accordingly.

1.1 Statutorily Homeless with a Duty to Rehouse.

Where the Shropshire Council Housing Options Team has accepted a duty under Part VII of the Housing Act 1996 as amended by the Homelessness Act 2002 to provide accommodation for an applicant who:

- Is eligible for assistance;
- Is homeless;
- Has a priority need for housing;
- Is not intentionally homeless;
- Has a local connection.

If statutory homeless applicants have not obtained accommodation using the Priority Band within eight weeks, the review outlined above will take place by the Housing Options Team to decide whether to extend the eight week period. At any point if the applicant has not been bidding appropriately for a property, administering staff may bid on their behalf for each suitable property that becomes available and may change bids when an applicant has applied for a property that they are ineligible for. When a successful bid is made for a property the applicant will be notified of this and, subject to rights of review under Part VII of the Housing Act 1996 (as amended), this will constitute an offer of housing under Part VI as a discharge of the Council's homelessness duty. Should the applicant be rejected by the Landlord under their own allocation criteria, the homelessness duty will not be discharged and they will remain eligible for a further offer. If a suitable offer is refused the homelessness duty will be discharged and the applicant will cease to have Priority Band.

Under this heading, Priority Band is awarded by Shropshire Council Housing Options Team.

1.2 Agricultural tied accommodation is coming to an end.

The Rent (Agriculture) Act 1976 requires a local housing authority to use their best endeavours to provide accommodation for a qualifying displaced agricultural worker. S.27 of the 1976 Act requires the authority to be satisfied:

- That the dwelling-house from which the worker is displaced is needed to accommodate another agricultural worker;
- That the farmer cannot provide suitable alternative accommodation for the displaced worker; and,
- That they ought to rehouse him or her in the interests of efficient agriculture.

In reaching a decision, the authority may have regard to the advice of an Agricultural Dwelling-House Advisory Committee (ADHAC). The role of an ADHAC is to provide advice on the question of whether the interests of efficient agriculture are served by the rehousing of the worker, and on the urgency of the application. If the authority is satisfied that the applicant's case is substantiated, it is their duty under S.28 of the 1976 Act to use their best endeavours to provide suitable alternative accommodation for the displaced worker. In assessing the priority to be given to the application, the authority are also required to take into account the urgency of the case, the competing claims on the accommodation they can provide and the resources at their disposal.

Where the ADHAC recommends rehousing, the applicant will usually be awarded Priority Band.

Under this heading, Priority Band is awarded by Shropshire Council Housing Options Team.

1.3 Verified priority medical need, where a move will improve, or prevent deterioration of a medical condition.

This will apply where the applicant's (or member of their household) condition is currently directly affected by their accommodation and an urgent move is needed to have a positive effect on their medical condition, or where as a result of their condition their current accommodation is not suitable to their needs. An investigation will be carried out. For Priority Medical Need it is generally expected that the property cannot reasonably be occupied.

Under this heading, Priority Band is awarded by Shropshire HomePoint.

1.4 National Witness Protection Scheme.

Shropshire Council participates in the National Witness Protection Scheme. Applicants in need of urgent rehousing under this scheme may be awarded Priority Band and / or offered a direct let.

Under this heading, Priority Band is awarded by Shropshire HomePoint.

GOLD BAND

2.1 Assured shorthold tenancy S.21 notice to quit given.

This status will be awarded where the Shropshire Council Housing Options Team are satisfied that a valid S.21 notice to quit has been given and Shropshire Council would owe the full homeless duty under S.193 of the Housing Act 1996 as amended by the Homelessness Act 2002.

Under this heading, Gold Band is awarded by Shropshire Council Housing Options Team.

2.2 Relationship breakdown.

Where a couple that have separated and are forced to remain living in the same home due to financial or other limiting factors (e.g. a need to live in a particular area, but a lack of available homes in the private sector) and there is joint custody to a child or children (Please see Access to Children Section).

Under this heading, Gold Band is awarded by Shropshire Council Housing Options Team.

2.3 Young person leaving care.

Where a young person who has been looked after, fostered or accommodated by the Local Authority, is engaging fully with support provided, has had a duty to rehouse accepted by Shropshire Council and deemed to be within 6 months of being ready for independent living, they can be awarded Gold Band to enable a planned move on to independent accommodation.

Under this heading, Gold Band is awarded by Shropshire Council Housing Options Team.

2.4 Moving to independent living.

The Shropshire HomePoint Partnership may enter into arrangements with specified supported housing projects and other supported or residential schemes whereby applicants who have been assessed as ready to move into settled accommodation will receive Gold Band. The project will contact the Housing Options Team when a resident is ready to move on through a managed process and an application will be taken from that resident who will then be awarded Gold Band.

The agreement between the Shropshire HomePoint Partnership and the scheme provider will require that, where appropriate, arrangements will be made for tenancy support.

Under this heading, Gold Band is awarded by Shropshire Council Housing Options Team.

2.5 Shropshire Council has deemed your home to have category 1 Hazards, Bands A - C (Housing Health & Safety Rating System) that cannot be resolved or reduced to a Category 2 Hazard Within 6 Months.

This refers to the condition of the current accommodation. This will apply where the Shropshire Council Private Sector Housing Team has deemed your home to have the presence of Category 1 Hazards, Bands A - C according to the Housing Health & Safety Rating System that cannot be resolved or reduced to a Category 2 Hazard within 6 months.

Where existing Category 1 Hazards, Bands A – C exist but in the opinion of the Shropshire Council Private Sector Housing Team can be resolved or reduced to a Category 2 Hazard within 6 months, this Gold Band will not be awarded. Instead, an action plan will be agreed by the Shropshire Council Private Sector Housing Team with the applicant to progress remedial action.

Where there is a change of status of the Hazard/s, the applicant must inform the Shropshire Council Private Sector Housing Team who will carry out a reassessment and make a recommendation accordingly to Shropshire HomePoint with respect to banding.

Emergency cases will also be referred to the Housing Options Team for further investigation.

Under this heading, Gold Band is awarded by Shropshire HomePoint acting upon recommendations from Shropshire Council Private Sector Housing Team

2.6 Verified Gold medical need, where a move will improve, or prevent deterioration of a medical condition.

This will apply where the applicant's (or member of their household) condition is currently directly affected by their accommodation and a move is needed to have a positive effect on their condition, or where as a result of their condition their current accommodation is not suitable to their needs. An investigation will be carried out. For Gold Medical Need it is generally expected that there is a serious and immediate need.

Under this heading, Gold Band is awarded by Shropshire HomePoint.

2.7 Severe overcrowding - needing 2 or more additional bedrooms.

Confirmation of statutory overcrowding must be provided by Shropshire Council Private Sector Housing Team. Where statutory overcrowding does not exist, assessment will be based on the criteria detailed below in the Bedroom Entitlement Section.

Under this heading, Gold Band is awarded by Shropshire HomePoint, in consultation with Shropshire Council Private Sector Housing Team.

2.8 A tenant of one of the landlord partners is under-occupying by one or more bedrooms and wishing to move to a smaller property.

Checks will be made by Shropshire HomePoint with the Partner concerned. This criterion applies only where the property is in Shropshire. Should a joint application be made with each applicant downsizing from a Partner Landlord property, the combined number of bedrooms being released will be taken into account.

Verification of the suitability of the property will be confirmed at point of offer by the Landlord. Assessment will be based on the criteria detailed below in the Bedroom Entitlement Section.

Under this heading, Gold Band is awarded by Shropshire HomePoint.

2.9 People experiencing ongoing serious violence or harassment who need to move.

All applications will be taken seriously and will be fully assessed in conjunction with Partner agencies. Where the applicant is a tenant of a Landlord there may be liaison with the Landlord as part of the investigation. The Landlord is normally expected to try and resolve the situation before this criterion is awarded.

In some cases of harassment it may be appropriate to refer to the Shropshire Council Housing Options Team for further advice and assistance.

Under this heading, Gold Band is awarded by Shropshire HomePoint.

2.10 Discharged from the British Armed Forces.

Where a member of the British Armed Forces has a local connection to the county, has served a minimum of 4 years and is going to be discharged within 6 months or has been discharged but been unsuccessful in finding permanent suitable accommodation, Gold Band will be awarded.

Those currently based within the county will be automatically considered to have a local connection. Confirmation of discharge papers and / or employment will be required. This criterion only applies to the member of the British Armed Forces. If part of a couple separating, this criterion would not apply to their ex-partner's application. Those that have been dishonourably discharged will be considered individually based upon the circumstances and reasons for the discharge.

In some cases it may be appropriate to refer the applicant to the Housing Options Team for further advice and assistance.

Under this heading, Gold Band is awarded by Shropshire HomePoint.

2.11 A move is needed to give support to, or receive support from, close family members and/or move closer to local facilities

This would only apply where NOT moving would cause hardship: physical, emotional or financial hardship.

Under this heading, Gold Band is awarded by Shropshire HomePoint.

SILVER BAND

3.1 Loss of security of tenure.

This status will be awarded when a household has been found to be in; priority need but is intentionally homeless; is homeless without a priority need; and / or is homeless but is not owed the full homelessness duty by Shropshire Council's Housing Options Team under S.193 of the Housing Act 1996 as amended by the Homelessness Act 2002.

Under this heading, Silver Band is awarded by Shropshire Council Housing Options Team.

3.2 Relationship breakdown.

Where a couple with no dependents have separated and are forced to remain living in the same home due to financial or other limiting factors (e.g. a need to live in a particular area, but there a lack of available affordable homes in the private sector).

Under this heading, Silver Band is awarded by Shropshire HomePoint.

3.3 Verified Silver medical need, where a move will improve, or prevent deterioration of a medical condition.

This will apply where the applicant's (or member of their household) condition is currently directly affected by their accommodation and a move is needed to have a positive effect on their condition, or where as a result of their condition their current accommodation is not suitable to their needs. An investigation will be carried out. For a Silver Medical Need it is generally expected that there is a moderate and variable level of medical need.

Under this heading, Silver Band is awarded by Shropshire HomePoint.

3.4a Shropshire Council has deemed your home to have Category 1 Hazards, Bands A - C (Housing Health & Safety Rating System) that can be resolved or reduced to a Category 2 Hazard within 6 Months.

This refers to the condition of the current accommodation. This will apply where the Shropshire Council Private Sector Housing Team has deemed your home to have the presence of Category 1 Hazards, Bands A - C according to the Housing Health & Safety Rating System that can be resolved or reduced to a Category 2 Hazard within 6 months.

Under this heading, Silver Band is awarded by Shropshire HomePoint.

3.4b Shropshire Council has deemed your Home to have the Presence of Category 2 Hazards, Band D, (Housing Health & Safety Rating System).

This will apply where the Shropshire Council Private Sector Housing Team has deemed your home to have the Presence of Category 2 Hazards, Band D according to the Housing Health & Safety Rating System.

Under this heading, Silver Band is awarded by Shropshire HomePoint.

3.5 Overcrowding - needing 1 additional bedroom.

Shropshire HomePoint may investigate by making further enquiries, such as contacting the Landlord. Assessment will be based on the criteria detailed below in the Bedroom Entitlement Section.

Under this heading, Silver Band is awarded by Shropshire HomePoint.

3.6 The applicant is sharing essential facilities with a separate household not included with them in the application.

Shropshire HomePoint staff will validate that there is sharing of essential facilities such as, the bathroom, toilet or kitchen with a separate household. The application will also need to record members of the separate household and any relationship if applicable.

Under this heading, Silver Band is awarded by Shropshire HomePoint.

3.7 The applicant's family is forced to live apart.

Where a family that has previously lived together find themselves in circumstances where it is impractical to reside in the same house, due to financial, work or other commitments.

The address of each member of family should be verified, with confirmation from employers; or relevant reasons sought. Where families are forced to live apart because there is no accommodation available for them to live together, they should be referred to the Shropshire Council Housing Options Team for further advice and assistance.

Under this heading, Silver Band is awarded by Shropshire HomePoint.

3.8 Supported accommodation required.

This applies where an applicant has a need for accommodation with a greater level of support, that is available within the Shropshire HomePoint scheme.

For those specifically requiring Sheltered Accommodation, an assessment may be carried out to verify eligibility. Please see the Sheltered Accommodation for Older People Section below.

Under this heading, Silver Band is awarded by Shropshire HomePoint.

3.9 The applicant has a child under 10 or is pregnant and lives in a 2nd floor flat or above.

A certificate from a doctor to confirm pregnancy and or birth certificate of child will be required. Shropshire HomePoint will establish which floor the property is on.

Under this heading, Silver Band is awarded by Shropshire HomePoint.

3.10 Applicants in, or due to be in, permanent full-time employment (20+ hours per week) which will mean excessive travel (over 1 hour each way)

Your employer will be contacted to verify that you are in permanent full-time employment and the hours you work. We will also verify your home address and the length of journey time.

Under this heading, Silver Band is awarded by Shropshire HomePoint.

BRONZE BAND

4.1 All other applicants.

All other eligible applicants that do not meet any of the criteria for the other bands.

Under this heading, Bronze Band is awarded by Shropshire HomePoint.

Preference within bands

Properties will be advertised through Shropshire HomePoint as they become available and anyone registered with Shropshire HomePoint will be entitled to bid for properties, unless there is a restriction placed upon those entitled to apply for the property.

If more than one person bids for a property, preference will normally be given to an applicant with Priority Band; if no Priority Band applicant bids preference will then normally go to a Gold Band applicant; if no Gold Band applicant bids it will normally go to a Silver Band applicant; and if no Silver Band applicant bids it will go to a Bronze Band applicant. A bid for a property will not normally be considered if the applicant's household does not meet the size or any other specified requirements for that property.

If more than one person from the same band bids for a property, preference will normally be given to the person who has the earliest registration date.

Medical assessment procedure

Shropshire HomePoint will assess and verify medical need/s which is directly affected by the applicant's accommodation and where a move to more suitable accommodation is needed.

Information is taken from the application with any supporting evidence to determine if there is a medical need and level. In exceptional circumstances, an independent medical assessment may be sought.

Joint applications

Joint applications can be made by:

- A married couple;
- A civil partnership couple;
- Partners (including same sex couples);
- A Parent with a child aged 21 years or over;
- Siblings; and
- Other Special Circumstances to be agreed with Shropshire HomePoint.

Where a sole application becomes a joint application, the original or earliest registration date of the two will apply. Should they later wish to separate their applications, the dates at which they each separately joined will then apply.

16 and 17 year olds

Applicants aged 16 or 17 year old will be expected to have support in place where needed to help maintain their tenancy and will be required to have a guarantor/s to underwrite the rent, property condition and other tenancy conditions.

All 16 and 17 years olds will be referred to Shropshire Council Housing Options Team for a joint assessment with Shropshire Council's Children's Services. Following the assessment, Children's Services will determine how best to provide assistance in the immediate and longer-term.

People in prison

Applications will be accepted from those currently in prison provided other eligibility criteria are met. The Shropshire HomePoint Partnership works with a range of agencies to prepare people for release from prison and to prevent homelessness. While preparation for release may begin some time prior to release, bids made 1 month or more before the release date will not normally be considered.

Upon release an update application will be required and if applicable liaison with any support workers and agencies.

Emergency cases will be referred to the Shropshire Council Housing Options Team.

Sheltered Accommodation for older people

Unless specified otherwise in the property advert, Sheltered Accommodation is intended for older people requiring this type of housing with support. Minimum age criteria may apply dependent upon the Landlord.

Please be aware that Landlords may also require their own assessment to be carried out prior to bids being accepted or offers of accommodation.

Where appropriate, Landlords may advertise and offer Sheltered Accommodation to younger applicants depending upon the property type and medical need.

Bedroom entitlement

The criteria below, based upon the 'Bedroom Standard', is used for the calculation of bedroom need entitlement for this policy and is the automatic default setting for properties advertised through HomePoint, unless stated otherwise on the property advert. Where possible, adverts will show the number of bedrooms available and number of people they are suitable for to enable eligibility to be exactly matched e.g. 3 bedroom 5 persons. Adverts will also show if any restrictions apply to the type of household that can apply.

Landlords may have their own specific bedroom entitlement policies to take into account the housing stock they have available. It is their responsibility to clearly publish in the property advert any differences to the default entitlement and the reasons for this.

Those applying for properties should ensure their income, including housing and welfare benefits, is sufficient to fully cover all the rent and charges associated with the accommodation.

The number of bedrooms required for each household is calculated in accordance with age, sex, marital status composition and the relationship of the members to one another. A separate bedroom is required for each married or cohabitating couple, for any other person aged 21 years or over, for each pair of adolescents aged 10 to 20 years of the same sex, and for each pair of children under 10 years of the same or opposite sex. If that is not possible, he or she is counted as requiring a separate bedroom, as is any unpaired child under the age of 10 years. Additional bedroom/s required because of a medical condition/s will be considered as part of the medical assessment procedure.

For rooms only suitable for one person or a couple, this will be taken into account within the above calculation.

Pregnancy

Where a household member is pregnant, the pregnancy will only be taken into account once a medical certificate such as a MATB1 is received. Until the birth and the sex of the child or children can be confirmed the bedroom entitlement assumption will be set at the minimum number according to the above criteria.

Access to children

In the case of divorced or separated parents / guardians, a child will typically be expected to reside with one parent / guardian as their main residence. The other parent / guardian will not normally receive any bedroom entitlement for access visits. In exceptional cases, the

Shropshire Council Housing Options Team may exercise discretion, but would need to be satisfied that the child resided equally with both parents / guardians.

Fostering and adoption

Where a household has formal evidence that, subject to a suitable home becoming available, approval would be given to foster or adopt a child or children, they may be included in the bedroom entitlement calculation. Verification of fostering and/or adoption arrangements will be carried out at point of offer by the Landlord.

University / full-time study away from home

Household members studying away from home in full-time courses will not be considered in bedroom entitlement unless they are the main applicant.

Overnight carers

Where a household has formal evidence that an overnight carer or team of carers is needed 3 or more nights per normal week, a carer shall be included in the bedroom eligibility calculation.

Those applying for properties with an additional bedroom should ensure their income, including housing and welfare benefits, is sufficient to fully cover all the rent and charges associated with the accommodation.

Housing debt

Applicants with housing debt such as tenant arrears, recharges and mortgage arrears will be accepted onto the Housing Register subject to the Exclusion Criteria above and provided they meet all other eligibility criteria. Applicants with housing debt are advised to set up repayment plans and seek legal and debt advice if they have not done so already,

Landlords may have their own specific criteria concerning those with current and / or former housing debt including consideration of the amount of debt and efforts made to repay arrears.

It is expected that all Landlords, where there is the full Homelessness duty accepted by Shropshire Council or under Multi Agency Public Protection Arrangements (MAPPA) or Witness Protection Arrangements in place, to fully engage with Shropshire Council's Housing Options Team to overcome any issues preventing applicants being rehoused.

Unless the Landlord has specific criteria in place and provided they meet all other eligibility criteria, the following will normally apply:

- All those with an outstanding housing debt must have or set up a repayment plan;
- Those with outstanding amounts of less than £400 can bid for and be made offers of accommodation;

- Those with outstanding amounts between £400 and £1000 may bid for and be made offers of accommodation providing they have a history of 13 consecutive payments at the agreed amount;
- Those with amounts exceeding £1000 may be suspended or excluded from the Housing Register until the amount has been reduced to below £1000, unless there are agreed extenuating special circumstances.

Verification of housing debt will be carried out at point of offer by the Landlord. It is the responsibility of each applicant / joint applicant to ensure they address outstanding amounts and set up repayment plans if required.

