



## **SECTION 171 – EXCAVATION IN THE HIGHWAY**

### **APPLICATION PACK**

#### **IN ACCORDANCE WITH THE HIGHWAYS ACT 1980**

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## **A. GUIDANCE NOTES & CONDITIONS**

1. It is essential that applicants for a licence under Section 171 make themselves aware of all the requirements of the Highways Act 1980 (HA 1980) and the New Roads and Street Works Act 1991 (NRSWA 1991), the associated Regulations and Codes of Practice. Non compliance with the Regulations and the Act can in some circumstances result in criminal offences being committed and the licensee on summary conviction is liable to a fine not exceeding Level 3 on the standard scale for each offence.
2. The person granted a Street Works Licence becomes an Undertaker for the purposes of the NRSWA 1991, and therefore has the duties and responsibilities imposed by the Act and associated Secondary Legislation and Codes of Practice. Applicants not familiar with the requirements of this legislation are strongly advised to appoint a contractor with the appropriate knowledge and accreditation to help complete the application.
3. The Licensee shall pay the Street Authority (Monmouthshire County Council) a licence fee of £425.00 which is made up of:-
  - (i) £140 administration fee
  - (ii) £80 capitalised fee in lieu of annual charge
  - (iii) £205.00 inspection fee for each 200m length, or part thereof.The applicant is also responsible for paying any other associated costs, such as traffic diversions, temporary traffic orders, damage and losses caused by the works.
4. Prior to the commencement of any works the applicant shall determine the precise location of any Statutory Undertakers plant. The applicant shall allow for the notification process when programming his works and copies of the plans are to be submitted to the Street Authority on application.
5. The Street Works (Qualifications of Supervisors and Operatives) Regulations 1992 sets out the criteria of qualifications for persons excavating in the highway required by Section 67 of the NRSWA 1991. For the purposes of carrying out the works, the Licensee or agent shall comply with the Codes of Practice for Training issued under the NRSWA, 1991. Specifically the supervisor and operative will be trained and accredited to the requirements of the Codes of Practice. ***Proof of such accreditation must be provided with this application.***
6. The Licensee shall undertake the works so as to minimise disruption and obstruction to vehicular and pedestrian traffic and shall guard the works in accordance with the Safety at Street Works and Road Works Code of Practice 2001 which gives specific guidelines on the safe signing, lighting and guarding of temporary works on the Highway, as required by Section 65 of the NRSWA 1991.
7. Certain streets have been designated with special conditions to control street works. The licensee must ensure that any works comply with these conditions. These are available from Monmouthshire County Council (Mon CC) upon request.

8. The Licensee shall indemnify Mon CC as the Highway Authority (HA) in respect of any Third Party actions claim demands, expenses or proceedings in respect of injury, damage or loss which may arise from his works on the highway. The Licensee shall effect insurance indemnifying the Licensee and the Council, for the duration of the works and until the Council resumes responsibility for maintenance of the highway. Such insurance shall afford indemnity of not less than £5 million in respect of each and every occurrence or series of occurrences caused by or attributable to any event giving rise to a claim. **A copy of the insurance certificate shall be included with this application.**
9. The date when the HA will resume responsibility for maintenance of the highway works, distinct from the apparatus, will normally be two years (three years for excavations greater than 1.5 meters depth) from the date the Authority is notified (by form SWL2) of the permanent reinstatement. Until the Highway Authority assume responsibility for maintenance of the works the Licensee shall be responsible for any claims arising from the work or any necessary maintenance works and associated costs. The HA shall determine any necessary works.
10. A bond payment is required on application to indemnify the HA against substandard workmanship. A fee of 20% of the estimated cost of the whole works will be required and can be paid via cheque or card. This payment will be released after the maintenance period. Alternatively, a Surety Bond will be accepted. The applicant shall also be liable for any further inspections that may be necessary in the same manner as provided under Section 72 (2) of the NRSWA 1991. **Please note – the bond payment will be required before any works are allowed to commence.**
11. Reinstatement of the works shall be in accordance with the specification provided by the HA. Any excavation shall be at least temporarily reinstated with bitumen macadam before removing any signing and barriers. No trench reinstatement is to be re-opened to highway users without at least a temporary bituminous layer being in place, which is flush with the level of the adjacent highway. Any temporary reinstatement shall be agreed with the HA.
12. In the event of the works being cancelled after the application form has been submitted a fee will be charged to the applicant to cover administrative costs.
13. It is an offence to carry out street works without a valid street works licence. Please refer to Section 51 of the NRSWA 1991.
14. If the applicant objects to these conditions or a refusal to grant the licence, then an appeal may be made to the Secretary of State.

## **B. APPLICATION PROCEDURE**

Applications must be **received** at least **ONE MONTH** in advance of the commencement of the proposed works, signed by the owner of the existing or proposed apparatus. This is to allow Mon CC to discharge its duty. **If a Road Closure is required an application must be received at least THREE MONTHS in advance of the commencement of the proposed works.** Please contact 01633 644644 for further advice.

