



Roads Policy & Procedure Guide: RSPPG_E057

Title: Street Works Inspections

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Classification

Level 1: (Title / Key Words) Sample Inspections, Defect Follow-up
Level 2 : Network Services
(Directorate/Owner):
Level 3: (Roads HQ or HoBU Managed Function): Street Works
Level 4 : (Work Areas) Maintenance

Notes

This RSPPG updates and replaces DEM 89/05, Policy for carrying out Street Works Inspections.

Certification

This document complies with Roads Policy. For Implementation and Issue Dates, see above.

(Signed) Pat Doherty Director of Engineering

Certification Date: 3 October 2017

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1 Introduction

1.1 Purpose

This Roads Policy & Procedure Guide (RSPPG):-

- a) Is aimed at all Department for Infrastructure (DfI) Roads staff involved in Street Works, Statutory Functions Officers and Street Works Inspectors
- b) Sets out procedures in relation to carrying out statutory sample inspections of street works and reinstatements
- c) Sets out procedures for following up on defective reinstatements
- d) Sets out procedures for addressing poor performance.

It does not cover:

- e) procedures for following up on defective apparatus. (A NISRANS Guidance Note on Unattributable Works and Defective Apparatus can be found on the Insight home page)
- f) other reinstatement inspection types.

1.2 Definitions

1.2.1 Not used

1.3 Background

1.3.1 The Street Works (Northern Ireland) Order 1995 empowers DfI to carry out inspections to check the quality of utility reinstatements at various stages during and following reinstatement work. The Street Works (Northern Ireland) Order 1995, its associated Regulations and the Code of Practice for Inspections (CoP) set out the types of inspections that DfI can carry out, identify where DfI can charge utilities for carrying out these inspections and set out the inspection fees applicable in those cases. This RSPPG provides additional guidance in relation to carrying out sample inspections and following up defective reinstatements. Where any conflict arises between this guidance and the CoP, the CoP takes precedence.

1.4 Costs and Benefits

1.4.1 The anticipated costs arising from the implementation of this RSPPG are:-

1.4.1.1 No additional costs anticipated.

1.4.2 The anticipated benefits deriving from the implementation of this RSPPG are:-

1.4.2.1 Clarification and update of the street works inspection requirements

1.4.2.2 Increased emphasis on the defect completion inspection to ensure that all defective reinstatements are remedied.

1.4.2.3 Increased compliance with the CoP regarding use of defect inspections.

2 Roads Policy & Procedure

2.1 Sample Inspections

2.1.1 The CoP for Inspections allows DfI to carry out Sample inspections for each utility, based on a random sample of 30% of the estimated annual total of inspection units averaged over the previous 3 years. This total is split to give 10% in each of the following reinstatement stages:

| Inspection Category | Timing of Inspection |
|---------------------|--|
| A | Progress Inspection (undertaken during the progress of the reinstatement works) |
| B | Reinstatement Inspection (undertaken within the six months following interim or permanent reinstatement) |
| C | End Inspection (undertaken within the three months preceding the end of the guarantee period) |

2.1.2 The Category A Sample inspection includes inspection of signing, lighting and guarding of works in progress. Serious failings in this area can lead to prosecution. Where an inspection finds that signing, lighting and/or guarding at a site is so poor as to endanger the public, the Inspector may contact the DfI Roads HQ Street Works Team for advice.

2.1.3 The CoP for Inspections recognises the practical difficulty of timing Category A inspections to coincide with actual reinstatement work. It allows DfI to select Category A sites as appropriate. However it still requires the selection of inspection sites to be as random as is practicable.

2.1.4 For the purposes of this policy, Street Works staff can select Category A Sample inspections from any work in progress they encounter while carrying out their duties. The NISRANS (Northern Ireland Street Works Registration and Notification System) 'Daily Whereabouts' list can be used as an aid to indicate where larger utility work is expected to be in progress but should not be used for smaller works as it may lead to a high proportion of Abortive Inspections (see 2.1.8). The results of Category A inspections should be entered as indicated in the NISRANS Training User Manual (the User Manual), TRIM reference DR1/09/249516.

2.1.5 NISRANS is used to generate Category B and C Sample inspection lists.

2.1.6 Section Offices should request sample inspection lists from NISRANS on a weekly basis using the Insight Desktop query menu, through Street Works, Works Enquiries, Inspections Due enquiry. Reference should be made to the User Manual for the correct procedure.

