

**4th GENERATION TERM CONTRACT FOR MANAGEMENT AND
MAINTENANCE OF THE SCOTTISH TRUNK ROAD NETWORK**
PRELIMINARY INFORMATION FOR INTERESTED PARTIES

**4th GENERATION TERM CONTRACT FOR MANAGEMENT AND
MAINTENANCE OF THE SCOTTISH TRUNK ROAD NETWORK**
PRELIMINARY INFORMATION FOR INTERESTED PARTIES

© Crown copyright 2010

Scottish Executive
St Andrew's House
Edinburgh
EH1 3DG

Produced for the Scottish Executive by APS Group Scotland
153426 (10/10)

Transport Scotland,
Buchanan House,
58 Port Dundas Road,
Glasgow, G4 0HF.
0141 272 7100

info@transportscotland.gsi.gov.uk
www.transportscotland.gov.uk

Supplier Information Day Document

Contents

1	Introduction	1
2	Background.....	2
3	Transport Scotland's contract approach	4
3.1	General.....	4
3.2	Contract Objectives	4
3.3	Roles of the Parties Involved in the 4G Contracts	6
3.4	Scope of Operations.....	8
3.5	Operating Companies' Principal Obligations and Responsibilities.....	10
3.6	Threshold Levels	11
3.7	Extent of the Units, Turnover and Contract Period	11
4	Broad requirements of the 4 th Generation (4G) contracts	13
4.1	Outline	13
4.2	Conditions of Contract	13
4.3	Schedule of Rates and Prices	14
4.4	General Scottish Ministers' Requirements.....	15
4.5	Quality, Environmental and Safety Management Systems and Records 16	
4.6	Design and Procurement.....	18
4.7	Management of Operations	19
4.8	Technical Studies and Advice.....	24
4.9	Specification for Operations.....	25
4.10	Construction Design and Management Regulations.....	26
5	Programme and procurement	27
5.1	Programme	27
5.2	Procurement	27
	APPENDIX A – Summary of the Methods of Payment for Various Operations...	29
	APPENDIX B – Outline Programme of the Award Process	30
	APPENDIX C –Structure of the 4G Contracts.....	31

1 Introduction

The aim of this document is to give interested parties an introduction to the 4th Generation (4G) Term Contracts for the Management and Maintenance of the Scottish Trunk Road Network. The document covers the following main subjects:

- background to the Management and Maintenance of the Scottish Trunk Road Network
- Transport Scotland's approach – development of the 4th Generation (4G) contracts
- broad requirements of the 4th Generation (4G) Term Contracts
- programme and procurement

This document does not form part of the tender process and is solely intended to provide information to stakeholders, which may or may not include prospective tenderers. The content of this document is in no way deemed contractual and any information given is subject to change.

2 Background

Scotland's trunk road network is diverse and ranges from the ten-lane M8 motorway in the centre of Glasgow, to single carriageways in the West Highlands. Although the trunk road network represents just over 6% of the total road network in Scotland, it carries 37% of all traffic and 62% of all heavy goods vehicles. Traffic flows range from less than 1000 vehicles per day on rural trunk roads to over 160,000 vehicles per day on the busiest stretches of motorway. The trunk road network is considered to be essential to the social and economic wellbeing of Scotland.

The trunk road network is the responsibility of the Scottish Ministers, who have a statutory duty under the Roads (Scotland) Act 1984 for its management and maintenance. In 2006 the Scottish Government established the national transport agency, Transport Scotland, to oversee its statutory responsibility. Its purpose is to help deliver the Scottish Government's vision for transport, making a real difference for people and businesses using the national transportation networks.

Following the publication of "*Competing for Better Roads*" in 1994, the management and maintenance of the trunk road network has been undertaken on a formal contractual basis through competitive tender. Term maintenance contracts, based on the ICE 5th Edition Conditions of Contract, for management and maintenance services have been in place since 1995 and are currently in their 3rd Generation. Payment for the work undertaken is through a Schedule of Rates and Prices that include monthly sums for carrying out services. The monthly sum activities include general inspections of the network including structures, routine and cyclic maintenance, winter maintenance and incident response services and general management duties.

The 1st Generation (1G) contract from 1995 to 2001 was a significant step forward for Scotland involving Management Agents overseeing Local Authority Service Providers and Operating Companies. Following "*The Road Ahead*" consultation process in 1999, it was concluded that the contractual basis for the services should continue and that four Operating Company areas should be set up. A 2nd Generation (2G) of term management and maintenance contracts were awarded following a tender competition in 2001. The appointed Operating Companies managed and maintained four specific geographical areas or "Units" as shown in Figure 1.

The geographical "Unit" approach as used on the 2nd Generation contracts has been adopted for the 3rd Generation (3G) contracts and will be adopted for the 4th Generation (4G) contracts, excluding sections of the network that are, or are planned to be operated under separate arrangements. Sections of the network that will be excluded are parts of the M74, A80 / M80 and M77 motorways all of which have separate management and maintenance contracts in place.

The 3G term maintenance contracts have been in place with Amey and Scotland TranServ in the South West and North West Units respectively since April 2006 and BEAR Scotland commenced operations in North East and South East Units in April 2007. As with the 2G contracts, these are for a period of five years with possible extensions up to a further two years

Transport Scotland is now commencing a procurement process to replace these contracts in two tranches. Contract Notices for the first tranche, the North West and South West Units, will be published in the near future.



