

PART 11 – ADMINISTRATION

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11.1 Claims for Damage to the Highways Agency's Road Network [Green Claims]**11.1.1 Introduction**

The Highways Agency's Green Claims team is responsible for pursuing those person/s responsible for causing damage to the Highways Agency's road furniture. This function is performed in conjunction with Service Providers.

Performance targets for each of the Service Providers are in place, within their respective contracts, to monitor both performance and revenue.

Service Providers fall into the following categories:

- i) Maintaining Agents (MA)
- ii) Managing Agents (SMA)
- iii) Managing Agent Contracts (MAC)
- iv) Enhanced Managing Agent Contract (EMAC)

Each of these operates under differing procedures and these are detailed below.

11.1.2 Requirements for Maintaining Agents (MA)

Where the responsible party can be identified and the repair costs is under £2000 the MA is responsible or the recovery action.

Once the repair is completed and the final costs are known the MA must seek reimbursement from the responsible party and any monies recovered will belong to the Highways Agency.

For those cases where the responsible party is known and the repair costs exceed £2000 the MA must submit all claim details by way of a TR430 claim form to the Highways Agency. In these cases the Highways Agency's Green Claims team will pursue and retain the recovery of any monies.

In the case of damage where the repair cost is under £2000 and those responsible for the damage are unknown the MA must report these to the Highways Agency Green Claims team as a bulk return. This bulk return must detail dates, incident locations and a description of the damage and must be submitted at quarterly intervals throughout the financial year.

Where the repair costs exceed £2000 and those responsible for the damage are unknown the MA must submit these incidents using the TR430 claim form to the Highways Agency's Green Claims team. These claims are written-off in line with the Highways Agency's accounting procedures.

11.1.3 Requirements for Managing Agents (SMA)

Where the responsible party can be identified and the repair cost is under £5000 the SMA is responsible for the recovery action.

Once the repair is completed and the final costs are known the SMA must seek reimbursement from the responsible party. Money recovered is paid to the Managing Agent and deposited into a special Bank Account on behalf of the Highways Agency. All monies recovered are the property of the Highways Agency.

For those cases where the responsible party is known and the repair costs exceed £5000 the SMA will submit all claim details by way of a TR430 claim form to the Highways Agency. In these cases the Highways Agency's Green Claims team will pursue and retain the recovery of any monies.

In the case of damage where the repair cost is under £2000 and those responsible for the damage are unknown the SMA must report these to the Highways Agency Green Claims team as a bulk return. This bulk return must detail dates, incident locations and a description of the damage and must be submitted at quarterly intervals throughout the financial year.

Where the repair costs exceed £2000 and those responsible for the damage are unknown the SMA must submit these incidents using the TR430 claim form to the Highways Agency's Green Claims team. These claims are written-off in line with the Highways Agency's accounting procedures.

11.1.4 Requirements for Managing Agent Contractor Contracts (MAC)

All incidents, where the repair costs are under the £5000 threshold, are the responsibility of the MAC Service Provider and dealt with at their own risk.

Where the responsible party can be identified, and once the repair is completed and the final costs are known, the MAC will pursue reimbursement and any monies recovered will belong to the MAC.

The MAC must bear the risk for all claims that fall under the £5000 threshold and where the responsible party cannot be identified.

For all cases where the repair costs exceed £5000 the MAC must submit all claim details by way of a TR430 claim form to the Highways Agency. In these cases the Highways Agency's Green Claims team will, where possible, pursue and retain the recovery of any monies.

11.1.5 Requirements for Enhanced Managing Agent Contractor Contracts (EMAC)

For all cases where the repair costs exceed £5000 the EMAC must submit all claim details by way of a TR430 claim form to the Highways Agency. In these cases the Highways Agency's Green Claims team will, where possible, pursue and retain the recovery of any monies.

Where the repair costs is below the £5000 threshold and those responsible for the damage are unknown the EMAC must submit these incidents using the TR430 claim form to the Highways Agency's Green Claims team. These claims are written-off in line with the Highways Agency's accounting procedures.

Where the responsible party can be identified and the repair cost is under £5000 the EMAC is responsible for the recovery action.

Once the repair is completed and the final costs are known the EMAC will request an invoice to be raised which will then be issued by the Highways Agency. Any monies recovered belong to the Highways Agency.

11.1.6 Exceptions

There are exceptions that apply to Maintaining Agents, Managing Maintaining Agents, Managing Agent Contracts and Enhanced Managing Agent Contracts.

Where a claim involves the following the Highways Agency reserves the right to automatically take over the claim processing irrespective of the claim value:

Fatality, serious injury, counterclaim anticipated, damage is not the responsibility of the Service Provider, theft (other than the vehicle), mining subsidence and incident involves the armed forces, NATO or other Government department

11.1.7 Claims for damage against persons unknown - bulk return

The following is an example of a bulk return form:

During the quarter ended the trunk road and motorway maintenance and lighting accounts have been debited with the following sums in respect of [no.] claims for damage estimated to cost £x,xxx or less for which it has not been possible to identify the persons responsible:-

Incident Number	Date of Damage	Locality of Damage	Description of damage	Gross cost of repair (inc. admin. fee) £
1				
2				
3				
etc				
				Total

Total [No.] cases where the cost of repairing the damage is more than £x,xxx (including administration fee) have been reported individually.

Chief Financial Officer/Principal Engineer

Signed.....Service Provider

Date.....

11.2 Claims Against the Highways Agency by Third Parties [Red Claims]

11.2.1 Red Claims

Red Claims are defined as claims made by third parties against the Secretary of State arising out of the condition of the motorway & trunk road Area network. These claims are handled in the Highways Agency by the Third Party Claims Team (TPC). Case Officers in the Team are individually responsible for processing claims arising in their particular Highways Agency Area(s). Each Highways Agency Area will have one case officer assigned to it so it will be clear whom you need to contact initially on TPC issues. However, queries of a more general nature can be sent by e-mail to the Red Claims mailbox (REDCLAIMS_HAIL@highways.gsi.gov.uk), which is monitored on a regular basis.

