

## **SCOTTISH MINISTERS' REQUIREMENTS**

### **SCHEDULE 5 PART 3**

#### **REPORTING AND SUBMISSION REQUIREMENTS AND PROGRESS MEETINGS**

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## **SCOTTISH MINISTERS' REQUIREMENTS**

### **SCHEDULE 5 PART 3**

#### **REPORTING AND SUBMISSION REQUIREMENTS AND PROGRESS MEETINGS**

## **1. INTRODUCTION**

### **1.1 General**

- 1.1.1 This Part gives details of the reporting and submission requirements within this Contract and the obligation on the Operating Company to attend progress meetings.
- 1.1.2 The Operating Company shall prepare, submit and distribute the reports and submissions specified in Table 5.3.A.1 in Annex 5.3/A of this Part in accordance with the timescale stated.
- 1.1.3 The Operating Company shall use procedural forms included within the relevant Part of this Contract. Where no procedural form is specified, the Operating Company shall propose a form of report or submission to the Director for his consent. The Operating Company shall use the proposed form when consented to by the Director.
- 1.1.4 The Operating Company shall provide the reports and submission information detailed in the version of Table 5.3.A.1 current at the time the report and submission is required.
- 1.1.5 The Operating Company shall ensure that the reporting and submission information referred to in Table 5.3.B.1 in Annex 5.3/B of this Part is collected and is available to the Director and the Performance Audit Group at all times. The Operating Company shall ensure that the systems in which this information is stored are capable of providing the information in either a report or submission form, separate from the system in which it is held, within three Working Days when requested by the Director or the Performance Audit Group.
- 1.1.6 The Director reserves the right, at his sole discretion, to alter, by the issue of an Order, the contents of Tables 5.3.A.1 and 5.3.B.1 during the Contract Period.
- 1.1.7 Reporting and submission information requirements in the *Manual of Contract Document for Highway Works, Volume 1 - Specification for Highways Works* and Schedule 9 are not listed in Tables 5.3.A.1 and 5.3.A.2 of this Part. The Operating Company shall comply with all such requirements as relevant and in the format indicated in such requirements.

## **2. OPERATING COMPANY'S ANNUAL REPORT**

### **2.1 Requirements**

- 2.1.1 The Operating Company shall produce an annual report describing the overall performance of the Operating Company during the previous Annual Period. This annual report is in addition to any other reports and submissions which are required on an annual basis in accordance with this Contract.

This annual report shall be received by the Director no later than 31 May following the end of the preceding Annual Period.

- 2.1.2 The annual report shall be a summary of the performance of the Operating Company and shall:
- (i) quantify actual performance against the Performance Indicators and Monitoring Indicators stated in Schedule 5 Part 6,
  - (ii) detail the Payment Adjustment Factors applied, and
  - (iii) comment on performance trends throughout the Annual Period including areas of strength and weakness.
- 2.1.3 The Operating Company shall submit its proposals for the format of the annual report to the Director not later than 100 Working Days before the end of the first Annual Period. The Director shall either accept the Operating Company's proposals for the format of the annual report within 30 Working Days of receipt or he will notify the Operating Company, in writing, detailing the aspects of the proposals that are not acceptable.
- 2.1.4 If the Director does not accept the Operating Company's proposals for the format of the annual report, the Operating Company shall submit revised proposals as required by the Director within 30 Working Days of being notified.
- 2.1.5 If the Director neither accepts nor advises the Operating Company that the proposals are unacceptable within 40 Working Days of the date of submission the Operating Company may adopt the proposed format after notifying the Director accordingly.
- 2.1.6 The annual report shall be used to inform the annual meeting between the Operating Company and the Director as referred to in paragraph 3.1.2 of this Part.

### **3. REPORTING AND PROGRESS MEETINGS**

#### **3.1 Requirements**

- 3.1.1 The Operating Company shall attend a meeting every month with the Director at the Director's office, or at such other location as the Director may require, to review the monthly reports and submissions for that month. The purpose of this meeting is primarily to discuss contract management issues and any performance issues in relation to the Key Performance Indicators and Monitoring Indicators for that month. The date for such meetings shall be notified to the Operating Company no later than 30 days prior to the Commencement of Service Date by the Director in writing.
- 3.1.2 The Operating Company shall attend an annual meeting with the Director at the Director's office, or at such other location as the Director may require, on a date to be notified in writing by the Director. The annual meeting shall be held no later than the last day of June.

The annual meeting shall be held primarily to review the Operating Company's annual report for the previous Annual Period. The Operating Company shall propose a meeting agenda for the Director's prior consent which shall include proposed changes to improve service delivery and value for money for the following Annual Period and any other matters relating to performance or innovation which are not covered within the annual report. The Operating Company shall:

- (i) prepare draft minutes detailing the discussions held at the monthly and annual meetings,

- (ii) issue these draft minutes for the Director's consent no later than five Working Days after each meeting,
- (iii) amend the draft minutes to reflect any comments relating to the minutes made in writing by the Director, and
- (iv) issue the final minutes to the Director, with a copy to the Performance Audit Group, within five Working Days of receipt of any comments made by the Director.



This is Annex 5.3/A to Schedule 5 Part 3 referred to in the foregoing Agreement between Scottish Ministers and BEAR Scotland Limited.

