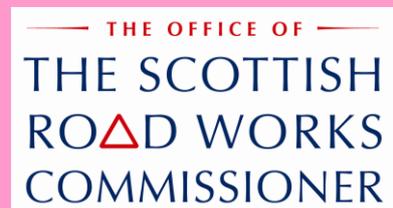


**New Roads and Street Works Act 1991**

# **CODE OF PRACTICE FOR INSPECTIONS**

**3<sup>rd</sup> Edition  
Version 1.1**

**NOVEMBER 2012**



# CODE OF PRACTICE FOR INSPECTIONS

## 3<sup>rd</sup> Edition

### Version History

Version	Date	Notes
1.00	1 <sup>st</sup> October 2010	First version of edition 3.
1.01	1 <sup>st</sup> October 2012	Review of Chapter 3 – Defective Apparatus and Appendix F flowchart. Minor typographical fixes.
	2 October 2013	All previous changes fully incorporated without highlighting etc. No material changes to Version 1.01

# CONTENTS

<b>FOREWORD</b>	<b>5</b>
<b>C1 INTRODUCTION</b>	<b>6</b>
<b>C2 INSPECTIONS</b>	<b>8</b>
Purpose of Inspections	8
Types of Inspection	9
Sample Inspection Procedure	10
Defect Inspections	13
Third Party Inspections	13
Investigatory Works	14
Routine Inspections	14
Defective Apparatus Inspections	14
Inspection Reports	14
Diagrammatic Illustrations	14
<b>C3 DEFECTIVE APPARATUS</b>	<b>15</b>
Introduction	15
Responsibilities	15
Defective Apparatus	15
Follow-up action	17
<b>C4 INVESTIGATORY WORKS</b>	<b>19</b>
Investigatory Works	19
<b>C5 REINSTATEMENT DEFECTS</b>	<b>20</b>
Reinstatement Defects	20
Procedures for Dealing with Defective Reinstatements	21
Guarantee Periods	24
<b>C6 INADEQUACIES IN SIGNING, LIGHTING AND GUARDING</b>	<b>25</b>
Inadequacies	25
Procedures for Dealing with Inadequacies	25
<b>C7 FINANCIAL ARRANGEMENTS</b>	<b>28</b>
Inadequacies	28
Sample Inspection Fees	28
Defect Inspection Fees	28
Fees for Investigatory Inspections Arising from Reports by Police or Members of the Public	28
Costs of Investigatory Works	28
Cost of Remedial Actions	28
Invoicing	29
<b>C8 PERFORMANCE</b>	<b>30</b>
Performance	30
Summary of Performance	31
Performance Failure	31
Improvement Plan, Stage 1	32
Improvement Plan, Stage 2	32

<b>C9</b>	<b>GUIDANCE FOR DISPUTES</b>	<b>34</b>
<b>APPENDIX A</b>		<b>35</b>
	Glossary of Terms	
<b>APPENDIX B</b>		<b>36</b>
	Notifications Forms	
	Works Inspection Report	37
	Sample Inspections Report	38
<b>APPENDIX C</b>		<b>39</b>
	Explanatory Diagrams	
<b>APPENDIX D</b>		<b>57</b>
	Site Check-List for Improvement Plan Process	
<b>APPENDIX E</b>		<b>58</b>
	Guidance for Identifying Defective Apparatus	
<b>APPENDIX F</b>		<b>59</b>
	SRWR Process for Dealing with Defective Apparatus	

# Foreword

As the Scottish Road Works Commissioner, two of my main statutory functions are to promote compliance with the New Roads and Street Works Act 1991 (the Act) and to promote good practice. I am therefore very pleased to promote and endorse this revised Code of Practice for Inspections.

Under section 131 of the Act, road works authorities are empowered to carry out inspections to check whether or not undertakers have complied with the duties placed on them in respect of reinstatement of the road. Section 134 empowers Scottish Ministers to make a scheme under which an undertaker executing road works is required to pay each road works authority a prescribed fee in respect of each inspection of works carried out by the authority. Section 140 of the Act places a duty on undertakers to maintain their apparatus and this Code of Practice provides advice regarding the reporting and subsequent repair of defective apparatus.

Whilst the Act does not make any provision for the Scottish Ministers to issue or approve a code of practice on inspections of road works, the road authorities and undertakers have agreed that it would be prudent to have a non-statutory code covering not only aspects of inspections determined under the Scottish Ministers' scheme but also matters not covered by specific legislative requirements.

This is the third edition of the Code of Practice for Inspections and applies in Scotland only. The Road Works (Inspection Fees) (Scotland) Regulations 2003 as amended by the Road Works (Inspection Fees) (Scotland) Amendment Regulations 2011 which came into force on 1 April 2011 introduced a new scheme which is reflected in this Code of Practice. Further regulations will be published from time to time to revise the fee amount as required.

This edition of the Code of Practice was prepared and subsequently revised by working groups of the Road Authorities and Utilities Committee (Scotland) (RAUC(S)). The members of the working groups have put in a considerable effort to produce and revise this code and I wish to state my appreciation for their work.

This Code of Practice exists to serve the needs of the Scottish road works community as it strives to improve its performance in the management of works in roads. If you have any comments on this code, they can be fed back through my office at [enquiries@roadworksscotland.gov.uk](mailto:enquiries@roadworksscotland.gov.uk) and we will ensure that they are considered by RAUC(S) for future revisions.

This revised version 1.01 of the third edition of the Code of Practice will come into force on 12<sup>th</sup> November 2012.



**John Gooday**  
**Scottish Road Works Commissioner**

# CHAPTER 1

## Introduction

- 1.1 The New Roads and Street Works Act 1991 as amended by the Transport (Scotland) Act 2005 (hereinafter referred to as 'the Act') gives undertakers, including the holders of permission under section 109, responsibility, under section 124, for signing, lighting and guarding and, under section 130, for reinstating the road to the prescribed requirements on completion of their works. It also gives road works authorities, the power under section 131 to inspect, investigate and report on undertakers' works and reinstatements and powers under sections 124 and 131 to take such steps as appear necessary to remove dangers the works may cause to users of the road. This Code of Practice gives practical guidance on procedures for inspections, investigations, improvement plans, fee arrangements and reports.
- 1.2 The Act makes undertakers wholly responsible for the management of their road works. Road works authorities are responsible for monitoring the performance of the undertakers and wholly responsible for co-ordination. Road works authorities are empowered to charge undertakers for a number of sample inspections that they will carry out to monitor undertakers' performance. Sample inspections may also be supplemented by the results of routine road works authority inspections and by reports from the police and third parties. Defect inspection may be carried out prior to, during and after the remedial work to defective reinstatements, and fees may be charged to the undertaker concerned. Chapter 2 describes these provisions. Inspections carried out as part of an improvement plan are described in Chapter 8.
- 1.3 The road works authority may carry out such investigatory works as appear to them to be necessary to determine whether an undertaker has complied with his duties with respect to reinstatement. If such a failure is disclosed, the undertaker will bear the cost of the investigatory works. This provision is described in Chapter 4.
- 1.4 Before carrying out road works within an area, undertakers should have arrangements in place for that area to ensure that the remedial actions, required under this Code, are able to be carried out within the time period as contained within this Code. This is particularly important in relation to the procedures for making good defects in reinstatements and inadequacies in signing, lighting and guarding, as described in Chapter 6. Essential features of such arrangements are information boards on each site and a contract number available 24 hours per day and 7 days per week to which urgent messages about defects and inadequacies can be passed. It should be a number which will give a prompt response, and to achieve this it may have to be independent of normal service numbers.
- 1.5 Equally, road works authorities need to ensure that they can be contacted in accordance with these procedures. The change of staff

between daytime and night time, and vice versa, is an occasion when communication can break down. They need to ensure that they can be contacted seamlessly over such shift changes. Because the road works authority has overall responsibility for the safety of road user, they must ensure that problems reported to them are dealt with. It is not sufficient to pass the message on to an undertaker without taking reasonable steps to ensure that the remedial action is carried out.

Therefore, if a message is passed to an undertaker at the end of one shift, it is important to ensure that the next shift is informed that they must look for the call back stating that the remedial work has been done. If such a call is not received then the road works authority will have to take direct action.

- 1.6 Regulations set the fees for a chargeable sample inspection. This code additionally details the agreed fees for defect inspection and third party inspection. The Financial Arrangements are discussed in Chapter 7.
- 1.7 Processes for exchanging information and dealing with the results of inspections are described in Chapters 2 through 6. Procedures are also detailed in Chapter 8 for the serving of improvement notices on poorly-performing undertakers, together with the operation of an improvement plan to ensure that the undertaker conforms to the specified standards. All telephone calls should be logged.
- 1.8 Guidance on the procedure, to be adopted in the case of disputes, is described in Chapter 9.

# CHAPTER 2

## Inspections

### 2.1 PURPOSE OF INSPECTIONS

- 2.1.1 Undertakers are expected to regularly inspect all of their own works at all stages, including during the reinstatement guarantee period. Undertakers are encouraged to record these inspections in the SRWR. Where this monitoring shows the standards are not being met, it is the responsibility of the undertaker to institute measures, such as further testing or independent supervision of works, to ensure that operatives comply with the Specification for the Reinstatement of Opening in Roads (herein after in this Code referred to as 'the Specification'). Procedures for sharing this information are set out in Chapter 5. It is important to complete the work correctly first time. Inspections are undertaken by the road works authority to monitor the work of the undertaker and not to supervise the works of the undertaker.
- 2.1.2 Section 134 of the Act provides that undertakers are to pay for sample inspections of their works by the road work authority which includes inspections of work carried out under section 109. The additional inspections listed below are by RAUC (Scotland) agreement.
- Defect Inspection
  - Third Party Inspection
  - Costs associated with Investigatory Work – see Chapter 4 of this Code.
- 2.1.3 Apart from sample inspections, road works authorities may identify defects or inadequacies either during their own routine inspection, or during third party inspections resulting from reports from the police or members of the public.
- 2.1.4 Where defects or inadequacies are found during routine inspections, no sample inspection fee may be charged, but the appropriate procedure described in Chapters 5 or 6 may be carried out and defect inspection fees or reasonable costs, as appropriate, charged to the undertaker concerned.
- 2.1.5 Where reinstatement defects or inadequacies in signing, lighting and guarding are reported by the police or members of the public, it will be necessary for a road works authority to undertake a third party inspection in order to confirm that a defect exists. Only if a defect is confirmed, may the road works authority charge the undertaker concerned a third party inspection fee in addition to any fees or charges which may arise from the appropriate procedure described in Chapters 5 or 6.

2.1.6 The road works authority should also check that the undertaker is complying with his duty under section 126 in relation to qualifications for persons as supervisors and operatives. Section 127 requires the undertaker to assist them in doing so.

## **2.2 TYPES OF INSPECTION**

### **2.2.1 Sample Inspection**

This is the procedure by which a road works authority can regularly establish the overall performance of each undertaker operating in its area. It involves inspection of a structured random sample of works at various stages during the works and reinstatement guarantee period. The method of calculating the size of this sample is described in clause 2.3.3 of this Code. It will enable a road works authority to monitor the level of compliance with the relevant prescribed standards in the Codes of Practice.

### **2.2.2 Defect Inspection**

This is the procedure for dealing with individual reinstatements that do not comply with the Specification. It allows for a joint inspection by both the road works authority and the undertaker before remedial works are undertaken. It is then followed by further inspections, carried out by the road works authority until the defect is remedied. Should the first of these further inspections show that an undertaker has not started the remedial work, this is still a recordable inspection, which may be repeated as detailed in this code until the remedial works have commenced. An inspection can be undertaken while the remedial works are in progress, and when the remedial works have been completed. As indicated in the definition above, defect inspections are concerned with reinstatement defects only and not with inadequacies in signing, lighting and guarding.

### **2.2.3 Third Party Inspection.**

A third party inspection is an inspection of a site by the road works authority to verify a defect or inadequacy reported by a member of the public or the police.

### **2.2.4 Routine Inspections.**

This is the procedure by which a road works authority can carry out an inspection that this is not part of any other type of defined inspection.

## 2.2.5 Inspection of Section 109 works.

The provisions of the Act pertaining to inspections apply to all undertakers, regardless of whether they are undertakes with an exercisable statutory right or holders of permission under section 109. Permission holders are covered by section 2.2.1 to 2.2.3 above. In the case of permission holders under section 109 whose estimated units of inspection in a given year are fewer than 100, every inspection of all or any phase of those works is subject to a maximum of 30 chargeable inspections. Permission holders under section 109 whose estimated units of inspection in a given year are 100 or more shall be treated in the same way as undertakers with an exercisable statutory right.

## 2.2.6 Condition Inspections prior to commencement of works.

Where it is considered necessary to carry out a joint pre-inspection (e.g. to agree the condition of the existing footway, carriageway or of modular paving etc) before works start, the costs of either party shall lie where they fall. Procedures for pre-inspection are set out in the Specification for the Reinstatement of Opening in Roads.

## 2.2.7 Abortive Inspections.

Where a road works authority attempts to carry out an inspection but the works to be inspected have either not commenced or, have been complete by the date of inspection or, otherwise cannot be seen the inspection shall be recorded as "Abortive" on the SRWR and is not rechargeable to the undertaker whose work is being inspected.

## 2.3 SAMPLE INSPECTION PROCEDURE

The sample inspection procedure is designed to enable road works authorities to monitor undertakers' performance.

### 2.3.1 Categories of sample inspection.

There are three categories of inspection which can be carried out during three distinct stages of work. These are categorised as follows:

<b>Inspection Category</b>	<b>Timing of Inspection</b>	<b>Examples of Inspection Items</b>
A	Undertaken during the progress of the works	Signs, Barriers, Safety Zone, Compaction, Layer depth etc
B	Undertaken within the six months following interim or permanent reinstatement	Edge Depression, Crowning, Structure
C	Undertaken within the three months preceding the end of the guarantee period	Edge Cracking, Surface Depression, Surface Regularity

Please note that the above list of examples is not exhaustive and simply indicates the types of items that may be inspected. Signing Guarding and Lighting may not be inspected as part of a Sample B or C inspection.

## 2.3.2 Unit of Inspection

2.3.2.1 The calculation of the sample size for each undertaker and the identification of particular works to be inspected is based upon dividing the works into units of inspection. This concept has been introduced solely to ensure that the total number of sample inspections reflects the number, scale and duration of works carried out by each undertaker. This means that works of greater duration will generate more than one unit of inspection.

2.3.2.2 All works which involve breaking up the road are included in the calculation of units of inspection, regardless of whether it is in the footway, verge, cycleway or carriageway.

