

Area 9 Asset Support Contract

Service Information

Annex 19

Reports

SERVICE INFORMATION FOR ASC

ANNEX 19

CONTENTS AMENDMENT SHEET

Amend . No.	Issue Date	Amendments	Initials	Date
0	March 2013	First Issue	SOS	22/3/13
1	May 2013	Section 19 Reports – Amend text in Table 19.1 'Description/Remarks' column of Ref No. 28.	SOS	07/05/13
2	May 2013	New item added to table 19.1 regarding RTMC Management.	SOS	28/05/13

LIST OF CONTENTS

19	REPORTS	4
19.1	Introduction	4
19.2	Monthly Review Progress Report Framework	15
19.3	Maintenance and Making Better Use Guides Reports	17
19.4	SfM Reports	18
19.5	NRSWA Reports	23
19.6	Nonconformity and Corrective Action Reports	25
19.7	Cost Capture	26

APPENDIX A: NDD Out-turn data

APPENDIX B: Activity Benchmark Sheet

APPENDIX C: Annual Commercial Plan and Guidance Note

19 REPORTS**19.1 Introduction**

- 19.1.1 Table 19.1 identifies reports which are to be submitted by the *Provider* to the *Employer* and includes the Monthly Review Progress Report. Other reports as set out in Table 19.1 are made available to the *Employer* as appropriate, or as required by the *Employer*, and may be appended to the Monthly Review Progress Report.
- 19.1.2 Tables 19.2 to 19.7 provide further details of reports to be provided by the *Provider* on particular topics.
- 19.1.3 All reports are to be submitted by in electronic format unless otherwise stated or as required by the *Employer*.
- 19.1.4 All reports with a frequency of “as required” or “as required by the *Employer*” shall be requested through the *Service Manager*.

Table 19.1

Ref No.	Title	Contract Reference / Document Source	Description / Remarks	Frequency
1.	Monthly Review Progress Report	Annex 19 Table 19.2	The <i>Provider</i> shall prepare a Monthly Review Progress Report the framework for which is outlined in Table 19.2	Monthly (7 working days after the end of month)
2.	Annual Commercial Plan and Guidance Note	Service Information Chapter 2.2 and Appendix C	Plan to be prepared during mobilisation in the first year and prior to the commencement of each subsequent financial year.	Annual
3.	Reports to Network Board	Service Information Chapter 1.1.2 (4)	Various reporting requirements.	Quarterly or as required
4.	Performance and Continual Improvement	Conditions of Contract Clause 53	The <i>Provider</i> reviews and reports on performance levels and costs incurred compared to the Annual Commercial Plan.	Annually (not later than two months before the end of each financial year)

Ref No.	Title	Contract Reference / Document Source	Description / Remarks	Frequency
5.	Strategies & Plans		Reviews, updates and maintains <i>Employer's</i> strategies and plans.	As required
6.	SfM	Annex 21 & Annex 19 Table 19.4	Financial and Output Reports in accordance with Table 19.4 of this Annex.	As required by the <i>Employer</i>
7.	SfM	Annex 19 Table 19.4(a) & 19.4(b)	Outturn cost data and Activity Benchmark sheets.	At scheme final account
8.	Cost Capture	Service Information Chapter 2.4 & Annex 5	Reports using Cost Report in accordance with Table 19.7.	Monthly
9.	NRSWA	Annex 19 Table 19.5 AMOR Part 2 - Managing Network Occupancy Requirement and Annex	Report to the <i>Employer</i> as outlined in Table 19.5 attached. Monitor compliance with legislation in Annual report and identify areas of non-compliance and action plan for improvement.	Annually
10.	Winter Service - operator's daily diary of decisions and actions taken	AMOR Part 4 - Severe Weather Requirement and Appendix	Provide operator's daily diary of decisions made and actions taken during the winter service period in order to record decisions made and provide confirmation of winter service treatment actions.	"Live" reporting during Winter Period (Web based system)

