

**Scottish Trunk Road Network Management Contract**  
**Schedule 3 - Contract Management - Appendix 7 Control**  
**of Core & Ordered Operations Attachments**  
**North East Unit**

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**Attachment 7.1 Categories of Operations**

The Operating Company's written financial procedures shall include requirements that are applicable to the following categories of Operations:

- (i) Series 100 to Series 5000 inclusive and Series 6800:
  - (a) demonstrable evidence that the selected rates are the correct payment mechanism,
  - (b) evidence of any subsequent verification checks carried out, and
  - (c) evidence to support completion of Operations,
- (ii) Series 6100:
  - (a) Records of Operations carried out in respect of charges,
- (iii) Series 6200:
  - (a) creation and maintenance of an electronic register of suitably qualified Contract Personnel in accordance with the requirements of section 7.2.4 of Schedule 3,
  - (b) demonstrable evidence that Professional Services rates are the correct payment mechanism,
  - (c) timesheet analysis in sufficient detail to describe the Operations performed,
  - (d) suitable authorisation and verification of timesheets,
  - (e) completion and signature of timesheets by all relevant Contract Personnel no later than the end of the week after which Operations were carried out,
  - (f) demonstrable evidence to support the rate or price being charged, and
  - (g) demonstrable evidence to support the completion of Operations,
- (iv) Series 6300:
  - (a) demonstrable evidence that procurement and supervision of Works Contracts is the correct payment mechanism, and
  - (b) Records to support the finalisation of values (rates and prices) claimed for procurement or supervision of Works Contracts in relation to the stage of Operations provided,
- (v) Series 6500:
  - (a) contemporaneous evidence that time work schedule is the correct payment mechanism and has been authorised in advance of the Operations by the Director where applicable under the other provisions of this Contract,
  - (b) labour timesheet analysis in sufficient detail to describe the Operations performed,
  - (c) suitable authorisation and verification of labour timesheets,

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- (d) travel time to, from and or between depots and or Sites identified separately for all journeys
  - (e) completion and signature of timesheets by all labour no later than the end of the week during which Operations were carried out,
  - (f) contemporaneous evidence to support the labour rate being claimed,
  - (g) material cost Records from statements and invoices,
  - (h) Constructional Plant charges and any other charges or costs differentiating between operational time and standing time,
  - (i) evidence of any subsequent verification or checks carried out, and
  - (j) contemporaneous evidence to support completion of Operations,
- (vi) Series 6600:
- (a) Records of accounts and invoices, and evidence of payment of accounts and invoices,
- (vii) Series 6700:
- (a) Record of network change by a Scottish Ministers' trunking or de-trunking order,
- (viii) Series 7000:
- (a) contemporaneous evidence that lump sum is the correct payment mechanism, and
  - (b) contemporaneous evidence to support completion of Operations.

The Operating Company's written financial procedures shall take account of the requirements of Schedule 5 Specification & Drawings, 071AR Creation, Maintenance and Submission of Documents and other Media.

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**Attachment 7.2 Works Contractor Work Codes and Item Numbers**

**Items Related to Work Codes to be Used When Coding Works Contracts**

<b>Work Code</b>	<b>Item Number</b>	<b>Description</b>	<b>Measurement Unit</b>
<b>Structural Pavement Maintenance</b>			
0101	0100	01-9000 Reconstruction	sq m
0102	0100	02-9000 Structural Inlay (>80mm) or Overlay (>50mm)	sq m
0103	0100	02-9100 Resurfacing (non-structural inlay/overlay)	sq m
0104	0100	04-9000 Surface Treatment	sq m
<b>General Repair and Maintenance</b>			
0301	0300	11-9000 Patching flexible roads	sq m
0302	0300	11-9100 Concrete road repairs	sq m
0303	0300	05-9000 Maintenance of footways & cycle tracks	sq m
0305	0300	10-9000 Replacement of wire rope safety fence	m
0305	0300	01-9000 Replacement of other safety fence	m
0305	0300	10-9100 New wire rope safety fence	m
0305	0300	01-9100 New other safety fence	m
0311	0300	03-9000 Replacement of road markings	m
0315	0300	01-9000 Replacement of lighting columns	No
0316	0300	05-9100 New footways and cycle tracks	sq m
<b>Strategic Road Safety</b>			
0801	0800	01-9000 Strategic Road Safety	No
<b>Minor Improvement Schemes</b>			
0901	0900	01-9000 Minor Improvement Scheme	No
<b>Bridges General Maintenance</b>			
1201	1200	01-9000 Bridge or Structure maintenance	No
1202	1200	01-9100 Bridge strengthening	No
1203	1200	01-9200 Major bridges maintenance	No
1205	1200	02-9000 Protective coatings	No

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**Attachment 7.3 Calculations Required for Carbon Reporting through AMPS**

Item	Description	User Input	Contract Control and Management Functionality Calculation Required	Contract Control and Management Functionality Calculation Output
Principal Distance (PD)	The distance, in kilometres, to the Site from the primary material source e.g. quarry supplier, as identified in the relevant maintenance Scheme detail (MSD) data sheet.	At Scheme Closure Date, record the principal distance (in km) in the appropriate field.	PD = user entered value	n/a
Mass Conversion Factor (MCF)	Factor provided by the Director to convert AMPS Schedule of Rates and Prices Item quantity unit (eg. m <sup>2</sup> , m, m <sup>3</sup> , litres, etc.) to a mass, in tonnes, for carbon emission calculations.  This will be derived for a range of items where published carbon factors are available, and will be updated periodically in line with updates to published figures.	None.  AMPS will apply the MCF to each Schedule of Rates and Prices Item recorded under the Scheme.	Schedule of Rate item (unit)  * quantity  * MCF	Item tonnage  T1, T2, T3, etc.
Emissions Factor (EF) rate	Each Schedule of Rates and Prices material item type with an available published embodied carbon factor will be assigned an EF, provided by the Director.  This will be multiplied by the item tonnage to provide an embodied carbon value for each item recorded under the Scheme.	None.  Following application of the MCF, AMPS will apply the EF to each Schedule of Rates and Prices Item tonnage.	Item tonnage T1, T2, T3, etc.  * EF for each item	Item embodied carbon tonnage  C1, C2, C3, etc.  (Measured in tCO <sub>2</sub> e)
Total Embodied Carbon in materials	AMPS will calculate the total embodied carbon across all materials, with published EF, recorded under the Scheme.	None.  AMPS will sum the item embodied carbon values.	Sum of item embodied carbon tonnages  C1 + C2 + C3, etc.	Total embodied carbon in Scheme materials  C(SUM)  (Measured in tCO <sub>2</sub> e)

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<b>Item</b>	<b>Description</b>	<b>User Input</b>	<b>Contract Control and Management Functionality Calculation Required</b>	<b>Contract Control and Management Functionality Calculation Output</b>
Material Tonnes	To calculate transportation emissions, AMPS requires a total material tonnage for each Scheme.  This will be calculated by multiplying each relevant Schedule of Rates and Prices Item by the MCF for each item, and then summing the total mass across all items within the Scheme.	None.  AMPS will sum the total mass across all items recorded under the Scheme.	Sum of item tonnages  $T1 + T2 + T3$	Total material tonnage  $T(\text{SUM})$
Tonne-Kilometres	To calculate transportation emissions, AMPS needs to multiply the total material tonnage by the principal distance	PD in kilometres at Scheme closure only.	$T(\text{SUM}) * PD$	Total tonne-kilometres  t-km
Fuel Carbon Factor (FCF)	To calculate transportation emissions, AMPS needs a carbon emissions factor for fuel consumption per tonne-kilometre.  This factor will be supplied by Transport Scotland and will be based on published Defra figures for a 17 tonne rigid heavy goods vehicle.	None.  AMPS will apply the FCF to calculate transportation emissions.	FCF = figure provided by Transport Scotland and applied across all Schemes	n/a
Transport Carbon Emissions (TrC)	To calculate transportation emissions, AMPS needs to multiply the FCF by the total number of tonne-kilometres.	None.  AMPS will multiply the tonne-kilometres by the FCF.	t-km  $* FCF$	Total transport carbon emissions  TrC  (measured in tCO <sub>2</sub> e)
Total scheme carbon (SC)	To calculate the total carbon associated with a Scheme, AMPS needs to add the total embodied carbon in materials to the total transportation carbon emissions.	None.  AMPS will add C(SUM) to TrC for each Scheme.	$C(\text{SUM}) + \text{TrC}$	Total Scheme carbon  SC  (Measured in tCO <sub>2</sub> e)

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**Attachment 7.4 Work Codes**