Figure 1 – Scottish Trunk Road Network

3 Transport Scotland's contract approach

3.1 General

The management and maintenance contracts have been developed since 1996 to the current 3rd Generation (3G) contracts and it has been demonstrated that the Operating Company arrangement delivers Transport Scotland's objectives. This development has been continued for the new 4th Generation (4G) Contracts and Transport Scotland has taken the opportunity to introduce additional contractual requirements.

This document outlines the broad arrangements for the 4G Contracts, and it is provided for information only. It does not form part of the 4G Contracts.



3.2 Contract Objectives

Transport Scotland's current Corporate Plan (2008-2011) outlines the Scottish Government's purpose including increasing sustainable economic growth through 5 Strategic Objectives. This is devolved down through four Delivery Priorities for Transport Scotland, all of which are relevant to the 4G Trunk Road Maintenance contracts. These Objectives and Priorities are summarised in Figure 2.

The 4G contracts have been developed to ensure alignment to key Transport Scotland policies at all times.

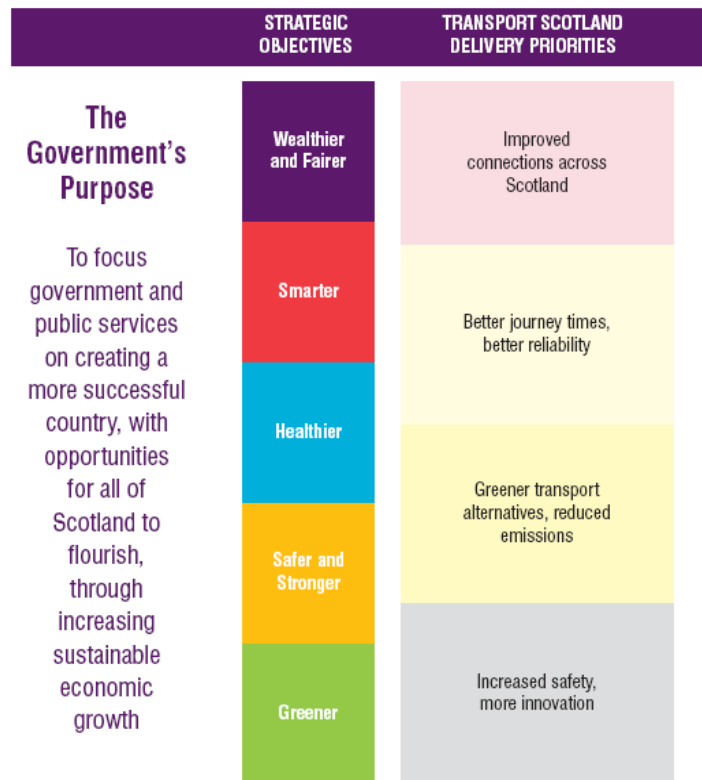


Figure 2 – Objectives and Priorities

In summary the principal objectives of the 4G Contracts in relation to Figure 2 will be:

- **Value for Money** – To achieve the maximum efficiency in the use of the substantial sums of money expended on the maintenance of the network
- **Reliable Journey Times** – to assist in the provision of journey time information to Traffic Scotland and allow a 'customer orientated' approach to be further developed in the way roads are managed and maintained
- **Sustainable Delivery** – to deliver OC services in a sustainable manner and aid carbon emission reduction
- **Continuous Improvement** – to deliver continuous improvement, skilful management and innovation
- **Flexibility** – to accommodate changes to the trunk road network and future policy changes

3.3 Roles of the Parties Involved in the 4G Contracts

The new 4G contracts between the Scottish Ministers and the Operating Companies will be administered by the Director of Trunk Road and Bus Operations Directorate (TRBO). In addition, Transport Scotland has appointed Halcrow Group Ltd as the Performance Audit Group (PAG) whose duties shall include the auditing and monitoring of the Operating Companies' compliance with the contract requirements. Figure 3 indicates the relationships between the parties.

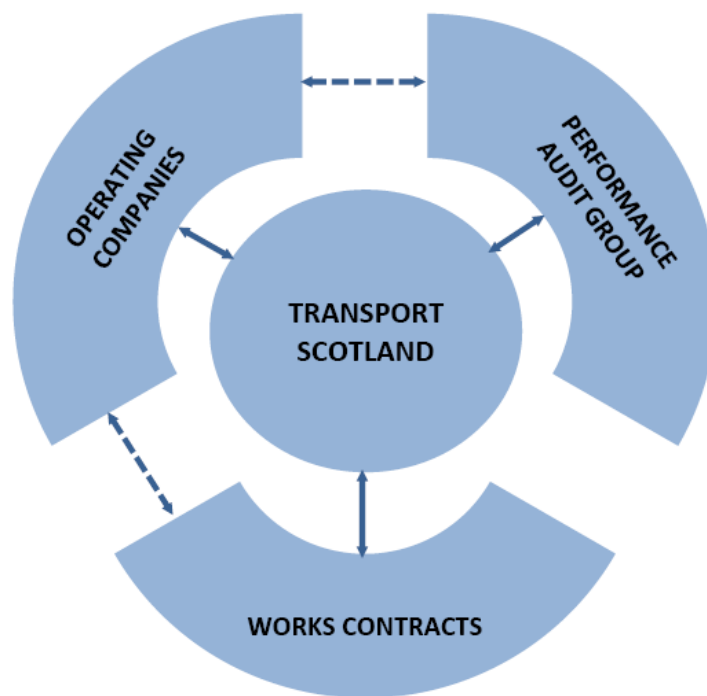


Figure 3 – Relationship between Parties

3.3.1 Transport Scotland

Transport Scotland comprises the following main functions:

- Trunk Road and Bus Operations
- Aviation, Maritime, Freight & Canals
- Business Improvement and Corporate Services
- Concessionary Travel and Integrated Ticketing

- Finance
- Major Transport Infrastructure Projects
- Rail Delivery
- Strategy & Investment
- Transport Policy

3.3.2 Trunk Road and Bus Operations (TRBO)

TRBO is responsible for carrying out two main areas of work:

- management and maintenance of the Trunk Road network in Scotland and Co-ordination of Response to Emergencies affecting Transport
- delivery of the Concessionary Travel and Integrated Ticketing and Distribution of the Grants to Bus Operators throughout Scotland

The Trunk Road network comprises of around 3,500km of road and is the largest asset Scottish Ministers own (£15 billion Net asset value).

TRBO comprises of around 150 staff within the following teams:

- **Network Maintenance Team** - responsible for the day to day repair and upkeep, structural and winter maintenance and minor improvements of Scotland's Trunk Road network
- **Structures Team** - responsible for the maintenance and construction of bridges across the Trunk Road network
- **Asset Management, Finance and Technical Team** - responsible for the budget for the Trunk Road network as well as asset management and IT issues
- **Network Operations** - responsible for 5 main business areas including Traffic Scotland Service, Transport Resilience, Strategic Road Safety, Development Management, and Operations Services
- **Concessionary Travel and Integrated Ticketing** - responsible for delivering Smartcard schemes across Scotland for the elderly, disabled and young, and for the delivery of Bus Operator Grants

- **Network Administration Team** – take responsibility for answering Freedom of Information requests, Parliamentary Questions, First Minister's Questions and Ministerial Correspondence for the Trunk Road area. This area is also responsible for putting forward Road Orders for the closure of roads for maintenance and other essential works

3.3.3 Performance Audit Group (PAG)

PAG independently audits, monitors and reviews the financial, technical and performance aspects of the Operating Companies. PAG also assesses the accuracy of payment requests from the Operating Companies and carries out inter-Unit comparisons and value for money investigations. This role is currently undertaken by Halcrow, in association with PricewaterhouseCoopers, Scott Wilson and TRL.

3.3.4 Operating Companies

Operating Companies are suitably experienced and qualified organisations employed through term contracts to manage and maintain the trunk road network within their Unit. The term contracts have been developed to ensure that the manner in which activities of the Operating Companies are undertaken contributes to the overall objectives of Transport Scotland.

The Operating Companies are required to liaise with the many stakeholders in the network and to provide information to ensure the road users are informed about activities and the availability of the network. Ensuring and maximising the availability of the network for road users is a key responsibility for Operating Companies.

Winter Service and Incident Response are highly visible aspects of the Operating Companies duties under the contracts and performance of these and other duties are closely monitored.

3.4 **Scope of Operations**

The network to be managed and maintained under the 4G Contracts will include all trunk roads and motorways throughout Scotland with the exception of parts of M77, M74 and M80 as indicated on Figure 1. These routes are the subject of separate arrangements.

The main operations to be provided by the Operating Companies include:

- managing the efficient operation of the trunk roads network
- inspections, investigations, surveys and data analysis

- routine management of the network, including planning and programme development
- cyclic maintenance
- routine maintenance, including defect repairs
- dealing with the consequences of severe weather, including winter, flooding and high winds
- 24/7 emergency response
- management of all works with respect to improving journey time reliability and reducing the effects of congestion
- design and preparation of contract documents, procurement and supervision of Operations and Works to cover road maintenance and repair, improvement, road safety and structures schemes
- working with, and interfacing with, key stakeholders including the client, utility companies, major commercial third parties, environmental agencies, national heritage institutions, local authorities, road users and affected parties during the design and construction of the works to ensure that the rights, interests and requirements of all parties are protected and delivered
- construction of schemes with a value up to £250,000

The scope of the Operating Companies Operations does not include the installation and maintenance of the Transport Scotland's roadside electronic systems used for monitoring and managing the operation of the network. These are maintained and administered under separate contracts.



3.5 Operating Companies' Principal Obligations and Responsibilities

The Operating Companies will be required to meet all of their obligations under the 4G Contracts. Further details are included at Section 4 of this document.

The Operating Companies' principal responsibilities include:

- provision of sufficient resources to carry out all of the Operations
- managing input to computer based systems such as the Scottish Executive Road Information System (SERIS) and the Contract Control and Management System (CCMS)
- provision of certain services for monthly sums
- obligations under the TUPE regulations
- claims by third parties and indemnification of Transport Scotland
- the costs of repair of damage to the network up to a value of £10,000

The 4G Contracts will require the Operating Companies to indemnify the Scottish Ministers in against all loss arising out of the execution of this Contract, including, but not limited to, nuisance and their own negligence. The Operating Companies will be required to insure the operations, plant and the unit and have third party and professional indemnity insurance.

