



SRWR Guidance Note

Unattributable Works

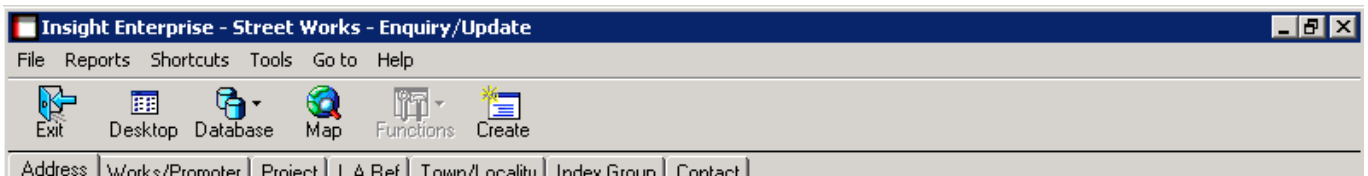
Introduction

This document gives advice on the way The Scottish Road Works Register should be used, both by Roads Authorities for recording Unattributable Works, 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.

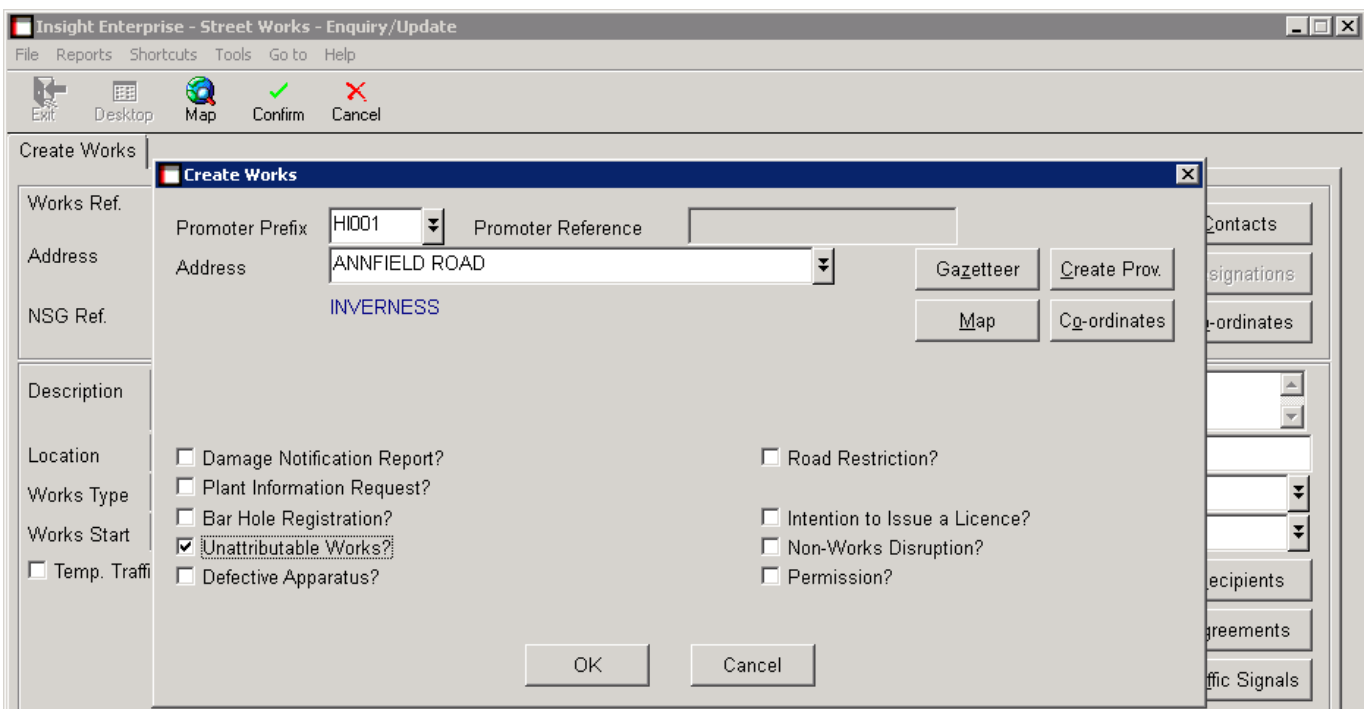
Unattributable Works are works that are detected, either in progress or recently completed, for which it is believed that appropriate notices (in accordance with The New Roads and Street Works Act and Transport (Scotland) Act) should have been recorded in the SRWR, but no record can be found. The works may, or may not, have defects that also need to be recorded in an associated inspection.