Budget Category	Budget Series	Budget Series Description	Work Code	New NMC Work Code Description
Structural Maintenance (roads)	0100	Roads – Structural Pavement Maintenance	0101	Reconstruction
Structural Maintenance (roads)	0100	Roads – Structural Pavement Maintenance	0102	Structural Inlay (>80mm) or Overlay (>50mm)
Structural Maintenance (roads)	0100	Roads – Structural Pavement Maintenance	0103	Resurfacing (non-structural inlay/overlay)
Structural Maintenance (roads)	0100	Roads – Structural Pavement Maintenance	0104	Surface Treatment
Routine and Winter	0200	Roads – Maintenance	0201	Maintenance (monthly lump sum)
Routine and Winter	0300	Roads – General Repair and Maintenance	0301	Patching flexible roads <£10,000
Routine and Winter	0300	Roads – General Repair and Maintenance	0302	Concrete road repairs
Routine and Winter	0300	Roads – General Repair and Maintenance	0303	Maintenance of footways and cycle tracks
Routine and Winter	0300	Roads – General Repair and Maintenance	0304	Raising and replacing existing kerbs
Routine and Winter	0300	Roads – General Repair and Maintenance	0305	Maintenance of safety fence
Routine and Winter	0300	Roads – General Repair and Maintenance	0306	Maintenance of pedestrian guard rails
Routine and Winter	0300	Roads – General Repair and Maintenance	0307	Maintenance of road traffic signals, signs and bollards
Routine and Winter	0300	Roads – General Repair and Maintenance	0308	Retaining wall under 1.5m
Routine and Winter	0300	Roads – General Repair and Maintenance	0309	Remedial earthworks to embankments & cuttings
Routine and Winter	0300	Roads – General Repair and Maintenance	0310	Drainage and culverts under 2m
Routine and Winter	0300	Roads – General Repair and Maintenance	0311	Road markings & reflector studs
Routine and Winter	0300	Roads – General Repair and Maintenance	0312	Fences, walls, screens and noise barriers
Routine and Winter	0300	Roads – General Repair and Maintenance	0313	Landscape and planting
Routine and Winter	0300	Roads – General Repair and Maintenance	0314	Pedestrian crossings and furniture
Routine and Winter	0300	Roads – General Repair and Maintenance	0315	Road lighting and electrical work
Routine and Winter	0300	Roads – General Repair and Maintenance	0316	New footways and cycle tracks
Routine and Winter	0300	Roads – General Repair and Maintenance	0317	Graffiti removal
Routine and Winter	0300	Roads – General Repair and Maintenance	0318	Category 1 Defect repairs
Routine and Winter	0300	Roads – General Repair and Maintenance	0319	Patching flexible roads between £10,000 and £50,000
Routine and Winter	0300	Roads – General Repair and Maintenance	0320	Patching flexible roads >= £50,000
Routine and Winter	0300	Roads – General Repair and Maintenance	0321	Equality Act Barriers
Routine and Winter	0300	Roads – General Repair and Maintenance	0322	Adaptation programme
Routine and Winter	0400	Roads – Technical Surveys & Investigations	0401	Technical surveys and investigations
Routine and Winter	0500	Roads – Winter Service	0501	Winter Service (monthly lump sum)
Routine and Winter	0500	Roads – Winter Service	0502	Salt Supply – national resilience initiative
Routine and Winter	0600	Roads – Incidents	0601	Incidents
Routine and Winter	0600	Roads – Incidents	0602	Major Events
Routine and Winter	0700	Roads – Resource Costs	0701	Routine Services (monthly lump sum)
Strategic Road Safety	0800	Roads – Strategic Road Safety	0801	Individual Strategic Road Safety Schemes
Strategic Road Safety	0800	Roads – Strategic Road Safety	0802	Active Travel Schemes
Minor Improvement Schemes	0900	Roads – Minor Improvement Schemes	0901	Individual Improvement Schemes
Minor Improvement Schemes	0900	Roads – Minor Improvement Schemes	0902	Adaptation works
Routine and Winter	1100	Roads – General Expenditure	1101	General expenditure
Routine and Winter	1100	Roads – General Expenditure	1102	Mobilisation
Structures (including bridges)	1200	Bridges – General Maintenance	1201	Bridges and culverts 2 metres and over, retaining wall over 1.5 metres and other Structures
Structures (including bridges)	1200	Bridges – General Maintenance	1202	Bridge strengthening

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Budget Category	Budget Series	Budget Series Description	Work Code	New NMC Work Code Description
Structures (including bridges)	1200	Bridges – General Maintenance	1203	Major bridges
Structures (including bridges)	1200	Bridges – General Maintenance	1205	Protective coatings to steel Structures
Structures (including bridges)	1200	Bridges – General Maintenance	1206	Structural assessments
Structures (including bridges)	1200	Bridges – General Maintenance	1207	Special Investigations
Structures (including bridges)	1300	Bridges – Inspection, Assessment and Investigation	1301	Principal and General Inspections (monthly lump sum)
Structures (including bridges)	1400	Bridges – General Expenditure	1401	General expenditure
Damage to Crown Property Greater than £50,000	9800	Roads and Bridges – Damage to Crown Property	9803	Payment for damage repair <£50,000
Damage to Crown Property Greater than £50,000	9800	Roads and Bridges – Damage to Crown Property	9804	Damage repair & cost recovery service >£50,000
Routine and Winter	9900	Roads and Bridges – Claims	9901	Claims for additional payment – not accepted by Director
Routine and Winter	9900	Roads and Bridges – Claims	9902	Claims for additional payment - accepted by the Director

Budget Category	Work Series	Work Code
Structural Maintenance (roads)	0100 Roads – Structural Pavement Maintenance	0101 Reconstruction
Structural Maintenance (roads)	0100 Roads – Structural Pavement Maintenance	0102 Structural Inlay (>80mm) or Overlay (>50mm)
Structural Maintenance (roads)	0100 Roads – Structural Pavement Maintenance	0103 Resurfacing (non-structural inlay/overlay)
Structural Maintenance (roads)	0100 Roads – Structural Pavement Maintenance	0104 Surface Treatment
Routine and Winter	0200 Roads – Maintenance	0201 Maintenance (monthly lump sum)
Routine and Winter	0300 Roads – General Repair and Maintenance	0301 Patching flexible roads <£10,000
Routine and Winter	0300 Roads – General Repair and Maintenance	0302 Concrete road repairs
Routine and Winter	0300 Roads – General Repair and Maintenance	0303 Maintenance of footways and cycle tracks
Routine and Winter	0300 Roads – General Repair and Maintenance	0304 Raising and replacing existing kerbs
Routine and Winter	0300 Roads – General Repair and Maintenance	0305 Maintenance of safety fence
Routine and Winter	0300 Roads – General Repair and Maintenance	0306 Maintenance of pedestrian guard rails
Routine and Winter	0300 Roads – General Repair and Maintenance	0307 Maintenance of road traffic signals, signs and bollards
Routine and Winter	0300 Roads – General Repair and Maintenance	0308 Retaining wall under 1.5m
Routine and Winter	0300 Roads – General Repair and Maintenance	0309 Remedial earthworks to embankments & cuttings
Routine and Winter	0300 Roads – General Repair and Maintenance	0310 Drainage and culverts under 2m
Routine and Winter	0300 Roads – General Repair and Maintenance	0311 Road markings & reflector studs
Routine and Winter	0300 Roads – General Repair and Maintenance	0312 Fences, walls, screens and noise barriers
Routine and Winter	0300 Roads – General Repair and Maintenance	0313 Landscape and planting
Routine and Winter	0300 Roads – General Repair and Maintenance	0314 Pedestrian crossings and furniture
Routine and Winter	0300 Roads – General Repair and Maintenance	0315 Road lighting and electrical work
Routine and Winter	0300 Roads – General Repair and Maintenance	0316 New footways and cycle tracks
Routine and Winter	0300 Roads – General Repair and Maintenance	0317 Graffiti removal
Routine and Winter	0300 Roads – General Repair and Maintenance	0318 Category 1 Defect repairs
Routine and Winter	0300 Roads – General Repair and Maintenance	0319 Patching flexible roads between £10,000 and £50,000
Routine and Winter	0300 Roads – General Repair and Maintenance	0320 Patching flexible roads >= £50,000
Routine and Winter	0300 Roads – General Repair and Maintenance	0321 Equality Act Barriers
Routine and Winter	0300 Roads – General Repair and Maintenance	0322 Adaptation programme
Routine and Winter	0400 Roads – Technical Surveys & Investigations	0401 Technical surveys and investigations
Routine and Winter	0500 Roads – Winter Service	0501 Winter Service (monthly lump sum)
Routine and Winter	0500 Roads – Winter Service	0502 Salt Supply – national resilience initiative
Routine and Winter	0600 Roads – Incidents	0601 Incidents