## **SCOTTISH MINISTERS' REQUIREMENTS**

### **SCHEDULE 5 PART 3**

#### **REPORTING AND SUBMISSION REQUIREMENTS AND PROGRESS MEETINGS**

#### **ANNEX 5.3/A – REPORTING AND SUBMISSION REQUIREMENTS**





## SCOTTISH MINISTERS' REQUIREMENTS

### SCHEDULE 5 PART 3

#### REPORTING AND SUBMISSION REQUIREMENTS AND PROGRESS MEETINGS

#### ANNEX 5.3/A – REPORTING AND SUBMISSION REQUIREMENTS

Table 5.3.A.1

Schedule, Part and Title	Paragraph	Description	Frequency
1, 6, Default, Termination and Frustration	15.3.2	Report of the resolution of the Non-Conformance to the Performance Audit Group for consideration	within any timescale referred to in such Notice of Non-Conformance
1, 6, Default, Termination and Frustration	15.3.4	Copy of register of Non-Conformances and a progress report	weekly intervals
7,1 Management, Inspection and Maintenance	3.1.7	Report on OC performance in relation to Hazard Notices and Observations resulting from Inspections	monthly
7,1 Management, Inspection and Maintenance	4.13.16	Problems with communication and miscellaneous equipment	as necessary
7,1 Management, Inspection and Maintenance	4.14.2	Report on remedial action required and/or landowner's failure in relation to geotechnical assets	as necessary
7, 5 NRSWA	7.1.1	Programme of NRSWA inspections/investigations/coring & testing	Draft programme no later than 15 days prior to Commencement of Service and not later than 25 Working Days prior to the end of each Annual Period thereafter. Final programme not later than 15 Working Days after the start of each Annual Period



This is Annex 5.3/B to Schedule 5 Part 3 referred to in the foregoing Agreement between Scottish Ministers and BEAR Scotland Limited.

## **SCOTTISH MINISTERS' REQUIREMENTS**

### **SCHEDULE 5 PART 3**

#### **REPORTING AND SUBMISSION REQUIREMENTS AND PROGRESS MEETINGS**

#### **ANNEX 5.3/B – REPORTING AND SUBMISSION INFORMATION TO BE STORED BY THE OPERATING COMPANY**



## SCOTTISH MINISTERS' REQUIREMENTS

### SCHEDULE 5 PART 3

#### REPORTING AND SUBMISSION REQUIREMENTS AND PROGRESS MEETINGS

#### ANNEX 5.3/B – REPORTING AND SUBMISSION INFORMATION TO BE STORED BY THE OPERATING COMPANY

Table 5.3.B.1

Schedule, Part and Title	Paragraph	Description	Frequency	Day or Date [and time]	Issue to the Recipients listed
<b>1,1 - Contract Scope</b>	2.6.5	Copy of the agreement or other document that records any permitted assignation, subcontracting, or other transfer arrangements with a third party of any of the Operations under or in terms of this Contract	When requested		Scottish Ministers
	3.3.1	Such information and Drawings concerning the Operating Company's proposals in respect of any Order as are, in the Scottish Ministers' opinion, necessary for the proper execution of the Operations in accordance with this Contract	When requested	As soon as practicable following any request or requirement to do so, and in any case at the time required in an Order	Scottish Ministers
	4.2.1	Register of Professional Services staff		Prior to Commencement of Service Date	Director
	4.2.3	Any amendment to the registers required under 4.2.2 & 4.2.3		Within 5 Working Days of amendment	Director
	4.5.3	Copies of registers and other evidence of registration, Certificates (including associated data), and information (including drawings, calculations and all other associated documents)	When requested		Director

Schedule, Part and Title	Paragraph	Description	Frequency	Day or Date [and time]	Issue to the Recipients listed
	4.5.4	Details of any amendments proposed to be made to Design or Site Operations	When the OC encounters anything which invalidates its Design assumptions or requires amendment to its method of Site Operations in respect of such Design		Director
	4.5.5	Copy of any records	When requested	Within 7 days of such request	Director & PAG
	4.6.1	Validly executed Bond and Undertaking by an insurance company or bank which shall be jointly and severally bound with the Operating Company for the due performance of this Contract under the terms of such Bond and Undertaking		No later than 30 days prior to the Commencement of Service Date	Scottish Ministers
	5.4.1	Written notice whenever any work or foundation is ready to be inspected			Director
	5.8.1(iv)	Copies of records and registers relating to activities carried out under clause 5.8.1	When requested	Within 21 days of such request	Director & PAG
<b>1,2 - Periods &amp; Programmes</b>	6.3.1	Programmes for Operations	In accordance with the requirements of this Contract		Scottish Ministers
	6.5.1	All information pertaining to the proposed methods for execution of the Operations	When required		Scottish Ministers

