

NEW ROADS AND STREET WORKS ACT 1991

CODE OF PRACTICE FOR INSPECTIONS

**Issued by the Welsh Assembly Government on behalf of
the Welsh Highways and Utilities Committee**

Effective from 2 October 2006

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Foreword

Under section 72 of the New Roads and Street Works Act 1991, the street authority is empowered to carry out investigatory works to check on whether or not an undertaker has complied with the duties placed on it in respect of reinstatement of the street. Under section 75, an undertaker executing street works is required to pay the street authority a prescribed fee in respect of each inspection of works carried out by the authority. Section 75 also empowers the Welsh Assembly Government to make a scheme under which the prescribed fee is only paid in respect of such proportion or number of street works as the scheme may determine.

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

The first edition of the *Code of Practice For Inspections* came into operation in England, Wales and Scotland on 1 January 1993, at the same time as the related Regulations applicable in England and Wales, The Street Works (Inspection Fees) Regulations 1992 (S.I. 1992 No. 1688), made under sections 75 and 104 of the Act, and the Road Works (Inspection Fees) (Scotland) Regulations 1992 (S.I. 1992 No. 1676 (S. 163)) made under sections 134 and 163, set out the levels of fee payable for each chargeable inspection of works, and defined certain related concepts.

This edition of the Code of Practice was prepared by a working party of the Highway Authorities and Utilities Committee (HAUC UK), and was the subject of extensive consultation with interested organizations. On the working party were representatives of the National Joint Utilities Group (NJUG) (of which the majority of utilities are members), the Local Government Association (LGA) (representing local authorities in their capacity as highway authorities) and the Department for Transport (DfT). This document was further considered by the National Assembly for Wales' Transport Directorate in conjunction with a sub group of the Welsh HAUC.

The regulations and Code of Practice will come into operation on 2 October 2006 .

Welsh Assembly Government
June 2006

CHAPTER 1 - INTRODUCTION

1.1 The New Roads and Street Works Act 1991 (hereinafter referred to as “the Act”) gives undertakers, including the holders of street works licences, responsibility, under section 65, for signing, lighting and guarding and, under section 71, for reinstating the street to the prescribed requirements on completion of their works. It also gives street authorities the power under section 72 to inspect, investigate and report on undertakers' works and reinstatements and powers under sections 65 and 72 to take such steps as appear necessary to remove dangers these may cause to users of the street. 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 street works. Street authorities are responsible for monitoring the performance of the undertakers and wholly responsible for co-ordination. Street 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 street and highway authority inspections and by reports from the police and members of the public. Defect inspections 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 7.

1.3 The street 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 3.

1.4 Before carrying out street works within an area, undertakers shall 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 prescribed time period. This is particularly important in relation to the procedures for making good defects in reinstatements and inadequacies in signing, lighting and guarding, covered in Chapters 4 & 5. Essential features of such arrangements are information boards on each site and a contact 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, street 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 communications can break down. They need to ensure that they can be contacted seamlessly over such shift changes. Because the street authority has overall responsibility for the safety of highway users, 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 street authority will have to take direct action.

1.6 Regulations set the fees for chargeable inspections. The Financial Arrangements are discussed in Chapter 6.

1.7 Processes for exchanging information and dealing with the results of inspections are described in Chapter 7. Procedures are also detailed 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.

1.8 Guidance on the procedure, to be adopted in the case of disputes, is described in Chapter 8.

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. Where this monitoring shows that 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 Openings in Highways (hereinafter in this Code referred to as “the Specification”). Procedures for sharing this information are set out in Chapter 4. It is important to complete the work correctly first time. Inspections undertaken by the street authority are designed for monitoring the work of the undertaker and not supervision of its work.

2.1.2 The Act provides that undertakers are to pay for inspections of the works by the street authority such as:-

- sample inspections (Section 75 of the Act)
- defect inspections
- investigatory inspections
- improvement plan costs or expenses
- inspections of work carried out under section 50

Section 72 deals with investigatory works needed in the event of reinstatement defects or reported defects, and with subsequent inspections (defect inspections), and sets out the statutory responsibility for meeting the costs.

2.1.3 Apart from sample inspections, street authorities may identify defects or inadequacies either during their own routine inspections, or during investigatory inspections resulting from reports from the police or members of the public.

2.1.4 Where defects or inadequacies are found during routine street authority inspections, no sample inspection fee may be charged, but the appropriate procedure described in Chapters 4 or 5 may be carried out and defect inspection fees or costs reasonably incurred, 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 street authority inspector to undertake an investigatory inspection in order to confirm that a defect exists. If a defect is confirmed, the street authority may charge the undertaker concerned an investigatory inspection fee in addition to any fees or charges which may arise from the appropriate procedure described in Chapters 4 or 5.

2.2 Types of Inspection

2.2.1 Sample Inspection: This is the procedure by which a street 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. It will enable the street authority to monitor the level of compliance with the relevant prescribed standards in the Codes of Practice. The street authority should also check that the undertaker is complying with his duty under section 67 in relation to qualifications for persons as supervisors and operatives. Section 68 requires the undertaker to assist them in doing so.

2.2.2 Defect Inspection: This is the procedure for dealing with individual reinstatements that do not comply with the Specification. It will normally allow for a joint inspection by both the street authority and the undertaker before remedial works are undertaken. It is then followed by two further inspections, carried out by the street authority. The first of these is undertaken while the remedial works are in progress, and the second when the remedial works have been completed. As indicated in the definition above, defect inspections are concerned with reinstatement defects, not with inadequacies in signing, lighting and guarding.

2.2.3 Investigatory Inspection: An inspection of a site by the street authority to verify a defect or inadequacy reported by a member of the public or the police.

2.2.4 Improvement plan inspection: An inspection carried out by the street authority as part of an agreed improvement plan.

2.2.5 Inspection of section 50 works: An inspection by the street authority of works undertaken by a person licensed under section 50.

2.2.6 Pre-inspection procedures are set out in the Specification and do not form part of this document.

2.2.7 The procedure for dealing with inadequacies in signing, lighting, and guarding is described in Chapter 5.

2.3. Sample Inspection Procedure

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

2.3.1 Categories of Sample Inspection

Three stages have been identified at which significant information on undertakers' performance can be obtained. These are categorised as follows:-

Inspection Category	Timing of Inspection
A	Undertaken during the progress of the works
B	Undertaken within the six months following interim or permanent reinstatement
C	Undertaken within the three months preceding the end of the guarantee period

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 and scale of works carried out by each undertaker. This means that large works may generate more than one unit of inspection. Small single excavation works, which are part of the same project, may be grouped together to form a single unit of inspection.

2.3.2.2 A unit of inspection is defined as

either (i) A single excavation not exceeding 200 metres in length and not part of works as defined under (ii) below. Excavations longer than 200 metres will be counted as one unit of inspection for each 200 metres or balance thereof

or (ii) Up to 5 excavations (up to 10 excavations in the case of works relating to service pipes or service lines), provided that they meet all of the following criteria:-

- (a) all the excavations are in the same street;
- (b) all the excavations are part of the same works;

- (c) all the excavations are made over the same period of time (not exceeding 10 days);
- (d) each excavation is within 500 metres of every other excavation;
- (e) the aggregate length of all the excavations does not exceed 200 metres.

