

SRWR Guidance Note

Defective Apparatus

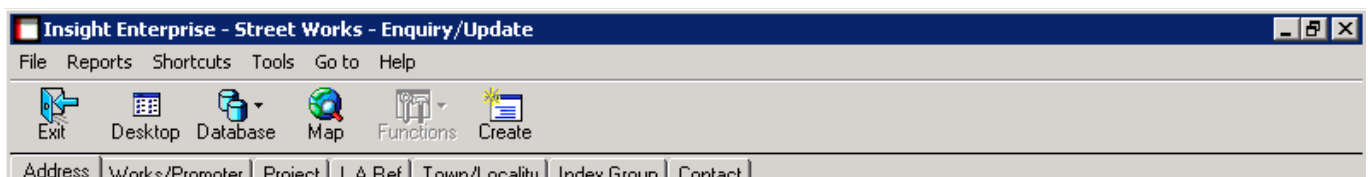
Introduction

This document gives advice on the way The Scottish Road Works Register should be used, both by Roads Authorities for recording Defective Apparatus, and by Utilities in responding to those reports. In the past, these types of notifications have not been processed in a consistent way, and many have not been progressed through a complete life-cycle to a satisfactory conclusion. The objective of this document is both to emphasise the importance of dealing with these issues, and to establish a consistent method of handling them.

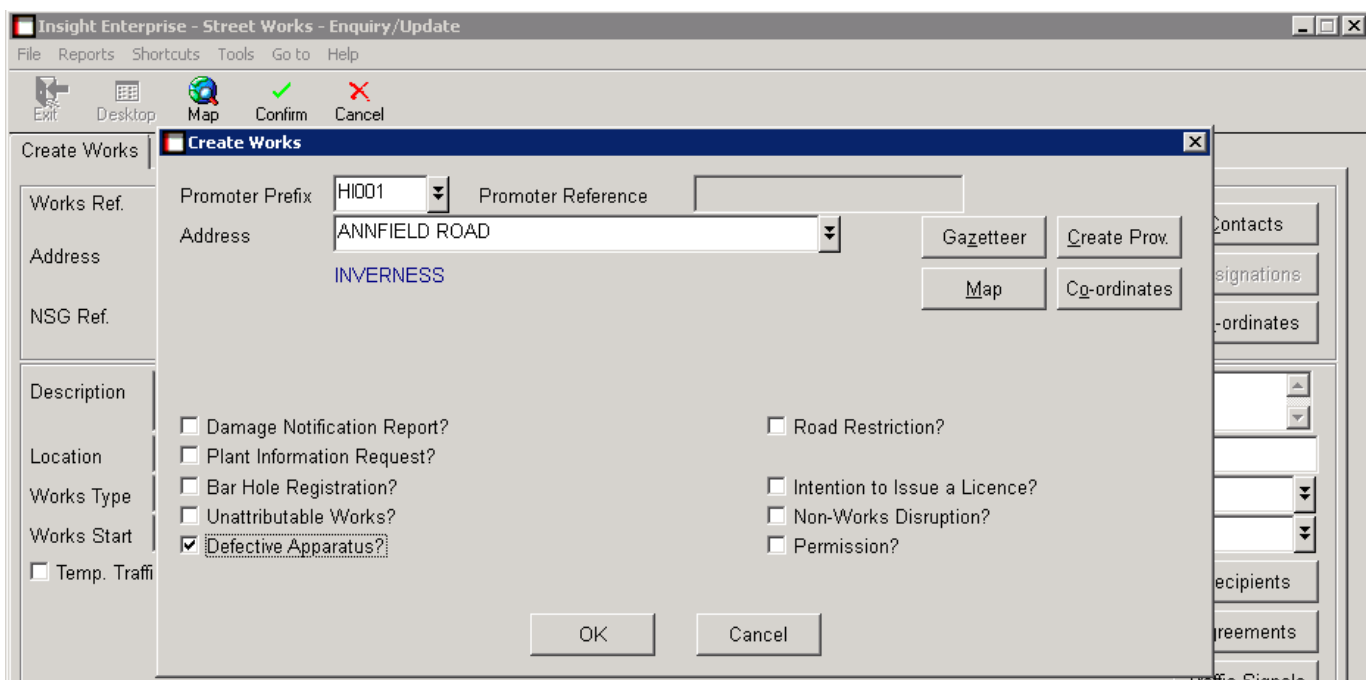
Defective Apparatus reports identify defects in ironworks or other apparatus. Each report will, from the outset, have an associated inspection defining the defect that needs rectification work to be carried out by the owner, but this is not an indication of any previous noticing failure.