Schedule, Part and Title	Paragraph	Description	Frequency	Day or Date [and time]	Issue to the Recipients listed
<b>1,3 Orders, Extensions of time, Measurement and Payment Provisions</b>	10.3.1	Statement	First calendar month following commencement of Service Date	Between eighth and twelfth day and thereafter no later than 14 days after the end of each calendar month	Scottish Ministers
	10.8.2(i)	Claim Notification	Where the Operating Company considers that any additional payment should be made	As soon as practicable after becoming aware of the event or circumstance and not later than 28 days after becoming aware, or when the Operating company should have become aware	Scottish Ministers
	10.8.4	Full and detailed claim which includes all supporting information and a justification of the entitlement to the additional payment and the amount considered due		Within 91 days of the Claim Notification	Scottish Ministers
<b>1,4 - Indemnities &amp; Insurance</b>	11.1.3	The name and address of the owner of Plant, a copy of the terms under which such Plant was hired to the Operating Company and, in the case of hired Plant, certification in writing that the agreement for the hire thereof contains a provision in accordance with the requirements of Clause 11.1.3	When requested	Forthwith	Scottish Ministers
	12.4.1	Information given to insurers at any time during the placement, alteration or currency of any insurance policy	When requested	Within 7 days of such request	Scottish Ministers
	12.4.3(i), (ii) and (iii)	All insurance policies, endorsements, attachments, brokers' placing slips and other documents necessary, or reasonably requested by the Scottish Ministers, to demonstrate that the required insurances are in place.  and  As described in paragraph 12.4.2		Within one day of the commencement of this Contract, prior to the expiry of an existing insurance, and within seven days of receiving a written request	Scottish Ministers

Schedule, Part and Title	Paragraph	Description	Frequency	Day or Date [and time]	Issue to the Recipients listed
	12.4.5	Amendments or replacements of insurance documents	When necessary	Within 7 days of issue	Scottish Ministers
	12.4.6	Evidence that insurance is in place and premiums paid in full			Scottish Ministers
<b>1,5 Management System &amp; Change Proposals</b>	13.1.4	Amendments to Management System and Quality Plan	Periodically as necessary		Scottish Ministers
	13.5.1	Non-Conformance Report	Weekly		
<b>1,6 - Default, Termination &amp; Frustration</b>	15.3.2	Report of the resolution of the Non-Conformance	Within the timescale referred to in the Notice of Non-Conformance		PAG
<b>1,10 - TUPE</b>	22.1.4	Contract Personnel Information		Within eight weeks of receipt of any request, or such other reasonable period as agreed by the Scottish Ministers	Scottish Ministers
	22.1.5	TUPE Information as described in Table 22.1.4/A		At least 24 months before the end of the Contract Expiry Period	Scottish Ministers
	22.1.6	Any change to any part of the TUPE Information provided in accordance with clause 22.1.5		Within 14 days of a change or receipt of a request	Scottish Ministers
	22.1.14	Contract Personnel Information and the TUPE Information		Within 21 days of any notice of termination	Scottish Ministers
<b>S1 Annex 5</b>	Table 3.1.1.A	Evidence of insurance	Prior to commencement of any Operations		Scottish Ministers



Schedule, Part and Title	Paragraph	Description	Frequency	Day or Date [and time]	Issue to the Recipients listed
<b>3,5 - Communications Strategy, Correspondence, Enquiries &amp; Complaints</b>	1.2.1	a Unit-specific communications plan for the first Annual Period		No later than 30 days prior to the Commencement of Service Date	Director
	1.2.2	an updated Unit-specific communications plan	Annually	No later than 30 Working Days prior to the commencement of the second Annual Period and all subsequent Annual Periods	Director
	2.8.2	Communications register summarised reports	Monthly	15th day	Director
	2.8.3	Communications register summarised reports	Annually	15th April	Director
<b>3,6 - Customer Contact Services</b>	2.2.4(i)	Reports on usage figures on all pages contained within the Unit-specific website	Monthly		Director
<b>3,7 - Network Operations Services</b>	2.3.5(ii)	Reports on liaison meetings	Monthly	15 <sup>th</sup> day	Director
	2.3.5(iii)	Report on impact of all Operating Company activities on the journey time reliability of the network	Annually		Director
	2.6.1(ii)	Annex 3.7/B form	When required	At least 15 Working Days prior to commencement of Operations, Works Contract or works	appropriate Network Operations service provider
	2.6.2	Annex 3.7/B form - nil return	When required	At least 15 Working Days prior to commencement of Operations, Works Contract or works	appropriate Network Operations service provider

Schedule, Part and Title	Paragraph	Description	Frequency	Day or Date [and time]	Issue to the Recipients listed
	2.6.3	Copy of the Statement of Intent and Value for Money Assessment	Where a Statement of Intent and Value for Money Assessment identifies that Network Operations equipment may be affected		Network Operations service provider and the Director
	2.6.5	Testing Records		Within 10 Working Days of completion of the Operations or Works Contract	Director
	2.7.1	Annex 3.7/C form	When required		Director
	2.8.2	Annex 3.7/D form	When required	Within 24 hours of damage being caused	Appropriate Network Operations service provider
	3.6.6	Delay management report	When required		Director
	3.8.2	Proposals for deployment of automatic traffic delay monitoring equipment	When required		Director
	4.1.1	Annex 3.7/C form	When required		Scottish Roads Traffic Database Operator
<b>3,9 – Collaboration Requirements</b>	1.1.3	Collaborative opportunity identified		Within one month of opportunity having been identified	Director
	1.3.1	Collaborative opportunities identified, pursued, potential benefits, costs, service improvements & efficiency savings delivered	Quarterly		Director

