



## PRACTICAL GUIDANCE NOTE – ETON6

Version 1

25<sup>th</sup> June 2013

Signed by the HAUC UK Chairs

Jerry McConkey Highway Authority Chair

Date: 25th June 2013

A handwritten signature in black ink, appearing to read "McConkey".

Mark Ostheimer Utility Chair

Date: 25<sup>th</sup> June 2013

A handwritten signature in black ink, appearing to read "Ostheimer".

## AIMS AND OBJECTIVES

This document provides practical guidance for the technical specification for a new EToN (Electronic Transfer of Notifications) system, to be known as the Technical Specification for the Electronic Transfer of Notifications - Version 6. It is intended as a standalone document that replaces the EToN Technical Specification Version 5.0.1, published in November 2008. It also replaces Appendix E of the existing Inspections Code of Practice.

### Legal Status

NRSWA, TMA and related regulations set out certain information that must be shared between works promoters and authorities to allow the effective management of street work through noticing or permit regimes. The mandatory information is reviewed in Section 3.5. of the Tech Spec.

Members of the working groups representing the industry have worked together to support changes where legislation requirements have been impractical and inefficient. All are encouraged to apply the benefits.

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#### 1.0 GUIDANCE ON KEY SWITCH OFF DATES.

NRSWA, TMA and related regulations set out certain information that must be shared between works promoters and authorities to allow the effective management of street work through noticing or permit regimes. The mandatory information is reviewed in Section 3.5.

In England and Wales, for notices relating to the NRSWA sections 54, 55, 57, 58, 58A, 66, 70, 72(3), 74 and 74A, regulations require that the notices comply with the EToN Technical Specification. For other mandatory communication, compliance with Section 3.5 of the technical specification is highly recommended to ensure that all required information is shared, but it is not a legal requirement.

As from the introduction of EToN 6, no further EToN 4 notices will be accepted and users MUST configure their system to ensure that all notices are sent as either EToN 5 or EToN 6. As some organisations may be implementing EToN 6 in the near future, it is recommended that this should be done now

Where regulations require that notices take the form set out in the Technical Specification, the new EToN6 specification will be the relevant specification from 1 October 2013 (or before by mutual agreement), subject to the following transitional arrangements.

Between 1 October 2013 and 1 April 2014 regulated notifications may take the form set out in EToN (version 6) or the EToN (version 5).

From the 1 April 2014 all MUST comply with version 6

**PLEASE NOTE: FTP SERVER WILL HAVE TO BE SWITCHED OFF 31st MARCH 2014**

It is strongly encouraged that notices / inspections information is exchanged electronically as is a good audit trail to avoid emails / faxes etc.

All Works Promoters, Utilities and Highway Authorities encouraged to do testing as much as in advance as possible.

## 2.0 INSPECTIONS

### 2.1 Web Service Inspections

Key change is that Inspections will be sent/received as an xml file rather the current FTP format.

Please note – the FTP server will no longer be in use from 31st March 2014.

Rationalisation of inspection formats. The old Sample Inspection categories 1 to 5 that were used prior to the 2002 Edition of the Inspections Code of Practice will no longer be available for selection.

The annual sample inspection calculation has been simplified within EToN, reducing the likelihood of differing results from differing software systems. Please note that Defect remedial inspections do not form part of the sample inspections regime.

### 2.2 Recording feature for additional non sample inspections

Key changes are;

A Formalised feature to record occupancy information for S74/S74A has been introduced

Works stopped

Works in progress

Works in progress – no carriageway incursion

Works stopped – apparatus remaining

Permit condition compliance checks

Passed – not required as this is non-chargeable. However, a permit authority may wish to record a pass for future reference

Non-compliant with conditions

Inspections are only sent on demand, to support FPNs, S74/74A breaches, e.g. “Works stopped” sent when works are continuing.

Always classed as routine (non-chargeable).

Options – location points and attachments to provide as evidence.

S74/S74A and Permit inspections are classed as routine and are non-chargeable. However, if a breach of S74/S74A and /or Permit Condition Compliance was found whilst carrying out a sample (Category A or B) inspection, two Works Inspection Reports may be required if the sample inspection passes but the S74 or S74A or Permit Condition Compliance inspection fails.

Options – location points and attachments (e.g. photographs) should be provided as evidence of non-compliance.

### 3.0 SECTION 81

A new feature has been introduced to allow S81 transactions through EToN

EToN6 offers a new standardised method for Authorities to report and Utilities to accept defective apparatus reports, such as a missing stop-tap cover or rocking manhole.

The format is the same as for un-attributable works, which must be followed by a defect report containing the category of apparatus. This notice may only be sent to one promoter at a time, but may be forwarded onto other promoters if a non-acceptance response is received.

The acceptance/non acceptance is retained in the system for reference.