Convictions and unsuitable behaviour

All but those with the most serious convictions and unsuitable behaviour (see Exclusions) will be allowed to join the Housing Register providing they meet other eligibility criteria.

Shropshire HomePoint will investigate convictions and previous behaviour to make a determination as to exclusion from the Register. Where exclusion is considered on the basis of behaviour affecting suitability to be a tenant, Shropshire HomePoint will take into account any recent changes in circumstances and demonstration of good behaviour. Where required, applicants may be suspended for periods of 3 months to review this behaviour. It is the scheme's intention to minimise as much as possible exclusion from the Housing Register. When making allocations, some landlords may apply additional criteria, for example where there are previous rent arrears. The individual Landlord's allocation criteria can be obtained directly from them

It is expected that all Landlords, where there is the Full Homelessness Duty Accepted by Shropshire Council or under Multi Agency Public Protection or Witness Protection Arrangements in place, to fully engage with Shropshire Council's Housing Options Team to overcome any issues preventing applicants being rehoused.

Applications from employees, board members, councillors and their relatives

Applications are monitored carefully to ensure that all allocations are made in line with this policy and no favour is given to those with close links to Shropshire Council or Partner Landlords.

Where an application is made from one of these groups, Shropshire HomePoint will if required seek approval from the Landlord and if successful, the offering Landlord will inform the relevant Partner of the offer of accommodation as a courtesy.

Property adverts

Available properties are published each week. The scheme operates on a weekly property cycle from a Wednesday to the following Tuesday with applicants able to bid (apply) for one property each cycle.

The primary means to advertise properties is the Shropshire HomePoint website, but paper copies can be obtained from visiting Partner offices throughout the county.

Those applicants with email addresses will be sent a weekly link to available properties. Those applicants that have a local connection to Shropshire, have no internet access, are unable to collect a copy and with recognised Special Circumstances agreed by Shropshire HomePoint may be sent a copy by post on request

Those may also be sent the weekly property list by post.

Mutual exchanges

Where affordable housing tenants wish to swap their homes permanently, they will need to request the exchange directly with each of their Landlords. Shropshire HomePoint is not involved with Mutual Exchanges but should be informed if the tenant or tenants are on the Shropshire Housing Register and their circumstances change.

Non-partner nominations

Where a request from a non-partner Landlord for a nomination is received, Shropshire HomePoint will send them a list of potential applicants, based on housing priority and relevant eligibility criteria from the housing register and inform Shropshire Council Housing Options Team of the request.

Reciprocal arrangements

Shropshire Council may on occasion request or agree to rehousing from out-of-county Local Authorities and Landlords through a direct let.

Change of circumstances and reviews

Where there is a change in circumstances, the applicant must notify Shropshire HomePoint immediately, including contact details such as change of address, telephone numbers and email addresses. Change of address will require an update application to be completed and may affect the banding. An annual review of those registered with the scheme will be carried out to ensure that details are current and the banding correct.

Rehoused through the Shropshire Housing Register

Those that have been rehoused through the Shropshire Housing Register and Shropshire HomePoint and wish to apply for properties, will need to reapply and will be assessed on their current circumstances.

Applicants with a Homelessness Duty Owed by another local authority

Those applicants who have a homelessness duty owed or that has been discharged within the past 2 years by another Local Housing Authority will usually be referred back to the relevant Authority by the Shropshire Council Housing Options Team unless there are agreed exceptional circumstances.

Equal Opportunities Statement

The Shropshire HomePoint Partnership believe that it is a fundamental right for everyone to be treated fairly, with respect and dignity; in the implementation of this policy it will ensure that this right is promoted and upheld.

False statements and withholding information

Applicants are required to sign paper applications and certify online applications confirming the details they have given are correct to the best of their knowledge.

This scheme falls within the provisions of Part VI of the Housing Act 1996. S.171 of the Act states:

- (1) A person commits an offence if, in connection with the exercise by a local housing authority of their functions under this Part:
 - (a) they knowingly or recklessly make a statement which is false in material particular, or;
 - (b) they knowingly withhold information which the authority has reasonably required them to give in connection with the exercise of those functions.

Shropshire HomePoint is the local housing authority's mechanism for discharging its functions under Part VI of the above Act. Consequently where S.171 applies, Shropshire Council may bring a prosecution.

Where false information is found to have been given, the applicant may also be excluded from registration for a minimum period of 12 months with Shropshire HomePoint and required to reregister. Where false information has resulted in the applicant obtaining accommodation, the relevant Landlord may bring possession proceedings for recovery of the property.

If an applicant has been found to have deliberately made their housing circumstances worse to obtain greater preference on the Housing Register, their application may be excluded as above.

Appeals and complaints

Any applicant to Shropshire HomePoint has a right to make an appeal if they disagree with a decision made by Shropshire HomePoint such as excluding them from registration or the banding awarded them and / or make a complaint if they believe Shropshire HomePoint has done something wrong.

If an applicant wishes to appeal or complain against a decision made by a Landlord not to allocate a property to them when they have made a successful bid through Shropshire HomePoint, they will need to contact the Landlord directly and follow their individual appeals procedure.

For decisions made by Shropshire HomePoint, the applicant should appeal / complain in writing to the Shropshire HomePoint Manager. An applicant can also appoint an advocate and once appointed, Shropshire HomePoint will deal directly with that advocate.

There are two stages to the appeal / complaints process:

- Stage 1
The appeal must be made in writing within 21 calendar days of the date of the decision letter, stating the grounds for the appeal. The appeal will be considered by the Shropshire HomePoint Manager or nominated representative, and a decision will normally be given within 21 calendar days. In complex cases it may not be possible to give a decision in 21 days and may take longer. Where this is the case the applicant will be notified in writing prior to expiry of the 21 day period.
- Stage 2
If the applicant is unhappy with the decision made by the Shropshire HomePoint Manager they may request that a further review be carried out by the Shropshire HomePoint Board of Management or their nominated representative. This request must be made in writing within 7 days. Again a decision will normally be given in 21 days, subject to extension where necessary.

If still unhappy with the outcome of the appeal, the applicant may make a complaint to the Local Government Ombudsman.

A copy of the full appeals and complaints procedure is available from Shropshire HomePoint.

Glossary and definition of terms

Allocation Policy	This explains the rules that determine how Shropshire Council, HomePoint and its Partner Landlords allocate affordable housing properties. The Policy also outlines other housing options.
Affordable Housing	A general term used to describe the housing available for those eligible that cannot afford open market prices.
Affordable Rents	Affordable rents are fixed term tenancies from Landlords available to households eligible to be on the Housing Register with rent levels set at 80% of local open market rents.
Bidding for a Property	The applicant's way of telling HomePoint that they would like to live in a property. A bid of interest can be made by telephone, internet, by mail, SMS or by visiting one of the Partner offices.
Close Family Connection	This means a parent, child, brother or sister, spouse/civil partner, uncle, aunt, niece, nephew, grandchild or grandparent
Choice-Based Lettings	<p>More commonly known as CBL. A simpler way to allocate affordable housing, by advertising available properties and asking applicants to choose for themselves the properties they would like to be considered for.</p> <p>It does not mean there are more properties available, but does allow applicants to apply for the majority of housing in 1 place and with 1 application form.</p>
Community Benefit	An allocation used to promote the best interests of the local community, detailing how the eligibility for a property departs from the standard criteria within the Allocation Policy.
Direct Let	Used in urgent situations where a Landlord directly allocates a property.
Eligibility	The term used to describe factors that match an applicant to a property. For example, the size of the household and the number of bed spaces in a property.
Housing Register	Is the list of all those registered with Shropshire HomePoint for affordable housing.

Key Worker	An essential public sector worker who may find it difficult to buy property in the area where they work.
Local Letting Plans	Used for a limited fixed period of time to achieve a wide variety of policy objectives and specifies how the eligibility for a property departs from the standard criteria within the Allocation Policy.
Mobility Schemes	Mobility Schemes are generally web-based organizations which enable affordable housing tenants to advertise their homes to swap with others across the UK. Please be aware that they may charge a fee for their services. HomePoint does not recommend or endorse any specific scheme, but does provide a list on it's website of the most well known.
Mutual Exchange	Mutual Exchanges take place when affordable housing tenants agree themselves they would like to swap their homes with each other. Permission must be given first from each of their Landlords.
Non-Statutory Homeless	A term that refers to homeless people or households to whom local housing authorities do not have a legal duty to make an offer of permanent housing.
Nomination	The term used when HomePoint provides a Landlord with the name and details of an applicant to a landlord for an offer of housing.
Registered Providers	Registered Providers of Social Housing include Local Authorities and Private Registered Providers of Social Housing (PRPSH). These are organizations that are registered by the Homes and Communities Agency (HCA) to provide affordable housing. The PRPSH's are often more commonly known as Housing Associations.
Sensitive Let	A departure from or additional eligibility criteria to the Allocation Policy. Used for specific properties in the best interests of the local community.
S. 21 Notice	A formal document giving 2 months notice from an Assured Shorthold Tenancy to vacate a property.

S.106 Agreement	Some properties may be restricted under agreements pursuant to S.106 of the Town and Country Planning Act 1990 (as amended), imposing conditions on who is able to bid, such as including a local connection requirement.
Shared Ownership	This scheme allows first time buyers and others (in unique circumstances) to buy a proportion of a new home and to pay rent on the remaining portion.
Shortlist	A list of applicants that have expressed an interest in a particular property advertised by HomePoint.
Shropshire HomePoint	The name of the Choice-Based Lettings Scheme in Shropshire.
Social / Affordable Housing	The term used for affordable accommodation owned or provided by a local council or Registered Provider. Please see Registered Providers definition.
Statutory Homeless	A term that refers to people or families to whom a local housing authority have a duty to make a permanent offer of housing.

Working in Partnership to meet Shropshire's Accommodation Needs

Shropshire HomePoint is a Choice-Based Accommodation Scheme responsible for operating the Shropshire Housing Register and advertises the majority of affordable homes in the county.

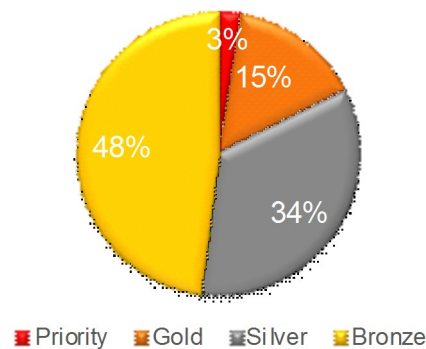
APPLICATION TOTALS BY BAND OVER 3 MONTHS

	01/12/2016	01/01/2017	01/02/2017
Priority Status	137	136	138
Gold Band	819	813	833
Silver Band	1,873	1,854	1,890
Bronze Band	2,476	2,462	2,636
Total	5,305	5,265	5,497

CURRENT APPLICATIONS BY BAND

Priority Status	138
Gold	833
Silver	1,890
Bronze	2,636

Total Waiting List
5,497



CURRENT MINIMUM NUMBER OF BEDROOMS REQUIRED

	Total	% of Total
1 Bedroom	2,763	50.26
2 Bedrooms	1,820	33.11
3 Bedrooms	748	13.61
4 Plus Bedrooms	166	3.02
Total	5,497	100.00

CURRENT KEY FACTS

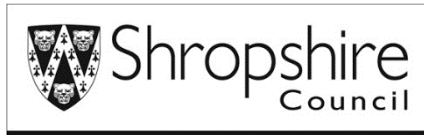
	Total	% of Total
Total No. of Wheelchair Users	66	1.20
Assessed as Requiring Level Access Accommodation	1,040	18.92
Assessed as Requiring Level Access Shower	803	14.61
Total No. of Registered Blind	42	0.76
BME Applicants	303	5.54
Moving On from Supported Housing	29	0.53
Assessed as Requiring Sheltered Housing	211	3.84
Exceptional Medical Need	17	0.31
High Medical Need	131	2.38
Standard Medical Need	622	11.32
Homeless Duty Accepted	122	2.22

CURRENT AGE OF MAIN APPLICANTS

	Total	% of Total
Under 18	22	0.40
18 to 25	925	16.82
26 to 35	1,446	26.30
36 to 45	1,008	18.34
46 to 55	787	14.32
56 to 65	598	10.88
66 to 75	445	8.10
76 Plus	266	4.84
Total	5,497	100.00%

PROPERTIES LET & SOLD 01/04/2015 TO 31/03/2016

	Total	% of Total
Priority Status	207	12.21
Gold Band	439	25.88
Silver Band	661	38.97
Bronze Band	389	22.94
Total	1,696	100.00%



<u>Committee and date</u>	<u>Item</u>
Environment & Services Scrutiny 6 th March 2017	<u>Public</u>

Street Works – West and Shire Permit Scheme

Responsible Officer Ffion Horton – Street Works Manager

Email: Ffion.horton@shropshire.gov.uk

Tel: 01743 258785

1. Summary

- 1.1 The following report presents the West and Shires Permit Scheme (WaSP) Annual Report (Appendix A) which details its performance in the first two years of operation by the Street Works team in Highways and Transport; April 2014 – March 2016 inclusive.
- 1.2 The service within this period has continued to strive for improvement and continued its enterprising philosophy that created the permit scheme and have set up regional standard processes, increased the scope of its compliance, introduced new income streams and streamlined its work streams to maximise efficiency and profitability.
- 1.3 This Committee will recall that at the Permit Scheme inception an update report back to this Committee was required. Previous update reports have been provided to scrutiny.
- 1.4 It is also a recommendation that this Committee will annually review the WaSP Annual Report and the Service as a whole.
- 1.5 The Committee will recall that the first two years of the service's performance was reviewed by the Committee in 2016 therefore this report hasn't touched on this.

2 Recommendations

- 2.1 That Environment & Services Scrutiny Committee scrutinise and comment on the content of the WaSP Annual Report and the teams performance.
- 2.2 That Environment & Services Scrutiny Committee receive an annual review on the service with particular emphasis on the permit scheme.
- 2.3 That Environment & Services Scrutiny Committee receive the WaSP Annual Report for year 3 and the performance of the service in 2016-2017 at a later date in 2017.

2.4 That Environment & Services Scrutiny Committee note the publication of the WaSP Annual Report.

REPORT

3. Risk Assessment and Opportunities Appraisal

3.1 The production of an annual report on the permit scheme is required under legislation and this report once published will deliver on that requirement subject to scrutiny and comment from the Environment & Services Scrutiny Committee.

3.2 While undertaking the review on the first two years of operation of the scheme the service took this as an opportunity to review and scrutinise the performance of the service, and this has highlighted a number of opportunities for development –

- a) **Dedicated resource to proactively manage the street works** and road occupancy element of development and growth sites throughout the county. This post is due to be recruited into before the summer.
- b) **More focus on improving utility performance.** There is now dedicated members of the team who will be proactively looking to improve the performance of utility companies, which should reduce the disruption to the network.
- c) The main risk to identify is that failure to publish the report will result in Shropshire Council breaching legislation.
- d) The report has highlighted that the performance of Shropshire Council Contractors and Consultants is lower than that of the utility companies, and with the new Contractor contract being developed there will be greater controls included to incentivise better performance, there remains however, more work needed to be done to improve performance of the Consultancy schemes run by Mouchel.

5. Streetworks Finance

5.1 A benefit of operating a permit scheme such as WaSP is that the cost of running the permit element (staff, equipment, software) can be reclaimed through the fees that each permit application generates.

5.2 Members should note that the remaining expenditure incurred by the Streetworks Team is covered by the other income generated by the service.

5.3 The below table specifically details the financial information of the first two years of the permit schemes operation. The report will detail each year's financial information separately.

	2014/15	2015/16
	£	£
Permit Income	284,610	580,095
Permit Team Costs	212,590	422,192
Transfer to Reserve	72,020	157,903
Cumulative Reserve Balance	72,020	229,923

2014/15

5.4 In the first year of operation there was 11,393 granted permit applications and this resulted in fees of £284,610 being recouped by Shropshire Council, at that time the cost of the service to run the scheme was £212,590.

2015/16

5.5. In the second year of running the scheme there was 13,261 granted permit applications and this resulted in fees of £580,095. The increase in the number of applications coincided in an increase in the size of the service (a restructure added 10 FTE's) as the increase of work had been forecasted and reacted to and this resulted in an increase in the costs of the team to £422,192.

Permit Reserve

5.6 As the above shows there has been more income than is spent by the authority in running the permit scheme. As the fee, level was set prior to the scheme being in operation it was anticipated that there would need to be a review of the permit fees following the first few years of running the scheme. Due to the restructures within the team since 2014, the fee review has not been undertaken yet as the costs of the service has fluctuated significantly.

5.7. Shropshire Council is not permitted to generate a long running surplus on the scheme and the legislation is clear. Regulations 29 – 32 of The Traffic Management Permit Scheme Regulations 2007 and their subsequent 2015 amendments detail the financial obligations of the authority not limited to;

- the maximum fee level,
- the inability to make a profit
- permitted costs and overheads.

5.8 The Statutory Guidance that was revised in 2015 by the Department of Transport and is stated below, in regards to the generation and application of the permit fees:

“The income from fees must not exceed the total allowable costs prescribed in the permit regulations. This balance can be achieved over several years. Allowable costs are limited to: the proportion of direct costs and overheads attributable to operating the scheme for undertakers, which are over and above the cost of the authority's co-ordination duty under NRSWA. This may include the costs related to permits, which may not always lead to a

permit being granted. Overheads can include: non-salary staff-related costs such as pensions and benefits, proportionate allocation of accommodation, central services and IT costs, as well as general administration and management for monitoring the permit system, KPIs and invoicing.”

5.9 The current amount in the reserves has been separately identified to ensure compliance. Following the report on year three of the scheme there is a scheduled fee review to ensure that the fee levels are correctly set – this will require consultation with the utility companies and other stakeholders.

5.10 Members are referred back to the initial report for permission to develop and implement a permit scheme which was presented to this Committee in October 2011 where the service stated that the authority could run a cost neutral scheme and provide a benefit to Shropshire and its residents in the process; this reports confirms that the service has delivered on that statement.

6. Performance of the Service

6.1. Approx. 10,000 days of network occupancy was saved annually in the first two years; this is achieved through reviewing each work application to ensure the duration granted is reasonable and doesn't prolong the time that the network is disrupted.

6.2. Within this period (April 2014 – March 2016) 9 phases of coring has been undertaken. This totalled 2466 individual cores being taken and of those 665(36.9%) were recorded as defective, meaning the Utility Company had to return to the make good the work. Without this testing the burden for the defective work would have been borne by Shropshire Council's Highways Team.

6.3. The WaSP working group which has a representative from each Council operating the scheme and each utility sector sat on it has been working to standardise the approach to permitting and compliance throughout the region. This has increased the impact of the measures put in place as it is regionally enforced and not just within the Shropshire road network.

List of Background Papers (This MUST be completed for all reports, but does not include items containing exempt or confidential information)

Street Works – Management of the Shropshire Council highway network –16 th March 2016
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Street Works Management of the Utility Companies on Shropshire's Highways – 3 rd October 2011
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Cabinet Member (Portfolio Holder)
--

Cllr Simon Jones

Local Member

All

Appendices

Appendix A - WaSP Performance & Evaluation Report Years 1&2

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Shropshire Council

West and Shires Permit Scheme

Performance & Evaluation Report

Years 1 & 2



Foreword from Simon Jones, Portfolio Holder for Highways and Transportation:



I'm pleased to present the final draft of the Permit Scheme Performance and Evaluation Report for years one (2014/15) and two (2015/16) of the operation of the West and Shires Permit Scheme.

