



**Highways England Company Limited**

**Smart Motorways Alliance**

**VOLUME 3**

**REFERENCE DOCUMENTS**

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The reference documents referred to in the Alliance Scope Annex A and in the supporting document list below are those documents in Volume 3 of Tender Documents for the Smart Motorways Alliance on the Highways England e-sourcing portal

<b>SMA - Volume 3 Supporting Documents List</b>			
<b>Document Number</b>	<b>Document Scope Reference</b>	<b>Document Title</b>	<b>Document Description</b>
Vol 3 001	S105	Client's RIS: Procurement Plan Road for Investment Strategy Period One 2015-2020	Sets the vision for Highways England over the next five years
Vol 3 002	S105	Highways England Licence	Secretary of State for Transport statutory directions and guidance to the strategic highways company
Vol 3 003	S105	Infrastructure Act 2015	Legislation for planning and infrastructure
Vol 3 004	S110	Client's Values and Behaviours	Describes Highways England's values and behaviours

Vol 3 005	S120B, S120C, S410, S1122	Construction (Design Management) Regulations 2015	CDM aims to improve health and safety in the industry
Vol 3 006	S125 & S305 & Annex F	Client's SMP Survey Guide	Provides guidance on the surveys required on each scheme
Vol 3 007	S125 & S310 S1010 & Annex F	Client's SMP Design Guide	Provides guidance on the designs required on each scheme
Vol 3 008	S203	Conflict of Interest form	Form to declare any conflict of interest
Vol 3 009	S203	Declaration of Interest form	Form to declare any interest

Vol 3 010	S204	<i>Client's</i> Anti Bribery Code of Conduct	Policy for Highways England's approach to anti bribery
Vol 3 011	S204	<i>Client's</i> Anti Fraud Code of Conduct	Policy for Highways England's approach to anti fraud
Vol 3 012	S205	General Data Protection Regulation (EU2016/679)	Protection of natural persons with regard to the processing of personal data and on the free movement of such data
Vol 3 013	S205	Law Enforcement Directive (2016/680/EU)	Explains the data protection regime that applies to those authorities when processing personal data for law enforcement purposes.
Vol 3 014	S205	Procurement Policy Note 02/18 entitled "Changes to Data Protection Legislation & General Data Protection Regulation"	Provides guidance on changes to data legislation and GDPR

Vol 3 015	S205, S810, S825	Data Protection Act 2018	Controls how personal or customer information is used by organisations or government bodies
Vol 3 016	S208	Official Secrets Act 1989	Provisions protecting more limited classes of official information
Vol 3 017	S220 & S825	Client's Personnel Security Procedures	Sets out the mandatory obligations and checks for personnel
Vol 3 018	S230	Environmental Protection Act 1990	Legislation for the authority for waste management and control of emissions into the environment.
Vol 3 019	S240	Client's Crisis Management Manual	Outlines best practice crisis management

Vol 3 020	S240	Traffic Signs Manuals Chapter 7	Describes how sign faces are designed
Vol 3 021	S240	Traffic Signs Manuals Chapter 8	Describes how to design and operate temporary traffic management
Vol 3 022	S240 & S251	Client's Major Projects Dynamic Roadworks Vision Statement	Sets the vision that guides customer experience of roadworks
Vol 3 023	S240 & S251	Client's Roadworks - A Customer View	Sets out the principles setting up and managing roadworks
Vol 3 024	S241, S1505, S1525, S2100, S2110	Manual of Contract Documents for Highway Works	Provides contract documents for the procurement of highways works

Vol 3 025	S250	Considerate Constructor Scheme's Code of Considerate Practice	Details the expectations to achieve Considerate Constructors status
Vol 3 026	S251	Client's Customer Complaint Process	Provides guidance on how to make a complaint against Highways England
Vol 3 027	S251	EU General Data Protection Regulation	Harmonises data privacy laws across Europe
Vol 3 028	S251	Client's Corporate Complaints Process July 2017	Sets out the complaints process against Highways England
Vol 3 029	S251	Client's Customer Service Strategic Plan	How Highways England plan to improve service to users



Vol 3 030	S251	Correspondence Quality Control Guidelines (Quality Scorecard & Guidance Aid v3)	Provides guidance and examples of correspondence
Vol 3 031	S256	Client's Project Control Framework Best Practice Planning and Consultation Process	Outlines best practice management of the PCF
Vol 3 032	S256 & S305 & S405 & 410 & S665 & S700 & S1400	Client's Project Control Framework Handbook	Provides guidance on Highways England PCF process
Vol 3 033	S266	Energy Efficiency Directive (2012/27/EU)	Establishes a set of binding measures to help the EU reach its 20% energy efficiency target by 2020
Vol 3 034	S266	Procurement Policy Note 7/14 entitled "Implementing Article 6 of the Energy	Provides guidance to government entities on the EU energy efficiency directive