Schedule, Part and Title	Paragraph	Description	Frequency	Day or Date [and time]	Issue to the Recipients listed
<b>4,1 – Financial and Contract Management</b>	4.1.11	(i) a draft three year programme of Operations, Core Operations and Works Contract Schemes,  (ii) a draft one year programme of Operations, Core Operations and Works Contract Schemes,  (iii) recommendations for improvements that could be incorporated into Operations and Works Contract Schemes,  (iv) recommendations for further investigations required to enable Operations and Works Contract Schemes to be accurately defined, and  (v) outline Bids, including preliminary estimates, for Operations and Works Contract Schemes for the one and three year programme.	Annually		Director
	4.1.13	Revised Bids	Within the required timescales of Transport Scotland's <i>The Bidding Guidance</i> and the requirements shown at Figure 4.1.4.A		Director
	4.1.21	Revised Bids	Where changes occur which have an effect on the financial value of Operations or Works Contract Schemes		Director
	Tables 4.1.22/A and 4.1.23/A	Refer to Tables	Refer to Tables	Refer to Tables	Director

Schedule, Part and Title	Paragraph	Description	Frequency	Day or Date [and time]	Issue to the Recipients listed
	4.3.3	Records relating to investigations in the two stages described in the <i>Guidance Document for Implementing a Skid Resistance Policy for Transport Scotland</i>			Director
	4.3.7	Proposals for the erection, maintenance and removal of warning signs in accordance with the <i>Guidance Document for Implementing a Skid Resistance Policy for Transport Scotland</i>	Following completion of the detailed Site investigations		Director
	4.3.8	Skid policy progress report in a form to be agreed with the Director		By 15 <sup>th</sup> day of each month	Director and PAG
	4.3.9	An annual report which summarises the Operating Company's activities in respect of skid resistance management	Annually	Before 31 August	Director
	4.4.5	Where the analysis referred to in paragraph 4.4.3 indicates conditions that may be responsive to a number of different treatments or solutions, a list of the different treatments or solutions together with a relevant whole life costing analysis as part of providing its recommended option	When necessary		Director
	4.5.1	Statements of Intent and Value for Money Assessments in accordance with the timescales given in Transport Scotland's <i>The Bidding Guidance</i> for proposed roads structural pavement maintenance Schemes within Work Series 0100			Director
	4.5.6	For proposed roads structural pavement maintenance Schemes within Work Series 0100, Statements of Intent and where appropriate Value for Money Assessments in accordance with the timescales and financial thresholds given in Transport Scotland's <i>Annual Process for Roads Structural Maintenance</i>			Director

Schedule, Part and Title	Paragraph	Description	Frequency	Day or Date [and time]	Issue to the Recipients listed
	4.5.7	<p>For proposed bridges general maintenance Schemes within Work Series 1200 and with an Estimated Bid Value of more than £50,000:</p> <p>(i) a Statement of Intent - (Scheme approval) for those Schemes with an Estimated Bid Value of under £350,000 for the Director's consideration using the outline form provided at Annex 4.1/A,</p> <p>(ii) for all Schemes with an Estimated Bid Value of more than £350,000 a Statement of Intent - (Inception), together with a Value for Money</p> <p>(iii) details of any departures from the Design Manual for Roads and Bridges, and Disability Discrimination Act: Good Practice Guide for Roads ,</p> <p>(iv) an approval in principle, where appropriate under the Design Manual for Roads and Bridges,</p> <p>(v) a list of all accessibility barriers recorded in the routine maintenance and management function of the Integrated Roads Information System</p> <p>and any other relevant information in support of the Scheme</p>			Director
	4.5.8	Statement of Intent (Scheme approval) using the outline form provided at Annex 4.1/A	Following review by the Director of Schemes with an Estimated Bid Value of more than £350,000 Assessment.		

Schedule, Part and Title	Paragraph	Description	Frequency	Day or Date [and time]	Issue to the Recipients listed
	4.5.10	Report containing the recommendations agreed at the technical workshop		Within 25 Working Days of the technical workshop being held	Director
	4.5.11	For proposed Schemes within Works Series other than 0100 and 1200, to be ordered as Operations or a Works Contract with an Estimated Bid Value of over £10,000, a Statement of Intent - (Scheme approval) using the outline form provided at Annex 4.1/A			Director
	4.5.12	For proposed Schemes within Works Series other than 0100 and 1200, to be ordered as Operations or a Works Contract with an Estimated Bid Value of over £50,000, a Statement of Intent - (inception) using the outline form provided at Annex 4.1/A together with a Value for Money Assessment			Director
	4.5.14	a Statement of Intent (Scheme approval) using the outline form provided at Annex 4.1/A		Following the Director's consideration of the Statement of Intent - (Inception), Value for Money Assessments and any further studies and investigations	Director
	4.5.16	Report containing the recommendations agreed at the technical workshop		Within 25 Working Days of the technical workshop being held	Director
	4.6.2	Draft one and three year programmes in a format in accordance with that shown at Annex 4.1/A			Director
	4.7.2	Bid reports for the next Financial Year, that complement the detailed one year programme.		Within the timescale referred to in the <i>Annual Process for Roads Structural Maintenance</i> & Table 4.1.22A	Director