11.2.2 Legal situation

Under the Highways (Miscellaneous Provisions) Act 1961, Highway Authorities have an obligation to maintain public highways to reasonable standards. The current provisions are incorporated in the Highways Act 1980, Section 41 (duty to maintain) and Section 58 (special defence in actions for damages for non-repair). The importance of Section 58 is that it provides the defence "that the Authority had taken such care as in all the circumstances was reasonably required to secure that the part of the highway to which that action related was not dangerous for traffic". Effectively, this legislation requires Highway Authorities to categorise their networks in terms of location and usage, linking those categories to standards of inspection and maintenance. In Court, the interpretation of reasonableness is a matter for each individual case, but it is normal for judgments to take into account precedents from earlier cases.

Limitation Act – Under the Limitation Act 1980, a person has 3 years from the accident date to make a personal injury claim or 6 years in respect of a damage only incident.

From 26th April 1999 the new Civil Procedure Rules (otherwise known as the Woolf Reforms or the CPR) were introduced with the aim of speeding up pre-trial procedure and reducing the cost of litigation. Details of how to recognise and deal with a Protocol Claim for Personal Injury are detailed in the following heading.

Service providers are required to send TPC a completed report of the incident and supporting information within the timescale detailed in their contracts.

11.2.3 Process

Protocol Claims for Personal Injury – A Protocol letter can be recognised by its standard layout. It should include a clear summary of the facts on which the claim is based together with an indication of the nature of any injuries suffered and of any financial loss incurred. In cases of road traffic accidents, the letter should provide the name and address of the hospital where treatment has been obtained and the claimant's hospital reference number. The letter is submitted in duplicate and ends with the invitation to 'send the copy to your insurers'. It is advisable that, upon receipt of this letter, both copies are sent immediately by the Service Provider to TPC as the protocol states that an acknowledgement must be sent within 21 days. **Do not acknowledge the letter.** The Service Provider should, at this point, start to gather the supporting information required under their contract. Once TPC have acknowledged the claim, a decision on liability needs to be communicated within 90 days. In some cases, the claim will be passed to The Treasury Solicitor for advice and they might require further information from the Service Provider. Given the tight deadlines, any request must be dealt with promptly.

All other claims – TPC will use the supporting information supplied by the Service Provider to form an opinion of the claim. An acknowledgement letter will be sent by TPC informing the Claimant that

the Highways Agency is investigating their claim. It may be necessary for TPC to request further information from the Service Provider, which must be provided strictly within the timescale provided for in their contract.

Whenever a claim is received in TPC, the caseworker will send an e-mail to the Highways Agency Service Manager and the Service Provider for their records. The e-mail will give basic details of the incident and an estimated value of the claim.

11.2.4 Report

Form TR137/HA2 is the report form to be filled in by the Service Provider. This report form is an essential part of the decision making process and must be completed as fully as possible. It is essential that Service Providers maintain and retain accurate and detailed records of inspections, complaints received, incidents, work undertaken and the decisions why or why not to undertake work on the network as these may be called in evidence, often quite some time after the incident giving rise to the claim. The documents should provide a history for the location and an audit trail of the actions taken and reasons for them at all stages.

At various stages during the processing of a claim it may be necessary to seek further information from the Service Manager and Service Provider. In certain cases we may require witness statements from Safety Inspectors, and Maintenance Crew or others.

11.2.5 Decision

Once the claim has been decided and finalised with the claimant another e-mail will be sent to notify the Highways Agency Service Manager and Service Provider of the outcome. Our decision will be based on the facts and law, and will always reflect what we believe to be the attitude of the courts. For example, if we believe the courts would reject a claim, we will do the same. If, on the other hand, we believe that the courts would award compensation, we will offer to settle the claim. Should we believe an incident relates to the Service Provider's risks under their agreement with the Highways Agency, every effort will be made to secure an indemnity from the Service Provider including issuing legal proceedings if necessary – particularly if, earlier in the process, the Service Provider has refused to take over conduct of the case when invited to do so. Further information regarding indemnity provisions can be found in the appropriate section of the Service Provider's contract with the Highways Agency.

To aid us in our decision we may use The Treasury Solicitor, Department for Transport Legal Branch, Transport Research Laboratory, Valuation Office and other specialist advisors.

11.3 Standards Improvement System (formerly Quality Control Reporting System)**11.3.1 Service Provider's Duties and Responsibilities**

The Standards Improvement System (SIS) [formerly Quality Control Reporting System (QCRS)] is a method of reporting defects to perform or problems in the design, construction, supervision and maintenance of the trunk road network. Its use is **mandatory** for Service Providers.

SIS is a computerised database of reports generated from defects of specifications and design standards and other observations on these documents. The database records potential improvements using lists of components, symptoms, diagnoses, and detailed descriptions

SIS is operated and maintained by the Highways Agency. Its prime objective is to improve the performance of the engineering standards and specifications published by the Highways Agency, both independently and jointly with other organisations, however it can also be used to report defects or omissions in the international or national standards.

The SIS is also an early warning system to keep the Department abreast of any developing problems with its procedures, standards, specifications and advice. The information submitted on the SIS will not necessarily be 100% factual but it will represent the best 'estimates' of the underlying problems and their cost, that are available at the time of reporting.

11.3.2 Operation of the SIS

The SIS is fully described in HD34 and is the successor to the QCRS, which has undergone a radical review following lengthy consultation with users of the system. The new system is designed to be user-friendly and will be accessible by Service Providers over the internet. Any requests for help in using SIS, including requests for access for new users, should be directed to the Highways Agency Service Direct helpdesk in Leeds (0113 254 1140). The Standard was published in November 2003 with effective implementation from the date of publication. This document defines the Department's concept of a defect and provides guidance on reporting and standard input codes.

The SIS will not require additional inspections. There are sufficient inspections already established for the purpose of monitoring the network. However, the SIS will require defects or problems to perform as defined in HD34 to be reported.

The SIS is designed such that a report is automatically sent to the SSR technical adviser identified as dealing with the subject, he/she will be expected to provide feedback to the author of the report on an ongoing basis, and close out the report.

11.3.3 Additional Inspections

In some cases it may be necessary for an additional inspection to be made before an underlying problem can be assessed. If such an inspection is necessary, it will be reimbursed on an at-cost basis in line with additional inspections as defined and used in the RMMS.

