



NORTHAMPTONSHIRE PERMIT SCHEME

FOR

ROAD WORKS AND STREET WORKS

THE PERMIT SCHEME

1st June 2016

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1. INTRODUCTION

1.1. Background

Part 3 of the Traffic Management Act 2004, (TMA), introduced permit schemes as a new way in which activities in the public highway could be managed and to improve authorities' abilities to minimise disruption from street and road works.

1.2. Relationship to NRSWA

Permit schemes provide an alternative to the notification system of the New Roads and Street Works Act 1991, (NRSWA), whereby instead of informing a street authority about its intention to carry out works in its area, a statutory undertaker has to book time on the highway by obtaining a permit from the permit authority. Under a permit scheme, the street authority's activities undertaken by itself, its partners or agents are also treated in exactly the same way as a statutory undertaker. A street authority may choose to implement a permit scheme on all or some of the roads under its control.

1.3. The Permit Scheme

Northamptonshire as the Permit Authority has varied the Scheme by its Order in 2016 to include all streets. This varied scheme takes effect from 1st June 2016. Transitional arrangements are set out in Appendix H.

This permit scheme, to be known as the **Northamptonshire Permit Scheme for Road Works and Street Works**, and hereinafter referred to as The Permit Scheme, is based on Part 3 of the Traffic Management Act 2004 (TMA) and the Traffic Management Permit Scheme (England) Regulations 2007, The Traffic Management Permit Scheme (England) (Amendment) 2015 No 958 (the Regulations), TMA Code of Practice for Permits (March 2008) and the Statutory Guidance for Highway Authority Permit Schemes – Permit Scheme Conditions, March 2015 issued by the Secretary of State pursuant to section33(5)(b) of the 2004 Act.

All current NRSWA and TMA legislation, codes of practice, etc., and any future amendments to that legislation, apply to the Permit Scheme.

The Permit Authority has had regard to all Statutory Guidance in the formulation of this Permit Scheme.

1.4. The Permit Authority

The Permit Scheme is operated by Northamptonshire County Council, as the street authority for Northamptonshire, hereinafter referred to as the Permit Authority.

1.5. Activities

The generic term “activities” has been used rather than “works” to reflect the fact that the scheme may eventually cover more than street and road works in subsequent regulations. These are the specified works as set out in the Regulations.

1.6. Equivalent definitions

- Registerable activities/works
- Categories of activities/works, (major, standard, minor and immediate activities/works)
- Street gazetteers, including street referencing by means of a Unique Street Reference Number (USRN) and Associated Street Data (ASD)
- Street reinstatement categories as defined in the NRSWA Reinstatement Specification
- The distinction between main roads and minor roads where such distinctions are relevant
- Streets designated as Protected Streets, streets having Special Engineering Difficulties, (SED), or a Traffic Sensitive Street.

1.7. Changes to NRSWA legislation

The Permit Scheme will result in the disapplication and modification of the following sections of the NRSWA:

- Sections of NRSWA disappplied: s.53; s.54; s.55; s.56; s.57; s.66
- Sections of NRSWA modified: s.58; s.73A; s.74; s.88; s.89; s.93; Schedule 105; Schedule 3A
- Regulations modified: The Street Works (Registers, Notices, Directions and Designations)(England) Regulations 2007 SI 2007/1951

In the interests of parity, the modified legislation will also apply to works for road purposes.

2. SPECIFIED ACTIVITIES

2.1. Activities requiring a Permit

The Permit Scheme controls the following Registerable Activities undertaken on the public highway:

- (i) Street works as in Part 3 of NRSWA, except for works by licensees under section 50 of NRSWA;
- (ii) Works for road purposes as defined by section 86 of NRSWA.
- (iii) Other activities that may be introduced under future regulations.

2.2. Works for Road Purposes

The requirements of the Permit Scheme apply equally to both highway and statutory undertakers' works with the one exception that fees will not be charged for permits issued for the highway authority's own works for road purposes. Promoters of works for road purposes must ensure that they have followed the equivalent processes for activities and declare that they have fulfilled these requirements in their applications.

2.3. Activities not requiring a Permit before they start

Immediate activities do require a permit but as such works are concerned with emergency or urgent situations, a promoter can start work before applying for a permit. (See section 7.5).

2.4. Activities for which no Permit is required

Activities executed in a street pursuant to a street works licence issued under section 50 of the NRSWA are not included in the Permit Scheme.

3. SPECIFIED AREA

3.1. Area covered by the Permit Scheme

The Permit Scheme applies throughout the county of Northamptonshire and includes the boroughs of Northampton, Corby, Kettering and Wellingborough.

4. SPECIFIED STREETS

4.1. Definition of the term "Street"

For the purposes of the Permit Scheme, the term "street" refers to that length of road associated with a single USRN. Where a single street on the ground has more than one USRN, separate permits will be required for each USRN to which an activity relates. (Activities being the specified works as set out in the Regulations).

4.2. Streets covered by the Permit Scheme

The Permit Scheme will apply to all streets.

4.3. Identification of streets

Those streets that are subject to The Permit Scheme will be identified as an ASD record held on the National Street Gazetteer, (NSG), Concessionaire's website alongside the NSG data.

4.4. Motorways and Trunk Roads

Motorways and trunk roads in Northamptonshire for which Highways England is the highway authority are excluded from the Permit Scheme. Details of these roads are given in Appendix B.

4.5. Non-maintainable highways

Streets that are not maintainable highways, other than those that are expected to become a maintainable highway, are not included in The Permit Scheme.

4.6. Streets to be adopted as maintainable highway

Where a street is expected to become a maintainable highway, controls on specified activities under the Permit Scheme will only apply after the street has become a maintainable highway.

5. PERMITS - GENERAL

5.1. Requirement to obtain a Permit

Any promoter of specified activities who wishes to carry out such an activity on a specified street **must** first obtain a permit from the Permit Authority. The permit will allow the promoter to:

- Carry out the specified activity;
- At the specified location;
- Between the dates shown and for the duration shown;
- Between the start and end times shown (if appropriate)
- Subject to any conditions that may be attached.

5.2. Exempt activities

The following activities do not require a permit:

- The **initial** stages of immediate activities.
- Works carried out in pursuant of a street works licence issued under section 50 of NRSWA
- Traffic census surveys
- The maintenance of fire hydrants by fire service vehicles provided the activity is undertaken wholly outside traffic sensitive periods.

5.3. Optional Permits

For continuity of the register, promoters of activities not requiring a permit are nevertheless encouraged to apply for an optional permit to ensure that road space is available and that their work will not be interrupted by other activities for which a permit has been granted or for which the activity is exempt. No fee will be charged in the issue of an optional permit, but it will be conditional on the activity either not involving excavation or being subject to a section 50 street works licence. If during the course of the activity, this situation changes then all work must cease, the highway re-opened for all users and an application submitted to the Permit Authority for the appropriate permit. The application for an optional permit will be the same as for other permits and as detailed in Section 10 below and the appropriate pro forma will be included in the S.50 application pack.

5.4. One application per street

Each application for a permit will be limited to one street. (See 4.1).

5.5. Activities covering several streets

Where the specified activity involves a number of specified streets, a separate permit will be required for each street. Permit applications for specified activities covering more than one specified street shall be cross-referenced to all related applications. Fees for specified activities which involve several permits will be discounted where the applications are submitted together. For consistency with NRSWA, a street will correspond to a USRN.

5.6. Multiple stage activities

Where the specified activity is carried out in more than one stage, such as with separate interim and final reinstatements, each stage will require a separate permit, and also, if a major activity, a Provisional Advance Authorisation, (PAA), all of which should be cross referenced to the others. (See 6.2 below for details of PAAs). A promoter is required to clarify to the Permit Authority that an activity is to be carried out in stages on the application. A stage of an activity is a period of continuous occupation of the street, or part thereof, whether or not the work is taking place for the whole time, between the start and completion of the activity.