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Budget Category	Work Series	Work Code
Routine and Winter	0600 Roads – Incidents	0602 Major Events
Routine and Winter	0700 Roads – Resource Costs	0701 Routine Services (monthly lump sum)
Strategic Road Safety	0800 Roads – Strategic Road Safety	0801 Individual Strategic Road Safety Schemes
Strategic Road Safety	0800 Roads – Strategic Road Safety	0802 Active Travel Schemes
Minor Improvement Schemes	0900 Roads – Minor Improvement Schemes	0901 Individual Improvement Schemes
Minor Improvement Schemes	0900 Roads – Minor Improvement Schemes	0902 Adaptation works
Routine and Winter	1100 Roads – General Expenditure	1101 General expenditure
	1100 Roads – General Expenditure	1102 Mobilisation
Structures (including bridges)	1200 Bridges – General Maintenance	1201 Bridges and culverts 2 metres and over, retaining wall over 1.5 metres and other Structures
Structures (including bridges)	1200 Bridges – General Maintenance	1202 Bridge strengthening
Structures (including bridges)	1200 Bridges – General Maintenance	1203 Major bridges
Structures (including bridges)	1200 Bridges – General Maintenance	1205 Protective coatings to steel Structures
	1200 Bridges – General Maintenance	1206 Structural assessments
	1200 Bridges – General Maintenance	1207 Special investigations
Structures (including bridges)	1300 Bridges – Inspection, Assessment and Investigation	1301 Principal and General Inspections (monthly lump sum)
Structures (including bridges)	1400 Bridges – General Expenditure	1401 General expenditure
Damage to Crown Property Greater than £50,000	9800 Roads and Bridges – Damage to Crown Property	9803 Payment for damage repair <£50,000
Damage to Crown Property Greater than £50,000	9800 Roads and Bridges – Damage to Crown Property	9804 Damage repair & cost recovery service > £50,000
Routine and Winter	9900 Roads and Bridges – Claims	9901 Claims for additional payment – not accepted by Director
Routine and Winter	9900 Roads and Bridges – Claims	9902 Claims for additional payment - accepted by the Director

Work Codes	Work Codes
<b>0100 Roads – Structural Pavement Maintenance</b>	<b>0500 Roads – Winter Service</b>
0101 Reconstruction	0501 Winter Service (monthly lump sum)
0102 Structural Inlay (>80mm) or Overlay (>50mm)	0502 Salt Supply – national resilience initiative
0103 Resurfacing (non-structural inlay/overlay)	<b>0600 Roads – Incidents</b>
0104 Surface Treatment	0601 Incidents
	0602 Major Events
<b>0200 Roads – Maintenance</b>	<b>0700 Roads – Resource Costs</b>
0201 Maintenance (monthly lump sum)	0701 Routine Services (monthly lump sum)
<b>0300 Roads – General Repair and Maintenance</b>	<b>0800 Roads – Strategic Road Safety</b>
0301 Patching flexible roads <£10,000	0801 Individual Strategic Road Safety Schemes
0302 Concrete road repairs	0802 Active Travel Schemes
0303 Maintenance of footways and cycle tracks	<b>0900 Roads – Minor Improvement Schemes</b>
0304 Raising and replacing existing kerbs	0901 Individual Improvement Schemes
	<b>0902 Adaptation works</b>
0305 Maintenance of safety fence	<b>1100 Roads – General Expenditure</b>
0306 Maintenance of pedestrian guard rails	1101 General expenditure
0307 Maintenance of road traffic signals, signs and bollards	1102 Mobilisation
0308 Retaining wall under 1.5m	<b>1200 Bridges – General Maintenance</b>
0309 Remedial earthworks to embankments & cuttings	1201 Bridges and culverts 2 metres and over, retaining wall over 1.5 metres and other Structures

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<b>Work Codes</b>	<b>Work Codes</b>
0310 Drainage and culverts under 2m	1202 Bridge strengthening
0311 Road markings & reflector studs	1203 Major bridges
0312 Fences, walls, screens and noise barriers	1205 Protective coatings to steel Structures
0313 Landscape and planting	1206 Structural assessments
0314 Pedestrian crossings and furniture	1207 Special investigations
0315 Road lighting and electrical work	<b>1300 Bridges – Inspection, Assessment and Investigation</b>
0316 New footways and cycle tracks	1301 Principal and General Inspections (monthly lump sum)
0317 Graffiti removal	<b>1400 Bridges – General Expenditure</b>
0318 Category 1 Defect repairs	1401 General expenditure
0319 Patching flexible roads between £10,000 and £50,000	<b>9800 Roads and Bridges – Damage to Crown Property</b>
0320 Patching flexible roads >= £50,000	9803 Payment for damage repair <£50,000
0321 Equality Act Barriers	9804 Damage repair & cost recovery service >£50,000
<b>0322 Adaptation programme</b>	
<b>0400 Roads – Technical Surveys &amp; Investigations</b>	<b>9900 Roads and Bridges – Claims</b>
0401 Technical surveys and investigations	9901 Claims for additional payment – not accepted by Director
	9902 Claims for additional payment - accepted by the Director

Attachment 7.5 Statement of Intent and Value for Money Assessments

Statement of Intent (SOI) Form: Minor Improvement					 <small>by the</small> <b>TRANSPORT SCOTLAND</b> <small>by the</small> 		
1. Scheme Name	Click here to enter Scheme Name.						
2. Scheme ID	Enter Scheme ID.	3. Sol Revision	Revision No.				
4. Work Year	Work Year	5. Work Code	0901 Individual Improvement Schemes	6. Work Type	e.g. Straightening, drainage etc.		
SCHEME LOCATION							
7. Road	Road.	8. Location description	Location Description. E.g. 100m west of Junction 'A' to 150m east on junction 'B'.				
9. Network referencing (from AMPS)	Start	Section	Start Section.				
		Chainage	Start chainage.				
	End	Section(s)	Intermediate section(s).				
		Chainage	End chainage.				
SCHEME DETAILS							
10. Carriageway x Section	Cway X Section.	12. Traffic flow	AADT	% HGV	Year of count		
11. Scheme length (m)	Scheme length.		AADT.	%HGV.	Count year.		
13. Background	Include (where applicable) the history of scheme, construction records, recent planned maintenance, accident statistics (incl. Common trends), local contentious issues etc.						
14. Defect history	Summarise the unplanned interventions that have been required at this site in the last 3 years.						
15 Traffic management restrictions	Enter details of any TM restrictions. E.g. Narrow carriageway width, Noise sensitive location, access route for schools or critical infrastructure, Abnormal load route Etc						
16. Network Operations equipment affected	<input type="checkbox"/> YES (provide details)	Enter details of any Net Ops. Equipment.					
	<input type="checkbox"/> NO						
17. Other relevant site details	Enter details of any other relevant Engineering or network details that may influence the design or implementation of the works. E.g. Drainage details, Edge of pavement details, VRS, Structures, Environmental factors.						
SCHEME APPRAISAL (i)							
18. Identification of problem	Describe how and why a potential scheme was identified at this site. Summarise relevant condition data held in AMPS. State if/how the existing AMPS data has been validated or supplemented.						
19. Key objectives of proposed scheme	Refer to Scottish Transport Appraisal Guidance (STAG).						