An acceptance response includes a promoter works reference number which will link the defect to any notice or permit application to undertake remedial works should that be required.

The defect resolution is indicated by “works stop” notice.

Under the new regime, all transactions can be sent and received using EToN systems, meaning.....the data only needs to be entered once - typically by field workers using mobile software or more traditional office based solutions.

A new “Completion of Non-notifiable Phase” transaction is also introduced for recording the resolution of defects that do not require a full life-cycle of notices.

Typically, s81 defects are quite often handled by teams other than the street works team within authorities which have traditionally resulted in a disjointed approach. This revision will allow for a more coordinated approach to all aspects of utility works and defects with all records held in one place.

The option of attachments e.g. photographs are encouraged to get quick resolution – will avoid unnecessary inspections if apparatus does not belong the original works promoter.

### 4.0 Portable Traffic Signals

Another new feature will be the ability to send/receive applications for traffic signals

There are many variations of TM forms nationally. The new feature allows additional TM information to be associated with the notice rather than on a separate form; thus avoiding duplication of information.

Two new transactions introduced;

Temporary Traffic Application (used by undertakers)

Temporary Traffic Response (used by highway/permit authorities)

Application responses will directly cross reference to the application (allows for the possibility of modified applications)

Please note that acceptance of Traffic Management is not acceptance of the works as normal noticing/permit rules would apply

4.1 Guidance on use at planning stage;

Notice may be given at any point after the first notice for a phase, up until works stopped, i.e. after:-

Forward planning notice

S54 / PAA application

S55 / Permit application

S57

Actual start

Permit variation

Independent of existing noticing rules.

4.2 Eton Considerations

Inherits basic data elements such as works description from notification which avoids need for re-entry of information.

Contact Information

TM Company

Emergency Contact

Signal Configuration (as per tech spec page 58)

1) Stop/go boards

2) 2-way no junction

3) 2-way with junction

4) Multi-way

5) See attached plan

Allows 500 characters of free text

Attachments – allows for works promoters to provide traffic management plans, diagrams, maps etc.

#### 4.3 Approvals sought and responses

Type of signal approval sought (as per tech spec page 59)

Type of response that the applicant for Portable Traffic signals is seeking

Permission Sought

Request Design with Response

For information, permission assumed (e.g. Emergency works ONLY)

Response type (as per tech spec page 59)

Whether or not changes are requested to the temporary traffic signal application

Changes Requested

Permission given

#### 5.0 FORWARD PLANNING

Extension to use forward planning for additional Works Categories

The forward planning transaction is a non-statutory notice which can be sent in advance of a statutory notice where information is desirable in advance (eg. Supports Traffic Management information).

Coordination Group check to include guidance on timing for Portable Traffic Signals in advance of notice. All to continue with local arrangements in meantime.

Now allowed on all works categories rather than just major works.

Can only be sent 10 days or more in advance.

Only valid for use before first statutory notice for works, not before any subsequent phase.

Dates should reflect the estimated duration.

Must lead into works recorded against the same works reference number or be cancelled.

#### 6.0 ATTACHMENTS

How to use attachments

As well as use for Portable Signals, attachments can also be included with the following additional notice types:

Works stop

Works / FPN comments

Direction & permit responses (except grant)

Intention to issue S50 licence

Unattributable works

Attachments will have a compulsory description to help identify & filter the document purpose (i.e. TM Plan for 1 High Street).

Attachments are to be retained for one year after most recent notification, or guarantee period, whichever is the later.

Highway authorities and Utilities need to consider storage requirements with their IT department and suggest speaking to your software provider.

Additional points;

Document types supported are as per EToN spec Page 35:

JPEG – Digital Photograph

PDF - Document containing pictures and text, Adobe

DXF – CAD drawings

HTML – document containing pictures, text

DOCX – Document in open Microsoft XML format

ODT – Open document text

Examples of when attachments can be used

Inspection where apparatus left on site

Where a permit condition has been breached

Identification of S81 apparatus & location

Supplying TM plans & drawings

Supporting evidence for challenges e.g. Overruns and lane rental

## 7.0 Diversionary Works

New notification by Highway, Transport or Bridge authority

Allows formal notification of S85 Diversionary Works to alert undertakers of a restriction in place.

Specifies the expected start date for planned major works.



Can be sent up to 5/10 years in advance of the works.

Note to Works Promoters:

Street Works teams should ensure departments who respond to diversionary works have visibility whilst planning their necessary diversions.

If works start after an authority has given notification under S85 of its intention to execute major works, sharing of costs regulations do not apply.

