

Scottish Trunk Road Network Management Contract
Schedule 3 - Contract Management – Appendix 8
Procurement & Management of Schemes Attachments
North West Unit

**Scottish Trunk Road Network Management Contract
North West Unit**

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Attachment 8.1 Model for Draft Tender Documents Checklist

MODEL FOR DRAFT TENDER DOCUMENTS CHECKLIST

Unit : _____
Route and Scheme Name: _____ _____
Scheme Identifier Number: _____
Form of Contract: _____

Note: This checklist is provided as a basis for the Operating Company to ensure all requirements have been addressed. The Operating Company shall adapt this checklist as necessary for use with any of the forms of contract and procurement options that the Operating Company may require to use and that are subject to an Order.

Consent for any such other form of checklist for other forms of contract and procurement options shall be sought in writing by the Operating Company from the Director.

1. GENERAL DOCUMENTATION AND CONDITIONS OF CONTRACT

		Yes/No/(N/A)
1.1	(i) Is the correct and up to date version of the Instructions to Tenderers, as stated in the model Contract document specified?	<input type="checkbox"/>
	(ii) Are all relevant Scheme specific sections completed?	<input type="checkbox"/>
1.2	Is a completed Construction Phase Plan included and do the Instructions to Tenderers include reference to the successful tenderer being appointed as Principal Contractor?	<input type="checkbox"/>
1.3	Are the correct Form of Tender and associated Certificates included and are the appropriate appendices to the Form of Tender all as specified in the MCD?	<input type="checkbox"/>
1.4	(i) Is the correct and up to date version of the conditions of contract based on the specified MCD included.	<input type="checkbox"/>
	(ii) Are all amendments issued by the Director applied?	<input type="checkbox"/>

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- 1.5 (i) Are any contract specific requirements to the conditions of contract specified, such as definitions of the Employer, Engineer/Project Manager and Special Requirements included?
- (ii) Are any changes listed in the Draft Tender Documents Certificate?
- 1.6 Has the Director given written consent to any additional requirements to the model of the type of contract issued by the Director?

2. SPECIFICATION Yes/No/(N/A)

- 2.1 (i) Are the correct Preamble and schedule of relevant publication dates included?
- (ii) Issue date of Specification used
- (iii) Is the most up to date Specification referred to in any Specification clause amendments?
- 2.2 Are there any relevant clauses or paragraphs from the Term Contract for Management and Maintenance of the Scottish Trunk Road Network [name of] Unit included in the Specification (for example patching or traffic management)?
- 2.3 (i) Are all additional or substitute clauses acceptable and have any departures from standard been approved by the Overseeing Department (including alternative materials)?
- (ii) Are all relevant Scottish Government/Transport Scotland Interim Amendments included?
- (iii) Are all such changes listed in the Draft Tender documents Certificate?
- 2.4 Are all relevant Specification Appendices included and completed in accordance with the Notes for Guidance to the Specification for Highway Works (NGSHW)?

Additional Scheme-Specific Specification Requirements: Yes/No/(N/A)

- 2.5 Are all relevant materials and workmanship testing requirements included in Appendices 1/5 or 1/6 as per NGSHW table NG 1/1 and other Scheme specific materials?

