

Scope

Annex 3

Reference Documents

CONTENTS AMENDMENT SHEET

Amend. No.	Revision No.	Amendments	Initials	Date
0	0	Tender Issue	SOS	Sept 19

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1. REFERENCE DOCUMENTS

1.0.1. The Reference Documents are those documents identified in the following Tables 1.1, 1.2 and 1.3, together with any amendments or additions thereto published by the *Client* from time to time.

1.1. Current Documents

1.1.1. Table 1.1 presents a list of current Department for Transport (DfT) and Highways England documents which may be relevant to the work undertaken by the Contractor in the performance of its duties. The list identifies both mandatory and advisory requirements, with which the Contractor complies, together with the sources from which the documents can be obtained.

1.1.2. For ease of reference, the documents have been grouped into the following categories:

- (1) Mandatory
 - (a) Corporate Strategy,
 - (b) Performance Measurements,
 - (c) Technical Requirements,
- (2) Advisory
 - (a) General.

Table 1.1

A. Mandatory - Corporate Strategy		
Ref.	Publication	Published by / Available from
1	Highways England: Strategic Business Plan 2015-2020	<i>Client's Website</i> https://www.gov.uk/government/publications/highways-england-strategic-business-plan-2015-to-2020
2	Highways England: Delivery Plan 2015-2020	<i>Client's Website</i> https://www.gov.uk/government/publications/highways-england-delivery-plan-2015-2020

3	Road investment strategy: 2015 to 2020	<p><i>Client's Website</i></p> <p>https://www.gov.uk/government/collections/road-investment-strategy</p>
4	Highways England – Changing the customer experience through the Highways Agency Traffic Information Strategy	<p><i>Client's Website</i></p> <p>https://www.gov.uk/government/publications/highways-agency-information-strategy</p>
5	Highways England Sustainable Development Strategy	<p><i>Client</i></p> <p>Annex 03 Sustainable Development Strategy 6.pdf</p>
6	Highways England Environment Strategy	<p><i>Client</i></p> <p>Annex 03 Environment Strategy 21 .pdf</p>
7	Highways England – Procurement Strategy	<p><i>Client</i></p> <p>https://www.gov.uk/government/organisations/highways-england/about/procurement</p>
8	National and Local Environmental Strategies and Policies (including: Environment Strategy, Managing our Approach to Environmental Performance and Environment Action Plan.	<p><i>Client's Website</i></p> <p>https://www.gov.uk/government/publications/highways-agency-environment-strategy</p>
9	Roads Reform – A Fresh Start for the Strategic Road Network: The Government Response and Feasibility Study Terms of Reference	<p>DfT website</p> <p>https://www.gov.uk/government/publications/roads-reform-a-fresh-start-for-the-strategic-road-network-government-response-and-feasibility-study-terms-of-reference</p>
10	Highways England Company Records Policy	<p><i>Client</i></p> <p>Annex 03 Company Records Policy.pdf</p>

11	Highways England Information Assurance Policy	<i>Client</i> Annex 03 Information Assurance Policy.pdf
12	Highways England – Visual identity – Requirements for our suppliers	<i>Client</i> Annex 03 HE Visual Identity Guidelines.pdf
13	National Planning Policy Framework	Planning Portal Website http://www.planningportal.gov.uk/planning/planningpolicyandlegislation/about/ppsppg
14	Highways England Licence	<i>Client</i>
15	Highways England Biodiversity Plan	<i>Client</i> https://www.gov.uk/government/publications/biodiversity-plan
16	Data Handling Policy for Supply Chains	<i>Client</i> Annex 03 Data Handling Policy - Supply Chain Version.pdf
17	HMG Security Policy Framework (Current Version May 2018) with particular reference to Security Policy No.3: Personnel Security	Cabinet Office Website https://www.gov.uk/government/publications/security-policy-framework
18	HMG IA Standard No. 1 - Technical Risk Assessment	https://www.ncsc.gov.uk/content/files/guidance_files/IS1%20%26%20%20Supplement%20-%20Technical%20Risk%20Assessment%20and%20Risk%20Treatment%20-%20issue%201.0%20April%202012%20-%20NCSC%20Web.pdf
19	ICT Offshoring (International Sourcing) Guidance	https://www.gov.uk/government/collections/ict-strategy-resources

20	HMG Baseline Personnel Security Standard (Version 3.1 – April 2012)	Cabinet Office Website https://www.gov.uk/government/publications/security-policy-framework
21	Lean Benefits Realisation Guide	<i>Client</i> Annex 03 Lean Benefits Realisation Guide.pdf
22	Aiming for Zero	<i>Client's Website</i> https://www.gov.uk/government/collections/roadworker-safety-highways-agencys-aiming-for-zero-programme
23	Strategic Framework for Road Safety	DfT website https://www.gov.uk/government/publications/strategic-framework-for-road-safety
24	Managing Health and Safety in Construction	Health and Safety Executive http://www.hse.gov.uk/pubns/books/l153.htm
25a	Guidance for Principal Designers	https://www.citb.co.uk/health-safety-and-other-topics/health-safety/construction-design-and-management-regulations/cdm-guidance-documents/
25b	Guidance for Principal Contractors	https://www.citb.co.uk/health-safety-and-other-topics/health-safety/construction-design-and-management-regulations/cdm-guidance-documents/
26	Highways England Litter Strategy	<i>Client's Website</i> https://www.gov.uk/government/publications/highways-agency-litter-strategy
27	National energy strategy for roadside equipment	<i>Client's Website</i> https://www.gov.uk/government/publications/national-energy-strategy-for-roadside-equipment

28	Highways England Health and Safety 5 Year Plan	<i>Client</i> Annex 03 Health and Safety five year plan May 17.pdf
39	Supply Chain Maturity Matrix	<i>Client</i> Annex 03 Supply Chain Maturity Matrix. Version for use. April 2017 .xlsx
30	Highways England Complaints Procedure	<i>Client's Website</i> https://www.gov.uk/government/organisations/highways-england/about/complaints-procedure
31	Highways England Customer Service Strategy	<i>Client</i> Annex 03 S150470 Customer Service Strategy.pdf
B. Mandatory - Performance Measurements		
Ref.	Publication	Published by / Available from
32	Monthly Review Progress Report Framework	<i>Client</i> Annex 03 SIC MRPR - Monthly Reporting Performance Requirements V1.docx
33	Live Carriageway Crossing and Live Lane Working Guidance	<i>Client</i> Annex 03 Live Carriageway Crossing and Live Lane Working.pdf Annex 03 Live Carriageway Crossing and Live Lane Working - Data Entry Sheet.xlsx
34	EDIT toolkit	<i>Client</i> Annex 03 EDIT Toolkit V.4.2.1.xlsm
35	Inclusion Action Plan template	<i>Client</i> Annex 03 Inclusion Action Plan Template.docx
C. Mandatory - Technical Requirements		
Ref.	Publication	Published by / Available from

36	Circular Roads	DfT Website (Current) https://www.gov.uk/government/publications/roads-circulars
37	Circular Planning	Communities and Local Government Website https://www.gov.uk/government/organisations/department-for-communities-and-local-government/series/planning-circulars
38	DfT Guidance on Transport Assessments	DfT Website https://www.gov.uk/guidance/transport-evidence-bases-in-plan-making-and-decision-taking
39	Design Manual for Roads and Bridges	DfT Standards for Highways Website http://www.dft.gov.uk/ha/standards/
40	Manual of Contract Documents for Highway Works	DfT Standards for Highways Website http://www.dft.gov.uk/ha/standards/
41	Network Delivery and Development Portfolio Control Framework (NDD PCF)	<i>Client</i> Annex 03 NDD PCF Handbook+Annexes.pdf
42	Technology Management and Maintenance Manual (TMMM)	<i>Client</i> Annex 03 TMMM.pdf
43	Routine Maintenance Management Systems Manual	The Stationery Office
44	Road Notes	The Stationery Office
45	Traffic Signs Manual and Notes for Guidance on Safety at Roadworks	DfT Website https://www.gov.uk/government/publications/traffic-signs-manual

46	PAS 43:2018 – Safe working of vehicle breakdown and recovery operators.	British Standards Institution http://shop.bsigroup.com/en/ProductDetail/?pid=00000000030314205 ISBN: 978 0 580 88265
47	PAS 55-2:2008 Asset management. Guidelines for the application of PAS 55-1	British Standards Institution http://shop.bsigroup.com/en/ProductDetail/?pid=00000000030187096 ISBN: 978 0 580 50976 6
48	CCTV Guidance	<i>Client</i>
49	HAPMS Visual Survey Manual	<i>Client</i> Contact details: HAPMS@highwaysengland.co.uk
50	SMIS User Guidance	<i>Client</i> Annex 03 SMIS User Guidance
51	Energy Savings Plan Guidance	<i>Client</i> Annex 03 Energy Savings Plans v2 Feb18.docx
52	Asset Data Management Manual (ADMM)	<i>Client</i> http://www.standardsforhighways.co.uk/ha/standards/admm/index.htm
53	Asset Management Policy	<i>Client</i> Annex 03 Asset Management Policy.pdf
55	Highways England Metal Theft Toolkit	<i>Client</i> Annex 03 metal theft risk assessment V3.0.doc Annex 03 metal theft risk assessment Annex A V3.0.pdf
D. Advisory – General		

Ref.	Publication	Published by / Available from
56	Disabled Driver Publications	DfT Website https://www.gov.uk/government/policies/making-transport-more-accessible-to-all
57	Highways England Environmental Reports	<i>Client</i>
58	Operational Guidance to Local Authorities: Parking Policy and Enforcement	DfT Website https://www.gov.uk/government/uploads/system/uploads/attachment_data/file/496987/operational-guidance.pdf
59	National, Regional & Local Biodiversity Action Plans	Natural England/ Local Authorities / Local Wildlife Trusts
60	Local Transport Notes	DfT Website https://www.gov.uk/government/publications/local-transport-notes
61	Planning Policy Guidance Notes	Communities and Local Government Website
62	Traffic Advisory Leaflets	DfT Website https://www.gov.uk/government/organisations/department-for-transport/series/traffic-advisory-leaflets
63	Traffic Topic Leaflets	DfT Website
64	Value for Money Guidance Manual	HM Treasury Website http://www.hm-treasury.gov.uk/ppp_vfm_index.htm
65	The Appearance of Bridges and Other Highway Structures	The Construction Information Service Website http://products.ihs.com/cis/Doc.aspx?AuthCode=&DocNum=201936