11.3.4 Timescale

The SIS also acts as an early warning system. It is therefore necessary that reports be made on the SIS within a short timescale of the original observation. Owing to the diverse nature of the reports that will be received and the varying scale of the problems encountered, it is not possible to

give a categoric timescale, however, the period between the observation of a defect or problem and a report being made on the SIS should be no more than **four weeks** in most cases.

It is important to note that the Highways Agency is content that the preliminary diagnosis of the failure/problem to be the best intelligent guess only. Naturally, the more accurate the information is, the better the database will be, but reports should not be delayed waiting for follow-up analysis to take place. If, subsequently, the diagnosis or cost estimate needs to be changed then this is possible

11.4 IT & Systems**11.4.1 Introduction**

The section covers the role of information systems in meeting the information requirements of the Highways Agency. The information requirements are guided by The Highways Agency's Information Strategy which sets out the vision for making the best use of information assets as detailed in this Part 11.4. It is expected that the Service Provider will review its operations and its own plans for information to comply with the objectives as set out in the Information Strategy as updated or amended from time to time.

The Service Provider must ensure that all liaison concerning matters in this Part 11.4 is channelled through the Service Manager or his delegated Information and Communication Technology (ICT) liaison contacts (i.e. Highways Agency ICT specialists, see 11.4.5).

Information requirements have been divided into the following three broad groups:

- a) Information required by the Highways Agency for the purposes of managing and operating the strategic road network.
- b) Information required by the Highways Agency and the Service Provider demonstrating that outcomes and conditions of the contract are delivered.
- c) Information on contract administration required by the Service Provider to demonstrate that it has carried out its responsibilities in a professional and proper manner.

The Service Provider must provide those information systems not currently provided by the Service Manager. Depending on the information requirements and subject to agreement from the Service Manager, the Service Provider need not necessarily use all the Highways Agency systems outlined in this section.

The Service Provider must provide appropriate hardware and software to operate both its own systems and those Information Systems as provided by the Service Manager. During the course of the Service Provider contract, there will be a need for the Highways Agency or the Service Provider to introduce new systems to meet information requirements which have not currently been identified.

The following sections cover the method of access to systems before detailing the systems which the Service Provider will be expected to use.

11.4.2 Business Information Gateway

The purpose of installation of the Business Information Gateway ("the Gateway") is to ensure that the Service Provider can access the Highways Agency's systems (see Clause 11.4.11). There is also a requirement for the Service Manager or Highways Agency to have remote access to the Service Provider's systems and documents which are applicable for the delivery of the contract. This access may be achieved by way of the Gateway or by some other means agreed by the Service Manager.

The connection to the Highways Agency's Information Systems is provisioned under the Gateway which offers a suite of services, currently provided through the internet using a Virtual Private Network sponsored by the Highways Agency to which the Service Provider must subscribe.

The technology underlying the Gateway may be subject to change from time to time. Connection to, and continued membership of, the Gateway is dependent on the Service Provider complying fully with the technical and security requirements set out later in this section.

The Service Provider for contracts commencing from January 2007 onwards is responsible for securing and paying for their own connection to be made to the Gateway, taking into account the data volume and the number of their staff expected to make use of the link at any given time. Details of the current network technology including an application for access to the Highways Agency network are set out in the Highways Agency Business Network Architecture document which is available from the Service Manager or the Highways Agency Service Direct Team (see 11.4.6). This document contains a Technical Architecture Form which the Service Provider must submit to the Service Manager providing details about how the Service Provider intends to connect to the Gateway. The Service Manager, following advice from the Highways Agency ICT Specialist, is responsible for authorising a connection for the Service Provider.

The Service Provider will arrange and be responsible for suitable support and business continuity for the connection, details of which must be agreed with the Service Manager. The Service Provider is responsible for onward connections to any satellite or site office used for the purposes of this contract.

The connection point situated in the Service Provider's premises must be located in a secure room.

Any access required by the Service Manager to systems, data or applications hosted by the Service Provider must also be provided via the Gateway or by other remote access methods agreed by the Service Manager.

11.4.3 Service Provider Security and User Access Requirements

The Service Provider must ensure that all users of the Highways Agency's system(s) comply with the requirements set out in the documents comprising the Application for External Access which are available from either the Service Manager or the Highways Agency Service Direct Team (see 11.4.6).

The current Gateway technology includes the following requirements for use of the Highways Agency's systems:

- a) All Service Provider users are to be subject to the basic security check as defined in the documents comprising the Application for External Access.
- b) All users must obtain the approval of the Service Manager in order to access the system(s) by completing a formal application and review process as defined in the section under New Account Management.
- c) The Service Manager must issue named individual user accounts which are mandatory, and the sharing or transfer of these named individual user accounts is not permitted.
- d) The user account application process and security checks are subject to regular audits.

The Service Provider is responsible for determining any formal application and security clearance requirements to enable the Service Manager to access any systems they provide. The Service Provider's ICT liaison contact must inform the Service Manager of those requirements including timescales within one month of the contract possession date and within one month where changes or new approvals are to be made during the contract period.

The Highways Agency is a member of the Government Secure intranet (GSi), a general purpose electronic data communications service joining Government departments. The implementation of the GSi may be subject to change from time to time, but the Service Provider must agree security arrangements with the Service Manager so as not to adversely affect this GSi accreditation.

11.4.4 Software and Licences

The Service Provider must provide software licences required for office applications and access to web applications. Licences for all specialist Highways Agency systems, e.g., HAPMS, etc. will be provided by the Service Manager.

11.4.5 Relationship Management

The Service Manager and the Service Provider must both nominate an ICT liaison contact to determine and resolve ICT issues that may arise in operating shared systems and communication networks. The contact details must be confirmed with the Service Manager and updated as required.

Those ICT liaison contacts are responsible for ensuring that ICT key contact information is provided and maintained between the Highways Agency and the Service Provider.