Schedule, Part and Title	Paragraph	Description	Frequency	Day or Date [and time]	Issue to the Recipients listed
	4.7.6	a further Bid relating to an additional Scheme		At least 25 Working Days before the proposed Scheme commencement date	Director
	4.14.2	(i) a proposed item description, a unit of measurement and a rate or price deduced from applicable rates and prices, or  (ii) a rate or price in accordance with fair rates and prices, with a supporting calculation of the build up of such rate or price, or  (iii) a quotation supported by calculations showing the build-up of the price. For the purposes of this paragraph 4.15 and the contract control and management function of the Integrated Roads Information System, a quotation shall be considered as a single rate of £1 and with a quantity of the quotation value and a unit of 'sum'.	Where the Operating Company considers that the items within the Schedule of Rates and Prices are not applicable to the Operations to be undertaken		Director
	4.14.8	The requirements of paragraph 4.14.2	Where the Operating Company undertakes Operations which were unforeseen at the time of the issue of the Operations Instruction and it considers that the series or items within the Schedule of Rates and Prices do not cover the scope of the unforeseen Operations	Within five Working Days of the Scheme Completion Date	Director

Schedule, Part and Title	Paragraph	Description	Frequency	Day or Date [and time]	Issue to the Recipients listed
	4.16.3(i) & (ii)	A new Bid and Scheme Identifier to the Director, using the Work Code 9902  and  A revised Bid for the original Scheme created under the 9901 Activation	When the Director decides that any Scheme created under a 9901 Activation or any part of any such Scheme is no longer disputed and notifies the Operating Company accordingly		Director
	4.17.4 (i) (ii), (iii) & (iv)	(i) A revised Bid if any Scheme seems likely to exceed the Total Order Value of Scheme within the Financial Year  (ii) Accompanied by a revised Bid for other Schemes within same Works Series to produce a matching saving  (iii) A revised Bid if any Scheme seems likely to be less than the Total Order Value of Scheme within the Financial Year  and  (iv) Accompanied by a revised Bid for Operations where the unused budget may be used	Immediately		Director
	4.18	A revised Bid for the Scheme showing the increased Estimated Bid Value accompanied by a revised Bid for other Schemes within the same Work Series to produce a matching saving		Within two Working Days of having issued such authorisation	Director
	4.19.1	Electronic Copy and a paper copy of all original Works Contractor's payment applications and payment certification forms			Director



Schedule, Part and Title	Paragraph	Description	Frequency	Day or Date [and time]	Issue to the Recipients listed
	4.19.2	Supporting certificates			Director
	4..21.1	Carbon emissions report	Monthly and annually		Director
<b>4,2 – Integrated Roads Information System</b>	1.2.8	Maintenance data sheets in form provided at Annex 4.2/A and If appropriate, explanation of change form as per Annex 4.2/D		Within 28 Working Days of substantial completion of the related repair, replacement, change or Site investigation	Director
	2.3.1	Network change sheet	When necessitated by works by third parties, changes of geometric alignment or characteristics	At least 25 Working Days before the commencement of construction	Director
	2.3.1	Network error sheet	Where an error is identified		Director
	2.3.2	Scheme information to enable network referencing to be updated	During the update process		Director
<b>4,3 Roadside Electrical Apparatus and Power Supplies</b>	2.4.1	Energy inventory report	When requested		Director
<b>4,4 Damage to Crown Property and Third Party Claims</b>	2.3.3(i)	Completed third party claims notice form		Within five Working Days of being notified by the Director that Scottish Ministers are not indemnified	Director

Schedule, Part and Title	Paragraph	Description	Frequency	Day or Date [and time]	Issue to the Recipients listed
	2.3.3(ii)	Completed third party claims Operating Company report Form in the format shown in Annex 4.4/C		Within five Working days of being notified by the Director that Scottish Ministers are not indemnified	Director
	3.1.4	"Damage to Crown Property consolidated report" in format shown in Annex 5.4/D	Quarterly		Director
	3.3.2	Report of an "incidence of Damage to Crown Property" in the format shown in Annex 4.4/F		Within five Working Days of notification to Director that estimated cost of repair exceeds £10,000	Director
	3.6.6	"notification of the final valuation of repair of an incidence of Damage to Crown Property report" in the format shown in Annex 4.4/G		Within five Working Days of completing a Repair of Damage to Crown Property	Director
<b>5,1 - Management System</b>	6.1.3	Proposals to omit or replace audits	Annually	No later than 28 Working Days prior to commencement of Annual Period	Director
<b>5,2 – Records Information and Communication Technology</b>	1.2.1	Proposals for the Records referencing system for the Records contained within the Records Register		Not later than 30 days prior to the Commencement of Service Date	Director
	1.4.1(i), (ii) & (iii)	Details of policy and documented procedures to meet the requirements of the Freedom of Information Act (Scotland) 2002, the Scottish Public Sector Procurement and Freedom of Information Guidance issued in December 2004 by the Scottish Procurement Directorate and Environmental Information (Scotland) Regulations 2004, as amended		Not later than 30 days prior to the Commencement of Service Date	Director

<b>Schedule, Part and Title</b>	<b>Paragraph</b>	<b>Description</b>	<b>Frequency</b>	<b>Day or Date [and time]</b>	<b>Issue to the Recipients listed</b>
	1.5.2	Proposed storage facilities for Records		Not later than 30 days prior to the Commencement of Service Date	Director
	5.2.1	Proposed Information and Communication Technology System Management plan		Not later than 30 days prior to the Commencement of Service Date	Director
<b>5,4 – The Operating Company's Representative, Core Management Team and Key Staff</b>	1.4.3	Nominations for new Operating Company Representative or Core Management Team or Key Staff members	When necessary		Director
<b>5,5 - Audits by the Performance Audit Group</b>	1.4.8	Audit report	When necessary	Within 5 Working Days of audit completion	Director
<b>5,6 - Performance Measurement</b>	1.1.2	Information required for all Performance Indicators, Monitoring Indicators and Payment Adjustment Factors	No later than 5 Working Days after the end of the reporting period		Director, copied to PAG
<b>5,7 – Operating Company Offices and Depots</b>	1.6.1	Details of all Transport Scotland property available for use under this Contract		No later than 30 days before the end of the Mobilisation Period	Director