66	Procurement Policy Note 01/17 entitled update to Transparency Principles	https://www.gov.uk/government/publications/procurement-policy-note-0117-update-to-transparency-principles
67	Procurement Policy Note 07/14 entitled “Implementing Energy Efficiency Directive Article 6: further information”	https://www.gov.uk/government/publications/procurement-policy-note-0115-implementing-energy-efficiency-directive-article-6-further-information
68	Information Technology Infrastructure Library	https://www.gov.uk/government/publications/best-management-practice-portfolio/about-the-office-of-government-commerce
69	Not Used	
70	Procurement Policy Note 02/18 entitled “Changes to Data Protection Legislation & General Data Protection Regulation”	https://www.gov.uk/government/publications/procurement-policy-note-0218-changes-to-data-protection-legislation-general-data-protection-regulation
71	<i>Client’s</i> employment policies and codes of practice relating to discrimination and equal opportunities.	<i>Client</i> Annex 03 Equal Opportunities Policy.pdf Annex 03 Dignity at Work Guidance.pdf
72	Government Security Classifications May 2018	https://assets.publishing.service.gov.uk/government/uploads/system/uploads/attachment_data/file/715778/May-2018_Government-Security-Classifications-2.pdf

1.2. Area Specific Documents

- 1.2.1. Table 1.2 contains a list of area specific documentation which are relevant to the work undertaken by the *Consultant* in the performance of its duties together with information on the sources from which those documents can be obtained. Unless otherwise stated, these documents form Mandatory requirements, with which the Contractor complies
- 1.2.2. Any ambiguities or discrepancies discovered within the documents listed in this Table to those listed in Table 1.1 shall be explained and adjusted by the *Client* who shall thereupon issue to the *Consultant* appropriate instructions in writing.

Table 1.2

Ref.	Publication	Published by / Available from
1.	Highways England – Maintenance Community – Area Business Strategy Development Process Framework Document	<i>Client</i>
2.	Network Occupancy Plan	<i>Client</i> Annex 03 2018 02 28 Structures Inspection Contract Managing Network Occupancy Req.pdf
3.	Collaborative Performance Framework (SGS Categories only)	<i>Client</i> Annex 03 CPF
4.	Collaborative Performance Framework Guidance	<i>Client</i> Annex 03 FINAL CPF Scoring Guidance V201804 v5.pdf
5.	Affected Property	<i>Client</i> Annex 03 Area 7 Map Rev 0.pdf

Ref.	Publication	Published by / Available from
6.	List of Structures within Affected Property	<i>Client</i> Annex 03 Area 7 Structures Asset list Rev 0.xlsx
7.	Structures Inspection Programme	<i>Client</i>
8.	Forms of Task Order	<i>Client</i> Annex 03 SIC Task Brief Issue 3 Revision 0.docx Annex 03 SIC Task Quotation Issue 3 Revision 0.docx Annex 03 SIC Task Order Issue 3 Revision 0.docx

1.3. Amendments to Current and Area Specific Documents

1.3.1. Table 1.3 contains a list of additional requirements and/or amendments to the documents listed in Tables 1.1 and 1.2. Unless otherwise stated, these documents form Mandatory requirements, with which the Contractor complies. For ease of reference, the documents have been grouped into the following categories:

(1) Interim Advice Notes (IAN)

Note: The list of IAN in Table 1.3 reflect the latest governance surrounding issues which are not yet incorporated into other documents and are available from

<http://www.standardsforhighways.co.uk/ha/standards/ians/index.htm>. IAN contain advice and guidance, as well as mandatory requirements which must be complied with.

(2) Chief Highway Engineer Memorandums (CHE Memos)

Note: The list of CHE Memos in Table 1.3 identifies further requirements which are additional to the IAN listing and carry the same mandatory compliance status. The CHE Memos are contained in a file attachment as part of the Tender Documents. Refer to [Annex 03 CHE](#) for details of CHE Memos.

Table 1.3

A. Interim Advice Notes			
Ref	Document Title	Amendment Details	Comments / Remarks
1	Existing Dual Carriageway All-Purpose Trunk Road Network: Additional Requirements and Relaxations	198/17	Read in conjunction with IAN 149/17
2	Chamber Access Covers: Programme of Assessment/Upgrading Works for Accesses Located in a Running Lane	197/17	
3	Schemes in Design or Construction: Handling of chamber access covers that may be located in running lanes.	196/17	
4	Cycle traffic and the strategic road network	195/16 elearning	Elearning package to support IAN 195
5	Cycle traffic and the strategic road network	195/16	

6	Guidance on the management of risk when permitting traffic on planed asphalt surfaces	194/16	
7	Requirements for the provision of access arrangements on gantries	193/16	
8	Guidance on Omission of Warning Lights (Road Danger Lamps) for Relaxation Works on Dual Carriageways	188/16	
9	Use of a Convoy Control Vehicle for Controlling Traffic through Guide Islands at Relaxation Works on Dual Carriageways	187/15	
10	Updated traffic, air quality and noise advice on the assessment of link speeds and generation of traffic data into speed-bands for users of DMRB Volume 11, Section 3, Part 1 'Air Quality (HA207/07) and Volume 11, Section 3, Part 7 'Noise' (HD213/11)	185/15	
11	Highways Agency Data & CAD Standard	184/16	Supersedes IAN 184/14
12	Environmental Management Plans	183/14	
13	Major Schemes :Enabling Handover into Operation and Maintenance	182/14A	
14	Guidance on the Use of Impact Protection Vehicles for Temporary Traffic Management.	181/14	Read in conjunction with: HTMA Guidance on TTM Vehicle Selection and Operation, Revision 7
15	Guidance on the Use of Vehicle Mounted High Level Variable Message Signs to provide advance warning of lane closures for Relaxation Works on Dual Carriageways with a Hard Shoulder	179/14	
16	Guidance Note for the Production of an Appraisal Specification Report	176/13	
17	Updated advice on risk assessment related to compliance with the EU Directive on ambient air quality and on the production of Scheme Air Quality Action Plans for users of DMRB Volume 11, Section 3, Part 1 'Air Quality (HA207/07)	175/13	A new version of this IAN is pending.
18	Compliance Risk Analysis Tool Ver 1.0	175/13 CRA	Supports IAN 175/13

19	Updated advice for evaluating significant local air quality effects for users of DMRB Volume 11, Section 3, Part 1 'Air Quality (HA207/07)	174/13	
20	Implementation of BD 97/12 - The Assessment of Scour and Other Hydraulic Actions at Highway Structures	173/13	
21	Risk-based Inspection Intervals (Risk Assessment Questionnaire)	171/12 RAQ	Supports IAN 171/12
22	Updated air quality advice on the assessment of future NOx and NO2 projections for users of DMRB Volume 11, Section 3, Part 1 'Air Quality	170/12 v3	Supersedes IAN 170/12 r1
23	Highways Agency Long Term Gap Analysis Calculator	170/12 HA LTCalc	
24	Temporary Cover Plates over Bridge Expansion Joints	169/12 Rev 1	Supersedes IAN 169/12
25	Strategy for the repair/replacement of Bridge Expansion Joints	168/12	
26	Guidance for the removal of road lighting	167/12 Rev 1	Supersedes IAN 167/12
27	Highways Agency Road Death Investigation (RDI) Guidance (Revision 2)	166/14	Supersedes IAN 166/13
28	Managed Motorway - All Lane Running – Economic Assessment	164/12 Rev 1	Supersedes IAN 164
29	Alternative Entry Taper at relaxation scheme temporary traffic management on high speed roads	163/12	Supersedes AMM 125/10
30	Smart Motorways	161/15	Supersedes IAN 161/13
31	Appraisal of Technology Schemes	160/12 Rev 1	Supersedes IAN 160
32	Guidance Note for Traffic Consultants on the Economic Assessment of MM-HSR Schemes	159/12	
33	Maintenance Assessment Procedure	158/12	
34	Thin Surface Course Systems - Installation And Maintenance	157/11	Supersedes Chapter 6 of HD 37
35	The use of Ultra Thin Surfacing on the HA Network – Amendment to Appendix 7/1 requirements	155/12	
36	Revision of Clause 903, Clause 921 and Clause 942	154/12	
37	Guidance on the Environmental Impact Assessment of Materials	153/11	Supplements HA 200/08

38	Road Safety Audits – compliance with EC Directives	152/11	
39	Guidance on Alternative Temporary Traffic Management Techniques for Relaxation Works on Dual Carriageways	150/16	Supersedes IAN 150/15
40	Existing Motorways: Additional Requirements and Relaxations	149/17	Supersedes IAN 149/11
41	Drainage Surveys and Data	147/12	(SD 15 and HD 43)
42	Directional signs on Motorway and all-purpose Trunk roads At grade and compact Grade separated junctions	145/16	
43	Directional signs on Motorway and all-purpose Trunk roads Grade separated junctions	144/16	
44	Supplementary Advice and requirements for the Provision for Non-Motorised Users and Accessibility during planning, design, construction and handover of Improvement Schemes	143/11	
45	Temporary Barrier Decision Tool (TBDT)	142/11	
46	The use of stepped speed limits at roadworks	137/10	
47	Structural safety reporting	136/10	
48	Landscape and visual effects assessment	135/10	
49	Selection of the appropriate Electricity Supplier for new and upgraded electricity connections (Exit Points) for roadside equipment	132/11	
50	Deflection of Permanent Formwork	131/11	
51	Ecology and Nature Conservation: Criteria for Impact Assessment	130/10	
52	Travel Demand Management Guidance – High Occupancy Vehicle Gates	129/10	
53	Highways Agency Supply Chain Health and Safety Incident Reporting	128/15/C	Supersedes IAN 128/15B
54	The use of foamed concrete	127/10 Rev. 1	Supersedes IAN 127/10
55	Reporting of Determination and Publication of Notices	126/15	Supersedes IAN 126/09