		Efficiency Directive” (PPN 7/14)	
Vol 3 035	S266 & S270	Client’s Sustainable Development Strategy	Communicates the approach and priorities for sustainable development
Vol 3 036	S267	Client’s Biodiversity Plan	Enables the effective use of funds for improving biodiversity
Vol 3 037	S267	Client’s Environment Strategy	Sets the vision that guides Highways England's environmental activities for the next five years
Vol 3 038	S267	Client’s The Road to Good Design (Good Road Design Jan 18)	Challenge thinking on about the design and quality of roads for the user

Vol 3 039	S267, S272	Government Buying Standards Transport 2017	Provides mandatory guidance on buying for central government departments and related organisations; encouraged for wider public sector.
Vol 3 040	S267 & S269	Interim Advice Note 183/14	Provides guidance on the preparation and Plans for major motorway and trunk road projects in England
Vol 3 041	S268	Interim Advice Note 135/10	Provides instructions on the assessment of landscape and visual effects of highway projects
Vol 3 042	S410, S620, S1705 & S2100	Design Manual for Roads and Bridges	Provides standards, advice notes and other documents relating to the design, assessment and operation of the SRN
Vol 3 043	S269	Town and Country Planning Act 1990	Legislation to consolidate certain enactments relating to town and country planning (excluding special controls in respect of buildings and areas of special architectural or historic interest and in respect of hazardous substances) with amendments to

			give effect to recommendations of the Law Commission.
Vol 3 044	S269	Waste Management Licensing Regulations 1994	Provides guidance on the collection, storage, treatment and disposal of controlled wastes
Vol 3 045	S270	Client's Carbon Tool	Tool for reporting carbon returns
Vol 3 046	S272	Client's Air Quality Strategy	Communicates the approach for minimising harm and improving air quality
Vol 3 047	S274	Client's Dignity at Work Policy	Highways England policy for developing an all-inclusive workplace

Vol 3 048	S274	Client's Equal Opportunities Policy	Highways England policy for embracing diversity and promote equality of opportunity
Vol 3 049	S274	Modern Slavery Act 2015	Combats modern slavery in the UK and consolidates previous offences relating to trafficking and slavery.
Vol 3 050	S274, S275, S810	Equality Act 2010	Legislation to protect people from discrimination in the workplace and in wider society
Vol 3 051	S201	Client's Behavioural Maturity Framework Strategy	Outlines Highways England's strategy to improve collaborative behaviours over the next three years
Vol 3 052	S310 & S320	Client's Single Option Process Map (Process Map - SOP PC - Issue 01 - 28 Jan 15)	Process flow for pre-construction activities in SMP

Vol 3 053	S320, S810	Highways Act 1980	Legislation to consolidate the Highways Acts 1959 to 1971 and related enactments, with amendments to give effect to recommendations of the Law Commission.
Vol 3 054	S410	Interim Advice Note 182/14A	Enables Handover into Operation and Maintenance
Vol 3 055	S410, S1705	Asset Data Management Manual	Sets out Highways England's asset data requirements to achieve both its corporate objectives as well as its asset management objectives.
Vol 3 056	S502, S1505, S1520, S1525, Annex E	Client's Work Breakdown Structure (MP WBS April 2016)	Provides a consistent breakdown of items building on Method of Measurement for Highways Works

Vol 3 057	S600, S605	Design Manual for Roads and Bridges GD 2/16	Details quality management systems for highways design activities
Vol 3 058	S600	ISO 9004	Standard for sustained success and quality management procedures
Vol 3 059	S600	OHSAS 18001	Standard for occupational health and safety management
Vol 3 060	S600, S605	ISO 14001	Standard for environmental management
Vol 3 061	S600, S605, S626, S640, S655	ISO 9001	Standard for a quality management system and is the only standard in the family that can be certified to (although this is not a requirement).

Vol 3 062	S605	Customer Service Excellence®	Standard for encouraging organisations to focus on their individual needs and preferences
Vol 3 063	S605	ISO 44001	Standard for collaborative business relationship management systems
Vol 3 064	S605, S1107	ISO 45001	Standard for risk management
Vol 3 065	S605, S665	ISO 31000	Standard for occupational health and safety
Vol 3 066	S615	ISO 10005	Standard for quality management



Vol 3 067	S620	National Highways Sector Schemes	Sets out how to achieve National Highway Sector Schemes certification to work on the UK road network
Vol 3 068	S626	ISO 19011	Standard for auditing management systems
Vol 3 069	S665	Client's Major Projects Baseline Management Manual	Outlines best practice baseline management
Vol 3 070	S665	Client's Major Projects Risk Management Manual	Outlines best practice risk management
Vol 3 071	S810	Consultation Institute – The Consultation Charter (2017)	Provides best practice guidance on consultation