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- 2.6 Is an appropriate method of setting out, including level control, included in Appendix 1/12 and is all information needed for tendering purposes included?
- 2.7 Are all programming constraints and traffic management restrictions and requirements included in Appendices 1/13, 1/17, 1/18 and 1/20 as per the NGSHW sample Appendices?
- 2.8 Are schedules included for fencing, safety fencing, drainage and bearings as per NGSHW sample Appendices?
- 2.9 (i) Are full earthworks requirements included?
- (ii) Has a full geotechnical investigation been carried out where required?
- (iii) Has appropriate geotechnical certification been obtained where required?
- (iv) Has written consent been given by the Director for specialist materials or activities?
- 2.10 (i) Are specific requirements of the Scheme for pavement and surface dressing materials (including design mixes) included as per NGSHW sample appendices?
- (ii) Has written consent been given by the Director for specialist materials?
- 2.11 Are fully detailed new sign and road marking schedules included (referenced to drawings if appropriate)?
- 2.12 Are all electrical, road lighting and cabling requirements as per the Design Manual for Roads and Bridges (DMRB) and NGSHW sample Appendices included?
- 2.13 Are all maintenance painting of steel Structures requirements included as specified in the stated MCD?
- 2.14 Are bridge deck waterproofing requirements clear, including approval of proprietary systems?
- 2.15 (i) Is all structural work clearly defined and does it comply with the appropriate DMRB standards or approved departures?
- (ii) Has written consent been given by the Director for significant structural work?
- (iii) Have the requirements for any Works Contractor designed structural elements been defined including Approval in Principal submission requirements?

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2.16 Are the requirements for submission of fabrication drawings, method statements, risk assessments etc. clearly set out?

3. BILL OF QUANTITIES OR MILESTONE SCHEDULES Yes/No/(N/A)

3.1 (i) Are the correct Preamble and schedule of relevant publication dates included?

(ii) Is the most relevant and/or most up to date Method of Measurement or Milestone Schedule referred to in any amendments?

(iii) Issue date of Method of Measurement or Milestone Schedule used
--/----

3.2 Are all items of work, as identified in the Drawings, Specification and Health and Safety Plan, covered?

3.3 Are all standard items as per the Bills of Quantities for Highway Works Library of Standard Item Descriptions?

Yes/No/(N/A)

3.4 (i) Has the Method of Measurement (including itemisation and item coverage) been amended to cover new or non-standard items?

(ii) Has cognisance been taken of non-standard items contained within Term Contract for Management and Maintenance of the Scottish Trunk Road Network - [name of] Unit?

3.5 (i) Is a standard dayworks schedule included or, if not, has Conditions of Contract (ICE 5th Edition Clause 52(3) or equivalent) been omitted?

(ii) Is the inclusion of any provisional sums reasonable?

(iii) Are any such provisional sums consented to in writing by the Director?

3.6 Are all preliminary items (traffic management, offices/messes, recovery vehicles, diversions) included?

3.7 Have all quantities in the Bill of Quantities been checked and do similar items appear to correlate (for example earthwork excavation, disposal, deposition, imported material)?

3.8 (i) Are Prime Cost, Provisional or Nominated Sub-contractor items correctly applied?

(ii) Are provisional sums reasonable?

4. DRAWINGS Yes/No/(N/A)

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- 4.1 (i) Are a location plan, general arrangement and a limit/extent of Site drawing or land made available by the Employer for the Works included as appropriate?
- (ii) Do these include outlines of general Site clearance, earthworks and structural Works (Contractor Design)?
- (iii) Do the drawings identify all constraints on undertaking work and any required sequences of construction?

4.2 Are pavement construction and tie-in details, edge and drainage details, kerbing and footway alignments, electrical details, structural concrete and reinforcement detail and typical traffic management details included?

4.3 Have all Drawings been checked and signed/initialled as such?

5. LANE RENTAL AND LANE OCCUPATION Yes/No/(N/A)

5.1 Is the Scheme lane rental?

5.2 If not lane rental, has the written consent of the Director been obtained?

5.3 (i) Are the bonus/charge amounts or lane occupation charges for main Works and maintenance work defined in the Appendix to Form of Tender or equivalent?

(ii) Have the amounts been calculated in accordance with SH4 of the DMRB or has the written consent of the Director been obtained?

5.4 (i) Is the Working Day correctly defined in the conditions of contract (ICE 5th Edition Clause 1 or equivalent)?

(ii) Has the maximum duration of Works been defined in the Instructions for Tendering in accordance with SH4 of the DMRB?

5.5 Are paragraphs 5, 6, 7 and 8 for the Instructions for Tendering amended as per SH 4/91 of the DMRB or as appropriate for the particular type of contract to be used?