56	Supplementary guidance for users of DMRB Volume 11 'Environmental Assessment'	125/15	Supersedes IAN 125/09
57	Eurocodes: Implementation of Eurocodes for the design of new and existing highway structures.	124/11	
58	Rapid Condition Assessment of Hard Shoulder Pavements. Interim guide to data and maintenance advice	122/09	
59	Advice regarding implementation of Integrated Traffic Management	121/09	
60	Nature conservation advice in relation to bats	116/08	
61	Requirements and Guidance for Works on the Hard Shoulder and Road Side Verges on High Speed Dual Carriageways	115/08 Rev 2	Supersedes IAN 115r1
62	Highways Agency Carbon Calculation and Reporting Requirements	114/08	
63	Temporary Automatic Speed Camera System for the Enforcement of Mandatory Speed Limits at Roadworks (TASCAR)	113/08	
64	Advice Regarding the Motorway Signal Mark 4 (MS4)	109/08	
65	Guidance Note for Traffic Consultants Employed on Highways Agency Schemes	106/08	
66	Implementation of Construction (Design and Management) 2007 and the withdrawal of SD 10 and SD 11	105/08	
67	The Anchorage of Reinforcement & Fixings in Hardened Concrete	104/15	Supersedes IAN 104/07
68	Ramp metering	103/08	Supersedes IAN 66/05
69	Cultural Heritage Asset Management Plans	100/07	Read in conjunction with IAN 84/07
70	Implementation of Local Grid Referencing System for England	099/07	Read in conjunction with SD 12/96
71	Assessment and upgrading of existing parapets	097/07	Supersedes TD 19/06 (In Part) BA 37/92 IAN 72/06
72	Guidance On Implementing Results Of Research On Bridge Deck Waterproofing	096/07r1	Read in conjunction with BD 47/99

73	Driver location signs – Interim Performance Specification	093/07 Rev.1	Supersedes IAN 93/07
74	Guidance For The Use Of Rapid Setting Emergency Repair Materials	090/07 Amnt 1	Replaces IAN 90/07
75	Environmental Information System (EnvIS). Part 1. Introduction	084/10 Part 1	Read in conjunction with Vol 10 DMRB
76	Environmental Information System (EnvIS). Part 2. Environmental Inventory	084/10 Part 2	Read in conjunction with Vol 10 DMRB
77	Environmental Information System (EnvIS). Part 3. Environmental Management Information	084/10 Part 3	Read in conjunction with Vol 10 DMRB
78	Environmental Information System (EnvIS). Part 4. Data Management. Amendment 2	084/10 Part 4 Amnt 2.	Read in conjunction with Vol 10 DMRB
79	Environmental Information System (EnvIS). Look up tables (Version 010313)	084/10 LUT 2013	Supporting IAN 84/10
80	Code of Practice for Emergency Access to and Egress from the Trunk Road Network in England	075/06	Read conjunction with IAN 68
81	Design of Pavement Foundations	073/09 Rev.1	Draft HD 25/xx
82	Designing for Maintenance	069/15	Supersedes IAN 69/14
83	Infrastructure changes to improve emergency access to and egress from the trunk road network in England	068/05	Read conjunction with IAN 75
84	Driver Information At Road Works	064/05	
85	Maintenance Of Traffic Signs With Dew Resistant Coatings	056/04	Read in conjunction with TD 25/01
86	Concrete Half-Joint Deck Structures	053/04	
87	The Use and Application of Micro-Simulation Traffic Models	036/01	

88	TD 37/93 Scheme Assessment Reporting	001/95	
B. Index Of Chief Highway Engineer's Memorandum (CHE Memos)			
Ref	Document Title	Amendment Details	Comments / Remarks
89	Severe Weather Plan Template 2019/2020	449/19	
90	Customer service standard for diversion routes for planned works and activities	448/19	
91	Acceptance of Castlegate 535 Ltd - Noise barriers and withdrawal of CHE Memo 437/19	447/19	
92	60mph speeds at/through road works	446/19	
93	The use of stepped speed limits at roadworks	444/19	
94	Driver Information At Road Works	443/19	
95	Intelligence Led Maintenance - Asset Delivery Asset Maintenance Requirements (ADAMr)	442/19	
96	Simplified Guidance to Designers for Installation of Surface Mounted N1/N2 Safety Barriers on Unreinforced Concrete Verges and Central Reserves over Bridges	441/19	
97	Customer Service Standard - Reducing litter on the Strategic Road Network	440/19	
98	Customer Service Standard - Accurate advance notification of planned closures	439/19	
99	Customer Service Standard -Scheme Billboards	438/19	
100	Wrong Way Driving: Mitigation Toolkit	436/19	
101	Review of permanent 'maximum speed advised' traffic signs	435/19	
102	Mandatory Actions for Installing Phillips Luma on the Highways England Network	431/18	
103	Monitoring and Maintenance of Impressed Current Cathodic Protection (ICCP) and Hybrid Anode Systems	429/18	

104	Delay in Implementation of Structures Inspector Competence Certification Requirements	427/18	
105	Diversion Routes for Unplanned Events	426/18	
106	Supporting Transparency around our Biodiversity Performance	422/18	
107	Mandatory Pre-requisite Actions for Installing Philips Luma Luminaires on Highways England Network	421/18	
108	Safeguarding fix for Philips Luma Luminaires on Highways England Network	420/18	
109	Inspection of Urbis-Schreder Ampere & Philips Luma Luminaires	419/18	Safety Alert
110	Urbis-Schreder Ampere & Philips Luma Luminaires.	418/18	Safety Alert
111	Bridge Headrooms	417/18	
112	National Quality of Construction Investigation for Structures	416/18	
113	Withdrawal of BD 58/94 and BA 58/94	414/17	
114	Revised Technology Management and Maintenance Manual (TMMM)	413/17	
115	Delay in Implementation of Structures Inspector Competence Certification Requirements	412/17	
116	Use of Speed Cameras on the Strategic Road Network	411/17	
117	Installation of electrocution warning signs	410/17	
118	Hidden Critical Structural Components	407/17	
119	Implementation of Structures Inspector Competence Certification Requirements	406/17	
120	Requirements for reporting breaches and potential breaches of the Environmental Protection Act (1990) and other environmental legislation	394/16	
121	Technical Approval Procedures	393/16	
122	The Design, Construction, Inspection and Maintenance of Traffic Signs	392/16	
123	To advise OD Delivery Teams and Service Providers of the Structures Inspections Review Project	391/16	

124	Safety Alert – Philips Luma 2 & 3 Luminaires	385/16	
125	Safety Alert - SAPA Passively safe lighting columns	379/16	
126	Smart Motorways All Lanes Highways England Digital Compliance System 3 (HADECS 3)	378/16	Supersedes CHE Memo 322
127	Secondary Restraints for All Version 2 AMIs	366/15	
128	AMOR Introducing mandatory requirements for the management of cat and dog fatalities.	365/15	
129	Structural inspection of gantries and masts	361/15	
130	Techspan Version 2 Advanced Motorway Indicator Bracket Replacement	359/15	Read in conjunction with CHE Memo 355/15
131	Product conformity certification requirements for ready mixed concrete	356/15	
132	Safety Alert – Techspan Version 2 Advanced Motorway Indicators (AMIs)	355/15	
133	Urgent Safety Alert - SAPA Passively safe lighting columns	353/15	Read in conjunction with CHE Memo 317/13
134	Reporting of Metal and Plant Theft	350/15	
135	Safety Alert - Members of the public entering culverts and large drains	328/14	
136	Safety Alert – SAPA Passively safe lighting columns	317/13	
137	Structure inspections – safety critical defects	306/13	
138	Risk-based Inspection Intervals	300/12	
139	Designation of assets for flood risk management purposes	299/12	
140	Traffic Signal Poles – ensuring appropriate design standards have been used	295/12	
141	MCH1514 Code of Connection	294/12	
142	Precast concrete copings on bridges	279/12	
143	Procedure for the Use of Variable Message Signs and MIDAS for Short Duration Static Roadworks	257/10	

144	Policy for issuing Penalty Points in current DBFO Contracts	251/10	
145	Matrix Signs on Gantries	228/08	
146	The Impregnation Of Reinforced And Prestressed Concrete Highway Structures Using Hydrophobic Pore-Lining Impregnants	227/08	
147	Environmental Noise Directive and Environmental Noise Regulations – Publication of Road Noise Maps	225/08	
148	National Highway Sector Scheme 18 – The Environment And Landscape Including Ecology	221/08	
149	SAFETY ALERT – Incorrectly Installed Component	218/08r1	Supersedes CHE 218/08
150	SAFETY ALERT – Safe Systems Of Work	217/08r1	Supersedes CHE 217/08
151	Advice In Relation To The Conservation (Natural Habitats, & C.) (Amendment) Regulations 2007 (SI 2007/1843)	216/08	
152	National Highway Sector Scheme 19A – Corrosion Protection of Ferrous Materials By Industrial Coatings	213/07	
153	Update to the Guide for Design Management and Delivery of Pilots and Trials	212/07	
154	Advice in Relation to Avian Flu	209/07	Supersedes CHE 168/06
155	Structure Health Check Reports	207/07	
156	Safety and Congestion at Road Works; applying the correct temporary speed limits and signing	203/07	
157	Road Markings – Water Regulations. Glass Beads with Arsenic and other Heavy Metal/Metalloid Content.	197/07	Read in conjunction with CHE 186/07
158	SMIS Resilience assessment	195/07	
159	Substandard Parapet Connections	193/07	
160	Advice In Relation To Compliance With The Disability Discrimination Acts 1995 And 2005	192/07	
161	Road Markings – Glass Beads With High Metal Content – Water Regulations	186/07	

162	Creation Of Database Of Manual Classified Count (MCC) Results	183/07	
163	Active Road Studs – SA 1/06 (MCHW Volume 0)	182/07	
164	Damage to suspension and cable stayed structures	181/07	
165	Dissemination Of The Area Safety Action Plan Framework Template	173/06	Read in conjunction with Area Safety Action Plan Template and Area 10 Pilot
166	Emergency Access to and Egress from the Trunk Road Network in England	170/06	
167	Key actions for the review of signing at safety camera sites	169/06	
168	Key Actions For Implementation Of Safety Cameras At Road Works	161/06 Rev 1	Read in conjunction with - Safety Camera Partnership Guidance
169	The Introduction Of The Institute Of Highway Incorporated Engineers (IHIE) - Guidelines for Motorcycling	159/05	Read in conjunction with IHIE Guidelines for motorcycling
170	Introducing: Guidelines for Designers – Departures from Road Geometry Standards (DMRB Volume 6)	157/05	Read in conjunction with: Departures from Road Geometry Standards (DMRB Volume 6) – Guidelines for Designers
171	SafeNET – Accident Prediction Software For Road Networks	154/05	
172	Inspection And Maintenance Of Gifford Truss Portal Gentries Mesh Tie Fixings	149/05	Read in conjunction with CHE 172/06 Related to BD 51 Clause 6.6 & 6.7