2.3.2.3 All works which involve breaking up the street will be included in the calculation of units of inspection, irrespective of whether the works in question are located in the footway, verge or carriageway. In the case of shared trenches, provided that one undertaker accepts responsibility for the works, the trench will be regarded as a single trench in calculating the number of units of inspection.

2.3.2.4 Undertakers are required, when giving notice under section 55 of the Act, to estimate the number of units of inspection the works will generate.

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 three financial years for that undertaker. This is to enable the annual charge to be determined.

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.

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

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 street 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 street authority can monitor the actual units generated and, if necessary, adjust the annual charge.

2.3.4 Selection of Samples

2.3.4.1 For inspections in categories B and C random samples are to be selected by, for example, using random number tables or a computer programme generating random numbers. Inspections in Category A cannot be selected and programmed in the same way because of the practical difficulties of co-ordinating the movements of inspectors with the activities on work sites. Consequently, street authorities will be responsible for selecting sites to visit, ensuring as random a sample as is practicable, including works in all types of streets as appropriate.

2.3.4.2 Grouped sites. When visiting a selected site, an inspector may find, in the vicinity of that site, other sites within the same works in the same street and in the same inspection category. These other sites may be included in the sample, provided the group so formed lies within the definition of a unit of inspection as defined in paragraph 2.3.2.2.

A works inspection report is produced for each site in the group. The overall result of the inspection will be 'failed' if any one site fails, otherwise the result will be 'passed'. The pass or fail will be recorded against the selected site but the details will be on the works inspection report for the site that failed.

Inspections of a group like this count as a single inspection against the annual total of inspections. Every site inspected is tagged and the reference number of the selected site recorded against it so that it is not selected again for sample inspection in that category.

2.3.4.3 Sites larger than an inspection unit. Alternatively the notice issued before work starts may show only one site for each street in that works. In this case, a single site may consist of many inspection units (for example a trench 300 metres long would count as 2). If such a site is selected for inspection, the inspector may inspect all the areas within that site where the works are at the stage defined by the category of inspection being undertaken. The location of any defect is defined in the works inspection report. As the site is larger than an inspection unit, the inspection counts as two or more inspections against the annual total number of inspections as calculated under section 2.3.3.

2.4 Defect Inspections

2.4.1 When a reinstatement defect is found the street authority may carry out three defect inspections as follows:-

- (i) a joint inspection, involving both the street authority and the undertaker, 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 street authority need to undertake during the progress of the remedial works;
- (ii) inspection(s) by the street authority of the remedial works in progress; and
- (iii) inspection by the street authority when all the remedial works have been completed.

The amount of work covered by any one of these inspections will be governed by the size of the sites as defined in the most recent notice from the undertaker. Early in the works this might include a whole street but, after the defects are agreed, the notice for carrying out the remedial works may define a smaller site or sites.

As described in 2.3.4.2, where individual sites form a group, the group is inspected as one inspection with payment of one defect inspection fee.

In the situation described in 2.3.4.3, the defects may be further apart than is specified in the definition of a single inspection unit. Therefore more than one defect inspection fee may be payable for the remedial works inspections arising from this single works. This depends on the position of the defects.

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 street authority has to attend joint inspections to discuss the inadequacies, HAUC UK recommends that the street authority charges a defect fee to the undertaker if an inadequacy is found.

2.5 Inspection Reports

2.5.1 The street authority inspector will complete a Works Inspection Report for every random sample inspection carried out and a Defect Notification for each inspection where a defect is found. They will be copied to undertakers in accordance with paragraph 7.1.1. Suggested formats are in Appendix B.

2.6 Diagrammatic Illustrations

2.6.1 Diagrammatic illustrations of the operation of inspection arrangements and where the fees are payable are set out in Appendix C.

CHAPTER 3 - INVESTIGATORY INSPECTIONS AND INVESTIGATORY WORKS

3.1 Investigatory Inspections

3.1.1 An Investigatory 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.

3.1.2 The results of such inspections should not be included with those of sample inspections in calculating the undertaker's performance as set out in paragraph 7.2 of this Code.

3.1.3 If a defect or inadequacy is revealed, a fee as set out in paragraph 6.5 will be payable.

3.2 Investigatory Works

3.2.1 The street authority has power under section 72(1) of the Act to carry out Investigatory Works (such as coring, measurement of texture depth, material sampling) as appear to them necessary to determine whether an undertaker has complied with its duties with respect to reinstatement. It is not sufficient simply to carry out an additional visual inspection.

3.2.2 If Investigatory Works confirm a defect in a reinstatement, the street authority may recover the costs reasonably incurred of the Investigatory Works relevant to that defect. If no defect is found the street authority must bear the cost of the Investigatory Works.

3.2.3 When Investigatory Works confirm a defect in the reinstatement, the procedures in paragraph 4.2 for dealing with Defective Reinstatements are followed.

3.2.4 Investigatory Works apply only to reinstatement. They do not apply to signing, lighting and guarding.

CHAPTER 4 - REINSTATEMENT DEFECTS

Note

It should be noted that the Act 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 they in no way affect liability to prosecution or the power of street authorities to remove danger.

- 4.1** Reinstatement defects are identified by street authorities in a number of ways including:-
- sample inspections
 - routine highway inspections
 - reports from the public
 - reports from the police
 - investigatory Works

Where an undertaker carries out a monitoring programme, they are encouraged to share the results with the street authority.

4.1.1 Undertaker's Monitoring Results

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

4.1.2 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

Reinstatements that do not comply with the Specification and that appear to the street authority to be causing danger.

(ii) Non-Dangerous Reinstatement Defects

Reinstatements that do not comply with the Specification and that will require some remedial action.

4.2 Procedures for dealing with Defective Reinstatements

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

4.2.1 Category A Inspections

Defects found during Category A inspections will be notified to the undertaker. If these cannot be remedied during the course of the work, the procedure set out in 4.2.2 or 4.2.3 is followed.

4.2.2 Defects not causing danger

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

- (i) The street authority sends, by the end of the next day, electronically or by fax, a Works Inspection Report and Defect Notification to the undertaker responsible and supplies copies to the undertaker's representative if on site.

- (ii) The undertaker contacts the street authority by the end of the next day following receipt of the report, to arrange a date for the joint inspection of the defect. The inspection takes 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 street authority's assessment of the defect and the remedial works required. The undertaker gives notice of the start of the remedial works. The undertaker should undertake the agreed remedial works within 10 days of the date of the joint inspection or the date of the agreement not to have a joint inspection unless an extended period is mutually agreed. If it is agreed that there is no defect, no further action is taken and no fee is payable.
- (iii) If the street authority carries out an inspection during the remedial work a further defect inspection fee is payable, as set out in paragraph 2.4.2.
- (iv) The undertaker notifies the street authority when the remedial work is completed by sending an appropriate notice.
- (v) If the street authority undertakes an inspection of the completed remedial works, a further defect inspection fee is payable, as set out in paragraph 2.4.2.
- (vi) If, by the tenth day after the joint inspection referred to in (ii) above or if after 20 days from the street authority notifying the undertaker of a defect in (i) above, the undertaker has neither notified completion of the remedial work nor has agreed with the street authority a longer period for the remedial work to be completed, the street authority may carry out an inspection and charge an inspection fee as set out in paragraph 2.4.2.
- (vii) If, on a further inspection under (vi) above, appropriate notices required by (ii) & (iv) above have not been received by the street authority but the remedial work is found to be satisfactory then this inspection shall be charged as the third stage defect inspection described in 2.4.1(iii). The undertaker may be informed that the required notices have not been received and will be charged a fee for this notification equivalent to the defect inspection fee.
- (viii) If, on a further inspection under (vi) above, the remedial work is not satisfactory or has not been completed, or if the appropriate notices continue to be outstanding, this procedure may, at the street authority's discretion, commence again at (i) above. Similarly, a new defect procedure shall commence again if the remedial work is found to be unsatisfactory during defect inspections at stages (iii) or (v) above.
- (ix) If the undertaker continues to perform unsatisfactorily in carrying out this procedure, the street authority may undertake the work and charge costs reasonably incurred to the undertaker.
- (x) If the street authority takes action, they must inform the undertaker by the end of the next day either electronically or by fax.

