

This is Document “Schedule 5 Part 3” referred to in this Contract

SCOTTISH MINISTERS’ REQUIREMENTS

SCHEDULE 5 PART 3

REPORTING REQUIREMENTS

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SCOTTISH MINISTERS' REQUIREMENTS

SCHEDULE 5 PART 3

REPORTING REQUIREMENTS

1 INTRODUCTION

1.1 General

1.1.1 The Operating Company shall issue reports to the Director at

- (i) weekly
- (ii) monthly
- (iii) annual and
- (iv) other intervals

as required in accordance with the provisions of this Contract.

The reports shall give details of the performance of the Operating Company in relation to technical service standards and general management matters in accordance with the requirements of this Contract.

1.1.2 For the purposes of this Part 3 of this Schedule 5 the following words and expressions shall have the following meanings

- (i) "Weekly Programme of Intent" means the programme of all planned events and Lane Occupations
- (ii) "Exceptions Report" means a report on the previous week's proposed Lane Occupations that were not executed during the preceding week with the reasons why the Lane occupations were not carried out
- (iii) "Planning Application Status Report" means a report on all submitted planning applications currently being processed by the Operating Company
- (iv) "TR/NPA/1", "TR/NPA/2" and "TR/NPA/2A" means the forms used for processing planning applications as referred to in Part 2 of Schedule 8.

2 WEEKLY REPORTS

2.1 Requirements

2.1.1 The Operating Company shall issue to the Director a weekly report to arrive no later than midday on the Thursday of each week.

A copy of the weekly report shall be issued simultaneously to the Performance Audit Group.

The weekly reports shall be a spreadsheet in Electronic Copy consisting of four separate worksheets being

- (i) a Weekly Programme of Intent for the week commencing the following Monday as referred to in paragraph 2.1.3 of this Part 3 of this Schedule 5
- (ii) an Exceptions Report on the previous week's Lane Occupations as referred to in paragraph 2.1.4 of this Part 3 of this Schedule 5

- (iii) a Planning Application Status Report as referred to in paragraph 2.1.5 of this Part 3 of this Schedule 5 and
 - (iv) a status report on Further Detailed Directions as referred to in paragraph 2.1.6 of this Part 3 of this Schedule 5 and in Annex 4.2/D of Part 2 of Schedule 4
- 2.1.2 The Weekly Programme of Intent shall also be issued simultaneously to the other relevant organisations as referred to in paragraph 1.1.1 and 1.1.2 of Part 4 of Schedule 3.
- 2.1.3 The Weekly Programme of Intent shall be a schedule of all proposed Lane Occupations for the following week and shall include but not be limited to the following information
 - (i) route number
 - (ii) NADICS road works diary identifier
 - (iii) accurate location of Lane Occupation including start and end descriptions and start and end ordnance survey grid references
 - (iv) start date and planned duration of Lane Occupations
 - (v) type or objective of Operations Works and
 - (vi) traffic management arrangements.
- 2.1.4 The Exceptions Report shall be formatted and include the same information as required by the Weekly Programme of Intent as referred to in paragraph 2.1.3 of this Part 3 of this Schedule 5.
- 2.1.5 The Planning Application Status Report shall record the following details for all planning applications being processed by the Operating Company in accordance with the requirements as referred to in paragraph 1.4.1 of Part 2 of Schedule 8
 - (i) planning authority reference
 - (ii) planning application description and location
 - (iii) developer's name
 - (iv) date on which fully completed TR/NPA/1 shall have been received by the Operating Company
 - (v) date on which forms TR/NPA/2 and TR/NPA/2A shall have been submitted or will be submitted to the Director and
 - (vi) the Operating Company's comments on the status of the planning application.
- 2.1.6 The status report on Further Detailed Directions shall summarise the status of the Further Detailed Directions (to be completed) received by the Operating Company.

3 MONTHLY REPORTS

3.1 General

- 3.1.1 The Operating Company shall issue a monthly report to the Director.
The monthly reports shall be in Electronic Copy.

