

Area 9 Asset Support Contract

Service Information

Annex 17

Records

SERVICE INFORMATION FOR ASC
ANNEX 17
CONTENTS AMENDMENT SHEET

Amend. No.	Issue Date	Amendments	Initials	Date
0	March 2013	First Issue	SOS	22/3/13
1	May 2013	Table 17.1 – new item 25 added in relation to correspondence. Paragraph 17.2.2 deleted and subsequent paragraphs renumbered.	SOS	28/05/13

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17 RECORDS**17.1 General**

- 17.1.1 For the purpose of this annex, records shall include inventories.
- 17.1.2 The *Provider* creates and maintains the records in the format and for the duration set out in this annex.
- 17.1.3 The Source/Usage column of Table 17.1 identifies, where applicable, the source document that defines the inventory/record type and the frequency at which or the circumstances under which the *Provider* updates and amends the relevant records.
- 17.1.4 Within two months of receiving or creating a relevant inventory/record the *Provider* converts the inventory/record into the required electronic format. This requirement excludes any paper records created before the *starting date*.
- 17.1.5 The *Provider* ensures that records are maintained in an acceptable format such as:
- Scanned electronic image (Acrobat .pdf or equivalent),
 - Editable electronic document (MSWord),
 - Editable electronic spreadsheet (MSExcel),
 - Electronic editable vectorised drawing format (.dwg AutoCAD format or equivalent),
 - Graphic electronic image in compressed (.jpg) format, or
 - Other formats compatible with the *Employer's* Information Systems, reference documents or guidance manuals as agreed with the *Service Manager*.
- 17.1.6 The *Provider* may from time to time agree with the *Service Manager* alternative acceptable formats in which the *Provider* maintains records, taking into account advances and other developments in information systems. The *Provider* implements any changes as agreed with the *Service Manager*.
- 17.1.7 The *Provider* creates and maintains (and ensures that any Subcontractors create and maintain) such records that are necessary to efficiently manage the provision of the Services.
- 17.1.8 The *Provider* provides information to the *Service Manager* in the format required to enable the *Service Manager* to prepare documentation for the invitation of tenders for maintenance services, renewal and improvement Schemes.
- 17.1.9 The *Provider* splits records for routes to be de-trunked or transferred to other Area Networks.
- 17.1.10 Where applicable, all records created or maintained electronically shall have the metadata (document properties) completed to the satisfaction of the *Service Manager*.

17.2 Retention of Records

17.2.1 The *Provider* retains all electronic, paper 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 *Provider* makes the records available for inspection by the *Service Manager* at all reasonable times and provides copies of any records as requested by the *Service Manager*.

17.2.2 The *Provider* retains all electronic records:

- (1) in the Electronic Document and Records Management System, or such other electronic system (including those listed in Table 6.3 of [Annex 6](#)), as agreed by the *Service Manager* so as to enable the *Employer* to achieve its statutory record keeping responsibilities, and
- (2) until expiry of the Contract 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.

17.2.3 The *Provider* :

- (1) preserves during the Contract Period (in a manner which is compatible with Information Systems used by the *Employer*) documents, data, material and other records provided to it,
- (2) securely disposes of obsolete paper records with the prior approval of the *Service Manager* and
- (3) prepares all records that it is obliged to produce using Information Systems agreed with the *Service Manager*, and regularly backs-up such records to avoid any damage to them (including loss of data or data corruption).

Ref No.	Record Type	Source/Usage
1.	Accident data (Road Traffic Incidents resulting in personal injury)	STATS 19 database
2.	Details of critical incidents	Those incidents that lead to closure or partial close of the network. See copy of critical incidents Log under 17.2.5
3.	Agreements between the <i>Employer</i> and Others	
4.	All Certificates issued by the <i>Provider</i>	Wherever the <i>Provider</i> is required to issue a certificate under the contract

Table 17.1: Record Types		
Ref No.	Record Type	Source/Usage
5.	All calculations in relation to Schemes	
6.	All contract documents produced by the <i>Provider</i> and any amendments thereto	
7.	All health and safety files for Routine Maintenance Works and Schemes	CDM Regulations
8.	All Drawings/ plans/ maps	Whenever the <i>Provider</i> is required to produce, update, amend or receive from others drawings, plans or maps in accordance with the contract
9.	All maintenance and other manuals to be produced by the <i>Provider</i>	As required by the Reference Documents in Annex 18
10.	All data required for the Information Systems referred to in Annex 6	Whenever the <i>Provider</i> is required to populate the Information Systems referred to in Annex 6
10b.	<p><i>Additional Notes on Storing data in Specific Systems in Annex 6:</i></p> <p>Abnormal Load Notifications and indemnities</p>	<p><i>Abnormal Load Notifications and indemnities:</i></p> <p>All notices received pursuant to Schedule 9 [Service] of the Road Vehicles (Authorisation of Special Types) General Order 2003 and documentary evidence of advice given to operators.</p> <p>All annual indemnities received from operators pursuant to Schedule 9 [Service] of the Road Vehicles (Authorisation of Special Types) General Order 2003.</p>
11.	All records/data required to populate reports to be issued by the <i>Provider</i> in accordance with Annex 19	Annex 19

Table 17.1: Record Types		
Ref No.	Record Type	Source/Usage
12.	All records/data required by AMOR	Asset Maintenance & Operational Requirements (AMOR)
13.	Area Network boundary details	
14.	Lighting and Electrical Installations/Electrical inspections (all records)	In accordance with TD 23, TD 24, ADMM and AMOR Part 8
15.	Energy Procurement Strategy (EPS) – [Lighting and Electrical Signs Inventory]	EPS National Unmetered Energy Contract Notes to <i>Providers</i>
16.	Financial Records and Cost Capture Information	All financial records required to be captured, recorded or updated by the <i>Provider</i> including those referred to in Annex 5 Cost Capture Data Requirements and Annex 21 System for Managing (SfM)
17.	Land Ownership & Land Management	
18.	Licences/ Easements/ Wayleaves	
19.	New Roads & Street Works Act (NRSWA) Notices	NRSWA
20.	Details of Orders	
21.	Photographic Images (High Resolution: 300DPI, Large file format)	Wherever the <i>Provider</i> is required to obtain photographs including progress photographs
22.	Traffic Signals	In accordance with TD 24
23.	Tunnels	In accordance with BD 53 and BD 78 and AMOR Part 16
24.	Asbestos	All technology assets on the network shall be assessed inline with the requirements of TMMM and AMOR requirements
25.	All correspondence with Suppliers, Subcontractors and Others.	

17.2.5 Critical Incidents:

The following table identifies incidents that are critical.

Table 17.2: 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 HA 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 utilized within any area.