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20. Initial treatment options/ solutions that have been considered to solve the problem	Describe the initial treatment options / solutions identified		
<b>FURTHER INVESTIGATION</b>			
21. Further Investigation required?	<input type="checkbox"/> YES <input type="checkbox"/> NO (GIVE details)	Describe further investigations required.	
22. Scope, intended purpose and cost of any proposed further investigation and design works	Enter details of scope of investigation and design works. E.g. Coring and DCP, utilities investigation, Drainage survey, Design. Add additional rows in necessary.		Cost of I and D
	Indicative Construction cost		
23. Approval to undertake the further investigation works (SOI(i) ONLY) as outlined above	Operating Company representative name	Signature	Date
	Transport Scotland representative name	Signature	Date
<b>SUMMARY OF MAINTENANCE NEED</b>			
24. Summary of findings from further investigation works (if applicable)	Summarise findings of investigation.		
25. Statement of justification for proposed scheme	Based on the above, summarise why the proposed scheme is justified and cross-reference to supporting data (condition, accidents, drainage, defects etc.) all of which must be supplied with the SOI.		
26. Likely consequences of not undertaking proposed works (i.e. "Do Nothing" works option)	Provide an assessment of the risks associated with a "Do Nothing" approach.		
27. Description of "Do Minimum" works option	Description of "Do Minimum" Works .		
28. Description of "Do Something" works option(s)	Description of "Do Something" works.		
29. Scottish Transport Appraisal Guidance (STAG) criteria - describe how the various works options impact upon the following.....			
Environment			
Safety			
Economy			
Integration			

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Accessibility & social inclusion			
30. Whole life costing	WLC analysis shall be provided in accordance with S4P3 and Value for Money guidance. All relevant data shall be attached. Allowances for Risk and Uncertainty must be documented.		
<b>PROPOSED WORKS</b>			
31. Works summary	Provide summary of works proposed.		
32. Other schemes that may be affected by this proposal	Include details of opportunities to combine schemes/works (hybridisation).		
33. Sustainable options considered (if scheme is > £50,000)	<input type="checkbox"/> Tick to confirm	Where feasible consideration shall be given to retaining, re-using or recycling existing materials where possible.	
	Comments		
34. Equalities Act (EA)	<i>We confirm that barriers to accessibility have been considered and the EA proforma has been signed off for this scheme by both the Operating Company and Transport Scotland</i>		<input type="checkbox"/> Tick to confirm
35. Revised/ Total cost estimate	Year (20__/20__)	Activity (description)	Cost (£)
	Work Year	E.G. Survey work, scheme preparation, Scheme design, site works, supervision, construction.	
	Work Year	E.G. Survey work, scheme preparation, Scheme design, site works, supervision, construction.	
	Work Year	E.G. Survey work, scheme preparation, Scheme design, site works, supervision, construction.	
	<b>TOTAL:</b>		
36. Proposed monitoring plan	Outline the key measures of how the success of the scheme will be measured. This may include accident statistics and comparison back to the original Transport Scotland Planning Objectives.		
37. Evaluation plan	Make reference to the First Year Rate of Return or other method used to justify the scheme. Provide proposals on when, and how monitoring will be undertaken.		
38. Approval to undertake patching works as outlined above	Operating Company representative name	Signature	Date
	Transport Scotland representative name	Signature	Date
39. Attached information	<i>List:</i>		

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40. How the proposed Scheme satisfies the Safe System Approach to Road Safety		
<b>SOI DOCUMENT HISTORY</b>		
Revision number	Date issued	Comments

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<b>Statement of Intent (SOI) Form: Other Assets</b>		1. Asset type				
		Choose an item.				
		If "Other" enter Asset type.				
2. Scheme Name	Click here to enter Scheme Name.					
3. Scheme ID	Enter Scheme ID.	4. Sol Revision	Revision No.			
5. Work Year	Work Year	6. Work Code	Choose an item.			
<b>SCHEME LOCATION</b>						
7. Road	Road.	8. Location description	Location Description. E.g. 100m west of Junction 'A' to 150m east on junction 'B'.			
9. Network referencing (from AMPS)	Start	Section	Start Section.			
		Chainage	Start chainage.			
	End	Section(s)	Intermediate section(s).			
		Section	End Section.			
10. Asset specific location reference or identifiers (if applicable)		Chainage				
End chainage.						
		Provide details of other asset identifiers e.g. electrical asset ref.				
<b>SCHEME DETAILS</b>						
11. Carriageway x Section	Cway X Section.	13. Traffic flow	AADT	% HGV	Year of count	
12. Scheme length (m)	Scheme length.		AADT.	%HGV.	Count year.	
14. Asset construction records & maintenance history	Provide summary of the construction details (incl. year built). Record when the asset was last subject to planned maintenance (if applicable).					
15 Traffic management restrictions	Enter details of any TM restrictions. E.g. Narrow carriageway width, Noise sensitive location, access route for schools or critical infrastructure, Abnormal load route Etc					
16. Network Operations equipment affected	<input type="checkbox"/> YES (provide details	Enter details of any Net Ops. Equipment.				
	<input type="checkbox"/> NO					
17. Other relevant site details	Enter details of any other relevant Engineering or network details that may influence the design or implementation of the works. E.g. Drainage details, Edge of pavement details, VRS, Structures, Environmental factors.					
<b>CONDITION ASSESSMENT</b>						
18. Transport Scotland "Trunk Road Condition Manual" - Condition Category						
Select the single most representative option	A. Excellent	b. Good	c. Fair	D. Poor	E. very poor	
	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	

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19. Summary defect photographs attached?	<input type="checkbox"/> YES <input type="checkbox"/> NO (GIVE details)	Enter summary of photographs or reasons for not attaching photographs.	
Comments (including, where applicable the number of defective units)	Describe why this has been highlighted as a potential scheme. Provide a description of any routine condition data that is held for this asset or a description of any initial surveys that lead to its promotion as a potential scheme.		
20. Defect history / overview	Summarise the unplanned maintenance interventions that have been required at this site in the last three years		
<b>FURTHER INVESTIGATION</b>			
21. Further Investigation required?	<input type="checkbox"/> YES <input type="checkbox"/> NO (GIVE details)	Describe further investigations required.	
22. Scope, intended purpose and cost of any proposed further investigation and design works	Enter details of scope of investigation and design works. E.g. Coring and DCP, utilities investigation, Drainage survey, Design. Add additional rows in necessary.		Cost of I and D
	Indicative Construction cost		
23. Approval to undertake the further investigation works (SOI(i)ONLY) as outlined above  NB. If no further investigation is required then please complete the full form SOI(sa) and submit	Operating Company representative name	Signature	Date
	Transport Scotland representative name	Signature	Date
<b>SUMMARY OF MAINTENANCE NEED</b>			
24. Summary of findings from further investigation works (if applicable)	Summarise the further investigation works findings. Attach the results to the submitted Sol.		
25. Main driver for proposed works	Identify the single main reason why maintenance is required.		
26. Deterioration mechanism(s) and probable cause(s)	Provide an assessment of how and why the asset is deteriorating.		
27. Statement of justification for proposed works	Provide a clear assessment of why the works are deemed to be necessary.		
28. Likely consequences of not undertaking proposed works	Provide an assessment of the risks associated with a "Do Nothing" approach.		
<b>PROPOSED WORKS</b>			
29. Works summary	Chainage (m)	XSP	Works description

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			Insert more lines if required.
30. Sustainable options considered (if scheme is > £50,000)	<input type="checkbox"/> Tick to confirm	Where feasible consideration shall be given to retaining, re-using or recycling existing materials where possible.	
	Comments		
31. Equalities Act (EA)	<i>We confirm that barriers to accessibility have been considered and the EA proforma has been signed off for this scheme by both the Operating Company and Transport Scotland</i>		<input type="checkbox"/> Tick to confirm
32. Attached information	<i>List:</i>		
33. How the proposed Scheme satisfies the Safe System Approach to Road Safety			
34. Revised/ Total cost estimate	Year (20__/20__)	Activity (description)	Cost (£)
	Work Year	E.G. Survey work, scheme preparation, Scheme design, site works, supervision, construction.	
	Work Year	E.G. Survey work, scheme preparation, Scheme design, site works, supervision, construction.	
	Work Year	E.G. Survey work, scheme preparation, Scheme design, site works, supervision, construction.	
	TOTAL:		
35. Approval to undertake patching works as outlined above	Operating Company representative name	Signature	Date
	Transport Scotland representative name	Signature	Date
<b>SOI DOCUMENT HISTORY</b>			
Revision number	Date issued	Comments	

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**Statement of Intent (SOI) Form: Structures**