The monthly reports shall be provided to the Director no later than the dates instructed by the Director.

The Director shall give the Operating Company a minimum of two weeks notice if the scheduled date for a monthly report is to be changed.

3.1.2 The monthly report shall contain separate sections including but not limited to the following information

(i) Operations and Works progress undertaken in the preceding month compared with the programme of Operations and Works for that month as referred to in paragraph 3.1.2(ii) below.

The Operating Company shall compare actual work undertaken against the programme including but not limited to providing the following information for the previous month

- (a) Site Operations carried out by the Operating Company
- (b) Designs carried out and
- (c) progress of Works Contracts

(ii) Operations programmed by the Operating Company for the current and the following two months.

The Operating Company shall detail the Operations programmed for the current month and the following two months.

This section shall include but shall not be limited to providing the following information for the current and following two months

- (a) Site Operations to be executed by the Operating Company - summary broken down into Work Codes as referred to in Annex 4.2/B of Part 2 of Schedule 4
 - (b) Designs to be carried out - in a summary format
 - (c) Works Contracts - summary of Works Contracts to be commenced or due to be completed within the Unit
 - (d) public events - summary of any planned public events adjacent to or likely to affect the Unit which shall impact on the Trunk Road traffic or road users and
 - (e) any other relevant matters
- (iii) Contract Control and Management System reports as referred to in paragraph 4.4.8 of Part 2 of Schedule 4 and
- (iv) any other relevant matters that shall be required in writing by the Director and which in the opinion of the Operating Company require to be brought to the attention of the Director.

3.2 Other Matters

3.2.1 The Operating Company shall provide summary reports on all matters for which the Operating Company shall be responsible.

This section shall include but shall not be limited to reports on the following

- (i) a register referred to in paragraph 1.4.1 of Part 6 of Schedule 3 on complaints received from any source
- (ii) customer contact service - comment on any key issues arising in accordance with the requirements referred to in Part 7 of Schedule 3
- (iii) Winter Service - commentary in accordance with the requirements referred to in Part 2 of Schedule 7 on Winter Service management Operations and Winter Service Operations
- (iv) a report in accordance with the requirements referred to in paragraphs 5.1.1 to 5.2.1 inclusive of Part 3 of Schedule 7 on Emergency Response Operations
- (v) other communications received in accordance with the requirements referred to in paragraph 1.2.1 of Part 6 of Schedule 3
- (vi) accident reports in accordance with the requirements referred to in Part 5 of Schedule 4
- (vii) any other relevant matters which shall be required in writing by the Director and which in the opinion of the Operating Company require to be brought to the attention of the Director and
- (viii) any other relevant matters.

4 ANNUAL REPORT

4.1 Requirements

4.1.1 The Operating Company shall produce an annual report describing the overall performance of the Operating Company during the previous Annual Period.

This report shall be received by the Director no later than midday on 15 May following the end of the Annual Period being reported upon or such other date agreed in writing by the Director.

4.1.2 The report shall be a summary of the performance of the Operating Company and shall quantify actual performance against all measurable requirements of this Contract.

4.1.3 The Operating Company shall submit its proposals for the format of the annual report to the Director not later than twenty weeks before the end of the First Annual Period.

4.1.4 The Director shall either accept the Operating Company's proposals within thirty days of receipt or he will notify the Operating Company in writing in what respect the proposals shall not be acceptable.

4.1.5 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 days of being notified that such revised proposals shall be required.

4.1.6 The annual report shall form the basis of an annual meeting between the Operating Company and the Director as referred to in paragraph 5.1.2 of this Part 3 of this Schedule 5.

5 REPORTING AND PROGRESS MEETINGS

5.1 Requirements

5.1.1 The Operating Company shall attend at a meeting every month with the Director at the Director's office or at such other location as the Director shall reasonably require on a date to be instructed by the Director in writing to review the monthly report for that month and any other matters related to this Contract.

5.1.2 The Operating Company shall attend at an annual meeting with the Director at the Director's office or at such other location as the Director shall reasonably require on a date to be agreed upon in writing by the Director.