5.7. Linked activities

Where linked activities are carried out at separate locations in the same street they will be treated as belonging to the same set of works. Where the same promoter wishes to carry out unconnected activities in the same street then these shall be treated as separate activities and will require a separate permit and, if appropriate, PAA. Customer connections associated with the installation of a new main or cable run or the replacement or renewal of existing assets will be considered to be linked activities when the work is completed as a single occupancy of the street. If the installation of customer connections is undertaken at a later date then the promoter shall apply for a separate permit.

5.8. Remedial works

Remedial works will require a new permit and this should be cross referenced to the permit for the original activity.

5.9. Interrupted activities

In the event of an activity being interrupted and delayed, for instance due to damage to a third party's plant or while missing apparatus is acquired, the promoter shall contact the Permit Authority to agree what action should be taken. Where the Permit Authority is satisfied that the excavation can remain open while the repairs are implemented or the equipment obtained, then a variation will be required. However, where it is considered that the opening should be reinstated and the road returned to full traffic use then the promoter will need to apply for a further permit to complete the work at a later date.

5.10. Collaborative working

The Permit Authority encourages collaborative working between promoters for street works and works for road purposes. Where two or more promoters decide to enter into such arrangements, one must take on the role of the primary promoter with the overall responsibility for the activities and will be the point of contact with the Permit Authority. While the secondary promoter(s) will be required to make a permit application for the activity for which they are responsible, only the permit application made by the primary promoter will need to show the number of estimated inspection units. The primary promoter's permit application must give details of the other promoter(s) involved and the extent of the collaborative working. The primary promoter must also ensure that the estimates of works duration are agreed and confirmed with the secondary promoter(s) when submitting the application. While the Permit Authority will issue permits to all the promoters involved, not just the primary promoter, the fees will be discounted to reflect the collaborative approach, subject to all criteria being met. The primary promoter will excavate the trench and install its own apparatus with the secondary promoter(s) installing their apparatus in the same trench. The primary promoter will backfill and reinstate the trench unless it has previously been agreed with the Permit Authority and the secondary promoter(s) that the secondary promoter(s) will do this work. In which case the responsibility for the reinstatement will rest with the promoter who undertook this work.

5.11. Permit validity

On category 0, 1, 2, and traffic sensitive streets, the permit is not valid before the start date on the permit and ceases to be valid once the end date has passed.

On category 3 and 4 streets that are not traffic sensitive, the starting window is five working days for major and standard activities and two working days for minor activities. This is in line with the validity period within the NRSWA notice system.

5.12. Charges for over running street works

Charges for over running street works, under section 74 of the NRSWA, will be made alongside the Permit Scheme although these regulations are modified to incorporate the process of setting and modifying the duration of the activity through the permit application, approval and variation processes. (See 1.7)

5.13. Start date, end date and times

On category 0, 1, 2, and traffic sensitive streets, the planned commencement date and finishing date for the activity are the start date and end date respectively on the permit. If the activity cannot commence on the proposed start date, the promoter must inform the Permit Authority no later than the preceding day. If the promoter believes that the work could still be completed before the permit end date then they can begin the work on a subsequent day having submitted a start of works notice under section 74 of the NRSWA. If the activity cannot be completed before the permit end date they must apply for a variation. The Permit Authority may or may not agree to an extension,

depending on the circumstances, and if not the promoter may be subject to section 74 overrun charges.

On category 3 and 4 streets that are not traffic sensitive, permit start and end dates allow for flexibility in the start of the activity (see 5.11), but once the activity is started it must be completed within the activity duration period specified in the permit. If the activity cannot be completed before the permit end date they must apply for a variation. The Permit Authority may or may not agree to an extension, depending on the circumstances, and if not the promoter may be subject to section 74 overrun charges.

5.14. Early start

The Permit Authority will consider a promoter's request for an early start before or after applying for a Provisional Advance Authorisation or a permit application. Where this is agreed, the promoter shall submit a variation to a permit, or in the case of a Provisional Advance Authorisation, include the revised dates on the application for the permit.

5.15. Working without a Permit

It is an offence for a statutory undertaker or a person contracted to act on its behalf to undertake specified works in a specified street without a permit, except to the extent that the Permit Scheme provides that this requirement does not apply. Where it is believed that such an offence is being committed, the Permit Authority may impose a fixed penalty notice and require the party concerned to remove the works and return the street to full use. (See 15).

5.16. Application requirements

Each application for a permit must include the information indicated in 8 below.

6. PERMITS - TYPES

6.1. Types covered by the Permit Scheme

There are two types of permit covered by the Permit Scheme.

6.2. Provisional Advance Authorisation (PAA)

PAAs are a means of enabling significant activities to be identified, coordinated and programmed in advance by allowing activities to be provisionally "booked in" by the Permit Authority pending the Authority's subsequent decision on whether, and with what conditions, to issue a permit for the activities.

A promoter who wishes to undertake Major activities, (see 7.2 below), on a specified street **must** apply for a PAA at least 3 months in advance of those activities starting on the highway, or as agreed with the Permit Authority. Subsequent applications for permits for Major activities that have not been preceded by a PAA will not be accepted by the Permit Authority. Each application for a PAA will be limited to one street.

An application for a PAA must include a full description of the activity and specify start and end dates, although the start date may be considered as provisional and can be amended in the application for a final permit.

A fee will be charged for a PAA in addition to the fee which is charged for the issue of the permit.

The granting of a PAA does not prevent the Permit Authority from subsequently refusing to grant a permit to which the PAA relates.

A copy of each application for a PAA is to be provided by the applicant upon request made by a relevant authority and to any person having apparatus in the street to which the application relates.

6.3. Permits

These are full permits with final details for all Registerable activities.

The timing of permit applications to the Permit Authority will depend on the proposed activity, (*see 7 and 10.10 below*).

A copy of each application for a permit is to be provided by the applicant upon request made by a relevant authority and to any person having apparatus in the street to which the application relates.

7. PERMITS - CLASSES

7.1. Classes covered by the Permit Scheme

There are four classes of permit covered by the Permit Scheme.

7.2. Permit for Major Activities

Major activities are those which:

- Have been identified in an organisation's annual operating programme, or if not identified in that programme, are normally planned or known about at least six months in advance of the proposed date of the activity;
- Other than immediate activities, require a temporary traffic regulation order, (i.e. not a temporary traffic notice), under the Road Traffic Regulation Act 1984 for any other activities;
- Other than immediate activities, have a duration of 11 working days or more.

Major Activity Permits are required for the most significant activities on the highway and will require the promoter to obtain a Provisional Advance Authorisation as part of the application process for a Major Activity Permit. (*See 6.2 above*).

An application for a Major Activity Permit shall be submitted to the Permit Authority in accordance with the time scales given in 10.10 below and must include a description of the proposed activity together with the proposed start and end dates of the activity. Where these differ from those given in the PAA application, the applicant must justify the reasons for any variation.

7.3. Permit for Standard Activities

Standard Activities are those activities, other than immediate or major activities, that have a planned duration of between 4 and 10 working days inclusive. Activities lasting less than 10 working days but which require a traffic regulation order, such as a temporary road closure, will be classified as Major Activities and will be subject to the requirements in 7.2 above.

An application for a Standard Activity Permit shall be submitted to the Permit Authority in accordance with the time scales given in 10.10 below and must include a description of the proposed activity together with the proposed start and end dates of the activity.

7.4. Permit for Minor Activities

Minor Activities are those activities, other than immediate or major activities, where the planned working is 3 working days or less.

An application for a Minor Activity Permit shall be submitted to the Permit Authority in accordance with the time scales given in 10.10 below and must include a description of the proposed activity together with the proposed start and end dates of the activity.

7.5. Permit for Immediate Activities

Immediate Activities are those which:

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

Including works that cannot reasonably be severed from such works.