173	Compliance Of UK Traffic Signals Heads To European Standard BS EN 12368	129/03	
174	Second Stage Risk Ranking And The Risk Assessment Of Road Over Rail Bridges On Motorways And All-Purpose Trunk Roads	125/03	Supersedes CHE 114
175	Implementation of Construction (Design and Management) Regulations 1994	119/03	Supersedes CHE 14 (Revision 1)
176	Radio Linked Portable Traffic Signals	116/02	
177	DTLR Planning Policy Guidance Note 25: Development and Flood Risk	110/02	Office of Deputy Prime Minister
178	Inspection and Maintenance of Traffic Signs on Motorways and All-Purpose Roads	107/02	
179	Departures Approval System	106/01	
180	Management of Interim Advice Notes (IAN)	104/01	
181	Selby Rail Crash	099/01	
182	Introducing Interim Advice Note 36/01 Interim Guidance on the Use and Application of Micro-Simulation Traffic Models	098/01 Revision 1	
183	Introducing Interim Advice Note 36/01 Interim Guidance on the Use and Application of Micro-Simulation Traffic Models	098/01	
184	The Safe Operation of Permanent Moveable Under-deck Bridge Access Gantries.	090/00	
185	Cathodic Protection of Structures	086/00	
186	Health and Safety of Staff Working Away from the Office Stopping on Motorways and Other High-Speed Roads.	079/99	
187	Designated Lanes Development Advice – Internal Briefing Note	074/99	
188	Dealing with Noise Problems on Existing Roads	072/99	Amended by AMM 43/03
189	Environmental Impact Assessment Implementation of EC Directive 97/11: The New Process of Determination for Annex 2 Projects	071/99	Revision to CHE 71

190	Local Air Quality Management – Review and Assessment Process	070/99	
191	Thaumasite Sulphate Attack – Existing Structures	066/99	
192	Groundwater Regulations 1998- SI 1998 No. 2746	065/99	
193	Metric/Imperial Signing of Low Head Room Bridges	056/98	
194	Strengthening and Protection of Trunk Road Supports	055/98	
195	Acceptance of Philips SGS 305/306 Modified Luminaires	049/98	
196	Quality Control Reporting System	047/97	
197	Liaison with National River Authority C&S on Highway Construction and Maintenance schemes	036/96	
198	Delegation of Responsibility (+ Revision No. 2 (Amendment to Annex 1B))	035/96	
199	SHW Interim Amendment 5 - Temporary Speed Limits	034/96	Current if using the 7th Edition of SHW
200	SHW Interim Amendment 4 - Waterproof concrete	033/96	Current if using the 7th Edition of SHW
201	SHW Interim Amendment 3 Sampling for Testing	031/96	Current if using the 7th Edition of SHW
202	Provision, Retention, Storage and Disposal of Road Scheme Exhibition Models	019/95	
203	Provision, Retention, Storage and Disposal of Geotechnical Cores and Samples	017/95	
204	Outline Approval in Principle for Scaffold Guard Structures over Motorways and other Trunk Roads	015/94	
205	Trafficmaster Driver Information System - Installation and Maintenance (motorway gantries)	013/94	
206	Trafficmaster Driver Information System - Installation and Maintenance (overbridges) Amendment No. 1	012/93 Amend 1	

Area 7 Structural Inspections Contract (SIC)

Scope

Annex 4

Insurance Requirements

CONTENTS AMENDMENT SHEET

Amend. No.	Revision No.	Amendments	Initials	Date
0	0	Tender Issue	SOS	Sept 19

INSURANCE REQUIREMENTS

1.1 Insurance Requirements

- 1.1.1 The *Consultant*, without prejudice to any obligation to indemnify the *Client* or its liability to the *Client* under this Contract, from the date of the Contract takes out and maintains or procures the taking out and maintenance in full force and effect insurance in accordance with the requirements specified in the Insurance Table below, in addition to any other insurances as may be required by law (together the "Required Insurances") for the period of insurance stated in the Insurance Table.
- 1.1.2 The Required Insurances are taken out and maintained with insurers who (in the reasonable opinion of the *Client*) are of good financial standing, appropriately regulated, sound security, appropriately regulated and of good repute in the United Kingdom insurance market.
- 1.1.3 The *Consultant* does not (and the *Consultant* procures that any subcontractor of the *Consultant* does not) take any action, or permit anything to occur in relation to it, which would entitle any insurer to refuse to pay any claim under any insurance policy in which the *Consultant* or subcontractor is an insured, a co-insured or additional insured person
- 1.1.4 The Required Insurances:
- (1) where specified in the Insurance Table, include an undertaking from the relevant insurer to waive all rights of subrogation howsoever arising and/or claims against the *Client*, its employees, servants or agents which they may have or acquire, arising out of any occurrence in respect of which any claim is admitted and is insured under the Required Insurances. The provisions of this requirement do not apply against any *Client* officer, director, employee, agent and assign who has caused or contributed to such an occurrence or claim by fraud, deliberate misrepresentation, deliberate nondisclosure or deliberate breach of policy condition;
 - (2) where specified in the Insurance Table, contain an indemnity to principals clause under which the *Client* is indemnified in respect of claims made against the *Client* arising from death or bodily injury or third party property damage for which the *Consultant* is legally liable in respect of the acts or omissions of, or performance of the *Consultant* under this Contract;
- 1.1.1 The *Consultant* discharges all its obligations under the Insurance Act 2015 when placing, renewing, amending or maintaining any Required Insurances, including complying with the duty of fair presentation to insurers and taking the actions needed to protect the *Client*'s separate interests where the *Client* is required to be named as an insured party.
- 1.1.2 Where the insurers purport to cancel, suspend, terminate or decline to renew any of the Required Insurances;

- (1) the *Consultant* procures that the insurers, as soon as is reasonably practicable, notify the *Consultant* in writing in the event of any such proposed suspension, cancellation or termination; and
 - (2) where the *Consultant* receives notification from insurers the *Consultant* promptly notifies the *Client* in writing of receipt of such proposed suspension, cancellation or termination.
- 1.1.3 Where the *Consultant* has failed to purchase any of the Required Insurances or maintain any of the Required Insurances in full force and effect, the *Client* may elect (but is not obliged) following written notice to the *Consultant* to purchase the relevant Required Insurances, and the *Client* is entitled to recover the reasonable premium and other reasonable costs incurred in connection therewith as a debt due from the *Consultant*.
- 1.1.4 The *Consultant*, upon the date of this Contract and within fifteen (15) Working Days after the renewal or replacement of each of the Insurances, provides evidence, in a form satisfactory to the *Client*, that the Required Insurances are in force and effect and meet in full the requirements of this Annex 4 (Insurance Requirements). Receipt of such evidence by the *Client* does not in itself constitute acceptance by the *Client* or relieve the *Consultant* of any of its liabilities and obligations under this Contract.
- 1.1.5 Where any Required Insurance requires payment of a premium, the *Consultant* is liable for and promptly pays such premium. Where any Required Insurance is subject to an excess or deductible below which the indemnity from insurers is excluded, the *Consultant* is liable for such excess or deductible. The *Consultant* is not entitled to recover from the *Client* any sum paid by way of excess or deductible under the Insurances whether under the terms of this Contract or otherwise.

INSURANCE TYPE AND SCOPE OF INSURANCE COVERAGE	MINIMUM SUM INSURED AND PERIOD OF INSURANCE
<p>Section 1 – Third Party Public and Products Liability Insurance</p> <ol style="list-style-type: none"> 1. insured <i>Consultant</i> 2. interest To indemnify the insured in respect of all sums which the insured may become legally liable to pay (including claimant's costs and expenses) as damages in respect of accidental: <ol style="list-style-type: none"> 2.1 death or bodily injury, illness or disease contracted by any person or 2.2 loss or damage to property happening during the period of insurance specified in this Annex 4 and arising out of or in connection with the services and/or arising out of or in connection with this Contract, 3. cover features and extensions <ol style="list-style-type: none"> 3.1 cross liability clause. 3.2 contingent motor vehicle liability. 3.3 legal defence costs. 3.4 indemnity to principals clause under which the <i>Client</i> is indemnified in respect of claims, made against the <i>Client</i> arising from death or bodily injury or property damage and for which the <i>Consultant</i> is legally liable in respect of this Contract. 3.5 Health & Safety at Work Act(s) clause. 3.6 Data protection legislation clause. 	<p>Limit of indemnity</p> <p>The limit of indemnity is not less than ten million pounds (£10,000,000) in respect of any one occurrence. The number of occurrences is unlimited in any annual policy period. Ten million pounds (£10,000,000) is the annual aggregate limit in respect of products liability or pollution liability (to the extent insured by the relevant policy).</p> <p>Period of insurance</p> <p>From the date of this Contract Completion of the whole of the Services or earlier termination of the Contract, renewable on an annual basis unless agreed otherwise by the parties.</p>

<p>3.7 Defence appeal and prosecution costs relating to the Corporate Manslaughter and Corporate Homicide Act 2007.</p> <p>4. principal exclusions</p> <p>4.1 war and related perils.</p> <p>4.2 nuclear/radioactive risks.</p> <p>4.3 liability for death, illness, disease or bodily injury sustained by employees of the insured arising out of the course of their employment.</p> <p>4.4 liability arising out of the use of mechanically propelled vehicles whilst required to be compulsorily insured by legislation in respect of such vehicles.</p> <p>4.5 liability in respect of predetermined penalties or liquidated damages imposed under any contract entered into by the insured.</p> <p>4.6 events more properly covered under a professional indemnity insurance policy.</p> <p>4.7 liability arising from the ownership, possession or use of any aircraft or marine vessels.</p> <p>4.8 liability arising from seepage and pollution unless caused by a sudden, unintended and unexpected occurrence.</p>	
<p>Section 2 – Professional Indemnity Insurance</p> <p>1. insured <i>Consultant</i></p> <p>2. interest To indemnify the insured for all sums which the insured becomes legally liable to pay (including claimant's costs and expenses) as a result of any</p>	<p>Limit of indemnity</p> <p>The limit of indemnity is not less than five million pounds (£5,000,000) in respect of any one claim. The number of claims is unlimited in any annual policy period. Five million pounds (£5,000,000) is the annual aggregate limit in respect of liability arising out of pollution or contamination (to the extent insured by the relevant policy). A one million pounds</p>