We are very proud of what has been achieved in Shropshire during the first two years, and overall the report highlights some significant positive outcomes that represent real benefits to the people and businesses of Shropshire alike, for example:

- Reducing permit durations has equated to an overall saving of 10,000 days of highway occupation over the two years.
- Within the 10,000 days saved, an estimated 1500 collaborative activities took place, with as much as 3-4 days of occupation saved for each collaborative works.
- These saved days of highway occupation have resulted in massive savings to the local economy.
- The operation of the scheme has been cost neutral to Shropshire Council, as all costs have been covered by the permit fees income.

As always, we will continue to strive for further improvements and developments and are aware that there have been some data quality and reporting issues (that are fully covered within the report) as the new systems and procedures have bedded in. We are already working on ways to improve this for the year 3 report and are confident that we will continue to see improvements in this area.

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1 Executive Summary

The management of road and street works is vital when delivering or repairing essential utility services and facilitating much needed maintenance and improvements to the road network itself, thus ensuring that the infrastructure remains in a fit and proper state. However, these works also cause significant delay and disruption to the road network and frustration to road users, businesses and residents.

The development of the West and Shires Permit Scheme (WaSP) was led by Shropshire Council, who were also the first authority in the West Midlands to implement it after an eighteen-month process that involved significant contributions from statutory undertakers and neighbouring highway authorities.

The introduction of the WaSP scheme in Shropshire required a significant transition for everyone involved, requiring adaptation to the new procedures and ways of working which set the foundation of how the scheme would be managed. Shropshire Council has been fully committed in ensuring that the main objectives of the WaSP scheme are met and adhered to.

The new permitting rules allow for greater control over works taking place on the network, with Shropshire Council's network management and coordination team (the Permit Authority) able to refuse consent for works considered to have the potential to cause unnecessary disruption. The new powers also allow the authority to agree conditions with the activity promoter to ensure that works are expedited and are undertaken in the most efficient manner.

The increased discipline required under permitting has improved existing processes within works promoter organisations, which has enhanced the quality of information relating to proposed works received by the permit authority. The permitting rules have also served to highlight the importance of providing early and detailed information concerning planned works to assist in the coordination process.

The permit authority has made effective use of the new powers and have worked closely with the utility companies and their own highway authority promoters to ensure that those powers have been applied in a reasonable and competent manner. The combined effect of these powers has contributed to improved network coordination and reduced disruption, key to Shropshire Council fulfilling its Network Management Duty.

This report evaluates the progress of the Shropshire Permit Scheme in meeting both the stated objectives and parity of treatment of both local authority highway works (Works for Road Purposes) which are undertaken by the highway authority and statutory undertaker works (utility company 'street works') for financial years 2014/15 and 2015/16.

In its first two years of operation, 37,989 permit applications were received with 24,654 having been granted and 12,902 refused for varying reasons.

While there are no significant trends, the scheme demonstrates some successful outcomes including:

- A clear reduction in overall works activity occupation of the highway through the assessment of permit durations and a significant improvement in identifying and encouraging collaboration between works promoters, with an increase in the number of

collaborative works. Together these have resulted in approximately 10,000 fewer days of occupation than the equivalent number of activities might have led too in 2013/14.

- The overall days saved represents a direct financial benefit to the regional economy in the region of £2m+ in terms of cost of disruption from street and road works.
- Cost neutral resourcing of a network management team, including coordinators, inspectors, network managers and an economic development officer.

In addition to the measured benefits, there are also a number of unmeasured benefits, including:

- An increased discipline amongst highway authority promoters recording their works and following statutory requirements.
- The need to book road space and undertake the activity within a specified time-period has focused attention on improved planning and activity scheduling by all works promoters.
- A shift in approach to large scale works on the highway, growth schemes and development opportunities; to provide a more proactive resource and assistance to these activities from conception to completion.
- Better quality information available to make considered coordination decisions.
- Improved public perception of the way in which activities were planned and undertaken.
- Improved relationships between Shropshire Council and all activity promoters.

The overall performance of the Shropshire scheme for financial years 2014/15 and 2015/16 has been successful in meeting its wider objectives but there is still scope for improvement both in terms of operational performance and also in the recording and analysis of data.

In 2017 Shropshire Council intends to review the street network (road categories) and analyse permit fee levels. This is allowed for in the permit scheme regulations, in order to ensure that the permit scheme operates on a 'cost neutral' basis for the Council while delivering the service effectively and efficiently.

2 Introduction

2.1 Shropshire Council road network

Shropshire is England's largest primarily rural county council. Sparsely populated, it has 5.5 thousand kilometres of road network, of which less than 24% comprises motorway, A and B roads.

Although the urban environment can be particularly challenging in achieving effective overall network management due to the numbers of people and amount of traffic, increased evidence suggests that the effects of disruption felt in rural areas are equally frustrating and costly to residents, road users and rural business.

Shropshire's economy is dominated by agriculture. In rural Shropshire farmland and farm business vehicles account for the majority of traffic across the network. Rural business can be hindered by the distances involved in travel between urban areas and poor transport links. Shropshire Council is committed to wider economic development and recognises that a well-managed network capable of high-speed communication and moving people and goods efficiently encourages the growth of business.

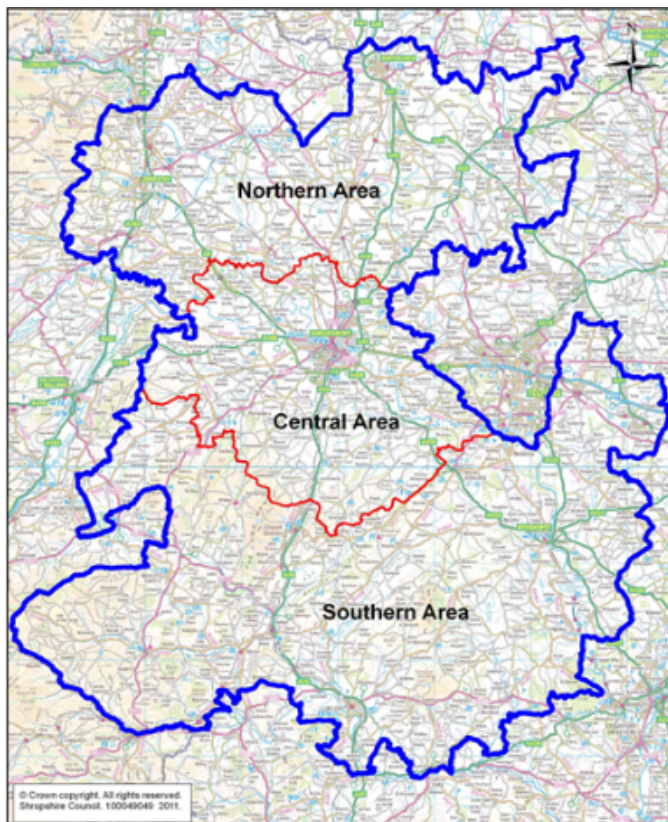
Shropshire is a county of national importance due to its cultural and historical attractions. From areas of outstanding natural beauty located around the county, two UNESCO World Heritage sites, to a plethora of attractions including archaeological sites, castles and stately homes, Shropshire has a considerable number of popular tourist attractions.

There is a considerable volume of traffic carrying tourists into or through the County. The effective management of the highway network is vital to stimulating further growth of tourism businesses,

which has led to increased visitor numbers, ultimately benefiting other businesses and promoted wider infrastructure improvements.

Shropshire's Local Transport Plan (LTP) 2011-2026 (and the associated implementation plans) sets out Shropshire's transport objectives. Implementation of the permit scheme has supported the overall strategy to help achieve the wider aims.

The highway network is an essential part of the local economy and its effective management ensures that everyone benefits, from improvements in safety to all road users, journey reliability and decreased environmental impacts. A well-managed network also aids local regeneration projects and helps improve local transport further promoting the local economy.



2.2 Objectives of the WaSP Scheme

The objectives of West and Shires Permit Scheme are laid out in Section 2.3 of the Scheme document.

Objective	How the objective has been met
To increase the efficient running of the highway network by minimising the disruption and inconvenience caused by road works and other highway events and activities through proactive management of activities on the highway	Significant savings in occupation from activities through the use of conditions to manage activities, coordinating works to avoid clashes, seeking collaborative opportunities and challenging durations.
To improve the quality and timeliness of information received from all activity promoters to increase and improve the publicly available data for integration into the Council-wide travel information.	Use of permit refusals to ensure information is accurate. Use of Fixed Penalty Notices to drive quality of information and its timely submission. Encourage the use of non-statutory cancellation notices. Works information synchronized to roadworks.org for visibility to the public.
To encourage a proactive approach to planning and undertaking of works on the highway from promoters and thus lessen the impact of activities on road users	Greater level of planning to ensure permit contains all the necessary information required in order to grant the permit. Careful use of conditions to ensure works are undertaken at suitable times. Encourage first time permanent reinstatements or interim reinstatements where this benefits the network.
To protect the structure of the street and the integrity of the apparatus in it	Greater number of Major works are now planned to ensure 'Section 58/58a' protection of the asset. More comprehensive inspection regime at 'works in progress' stage, and coring programme in place to look at wider reinstatement and material issues.
To ensure safety of those using the street and those working on activities that fall under the Scheme, with particular emphasis on people with disabilities	Increased number of site inspections have helped to drive focus on best practice, compliance and safety to all road users. Closer assessment and coordination process allows better consideration to be given to modes of transport other than vehicles, and a focus on elements such as those people with disabilities and young children.
To ensure parity of treatment for all activity promoters particularly between statutory undertakers and highway authority works and activities working on activities that fall under the Scheme.	Performance Indicators show both highway authority and statutory undertaker works are assessed in an equal manner and conditions applied to both in a considered way. Introduction of wider Council processes to include other activities that do not fall under the scheme (highway events, developments, Highways Act licenced activities etc.).

The successful performance of the scheme has brought a number of unquantified subsidiary benefits. These include:

- maximising the safe and efficient use of road space;
- providing reliable journey times;
- improving the resilience of the network;
- minimising inconvenience to all road users; and
- improving public satisfaction.

2.3 Shropshire Council's Permit Scheme evaluation

The Traffic Management Act 2004 (TMA), Part 3 Sections 32 to 39, and the Regulations make provision for Permit Schemes to be introduced in England. The West and Shires Permit Scheme was adopted by Shropshire Council on 1st April 2014 and has been revised in October 2015 to reflect the requirements introduced in the 2015 permit scheme regulation amendments¹.

This report sets out an overview of the scheme's operational performance in its first two years. The report provides analysis of the available data in relation to street works and road works activities in Shropshire Council for the primary purpose of

- demonstrating the introduction of the WaSP scheme has and will continue to provide the benefits stated in the objectives; and
- outlining any changes required by Shropshire Council to improve the operation of the scheme.

Data has been collected, collated and presented in either graphical or tabulated format for each of the defined KPIs. Commentary is also provided to draw out and expand on noteworthy trends in the data.

A number of case studies are also provided to showcase some examples of the successes of the scheme in Shropshire.

¹ The Traffic Management Permit Scheme (England) (Amendment) Regulations 2015, 2015/958

3 Fees, Costs & Benefits

Shropshire Council has set their fee levels in accordance with the Department for Transport and within the maximum fee levels specified in Regulation 30.

3.1 Permit Fees

A charge is raised only once an application has been assessed and the permit subsequently granted. Applications that are refused, or have modification requests, are not charged. This consideration is taken into account when preparing the fee model. Permits that are granted but subsequently cancelled are still charged; it is considered a disincentive for promoters, which should encourage better planning.

The levels set reflect Shropshire Council's commitment to keeping charges proportionate to the level of work done in issuing a permit. Therefore, there is a zero charge on Minor, Standard and Immediate activities on non-strategically significant streets. This ensures Shropshire Council are able to operate the scheme in a rigorous and effective manner, focussing on more significant activities and those taking place on streets where disruption is likely to be highest.

There is a charge for Permit Variations on all streets. This reflects the added work required to manage changed situations and is an incentive for activity promoters to plan and submit permits accurately in the first instance.

Activity type	Charge on strategically significant streets	Charge on non-strategically significant streets
Provisional Advance Authorisation	£105	£75
Major activities (over 10 days duration OR requiring a TTRO)	£240	£150
Major activities (4 to 10 days duration)	£130	£75
Major activities (up to 3 days duration)	£65	£45
Standard activities	£130	£0
Minor activities	£64	£0
Immediate activities	£60	£0
Permit variation	£45	£35

In addition there are a number of discounts available to help promote improvements in working practice that help reduce the impact or occupation of activities and to reflect the desire of the Council not to penalise economic growth and development.

Discount	Discount value
Where the Permit Authority has to vary or revoke a permit through no fault of the activity promoter	100%
For the maintenance of fire hydrants carried out by the fire service or a contractor designated by the fire service to carry out this work on their behalf	100%
Where the works are Diversionary Works as a result of a Major Highway or Bridge works, initiated by the Highway Authority, as described in Section 86 of NRSWA.	100%
Where promoters work in a collaborative way (sharing trench or road space or traffic management)	At least 50%
Multiple applications for a single activity (e.g. works continue around a corner into another street)	At least 50%
Working fully outside traffic sensitive times	At least 50%
Innovative working techniques that can be shown to substantially reduce disruption or occupation	At least 50%
Economic development, including new connections or new major infrastructure works	100%
Other situations where benefit has been gained through the positive and proactive or pre-emptive actions of a statutory undertaker	At least 50%

3.2 Economic appraisal

The quantitative economic analysis is based on the use of QUADRO (QUEues And Delays at ROadworks) modelling to assess the potential impact of road works and the positive affect a permit scheme could have on these works. These models used traffic data together with road works impact and duration data for a selection of representative works sites. The cost/benefit analysis undertaken as part of the business case for implementing a permit scheme in Shropshire produced a high positive benefit of 5.84 within its primary scenario. Almost all the additional sensitivity tests also produced high benefits (>3.2 in eight out of nine cases). There is no reason to suggest that these figures have changed significantly in the course of two years.

3.3 Future fee levels

Following review of the Local Street Gazetteer and its Associated Street Data and road type classifications, the Council will undertake a full re-evaluation of the fee profile to ensure the cost neutral requirement of the service delivery.

4 Performance Indicators

The WaSP scheme was written with a number of performance indicators set out within the scheme itself. These included four Key Performance Indicators defined in the regulations and with the specific purpose of showing parity between how different activities and promoters are treated, and seven operational measures which were developed specifically for the scheme to help to quantify the key objectives.

In October 2015 the permit scheme regulations were amended and as part of this process new advice on performance indicators was published as part of the statutory guidance² and while some Key Performance Indicators were removed as a statutory guidance, other Traffic Performance Indicators were added.

For the purposes of ease of reporting, to help ensure some sense of continuity, and to try to provide consistency in the data, this report will describe the performance indicators as originally developed, but will use the more recent TPIs where there is appropriate interchange.

4.1 Specific considerations

4.1.1 Permit Modifications

Permit Modification Requests allow the network coordinators to refuse an application (normally for relatively minor errors in content) but allows the promoter to resubmit it with corrections and meet their original proposed dates for the activity. This relies on prompt resubmission and assessment of the applications. This transaction is very beneficial to permit schemes; a refusal normally means that the promoter has to re-plan and resubmit their permit application with different dates in order to meet the application period requirements (this is a statutory timeline between submitting an application and when works can start). A PMR gets around the delays and administrative burdens of a straight refusal.

4.1.2 Permit team changes

There have been several changes to the structure of the network management team over the two years that is covered by this report, and these can be seen clearly in some of the performance results.

In the second half of the first year, the Permit Authority introduced a new post in the coordination team to deal solely with highway authority permits. This enabled a close working relationship to be developed which helped the highway authority side considerably – a single point of contact and someone who was able to provide a more flexible approach to the coordination function that had not been possible previously.

The inspection team processes were changed mid-2014 and then a new team of inspectors were recruited in May 2015 and trained to undertake inspections in a manner that concentrated on the inspection and compliance on site. Again, it is possible to identify these changes in some of the results shown below.

² Statutory Guidance for Highway Authority Permit Schemes, October 2015

4.1.3 EToN software

All authorities and statutory undertakers in the industry have notice management systems (NMS) which use an industry developed XML schema called the Electronic Transfer of Notices (EToN), to transfer of information, allowing authorities and promoters to meet their basic regulatory requirements.

Prior to the scheme's implementation Shropshire Council used a system called Confirm (developed by Pitney Bowes). In June 2015, the database was moved to a new platform called 'Mayrise' (developed by Yotta).

Both systems are fully EToN compliant. However, their databases are structured very differently and it was apparent when data was transferred from Confirm to Mayrise that some elements of the data could not be reassigned or used. It is also well known in the industry that different SWRs, while compliant with the EToN Technical Specification (ETS), do interpret some things differently or (dis)allow certain actions.

4.1.4 Reporting problems

Prior to the implementation of the WaSP scheme, reports were generated to gather valuable data for the development of the scheme to aid analysis. As the WaSP scheme developed, it has become apparent that there are more difficulties in collating the required performance data than originally anticipated; neither system is able to produce all of the relevant information for both the nationally agreed Key Performance Indicators (KPIs) and the Operational Measures (OMs) that the scheme requires.

It also became apparent that both systems used by Shropshire (Confirm and Mayrise) had slightly different rule sets about how the information was extracted and these difficulties have affected Shropshire's ability to accurately provide the KPIs and associated measures. Every effort has been made to ensure that all of the data has been obtained in as consistent a format as possible.

4.1.5 Data collection

Where possible, data for this evaluation has been collated from Mayrise through built-in or bespoke reports for both highway authority and statutory undertaker data. This has been done to provide some consistency in the manner of calculation. In some cases it has not been possible to extract data from Mayrise, in which case data is either missing, or where practicable (for year 1 mainly) it has been replaced with the data available from Confirm.

In most indicators that follow, data from January 2015 to June 2015 is not available. This is due to the changeover period from Confirm to Mayrise and a problem with data transfer and collection.

Throughout this report, the financial year April 2014 to March 2015 is referenced as Year 1, while 2015/16 is indicated Year 2.

The sections below describe summary or high level figures and analysis. The original data used to generate the charts and information is available separately as a supplement to this report.

4.2 KPI 1 - The number of permits and permit variation applications

The introduction of the WaSP scheme provided Shropshire Council, as the Permit Authority, with the powers to Grant or Refuse an application to work on the public highway. There are specific

timescales in which network coordinators must assess and respond to permit applications. If action is not taken within this time the permit becomes 'Deemed', thereby granted by default.