A number of payment methods will be used for the different activities to be undertaken by the Operating Company and include monthly sums, schedule of rates and time charge. A summary of the methods of payment for various operations is included at Appendix A.

The Operating Companies will be expected to ensure that all proposed maintenance operations and works contracts are justified in terms of technical suitability, sustainability, traffic disruption and value for money.

The Operating Companies will be required to comply with the Transfer of Undertakings (Protection of Employment) Regulations 1991. Existing Operating Companies will provide all tenderers with lists of their employees who are covered by these arrangements.

3.6 Threshold Levels

The 4G contracts allow Transport Scotland to issue orders to Operating Companies to undertake the design and construction of schemes up to a value of £250,000. The Operating Companies may also be required to undertake the design and supervision of schemes with a value of £250,000 and £5,000,000.

Execution of schemes with a value between £250,000 and £5,000,000 will be undertaken by Works Contractors although Transport Scotland may, in exceptional circumstances, issue the Operating Company to undertake works within this range. The procurement of Works Contractors will be undertaken by Transport Scotland with the Operating Company assisting as required.

Works contracts with a value in excess of £5,000,000 will be delivered under separate arrangements by Transport Scotland.

3.7 Extent of the Units, Turnover and Contract Period

The boundaries of the existing units shown in Figure 1 are being retained for the 4G Contracts.

Table 1 gives a summary of the route lengths in each Unit.

Unit	Length of Network (route km)
North East	629
North West	1,306
South East	503
South West	692
Total	3,115

Table 1 – Summary of Route Lengths

Preliminary projected annual turnover is similar for both the North West and South West Units at between £26m and £32m. Historically, budgets have varied from year to year. It should be noted that the projected figures are provided as a guide only and there is no guarantee that these will mirror the actual budget figures.

The Contract Periods will be as follows:

- mobilisation – a maximum period of 6 months has been allowed in the programme however this is subject to change
- Contract start date – 1 June 2012
- period of Operations – 5 years, extendable to a maximum of 10 years

4 Broad requirements of the 4th Generation (4G) contracts

4.1 Outline

The 4G contract documentation will comprise four main elements:

- the executed agreement
- the conditions of contract
- the schedule of rates and prices
- the Scottish Ministers' requirements

A draft structure of the 4G Contracts is included at Appendix C.

4.2 Conditions of Contract

The 4G contracts have been developed from existing Operating Company contracts that are based upon the ICE 5th Edition Conditions of Contract.

Some of the key points are:

- Operating Companies will act under a certified management system for all their contractual obligations
- Operating Companies will be responsible for supervision of all operations
- Operating Companies will indemnify the Scottish Ministers against claims
- provisions have been included to meet Transport Scotland's obligations under the Disability Discrimination Act
- sustainable working and measures to reduce waste will be promoted within the Contract
- Operating Companies will be expected to include Community Benefit initiatives in its activities
- partnering provisions have been included to form an integrated team to promote successful delivery of the contracts and innovation
- identify collaboration opportunities with other public sector organisations within the region

4.3 Schedule of Rates and Prices

The Schedule has two parts:

- Part 1 – Method of Measurement
- Part 2 – Schedule of Rates and Prices

4.3.1 Method of Measurement

The Method of Measurement incorporates Section 1 of Volume 4 of the Manual of Contract Documents for Highway Works, with deletions, additions and amendments as appropriate.

4.3.2 Schedule of Rate and Prices

The Schedule of Rates and Prices is based generally on the principles of the Manual of Contract Documents for Highway Works Volume 4 – Bills of Quantities.

The principal payment mechanisms are:

- monthly sums for the management and maintenance of the Unit
- individually measured items for additional work that is ordered. These items generally make provision for different quantity bands

4.3.3 Payments to Operating Companies

Payment applications by the Operating Companies are to be made monthly in a prescribed manner and shall be self-certified.

PAG will review the veracity of payments by auditing the Operating Companies' processes and recommend to Transport Scotland the amounts payable. PAG will also make recommendations to Transport Scotland on Operating Companies' proposals for budget and bid allocations, and new rates and prices for work ordered.

The Operating Companies will submit a final account for each scheme within a prescribed period from its completion.

A retention bond will be required upfront for the duration of the 4G Contracts.

4.4 General Scottish Ministers' Requirements

4.4.1 Overall Requirements

The Operating Companies' role is to assist the Scottish Ministers in achieving their strategic aims and objectives. This includes planning and executing operations and works associated with the management and maintenance of the Unit.

The safety of users of the Unit, and of persons affected by operations, will be the Operating Companies' paramount consideration at all times.

The Contracts' administration requirements for the Operating Companies include the following:

- extent of the Unit – interfaces with Local Authorities
- coordination with other works on the Unit
- correspondence, enquiries and complaints
- Customer Contact Service – Customer Care Line
- identify collaboration opportunities with other public sector organisations

4.4.2 Control and Management of the Operations

Core Operations will be carried out by the Operating Companies in accordance with the Contract. When required, Transport Scotland may issue Orders for additional work. To ensure effective financial control, and to manage the strategy for Operations carried out on the Network, the Operating Companies will not be permitted to carry out any additional work without such Orders from Transport Scotland.

The Operating Companies will be required to identify additional work to be done and submit bids, value for money justification and programmes to Transport Scotland for consent.