1. Structure type		Choose an item.	If "Other" Structure Type type.	
2. Structure Reference(s)		Click here to enter Structure Reference(s).		
3. Scheme Name		Click here to enter Scheme Name.		
4. Scheme ID		Enter Scheme ID.	5. Sol Revision	Revision No.
6. Work Code		Choose an item.	7. Work Year	Work Year
<b>SCHEME LOCATION</b>				
8. Route		Route.	9. Location description Location Description. E.g. 100m west of Junction 'A' to 150m east on junction 'B'.	
<b>SCHEME DETAILS</b>				
10. Details of existing Structure and site		Enter details of existing structures, structural form, construction, arrangement details of the site.		
11. Traffic flow		AADT	% HGV	Year of count
		AADT.	%HGV.	Count year.
12 Traffic management restrictions		Enter details of any TM restrictions. E.g. Appendix 1/17 restrictions, narrow carriageway width, Noise sensitive location, access route for schools or critical infrastructure, Abnormal load route Etc		
13. Utilities Affected		Enter details of any utilities on or surrounding the Structure and their likely impact.		
<b>CONDITION ASSESSMENT</b>				
14. Defects from last PI / GI		Provide details of defects recorded from last PI / GI along with their maintenance priority.		
15. SMS report and Maintenance History		Provide details of SMS reports and previous maintenance history.		
16. BCl <sub>ave</sub>		BClave.	17. BCl <sub>crit</sub>	BCI <sub>crit</sub>
<b>DETAILS OF INVESTIGATION AND SURVEYS – COMPLETED AND PROPOSED</b>				
18. Scope, intended purpose and cost of any completed and proposed further investigation, surveys and Indicative cost		Details of completed or proposed further Investigation and Surveys		Cost of I and D
		Enter details of scope of investigation or surveys already completed or proposed and their cost estimate. E.g. special inspection, ground investigation, topographical survey, asbestos survey, coring, traffic survey, utilities investigation, drainage survey. Add additional rows in necessary.		£
		Investigation/Survey component.		£
		Investigation/Survey component.		£
		Insert more lines if required.		£

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	Indicative Construction cost		£
19. Approval to undertake the further investigation/surveys works (SOI(i)ONLY) as outlined above NB. If no further investigation is required then	Operating Company Representative Name	Signature	Date
			Enter Dater.
	Transport Scotland Representative Name	Signature	Date
			Enter Dater.
20. Environmental Screening	Is the Scheme a “Relevant project” under EIA Regulations		Choose an item.
	Will a Record of Determination &/or Appropriate Assessment screening be required		Choose an item.
	Will mitigation measures and construction best practice fully mitigate Project impacts?		Choose an item.
<b>DETAILS OF LAND</b>			
21. Status of land requirement	Choose an item.		
22. Land Purchase Dates	Draft Orders Date	Made Orders Date	Land Vested Date
	Date.	Date.	Date.
<b>SUMMARY OF MAINTENANCE NEED</b>			
23. Summary of findings from further investigation and surveys already carried out.	Summarise the further investigation and surveys already carried out. Attach the results to the submitted Sol.		
24. Main driver and Justification for proposed works	Identify the main reason why maintenance is required.		
25. Do Something Option	Description of the “Do Something” option.		
26. Do minimum Option	Description of the “Do Minimum” option .		
27. Likely consequences of not undertaking proposed works (i.e. “Do Nothing works option”)	Provide an assessment of the risks associated with a “Do Nothing”_approach.		
28. Whole life costing	Provide a summary of the Whole Life Cost analysis and attach details to the Appendix.		
29. Sustainability option considered	Provide description of proposals to retain, re-use or recycle existing materials (where feasible).		

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PROPOSED WORKS			
30. Works summary	Provide a summary of chosen option		
31. Value Management Score	Enter VM Scoring result		
32. Equalities Act (EA)	<i>We confirm that barriers to accessibility have been considered and the EA proforma has been signed off for this scheme by both the Operating Company and Transport Scotland</i>		<input type="checkbox"/> Tick to confirm
33. How the proposed Scheme satisfies the Safe System Approach to Road Safety			
34. Attached information	List:		
	e.g. PI/GI Reports, land plans, Scheme Photographs, WLC report, VFM Assessment, Environmental Assessments etc.		
	e.g. PI/GI Reports, land plans, Scheme Photographs, WLC report, VFM Assessment, Environmental Assessments etc. Add more lines if required.		
	VFM assessment	<input type="checkbox"/> Tick to confirm	
35. Revised/ Total cost estimate	Year (20 /20 )	Activity (description)	Cost (£)
	Work Year	E.G. Investigation, Design, construction.	£
	Work Year	E.G. Investigation, Design, construction.	£
	Work Year	E.G. Investigation, Design, construction.	£
	Work Year	Insert more lines if required.	£
			<b>TOTAL:</b>
36 Cost Estimate	Confirm if variation to standard rated items, use of supplementary services of lump sum variation in valuation of the Scheme.		
37. Approval to undertake works as outlined above	Operating Company representative name	Signature	Date
	Transport Scotland representative name	Signature	Date
SOI DOCUMENT HISTORY			
Revision number	Date issued	Comments	

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**Value for Money Assessment Form**

**Value for Money Assessment**

Option	Proposal	Proposal +	Proposal -	Do Nothing
Treatment Costs (£)				
Treatment Details				
Technical Solution				
Safety				
Impact on Network				
Sustainability				
Additional Comments				

Guidance notes on how to complete this assessment are provided over the page.

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**Guidance Notes**

<b><i>Table Heading</i></b>	<b><i>Description of Requirement</i></b>	<b><i>Example response</i></b>
<i>Option Cost</i>	The anticipated works cost of the proposed work	-
<i>Option Details</i>	Details of proposed the proposed works should be provided in this box.	“Machine laid surface course patched to remove badly fretted surface course in lane 1.” or “Concrete repairs to beams and abutment wall, replacement of expansion joint.”
<i>Technical Solution</i>	The OC should highlight the technical benefits of the treatment and justify why the proposed treatment is most appropriate at this time	“This treatment will replace the life expired surfacing and delay the need for structural maintenance for a period of approximately five years.” or “Replacing spalled and chloride laden concrete with repairs to reinforcement, restoring passivity to steel and deterring incipient anode effect with installation of sacrificial anodes, replacement of expansion joint to arrest water ingress.”
<i>Safety</i>	The OC should outline the benefits / risks that this treatment proposal will have.	“Currently records show reactive maintenance interventions are occurring at a frequency of three per month and have risen rapidly over the last six months. Undertaking machine patching at this time will minimise the risk to road users and operatives as the condition of the surfacing will be improved and exposure to traffic management restrictions will be reduced.” or “The risk of spalling concrete falling onto the carriageway is removed by undertaking repairs.”
<i>Impact on Network</i>	This section should look to assess the impact on the road network that the proposal will have.	“Minimal off peak disruption is expected during the resurfacing works with no ongoing disruption foreseen compared to more frequent emergency interventions, that may be

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		disruptive, if small scale hand patching is undertaken.”
<i>Sustainability</i>	Environmental benefits of the proposed works should be highlighted.	“The overall number of vehicle movements will be reduced if the resurfacing is undertaken in one hit reducing the amount of CO <sub>2</sub> released into the atmosphere.”
<i>Additional Comments</i>	This box should be used for any additional justification that has not already been covered in the Value for Money Assessment.	“There is potential to complete these works concurrently with drainage scheme 13/OC/XXX/XX reducing the overall amount of traffic management on the network.”
<i>Proposal</i>	This should preferred maintenance solution	“Machine laid surface course replacement in lane 1.” Or “Concrete repairs.”
<i>Proposal +</i>	This should be the “gold plated” maintenance solution and may in fact be a structural maintenance scheme	“A 100mm inlay using TS2010 surface course will remove the need for future maintenance for the next 15 to 20 years.”
<i>Proposal -</i>	This should be the do minimum works	“Hand laid patches to address the worst of the defects.”
<i>Do Nothing</i>	This is to allow a comparison of the other treatments to be made against doing nothing at this time.	-

**General**

In addition to the technical information available in AMPS each Value for Money Assessment should utilise all available information e.g. RMMS intervention frequencies, accident statistics, complaints from road users / local residents.



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**Attachment 7.7 Statement Reports**

**Simplified Statement Report Example**

**Part A**

Scheme ID	Scheme Description	Amount £	Cumulative Amount £	Cumulative CPF £	Cumulative Amount Incl. CPF £
yy/Unit/0102/003	Roadworks Scheme – Example S/B overlay				
			<b>REDACTED</b>		
yy/Unit/0102/007	Design of Discrete Roadworks Scheme Example overlay Total Work Code				
yy/Unit/1201/003	General Bridge Repair Total Work Code Total Value Part A Total Previously Billed Part A Less Part B Adjustments (PNR) Revised Total Previously Billed Part A Total Value for Month for PART A				

**Part B**

yy/Unit/1201/003	General Bridge Repair				
			<b>REDACTED</b>		
	Total Work Code				
	Total Value Part B				
	Total Value to Date Part A				
	Part B				
	Total Value for Unit				

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**Attachment 7.8 Financial Monitoring and Forecasting Reports**

**OPERATING COMPANY CONTRACT FOR THE [name of] UNIT CONSOLIDATED  
FINANCIAL REPORT – APPLICATION**

**Month being reported – dd/month/yyyy**

**Date of Issue – dd/month/yyyy**

**OPERATING COMPANY**

Statement Number	Statement Date	Statement Value £	CPF £	Total Value (net of VAT) £
<b>Total 2015/16</b>	-			
2016/17				

FB113 10/05/2016

FB114 08/06/2016

**REDACTED**

FB115 07/07/2016

**Total 2016/17**

**Cumulative Operating Company**

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**Attachment 7.9 Notification of the Final Valuation of Repair of an Incidence of  
Damage to Crown Property**

The information required by this Attachment shall be presented in the form of a report listing against each field name the information relating to such field. The report shall be signed on each page by the Operating Company's Representative or, in his absence, the Scheme manager responsible for Damage to Crown Property and the signatory's name shall be printed or written in block capitals adjacent to each signature.