5.6 Are conditions of contract clauses 1, 14, 41, 43, 44, 47, 49 and 60 amended as per SH 4/91 of the DMRB or as appropriate for the particular type of contract to be used?

6. CERTIFICATION Yes/No/(N/A)

6.1 Have all relevant Design and Design Check Certificates Design Interim Certificates and Design Check Interim Certificates and Consultation Certificates from Attachment 8.1 to Schedule 2 Scope to the Term Contract for Management and Maintenance of the Scottish Trunk Road Network - [name of] Unit been completed?

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6.2 Has the Draft Tender Documents Certificate and associated Appendix A to the Draft Tender Documents Certificate, both included within Attachment 7.2 Draft Tender Document Certificates to Schedule 3 of the Term Contract for Management and Maintenance of the Scottish Trunk Road Network – (name of) Unit been completed and included?

7. Any Other Operating Company or Scheme Specific Requirements:

8. Any further comments by the Operating Company in relation to sections 1 to 7 inclusive above:

9. Any further relevant comments:

Signed: _____

Name: _____
(BLOCK CAPITALS)

Position: _____

Operating Company: _____

Date: _____

Final tender Documents and Checklist reviewed by Performance Audit Group

YES

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NO

*

*** Tick as appropriate**

Signed Date

Name (Block Capitals)

Position in Performance Audit Group.....

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Attachment 8.2 Draft Tender Document Certificates

TRANSPORT SCOTLAND

DRAFT TENDER DOCUMENTS CERTIFICATE

SCHEME TITLE

SCHEME NUMBER

I certify that the draft tender documents enclosed comprising **(Insert list of draft tender documents)* are based on the models requested (insert date) and provided by Transport Scotland (insert date) and include the variations listed on the attached sheet(s).

I certify that the draft tender documents comprising *** (Insert list of draft tender documents)* and fully detailed working Drawings have been prepared for this Scheme and where appropriate, the quantities entered in the bill of quantities are a true measure of the various items of work represented by those Drawings in accordance with ****(Insert title of the Method of Measurement used if appropriate)* . The Drawings and documents enclosed herewith are listed on the attached sheet. *(Delete paragraph if bills of quantities not used)*

Signed Date

Name (Block Capitals)

Position

Operating Company

.....

Confirmation by Performance Audit Group that the Scottish Ministers' Hold Point referred to at paragraph 8.3.21 of Schedule 3 Contract Management to the Term Contract for Management and Maintenance of the Scottish Trunk Road Network - [name of] Unit shall be released subject to any comments contained in the attached covering letter.

Documents reviewed by Performance Audit Group **YES**

NO

*** Tick as appropriate**

Signed Date

Name (Block Capitals)

Position in Performance Audit Group.....

APPENDIX TO DRAFT TENDER DOCUMENTS CERTIFICATE

SCHEME TITLE

SCHEME NUMBER

Instructions to Tenderers

The undernoted alterations/additions are proposed, compared with the latest standard version issued by the Scottish Ministers.

(List here only paragraph numbers with a note accompanying what has been added or deleted - do not list full wording.)

.....

...

.....

...

Conditions of Contract

The undernoted alterations/additions are proposed compared with the current model contract document issued by the Scottish Ministers.

(Note Special Requirements shall be restricted to those listed in the Model Contract Document unless prior written consent has been obtained from the Director in respect of any proposed additions)

(List here only clause numbers with a note clarifying what has been added or deleted - do not list full wording.)

.....

.....

.....

Specification

The undernoted alterations/additions are proposed compared with the latest Manual of Contract Documents for Highway Works issued for the Scottish Ministers or with the paragraphs included in Schedule 3, Section 7 Procurement & management of schemes of the Term Contract for Management and Maintenance of the Scottish Trunk Road Network - [name of] Unit.

(List here only clause paragraph or appendix numbers.)

.....

...

.....

...

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The undernoted scheme specific clauses or appendices have been included.