Ref No.	Title	Contract Reference / Document Source	Description / Remarks	Frequency
11.	Weather Conditions	AMOR Part 4 - Severe Weather Requirement and Appendix	Report on the weather conditions (actual and forecast site conditions for each 24 hour period) during the winter service period. Monitor changes of weather condition on the Area Network: a. Liaise with media team where necessary; b. Inform senior management where appropriate.	Daily during Winter Period (Web based)
12.	Weather Forecasting Analysis	AMOR Part 4 - Severe Weather Requirement and Appendix	Report detailing end-of-season analysis of the accuracy of weather forecasts, for each forecast site, based on information contained in the Road Weather Information System. The Forecasting Organisation prepares the report for the <i>Provider</i> .	Annually (As required)
13.	Winter Service – thermal mapping-	Severe Weather Plan AMOR Part 4 - Severe Weather Requirement and Appendix	Report on any changes adjacent to and on the Area Network which will affect the <i>Employer's</i> thermal mapping information. Review coverage of thermal maps as part of winter service and identify areas of improvement.	As required
14.	Winter and Business Continuity	AMOR Part 4 - Severe Weather Requirement and Appendix	Report on the winter and business continuity throughout the Winter Period. Monitor adequate salt stock level, to ensure salt stock is above capability threshold level, reserve fleet levels and fuel stocks (as appropriate) throughout the Winter Period.	Daily reporting during Winter Period (Web based system)

Ref No.	Title	Contract Reference / Document Source	Description / Remarks	Frequency
15.	Winter Service Operational Assessment Report	AMOR Part 4 - Severe Weather Requirement and Appendix	Report on the performance of all aspects of the winter service at the end of the winter period. Include any recommendations for further actions to improve the operations as appropriate. Present the report to the <i>Employer</i> during the first week of June each year throughout the Contract Period to enable the <i>Employer</i> to review the effectiveness of the winter service.	Annually
16.	Watchman Role / General	AMOR Part 1 Watchman Role	Report on all matters performed by the <i>Provider</i> in relation to the watchman role.	Quarterly
17.	Contract (Managed Works)	Annex 9 Contract Management Duties	Report in accordance with the requirements of each Managed Works services contract; including but not limited to: <ul style="list-style-type: none"> a. Tender assessments (financial and quality) competitive and framework evaluation; b. monthly valuations; c. completion/ maintenance/ other certificates; d. site inspections and test work; e. financial reports; f. procurement schedules; g. Scheme design and construction programmes; h. action plans; i. Engineer or Project Manager and Supervisor monthly progress reports; j. reports on claims to identify any potential overspend, compensation events 	Monthly or as required by the <i>Employer</i>

Ref No.	Title	Contract Reference / Document Source	Description / Remarks	Frequency
			(including estimates and altering drawings, specifications and other details) and any financial risks; k. Maintains such records of the Contractor's performance necessary to complete Motivating Success - A Toolkit for Performance Measurement or provide objective and detailed reports to the <i>Service Manager</i> .	
18.	Close down meeting lessons learnt and innovation	Annex 9 Contract Management Duties	a. The <i>Provider</i> shall chair a close down meeting on completion of the Scheme. Any lessons learnt or innovations from the Scheme are to be reported to the <i>Service Manager</i> in an agreed format.	On completion of each Scheme.
19.	Programme Development	Table 19.3 & Annex 18 Reference documents: Annex 25	Report in accordance with the requirements of the Programme Development Management Manual	As stated in Table 19.3
20.	Energy Procurement Strategy (EPS)	Annex 18 Reference documents: & Annex 6 Information Systems	Report to the EPS Administrator providing a copy of the complete EPS formatted half hourly lighting inventory updated to include all amendments/additions to road lighting and illuminated signs.	Monthly on the first working day each month
21.	Communications & Media Relations	Service Information Chapter 1.8 & Annex 3	The <i>Provider</i> will monitor contact with stakeholders (inc. media and customers) – and report to <i>Service Manager</i> and HA Communications Group. The <i>Provider</i> shall also include	On each occasion immediately following contact

Ref No.	Title	Contract Reference / Document Source	Description / Remarks	Frequency
			a section on communications in its monthly report to the <i>Service Manager</i> . This includes a review of all agreed proactive and reactive media contact and coverage; any agreed publicity and advertising; and, community liaison work. (Ref. Annex 3 section 3.5.2)	
22.	Management of Employer's Stocks	Service Information Chapter 1.13	Report on inventory of Employer's Stocks in terms of serviceability, movement, usage and disposal. Monitor utilisation of Employer's Stocks. Ensure Employer's Stocks are effectively utilised.	Bi-annually
23.	Design (including road safety audits and exception reports)	Annex 20	Undertake when instructed by the <i>Employer</i> an assessment of designs submitted by others and report findings to the <i>Employer</i> . Report on design progress, departures from standard, liaison with statutory undertakers and other statutory organisations, land acquisition requirements, statutory procedures and orders and road safety audits.	As required by the <i>Employer</i>

