



SRWR Guidance Note

Archiving Policy

Introduction

Different records go through different life-cycles, depending on whether they follow the normal works life-cycle of an excavation and a reinstatement, followed by a warranty period, or whether they fall into a variety of other categories, such as "no excavation", cancelled works, permits, etc.

General archiving policy is established by setting the minimum time interval before a record can be archived, for each of the different cases where a record reaches the stage which would normally be the last stage in the life-cycle.

The timescales before archiving vary substantially between different types of records. For example, a Plant Information Request is only held for a 3 month period if it is not converted to a Proposed Works, and can be archived a further 3 months after the expiry of that period. At the other extreme, an undertaker works involving excavation must be retained throughout the 2/3 year warranty period following permanent works closure, then is held for a further 3 years before it can be "ACCEPTED", and then a further minimum of 3 months before it can be archived.

Additionally, there are standard checks carried out to prevent a record being accepted or archived if there are outstanding actions that should be taken. A record will not be set to status ACCEPTED, nor can it be archived, if:

- The last inspection recorded is a failure, and there is no record of subsequent remedial works being carried out.
- There is an outstanding inspection due.
- There is a remedial works that has been initiated, but not closed.

A record will not be archived, but may be set to status ACCEPTED, if none of the above conditions apply, but if there are potential charges that have been raised, but not yet invoiced. In this case, the archive will occur on the first archive run after the invoicing has been completed.

Please note that the time intervals given above (and in the more detailed analysis on the following pages) are **minimum** time intervals. For example, if a time interval for archiving is set to 12 months, it does not mean that the record **will** be archived after exactly 12 months; it means that the record will be archived when the next batch archiving run is done, after the minimum time period has elapsed. Thus, for example, if an archiving run is only done at the end of a year, it ensures that records always remain on the system until the end of the year during which the time interval is exceeded.

Works with Excavations and Reinstatements

These works have an "end of warranty date" set. There is then a minimum time interval after the end of warranty, before they can be set to status ACCEPTED (by running a batch Acceptance process). Following that, there is then a further minimum time interval before they can be archived. The relevant time interval parameters are:

Permanent Reinstatement - End of Warranty (Standard Site) – *default 2 Calendar Years*
Permanent Reinstatement - End of Warranty (Deep Site) – *default 3 Calendar Years*

When a permanent reinstatement date is entered or amended, the end of warranty date is calculated by adding one of these time intervals to the permanent reinstatement date, depending on whether at least one of the sites is marked as a "DEEP" site. If remedial works is carried out, the end of warranty date may (or may not) be reset, depending on the information entered for the remedial works on the Site Details screen.

End of Warranty – Acceptance – *default 3 Calendar Years*

This time interval is added to the works Warranty End Date to calculate the Acceptance Due Date, so these works cannot be set to ACCEPTED until at least three years has expired after the end of warranty. Note that when the works is set to status ACCEPTED, it will remain on the live database until the next archiving run, but is "read only" and cannot be updated any further.

Note that for roads authority works, there is no official warranty period, but the SRWR builds into the time intervals the equivalent of a 2 year warranty period, so that the Acceptance Due date is set to 5 years following the closure of the works.

Acceptance – Archiving – *default 3 Calendar Months*

When a works is set to status ACCEPTED, by running the Acceptance process, this time interval is added to the run date to calculate the Archive Due Date. This is then the earliest date at which the record will be archived as a result of an archive process being run.

Works without Excavations and Reinstatements

For these works, there are a number of different time intervals for different types of records, as follows:

Works Abandoned – Archiving – *default 2 Calendar Years*

This time interval is for any record that have been inserted on the system as Proposed Works, or other activities such as permit applications, non-works disruption, etc, and have been cancelled or refused before action has been taken. The time interval is established based on the date the record is cancelled.

No Work Required – Archiving – *default 3 Calendar Years*

This time interval is for the following types of records:

- Works that are recorded from the outset as MINOR WORKS with NO EXCAVATION.
- Works that have been set to NO EXCAVATION at the time of recording Works Closed.
- Records, whether recorded directly into the SRWR or via the Licences module, which are classified as PERMITS.
- Records, whether recorded directly into the SRWR or via the Licences module, which are classified as NON-WORKS DISRUPTION.

There is therefore no warranty period, and the time interval is established based on the date of reaching status Works Closed, which in the latter two cases may be as a result of manual recording or as an automatic closure on reaching the end date (depending on the policy set in the system).

Closed Damage Report – Archiving – *default 2 Calendar Years*

This time interval is for a Damage Report, based on the Closure date.

Closed Intention to Issue Licence – Archiving – *default 3 Calendar Years*

This time interval covers licences issued under both NRSWA (Section 109) and the Roads Scotland Act for works to be carried out in the road. It should be noted that this time interval is for the licence that is issued; not for the works that are recorded and carried out under the licence (these will be subject to the normal works life cycle). This time interval will be established based on the End date that is specified in the Licence.

Unattributable Works/Defective Apparatus – Archiving – *default 2 Calendar Years*

The archive due date will be set when the Unattributable Works or Defective Apparatus has been accepted, and is based on the date of acceptance by the works promoter. However, it should be noted that if the record contains an inspection with a FAIL result (which will always be the case for Defective Apparatus), the record will not be archived until there is a record of the problem being resolved (e.g. a Works Stop for remedial activity or a Completion of Non-notifiable Phase), or a subsequent inspection with a PASS result.

Abandoned/Expired PIR – Archiving – *default Zero time interval*

Plant Information Requests are valid for conversion into works records for a 3 month interval after they are recorded. They may be archived at any time after this interval has expired.

Diversionsary Restriction End – Archiving – *default 1 Calendar Year*

This relates to Section 144 notices. The archive due date will be set based on the Proposed Start date of works specified in the FIVE YEAR notice.