A unit of inspection, irrespective of the size of works, is defined as:

- a) Works of 15 days or less duration – 1 unit of inspection.
- b) Works of 16 to 30 days duration - 2 units of inspection.
- c) Works of a duration greater than 30 days – 3 units of inspection.

Each phase of works will contribute to the calculation of inspection units e.g.:

(Initial Work up to interim is 11 days) + (Permanent reinstatement is 5 days) = 16 days = 2 units

(Initial Works up to interim is 5 days) + (Permanent reinstatement is 3 days) = 8 days = 1 unit

Remedial works are separate works in their own right and will not contribute to the inspection units of the initial work.

Each notice may, by agreement, be extended past its initial duration by use of a works extension and the inspection units for the works recalculated to reflect the actual duration. Works which are extended for an unreasonably long period may be subject to a S125 notice.

2.3.2.3 In the case of shared trenches, provided that one undertaker accepts responsibility for the works, the calculation of the units of inspection will be based on the cumulative duration of all the works as informed by the primary promoter.

## 2.3.3 Sample Size

2.3.3.1 The number of sample inspections for any year shall be based on the actual number of units of inspection averaged over the previous 3 financial years for that undertaker, obtained from the Scottish Road Works Register (SRWR). This is to enable the annual charge to be

determined and agreed between the road works authority and the undertaker. The SRWR will generate Annual Inspection Units which should be agreed during the first quarter of each year between the road works authority and the undertaker.

2.3.3.2 The estimated total number of sample inspections for which payment is made shall not exceed 30% of the actual number of units of inspection calculated as in 2.3.3.1. The number in each category shall be 10% of the actual number of units of inspection subject to a tolerance of plus or minus 0.5%. The following example illustrates the calculations.

If the actual number of units of inspection in the previous three years are 1100, 925 and 975 respectively the average number of units of inspection for the three year period equals 1000.

$$(1100 + 925 + 975) \div 3 = 1000$$

$$\text{Therefore the estimated number of sample inspections} = 1000 \times (30 \div 100) = 300$$

These are split over the three categories for example:

Category A could be 9.8% = 98

Category B could be 10.2% = 102

Category C could be 9.9% = 99

Total = 299 which is less than 30% (300) and therefore acceptable for payment.

2.3.3.3 In each of the first three years, new undertakers will provide the road works authority with an estimate of the number of units of inspection they expect to generate in that year. The annual charge will be based on this figure. The undertaker will also indicate how these units are expected to be distributed over the quarters of that year so that at the end of each quarter the road works authority can monitor the actual units generated and, if necessary, adjust the annual charge.

2.3.4 Selection of Samples

2.3.4.1 Selection of all Samples will be randomly selected using the Scottish Road Works Register (SRWR).

2.3.4.2 Grouped Sites

When undertaking a sample inspection (A, B or C) every part of the work which is able to be inspected at that point will be looked at as part of the inspection. Where there are specific reinstatements that form part of that works that have either passed out of guarantee or are not yet available for the sampled inspection type (i.e. too early or late for sample B or C) any failure, including latent failures, cannot be taken to be part of the sample result and must be recorded as a separate routine inspection. Sites which are not yet available for sample B or C inspection at the time of the initial sample inspection may become available for a sample B or C in their own right at a later date. In this instance, the rest of the sites,

which are already covered by a sample inspection, are not affected by the later inspection.

## **2.4 DEFECT INSPECTIONS**

2.4.1 When a reinstatement defect is found the road works authority may nominally carry out three defect inspections as follows:

- (i) A joint inspection, involving both the road works authority and the undertakerUndertaker, to determine the nature of the failure and what remedial action should be taken. Where the diversity of the remedial work requires more than one site visit, agreement must be reached on the number of inspections the road works authority need to undertake during the progress of the remedial work.
- (ii) Inspection by the road works authority of the remedial works in progress, including any re-issuing of the defect;
- (iii) Inspection by the road works authority when all the remedial works have been completed.

Road works authorities may carry out further Defect Inspections in accordance with Chapter 5 – 5.2.2 (viii) where appropriate.

Where an inspection is in relation to Defective Apparatus, the procedure described in Chapter 3 shall be followed.

2.4.2 Payment will be made only for those defect inspections actually undertaken.

2.4.3 The Act makes no provision for Defect Inspections to apply to inadequacies in signing, lighting and guarding. If the road works authority has to attend joint inspections to discuss the inadequacies, RAUC(s) recommend that the road works authority charges a defect fee to the undertaker only if an inadequacy is found.

## **2.5 THIRD PARTY INSPECTIONS**

2.5.1 A Third Party Inspection may be carried out to verify an alleged defective reinstatement or inadequacy in signing, lighting and guarding reported by the police or member of the public only. If verified, the road works authority must record the defect or inadequacy within the appropriate timescales.

2.5.2 The results of such inspections should not be included with those of Sample Inspections in calculating the undertaker's performance as set out in Chapter 8 – paragraph 8.2 of this Code.

2.5.3 If, during a third party inspection, a defect or inadequacy is revealed, the road works authority may charge a defect inspection fee to the

undertaker concerned as set out in Chapter 7 – paragraph 7.3 of this Code.

- 2.5.4 Where a reinstatement defect is reported by a third party, and investigation reveals that the reinstatement in question has passed out of warranty and was initially laid to specification, the Third Party Inspection must be withdrawn.

## **2.6 INVESTIGATORY WORKS**

See Chapter 4 of this code.

## **2.7 ROUTINE INSPECTIONS**

- 2.7.1 A Routine Inspection is an Inspection that may be carried out by a road works authority which does not meet the criteria of any other inspection type defined in this code.

- 2.7.1.2 If a defect is found, the road works authority must record the defect within the appropriate timescales and then follow the Defect Inspection procedure until rectified.

- 2.7.2 The results of such inspections should not be included with those of Sample Inspections in calculating the undertaker's performance as set out in Chapter 8 – paragraph 8.2 of this code.

- 2.7.3 There is no fee payable for Routine Inspections.

## **2.8 DEFECTIVE APPARATUS INSPECTIONS**

See Chapter 3 of this code.

## **2.9 INSPECTION REPORTS**

- 2.9.1 The road works authority will complete a works notification report for every inspection carried out and a defect notification for each inspection where a defect is found. Details will be entered into the Scottish Road Works Register. Suggested formats are in Appendix B.

## **2.10 DIAGRAMMATIC ILLUSTRATIONS**

- 2.10.1 Diagrammatic illustrations of the operation of the inspections arrangements and where the fees are payable are set out in Appendix C.

# Chapter 3

## Defective Apparatus

### 3.1 INTRODUCTION

- 3.1.1 As defined by section 140 of the New Roads and Street Works Act 1991 and associated regulations, it is the duty of an undertaker to maintain their apparatus within a road.

### 3.2 RESPONSIBILITIES

- 3.2.1 There are a variety of different types of apparatus in roads (which include carriageways footways, footpaths, cycleways and verges). The majority have been installed by undertakers with a statutory right with a smaller amount installed by the road works authorities and undertakers with a section 109 permission. The owner of any apparatus is responsible for the on-going maintenance of such items, except when damage to same is caused by other parties executing works in the road.

### 3.3 DEFECTIVE APPARATUS

- 3.3.1 This section covers defective apparatus only and not defective reinstatements. Road works authorities will in the vast majority of cases identify defective undertaker apparatus by visual inspection from the surface. The types of apparatus which would normally be identified in this way include the covers and frames of manholes, access chambers, hydrants and tobies on the road surface, above ground telecom cabinets, telephone boxes and pole affecting the integrity of the road and / or the safety of road users.
- 3.3.2 Any repair to apparatus should be notified through the SRWR. However, should the repair include excavation/reinstatement of the adjacent surface which is subsequently found to be defective, then, the defective reinstatement procedure shall be used to record and process the subsequent repair of the reinstatement element, see Chapter 5 of this code.
- 3.3.3 As soon as the defective apparatus has been identified (See Appendix E – Guidance for Identifying Defective Apparatus) the undertaker will be notified using the Defective Apparatus Notification Form in the SRWR as appropriate. A meeting may be required between the road works authority and the undertaker for example, if ownership is in question. Photographs detailing the defective apparatus and its location should be attached to the notification and sent to the undertaker.
- 3.3.4 Where a third party report has been identified as the reason for the notification, photographs detailing the defective apparatus and its location should be attached to the notification sent to the undertaker.

3.3.5 Appendix F outlines the SRWR process for dealing with Defective Apparatus Notification. It should be noted, however that by exception, all undertakers with an exercisable statutory right may be contacted initially to identify ownership if not known.

3.3.6 Three types of defective apparatus have been identified, namely:

- Category 1 – those that require immediate attention because they represent an immediate or imminent hazard.
- Category 2 – Those that require urgent attention, but do not yet pose an imminent hazard. Typically this would include apparatus which will develop category 1 status in the short term
- Category 3 – All other defective apparatus

Please see table 1 for examples (please note this is not an exhaustive list)

3.3.7 Category 1 – defective apparatus will require an immediate response from the undertaker to make safe within 2 hours and to take permanent measure within 7 days or as agreed with the road works authority. – (A one - off inspection fee may be charged by the road works authority for an inspection carried out under third party reports. A one – off inspection fee may also be charged by the road works authority when an inspection carried out under a third party report escalates a pre–existing Category 2 or 3 defect to a Category 1 defect. Refer to RAUC(s) Advice Note 4 for clarification).

On receipt of such a notification (by telephone), the undertaker should determine their response and inform the road works authority , by means of a return phone call, within 30 minutes. If after 30 minutes, no return phone call has been received, the road works authority may choose to make the defect safe on a rechargeable basis. If the road works authority takes remedial action, it should inform the undertaker by the end of the next day, via the SRWR.

If the undertaker initiates remedial action without informing the road works authority within this 30 minute period, and this response conflicts with any subsequent remedial action taken by the road works authority, the road works authority will be entitled to recharge their reasonable costs.

3.3.8 (i) the road works authority may take reasonable remedial action to make it safe if:

- a) There is no one on site and the road works authority does not know the identity of the undertaker; or
- b) The undertaker cannot be contacted; or
- c) The undertaker cannot make safe the defective apparatus within 2 hours; or
- d) No telephone call is received from the undertaker within 30 minutes of the logged telephone call; or
- e) The undertaker persistently fails to respond to dangerous defective apparatus notification (see Chapter 8)

(ii) If the road works authority takes remedial action as above (3.3.8) (i), they may recharge their reasonable costs to the undertaker.

(iii) If the road works authority takes action, it should inform the undertaker by the end of the next day, by entering a comment against the relevant notice on the SRWR.

3.3.9 Category 2 – defective apparatus should be permanently repaired within 10 days. The undertaker must advise the Roads Authority on the anticipated completion date should they be unable to complete the required work within the 10 day period. Undertakers are reminded that they are responsible to ensure the defective apparatus is maintained in a safe condition until a permanent repair is carried out. Rattling or noisy manholes which are causing distress and complaints from the public may reasonably be escalated as requiring a category 2.

3.3.10 Category 3 – defective apparatus should be permanently repaired within 1 month. The undertaker must advise the road works authority of the anticipated completion date should they be unable to complete the required work within the 1 month period. Undertakers are reminded that they are responsible to ensure the defective apparatus is maintained in a safe condition until a permanent repair is carried out.

#### **3.4 FOLLOW-UP ACTION**

3.4.1 Provided that the undertaker completes the repair work within agreed time scales then the undertaker will have been deemed to have complied with its obligations under Section 140 of the Act. These actions should be recorded within the SRWR.

3.4.2 Where a road works authority wishes, it may undertake defective apparatus follow up visits, which would mirror the process prescribed for reinstatement defects. Such visits would be non chargeable.

**Table 1 – Categories of defective apparatus**

<b>Category of Defect</b>	<b>Category 1 (dangerous) (2hr response)</b>	<b>Category 2 - Medium (10 day response)</b>	<b>Category 3 – Low (1 Month response)</b>
<b>Typical Defect</b>	<p>Broken or missing ironwork 150mm or greater in length (in c/way or f/way).</p> <p>Ironwork in the carriageway with exposed vertical faces in excess of 40mm (or 20mm in areas heavily utilised by pedestrians or cyclists).</p>	<p>Broken or missing ironwork less than 150mm in length.</p> <p>Ironwork in the footway with exposed vertical faces in excess of 20mm. Responses to an escalated customer complaint regarding ironwork causing disturbance to residential properties.</p>	<p>Any other reportable ironwork.</p> <p>Rocking ironwork causing a disturbance to residential properties.</p>
<b>Road works authority typical response</b>	<p>Make safe for up to two hours (signing, lighting and guarding) or remain on site for 30 minutes.</p>	<p>Road works authority action unlikely. Re-inspect after 10 days and make safe if not attended.</p>	<p>Road works authority action unlikely to be required.</p>
<b>Undertaker response</b>	<p>Return initial logged call within 30 minutes Confirming availability to attend.</p> <p>Attend site within 2 hours to make safe or pay road works authority costs in doing so. Submit notice and make permanent within 7 days.</p>	<p>Acknowledge acceptance of defect on SRWR or arrange joint meeting to discuss. Submit notice and repair defect within 10 days or by agreement.</p>	<p>Acknowledge acceptance of defect on SRWR or arrange joint meeting to discuss. Submit notice and repair defect within one calendar month or by agreement.</p>

# CHAPTER 4

## Investigatory Works

### 4.1 INVESTIGATORY WORKS

- 4.1.1 The road works authority has power under section 131(1) of the Act to carry out Investigatory Works (such as coring, measurement of texture depth, material sampling etc) considered necessary to determine whether an undertaker has complied with its duties with respect to reinstatement. It is not sufficient to simply carry out an additional visual inspection.
- 4.1.2 Where investigatory works result from Local and National Coring programmes, which are intended to be regular, rolling programmes of reinstatement testing, then Advice Note 3 must be followed. Where investigatory works, other than coring are considered necessary to establish the cause(s) of a defect then agreement for the nature and extent of the investigatory works should be agreed jointly between the road works authority and the undertaker, where possible.
- 4.1.3 If Investigatory Works confirm a defect in a reinstatement, the road works authority may recover their reasonable costs for the Investigatory Works relevant to that defect from the undertaker concerned. If no defect is found the road works authority must bear the cost of the Investigatory Works.
- 4.1.4 When Investigatory Works confirm a defect in the reinstatement, the procedures detailed in paragraph 5.2 for dealing with Defective Reinstatements are followed.
- 4.1.5 Investigatory Works apply only to reinstatement. They do not apply to signing, lighting and guarding.