Ref No.	Title	Contract Reference / Document Source	Description / Remarks	Frequency
24.	Various <i>Provider's</i> Plans and Reports as detailed in AMOR and Appendices	AMOR Part 0 - All sections	Provide all the forward plans as required in AMOR to demonstrate the management of the Asset Maintenance and Operations. A non-exhaustive list of these plans includes: <ul style="list-style-type: none"> a. Environmental Management Plan b. Incident Response Plan c. Lighting Asset Management Plan d. Maintenance Requirements Plan (MRP) e. Manage Network Occupancy Plan f. Salt Restocking Plan g. Severe Weather Plan h. Strategic Lighting Asset Management Plan. 	Annual
25.	ADMM Reports	ADMM	Report in accordance with the reporting requirements of ADMM for various systems and services including HAPMS, geotechnics, drainage, environmental, winter services, etc.	As required by ADMM and the <i>Employer</i>

Ref No.	Title	Contract Reference / Document Source	Description / Remarks	Frequency
26a	Accidents & Incidents / Emergencies	AMOR – Part 3 - Incident Response and Appendix Part 4 - Severe Weather Requirement and Appendix	Provide the reports in relation to accidents and incidents. a. Tactical Incident Response Plan (TIRP) (undertaken for each incident notified of) b. Incident Data Capture sheet (completed for each incident attended) (NB. there is a parallel procedure under which the police also report certain major accidents direct to the <i>Employer</i>). c. Accidents / incidents involving <i>Providers</i> winter service vehicle.	a. As required. b. As required c. As stipulated in Severe Weather Plan
26b	Supply Chain Health and Safety Incident Reporting	IAN 128/12	In accordance with IAN 128/12	As required
27	Collection of Fees	Service Information Chapter 2.5	Report to the <i>Employer</i> all fees recovered on his behalf.	Monthly
28	Third Party Claims handled by the <i>Provider</i>	Service Information Chapter 1.9 & Annex 23	Report detailing, for each claim, the amount claimed from third parties, a calculation of Defined Cost and resulting Third Party Claims Overhead, the amount recovered, an explanation of any differences between any of these amounts, and explanation of why any loss greater than Defined Cost has been claimed.	As required by the <i>Employer</i>
29	Development control	Service Information Chapter 6.5	Report on advice on effect of proposed development/re-development on Area Network.	As per development proposal

Ref No.	Title	Contract Reference / Document Source	Description / Remarks	Frequency
30	Employer's Vehicles	Annex 7	<p>a. Vehicle condition, status and defect reports including any repairs or modifications carried out (refer Annex 7.3.6).</p> <p>b. Joint Inspection reports (report submitted within 14 days of inspection) (refer Annex 7.2.7).</p> <p>c. Accident reports (refer Annex 7.2.5).</p> <p>d. Pre winter checks (report submitted within 3 days of checks) (refer Annex 7.3.7).</p> <p>e. Roadside Repair (refer Annex 7.6.1).</p>	<p>a. Within 1 week of the <i>access date</i> and following any change / action & at Monthly intervals with summaries at Sept and March each year</p> <p>b. within 28 days of the <i>access date</i> and within 28 days before the end of the Contract Period</p> <p>c. Immediate</p> <p>d. September each year</p> <p>e. As soon as possible</p>
31	Scheme development	Annex 20	Develop Forward programme; produced PAR; report variance cost estimate/budget; report variance of design during construction; and post project reviews.	As required in Annex 20

Ref No.	Title	Contract Reference / Document Source	Description / Remarks	Frequency
32	Tourist Signs	Service Information Chapter 6.11	When instructed by the <i>Employer</i> undertake an assessment, for a particular applicant, of the feasibility of provision of tourist signs, inclusive of preliminary estimated costs, in accordance with the principles in Circular Roads 3/95 and report findings with recommendations to the <i>Employer</i> . Study and LNMS scheme development.	As required by <i>Employer</i>
33	Demobilisation duties	Service Information Chapter 1.10.2	A report on all designs in progress, outstanding defects, work in progress and the <i>Provider's</i> assessment of all duties that would appropriately be performed by the <i>Provider</i> after the end of the Contract Period.	A draft of the information is provided 3 months before the expiry of the Contract Period and is finalised 1 week before the expiry of the Contract Period or at a time agreed with the <i>Service Manager</i> .
34	Non-conformity and Corrective Action Reports	Table 19.6	Report as outlined in Table 19.6.	As required by Table 19.6
35	Lean "Planned & Realised" Benefits Report	Annex 14 Lean Benefits Realisation Guide	Report using data from the Benefits Realisation Capture Form (BCRF) structured around "Planned Benefits" and "Realised Benefits".	Annually