4.2.3 Defects causing danger

In the case of non-complying reinstatements which appear to the street authority to be causing danger, the overriding aim of the procedure is to remove the danger as soon as possible. The exact procedure to be adopted for dealing with these occurrences may differ in and out of normal working hours.

Where a street authority becomes aware of a non-complying reinstatement causing danger, they may make safe the site by signing, lighting and guarding and require the attendance of the undertaker. Exceptionally, the street authority may themselves carry out any necessary works to remove the danger without first notifying the relevant undertaker and recover the costs reasonably incurred.

A suggested procedure follows below:

- (i) The street authority informs the undertaker immediately, by a logged telephone call, and sends electronically or by fax, a Works Inspection Report and Defect Notification to the undertaker responsible. Copies are supplied to the undertaker's representative if present on site.
- (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 street authority by telephone of the actions to be taken, within 30 minutes of the logged telephone call and confirms the action taken within 2 hours.
- (iv) A defect inspection fee, as set out in paragraph 2.4.2, shall be payable to the street authority if a joint inspection is carried out and a defect agreed following notification to the undertaker under 4.2.3 (i).
- (v) The street authority may take reasonable remedial action to make safe if;
 - (a) there is no one on site and the street 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 30 minutes of the logged telephone call; or
 - (e) the undertaker persistently fails to respond to dangerous defects (see Chapter 7).
- (vi) If the street authority takes remedial action under 4.2.3 (v), it may charge its reasonably incurred costs to the undertaker.
- (vii) If the street authority takes action, it should inform the undertaker by the end of the next day, either electronically or by fax.
- (viii) When the defect is made safe as in 4.2.3 (ii), the procedure in 4.2.2 for non-dangerous defects is then followed.

Chapter 7 sets out procedures to be followed where the undertaker persistently fails to respond to dangerous defects.

4.3 Guarantee Periods

4.3.1. Guarantee periods are detailed in the Specification.

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

CHAPTER 5 - INADEQUACIES IN SIGNING, LIGHTING AND GUARDING

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 they in no way affect liability to prosecution or the power of the street authority to remove danger.

5.1 Inadequacies

5.1.1 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 street 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.

5.1.2 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.

5.2 Procedures for dealing with Inadequacies

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

5.2.1 Lower Risk Inadequacies

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

- (i) If the undertaker’s representative is not on site, the street authority immediately informs the undertaker by logged telephone call in addition to the electronic or faxed report. The street authority sends, by the end of the next day, electronically or by fax, a Works Inspection Report and Defect Notification to the undertaker responsible and supplies copies to the undertaker’s representative if on site.
- (ii) The undertaker shall ensure that the street authority receives a telephone call stating the actions to be taken within 1 hour of the notification on site or the logged telephone call. Furthermore, the undertaker shall ensure that the inadequacy is made good within 4 hours of the notification on site or the logged telephone call.
- (iii) The street authority makes good the inadequacy if:
 - (a) there is no one on site and the street 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 1 hour 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 7).
- (iv) If the inadequacy is confirmed, or the street authority takes remedial action under 5.2.1 (iii), the street authority may charge the costs reasonably incurred to the undertaker. (see Fig 2, Appendix C, page 31)
- (v) If the street authority takes action, it informs the undertaker by the end of the next day, either electronically or by fax.

5.2.2 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 street authority completes the Works Inspection Report and Defect Notification and hands them to the undertaker's representative. Further copies are sent, electronically or by fax, to the undertaker by the end of the next day;
- (ii) If the undertaker's representative is not on site, the street authority immediately informs the undertaker by means of a logged telephone call as well as sending, electronically or by fax, the Works Inspection Report and Defect Notification. In the meantime, the street authority makes any possible minor adjustments to improve the safety of the site and may recover such costs reasonably incurred.
- (iii) The undertaker takes immediate action to mobilise and must ensure that the street authority receives a telephone call stating the actions to be taken within 30 minutes of the notification on site or the logged telephone call. The undertaker must ensure that the inadequacy is made safe and the street authority is informed of the action taken within 2 hours of being informed on site or the logged telephone call;
- (iv) The street authority makes safe the inadequacy if:
 - (a) there is no one on site and the street authority does not know the identity of the undertaker responsible; or
 - (b) it cannot contact, until some time 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 30 minutes of the logged telephone call; or
 - (e) the undertaker fails to respond to inadequacies in signing, lighting and guarding (see Chapter 7).
- (v) If the inadequacy is confirmed, or the street authority takes remedial action under 5.2.2 (iv), the street authority may charge the costs reasonably incurred to the undertaker. (see Fig 2, Appendix C, page 31)
- (vi) If the street authority takes action, it informs the undertaker by the end of the next day either electronically or by fax.

CHAPTER 6 - FINANCIAL ARRANGEMENTS

6.1 Introduction

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

6.2 Sample Inspection Fees

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

6.3 Defect Inspection Fees

A fee for each chargeable defect inspection is payable to the street authority HAUC UK recommends that the defect inspection fee should be double the sample inspection fee.

6.4 Improvement Plan Costs or Expenses

HAUC UK recommends that the costs or expenses incurred for undertaking performance monitoring, collating and providing the output information as agreed in the Improvement Plan should be recoverable by the street authority. We recommend that where these costs and expenses are recovered, they are recovered on the basis of the Street Works (Recovery of Costs) (Wales) Regulations 2005.

6.5 Fees for Investigatory Inspections arising from Reports by the Police or Members of the Public

A fee for each chargeable investigatory inspection is payable to the street authority. HAUC UK recommends that the investigatory inspection fee should be the same as the sample inspection fee. If required the street authority shall make its records of the reports available for inspection by the undertaker.

6.6 Costs of investigatory works

Where investigatory works, described in Chapter 3, confirm a defective reinstatement the street authority is entitled to recover costs reasonably incurred relevant to that defect.

6.7 Costs of remedial actions

If a street authority takes action under paragraphs 4.2.2(ix), 4.2.3(v), 5.2.1 (iii) and 5.2.2 (iv), it is entitled to charge costs reasonably incurred to the undertaker responsible.

6.8 Invoicing

6.8.1 Invoicing arrangements for sample inspections are as follows:-

- (i) within each street 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 annual charge to undertakers will be calculated on the basis of the estimated number of inspections set out in paragraph 2.3.3. It will then be divided into four equal amounts to be billed and paid quarterly in arrears;
- (iii) if the number of inspections actually carried out in any one financial year is less than the estimated number, a refund will be made to the undertaker;

- (iv) the street authority may inspect a larger sample of works, but the additional inspections will be at their own expense;
- (v) invoices in respect of licence holders, inspected on the basis set out in paragraph 2.2.4, will be submitted monthly.