Given the nature of immediate activities, work may commence without a permit. However, where it is necessary to carry out registerable activity on a Traffic Sensitive Street, promoters of such activities should apply to the Permit Authority for a permit within 2 hours of the activity starting and on weekdays between 8am and 4:30pm, should contact the Permit Authority by telephone immediately where the specified street is susceptible to unplanned disruption.

8. INFORMATION REQUIRED IN A PERMIT APPLICATION

8.1. Permit Authority requirements

To enable the Permit Authority to determine the granting of a permit and any conditions that it may wish to attach to the permit, activity promoters should supply the following information. In the case of Provisional Advance Authorisation applications, the promoter should provide the most accurate information available at the time of making the application.

8.2. Contact person

All permit applications should include the contact details of the person appointed by the activity promoter to deal with any problems that may occur during the activity, including any provision made for out of hours contact by the promoter.

8.3. USRN

Each application should relate to a single street only. (*See 4.1, 5.4 and 5.5 above*). Where a single street on the ground has more than one USRN, separate permit applications will be required for each USRN to which an activity relates.

8.4. Description of activity

A sufficiently detailed description in plain English of the activity should be provided to allow the Permit Authority to assess the impact of the activity

8.5. Location

The activity promoter should give an accurate location based on National Grid References, (NGR). In the case of small excavations, an NGR should be given for the centre of the excavation. For trenches and works for road purposes, NGRs should be given for each end of the trench or limit of the works or a polygon indicating the full extent of the works. In addition, dimensions should be given of the space that will be taken up by the activity in the street including space for the storage of materials, working space, safety zone, provision for pedestrians and traffic management.

8.6. Timing and duration

Each permit application should include the proposed start and end dates of the activity and the times of the day when the activity is to be carried out. The applicant should also indicate if it is intended for work to continue over weekends and bank holidays and if night working is required.

8.7. Illustration

Provisional Advance Authorisation applications and Major Activity Permit applications should be accompanied by an illustration(s) of the works and should include details of the activity, the extent of highway occupancy and where possible, a disruption effect score. The illustration will comprise plans, sections, digital photographs and similar material.

Illustrations should also be submitted with the application for standard and minor activities where the activity is significant in terms of potential disruption due to the position and size of the activity.

8.8. Technique to be used for underground activities

Details of the planned techniques, including open cut, trench share, minimum dig technique or no dig must be provided.

8.9. Traffic management and traffic regulation orders

The activity promoter must supply full details of the traffic management proposals including any requirement for action by the highway authority such as the need for Temporary Traffic Regulation Orders, (TTROs), and approval for portable light signals.

Where traffic management is to be used for road closures/diversions, lane closures, multi-way lights or 2-way lights spanning a junction, detailed plans should be supplied before the permit will be granted.

With specific regard to Minor and Immediate Activities, TM plans may be provided by the undertaker and they may be requested by the Permit Authority where clarification or additional detail is required for the Permit Authority to assess the activity and any disruption due to the position, size or the type of activity.

TM plans can be attached to the permit via EToN or sent via email.

In the case of the suspension of a parking bay being required, the activity promoter should make an application to the Parking Manager.

Applicants should be aware that such action by the highway authority may involve additional costs and promoters should familiarise themselves with the timescales relating to TTRO applications.

8.10. Depth

Activity promoters must provide their best estimate of the excavation depth of the activity. This may be expressed as a range where appropriate.

8.11. Reinstatement type

Permit applications must indicate whether the proposed activity is intended to be completed with interim or permanent reinstatement or a mixture of both.

Where the activity will be completed with a mixture of both interim and permanent reinstatement the applicant must give details of where these methods will be used within the permit.

Where the activity is completed with an interim reinstatement, a separate permit application will be required for the permanent reinstatement where this is to be undertaken outside the duration of the permit.

8.12. Inspection units

The activity promoter is required to indicate the provisional number of inspection units appropriate to the activity in accordance with the rules laid down in the Inspections Code of Practice and in The Street Works (Inspection Fees)(England)(Amendment) Regulations 2004. (*See 5.10 where collaborative working takes place*).

9. PERMIT CONDITIONS

The conditions imposed are those relevant conditions set out in Statutory Guidance for Highway Authority Permit Schemes – Permit Conditions, or subsequent statutory guidance.

Where conditions are applied to permits the wording and numbering set out in the Statutory Guidance must be used.

9.1. Breaching of conditions

If the Permit Authority considers that a promoter is failing to comply with the conditions of a permit then it may revoke the permit. Before revoking a permit, the Permit Authority will contact the promoter to warn them of its intention and allow the situation to be discussed.

Where it appears to the Permit Authority that a condition has been breached and that the promoter or a person contracted to act on its behalf has therefore committed an offence it will take action as described in 15.4.

9.2. Specific conditions

There may be an exceptional circumstance where a specific circumstance means that an additional condition needs to be added to a permit that is not covered by the text of the standard conditions set out in the “Statutory Guidance for Highway Authority Permit Schemes – Permit Scheme Conditions”.

Any such condition should;

- First be agreed with the work promoter (in line with the respective duties imposed by s59 and s60 of the 1991 Act);
- Be specific to both the circumstances of the particular activity and the locality; falls within regulation 10 (2) (a – h);
- Comply with all primary and secondary legislation regulations and that the application of any constraint within a condition does not conflict with the activity promoter’s obligations under separate legislation;
- Follow this and any further DfT statutory guidance;
- Have regard to the advice provided as the Highway Authorities and Utilities Committee (England) 2014 / 01 issued August 2014; and
- Be labelled under EToN reference 13.

9.3. Avoidance of conflict with other legislation

The Permit Authority will ensure that any conditions applied to a permit do not conflict with the activity promoter's statutory obligations. The activity promoter should bring such conflicts to the attention of the Permit Authority who will then be responsible for resolving the issue with the other body and amending the permit conditions accordingly. If the activity promoter has safety concerns about conditions set by the Permit Authority it should raise these concerns with the Permit Authority and if necessary challenge the condition.

10. PERMIT APPLICATIONS

10.1. Timing of applications

The timing of applications for permits and PAAs and the Permit Authority's response varies according to the proposed activity. The **minimum** times are given in the table in 10.10, below and activity promoters should give as much notice as possible so as to facilitate the co-ordination process. Where the activity is dependent on a temporary traffic regulation order, temporary traffic signal approval or the suspension of parking regulations, the relevant timescales should be taken into account and applicants are advised to submit their requests for TTROs and/or temporary traffic signal approval when applying for a PAA. The application process will begin when the Permit Authority receives the application, not when it was sent.

10.2. Submitting an application

Permit and PAA applications must be made electronically, as set down in the Technical Specification for the Electronic Transfer of Notices, (EToN), unless there is a failure in the electronic system or the promoter does not have access to electronic systems in which case a paper application will be acceptable.

10.3. System failure

In the event of a system failure, promoters shall adopt the following procedure:

- Where after three attempts to give an application or a notice by EToN (duly recorded by the person serving the application or notice), the application or notice cannot be given, notification should be given by telephone or fax for immediate activities with formal EToN application or notice following as soon as reasonably practicable. Other applications or notices may be given by other electronic means, (e.g. e-mail or fax) Following recovery of the service a copy of the application or notice should be sent through EToN to ensure information on the works is correctly recorded in the register.

10.4. Compliance with EToN

All applications must comply with the definitive format and content given in the current Technical Specification for EToN.

10.5. Use of plain English

The description of activities must be in plain English, avoiding industry jargon, and preferably be standard descriptions.

10.6. One application per street

Each application shall refer to activities in only one street. Where a project covers more than one street, all related applications must be cross-referenced and the project reference included on each application.

10.7. Application covering more than one street

Single applications containing activities in more than one street will not be accepted by the Permit Authority.

10.8. Notification to interested parties

Where the ASD indicates other interested parties, permit applications should be copied to those parties and promoters are required to check whether any parties have registered such an interest prior to submitting an application for a permit or PAA.