# CHAPTER 5

## Reinstatement Defects

### Note

It should be noted that the Act sets out circumstances in which failure to comply is an offence. The following procedures are designed as a practical way of rectifying such failures when they arise but in no way will affect liability to prosecution or the power of road works authorities to remove danger.

### 5.1 REINSTATEMENT DEFECTS

Reinstatement defects are identified by Road Works Authorities in a number of ways including:

- Sample inspections (Sample Category A, B and C)
- Routine road inspections (Routine Inspections)
- Reports from the Police and members of the public (Third Party Report Inspections)
- Investigatory works (Include Local and National Coring)

Undertakers are expected to carry out their own internal monitoring programme, and are encouraged to share the results with the road works authority.

#### 5.1.1 Undertaker's Monitoring Results

Where an undertaker's monitoring results indicate a need for remedial works, a timetable for carrying out such works will be included with the results. Provided that notices are received for the remedial works and in accordance with the timetable, a road works authority will not issue defect notices on the basis of an undertaker's results.

#### 5.1.2 Types of Defects

Reinstatements that do not comply with the Specification are divided into two types, each of which requires a specific action. These are:

##### (i) Reinstatement Defects causing Danger

These are reinstatements that do not comply with the Specification and that appear to the roads works authority to be causing danger to the road user. Rectification of these defects should be treated as emergency works and the procedures set out in the Code of Practice for the Co-ordination of road works and works for road purposes and Related Matter must be followed.

- (ii) **Non-Dangerous Reinstatement Defects**  
These are reinstatements that do not comply with the Specification and that will require some remedial action. Rectification of these defects should be done under a remedial notice as described in the Code of Practice for the Co-ordination of Street Works and Works for Road Purposes and Related Matters.

## **5.2 PROCEDURES FOR DEALING WITH DEFECTIVE REINSTATEMENTS**

In the case of non-complying reinstatements that appear to the road works authority to be causing danger, the overriding aim of the procedure is to remove the danger as soon as possible.

### **5.2.1 Inspections while works are in progress**

Defects found while works are in progress, e.g. during a Category A inspection, will be notified to the undertaker. If these cannot be remedied during the course of the work, the procedure set out in 5.2.2 or 5.2.3 is followed.

### **5.2.2 Defects not causing danger**

On finding a defect not causing danger, the procedure detailed below should be followed:-

- (i) The road works authority will send notification of the defect to the relevant undertaker using the SRWR, by the end of the next working day.
- (ii) The undertaker contacts the road works authority by the end of the next day following receipt of the report. Within 24 hrs of receipt of the report the undertaker must inform the road works authority that the defect is being investigated and place a response on the SRWR to that effect. The undertaker must then contact the road works authority to arrange a date for the joint inspection of the defect. The joint inspection will take place within 10 days of initial notification of the defect, unless both parties agree that a meeting is not required and the undertaker agrees to abide by the road works authority's assessment of the defect and the remedial works required.
- (iii) If it is agreed that there is no defect, the road works authority must record cancellation/withdrawal of the inspection on the SRWR and no fee is payable.
- (iv) The undertaker gives notice of the start of the remedial works. The undertaker should carry out the agreed remedial works within 17 days of the date of the joint inspection, or the date of acceptance of the road works authority's assessment of the extent and nature of the remedial work required, unless an extended period is mutually agreed.

- (v) If the road works authority carries out an inspection during the remedial work a further defect inspection fee is payable, as set out in paragraph 2.4.2.
- (vi) The undertaker notifies the road works authority when the remedial work is started and completed by sending the appropriate notice.
- (vii) If the road works authority undertakes an inspection of the completed remedial works they shall record the outcome of the inspection on the SRWR and a further defect inspection fee is payable, as set out in paragraph 2.4.2 of this Code.
- (viii) If, by the seventeenth day after the initial acceptance of the inspection referred to in (ii) above, the undertaker fails to take any of the necessary actions, the road works authority may revisit the site and charge an inspection fee as set out in paragraph 2.4.2. of this Code.
- (ix) If, on a further inspection under (vi) above, the appropriate notices required by (ii) and (iv) above have not been raised on the SRWR but the remedial work is found to be satisfactory then this inspection should be charged as the completion defect inspection described in 2.4.1(iii) and an inspection fee charged to the undertaker concerned. The road works authority should inform the undertaker concerned that the required notices have not been received.
- (x) If, on a further inspection under (viii) above, the remedial work has not been completed, or if the appropriate notices continue to be outstanding, the road works authority may continue the cycle of repeat inspections (as described in (viii) above) every 17 days until the remedial works have been completed. The road works authority may elect to take direct action as described in (xii) below.
- (xi) If the remedial work is found to be unsatisfactory during the defect inspections at stages (v) or (vii) above the procedure will commence again at stage (i) above. The road works authority may elect to take direct action as described in (xii) below.
- (xii) If the undertaker fails to carry out the necessary actions as specified above, the road works authority may themselves undertake the remedial work and charge their reasonable costs to the undertaker.
- (xiii) If the road works authority takes action, they must inform the undertaker by the end of the next working day by entering this information on the SRWR.

### 5.2.3 Defects causing danger

When the road works authority becomes aware of a non-complying reinstatement causing danger, it may make the site safe by signing, lighting and guarding or methods agreed with undertakers. Where this is done there remains a requirement to attend the site within the two hours, and then follow the procedure below:

- (i) The road works authority informs the undertaker immediately, by a logged telephone call, and sends a Defect Notification Report to the undertaker responsible using the SRWR.
- (ii) The undertaker takes immediate action to mobilise and make safe in one of the four ways itemised below:
  - a) By making the site safe by signing, lighting and guarding;
  - b) By carrying out a permanent reinstatement;
  - c) By carrying out an interim reinstatement; or
  - d) By other agreed remedial measures.
- (iii) The undertaker's representative advises the road works authority by telephone of the actions taken, within 2 hours of the logged telephone call. Details of the Undertaker's representative's call should be recorded against the relevant notice on the SRWR.
- (iv) A defect inspection fee, as set out in paragraph 2.4.2, shall be payable to the road works authority if a joint inspection is carried out and a defect agreed following notification to the undertaker under 5.2.3 (i).
- (v) The road works authority may take reasonable remedial action to make it safe if:
  - a) There is no one on site and the road works authority does not know the identity of the undertaker; or
  - b) The undertaker cannot be contacted; or
  - c) The undertaker cannot make safe the defect within 2 hours; or
  - d) No telephone call is received from the undertaker within 2 hours of the logged telephone call; or
  - e) The undertaker persistently fails to respond to dangerous defects (see Chapter 8).
- (vi) If the road works authority takes remedial action under 5.2.3 (v), they may charge their reasonable cost to the undertaker.
- (vii) If the road works authority takes remedial action, it should inform the undertaker by the end of the next day, via the SRWR.
- (viii) When the defect is made safe as described in 5.2.3 (ii), the procedure in 5.2.2 for non-dangerous defects is then followed.

Chapter 8 sets out procedures to be followed where the undertaker persistently fails to respond to dangerous defects.

### **5.3 GUARANTEE PERIODS**

5.3.1 Guarantee periods are detailed in the Specification.

5.3.2 The reinstatement is entered into the pool of work for the appropriate category's(s) of inspection depending on the rules for the guarantee period detailed in the Specification.

# CHAPTER 6

## Inadequacies in Signing, Lighting and Guarding

### Note

It should be noted that the Acts sets out circumstance in which failure to comply is an offence. The following procedures are designed as a practical way of rectifying such failures when they arise but in no way will affect liability to prosecution or the power of the road works authority to remove danger.

### 6.1 INADEQUACIES

6.1.1 Deviations from the Code of Practice, Safety at Street Works and Road Works (hereinafter called “the Safety Code”) are divided into two types, each of which requires a specific action. These are:

(i) Higher Risk Inadequacies

Deviations from the Safety Code of such extent that, in the view of the road works authority, the signing, lighting, and guarding requires making safe without delay.

(ii) Lower Risk Inadequacies

Deviations from the Safety Code that require making good to bring signing, lighting and guarding up to standard.

6.1.2 When inspecting a site, compliance with the Safety Code, in terms of both the equipment provided and the way it is set out, is checked and recorded separately.

### 6.2 PROCEDURES FOR DEALING WITH INADEQUACIES

In the case of inadequacies that appear to the road works authority to be causing high risk, the overriding aim of the procedure is to remove the danger as soon as possible.

## 6.2.1 Higher Risk Inadequacies

On finding a higher risk inadequacy the procedure detailed below should be followed:

- (i) If the undertaker's representative is on site, the road works authority completes the Works Inspection Report and Defect Notification and informs the undertaker's representative of the nature of the inadequacy at the time of the inspection. A record of the inadequacy found and the actions taken by the undertaker to rectify the matter should also be recorded against the relevant notice via the SRWR by the end of the next working day;
- (ii) If the undertaker's representative is not on site, the road works authority immediately informs the undertaker by means of a logged telephone call as well as issuing a Defect Notice against the relevant notice on the SRWR. In the meantime, the road works authority makes any possible minor adjustments to improve the safety of the site at no cost to the undertaker;
- (iii) The undertaker takes immediate action to mobilise and must ensure that both the inadequacy is made safe and the road works authority is informed of the action taken, within 2 hours of being informed on site or the logged telephone call;
- (iv) The road works authority make safe the inadequacy if:
  - a) There is no one on site and the road works authority does not know the identity of the undertaker responsible; or
  - b) They cannot contact, until sometime later, the undertaker responsible; or
  - c) The undertaker cannot make the inadequacy safe within 2 hours; or
  - d) No telephone call is received from the undertaker within 2 hours of the logged telephone call; or
  - e) The undertaker fails to respond to inadequacies in signing, lighting and guarding (see Chapter 8, paragraph 8.3.4).
- (v) If the road works authority takes remedial action under 6.2.1 (iv), they may charge their reasonable costs to the undertaker.
- (vi) If the road works authority takes action, they inform the undertaker by the end of the next day via the SRWR.

## 6.2.2 Lower Risks Inadequacies

On finding a lower risk inadequacy, the procedure detailed below should be followed:-

- (i) The road works authority sends, by the end of the next day, a Works Inspection Report and Defect Notification to the undertaker responsible via the SRWR and supplies copies to the undertaker's representative if on site. If the undertaker's representative is not on site, the road works authority immediately informs the undertaker by a logged telephone call.
- (ii) The undertaker shall ensure that both the inadequacy is made good and the road works authority is informed of the action taken within 4 hours of the notification on site of the logged telephone call.
- (iii) The road works authority makes good the inadequacy if:
  - a) There is no one on site and the road works authority does not know the identity of the undertaker; or
  - b) The undertaker cannot be contacted; or
  - c) The undertaker cannot make good the inadequacy within 4 hours; or
  - d) No telephone call is received from the undertaker within 4 hours of the notification on site or logged telephone call; or
  - e) The undertaker fails to respond to inadequacies in signing, lighting and guarding (see Chapter 8, paragraph 8.3.4).
- (iv) If the road works authority takes remedial action under 6.2.2 (iii), they may charge their reasonable costs to the undertaker.
- (v) If the road works authority takes action, they inform the undertaker by the end of the next day via the SRWR.

# CHAPTER 7

## Financial Arrangements

### 7.1 **INADEQUACIES**

The number of paid sample inspections to be undertaken is determined in accordance with paragraph 2.3.3 of this Code.

### 7.2 **SAMPLE INSPECTION FEES**

A fee for each chargeable sample inspection is payable to the road works authority. This fee is prescribed in regulations.

### 7.3 **DEFECT INSPECTION FEES**

A fee for each chargeable defect inspection is payable to the road works authority. RAUC Scotland recommends that this fee be the same as the Sample Inspection fee.

### 7.4 **FEES FOR THE THIRD PARTY INSPECTIONS ARISING FROM REPORTS BY THE POLICE OR MEMBERS OF THE PUBLIC**

A fee for each chargeable third party inspection is payable to the road works authority. RAUC Scotland recommends that the inspection fee should be the same as the sample inspection fee. If required the road works authority shall make their records of the report available for inspection by the undertaker.

### 7.5 **COSTS OF INVESTIGATORY WORKS**

Where investigatory works, described in Chapter 4 confirm a defective reinstatement the road works authority are entitled to recover their reasonable cost relevant to that defect.

### 7.6 **COST OF REMEDIAL ACTIONS**

If road works authority takes action under paragraphs 5.2.2 (xii), 5.2.3 (v), 6.2.1 (iii) and 6.2.2 (iii), they are entitled to charge their reasonable cost to the undertaker responsible.

## **7.7 INVOICING**

7.7.1 Invoicing arrangements for sample inspection are as follows:

- (i) Within each road works authority, the annual estimated total of fees (the annual charge) for each undertaker should be agreed with the relevant undertaker within the first quarter of the financial year.
- (ii) The actual number of inspections carried out will be charged to the undertaker on a quarterly basis. The total number of inspections charged for in any financial year will not exceed the agreed amount.
- (iii) Invoices in respect of section 109 permission holders, inspected on the basis set out in paragraph 2.2.5, will be submitted monthly.

7.7.2 Invoices for defect inspections are submitted and paid monthly in arrears. Defect inspection fees relating to individual reinstatement remedial work may, by agreement, be invoiced together after the third inspection. Invoices should be submitted within six months of the date of the inspection.

7.7.3 Invoices for chargeable investigatory works are submitted and paid monthly in arrears.

7.7.4 Invoices for chargeable third party inspections are submitted and paid monthly in arrears.

7.7.5 The agreed improvement plan costs or expenses are invoiced monthly and paid in arrears throughout the duration of the plan.

# CHAPTER 8

## Performance

### 8.1 PERFORMANCE

8.1.1 With the exception of National or Local Coring programmes, works Inspection Reports are sent to the relevant undertaker via the SRWR by the end of the next working day following the date of the inspection.

8.1.2 Where a reinstatement defect or signing, lighting and guarding inadequacy is found by the road works authority, the undertaker is informed electronically within the time scales required in Chapters 5 and 6 of this Code.

8.1.3 Each undertaker and road works authority should establish and maintain arrangements for receiving reports and instigating action, as set out in Chapters 5 and 6 of this code.

8.1.4 The road works authority has ultimate responsibility for the safety of all users of the road. Under the Act the responsibility for road works carried out by an undertaker rests with that undertaker. However, where in a road works authority area an undertaker persistently fails to respond to reinstatement defects or inadequacies in signing, lighting and guarding, or the road works authority otherwise feels obliged by their duty of care to take action in the interests of the safety of road users, it may have to make good these defects or inadequacies, without first notifying the undertaker, and then charge their reasonable cost for doing so.