The Operating Companies will collect and analyse the inspection information and consider this along with the road condition survey data supplied by Transport Scotland to be able to prepare a programme of Schemes. All Schemes will need to be justified through the use of a Statement of Intent, demonstrating value for money.

The Operating Companies will be provided with the Scottish Executive Road Information Systems (SERIS), which incorporates a pavement management

system and the Road Maintenance and Management System along with other modules.

Transport Scotland will provide an inventory of Trunk Road infrastructure items. The Operating Companies will update, maintain and populate inventory data in SERIS to ensure the trunk road inventory is current and robust at all times. This will assist Transport Scotland in meeting its obligations as an asset manager, ensuring that agreed programmes of Schemes give value for money.

The Operating Companies will be required to provide a Contract Control and Management System. This system will control and record the processes and procedures to be followed for Bid, Order, Operations Instructions and payment.

4.4.3 Claims for Damages

The Operating Companies will be required to meet the cost of repair to all Damage to Crown Property if less than the threshold value of £10,000 and pursue costs from culprits.

The Operating Companies will process all third party claims including the recording of specific information for each and every incident.

4.5 Quality, Environmental and Safety Management Systems and Records

4.5.1 Management Systems

The Operating Companies will be required to have in place a management system, including a quality plan, which encompasses all aspects of the 4G contracts. It must be approved by Transport Scotland by the commencement of the service date and, within one year thereafter, received certification to the following standards:

- ISO 9001:2008, Quality Management Systems
- ISO 14001:2004 Environmental Management Systems
- OHSAS 18001:2007, Occupational Health and Safety Management Systems

Transport Scotland recognises the importance of a robust management system in supporting the achievement of the objectives of the contract and demonstrating the delivery of the contract requirements. Essential elements of the system will be a quality plan and detailed, documented procedures to control the processes. The system will support:

- continuous internal monitoring and auditing

- prompt correction of non-conformities
- continuous improvement

The system will include all documented procedures required by the 4G contracts and where necessary to control the processes.

The Operating Companies will implement, develop and continuously improve their management system to achieve its stated objectives. An essential requirement to achieving this will be an internal audit regime. A minimum frequency for this is stated in the 4G contracts.

The 4G contracts will require the Operating Companies to report on their performance against a number of performance indicators and provide further information for monitoring indicators. These indicators may be adjusted or augmented following consultations between Transport Scotland and the Operating Companies.

The Operating Companies will also submit various weekly, monthly and annual reports to Transport Scotland and PAG.



4.5.2 Records

The 4G Contracts will require all records to be held in electronic format, as far as is reasonably practicable. Communications and transfer of records between Transport Scotland, the Operating Companies and PAG will be almost exclusively carried out in electronic formats.

The Operating Companies will be required to store and maintain historical records and contemporary records for the trunk roads. These are progressively moving from paper to electronic format under the current arrangements.

During the procurement process the tenderers will be required to prepare outline information and communications technology systems plans. These will be developed by the Operating Companies during the mobilisation period and included in their management system where they will be maintained and updated throughout the 4G contracts. It is anticipated these plans will include:

- security and access protocols
- records and data transfer procedures
- storage of records, access and formats and procedures
- hardware and software requirements
- reliability and maintenance
- future development processes
- contingency, recovery and back-up plans

The Operating Companies will be required to receive, maintain, access and store all records from the current operators in electronic and paper format. At the end of the contracts all records will be handed over to the 5G operators.

4.6 Design and Procurement

The Operating Companies will undertake design for operations and works contracts, as appropriate.

For works contracts, the Operating Companies will prepare tender documentation, assist Transport Scotland with the procurement of the works contracts and supervise work on site as the Engineer.

All design will generally be in accordance with the latest version of the Design Manual for Roads and Bridges. The tender documents for works contracts will

generally be based on the latest version of the Manual of Contract Documents for Highway Works.

4.7 Management of Operations

4.7.1 Inspections

Inspections are vital to the safe and efficient management of the network, ensuring safety defects are rectified quickly and other defects are incorporated into appropriate programmes of renewals.

The Operating Companies will be required to carry out all routine inspections of the trunk road network within the timescales given in the 4G contracts. The types of routine inspections are:

- safety inspections – primarily to identify defects that may present an imminent or potential hazard
- safety patrols – similar to safety inspections, but only carried out on motorways and specific dual carriageways, in between safety inspections
- detailed inspections – required at specified frequencies from 3 months to 5 years, on all trunk road infrastructure items to identify defects and asset condition
- structures inspections, including general and principal inspections

4.7.2 Maintenance Requirements

The Operating Companies will be required to carry out various routine maintenance activities at defined intervals, or to a defined performance standard. These activities include:

- carriageway, cycleway and footway defect repairs
- road restraint systems repairs
- road signs/studs/markings repairs
- road lighting fault repairs
- gully, catchpits and chamber emptying
- landscape maintenance including grass cutting, weed control and control of vegetation

- sweeping and cleansing on motorways and other special roads
- scarifying filter drains
- road lighting, traffic signal and electrical apparatus maintenance
- cleaning of bridge expansion joints and drainage
- cleaning traffic signs

The Operating Companies will be required to repair defects within prescribed timescales.

All records of inspections, defects and operations completed will be recorded in the Road Maintenance and Management System by the Operating Companies.