Recording the Defective Apparatus

The initial reports are generated using the works "Create" tool in much the same way as other works are recorded. This can be done from the main Street Works Enquiry/Update screen, using the Create button and the resulting overlay window as shown below, or from the map:



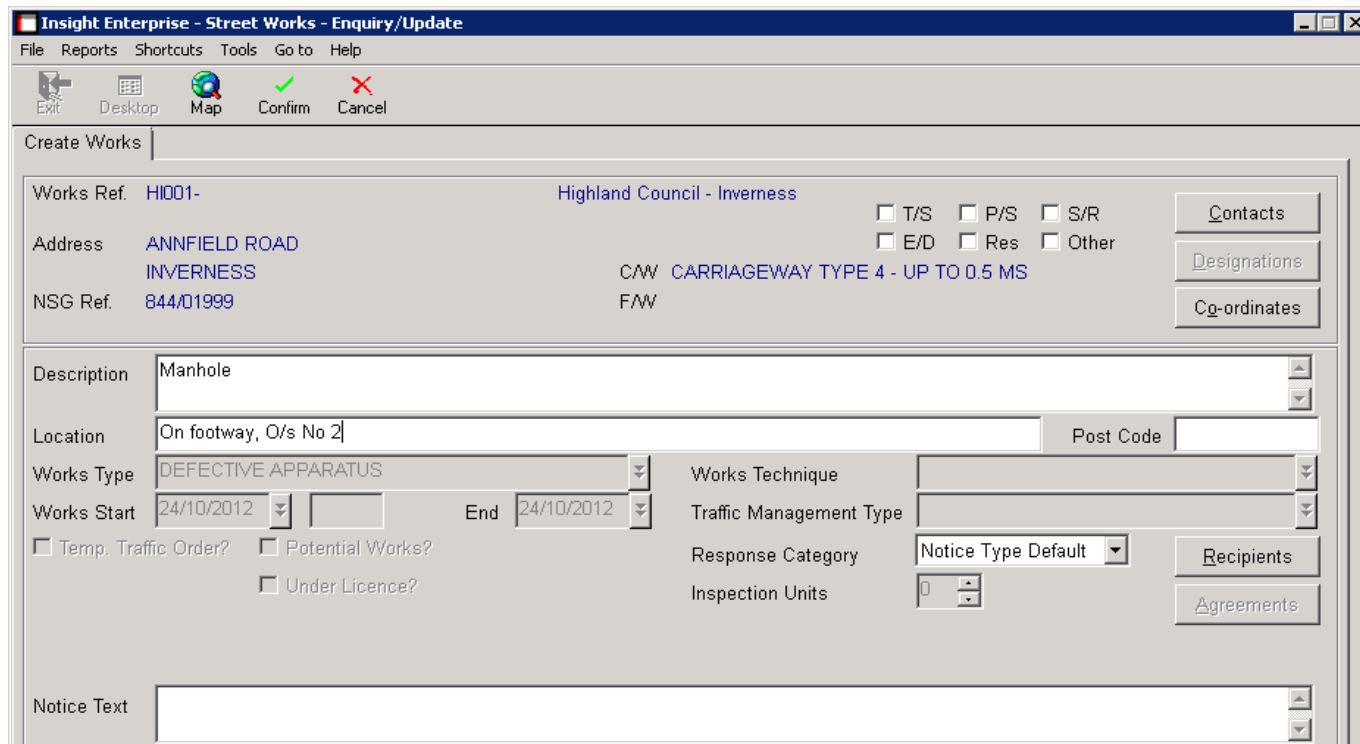
The top part of the Street Works Enquiry/Update screen, showing the Create tool that is used to initiate the initial recording process.



The overlay Create window showing how a Defective Apparatus report is initiated

Defective Apparatus

If it has not already been plotted on the map (as a result of initiating the Create function from the map), it must be plotted on the map either using the Map button from the overlay window or from the following data entry screen:



The screenshot shows the 'Insight Enterprise - Street Works - Enquiry/Update' window. The 'Create Works' tab is active. The 'Works Ref.' is HI001- and the 'Highland Council - Inverness' is selected. The 'Address' is ANNFIELD ROAD INVERNESS. The 'NSG Ref.' is 844/01999. The 'C/W' is CARRIAGEWAY TYPE 4 - UP TO 0.5 MS and the 'F/W' is F/W. The 'Description' is Manhole. The 'Location' is On footway, O/s No 2. The 'Works Type' is DEFECTIVE APPARATUS. The 'Works Start' is 24/10/2012 and the 'End' is 24/10/2012. The 'Response Category' is Notice Type Default. The 'Recipients' button is visible.