Schedule, Part and Title	Paragraph	Description	Frequency	Day or Date [and time]	Issue to the Recipients listed
	1.6.6	Inventory	When a new item has been provided, when any item has been stolen or damaged and when there has been a reduction in the quantity of items available		Director
<b>5,8 – Environmental Sustainability and Waste</b>	2.3.1	Report on feasibility of sourcing at least 10% of the materials required for the Scheme from recycled, secondary or re-used sources.	For all Works Contracts with a Bid Estimate of Value greater than £1,000,000		Director
	3.1.1	Report on sustainability aspects of all Operations and Works undertaken during each Annual Period	Annually	No later than 28 Working Days after the start of each Annual Period	Director
	3.1.3(i)	Report of carbon emissions for material usage in Schemes and for individual Schedule of Rate items within the one year Programme	Quarterly		Director
	3.1.3(ii)	Report of carbon emissions for material usage in Schemes and for individual Schedule of Rate items within the one year Programme	Annually	Included within the annual report required in 3.1.1	Director
	3.1.4	Total carbon emissions recorded in the Carbon Management System Road Infrastructure Projects Tool for each Works Contract		No later than 28 Working Days after completion of each Works Contract	Director

Schedule, Part and Title	Paragraph	Description	Frequency	Day or Date [and time]	Issue to the Recipients listed
<b>6,1 - Procurement &amp; Management of Schemes</b>	3.1.1	Nominations for Contract Administrators		No later than 30 days before the Commencement of Service Date of this Contract	Director
	3.1.2	Resubmitted nominations for Contract Administrators	Annually (or whenever a person consented to is unavailable to undertake the role, and whenever the Director requests the Operating Company to provide further nominations)	No later than 25 Working Days prior to the start of the second Annual Period and each subsequent Annual Period,	Director
	3.1.4	Names, qualifications & experience of individuals nominated as Contract Administrator(s) in accordance with & recommendations for which other Schemes they are suitable		For each Works Contract	Director
	3.1.5	Recommendations on form of contract	Prior to commencing any tender process	Prior to commencing any tender process	Director
	3.1.17	Finalised tender documents and model checklists as per Annex 6.1/A	Prior to issue of any tender documents & after completion of Design		PAG
	3.2.1(i), (ii) & (iii)	Recommendations on suitability of Works Contract, maintenance period and Works Contractor responsibilities	Prior to the preparation of each Works Contract		Director

Schedule, Part and Title	Paragraph	Description	Frequency	Day or Date [and time]	Issue to the Recipients listed
	3.2.3(iii)	Tender advertisement and prequalification questionnaire			Director
	5.2.3	Proposed templates for reporting when OC acts as Contract Administrator		No later than 30 days prior to the Commencement of Service Date	Director
	5.2.5	Standard forms Certificate of Payment CC1A, CCII and CCIII as shown in Annex 6.1/C	With each payment request or monthly valuation		Director
	5.2.5	Form CCIII for each Scheme	Quarterly intervals		Director
	5.2.6	Lane rental monitoring form	Each Lane Rental Contract	Within 25 Working Days of issuing Certificate of Completion	Director & PAG
	5.4.2	The monthly statement and forms CCIA, CCII and CCIII		No later than 10 Working Days before the contractual payment due date	Director & PAG
	5.5.2	Amended as built records	When any works are undertaken after issue of the Works Contract Completion Certificate	No later than 10 Working Days prior to issue of the Maintenance Certificate	Director
<b>6,2 – CDM Regulations 2007</b>	1.2.1	Report on suitability of a company for appointment as Principal Contractor	Prior to award of a Works Contract		Director
<b>6,3 -Road Safety Audits</b>	3.1.2	Road safety audit report	When necessary	Within 5 Working Days of audit being undertaken	Director
	3.1.4	Exception report	When necessary		Director
	3.1.5	Audit brief	When necessary		Director

Schedule, Part and Title	Paragraph	Description	Frequency	Day or Date [and time]	Issue to the Recipients listed
	3.5.3	Stage 4 road safety audit report	When necessary		Director
	5.1.1	Road safety audit certificate		Within 5 Working Days of audit being undertaken	Director
<b>6,4 - Design &amp; Certification of Operations &amp; Works</b>	2.1.1	Design brief	For each Scheme		Director
	2.2.12	The required road orders, plans, schedules, environmental impact assessments and environmental statements	Where the Design of any Scheme requires new road orders, variations to existing road orders, environmental impact assessments and subsequent environmental statements		Director
	3.1.2	Certification to cover the Design element(s)	Where the OC executes a Design		Director
	3.1.4	A Design proposal on form TA1	Prior to the OC commencing Design for Structures		Director
	3.2.1	The name of the independent Checker	Prior to executing any Design checks		Director
	3.3.4	Draft Design brief	Prior to an Order being issued and when requested		Director
	3.3.5	The name of the independent Checker	Prior to executing any Design checks for the earthworks		Director