8.1.5 The road works authority may have serious cause for concern if an undertaker, new to the area, or for whom there are no specific local records, initially fails to:

- Reply to the call out number;
- Respond to reports of defects or inadequacies;
- Protect sites adequately.

In these circumstances the road works authority shall immediately seek from the undertaker an action plan to address such failures. An improvement plan, as described below, should be put in place if no action plan is produced within the agreed time scale or similar instances continue to occur.

## **8.2 SUMMARY OF PERFORMANCE**

Quarterly reports on performance should be prepared by the road works authority and issued to undertakers. These will enable an analysis of each undertaker's performance to be carried out and ensure that undertakers receive adequate feedback at both local and national level. These reports should be extracted from the SRWR. Road works authorities are also recommended to produce an annual report of undertakers' performance for publication as appropriate. Copies of the quarterly and annual performance reports should be forwarded to the appropriate Area RAUC for review and discussion. In the interests of comparing the results from different areas, these reports should include the results of sample inspections, routine inspections, third party inspections and investigatory works.

## **8.3 PERFORMANCE FAILURE**

8.3.1 Notices of Failure to Achieve Performance are intended to be the first stage of action in improving performance. If the required level is not reached following completion of the undertakers Improvement Plan (stage 1), then it is intended that the final stage, an Improvement Notice, is entered into.

Where an undertaker fails to meet the specified performance criteria as defined within paragraph 8.3.3 of this Code, the following staged procedure should be used.

- (i) The road works authority issues a Notice of Failure to Achieve Performance (NFAP).
- (ii) The undertaker responds with an Improvement Plan – Stage 1.

In the event that the undertaker does not achieve the required level of improvement, then

- (iii) The road works authority issues an Improvement Notice (IN)
- (iv) The undertaker responds with an Improvement Plan – Stage 2.

8.3.2 It should be noted that separate Notices of Failure to Achieve Performance and Improvement Notices are required for reinstatements or signing, lighting and guarding. A Notice of Failure to Achieve Performance or an Improvement Notice may also be issued for coring failure at or below 80% compliance in any measured area. An improvement notice will record the road works authority's dissatisfaction with that undertaker's performance. Typical formats are shown in Appendix B.

8.3.3 Where more than 10% of the sample inspections of an undertaker's works in a three month period reveal a reinstatement defect, and/or coring carried out in accordance with RAUC(S) Advice Note No 3 is less than 80%, the road works authority may issue a notice of failure to achieve performance within 4 weeks of the period end. If the agreed timescale for the Improvement Plan, Stage 1 (see 8.4) has expired, and where insufficient evidence of improvement exists, then an Improvement Notice will be issued within 4 weeks. Where an undertaker has carried out 50 or less inspection units of work in a financial year, the issue of such a notice is at the discretion of the road works authority.

- 8.3.4 Where a sample inspection reveals an inadequacy in signing, lighting and guarding the procedures in Chapter 6 are followed. Where it is found that the equipment provided on the site does not comply with the Safety Code, or the road works authority has to take action because the undertaker has failed to respond to the provision in Chapter 6, it will note the instance. If this occurs in more than 10% of sample inspections over a three month period, the road works authority may issue a Notice of Failure to Achieve Performance to the undertaker within 4 weeks of the period end. If after the agreed timescale for Improvement Plan, Stage 1 (see 8.4) has expired, and where no evidence of improvement exists then an Improvement Notice will be issued within 4 weeks. Where an undertaker has carried out 50 or less inspection units of work in a financial year, the issue of an improvement notice is at the discretion of the road works authority.
- 8.3.5 In deciding whether to issue an improvement notice for inadequate measures for signing, lighting and guarding, the road works authority should take into account whether the equipment is adequate. If it is, only failure to respond to an inadequacy within the time scale is counted as a defect.
- 8.3.6 The issue of Notices of Failure to Achieve Performance and Improvement Notices should be reported to RAUC(S) and the appropriate Area RAUC.

#### **8.4 IMPROVEMENT PLAN, STAGE 1**

- 8.4.1 Within 5 days of receiving the notice of failure to achieve performance, the undertaker must verify and analyse the defect data to establish appropriate improvement objectives. It should then prepare an outline improvement plan designed to achieve the objectives and forward it to the road works authority.
- 8.4.2 The road works authority and the Undertaker shall agree a timescale for the duration of the Stage 1 improvement plan, normally 12 weeks, or other period by agreement.
- 8.4.3 The road works authority may elect to carry out additional sample inspections at Category A and B or arrange for some additional coring to be undertaken during the agreed improvement period. Any such increase, and subsequent fees, will be agreed with the Undertaker prior to commencement.
- 8.4.4 Where the road works authority considers that sufficient improvement has been achieved in a lesser time period than stated in 8.4.2 then the Stage 1 improvement plan will be deemed to have served its function. Where this is considered not to be the case an Improvement Notice/Stage 2 improvement plan shall be triggered.

#### **8.5 IMPROVEMENT PLAN, STAGE 2**

- 8.5.1 Within 5 days of receiving the improvement notice, the undertaker must verify and analyse the defect data to establish appropriate improvement objectives. It should then prepare an outline improvement plan designed to achieve the objectives and forward it to the road works authority. The undertaker arranges a meeting with the road works authority, on a date within 10 days of receiving the improvement notice, to agree and finalise the improvement plan.

- 8.5.2 At the meeting the areas of concern should be identified and specific objectives agreed. Proposed measures to achieve the objectives should be discussed. The monitoring provisions within the plan are to measure the progress being made by the undertaker in achieving the improvement objectives.
- 8.5.3 The improvement plan must include the following features:
- (i) Essential items
    - Monthly meetings to discuss progress.
    - The provision of appropriate monitoring information prior to the meeting. This information should relate to the work undertaken within the period of the improvement plan so that progress can be measured.
    - Consideration of appropriate changes to the plan.
    - Detailed arrangements regarding the recovery of costs or expenses incurred by the road works authority for the duration of the improvement plan.
  - (ii) Items dependent on the improvement plan's objectives
    - Items to be reported in the improvement plan monitoring (see Appendix D)
    - Sampling and testing undertaken by the road works authority or their representative to check compliance with the Specification.
    - The percentage of work to be visited and reported on.
- 8.5.4 The minimum period of the plan should be 12 weeks. At the end of this period, if the objectives have been met, the decision to terminate the plan will be made at the next monthly progress meeting.
- 8.5.5 Not less than 5 days before the agreed date of the regular meetings set out in the plan, the results of the improvement plan monitoring carried out in the previous month will be forwarded to the undertaker for their information.
- 8.5.6 Following implementation of the improvement plan, if it becomes clear after 3 months that no practical improvement is being achieved, other measures may need to be considered such as:
- Escalation of the improvement plan monitoring to achieve a step change in performance;
  - Involvement of a more senior level of management within both the undertaker and the road works authority;
  - Following an appropriate grievance and dispute process, civil and/or criminal remedies.
  - A report containing any relevant evidence of the undertaker's failure to comply with their duties under the Act may be submitted to the OSRWC for his information.

# CHAPTER 9

## Guidance for Disputes

- 9.1** This code is intended to provide sufficiently detailed guidance to enable agreement on its operation and implementation to be reached at local level. Road works authorities and undertakers should always use their best endeavours to achieve a solution to disputes without having to refer them to conciliation. This might be achieved by referring the issue to management for settlement.
- 9.2** For further information refer to Dispute Resolution Appeals Code of Practice.

# APPENDIX A

## Glossary of Terms

Costs	The costs or expenses of taking any action shall be taken to include the relevant administrative expenses (of the authority, body or person concerned) including general staff costs and overheads as defined in section 155 of the Act.
Day	Means working day. The full definition is that given in the Code of Practice for the Co-ordination of Works in Roads.
Expenses	See “costs”.
Fees	The fees prescribed by the regulations under section 134 of the Act.
RAUC(S)	Road works authorities and Utilities Committee (Scotland), the national committee comprising representatives of the road works authorities and the Scottish Joint Utilities Group which deals with matters of common interest. Similar bodies exist at Regional level.
Third Party Reports	In the context of third party reports any member of the public is deemed to be any person not qualified to assess reinstatement or signing, lighting, and guarding defects and inadequacies respectively.
Notice	Means any notice given as required by the New Roads and Street Works Act
Roads works authority	If a road is a public road, the road works authority is the roads authority and, if not, the road works authority is the road manager as defined in S108 of the New Roads and Street Works Act 1991.
SRWR	Scottish Road Works Register. The Scottish Road Works Commissioner has been appointed by the Scottish Ministers as keeper of the Scottish Road Works Register.

# **APPENDIX B**

## **Notification Forms**

Works Inspection Report

Sample Inspection Report

## WORKS INSPECTION REPORT

**Undertaker:**

**Location:**

**SRWR LA Ref:**

**Routine Inspection**       **Third Party Inspection**   
**Investigatory Works**   
**Dangerous**       **Non Dangerous**

<b>Cause for Failure</b>	<b><i>Incorrect Equipment</i></b>	<b><i>Acceptable</i></b>	<b><i>Not Acceptable</i></b>	<b><i>Not seen / Not applicable</i></b>
<b>Signing/Guarding/Lighting</b>				
Signs	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Distance	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Safety Zone	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Barriers	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Traffic Control	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Pedestrian Control	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Other	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<b>Excavation</b>		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<b>Backfill &amp; Reinstatement</b>				
Apparatus Surround		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Material		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Compaction		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Sub-base		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Base		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Binder Course		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Surface Course		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<b>Profile &amp; Structure</b>				
Edge Depressions		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Edge Cracking		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Surface Depressions		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Crowning		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Texture Depth		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Surface Regularity		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Structure		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
As Laid Profile		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Other		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

Further Comments

Name:

Signature:

Date:

Time:

## SAMPLE INSPECTION REPORT

Undertaker:

Location:

SRWR LA Ref:

Category (please circle)

A

B

C

Pass

Fail

Dangerous

Non Dangerous

Cause for Failure		Incorrect Equipment	Acceptable	Not Acceptable	Not seen / Not applicable
<b>Signing/Guarding/Lighting</b>	<b>CATEGORY A</b>				
Signs		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Distance		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Safety Zone		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Barriers		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Traffic Control		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Pedestrian Control		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Other		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<b>Excavation</b>		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<b>Backfill &amp; Reinstatement</b>	<b>CATEGORY B &amp; C</b>				
Apparatus Surround			<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Material			<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Compaction			<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Sub-base			<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Base			<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Binder Course			<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Surface Course			<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<b>Profile &amp; Structure</b>					
Edge Depressions			<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Edge Cracking			<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Surface Depressions			<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Crowning			<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Texture Depth			<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Surface Regularity			<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Structure		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
As Laid Profile		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Other		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	

Further Comments

Name:  
Time:

Signature:

Date:

# APPENDIX C

## Explanatory Diagrams

### 2 LIFE CYCLE OF INSPECTIONS

The following flow charts show graphically the combination allowed by each type of inspection.

Figure 1 – Sample Category A

Figure 2 – Sample Category B – Initial Inspection

Figure 3 – Sample Category B – Joint Inspection

Figure 4 – Sample Category B – In Progress/Follow-up Inspection

Figure 5 – Sample Category B – Inspection on Completion of Works

Figure 5 – Sample Category C – Initial Inspection

Figure 7 – Sample Category C – Joint Inspection

Figure 8 – Sample Category C – In Progress/Follow-up Inspection

Figure 9 – Sample Category C – Inspection on Completion of Works

Figure 10 – Third Party – Initial Inspection

Figure 11 – Third Party – Joint Inspection

Figure 12 – Third Party – In Progress/Follow-up Inspection

Figure 13 – Third Party – Inspection on Completion of Works

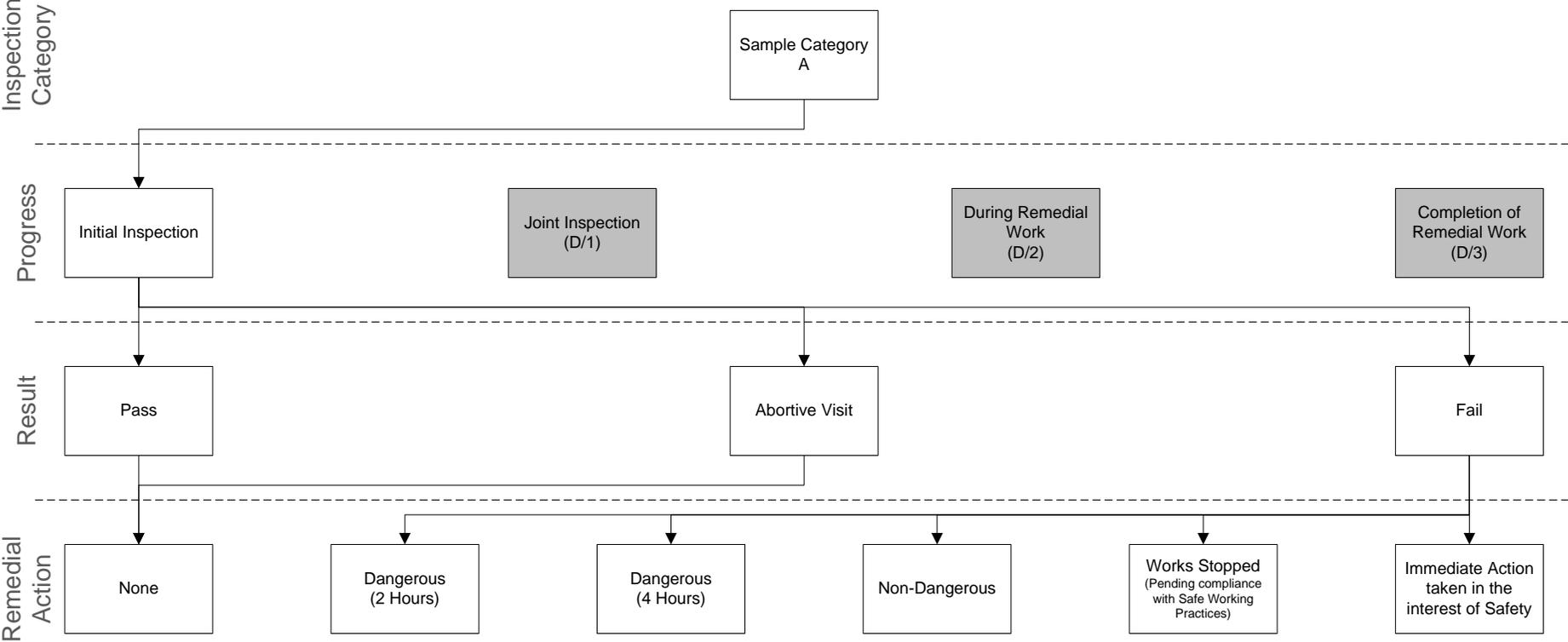
Figure 14 – Routine – Initial Inspection

