ASC Invoice Backing Data Standard

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Department for
Transport

Document Control

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An executive agency of the
Department for
Transport

Table of Contents

1. Introduction

1.1 Project Outline

ASC Provider invoices relating to the six payment mechanisms are to be sent to the Highways Agency every month. With each invoice, backing information is required demonstrating that the individual transactions that make up the invoice total are in accordance with the contract.

The Agency requires a consistent approach to checking invoices and their backing information, and the first step to achieve this aim is to gather consistent data from the ASC Providers.

1.2 Project Objectives

(i)   Being able to demonstrate that all invoiced costs requested by the ASC Provider for payment have been properly incurred in accordance with the terms of the contract.

(ii)   Being able to process the invoice in a timely and efficient manner providing Highways Agency management (and the accounting officer) with assurance of the validity of the payment before authorising release of the monies.

1.3 Document Purpose

The purpose of this document is to tightly define a consistent, repeatable format for the backing data the ASC Provider submits to the Agency.

The data provided will be fed into an automated checking process so it is important to provide it in exactly the correct format.

We welcome feedback on the clarity of these instructions.

1.4 Data Requirements

Staff time costs and subcontractor payments are required for all work undertaken under the contract, and allocated against the six payment mechanisms, regardless of whether the costs are reimbursable by the Employer on a defined cost basis. The principal reasons for these requirements are:

(i)   To be able to check that defined costs payable by the Employer have been properly incurred in accordance with the terms of the contract

(ii)   To maintain an overview of the number of hours worked each month by individual staff across all payment mechanisms to ensure that any defined cost payments can be reconciled with the actual costs to the Provider

(iii)   To establish the amounts due to the Provider in the event of a scheme being cancelled and the Design Services / Management Services Fee being replaced by defined costs

(iv)   To be able to check the amounts payable to subcontractors from the Project Bank Account.

2. Data File Format

The invoice backing data supplied by the ASC Service Provider shall be produced as a number of rows (one row per transaction) within an Excel® worksheet 2003.

The worksheet tab shall be named: Sheet1

Sheet1 must conform to this data standard. If supplementary information is added that does not conform, it may be added in supplementary sheets with a different name.

The first column heading shall be entered in cell A1, and each subsequent column heading entered in adjacent columns. The data shall be entered from the second row onwards.

There shall be no blank rows or columns, or extra rows or columns containing totals or anything other than the headings or transactions described in this data standard.

The file must be saved in Microsoft® Excel® 2003 format until the Highways Agency upgrades the version.

The naming convention for the Excel® file should be as follows:

    Invoice_AA_CCn_YYYYMM.xls

where AA is the Provider's area including a leading zero to make 2 digits,
CC is the 2 letter payment mechanism code defined in the Data Dictionary,
n is a sequence number for files that would otherwise have the same name,
YYYY is the year and MM is the month in which the file is being submitted.

For example:

    Invoice_02_TC1_201207.xls

would be the file name for area 2, Target Cost, sheet 1 for 2012, July.

If another file is needed for area 2, Target Cost for 2012, July then it will be named:

    Invoice_02_TC2_201207.xls

All amounts quoted in the invoice backing information will exclude VAT.

3. Data Dictionary Overview

In the following Data Dictionary section, each column of data to be supplied by the ASC Service Provider is described with the following information:

Information	Description
Field name	This is the column name required in the first row of the Excel® data file
Data type	This is the format for the column
Constraints	Further information about the format and permitted values
Mandatory field?	States whether or not the field must be populated
Notes	Gives further information about what data is required

4. Data Dictionary

Field name	Data type	Constraints	Mandatory field?	Notes
Payment Mechanism	Text	2 letters	Mandatory	2 Letter Code Payment Mechanism CR Cost Reimbursable LS Lump Sum TC Target Cost DS Design Services MS Management Services TM Traffic Management Services CE Compensation Event JT Journal Transfer Compensation Events and Journal Transfers will appear where appropriate within the six invoice backing information sheets rather than have an invoice of their own.
PIN Number	Text	6 or 7 characters	Mandatory	HA PIN Number as it appears in SfM. New PINs will contain 6 figures but where appropriate old PINs containing a letter may still be used in certain circumstances.
PIN Name	Text	Maximum 30 characters	Mandatory	HA PIN Name as it appears in SfM. Colloquially known as the Short Name this will have nothing added or omitted (including spaces).
Works Order Number	Text	Maximum 20 characters	Mandatory	Works Order Number and Name columns will contain the ASC Provider's information identifying a scheme or Green Claim. The information needs to be detailed enough to indentify individual schemes / claims where multiple small schemes /claims are payable from one or more PIN(s).
Works Order Name	Text	Maximum 50 characters	Mandatory	Works Order Number and Name columns will contain the ASC Provider's information identifying a scheme or Green Claim. The information needs to be detailed enough to indentify individual schemes / claims where multiple small schemes / claims are payable from one or more PIN(s).

