

**SCOTTISH MINISTERS' REQUIREMENTS****SCHEDULE 5 PART 2****RECORDS, INFORMATION AND COMMUNICATION TECHNOLOGY**

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## **SCOTTISH MINISTERS' REQUIREMENTS**

### **SCHEDULE 5 PART 2**

#### **RECORDS, INFORMATION AND COMMUNICATION TECHNOLOGY**

##### **1. GENERAL**

##### **1.1 Records Register**

- 1.1.1 The Operating Company shall prepare and maintain a detailed Records Register in electronic format identifying all Records retained at the Central Office, the Records Retention Periods and the expiry date of the Records Retention Period for each Record.

##### **1.2 Record Referencing**

- 1.2.1 Not later than 30 days prior to Commencement of Service Date 1, the Operating Company shall submit its proposals for the Records referencing system for the Records contained within the Records Register for the written consent of the Director.
- 1.2.2 The referencing system for the Records shall allow the identification of Records with different Records Retention Periods.

##### **1.3 Management System Requirements**

- 1.3.1 The Operating Company shall include documented procedures to control the processes required by this Part in the Management System.

##### **1.4 Freedom of Information**

- 1.4.1 Not later than 30 days prior to Commencement of Service Date 1, the Operating Company shall submit to the Director for written consent details of its policy and documented procedures to meet the requirements of the Information Acts and the *Scottish Public Sector Procurement and Freedom of Information Guidance* issued in December 2004 by the Scottish Procurement Directorate.

##### **1.5 Storage**

- 1.5.1 From Operations Commencement Date 1 until the Termination Date, the Operating Company shall provide and maintain storage facilities for all Records. Records required in accordance with Annex 5.2/B of this Part shall be stored in electronic format with a minimum resolution of 300 dots per inch for scans, the original software format used to generate the document and or in portable document format (pdf). The Records shall have a defined file structure using the headings given in Annex 5.2/B of this Part. Contemporary Records which do not form part of the Annex 5.2/B requirements shall also be stored in electronic format using the defined file structure, where appropriate. If Contemporary Records do not fit the Annex 5.2/B headings then extra headings shall be added to the file structure by the Operating Company.
- 1.5.2 Not later than 30 days prior to Commencement of Service Date 1, the Operating Company shall submit details of its proposed storage facilities for electronic and hard copy Records for the written consent of the Director. The storage facilities holding electronic and hard copy Records relating to the Unit shall be located at the Central Office.

The storage facilities shall allow ready retrieval of the Records and both the storage facilities and the Records shall be maintained in good condition and without degradation.

- 1.5.3 Where Records are created or maintained on a computer or other electronic storage device, the Operating Company shall provide backup storage for the Records and the Records Register in a secure facility which is separate from the Central Office and which shall be subject to the written consent of the Director.

## **1.6 Records Retention Period**

- 1.6.1 The Operating Company shall retain Records for the Records Retention Period referred to in Annex 5.2/A of this Part.
- 1.6.2 Where the Records Retention Periods for certain Records are not specified in Annex 5.2/A of this Part, the Records Retention Period shall be six years unless instructed otherwise by the Director.

## **1.7 Access and Availability**

- 1.7.1 The Operating Company shall provide an Electronic Copy of the Records Register, or any of the Records, to the Director or the Performance Audit Group within five Working Days of receiving a written request from either the Director or the Performance Audit Group.
- 1.7.2 Contemporary Records shall be provided by the Operating Company in the native electronic file format or an alternative format as agreed with or required by the Director or the Performance Audit Group.

## **1.8 Destruction of Records**

- 1.8.1 At the end of the appropriate Records Retention Period for any particular Record, the Operating Company shall destroy the Record in a manner which ensures it can no longer be read, copied, duplicated or reproduced.
- 1.8.2 When any particular Record has been destroyed in accordance with paragraph 1.8.1 of this Part, the Records Register shall be updated to show details of its destruction. The Director will use the Records Register to check from time to time that Records are being destroyed in accordance with these requirements.

# **2. HISTORICAL RECORDS**

## **2.1 General**

- 2.1.1 During Mobilisation Period 1, the Operating Company shall initiate and, by no later than 90 days after the end of the Mobilisation Period 1, shall obtain a handover of the Historical Records and associated Records Register from the previous operating company. Within 15 Working Days of receiving such Historical Records and the previous operating company's Records Register, the Operating Company shall include all such documents in its Records Register at the Central Office, including the date(s) of delivery to the Central Office.
- 2.1.2 On Commencement of Service Date 1 the Director will provide the Operating Company with Historical Records from FETA. By no later than six months after Commencement of Service Date 1, the Operating Company shall include all such Records in its Records Register at the Central Office.