The Operating Companies will need to employ a specialist landscape architect to develop the trunk road landscape action plans. These will include:

- landscape estate inventory
- landscape maintenance plan
- landscape development plan
- annual programme of landscape operations



4.7.3 Winter Service

Safety of users of the Scottish Trunk Road network is of paramount importance to the Scottish Ministers and the Operating Company will be expected to ensure the safety of road users accordingly.

Central to the effective management of the trunk road network during the winter months will be the Operating Companies' winter service plans. The Operating Companies will be required to develop and operate winter service plans.

These will include details of:

- depots
- labour and plant resources
- gritting and patrolling routes
- decision making
- communication and liaison

The design and delivery of the winter service operations by the Operating Companies will be within prescribed response times.



4.7.4 Incident Response

The Operating Companies will promptly respond to all types of incident that may affect the availability of the trunk road network, cause damage to its infrastructure or compromise the safety of road users.

From time to time, occurrences on the Scottish Trunk Road network will require the Operating Company to take emergency action. By their very nature, emergencies can generate a wide range of reactions which cannot be predetermined. Accordingly, the Operating Company will be expected to provide 24 hours a day cover, allowing labour, plant and materials to be mobilised expeditiously to carry out whatever work is necessary.

All the Operating Companies' incident response personnel will be adequately trained and the dedicated vehicles will be sufficiently equipped to deal with the types of incidents.

The Operating Companies will provide incident response services within prescribed response times.

The Operating Companies will develop and operate incident response plans, which will include proposals for dealing with:

- road traffic accidents and incidents on and adjacent to the trunk road network
- pollutant spillages
- problems resulting from extreme weather, such as landslides
- bridge strikes

The Operating Companies will record details of incidents of all types in a central database comprising part of SERIS.

4.7.5 Structural Pavement Maintenance

Structural maintenance of the carriageway is designed to replace life-expired elements of the road and to ensure that the design life of the asset is achieved or extended. The aim of such works will be to enhance the condition of the Trunk Road network asset whilst ensuring value for money. The Operating Company will be expected to develop structural pavement maintenance rolling programmes to enable such work to be properly programmed to support budgetary planning.

4.7.6 Journey Time Reliability Co-ordinator

The Operating Companies will appoint Journey Time Reliability Co-ordinators to deliver consultation, liaison, coordination and management service to minimise the impact of all activities on the Unit. The co-ordinator will be the first point of contact for all roadworks and events occurring on the network.

4.7.7 Maintenance of Bridges and Structures

The maintenance and management of structures on trunk road follow recognised asset management principles. Details of all structures are contained in Transport Scotland's computerised structures management system.

The Operating Companies will be given access to the structures management system to allow effective management of the structures stock and to enable updating of bridge records.

4.7.8 New Roads and Street Works Act 1991

The Operating Companies will coordinate the execution of works of all kinds affecting the trunk roads, including all Undertakers' work activities, and monitor the performance of all Undertakers.

The Operating Companies will carry out the Transport Scotland's delegated functions in terms of:

- notification
- inspections
- information provision

The Operating Companies will be required to liaise with, and input to, the Scottish Road Works Register.

4.8 Technical Studies and Advice

4.8.1 Abnormal indivisible load routeing.

Transport Scotland provides a statutory abnormal indivisible load routeing and co-ordination service throughout Scotland to hauliers and industry on behalf of the Department for Transport. The Operating Companies will provide advice to Transport Scotland as and when required.

The Operating Companies will also provide a routeing and co-ordination service for hauliers and industry for their Unit.

4.8.2 Planning applications

The Operating Companies will provide recommendations on applications issued to Transport Scotland for consultation from local planning authorities. An electronic planning system has been introduced nationally for planning in Scotland. Transport Scotland has developed a parallel electronic Planning Application Notification System which allows the Operating Companies to record, review, respond to Transport Scotland and monitor all planning applications.

4.8.3 Road safety and accident investigation and prevention

The Operating Companies will be stakeholders in delivering the Scottish Government's Road Safety Framework 2009. They will liaise closely with Transport Scotland and other stakeholders, including the Police, local authorities, emergency services and safety camera partnerships. SERIS will be used by the Operating Companies to identify accident clusters and to compile lists of proposed accident prevention operations. Where ordered, the Operating Companies will prepare reports on route or site specific studies.

4.8.4 Signing

The Operating Companies will provide advice to Transport Scotland and other stakeholders with regard to:

- tourist signposting
- temporary traffic signs to special events
- truckstop signposting

4.8.5 Traffic Counting Duties

The Operating Companies will liaise at all times with the Scottish Roads Traffic Database Manager.

Operations and works contracts on the trunk road network may affect fixed location traffic counting sites. The Operating Companies will notify the Scottish Roads Traffic Database Manager of roadworks, events or circumstances which may have had a significant effect on the recorded traffic flows or traffic patterns.

4.8.6 Community Benefit

In line with Scottish Government Guidance, Transport Scotland will require Operating Companies to include Community Benefit initiatives in its activities. This will include, but not be restricted to, training and employment initiatives and promoting supply chain opportunities to Small and Medium sized enterprises.