Fields listed in this Attachment shall be those within the contract control and management function of the AMPS and details shall be held for all estimated and final values in the contract control and management function of the AMPS.

Title:

Notification of the Final Valuation of Repair of an Incidence of Damage to Crown Property

The report shall contain information from the following fields and field names to form a header to the report:

- (i) unique damage identifier,
- (ii) date of repair,
- (iii) location of damage, and
- (iv) name of culprit.

Each value relating to the incident measured in accordance with Schedule 4 Measurement, Rates and Prices, excluding the following associated costs:

- (i) Police Scotland reports, and
  - (ii) establishing, maintaining and removing traffic management prior to repair Operations,
- shall be listed using the following fields to form a section in the report entitled "Section A":

- (i) cost sub series,
- (ii) description (that shall include the name of and the service provided by each supplier where that supplier is not the Operating Company),
- (iii) quantity,
- (iv) unit,
- (v) rate,
- (vi) amount (that shall be the product of fields "unit" and "rate"), and
- (vii) subtotal A (that shall be the sum of all fields "amount" in this Section A).

Every associated cost relating to the incident in respect of:

- (i) Police Scotland reports, and
  - (ii) establishing, maintaining and removing traffic management prior to repair Operations,
- shall be listed using the following fields to form a section in the report entitled "Section B":
- (i) cost sub series,

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- (ii) description (that shall include the name of and the service provided by each supplier where that supplier is not the Operating Company),
- (iii) quantity,
- (iv) unit,
- (v) rate,
- (vi) amount (that shall be the product of fields "unit" and "rate"), and
- (vii) subtotal B (that shall be the sum of all fields "amount" in this Section B).

There shall be a footer containing the following fields:

- (i) total (that shall be the sum of the fields "subtotal A" and "subtotal B"),
- (ii) final Statement number (that shall be the Statement submitted by the Operating Company in accordance with Schedule 1 Conditions of Contract, Clause 5.4 Payments under this Contract and that contains the final claim for payment in respect of the incident to which the unique damage identifier applies),

The Operating Company shall provide full supporting documentation for every value or cost listed in this Attachment.

Attachment 7.10 Third Party Claims Notice Form

**Claim Reference Number**

The information provided in this form will be handled in accordance with the Data Protection legislation. In addition to the person who issued this form, the information may be shared with the Scottish Ministers, their contractors, insurers and professional advisors. For more information about Data Protection, visit [www.ico.org.uk](http://www.ico.org.uk)

**Part 1 – About yourself**

1. Name .....
2. Address .....  
.....  
.....  
.....  
.....  
.....
3. Daytime Telephone Number (including STD code)  
.....

**Part 2 – About your vehicle (if damaged)**

1. Class (e.g. car, lorry, motorcycle, moped, bicycle)  
.....
2. Make and model  
.....
3. Registration number (if motor vehicle)  
.....
4. Name and address of insurers  
.....  
.....  
.....  
.....
5. Policyholder's name (if not claimant)  
.....
6. Have you claimed from your insurers in respect of this incident?  
Yes \_\_\_ No\_\_\_
7. If YES, policy number  
.....



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8. Please provide in the space below a sketch of the location of the incident, showing landmarks such as bridges, road signs, motorway marker posts, etc.

**Part 4 – Particulars of damage and/or loss**

1. Details of damage to vehicle

.....  
.....  
.....

2. Details of damage to property or other material loss

.....  
.....  
.....

3. Did you suffer any physical injury as a result of this incident?

Yes \_\_\_\_ No \_\_\_\_

If YES, please complete the Department of Work and Pensions Compensation Recovery Unit Section of this form. Please describe your injuries and indicate who treated you and when

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	.....
	.....
4.	Amount of claim (please enclose written estimate/receipts)
	£.....

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5 In order to prevent and detect fraud, additional investigations may be carried out as appropriate.

If you are making a claim in respect of personal injuries, please complete the mandates attached. These documents authorise the hospitals, your general practitioner or other health or medical institutions that treated you to provide us with a medical report, disclose your medical history and your medical records only as regards the injuries you sustained arising from the circumstances of this claim. Complete the mandate in BLOCK CAPITALS and do not detach it. We require you to complete more than one mandate if you received treatment at more than one health or medical institution in respect of this incident, as these institutions may not accept photocopies of signed mandates.

Your attention is drawn to the need to complete the enclosed Department of Work and Pensions Compensation Recovery Unit Section of this form. .

**Mandate**  
(Enter below the full name and address of the hospital, general practitioner or other health or medical institution where you received treatment and to which this mandate relates)

To:

.....  
.....  
.....  
.....  
.....

I, ..... (enter your full name)  
of ..... (enter your address)  
born on ..... (enter your date of birth)

hereby authorise you to provide to the Operating Company and/or to the Scottish Ministers a full medical report, full statement of my medical history and all books, medical records, charts, X-rays, notes and other documents held by you relating to me showing or tending to show the nature, extent and cause of all injuries sustained by me on ..... [enter date of accident], the treatment received by me since this date and my certificate of discharge, if any.

Signature ..... Date .....





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Department of Work and Pensions Compensation Recovery Unit Section  
*(ONLY TO BE COMPLETED IF YOU SUFFERED PHYSICAL INJURY)*

*THE SOCIAL SECURITY (RECOVERY OF BENEFITS) REGULATIONS 1997*

Please provide the following that must by law be passed to the Department for Work and Pensions by the party being claimed against. (Do not detach this form)

Full Name .....

National Insurance No  
.....

Date of Birth .....

Details of your solicitor or representative (if appropriate)  
Name

.....  
Address

.....  
.....

Post Code  
.....

Reference  
.....

Details of your employment at the time of the incident (if appropriate)  
Name of Employer

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Post Code  
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Department  
.....

Clock or Works Number  
.....

I declare that the above information is correct to the best of my knowledge.

Signed ..... Date .....

\* Claimant/claimant's representative

Block Capitals  
.....

\* Delete as appropriate

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**Attachment 7.11 Letter Accompanying Third Party Claims Notice Form**

Example letter to claimant to accompany the Third Party Claims Notice Form:

Operating Company name and address  
Date

Dear Sir or Madam

Your letter dated ----- / telephone call of ----- \* implied a claim arising from an incident on a trunk road or motorway. Please complete the attached form and return it to the address below.

Your attention is drawn to the need to complete medical mandates and the Department of Work and Pensions Compensation Recovery Unit Section where physical injury has been suffered.

Please note that failure to include all relevant information and sketches may delay the processing of your claim.

Yours faithfully

[Signed]

Name

Designation

\*delete as appropriate.

**Attachment 7.12 Third Party Claims Operating Company Report Form**

**SECTION A: SUMMARY INFORMATION**

Claim Reference Number:

.....

Date of Notification of  
Claim.....

Date of transmission of Third Party Claims Notice form to claimant

.....

Date of receipt of completed Third Party Claims Notice form

.....

Date of completion of Third Party Claims Operating Company Report form

.....

Decision on claim by Operating  
Company.....

**SECTION B: DETAILED REPORT**

1. Operating Company

.....

2. Trunk Road and exact location of incident (sketch, OS extract, photograph etc.  
shall be attached)

.....

3. Date and time of incident

.....

4. State source of information provided at questions 2 and 3 above

.....

Particulars of witnesses (other than those provided by claimant) to the incident. If  
Operating Company employees, this shall be stated and precognitions attached.

Name .....

Address .....

.....

.....

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Name .....

Address .....  
.....  
.....

5. Were the Police Scotland involved? Yes..... No.....  
If YES, a Police Scotland report shall be obtained and sent out as soon as possible.

6. Does the claim refer to an incident alleged to be due to roadworks?  
Yes..... No .....

If YES, by whom were the roadworks being carried out?

Operating Company..... Contractor..... Undertaker.....