6.8.2 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.

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

6.8.4 Invoices for chargeable investigatory inspections are submitted and paid monthly in arrears.

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

CHAPTER 7 - PERFORMANCE

7.1.1 Works Inspection Reports are sent electronically within 10 days of the date of the inspection. However, where paper copies are still being used, Works Inspection Reports are sent to the undertaker within 3 months and prior to issuing an invoice or improvement notice.

7.1.2 Where a reinstatement defect or signing, lighting and guarding inadequacy is found by the street authority, the undertaker is informed electronically within the time scales required in Chapters 4 & 5 of this Code. Where paper is still being used, notification must be by Defect Notification.

7.1.3 Each undertaker and street authority shall establish and maintain arrangements for receiving reports and instigating action, as set out in Chapters 4 and 5 of this Code. Undertakers and street authorities must be contactable at all times. Different arrangements may operate in and out of normal office hours. See also paragraphs 1.4 and 1.5 of this Code.

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

7.1.5 The street 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.

The street authority immediately seeks 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.

7.2 Summary of Performance

Quarterly reports on performance should be sent 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. Street authorities are also recommended to produce an annual summary report of undertakers' performance for publication as appropriate. Copies should be forwarded to the appropriate Regional HAUC.

In the interests of comparing the results from different areas, these reports should include a specific section showing the results of the 30% sample inspections correctly distributed.

7.3 Improvement Notices

It should be noted that separate improvement notices are required for reinstatements and for signing, lighting and guarding.

7.3.1 Where more than 10% of the sample inspections of an undertaker's works in a three month period reveal a reinstatement defect, the street authority should issue an improvement notice within 4 weeks of the period end. However, where the undertaker carries out 50 or less inspection units of work in a year, the issue of such a notice is at the discretion of the street authority.

7.3.2 Where a sample inspection reveals an inadequacy in signing, lighting and guarding the procedures in chapter 5 are followed. Where it is found that the equipment provided on the site

7.3.3 An improvement notice will record the street authority's dissatisfaction with that undertaker's performance. Typical formats are shown in Appendix B.

7.3.4 In deciding whether to issue an improvement notice for inadequate measures for signing, lighting and guarding, the street 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.

7.3.5 Improvement Notices should be copied to Welsh HAUC.

7.4 Improvement Plan

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

7.4.2 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.

7.4.3 The agreed 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 street authority under the improvement plan to be detailed in the 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 street authority or its representative to check compliance with the Specification.
 - The percentage of work to be visited and reported on.

7.4.4 The minimum period of the plan should be 3 months. 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.

7.4.5 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.

7.4.6 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 street authority;
- civil and/or criminal remedies.

CHAPTER 8 - GUIDANCE ON DISPUTES

8.1 This Code is intended to provide sufficiently detailed guidance to enable agreement on its operation and implementation to be reached at local level. Street 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.

8.2 When there is a need for conciliation or arbitration, the provisions set out in the Code of Practice for the Co-ordination of Street Works and Works for Road Purposes and Related Matters should be followed.

GLOSSARY OF TERMS

Agent	A person duly authorised by the street authority or undertaker, as the case may be, to act on its behalf in relation to the matter in question. Unless otherwise stated, the terms "street authority" and "undertaker" in this Code of Practice include agents acting for them.
Contractor	A person or organisation duly authorised by the undertaker to undertake works and services on its behalf.
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 96 of the Act.
Day	Means working day, which is a day other than a Saturday, Sunday, Christmas Day, Good Friday, Bank Holiday or other prescribed public holiday. Bank Holiday means a day which is a Bank Holiday under the Bank and Financial Dealings Act 1971 in the locality in which the works in question are situated. A notice given after 4.30 pm on a working day shall be treated as given on the next working day. In reckoning any period, which is expressed to be a period from or before a given date, that date shall be excluded.
Expenses	See "costs".
Fees	The fees prescribed by the regulations under section 75 of the Act.
HAUC UK	Highway Authorities and Utilities Committee, the UK national committee comprising representatives of the street authorities and the National Joint Utilities Group which deals with matters of common interest. Similar bodies exist at Regional level.
Welsh HAUC	Welsh Highway Authorities and Utilities Committee (Welsh HAUC), the national committee in Wales comprising representatives of the street authorities and the Welsh Joint Utilities Group which deals with matters of common interest in Wales.
Highway Authority	means, (a) in the case of trunk roads (which include motorways), the National Assembly for Wales and; (b) in the case of all other roads maintainable at the public expense, the County Council, or Unitary Authority, in whose area the road is situated.
Member of the public	In the context of third party reports a 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 1991.
Street Authority	In relation to a street means the highway authority in the case of a maintainable highway, or if the street is not a maintainable highway, the street managers (section 49 of the Act).
Undertaker's representative	A person who may be an employee of the undertaker, the undertaker's agent or the contractor.

NOTIFICATION FORMS

Works Inspection Report

Defect Notification

Improvement Notice - Reinstatement

Improvement Notice - Signing, Lighting and Guarding

WORKS INSPECTION REPORT

Date: _____
 Time: _____
 Inspector: _____

Site informed – Yes Passed
 No Dangerous/Higher risk
 Non-dangerous/Lower risk
 Abortive

Street authority _____ Undertaker _____
 Street authority ref _____ Undertaker ref _____

NSG Street reference _____

Group site type (circle) _____ Sampled site _____ Non-sampled site _____
 Sampled site Number _____
 Site number _____ Site location _____

Inspection type _____ Inspection category A, B, C (please circle)

	Incorrect Equipment	Acceptable	Not Acceptable	Not Seen	Not Applicable
Signing lighting and guarding					
Signs	<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"/>				
Traffic control	<input type="checkbox"/>				
Pedestrian control	<input type="checkbox"/>				
Other		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Excavation					
		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Backfill and reinstatement					
Apparatus surround		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Material		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Compaction		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Sub-base		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Base (Roadbase)		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Binder course (Basecourse)		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Surface course (Wearing course)		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Profile and structure					
Edge depression		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Edge cracking		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Surface depression		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Crowning		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Texture depth		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Surface regularity		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Structure		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
As laid profile		<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"/>

Comments: _____

Undertaker _____

Address _____

Undertaker ref _____

Reference number _____

Contact _____

Officer _____

Site informed / Logged telephone call (delete as appropriate)
Time _____

Date _____ (where required)

Dear Sir/Madam,

**New Roads and Street Works Act 1991
Defect Notification**

A non-compliance as described below and detailed on the attached Works Inspection Report has been identified by the Authority. You are required to carry out remedial action as indicated below.