KPI1 provides the number of permits and permit variation applications received, the number granted and the number refused, and is shown as:

- The total number of permit and permit variation applications received, excluding any permit applications that are cancelled prior to assessment
- The number of applications granted as a percentage of the total applications made
- The number of applications refused as a percentage of the total applications made

4.2.1 KPI 1 - Results

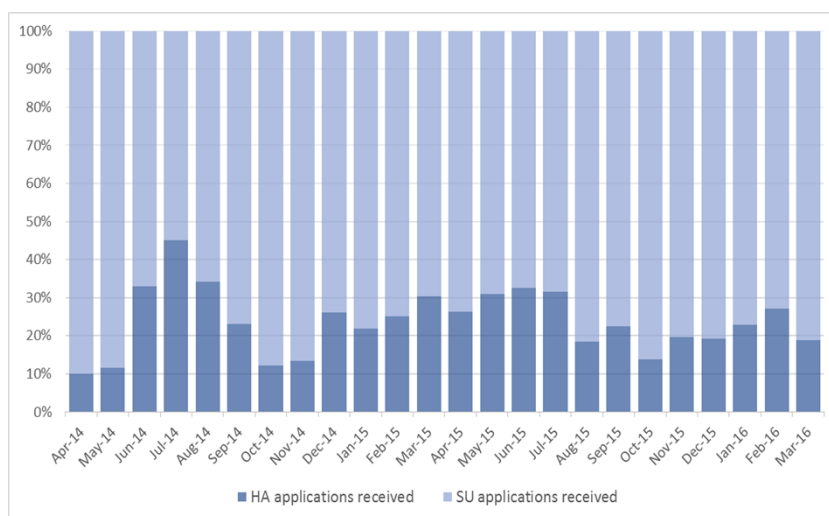
The data below is obtained by running the Mayrise report "KPI1 Permit and Permit Variations". It includes permit applications and variation applications that were granted, refused or permit modification requests. It includes any granted permits that are subsequently cancelled.

Table 4.2a: Total number of permit applications and responses

	Year 1 2014/15	Year 2 2015/16
Permit and Variation Applications Received	18,374	19,615
Granted	11,393 (62%)	13,261 (68%)
Refused	6,985 (38%)	5,917 (32%)

The chart below compares the percentage of permit applications received from highway authority and statutory undertaker. On average, highway authority permit applications ranged between 10-40% of the total permit applications received for Year 1 and 15-35% in year 2.

Chart 4.2a: Proportion of permit applications received from highway authority and Statutory Undertakers (Year 1 and 2 combined)



The charts below shows the number of permits granted in relation to highway authority and Statutory Undertaker applications.

Chart 4.2b: number applications received and total permits granted (highway authority and Statutory Undertakers) (year 1)

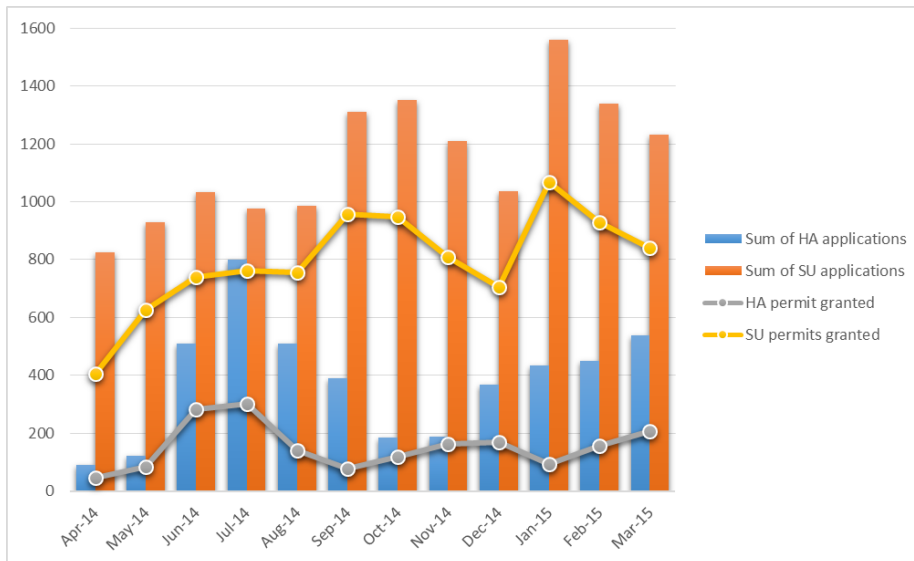
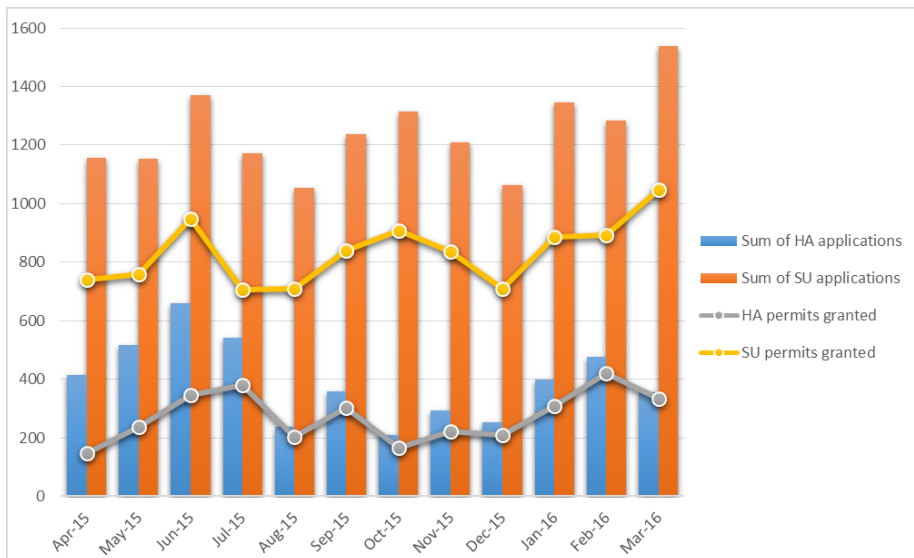


Chart 4.2c: number applications received and total permits granted (highway authority and Statutory Undertakers) (year 2)

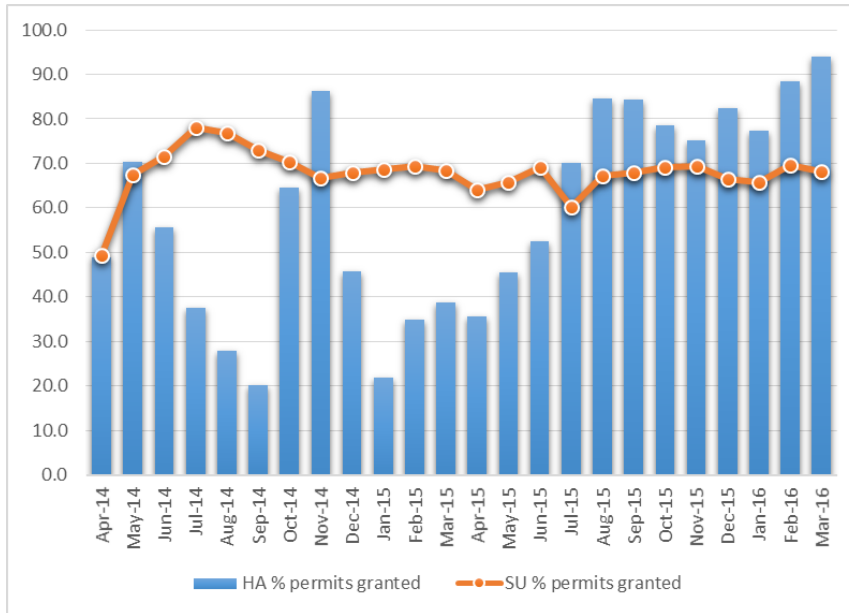


The following must be noted in relation to this data

- Each application has a statutory response period; the number of applications received in any one period would not necessarily correspond to the total permits granted plus applications refused within that same period. In other words, a permit application received in one period may be responded to within the next period.
- The 'refused' response includes those applications where a permit modification request is submitted instead of a straight refusal.
- The report includes applications that are not assessed and subsequently 'deem'.

The following chart provides a biennial comparator of the percentage of permits granted for highway authority and statutory undertaker applications.

Chart 4.2d: Highway authority and Statutory Undertaker: comparison between the percentages of permits granted (Years 1 and 2)



4.2.2 KPI 1 - Analysis

Number of Permit Applications

In both years, on average the highway authority generated around 25% of applications and the statutory undertakers 75%.

The number of applications from the highway authority in year 1 varied significantly. The authority term contractor underwent significant change processes at this time and the step up from 'noticing' to 'permitting' was considerable. It was apparent that a number of works types were not being correctly submitted prior to permitting, and the Permit Authority undertook extensive work to help the contractor develop new processes.

In the second half of year 1 the Permit Authority introduced a new post in the coordination team to deal solely with highway authority permits. The result of this change can be seen not only in year 2 application volumes (which have steadied despite similar amounts of contracted work), but also in the significant rise in the percentage of application subsequently granted (charts 4.2c and 4.2d).

Permits Granted and Refused

In comparison to the numbers of permit applications received, on average 62% of applications were granted in year 1 compared to 68% in year 2. It was expected that the number of refusals during year 1 (38%) would be greater than in year 2 (32%) because of necessary education and maturity within the application process by both the works promoters and Shropshire's network coordinators. OM4 (Chapter 6.4.1) provides further analysis of the reasons for refusals, but primarily applications are refused for reasons including:

- Incorrect use of conditions by promoters

- Incorrect, missing or conflicting information within the permit application
- Challenges to the proposed works duration if considered to be excessive
- The activity conflicts in some way with another activity nearby

This figure includes the permit modification request (PMR) response. These are technically treated as a refusal, although it allows the promoter to resubmit their application with minor amendments and keep their proposed works dates. The use of PMR is actually a beneficial process to enable works to go-ahead as planned while allowing the authority and promoter to work quickly to improve more minor elements of data quality or detail.

It is noticeable that grant rate for the highway authority in the last few months of year 2 are significantly higher than statutory undertakers. This is almost certainly because of the dedicated resource that the Permit Authority is using for these activities and the close working relationship that means many activities (particularly larger schemes) are being discussed in detail prior to the permit being submitted, which ensures expectations on the content of the application can be met by the promoter.

The refusal data continues to be analysed and discussed in Shropshire to encourage better data and planning and therefore reduce the rates year on year. It is anticipated that the National Response codes (discussed in Section 6.4) along with the work being undertaken with statutory undertakers regarding identifying and resolving permit errors will result in a reduction in refusals and an increase in granted permits.

4.3 KPI 2 - The number of conditions applied by condition type

The WaSP scheme allows permit conditions to be attached to a permit. Conditions are applied by the works promoter either through their own volition or as requested by Shropshire Council's coordination team.

Up until October 2015, each permit scheme in the county used their own set of permit conditions. From October 2015, there were changes in the regulations that introduced a statutory set of conditions³ to bring all schemes into alignment with the way conditions were used. Appendix B provides a summary of these conditions.

The EToN Technical Specification specifies thirteen 'EToN condition type codes' that relate to the kinds of condition that might be applied under the regulations: traffic space, timing, publicity and consultation, environmental etc. There may be several conditions under each condition type that can be applied.

There are three conditions that are 'standard' and apply to every permit in all cases; it is not necessary to select these conditions types or include the condition text. These are in summary

1. Site must display the permit number at all times (NCT11a - Publicity)
2. The activity will only take place between the permit estimated start and end date on a Traffic Sensitive street (NCT1a - Date constraint)
3. The activity will only take place between the permit start and end date allowing for a validity period which allows works to start and end later on non-Traffic Sensitive street (NCT1b - Date constraint)

KPI 2 measures the number of conditions applied to permits and permit variations and shows:

³ Statutory Guidance for Highway Authority Permit Schemes – Permit Scheme Conditions (March 2015) (DfT)

- The number of permits granted per period
- The number of EToN condition types applied
- The number of each type being shown as a percentage of the total permits issued

4.3.1 KPI 2 - Results

The data was gathered from Mayrise using the report “KPI2 – permit application conditions”. The report counts the EToN condition type selections on each permit, not use of individual permit conditions themselves.

This data can be shown many ways. It has been decided to use a form of colour map to show the proportional contribution of each condition type per month, as the actual figures are not necessarily useful on their own; it is of more value to visualize general trends and use of their overall ongoing application.

The charts below show the proportional percentage of permit conditions applied against permits in relation to works for road purposes and works undertaken by statutory undertakers based on the thirteen standard EToN condition types.

Chart 4.3a: Highway Authority: percentage of condition types used for granted permits (years 1 and 2)

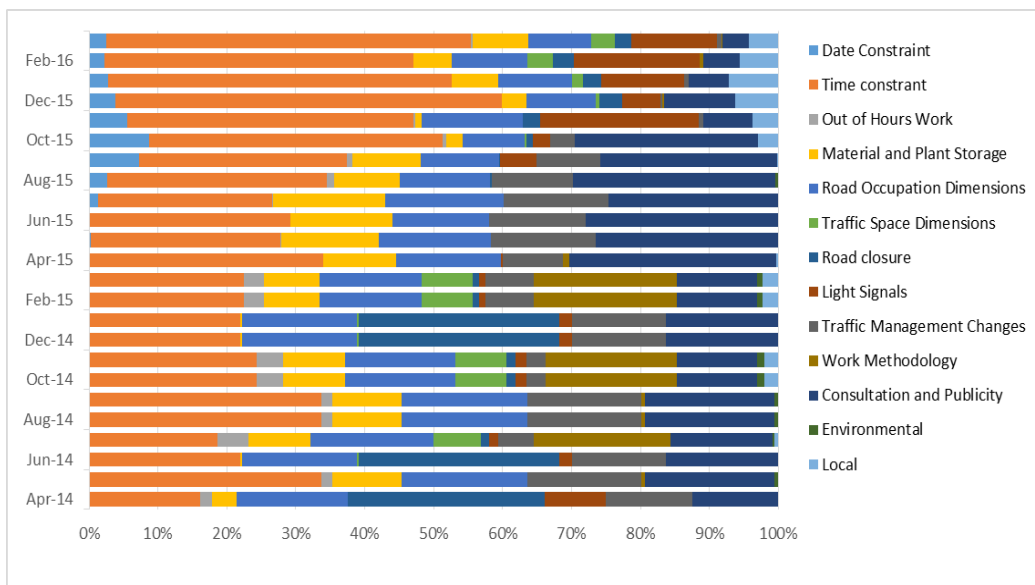
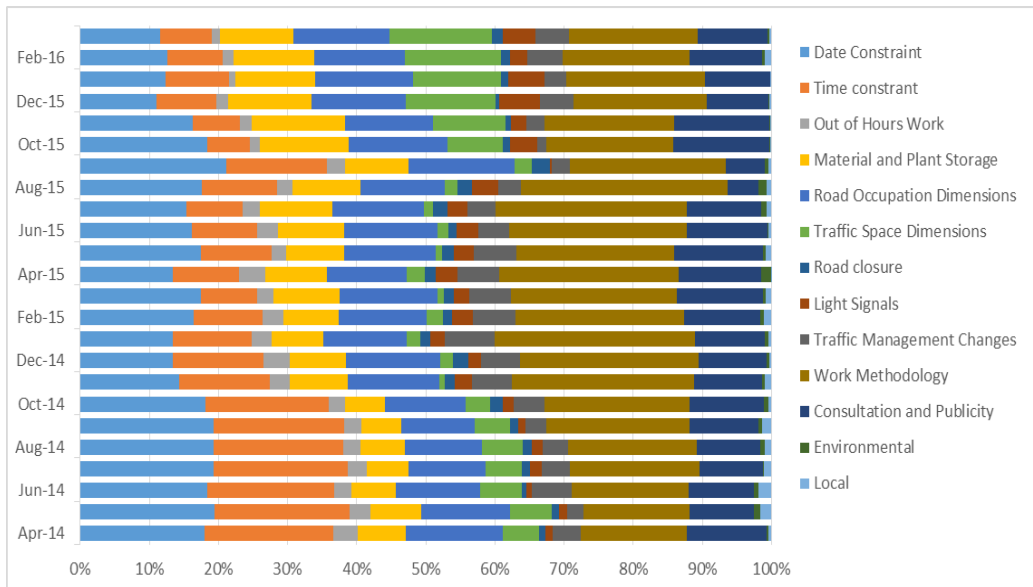
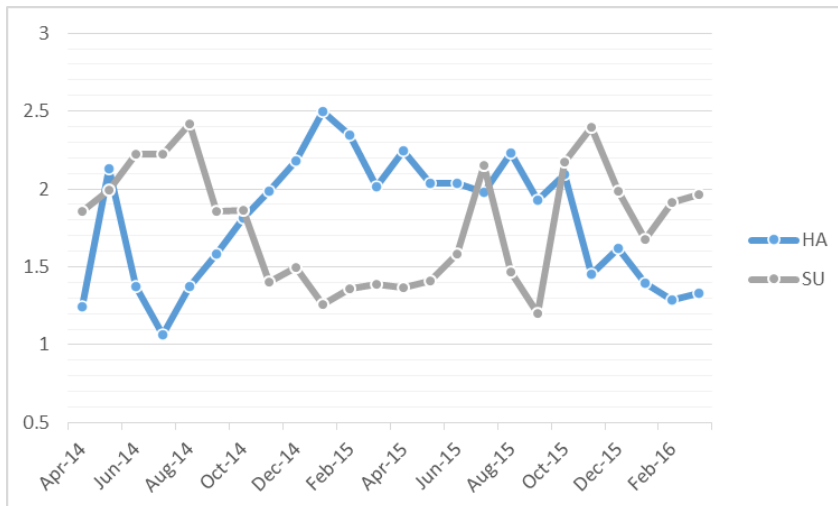


Chart 4.3b: Statutory Undertakers: percentage of condition types used for granted permits (years 1 and 2)



The chart below breaks down the data to show on average how many condition types are applied per permit. It should be remembered that some condition types may have more than one possible condition and so this chart does not necessarily show the actual number of conditions applied.

Chart 4.3c: Highway Authority and Statutory Undertakers: Average numbers of condition types applied per granted permit (years 1 and 2)



4.3.2 KPI 2 - Analysis

The application of conditions is considered as one of the key powers provided by a permit scheme to help deliver the expected objectives and benefits.

The need for consultation and publicity is inherent in any major scheme. For the highway authority, the beginning of the year sees the bulk of the surface dressing programme, which is difficult to manage and is very weather dependent. There is a high expectation that these kinds of activity are

properly publicised including letter drops and advance signage. This trend is clearly seen in the higher proportion of activities requiring this condition type at those times of year. For statutory undertakers, publicity or consultation is normally only used on major projects or those that have significant impact on a local area.

Time constraints were also used for a large proportion of the permits over both years. This is not unusual; the highway authority contractors are probably much more aware of Traffic Sensitive times since there is a contractual demand to work outside sensitive time as far as possible. They are able to adjust their working times more easily because of the nature of their works, particularly reactive or responsive repairs are generally only a few hours or less in duration and so these condition types are used typically in Traffic Sensitive locations to limit the activity to periods outside peak or traffic sensitive times.

The statutory undertaker chart show a much more even spread of conditions. There is a high use of the date constraint type because many promoters will include one of the standard conditions (NCT1a/b) on their permits although this is not necessary. This is also likely to be the reason for the consistent use of the consultation and publicity type, which reflects the other standard condition (NCT11a) for display of permit number on site.

For the statutory undertaker, the use of a time constraint is very typical to try to ensure that works lasting several days are planned suitably to avoid significant times where no activity takes place on site – so as well as the standard conditions, typically this type is applied to ensure works only start or end on certain days. Anecdotal comments from the coordination teams suggest that this is a condition they have had to ‘impose’ in the past. It is hoped that as the scheme progresses, statutory undertaker become more familiar with the expectations and objectives of the scheme and can expect this condition to be imposed less frequently as works are planned appropriately.