<p>claim or claims first made against the insured during the period of insurance specified in this Annex 4 by reason of any act, error and/or omission arising from or in connection with the Services and/or arising out of or in connection with this Contract.</p> <p>3. cover features and extensions</p> <p>3.1 loss of documents and computer records extension,</p> <p>3.2 legal liability assumed under contract, duty of care agreements and collateral warranties, and</p> <p>3.3 retroactive cover from the date of this Contract in respect of any policy provided on a claims made policy wording.</p> <p>4. principal exclusions</p> <p>4.1 war and related perils,</p> <p>4.2 nuclear/radioactive risks, and</p> <p>4.3 insolvency of the insured.</p>	<p>(£1,000,000) limit applies to any one claim and is also the annual aggregate in respect of liability arising out of asbestos (to the extent insured by the relevant policy).</p> <p>Period of insurance</p> <p>From the date of this Contract until six years following Completion of the whole of the Services or earlier termination of the Contract renewable on an annual basis unless agreed otherwise by the parties</p>
<p>Section 3 – Insurances required by law in the United Kingdom</p> <p>1 The <i>Consultant</i> is required to meet its United Kingdom and all other statutory or insurances required by law in full. Insurances are required to comply with all statutory requirements including, but not limited to, United Kingdom employers' liability insurance and motor third party liability insurance.</p>	<p>Limit of indemnity</p> <p>The limit of indemnity is not less than the amount required by applicable law.</p>

Area 7 Structural Inspection Contract (SIC)

Scope

Annex 6

Information Systems

CONTENTS AMENDMENT SHEET

Amend. No.	Revision No.	Amendments	Initials	Date
0	0	Tender Issue	ET	Sept 19

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1 INFORMATION SYSTEMS

1.1 General Requirements

1.1.1 This Annex sets out the requirements in respect of Information Systems, including Systems that:

- (1) are developed, procured, provided and made available to the *Client* by the *Consultant* for the purposes of performing the information requirements under this contract,
- (2) are developed, procured and provided by the *Consultant* relating to its own corporate business and operations of performing the information requirements under this contract,
- (3) are provided or made available by the *Client* for use by the *Consultant* for the purposes of performing the information requirements under this contract and
- (4) are likely to be provided or made available by the *Client* for use by the *Consultant* for the purposes of performing the information requirements under this contract.

1.1.2 To the extent that the *Consultant* is required to create or maintain any information under this contract in electronic format, the *Consultant* ensures that, at all times:

- (1) such a format is agreed with the *Client*;
- (2) such information is maintained to allow fast and efficient electronic transfer of information to the *Client* or agreed third parties (including Consultants) without additional expenditure by the *Client* or the need for complex or expensive procedures or processes, and in any event in such format as complies with the *Client's* requirements for such transfer,
- (3) such information is backed-up and copies are held in off-site storage in accordance with procedures agreed with the *Client* and
- (4) it implements and complies with (and ensures that its Sub Consultants implement and comply with) all procedures for information back-up and off-site storage referred to in this paragraph.

1.1.3 The *Consultant* maintains all its Information Systems so as to enable their:

- (1) segregation from any other computer or electronic storage devices, Systems, materials or information of the *Consultant* and
- (2) transfer to the *Client* or an Incoming Consultant,

efficiently and without additional expense or delay immediately on termination or expiry of this contract.

1.2 *Consultant* Information Systems

1.2.1 The *Consultant*, at the *go live* date:

- (1) has in place and provides or makes available to the *Client*, appropriate Information Systems (and relevant hardware required to use such Information Systems) of the type set out in Table 1, to comply with the *Client* information requirements and the contract management information requirements,
- (2) has in place Information Systems (electronic or otherwise) of the type set out in the non-exhaustive list in Table 2, to comply with the *Consultant* information requirements concerning its own corporate business and operations and
- (3) has proof of compliance with the HMG Security Policy Framework (SPF) in respect of those Information Systems.

1.3 *Client* Information Systems

- 1.3.1 Unless otherwise agreed with the *Client*, the *Consultant* uses and interfaces with the *Client's* Current Systems (Table 3) and New Systems (Table 4) when available.

1.4 Access Requirements to Information Systems provided by the *Client*

1.4.1 Gateway access requirements

- The Business Information Gateway or its successor (the Gateway) is the interface through which:
- the *Consultant* is required to access the Highways Agency Business IT Network and the *Client* Information Systems held within Highways Agency Business IT Network and
- the *Client* may access one or more of the *Consultant* Information Systems and documents.

- 1.4.2 Unless otherwise agreed with the *Client*, the *Consultant* connects to the

Gateway, using a Virtual Private Network specified by the *Client*.

1.4.3 The *Consultant*:

- (1) Applies to the *Client* for authorisation to connect to the Gateway and connects to the Gateway in a manner to be specified by the *Client*,
- (2) procures and pays for the installation and ongoing costs of connection of any of its premises or Information Systems to the Gateway through a telecommunications network, taking into account the data volume and the number of the *Consultant's* staff that it expects to use the link;
- (3) arranges suitable support and business continuity for connection to the Gateway,
- (4) facilitates the installation and maintenance of the Gateway by the *Client's* Consultants,
- (5) employs appropriate requirements and procedures, and trains its staff to operate the Current Systems,
- (6) attends training relating to the implementation, and where appropriate, the *Consultant* facilitates the implementation of New Systems and any other systems required by the *Client* and
- (7) does not alter any documents provided by the *Client* through the Gateway (which are the exclusive property of the *Client*) without the prior acceptance of the *Client*.

1.4.4 The *Consultant* acknowledges that:

- (1) the network technology underlying the Gateway is subject to change from time to time,
- (2) access through and continued membership of the Gateway depends on the *Consultant* complying with (and the *Consultant* will comply with),
 - Applicable user access requirements,
 - Her Majesty's Government Security Policy Framework and
 - other technical and security requirements set out in Annex 8 (Confidentiality and Security).

1.4.5 The connection point to the Gateway situated at the *Consultant's* premises is located in a room that is secured from theft, damage, unauthorised or malicious use to reduce risk to the connection point to the appropriate Impact Level as set

out in Her Majesty's Government Security Policy Framework. The location remains fixed for the duration of the contract unless the *Consultant* requests and the *Client* approves a new location.

1.4.6 Other access requirements

- (1) *Client* Information Systems not covered by clause 1.4.1 may be accessed through the Internet via third party hosts and using relevant software applications installed on *Consultant* systems. They are not subject to the same security and related access requirements that apply to *Client* Information Systems accessed through the Gateway.
- (2) The *Consultant* may request authorisation and other details regarding Internet access to such *Client* Information Systems from the *Client*.
- (3) For guidance, the right column in Table 3 and 4 indicates whether access to the *Client* Information Systems is required via the Gateway.

1.5 **Access Requirements to Information Systems provided by the *Consultant***

1.5.1 The *Consultant* provides the *Client* remote access to the *Consultant* Information Systems and related documents:

- (1) either through the Gateway; or
- (2) through another interface agreed by the *Client*.

1.5.2 Any access required by the *Client* to systems provided by the *Consultant* must be made available via the Gateway or by other remote access methods agreed by the *Client*.

1.6 ***Consultant* Security and User Access**

1.6.1 The *Consultant* ensures that all persons who use *Client* Information Systems for or on behalf of the *Consultant* comply with the security requirements set out in Annex 8 (Confidentiality and Security) and Asset Data Management Manual.

1.6.2 The *Consultant* is responsible for determining any formal application and security clearance requirements to enable the *Client* to access any Information Systems provided by the *Consultant*. The *Consultant* informs the *Client* of those requirements, including timescales, not later than four weeks after the *starting date*.

1.6.3 The *Consultant* notifies the *Client's* IT Security Team and the help desk when staff with access to the *Client's* IT network, leave their employment.

1.6.4 The *Client* will suspend any accounts supplied to persons who use *Client*

Information Systems for or on behalf of the *Consultant* if they are not used for a continuous period of six months.

1.6.5 The *Client* will delete any accounts supplied to persons who use *Client* Information Systems for or on behalf of the *Consultant* if they are not used for a continuous period of thirteen months.

1.6.6 The *Client* will immediately suspend any accounts supplied to persons who use *Client* Information Systems for or on behalf of the *Consultant* if they are used by anyone other than the person for whom they were created (the “authorised user”). Accounts suspended will not be re-opened until a formal explanation for the account’s misuse is provided by the *Consultant*, and in all these cases the *Client* will not be liable for any financial penalty or other expense incurred as a result of the *Consultant* failing to meet its commitments.

1.7 Software and Licences

1.7.1 The *Consultant* grants, or procures the grant of, licences required to allow the *Client* to use the Information Systems developed, procured or otherwise provided by the *Consultant* to the *Client*.

1.7.2 The *Consultant* has in place or procures its own licences required to use common software applications that it may require to be able to interface with, or to access Client Information Systems.

1.7.3 The *Consultant* applies to the *Client* for licences to allow the *Consultant* to use certain Information Systems provided or made available by the *Client*.

1.8 Not Used

1.9 Liaison and cooperation between *Client* and *Consultant*

1.9.1 The *Client* is adopting an Information Technology Infrastructure Library best practice approach for Information Communication and Technology (ICT) services. The *Consultant* will be expected to demonstrate a formal approach to its ICT service management through the development of an ICT strategy and make its ICT strategy available to the *Client*.

Table 1: Systems provided by the *Consultant* to meet *Client* and Contract Management Information Requirements

Information System	Description	Reference / Comment
Electronic Document and Records Management	<p>The <i>Consultant</i> operates an Information System for the management of electronic documents and records (including e-mails) which are created and maintained on behalf of the <i>Client</i>. Documents and records are defined in The Highways England Records Policy, a copy of which can be obtained from the <i>Client</i>.</p> <p>The <i>Consultant</i> seeks agreement through the <i>Client</i>, regarding the development and implementation of an Information System for electronically managing both the electronic and physical records which the <i>Consultant</i> creates and maintains on behalf of the <i>Client</i>. This Information System is required for the capture, retention and disposal of all electronic format documents and other records</p>	

Table 2: Examples of Information Systems as provided by the *Consultant* to fulfil the requirements of the *Consultant's* own business and effective delivery of the contract

System	Comment
Quality Management System	It is expected that the <i>Consultant</i> will implement a quality management Information System which will ensure consistency and improvement of working practices. The <i>Consultant</i> should align its quality management Information System to meet the quality requirement used by the <i>Client</i> .
Change Control System	This Information System will manage changes to processes and Systems.
Customer Relationship Management System (CRM)	This Information System will manage the CRM strategy to ensure long lasting relationships with the <i>Consultant's</i> customers. The CRM Information System will seek to improve customer service by performing functions such as identifying what customers value the most and providing an effective mechanism to handle problems and complaints.
Human Resource Management System (HRMS)	It is expected that the <i>Consultant</i> will use a HRMS to manage issues such as recruitment, skill sets, employee history and payroll.
Financial Management System (FMS)	The <i>Consultant</i> will use a FMS to produce timely in-year and year-end management and accounting information.
Project Management System	System to assist in the planning and organisation of activities to meet the <i>Consultant's</i> objectives.