Vol 3 072	S810	Client's Highways England Public Sector Equality Objectives (2016-2020)	How to embed equality, diversity and inclusion into all areas of Highways England
Vol 3 073	S810	Client's 'Writing with style: Highways England's tone of voice and style guide'	Provides guidance on consistent writing across Highways England
Vol 3 074	S810	Royal Town Planning Institute – Guidelines on Effective Community Involvement and Consultation	Outline best practice for key aspects of community involvement
Vol 3 075	S810	UK Government (Cabinet Office) – Consultation Principles (2016)	Provides the principles that govern consultations across government
Vol 3 076	S810	Client's Visual Identity specifications: What you need to know	Sets out the specification for Highways England branding

Vol 3 077	S810, S820	Environmental Information Regulations 2004	Legislation that provides a statutory right of access to environmental information held by UK public authorities
Vol 3 078	S820	Freedom of Information Act 2000	Legislation that creates a public "right of access" to information held by public authorities
Vol 3 079	S820	Procurement Policy Note 01/17 entitled "The Transparency of Suppliers and Government to the Public" (PPN 01/17)	High level statement of how government and suppliers ensure transparency and accountability in public sector purchasing
Vol 3 080	S825	Client's Chief Information Officer Memos 01/09	Brings together Highways England and Cabinet Office data handling guidance
Vol 3 081	S825	Client's Chief Information Officer Memos 04/08	Provides guidance on roles and responsibilities as an information asset owner

Vol 3 082	S825	Client's Data Handling Policy	How data is handled to ensure security e.g. protective markings and electronic formats
Vol 3 083	S825	Client's Statement of Highways England IT Security Policy v3.4	Sets out security requirements for Highways England information systems
Vol 3 084	S825	GDPR Supplier Letter	Impact of GDPR on existing Highways England contracts
Vol 3 085	S825	ISO/IEC27001	Standard for information security management systems
Vol 3 086	S825	ISO/IEC27002	Standard for information technology

Vol 3 087	S835	ISO 22301	Standard for business continuity
Vol 3 088	S920	New Road and Street Works Act 1991	Legislation for a management system to protect against, reduce the likelihood of, and ensure your business recovers from disruptive incidents
Vol 3 089	S920	Client's Advice Manual for the New Roads and Street Works Act – Diversionary Works (SA10/05)	Guidance on the Act for contractor diversionary works
Vol 3 090	S1105	Client's Health and Safety Five Year Plan	Updated Health and Safety Plan
Vol 3 091	S1111, S1118, S1119	Interim Advice Note 128/15/C	Health and Safety Incident Reporting

Vol 3 092	S1114	Control of Asbestos at Work Regulations	A specific duty on employers to manage the risks from asbestos in buildings
Vol 3 093	S1115	Management of Health and Safety at Work Regulations 1999	Places duties on employers and employees including those who are clients, designers, principal contractors or other contractors
Vol 3 094	S1118	Client's Chief Highway Engineer's Memorandum 373/16-Highways England Supply Chain Health and Safety Incident Reporting (Clarification)	Memo on reporting supply chain health and safety incidents
Vol 3 095	S1118	Client's Chief Highway Engineer's Memorandum 415/18-Incident Reporting Standard	Memo on reporting incidents
Vol 3 096	S1127	Road Traffic Act 1988	Legislation concerning licensing of vehicles, insurance and road regulation

Vol 3 097	S1130	Fleet Operator Recognition Scheme Standard	Defines the requirements that operators must meet in order to attain and maintain FORS accreditation.
Vol 3 098	S1130	Code of Practice: Lighting and marking for Special Order, VR1, STGO and C&U loads	Provides best practice guidance on moving abnormal loads on highways to maximise safety
Vol 3 099	S1130	Code of Practice: Lighting and marking for abnormal load self-escorting vehicles incorporating operating guidance	Provides best practice guidance on moving abnormal loads on highways to maximise safety for self-escorting vehicles
Vol 3 100	S1131	HSE guidance- Health and Safety Executive guidance on work-related road safety	Provides guidance on how to effectively manage work-related road safety to reduce risk
Vol 3 101	S1131	Driving for better business commitment	Demonstrates that suppliers who ask their staff to drive for work manage it well and in a manner compliant with health and safety at work legislation