10.9. Consultation requirements

Activity promoters must carry out necessary consultations as set down in sections 88, 89 and 93 (as amended) and sections 90 and 91 of the NRSWA.

10.10. Application and response times

The Permit Scheme sets down the application and response times for dealing with permit applications and variation applications in the table below.

In all cases given in the table, the time period is measured from the time of receipt of the application by the Permit Authority. A “response” means a decision to grant or refuse a permit but where there are reasons why the permit cannot be granted in the terms applied for, the response indicating that a permit will not be granted in those terms will explain the reasons to the applicant.

The term “days” in the table below refer to working days as defined in NRSWA and the Regulations.

Activity Type	Minimum application periods ahead of proposed start date		Minimum period before permit expires for application for variation (including extension) whichever is the longer	Response times for issuing a permit or seeking further information or discussion		Response times for responding to applications for permit variations
	Provisional Advance Authorisation	Application		Provisional Advance Authorisation	Application	
Major	3 months	10 days	2 days or 20% of the original duration whichever is the longer	1 calendar month	5 days	2 days
Standard	N/A	10 days		N/A	5 days	
Minor	N/A	3 days		N/A	2 days	
Immediate	N/A	2 hours after		N/A	2 days	

10.11. Determination of application

Where an application for a permit meets the relevant requirements of the Permit Scheme, the Permit Authority shall grant the permit

The Permit Authority may refuse an application for a permit on any or all of the following grounds:-

- Where granting a permit will conflict with the Highways Authorities statutory duties under NRSWA (Section 59, General duty of the street authority to co-ordinate works) and TMA (Part 2, Network Management by Local Traffic Authorities)
- Where an application for a permit does not meet the relevant requirements of the Permit Scheme, the Permit Authority shall not grant the permit.

10.12. Restrictions on further activities

Where a promoter wishes to apply for a permit to carry out specified activities on a specified street where a notice has been issued under sections 58 or 58A of the NRSWA, and the activities are not covered by the specific exemptions of that notice, the promoter must make an application for the Permit Authority's consent specifying the grounds on which the consent is sought.

10.13. Procedure for optional permits

Promoters who decide to apply for an optional permit should follow the above procedure and time scales and be aware that where the circumstances of the activity change such that a permit would be required, then the work must cease and a full permit application made. (See 5.3 above).

10.14. Error correction

Where the Permit Authority identifies an error in data recorded in, or submitted for recording in, the permit register, it will contact the activity promoter to discuss and agree the corrections to be made. Where the promoter identifies an error, he will contact the Permit Authority to discuss and agree the corrections to be made. If an error has been identified on an application, the promoter shall submit a permit variation request by the end of the next working day following the agreement of the correction. This permit variation request should include the corrected data and the name of the person in the Permit Authority who agreed that the correction should be made. The error correction process is described in the Technical Specification for EToN.

This procedure cannot be used without the prior agreement of both parties. A variation fee will (where permit variation fee is applicable) be payable where the identified error has been caused by the promoter.

11. ISSUE OF PERMITS

11.1. Timing of Permit issue

Where the Permit Authority is content with the proposal, it will issue a permit within the response times detailed in 10.10 above.

11.2. Issue of Permit

A permit will be issued electronically in accordance with the formats given in the Technical Specification for EToN with the details placed on the permit register and copies supplied to any undertaker, authority or other relevant body that has asked to be informed about activities on a particular street. The permit will specify in detail the activity it allows and its duration.

11.3. Inclusion of conditions

A permit will be issued to the promoter for every permit that is granted and will include all the conditions attached to the permit.

11.4. Permit unique reference number

All permits will be given a unique reference number following the EToN numbering conventions with cross referencing to linked permits which have been issued.

11.5. Remedial works

In the event of remedial works being required after the expiry of the permit, an application must be made for a new permit. This permit must be cross referenced to the permit for the original activity.

11.6. Notification of refusal

If, having considered an application for a permit or PAA, the Permit Authority decides to refuse the application, it will contact the promoter within the response time given in 10.10 above identifying the grounds for refusal to explain why the application is not satisfactory and where amendments need to be made.

11.7. Amendment to the original application

Where the Permit Authority discusses its intention with the promoter to impose conditions which effectively amend the details of the original application, the activity promoter shall amend and resubmit its application.

11.8. Right of appeal

The promoter has a right of appeal, in accordance with the Dispute Resolution process set down in the Code of Practice for Permits and Northamptonshire County Council's Dispute Procedure contained in its Network Management Plan, if it is unable to reach agreement with the Permit Authority over the terms it requested or the conditions attached. In the case of immediate activities it may be that the work has to stop, subject to safety and legal considerations, until the issues are resolved.

11.9. Permit application deemed to be approved

If the Permit Authority fails to reply to an application for a permit or PAA within the designated response times, the permit or PAA is deemed to be granted in the terms of the application. The proposed start and end dates, description, location, duration, traffic management, etc., will be included in the permit and associated conditions for the activity and will then be binding on the promoter as they would had the permit been issued within the timescale. Breaching the conditions will constitute an offence.

12. REVIEW, VARIATION AND REVOCATION OF PERMITS AND PERMIT CONDITIONS

12.1. Permit Authority powers

Within the Permit Scheme, the Permit Authority has the power, under regulation 15 of the Regulations, to review, vary or revoke permits and permit conditions on its own or a promoter's initiative. However, the Permit Authority is under no obligation to let activities run beyond the permitted period.

12.2. Changes to a Provisional Advance Authorisation

A PAA cannot be varied. Where a PAA has been given but a full permit has not been issued and the proposals change, the promoter should inform the Permit Authority immediately of the proposed changes and a revised application for a PAA or permit should be made.

12.3. Avoidance of criminal offence

Variations should be sought as soon as changes are identified to avoid a criminal offence being committed by work being undertaken without a permit or outside of the conditions associated with that permit.

12.4. Timing of variations

Applications for variations may be made at any time after the permit has been issued and before or during the activity itself. Applications must **not** be made after the end date has passed.

12.5. Electronic application for a variation

Where the existing permit has more than 20% of its duration or more than two working days to run, whichever is the longer, the promoter shall submit a variation request via ETON.

12.6. Telephone application for a variation

Where the criteria in 12.5 is not met, the promoter shall first telephone the Permit Authority to ascertain whether the Authority is prepared to grant a variation and only apply, again electronically, if the Authority is so prepared.

12.7. Variations for Immediate Activities

In the event of immediate activities requiring a series of fault finding excavations or openings, the following procedure shall apply where it is necessary to undertake works beyond the initial excavation or opening covered by the first application. As immediate works, the promoter will submit the first permit application within two hours of starting work. That first application will contain the location of the initial excavation or opening:

- (i) For any further excavations or openings on the same street within 50 metres of the original hole, the promoter will telephone the Permit Authority with the new location. No permit variation will be needed and no variation charge will apply.

- (ii) The promoter will have to apply for a permit variation for the first excavation in each further 50 metre band away from the original hole in the same street, i.e. 50-100 metres, 100-150 metres, etc. Standard variation charges will apply.
- (iii) Separate variations will be required for bands going in opposite directions.
- (iv) For additional excavations within each band, the promoter will telephone the Permit Authority with the new location. No permit variation will be needed and no variation charge will apply.
- (v) If the search carries into a different street or a new USRN, (including if the street changes to a different authority), then a separate permit application will be needed.
- (vi) If the promoter cannot contact the Permit Authority by telephone, it should record the fact and send the message electronically.
- (vii) Conditions for these activities may be varied to take into account the fact that a new location, even within the permissive bands, can be more disruptive.

12.8 Information required for variation applications

Applications for permit variations must contain the following information as applicable:

- (i) The revised time scale.
- (ii) Any change to the description of the activity.
- (iii) A revised illustration.
- (iv) Any change to the method of excavation.
- (v) Any variation to the depth of the excavation.
- (vi) Any changes to the reinstatement method.