Ref No.	Title	Contract Reference / Document Source	Description / Remarks	Frequency
36	Category Management Plan	Annex 29	Plan proposing <i>Provider's</i> approach to category management as detailed in Annex 29.	Prior to <i>access date</i> and updated quarterly
37	Information/ Records Gap Analysis report	Service Information Chapter 3.1	Submits an Information/Records Gap Analysis report to the <i>Service Manager</i> detailing gaps listed in Annexes 17 & 19.	Within 2 months of the <i>access date</i>
38	Asset Data Gap Analysis Report	Annex 25 (Section 25.4.2)	A report detailing deficiencies in the completeness, currency and correctness of the asset data.	As required in Annex 25
39	Theft Reporting Proforma		To provide intelligence on the location/nature of thefts and allow provision for accounting and budgeting purposes.	To be used on each occasion a theft from the <i>Employer</i> or <i>Provider</i> occurs.
40	SME data	Conditions of Contract, clause 26.9	For each SME employed on the Services, a report detailing: <ul style="list-style-type: none"> • the name of the SME, • the class of SME (medium, small or micro), • the value of the contract undertaken by the SME, • the monthly amounts paid to the SME in the quarter and • the aggregated value paid to the SME since the <i>starting date</i>. 	Quarterly
41	RTMC Management	Annex 26	A report on the duties and functions of managing the RTMC as detailed in Annex 26.	As required by the <i>Employer</i>

Notes to Table 19.1: -

- All reports shall include where appropriate recommendations for further actions.

- References to documents, forms, appendices or similar may be amended at any time by the *Employer*.

19.2 Monthly Review Progress Report Framework

- 19.2.1 The purpose of the Framework is to monitor the *Provider's* performance to meet contract requirements in order to deliver the *Employer's* objectives.
- 19.2.2 The schedule below forms a general framework for the Monthly Review Progress Report (MRPR).
- 19.2.3 The exact format of the MRPR and any subsequent amendments to the format required shall be agreed with the *Employer*.
- 19.2.4 The MRPR shall be a brief report of each item below using exception reporting whenever practicable.

Table 19.2

Ref	Item	Item Coverage
1.	Financial Monitoring	Comparison of actual and forecasted expenditure against budget for all works carried out on the Area Network, together with analysis and reason for variances. Budget allocation reviews and updates. Programme development in accordance with the Maintenance and Making Better Use Guides.
2.	Annual Plan	Report on progress made in achieving Annual Plan targets or requirements. Annual Plan issues.
3.	Report of Performance Management (Annex 15)	Record performance scores for each output performance indicator in the <i>Employer's</i> Performance Management Framework in accordance with Annex 15.
4.	Development Control	Summary of progress of all development control issues.
5.	Customer Service	Provide customer service reports to the <i>Employer</i> , including the following: No of complaints/enquiries, received, responses given and actions taken. Response times, number and type should correspond with CRS/HAIL customer categories and the media reporting categories given in the Appendix to this Table (as abstracted from the HAIL categorisations) of complaints received and actions taken.

Ref	Item	Item Coverage
6.	Publicity and Public Relations	<p>a. Prepare a programme of activity to help inform future HA communications plans including identifying all works affecting the Area Network that require advance publicity or could generate media or public interest. Details would typically include scheme information; programme dates; times of operation; proposed lane closures; traffic safety and management measures; alternative routes as applicable; the impact to the road user; and, benefit to the <i>Employer's</i> customers.</p> <p>b. Report back on local issues and how local communications activity has been received. This should include any agreed contact with the media, and any proposed publicity agreed with the <i>Employer</i>. The <i>Employer</i> already has separate media monitoring arrangements in place and the <i>Provider</i> should discuss with the HA Communications Group any instances of contentious media reporting including that which may require a response.</p>
7.	Any Other Issues	Any other issues considered necessary to report and or as required by the <i>Employer</i> , for example Partnering issues.
8.	Appendices	Append any detailed reports as appropriate and as required by the <i>Employer</i> as outlined in Table 19.1 of this Annex.

19.3 Maintenance and Making Better Use Guides Reports

19.3.1 The following is an indicative summary of the main reporting requirements of the Maintenance and Making Better Use Guides.