May be cancelled if works not proceeding

Notice can be updated to reflect any changes

S85 condition expires on the date specified on the latest notice

'Get restrictions' EToN request will return both S58 restrictions, and S85 Diversionary Works

## 8.0 CHANGE TO CARRIAGEWAY RESTRICTION CODES

"No carriageway incursion" has been added

Existing "None/signing only" becomes "Some carriageway incursion"

New code structure

0 No carriageway incursion

1 Some carriageway incursion

2 Traffic control (give and take)

3 Traffic control (priority working)

4 Traffic control (stop/go boards)

5 Traffic control (convoy working)

6 Traffic control (two-way signals)

7 Traffic control (multi-way signals)

8 Lane closure

9 Contra-flow

10 Road closure

## 9.0 PERMIT APPLICATION MODIFICATIONS

Currently, where modifications are required to a permit application, the only way changes can be made is by refusal and reapplication with required amendments by the works promoter. This can result in inadequate notice period for the modified application and requiring an early start agreement to keep the original planned date.

The New notice Permit Application Modification allows changes to be made and retain the original planned dates without the need of an early start agreement.

Conditions of use:

A modification request sent by the permit authority puts the permit response time on hold so that the permit will not become deemed.

If a response to the request involves a change of date from the original application then the response time is reset to reflect the particular permit time, so for minor works this will be 2 days etc.

If the response to the request does not involve a change in date then the response time for the permit authority will be the original response date or 2 working days, whichever is the greater.

## 10.0 New Registration Requirements

### 10.1 Pole Testing and Coring

Existing rules already require registering of bar holes. This has now been extended to cover pole testing and coring (as per tech spec page 92)

This structure is used to supply reinstatement details for the following types of works where advanced notification is not required:

bar holes in a street that did not result in full works

excavations associated with pole testing

core samples less than 150mm diameter in Non-Traffic Sensitive Streets

A Registration of Non-notifiable Works notice can be resent to update or correct details. There can be multiple bar hole, pole test or coring sites in a single notice (street).

## 11.0 RATIONALISATION OF CHARGE CODE CATEGORIES

New Excavation type codes (ref page 50 in tech spec)

Codes 8 to 13 are used for works that are exempt from S74 regs

8 Replacing poles, lamps, columns or signs in the same location

9 Pole testing

10 Repairing, resetting or replacing manhole or chamber covers or frames

12 Other works not involving excavation

13 Culvert/Ditch/Tunnel Work – No Excavation

Codes 14 to 18 should be used for normal excavation works

14 Open Cut/Machine Cut

15 Road Breaker

16 Minimum Dig/Thrust Boring

17 Slab Working (modular paving)

18 Other works involving excavation

Showing collaboration of working can have financial incentives where permits are concerned and may lead to discounted fees such as two works promoters working under the same road closure. It also helps highways identify primary and secondary works promoters.

Works involving no collaboration

Works involving excavation (trench sharing, primary promoter)

Laying apparatus only (trench sharing, secondary promoter)

Works involving other collaboration

The last item is a new code to identify works other than trench sharing which involve collaboration.

Codes 3 to 5 provide reasons why works on the street are exempt from S74 charges.

New Street Category Codes

1) Normal Street

3) Works in footpath or bridleway

4) Works in a highway in relation to which a pedestrian planning order is in place

5) Works in a highway whose use by vehicular traffic is prohibited by a traffic order (that applies at all times)

Ideally, in the longer term, this data should be provided on the NSG, but this code is provided for use until that occurs.

## 12.0 OTHER MINOR ENHANCEMENTS AND CLARIFICATION OF RULES

Conditions now included in a works data variation - avoids the need for workarounds when amending conditions on an "In Progress" notice, e.g. using a Duration Variation Application without changing the dates – saves time for both authority and utility as the workaround involves subsequent confusion because permit details are not updated.

New flag indicating works are within a S58 restriction.

Removed legacy NSG format specification.

Works for road Purposes must always be notified against a Highway Authority OD.

Collaboration type and excavation type are related to individual phases rather than the works itself.

A "No Excavation phase" can be followed by an "Excavation phase", e.g. barriers erected, but then removed without any excavation because equipment missing, followed by return to excavate when equipment is available.

An "Excavation phase" can be followed by a "No Excavation phase".

A works closed with "No Excavation" can be resurrected on the same reference.

A cancelled works (first or subsequent phase) maybe resurrected on the same reference.

ETON out of hours tick box

Any physical work after 16.30 and at weekends should have this box ticked, this tick box does not need to be ticked if the site is to remain in situ unmanned outside of these hours.

## 13.0 CONTACTS

A formal body called "HAUC ETON Strategy Group" has been established, comprising the Chairs of HAUC Working Groups, and representatives of Department for Transport and ETON Developers Group. This body has assumed responsibility for coordinating the development of ETON, and all requests for changes and registration of interest should be made to that Group. Details of how to make contact are defined on the CONTACT tab of the HAUC(UK) website.

<http://www.hauc-uk.org.uk>

The ETON developers Group as your software providers will be involved in the resolution of any detailed issues or clarifications that are necessary in relation to the current Technical Specification, and ensuring that any related information is circulated to members.