The following are required in order to grant the licence:-

1. **Completed application form (SWL1).**
2. **Licence fee** - payment in advance (cheques made payable to Monmouthshire County Council) of £425.00 for trenches up to 200m & £205.00 for every 200m thereafter.
3. **2 x 1:1250 scaled plans** (of Ordinance Survey standard) of the proposed location & depth, of the relevant apparatus, marked by a red broken line.
4. **Utility plans** for each utility, identifying the location of their apparatus, must be obtained and copies enclosed. *A list of undertakers to be notified is included in this pack.*
5. **Letter to local residents** affected by the works. A copy is to be enclosed.
6. **Public Liability Insurance** - a copy is to be enclosed and must provide a minimum of **£5m** cover.
7. **Proof of Street Works Accreditation** - copies of qualified supervisors and operatives SWQR cards (front & back). An accredited supervisor must supervise the work and at least one accredited operative must be on site at all times whilst the works are in progress. **N.B this cannot be the same person.**
8. **Method of works statement & risk assessment.**
9. **Surety Bond** - a fee of 20% of the estimated cost of the works is required on application.

The following are required upon completion of the works:-

- **Completed registration form (SWL2)** To be submitted, giving details of any reinstatement, within **TEN WORKING DAYS** of the completion of the works and clearing the site. Interim reinstatements must be made permanent within 6 months and during that time must perform to the same standards as a permanent reinstatement.



**SECTION 3** (Details of person/company conducting the works)

Name: \_\_\_\_\_

Address: \_\_\_\_\_  
\_\_\_\_\_

Tel No: \_\_\_\_\_ Mobile: \_\_\_\_\_

Contact Name: \_\_\_\_\_ E-mail address: \_\_\_\_\_

The names and details of personnel to be employed on the site, to act as Accredited Operatives and Supervisors, under the Street Works (Qualifications of Supervisors & Operatives) Regulations 1992 must be entered below:-

Supervisor Name: \_\_\_\_\_ Registration No. \_\_\_\_\_

Card Expiry Date: \_\_\_\_/\_\_\_\_/\_\_\_\_

Operative Name: \_\_\_\_\_ Registration No. \_\_\_\_\_

Card Expiry Date: \_\_\_\_/\_\_\_\_/\_\_\_\_

**Proof of Accreditation is required. Please enclose a clear copy of front and back of cards.**

**EMERGENCY CONTACT DETAILS (24 hour contact number)**

Name: \_\_\_\_\_

Tel No: \_\_\_\_\_

E-mail address: \_\_\_\_\_

**SECTION 4** (Insurance details)

Public Liability insurance of a minimum of £5 million must be provided by the contractor and must be valid up to the completion of permanent reinstatement. (Copy of insurance document required)

Company Name: \_\_\_\_\_

Address: \_\_\_\_\_

\_\_\_\_\_ Post Code: \_\_\_\_\_

Tel No: \_\_\_\_\_

Policy No: \_\_\_\_\_ Date Expires: \_\_\_\_\_

**SECTION 5**

I confirm that the foregoing details are correct, and acknowledge that the works referred to above must be conducted in accordance with the requirements of the HA 1980, NRSWA 1991 and the Traffic Management Act 2004, associated legislation and codes of practice, together with any other conditions imposed by the Street Authority.

I confirm that all reasonably practicable steps have been taken to ensure that other owners of apparatus likely to be affected by these works have been contacted and where necessary location of apparatus identified.

I acknowledge that the licence is granted on the condition that I will indemnify the Street Authority against any claim in respect of injury, damage or loss arising out of :

- a) The placing or presence in the street of private apparatus to which the licence relates, or
- b) The execution by any person(s) of any works authorised by the licence.

I acknowledge the statutory need for me to pay the prescribed inspection fees which will be imposed by the Street Authority, including any defect inspection fees and the cost of any necessary remedial works conducted by the Street Authority during the guarantee period.

I confirm that I have read and understand the Guidance Notes & Conditions as attached.  
(NB further specific conditions may be imposed at the time of granting the licence).

Signed: \_\_\_\_\_ Date: \_\_\_\_\_

Printed (Name): \_\_\_\_\_

In the capacity of: \_\_\_\_\_

**Please return to:**

**Kelly Santaana  
Traffic & Network Management,  
Highways Department  
Monmouthshire County Council,  
Raglan Depot  
Station Road  
Raglan.  
NP15 2ER**

**[highways@monmouthshire.gov.uk](mailto:highways@monmouthshire.gov.uk)**

**PORTABLE TRAFFIC SIGNALS FORM**

**Traffic & Network,  
Highways Department,  
Monmouthshire County Council,  
Raglan Depot,  
Station Road,  
Raglan.  
NP15 2ER  
Tel: 01633 644764  
Email: [highways@monmouthshire.gov.uk](mailto:highways@monmouthshire.gov.uk)**



**THE TRAFFIC SIGNS REGULATIONS AND GENERAL DIRECTIONS 1994 No.1519**  
This form must be sent to the Street Works Section at the above address / email.