(List here only clause or appendix numbers but include all appendices that require to be prepared by the Contract Administrator(s))

.....

...

.....

...

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Preamble and Method of Measurement

The undernoted alterations/additions are proposed compared with the latest Manual of Contract Documents for Highway Works issued for the Scottish Ministers or Schedule 4 Measurement, Rates and Prices to the Term Contract for Management and Maintenance of the Scottish Trunk Road Network - [name of] Unit.

(List here only clause numbers with a note as to what has been added or deleted. List if alternative Method of Measurement (for example fixed lump sum) used with date authorised by Director)

.....
...

.....
...

Further Tender Documents

The following documents are submitted herewith.

- (a) Construction phase Plan
- (b) Drawings numbered and titled as follows:

.....
...

.....
...

.....
...

.....
...

- (c) Bill of Quantities and Milestone Schedule or other such document

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Attachment 8.3 Contract Control Forms

This Annex contains the following Forms:

- (i) CC1A,
- (ii) CCII,
- (iii) CCII Appendix 1,
- (iv) CCII Appendix 2,
- (v) CCIII,
- (vi) CCIII Appendix 1, and
- (vii) CCIII Appendix 2.

**Scottish Trunk Road Network Management Contract
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TRANSPORT SCOTLAND**

TRUNK ROAD DIRECTORATE

OPERATING COMPANY:

CC1A

Monthly Statement Number _____

Contractor _____

Scheme Identifier

*(see note below)

Contractor code

SEAS code

Scheme Title: _____

Scheme Commencement Date:

Scheme Completion Date:

Tender Total

Contractor's statement submitted on _____

Due Payment Date

Cumulative Total of payments to Contractor (excluding VAT)

Less amount previously certified (excluding VAT)

Amount this certificate (excluding VAT)

Certificate

We, the Operating Company appointed by the Scottish Ministers hereby certify that the sum of £.....(in words)..... is due to this Works Contractor in accordance with the terms of this Contract.

Signed: _____ Date: _____

Name: _____ (Block Capitals)

For the Operating Company

VAT Guidance	
Amount of Works that are zero rated =	<input type="text" value="£"/> (1)
Amount of Works liable to VAT at 20% =	<input type="text" value="£"/> (2)
Total VAT =	<input type="text" value="£"/> (3)
Total to be paid (1)+(2)+(3)=	<input type="text" value="£"/>
<i>For Transport Scotland Use Only</i>	
NMD: Payment Recommended	
Signed: _____	Name: _____
For the Director	Date: _____

*Where this Contract contains more than one Scheme ID number the following page shall be completed.

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 North West Unit
 TRANSPORT SCOTLAND
 TRUNK ROAD DIRECTORATE**

OPERATING COMPANY

CC1A

Monthly Statement Number _____

Breakdown of Scheme where this Contract contains more than one Scheme Identification number

Scheme Identification Number	Amount of Works 0% VAT £	Amount of Works 20% VAT £	Total Works Value £
	(1)	(2)	(1) + (2)

TOTALS =

£	£	£
----------	----------	----------

**Scottish Trunk Road Network Management Contract
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**TRANSPORT SCOTLAND
TRUNK ROAD DIRECTORATE
FINANCIAL STATEMENT**

CC II No.....

as at.....20... (a)