Recording the Unattributable Works

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, as shown below, or from the map:



The top part of the Street Works Enquiry/Update screen, showing the Create tool



The overlay Create window showing how an Unattributable Works is initiated

Unattributable Works

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 initial overlay window or from the following data entry screen:

Insight Enterprise - Street Works - Enquiry/Update

File Reports Shortcuts Tools Go to Help

Exit Desktop Map Confirm Cancel

Create Works

Works Ref: HI001- Highland Council - Inverness T/S P/S S/R
 E/D Res Other
 Address: ANNFIELD ROAD C/W CARRIAGEWAY TYPE 4 - UP TO 0.5 MS
 INVERNESS F/W
 NSG Ref: 844/01999

Description: Works in progress, but no-one on site. Barriers indicate works are being undertaken by Contractor XXXXXXXX.

Location: On footway, O/S Hotel, near junction with Damaway Road Post Code:

Works Type: UNATTRIBUTABLE WORKS Works Technique:

Works Start: 24/10/2012 End: 24/10/2012 Traffic Management Type:

Temp. Traffic Order? Potential Works? Under Licence? Response Category: Notice Type Default
 Inspection Units: 0

Notice Text:

Unattributable Works Entry 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:

Insight Enterprise - Street Works - Enquiry/Update

File Reports Shortcuts Tools Go to Help

Exit Desktop Map Confirm Cancel

Create Works

Works Ref: HI001- Highland Council - Inverness T/S P/S S/R
 E/D Res Other
 Address: ANNFIELD ROAD C/W CARRIAGEWAY TYPE 4 - UP TO 0.5 MS
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Works Type: UNATTRIBUTABLE WORKS Works Technique:

Works Start: 24/10/2012 End: 24/10/2012 Traffic Management Type:

Temp. Traffic Order? Potential Works? Under Licence? Response Category: Notice Type Default
 Inspection Units: 0

Notice Text:

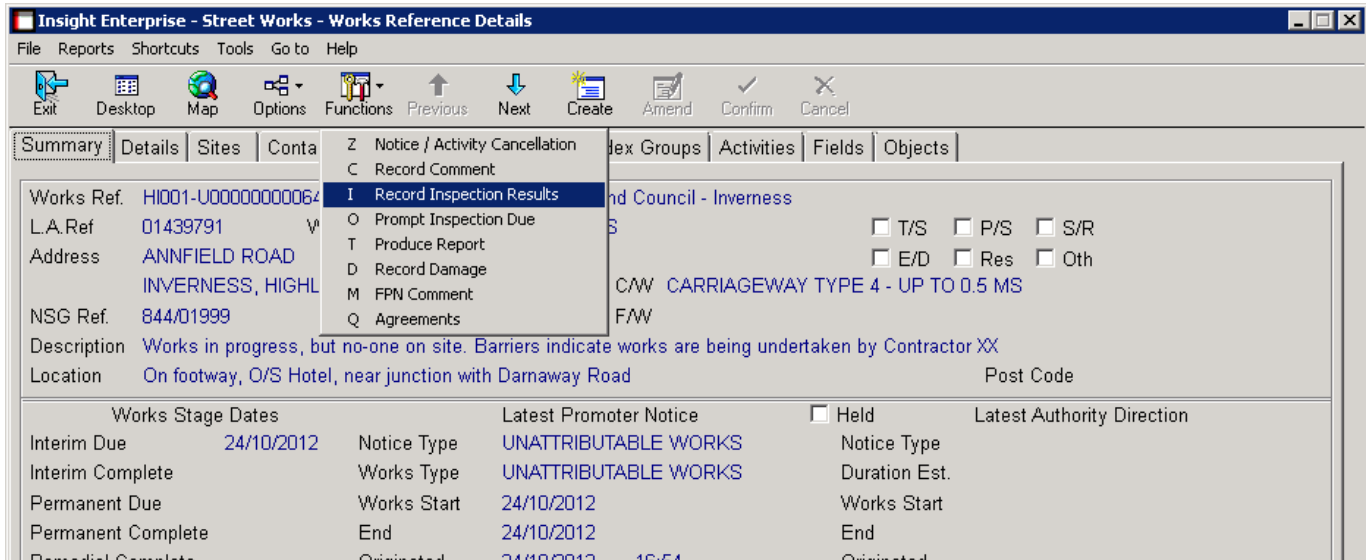
Recipients List

Tag?	OD	Prefix	Name
<input type="checkbox"/>	000030/0006	BT006	BT DMU
<input checked="" 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 type="checkbox"/>	007255/0001	UU001	United Utilities (Scotland)
<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 type="checkbox"/>	010110/0005	SG005	Scotland Gas Networks 5
<input type="checkbox"/>	010110/0008	SG008	Scotland Gas Networks 8
<input type="checkbox"/>	010120/0100	SW100	Scottish Water Noticing
<input type="checkbox"/>	010120/0101	SW101	Scottish Water Plant Protection

Selecting a recipient for the notice

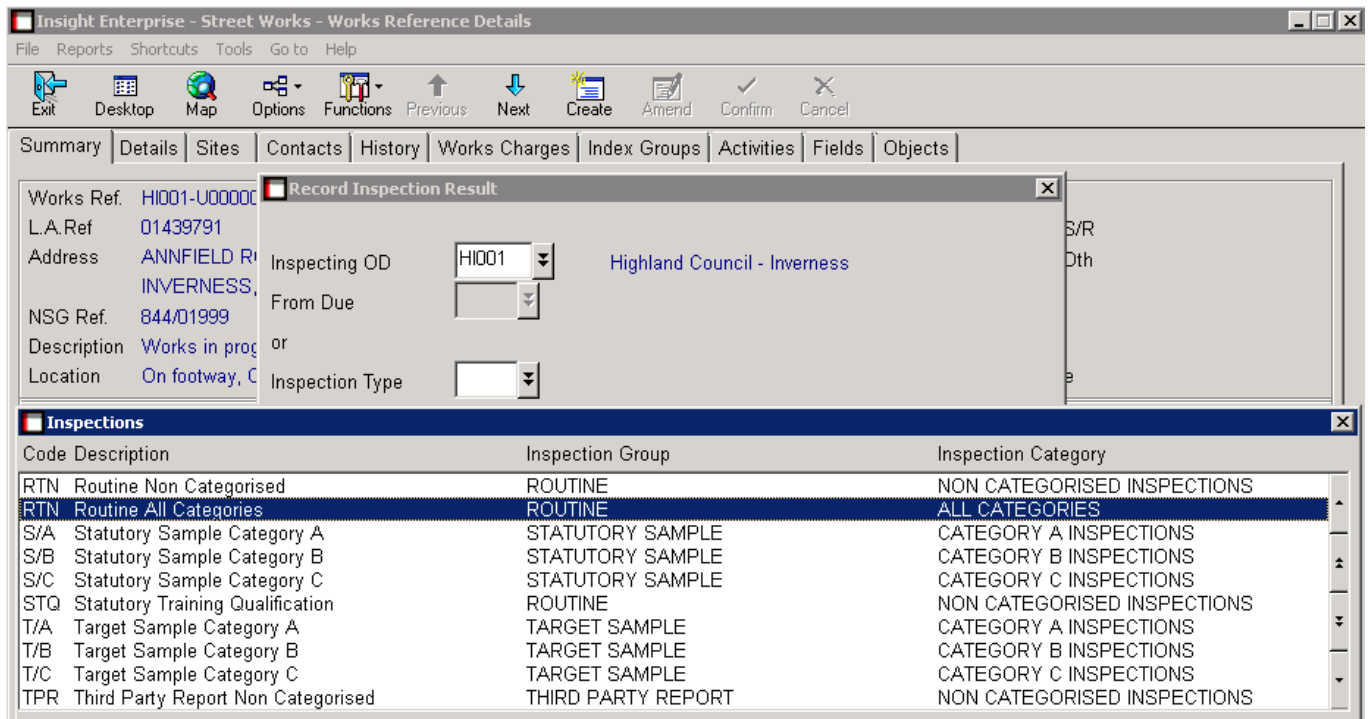
Unattributable Works

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 Unattributable Works, if it is also required to record a defect related to the works, an Inspection Result should also be recorded, using the Functions tool:



Initiating the recording of an associated inspection for Unattributable Works

If an inspection is added when recording an Unattributable Works, this should normally be either a Routine inspection (if the works was detected by the inspector as part of normal duties) or a Third Party inspection if it resulted from a report by a member of the public, Police, etc.