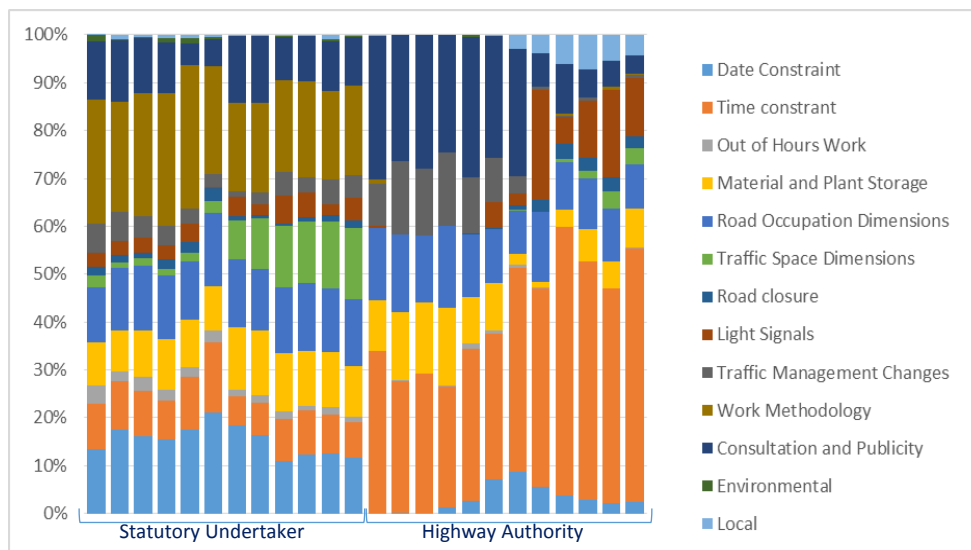
The need of the Permit Authority to understand the works methodology is important for statutory undertaker activities, hence the high rate of use. Often methodologies can affect the duration, temporary traffic management and overall impact of a site and so it can be key to understanding the scope of the works. Changes to a methodology can cause significant delays or disruption, particularly in the case of major or even standard works.

There was increasing use of traffic space dimensions and light signals types around October 2015 for both promoters; this is accounted for by the new statutory guidance which introduced a greater expectation on providing this information as part of the permit.

Chart 4.3c shows the average number of condition types applied to granted permits each month. For both promoters over two years this averages 1.8 although the figure varies significantly each month. The particularly noteworthy movement are highway authority works in the second half of year 1 where the introduction of the specialist coordinator post for these works it is clear that there was an emphasis on making sure the right conditions were being applied.

This indicator was originally produced as a parity KPI. Therefore, it makes sense to consider a comparison between promoters.

Chart 4.3d: Statutory Undertakers and Highway Authority: comparison of proportional use of condition types used (year 2)



In chart 4.3d only year 2 data has been used to show that the use of conditions varied significantly between promoters.

Conditions are clearly applied and assessed for both promoters. Despite the obvious differences, there is no evidence to suggest that one condition is being overly applied to another. The graphs also demonstrate that conditions are not being applied more robustly to utility work in favour of highway works, but rather the Permit Authority is acknowledging the differing kinds of work and resultant pressures put on the network. The expectation is every site requires its own particular conditions to suit the location and works. This shows that a consistent level of scrutiny and intervention is being undertaken by Shropshire Council on both types of works.

4.4 KPI 3 - The number of approved revised durations

Also known as “duration extensions”, these are an increase in the agreed permit duration, and therefore in most cases the Section 74 ‘reasonable period’.

Within the constraints set out in the WaSP scheme, works promoters may request an extension to their permit if they are responding to a genuine and unforeseen engineering difficulty on the ground. If Shropshire Council believe the reason for an extension is spurious, for instance due to poor planning or works management, then they may refuse the duration variation or extension to the reasonable period.

Extensions can have a significant impact on the network; an activity that was the subject of consultation or publicity can cause substantial disruption or nuisance to those people who are affected. Where the temporary traffic management is considerable then an extension may add significantly to traffic congestion or disruption. In addition, extensions are often required because of poor planning. For example, works may be complete, but materials or plant remains on site. All of these situations are an unnecessary occupation and inconvenience.

Identifying and controlling extensions support the objectives of WaSP to reduce unnecessary occupation and disruption.

Extension requests are considered individually on their own merits by Shropshire Council, who will grant an extension if the reasons are legitimate (genuine engineering difficulties met) and if the network allows it (i.e. no conflict with other activities etc.).

The measure is shown as:

- the total number of permit and permit variation applications made
- the number of revised duration requests as a percentage of total applications made
- the number of agreed revised durations as a percentage of requests made

4.4.1 KPI 3 - Results

Both years' data for statutory undertakers is taken from the Mayrise report "KPI3 Approved permit extensions". The highway authority data for both years is manually transcribed from reports originally run from Confirm.

The charts below show the percentage of permits or variations granted with a revised duration request, and the subsequent percentage of the requests that were then approved.

Chart 4.4a: Statutory Undertakers: percentage of permits with revised duration requests and percentage subsequently approved (Year 1&2)

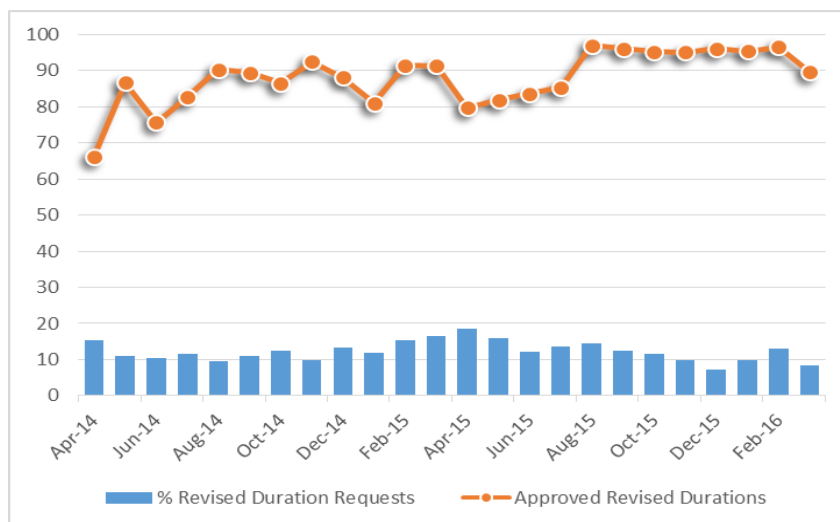


Chart 4.4b: Highway Authority: percentage of permits with revised duration requests and percentage subsequently approved (Year 1&2)

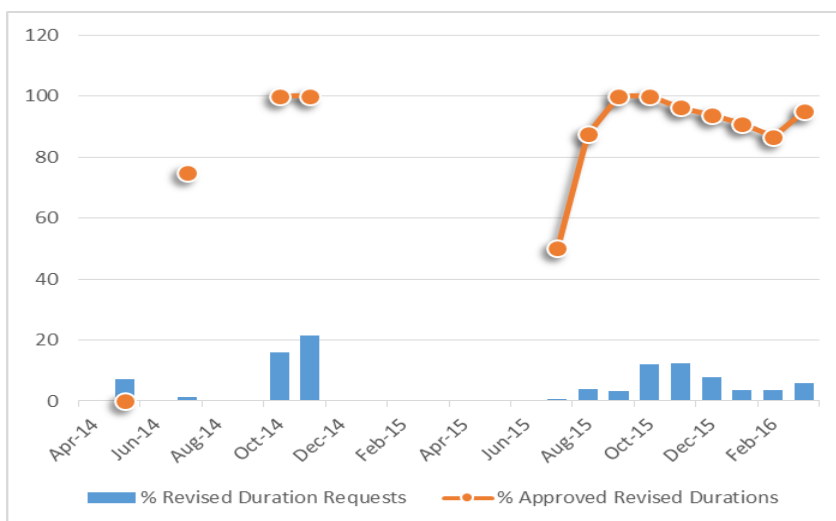
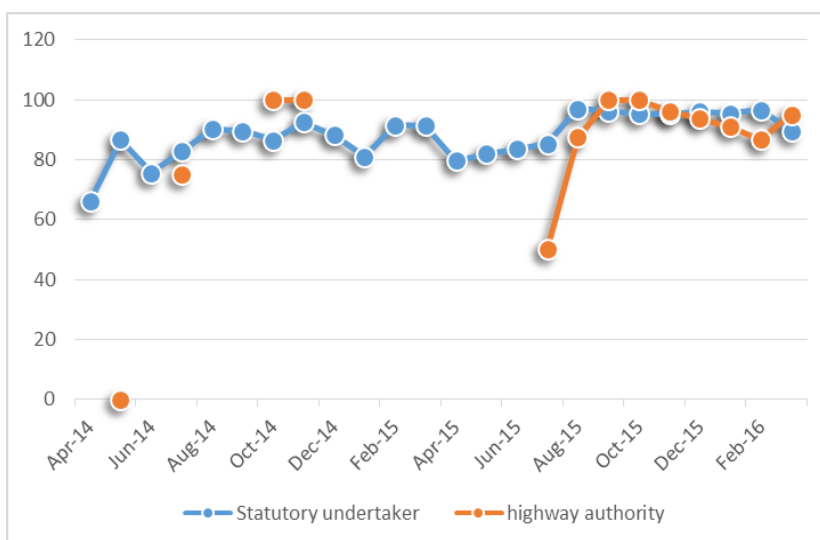


Chart 4.4c: Statutory Undertakers and Highway Authority: comparison of percentage of approved duration extension requests (year 1 and 2)



Shropshire Council have identified a number of problems with the report from Mayrise.

- While the principal of this Mayrise report using the EToN notification type 0510 'Duration Variation Application' is appropriate to some extent, this kind of variation is only applicable when works are in progress.
- There is also the question over exactly how this report deals with the conflict between permit durations and the section 74 'reasonable period'. These two separate pieces of (respectively) TMA and NRSWA legislation must be used together when an extension is required. If Shropshire Council do not agree that the reasons for the extension request are valid, but that the best course is to allow the works to continue until completion where possible, then the permit extension will be granted, but the section 74 duration (the 'reasonable period') will be amended back to the original end date. This will affect the approved duration variations

4.4.2 KPI3 Analysis

Identifying and controlling instances of approved extensions support the objectives of WaSP to reduce unnecessary occupation. It should also be born in mind that the reasons for requiring extensions will vary considerably between promoters and contractors and the kinds of works being undertaken. The above data shows that largely to be the case.

statutory undertaker requests have been consistent throughout the two years, averaging about 12.3% of granted permits per month, of which 88% are agreed. This is unsurprising as the process is a common one in the industry. Most permit authorities and statutory undertakers have well developed systems to deal with these requests, including methods of inspection and questioning

There are a number of operational factors that justify the need for a duration extension - often a result of the need for additional time to complete fault-finding and mitigation for emergency works, such as leak detection and fixes for statutory undertakers. Highway authority works often need extensions for either weather dependent activities (resurfacing or surface dressing) or where resources need moving around at short notice to deal with other situations (for instance in winter to deal with gritting or other winter maintenance duties). Comparing percentage approval rates (since this is a parity KPI) shows that there is no obvious tendency to agree either promoter group more than the other, showing that Shropshire Council consider each request individually on their merits without bias.

4.5 KPI 4 - The number of occurrences of reducing the application period

Also known as “early starts”, these are a reduction to the minimum notice period as set out in regulations and shown in table 1, section 7.1 of the Scheme document.

Adherence to the correct minimum lead times for a permit application (or to vary a permit) is essential to ensure effective coordination of works and to provide opportunities for collaboration between works promoters. The visibility of proposed works is also vital to control the impact of works through increased awareness and subsequent journey planning.

Early Start requests are used to help promoters reschedule activities and personnel if needed, while ensuring that their statutory requirements under permits (or indeed under noticing) are still met and the permit authority has the opportunity to properly assess and coordinate the activity and others in the area. There may also be operational factors that justify the need for a reduction in the application period in order to ensure an activity’s impact on the network is minimised, either through collaboration or through having the works carried out at a certain time.

Early start requests are considered individually on their own merits by Shropshire Council to ensure that there is a legitimate reason for the request and not a result of poor works planning by the activity promoter.

The measure is shown as:

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

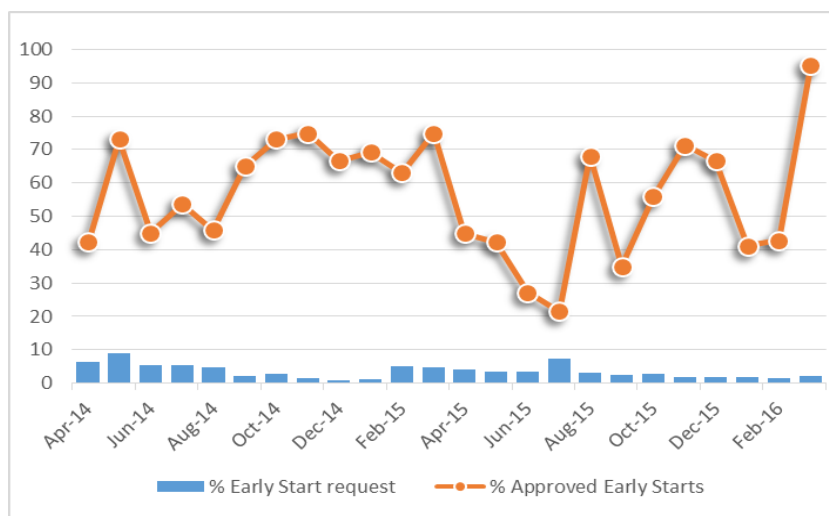
The WaSP scheme will operate in a fair and equitable way ensuring a level playing field with all promoters competing for time and space on the highway. The Permit Authority will ensure

sufficient separation between those operating the permit scheme and those responsible for highway activities so that parity of treatment is evident.

4.5.1 KPI 4 - Results

Both years' data for statutory undertakers is taken from a Mayrise report "KPI4 Reduced Application Periods". The highway authority data from July 2015 is also taken from this report, however the first eighteen months of works for road purposes is transcribed from reports originally run from Confirm.

Chart 4.5a: Statutory Undertaker: percentage of permits with early starts requested and subsequently approved (2 year)



In the following chart where there are no data points indicates that no early start requests were received (and therefore none were approved).

Chart 4.5b: percentage of highway authority early start requested and subsequently approved (2 year)

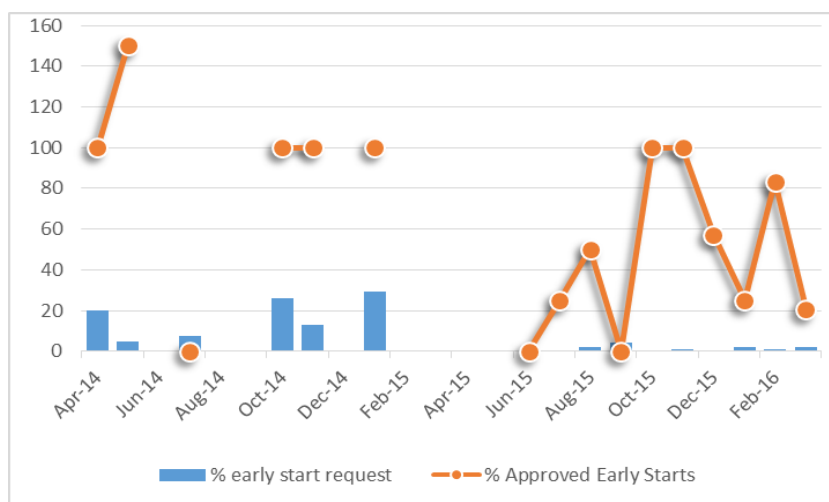
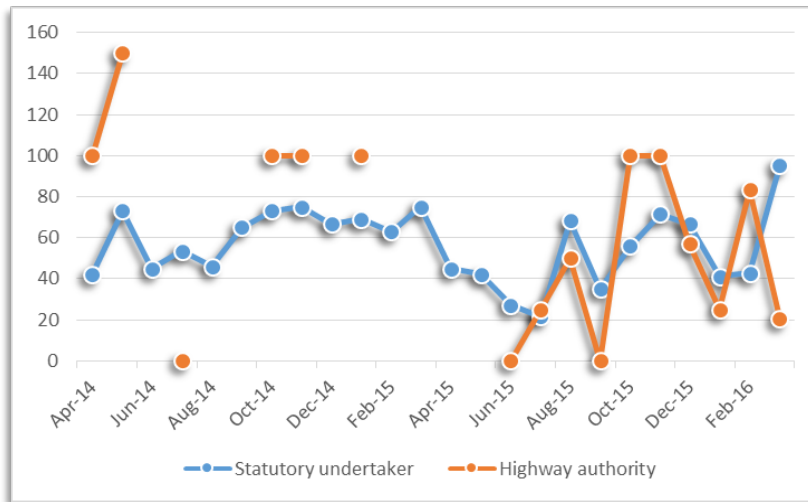


Chart 4.5c: Statutory Undertaker and highway authority: comparison of percentage of early starts approved (years 1 and 2)



4.5.2 KPI4 Analysis

statutory undertaker early starts average 56% approval rate. In some occasions, early start applications are received with the early start agreement field fabricated and clearly no early start has in fact been agreed.

In general, there seems to be a trend of fewer requests for early starts in winter months, but a greater proportion being agreed. This is likely to be because of the time of year; there are legitimate reasons for requesting early starts in order to help manage fluctuating workloads that might occur due to adverse weather conditions locally, regionally or even national demands on resources.

5 HAUC TPI measures

This section outlines the Permit Indicators (TPI) agreed by the National TPI working group.

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

The TPIs focus on occupancy, co-ordination and inspections, and therefore relate mainly to the stages of the works from works start to final conclusion. These additional permit indicators focus more on the process of permit applications and responses, prior to the works being carried out.

- TPI1 Works Phases Started (Base Data)
- TPI2 Works Phases Completed (Base Data)
- TPI3 Days Of Occupancy
- TPI4 Average Duration of Works Phases Completed
- TPI6 Phases Completed on time
- TPI8 Number of Phase One Permanent Registrations
- TPI9 Number of deemed permit applications

These measures will not be discussed in this report. As noted previously they did not exist when the WaSP scheme was first introduced and while Mayrise system allows Shropshire Council to run these reports retrospectively it has been decided for the sake of consistency for year 1 and 2 to use the existing KPIs and OMs. Where suitable, TPI report will be used in place of certain OMs.

It should be noted that TPI data is available from the Joint Authorities Group and Geoplace for analysis.

6 Authority Measures

In addition to DfT KPIs and HAUC TPIs, The WaSP scheme sets out a number of Operational Measures that provide further insight into the way the scheme is being operated and the success of the scheme.

6.1 OM 1 – Number of overrun incidents

It is essential for Shropshire to ensure that works being carried out on the network have a permit and are also compliant to the agreed terms and conditions of the granted permit, such as timing and duration. The increased visibility of works provides an added benefit of greater certainty of the works-state of an activity, allowing overruns (Section 74) to be more easily identified and sanctions used to discourage this behaviour.

The number of activities that are logged by the Permit Authority as overrunning their agreed end date is an indicator of how well the activity promoters are managing their activities and lessening the impact of their works on road users.

This measure is expressed as:

- The number overrun incidents shown as a percentage of permits issued

Whilst this measure sheds light on the effort of works promoters to complete works within agreed timescales it is not considered that it is a measure that is reflective of the success or failure or permitting.

6.1.1 OM 1 - Results (Overrun incidents)

Data has been recorded outside Mayrise. It relates only to the number of recorded incidents relating to statutory undertakers. Not all of these will have resulted in a charge.

There are some months where data is not available.