4.8.7 Collaboration

In 2006, John F. McClelland CBE published his *Review of Public Procurement in Scotland Report & Recommendations*, commonly referred to as *the McClelland Report*. The Recommendations in the *McClelland Report* included the pursuit of greater collaboration and partnering by public bodies, greater sharing of knowledge by public bodies and ultimately the delivery of efficiency savings to the public purse. *This* aligns well with the Scottish Government's aspiration to ensure that "our public services are high quality, continually improving, efficient and responsive to local people's needs".

The Operating Company will assist Transport Scotland to identify other collaboration opportunities with local authorities.

4.9 Specification for Operations

The specification for maintenance and renewals carried out as operations will be the Specification for Highway Works current at the time of tender. Included in the specification will be a number of contract-specific clauses for activities such as winter service, incidents and maintenance.

Traffic management will be undertaken by the Operating Companies in accordance with standard specifications. As well as compliance with Chapter 8 of the Traffic Signs Manual and relevant Design Manual for Roads and Bridges standards, this will include compliance with the National Quality Management Scheme for temporary traffic management.

To minimise disruption, the Operating Companies will plan and implement their traffic management to comply with the code of practice for the Reduction of Traffic Delays at Roadworks. There will be restrictions on certain routes, requiring the Operating Companies to carry out operations at certain times.

4.10 Construction Design and Management Regulations

The Operating Company shall, in accordance with the Construction (Design and Management) Regulations 2007:

- appoint a suitably competent company or companies or individuals, or appoint suitably competent individuals from within the organisation, as Designers
- appoint a suitably competent company or companies or individuals, or appoint suitably competent individuals from within the organisation, to discharge the duties of the CDM Co-ordinator on notifiable projects on behalf of the organisation
- be appointed to the role of Principal Contractor on notifiable projects

The Operating Company shall also be required to appoint a suitably qualified individual from within the organisation and independent of the Core Management Team, to act as Client's Representative on behalf of Transport Scotland.

5 Programme and procurement

5.1 Programme

5.1.1 Implementation Programme

Details of the tender competition and the 4G Contracts to be tendered will be set out in the Official Journal of the European Union (OJEU) and on the Public Contracts Scotland Advertising Portal. This is expected to be issued in October 2010. The Public Contracts Scotland link is as follows:

<http://publiccontractsscotland.gov.uk/>

The first tranche of the 4G competition will comprise two Contracts for the North West Unit and the South West Unit.

The procurement programme has been developed to provide a maximum mobilisation period of around six months.

An outline programme of the award process is included at Appendix B.

5.2 Procurement

5.2.1 Introduction

This section describes how Transport Scotland, as the Contracting Authority, intends to procure the solution that satisfies the tender requirements and is the most economically advantageous tender.

The arrangements for procurement of the 4G Contracts are regulated by the Public Contracts (Scotland) Regulations 2006. The Contracts will be awarded to the Participants who can offer the most economically advantageous tender, in accordance with the Competitive Dialogue procedure.

5.2.2 Prequalification and Selection

Any Economic Operator that expresses an interest in response to the contract notice published in the OJEU, will receive the prequalification document.

The prequalification document will include the prequalification questionnaire which contains information detailing the prequalification and selection process. Transport Scotland proposes to select a maximum of four Economic Operators to participate in Competitive Dialogue for each Unit.

5.2.3 Dialogue Procedure and Award

The four selected Participants will receive an Invitation to Participate in Dialogue (ITPD), which will confirm the award criteria and the arrangements for the next stage of the procurement process. This next phases of the process are:

- Competitive Dialogue, including Consultation meetings and development of outline proposals
- Tender Process
- Submission of Final Tender
- Tender Evaluation
- Mandatory Standstill Period
- Contract Award

5.2.4 Mobilisation

The mobilisation period will start from the date of award of the 4G contract and finish on the commencement of services date.

During the mobilisation period the Operating Companies will acquire the capacity to execute the Operations in their Unit in accordance with the provisions of the 4G contract from the commencement of service date.

5.2.5 Electronic Document Transmission during tendering process

Transport Scotland will use an electronic document transmission (EDT) procedure for the 4G contracts procurement. Training and support will be provided by Transport Scotland to all tenderers in the use of the EDT process.

A server with the appropriate level of security will be used for the EDT process. Procedures will be established by Transport Scotland to ensure all information submitted by the tenders is treated in confidence.

All tenders will be required to be submitted in a paper copy together with a further electronic copy. All signature documents will be submitted in paper version.

APPENDIX A – Summary of the Methods of Payment for Various Operations

Operation	Payment Method
Core maintenance operations	Monthly Sum
Routine management operations	Monthly Sum
Winter service	Monthly Sum
Incident response	Monthly Sum and Schedule of Rates
Repair of Category 1 Defects	Monthly Sum and Schedule of Rates
Damage to Crown Property	Monthly Sum and Schedule of Rates
Professional services	Schedule of Rates
Design	Monthly Sum and Schedule of Rates
Supervision of works contracts	% of Works Contract value
Time band adjustment	Schedule of Rates %
Time work schedule	Schedule of Rates
Payment of accounts	Monthly Sum and %
Additional works	Schedule of Rates and Lump Sum
Work series	Schedule of Rates

APPENDIX B – Outline Programme of the Award Process

The preliminary procurement project timescale is expected to be as follows:

Task	Commencement
Issue OJEU Notice	October 2010
Issue Invitation to Participate	February 2011
Invitation to submit final Tender	July 2011
Tender Return	August 2011
Contract Award	November 2011
Commence Mobilisation Period	December 2011
Commencement of Service	1 June 2012