2.1.7 The inspections listed by NISRANS should be completed and recorded on NISRANS before prompting the system for a new list. NISRANS will compensate for the occasional period when it is not possible to generate sample inspections.

2.1.8 If, when visiting a selected site, it is impossible to carry out an inspection (for instance if the work Noticed cannot be found at the location), the inspection should be recorded as Abortive. The approach outlined in paragraph 2.1.4 to selecting Category A sample inspections should ensure there are no Abortive Category A inspections.

2.1.9 NISRANS will continue to generate Category B and C sample inspections until the required number of inspections for each category has been reached. Section Offices may want to carry out more inspections than the agreed sample limit. These inspections should be classified as Routine. It should be noted that while these inspections do not initially qualify for sample inspection fees they may generate defect inspection fees if the initial inspection fails.

2.1.10 Because of the selection process described at paragraph 2.1.4, NISRANS does not control numbers and distribution of Category A Sample inspections by Section Office or Utility. Section Office staff can help to ensure the correct local Category A Sample inspection distribution by making regular comparisons with Category B and C sample distribution throughout the year.

2.1.11 Where more than 10% of the sample inspections of a utility's works in a three month period reveal a reinstatement defect, the Code of Practice allows for issue of an Improvement Notice which can result in higher levels of inspections. Prior to issuing an Improvement Notice DfI will, over a three month period, work with the utility company to improve performance by requesting a defect joint inspection (see paragraph 2.2.3.1) for every reinstatement defect identified during that period. In the event that an Improvement Notice is required this will be issued centrally by the Street Works Manager.

2.1.12 The procedure outlined at 2.1.11 is primarily aimed at poor performance by an undertaker across Northern Ireland. Smaller numbers of sample inspections at Section Office level can produce unrepresentative results. For example, one failure out of 3 sample inspections is not necessarily a matter for concern. However, where an undertaker's performance is causing concern at Section Office level, use of defect joint inspections offers a means of addressing that poor performance.

2.2 **Defect Inspections**

2.2.1 Reinstatement defects may be identified as the result of a category B or C statutory sample inspection, a routine inspection, a third party report inspection, a local or national coring inspection (fail-replace only), or an investigatory inspection. Where a reinstatement defect has not been identified through one of these inspections, a defect inspection should not be used.

2.2.2 When a reinstatement defect is found it is important, in the case of standard defects and defects requiring a safety response, that Dfl notifies the relevant utility by the end of the next working day. When a defect requires an immediate response Dfl must notify the utility immediately by a logged telephone call. Progress should be monitored to ensure that remedial works are completed within the period of time specified for the defect type in the NIRAUC Code of Practice for Inspections.

2.2.3 The Code of Practice identifies three types of defect inspection which may be carried out for reinstatement defects:

2.2.3.1 **D1 Inspection:** a (defect) joint inspection (Insight Version of NISRANS Inspection Type D1) for standard defects only, involving both Dfl and the utility, to determine the nature of the failure and what remedial action should be taken. This inspection is normally requested by the utility where they do not agree with the Department's assessment, or clarification is required, but may also be requested by Dfl where it is felt necessary to agree the cause of the defect and/or the nature of remedial works required.

2.2.3.2 Where a utility sends a non-acceptance response to a reported standard reinstatement defect, the utility should request a D1 inspection. If this request is not made by the utility, Dfl should request the D1 inspection in order to resolve the issue of responsibility. Where the joint inspection finds that there is no defect associated with the works and utility to which it has been attributed, a pass result should be recorded. This closes the initial defect report but, where a defect still exists, Dfl must investigate further to establish which utility is responsible. The defect must then be recorded again as outlined at 2.2.1 above.

2.2.3.3 Where a utility sends a non-acceptance response to a reported reinstatement defect on unattributable works, Dfl must re-investigate to establish responsibility. No defect inspections should be recorded until responsibility has been established as NISRANS will not send such inspections to the utility.