Chart 6.1a: statutory undertaker: recorded section 74 overrun incidents (Year 1 and 2)

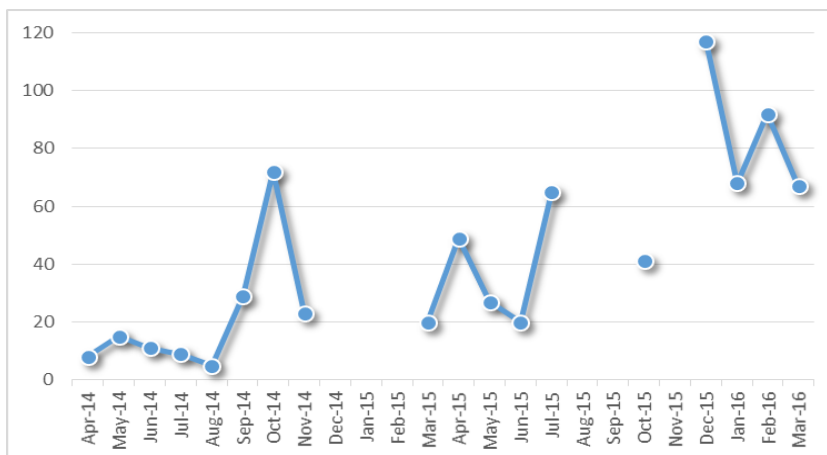
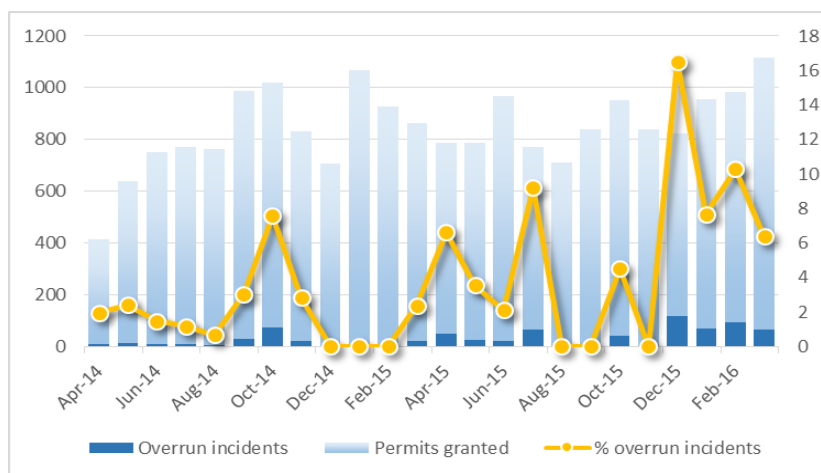


Chart 6.1b: statutory undertaker: recorded section 74 overrun incidents as percentage of permits granted (Year 1 and 2)



6.1.2 OM 1- Analysis

Gaps in the data are the result of administrative processes rather than a lack of actual overruns.

Number of overruns was very low throughout the immediate post-implementation phase, reflecting a much smaller inspection team. Changes to inspection processes were brought in mid-year 2014 and then a complete team restructure took place in May 2015 which accounts for a general increase in overruns identified after these points.

It is expected that in future data can be recorded to provide sufficient levels of detail since these kinds of information can be used by both Shropshire Council and the statutory undertakers to identify improvements in process on both sides.

6.2 OM 2 – Average road occupancy and reduced occupation

One of the benefits of permits is that works durations can be judged more effectively and the use of conditions is a greater driver for tighter processes from all activity promoters to reduce their occupation of the highway. Additionally analysis of permit durations shows how the Permit Authority and activity promoters are reducing the overall impact of activities on the highway. It is expressed as

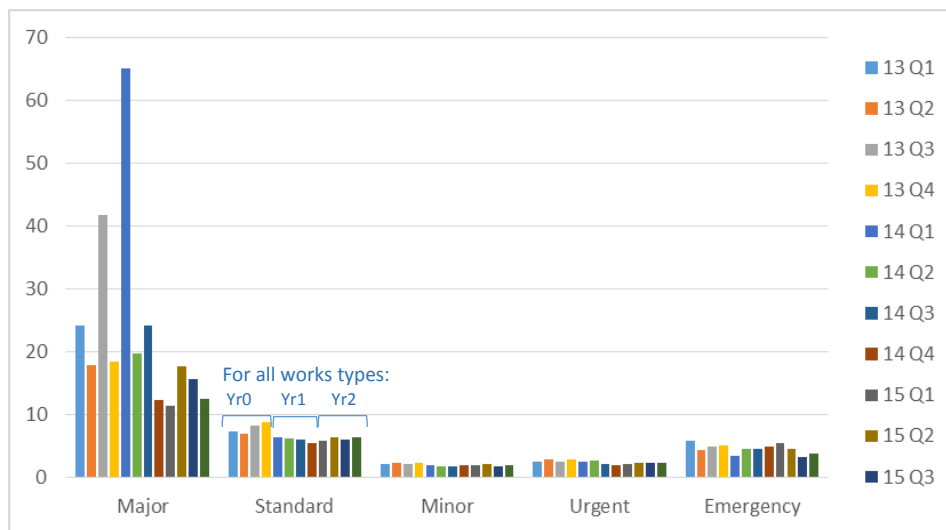
- The average number of working days for different works categories as compared between periods and other authorities
- The total number of days of reduced occupation for different works categories as compared between periods and other authorities

6.2.1 OM 2 - Results (Average Road Occupancy)

For the purposes of this metric, TPI4 has been used since this is part of the national scorecards. The data is collected from Mayrise TPI report “TPI4 – Average phase durations”, and is calculated for all works phases completed (closed) within a quarter where the aggregated duration (works start to works stop) divided by the number of works completed.

The data covers Years 1 and 2 and includes the pre-permitting year, April 2012-March 2013 (“Year 0”) to provide a baseline comparator.

Chart 6.2a: combined Statutory Undertaker and highway authority: Average works duration by works type, per quarter (Years 0 [baseline], 1 and 2 [permitting])



Additional processing has been done on this data to provide some comparators of average duration change (reduction or increase) across the three years.

It has not been possible to split statutory undertaker and highway authority promoters out and so this data combines works durations for both. Immediate Urgent and Immediate Emergency have been split out into individual groups.

6.2.2 OM2 Results (Savings in Road Occupation)

Reduction in overall occupation is calculated by multiplying out the average reduction of occupation for each works category, by the overall number of granted permits.

There are various permutations of how to best express the saving in road occupation. The accumulation of average increase and reduction in days over the two years, results in a total saving of 29,783 days. A very large proportion of this is accounted for in the reduction in durations of Major works (85%). Not including Major works results in an overall saving of 4489 days of occupation over two years for the four other works categories.

Table 6.2a summary of number of days saved in occupation (years 1 and 2)

Works Category	Year 1			Year 2			overall days saved (Y1+Yr2)
	Ave days saved	Permit granted	Actual saving	Ave days saved	Permit granted	Actual saving	
Major	4.702	1618	7607.836	-15.964	2061	-32901.8	-25293.968
Standard	-1.72	956	-1644.32	0.08	1038	83.04	-1561.28
Minor	-0.31	5016	-1554.96	0.095	5142	488.49	-1066.47
Immediate U	-0.37	3198	-1183.26	-0.05	4293	-214.65	-1397.91
Immediate E	-0.64	605	-387.2	-0.122	627	-76.494	-463.694
Days of occupation saved (-saving, +increase)				Total (inc. Major)			-29783.3
				Total (exc. Major)			-4489.4

Note in the above table a saving or reduction in days is shown as a negative figure, while an increase is a positive figure.

Chart 6.2c: overall proportion of days saved occupation (years 1 and 2)

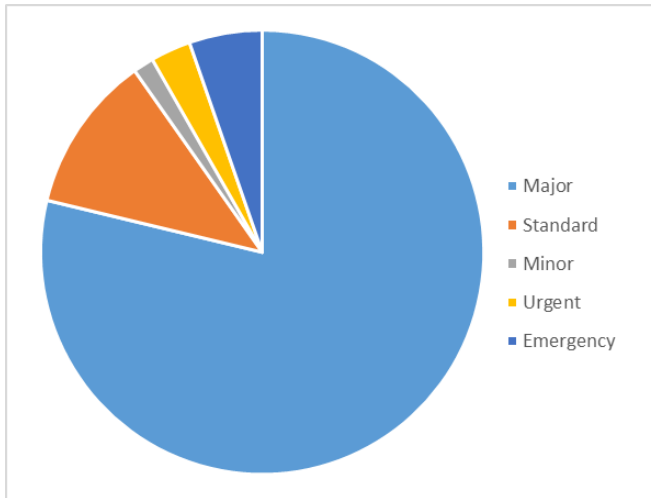


Chart 6.2d: actual number of days saved occupation by works category, not including Major Works (years 1 and 2)

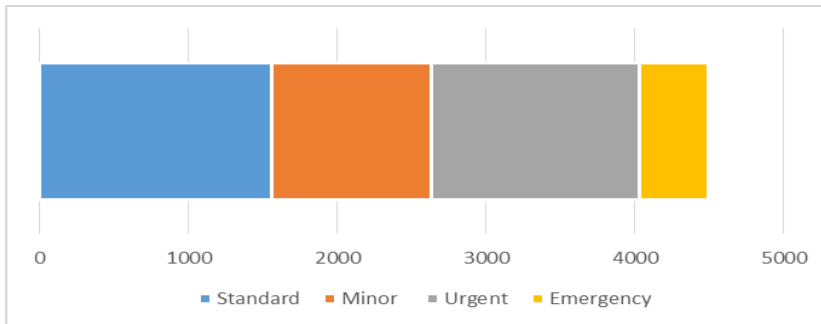
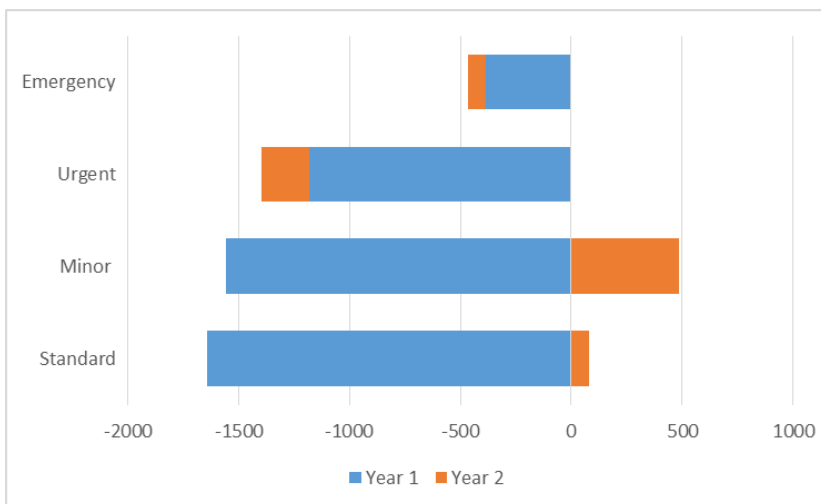


Chart 6.2e: comparison of total days occupation increase (positive) or reduction (negative) (Year 1 and 2), based on permits granted in that year.



6.2.3 Analysis - OM2 (Average Road Occupancy and overall savings in occupancy)

Overall average occupation shows small year-on-year changes (both increases and reduction up and down).

The first year shows an increase in overall average duration of Major Works (18%), and the second a decrease (52%). Comparison of major works to other categories is not appropriate since the scope of any project can vary considerably; it can be very dependent on location, works methodology and the wider coordination efforts. Major works durations are very likely to fluctuate from year to year (as is clear from chart 6.2a) and so chart 6.2d and 6.2e does not include major works allowing a clearer appreciation of general occupation reduction for the 'normal' day-to-day activities.

All other works categories showed a substantial drop in average works durations in year one (between 1/3 and 1 ¼ days), and minimal deviation moving to the end of year two (table 6.2a). As this table shows, even a very small difference of a tenth of a day, when multiplied out over the total number of activities within that category that take place across the year, can still provide a substantial overall movement in the overall days of occupation.

With the introduction of the scheme, Shropshire Council analysed works durations of all promoters comparing estimated durations (proposed start date and estimated end date on the initial notice) against actual durations (actual start and stop notices). From this analysis, Shropshire Council proposed a list of 'standardized' average durations for a number of works types that were to be used as a guide for the expected 'acceptable' durations for these works. Promoters submitting durations that are longer than expected would have to provide justification.

The benefits of this approach means that permit coordinators within each authority, as well as the wider WaSP community, have a benchmark for typical activities and ensures some consistency over what durations are considered acceptable. Similarly, since these durations are based on actual works over the previous year or more, statutory undertakers recognise the importance of asking for durations that are not excessive to ensure that the coordination effort can take place in an environment that is equal for all promoters.

It is almost certain that this exercise has driven the initial decrease in average durations seen in the first year of the scheme. Subsequent years' minor variations (increase or decrease) to this are likely to be natural variability in the numbers and types of activity being undertaken.

Despite the small variability seen from year 1 to 2, when considered in the context of the numbers of works that take place monthly and annually, these changes provide significant overall savings in occupation over the two years.

6.2.4 Monetised savings from reduced occupation

Using data from the original economic appraisal undertaken by Shropshire Council prior to the development of the permit scheme it is possible to quantify very roughly what these 'savings' in occupation mean.

The modelling used in the economic assessment produces a range of works costs, based on the type of road, and the average length of a works site and on an average duration of an activity. For approximately 4400 days saved (non-major) using the lowest possible daily cost of a works site (£248 on a rural category 4 road for a 10m site length), it is possible to produce a very rough estimate of savings of just over £1.09m for the two years combined.

There are several assumption: in practice, works are spread across all categories of road (urban and rural, categories 1 to 4), and not all works will have a carriageway impact. However the daily rate on category 1 roads over 100m length is significantly higher, despite there being less of these kinds

of activity. Therefore, the premise is to choose the very lowest daily rate on the very broad assumption that all of these factors ‘average out’. In reality it is likely that this saving is a low estimate.

6.3 OM3 - Number of collaborative works and days of disruption saved

The potential economic benefits from shared working space are considerable. In addition, this measure shows a proactive and positive approach to working together to minimise disruption and occupancy. The number of collaborative works will be expressed as:

- A percentage of all works granted per period.
- The number of days of reduced occupation per period.
- As an ongoing measure, this will also be expressed as the number of collaborative works sites per period, thus enabling a percentage increase/reduction to be calculated.

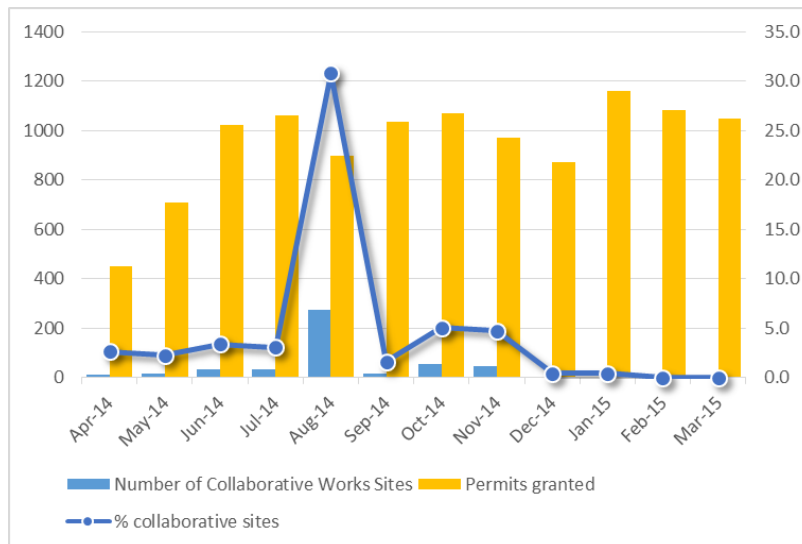
Any activity on the highway will be included to show how the Permit Authority is able to coordinate works and other highway activities proactively.

6.3.1 OM3 Results

The data for this measure is taken from the Mayrise report “OM6 collaboration” which analyses the use of the ETON codes for ‘collaboration’ that have to be included within a permit application.

The chart below shows the number of collaborative works that took place in Shropshire Council and the number of days saved in year 1. The percentage of these activities are also shown against permits granted.

Chart 6.3a: Number of collaborative activities set against number of permit granted and shown as a percentage of granted permits (Years 1 and 2)



The ETON ‘collaboration’ codes are susceptible to being used incorrectly by promoters, and this then puts pressure on network coordinators to take additional time checking the validity of the use of this code. A number of significant issues have been identified with these results. Additionally the way that Mayrise then extrapolates the savings in occupation are not correct. Shropshire Council has identified these problems and are working to achieve a more robust reporting method to reduce the likelihood of this occurring in year 3.

6.3.2 OM 3 - Analysis

Given the lack of confidence in both the data and the report output, other than presenting the data, Shropshire Council cannot provide further analysis on the Mayrise report.

However, under discussion with individual area coordinators and network managers has identified a number of records kept outside of Confirm and Mayrise. While these do not provide a continuous or necessarily consistent set of records across the entire two years, there are indicative estimations that approximately 1500 activities were collaborative in some way. Additionally further analysis has shown that on average each of these saved as much as 3-4 days of occupation.

Using a similar approach to monetising this saving as given previously in section 6.2.4, this equates to more than £1.1m saving, in terms of reduced days of occupation.

6.4 OM 4 – Number of refusals, by refusal reason

Actual numbers of applications refused are part of KPI1 and are an indicator of parity.

Monitoring permit refusals will show clearly the most common reasons for refusal. This is helpful to the activity promoter to identify particular areas where they are failing.

This measure will also show any improvements for each period for the way promoters deal with systematic failures within their processes. It is therefore a measure of how information quality is improving. It is expressed as

- The number of each category of refusal as a comparison of previous periods

Prior to 2016, most schemes had their own series of refusal codes that did not align with others in the country and when originally implemented, the WaSP scheme provided a template of regionally agreed standardized refusal codes and texts that must be used by all permit authorities in the region. Following the amended permit regulations in October 2015, HAUC produced an advice note with nationally agreed refusal codes⁴ (WR1a, WR3d etc.). Appendix C provides a list of these refusal codes and their meaning.

The term 'refusal' includes the issuing of a permit modification request (PMR); under the regulations this is technically a refusal since an application will automatically expire if a PMR is not responded to with a modified permit application (MPA).