Regular review meetings will be held between both ICT liaison contacts to ensure that any ICT issues arising in the execution of the contract are addressed in a timely manner. The review meeting will be held to ensure that::

- the Service Provider has an effective process for the completion of new account applications
- the ICT service delivery requirements of the contract are being delivered on time and to budget (if funded by the Highways Agency),
- the technology and applications function in the agreed manner,
- there is sufficient collaboration to deliver the efficient use of technology to the benefit of both parties.
- both parties are aware of any technological changes and notified well in advance of future upgrades of common software used by both parties.

11.4.6 Service Desk

The Highways Agency will provide an ICT help/service desk facility known as Service Direct and will be available to assist all Service Provider's staff that have access to Highways Agency systems or applications and will enable the Service Provider to report problems and record requests. Contact details for Service Direct are available from the Service Manager.

The Service Provider's ICT liaison contact must provide up-to-date contact details (i.e. daytime/out of hours/e-mail etc) to the Service Managers ICT liaison contact should contact be required to resolve issues affecting Service Manager's users of Service Provider's systems. These details must be copied by email to Service Direct.

As soon as Service Direct becomes aware of a Highways Agency system problem or issue, it will provide a target response time in accordance with the Service Direct service level agreement with the Highways Agency in effect at the time until the service level is restored or a suitable alternative arrangement has been reached. Urgent queries must be raised by telephoning Service Direct. Service Direct is currently available from 07.00 hours to 19.00 hours, seven days a week, 365 days of the year. Outside these hours an answer-phone is available to leave messages. The Service Provider will be notified of any changes of service during the contract period.

Non-urgent or out of hours incidents / requests can be advised by e-mail. The e-mail address is servicedirect@highways.gsi.gov.uk

If the problem cannot be resolved within the target response time or there will be a major impact on the Service Provider's service delivery then the Service Provider must inform the Service Manager without delay.

11.4.7 New Account Management

The Service Provider must nominate an account liaison officer to manage ICT user accounts and any issues arising thereof. Details of the Service Provider's liaison officer will be confirmed between the Service Provider and the Service Manager in accordance with the contract requirements and will be updated as required and copied to Service Direct.

Any Service Provider's staff wishing to have access to Highways Agency Information Systems must in the first instance contact the Service Provider's liaison officer who will liaise with the Service Manager. Under the current security and user access requirements the Service Manager will generate the necessary application forms and guidance notes through the Highways Agency's "New User Name System" (NUNS), or its successor, and will forward these forms to the Service Provider for completion and return as an application for a new account. Details of the process and any application forms may be obtained from the Service Manager.

For security reasons, the Service Provider must ensure that all new users must contact Service Direct personally for their personal password which will be issued verbally rather than by e-mail.

11.4.8 On-going Account Management

Requests for access to additional applications by the Service Provider who already has an existing Highways Agency's account must be requested through the *Service Manager* who must authorise access prior to processing by Service Direct.

11.4.9 Service Manager's access to Service Provider's applications

Service Manager's staff wishing to access any information systems or applications owned and hosted by the Service Provider for the purpose of delivering the contract must comply with the Service Provider's security and access requirements.

The Service Provider must advise the Service Manager of all access rights granted to the Service Manager's staff for the purpose of the contract.

11.4.10 Change Management

It will be the responsibility of the Service Manager's or the Service Provider's ICT liaison contact to inform the other as soon as either becomes aware of any matter or potential issue such as:

- Information system upgrade, change or termination
- Information system maintenance
- Change, or revision to data capture requirements
- Change or removal of access rights for Service Provider to access the *Highways Agency* information system, or *Service Manager's* access to *Service Provider's* information system
- Change to the Gateway, or
- Any other matter that could affect the Service Provider's performance.

A notice period for each system change must be agreed between the Service Manager and the Service Provider to enable both to comply with the requirements. Similarly the retirement of

applications and or the introduction of new ones will also be subject to an agreed period of notice to allow for completion of work and or re-training.

In emergency conditions or in the event of an unplanned system change, the Service Manager or the Service Provider will provide as much information as possible to the other concerning the change.

11.4.11 Specific Systems

The Service Provider must use or populate specific systems to support the information requirements of the Secretary of State, the Service Provider or contract management.

Service Provider's Systems to meet Highways Agency and Contract Management Information Requirements

The Service Provider must provide those systems as outlined in Table 1 to satisfy the information needs of the Highways Agency and to assist in the management of the contract.

Table 1		
Systems provided by the Service Provider required to meet Highways Agency and Contract Management Information Requirements		
System Required	Description	Reference
Works Order System	It is expected that the Service Provider's Works Order System will be interoperable with the RMMS	
Routine Maintenance Management System (RMMS)	Asset and defect database for all trunk road asset items	NMM Part 2
Environmental Database	System to be capable of supplying the requirements of the HA Environmental System as set out in DMRB Vol 10 Section 0	DMRB Vol 10 Section 0
Incident Support Unit (ISU) Data Capture System	System to enable the capture of ISU data and its transfer to the Department's Nominee.	NMM Part 7
Land Ownership System	Electronic management system for registered land ownership	Memorandum TR138 Notes on the Preparation of Land Plans and Reference Schedules
Accidents Database	Database of traffic accidents	NMM Part 2 (reported injury accidents)

Table 1		
Systems provided by the Service Provider required to meet Highways Agency and Contract Management Information Requirements		
System Required	Description	Reference
Electronic Document and Records Management	<p>The Service Provider shall operate a system for the management of electronic documents and records (including e-mails) which are created and maintained on behalf of the Highways Agency. Documents and records are defined in The Agency Records Policy, a copy of which can be obtained from the Service Manager.</p> <p>Service Providers, whose contracts commence from January 2008 onwards, shall seek agreement from the Agency Records Officer (ARO), through the Service Manager, on setting up a system for electronically managing both the electronic and physical records which they create and maintain on behalf of the Agency. This system is required for the capture, retention and disposal of all electronic or machine readable unstructured documents and records.</p> <p>Service Providers, whose contracts pre-date January 2008, shall submit details of their current document management system to the ARO, through the Service Manager, who will accept or otherwise indicate, where necessary, the changes (with associated timescales) required to meet the information needs of the Highways Agency.</p> <p>In seeking acceptance from the ARO Service Providers shall undertake the following:</p> <ul style="list-style-type: none"> • The Service Provider must submit details of the system (including a functional file plan and metadata standards) to the Service Manager within 3 months of the contract <i>possession date (or commencement date)</i> or, for existing contracts, within 3 months from receipt of this version of the Network Management Manual. The ARO, through the Service Manager, shall accept or otherwise assist in the development of the system to meet the needs of the Highways Agency. • In setting up the system, the Service Provider is responsible for ensuring that the system is compliant with the relevant standards and codes of practice on records management and legal admissibility. The Service Provider must submit a record management proposal to be agreed with the ARO. The ARO is responsible for providing record management policy and advice that meets the needs of the Highways Agency while complying with statutory regulations. Current standards and codes of practice include the following: <ul style="list-style-type: none"> ○ BSI BIP 0008:2004 - Code of Practice for Legal Admissibility and evidential weight of information stored electronically. ○ BS ISO 15489-1:2001 Information and documentation. Records management. General 	