Works Ref. HI001- Highland Council - Inverness

Address ANNFIELD ROAD INVERNESS

NSG Ref. 844/01999

C/W CARRIAGEWAY TYPE 4 - UP TO 0.5 MS

F/W

Description Manhole

Location On footway, O/s No 2

Works Type DEFECTIVE APPARATUS

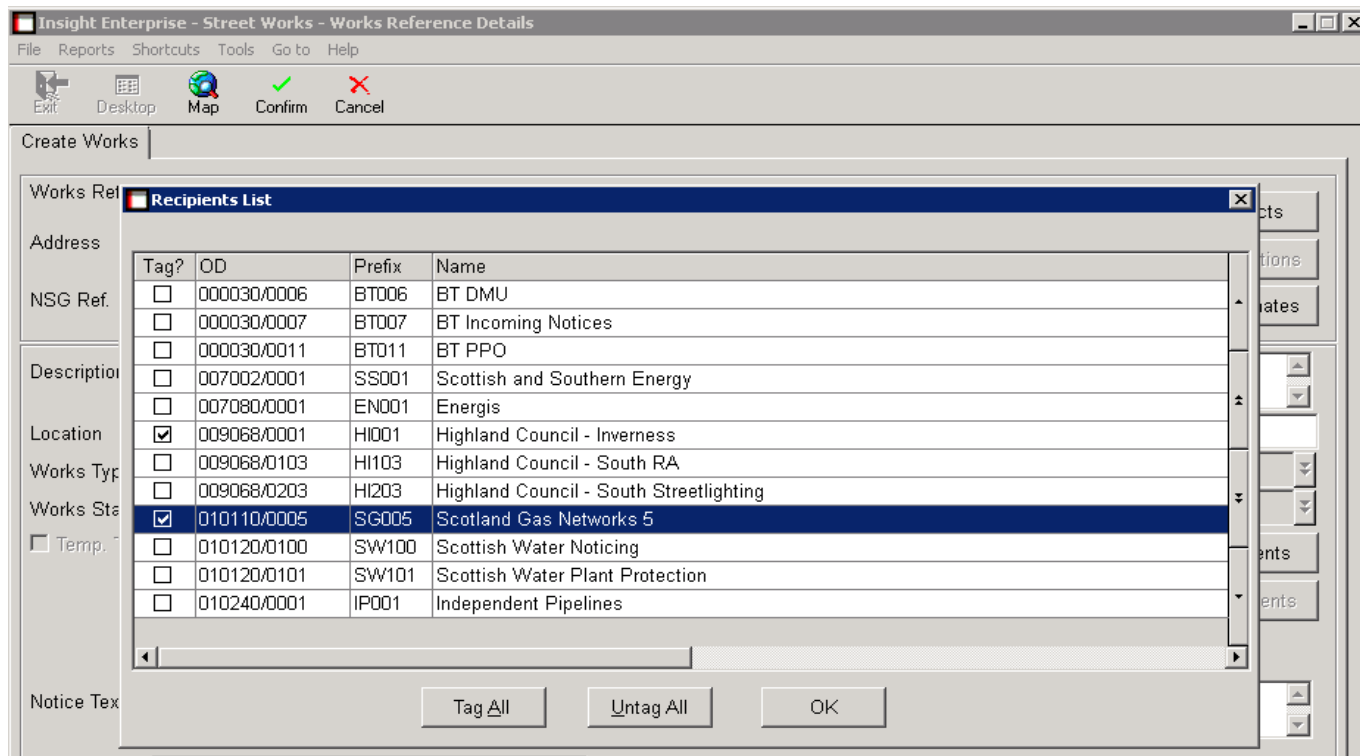
Works Start 24/10/2012 End 24/10/2012

Response Category Notice Type Default

Recipients

Defective Apparatus report screen. The response category should not be overridden.

Having entered the two mandatory data fields, Description and Location, the "Recipients" button must be used to select the intended recipient for the notice:



The screenshot shows the 'Insight Enterprise - Street Works - Works Reference Details' window. The 'Create Works' tab is active. The 'Works Ref.' is HI001- and the 'Highland Council - Inverness' is selected. The 'Address' is ANNFIELD ROAD INVERNESS. The 'NSG Ref.' is 844/01999. The 'Description' is Manhole. The 'Location' is On footway, O/s No 2. The 'Works Type' is DEFECTIVE APPARATUS. The 'Works Start' is 24/10/2012 and the 'End' is 24/10/2012. The 'Response Category' is Notice Type Default. The 'Recipients' button is visible.

Works Ref. HI001- Highland Council - Inverness

Address ANNFIELD ROAD INVERNESS

NSG Ref. 844/01999

Description Manhole

Location On footway, O/s No 2

Works Type DEFECTIVE APPARATUS

Works Start 24/10/2012 End 24/10/2012

Response Category Notice Type Default

Recipients

Tag?	OD	Prefix	Name
<input type="checkbox"/>	000030/0006	BT006	BT DMU
<input type="checkbox"/>	000030/0007	BT007	BT Incoming Notices
<input type="checkbox"/>	000030/0011	BT011	BT PPO
<input type="checkbox"/>	007002/0001	SS001	Scottish and Southern Energy
<input type="checkbox"/>	007080/0001	EN001	Energis
<input checked="" type="checkbox"/>	009068/0001	HI001	Highland Council - Inverness
<input type="checkbox"/>	009068/0103	HI103	Highland Council - South RA
<input type="checkbox"/>	009068/0203	HI203	Highland Council - South Streetlighting
<input checked="" type="checkbox"/>	010110/0005	SG005	Scotland Gas Networks 5
<input type="checkbox"/>	010120/0100	SW100	Scottish Water Noticing
<input type="checkbox"/>	010120/0101	SW101	Scottish Water Plant Protection
<input type="checkbox"/>	010240/0001	IP001	Independent Pipelines