SCHEME TITLE _____

OPERATING COMPANY:
NO: _____

TENDER TOTAL £ _____ SCHEME

CONTRACT PERIOD _____ weeks

WORKS CONTRACTOR: _____

CONTRACT COMPLETION DATE: _____

ESTIMATED COMPLETION DATE: _____

(1)	(2)	(3)	(4)	(5)	(6)	(7)	(8)	(9)	(10)
Bill No	Details of Works Section Heads from Bill of Quantities or Milestone Schedule	Estimated Cost as in Bill of Quantities etc. (including allowance for Balancing Item)	Value of Work Excluding Nominated Sub-Contract	Progress to Date		Further liability	Final Cost	Savings (b)	Excess (b)
				Value of Work (Nominated Sub-Contract)	Percentage Col (4+5) x100 Col (8)				
		£	£	£	£	£	£	£	£
TOTAL Work carried out against Variation Orders for work not included in Contract (see App 1) and charged to the SE Contingency Provision of: £ _____ (Insert Estimated in (3) and fill in Cols (4) to (10) as appropriate. Adjustments (+ or -) due to Price Fluctuation Clause Financial Change Requests allowed (See App2)									
SUB TOTAL									
DEDUCT CREDITS									
TOTAL									
Value of Material on Site (97%) (c)									
Value of Material Vested but not on site (97%) (c)									
SUB TOTAL									
DEDUCT: Value of retention money withheld									
Cumulative Total of Payments to Works contractor (Total of (4) and (5))									
NOTES									

(a) To be submitted each month for Schemes costing more than £500,000

(b) Enter total savings and total excess in each section head

Estimated Net Saving/Excess
CERTIFICATE
I certify that the expenditure incurred relates to:
(i) Payment to this Contractor in accordance with the terms of the contract and
(ii) is for work that has been duly authorised or notified to The Scottish Executive

(c) Only to be included if shown on Appendix to Form to Tender
Date:
(Signed) Operating Company

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**TRANSPORT SCOTLAND
TRUNK ROAD DIRECTORATE**

CC II No. _____ Appendix 1

A. SUMMARY OF CHANGE ORDERS ISSUED AND

B. RETURN OF OTHER CHANGES (MEASUREMENTS) IN EXCESS OF - £2,000 DURING PERIOD COVERED BY CC II NO _____

SCHEME TITLE: _____

SCHEME NO: _____

VO No (1)	Description of changes with quantities and rates where appropriate (2)	Estimated Cost (3)	Source of Funds (4)	Authority (5)
1.	CHANGES FOR WORK NOT INCLUDED IN CONTRACT			
		Total increase from previous return		
	TOTAL INCREASE TO DATE (enter against work carried out against variation orders on CC II)			
2.	INCREASE IN WORK INCLUDED IN CONTRACT			
		Total increase from previous return		
	TOTAL INCREASE TO DATE (enter against section heads of bill of quantities / milestone schedules and the like on CC II)			
3.	DECREASES IN WORK INCLUDED IN CONTRACT			
		TOTAL DECREASE FROM PREVIOUS RETURN		
	TOTAL DECREASE TO DATE (entered against section heads of bill of quantities / milestone schedules and the like on CC II)			

Signed:

Date:

Operating Company

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CC II No. _____ Appendix 2

**STATEMENT OF POSITION REGARDING WORKS CONTRACTOR'S REQUEST
FOR ADDITIONAL PAYMENT OR EXTENSION OF TIME**

SCHEME TITLE: _____

SCHEME IDENTIFICATION NUMBER: _____

Request No (1)	Description and Works Contractor's views (2)	Contract Clause (3)	Amount £ or days (4)	Contract Administrator's observations and decision (5)	Amount Allowed £ or days (6)	Remarks (7)

Total of financial requests allowed to Column 3 of Form CCII £ _____

Signed _____
Operating Company

INSTRUCTIONS FOR COMPLETING FORM: see reverse

Date _____

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**INSTRUCTIONS FOR THE CONTRACT ADMINISTRATOR(S) COMPLETING FORM CC II
Appendix 2**

- (1) Requests for additional payment or time shall be entered under two headings:
 - (a) requests notified by the Works Contractor and pending, and
 - (b) requests certified by the Contract Administrator for payment, or extensions of time notified by the Contract Administrator.
- (2) Under each heading give a summary of the current position of requests previously notified, giving details of individual requests only where some development has occurred since the previous report (e.g. Works Contractor supplies valuation and Contract Administrator certifies for payment).
- (3) Detail requests notified in period covered by return. If the Works Contractor has not valued financial request then the Contract Administrator shall provide an order of magnitude assessment in column (4) marked "E/A" (estimated amount).