APPLICATION FOR MULTIPHASE SIGNAL CONTROL   
NOTIFICATION FOR TWO WAY SIGNAL CONTROL   
STOP & GO BOARDS

YOUR REF:   
STREET AUTH. REF:

FROM:		NAME OF CONTACT:					
		TEL:					
		FAX:					
		OUT OF HOURS CONTACT:					
CLIENT		TEL:					

EMERGENCY/ URGENT - 2 HRS		MAJOR-1 MONTH		PLANNED - 7 DAYS		3 DAYS		1 DAY
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START DATE:	FINISH DATE:
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LOCATION OF WORKS:

ROAD NO.:	O. S. GRID REF.:	DOES SITE CONTAIN A JUNCTION?: YES*/NO*
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TRAFFIC SENSITIVE SITUATION?: YES\*/NO\* IF YES, PLEASE REFER TO HIGHWAY AUTHORITY

PURPOSE OF WORKS:

HOURS OF OPERATION	WORKING DAY OPERATION (I.E. 7.30AM TO 4.30PM)	24 HOURS OPERATION
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THE FOLLOWING ADDITIONAL INFORMATION IS REQUIRED FOR MULTIPHASE OPERATION APPROVAL

MULTIPHASE TIMING:

RESIDUAL ROAD WIDTHS:	NO. OF SIGNAL HEADS:
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4 Copies of Site Plans and Location Plans showing position of the signal heads

**DECLARATION:**  
I/we hereby certify that the portable traffic signal used will be of a type which is currently approved by the Department of Transport and the Welsh Office Directives:

Signature: ..... Name: .....

Date: ...../...../.....



**E. List of undertakers to be notified (correct as of 05/02/18)**

<p>Dwr Cymru/Welsh Water Asset Records Data Services O.A.C Eastern Business Park St. Mellons Cardiff CF3 OLT 0800 917 2652</p> <p>NRSA Section Mapping Centre Western Power Distribution Lamby Way Rumney Cardiff CF3 2EQ 0845 6013341 <a href="mailto:wpdmapresponse@westernpower.co.uk">wpdmapresponse@westernpower.co.uk</a></p> <p>Wales and West Utilities Wales and West House Spoooner close, Celtic Springs, Coedkernew, Newport. NP10 8FZ 02920 278912 <a href="mailto:plantprotectionenquiries@wwutilities.co.uk">plantprotectionenquiries@wwutilities.co.uk</a></p> <p>British Telecom National Notice Handling Centre Postpoint 5WW6 Telecom House Trinity Street Hanley Stoke on Trent ST1 5ND 0800 023 2023 (option 5) <a href="mailto:nnhc@openreach.co.uk">nnhc@openreach.co.uk</a></p>	<p>Virgin Media Business National Plant Enquiries Team Mayfair Business Park Broad Lane Bradford BD4 8PW <a href="mailto:plant.enquiries.team@virginmedia.co.uk">plant.enquiries.team@virginmedia.co.uk</a></p> <p>Highways Drainage Monmouthshire County Council Raglan Depot Station Road Raglan NP15 2ER <a href="mailto:highways@monmouthshire.gov.uk">highways@monmouthshire.gov.uk</a></p>
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## F. CHECKLIST

All applicants should check that they have enclosed the following documentation, in order that the approval process is not delayed.

*(Please Tick)*

1.	Application Fee & Bond Payment	
2.	Application Form (SWL1)	
3.	2 x 1:1250 Scaled Plans of Proposed Installation	
4.	Statutory Undertaker Apparatus Plans	
5.	Method of Works Statement	
6.	Letter to Residents	
7.	Proof of Public Liability Insurance	
8.	Proof of Accreditation – <i>Supervisor <u>AND</u> Operative</i>	

**TO BE SUBMITTED WITHIN TEN DAYS OF COMPLETION OF WORKS**

<b>NEW ROADS AND STREET WORKS ACT 1991 REGISTRATION OF WORKS</b>					<i>Form SWL 2</i>															
<b>Reference</b> (Office Use Only)					<b>SWL</b> _____															
<b>To</b> Monmouthshire County Council Network Management County Hall Cwmbran NP44 2XH					<b>From:</b>  <b>Email:</b>  <b>Tel:</b>															
Actual Start Date					Actual Completion Date															
<b><u>LOCATION</u></b>																				
Description or House Name or Number																				
Street Name																				
Local Area Name																				
Town																				
Postcode										OS Grid Ref										
<b><i>DESCRIPTION OF WORKS</i></b>																				
<b>REINSTATEMENT Location</b>				<b>Closing Dimensions</b>			<b>Works Complete Dates</b>													
<b>Item</b>		<b>Length (m)</b>	<b>Width (m)</b>	<b>Carriageway / Footway or Verge *</b>	<b>Excavation depth over 1.5m</b>	<b>Interim</b>			<b>Permanent</b>											
						<b>D</b>	<b>M</b>	<b>Y</b>	<b>D</b>	<b>M</b>	<b>Y</b>									
<b>1</b>																				
<b>2</b>																				
<b>3</b>																				
<b>4</b>																				
<b>5</b>																				
<b>6</b>																				
*If the reinstatement is in more than one part of the highway, please give the dimensions for each part																				
Sketch of location – Including measurements to fixed objects (use separate sheet if necessary)																				