Schedule, Part and Title	Paragraph	Description	Frequency	Day or Date [and time]	Issue to the Recipients listed
<b>7,1 - Management, Inspection &amp; Maintenance</b>	4.3.4	Report on performance of Undertakers with regard to Category 1 Defects	Annually	Within 25 Working Days of the end of each Annual Period	Director
	4.14.2	Recommendations regarding remedial action	When necessary		Director
	4.17.3	Report on the condition of mature woodland areas and trees and any recommended actions		Within 25 Working Days of the inspections of each area or individual tree	Attach to relevant inspection record in IRIS
	4.28.19	In-Service Report form as detailed in <i>Local Transport Note 1/98, Appendix B</i>	At intervals not exceeding five years and on approximately 20 percent of the network each Annual Period		Attach to relevant inspection record in IRIS
	4.28.19	Method statement for electrical testing		Within 25 Working Days of Commencement of Service Date	Director
	4.28.20	Procedural manual for the undertaking of operational reviews		No later than 25 Working Days after the Commencement of Service Date	Director
	4.28.23	Performance report	Annually	On completion of annual operational review	Director
	4.29.25	Periodic testing & inspection certification	Quarterly	The end of each quarter	Relevant authority
	4.34.9	When the local authority does not carry out its statutory duties	When necessary	Within 25 Working Days of becoming aware	Director
	4.39.5	Flooding report in accordance with form shown in Annex 7.1/D	Each flooding incident	Within four days	Director



Schedule, Part and Title	Paragraph	Description	Frequency	Day or Date [and time]	Issue to the Recipients listed
<b>7,2 - Winter Service</b>	1.2.6	Winter Service Plan for the period from commencement of Service Date to midnight on 15 May in the first Annual Period		Not later than 30 days prior to commencement of Service Date	Director
	1.2.7	Winter Service Plan for forthcoming Winter Service Period	Annually	Prior to 31 July	Director
	1.3.2	Salt stock monitoring reports	Monthly	First Working Day	Director
	1.3.3	Winter Service Report on the Winter Service Plan and Winter Service Operations for the previous Winter Service Period	Annually	No later than 31 May in each Annual Period	Director & PAG
	1.3.4	Winter Service Report	First Annual Period	Prior to 31 May	Director
	1.3.8	Winter Service Plan and Winter Service Report for the final Winter Service Period	Final Annual Period		Director
	1.3.9	Planned and actual treatments reports	Daily	By 15:00 hours	Upload to Traffic Scotland website
	1.3.10	Winter Service Operations report	Daily	By 15:00 hours	Upload to Traffic Scotland website
	2.1.2	Proposed computerised road weather information system		No later than 30 days prior to the end of the Mobilisation Period	Director
	2.6.1	Severe Weather report	When necessary		Traffic Scotland operator

Schedule, Part and Title	Paragraph	Description	Frequency	Day or Date [and time]	Issue to the Recipients listed
	2.6.2	Proposed Operations	When Winter Service Operations are planned		Organisations listed in paragraph 2.6.1
	2.7.5(vii)	Reports in the format indicated in Table 7.2.I.3 of Appendix WSP1 to Annex 7.2/I	Daily		Director
	2.10.6	Report on snow gate closures	Within 12 hours of snow gates being closed due to snow or other adverse weather		Director
	2.11.2	Recommendations in writing regarding snow fences, shelter belts and snow poles	First Annual Period		Director
	4.1.7 (ii)	Details of the Winter Service Plant supplier's calibration method	September and January of each Annual Period		Director
	Annex 7.1/A 7.1.2	Winter Service Patrol Report in accordance with Appendix WSP1 to Annex 7.2/J	On completion of each Patrol		Director
<b>7,3 - Incident Response</b>	3.1.1(iii)	Statements of Intent request	In accordance with the Manual for the Management of the Risk of Unplanned Network Disruption		Director
	3.2.2	Draft Disruption Risk Management Plan		No less than 30 days prior to the Commencement of Service Date	Director
	3.2.3	Updated Disruption Risk Management Plan	Intervals not exceeding 12 months		Director

Schedule, Part and Title	Paragraph	Description	Frequency	Day or Date [and time]	Issue to the Recipients listed
	4.1.1	Incident Response Plan		No less than 30 days prior to the Commencement of Service Date	Director
	4.4.2	One Electronic Copy and one controlled paper copy of the current Incident Response Plan			Operational Partners
	4.5.1	Updated Incident Response Plan	Intervals not exceeding three months		Director
	4.5.3	Incident Response Plan	Annual	No later than 10 Working Days prior to the end of each Annual Period	Director
	4.8.1	Contact details of Incident Liaison Officers			Director
	4.9.2	Rotas of trained operatives		Not later than 30 days prior to Commencements of Service Date and at least 10 Working Days prior to 1 April and 1 October in each subsequent Annual Period	Director & Operational Partners
	5.3.4(iii)	Final documentation	Where the Operating Company undertakes a review of any Standard Incident Diversion Route to identify changes or potential improvements		Director

