

## SRWR Guidance Note

### Defective Apparatus – Third Party Inspection Recording

#### Introduction

The latest version of RAUC(S) Advice Note 4 came into effect on 12 November 2012. This has introduced a complex set of rules regarding the validity of raising charges for Defective Apparatus inspections which are carried out as a result of a third-party report.

This Guidance Note explains the way in which defective apparatus inspections should be recorded in the Scottish Road Works Register, such that compliance with the rules in Advice Note 4 is achieved.

#### Defective Apparatus Inspection Types in the SRWR

There are four inspection types in the SRWR that are associated with Defective Apparatus recording:

**Inspection Type DAR** – Used for generating new reports of defective apparatus resulting from routine inspections. These will never generate charges.

**Inspection Type DAT** – Used for generating reports of defective apparatus resulting from inspections that have been originally prompted by a third-party report. These will generate charges only if the inspection is recorded as "HIGH RISK".

**Inspection Type DA2** – These are automatically prompted as a result of recording a DAR or DAT defect, and are used as a follow-up report on the defect. These will never generate charges. For a LOW RISK defect, the first DA2 follow-up is prompted for one month after the defect is recorded, and subsequently at 17 working day intervals. For a MEDIUM RISK defect, the DA2 follow-ups are prompted at 10 working day intervals. For HIGH RISK, an immediate DA2 follow-up is prompted.

**Inspection Type DA3** – This is an optional inspection that can be used by authorities who wish to confirm the resolution of the defect. It is not prompted automatically and will never generate charges.

#### Advice Note 4 – Definition of Applicable Charges

The latest version of Advice Note 4 defines the situations in which charges may be raised for defective apparatus inspections, as follows:

*"Where a visit cannot be accommodated as part of RAs routine duties, and the RA is of the opinion that a Category 1 defect may exist, a one off sample inspection fee may be charged for that visit if apparatus is verified as a Category 1 defect. RA will check records to ensure the defective apparatus has not been previously identified to SU as a Category 1 defect."*

*A one-off inspection fee may also be charged by the RA when an inspection carried out under a third party report escalates a pre-existing Category 2 or 3 defect to a Category 1 defect."*

Note that the reference to Category 1, 2 and 3 defects in the above excerpt from Advice Note 4 is the equivalent of the failure being recorded in the SRWR as HIGH RISK, MEDIUM RISK and LOW RISK respectively.

## Recording Third-Party Inspections

A new Defective Apparatus report resulting from a third-party inspection visit should be raised using an Inspection Type DAT. This will generate a charge within the SRWR if it is categorised as a HIGH RISK defect, but will not generate a charge otherwise.

Follow-on inspections are prompted as Inspection Type DA2 and, with the exception of the special circumstances covered in the following paragraph, should be recorded as Inspection Type DA2. Recorded DA2 inspections will not generate a charge, whether categorised as a HIGH RISK defect or not.

However, an inspection charge **is** applicable in the specific situation where a follow-on inspection for an existing defect is **upgraded** to HIGH RISK from a lower category. In this case, the follow-on inspection should not be recorded as an Inspection Type DA2. Instead, on the first occasion only when a HIGH RISK category is assigned, the prompted Inspection Type DA2 should be changed and recorded as an Inspection Type DAT (still against the same reference number) and this will generate the appropriate charge.