Figure 15 – Routine – Joint Inspection

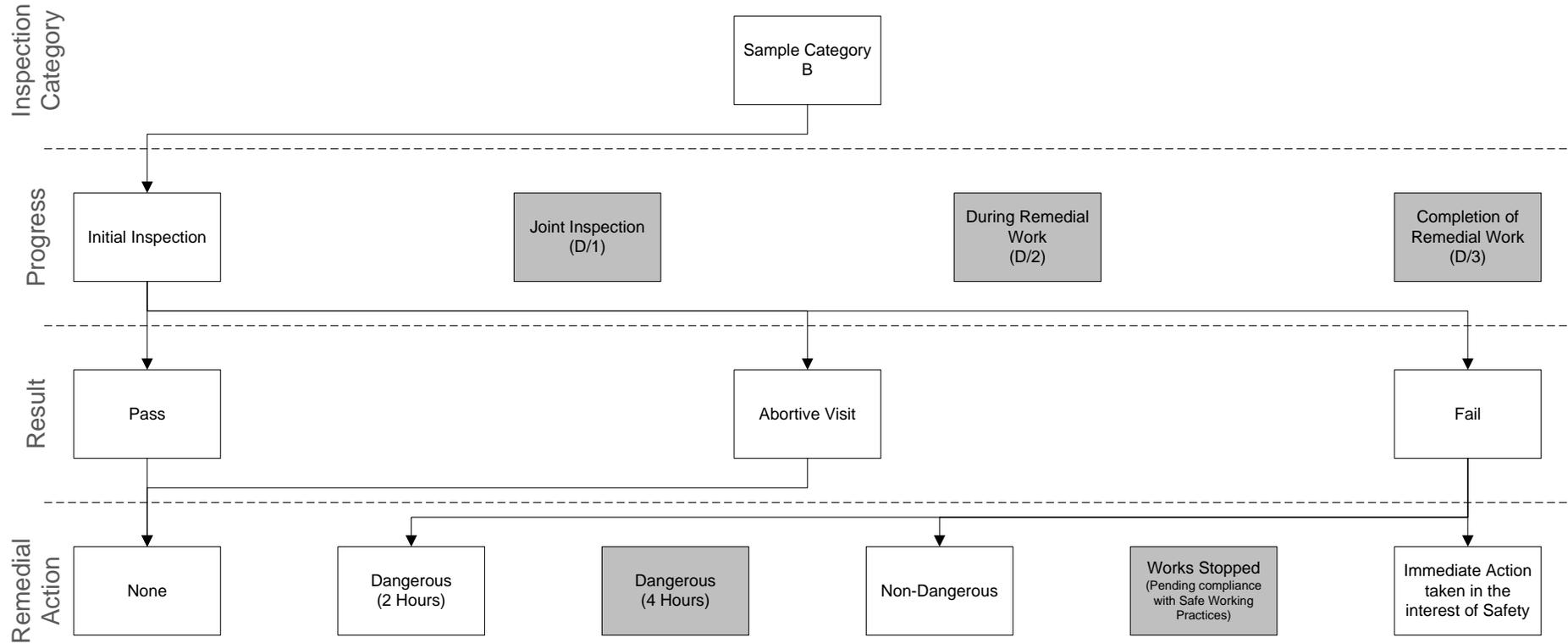
Figure 16 – Routine – In Progress/Follow-up Inspection

Figure 17 – Routine – Inspection on Completion of Works

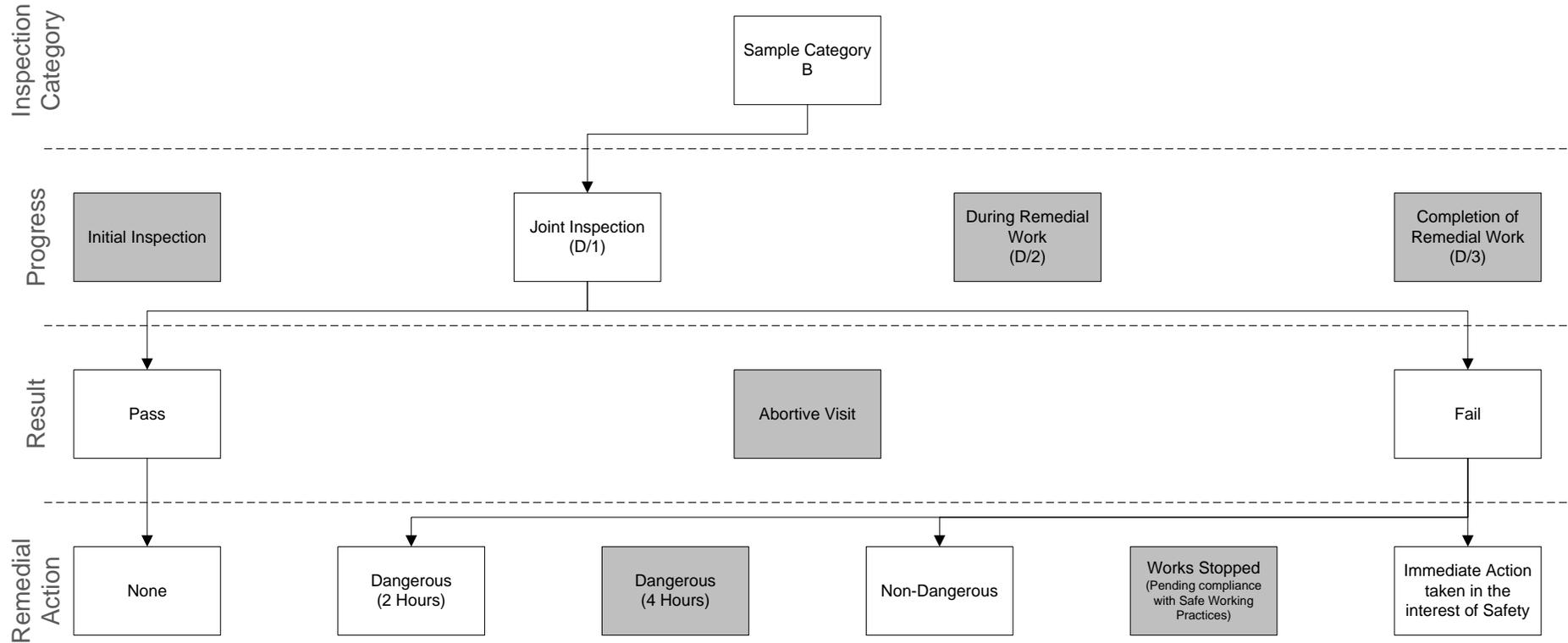
Figure 1 - Sample Category A



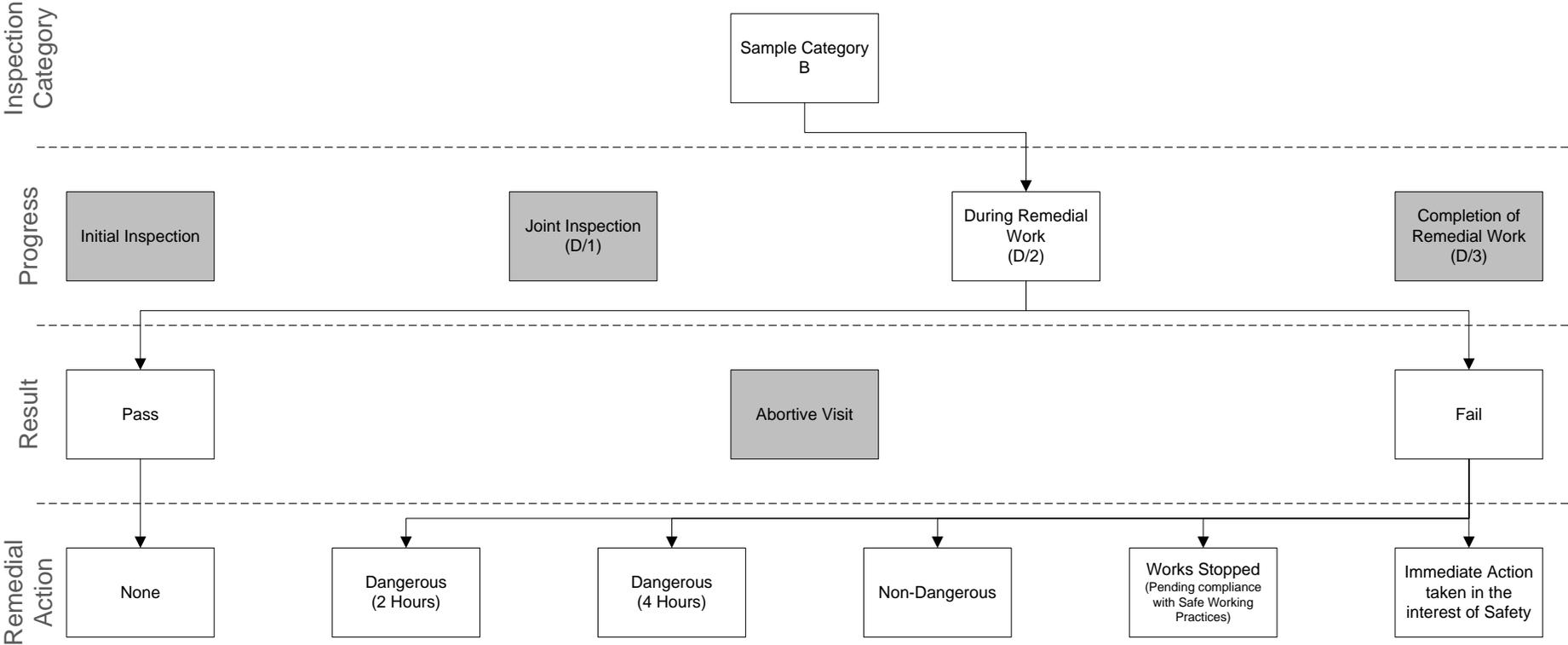
**Figure 2 - Sample Category B - Initial Inspection**



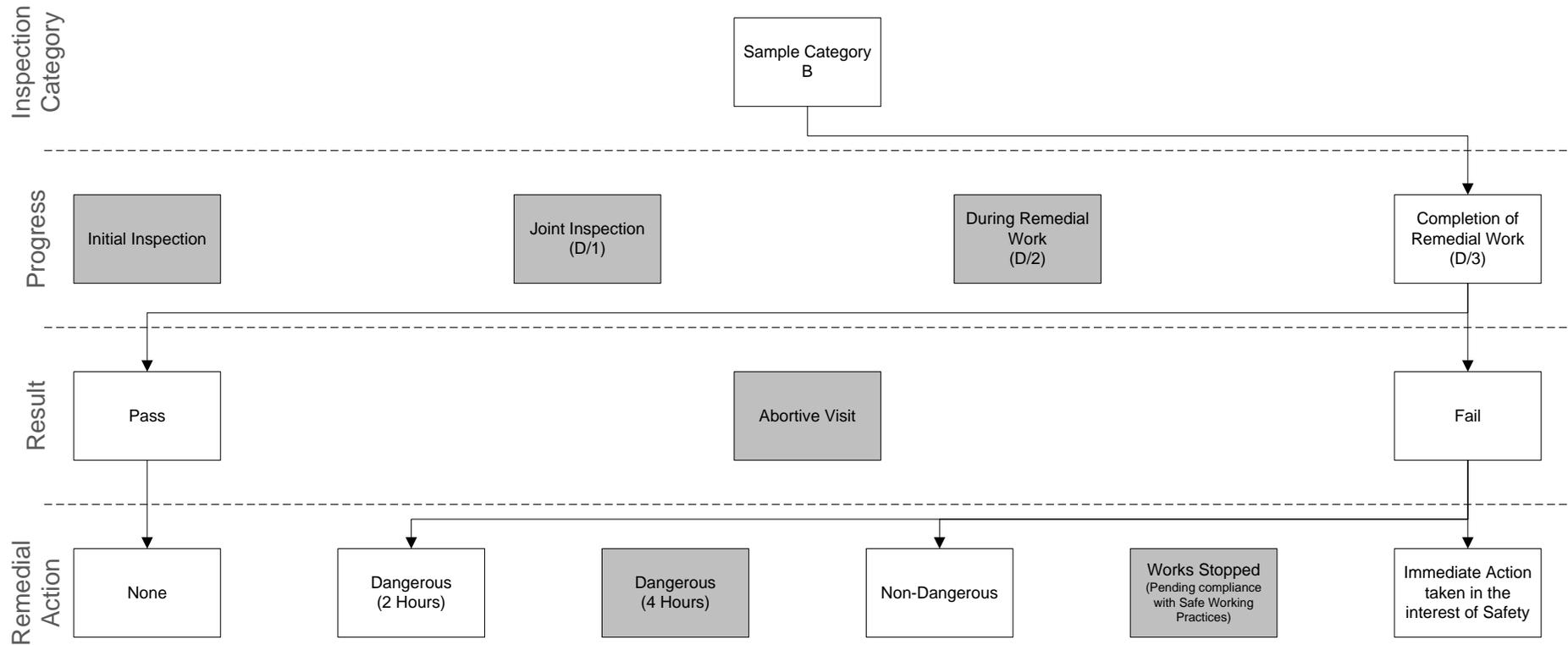
**Figure 3 - Sample Category B – Joint Inspection**