Tag All Untag All OK

Selecting a recipient for the notice

Only one recipient should be selected. Although it is possible to send the notice to multiple Organisations/Operational Districts, this should be avoided, as it simply increases the work effort for those other organisations, having to reply to the notice. Note that the Roads Authority recording the works (in this example, Highland Council) will automatically be added to the recipients list, so that they receive any responses to the notice. Having confirmed the Defective Apparatus report, the system automatically progresses the user to the inspection recording screen, with a choice of only "Defective Apparatus" inspection types:

Code	Description	Inspection Group	Inspection Category
DAR	Defective Apparatus - Routine	ROUTINE	DEFECTIVE APPARATUS
DAT	Defective Apparatus - Third Party	THIRD PARTY REPORT	DEFECTIVE APPARATUS

Selecting a Defective Apparatus inspection to record

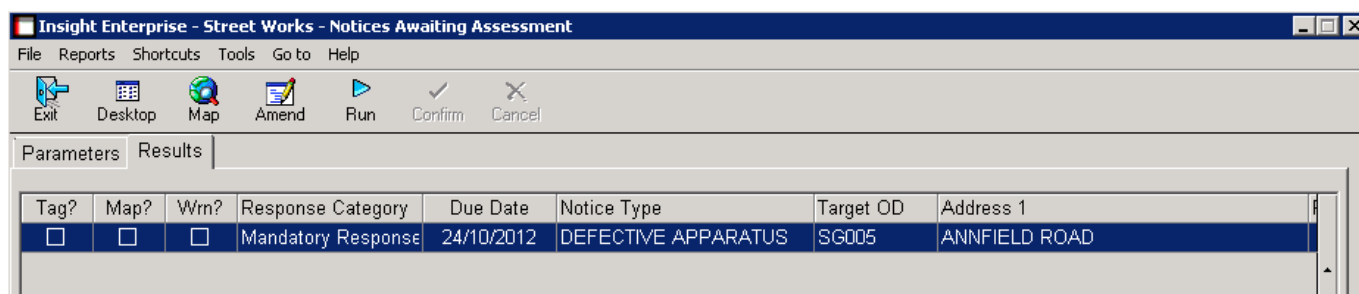
Site	Location	Surface	Result	Sample	Defect Msg	Gen Text	SLG Text
1	On footway, O/s No 2						

Inspection screen – the defects checklist is also filled in by clicking on the Site Details line

The records are allocated a Works Reference number within the Roads Authority that issues the notice (in the example given, Highland Council). In essence, the system regards the works as "belonging" to the organisation recording it, until such time as responsibility is accepted by the recipient organisation. So, these works and any associated defects are not attributed to the recipient organisation until it accepts responsibility and alters the works reference to reflect this. The records are created with a Status of "PROPOSED WORKS" and will remain at that status until they are accepted by the relevant works organisation.

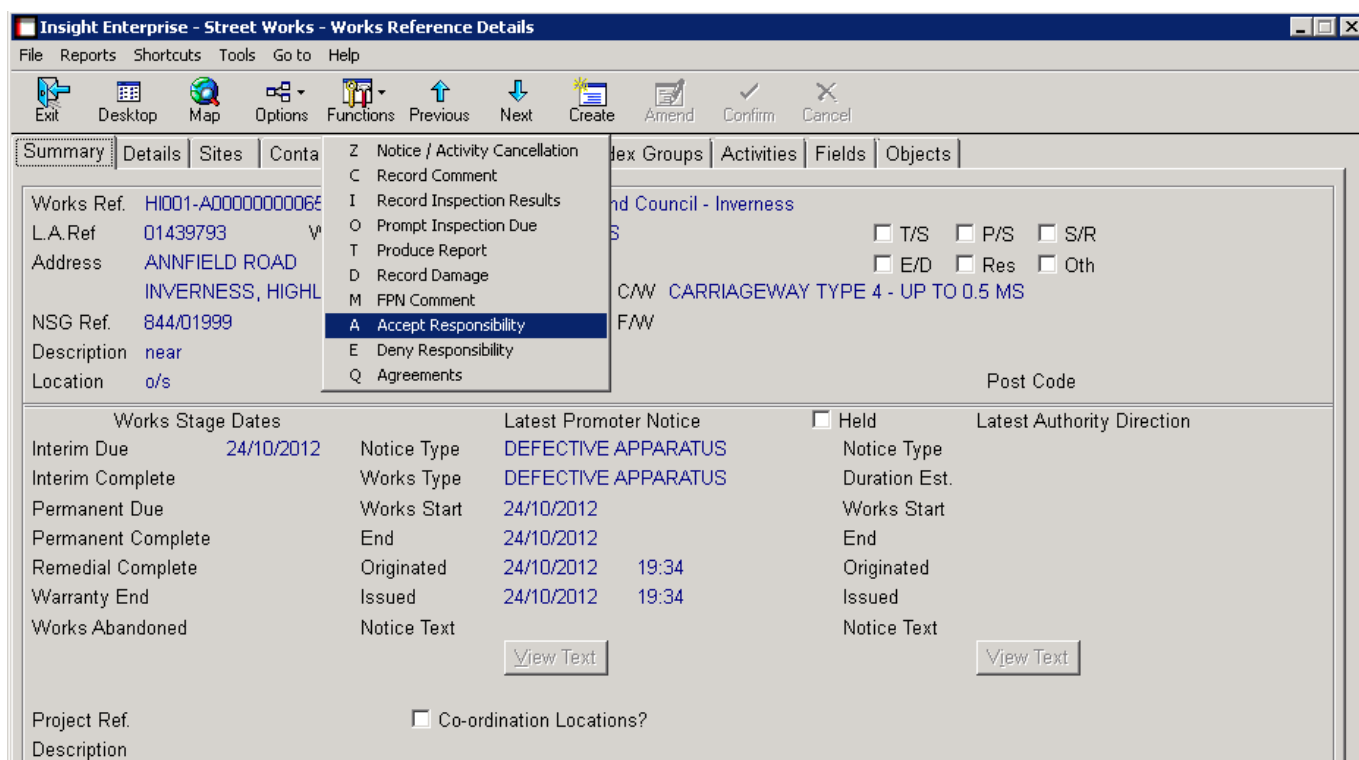
Responding to a Defective Apparatus Notice