Table 1		
Systems provided by the Service Provider required to meet Highways Agency and Contract Management Information Requirements		
System Required	Description	Reference
	<ul style="list-style-type: none"> ○ Code of Practice on the management of records, under s.46 of the Freedom of Information Act 2000 ○ BSI 0012 - BSI Data Protection Guide • The Service Provider must ensure that the system permits the transfer of documents and records back to the Highways Agency or to another Service Provider in a manner which has been agreed with the ARO. <p>The Service Provider shall incorporate the accepted system into their quality management system to be available for use from the contract <i>possession date (or commencement date)</i> or, for existing contracts, from the date specified by the Service Manager. The Service Provider is encouraged to ensure that the details of the system will be dynamic, which will require discussion and development with the Service Manager and the ARO.</p>	

Service Provider's Systems to fulfil their own business information requirements and effective delivery of the contract

Table 2 provides some examples of information systems which Highways Agency expects the Service Provider to provide and operate in order to fulfil the requirements of the Service Provider's business and to provide effective delivery of the contract. They are not prescriptive nor exhaustive.

Table 2	
Examples of Information Systems as provided by the Service Provider to fulfil the requirements of the Service Provider's own business and effective delivery of the contract	
System	Comment
Quality Management System	The Service Provider will implement an effective quality management system which will ensure consistency and improvement of working practices. The Service Provider should aim to align their system either to meet or to be better than the required quality standard as set out in the contract.
Collaboration System	The Service Provider will exploit collaboration technologies between its supply chain partners in order to deliver a continually improved service to the Highways Agency.
Change Control System	This system will manage changes to process and systems

Table 2	
Examples of Information Systems as provided by the Service Provider to fulfil the requirements of the Service Provider's own business and effective delivery of the contract	
System	Comment
Customer Relationship Management (CRM) System	This system will manage the CRM strategy to ensure long lasting relationships with the Service Provider's/Highways Agency's customers. The system will seek to improve customer service by performing functions such as identifying what customers value the most and providing an effective mechanism to handle problems and complaints. The system is expected to align with the visions of the Highways Agency Information Strategy.
Human Resource Management System	The Service Provider will utilise this system to manage issues such as recruitment, skillsets, employee history, payroll, etc.
Facilities Management System	The Service Provider will use a system to ensure that the Service Provider's office estate is managed effectively and efficiently to provide Service Provider staff with a safe, healthy and secure environment.
Financial Management System	The Service Provider will use a system to produce timely in-year and year-end management and accounting information.
Project Management System	The Service Provider will use a system to assist in the planning and organisation of activities in order to meet the Service Provider's programme for effective delivery of Highways Agency projects.

Highways Agency Information Systems for effective delivery of Contract Management

The Service Provider must use or populate the systems listed in Table 3 which are provided by the Highways Agency.

The Service Provider is required to collect and maintain the information relevant to the contract using either direct entry into the HA's information systems or by an agreed interface with the Service Provider's own information systems.

If the Service Provider provides their own IT information system(s), the Service Provider must ensure that the system is able to store all the data required to populate the HA's information systems accurately and comprehensively. The Service Provider is responsible for uploading the data electronically via an interfacing mechanism which has previously been agreed by the Service Manager or his ICT liaison contact. The Service Provider is responsible for checking the accuracy of the data and correct any incorrect data prior to uploading them to the HA's information systems. The Service Provider must upload the data to the HA's information systems at a frequency as specified in the inventory data management of the Routine & Winter Service Code, in the requirements for each HA system or as agreed with the Service Manager.

Table 3		
Systems provided by Highways Agency required to meet the Contract Management Information Requirements		
Current HA System	Description	Reference
Highways Agency Traffic Information System (HATRIS)	Stores historical traffic flow and journey time/speed data collected on the motorway and all-purpose trunk road network. HATRIS currently contains two distinct databases: 1. TRADS (Traffic Flow Database System). This contains hourly count data from inductive loops at approximately 1000 locations across the HA network. 2. JTDB (Journey Time Database). This contains average speeds and total flow for each 15 minute period throughout the year for each junction to junction link on the HA core network. Journey speed data is currently taken from four sources - MIDAS, NTCC and Trafficmaster ANPR cameras, and ITIS GPS vehicles.	Stand alone system
Area Performance Indicators (API)	An internet hosted and centrally populated Performance Management information system	Stand alone system
“Motivating Success” - A toolkit for Performance Measurement a. maintenance b. major projects	System to measure performance of a. maintenance contracts or b. major construction projects.	Procurement Supply Chain Management
Accident Incident Reporting System (AIRS)	The AIRS incident reporting system allows the completion of a single incident report, which can be submitted to several organisations	Stand alone system
Highways Agency Pavement Management System (HAPMS)	HAPMS consists of a set of computer applications that provide the following business capabilities: <ul style="list-style-type: none"> • Improved data management by holding network, construction, definitive inventory, traffic, accident (described in Chapter 2.6.8) and condition data on a single database (the Network Data Repository) • Enhanced analysis and reporting of the data both in map-based and textual formats • Integrated tools for the optimisation, in terms of minimising whole life cost within the available budget, of pavement maintenance at both a scheme and network level • Recording and management of lane closure information 	NMM Part 2 details all the applications available through HAPMS
Structures Management Information System (SMIS)	SMIS provides operational support to structures management throughout the lifecycle of the structure	BD 62/94, IAN 67/05 NMM Part 2