12.8. Review of Permit by Permit Authority due to circumstances outside its control

The Permit Authority may review the permit and associated conditions in the event of circumstances beyond its control having a significant disruptive effect at the location of the activity. The Permit Authority's policy regarding the circumstances in which it will review, vary or revoke permits on its own initiative is given in Appendix C. No fee will apply for permit variations initiated by the Permit Authority unless, at the same time, the promoter applies for variations which are not the result of the circumstances causing the Permit Authority's action.

12.9. Review of Permit due to non-compliance by the Promoter

If the Permit Authority considers that a promoter is failing to comply with the conditions of a permit then it may revoke the permit. Before revoking a permit, the Permit Authority will contact the promoter to warn them of its intention and allow the situation to be discussed.

12.10. Waiving of fees

If the Permit Authority has to revoke a permit through no fault of the promoter, no fee will be chargeable for a new permit.

12.11. Working after Permit has been revoked

An activity promoter will be committing an offence if it continues to work after a permit has been revoked.

13. CANCELLATION OF A PERMIT

13.1. Cancellation Notice

If a promoter wishes to cancel a permit for which it has no further use, or to cancel or withdraw an application that has been submitted but for which a permit has not yet been granted, it should use the cancellation notice containing the relevant permit number – see Technical Specification for EToN. There is no fee payable for this process.

13.2. Continuing to work following the cancellation of a Permit

An activity promoter will be committing an offence if it continues to work after a permit has been cancelled.

14. FEES

14.1. Permit Authority power to charge fees

To meet the costs of introducing and operating the scheme, Regulation 30 gives the Permit Authority the power to charge a fee in respect of the following:

- (i) The application for a PAA in respect of Major activities;
- (ii) The issue of a permit;
- (iii) Each occasion where there is a variation of a permit or the conditions attached.
- (iv) The full fee will be charged if activities are identified to be taking place during Traffic Sensitive Times
- (v) Where a permit variation would move an activity into a higher category, the promoter will be required to pay the difference between the permit fee for the two categories as well as the permit variation fee.

14.2. Fee policy

The Permit Authority will charge undertakers for the above actions.

14.3. Where fees will not be payable

Fees will not be payable in the following circumstances:

- (i) By the highway authority in respect of its own works for road purposes, but records of all permits issued and the fees that could have been charged will be kept in order to assist in the review of fees referred to in 14.7 below;
- (ii) Where a permit is deemed to be granted because the Permit Authority failed to respond to an application within the time set down in 10.10;
- (iii) If a permit variation is initiated by the Permit Authority or the Authority has to revoke a permit through no fault of the promoter.
- (iv) Where the promoter has applied for an optional permit as described in 5.3 above.
- (v) Where maintenance works are undertaken on fire hydrants wholly outside traffic sensitive times.

14.4. Fee discounts

Fee discounts will be given in the following circumstances:

- (i) Where several permit applications for works that are of part of the same project but which are carried out on more than one street are submitted at the same time.
- (ii) Where several promoters are working within the same site submit applications at the same time. Where the highway authority promoter is collaborating with undertakers, those undertakers will be eligible for the discount.
- (iii) Where activities on traffic sensitive streets are carried out **wholly** outside of traffic sensitive times.

14.5. Rate of discount

A discount of 30% will be applied in the above circumstances.

14.6. Option to waive or reduce fees

The Permit Authority retains the option to waive or reduce fees at its discretion in other circumstances.

14.7. Review of fees

The Permit Authority will review its scale of fees annually to ensure that the overall fee income does not exceed the allowable costs. The outcome of the annual fee reviews will be published and open to public scrutiny.

14.8. Approved scale of fees

The current approved scale of fees is included in the order made Northamptonshire as the Permit Authority.

14.9. Processing of fees

Monthly invoices will be issued to each promoter with all permits referenced. A summary will be issued to each promoter every two weeks so that amounts can be confirmed before the invoice is raised so as to avoid late payments. Each promoter is required to provide an e-mail contact to where the summary can be sent.

15. SANCTIONS

15.1. Permit Authority's Policy

Appendix D sets down the Permit Authority's policy of how it will employ sanctions and this policy should be read in conjunction with this section.

15.2. Undertaking activities without a Permit

It is a criminal offence for a statutory undertaker or a person contracted to act on its behalf to undertake specified activities in a specified street in the absence of a permit, except as set down in 5.2 above.

15.3. Breaching a Permit condition

It is a criminal offence for a statutory undertaker or a person contracted to act on its behalf to breach a permit condition.

15.4. Action by Permit Authority

If the Permit Authority considers that a promoter is failing to comply with the conditions of a permit then it may revoke the permit. Before revoking a permit, the Permit Authority will contact the promoter to warn them of its intention and allow the situation to be discussed.

Where a statutory undertaker or a person contracted to act on its behalf undertakes without a permit, works for which a permit is required, or breaches a permit condition, the Permit Authority may take one or more of the following courses of action depending on the seriousness and persistence of the offences:

- (i) Serve a notice requiring that statutory undertaker to take such reasonable steps as detailed in the notice to remedy the situation within a specified timescale.
- (ii) Where a statutory undertaker fails to comply with the requirements of such a notice within the timescale the Permit Authority may undertake

the specified steps and recover the costs that are reasonably incurred from the statutory undertaker.

- (iii) Issue a Fixed Penalty Notice, (FPN), against the statutory undertaker.
- (iv) Prosecute the statutory undertaker.

The form of the FPN is given in Appendix E

In the event that the Permit Authority subsequently considers that a FPN which has been given ought not to have been given, it shall give to the person to whom that notice was given a notice withdrawing the FPN. The form of notice withdrawing a FPN is given in Appendix F.

16. REGISTERS

16.1. Register of Permits

The Permit Authority will maintain a register of permits in connection with the Permit Scheme and in accordance with regulation 33 and 34, Part 7 of the Regulations.

16.2. Referencing of information

All information held in the register of permits will be referenced to the USRN and the permit register will be Geographic Information System, (GIS), based.

17. MONITORING

17.1. Monitoring and evaluating the Permit Scheme

The Permit Authority will establish a monitoring group to include representatives of NJUG and/or EMJUG to monitor and evaluate the Permit Scheme to ensure that it demonstrates parity of treatment for all activity promoters, particularly between statutory undertakers and the highway authority's own promoters. The evaluation of the Scheme shall take place annually for the first three years and at least every third year thereafter.

In evaluating the Permit Scheme the Permit Authority will consider –

- (a) Whether the fee structure needs to be changed in light of any surplus or deficit;
- (b) The costs and benefits (whether or not) of operating the scheme;
and
- (c) Whether the permit scheme is meeting key performance indicators where these are set out in the Guidance and as otherwise set out in this scheme.

The outcome of each evaluation shall be made available to the persons referred to in regulation 3(1) of the 2007 Regulations within three months of the evaluation.

17.2. Use of Key Performance Indicators

Equality will be measured through Key Performance Indicators, (KPI's).

The KPI's agreed by the National Permit Forum will be adopted by the Permit Authority for use on this Permit Scheme. In addition, the KPI's set out below will be mandatory.

It is likely that as operation of the scheme develops the Highway Authority and statutory undertakers will agree to the development of revised or additional KPIs to reflect local concerns and conditions.

KPI's will be split to reflect the performance of individual works promoters.