Defective Apparatus Reports are sent as "Mandatory Response" notices. They will appear on the Notices Awaiting Assessment list of the recipient(s):



Notices Awaiting Assessment list

Having drilled down into the record, the recipient of the notice can then use additional options within the Functions tool to "Accept" or "Deny" responsibility for the apparatus defect:



Accepting or Denying Responsibility

Failure to Respond

All Defective Apparatus reports can be tracked by both originator and recipient, using the Sent Notices Awaiting Response and Notices Awaiting Assessment, respectively. Following acceptance, the Inspections Results Awaiting Assessment enquiry is used. It is for the Roads Authority to decide what action should be taken in the event of a failure to respond. Comments or follow-up inspection reports can of course be used as a reminder, or warning of further action.

In the event that a defect is being reported that is considered to be a potential danger to the public, it is the Roads Authority's obligation to take whatever steps are necessary to ensure safety, pending acceptance by the organisation that is ultimately responsible.

Denying Responsibility

If responsibility for the works is denied, a notice is returned to the originator, with whatever textual comments are made to justify the denial of responsibility. No further action is required by the promoter, since the works remains associated with the Roads Authority until a promoter accepts responsibility.

If responsibility is denied by the single recipient that a record has been directed to, the Roads Authority must make a judgment whether to select an alternative recipient or to re-send it to the original recipient with further details. These actions may be initiated by using the Amend button within the Details TAB.

To re-direct the record to an alternative recipient, the Recipients button may be used to select the alternative organisation. If it is required to re-send it to the original recipient, the Recipient should remain unaltered and additional text inserted into the Notice Text field explaining why the record is being resubmitted.

Accepting Responsibility

If responsibility is accepted, the works reference number must be changed, including associating the record with the Promoter Prefix reference of the organisation that is accepting responsibility. This Operational District may be the recipient O.D., or another District of the accepting Organisation (assuming the user processing the transaction has the authority to select an alternative District):

The screenshot shows the 'Insight Enterprise - Street Works - Works Reference Details' application window. The 'Details' tab is selected, displaying the following information:

- Works Ref: H1001-A000000000650
- L.A. Ref: 01439793
- Address: ANNFIELD ROAD, INVERNESS, HIGHLAND
- NSG Ref: 844/01999
- Description: near
- Local: Highland Council - Inverness
- Works Status: PROPOSED WORKS
- Options: ☐ T/S, ☐ P/S, ☐ S/R, ☐ E/D, ☐ Res, ☐ Oth
- C/W: CARRIAGEWAY TYPE 4 - UP TO 0.5 MS
- F/W:

An 'Accept Responsibility' dialog box is open, with the following fields:

- Actual Promoter Prefix Reference: SG005
- Actual Promoter Reference: NEW-REFERENCE
- Notice Text: We accept this defect and will contact you regarding rectification.

Buttons for 'OK' and 'Cancel' are at the bottom of the dialog box.

The "Accept Responsibility" window

When accepting responsibility for the Defective Apparatus, there are two possible scenarios:

Scenario 1: Most commonly, the existence of the defective apparatus had not previously been identified, and it is necessary to create a record to progress its resolution.

Scenario 2: The existence of the defective apparatus was already known to the recipient and a works record already exists to deal with it.

Scenario 1 – works/defect does not pre-exist in SRWR

The accepting organisation should enter into the Accept Responsibility screen a new Works Reference number that is to be used to record the correct notice(s) for the rectification actions. This will result in the record being transferred onto that reference number and set to Status WORKS CLOSED, in preparation for initiating a new phase for rectification. It should be noted that WORKS CLOSED does not indicate that the defect has been resolved; the defect will still be on the outstanding list. WORKS CLOSED is simply indicating closure of the phase that is used to determine who is responsible for rectifying the defect. The result from the acceptance process is as shown on the following screen:

Insight Enterprise - Street Works - Works Reference Details

File Reports Shortcuts Tools Go to Help

Exit Desktop Map Options Functions Previous Next Create Amend Confirm Cancel

Summary Details Sites Contacts History Works Charges Index Groups Activities Fields Objects