Table 3		
Systems provided by Highways Agency required to meet the Contract Management Information Requirements		
Current HA System	Description	Reference
Highways Agency Geotechnical Data Management System (HAGDMS)	Internet hosted and GIS based Geotechnical Inventory	NMM Part 2
Highways Agency Drainage Data Management System (HADDMS)	Shares the facilities developed for HAGDMS and exists on the same platform. This provides integrated geotechnical/drainage information	NMM Part 2
Project Appraisal Report (PAR)	Allows appraisal details of Local Network Management Schemes to be submitted to the Agency	NMM Part 10 CHE Memorandum 178/06
WebDAS	Database of departures from HA standards and aspects not covered by standards, including SHW specification departures.	NMM Part 0 CHE Memorandum 157/05 DMRB Vol1
Software for Whole-life Economic Evaluation of Pavements (SWEEP)	SWEEP is a module of HAPMS. It has facilities to provide whole life cost estimates and evaluations for a number of scheme options including a do nothing comparison	NMM Part 2
Highways Agency Traffic Management System (HATMS)	Motorway control and communications system	NMM Part 3
National Online Motorway Asset Database (NOMAD)	Holds details of all communication and other electrical equipment on the motorway network	Stand alone system
Cultural Heritage Database	Part of HAGIS. Database of Cultural Heritage items	Part of HAGDMS
Winter Maintenance Reporting System (WRF) ICECAST/ICELOG	Provides the Department's Nominee with information on the state of the network and weather related incidents.	NMM Part 5

Table 3		
Systems provided by Highways Agency required to meet the Contract Management Information Requirements		
Current HA System	Description	Reference
Electronic Service Delivery for Abnormal Loads (ESDAL)	All notices received pursuant to Schedule 9 of the Road Vehicles (Authorisation of Special Types) General Order 2003 and documentary evidence of advice given to operators & indemnities received from operators To provide an assisted route planning and automated notification system for the management of Abnormal Indivisible Loads (AILs) throughout Great Britain	NMM Part 6
HANET	Web based internet hosted system for viewing CCTV camera pictures	NMM Part 8
DevCon	Permits logging, processing, control and monitoring of all planning applications received within the HA, to ensure dealt with within the required timescales of planning applications There is a viewing layer available in HAGIS	Stand alone system
Streetworks – Electronic Transfer of Notices (ETON)	System for the posting of streetwork notices	NMM Part 6
Noise Assessment and Insulation System (NAIS)	GIS based tool for predicting noise impacts on the environment surrounding the trunk road network	Stand alone system
MAPPA	System to manage applications for motorway passes	NMM Part 6
HA PartnerNET	An internet collaboration site for the Agency & its partners.	NMM Part 10
NTCC Desktop Service	Desktop tool providing road performance information (flows, delays, accidents, planned and actual closures).	
System for Management (SfM)	The Agency's finance and accounting system which supports major business transaction processing requirements	
Highways Agency Management Information System (HAMIS)	Portal system providing access to HAGIS	
HAGIS	Stores information using the latest digital mapping, which allows users to view geographical data for a specific area of the UK by zooming in and out and using the built in GIS tools.	
Energy Procurement Strategy (EPS)	An ACCESS database containing details of lighting units on the road network and is used to determine energy consumption provided by the various energy suppliers. Refer: EPS National	

Table 3		
Systems provided by Highways Agency required to meet the Contract Management Information Requirements		
Current HA System	Description	Reference
inventory data	Unmetered Energy Contract Inventory Maintenance Procedures Notes for Providers in accordance with EPS National Unmetered Energy Contract Inventory Maintenance Procedures: Note: The EPS system is currently maintained by <i>Atkins Odlin</i> – a consultant firm working on behalf of the Highways Agency Contract Manager.	

11.5 Forecasting & Budget

11.5.1 System for Managing (SfM) – Introduction

The Highways Agency operates a “**System for Managing**” (SfM) using the suite of Oracle Financial programs and associated modules . The SfM project has introduced a number of Oracle based financial management systems to most aspects of the Highways Agency’s business. The Service Provider must submit invoices and accruals to the Highways Agency via a module of SfM known as Applications and Certificates (or “Apps and Certs”). Full user training will be provided by the Highways Agency.

11.5.2 Applications and Certificates Overview

The Applications and Certificates system is an Oracle based module that was implemented in 2002/03. Access to the Apps & Certs module will be provided with a remote link from the Highways Agency’s IT network to the Service Provider’s office. It is a fully integrated system providing the following functions:

- Submission of Managed Works certificates (CONH501).
- Electronic submission of all Service Provider invoices.
- Entering of Manual Accruals at each month end.

The Apps & Certs system works on a cumulative basis and accounting detail is captured down to project (and task) level. It is a pre-requisite to have the following in place in order to use the Apps & Certs module:

- **Approved Blanket Purchase Agreement (BPA)** – to be set up and maintained by the Highways Agency. The value will be equal to the amount of secure funding held against a contract typically year by year.

- **Approved Requisition which becomes a Release.** The Service Provider must create requisitions for each project allocating use of funds within the BPA. Any requisition under £5m will automatically approve, as long as the sum of all requisitions to date stays within the BPA total. Any requisition over £5m will require the (electronic) approval of the Service Manager.

Once in place the Service Provider can, in the case of Managed Works, enter applications on behalf of a contractor and convert these into a certificate for submission to the Highways Agency. A certificate cannot be certified if it exceeds the value of an approved release. The submission of an invoice from the Service Provider will not require an application, but will begin life as a certificate and follow the same process from then on.

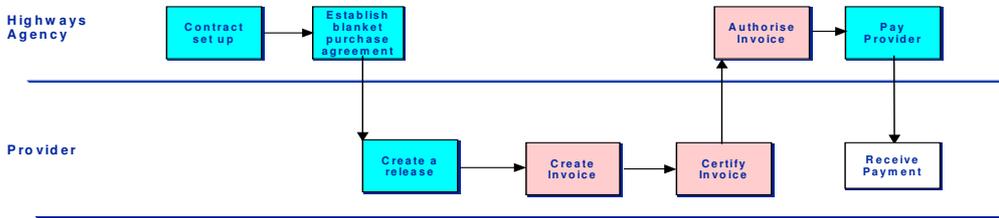
11.5.3 Service Provider use of Apps. & Certs. System

The Service Provider must use the Highways Agency's Apps. & Certs. system to enter and forward both a) their own invoices, and b) any Applications for payment received from contractors they may be managing. Invoices or applications submitted by any other method will not be paid.