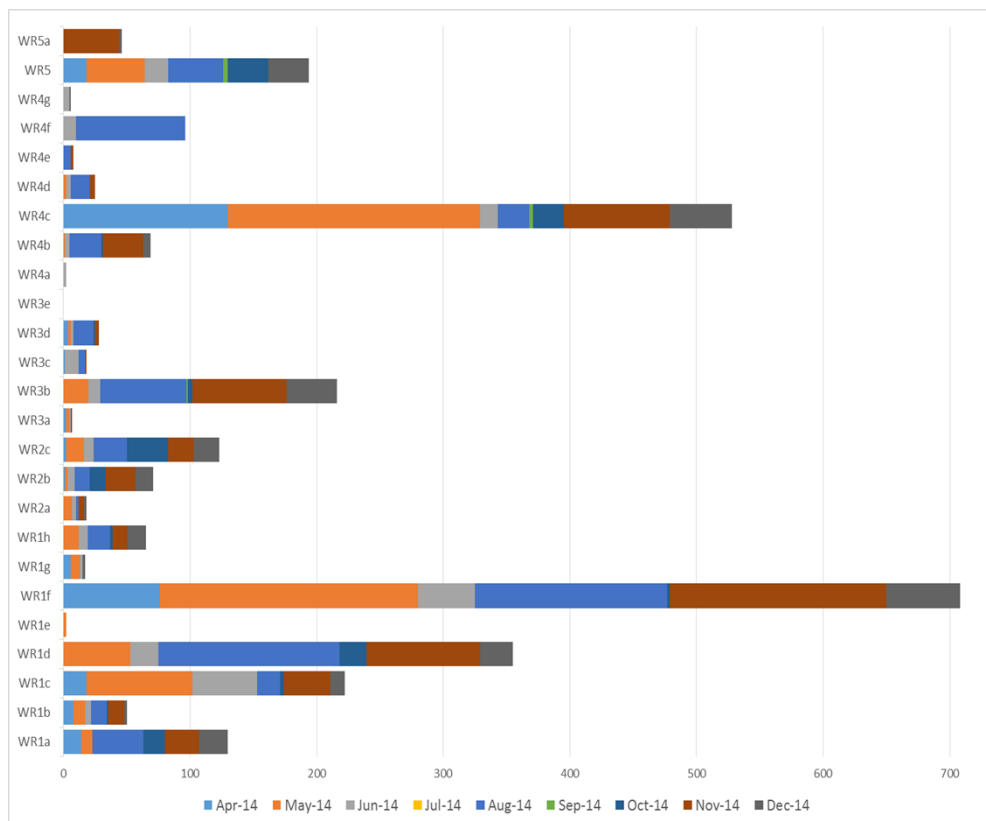
Refusal codes are used in both scenarios, the decision to use one or other generally depends on wider data/quality and timeliness of that application. However, there are certain situations when only a refusal will be issued: incorrect unique street reference number (USRN), or the permit dates conflict with other activities etc.

6.4.1 OM 4 - Results

Data for year 1 is taken from a bespoke report from Confirm, which analysed the textual response to a refusal and extracted the use of the unique code for each refusal. Data for year two is unavailable due to system changes on Confirm at the time and the move to Mayrise in June 2015.

Chart 6.4a: Statutory Undertakers: breakdown by refusal code of the number used each month (Year 1)

⁴ Draft guidance HAUC (England) Standard Permit Response Codes.



This data shows the number of times a refusal code was used in a month, not as a proportion of the number of permits issued. This is because

- it is possible for several refusal codes to be used on any permit application (i.e. there are multiple problems with that submission); and
- an application may be refused (or modified) many times before it is finally granted.

A percentage of permits granted figure would therefore be meaningless.

However there may be extracted some useful information from reflecting on refusal codes and their overall proportionate usage within month, as this allows a general consideration to be given to

- which codes are used the most within a month; and
- a comparison between months to identify general trends in usage

Chart 6.4b: Statutory Undertakers: overall numbers of refusal codes by month (Year 1)

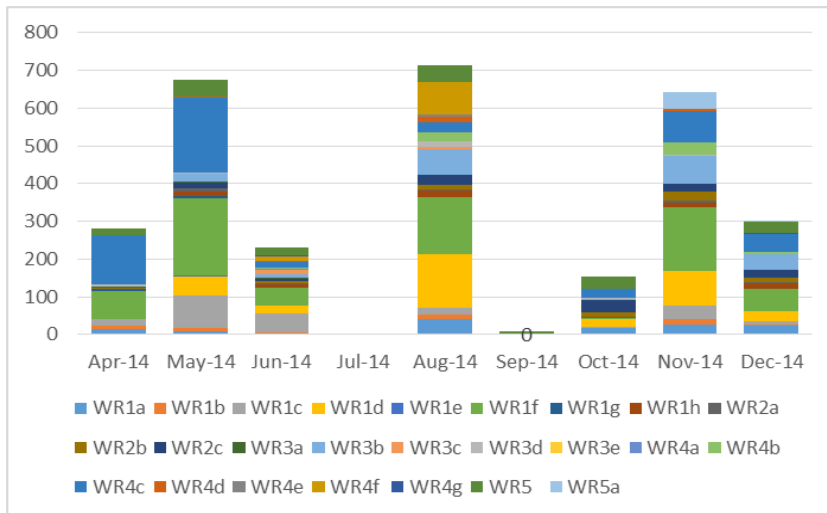
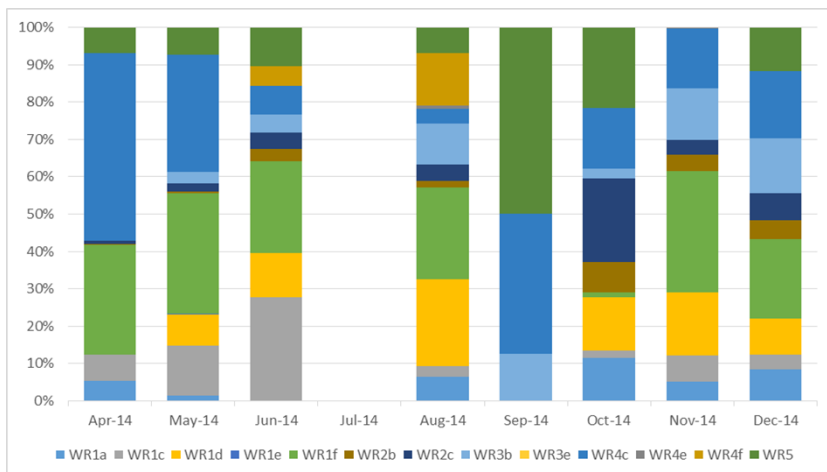


Chart 6.4c: Statutory Undertakers: Proportional usage of refusals by month (Year 1)



For the purposes of the comparison, because the data contains 25 separate refusal codes, the chart 6.4c above only shows those codes used approximately more than 5% of the time within any one month, or where there is substantial change in use of a code across the period. All other codes that may be used infrequently within a particular month or across the period are omitted. Since the chart provides only a general picture of proportionate usage, these exclusions are not significant for this exercise.

It should be remembered that these figures give use of individual refusal codes not the number of refused applications (see KPI1), as there could be several refusal codes used on any one refused application.

6.4.2 OM4 Analysis

Individual analysis of a month may not provide useful information unless it is to consider systemic problems with a promoter or the network coordinators. However, some useful information can be taken from the general figures for each refusal code.

For instance, from chart 6.4c, it is clear that certain codes are used more often than others.

Table 6.4a: Statutory Undertaker: top 5 refusal codes use, with commentary (Year 1)

Code	Refusal text	Comment
WR1f	Omission of essential conditions	It might be expected that this refusal code is used most often since the conditions of the permit must specify the activity it allows in detail, specific to the site and the method of the works planned. Any other limits or constraints on the activity must also be reflected in permit conditions.
WR4c	Excessive duration in relation to scope of work	A permit scheme should try to limit occupation on the highway and the use of this condition reflects the requirement for works durations to be reasonable and reflect the actual likely duration of the works, without building in excessive time to cover unforeseen circumstances or slack time.
WR1d	Traffic management and carriageway restriction specified on the permit is not appropriate for the work/location	It is essential to the coordination process that the Permit Authority has a clear understanding of the expected Temporary Traffic Management and it is common for inappropriate selections to be made on the application that are not suitable for the type or class of road, or indeed that do not match other elements of the permit application.
WR1c	A traffic management application has not been provided (includes temporary traffic restriction order (TTRO) and temporary traffic signals (TTS) approval)	Where the promoter needs a TTRO the process is separate to the permit and can take more time to process. Where TTS is required, the required application should be made as part of the permit submission on EToN, or separately by email.
WR3b	Road space is not available	A conflict with another activity means that the works may not take place on the requested time and date.

Chart 6.4b shows us overall numbers of refusal codes used each month. The results seem particularly variable with some months having a particularly high number of refusals and other months far fewer.

6.5 OM 5 - Number of cancelled permits

To ensure the control of works and to proactively minimise the effect of those activities by many different affected parties it is important that any booked road space not required is cancelled, in a timely manner.

Works that are not cancelled or cancelled after the agreed works start date will have an impact on those road users who have planned around the effect of the works, as well as affect the planning of other activities in the same proximity or on a diversion route (in consideration to the originally planned works).

Since there is a fee for a permit, a statutory undertaker must pay for their permit even if the works subsequently do not go ahead. This is therefore a disincentive for an activity to be cancelled once a permit is granted. Additionally there is more expectation that permits contain accurate and timely information because of the permit submission and assessment process. The permit authority can

be more assured when assessing and coordinating works that those already granted are more likely to go ahead as planned; this is an area that under Noticing was far less certain and activities that did not take place as planned and were cancelled, often after the event, were an ongoing and significant problem for authorities.

It is not a statutory requirement for promoters to cancel works, either before or after the start date, however the DfT and HAUC support good practice that promoters should cancel road space bookings if not required.

One of the anticipated benefits of permitting is that better planning will mean that fewer activities are cancelled. This measure looks at permits that have been cancelled prior to works starting.

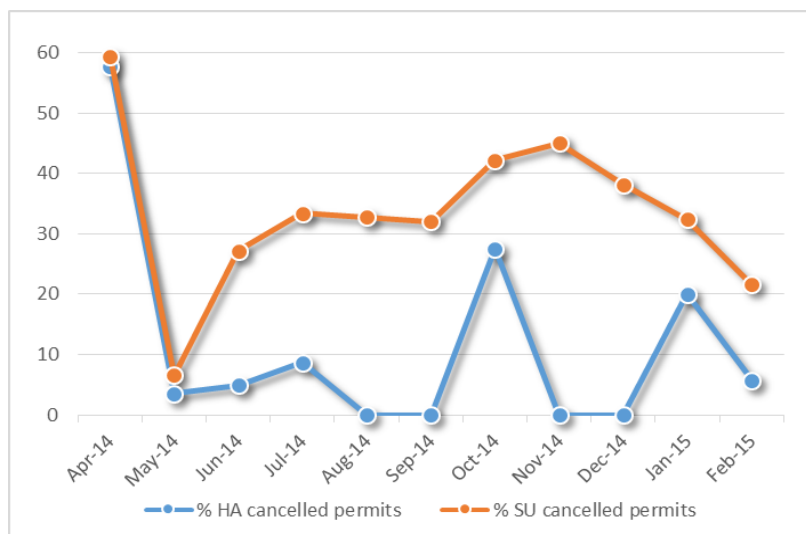
This measure will compare year on year rates of permit cancellation. This measure is expressed as

- The proportion of permits cancelled each period.

6.5.1 OM 5 – Results (cancelled permits)

Data for year 1 was taken from the Confirm system.

Chart 6.5a: Statutory Undertaker and highway authority: proportion of cancelled permits (Year 1)



6.5.2 OM 5 - Analysis

The proportion of statutory undertaker cancellations in the first year is remarkably high, averaging around 35%. Baseline data from the year 2012/13 suggested a cancellation rate of about 25% across all works types and street categories.

The statutory undertaker data provided does not take into account a number of factors:

- Some activity promoters cancel their application following a refusal from the authority.
- Some promoter cancel their application following a permit modification request, and resubmit a new application.

- Data includes applications cancelled prior to having been assessed.

Therefore, other than presenting the data, Shropshire Council cannot provide further analysis.

6.6 OM 6 – Number of first time permanent reinstatements

Undertaking a first time permanent reinstatement can reduce general inconvenience and disruption, particularly when any temporary traffic management in place is causing substantial problems, by removing the need for a return visit to a site. In general there are also significant cost benefits for many statutory undertakers, both in terms of labour, temporary traffic management overheads and permit charges, as well as other (albeit avoidable) liabilities like fines.

Measuring the number of interim reinstatements or the number of first time permanent reinstatements provides a comparison to be made each period, and allows targets for the scheme to be set to try to drive down interim reinstatements. It should be noted that under NRSWA Section 70, statutory undertakers may undertake an interim or permanent reinstatement. The permit scheme does not take precedence over this on any individual works even if a particular method is agreed between the Permit Authority and the promoter and set as a permit condition.

The metric is expressed as

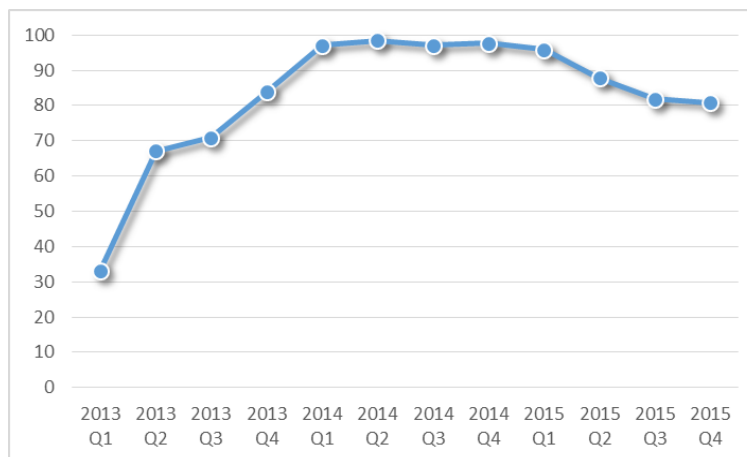
- The number of interim reinstatements undertaken as a percentage of total permits issued, OR
- The percentage of first time permanent reinstatements from total permits issued

While first time permanent reinstatements are beneficial in terms of reducing overall occupation, there must be a balance; this can also lead to substantial pressures on promoters to complete works very quickly and this is often to the detriment of the reinstatement quality. In some instances, specialist surfaces mean that a first time permanent reinstatement is not practical because of the need to source materials and often provide specialist reinstatement gangs. There are also other demands for instance during winter when mains networks are under substantial pressure because of weather conditions, or where immediate works require a speedy resolution.

6.6.1 OM 6 – Results (percentage of first time permanent reinstatements)

For the purposes of this metric, it has been decided to use the TPI8 data since this is part of the national scorecards. The data is run from Mayrise TPI report “TPI8”.

Chart 6.6a: Statutory Undertakers and Highway Authority: percentage of first time permanent reinstatements, by quarter (years 0 [baseline 2013/14], 1 and 2)



6.6.2 OM6 Analysis

Shropshire Council is unable to provide any further analysis since it is not clear that the parameters of this Mayrise report are correct.

6.7 OM 7 – Category A inspections

Category A inspections described in the NRSWA Code of Practice for Inspections scrutinizes the way a site is set up; suitability of traffic management, signing and guarding and site safety. This is not just for vehicular traffic; it has particular significance for the safety of pedestrians and those with a disability. In addition, they also cover methods of excavation, materials and methods used during the reinstatement.

Category A inspections are part of NRSWA and are a common reporting and performance measure for authorities. It can be argued that this measure is not specific to the permit scheme and does not necessarily provide information on how the permit scheme is being operated.

However, this measure has been included within the WaSP scheme because one of the key objectives of WaSP is to ensure safety of those using the street and those working on activities that fall under the Scheme, with particular emphasis on people with disabilities.

This metric provides

- year on year inspection results to show improvements in this element of works;
- comparison between permit authorities and enable them to consider different inspection regimes and gain a standardised approach to these inspections; and
- comparison between highway authority activities and utility activities.

The metric is expressed as the number of inadequate (failed) category A inspections shown as a percentage of the total Cat A inspections undertaken within a period.

Category A Inspections are carried out on an ad hoc basis. There is a statutory requirement to undertake a random sample of at least 10% of all recorded statutory undertaker sites. However, there are difficulties in producing such a sample on a daily basis due to the transient nature of some works sites therefore it is common practice across the industry to visit a much larger number

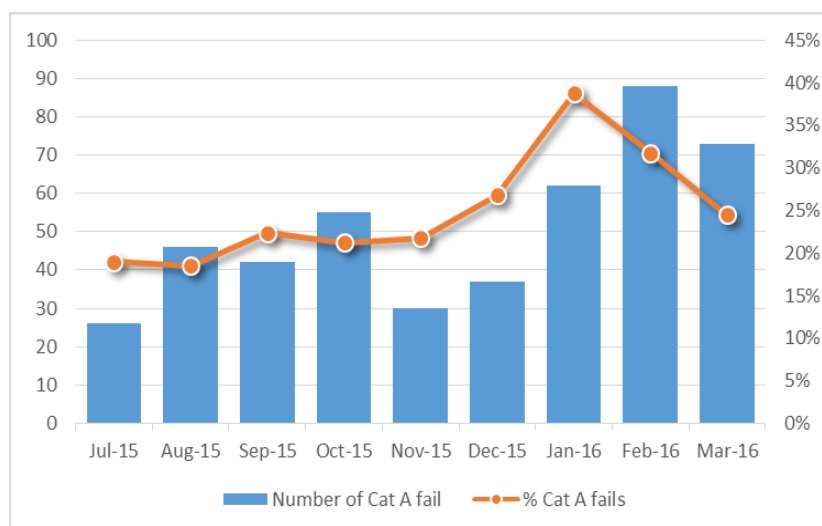
of sites with the expectation that many will either not have started yet, or are already completed and closed down.

An inspector will normally require site operatives or their supervisor to remedy any inadequacy found whilst on site. Even for relatively minor site issues that are rectified in this way, a failed inspection will always be recorded against the works so that there is a record of the site which feeds into longer term monitoring and performance.

6.7.1 OM 7 – Results (Category A inspection results)

The results below only account for statutory undertaker works, there is no requirement under the permit scheme regulations for highway authority contractors to undergo the same kind of inspection.

Chart 6.7a: Statutory Undertakers: number and percentages of Category A inspections recorded as inadequate (Year 2)



The data only covers year 2, the data taken from Mayrise.

6.7.2 OM 7 - Analysis

The overall rate of inadequacy for sites is very high. A 20% 'failure' rate is substantially over the expected levels, which are normally expected to be below 10% (Code of Practice for Inspections 2002, S.7.3). These high levels have been identified previously by Shropshire Council and have resulted in a number of Improvement Plans put into place between Shropshire Council and those statutory undertakers concerned. The majority of statutory undertakers showed good improvement over a period of months following this.

The level of reporting does not allow a breakdown by statutory undertaker to ascertain whether this high level is down to one or perhaps a small number of undertakers only. Nor is there any indication of how many sites were made safe (or the issues rectified) by the site at the time of inspection (see previous comment regarding inspection and rectification process)

6.8 OM8 - Permit condition compliance

EToN 6 caters for specific permit condition compliance inspections that provide a measure of whether the promoter is working within the terms of their permit.

There is no statutory inspection sample size for condition compliance inspections, however the expectation is that any site that is inspected for a NRSWA Category A inspection will also have its permit conditions checked (and *vice versa*).

The measure is expressed as

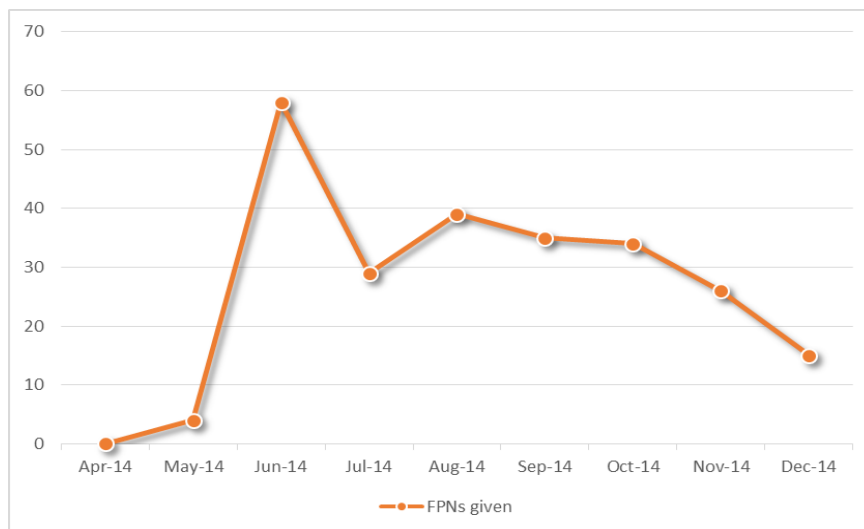
- the number of condition compliance inspections undertaken, monthly
- the number of condition breaches

While these figures are expressed as a total, the data collection should also allow for breaches of condition to be analysed by condition type, which is a useful tool for more general performance management.

