

Scottish Trunk Road Network Management Contract
Schedule 3 - Contract Management - Appendix 4 Systems,
Plans and Records Attachments
North East Unit

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

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Attachment 4.1 Operating Company Internal Audit Schedule

| Operating Company Internal Audit Schedule | | | | |
|--|-----|---|--|--------------------------------|
| | | Schedule Title | Section Title | Minimum Audit Frequency |
| 3 | 1 | Introduction | Overall Requirements | As agreed |
| 2 | 1 | Introduction | The Unit | Once per year |
| 3 | 1.2 | Introduction | Reference Documents | Once per year |
| 2 | 1.4 | Introduction | Other Contracts | Once per year |
| 3 | 5 | Stakeholder and Customer Engagement | Communications Strategy, Correspondence, Enquiries and Complaints | Twice per year |
| 3 | 5 | Stakeholder and Customer Engagement | Customer Contact Services | Once per year |
| 2 | 5 | Stakeholder and Customer Engagement | Operations; Roads Traffic Scotland | Twice per year |
| 2 | 1 | Introduction | Statutory Functions | Once per year |
| 3 | 1 | Introduction | Collaboration & partnering | Once per year |
| 3 | 1 | Introduction | Community Benefits | As agreed |
| 3 | 7 | Control of core & ordered operations | Financial and Contract Management | Once per year |
| 3 | 7 | Control of core & ordered operations | APMS | Twice per year |
| 2 | 3 | Inspection & Maintenance – Roads Including Landscape | Roadside Electrical Assets and Power Supplies | Once per year |
| 3 | 7 | Control of core & ordered operations | Damage to Crown Property and Third Party Claims | Once per year |
| 3 | 4 | Systems, plans and records | Management System | Once per year |
| 3 | 4 | Systems, plans and records | Records Information and Communication Technology | Twice per year |
| 3 | 1 | Introduction | Reporting and Submission Requirements and Progress Meetings | Once per year |
| 3 | 3 | Key people | The Operating Company's Representative, Core Management Team and Key Staff | Once per year |
| 3 | 9 | Measuring Performance | Audits by the Performance Audit Group | Once per year |
| 3 | 9 | Measuring Performance | Performance Measurement | Once per year |
| 3 | 3 | Offices, depots & other infrastructure including plant and technology | Operating Company's Offices and Depots | Once per year |
| 3 | 1 | Introduction | Environmental Sustainability and Waste | Once per year |
| 3 | 8 | Procurement and Management of Schemes | Procurement and Management of Schemes | Once per year |
| 2 | 8 | Design, Construct & Certification | Construction (Design and Management) Regulations | Twice per year |
| 2 | 8 | Design, Construct & Certification | Road Safety Audits | Twice per year |
| 2 | 2 | Defects, hazard notices & observations resulting from inspections | Design and Certification of Operations and Works | Once per year |
| 2 | 3 | Inspections & maintenance – Roads including Landscape | Management, Inspection and Maintenance | Twice per year |
| 2 | 3 | Inspections & maintenance - Structures | Management, Inspection and Maintenance | Twice per year |
| 2 | 6 | Operations; Roads – Winter service | Winter Service – Pre-Winter | Once per year |
| 2 | 6 | Operations; Roads – Winter service | Winter Service – During Winter | Once per year |
| 2 | 7 | Operations; Roads –Disruption Risk Management | Incident Response | Twice per year |
| 2 | 3 | Inspection & maintenance - Roads – incl Landscape | Landscape Development Process and Deliverables | Once per year |
| 2 | 1 | Introduction | New Roads and Street Works Act 1991 | Once per year |

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| Operating Company Internal Audit Schedule | | | | |
|--|----|--|---|--------------------------------|
| | | Schedule Title | Section Title | Minimum Audit Frequency |
| 7 | 6 | Inspections and Maintenance – Structures | Management and Maintenance of Structures | Once per year |
| 2 | 1 | Introduction | Structures with Particular Requirements | Twice per year |
| 2 | 7 | Operations; Roads – Disruption Risk Management | Severe Weather Services | Once per year |
| 2 | 9 | Abnormal Loads | Abnormal Indivisible Load Routeing | Once per year |
| 2 | 10 | Safety & developments – Developments | Development Management | As agreed |
| 2 | 11 | Safety & developments – Road safety programme | Road Safety and Accident Investigation and Prevention | As agreed |
| 2 | 12 | Signs requiring authorisation | Signs Requiring Authorisation | As agreed |

Note: References to year in the above table means the Annual Period.