Works Ref: SG005-NEW-REFERENCE Scotland Gas Networks 5

L.A. Ref: 01439793 Works Status: WORKS CLOSED ☐ T/S ☐ P/S ☐ S/R

Address: ANNFIELD ROAD ☐ E/D ☐ Res ☐ Oth

INVERNESS, HIGHLAND C/W CARRIAGEWAY TYPE 4 - UP TO 0.5 MS

NSG Ref: 844/01999 F/W

Description: near

Location: o/s Post Code

Works Stage Dates	Latest Promoter Notice	<input type="checkbox"/> Held	Latest Authority Direction
Interim Due: 24/10/2012	Notice Type: ACCEPTANCE RESPONSE	Notice Type	
Interim Complete	Works Type: DEFECTIVE APPARATUS	Duration Est.	
Permanent Due	Works Start: 24/10/2012	Works Start	
Permanent Complete	End: 24/10/2012	End	
Remedial Complete	Originated: 24/10/2012 19:57	Originated	
Warranty End	Issued: 24/10/2012 19:57	Issued	
Works Abandoned	Notice Text: We accept this defect and will contact	Notice Text	

Project Ref. ☐ Co-ordination Locations?

Description

Last Inspection Type: DAR Date: 24/10/2012 Result: FAIL-MEDIUM RISK Traffic Signals

Accepted Defective Apparatus

Once responsibility is accepted, the record is transferred onto the new reference number, and is re-allocated as "belonging to" the accepting organisation. Once the promoter has accepted the Defective Apparatus report:

- The Defective Apparatus report will be removed automatically from the Notices Awaiting Assessment list of the promoter.
- An Inspections Result Awaiting Assessment entry, with a Status of ACCEPTED will be added to the assessment lists for both the promoter and the originator, so that the defect can be monitored through to completion of the rectification process.

A response notice is sent to the originator, indicating the acceptance, and this will appear in the originator's Notices Awaiting Assessment list. There will also generally be an inspection prompt for a follow-up inspection by the Roads Authority (unless the Roads Authority has intentionally cancelled it).

The history shows the lifecycle events to date, including the originator's reference number, as shown on the following screen:

Defective Apparatus

The screenshot shows the 'Works Reference Details' window for 'SG005-NEW-REFERENCE' under 'Scotland Gas Networks 5'. The 'Works Status' is 'WORKS CLOSED'. The address is 'ANNFIELD ROAD, INVERNESS, HIGHLAND'. The NSG Ref is '844/01999'. The description is 'near' and the location is 'o/s'. The 'Post Code' field is empty. The 'Include' section has checkboxes for Status, Inspections, Notices, Events, Comments, Invoices, WMS, Messages, Assessments, and FPN, all of which are checked. The 'History' tab is selected, showing a table of events.

Date/Time	Event	Details	Username	Obj?	Msg?	A
24/10/2012 19:34	WORKS RECORDED	PROPOSED WORKS: 24/10/2012 - 24/10/2012	Ken Hickson	<input type="checkbox"/>	<input type="checkbox"/>	
24/10/2012 19:34	DEFECTIVE APPARATUS	PROPOSED WORKS: 24/10/2012 - 24/10/2012	Ken Hickson	<input type="checkbox"/>	<input type="checkbox"/>	
24/10/2012 19:34	INSPECTION RESULT RECORDED	HI001, DAR, FAIL-MEDIUM RISK, 24/10/2012, 0001, 0	Ken Hickson	<input type="checkbox"/>	<input type="checkbox"/>	
24/10/2012 19:34	INSPECTION DUE PROMPTED	HI001, DA2, 07/11/2012	Ken Hickson	<input type="checkbox"/>	<input type="checkbox"/>	
24/10/2012 19:39	VIEW NOTICE ASSESSMENT	SG005	Ken Hickson	<input type="checkbox"/>	<input type="checkbox"/>	
24/10/2012 19:57	WORKS STATUS CHANGED	PROPOSED WORKS to WORKS CLOSED	Ken Hickson	<input type="checkbox"/>	<input type="checkbox"/>	
24/10/2012 19:57	WORKS REFERENCE CHANGED	HI001-A0000000000650	Ken Hickson	<input type="checkbox"/>	<input type="checkbox"/>	
24/10/2012 19:57	ACCEPTANCE RESPONSE	SG005-NEW-REFERENCE	Ken Hickson	<input type="checkbox"/>	<input type="checkbox"/>	
24/10/2012 19:57	INSPECTION ACCEPTED	DAR, Inspection automatically accepted because the C	Ken Hickson	<input type="checkbox"/>	<input type="checkbox"/>	
24/10/2012 20:04	NOTICE ASSESSMENT	SG005	Ken Hickson	<input type="checkbox"/>	<input type="checkbox"/>	

The History of the Accepted Defective Apparatus report (Note that this is a test example; normally the Usernames of originator and recipient would be different)