6.8.1 OM 8 – Results (Number of failed condition inspections)

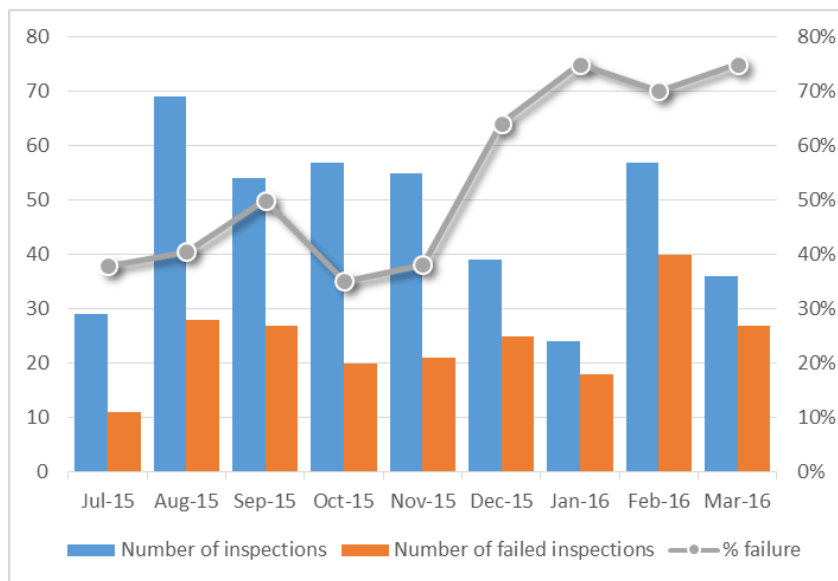
Year 1 data was gathered from Confirm. It is comprised only of the number of Fixed Penalty Notices given under regulation 20 (breach of condition), and does not provide information on the number of inspections undertaken, nor the number of actual condition breaches. For the purposes of this report however, it may be assumed that every non-compliant site resulted in at least one FPN.

Chart 6.8a: Statutory Undertaker: number of Regulation 20 (Breach of Condition) FPNs given (Year 1)



Year 2 data was gathered from the Mayrise system and reports on the numbers of inspections undertaken, and the resultant number of non-compliant sites (noting that a site may have several different breaches of condition but this is recorded only as one 'failed inspection'). The available data starts in July 2015 when Mayrise was first implemented.

Chart 6.8b: Statutory Undertake: results of condition compliance inspections, and percentage failed inspections (Year 2)



Note this chart does not show the number FPNs given; while it may be assumed the majority of condition inspections that fail will eventually result in an FPN, but this is not necessarily so:

- There may be multiple breaches of a condition at one site over a period of time that may be classed as only one FPN.

6.8.2 OM 8 - Analysis

Year 1

The data available records the numbers of FPNs given for regulation 20 offences (breach of permit condition).

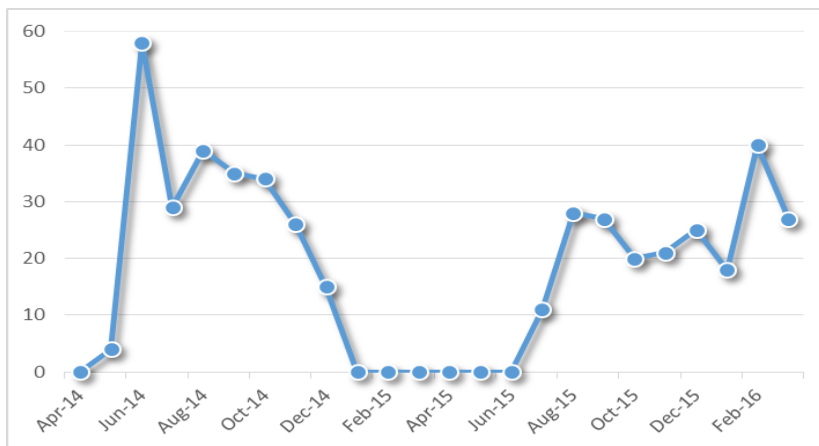
For the first three months of the scheme, permit condition breaches were recorded and FPNs given, but the penalty was discounted to £zero. The intention was to help the scheme bed-in and to not penalise genuine learning mistakes during the transition period. This allowed both Shropshire Council and activity promoters to work closely together to ensure the first few months of the schemes implementation concentrated on the important aspects of the scheme and provide an opportunity for dialogue to ensure the success of the WaSP scheme as a whole.

Year 2

Available data from Mayrise allows Shropshire Council to report on the numbers of compliance inspections undertaken, and the resultant number of fails (i.e. breach of permit conditions recorded). This data begins in July 2015 when Mayrise was first implemented. The move to Mayrise ties into a change of process by Shropshire Council; a new team of inspectors were recruited in May 2015 and trained to undertake inspections in a manner that concentrated on the inspection and compliance on site.

The numbers of inspections increased substantially because a new larger inspection team was recruited and trained in April and May 2015. The general trend shows an increase in the percentage of inspected sites that were in breach of a permit condition.

Chart 6.8c: Statutory Undertaker: extrapolated number of FPNs given (Year 1 and 2)



Noting that there is no data available between January 2015 and June 2015, chart 6.8c shows that the numbers of FPNs given overall have remained relatively constant, in the region of 20-30 per month over the past year.

7 Case Studies

There follows a number of case studies to provide a more qualitative account of the benefits that have been seen since operating the West and Shires Permit Scheme.

7.1 Collaborative working

In all, collaborative working can bring positive and substantial benefits to the council and to promoters, since it advances a better image to public regarding the planning of works. It is also a tangible outcome for all concerned in terms of 'days of occupation saved', and the resultant reductions in disruption and inconvenience.

7.1.1 Leg Street, Oswestry

In 2015 Wales and West had a road closure in place for a gas mains replacement. Shropshire Council's contractors were able to use the closure to do some road maintenance to the carriageway. Three days of occupation were saved overall, however in terms of disruption this amounted to a substantial benefit since these works were in the centre of town on a busy main road.

7.1.2 Scotland Street, Ellesmere

This street is part of the Shropshire Council's resurfacing programme in 2016. It was also identified as being on the Wales & West mains replacement programme and through early identification and discussion, it was possible to allow the gas mains works to take place prior to the resurfacing.

7.1.3 Multiple utility connections

There are many examples that might be cited to show the proactive work that takes place for new developments, to encourage collaboration between Water, Gas, Electricity and Telecoms companies when making their new connections into the developments.

These are often hard to make work in practice, because of contractual and payment issues from the customer, as well as the practicalities of bringing in new services to a site that may only be partially built, and where there may be other considerations in terms of Section 278 (Highways Act 1980) agreements and so on. However the permit scheme does encourage network coordinators to challenge the way developers and statutory undertakers approach these kinds of work and a proactive approach from the permit authority can pay dividends. It is not unusual to save up to 10 or more days of occupation on every site where two or more utility companies work together and is particularly effective where more than one service will cause substantial disruption (for instance both requiring a road closure or multiway temporary traffic signals).

7.2 Reductions in occupation of road space

While there was always the facility prior to permitting for an authority to challenge a duration, there were limited powers to ensure that an activity did actually happen over a reduced period, or to enforce this. This also relied on Notices submitted that were not always of the expected data quality or indeed timeliness. In addition, there was far less guarantee under a Notice that the works would take place. Under permitting all of these issues, whilst they have not wholly disappeared, are far less common than previously mainly because:

- all applications have to be assessed for accuracy, timeliness and practicality, and granted before works can take place; and

- where a duration of planned works is not considered suitable for the works type or location, then the authority is able to enter into a discussion with the promoter, in the knowledge that until it is happy with the outcome, works cannot take place.

There are many examples of reductions to duration through the assessment of the permit applications. In particular those which require road closures are given considerable scrutiny of the need to take up road space for extended periods, and if necessary promoters are asked to reconsider their works methodology or even location of key events or apparatus (for instance connections onto existing mains etc.) to enable overall reductions in the impact of the works. There is also a considerably improved inspection regime from the Authority to monitor and if necessary enforce the activities.

7.3 Application of Conditions

The use of conditions is a vital tool to ensure that activities take place as planned and anticipated by the authority. They also provide the space for both promoter and authority to consider the effects of working in a certain location at certain times or in certain ways.

An example is an Openreach activity on a roundabout next to a hospital; the permit allowed the network coordinator to apply strict conditions to the permit, stipulating the duration of works, working hours, manual control of lights, removal of lights as well as consultation with the hospital. Having the permit in place with the appropriate conditions applied allowed the coordinators to ensure the works were carried out without causing disruption to road users, residents and the hospital. This also benefitted Openreach as they were provided with information on what would be required in order to carry these works out with as little disruption as possible.

In another instance, a permit was applied for but because of numerous events in the town centre, it could not be accommodated. The permit was modified several times to avoid works been carried out at an inappropriate date and time, and with suitable temporary traffic management. Having the permit scheme allowed the coordinator to ensure the works took place on an appropriate Sunday evening under a suitable temporary traffic management. This was beneficial to the residents, businesses and highway users as the specific time chosen meant a reduction in disruption caused to traffic entering Shrewsbury town centre. It also allowed the coordinator to ensure suitable publicity and consultation were undertaken particularly with the Post Office sorting office which had a large number of HGV movements affected by reduced traffic space. Arranging for the work to be carried out of hours on a Sunday benefitted the Utility as the traffic flow was greatly reduced which created a safer working environment for the gang on site and it gave the reinstatement ample time to cure so that the road could be fully opened in time for Monday morning rush hour.

Applying appropriate conditions allows Shropshire Council to have more control over how road space and the network is managed whilst works are taking place and provides a means of enforcement should the activity take place outside the conditions of the permit. Enforcement income helps to pay for the inspectors and means that Shropshire Council is able to train and deploy a suitable number across the county to provide further compliance with the permit scheme. Inspection and enforcement also means that overall quality of works on the highway improves.

7.4 General considerations

Overall permits have allowed a much greater understanding and control of what and how works take place on the highway. Every permit is assessed and this means that in the very large majority

of cases, the decisions about the impact of each activity are considered and taken into account before it is approved. It also provides a pre-emptive way of identifying potential clashes with other activities. This is not restricted to those in the immediate vicinity, but allows consideration to be given to much wider areas affected, for instance the impact on bus routes, the cycle network, tourist routes, industry and business.

Greater knowledge of what is taking place means that appropriate stakeholders can be involved in the work that takes place prior to a large activity. For instance, letting businesses know how works will progress through a village or town means that they can plan, together with Shropshire Council and the promoter, appropriately to ensure deliveries can be made and customers are kept informed.

As noted previously, income from enforcement of permits has allowed a more vigorous and comprehensive compliance and enforcement regime. In practice, this is likely to bring substantial long term benefits as the degradation of the highways asset through excavation and reinstatement is minimised by ensuring works are carried out in the appropriate manner, problems on site identified and dealt with, and materials and reinstatement are compliant with the Specification for Reinstatement of Highways.

8 Conclusion

Using powers not available under previous regulations, the permit scheme has improved the management of all activities on the road network by allowing Shropshire Council's Network Management Team to better co-ordinate the timing of works by statutory undertakers and its own highway contractors. Improvements in assessment and coordination have reduced the number and duration of works and helped reduce their impact on motorists and other road users.

Only works for statutory undertakers and the authority's own works for road purposes fall under the scheme. However, the scheme does also provide a framework to identify and manage for other potentially disruptive activities, for instance new developments, highway events, highway licences such as crane operations, skips and scaffolding, etc. By bringing in these different elements and adapting council wide changes to processes, Shropshire Council has been able to realise benefits across the whole county.

Collecting the data for this report has presented a challenge with notice management systems not being able to collect certain data. Just as problematic has been keeping the data consistent across software platforms. Any small difference in the way data is recorded can make comparisons very difficult. As a result, there are several areas where further work needs to be undertaken to develop and improve the operational reporting of the permitting system, since effective management of information is key to helping all parties to drive further improvements. Further regard needs to be given to the detail and appropriateness of how data is managed and produced to give a more accurate picture in future reports

Any activity carried out in the street has the potential to cause disruption. The WaSP scheme has provided an opportunity to realise these benefits to road users, local residents and businesses in the county and wider West Midlands area. The scheme allows better control, planning and coordination of works, and a more robust frame work for checking and challenging activities on the highway to reduce the total number of highway occupancy days, and ensure that the conditions in the permit promote the expeditious movement of traffic through works, reducing disruption and promoting safety at works sites.

The intention of implementing the West and Shires Permit Scheme was to help Shropshire Council increase the efficient running of the highway network by minimising the disruption and inconvenience caused by road works and other highway events and activities through proactive management of activities on the highway.

Overall, a number of the scheme's aims tie directly into Shropshire's policy objectives to bring about beneficial change to network management. However, Shropshire Council recognises that the introduction of a permit scheme does not deliver instant success and that to realise the objectives, a continuous policy of review and development is required.

9 Recommendations for the future

Whilst the management of road and street works and other highways activities has improved since the introduction of the WaSP scheme, it is recognised that there are improvements still to be made.

Shropshire will continue to consolidate and build upon the number of joint occupations of the highway and assist in the direction of timing, to maximise the amount of time the highway is available for use, as well as continue to work with all work promoters in improving the quality and timeliness of information and further exploring innovative ways of working. This will improve information to highway users to improve the reliability of journey choices, reduce the risk of penalties to works promoters, and continue to deliver more effective working practices.

Shropshire will also work with all promoters in improving quality of reinstatements through inspections, performance measures and improvement plans where required.

Shropshire would like statutory undertakers to take up the existing incentives that are currently available within this scheme. The council is keen to use incentives to encourage good practice and promote both a more sustainable and efficient method of working whilst contributing to the management of congestion within Shropshire. In order to do this, all promoters will be reminded of the current incentives and more importantly work with stakeholders seeking to identify further incentives that can contribute to the scheme objectives.

Shropshire is committed to carrying out an annual fee review whilst the WaSP scheme is in operation to ensure that a balance is maintained between permit fee income and costs incurred in dealing with utility promoter permits.

In 2016/17 it is anticipated that the council will undertake a detailed review of their road network in terms of the asset data held against each street. Improving the quality of information relating to how the road is constructed, what engineering difficulties exist, materials used and more general information about the road such as speed limits and 'traffic sensitivity' will allow a more joined-up approach to planning works by statutory undertakers as well as providing a more rigorous basis for coordination.

Shropshire intends to work with Yotta, and the authorities that make up the wider WaSP scheme, to examine and improve the quality and accuracy of the data being reported as part of the scheme's performance measures. There is also substantial deeper analysis that can be provided to individual promoters to help identify wider failings or systemic problems that could be rectified.

10 Glossary

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

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

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

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

HAUC – Highway Authority and Utility Committee. Industry body to provide oversight of street works and associated practice.

KPI – Key Performance Indicator as developed by the DfT and set out in the Permit Code of Practice.

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

OM – Authority Operational Measure.

PAN – Permit Advice Note.

TMA – Traffic Management Act 2004.

11 Appendices

11.1 Appendix A

Data that has been extracted and used in this report is available as a separate addendum (available on-line or for download on request). Please contact Network Management Team at Shropshire Council.

11.2 Appendix B - Permit scheme conditions

AS of October 2015 the DfT introduced nationwide standardised permit condition texts. Since this report covers the period before and after this change, the table below provides cross reference of original WaSP scheme conditions and existing statutory texts. There is some E'ToN type code' cross-over on a small number of the original conditions.

EToN ref	Statutory standardized conditions	Original (pre October 2015) WaSP conditions
1	Date Constraints	
	NCT1a – Duration applies to all permits on streets where validity window does not apply	WS1 – Duration applies to all permits on streets where validity window does not apply
	NCT1b – Duration APPLIES TO ALL PERMITS on streets where the validity window applies	WS2 – Duration APPLIES TO ALL PERMITS on streets where the validity window applies
2	Time Constraints	
	NCT02a - Limit the days and times of day	WS10 - Specifying the days and times of day that works may take place
	NCT02b - Working hours	
3	Out of Hours working (not used)	
4	Materials and plant storage	
	NCT04a -Removal of surplus materials/plant	WS20 - Removal of equipment, traffic management and materials
	NCT04b Storage of surplus materials/plant	
5	Road Occupation Dimensions	
	NCT05a - Width and/or length of road space that can be occupied	WS30 - Area of highway occupation permitted
	NCT06a - Road space to be available to traffic/pedestrians at certain times of day	
7	Road Closure	
	NCT07a - Road Closed to Traffic	WS43 - Temporary Traffic Restrictions and other approvals
8	Light Signals and Shuttle Working	
	NCT08a - Traffic Management Request	WS30 - Area of highway occupation permitted
	NCT08b - Manual Control of Traffic Management	
9	Traffic Management Changes	
	NCT09a - Changes to traffic management arrangements	WS40 - Traffic Management Arrangements
	NCT09b - Traffic management arrangements to be in place	WS41 - Works stages agreement
	NCT09c - Signal Removal from operation when no longer required	WS42 - Maintaining diversion signage
		WS43 - Temporary Traffic Restrictions and other approvals
10	Work Methodology	

	NCT10a - Employment of appropriate methodology	WS50 - Methodology for carrying out activities
		WS51 - Interim or permanent reinstatement
		WS52 - Specialist Materials
11	Consultation and Publicity	
	NCT11a - APPLIES TO ALL PERMITS -Display of Permit Number	WS60 - APPLIES TO ALL PERMITS -Display of Permit Number
	NCT11b - Publicity for proposed works	WS61 - Emergency Traffic Management
		WS62 - Consult with specific bodies
		WS63 - Publicity for proposed works
		WS64 - Delay in starting works
		WS65 - End of highway occupation
12	Environmental	
	NCT12a -Limit timing of certain activities	WS70 - Methodology at different times
		WS71 - Site specific environmental requirements
13	Local Condition	
	NCT13a – reserved for exceptional circumstances and local agreements	WS80 - Extended reinstatement on a street subject to Section 58

11.3 Appendix C – Refusal Codes

WaSP scheme refusal codes used in year 1. HAUC (England) guidance (draft) is in place as of mid 2016 and Shropshire Council will be moving to integrate these refusal codes with the new guidance.

Code	Description
WR1a	Location Description Refusal
WR1b	Works Description Refusal
WR1c	No TM Application Refusal
WR1d	Wrong TM refusal
WR1e	Bay Suspension Refusal
WR1f	Condition Refusal
WR1g	Site Provision Refusal
WR1h	No Illustration / Site Plan
WR2a	USRN Refusal
WR2b	Conflicting Coordinates and Location Refusal
WR2c	Wrong permit type
WR3a	Section 58 in place
WR3b	Road space unavailable
WR3c	weekend works (must/must not)
WR3d	working hours unspecified/out of hours working not possible
WR3e	Activity on site following modification request (no permit)
WR4a	Cross boundary discussions required
WR4b	TM application (TTRO/TTS) required

WR4c	Duration Challenge
WR4d	Agreed consultation (under PAA) not done
WR4e	Third party refusal (no approval from..)
WR4f	Modified after Grant
WR4g	Amended start and end dates on MPA
WR5a	Reinstatement (temp/perm) must be undertaken use condition WR51/local