Such annual meeting shall be no later than the last day of June.

The annual meeting shall be held to review the annual report for the previous Annual Period and any other matters related to this Contract.

5.1.3 The Operating Company shall

- (i) prepare draft minutes of the monthly and annual meetings
- (ii) issue these draft minutes for the Director's approval not later than 5 Working Days following 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 5 Working Days of receipt of any comments made by the Director.

6 OTHER MEETINGS AND SEMINARS

6.1 Requirements

6.1.1 The Operating Company shall attend at any other meetings at the Director's office or at such other locations as the Director shall reasonably require.

The Director may organise seminars or working groups related to improving the methods by which Trunk Road management and maintenance activities shall be being carried out.

The Operating Company shall attend such seminars or working groups when required to do so in writing by the Director.

7 KEY PERFORMANCE INDICATORS

7.1 Requirements

7.1.1 The Key Performance Indicators used by the Director to measure the performance of the Operating Company in complying with the provisions of this Contract and to compare its performance against the other operating companies managing and maintaining other parts of the Trunk Road network shall be as referred to in Annex 5.3/A to this Part 3 of this Schedule 5.

7.1.2 The information in relation to each Key Performance Indicator shall be provided to the Director with a copy to the Performance Audit Group not later than 7

Working Days after the end of the period to which each Key Performance Indicator shall apply.

7.1.3 The Key Performance Indicators shall not in any way whatsoever impact on the various rights and obligations contained within this Contract.

These Key Performance Indicators shall be used solely as a means of monitoring performance without any contractual significance being ascribed to such information.

The contractual performance of the Operating Company shall be managed by implementation of the other provisions of this Contract.

7.1.4 It shall be accepted by the Operating Company that the Director shall be entitled to publish such Key Performance Indicators within the public domain and to use such information in discussion or in writing between the Director and other operating companies managing and maintaining the other parts of the Trunk Road network.

SCOTTISH MINISTERS' REQUIREMENTS

SCHEDULE 5 PART 3

REPORTING REQUIREMENTS

ANNEX 5.3/A – SCHEDULE OF KEY PERFORMANCE INDICATORS

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SCHEDULE OF KEY PERFORMANCE INDICATORS

ANNEX 5.3/A

		Key Performance Indicator	Measurement	Target	Source of data	Frequency
Cyclic Maintenance	1	Repair of Category 1 Defects	% of Category 1 Defects permanently repaired within 28 days	100%	Road Maintenance and Management System database	Quarterly
	2	Safety Inspections	% of contractual requirements achieved	100%	Road Maintenance and Management System database	Quarterly
	3	Detailed Inspections	% of contractual requirements achieved	100%	Road Maintenance and Management System database	Annually
	4	Lamp outages	% of lamp outages		Road Maintenance and Management System database	Quarterly
Winter Service	5	Response times	% of call outs achieved within contractual response time of 1 hour	100%	Operating Company records	Monthly (in winter service period)
	6	Treatment times	% of treatment times achieved within contractual response time of 2 hours	100%	Operating Company records	Monthly (in winter service period)
	7	Electronic Logger downloads	% of successful electronic data logger downloads achieved for all gritter routes	100%	Operating Company Records	Monthly (in winter service period)
Emergencies	8	Response times	% of call outs achieved within contractual response times	100%	Operating Company records	Quarterly
Traffic Management	9	Road occupation	Lane closures or occupations in terms of lane kilometres hours		Retrospective traffic management reports	Quarterly
	10	Traffic disruption caused by unprogrammed Operations and Works	Number of lane kilometres hours when unprogrammed Operations and Works are on the network	None	Weekly programmes of intent/retrospective traffic management reports	Quarterly
	11	Quality of traffic management	Instances of non-compliance resulting in issue of Observations Resulting from Inspections Hazard Notices Remedial Notices and non-compliance identified by the Operating Company's Quality Management System including Quality Plan	None	Observations Resulting from Inspections and Remedial Notices issued and Charges for Non-Performance Charged	Quarterly
Bridges	12	Achievement of inspection programme	% of Principal and general bridge inspection programme achieved	100%	Operating Company records	Quarterly