Selecting a Routine inspection to record

Unattributable Works

The records that are created in the SRWR 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 organisation to which the notice is sent. As such, these works and any associated defects are not attributed to the recipient organisation until the promoter 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 an Unattributable Works Notice

An Unattributable Works is sent to the selected recipient as a "Mandatory Response" notice. It will appear on the Notices Awaiting Assessment list of the recipient:

Tag?	Map?	Wrm?	Response Category	Due Date	Notice Type	Target OD	Address 1
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Mandatory Response	24/10/2012	UNATTRIBUTABLE WORKS	BT007	ANNFIELD ROAD

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 works:

Works Stage Dates	Latest Promoter Notice	Held	Latest Authority Direction
Interim Due 24/10/2012	Notice Type UNATTRIBUTABLE WORKS	<input type="checkbox"/>	Notice Type
Interim Complete	Works Type UNATTRIBUTABLE WORKS		Duration Est.
Permanent Due	Works Start 24/10/2012		Works Start
Permanent Complete	End 24/10/2012		End
Remedial Complete	Originated 24/10/2012 16:54		Originated
Warranty End	Issued 24/10/2012 16:54		Issued
Works Abandoned	Notice Text		Notice Text

Accepting or Denying Responsibility

Failure to Respond

The "Sent Notices Awaiting Response" enquiry allows progress of Unattributable Works reports to be tracked. The Roads Authority may decide what further action should be taken following a failure to respond. Comments can of course be used as a reminder or warning of further action. If the Roads Authority is certain that the record has been sent to the correct recipient, a Fixed Penalty Notice may even be issued – this can be done even if the Unattributable Works has not been accepted.

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

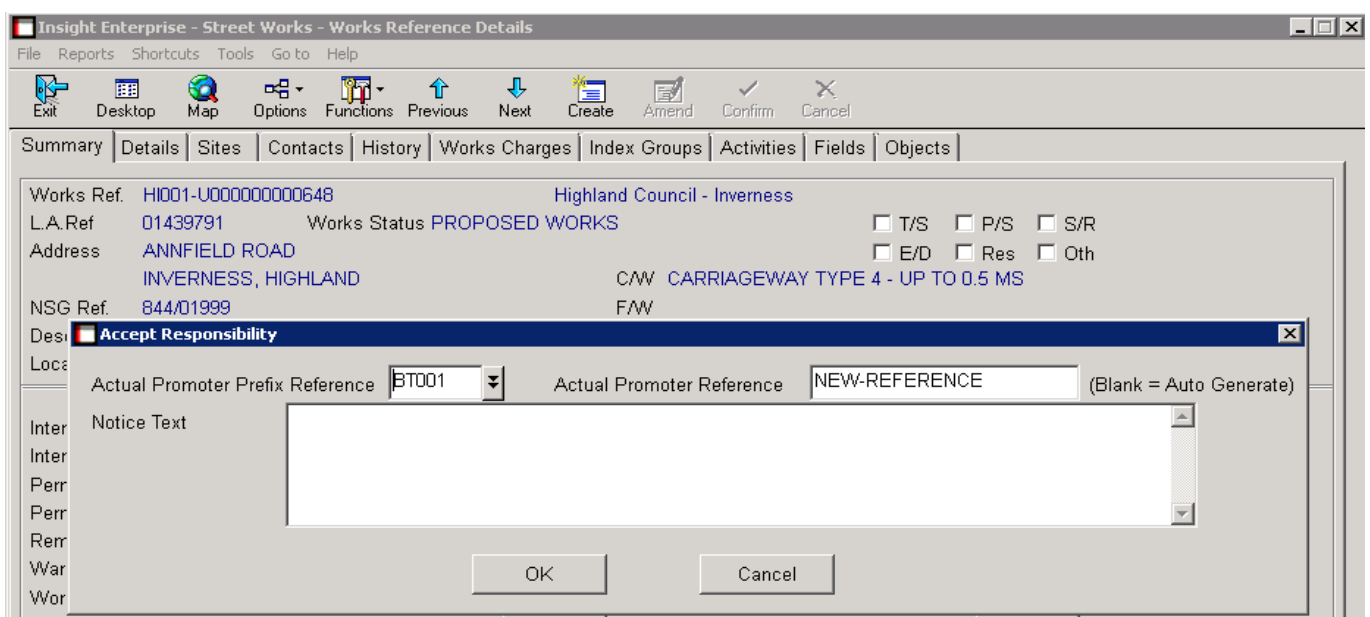
If responsibility for the works is denied, a notice is returned to the originator, with whatever textual comments are made to justify the denial of responsibility. No further action is required by the promoter, since the works remains associated with the Roads Authority until a promoter accepts responsibility.

