

Area 4

Interim Design Services Contract (DSC)

Asset Delivery (AD)

Scope

Annex 19
Records

CONTENTS AMENDMENT SHEET

Amend. No.	Revision No.	Amendments	Initials	Date
1	0	Tender Issue	LP	02/03/20

LIST OF CONTENTS

1 RECORDS 5

1.1 General 5

1.2 Retention of Records 5

1 RECORDS

1.1 General

- 1.1.1 For the purpose of this annex, records shall include inventories.
- 1.1.2 The Contractor creates and maintains the records in the format and for the duration set out in this annex.
- 1.1.3 The Source/Usage column of Table 1 identifies, where applicable, the source document that defines the inventory/record type and the frequency at which or the circumstances under which the Contractor updates and amends the relevant records.
- 1.1.4 The Contractor ensures that records are maintained in an acceptable format such as:
- (1) Scanned electronic image (Acrobat .pdf),
 - (2) Editable electronic document (MSWord),
 - (3) Editable electronic spreadsheet (MSExcel),
 - (4) Electronic editable vectorised drawing format (.dwg AutoCAD format or equivalent),
 - (5) Graphic electronic image in compressed (.jpg) format, or
 - (6) Other formats compatible with the *Client's* Information Systems, reference documents or guidance manuals as agreed with the *Service Manager*.
- 1.1.5 The Contractor may from time to time agree with the *Service Manager* alternative acceptable formats in which the Contractor maintains records, taking into account advances and other developments in information systems. The Contractor implements any changes as agreed with the *Service Manager*.
- 1.1.6 The Contractor creates, maintains and provides (and ensures that any Subcontractors create and provide) such records that are necessary to Provide the Services.
- 1.1.7 Where applicable, all records created or maintained electronically shall have the metadata (document properties) completed to the satisfaction of the *Service Manager*.

1.2 Retention of Records

- 1.2.1 The Contractor retains all electronic and other records in good order for the duration of this contract in such form as to be capable of audit (including electronic means) by the *Service Manager*. The Contractor makes the records available for inspection by the *Service Manager* at all reasonable times and provides copies of these records at regular intervals as agreed with the *Service Manager*. The Contractor retains records in line with the latest Highways England retention policy which if amended will be cascaded for implementation. The Contractor also maintains records in line with any statutory record keeping responsibilities and until expiry of the *service period* or termination of this contract (unless

the *Service Manager* agrees otherwise) and subject to any applicable law or legal requirement imposing a different retention period.

- 1.2.2 The Contractor specifies the age of each record and provides them to the *Service Manager* at the end of the contract.

For Design Services Contract:

Table 1: Record Types		
Ref No.	Record Type	Source/Usage
1.	Agreements between the <i>Client</i> and Others	
2.	All calculations in relation to Schemes	
3.	All contract documents produced by the Contractor and any amendments thereto	
4.	All Drawings/ plans/ maps	Whenever the Contractor is required to produce, update, amend or receive from others drawings, plans or maps in accordance with the contract
5.	All maintenance and other manuals to be produced by the Contractor	As required by the Reference Documents in Annex 3
6.	All data required for the Information Systems referred to in Annex 6	Whenever the Contractor is required to populate the Information Systems referred to in Annex 6
7.	All records/data required to populate reports under this contract to be issued by the Contractor.	
8.	Financial Records and Cost Capture Information	All financial records: <ul style="list-style-type: none"> required to be captured, recorded or updated by the Contractor including those referred to in Annex 10 Cost Capture Data Requirements, or required to substantiate or demonstrate validity of the above.

Table 1: Record Types		
Ref No.	Record Type	Source/Usage
9.	Photographic Images (High Resolution: 300DPI, Large file format)	Wherever the Contractor is required to obtain photographs including progress photographs
10.	All correspondence with Contractors, Sub Contractors and Others.	
11.	Land Ownership & Land Management	

For CWF Contracts:

Table 1: Record Types		
Ref No.	Record Type	Source/Usage
12.	Agreements between the <i>Client</i> and Others	
13.	All calculations in relation to Schemes	
14.	All contract documents produced by the Contractor and any amendments thereto	
15.	All Health and Safety files for Cyclic Maintenance Works and Schemes	<i>Client</i>
16.	All Drawings/ plans/ maps	Whenever the Contractor is required to produce, update, amend or receive from others drawings, plans or maps in accordance with the contract

