

# **Area 9 Asset Support Contract**

## **Service Information Annex 16**

### **Procedural Forms**

**SERVICE INFORMATION FOR ASC**  
**ANNEX 16**  
**CONTENTS AMENDMENT SHEET**

<b>Amend. No.</b>	<b>Issue Date</b>	<b>Amendments</b>	<b>Initials</b>	<b>Date</b>
0	March 2013	First Issue	SOS	22/3/13

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**16 PROCEDURAL FORMS**

16.1.1 The *Provider* uses the procedural forms defined in Table 16.1 which are available from the *Employer*.

16.1.2 The column of Table 16.1 marked Source/ Usage identifies where applicable the source document within which the relevant form is referenced. Where a source is not identified or when the source does not define the circumstances under which the *Provider* uses the appropriate form, this column defines the frequency at which or circumstances under which the *Provider* completes and submits the relevant form to the *Employer*.

**Table 16.1**

Ref No.	Form Name	Purpose/Description of Form	Source / Usage
1.	Contract Document Certificate (Compliance with the Model Contract Document)	Certification of contract documents	Whenever tender documents are not submitted to the <i>Service Manager</i> for examination
2.	Contract Document Certificate (Professional skill and care)	Certification of tender documents	Whenever tender documents are prepared
3.	Certificate of Procurement Compliance (Compliance with Category Purchase Agreement)	Certification of compliance	Whenever a Category Purchase Agreement is used.
4.	IR Incident Data Capture	To collect data required by the Asset Maintenance and Operational Requirements Manual	Whenever an IR attends an incident. AMOR Part 3
5.	Investment Control Framework	Financial Control for schemes over £250,000	Whenever a scheme costs more than £250,000. (To be updated shortly)
6.	AIRSWeb	To record accident, incident and near misses to provide data to improve safety on the network.	Whenever an accident, incident or near miss occurs on the Area Network - AMOR Part 3

Ref No.	Form Name	Purpose/Description of Form	Source / Usage
7.	Winter reporting - WRF1	To report information to the HA's winter team to manage the network.	Required during the winter season – AMOR Part 4
8.	Fatal collision report - Area 8 Form	To record fatal collision information to provide data to improve safety on the network.	Whenever there is a fatal collision
9.	Compensation Event Form	To give consistent details of Compensation Events (To be arranged by Commercial Team)	Whenever a Compensation Event is notified to the <i>Employer</i> .
10.	Early Warning Form	To give consistent details of Early Warnings (To be arranged by Commercial Team)	Whenever an Early Warning is notified to the <i>Employer</i> .
11.	Project Appraisal Report Forms (PAR version 6)	Project Appraisal Reports	Service Information Annex 19
12.	PTRO 04/07	Permanent Traffic Regulation Order	Whenever an Order is required
13.	PTRO (Speed) 04/07	Permanent Traffic Regulation Order (Speed)	When an Order is required
14.	Emergency Notice	For emergency closure of the carriageway	When required
15.	TTRO 03/07	Temporary Traffic Regulation Order	When an Order is required
16.	Schemes hold point form HPF1	Approval to commence a study	Whenever a Scheme study is required
17.	Schemes hold point form HPF2	Approval to commence detailed design	Whenever Scheme detailed design is required
18.	Schemes hold point form HPF3	Approval to commence construction	Whenever Scheme construction is required
19.	Schemes hold point form HPF4	Construction completion certificate	Whenever a Scheme is completed
20.	Schemes hold point form HPF5	Scheme completion certificate (defects liability)	Whenever a Scheme defects liability period has passed
21.	TR137/HA2	Third party claim for damages	Service Information - Annex 23
22.	TR430	Trunk Road and Motorways – Damage to Crown Property	Service Information - Annex 23

Ref No.	Form Name	Purpose/Description of Form	Source / Usage
23.	Evidence Checklist	Checklist to be completed and submitted with each TR430.	Service Information - Annex 23
24.	TRF9	Application form for a licence to erect scaffolding on a public highway – (Highway Act 1980 – Section 169)	Whenever the appropriate Order is required
25.	TRF10	Application form for a licence to place a builders skip on a public highway – (Highway Act 1980 – Section 139)	Whenever the appropriate Order is required
26.	Works Estimate Form	Works Estimate Form to record/monitor works estimates	HAMIS Pack and Project Appraisal Report
27.	Project Approval Form	Whole life costing and value management of road renewal projects.	Maintenance and Making Better Use Guides, Continuous Value Management of the Regional Structures Programme.
28.	Project Development Form	Whole life costing and value management of structures renewal maintenance projects.	
29.	Task Order Forms	To be used for the ordering of work under Framework Contracts	
30.	CON (H) Forms for other types of contracts.  Various	Site Supervision Forms (progress, payment and financial monitoring)	Complete monthly during works construction and/or at other times as required by the relevant Contract.
31.	Approval In Principle (AIP)	To seek approval for structural proposals.	Structural approvals including all temporary structural works.

Ref No.	Form Name	Purpose/Description of Form	Source / Usage
32.	Departure from standards (WebDAS)	A review time of 6 weeks to be allowed for processing an application for a Departure from Standards. Should a Departure be returned within that period requesting further information the review period of 6 weeks recommences. The time commences when the <i>Employer</i> receives the completed application.	All highway and structural approvals not to standard. AMOR Part 0
33.	Report form for accidents and incidents where Technology Systems are a contributory factor	To record and advise the <i>Employer</i> of accidents and incidents where Technology Systems are a contributory factor	Whenever an accident or incident occurs where Technology Systems are a contributory factor
34.	Project Cost Control Forms	Project control for schemes over £250 000.	Highways Agency Project Cost Control Guidance Note
35.	Annual Commercial Plan and Guidance Note for completion	Plan to be prepared during mobilisation in the first year and prior to the commencement of each subsequent financial year.	Service Information Chapter 2.2. Plan to be prepared on an Annual basis.
36.	Theft Reporting Proforma	To provide intelligence on the location/nature of thefts and allow provision for accounting and budgeting purposes.	To be used on each occasion a theft from the <i>Employer</i> or <i>Provider</i> occurs.
<b>Key</b>			
16.1.2 Timescales for processes that include the <i>Employer's</i> processes (eg Approval in Principle and Departure from Standards) will be notified from time to time by CHE or IAN)			