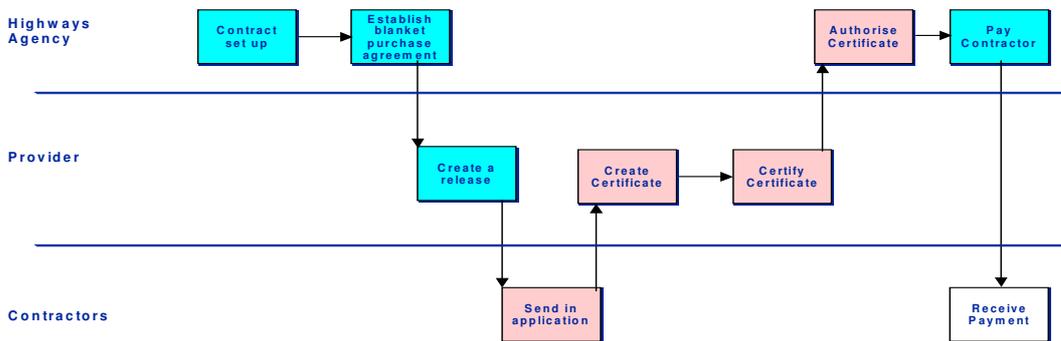
A paper copy of either the invoice or certificate and supporting documentation must be submitted to the Service Manager and Highways Agency Payment Team at the same time as the invoice/certificate is certified on Apps and Certs. The paper copy must be stamped with the following wording "FOR FILING ONLY. DO NOT REGISTER - PROCESSED THROUGH APPS & CERTS". (A stamp with this wording can be provided by Highways Agency).

The two flow diagrams below outline the steps taken by each party in the payment process.

Payments for Providers costs



Payment for contractors billing via applications



11.5.4 Manual Accruals

The Service Provider must enter a Work in Progress accrual onto Oracle at month end (by a date to be instructed by the Highways Agency) that will represent the value of work carried out by themselves and, in the case of managed works the contractor, at the end of the month for each project, which has not previously been included in any invoice/certificate.

11.5.5 Oracle Project Accounting (OPA) Overview

A module of SfM - 'Oracle Project Accounting' is used to manage, collate and report Programme and Project Management information. It holds project related data such as expenditure and outputs.

The Service Provider must use OPA and 'Budget Wizard' to:

- Create new Project Identification Numbers (PINs). Associated with this is the need to use a different system – Highways Agency Information System ('HAMIS') - to create a conception stage PAR (Project Appraisal Report) for relevant PINs.
- Keep project related forecasts (£, outputs) up to date and synchronised with the Highways Agency required timescales, particularly in respect of the Monthly Management Accounts (MMA) cycle.
- Claim actual outputs when achieved.

Access to OPA is gained via the web and is governed by Highways Agency security arrangements.

Training will be given before access is allowed. The Service Provider is required to provide a schedule of names of people who will require access via each role.

11.5.6 Project Event Information

The Service Provider must record Project Event Information in accordance with the requirements of the Service Manager.

11.6 Road Safety Data Types & their Uses

11.6.1 Introduction

The chapter instructs Service Providers on the conditions associated with using any statistical accident data that is not sourced from the aggregate National Statistics issued annually by the DfT.

Specifically, the requirement is to ensure that whenever statistical information is used it is not possible to misinterpret or misrepresent unvalidated, provisional or operational as validated National Aggregate data. Definitions of these terms is provided in Part 11.6.3.

It defines the main types of reports and documents that are produced which contain accident data and the appropriate data source to be used, in light of the recent relaxation in the DfT user license agreement.

The use of inter-urban congestion data, which is now National Statistics, is not covered by this chapter and will be the subject of separate guidance.

11.6.2 Background

In October 2007 Network Operations Group (NOG) and Safety, Standards and Research (SSR) issued advice on obtaining local accident and casualty data. The Accident and Casualty Data Capture Guidance (referenced in the [Safety Operational Folder](#) on PartnerNET) provided recommendations on how to secure alternative data sources needed in order to facilitate trend analysis utilising operational safety data. The recommendation made was for local accident and casualty data to be sourced from Casualty Reduction Partnerships (usually the police, emergency services and the Local Authority).

At that time the Highways Agency was in negotiation with DfT about gaining access to unvalidated quarterly STATS19 data sets. At the end of December 2007 DfT agreed to allow the Highways Agency access to the unvalidated data under a license.

DfT have agreed to make this quarterly unvalidated STATS19 data available on the strict proviso that it is used appropriately, mainly internally within the Highways Agency and that all documents using it contain a caveat (see 11.6.3.3) regarding the nature and completeness of it. A memorandum of understanding has been agreed with the DfT. If the Highways Agency does not uphold this agreement then access rights will be withdrawn and WILL NOT be reinstated. Individuals in breach of the licensing agreement are in breach of the Government Statistical Protocols on data access and release and may be held accountable.

11.6.3 Data Sets Information

There are three main types of data set, validated, unvalidated and provisional or operational data. It is important that the Highways Agency, with the support of its Service Providers, uses all the data available but it must be borne in mind that some data sets have limits as to their use.

Validated STATS19 data	
The aggregated statistics issued annually by DfT that have been fully validated through the Police, Local Processing Authorities, DfT and Transport Research Laboratory (TRL) processes.	
National Statistics protocols apply to the use of this data.	
Information on the protocols and release practises are available from www.statistics.gov.uk/about_ns/cop/default.asp or on the Office for National Statistics website at; www.ons.gov.uk/about-statistics/ns-standard/cop/protocols/index.html	
Unvalidated STATS19 data	
The quarterly unvalidated STATS19 data issued by DfT and available through the Analysis Reports System on HAMIS to licensed users.	
Provisional	Operational data
Locally sourced STATS19 data obtained via Service Providers that has been through Police / Local Processing Authority validation process or has been agreed by them but not validated by DfT.	Locally obtained information from any source within Highways Agency, i.e. Command and Control records.