7. Contractor, Undertaker name and address if appropriate  
.....  
.....

8. Nature of Roadworks  
.....

9. What were the weather and road conditions at the time of the incident?  
.....  
.....

10. Was Winter Service Plant called out? Yes..... No.....  
If YES, provide full details.....  
.....

11. Was precautionary treatment carried out at the locus prior to the incident?

Yes..... No.....

If YES, give time, date, spread rates and any other relevant information  
.....  
.....

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NB In the event that the claimant or a Police Scotland report alleges that the road surface was icy or had poor skid resistance etc, full details countering or agreeing with this allegation should be given. Pertinent Precautionary Treatment Operations records and carriageway condition survey results shall be included.

12. Is the incident alleged to have been caused through a Defect or obstruction in the road?

Yes..... No.....

If NO, go to question 13.

If YES:

12.1 Had the Operating Company received notice or was it otherwise aware of the Defect or obstruction prior to the incident?

.....  
.....  
.....

12.2 If unaware, please comment on why regular inspections failed to identify the Defect?

.....  
.....  
.....  
.....

12.3 What is the inspection regime for this Trunk Road? (e.g. Safety Inspection, Safety Patrol, Winter Service Patrol)

.....  
.....  
.....  
.....

12.4 Please include records of dates and findings (routine maintenance and management function of the AMPS output) of inspections and patrols immediately before and after this incident

.....  
.....

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.....  
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.....  
.....

12.5 How was the inspection or patrol carried out? (on foot, by van etc)  
.....

12.6 If by van, state whether by driver, driver and mate, etc  
.....

12.7 When had work last been undertaken at the location, and by whom, prior to the incident?  
.....  
.....  
.....  
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13. Please use this space to give any other relevant information, including details of any Damage to Crown Property.  
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14. Operating Company's views on liability. Please indicate whether any reasonable action could have prevented this incident and whether there are grounds for treating the claim sympathetically.  
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15. Form completed by:

NAME IN BLOCK CAPITALS

.....

Designation .....

Telephone No. ....

Signature .....

Date .....

16. Form approved by:

Signature .....

Date .....

Job Title.....

# Scottish Trunk Road Network Management Contract North East Unit

## Attachment 7.13 Damage to Crown Property Consolidated Report

Title:

Damage to Crown Property Consolidated Report

Operating Company Name .....

Unit .....

Provide data, where the information is known by the Operating Company, from AMPS and reference such data to the field name to form a consolidated report listing all incidents of Damage to Crown Property (refer to Section 7 Control of core and ordered Operations):

- (i) unique damage identifier,
- (ii) Scheme reference,
- (iii) date damage logged,
- (iv) date of repair,
- (v) location of damage,
- (vi) type and extent of damage,
- (vii) Structure reference number if applicable,
- (viii) names of culprits,
- (ix) details of repair,
- (x) status with regard to recovery,
- (xi) date Director notified, where estimated valuation of repair exceeds £50,000,
- (xii) estimated valuation of repair, excluding associated costs,
- (xiii) actual valuation of repair excluding associated costs (valued in accordance with Clause 5 Payment of Schedule 1),
- (xiv) actual valuation of associated costs (valued in accordance with Clause 5 Payment of Schedule 1),
- (xv) total valuation of repair (the sum of (xiii) and (xiv)),
- (xvi) amount recovered from culprit,
- (xvii) final Statement number (if appropriate) (that shall be the Statement submitted by the Operating Company in accordance with Clause 5 Payment of Schedule 1 that contains the final claim for payment in respect of the incident to which the unique damage identifier applies), and
- (xviii) difference between total valuation of repair (xv) and amount recovered from culprit (xvi).

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

**Attachment 7.14 Form of Assignment of Rights Agreement and Notice of  
Assignment of Rights**

**AGREEMENT**

**between**

**THE SCOTTISH MINISTERS**

**And**

**Amey OW Limited**

**re: DAMAGE TO CROWN PROPERTY**

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

**AGREEMENT**

between

(1) THE SCOTTISH MINISTERS (the "Scottish Ministers")

and

(2) **Amey OW Limited**, incorporated under the Companies Acts (Company No. 01922327 ) and having their registered office at **3<sup>rd</sup> Floor, Chancery Exchange, 10 Furnival Street, London, EC4A 1AB** (the "Operating Company")

**WHEREAS:**

- (A) The Scottish Ministers and the Operating Company have entered into a contract for management and maintenance of the Scottish trunk road network- North East Unit ("the Contract");
- (B) Under paragraph 7.21 Damage to Crown Property of Schedule 3 Contract Management the Operating Company shall undertake repairs of Damage to Crown Property (as defined in the Contract) in respect of Damage to Crown Property (as defined in the Contract) that has been caused by third parties; and
- (C) In order that the Operating Company can obtain title and interest to sue the third parties responsible for the Damage to Crown Property referred to in recital (B), the Scottish Ministers and the Operating Company have agreed and hereby agree that the Scottish Ministers will assign to the Operating Company its rights against third parties in respect of Damage to Crown Property referred to in recital (B).

**IT IS HEREBY AGREED BETWEEN THE PARTIES AS FOLLOWS:**

- 1. The Scottish Ministers hereby assign to and in favour of the Operating Company, to the extent that the Scottish Ministers may competently do so, the benefit of the Scottish Ministers' current and future rights against third parties in respect of Damage to Crown Property referred to in recital (B) that occurs after 00:00 hours on Commencement of Service Date (as defined in the Contract) and prior to 24:00 hours on the Service End Date (as defined in the Contract), including such powers, rights and remedies as may be vested in the Scottish Ministers.
- 2. The Operating Company may complete and send notices of assignment of rights (in the form set out in the schedule annexed and identified as relative to this Agreement ("the Schedule")) in accordance with 7.21 Damage to Crown Property of Schedule 3 of the Contract.

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

3. This Agreement is governed by Scots law and the Scottish Courts have exclusive jurisdiction to settle any dispute arising out of or in connection with this Agreement: IN WITNESS WHEREOF these presents typewritten on this and the preceding page, together with the Schedule of one page annexed hereto, are executed as follows:

They are signed for and on behalf of The Scottish  
Ministers

By Stewart Leggett

on 28<sup>th</sup> April 2022

.....  
Authorised Signatory

before the Witness

Name: Stephen Breslin

.....  
Witness

Address: Transport Scotland

Buchanan House

58 Port Dundas Road

Glasgow

G4 0HF

They are signed for and on behalf of AMEY OW  
Limited

by .....

on .....

at .....

Director/Company  
Secretary/Authorised  
Signatory\*

before the witness

Name.....

Address.....

Witness

.....

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

This is the Schedule referred to in the foregoing Agreement between the Scottish Ministers and Amey OW Ltd

Notice of Assignment of Rights: to be typed on the headed notepaper of the Operating Company

To: [Insert name and address of the relevant third party]

Date: [ ]

Dear Sirs

**Notice of Assignment of Rights**

We hereby give you notice that, by an Agreement dated, a copy of which is annexed hereto, the Scottish Ministers assigned to us the benefit of their rights against you in respect of [insert a full description of the damage caused by the third party] including such powers, rights and remedies as may be vested in the Scottish Ministers.

Yours faithfully

Authorised Signatory

cc: The Director, Roads Directorate, Transport Scotland, Buchanan House, 58 Port Dundas Road, Glasgow, G4 0HF

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

**Attachment 7.15 Report of an Incidence of Damage to Crown Property**

Title:

Report of an incidence of Damage to Crown Property

Operating Company Name .....

Unit .....

Provide data from APMS and reference such data (refer to Section 7 - Control of Core and Ordered Operations):

- (i) unique damage identifier,
- (ii) Route number,
- (iii) date and time of incident,
- (iv) source of this information,
- (v) date that the Operating Company first became aware of the Damage to Crown Property,
- (vi) location - link, section and chainage and Ordnance Survey Grid Reference,
- (vii) Structural reference number, if appropriate,
- (viii) description of property,
- (ix) type and extent of damage,
- (x) cause of damage, including name of culprits,
- (xi) are proceedings being taken by Police Scotland?
- (xii) date emergency work was carried out (if any),
- (xiii) who carried out emergency work (if any)?
- (xiv) road condition e.g. good, rutted,
- (xv) weather conditions,
- (xvi) was road wet, dry or icy?
- (xvii) was Winter Service Plant called out?
- (xviii) details of de-icing Operations,
- (xix) was precautionary treatment carried out at the locus prior to incident?
- (xx) estimated final value,
- (xxi) estimated date for final repair,
- (xxii) names and addresses of witnesses (if any),
- (xxiii) all other relevant information, and
- (xxiv) brief account of incident causing damage.