Scenario 2 – works/defect pre-exists in SRWR

This is used where a Defective Apparatus Report is raised, but before it is accepted by the recipient, a works has already been recorded on SRWR to effect the repair, using a separate reference number. This may either be because the defect was already known about before the Defective Apparatus report was raised, or because the recipient forgot to respond with an Acceptance before a separate works was raised to rectify the problem. In both of these cases, the required action is for the accepting Organisation to provide in the acceptance response, the existing works reference of the record that has already been recorded:

The screenshot shows the 'Works Reference Details' window for 'HI001-A0000000000649' under 'Highland Council - Inverness'. The 'Works Status' is 'PROPOSED WORKS'. The address is 'ANNFIELD ROAD'. The NSG Ref is '844/01999'. The description is 'near' and the location is 'o/s'. The 'Post Code' field is empty. The 'Include' section has checkboxes for Status, Inspections, Notices, Events, Comments, Invoices, WMS, Messages, Assessments, and FPN, all of which are checked. The 'History' tab is selected. An 'Accept Responsibility' dialog box is open, showing the 'Actual Promoter Prefix Reference' as 'SG005' and the 'Actual Promoter Reference' as 'EXISTING-REFERENCE'. The 'Notice Text' field is empty. The 'OK' and 'Cancel' buttons are at the bottom of the dialog box.

Quoting the reference number of an existing works in the acceptance of a Defective Apparatus report

As a result of this action, the system will automatically transfer all the information from the originator's notice, including any inspection details, into the history of the works specified in the acceptance, and will set the record on the originator's reference to WORKS ABANDONED. The history on the records will show the cross-references.

Recording the Resolution of the Defect

Apparatus Defects should be rectified within an appropriate timescale, based on the severity rating that is assigned in the Defective Apparatus inspection. The actions involved in the rectification should be recorded on the SRWR using the reference number that was assigned in the acceptance notification. This process varies depending on whether the works that is required necessitates producing a full life-cycle of street works notices or not:

Option 1 - If the work is not in a Traffic Sensitive area, and can be categorised as either "No Excavation" or "Mobile and Short Duration", it does not require advance notification, and the rectification of the defect can be notified by recording a "Completion of Non-Notifiable Phase":

Insight Enterprise - Street Works - Works Reference Details

File Reports Shortcuts Tools Go to Help

Exit Desktop Map Options Functions Previous Next Create Amend Confirm Cancel

Summary Details Sites Contact

Works Ref. SG005-NEW-REFER
L.A. Ref. 01439793
Address ANNFIELD ROAD
INVERNESS, HIGHLAND
NSG Ref. 844/01999
Description near
Location o/s

Functions

- P Create New Works Phase
- C Record Comment
- I Record Inspection Results
- O Prompt Inspection Due
- Y Change Works Reference
- T Produce Report
- D Record Damage
- M FPN Comment
- Q Agreements
- 2 Completion of Non-Notifiable Phase**