- Take immediate action to remedy a higher risk signing, lighting, and guarding inadequacy by mobilising and ensuring that the street authority receives a telephone call stating the actions to be taken within 30 minutes of the notification on site or the logged telephone call. And by ensuring that the inadequacy is made safe and the street authority is informed of the action taken within 2 hours of being informed on site or the logged telephone call [para 5.2.2 (iii)]
- Take immediate action to remedy a lower risk signing, lighting, and guarding inadequacy by ensuring that the street authority receives a telephone call stating the actions to be taken within 1 hour of the notification on site or the logged telephone call. And by ensuring that the inadequacy is made good within 4 hours of the notification on site or the logged telephone call. [para 5.2.1 (ii)]
- Take immediate action to make safe a reinstatement defect causing danger by advising the street authority by telephone of the actions to be taken, within 30 minutes of the logged telephone call and confirming the action taken within 2 hours. [para 4.2.3 (iii)]
- Contact the above to arrange a joint site inspection within 10 days.
- Due to the seriousness of risk, the authority has arranged to carry out the following works. Please arrange a joint site meeting to discuss what further work is required.

Works: _____

Please acknowledge receipt of this notice.

Yours faithfully,

Improvement Notice – Reinstatements

Notice no _____

Undertaker ref _____

Street Authority Logo

Address _____

Reference number _____

Contact _____

Officer _____

Date _____ (where required)

Dear Sir/Madam,

**New Roads and Street Works Act 1991
Improvement Notice**

This notice is issued in accordance with paragraph 7.3 of the Code of Practice for Inspections.

One quarter of total number of agreed inspections for the year is

The total number of sample inspections carried out on your works is

The number of these inspections resulting in a reinstatement defect report is

The percentage resulting in a reinstatement defect reports is

In accordance with paragraph 7.3, the percentage of defects is such that the standard of your reinstatement work is classified as unsatisfactory. Within 5 days of receiving this notice please contact me to arrange a meeting to discuss an Improvement Plan. This meeting should take place within 10 days of the date of receiving this notice.

A copy of this notice is being sent to the appropriate Regional HAUC and to Welsh HAUC for their information. The statistics may also be used in reports to this Council to keep members informed of the standards being achieved by undertakers within their area.

Please acknowledge receipt of this notice.

Yours faithfully,

Improvement Notice – Signing, Lighting and Guarding

Street Authority Logo

Notice no _____

Address _____

Undertaker ref _____

Reference number _____

Contact _____

Officer _____

Date _____ (where required)

Dear Sir/Madam,

**New Roads and Street Works Act 1991
Improvement Notice**

This notice is issued in accordance with paragraph 7.3 of the Code of Practice for Inspections.

One quarter of total number of agreed inspections for the year is

The total number of sample Category A inspections carried out on your works is

The number of these inspections resulting in an inadequacy report is

The number where the street authority had to take action for reasons specified in 5.2.2(iv) or 5.2.1(iii) is

The percentage of the latter is

In accordance with paragraph 7.3, the percentage of defects is such that the standard of your signing lighting and guarding work is classified as unsatisfactory. Within 5 days of receiving this notice please contact me to arrange a meeting to discuss an Improvement Plan. This meeting should take place within 10 days of the date of receiving this notice.

A copy of this notice is being sent to the Regional HAUC and to Welsh HAUC for their information. The statistics may also be used in reports to this Council to keep members informed of the standards being achieved by undertakers within their area.

Please acknowledge receipt of this notice.

Yours faithfully,

EXPLANATORY DIAGRAMS

Figure 1 Flow diagram – Reinstatement Defects

Figure 2 Flow diagram – Signing, Lighting and Guarding Inadequacy

Figure 1 Reinstatement Defect Process

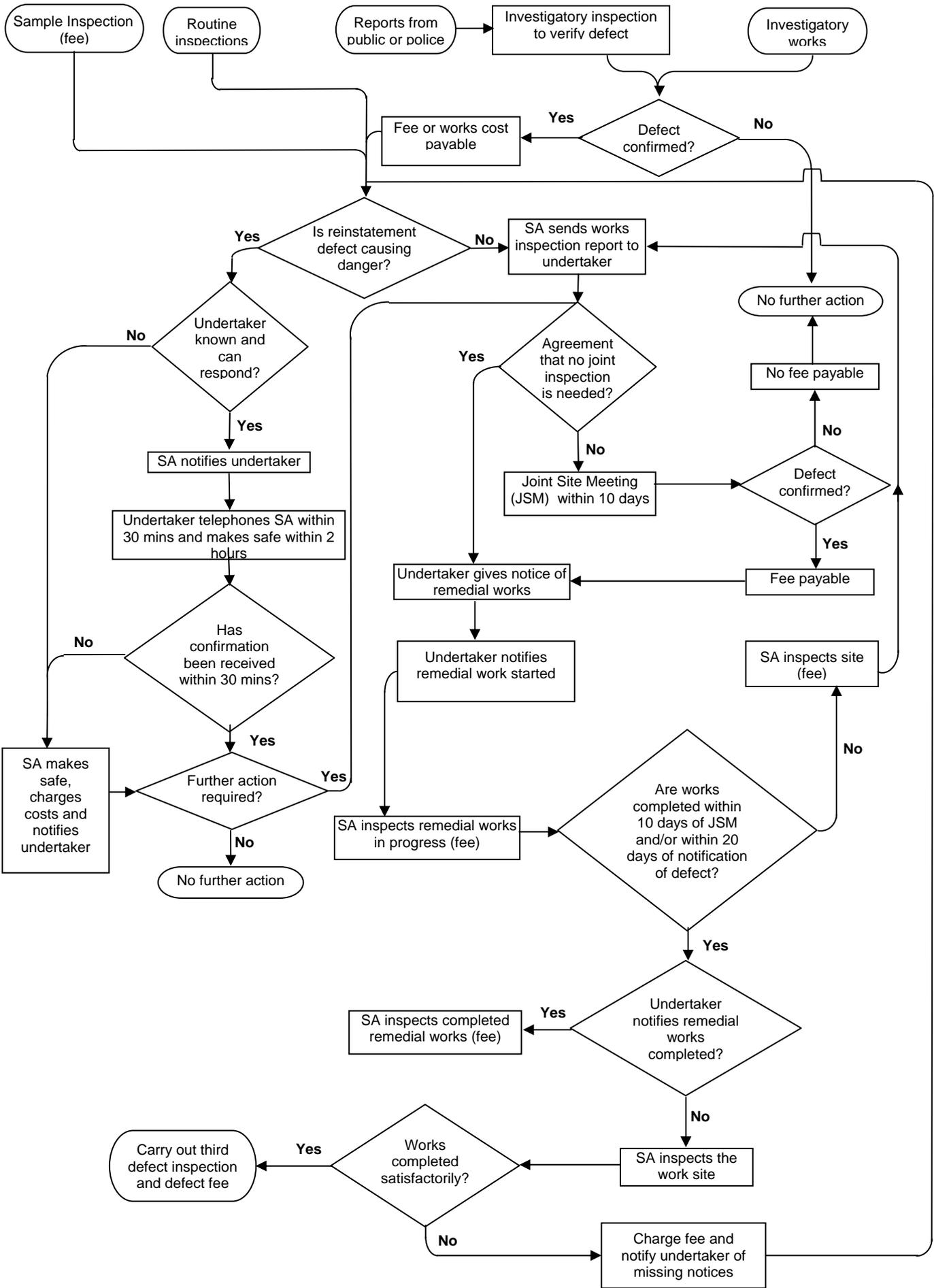
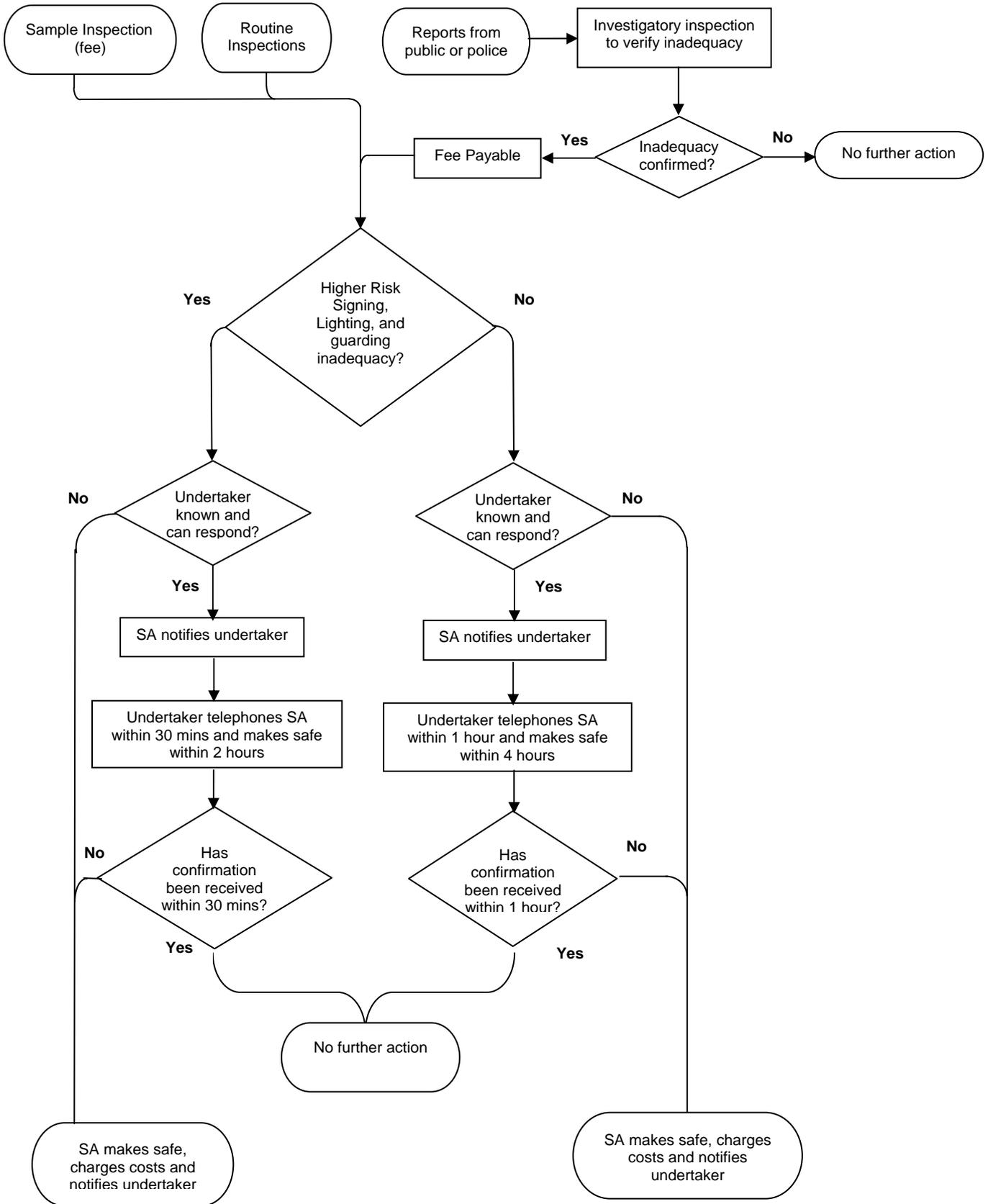