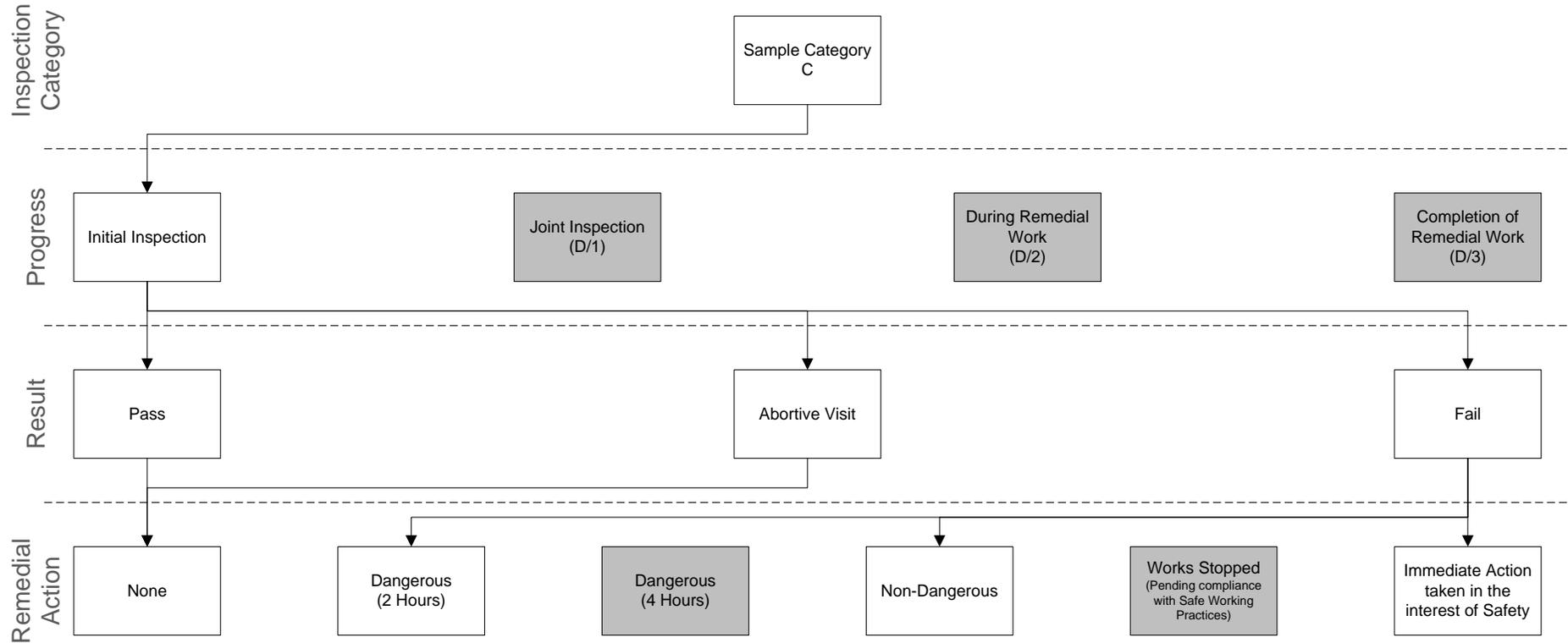
**Figure 4 - Sample Category B – In Progress/Follow-Up Inspection**



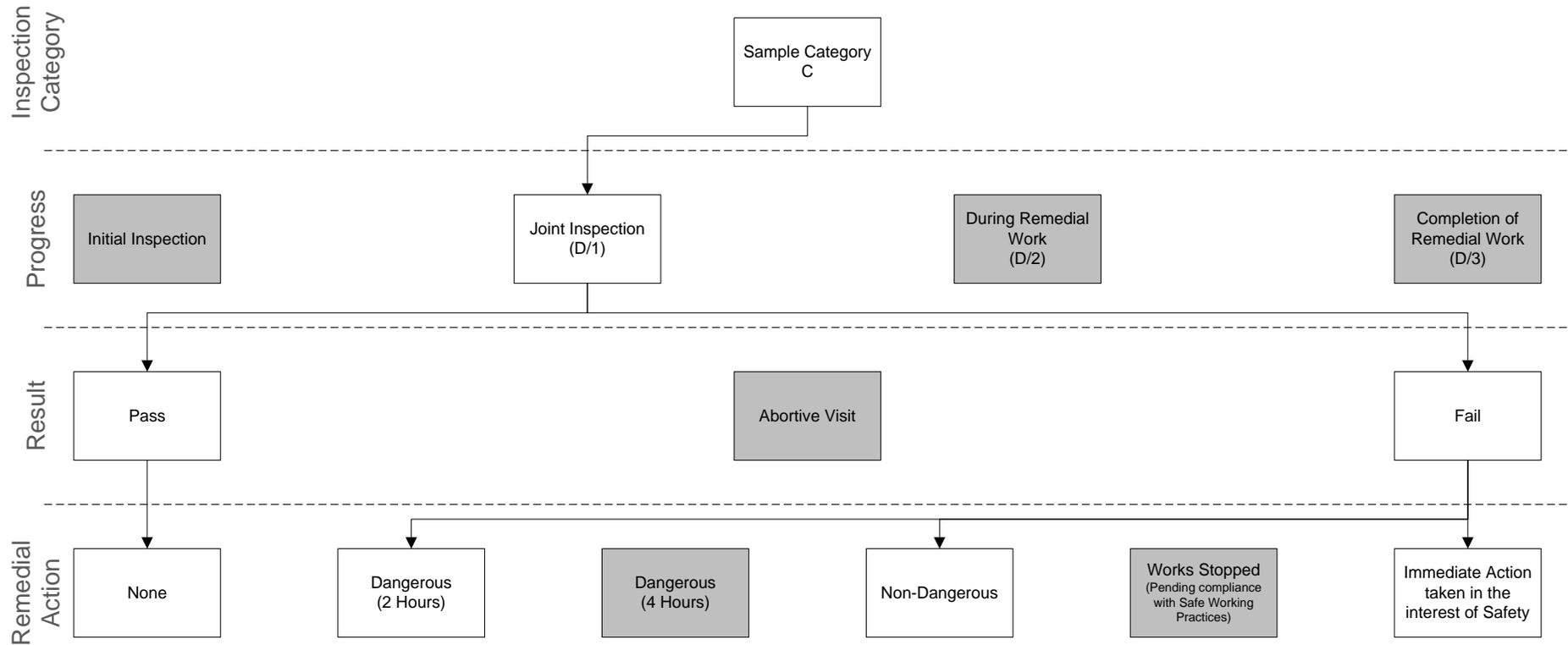
**Figure 5 - Sample Category B - Inspection on Completion of the Works**



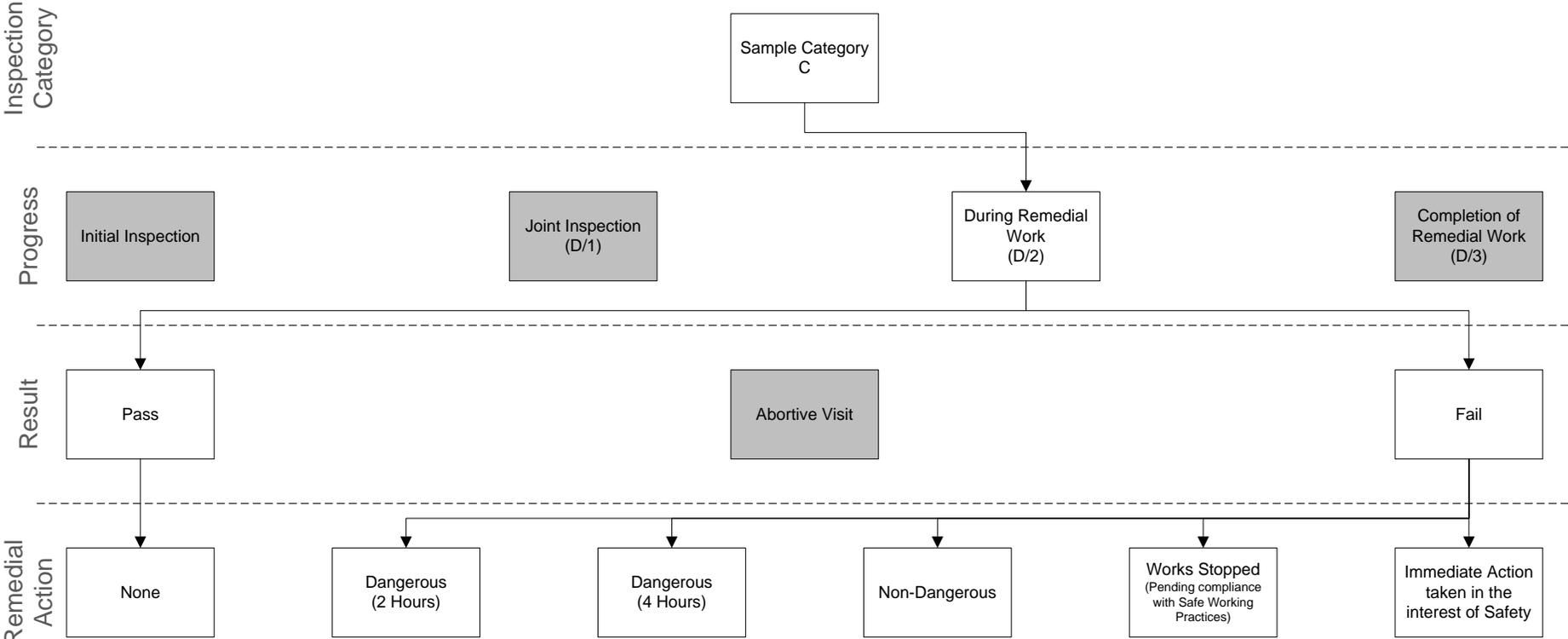
**Figure 6 - Sample Category C - Initial Inspection**



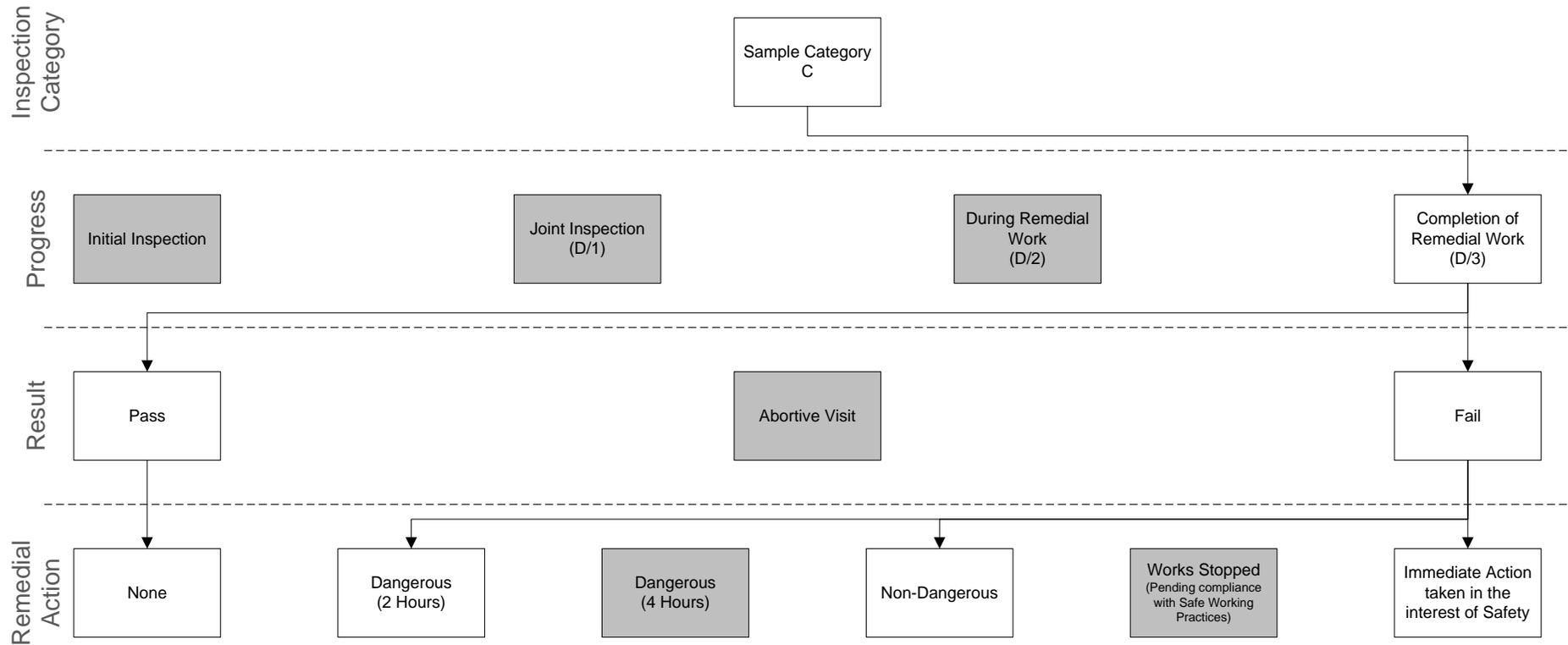
**Figure 7 - Sample Category C – Joint Inspection**



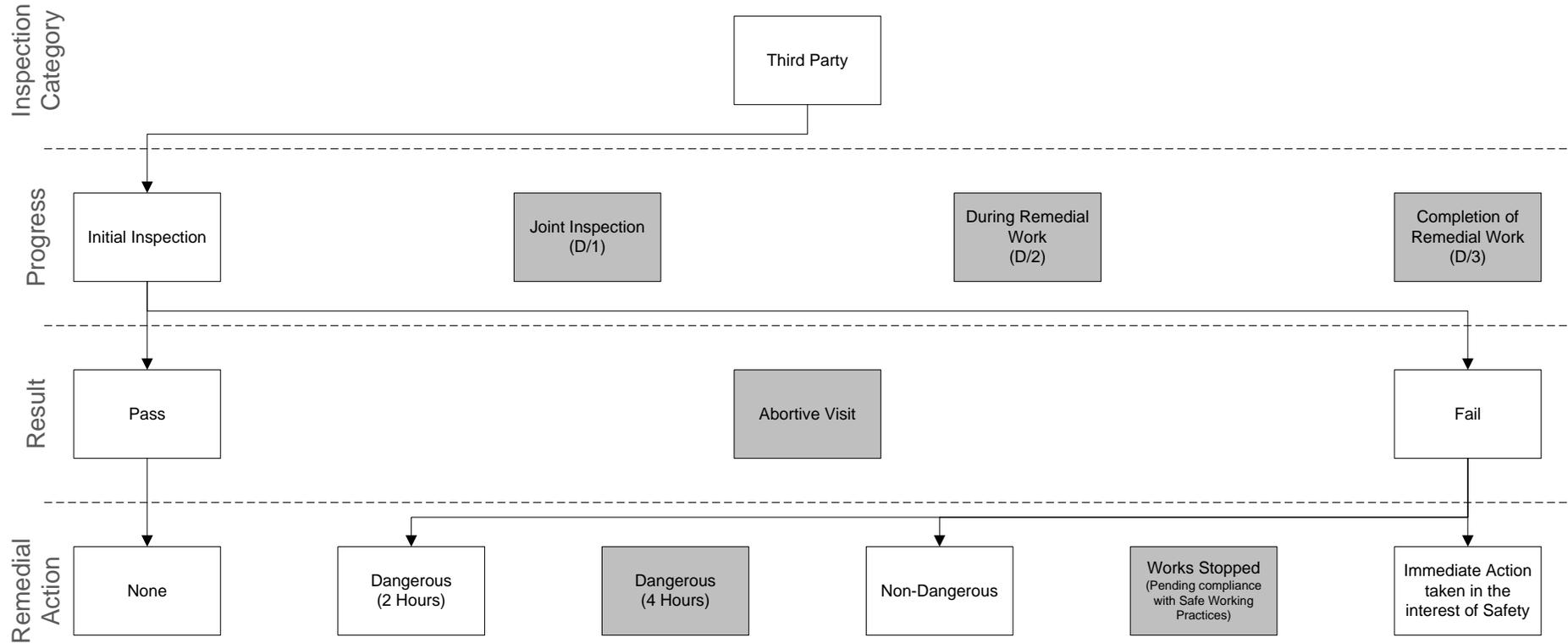
**Figure 8 - Sample Category C – In Progress/Follow-Up Inspection**