Groups Activities Fields Objects

Works Networks 5

☐ T/S ☐ P/S ☐ S/R
☐ E/D ☐ Res ☐ Oth

CARRIAGEWAY TYPE 4 - UP TO 0.5 MS

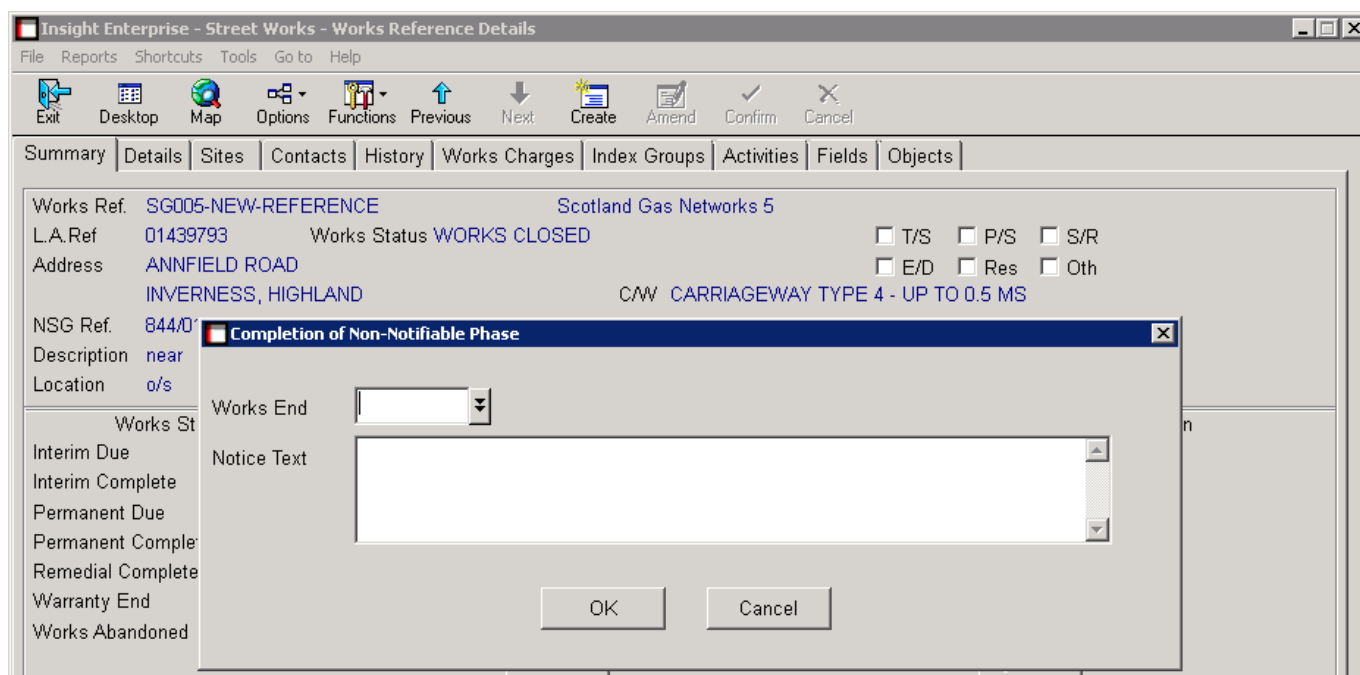
Post Code

Works Stage Dates		Latest Promoter Notice		<input type="checkbox"/> Held	Latest Authority Direction
Interim Due	24/10/2012	Notice Type	ACCEPTANCE RESPONSE	Notice Type	
Interim Complete		Works Type	DEFECTIVE APPARATUS	Duration Est.	
Permanent Due		Works Start	24/10/2012	Works Start	
Permanent Complete		End	24/10/2012	End	
Remedial Complete		Originated	24/10/2012 19:57	Originated	
Warranty End		Issued	24/10/2012 19:57	Issued	
Works Abandoned		Notice Text	We accept this defect and will contact	Notice Text	

View Text

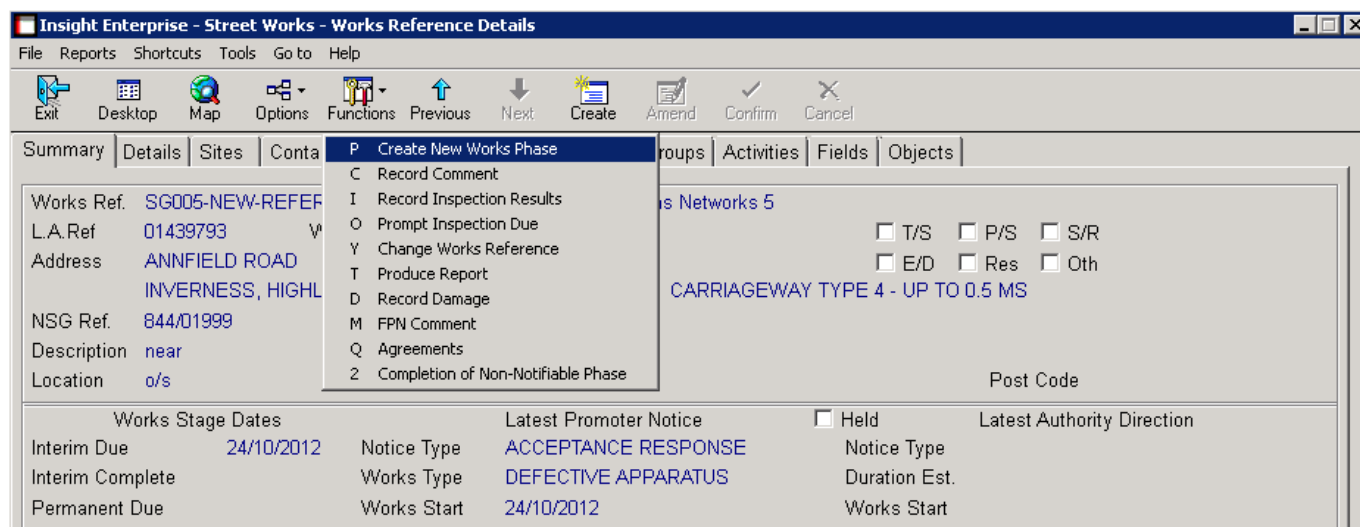
Selecting "Completion of a Non-Notifiable Phase"

This is a simple notification, comprising only a Works End date and any textual comments that are required (as shown in the screen on the following page). It confirms that the defect has been rectified. It is essentially the Equivalent of the Works Closed notice, for situation where preceding advance notices, actual start, etc are not required.



Entering a "Completion of Non-Notifiable Phase"

Option 2 – If the defect rectification involves excavation works, or is in a Traffic Sensitive Street, and therefore requires advance notices to be produced, the organisation that has accepted responsibility should use the "Create New Phase" function to record the new notices of activity, as required for repairing the apparatus.



Creating a new phase for recording works notices

Rectification of Defective Apparatus is not considered to be "remedial works" because there is no record of any preceding works that were carried out.

Monitoring Outstanding Defects

As mentioned previously, following acceptance, the Defective Apparatus inspection is retained on the Inspections Results Awaiting Assessment list, so this can be used as a record of unresolved defects. It is automatically removed from this list by either the "Completion of Non-Notifiable Phase" or the Works Closed notice at the end of a sequence of new phase notices. At this stage, the inspection screen is also updated to show that it has been resolved.