Figure 2 Signing, Lighting and Guarding



Site Check-List for the 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.

Electronic Transfer of Inspections

E1 Introduction

E1.1 This Appendix sets out a methodology for the electronic transfer of inspection reports and associated data between undertakers and street authorities.

E1.2 The reports dealt with in this Appendix are those for inspections required by sections 72 and 75 of the Act and described in more detail within this Code of Practice. Other electronic transmissions associated with the Act are contained within the Code of Practice for the Co-ordination of Street Works and Works for Road Purposes and Related Matters. Some of the fields described here are detailed in the Co-ordination Code of Practice and reference to that code should be made for further details. Other documents may be added later. In the meantime, arrangements for other documents should remain as before.

E1.3 Reports may continue to be sent by methods other than those set out in this Appendix. However, where the receiving party has the means to receive the reports required by sections 72 and 75 of the Act electronically, any notices given other than electronically will attract a fee stated in Regulations.

E2 Data Formats

E2.1 Formats for data exchange

This section defines data exchange formats and the mechanisms, which are to be used with Street Works Registers, especially related to Inspections.

The formats describe the data in Inspections including defects and the details of the sample and other inspections described in this code.

The data format is preceded by a description of the relationship between the various data attributes. All coded values are contained in the DfT's Data Capture Codes, which are obtainable from the DfT website.

E2.2 Batch Structure

Data may be batched according to the following rules. Batches may not be amalgamated into bigger files.

Each batch of data will contain only one batch header providing information on the data contained within it as well as the reference of the Organisation that created it (i.e. SWA_ORG_REF and DISTRICT_REF). A batch will contain only one type of Data in this case 'Inspections'

A batch line can be up to 510 characters followed by carriage return, line feed characters on a PC or Carriage Return on a UNIX system. Blank lines can be used to divide the batch but tab characters must not be used (use spaces for indentation). Keywords (which are shown in this document in capitals) must be separated from data by at least a single space. In a batch transfer, keywords must be present and be in capitals. All other data items are not case sensitive.

The repeating group indicators [and] (square brackets) must always be present. Where a repeating group contains no information then the 'start of repeating group' can be followed on the next line by the 'end of repeating group' (i.e. no information has to be supplied even if there are internal repeating groups). For example, where an inspection is ABORTIVE and there are no site and no inspected items, the end of the batch would look as follows: (see page 39).

```

:SAMPLED_SITE_NUMBER
[
[
    ]
]
TRANS_END
TRANS_COUNT
END_OF_BATCH

```

All the attributes must be supplied and presented in the defined order. Optional values, which are not provided will be shown by a line with only a colon (:). Lines where the first non-space character is an exclamation mark (!) are comments. There are no limits to the number of comment lines.