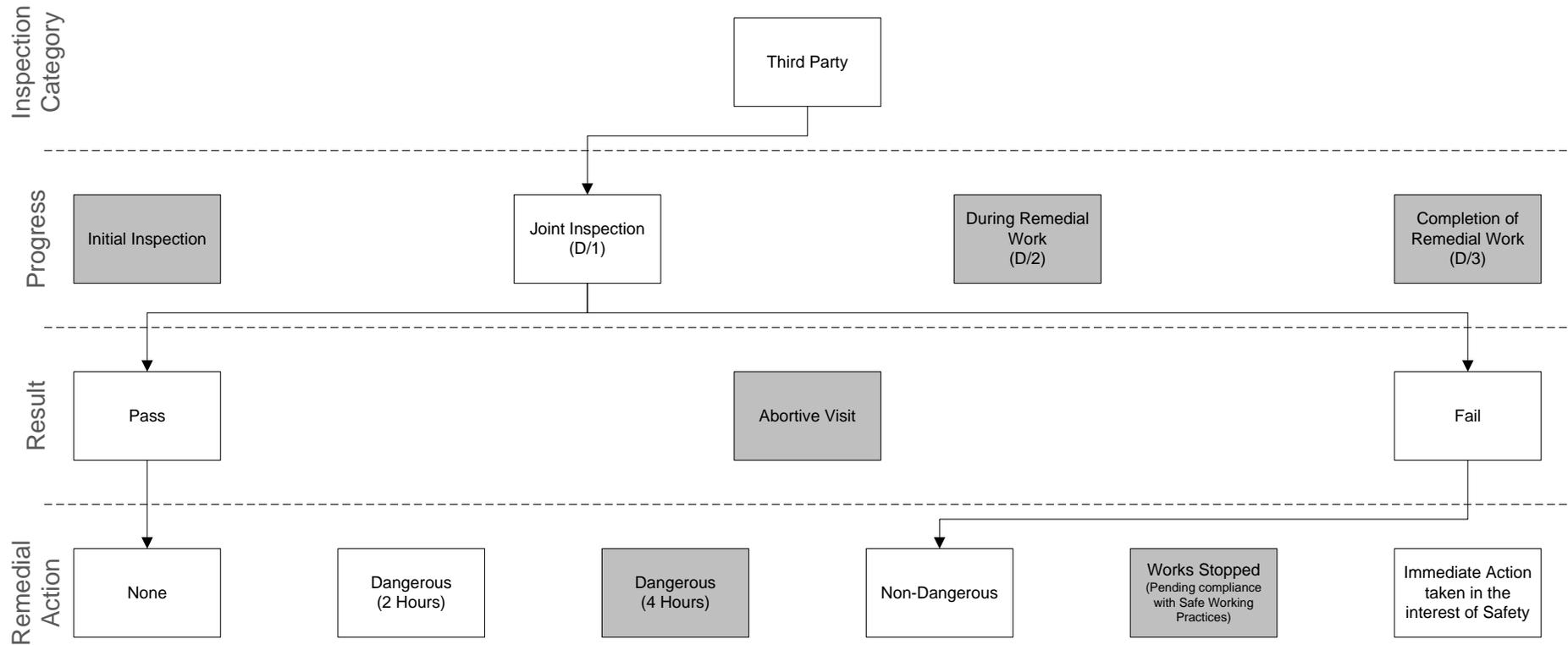
**Figure 9 - Sample Category C - Inspection on Completion of the Works**



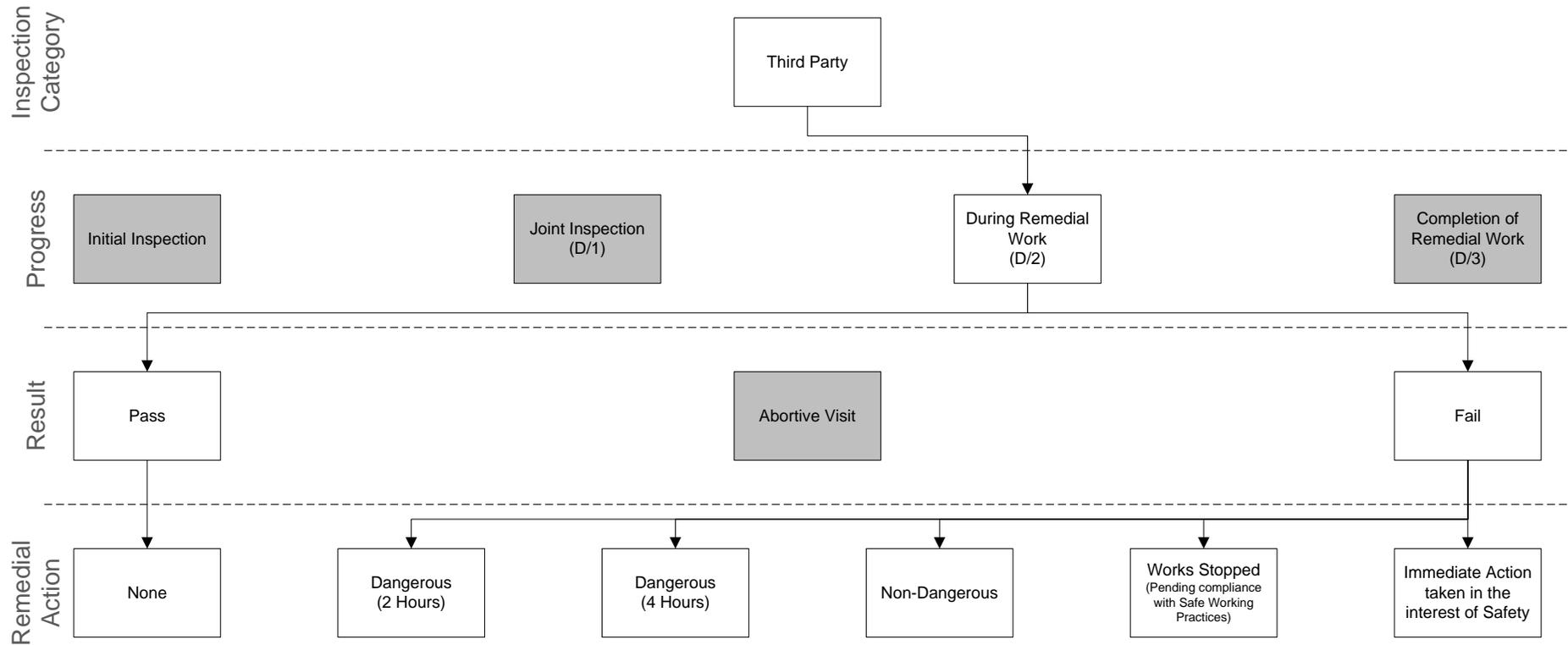
**Figure 10 - Third Party - Initial Inspection**



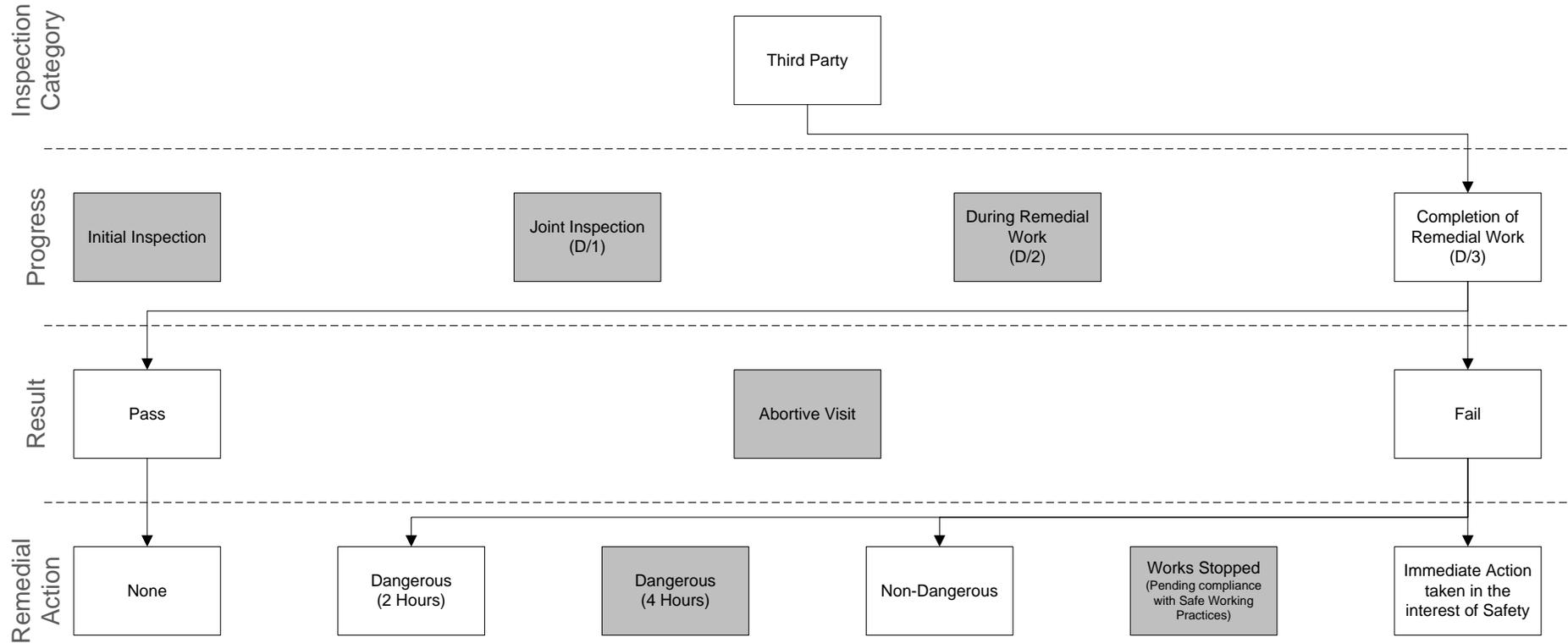
### Figure 11 - Third Party – Joint Inspection



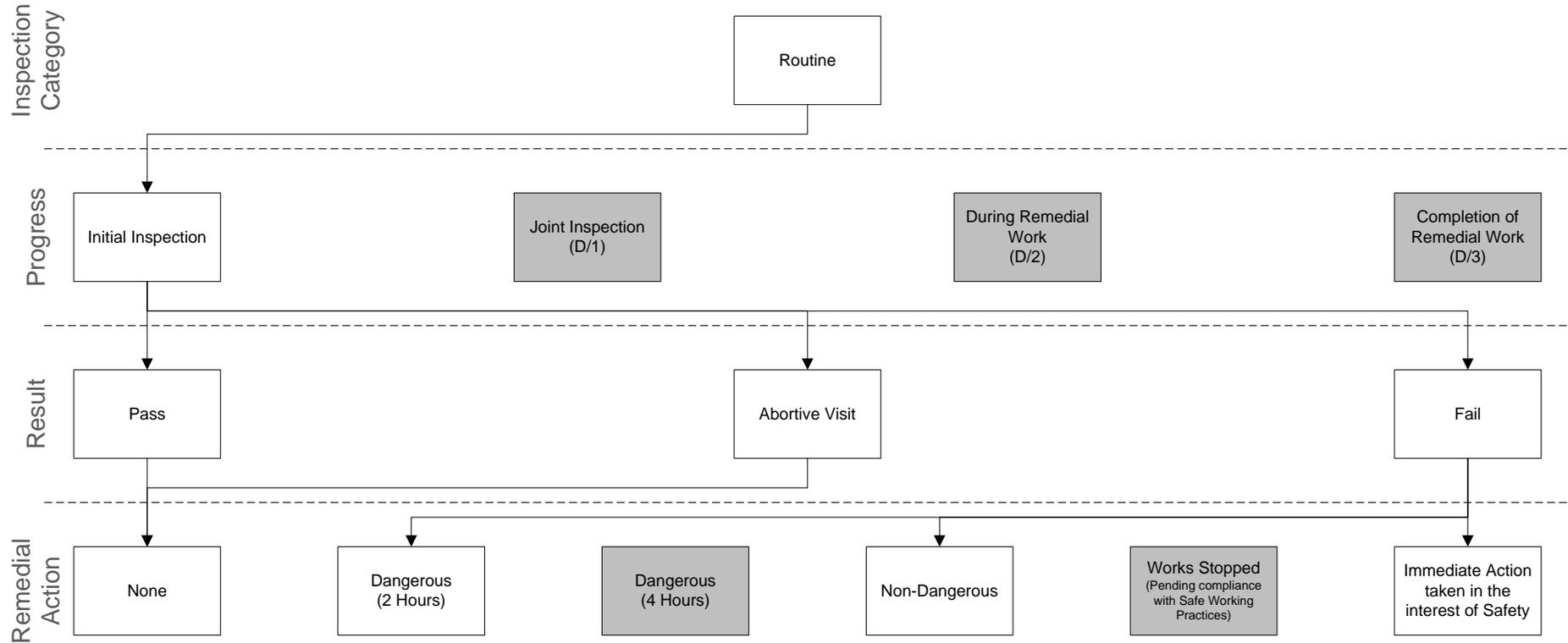
**Figure 12 - Third Party – In Progress/Follow-Up Inspection**