If responsibility is denied by the recipient that the 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.

In the same way as when there is a failure to respond, if the Roads Authority is certain that the record has been sent to the correct recipient, a Fixed Penalty Notice may be issued.

Accepting Responsibility

If responsibility is accepted, the works reference number must be changed, including associating the record with the Promoter Prefix 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 "Accept Responsibility" window

Unattributable Works

When accepting responsibility for the Unattributable Works, there are two possible scenarios:

Scenario 1: The Unattributable Works is indeed a works that has not been notified previously.

Scenario 2: It is discovered that the Unattributable Works report is not valid because the works has in fact already been notified in the SRWR.

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 notices that should have been provided originally. 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 to record all the notices that are required to be (or should already have been) submitted. 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. BT001-NEW-REFERENCE BT (Fijitsu)
L.A.Ref 01439791 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 Works in progress, but no-one on site. Barriers indicate works are being undertaken by Contractor XX
Location On footway, O/S Hotel, near junction with Darnaway Road 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 UNATTRIBUTABLE WORKS	Duration Est.	
Permanent Due	Works Start 24/10/2012	Works Start	
Permanent Complete	End 24/10/2012	End	
Remedial Complete	Originated 24/10/2012 18:10	Originated	
Warranty End	Issued 24/10/2012 18:10	Issued	
Works Abandoned	Notice Text	Notice Text	

Project Ref. Co-ordination Locations?
Description

Last Inspection Type RTN Date 24/10/2012 Result FAIL-LOW RISK Traffic Signals

Accepted Unattributable Works

Once responsibility is accepted, the record is transferred onto the new reference number, and is re-allocated as "belonging to" the accepting organisation. A response notice is sent to the originator, indicating the acceptance, and will appear in the originator's Notices Awaiting Assessment list. Note that if an associated reinstatement defect was recorded with the Unattributable Works, there will 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 page:

Unattributable Works

The screenshot shows the 'Works Reference Details' window for work reference BT001-NEW-REFERENCE. The work status is 'WORKS CLOSED'. The address is 'ANNFIELD ROAD, INVERNESS, HIGHLAND'. The description is 'Works in progress, but no-one on site. Barriers indicate works are being undertaken by Contractor XX'. The location is 'On footway, O/S Hotel, near junction with Damaway Road'.

The 'History' tab is selected, showing a list of events:

Date/Time	Event	Details	Username	Obj?	Msg?	A
24/10/2012 16:54	WORKS RECORDED	PROPOSED WORKS: 24/10/2012 - 24/10/2012	Ken Hickson	<input type="checkbox"/>	<input type="checkbox"/>	
24/10/2012 16:54	UNATTRIBUTABLE WORKS	PROPOSED WORKS: 24/10/2012 - 24/10/2012	Ken Hickson	<input type="checkbox"/>	<input type="checkbox"/>	
24/10/2012 17:08	INSPECTION RESULT RECORDED	HI001, RTN, FAIL-LOW RISK, 24/10/2012, 0001, 0001	Ken Hickson	<input type="checkbox"/>	<input type="checkbox"/>	
24/10/2012 17:09	INSPECTION DUE PROMPTED	HI001, D/1, 07/11/2012	Ken Hickson	<input type="checkbox"/>	<input type="checkbox"/>	
24/10/2012 17:15	VIEW NOTICE ASSESSMENT	BT007	Ken Hickson	<input type="checkbox"/>	<input type="checkbox"/>	
24/10/2012 18:10	WORKS STATUS CHANGED	PROPOSED WORKS to WORKS CLOSED	Ken Hickson	<input type="checkbox"/>	<input type="checkbox"/>	
24/10/2012 18:10	WORKS REFERENCE CHANGED	HI001-U000000000648	Ken Hickson	<input type="checkbox"/>	<input type="checkbox"/>	
24/10/2012 18:10	ACCEPTANCE RESPONSE	BT001-NEW-REFERENCE	Ken Hickson	<input type="checkbox"/>	<input type="checkbox"/>	

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

The organisation that has accepted responsibility should then use the "Create New Phase" function to record new notices of activity, as required. This should include the notices for the works that should have been submitted in the first place, together with any further works notices required:

The screenshot shows the 'Works Reference Details' window with the 'Create New Works Phase' menu open. The menu options are:

- 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

The background shows the same work reference details as the previous screenshot, with the description 'Works in progress, but no-one on site. Barriers indicate works are being undertaken by Contractor XX'.