Table 19.3 Ref	Description	Remarks	Frequency
1	Project Appraisal Reports (PAR)	Project appraisals for programme development proposals in accordance with the Maintenance and Making Better Use Guides.	As required by the <i>Employer</i> .
2	Value management workshops	Report information as outlined in the Maintenance and Making Better Use Guides to Value Management Workshops.	As required by the <i>Employer</i> .
3	Software for Whole-life Economic Evaluation of Pavements (SWEEP)	Report on the SWEEP Analysis of regional roads projects by applying whole life costing in accordance with the Maintenance and Making Better Use Guides and Scheme Appraisal System.	As required by the <i>Employer</i> .
4	Programme development	Report on the development of the regional structures programme in accordance with the Programme Development Management Manual	As required by the <i>Employer</i> .

19.4 SfM Reports

- 19.4.1 The *Employer* operates a computer-based management information system (SfM). In addition to information provided through the business planning and financial procedures, it will be necessary for the *Provider* to provide regular reports, generally monthly.
- 19.4.2 Typical information requirements are outlined below but these may vary as further performance indicators are developed.
- 19.4.3 Physical and financial progress reporting is aimed to assist the *Employer* and the *Provider* in management of the Work. Emphasis will be placed on monitoring progress against predicted expenditure profiles, for all Work and associated preparatory activities, and the *Provider* shall assist in producing the reports.
- 19.4.4 The *Provider* shall provide the data in an agreed format and content, using software provided by the *Employer*. Until such time as data transfer is made by means of the Business Information Gateway Interface the *Provider* shall provide the necessary data in electronic format to the *Employer* by other means to be agreed.
- 19.4.5 The *Employer* will provide details of the timing and content of the required reports.
- 19.4.6 Reporting requirements are outlined in Table 19.4 below. For the current year, reporting will be monthly and cumulative completion of each output unit as recorded in SfM.

Table 19.4

Data Item	Output Unit	Frequency
Contracted cost	scheme £ 0.1k, month.	At acceptance, at revision.
Forecast period costs to the completion of the project.	scheme £1k, month.	Monthly as per agreed timetable or at agreed milestones.
Dates when key milestones achieved	scheme, agreed events.	As achieved.
If a scheme is expected to start next month	y/n.	When occurs.
If a scheme is expected to end next month	y/n.	When occurs.
Reconstruction	scheme, number of lane kms.	Monthly
Surface overlay	scheme, number of lane kms.	Monthly
Surfacing inlay	lane kms.	Monthly
Resurfacing	lane kms.	Monthly
Quiet surfacing	lane kms.	Monthly

Data Item	Output Unit	Frequency
Surface dressing	lane kms.	Monthly
Structures strengthened	scheme, number.	Monthly
Structures inspected	number	Monthly
Structures assessed	scheme, number.	Monthly
Structures renewal schemes – strengthening	Number	Monthly
Structures renewal -safeguard	Number	Monthly
Structures renewal – upgrade piers/supports	Number	Monthly
Routine maintenance structural surveys	lane kms	Monthly
Routine maintenance – skid resistance surveys	lane kms	Monthly
Routine maintenance – inspection of surfacings	carriageway kms.	Monthly
Emergency phones tested to target	number, 1%.	Monthly
Emergency phones repaired to target	number, 1%.	Monthly
Salting within 2 hours of forecast	number of events, 1%.	Monthly
Advance warning given of roadworks	y/n	On event.
Numbers of emergency phones installed	number	Monthly
Lighting installed/replaced	km	Monthly
Signage cleaned to standard	y/n	Monthly
Litter cleared to standard	y/n	Monthly
Projects / Schemes	Number	Monthly
General inspections	Number	Monthly
Principal inspections	Number	Monthly
Special inspections	Number	Monthly
Post tensioned inspections	Number	Monthly
LMNS – toolkit (pilots)	Number	Monthly
LMNS – safety	Number	Monthly
LNMS – accessibility	Number	Monthly
LNMS – environment	Number	Monthly
LNMS – integration	Number	Monthly
LNMS – multi-modal studies	Number	Monthly
LNMS – road based studies	Number	Monthly
LNMS – TCC milestones	Number	Monthly
LNMS – economy	Number	Monthly
Network communications schemes – renewals	Number	Monthly
Section 274/278 schemes	Number	Monthly

19.4.7 In order for the *Employer* to capture further analysis of specific project Works expenditure, the *Provider* will be required to capture all Defined Costs including actual costs where the defined cost is deemed to be zero

and a breakdown of payments in respect of work which is subcontracted, against the Schedule of Cost Components headings. The *Provider* is to report these Defined Costs, excluding fee on the document “NDD Out-turn data” contained in Appendix A. “Other” to include Charges and Insurance costs.