17.3. Mandatory KPI's

KPI's will be split by individual works promoter:

KPI 1 Number and % of aborted permits after being granted against total number of permit applications, measured as follows:

$$\frac{\text{Number of aborted permits after being granted}}{\text{Total number of permit applications}} \times 100 = \text{KPI1}$$

KPI 2 Number and % of early starts, extensions, variations requested and granted against total permit applications, measured as follows:

$$\frac{\text{Number of variations requested and granted}}{\text{Total number of permit applications}} \times 100 = \text{KPI2}$$

KPI 3 Trends in breach of permit conditions by Works Promoter, measured as follows:

$$\frac{\text{Number of breaches of permit conditions identified}}{\text{Total number of permit applications}} \times 100 = \text{KPI3}$$

KPI 4 Trends in working without a permit by Works Promoter, measured as follows:

$$\frac{\text{Number of works identified without a permit}}{\text{Total number of permit applications}} \times 100 = \text{KPI4}$$

APPENDIX A

Glossary of terms used in the Permit Scheme.

2007 Regulations	Traffic management Permit Scheme (England) Regulations 2007/3372 (as amended)
Activity	Any works undertaken by statutory undertakers and the highway authority and any other works that maybe covered in future regulations.
Activity promoter	See promoter.
Additional street data	Additional Street Data (ASD) refers to other information about streets held on the NSG concessionaire's website alongside the NSG
Apparatus	As defined in section 105(1) of NRSWA "apparatus includes any structure for the lodging therein of apparatus or for gaining access to apparatus"
Appeal	If there is an unresolved disagreement between the activity promoter and the Permit Authority about the terms and conditions of the permit or PAA, the promoter may appeal against the Permit Authority's decision.
Bank holiday	As defined in section 98(3) of NRSWA, "bank holiday means a day which is a bank holiday under the Banking and Financial Dealings Act 1971 in the locality in which the street in question is situated"
Breaking up (the street)	Any disturbance to the surface of the street (other than opening the street)
Bridge	As it says in section 88(1)(a) of NRSWA, "references to a bridge include so much of any street as gives access to the bridge and any embankment, retaining wall or other work or substance supporting or protecting that part of the street"
Bridge authority	As defined in section 88(1)(b) of NRSWA, "bridge authority means the authority, body or person in whom a bridge is vested"
Carriageway	As defined in section 329 of HA 1980, "carriageway means a way constituting or comprised in a highway, being a way (other than a cycle track) over which the public have a right of way for the passage of vehicles"
Code of Practice for Permits	As published by the Department for Transport March 2008

Collaborative working	Includes trench sharing, multi-utility working, utility/works for road purposes situations and compliance testing.
Cycle track	As defined in section 329 of the HA 1980, "cycle track means a way constituting or comprised in a highway, being a way over which the public have the following, but not other, rights of way, that is to say, a right of way on pedal cycles with or without a right of way on foot"
Day	A working day, unless explicitly stated otherwise
Emergency works	As defined in section 52 of NRSWA, "emergency works means works whose execution at the time when they are executed is required in order to put an end to, or to prevent the occurrence of, circumstances then existing or imminent (or which the person responsible for the works believes on reasonable grounds to be existing or imminent) which are likely to cause danger to persons or property"
EToN	Electronic Transfer of Notices, the system defined in the Technical Specification for EToN for passing notices. Permit applications, permits and other information between promoters and the Permit Authority.
Excavation	"Breaking up" (as defined above)
Fixed Penalty Notice	As defined in schedule 4B to NRSWA, "fixed penalty notice means a notice offering a person the opportunity of discharging any liability to conviction for a fixed penalty offence by payment of a penalty"
Footway	As defined in section 329 of the HA 1980, "footway means a way comprised in a highway which also comprises a carriageway, being a way over which the public have a right of way on foot only"
Geographical Information system (GIS)	A computer system for capturing, storing, checking, integrating, manipulating, analysing and displaying data related to positions on the Earth's surface
HA 1980	The Highways Act 1980
Highway	As defined in section 328 of the HA 1980, "highway means the whole or part of a highway other than a ferry or waterway"
Highway authority	As defined in sections 1 and 329 of the HA 1980
Highway works	"Works for road purposes" or "major highway works"

Immediate activities	<p>As stated in section 9.2.4, immediate activities are either emergency works as defined in section 52 of NRSWA or urgent works as defined in <i>The Street Works (Registers, Notices, Directions and Designations) (England) Regulations 2007</i></p> <p>As defined in section 105(1) of NRSWA, "in, in a context referring to works, apparatus or other property in a street or other place includes a reference to works, apparatus or other property under, over, along or upon it"</p>
Local authority	As defined in section 270(1) of the Local Government Act 1972(a) and includes the Common Council of the City of London.
Local highway authority	As defined in section 329 of HA 1980, "local highway authority means a highway authority other than the Minister"
Main roads	All streets in reinstatement categories 0, 1 and 2 and those streets in categories 3 and 4 which are traffic sensitive for all or part of the time
Maintainable highway	As defined in section 329 of HA 1980, a "highway maintainable at the public expense means a highway which by virtue of section 36 above or of any other enactment (whether contained in this Act or not) is a highway which for the purposes of this Act is a highway maintainable at the public expense"
Maintenance	As defined in section 329 of HA 1980, "maintenance includes repair, and "maintain" and "maintainable" are to be construed accordingly"
Major activities	As stated in section 9.2.1, major activities are activities which have been identified in a promoter's annual operating programme, or if not identified in that programme, are normally planned or known about at least six months in advance of the date proposed for the activity; <i>or</i> activities, other than immediate activities, where (i) the authority has indicated to the promoter, or (ii) the promoter considers, that an order under section 14 of the Road Traffic Regulation Act 1984 (temporary prohibition or restriction on roads) is required; <i>or</i> activities, other than immediate activities, which have a planned duration of 11 days or more"
Major highway works	As defined in section 86(3) of NRSWA, "major highway works means works of any of the following descriptions executed by the highway authority in relation to a highway which consists of or includes a carriageway - (a) a reconstruction or widening of the highway; (b) works carried out in exercise of the powers conferred by section 64 of the Highways Act 1980 (dual

carriageways and roundabouts); (c) substantial alteration of the level of the highway; (d) provision, alteration of the position or width, or substantial alteration in the level of a carriageway, footway or cycle track in the highway; (e) the construction or removal of a road hump within the meaning of section 90F of the Highways Act 1980; (f) works carried out in exercise of the powers conferred by section 184 of the Highways Act 1980 (vehicle crossings over footways and verges); (g) provision of a cattle-grid in the highway or works ancillary thereto; or (h) tunnelling or boring under the highway"

Minor activities	As stated in section 9.2.3, minor activities are those activities other than immediate activities where the planned duration is 3 days or less.
Minor roads	Streets in reinstatement categories 3 and 4 which are not traffic sensitive at any time.
National grid reference	Location reference using nationally defined eastings and northings.
Nationally consistent Street gazetteer (NSG)	A database defined as an "index of streets and their geographical locations created and maintained by the local highway authorities" based on BS 7666 standard.
NRSWA	New Roads and Street Works Act 1991.
NSG Concessionaire	The body appointed to manage the NSG on behalf of the local highway authorities.
Opening (the street)	Removing a lid or cover to a manhole, inspection chamber, meter box or other structure embedded in the street without any "breaking up" of the street.
Permit	The approval of a permit authority for an activity promoter to carry out activity in the highway subject to conditions.
Permit application	See Section 10. The application that is made by a promoter to the authority to carry out an activity in the highway. It is equivalent to the notice of proposed start of works (section 55 of NRSWA) given under the Co-ordination regime.
Permit Authority	Northamptonshire County Council
Permit Scheme	The permit scheme introduced by Statutory Instrument 2010 No 2838 – " the Traffic Management (Northamptonshire County Council) Permit Scheme Order 2010" as varied by Northamptonshire County Council by its 2015 Order