Table 3: Current Systems provided by the <i>Client</i> to meet the contract management information requirements			
Current Information System	Description	Reference / Comment	Access Via Gateway (Y/N)
WebTRIS - Traffic Information System and WEB	<p>WebTRIS Highways England's Traffic Information System.</p> <p>It provides historic speed and flow data for the past 10 years in 15-minute time slices at count slices across the Highways England network. Data is currently taken from MIDAS, TMU, TAME count sites and from legacy TRADS (Traffic Flow Database System) sites for older data. This contains hourly count data from inductive loops at approximately 1000 locations across the <i>Client's</i> network.</p>	<p>Is available to all via the following link http://webtris.highwaysengland.co.uk/</p>	N
Accident Incident Reporting System (AIRSweb)	<p>The AIRSweb incident reporting Information System, allowing the completion of a single incident report online, which can be submitted to several organisations.</p>		N
Highways Agency Pavement Management System (HAPMS)	<p>HAPMS is a set of IT systems that hold the following data sets:</p> <ul style="list-style-type: none"> • network data set • pavement inventory data set • pavement construction data set • pavement condition data set • inventory data set • traffic data • accident data <p>HAPMS also provides the following business capabilities:</p> <ul style="list-style-type: none"> • Analysis and reporting of data both in map-based and textual formats • integrated tools for the whole life cost optimisation, of proposed pavement maintenance schemes 	Access for information purposes only	Y

Table 3: Current Systems provided by the <i>Client</i> to meet the contract management information requirements			
Current Information System	Description	Reference / Comment	Access Via Gateway (Y/N)
Structures Management Information System (SMIS)	SMIS is an Asset Management System that provides operational support to structures management throughout the lifecycle of the structure.	BD 62	Y
Highways Agency Geotechnical Data Management System (HAGDMS)	Internet hosted, and GIS based geotechnical inventory.	HD22 Access for information purposes only	N
Highways Agency Drainage Data Management System (HADDMS)	Shares the facilities developed for HAGDMS and exists on the same platform. This provides integrated geotechnical/drainage information.	Access for information purposes only	N
WebDAS	Database of departures from the <i>Client's</i> requirements and aspects not covered by requirements, including SHW specification departures.	CHE Memorandum 157/05 DMRB Vol1	Y
Lean Tracker System	A system used to capture and track lean benefits.	Annex 18	N
HA Supply Chain Portal	An internet collaboration site for the <i>Client</i> and its partners.		N
Highways Agency Management Information System (HAMIS)	Portal Information System providing access to HAGIS.		Y
HAGIS	Stores information using the latest digital mapping, which allows users to view geographical data for a specific area of the UK by zooming in and out and using the built in GIS tools.		Y

Table 3: Current Systems provided by the <i>Client</i> to meet the contract management information requirements			
Current Information System	Description	Reference / Comment	Access Via Gateway (Y/N)
Technology Performance Management Services (TPMS)	<p>TPMS is a set of IT systems to support the maintenance and management tasks for control and communications equipment. Currently provides the following functionality:</p> <ul style="list-style-type: none"> • Technology Fault Management. • Technology Planned Maintenance recording. • Technology Asset Status recording (including for instance results of electrical testing). • Recording of asbestos risk in Technology equipment. • Recording the connection of Technology equipment via unmetered power supplies for payment for energy used by Technology. • Calculation of performance statistics on Technology equipment. <p>Provision of data on Consultant performance to allow effective Performance Management.</p>	<p>More information at www.hatpms.com</p> <p>Access for information purposes only</p>	N
Highways Agency Environmental Information System (HA) EnvIS	<p>EnvIS consists of specific environmental data supplied by <i>Consultants</i>, the HA and other bodies which is collated and displayed in a read only format in the Highways Agency Geographical Information System (HAGIS). This data is used to assist in managing the environment, within and surrounding the trunk road network, and in the review and reporting of the environmental performance of both <i>Consultants</i> and the <i>Client</i>.</p>	DMRB Vol 10 Section 0	Y
Collaborative Management Toolkit (CMT)	<p>Methodology and tool used to measure and report on <i>Consultant</i>'s performance.</p> <p>Relates to the ALDM contract types.</p> <p>The CMT allows for the production of the Motivating Success Toolkit scores.</p>	<p>The CMT has its own Performance Management Manual, setting out the background of the CMT, timelines for reporting and roles and responsibilities.</p>	N

Table 3: Current Systems provided by the <i>Client</i> to meet the contract management information requirements			
Current Information System	Description	Reference / Comment	Access Via Gateway (Y/N)
SAS tools for Drainage, Geos and Structures	Tools for the whole life cost optimisation of maintenance at a Scheme level. The <i>Provider</i> shall at its own cost use the SAS tools for Drainage Geotechnical and Structures assets as directed by the <i>Client</i> in support of specific proposals for individual Schemes.		N
AVIS	AVIS is a driven survey consisting of video cameras viewing multiple directions, with a simultaneous LiDAR survey. The LiDAR survey provides 3D point cloud data, accurate to 30mm - essentially a 3D model of the network. It provides an inventory of assets along with GIS files.		N
Highways Agency Logging Environment (HALOGEN)	HALOGEN is the central source for Highways Agency Traffic Management Systems (HATMS) logged data. It records setting, state change and fault information for signals, signs and emergency roadside telephones on England's motorway network.	More information at http://www.highways.gov.uk/specialist-information/halogen-online/	N
Planned Engineering Works (PEW) System	System for the notification of planned engineering works that impact on the operational availability or functionality of HA Traffic Management Systems (HATMS) or require access to RCC Equipment/Control Rooms.	www.ha-pew.org.uk/PEW/	N
National Faults Database (NFDB)	Database for manual entry of faults and issues relating to Highways Agency Traffic Management Systems (HATMS) and other operational systems.	www.nfdb.co.uk/	N
Cultural Heritage Database	Part of HAGIS. Database of Cultural Heritage items.	Part of HAGDMS	Y
Noise Assessment and Insulation System (NAIS)	GIS based tool for predicting noise impacts on the environment surrounding the trunk road network.		N

Table 3: Current Systems provided by the <i>Client</i> to meet the contract management information requirements			
Current Information System	Description	Reference / Comment	Access Via Gateway (Y/N)
Highways Agency Management Information System (HAMIS)	Portal Information System providing access to HAGIS.		Y
Network Occupancy Management System (NOMS)	<p>The <i>Client</i> provides a Network Occupancy Management System (NOMS) as part of the Integrated Asset Management Information System (IAMIS) that is fully compliant with the national specification for the Electronic Transfer of Notifications (EToN) and is used to:</p> <ul style="list-style-type: none"> Record, update and manage all occupancies on the Affected Property including their delay and impact, Record, update and manage all information as necessary for the fulfilment of obligations relating to: Traffic Management Act 2004 New Roads and Street Works Act 1991 Other legislation associated to the delivery of the TMA 2004 s16 Network Management Duty and associated secondary legislation <p>NOMS provides direct information feeds to external stakeholders for public use and feeds to the Clients National Traffic Information Service (NTIS) for publication to customers.</p>		
HAGIS	Stores information using the latest digital mapping, which allows users to view geographical data for a specific area of the UK by zooming in and out and using the built in GIS tools.		Y

Table 4: New Systems to be used by the <i>Consultant</i> when available			
New Information System	Description	Reference / Comment	Access Via Gateway (Y/N)
Integrated Asset Management Information System (IAM IS)	<p>During the Contract Period it is possible that some IAM IS modules will replace the following Highways England data management systems:</p> <ul style="list-style-type: none"> • Pavement and Approved Network Model (HAPMS) • Structures (SMIS) • Geotechnical (HAGDMS) • Drainage (HADMS) <p>The <i>Consultant</i> must be prepared, with reasonable notification, for an immediate or phased switch over to the future systems being delivered through IAM IS from legacy systems.</p> <p>The <i>Consultant</i> must be prepared for possible parallel running of some legacy <i>Client</i> systems, and the IAM IS.</p>	<p>IAM IS Service Access Requirements Document (SARD)</p> <p>IAM IS Code of Connection (CoCo)</p> <p>NOMS – NRSWA 1991 as amended by TMA</p> <p>NOMS – Technical Specification for EToN</p> <p>Structures – BD62</p>	N
Financial System	The <i>Client's</i> new finance and accounting Information System which supports major business transaction processing requirements.	Will replace the <i>Client's</i> System for Managing (SfM)	Y
CEMAR – (Contract Event Management Analytics and Reporting)	<p>CEMAR is a cloud based NEC contract management system. It is a collaborative tool that requires the two parties Highways England (<i>Client</i>) and Consultants to manage contract events through the system as required by good practice NEC contract management. System features include the following:</p> <ul style="list-style-type: none"> • Contract event management through registers e.g. Early Warnings, Compensation Events, Project Manager Instructions and more. • Application for payments / Invoices • Technical Queries and Defect management • General Communications • Multiple in-built reports and charts and graphs proving reports and dashboards across one or multiple contracts to allow effective management of contracts through outputs on communication behaviour, cost, quality, risk and time. 		N

Table 4: New Systems to be used by the <i>Consultant</i> when available			
New Information System	Description	Reference / Comment	Access Via Gateway (Y/N)
Performance Management Information System	The <i>Client</i> may introduce a Performance Management Information System (PMIS) or other system for recording and reporting against the requirements of this Annex. When/ if provided, the Consultants provides performance data directly into the PMIS.	Scope Annex 17	Y
Finance and Works Management System (PB Confirm)	The <i>Client</i> may to introduce a Finance and Works Management System which will be used to raise and manage works orders. The <i>Consultant</i> uses the system and provides such information to the <i>Client</i> as required to evidence the <i>service</i> provided and costs incurred to Provide the Service.	Scope	Y
Routine and Maintenance Management System (PB Confirm)	The <i>Client</i> provides a Routine and Maintenance Management System which will be used to raise and manage works orders and process applications for payment. The <i>Consultant</i> uses the system and provides such information to the <i>Client</i> as required to evidence the <i>service</i> provided and costs incurred to Provide the Service.	Scope	Y

Area 7 Structural Inspections Contract

Scope

Annex 8

Confidentiality, Security and Conflict of Interest

CONTENTS AMENDMENT SHEET

Amend. No.	Revision No.	Amendments	Initials	Date
0	0	Tender Issue	ET	Sept 19

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1 CONFIDENTIALITY AND SECURITY

1.1 Mandatory Obligations

- 1.1.1 The *Client* is required to adopt the Personnel Security requirements and management arrangements set down in Security Policy No 3: Personnel Security of HMG Security Policy Framework July 2014 issued by the Cabinet Office as amended from time to time (the “**Security Policy Framework**”).
- 1.1.2 The Security Policy Framework is available to be downloaded from the Cabinet Office website and is referred to as a Reference Document in 3 Table 1. The *Consultant* familiarises himself with the objectives and principles embodied within the Security Policy Framework, in addition to the mandatory obligations abstracted from the Security Policy Framework and set down in this Annex.
- 1.1.3 The *Consultant* ensures that the appropriate level of Personnel Security is obtained and maintained for all Staff in accordance with the Security Policy Framework.
- 1.1.4 The *Service Manager* notifies the *Consultant* of any revisions to the Personnel Security requirements arising as a consequence of subsequent amendments to the Security Policy Framework.