- 19.4.8 Each Defined Cost recorded in the out-turn, must in addition, be allocated against appropriate activities in the Activity Benchmark Sheet (ABS) as part of cost reporting in accordance with Table 19.4(a). The Activity Benchmark Sheet data is to include fee to reflect the total works cost excluding pain/gain. The Activity Benchmark Sheet is contained in Appendix B.

Table 19.4 (a)

Works expenditure should be summated to these Activities and Defined Cost including actual costs where the defined cost is deemed to be zero captured and allocated to these Reference nos		
Series subheading	Activity	NDD Out-turn Reference No.
100	Preliminaries (Excluding TM)	100 (all)
		101 (all)
		102 (all)
		103 (all)
		104 (all)
		105 (all)
		113 (all)
		114 (all)
		S1 100 (all)
100 A	Traffic Management	115 (all)
200	Site Clearance	200 (all)
		S1 200 (all)
300	Fencing	300 (all)
400	Vehicle Restraint (Concrete)	400.5
	Vehicle Restraint (Non-Concrete)	400
		400.05
		400.1
		400.15
		400.2
		400.4
	Pedestrian Guardrail	400.3
	Parapet Non Concrete N1	S1 400.1
		S1 400.15
	Parapet Non Concrete N2	S1 400.11
		S1 400.16
Parapet Concrete	S1 400.12	
1800	Structural Steelwork	S1 1800 (all)
5000/1900/1700	Protection of Steel work against corrosion (includes maintenance painting and concrete finish)	5000 (all)
		S1 1900 (all)
2000	Waterproofing	S1 2000 (all)
2100	Bridge Bearings	S1 2100
2300	Bridge Joints (Asphaltic plug)	S1 2100.2
	Bridge Joints (Metal/rubber)	S1 2100.3

	Bridge Joints (Mechanical and other)	S1 2100.4
2400	Brickwork, Blockwork and Stonework	2400 (all)
		S1 2400 (all)
2500	Special Structures	S1 2500 (all)
2700	Other Works (Service Utilities, Noise Insulation, Accommodation works etc)	W 2700 (all)
		S1 2600 (all)
3000	Landscape and Ecology	3000 (all)

19.4.9 The *Provider* submits an ABS with Target quantities and costs prior to Stage 3 (Construction, as per Annex 20) for all Schemes. At financial completion, ABS will be completed in full and submitted to CommercialCentral@highways.gsi.gov.uk. These will be in relation to the breakdown of the cost and the Unit of Measure as per the categories detailed in Table 19.4(b) below.

19.4.10 The *Provider* is responsible for maintaining all records of quantity changes which result from any potential or agreed compensation events which change the Prices.

Table 19.4 (b)

Task	Description	Target Quantity	Changes	Initial Target Value	Changes	PSPD	Unit of Measure
N4.1	Preliminaries						Weeks
N4.2	Traffic Management						Weeks
N4.3	Site Clearance						Hectares
N4.4	Fencing						Linear Metres
N4.5	Vehicle Restraint Systems (Concrete)						Linear Metres
N4.6	Vehicle Restraint Systems (Non-Concrete)						Linear Metres
N4.7	Pedestrian Guardrail						Linear Metres
N4.8	Parapet Non Concrete N1						Linear Metres
N4.9	Parapet Non Concrete N2						Linear Metres
N4.10	Parapet Concrete						Linear Metres
N4.11	Drainage & Service Ducts						Linear Metres
N4.12	Filter Drain Recycling						Cubic Metres

Task	Description	Target Quantity	Changes	Initial Target Value	Changes	PSPD	Unit of Measure
N4.13	Filter Drain Removal/ Renewal						Cubic Metres
N4.14	Earthworks						Cubic Metres
N4.15	Pavements - Sub Base						Cubic Metres
N4.16	Pavements - Road Base						Cubic Metres
N4.17	Pavements - Binder Course						Cubic Metres
N4.18	Pavements - Surface Course						Cubic Metres
N4.19	Pavements - Planning						Cubic Metres
N4.20	Kerbs, Footways and Paved Areas						Linear Metres
N4.21	Traffic Signs						Number
N4.22	Road Markings						Linear Metres
N4.23	Road Lighting Columns and Masts						Number
N4.24	Electrical Work for Road Lighting and Traffic Signs						Linear Metres
N4.25	Motorway Communications						Number
N4.26	Piling & Embedded Retaining Walls						Number
N4.27	Structural Concrete						Cubic Metres
N4.28	Structural Steelwork						Tonnage
N4.29	Protection of Steelwork against Corrosion						Square Metres
N4.30	Waterproofing for Concrete Structures						Square Metres

