OFFICE OF THE
SCOTTISH ROAD WORKS COMMISSIONER

Compliance Officer Standard Observations

Background

The Transport (Scotland) Act 2005, as amended by Section 110 of the Transport (Scotland) Act (2019) grants powers to “authorised persons” to carry out various inspection functions on Undertakers, Road Works Authorities and Roads Authorities. This role will generally be carried out by the Commissioner’s Compliance Officers.

Commissioner Observations

Where Compliance Officers observe a non-compliance that does not amount to a systematic failing, the option to record a Commissioner observation on the SRWR can be utilised.

In order to allow efficient review, and to establish where these form an identifiable pattern, it has been considered necessary to use a standardised list of comments when recording Commissioner Observations. Photographs evidencing these comments will also be uploaded to the SRWR. Where these detail a breach of a duty, additional information will be provided giving further context/explanation.

This approach is also considered to be helpful in allowing receiving organisations to monitor their own performance and make necessary improvements.

Appendix 1 lists the current standardised list of comments that Compliance Officers will utilise when recording Commissioner Observations.

This list will be subject to periodic review.

Appendix 1: Standard comments for Commissioner Observations

No Activity on Site

Code	Description
NA1	NA1- No activity on site- SLG present and satisfactory
NA2	NA2- No activity on site- SLG present, but not satisfactory
NA3	NA3- No activity on site- no SLG present
NA4	No longer in use (was NA4- No activity on site- no SLG present- works completed)
NA5	No longer in use (was NA5- No activity on site- no SLG present- works at interim stage)
NA6	NA6- No activity on site- Other (insert text)

Works In Progress

Code	Description
WIP1	WIP1- Works in progress- SLG as observed from vehicle appeared to be present and satisfactory
WIP2	WIP2- Works in progress- SLG present, but not satisfactory
WIP3	WIP3- Works in progress- No SLG present
WIP4	WIP4- Works in progress- Other (insert text)

SLG Non-Compliance

Code	Description
SLG1	SLG1- SLG non-compliance- Pedestrian provision
SLG2	No longer in use (was SLG2- SLG non-compliance- Pedestrian provision-walkway)

Code	Description
SLG3	No longer in use (was SLG3- SLG non-compliance- Pedestrian provision-barriers)
SLG4	No longer in use (was SLG4- SLG non-compliance- Pedestrian provision-ramps/dropped kerb)
SLG5	SLG5- SLG non-compliance- Safety zones
SLG6	SLG6- SLG non-compliance- Guarding
SLG7	SLG7- SLG non-compliance- Lighting
SLG8	SLG8- SLG non-compliance- Plant/equipment/material storage
SLG9	SLG9- SLG non-compliance- Vehicles (beacons/livery)
SLG10	SLG10- SLG non-compliance- Signage
SLG11	SLG11- SLG non-compliance- Other

Traffic Management

Code	Description
TM1	TM1- Traffic Management- Inappropriate traffic control used

Noticing

Code	Description
NO1	NO1- Noticing- No valid notice in place- dates
NO2	NO2- Noticing- No valid notice in place- status
NO3	NO3- Noticing- No valid notice in place- category
NO4	NO4- Noticing- No Valid notice in place
NO5	NO5- Noticing- TM type observed does not match type recorded on SRWR

Code	Description
NO6	NO6- Noticing- Works inaccurately/incorrectly plotted
NO7	NO7- Noticing- Other

Qualifications

Code	Description
QU1	QU1- Qualifications- Qualified operative not on site
QU2	QU2- Qualifications- Qualified supervisor not allocated to site
QU3	QU3- Qualifications- Qualified operative on site
QU4	QU4- Qualifications- Qualified supervisor allocated to site

Site Documentation

Code	Description
SD1	SD1- Site documentation- RAMS not present
SD2	SD2- Site documentation- Utility plans not present

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