11.6.3.1 Unvalidated STATS19 data

Licensed users within the Highways Agency have access to quarterly unvalidated STATS19 data which can be shared with others including Service Providers. Such data will normally be received and made available in accordance with the table below;

Quarter	Date Received	Available in HAMIS
Q1 and Q2	October	November
Q1 – Q3	Following January	Following February
Q1 – Q4	Following May	Following June

The upload of data to HAMIS does not occur until quarters 1 and 2 have been received, this is because Police forces are not required to submit their data on a prescriptive basis and may choose to not update their data monthly, bi-monthly or quarterly and may instead choose to submit only annual information.

Unvalidated STATS19 data is subject to change at any time during the year and at each submission point all previous quarters may be updated; consequently at each submission point both DfT and TRL undertake the same checks as if the data has not previously been submitted. This also means that as the year progresses the data becomes more reliable and accurate.

11.6.3.2 Use of Unvalidated STATS19 data

Although validated STATS19 data should be used wherever possible when more recent data is required for intelligence purposes, unvalidated, operational or provisional data should be used in the following order:

1. Unvalidated STATS19 data from DfT
2. Local operational / local STATS19 / last week data (sourced through Casualty Reduction Partnerships, Police etc)
3. Service Provider safety data (e.g. record of fatalities)

4. Any other data collected by the Highways Agency i.e. command and control.

Further guidance on validated, unvalidated and provisional or operational data can be obtained from the Service Manager.

Unvalidated STATS19 data must not be used to answer Ministerial Submission Units (MSUs) and Parliamentary Questions (PQ's) **at an aggregate level** or report achievement against the 2010 Public Service Agreement (PSA) casualty reduction target.

Similarly, unvalidated STATS19 data should not be routinely used to answer other external correspondence. If a HAIL enquiry or other correspondence quotes unvalidated data or refers to a period of time not covered by validated data, in the first instance the response must use validated data. Any secondary or supplementary response may then contain unvalidated, provisional or operational data provided a caveat, explained at 11.6.3.3 below, is included.

The matrix at Annex 11.6.3 should be referred to for guidance on the appropriate data set to use within documents.

11.6.3.3 Use of Caveats

When unvalidated, provisional or operational data has been used in the production of any document, a clear statement that highlights the nature of the data, gives a caveat that it has not been fully validated and consequently may be incomplete or inaccurate (e.g. accidents not included, reported late or casualty status changed) is required. The statement should also include an assessment of the likely completeness / quality of the data used.

Although an example caveat is provided below, it does not provide one single form of words to be reproduced in all cases because the exact wording will depend on the nature of the document and which data source or sources have been used. All statements should conform to the Highways Agency's protocols on the marking of documents and highlighting of sensitivities.

Example caveat statement;

The statistical accident data referred to in this document (or named sections) was not derived from the National validated accident statistics but was sourced from (*insert source*). As this data has not yet been validated by DfT it cannot be assumed to be a complete data set as it may be found to be incomplete or contain inaccuracies. The requirement for up to date information for (operational purposes, road safety audit) was a consideration in the decision to use this data and as it was sourced from (*insert source*) who (*insert collection method*) it is sufficiently robust to be used in this context.

11.6.4 Instruction

When producing documents or reports containing statistical accident data, Service Providers must continue to use validated STATS19 data as the initial source of data. When other data is used to support or supplement validated data they must provide a clear distinction between validated and unvalidated, provisional or operational data in the form of a caveat together with a statement regarding the completeness / quality of the data.

Annex 11.6.3 Road Safety Data usage Matrix

Validated data should be the first choice source of data for inclusion in any documents. The matrix below highlights documents where only validated data can ever be used (*) and those where unvalidated, provisional or operational data may be used (√).

	Data to be used will be indicated * validated only or √ unvalidated, provisional or operational acceptable	Validated STATS19 data	Unvalidated STATS19 data	Provisional or Operational data	Comments
Documents	Accidents on the Trunk Network Report	*			
	Annual Route Reports		√	√	Only validated data can be used for National Killed and Seriously Injured (KSI) targets
	Annual Safety Statement		√	√	Only validated data can be used for National KSI targets
	Annual State of the Network Report	*			
	Area Safety Action Plan		√	√	Only validated data can be used for National KSI targets
	Cluster site list		√	√	Produced for Highways Agency use
	Economic Assessment report		√	√	Unvalidated or provisional / operational data can be used to supplement the validated data
	Fatal accident investigation reports			√	Produced for Highways Agency use
	Geometric departures from standard		√	√	Unvalidated or provisional / operational data can be used to supplement the validated data
	Intelligence Products (ad hoc reports for regional priorities)		√	√	Unvalidated or provisional / operational data can be used to supplement the validated data
	Managing Agent Accident & Incident reports			√	Produced for Highways Agency use
	Managing Agent Consultation & Liaison reports			√	Produced for Highways Agency use
	Monthly Performance Report			√	Produced for Highways Agency use
	Non-technical Environmental Summary		√	√	Unvalidated or provisional / operational data can be used to supplement the validated data
Post Opening Project Evaluation (POPE)		√	√	Unvalidated or provisional / operational data can be used to supplement the validated data	

	Data to be used will be indicated * validated only or √ unvalidated, provisional or operational acceptable	Validated STATS19 data	Unvalidated STATS19 data	Provisional or Operational data	Comments
	Project Appraisal Reports			√	Unvalidated or provisional / operational data can be used to supplement the validated data
	Quarterly State of the Network Report		√		
	Road Safety Audit Reports (All stages & exceptions)			√	
	Safety studies			√	
	Strategic Assessment (Area)			√	
	Strategic Assessment (Regional)		√	√	
	Strategic Assessment (National)	*			
	Tactical Assessment (Area)			√	
	Tactical Assessment (Regional)		√	√	
	Tactical Assessment (National)	*			
	Watchman Reports			√	Produced for Highways Agency use