1.2 Security Checks – Minimum Requirement

- 1.2.1 The Baseline Personnel Security Standard (BPSS) forms the minimum security check requirement for all Staff whose duties include
- working unsupervised by the *Client* at their premises, including offices, Regional Operations Centres (ROC), the National Traffic Operations Centre (NTOC), depots and any outstations owned and/or operated by the *Client*,
 - usage of the *Client*’s Information Systems
 - handling the *Client*’s information where that information is marked “OFFICIAL” with or without the SENSITIVE rider (formerly “PROTECT” or “RESTRICTED” which may still apply to historical documents), or
- The *Service Manager* may notify the *Consultant* of a modification to the categories of Staff requiring BPSS checks at any time.
- 1.2.2 The BPSS is available to be downloaded from the Cabinet Office website and is referred to as a Reference Document in Annex 3 Table 1.
- 1.2.3 Procedural and other details for ensuring compliance with the BPSS are set down in Part One below.

1.3 Security Checks – Additional Vetting Requirement

- 1.3.1 Where Staff require unrestricted access to or are required to regularly handle information marked SECRET or TOP SECRET), the *Service Manager* will additionally instruct the *Consultant* to carry out the appropriate level of National Security Vetting (NSV) as a change to the Scope.
- 1.3.2 Procedural and other details for ensuring compliance with NSV are set down in Part Two below.

PART ONE – BPSS COMPLIANCE**1.4 Procedures**

- 1.4.1 The *Consultant* undertakes security checks to ensure the confidentiality, integrity and availability of the *Client's* asset.
- 1.4.2 The recruitment controls of the BPSS are required to have been carried out for all Staff to whom paragraph 1.2.1 applies prior to their employment on this contract. The recruitment control process is completed satisfactorily before an individual
- is issued with a security pass giving unsupervised access to the *Client's* premises,
 - potentially has access to the *Client's* sensitive, possibly protectively-marked, information or
 - is given access to the *Client's* IT network.
- 1.4.3 The *Consultant* takes all necessary measures to confirm that any previous security checking carried out on existing Staff meets the requirements of the BPSS, either in full or by exception using the risk management assessment process guidance contained in the Security Policy Framework. The *Consultant* must notify which Staff have met or not met these requirements. The *Client* may from time to time carry out independent audits of these findings and their methodology.
- 1.4.4 The *Consultant* should note that, for existing Staff with more than three years continuous employment and who have not had any access passes or permits revoked in that time, then the requirements for references in the BPSS check can be deemed to be discharged by a letter from a Director or Head of Personnel of the *Consultant* certifying the same. The remainder of the BPSS check must be carried out.
- 1.4.5 The *Consultant* rectifies any unacceptable gaps identified between the BPSS and existing security checking in accordance with the requirements of the BPSS.
- 1.4.6 Any new Staff to whom paragraph 1.2.1 applies are assessed strictly in accordance with the requirements of the BPSS.
- 1.4.7 The *Consultant* keeps full and auditable records of all security checks carried out on Staff and makes such records available to the *Client* or its appointed representatives for audit purposes at all reasonable times.
- 1.4.8 If
- the *Client* discovers any non-compliance with the requirements of the BPSS from the audit process,

- the *Consultant* fails to keep full records of security checks carried out on Staff or
- the *Consultant* fails to make such records available on reasonable request,

the *Service Manager* may

- invoke individual withdrawal of permits or passes to Staff,
- invoke systematic withdrawal of permits or passes to Staff or
- require that an independent audit of the *Consultant's* BPSS check procedure is undertaken at the expense of the *Consultant*.

The *Consultant* takes the appropriate action to immediately address any non-compliance with the BPSS notified to it by the *Service Manager*.

1.4.9 It should be noted that the BPSS does not constitute a formal security clearance. It is designed to provide a level of assurance as to the trustworthiness, integrity and reliability of the individual involved.

1.4.10 The *Consultant* submits a monthly report to the *Service Manager* on all its employees and former employees who no longer need Extranet access to *Client's* business IT network including nil returns.

1.5 Security check process for BPSS

1.5.1 The security check process of the BPSS follows the guidance provided in the BPSS.

1.5.2 The BPSS comprises verification of four main elements

- identity,
- nationality and immigration status (including an entitlement to undertake the work in question),
- employment history (past three years) and
- criminal record declaration (unspent convictions only).

Additionally, prospective Staff are required to give a reasonable account of any significant periods (six months or more in the past three years) of time spent abroad.

1.5.3 The specific requirements for verification of each of the four main elements are set down in Part II, The Verification Process of the BPSS. An outline description of the core requirements is included below but does not relieve the *Consultant* from his obligation to comply with all the requirements of the BPSS.

1.5.4 Information collected at each stage of the process is reviewed, assessed and recorded on the BPSS Verification Record (Annex B of the BPSS).

References of the BPSS Verification Record forms are listed in this Annex as Annex A for information

1.6 Verification of Identity – Outline Requirements

- 1.6.1 Identity may be verified by physically checking a range of appropriate documentation (e.g. passport or other photo ID together with utility bills, bank statements etc) or by means of a commercially available ID verification service.
- 1.6.2 Only original documents should be used for identification purposes: copies are not appropriate.
- 1.6.3 There is no definitive list of identifying documents. The *Consultant* should note that not all documents listed in the BPSS are of equal value. The objective is a document that is issued by a trustworthy and reliable source, is difficult to forge, has been dated and is current, contains the owner's name, photograph and signature and itself requires some evidence of identity before being issued (e.g. passport or ID card).
- 1.6.4 National Insurance numbers (NINOs) can be obtained fraudulently and cannot be relied on as a sole means of establishing identity or right to work. Temporary numbers beginning with TN or ending in a letter from E to Z inclusive are not acceptable.
- 1.6.5 Where verification of identity is not straight-forward but a decision is nevertheless taken to employ an individual, the *Consultant* notifies the *Service Manager* and records the matter on the Risk Register.

1.7 Nationality and Immigration Status (including an entitlement to undertake the work in question) – Outline Requirements

- 1.7.1 Nationality and Immigration Status may be verified by physically checking appropriate documentation or, in exceptional circumstances only, by means of an independent check of UK Visas and Immigration records.
- 1.7.2 The *Consultant* takes the necessary steps to ensure that an individual has the right to remain in the United Kingdom and undertake the work in question.
- 1.7.3 Checks need to be applied evenly and the *Consultant* needs to be aware of his obligations under the Race Relations Act 1976.

1.8 Employment history (past 3 years) – Outline Requirements

- 1.8.1 Employment history may be verified by checking with previous employers, by following up references or by means of a commercially available CV checking service or, in exceptional circumstances only, by means of an independent check of HMRC records.

- 1.8.2 To ensure that prospective employees are not concealing associations or gaps, the *Consultant* as a minimum verifies the individual's recent (past 3 years) employment or academic history.
- 1.8.3 Where there are unresolved gaps or doubts remain about an individual's employment history, an independent check of HMRC records may be made.
- 1.8.4 Every effort should be made to check that the individual has held the previous employment history claimed. Any gaps in the past 3 years employment history should be investigated.

1.9 Criminal record (unspent convictions only) – Outline Requirements

- 1.9.1 The *Consultant* should note that the requirement to verify “unspent” convictions does not apply when the BPSS is being carried out as part of the groundwork for NSV, where a full check of criminal records (“spent” and “unspent”) will be made as part of that process.
- 1.9.2 Under the terms of the Rehabilitation of Offenders Act 1974, it is reasonable for employers to ask individuals for details of any “unspent” criminal convictions. The Act states that if an offender remains free of further convictions for a specified period (the “rehabilitation period”), the conviction becomes spent. Where rehabilitation has taken place, the individual must be treated as if the offence had never been committed.
- 1.9.3 The *Consultant* must obtain a Basic Disclosure Certificate check available from Disclosure Scotland.
- 1.9.4 Where “unspent” convictions have been disclosed, the *Consultant* carries out a risk assessment, which may include the need for legal advice, before proceeding.

1.10 Approval for employment

- 1.10.1 General guidance and requirements post BPSS verification are contained in Part IV – Post Verification Process of the BPSS. An outline description of the core requirements is included below but does not relieve the *Consultant* from his obligation to comply with all the requirements of the BPSS.
- 1.10.2 Subject to paragraph 1.10.3 and unless advised to the contrary by the *Service Manager*, all Staff for whom a completed BPSS Verification Record has been submitted may be treated by the *Consultant* as suitable to undertake the duties referred to in paragraph 1.2.1.
- 1.10.3 The *Consultant* should note that the *Client* will ordinarily require a period of three working days from receipt of a fully completed BPSS check for its internal approvals process and prior to the subsequent issue of access permits and passes. The *Service Manager* may exclude from the Affected Property any individual for whom a BPSS Verification Record is not supplied, is incomplete or is otherwise unsatisfactory.

- 1.10.4 BPSS Verification Records with a sealed Criminal Record Declaration will be assessed separately on a case by case basis by the *Service Manager*. The *Service Manager* advises the *Consultant* if the individual has been approved as suitable to undertake all or any of the duties referred to in paragraph 1.2.1.

1.11 Incomplete or unsatisfactory BPSS Verification Records

- 1.11.1 Where a BPSS is incomplete or is otherwise unsatisfactory, the *Service Manager* advises the *Consultant* of the deficiencies and the actions needed to correct them.