APPENDIX C – Structure of the 4G Contracts

The Agreement

Schedule 1 – Conditions of Contract

Schedule 2 – Rates and Prices

Part 1 – Method of Measurement

Part 2 – Schedule of Rates and Prices

Schedule 3 – Administration Procedures

Part 1 – Overall Requirements

Part 2 – Extent of the Unit

Part 3 – Reference Documents

Part 4 – Consultation, Liaison and Coordination

Part 5 – Other Contracts within the Unit

Part 6 – Correspondence, Enquiries and Complaints

Part 7 – Customer Contact Service

Part 8 – Network Operation Services

Part 9 – Statutory Functions

Part 10 – Collaboration Requirements

Part 11 – Partnering

Schedule 4 – Contract Control and Management

Part 1 – Programme and Budget Preparation

Part 3 – Scottish Executive Road Information System

Part 4 – Roadside Electrical Apparatus and Power Supplies

Part 5 – Damages

Schedule 5 – Management System

Part 1 – Management System

Part 2 – Records and Information and Communications Technology

Part 3 – Reporting Requirements

Part 4 – Operating Company Core Management Team and Key Staff

Part 5 – Audits by the Performance Audit Group

Part 6 – Performance Measurement

Part 7 – Operating Company Offices and Depots

Part 8 – Environmental Sustainability and Waste

Schedule 6 – Design, Procurement and Certification of the Operations and Works

Part 1 – Procurement and Management of Schemes

Part 2 – Construction (Design and Management) Regulations 2007

Part 3 – Road Safety Audits

Part 4 – Design and Certification of Operations and Works

Schedule 7 – Management of Operations

Part 1 – Management, Inspection and Maintenance

Part 2 – Winter Service

Part 3 – Incident Response

Part 5 – Landscape Development Plan and Report

Part 6 – New Roads and Street Works Act 1991

Part 7 – Management and Maintenance of Structures

Part 8 – Structures with Particular Requirements

Part 9 – Severe Weather Services

Schedule 8 – Technical Studies and Advice in Connection with the Operations

Part 1 – Abnormal Indivisible Load Routing

Part 2 – Development Management

Part 3 – Road Safety and Accident Investigation and Prevention

Part 5 – Signing

Schedule 9 – Specification for Operations

Part 1 – Additional and Amended Clauses

Part 2 – Numbered Appendices

Part 3 – Standard Drawings

Schedule 10 – Clarifications of the Contract

Part 1 – Clarifications of the Contract (to be compiled as required)

Schedule 11 – Relevant Parts of the Tender

Part 1 – Relevant Parts of the Tender (including quality bid submissions and post-tender documentation and correspondence forming part of the contract).

Further copies of this document are available, on request, in audio and large print formats and in community languages, please contact:

اس دستاویز کی مزید کاپیاں آڈیو کیسٹ پر اور بڑے حروف کی چھپائی میں اور کمیونٹی کی زبانوں میں طلب کیے جانے پر دستیاب ہیں، برائے مہربانی اس پتہ پر رابطہ کریں:

এই ডকুমেন্ট-এর (দলিত) অতিরিক্ত কপি, অডিও এবং বড়ো ছাপার অক্ষর আকারে এবং সম্প্রদায়ের ভাষায় অনুরোধের মাধ্যমে পাওয়া যাবে, অনুরোধ করে যোগাযোগ করুন:

Gheibhear lethbhreacan a bharrachd ann an cruth ris an èistear, ann an clò mòr agus ann an cànan coimhearsnachd. Cuir fios gu:

इस दस्तावेज़/कागज़ात की और प्रतियाँ, माँगे जाने पर, ऑडियो टेप पर और बड़े अक्षरों में तथा कम्युनिटी भाषाओं में मिल सकती हैं, कृपया संपर्क करें:

ਇਸ ਦਸਤਾਵੇਜ਼/ਕਾਗਜ਼ਾਤ ਦੀਆਂ ਹੋਰ ਕਾਪੀਆਂ, ਮੰਗੇ ਜਾਣ 'ਤੇ, ਆਡੀਓ ਟੇਪ ਉੱਪਰ ਅਤੇ ਵੱਡੇ ਅੱਖਰਾਂ ਵਿਚ ਅਤੇ ਕੰਮਿਊਨਿਟੀ ਭਾਸ਼ਾਵਾਂ ਦੇ ਵਿਚ ਮਿਲ ਸਕਦੀਆਂ ਹਨ, ਕ੍ਰਿਪਾ ਕਰਕੇ ਸੰਪਰਕ ਕਰੋ:

此文件有更多備份，如果需要，語音版本和大字體版本及少數種族語言版本也可提供，請聯絡：

يمكن أن تطلب النسخ الأخرى من هذا المستند كالتسجيل الصوتي والخط المكبر ونسخ بلغات أخرى، يرجى الإتصال على:

Aby otrzymać niniejszy dokument w innej wersji językowej, na kasecie lub w wersji z powiększonym drukiem, prosimy o kontakt:

Transport Scotland, Buchanan House,
58 Port Dundas Road, Glasgow, G4 0HF.

0141 272 7100
info@transportscotland.gsi.gov.uk
www.transportscotland.gov.uk



© Crown copyright 2010

Published by Transport Scotland, October 2010