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**TRANSPORT SCOTLAND
TRUNK ROAD DIRECTORATE**

CC III

SCHEME TITLE: _____

SCHEME IDENTIFICATION NUMBER: _____

ENGINEERING STATEMENT

(To be submitted Quarterly for Works Contract)

No. _____

1. Operating Company _____

2. Name of Works Contractor _____ Date work
Commenced _____

3. Period of Contract _____ Months Completion
Date _____

4. Contract time elapsed _____ Months

5. Labour Force (on Site) at date of statement

6. Weather Conditions since last Report

7. Overall Progress

Quarter ended _____

Signed

Operating Company

Dated _____

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TRUNK ROAD DIRECTORATE**

CC III No.____ Appendix 1

PROGRESS DETAILS

ROAD AND GENERAL WORKS

Description (As in main headings of sections of bill of quantities or milestone schedule)	%Completed during quarter	%Completed to date	Remarks indicating if quantities or costs are likely to be exceeded by more than 10 per cent
	Insert % of work (not cost)		
	(Based on Current estimate of final quantities or milestone)		
General Preliminaries			
Site Clearance			
Fencing			
Road Restraint Systems			
Drainage			
Earthworks			
Sub-Base and Road Base			
Flexible surfacing			
Footpaths, Paving and Kerbing			
Accommodation Works			
Other headings as relevant			

Note: the headings given above are examples and therefore indicative only

**Scottish Trunk Road Network Management Contract
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**TRANSPORT SCOTLAND
TRUNK ROAD DIRECTORATE**

CC III No. ____ Appendix 2

PROGRESS DETAILS

BRIDGE WORKS

Bridge No.	Name and Description of Bridge	Stage Reached (Insert % of work (not cost) in appropriate column)				
		Excavation	Foundations	Super Structure	Decking	Complete

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Attachment 8.4 Lane Rental Form

MONITORING FORM FOR LANE RENTAL SCHEMES

GENERAL SCHEME DETAILS – MAINTENANCE SCHEMES

Region	<input type="text"/>	Route	<input type="text"/>
Scheme No.	<input type="text"/>	Contract Type*	<input type="text"/>
Works Type	<input type="text"/>	Title	<input type="text"/>
Contract Start Date	<input type="text"/>	Contractor	<input type="text"/>

CONTRACT DURATION

Contract Period Allowed in Tender Documents	<input type="text"/>	days
Contractor's Stated Contract Period	<input type="text"/>	days
Actual Time Taken	<input type="text"/>	days
Extension of Time Granted due to Weather	<input type="text"/>	days
Extension of Time Granted due to Additional Work	<input type="text"/>	days
Claims for Extension of Time Outstanding due to Weather	<input type="text"/>	days
Claims for Extension of Time Outstanding due to Additional Work	<input type="text"/>	days
Estimated Settlement of Claims Outstanding due to Weather	<input type="text"/>	days
Estimated Settlement of Claims Outstanding due to Additional Work	<input type="text"/>	days

CONTRACT COSTS (excluding Operating Company design, supervision and procurement fee but including VAT on Works where appropriate)

Pre-Tender Estimate	<input type="text"/>	£
Accepted Tender Price (adjusted price if lane rental)	<input type="text"/>	£
Site Supervision Costs Up to Substantial Completion	<input type="text"/>	£
Sum Paid to Contractor on Substantial Completion (including Bonus/Charge & claims)	<input type="text"/>	£
Retention	<input type="text"/>	£
Total Claims Granted	<input type="text"/>	£
Total Claims Outstanding	<input type="text"/>	£
Estimated Settlement of Total Claims Outstanding	<input type="text"/>	£
Bonus B or Charge C	<input type="text"/>	£
	Daily	
	B	
	<input type="text"/>	£
	Total	
		or C
		<input type="text"/>
		£

* Conventional
Own Time Limit
Lane Rental