The Batch Header for an inspections batch will look like this:-

```

HEADER_BEGIN
USER_BATCH_ID           28
BATCH_PRIORITY_CODE     S
VERSION                 3.0
SWA_ORG_REF             1100
DISTRICT_REF            001
HEADER_END

```

The data definition for an Inspection Batch Header is as follows:

Item	Optional or Mandatory	Description
HEADER_BEGIN	M	The first record in the batch
USER_BATCH_ID	M	A reference of the batch creator. (Maximum 50 characters)
BATCH_PRIORITY_CODE	M	The priority of the Batch: S – process sequentially in the order the batches are received. A – Process as soon as possible (for the creation of Emergency and Urgent works and for Dangerous Defects and Higher Risk Inadequacies)
VERSION	M	Version of batch definitions in range 1.0 to 999.9 (This is version 3.0)
SWA_ORG_REF	M	DfT Data Capture Code
DISTRICT_REF	M	Created by Organisation with a range of 1 to 999. This is for the sending organisation's reference only and the receiving organisation should not attribute any significance to it.
HEADER_END	M	End of batch header details

The 'Batch Header' is followed by the 'Transactions' (Data) to be processed. Each 'Transaction' has the following structure:

A typical Transaction header might look like this:-

```

TRANS_BEGIN           Inspections_batch
TRANS_REF             1100_001:97J03124
!comment
:Data
[
:More Data – Repeating Group
[
:Even More data – Repeating Group
]
]
TRANS_END

```

Data definitions for 'Transactions' are as follows:

Data	Option or Mandatory	Description
TRANS_BEGIN	M	DfT Data Capture Code (Inspections_Batch)
TRANS_REF	O	A reference of the batch creator
!	O	A comment
:Data	O/M	Data items always start with a colon. White space before a colon is ignored.
[M	Start of repeating data items
:More Data	O/M	The repeating data items
[M	Start of repeating data items
:Even more data	O/M	The repeating data items
]	M	End of repeating data items
]	M	End of repeating data items
TRANS_END	M	The end of all the data for the particular 'Transaction'

After all the 'Transactions' in a batch there is:

```

TRANS_COUNT           1
END_OF_BATCH

```

Item	Optional or Mandatory	Description
TRANS_COUNT	M	The number of 'Transactions' in the batch
END_OF_BATCH	M	The last record in the batch.

The batch may contain more than one transaction provided they are all of the same type.

E3. Inspection Data Batch Structure

The definition of the minimum set of data to be exchanged is described in the following sections. A table follows the data definition detailing the data items.

The Inspection details to be transferred will include:

- Inspection reports including the inspector's checklist.
- Information indicating if the site was the sampled site or another site in a group.

E3.1 Inspections Data Definition

HEADER_BEGIN

.... as before

HEADER_END

TRANS_BEGIN

TRANS_REF

:Promoter_Works_Ref

:Insp_Result_Num

:Insp_Result_Version_Created_Datim

:Insp_Year

:Insp_Type_Code

:Insp_Category_Code

:District_Ref_Inspector

:Inspector_Name_Text

:Insp_Date

:Insp_Time

:Insp_Outcome_Code

:Site_Informed

:Insp_Logged_Call_Datim

:Sampled_Site_Num

[

:Site_Num

:Site_Location_Text

:NSG_Street_Identifier_Ref

:Defect_Notice_Message_Code

:Defect_SLG_Default_Flag

:Defect_SLG_Default_Text

:Site_Comment_Text

:Site_Easting (Optional co-ords)

:Site_Northing

[

!Inspected items

:Insp_Item_Type_Code

:Insp_Item_Status_Code

:Insp_Defect_Reason_Text

]

]

TRANS_END

TRANS_COUNT

1

END_OF_BATCH

E3.2 INSPECTIONS DATA VALIDATION

Attribute	Optional or Mandatory	Description
Promoter_Works_Ref	M	The 'Works Reference' for the Inspection. For un-attributable Work this should be the Street Authority's own reference constructed in accordance with the rules set out in the Co-ordination Code of Practice. Undertakers should respond using their own reference but include a text reference to the Street Authority's reference in their notice.
Insp_Result_Num	M	The number of the next inspection for this Works (up to 999). A unique number for the Works not necessarily sequential.
Insp_Result_Version_Created_Datim	M	YYYY-MM-DD:HH:MM:SS.SS (Must include 2 decimal places for seconds. The date on which the inspection was created or last modified.
Insp_Year	M	The 'Inspection Year' (e.g. 2002 is from 1 st April 2002 to 31 st March 2003)
Insp_Type_Code	M	DfT Data Capture Code
Insp_Category_Code	M	DfT Data Capture Code Mandatory for all inspections
District_Ref_Inspector	M	District carrying out the inspection. 1 to 999. This does not define a return path.
Inspector_Name_Text	M	Up to forty characters
Insp_Date	M	YYYY-MM-DD
Insp_Time	M/O	Time of the inspection (and shown on the defect notice)HH-MM-SS. Mandatory for a failed inspection
Insp_Outcome_Code	M/O	DfT Data Capture Code (Mandatory for all inspections except a Defect Joint Inspection when it must be blank or 'Abortive'. 'Abortive' means one party did not turn up. Blank means that the meeting took place. If the meeting agrees there is no defect then the result of the inspection from which it arose is amended to 'passed' and no fee is payable.
Site_Informed	M	'Y' or 'N' depending on whether site personnel have been informed directly or not.

Continued on Next Page

Insp_Logged_Call_Datim	M/O	YYYY-MM-DD:HH:MM Mandatory when a logged telephone call is made. Contains the date and time it is recorded as having been made or attempted. (e.g. mandatory for a 'failed Higher Risk' signing and guarding inspection)
Sampled_Site_Num	M/O	Mandatory for Random Sample Inspections whether the site is part of a group or not. Otherwise left blank. It must also appear within the Site repeating group.
Site repeating group:-		
Site_Num	M	The 'Site Number' of the Site for the Inspection. If it differs from the Sampled_Site_Num value above then the site is one added to the group by the inspector (see this code section 2.3.4.2).
Site_Location_Text	O/M	Up to 500 characters. Mandatory where work is un-attributable otherwise leave blank.
NSG_Street_Identifier_Ref	O/M	Mandatory where work is un-attributable otherwise leave blank.
Defect_Notice_Message_Code	O/M	Mandatory where there is a failed inspection item and the inspection outcome is failed, otherwise leave blank. DfT Data capture code.
Defect_SLG_Default_Flag	O/M	'Y' or 'N'. Can only be 'Y' if the Defect_Notice_Message_Code is 1, 2 or 5. Mandatory when the street authority are notifying the undertaker that he has not complied with signing lighting and guarding actions – otherwise leave blank. See Section 7.3.4 of this code DfT Data capture code.
Defect_SLG_Default_Text	O	Up to 500 characters explaining the reason for the SLG default. Should be used to explain why the Defect_SLG_Flag has been set.
Site_Comment_Text	O/M	Up to 500 characters for comments associated with Defect Notice. Mandatory when the Defect_Notice_Message_Code has the value 5.
Site_Easting	O	Easting of site inspected to 1 metre precision. (May be different to the declared Site spatial coordinate).
Site_Northing	O	Northing of site inspected to 1 metre precision. (May be different to the declared Site spatial

coordinate).

Inspections items repeating group

Insp_Item_Type_Code	M	DfT Data Capture Code
Insp_Item_Status_Code	M	DfT Data Capture Code.
Insp_Defect_Reason_Text	O	Up to 500 characters.

The following Data Capture Codes are those that are required for use with this Code of Practice.