Task	Description	Target Quantity	Changes	Initial Target Value	Changes	PSPD	Unit of Measure
N4.31	Bridge Bearings						Number
N4.32	Bridge Expansion Joints (Asphaltic plug)						Number
N4.33	Bridge Expansion Joints (metal/ rubber)						Number
N4.34	Bridge Expansion Joints (mechanical and other)						Number
N4.35	Brickwork, Blockwork and Stonework						Square Metres
N4.36	Special Structures						Number
N4.37	Other Works (SUs, Noise Insulation, Acc Works etc)						Item
N4.38	Landscape & Ecology						Square Metres
N4.39	Contractors Share						NA

19.5 NRSWA Reports

19.5.1 Report to the *Employer* on the number of notices, inspections and fees received in the preceding 12 months for those items listed in Table 19.5 below.

19.5.2 The annual report will identify changes from the previous annual report and a trend analysis based on as many of the previous five years records that are available.

Table 19.5

NRSWA Section	Record	Reporting Requirement
50	Income received Street Works Licences	Total fee from each Undertaker per month

NRSWA Section	Record	Reporting Requirement
72 (2) (3)	Income received from inspections fees.	Total fee from each Undertaker per month
74(5)	Overrun charges issued	Total fee from each Undertaker per month
76	Traffic orders introduced. Emergency orders introduced. Fees recovered.	Totals.

19.6 Nonconformity and Corrective Action Reports

- 19.6.1 The purpose of this section is to describe the minimum requirements to be fulfilled by the *Provider* when submitting reports in connection with Nonconformities and corrective actions.
- 19.6.2 The reporting of Nonconformities shall comprise an initial statement and the keeping of an up to date register.
- 19.6.3 Corrective actions require a specific report.
- 19.6.4 The requirements stated in Table 19.6 below are the minimum requirements. The *Provider* or the *Employer* may add to these from time to time.

Table 19.6

Ref	Item	Item Coverage
1	Nonconformities	
1.1	Report	<p>Within three working days from the identification of a Nonconformity the <i>Provider</i> prepares a brief report covering as a minimum:</p> <ul style="list-style-type: none"> • Unique reference for the Nonconformity • A brief description stating which requirement is not being fulfilled and in what way • The effect both current and potential • The likely cause i.e. what aspect of the Quality Plan is not functioning properly
1.2	Register	<p>The <i>Provider</i> keeps an up to date register of Nonconformities covering as a minimum:</p> <ul style="list-style-type: none"> • Unique reference, • Date of Identification, • Identification Method for example by operation of the Performance Management Manual or by Audit etc., • Date of corrective action report, • Date Nonconformity corrected (i.e. confirmed as such by the <i>Service Manager</i>), • Traffic light type notation, <ul style="list-style-type: none"> o Red – indicates Nonconformity identified but no corrective action report prepared – also where corrective action not complete by planned date, o Amber – Correction action report prepared and action in progress and within planned parameters, o Green – Corrective action complete and accepted by the <i>Service Manager</i>. <p>The <i>Provider</i> enters the Nonconformity on to the register within three working days from its identification.</p>

Ref	Item	Item Coverage
2	Corrective Action	
2.1	Corrective Action Report	<p>Within seven working days from the identification of a Nonconformity the <i>Provider</i> issues a corrective action report covering as a minimum:</p> <ul style="list-style-type: none"> • Unique reference of the Nonconformity • Description – this could be as per the Nonconformity report or expanded • Details of the corrective action to be taken • Categorisation of corrective action into high, medium or low risk • For high and medium risk an analysis of the root cause(s) of the Nonconformity commensurate with risk i.e. what is the evidence based underlying truth about what is causing the Nonconformity to occur • What aspect of the Quality Plan needs to be addressed i.e. which of the <i>Provider's</i> processes is not performing as required • What the corrective action will address, for example is it a process design that needs changing or is it an execution issue (i.e. that requires additional training, tools etc.) • For high and medium risk a detailed action plan, commensurate with risk, with planned correction date and milestones – the plan should contain named individuals for the actions and for high risk the plan should nominate the relevant executive process owner from the <i>Provider</i> to take overall accountability for the plan. A brief action plan is required for low risk. • Method of reporting progress to the <i>Service Manager</i> • The method to be used to signify successful correction of the Nonconformity to allow that to be recorded on the register. Any envisaged circumstance that will allow the <i>Service Manger</i> to confirm the correction. • Adjustments to be made to the Quality Plan in order to prevent reoccurrence of the Nonconformity.