Vol 3 102	S1200	<i>Client's</i> Fair Payment Charter	Outlines fair and transparent payment practices
Vol 3 103	S1200	Procurement Policy Note 01/18 entitled "Supply Chain Visibility" (PPN 01/18)	Provides guidance on increasing visibility of supply chain opportunities
Vol 3 104	S1200	Definition of an SME	Defines a Small to Medium Enterprise
Vol 3 105	S1200, S2010	Project Bank Account Tracker	Tool for recording all transactions made in and out of PBA
Vol 3 106	S1210	Public Contracts Regulations 2015	Legislation for procurement of supplies, services and works



Vol 3 107	S1210	"Steel procurement in major projects – Guidance on the application of social issues"	Incorporates social issues on major steel procurement
Vol 3 108	S1210	Procurement Policy Note 11/16 "Procuring Steel in Major Projects – Revised Guidance" (PPN 11/16)	Provides guidance on how to procure steel for schemes
Vol 3 109	S1420	National Audit Act 1983	An Act to strengthen Parliamentary control and supervision of expenditure of public money through audit
Vol 3 110	S1425	Client's Records Retention and Disposal Schedule	Tool for defining retention periods of physical and electronic records
Vol 3 111	S1505	Client's Efficiency and Inflation Monitoring Manual (Efficiency Manual v5 Spreads)	Provides guidance on how to measure efficiencies

Vol 3 112	S1500, S1505	Client's Major Projects Cost Management Principles Document	Sets out the principles for cost management
Vol 3 113	S1525	Client's Contractor Inflation Allowance	Tool to calculate inflation allowance
Vol 3 114	S1525	Client's Cost Estimating Manual	Provides guidance on accurate cost estimates and impact assessments
Vol 3 115	S1525	Client's Direct Works Price Build Template	Tool for building up direct works price
Vol 3 116	S1525	Client's First Principles Rate Build Template	Tool for building up first principles rate

Vol 3 117	S1525	Client's Indirect Works Price Build Template	Tool for building up indirect works price
Vol 3 118	S1525	Client's Interim forecasting tool	Tool for forecasting during a scheme
Vol 3 119	S1525	Client's Programme Matrix	Tool for defining the programme schedule
Vol 3 120	S1525	Client's Subcontract Comparison Sheet	Tool for comparing subcontractors
Vol 3 121	S1525	Client's Supply Chain Enquiry Tracker	Tool for tracking supply chain enquiries

Vol 3 122	S1525	Client's Total of the Prices Template	Tool for building up a total of the prices
Vol 3 123	S1700	Client's Information Management and Technology Strategy	Outlines the key principles that will underpin the operation, maintenance and modernisation of Highways England's information and technology assets
Vol 3 124	S1705	BS1192	Sets out a method for managing the production, distribution and quality of construction information.
Vol 3 125	S1705	ISO 19650	Organisation and digitisation of information about buildings and civil engineering works, including building information modelling (BIM) management using building information modelling -- Part 1: Concepts and principles
Vol 3 126	S1705	ISO 27001	Provides requirements for an information security management system (ISMS)

Vol 3 127	S1705	ISO 55001	Specifies requirements for an asset management system within the context of the organisation
Vol 3 128	S1705	ISO 7000	Graphical symbols from ISO 7000 that can be placed on equipment to give information on how to use it
Vol 3 129	S1705	ISO 8000	Provides requirements for data quality
Vol 3 130	Annex F	BS EN Geotechnical Design	Details the geotechnical aspects of the design of buildings and civil engineering works
Vol 3 131	Annex F	Interim Advice Note 126/2	Provides guidance for environmental assessment , screening and determination as supplement to DMRB Volume 11 (HD/47/08)

Vol 3 132	S405, Annex F	Interim Advice Note 161	Sets out the design parameters and the associated infrastructure for smart motorways
Vol 3 133	Annex F	Interim Advice Note 182/14A	Provides advice on the process, requirements, and maintenance associated with delivery of Major Schemes
Vol 3 134	Annex F	Interim Advice Note 91	Identification of 'particularly at risk' bridge supports
Vol 3 135	Annex F	Interim Advice Note 97	Assessment and upgrading of existing vehicle parapets
Vol 3 136	Annex F	Client's SMP Schemes MPI-33-082014	Provides guidance on how to treat ramp metering sites within schemes

Vol 3 137	Annex G	Client's Collaborative Planning	Outlines Highways England's approach to the Collaborative Planning System; a technique based on lean methodologies
Vol 3 138	Annex G	Client's Highways England Lean Maturity Assessment	Provides guidance for Highways England supply chain to determine the extent to which your organisation has adopted Lean principles
Vol 3 139	Annex G	Client's Collaborative Planning Assessment	Tool for assessing collaborative planning on a scheme
Vol 3 140	Annex G	Client's Simplified Lean Maturity and Capability Assessment	Tool for assessment lean maturity