FIELD NAME: **Insp_Type_Code**
 FIELD USAGE: **Defines the type of inspection carried out**

FIELD DEFINITIONS

Field	Description	Type	Length	Mandatory
INSP_TYPE_CODE	Numeric Code	numeric	2	Yes
INSP_TYPE_TEXT	Text Description	String	40	Yes

FILE DATA

INSP_TYPE_CODE	INSP_TYPE_TEXT	Use
1	SAMPLE	All
2	DEFECT FOLLOW UP	All
3	INVESTIGATORY	All
4	DEFECT FOLLOW UP COMPLETION	All
5	THIRD PARTY REPORT	All
6	DEFECT JOINT INSPECTION	All
7	ROUTINE	

FIELD NAME: **Insp_Category_Code**
 FIELD USAGE: **A term that defines the works stage or category at which a sample inspection has been carried out. It is also used to describe groups of inspection categories**

FIELD DEFINITIONS

Field	Description	Type	Length	Mandatory
INSP_CATEGORY_CODE	Numeric Code	Numeric	2	Yes for sample inspections
INSP_CATEGORY_TEXT	Text Description	String	40	Yes for sample inspections

FILE DATA

INSP_CATEGORY_CODE	INSP_CATEGORY_TEXT	Use
1	NON CATEGORISED INSPECTIONS	V 1.0
2	CATEGORY 1 AND 2 INSPECTIONS	V 1.0
3	CATEGORY 3,4 AND 5 INSPECTIONS	V 1.0
4	CATEGORY 1 INSPECTIONS	V 1.0
5	CATEGORY 2 INSPECTIONS	V 1.0
6	CATEGORY 3 INSPECTIONS	V 1.0
7	CATEGORY 4 INSPECTIONS	V 1.0
8	CATEGORY 5 INSPECTIONS	V 1.0
9	CATEGORY A	V 2.0&3.0
10	CATEGORY B	V 2.0&3.0
11	CATEGORY C	V 2.0&3.0
12	CATEGORY B AND C	V 2.0&3.0
13	ALL CATEGORIES	V 3.0

FIELD NAME: **Insp_Outcome_Code**
 FIELD USAGE: **Defines the overall result of an inspection**

FIELD DEFINITIONS

Field	Description	Type	Length	Mandatory
INSP_OUTCOME_CODE	Numeric Code	numeric	2	Yes
INSP_OUTCOME_TEXT	Text Description	String	40	Yes

FILE DATA

INSP_OUTCOME_CODE	INSP_OUTCOME_TEXT	Use
1	PASSED	1.0 to 3.0
2	FAILED (HIGHER RISK/DANGEROUS)	V 3.0
3	FAILED (LOWER RISK/NON DANGEROUS)	V 3.0
4	ABORTIVE	V 3.0

FIELD NAME: **Defect_Notice_Message_Code**
 FIELD USAGE: Defines the message to be included with a defect notice

FIELD DEFINITIONS

Field	Description	Type	Length	Mandatory
DEFECT_NOTICE_MESSAGE_CODE	Numeric code	Numeric	2	For defect notice
DEFECT_NOTICE_MESSAGE_TEXT	Text description	String	200	For defect notice

FILE DATA

DEFECT_NOTICE_MESSAGE_CODE	DEFECT_NOTICE_MESSAGE_TEXT	Use
1	Take immediate action to remedy a higher risk signing, lighting, and guarding inadequacy and notify the Street Authority within 2 hours that you have completed the works.	V 3.0
2	Take immediate action to remedy a lower risk signing, lighting, and guarding inadequacy and notify the Street Authority within 4 hours that you have completed the works	V3.0
3	Take immediate action to make safe a reinstatement defect causing danger and notify the Street Authority within 2 hours that you have completed the works.	V3.0
4	Contact the Street Authority to arrange a joint site inspection within 10days	V3.0
5	Due to the seriousness of risk, the Council has arranged to carry out the following works. Please arrange a joint site meeting to discuss what further work is required.	V3.0

FIELD NAME: **Defect_SLG_Default_Flag**
 USAGE: **Defines whether a signing lighting and guarding defect counting towards a SLG improvement notice has been sent for this site as part of this inspection**

FIELD DEFINITIONS

Field	Description	Type	Length	Mandatory
DEFECT_SLG_DEFAULT_FLAG	Text	String	2	Yes
DEFECT_SLG_DEFAULT_FLAG_MEANING	Text Description	String	40	Yes

FILE DATA

DEFECT_SLG_DEFAULT_FLAG	DEFECT_SLG_DEFAULT_FLAG_MEANING	Use
Y	Yes	V 3.0
N	No	V 3.0

FIELD NAME: **Insp_Item_Type**
FIELD USAGE: **Inspection item type defines the inspection items as shown on the Works Inspection Report in Appendix B of this code.**

FIELD DEFINITIONS

Field	Description	Type	Length	Mandatory
INSP_ITEM_TYPE_CODE	Numeric Code	Numeric	2	Yes
INSP_ITEM_NAME_TEXT	A description of the items for inspection	String	40	Yes

FILE DATA

INSP_ITEM_TYPE_CODE	INSP_ITEM_NAME_TEXT	Use
1	SIGNING AND GUARDING (SIGNS)	V3.0
2	SIGNING AND GUARDING DISTANCE	V3.0
3	SIGNING AND GUARDING SAFETY ZONE	V3.0
4	SIGNING AND GUARDING BARRIERS	V3.0
5	SIGNING AND GUARDING TRAFFIC CONTROL	V3.0
6	SIGNING AND GUARDING PEDESTRIAN CONTROL	V3.0
7	SIGN LIGHT AND GUARD OTHER	V3.0
8	EXCAVATION	V3.0
9	BACKFILL APPARATUS SURROUND	V3.0
10	BACKFILL MATERIAL	V3.0
11	BACKFILL COMPACTION	V3.0
12	BACKFILL SUB-BASE	V3.0
13	BACKFILL BASE (ROADBASE)	V3.0
14	BACKFILL BINDER COURSE (BASECOURSE)	V3.0
15	BACKFILL SURFACE COURSE (WEARING COURSE)	V3.0
16	BACKFILL OTHER	
17	REINSTATEMENT EDGE DEPRESSION	V3.0
18	REINSTATEMENT EDGE CRACKING	V3.0
19	REINSTATEMENT TRIPS	
20	REINSTATEMENT SURFACE DEPRESSION	V3.0
21	REINSTATEMENT CROWNING	V3.0
22	REINSTATEMENT TEXTURE DEPTH	V3.0
23	REINSTATEMENT SURFACE REGULARITY	V3.0
24	REINSTATEMENT OTHER	
25	STRUCTURE	V3.0

26	AS LAID PROFILE	V3.0
27	PROFILE AND STRUCTURE OTHER	V3.0
28	SIGNS EQUIPMENT TYPE	V3.0
29	BARRIERS EQUIPMENT TYPE	V3.0
30	TRAFFIC CONTROL EQUIPMENT TYPE	V3.0
31	PEDESTRIAN CONTROL EQUIPMENT TYPE	V3.0
32	QUALIFIED OPERATIVE	V3.0

FIELD NAME: **Insp_Item_Status**

FIELD USAGE: **The inspection item status defines the result of inspecting an item as shown by the column headings on the works inspection report sheet in appendix B of this code. The applicability of status descriptions to item types is as shown in that table. Note that Incorrect Equipment has been allowed for by adding extra Inspection_Item_Type values in the previous table and not by Insp_Item_Status values in this one.**

FIELD DEFINITIONS

Field	Description	Type	Length	Mandatory
INSP_ITEM_STATUS_CODE	Numeric Code	Numeric	2	Yes for every item inspected.
INSP_ITEM_STATUS_TEXT	Text Description	String	40	Yes

FILE DATA

INSP_ITEM_STATUS_CODE	INSP_ITEM_STATUS_TEXT	Use
1	ACCEPTABLE	V3.0
2	NOT ACCEPTABLE	V3.0
3	NOT SEEN	V3.0
4	NOT APPLICABLE	V3.0