# TRANSPORT SCOTLAND - APPLICATION TO REPAIR DAMAGED PARAPET

(Bridges and Trunk Road Structures)

Structure Name: \_\_\_\_\_

Structure Reference Number: \_\_\_\_\_

## Attachment 7.16 Report of Incidence of DCP - Parapet

### APPLICATION TO REPAIR DAMAGED PARAPET

#### PART A – DESCRIPTION OF STRUCTURE, DAMAGE, EMERGENCY & INTERIM MEASURES

**APPLICANT:** *(Name of Operating Company).*

**STRUCTURE NAME:**

**STRUCTURE REF:**

**DCP REF:** *(RMMS or IRIS REF)*

**TSIA 25 SCORE:** *(TS IA 25 Rinc, Risk Ranking & Result)*

**SUBMISSION DATE:** *(Submission date of form and previous versions)*

#### 1. Description of Parapet & VRS Damage: *(RTA and DCP damage only not age or condition related deterioration)*

**1.1 Date of incident:** *(If known otherwise note date first recorded)*

**1.2 Brief description:** *(Length, number of panels, posts including damage to cope, deck or spandrel. Photographs to be included in Annex A).*

**1.3 Brief details of existing parapet system:** *(Age, type, design standard, containment level, etc).*

**1.4 Is Damage/Defect Category 1?** *(Damaged mesh or minor damage may be deemed Cat 2 if it can be temporarily repaired or does not present a serious or significant risk to trunk road users and the public, pending a permanent repair – The Operating Company should liaise with Transport Scotland whose decision shall be final).*

**1.5 Are Emergency Repairs required?** *(Y go to 2.1 below , N/A = Not applicable)*

**1.6 Can an immediate repair be undertaken?** *(Temporary or permanent, within 24 hours, Y or N and why).*

**1.7 Can parapet be repaired within specific Contract period?** *(4G is 56 days, if not explain the soonest date this can be achieved and why).*

#### 2. Emergency Works & Interim Measures pending Permanent Repair:

**2.1 Emergency Works:** *(Brief description of works to make structure safe, protect public & operatives; e.g. varioguard, temporary road or lane closures, traffic signals, Heras fencing, footway closure, diversion routes)*

**2.2 Emergency Works, Time and Date undertaken:** *(how long after incident did these occur, were S7P1 Cl 2.2.5 Cat 1 timescales met?)*

**2.3 Interim Measures:** *(Brief description and date to be installed, e.g. temporary VRS, e.g. Varioguard or PCBs. Temporary pedestrian barrier, e.g. HERAS fencing)*

**2.4 Containment Level:** *(Give details and if > or < existing parapet).*

**2.5 Geometric Details:** *(Length, working width, set backs, tie into RRS).*

**2.6 Traffic Management:** *(e.g. lane restriction or closures signing, traffic signals, lane or footway closures, additional signs, VMS, diversion routes – may be submitted as a separate document)*

# TRANSPORT SCOTLAND - APPLICATION TO REPAIR DAMAGED PARAPET

(Bridges and Trunk Road Structures)

Structure Name: \_\_\_\_\_

Structure Reference Number: \_\_\_\_\_

<p><b>2.7 How long will Interim Measures &amp; Traffic Management be in place?</b> <i>(Time in weeks/ months).</i></p>
<p><b>3. Designer/Assessor Justification:</b> <i>(Include reasons why existing DMRB Standards may be inappropriate).</i></p> <p><b>3.1 Justification and reasons for Interim Measures.</b> <i>(refer to 2.3)</i></p> <p><b>3.2 Justification of any DfS required for Interim Measures.</b> <i>(if applicable)</i></p>
<p><b>4. Applicant Operating Company Engineer Declaration (Emergency &amp; Interim Measures)</b></p> <p>I recommend that the above application to implement Emergency and/or Interim Measures for a damaged structures parapet should be accepted/rejected. <i>(Delete as applicable).</i></p> <p><b>Signed:</b> _____ <i>(Engineer)</i></p> <p><b>Name:</b> _____ <i>(Print)</i></p> <p><b>Date:</b> _____</p>
<p><b>5. Transport Scotland Bridges Section Comments and Recommendation:</b></p> <p>I recommend that the above application to implement Emergency and/or Interim Measures for a damaged structures parapet should be accepted/rejected. <i>(Delete as applicable).</i></p> <p><b>Signed:</b> _____</p> <p><b>Name:</b> _____ <i>(Print)</i></p> <p><b>Date:</b> _____</p>

## PART B – PERMANENT REPAIRS/REPLACEMENT

<p><b>6. Description of Proposed Permanent Parapet Repair Options:</b></p> <p><b>6.1 Brief details of proposed permanent repairs options:</b> <i>(Further brief details, feasibility or options studies may be referenced here and/or included as an annex).</i></p> <p><b>6.2 Brief details of permanent repair:</b> <i>(Further details, feasibility or options studies may be referenced here and/or included as an annex).</i></p> <p><b>6.3 CD377 &amp; TS IA 25:</b> <i>(RRRAP results &amp; new TS IA 25 Rinc &amp; risk rating)</i></p> <p><b>6.4 Departure No:</b> <i>(Structures Departures only - if applicable).</i></p> <p><b>6.5 Timescale and programme for recommended permanent repair option:</b> <i>(If outwith the specific period in the Contract, explain why and what is proposed to expedite the permanent works and why the specific period should be relaxed).</i></p>
<p><b>7. List of Supporting Documentation:</b></p> <p><b>7.1 Standards:</b></p> <p><b>7.2 Drawings:</b></p> <p><b>7.3 Other:</b></p>

**TRANSPORT SCOTLAND - APPLICATION TO REPAIR DAMAGED PARAPET**

**(Bridges and Trunk Road Structures)**

**Structure Name:** \_\_\_\_\_

**Structure Reference Number:** \_\_\_\_\_

**8. Description of Proposed Departure from Standards including Aspects Not Covered by Standards:**

**8.1 Recommended Permanent Repair:** *(Include details of DMRB Standards and Clause numbers which are being departed from).*

**9. Designer/Assessor Justification:** *(Include reasons why existing DMRB Standards may be inappropriate).*

**9.1 Justification and reasons for Recommended Permanent Repair.** *(refer to 6.2)*

**9.2 Justification of any DfS required for Recommended Permanent Repair.** *(if applicable)*

**10. Cost Implications:**

*(Actual or estimate of costs arising from the Interim Measures and Recommended Permanent Repair Option: any future savings to Transport Scotland and effect on future maintenance costs).*

**10.1 Repair Costs:** *(Actual or estimate:, clean up, TM, emergency/temporary repairs, interim measures & permanent repairs)*

**10.2 Maintenance Costs:** *(If known/ applicable)*

**10.3 DCP liability:** *(is cost of 10.1 above or below the thresholds in S4P4 Cl. 3? Operating Company or Culprit/Transport Scotland)*

**10.4 Is Culprit known** *(Yes or No – details will be elsewhere)*

**11. Applicant Operating Company Bridges Manager Declaration:**

I declare that reasonable professional skill and care have been exercised in the preparation of this application to repair/replace a damaged structures parapet and the associated Departure from Standards submission.

*(Delete as applicable).*

**Signed:**

*(Chartered Engineer)*

**Name:**

*(Print)*

**Date:**

**12. Transport Scotland Bridges Section Comments and Recommendation:**

I recommend that the above application to repair/replace a damaged structures parapet and associated Departure from Standards should be accepted/rejected. *(Delete as applicable).*

**Signed:**

**Name:**

*(Print)*

**Date:**

**TRANSPORT SCOTLAND - APPLICATION TO REPAIR DAMAGED PARAPET**

**(Bridges and Trunk Road Structures)**

**Structure Name:** \_\_\_\_\_

**Structure Reference Number:** \_\_\_\_\_

**13. Transport Scotland Chief Bridge Engineer/Network Bridges Manager Recommendation:**

The above application to repair/replace a damaged structures parapet and the associated Departure from Standards is accepted/rejected. *(Delete as applicable).*

**Signed:**

**Name:**

*(Print)*

*Chief Bridge Engineer/Network Bridges Manager*

**Date:**

**14. Repair Completion Date:** *(Also Complete in SMS DCP tab)*

**TRANSPORT SCOTLAND - APPLICATION TO REPAIR DAMAGED PARAPET**

**(Bridges and Trunk Road Structures)**

**Structure Name:** \_\_\_\_\_

**Structure Reference Number:** \_\_\_\_\_

**ANNEX A – PHOTOGRAPHS**

Photographs to include (with dates & times taken):

- DAMAGE
- EMERGENCY/INTERIM REPAIRS
- PERMANENT REPAIRS