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**Attachment 4.2 Schedule of Records to be Transferred by the Operating Company to a
Successor Organisation**

- (i) general correspondence files and registers covering general enquires, complaints, requests for information,
- (ii) register of media enquiry forms,
- (iii) Design and design check register and all documents, Drawings and Certificates referenced therein, including as a minimum calculations for all major maintenance Schemes,
- (iv) all as-built Records including details of drainage outfalls and road inventories,
- (v) maintenance manuals including all policy standards but not commercial in confidence procedure or process manuals,
- (vi) inspection Records and Certificates for routine maintenance and management of APMS, Structures, electrical,
- (vii) street lighting maintenance Records,
- (viii) roads, Structures and ancillary infrastructure inventory,
- (ix) deflectograph, sideways coefficient routine investigation machine and high-speed road monitor reports and analyses,
- (x) surveys (ground investigation, topographical, environmental, traffic, closed circuit television,
- (xi) traffic regulation orders, compulsory purchase orders and other statutory orders,
- (xii) plans,
- (xiii) Drawings,
- (xiv) development control Records and files,
- (xv) registers and Records relating to third party claims and Damage to Crown Property,
- (xvi) land ownership details,
- (xvii) weather and weather station Records including as a minimum:
 - (a) data from weather stations,
 - (b) detailed inspection Records,
 - (c) calibration Records, and
 - (d) Records relating to Defects.
- (xviii) accident Records and reports,
- (xix) *New Roads and Street Works Act 1991* data, including as a minimum:
 - (a) the register of investigations and inspections in relation to the *New Roads and Street Works Act 1991* obligations, and

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- (b) the register of apparatus installed following the grant of permission in writing pursuant to Section 109 of the *New Roads and Street Works Act 1991*.
- (xx) road safety audits,
- (xxi) files and other Records required by the CDM Regulations,
- (xxii) abnormal load movements,
- (xxiii) final Statements of Intent for structural maintenance Schemes,
- (xxiv) contract documentation used in connection with Operations within the Unit,
- (xxv) Works (Site) activity Records,
- (xxvi) construction Records including as a minimum:
 - (c) Contract Administrators' reports,
 - (d) Records relating to the Construction Products Regulation, and
 - (e) materials test results.
- (xxvii) noise assessments Records,
- (xxviii) investigation Records including as a minimum skid resistance investigations,
- (xxix) Winter Service policy, strategy and Records,
- (xxx) Incident Response policy, strategy, Records,
- (xxxi) Multi Agency Response Team information folder,
- (xxxii) Carbon Management System Records,
- (xxxiii) reports on monthly Operations undertaken by the Operating Company,
- (xxxiv) Scheme specific and detailed information on each Scheme identified in the future budget programmes (to facilitate development of programmes and budgets for the first Annual Period),
- (xxxv) register and Records of tourist, truckstop and special events signing,
- (xxxvi) registers and Records in relation to delegated Statutory Functions,
- (xxxvii) inventory of all Scottish Minister's property in the possession of the Operating Company,
- (xxxviii) photographs; historical and contemporary, recording progress of works and Defects or taken for consultation or communication purposes,
- (xxxix) documents and information required to manage the pension aspects of any onward transfer of any person engaged or employed by the Operating Company or any relevant contractor, sub-contractor and or supplier of any tier, and
- (xl) any other Records identified by the Director and advised to the Operating Company in writing during the Contract Period.