19.7 Cost Capture

19.7.1 The *Provider* is required to maintain and submit a report showing the *Provider's* cumulative cost for each current year tied back to value. This report should provide a summary of the *Provider's* Works activity and cost breakdown as outlined in Annex 5 Tables 5.1.1, 5.1.2. and 5.1.3.

- 19.7.2 All overhead costs should be reported against the appropriate overhead activity.
- 19.7.3 In addition the *Provider* is required to maintain and report by activity the values outlined in Table 19.7 below. This information will be used by the *Employer* to benchmark cost across contracts.
- 19.7.4 The *Provider* is required to submit reports electronically using the “Provider Works Cost Report” supplied separately for this purpose. In order to maintain confidentiality reports should only be sent to Highways Agency mailbox: CostCaptureMailbox@highways.gsi.gov.uk
- 19.7.5 Costs captured for winter maintenance are required to be maintained for all the agreed treatment route locations and allocated to prescribed route locations.
- 19.7.6 The level of reporting the *Provider* will be required to report at sub-activity level to the *Employer*. Sub-activities for the *Provider’s* Works are outlined in Annex 5 Table 5.1.2. For activities identified for benchmarking, the *Provider* is required to populate the “Activity Benchmark Sheet” (as per table19.4b) supplied by the *Employer* for this purpose. The *Provider* is required to maintain a database of this for all completed schemes in accordance with the Service Information.
- 19.7.7 The *Employer* must be given open access to the *Provider’s* costing system as is necessary for the Employer to verify the accuracy of the data being reported.
- 19.7.8 For Works Constructed by Other Contractors the *Provider* is required to maintain cost data and submit “Con Forms for other types of projects” to support payment certificates. A spreadsheet is supplied separately for this purpose. These reports should be submitted electronically to the Highways Agency mailbox: Managed frameworks@highways.gsi.gov.uk.

Table 19.7

Header	Value
Percentage of Total Value.	Cumulative cost for each current year for each activity as a percentage of total value.
Remaining Current Year Forecast	The remaining forecast for each current year for each activity.
Current Year Total (CYT)	Cumulative cost for each current year for each activity plus the remaining forecast for each current year for each activity.

Header	Value
Current Year Full Year Total (CYFYT)	CYT cost for each activity divided by contract duration in year multiplied by 12 months.
£'s/lanekm	CYFYT as a cost per lane kilometre for each activity.
£'s/cwkm	CYFYT as a cost per carriageway kilometre for each activity.
Alternative Attributes	<p>CYFYT as additional unit rates for specific activities:</p> <ul style="list-style-type: none"> • Paved Areas as a rate per 1000 square metres of paved area. • Gully/ Catchpit Cleaning as a rate per number of gullies and catchpits. • Structures as a rate per number of structures. • Road Restraint Systems as a rate per kilometre of road restraint systems. • Road Traffic Signs as a rate per number of road traffic signs. • Lighting as a rate per number of road lighting units and number of lit signs. • Other Soft Estate Works as a rate per hector of soft estate works.
Total Value	Overall costs to be tied back to total value. This should include the value of the application to the <i>Employer</i> plus other related value for example income from third party damage.

APPENDIX A – NDD Out-turn data

See separate Microsoft Excel Worksheet

[Area 9 ASC SI Annex 19 Appendix A - NDD Out-Turn Data Rev 0.xls](#)

APPENDIX B – Activity Bench Mark Sheet

See separate Microsoft Excel Worksheet

[Area 9 ASC SI Annex 19 Appendix B - Activity Benchmark Sheet Rev 0.xls](#)

APPENDIX C – Annual Commercial Plan and Guidance Note

See separate Microsoft Excel Worksheet

[Area 9 ASC SI Annex 19 Appendix C - ASC Annual Commercial Plan Rev 0.xls](#)