

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

Table of Contents

Attachment 4.1 Operating Company Internal Audit Schedule 3
**Attachment 4.2 Schedule of Records to be Transferred by the Operating
Company to a Successor Organisation 5**
Attachment 4.3 Records Retention Periods..... 7
Attachment 4.4 Historical Records Report 9

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

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

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

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.

Scottish Trunk Road Network Management Contract North West Unit

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
 - (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,

Scottish Trunk Road Network Management Contract North West Unit

- (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.

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

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

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

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

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

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)