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



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Attachment 4.1 Operating Company Internal Audit Schedule

Engagement Enquiries and Complaints Stakeholder and Customer Customer Contact Services Engagement Stakeholder and Customer Engagement Introduction Introduction Statutory Functions Introduction Collaboration & partnering Tontroduction Control of core & ordered operations Inspection & Maintenance – Roads Including Landscape Control of core & ordered operations Claims Control of core & ordered operations APMS Operations Control of core & ordered operations Claims Claims A Systems, plans and records A Systems, plans and records Records Information and Communication Technology Reporting and Submission Requiremen Progress Meetings A Systems, plans and records Core Management Team and Key Staff Audits by the Performance Audit Group Measuring Performance Audits by the Performance Audit Group Measuring Performance Performance Measurement Operating Company's Offices and Depoint Introduction Introduction Construction (Design and Management of Schemes Construction (Design and Management Regulations A Design, Construct & Certification Construction (Design and Management of Schemes Design and Certification of Operations a observations resulting from inspections Inspections & maintenance – Management, Inspection and Maintenar Structures Defects, hazard notices & observations resulting from inspections & maintenance – Structures Operations; Roads – Winter Service Minter Service – During Winter service	Minimum Au Frequency	Section Title	Schedule Title							
3	As agreed	Overall Requirements	Introduction	1	3					
2	Once per year	The Unit	Introduction	1	2					
Stakeholder and Customer Engagement Communications Strategy, Corresponder Engagement Stakeholder and Customer Customer Contact Services Engagement Customer Contact Services Customer Contact Service	Once per year	Reference Documents	2 Introduction	1.2	3					
Engagement Enquiries and Complaints Stakeholder and Customer Customer Contact Services Engagement Stakeholder and Customer Engagement Introduction Statutory Functions Introduction Statutory Functions Introduction Collaboration & partnering Control of core & ordered operations Control of core & ordered operations Inspection & Maintenance – Roads Including Landscape Control of core & ordered operations APMS Operations Control of core & ordered operations Claims Control of core & ordered operations APMS Operations Claims Claims A Systems, plans and records Management System Records Information and Communication Technology Reporting and Submission Requiremen Progress Meetings A Systems, plans and records Reporting and Submission Requiremen Progress Meetings Audits by the Performance Audit Group Measuring Performance Audits by the Performance Audit Group Measuring Performance Performance Measurement Operating Company's Offices and Depoint Introduction Introduction Introduction Environmental Sustainability and Waste Procurement and Management of Schemes Procurement and Management of Schemes Design, Construct & Certification Construction (Design and Management Regulations Road Safety Audits Design and Certification of Operations a observations resulting from inspections Inspections & maintenance – Management, Inspection and Maintenar Structures Operations; Roads – Winter Service Minter Service – During Winter Service Winter Service – During Winter	Once per year	Other Contracts	Introduction	1.4	2					
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Engagement Introduction Statutory Functions Introduction Collaboration & partnering Community Benefits Tontrol of core & ordered operations Control of core & ordered operations Claims Control of core & ordered operations Claims Control of core & ordered operations Claims Tontrol of core & ordered operations Amanagement System Systems, plans and records Records Information and Communication Technology Introduction Reporting and Submission Requiremen Progress Meetings Measuring Performance Measuring Performance Measuring Performance Measuring Performance Performance Measurement Operating Company's Offices and Depoint Introduction Environmental Sustainability and Waster Procurement and Management of Schemes Procurement and Management of Schemes Design, Construct & Certification Performance Management of Schemes Design, Construct & Certification Design and Management of Schemes Design, Construct & Certification Road Safety Audits Design and Management of Schemes Inspections & maintenance – Roads including Landscape Progress Meeting Management, Inspection and Maintenar Structures ervice Management, Inspection and Maintenar Structures ervice Winter Service – During Winter	Once per year		Engagement							
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1 Introduction Community Benefits 7 Control of core & ordered operations 7 Control of core & ordered operations 8 Procurement and Management of Schemes 9 Measuring Performance 1 Offices, depots & other infrastructure including plant and technology 1 Defects, hazard notices & observations resulting from inspections & maintenance – Roads infrastructure including plandscape 1 Defects, hazard notices & observations resulting from inspections & maintenance – Roads including Landscape 2 Control of core & ordered operations operations and records including Landscape 3 Poperating Company's Representation Core Management Team and Key Staff Audits by the Performance Audit Group Construct & Certification Construction (Design and Management of Schemes 2 Design, Construct & Certification Road Safety Audits Design and Certification of Operations and Company inspections and Management, Inspection and Maintenar Structures 9 Operations; Roads – Winter service Winter Service — Pre-Winter Service Winter Service Winter Service — During Winter Service — During Winter Service — During Winter Service — Pursum Winter Service — Pu	Once per year	1 Introduction Statutory Functions								