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Attachment 4.3 Records Retention Periods

| Record | Records Retention Period |
|--|--|
| Land Ownership: Interfaces Boundaries | In perpetuity In perpetuity |
| Drainage Outfalls | In perpetuity |
| Files and other Records required by the CDM Regulations | In perpetuity |
| As Built Drawings: Roads Structures (including bar bending schedules) Electrical Landscaping Maintenance Manuals | Until 2 years after deletion from inventory of designed item Until 2 years after deletion from inventory of designed item and then offered back to Transport Scotland Until 2 years after deletion from inventory of designed item Until 2 years after deletion from inventory of item to be maintained |
| Design Calculations | Until 2 years after deletion from inventory of designed item |
| Inspection Records: Road Maintenance and Management System Safety Inspection Road Maintenance and Management System Safety Patrols Road Maintenance and Management System Detailed Inspections Structures General Principal Special Electrical | Until 10 years after date of inspection Until 10 years after date of inspection Until 10 years after date of inspection Until 2 years after Structure demolished and then offered back to Transport Scotland Until 2 years after Structure demolished and then offered back to Transport Scotland Until 2 years after Structure demolished and then offered back to Transport Scotland Until 10 years after date of inspection |
| Investigations | Until 10 years after date of investigation unless involving a Structure in which case until 2 years after Structure demolished. |
| Surveys: Ground Topographical Environmental Traffic CCTV | Until 10 years after date of survey Until 10 years after date of survey Until 10 years after date of survey Until 10 years after date of survey Until 10 years after date of survey |

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| Record | Records Retention Period |
|---|--|
| Statutory Orders: Speed Limits | Until 10 years after Statutory Order rescinded |
| Waiting | Until 10 years after Statutory Order rescinded |
| Clearway | Until 10 years after Statutory Order rescinded |
| Traffic Regulations | Until 10 years after Statutory Order rescinded |
| Compulsory Purchase | Until 10 years after Statutory Order rescinded |
| Any other Traffic | Until 10 years after Statutory Order rescinded |
| Development Control | Until 10 years after adoption |
| Third Party Claims | Until 5 years after settlement with affected third parties |
| Accident Records/Reports | In perpetuity |
| <i>New Roads and Streets Works Act 1991:</i> Designation | Until 10 years after date of Notice |
| Apparatus | Until 10 years after date of Notice |
| Notices | Until 10 years after date of Notice |
| Safety Audits | Until 10 years after date of audit |
| Abnormal Load Movement Records | Until 10 years after date of record |
| Final Statements of Intent for structural maintenance Schemes | Until 6 years after completion of the Scheme |
| Contract Documentation: Conditions of Contract Bills of Quantities Specifications | Until 5 years after financial settlement of each Contract between the Scottish Ministers and Works Contractors |
| Works activities (Site Records) | Until 5 years after a Works Contract completion |
| Construction Records: Contract Administrator's construction reports Material Test Results | Until 2 years after deletion from inventory Until 2 years after deletion from inventory |
| Noise Assessment | Until 10 years after final assessment |
| Winter Service Records | Until 10 years after date of record |
| Incident Response Records | Until 10 years after date of record |
| Reports on monthly Operations undertaken by the Operating Company | Until 10 years after date of report |
| General correspondence files | Until 15 years after initiation of file |
| Supporting cost measurement documentation related to Operations for which Statements have been prepared | Until 6 years after the end of the Non-Conformance Liability Period |

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Attachment 4.4 Historical Records Report

| Box No Ref | File Heading | Contract Reference | Company | Route | Project Title / Ref | Contents | Year | Retention Period | Owner | Total Page Count | Containment or File Type | Size A0 - A6 | B&W or Colour | Confidential Y/N | Resolution (DPI) |
|-----------------------|-------------------------|-------------------------------|----------------|--------------|--------------------------------|-----------------|-------------|-----------------------------|--------------|-----------------------------|-------------------------------------|-------------------------|------------------------------|-----------------------------|-----------------------------|
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