Promoter	A person or organisation responsible for commissioning activities in the streets covered by the permit scheme. The promoter will usually be a statutory undertaker or the highway or traffic authority.
Protected Street	See Section 1.6. Any street that serves a specific strategic major traffic need and therefore needs to be protected from unnecessary excavation and works and providing there is a reasonable alternative route in which undertakers can place the equipment that would otherwise lawfully have been placed in the protected street.
Provisional Advance Authorisation	See Section 6.2. The early approval of activities in the highway, equivalent to the advance notice given under s 54 of NRSWA.
Registerable	See Section 1.6. Registerable activities correspond to specified works in the regulations.
Reinstatement	As defined in section 105(1) of NRSWA, "reinstatement includes making good".
Relevant authority	As defined in section 49(6) of NRSWA, "references in this Part to the relevant authorities in relation to any works in a street are to the street authority and also (a) where the works include the breaking up or opening of a public sewer in the street, the sewer authority; (b) where the street is carried or crossed by a bridge vested in a transport authority, or crosses or is crossed by any other property held or used for the purposes of a transport authority, that authority; and (c) where in any other case the street is carried or crossed by a bridge, the bridge authority"
Remedial work	Remedial works are those required to put right defects identified in accordance with the provisions of the Code of Practice for Inspections and regulations.
Road	See "highway".
Road works	Works for road purposes.
Special Engineering Difficulties (SED)	See Section 1.6. By virtue of section 63 of NRSWA, the term special engineering difficulties relates to streets or, more commonly, parts of streets associated with structures, or streets of extraordinary construction where street works must be carefully planned and executed in order to avoid damage to, or failure of, the street itself or the associated structure with attendant danger to person or property.
Specified Area	That geographical area to which the Permit Scheme applies.

Specified Street	Those streets to which the Permit Scheme applies.
Standard activities	Standard activities are those activities, other than immediate activities, that have a planned duration of between 4 and 10 days inclusive.
Statutory Guidance	Has the same meaning as given and under the TMA
Statutory undertaker	A person entitled by virtue of a statutory right to carry out street works.
Street	As defined in section 48(1) of NRSWA, "street means the whole or any part of any of the following, irrespective of whether it is a thoroughfare (a) any highway, road, lane, footway, alley or passage; (b) any square or court; (c) any land laid out as a way whether it is for the time being formed as a way or not".
Street authority	As defined in section 49(1) of NRSWA, "the street authority in relation to a street means, subject to the following provisions (a) if the street is a maintainable highway, the highway authority, and (b) if the street is not a maintainable highway, the street managers".
Street works	As defined in section 48(3) of NRSWA, "street works means works of any of the following kinds (other than works for road purposes) executed in a street in pursuance of a statutory right or a street works licence: (a) placing apparatus; or (b) inspecting, maintaining, adjusting, repairing, altering or renewing apparatus, changing the position of apparatus or removing it, or works required for or incidental to any such works (including, in particular, breaking up or opening the street, or any sewer, drain or tunnel under it, or tunnelling or boring under the street".
Traffic Sensitive times	means in relation to a traffic-sensitive street, - (a) the times and dates specified in the case of limited designation; and (b) any time in any case.
Street works licence	As stated in section 50(1) of NRSWA, "the street authority may grant a licence (a "street works licence") permitting a person (a) to place, or to retain, apparatus in the street, and (b) thereafter to inspect, maintain, adjust, repair, alter or renew the apparatus, change its position or remove it, and to execute for those purposes any works required for or incidental to such works (including, in particular, breaking up or opening the street, or any sewer, drain or tunnel under it, or tunnelling or boring under the street).
TMA	The Traffic Management Act 2004.

Traffic	As defined in section 105(1) of NRSWA, "traffic includes pedestrians and animals"
Traffic control	Any of the five methods of controlling traffic detailed in the Code of Practice "Safety at Street Works and Road Works"
Traffic regulation order	This means an order made under section 1, 6 or 9 of the Road Traffic Regulation Act 1984.
Traffic sensitive street	See section 1.6. This means a street designated by a street authority as traffic sensitive pursuant to section 64 of NRSWA and in a case where a limited designation is made pursuant to section 64(3) any reference to works in a traffic sensitive street shall be construed as a reference to works to be executed at the times and dates specified in such designation.
Transport authority	As defined in section 91(1)(a) of NRSWA, "transport authority means the authority, body or person having the control or management of a transport undertaking".
Trunk road	As defined in section 329 of the HA 1980, "trunk road means a highway, or a proposed highway, which is a trunk road by virtue of section 10(1) or section 19 above or by virtue of an order or direction under section 10 above or under any other enactment".
Undertaker	As defined in section 48(4) of NRSWA, "undertaker in relation to street works means the person by whom the relevant statutory right is exercisable (in the capacity in which it is exercisable by him) or the licensee under the relevant street works licence, as the case may be".
Unique Street Reference Number (USRN)	As defined in the British Standard BS7666.
Urgent activities	Urgent activities are (a) activities (not being emergency activities) whose execution at the time they are executed is required (or which the person responsible for the activity believes on reasonable grounds to be required) (i) to prevent or put an end to an unplanned interruption of any supply or service provided by the undertaker; (ii) to avoid substantial loss to the undertaker in relation to an existing service; or (iii) to reconnect supplies or services where the undertaker would be under a civil or criminal liability if the reconnection is delayed until after the expiration of the appropriate notice period; and (b) Includes activity that cannot reasonably be severed from such activities.
Working day	As defined in section 98(2) of NRSWA, "for the purposes of this Part a working day means a day other than a Saturday, Sunday, Christmas Day, Good Friday or a bank holiday; and a notice given after 4.30 p.m. on a working day shall be treated as given on the next working day".

Works

Street works or works for road purposes.

Works for road purposes

As defined in section 86(2) of NRSWA, "works for road purposes means works of any of the following descriptions executed in relation to a highway: (a) works for the maintenance of the highway; (b) any works under powers conferred by Part V of the Highways Act 1980 (improvement); (c) the erection, maintenance, alteration or removal of traffic signs on or near the highway; or (d) the construction of a crossing for vehicles across a footway or grass verge or the strengthening or adaptation of a footway for use as a crossing for vehicles".

APPENDIX B

Schedule of motorways and trunk roads in Northamptonshire excluded from this permit scheme. For information regarding works on these roads, contact Highways England.

- M1** Motorway from the county boundary with Buckinghamshire to the county boundary with Leicestershire.
- M45** Motorway from junction 17 M1 to the Warwickshire county boundary.
- A5** From the county boundary with Buckinghamshire to the county boundary with Warwickshire.
- A14** From the county boundary with Leicestershire to the county boundary with Cambridgeshire.
- A43** From the county boundary with Oxfordshire to junction 15A of the M1.
- A45** From junction 15 M1 to junction 13 of the A14.

APPENDIX C

Policy Statement – Circumstances In Which the Permit Authority Will Review, Vary Or Revoke Permits On Its Own Initiative.

Once a permit has been issued, the promoter should have reasonable confidence that the road space will be available for them. However, circumstances beyond the Permit Authority's control may occur which may cause the Authority to review the permit and as a result, may lead to the conclusion that the permit or its conditions need to be changed or revoked.

The Permit Authority's policy is to avoid making such changes other than in exceptional circumstances which could not reasonably have been predicted or where the impact is significant. Such events may include floods and other adverse weather conditions, burst mains, dangerous buildings, etc., which may result in traffic being diverted onto the road where the activity was underway or about to start.

If the consequent disruption of such events cannot be mitigated in a way other than by changing or revoking the permit, the Permit Authority will adopt the following procedure:

- (i) As soon as the Permit Authority is aware that it may be necessary to vary or revoke a permit, it will contact the promoter to discuss the best way of dealing with the situation.
- (ii) If these discussions lead to an acceptable solution for both the Permit Authority and the promoter, the Authority will either issue a new permit incorporating the agreed changes or the promoter can apply for a permit variation from which the authority will issue the new permit.
- (iii) In the event that agreement cannot be reached, the Permit Authority will issue a new permit on the terms it considers reasonable but the promoter would have the option of invoking the dispute resolution procedure.
- (iv) No fee will be charged for variations or the revoking of a permit where it is initiated by the Permit Authority unless, at the same time, the promoter seeks variations which are not the result of the circumstances causing the Permit Authority's action.