2.2.3.4 **D2 Inspection:** an inspection (defect follow up – Insight Version of NISRANS Inspection Type D2) by Dfl of the remedial work in progress. Where a D2 inspection of remedial works in progress is scheduled, but it is found on inspection that the remedial works have been completed, this inspection should be recorded on NISRANS as a defect completion (D3) inspection. In cases where the remedial works have been completed to the required standard, recording the inspection as a D3 inspection with a 'pass' result will avoid the system prompting a further unnecessary D3 inspection.

2.2.3.5 **D3 Inspection:** an inspection (defect completion – Insight Version of NISRANS Inspection Type D3) by Dfl when the remedial works have been completed. NISRANS has been set to prompt a D3 inspection 27 days after initial notification of the defect, as this is the normal means of closing the reinstatement defect follow-up procedure. The system default to a D3 inspection should not prevent D1 or D2 inspections from being scheduled and carried out where use of those inspections is appropriate. Once a D3 inspection with a pass result is recorded, the defect is deemed to be closed, and no further defect inspections should be carried out.

2.2.4 Defect inspections are chargeable at double the sample inspection fee charge to reflect the additional costs associated with these inspections. It is important that use of defect inspections complies with the CoP and guidance in this RSPPG to ensure that reinstatement defects are correctly repaired, and charges for inspections are correctly applied.

2.2.5 NISRANS maintains a list of all outstanding reinstatement defects, and will only remove a defect from this list once an inspection result has been recorded which indicates there is no longer a defect. Under normal circumstances this will be a D1 or D3 pass, although pass results from other inspection types listed at 2.2.1, not including coring, will also now close outstanding defects. DfI aims to follow up all reinstatement defects with an inspection to confirm that remedial work has been satisfactorily completed.

2.2.6 It should be noted that the NISRANS default period of 27 days for a D3 inspection is in line with CoP timescales for a standard reinstatement defect. In the case of reinstatement defects requiring a safety response or an immediate response the inspector can overrule the NISRANS default and schedule follow-up inspections in line with the CoP timescales for those defect types.

2.2.7 Reference should be made to the current edition of the CoP for Inspections to clarify procedural points relating to the Street Works Inspection regime.

2.3 Addressing Errors

2.3.1 From time to time inspection results may be entered incorrectly, such as using the wrong inspection type or recording the wrong result by mistake. Where such errors are identified, NISRANS allows the inspector to cancel the inspection record so that a new entry can be made using the correct inspection type or result. Follow-up inspections prompted by the initial entry can also be cleared.

3 Equality Impact Assessment (EQIA)

3.1 Equality Impact Assessment Section 75 of the Northern Ireland Act 1998

3.1.1 The Department has a statutory obligation under Section 75 of the NI Act 1998 to undertake an equality screening on all new policies / strategies and any policies that are revised or reviewed.

3.1.2 It has been concluded that an equality screening exercise is not required for this RSPPG, as it is an internal procedure in line with existing legislation and Code of Practice and will not have any impact on Section 75 groups.

4 References

4.1 General References

4.1.1 The Street Works (Northern Ireland) Order 1995.

4.1.2 The NIRAUC Code of Practice for Inspections (2nd Edition) 1 September 2003.

4.1.3 NISRANS Guidance Note on Unattributable Works and Defective Apparatus

4.2 Endnote References

4.2.1 None used

5 Appendices

5.1 No Appendices used

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| 6 Control Sheet - Roads Policy & Procedure Guide: E057 |
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Title: Street Works Inspections

6.1 Document History

| Version | Date | Author | Authorised by Document Control Panel Members Name : Signature |
|---------|------------|---------|--|
| 1 | 02/12/2010 | G Byrne | Gary Quinn |
| 2 | 03/12/2012 | G Byrne | Arnold Hamilton |
| 3 | 31/05/2017 | G Byrne | Colin Sykes |
| | | | Alan McMurray |
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6.2 Overall Reasons for this Version

| Version | Reasons |
|---------|---|
| 1 | First issue of this RSPPG which replaces DEM 89/05 |
| 2 | Second issue to address issues identified through defect inspection sample checks |
| 3 | Third issue to implement review outcomes following Internal Audit recommendation of June 2016 |
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6.3 Revision Details

| Version | Amendments |
|---------|---|
| 2 | Expanded guidance on defect inspections including guidance on dealing with non-acceptance responses |
| 3 | Remove paragraph 2.1.11 from version 2 along with associated definitions. Update to reflect change to Dfl |
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