		Key Performance Indicator	Measurement	Target	Source of data	Frequency
Quality Maintenance System	13	Internal audits of quality management system	% of nonconformities identified at internal audits closed out within stated timescale	100%	Operating Company quality records	Quarterly
	14	Performance Audit Group quality management system	% of non-conformities identified at Performance Audit Group audits closed out within stated timescale	100%	Operating Company quality records	
Programming	15	Achievement of annual programme	% of capital works programme achieved against that programmed (includes design, construction, maintenance and the like)	100%	Contract Control and Management System	Quarterly
Design	16	Variation of expenditure against agreed budget.	Monthly and cumulative annual % variation from target	Current month +/- 5% Annual +/-2%	Operating Company records	Monthly
Works Contracts and Site Operations	17	Works Contracts cost estimates	Estimated costs against tender costs split into 3 bands of (i) plus or minus 5% (ii) plus or minus 10% (iii) plus or minus greater than 10% giving Works Contractor's name and type of contract		Contract Control and Management System	6 monthly
	18	Works Contracts outturn costs	Tender costs against outturn costs split into 3 bands of plus or minus 5%; plus or minus 10%; plus or minus greater than 10% giving contractor's name and type of contract		Contract Control and Management System	6 monthly
	19	Site Operations cost estimates	Estimated costs against outturn costs		Contract Control and Management System	Quarterly
	20	Operations Instructions	% completed by target date	100%	Contract Control and Management System	Monthly
	21	Frequency of materials testing	% of Works Contracts and Site Operations where testing has been carried	100%	Operating Company records	Quarterly

		Key Performance Indicator	Measurement	Target	Source of data	Frequency
			out			
	22	Materials testing	Average % of quality failures per works contract and site operation undertaken		Operating Company records	Quarterly
	23	Observations Resulting from Inspections issued	Number responded to within 7 days of issue	None	Performance Audit Group Observations Resulting from Inspections issued	Quarterly
Financial	24	Forecast against actual spend profile	% spend achieved with respect to forecast	100%	Contract Control and Management System	Quarterly
	25	Invoice submission	% of invoices submitted on time	100%	Contract Control and Management System	6 monthly
	26	Disputed items in invoice	% of value of disputed items related to total amount invoiced in period		Contract Control and Management System	6 monthly
Planning Applications	27	Time taken to process planning applications	% of planning applications processed within the required contractual timescale	100%	Operating Company records	Monthly
Reporting	28	Submission of reports, programmes and minutes	% of all reports, annual programmes and progress meeting minutes submitted on time in accordance with the requirements of this Contract	100%	Operating Company records	Quarterly
Customer Care	29	Answering of correspondence, enquiries and complaints	% replied to within 5 Working Days	100%	Operating Company Communication register	Quarterly
	30	Draft responses and briefing to SEDD on general and Ministerial correspondence	% replied to within 5 Working Days	100%	Operating Company Communication register	Quarterly
	31	Calls to customer contact system number	% of calls answered in person within 2 minutes of first receipt (data to be submitted in 15 second time bands)	100%	Operating Company records	Quarterly
Remedial Notices	32	Remedial Notices issued	Number	None	Operating Company records	6 monthly
Human Resources	33	Staff turnover	Number of direct employees who left employment and have been replaced in the last year/Average number of direct employees in the last year x 100 = X%	15%	Operating Company records	6 monthly
	34	Sickness absence	Total number of working days lost due to	5 days	Operating Company records	6 monthly

		Key Performance Indicator	Measurement	Target	Source of data	Frequency
			sickness among direct employees in the last year/ Average number of direct employees in the last year			
	35	Working hours	Total number of hours worked by all direct employees in the last year/ Average number of direct employees in the last year	40 hours	Operating Company records	6 monthly
	36	Training	Total number of training days provided in the last year/ Average number of direct employees in the last year	5 days	Operating Company records	6 monthly