Table 1: Record Types		
Ref No.	Record Type	Source/Usage
17.	All maintenance and other manuals to be produced by the Contractor	As required by the Reference Documents in Annex 3
18.	All data required for the Information Systems referred to in Annex 6	Whenever the Contractor is required to populate the Information Systems referred to in Annex 6
19.	All records/data required to populate reports under this contract to be issued by the Contractor.	
20.	Affected Property boundary details	
21.	Financial Records and Cost Capture Information	All financial records: required to be captured, recorded or updated by the Contractor including those referred to in Annex 10, or required to substantiate or demonstrate validity of the above. Project Bank Account Tracker referred to in Annex 27, section 4.
22.	Photographic Images (High Resolution: 300DPI, Large file format)	Wherever the Contractor is required to obtain photographs including progress photographs
23.	All correspondence with Contractors, Sub- Contractors and Others.	

For M&R Contracts:

Table 1: Record Types		
Ref No.	Record Type	Source/Usage
1.	Agreements between the <i>Client</i> and Others	

Table 1: Record Types		
Ref No.	Record Type	Source/Usage
2.	Details of critical incidents	Those incidents that lead to closure or partial close of the network. See copy of critical incidents Log under 1.2.5
3.	All Certificates issued by the Contractor	Wherever the Contractor is required to issue a certificate under the contract
4.	All Health and Safety files for Cyclic Maintenance Works and Schemes	<i>Client</i>
5.	All Drawings/ plans/ maps	Whenever the Contractor is required to produce, update, amend or receive from others drawings, plans or maps in accordance with the contract
6.	All maintenance and other manuals to be produced by the Contractor	As required by the Reference Documents in Annex 3
7.	All data required for the Information Systems referred to in Annex 6	Whenever the Contractor is required to populate the Information Systems referred to in Annex 6
8.	All records/data required to populate reports under this contract to be issued by the Contractor.	
9.	All records/data required by CRMDP	Cyclic and Reactive Maintenance Delivery Plan
10.	Affected Property boundary details	
11.	Financial Records and Cost Capture Information	<p>All financial records:</p> <ul style="list-style-type: none"> • required to be captured, recorded or updated by the Contractor including those referred to in Annex 10 Cost Capture Data Requirements, or • required to substantiate or demonstrate validity of the above. • Project Bank Account Tracker referred to in Annex 27, section 4.

Table 1: Record Types		
Ref No.	Record Type	Source/Usage
12.	Photographic Images (High Resolution: 300DPI, Large file format)	Wherever the Contractor is required to obtain photographs including progress photographs
13.	All correspondence with Contractors, Subcontractors and Others.	

1.2.3 Critical Incidents:

The following table identifies incidents that are critical.

Table 2: Critical Incidents	
Ref No.	Critical Incidents
1	Multiple collisions involving fatalities, serious injuries or vehicles disabled on a carriageway.
2	Partial or full closure of motorways or trunk roads due to weather or road conditions. This will also include minor incidents occurring at differing locations aggravated by other circumstances, which taken as a whole fall into this category.
3	Collisions involving crossover of a vehicle from one carriageway to another.
4	Collisions involving passenger coaches, school minibuses, trains, or public service vehicles resulting in fatalities or injuries.
5	Fatal collisions involving fire.
6	Serious collisions involving a vehicle carrying dangerous substances (e.g. hazardous chemicals, flammable liquids such as petrol, radioactive materials, etc)
7	Collisions on motorways or trunk roads resulting in serious/potentially serious structural damage (e.g. to a bridge) necessitating road closures
8	Fatal collisions on motorways or trunk roads where road works are in progress
9	Any significant event impacting partial or full closure of motorways or trunk roads due to collisions, security alerts or criminal/terrorist acts. (NILO must ensure that TRANSEC is advised of security alerts)
10	Any incident off or adjacent to the network that may meet any of the above criteria, and affects the network.
11	Any incident or event off the Highways England network which results in stationary vehicles for a period of 1 hour or more.
12	Suicide or attempted suicide resulting on the closure of lanes or carriageways.
13	Road works over running by 30 minutes or more, and likely to have an impact on the network.
14	Any instances of 50% of the 'reserve' winter maintenance fleet being utilised within any area.