Schedule, Part and Title	Paragraph	Description	Frequency	Day or Date [and time]	Issue to the Recipients listed
	7.5.2	Incident Support Units plan	As part of the Incident Response Plan	At intervals not exceeding 3 months	Director
	10.3.2	Detailed report of the fatal Incident using Part 1 of the fatal accident notification Form in Annex 7.3/D		Within 24 hours of Incident	Appropriate Director's staff
	10.3.3	Detailed report using Part 2 of the fatal accident notification form in Annex 7.3/D		Within five Working Days of the site visit having been carried out	Director
	11.1.2	Annual report reviewing the impact of Incidents on the Unit for the previous Annual Period		No later than 25 Working Days after the commencement of each Annual Period	Director
<b>7,4 - Landscape Development Process and Deliverables</b>	1.4.5	Report proposing changes to maintenance requirements for landscapes areas	When necessary		Director
	1.5.4	Programme for landscape Schemes & interventions	When requested		Director
	1.6.1	Landscape management report	Annual	No later than 25 Working Days before the end of each Annual Period	Director
<b>7,5 – NRSWA 1991</b>	6.1.3	Report recommending changes to associated data held in the Scottish Road Works Register		No later than 60 Working Days after the Commencement of Service Date and at quarterly intervals thereafter	Director
	7.1.8	Proposals for a coring programme to assist the national coring programme and a final report on each annual programme	Annually		Director

Schedule, Part and Title	Paragraph	Description	Frequency	Day or Date [and time]	Issue to the Recipients listed
	8.1.1(v)	Reporting Undertaker's work when (a) progress is not in accordance with the programme, or (b) work is not being carried out in accordance with the designs and specifications consented to by the Director	When necessary		Director
	10.1.2	Recommendations on the liaison arrangements required between itself, other Operating Companies and agencies of the Scottish Government to deliver the requirement of the <i>New Roads and Streetworks Act 1991</i>		Not later than 30 days prior to the Commencement of Service Date	Director
	10.1.3 (i) and (ii)	Common Monitoring Indicators for Undertakers' works and  Common Performance Indicators for the Operating Company's own works		Not later than 30 days prior to the Commencement of Service Date	Director
	10.1.5	Monitoring information and performance assessment reports	Quarterly and Annually		Director
	10.1.8	Report on the performance of the Operating Company against the Scottish Road Works Commissionaire's indicators	Annually	Not later than 50 Working Days after the end of each Annual Period	Director
	10.1.10	Report of the amounts due from each Undertaker during the preceding three month period, together with any necessary information to support the reason for the fees, charges and penalties	Quarterly, commencing 75 Working Days after the start of the first Annual Period and thereafter throughout the duration of this Contract		Director

Schedule, Part and Title	Paragraph	Description	Frequency	Day or Date [and time]	Issue to the Recipients listed
<b>7,6 - Management and Maintenance of Structures</b>	2.3.2	Maintenance schedule		No later than 25 Working Days prior to the commencement of the first Annual Period and all subsequent Annual Periods	Director
	2.4.1	Report on annual review of maintenance and operations manuals and health and safety files for Structures	Annually	Within 3 days of completion of review	Director
	2.4.3	New and amended as-built records		No later than 15 Working Days after completion of any works to new or existing Structures by the Operating Company or by a Works Contractor	Director
	3.2.2	Report on all random and reactive Structures Safety Inspections	Monthly		Director's bridges manager
	3.2.2	Programme	Annually	Prior to commencing General Inspections each year	Director & PAG
	5.1.4	Recommendations for structural maintenance Operations	Annually		Director
	5.4.1	Output from value management prioritisation	In accordance with dates stated in S4P1		Director
	7.2.5	Recommendations relating to sub-standard Structures	Annually		Director
	9.1.1	Approval in principle forms and applications for departures from standards	When necessary		Director

Schedule, Part and Title	Paragraph	Description	Frequency	Day or Date [and time]	Issue to the Recipients listed
<b>7,7 - Structures with Particular Requirements</b>	1.1.6	Inspection report	In the calendar year following the annual inspections of each Structure	By 31 January	Director
	1.1.7	Principal Inspection report	Every six years	By 30 November of the year in which the Principal Inspection cycle becomes due	Director
<b>7,8 - Severe Weather Services</b>	2.2.4	Details of its proposed expert weather forecasting service for Severe Weather events	No later than 30 days prior to the Commencement of Service Date		Director
	3.1.2	Severe Weather management plans at new Disruption Risk Sites	Subject to an Order		Director
	3.2.6	Proposed revisions to wind management plans	When necessary and as part of the Incident Response Plan required by S7P3		Director
	3.3.4	Proposed revisions to flood management plans	When necessary and as part of the Incident Response Plan required by S7P3		Director
	3.4.4	Proposed revisions to landslide management plans	When necessary and as part of the Incident Response Plan required by S7P3		Director

Schedule, Part and Title	Paragraph	Description	Frequency	Day or Date [and time]	Issue to the Recipients listed
<b>8,2 - Development Management</b>	1.4.2(vii)	Planning application inspection report	When necessary		Director
<b>8,3 -Road Safety and Accident Investigation and Prevention</b>	2.1.1	Route Safety File	Annually	15 November	Director
	3.1.2	Annual Road Safety Review Report	Annually	15 August	Director
<b>8,4 – Signs Requiring Authorisation</b>	1.1.1	Advice and recommendations	When necessary		Director
	1.2.4	A copy of the signed letter of agreement duly completed by the applicant	When necessary		Director
	1.6.4	Assessment and report as per <i>Signposting of Truckstop Facilities from Motorways and other Trunk Roads - Policy and Guidance</i> and other associated documentation	When necessary		Director