Field name	Data type	Constraints	Mandatory field?	Notes
SfM Activity Code	Text	Between 2 and 4 characters inclusive	Mandatory	From the Oracle Work Breakdown Structure Codes List
E Bid Number	Text	Between 8 and 11 characters inclusive	Mandatory	E-Bid Number from the new Cost Capture Annex 5 list of codes. All three sets of numbers are required separated by full stops and with all spaces removed
Date Work Carried Out	Date	DD/MM/YYYY format	Mandatory	The date entered in this field will be the date the costs were incurred or work carried out rather than any date administration was carried out, i.e. not invoice date. In the case of a subcontractor application or invoice for more than one day's work the last date on which work was carried out will be entered.
Invoice Month Identifier	Text	2 digits: e.g. 01 or 60. Containing leading zero to make 2 digits	Mandatory	First month would be 01, the second month would be 02, etc. up to 60 for a 5 year contract. Use 00 for mobilisation and demobilisation.
Staff Member or Company Name or ASC Provider Plant or Vehicle Type	Text	Maximum 50 characters	Mandatory	There should be no apostrophes, commas, full stops or any other punctuation in this field. All such characters must be removed. The only acceptable characters are letters of the alphabet and numbers with a single space between words. Staff member names should have surnames first and always in the same format. Numbers may be appended to names to distinguish different staff members with the same name.
Staff Number, Subcontractor Reference Number, Plant or Vehicle Registration Number	Text	Maximum 20 characters	Mandatory for staff time entries. Otherwise empty (no spaces or other characters)	A number (which may contain letters) unique to that Member of Staff, Subcontractor or ASC Provider Plant or Vehicle.
ASC Provider Employee	Text	1 letter: capital Y or N only	Mandatory for staff time entries. Otherwise empty (no spaces or other characters)	If the staff member is an ASC Provider employee use Y for yes. Otherwise N for no.
Hours Worked	Number	Decimal number to a maximum 2 decimal places: 0.00 to 24.00	Mandatory for staff time entries. Otherwise empty (no spaces or other characters)	Hours actually worked in a day.
Staff Rate Per Hour	£ Currency	Pounds to a maximum 2 decimal places	Mandatory for staff time entries. Otherwise empty (no spaces or other characters)	Member of staff rate per hour (standard).

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Department for
Transport

Field name	Data type	Constraints	Mandatory field?	Notes
Staff Rate Per Hour Amendment	£ Currency	Pounds to a maximum 2 decimal places	Optional. If no amendments then leave empty (no spaces or other characters)	Member of staff rate per hour (amended or adjusted) which has been agreed with the Service Manager e.g. agreed overtime.
Amount	£ Currency	Pounds to a maximum 2 decimal places	Mandatory	The Amount is the amount payable by HA or the amount charged to the Provider. This is either a time charge total (= hours x relevant rate) or a subcontractors application or invoice total. General Note: Where the Amount is not required to calculate the invoice (Lump Sum, Design Services, Management Services, Traffic Management) the Amount quoted should be the cost to the Provider of an application or an invoice and in the case of time charge, the hours worked multiplied by the staff member's normal rate per hour.
Direct Fee or Subcontractor Fee	Percentage	Percentage format to a maximum 4 decimal places	Where applicable. Otherwise empty (no spaces or other characters)	The percentage established in Contract Data Part 1 re Direct Fee or Subcontractor Fee.
Transaction Line Total	£ Currency	Pounds to a maximum 2 decimal places	Mandatory	Amount plus the appropriate Fee.
Sum of Transaction Line Totals	£ Currency	Pounds to a maximum 2 decimal places	Mandatory	This is the sum of all the Transaction Line Totals. It is to be included on every line of data and will be the same on each line. This amount is the amount quoted on the Cost Reimbursable and Target Cost invoices. The invoice backing information for Lump Sum, Design Services, Management Services and Traffic Management invoices which do not require this Total to calculate the invoice amount should have no fee added unless it relates to a Compensation Event where defined cost plus fee is payable.

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