7	Once per year									
Operations Operations APMS	As agreed	•			3					
Operations	Once per year	_	operations							
Including Landscape Including Landscape	Twice per year		operations							
operations Claims Claims Claims Claims A Systems, plans and records Records Information and Communication Technology Reporting and Submission Requirement Progress Meetings The Operating Company's Representation Audits by the Performance Audit Group Measuring Performance Performance Measurement Operating Company's Offices and Depoinfrastructure including plant and technology Introduction Procurement and Management of Schemes Performance Measurement Core Management Team and Key Staff Audits by the Performance Audit Group Performance Measurement Operating Company's Offices and Depoinfrastructure including plant and technology Environmental Sustainability and Waster Procurement and Management of Schemes Design, Construct & Certification Design, Construct & Certification Procurement and Management Regulations Road Safety Audits Design and Certification of Operations and Management, Inspection and Maintenary Structures Inspections & maintenance - Management, Inspection and Maintenary Structures Management, Inspection and Maintenary Structures Minter Service - During Winter Service - During Winter	Once per year			3	2					
3 4 Systems, plans and records Records Information and Communication Technology 3 1 Introduction Reporting and Submission Requirement Progress Meetings 3 3 Key people The Operating Company's Representation Core Management Team and Key Staff Audits by the Performance Audit Group 3 9 Measuring Performance Performance Measurement 3 3 Offices, depots & other infrastructure including plant and technology 3 1 Introduction Environmental Sustainability and Waster Schemes 4 Procurement and Management of Schemes 5 Design, Construct & Certification Regulations Regulations 6 Design, Construct & Certification Regulations Road Safety Audits 7 Design and Certification of Operations and Management, Inspection and Maintenary Roads including Landscape Roads including Landscape Management, Inspection and Maintenary Structures 6 Operations; Roads – Winter Service – Pre-Winter Service 7 Operations; Roads – Winter Service – During Winter Service – During Winter Service	orty Once per year	Damage to Crown Property and Third Party Claims		7	3					
Technology Reporting and Submission Requirement Progress Meetings The Operating Company's Representating Core Management Team and Key Staff Audits by the Performance Audit Group Measuring Performance Performance Measurement Operating Company's Offices and Depoint Infrastructure including plant and technology Introduction Environmental Sustainability and Waster Procurement and Management of Schemes Design, Construct & Certification Construction (Design and Management Regulations) Procurement and Management Regulations Design and Certification of Operations and Works Design and Certification of Operations and Works Inspections & maintenance — Management, Inspection and Maintenar Structures Nanagement, Inspection and Maintenar Structures Management, Inspection and Maintenar Structures Management, Inspection and Maintenar Works Winter Service — Pre-Winter Service — During Winter	Once per year	Management System	Systems, plans and records	4	3					
Progress Meetings Progress Meetings The Operating Company's Representation Core Management Team and Key Staff	, ,		Technology							
Core Management Team and Key Staff Measuring Performance Audits by the Performance Audit Group Measuring Performance Performance Measurement Operating Company's Offices and Depoinfrastructure including plant and technology Introduction Environmental Sustainability and Waster Design, Construct & Certification Construction (Design and Management Regulations) Defects, hazard notices & observations resulting from inspections Inspections & maintenance — Roads including Landscape Inspections & maintenance — Management, Inspection and Maintenar Structures Inspections; Roads — Winter Service — During Winter	s and Once per year	Reporting and Submission Requirements and Progress Meetings	Introduction	1	3					
3 9 Measuring Performance Performance Measurement 3 0 Offices, depots & other infrastructure including plant and technology 3 1 Introduction Environmental Sustainability and Waster Schemes 4 Procurement and Management of Schemes 5 Design, Construct & Certification Construction (Design and Management Regulations) 6 Performance Measurement Operating Company's Offices and Depotent Operations of Schemes 7 Procurement and Management of Schemes Operations and Management Regulations Operations and Management Regulations Operations of Schemes Operations of Operati	, ,	The Operating Company's Representative, Core Management Team and Key Staff	, p		3					
3 Offices, depots & other infrastructure including plant and technology 3 1 Introduction Environmental Sustainability and Waster Schemes 4 Procurement and Management of Schemes 5 Design, Construct & Certification Construction (Design and Management Regulations) 6 Design, Construct & Certification Road Safety Audits 7 Defects, hazard notices & observations resulting from inspections 8 Inspections & maintenance – Management, Inspection and Maintenar Structures 9 Roads including Landscape 1 Management, Inspection and Maintenar Structures 1 Management, Inspection and Maintenar Winter Service – Pre-Winter Service 1 Operations; Roads – Winter Service – During Winter Service – During Winter	Once per year	Audits by the Performance Audit Group	Measuring Performance	9	3					