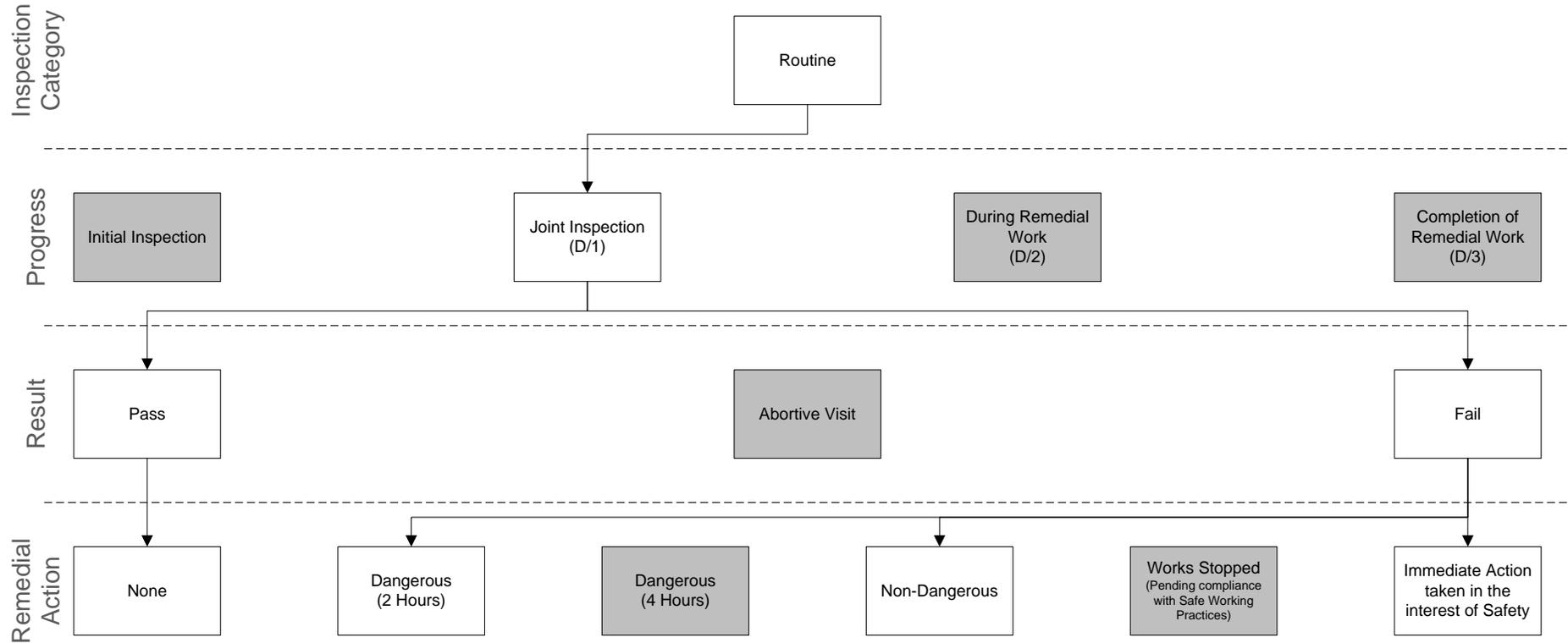
**Figure 13 - Third Party - Inspection on Completion of the Works**



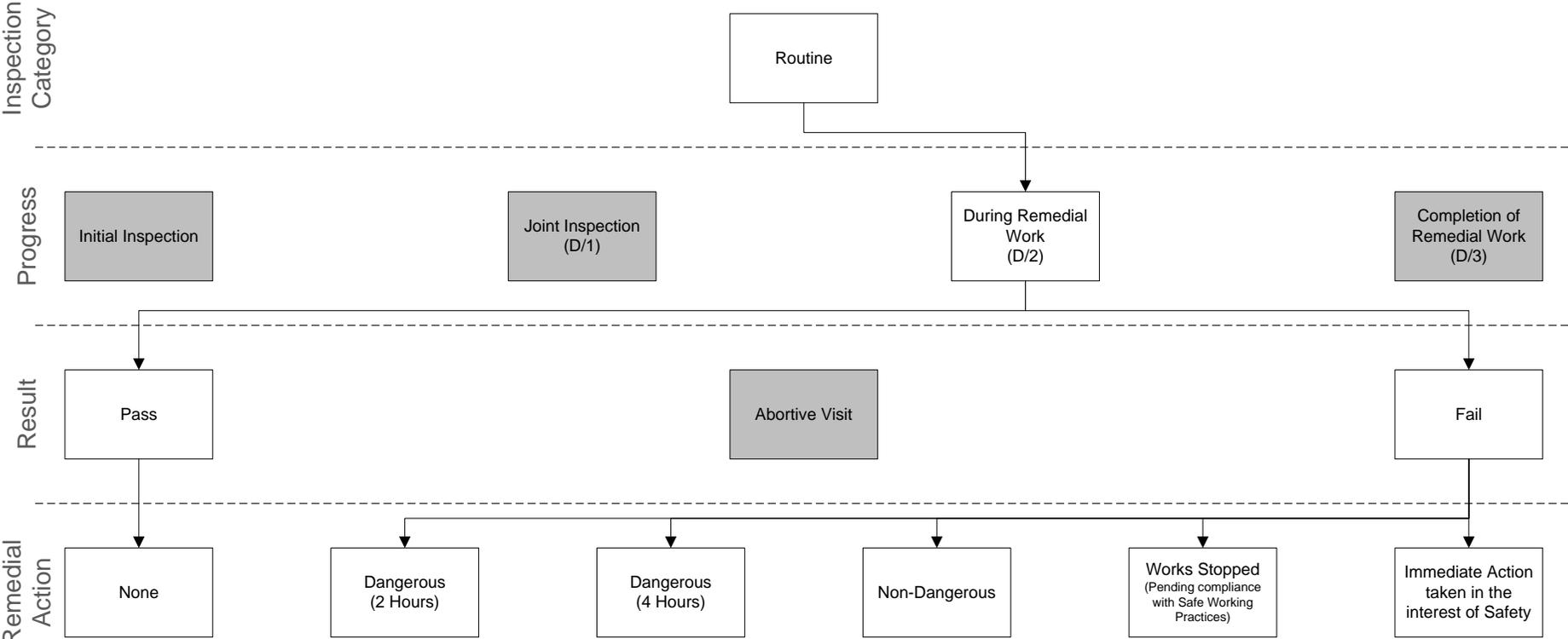
**Figure 14 – Routine – Initial Inspection**



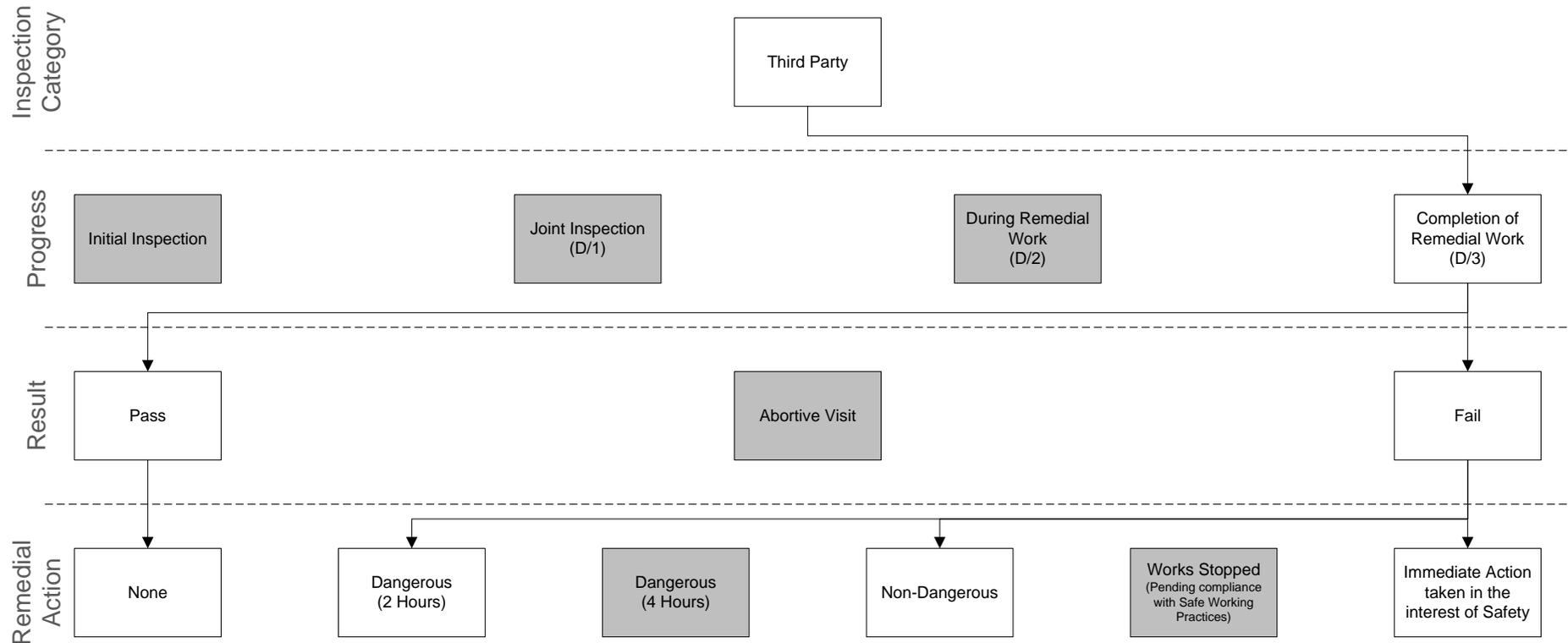
**Figure 15 - Routine – Joint Inspection**



**Figure 16 - Routine – In Progress/Follow-Up Inspection**



**Figure 17 - Routine - Inspection on Completion of the Works**



# APPENDIX D

## Site Check-List for Improvement Plan Process

Note: - Suggested construction items which may be reported from a site visit. A selection of these may be incorporated in the plan as items to be monitored depending on the objectives to be achieved by the plan.

### **Signing, Lighting and Guarding**

- Correct equipment on site
- Signs in correct positions
- Barriers correctly erected
- Pedestrian provision where required
- Approved traffic signals

### **Reinstatements**

- Surface profile
- Ironwork

### **Bituminous**

- Sub-base, Base (Roadbase), Binder Course, Surface Course – Materials, lifts compaction equipment and finished depth.
- Tack coat
- Edge sealant
- Overbanding
- Joint Treatment
- Chippings

### **Concrete**

- Reinforcement
- Mix
- Joints
- Texture

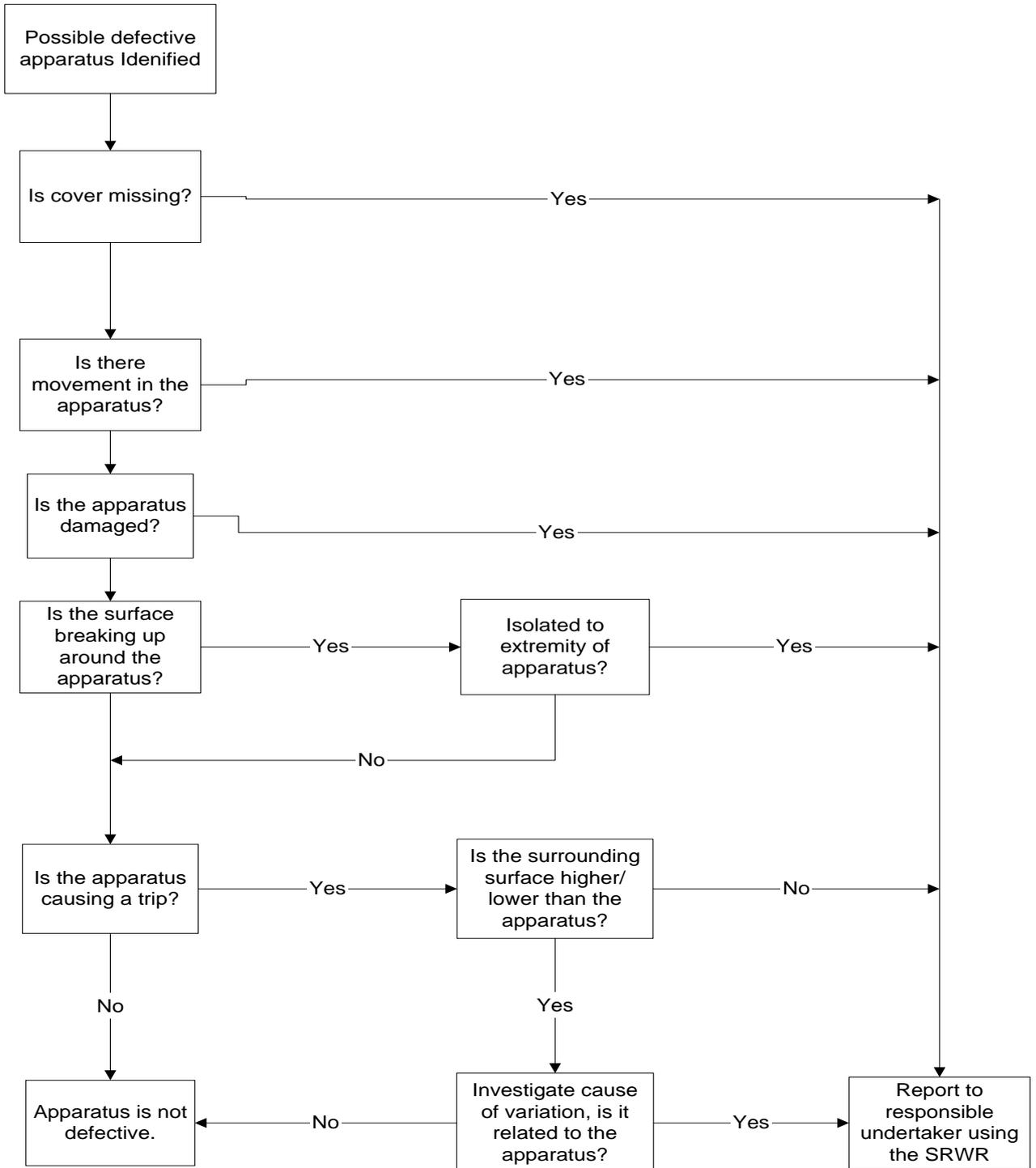
### **Modular (including flag stones)**

- Bedding
- Flags
- Slabs
- Modules
- Setts
- Joints

Note that this is not an exhaustive list and other criteria may be appropriate in particular cases.

## APPENDIX E

### Guidance for Identifying Defective Apparatus



**Note: A meeting must be held between undertaker and road works authority.**

# APPENDIX F

## SRWR Process for dealing with Defective Apparatus Notifications