The above policy does not restrict the Permit Authority from revoking a permit if the works promoter is considered to be acting unreasonably and causing unnecessary disruption on site.

APPENDIX D

Policy Statement – Employment of Sanctions.

Failure to obtain a permit, where one is required to undertake specified activities in a specified street, or to commit a breach of a permit condition, constitutes a criminal offence under the Regulations. The Permit Authority is empowered to employ three courses of action to achieve compliance with the Permit Scheme.

Before resorting to these courses of action, the Permit Authority will always endeavour to resolve problems and achieve the necessary compliance with the Permit Scheme by informal negotiation with the activity promoter concerned.

Where it is not possible to informally resolve the situation with the activity promoter, the Permit Authority will initially serve a notice on the promoter in respect of the non-compliance setting down the action that is to be taken within a set timescale. Failure of the promoter to positively respond to such a notice may result in the Permit Authority carrying out the required action and recovering all reasonably incurred costs from the promoter.

As a last resort, and dependant on the seriousness and persistence of the offence, the Permit Authority may either issue a Fixed Penalty Notice or commence legal proceedings against the promoter.

APPENDIX E

Fixed Penalty Notice – Part A

NORTHAMPTONSHIRE COUNTY COUNCIL	FIXED PENALTY NOTICE NORTHAMPTONSHIRE PERMIT SCHEME FOR ROAD WORKS AND STREET WORKS THE TRAFFIC MANAGEMENT PERMIT SCHEME (ENGLAND) REGULATIONS 2007	FIXED PENALTY NOTICE NO.
PART A		
Contact Tel. No.	Permit Reference No.	
TO:	DATE OF THIS NOTICE:	
ADDRESS:		
OFFENCE CODE (See PART B) (NB: Only one offence code per fixed penalty notice):		
LOCATION:		
DATE OF OFFENCE:		
DETAILS OF OFFENCE:		
<p>1. I am giving you this notice, in accordance with Part 5 of the Traffic Management Permit Scheme (England) Regulations 2007, to offer you the opportunity of discharging any liability to conviction for this fixed penalty offence by payment of a penalty.</p> <p>2. This means that no legal proceedings will be commenced for the offence if, subject to paragraph 3, the penalty of [£500] [£120] is paid. (See Part B for instructions on methods of payment) within the period of 36 days beginning with the day on which this notice was given. (NB: The Permit Authority may extend this period in any particular case if they consider it appropriate to do so. (See regulation 24(3)).).</p> <p>3. Instead of paying the amount referred to in paragraph 2, liability to conviction for the offence may also be discharged if the discounted amount of [£300] [£80] is paid within the period of 29 days beginning with the day on which this notice was given. (NB: If the last day of this period does not fall on a working day, the period for payment of the discounted amount is extended until the end of the next working day (See regulation 25(3)).).</p> <p>4. If the discounted amount is not paid within the period set out in paragraph 3, as extended where relevant, liability to conviction for the offence may only be discharged thereafter by payment of the penalty of [£500] [£120] within the period set out in paragraph 2, as extended where considered appropriate. If you then fail to pay the penalty within that period, legal proceedings for the offence may be commenced against you.</p> <p>5. Any representations that you wish to make in relation to this notice may be addressed to [] at [] identifying the fixed penalty notice number stated above.</p>		
NAME OF AUTHORISED OFFICER (in block capitals)		
DATE		

Fixed Penalty Notice – Part B

PART B		
NORTHAMPTONSHIRE COUNTY COUNCIL	INSTRUCTIONS ON METHODS OF PAYMENT	FIXED PENALTY NOTICE No.
<p>ELECTRONICALLY: by the Bankers Automated Clearing Services (BACS). Payment should be made to [], Sort Code [], Account Number []. Payment must be supported by the timely submission of a list of the fixed penalty notice numbers covered by the payment and the amount being paid in relation to each number.</p>		
<p>ON LINE: please visit our web site at www.northamptonshire.gov.uk</p>		
<p>BY POST: by making your cheque payable to “Northamptonshire County Council” and sending it to []. Payment must be accompanied by a list of the fixed penalty notice numbers covered by the payment and the amount being paid in relation to each number. A receipt will be sent on request.</p>		
<p>IN PERSON: to [] at [] between 9:00am and 4:00pm on any day on which the office is open for business. Any cheque should be made payable to “Northamptonshire County Council”. Payment may be made by using a debit or credit if the card is one that is accepted by the Permit Authority in accordance with its standard procedures. Payment must be accompanied by a list of the fixed penalty notice numbers covered by the payment and the amount being paid in relation to each number. A receipt will be provided on request.</p>		
<p>BY TELEPHONE: by contacting [] at [] on [] between 9:00am and 4:00pm on any day on which the office is open for business. Payment may only be made by using a debit or credit card that is accepted by the Permit Authority in accordance with its standard procedures. You must state the fixed penalty notice number of each notice in respect of which payment is being made and the amount being paid in relation to each number. A receipt will be sent on request.</p>		

Fixed Penalty Notice – Offence Codes and Description

OFFENCE CODES AND DESCRIPTION (By reference to the Traffic Management Permit Scheme (England) Regulations 2007)		
CODE	OFFENCE	BRIEF DESCRIPTION
PS01	An offence under Regulation 19(1)	Undertaking specified works on a specified street without a permit where an applicable Permit Scheme requires one.
PS02	An offence under Regulation 20(1)	Breaching a permit condition

APPENDIX F

Form of Notice Withdrawing a Fixed Penalty Notice

NORTHAMPTONSHIRE COUNTY COUNCIL	NOTICE WITHDRAWING FIXED PENALTY NOTICE NORTHAMPTONSHIRE PERMIT SCHEME FOR ROAD WORKS AND STREET WORKS REGULATION 27 OF THE TRAFFIC MANAGEMENT PERMIT SCHEME (ENGLAND) REGULATIONS 2007	FIXED PENALTY NOTICE No.
TAKE NOTICE that the fixed penalty notice numbered as above is hereby WITHDRAWN .		
NAME OF AUTHORISED OFFICER (<i>in block capitals</i>) :		
DATE:		

APPENDIX G

Associated Documentation

BS 7666 Spatial datasets for Geographical Referencing. Specification for a Street Gazetteer. July 2006

Code of Practice for the Co-ordination of Street Works and Works for Road Purposes and Related Matters Rev. 3rd edition March 2008

Code of Practice for Safety at Street Works and Road Works November 2005

Department for Transport Permit Schemes Guidance July 2008

Department for Transport Statutory Guidance for Permits March 2008

Highways Act 1980

National Street Gazetteer

New Roads and Street Works Act 1991

Northamptonshire County Council's Network Management Plan (*Policies and procedures*)

Revised Specification for the Reinstatement of Openings in Highways February 2005

Specification for the Reinstatement of Openings in Highways July 2002

The Road Traffic Act 1984

The Street Works (Charges for Unreasonably Prolonged Occupation of the Highway)(England) Regulations 2009

The Street Works (Registers, Notices, Directions and Designations)(England) Regulations 2007

The Technical Specification for the Electronic Transfer of Notices December 2008

Traffic Management Act 2004

Traffic Management Act 2004 Code of Practice for Permits

Traffic Management Permit Schemes (England) Regulations 2007

Traffic management Act 2004 (part 3 – permit Scheme) Additional advise Note –for developing and operating future Permit Schemes

Traffic Management Permit Scheme (England) (Amendment) Regulations 2015

Statutory Guidance for Highway Authority Permit Scheme –Permit Scheme Conditions March 2015

APPENDIX H

Transitional Arrangements.

All valid NRSWA notices submitted before 1st June 2016 will continue as a notice until that works phase is completed however any subsequent phases will require a permit. All activities submitted on or after 1st June 2016 will require a permit.