1.12 Renewal of the BPSS

- 1.12.1 Under most circumstances, renewal of the BPSS is not required.
- 1.12.2 The *Consultant* rechecks the immigration status of migrant Staff before their current right to remain expires or within twelve months of the previous check, whichever is the sooner. These checks are repeated until the employee is able to demonstrate an indefinite right to remain in the United Kingdom or until the employment comes to an end.
- 1.12.3 The *Service Manager* instructs the *Consultant* to carry out additional security checks on any Staff required to operate in or on a List X site. An instruction to carry out additional security checks is a change to the Scope.
- 1.12.4 If an employee, who has previously been subject of a BPSS check, leaves the employment of the *Consultant* and is subsequently re-employed by the *Consultant* within twelve months, the original security check authorisation may be reinstated. The *Client* may require additional evidence before reinstating the original security check authorisation. In all other cases of re-employment, the full BPSS check must be carried out.

1.13 Ongoing personnel security management (“aftercare”)

- 1.13.1 The *Consultant* monitors, manages and supports the required behaviours of Staff who are approved for work on this contract and reports to the *Service Manager* immediately if the continuing suitability of an employee is in doubt.
- 1.13.2 Where the *Consultant* reports a case of doubt or the *Service Manager* considers that the actions of any of the Staff do not conform to the required behaviours, the *Service Manager* may instruct the *Consultant* to review the performance of the individual concerned. The *Consultant* takes appropriate action in consequence of the review, which may include:
- performance improvement,
 - temporary suspension of permits and passes or
 - removal of the individual in accordance with core clause 24.3.

1.14 Retention of documentation

- 1.14.1 The documentation associated with a BPSS check is retained by the *Consultant* until the expiry of the Contract Period and for a period of twelve months after the individual has ceased to be employed on this contract.
- 1.14.2 The *Consultant* destroys, in an appropriate secure manner, all electronic and paper copies of documentation which he is no longer required to retain.

PART TWO – NATIONAL SECURITY VETTING (NSV)

1.15 Procedures

- 1.15.1 In all cases, verification of identity and the individual's entitlement to undertake the work in question must be carried out before embarking on NSV.
- 1.15.2 Other than in exceptional circumstances, NSV must not be undertaken before the BPSS's full controls have been applied. The *Consultant* agrees with the *Service Manager*, on a case by case basis, any exceptional cases where NSV and BPSS procedures are required to be carried out in parallel.
- 1.15.3 The *Client* determines if any Staff need to undertake NSV in addition to the BPSS check.
- 1.15.4 If the *Service Manager* considers that NSV is required, the *Client* identifies, manages and undertakes the necessary vetting at the *Client's* expense.
- 1.15.5 Where the *Service Manager* determines that NSV is required, the approvals process set out in paragraph 1.10 does not apply, unless the *Service Manager* instructs otherwise. Access permits and passes are ordinarily only issued on satisfactory completion of NSV.

2 CONFLICT OF INTEREST

- 2.1.1 The *Consultant* does not take an action which would cause a conflict of interest to arise in connection with this contract.
- 2.1.2 The *Consultant* notifies his employees and *subcontractors*'s (at any stage of remoteness from the *Client*), and procures that any *subcontractor* (at any stage of remoteness from the *Client*) notifies its employees, who are engaged in the performance of contractual duties that they must not take an action which would cause an actual or potential conflict of interest to arise in connection with the *service*.
- 2.1.3 The *Consultant* ensures that any employee of the *Consultant* or of any *subcontractor* (at any stage of remoteness from the *Client*) who is engaged in performance of contractual duties completes a declaration of interests and conflict of interests in the form set out in Appendix B. The *Consultant* issues to the *Service Manager* any completed declaration of interests and conflict of interests.
- 2.1.4 The *Consultant*:
- immediately notifies the *Service Manager* and
 - procures that any *subcontractor* (at any stage of remoteness from the *Client*) immediately notifies the *Consultant*
- if there is any uncertainty about whether a conflict of interest may exist or arise.
- 2.1.5 Following a notification from the *Consultant*, the *Service Manager* may
- require the *Consultant* to stop Providing the Services until any conflict of interest is resolved or
 - require the *Consultant* to submit to the *Service Manager* for acceptance a proposal to remedy the actual or potential conflict of interest.
- A reason for not accepting the submission is that it does not resolve the conflict of interest. The *Consultant* amends the proposal in response to any comments from the *Service Manager* and resubmits it to the *Service Manager* for acceptance. The *Consultant* complies with the proposal once it has been accepted.
- 2.1.6 A failure to comply with this section is treated as the *Consultant* having substantially hindered the *Client* or Others.

3 DISCLOSURE OF INFORMATION

3.1.1 The *Consultant* acknowledges that the *Client* is obliged to publish the provisions of the contract in accordance with Procurement Policy Note 01/17 entitled “The Transparency of Suppliers and Government to the Public” dated 16th February 2017 (or any later revision) (the “PPN”), except to the extent that any information in it is exempt from disclosure pursuant to the Freedom of Information Act 2000. The *Client* consults with the *Consultant* before deciding whether information is exempt, but the *Consultant* acknowledges that the *Client* has the final decision.

3.1.2 The *Consultant*:

- co-operates with and assists the *Client* to comply with its obligation under clause 3.1 above,
- agrees with the *Client* a schedule for the release to the public of information relating to the contract in accordance with the terms of the PPN,
- provides information to assist the *Client* in responding to queries from the public as required by the PPN and
- supplies the *Client* with financial data relating to the contract in the form and at the times specified in the PPN.

APPENDIX A

List of BPSS Verification Record Forms contained in the BPSS Verification Record (Annex B of the BPSS).

Forms to be completed by the *Consultant* to demonstrate BPSS compliance as required in accordance with the BPSS Guidance

- Verification Record
- Nationality and Immigration Status Form
- UK Visas and Immigration Employment Enquiry Form
- Employment History Report Form
- HMRC Record Check Form
- Criminal Record Declaration

**APPENDIX B**

Official-Sensitive
(only when not a nil return)

Highways England Company Limited Declaration Form
(for use by individuals with non-employment contract status)

Purpose

This form asks you to provide information in respect of actual, potential or perceived conflicts of interest in line with the requirements of the Companies Act 2006, the Articles of the Company, *Managing Public Money*, the Framework Document, the Company's obligation to follow UK Corporate Governance Code and public sector governance code principles and policies, requirements in respect of accounting and other disclosures and the Company's own policies including in regard to procurement and transparency.

The fact that you have an actual, potential or perceived conflict of interest is not necessarily a barrier to your involvement in a particular decision. The nature of action taken, when handling conflicts of interest, will depend on a number of factors. Please see Conflicts of Interest Policy and Guidance in Annex 3 for further information.

1. Personal details (for Highways England and statutory records, please advise any subsequent changes)	
a) Role/service provided	
b) Present surname and any former surname(s)	
c) Present forename(s) and any former forename(s)	
d) Phone Numbers a) landline b) mobile (Highways England restricted use only)	
e) Date form completed	

2. Directorships	
Are you a director or a "shadow director" ¹ of any company? YES/NO	If YES, please provide the names of the companies, business sector, and date you became a director.
3. Other business interests	
Are you a partner, employee or a consultant (paid or otherwise) in any business? YES/NO	If YES state the names and give the nature of the businesses where this is not indicated in the title and the nature and start date of your involvement with each partnership, employment or consultancy.
Have you held any fiduciary office or position of trust (paid or otherwise) in the last 10 years? YES/NO Include public and any political offices.	If YES please give details and if you no longer hold the position, describe the circumstances in which you ceased to do so.
Do you have a direct shareholding in any company in the sector in which Highways England operates? YES/NO	I hold the following shares/I do not hold any shares in the sector in which Highways England operates.

¹ "shadow director ", means a person in accordance with whose instructions the directors of the company are accustomed to act. If you are a director or a shadow director of a company and, as a consequence are also a director or shadow director of several subsidiaries, a general description of the subsidiaries will suffice.

4. Voluntary work	
Are you involved in or a member of any professional bodies, charities, special interest or political groups in the sector which Highways England operates? YES/NO.	If YES provide details.
5. Other	
Are there any other matters which you, or a reasonable member of the public might perceive that Highways England should be aware of which might impact on your provision of services to/role in Highways England or the reputation of Highways England? YES/NO	If YES provide details.
<p>Are there any matters or relevant interests, (including significant interests of close members² of your family) which might influence your judgement, deliberation or action in providing services to/your role in Highways England or be perceived by a reasonable member of the public as doing so? YES/NO</p> <p>Please include information on any directorships and business interests in respect of close members of your family in respect of the sphere in which Highways England operates.</p>	If YES provide details.
6. Connected persons	
Please confirm (in the box to the right) that, in relation to the questions contained in sections 3, 4, 6, above, no additional information would need disclosure in relation to any connected person.	<p>I confirm that no additional information requires disclosure.</p> <p>I have provided additional information above.</p>

² "Close members", means a) an individual's domestic partner and children b) children of an individual's domestic partner c) dependents of an individual or an independent's domestic partner.

Declaration

1. I declare that to the best of my knowledge and belief (having taken all reasonable care to ensure that such is the case) the answers to all of the above questions are true and not misleading.
2. I shall not communicate to any legal or natural person other than Highways England employees any commercially sensitive or confidential information in connection with my work at Highways England.
3. I shall not seek to obtain any commercial or personal advantage from my work at Highways England.
4. I shall not assist my employer, any organisation connected with my employer, or any other organisation or person in tendering for any contract opportunity with Highways England that I have worked in my capacity as a *Consultant* to Highways England.
5. I shall not pay, give, receive or offer to pay, give, receive any sum of money or other consideration directly or indirectly to any person whatsoever for any act described in paragraphs 2, 3 and 4 above. If any offer is made to me to breach this declaration, I shall report it immediately to Highways England.
6. All documentation that I have access to in my role as a *Consultant* to Highways England shall be made available to form part of any relevant tender information pack.
7. I understand that I may only be involved in the evaluation of a tender for Highways England where expressly sanctioned by Highways England.
8. Should any of the information on this declaration change or should I become aware of a potential, perceived or actual conflict of interest I will immediately contact Highways England to inform them and will take all reasonable steps to mitigate or remove the potential, perceived or actual conflict of interest.
9. I understand that if I do not comply with the statements in this declaration I may prejudice my employers ability to participate in tendering for contract opportunities with Highways England, I may have my contract with Highways England terminated and could face legal action.

Signature	
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