infrastructure including plant and technology Introduction Environmental Sustainability and Waster Service Environmental Sustainability and Waster Environment And Management in Sustainability and Waster Environmental Sustainability and Waster Environment And Management in Sustainability and Management in Sustainability and Management in Regulations 2	Once per year	Performance Measurement	Measuring Performance	9	3					
1 Introduction Environmental Sustainability and Waster Service Procurement and Management of Schemes 2 8 Design, Construct & Certification Construction (Design and Management Regulations Regulations Road Safety Audits 2 9 Defects, hazard notices & Observations resulting from Inspections Management, Inspection and Maintenar Management, Inspection and Maintenar Management, Inspection and Manageme	s Once per year	Operating Company's Offices and Depots	infrastructure including plant and	3	3					
Schemes Design, Construct & Certification Construction (Design and Management Regulations Design, Construct & Certification Road Safety Audits Defects, hazard notices & Design and Certification of Operations and Subservations resulting from Inspections Inspections & Management, Inspection and Maintenar Roads including Landscape Inspections & Management, Inspection and Maintenar Structures Inspections & Management, Inspection and Maintenar Structures Management, Inspection and Maintenar Structures Minter Service – Pre-Winter Winter Service – During Winter Service	Once per year	Environmental Sustainability and Waste		1	3					
Regulations Road Safety Audits Defects, hazard notices & observations resulting from inspections Inspections Inspections & maintenance – Roads including Landscape Inspections & maintenance - Structures Operations; Roads – Winter service Megulations Road Safety Audits Design and Certification of Operations a Works Works Management, Inspection and Maintenar Management, Inspection and Maintenar Structures Management, Inspection and Maintenar Structures Winter Service – Pre-Winter Winter Service – During Winter Winter Service – During Winter	nes Once per year	Procurement and Management of Schemes		8	3					
2 Defects, hazard notices & observations resulting from inspections 2 3 Inspections & maintenance – Roads including Landscape 2 3 Inspections & maintenance - Management, Inspection and Maintenar Structures 2 6 Operations; Roads – Winter service 2 6 Operations; Roads – Winter Service – During Winter Service – During Winter	Twice per year	Construction (Design and Management) Regulations	Design, Construct & Certification	8	2					
observations resulting from inspections Inspections & maintenance – Management, Inspection and Maintenar Roads including Landscape Inspections & maintenance – Management, Inspection and Maintenar Structures Operations; Roads – Winter Winter Service – Pre-Winter service Operations; Roads – Winter Winter Service – During Winter Service	Twice per year	Road Safety Audits								
2 3 Inspections & maintenance – Roads including Landscape 2 3 Inspections & maintenance - Management, Inspection and Maintenance - Structures 2 6 Operations; Roads – Winter Service – Pre-Winter service 2 6 Operations; Roads – Winter Winter Service – During Winter Service	nd Once per year		observations resulting from	2	2					
Structures 2 6 Operations; Roads – Winter service – Pre-Winter service 2 6 Operations; Roads – Winter Winter Service – During Winter service		Management, Inspection and Maintenance	Inspections & maintenance – Roads including Landscape							
service 2 6 Operations; Roads – Winter Service – During Winter service	ce Twice per year	Management, Inspection and Maintenance	Inspections & maintenance - Structures							
service	Once per year		service							
2 7 Operations: Roads Disruption Incident Response	Once per year	-	service							
Risk Management	Twice per year	Incident Response	Risk Management	7	2					
2 3 Inspection & maintenance - Roads Landscape Development Process and Deliverables	Once per year			3	2					

		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.

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

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							
New Roads and Streets Works Act 1991:								
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	Until 6 years after completion of the Scheme							
maintenance Schemes								
Contract Documentation:								
Conditions of Contract	Until 5 years after financial settlement of							
Bills of Quantities	each Contract between the Scottish							
Specifications	Ministers and Works Contractors							
Works activities (Site Records)	Until 5 years after a Works Contract							
(======================================	completion							
Construction Records:								
Contract Administrator's construction	Until 2 years after deletion from inventory							
reports	Until 2 years after deletion from inventory							
Material Test Results	Share after deletion from inventory							
Noise Assessment	Until 10 years after final assessment							
Noise / asessment	Onth To yours 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	Until 10 years after date of report							
by the Operating Company	Chair to yours altor date of report							
General correspondence files	Until 15 years after initiation of file							
Supporting cost measurement documentation	Until 6 years after the end of the Non-							
related to Operations for which Statements	Conformance Liability Period							
have been prepared	Comonnance Liability Fenou							
nave been prepared								

Attachment 4.4 Historical Records Report

В	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)
							_									