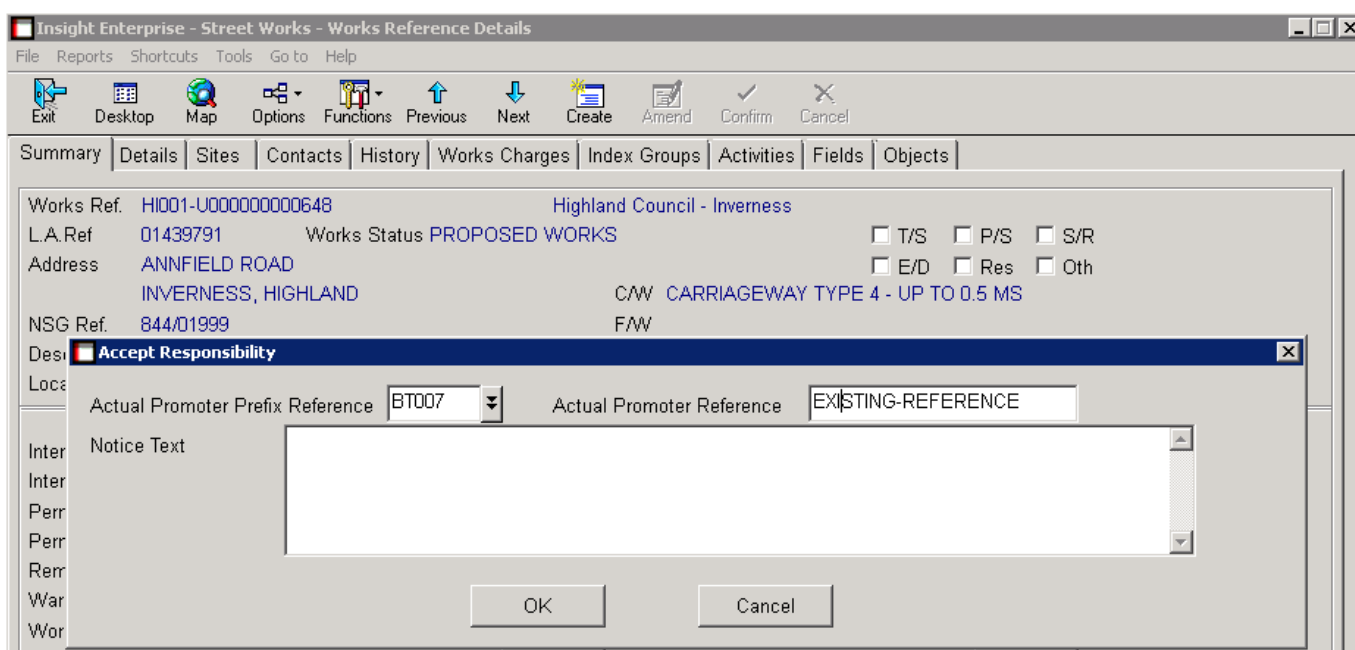
Creating a new phase for recording works notices

It should be noted that repairs to previously recorded reinstatements are considered to be "remedial works". This includes where reinstatement defects are recorded in an inspection together with an Unattributable Works transaction. The accepting organisation should retrospectively record all the notices relating to the original works (i.e. the notices they should have recorded when carrying out the original works), and then a further remedial works phase can then be initiated to remedy the defect.

Scenario 2 – works/defect pre-exists in SRWR

This is where an Unattributable Works has been recorded mistakenly, i.e. the works had already been recorded on SRWR – it was simply that the person recording the Unattributable Works had failed to locate the existing notices.

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:



Quoting the reference number of an existing works in the acceptance of an Unattributable Works

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. There is then no need for any further action, unless the existing notice records are inadequate in some way.

Outstanding Defects Report

Once responsibility for a defect has been accepted, it will remain on the Inspection Results Awaiting Assessment enquiry until a subsequent remedial phase has been completed, or a follow-up inspection is recorded as a pass.