- 2.1.3 Subject to an Order the Historical Records which are received only in hard copy shall be digitised to comply with the storage requirements of this Contract. The Operating Company shall submit a register of Historical Records which it has digitised and for which it proposes to destroy the hard copies to the Director for consent. Destruction of Historical Records shall be subject to the written consent of the Director.
- 2.1.4 The Operating Company shall check the adequacy of all Historical Records against the details recorded in the Records Register transferred by the previous operating company. Within six months of Commencement of Service Date 1, the Operating Company shall provide a report to the Director in a format that accords with the requirements in Annex 5.2/C of this Part.
- 2.1.5 Within three months of Commencement of Service Date 2, the Operating Company shall populate the Records Register with those Historical Records from FCBC which the Director has issued to the Operating Company. Within six months of Commencement of Service Date 2, the Operating Company shall provide a report to the Director in a format that accords with the requirements in Annex 5.2/C of this Part.

### **3. CONTEMPORARY RECORDS**

#### **3.1 General**

- 3.1.1 During each Annual Period the Operating Company shall receive, register, file, store and maintain all Contemporary Records in the Central Office.
- 3.1.2 Contemporary Records shall include a copy in the original software format used to generate the document and a copy in portable document format (pdf).
- 3.1.3 For Contemporary Records, the Records Register shall be fully searchable, with hyperlinks included to the actual Records.

### **4. SUBMISSION OF RECORDS AND RECORDS REGISTER**

#### **4.1 All Annual Periods**

- 4.1.1 Within five Working Days:
- (i) after the commencement of each Annual Period, and
  - (ii) after the end of the final Annual Period,
- the Operating Company shall provide an Electronic Copy of the Records Register referred to in this Part to the Director.
- 4.1.2 Throughout each Annual Period, the Operating Company shall update the Records Register to reflect changes to the data required to be produced, registered, filed, stored and maintained in the Central Office.

#### **4.2 Penultimate Annual Period**

- 4.2.1 At any time after 31 December in the penultimate Annual Period, the Director may request the Operating Company to provide an Electronic Copy of the Records referred to in Annex 5.2/B of this Part. The Operating Company shall provide these within 25 Working Days of the Director's written request.

### **4.3 Final Annual Period**

- 4.3.1 During the final Annual Period, the Director shall provide the Operating Company with details of the successor organisation. At any time during the final Annual Period the successor organisation will contact the Operating Company to obtain Records. The Operating Company shall provide suitable facilities to enable the successor organisation to carry out its contractual obligations to obtain Records without unreasonable delay. The Operating Company shall hand over the Records Register and all original Records referred to in Annex 5.2/B of this Part to the successor organisation and shall provide any other information required by the Director. The hand over shall be completed to the satisfaction of the Director no later than 10 Working Days prior to the Termination Date.

## **5. INFORMATION AND COMMUNICATION TECHNOLOGY**

### **5.1 General**

- 5.1.1 The Operating Company shall appoint a Business Manager and a Network Manager in accordance with the requirements of Schedule 5 Part 4.

### **5.2 Information and Communication Technology System Plan**

- 5.2.1 Not later than 30 days prior to Commencement of Service Date 1, the Operating Company shall submit its proposed Information and Communication Technology System Plan in writing for the written consent of the Director. If the Director does not give his consent to the proposed Information and Communication Technology System Plan, the Operating Company shall revise it and re-submit it in writing to the Director within 10 Working Days of consent being withheld.
- 5.2.2 Not later than 30 days prior to Commencement of Service Date 2, the Operating Company shall update its Information and Communication Technology System Plan to take account of any changes required by, and following, the transition from Network 1 to Network 2 and submit such updates for the written consent of the Director. If the Director does not give his consent to the proposed updates the Operating Company shall revise them and re-submit them in writing to the Director within 10 Working Days of consent being withheld.
- 5.2.3 The Operating Company's Information and Communication Technology System Plan shall contain details of the systems and documented procedures and protocols which the Operating Company shall implement to comply with the requirements of this Contract. The Information and Communication Technology System Plan shall identify, as a minimum:
- (i) all electronic hardware and software used to produce Records,
  - (ii) the backup procedures (including disaster recovery and business continuity) in accordance with the requirements of this Part to ensure availability of systems and equipment and to prevent loss of Records,
  - (iii) data formats and protocols used to communicate information, and
  - (iv) the contingency and backup plan to deal with any failure of any communications system.
- 5.2.4 The Information and Communication Technology System Plan shall be continuously maintained and updated until the Termination Date by the Operating Company.

### 5.3 Notification of Leavers

- 5.3.1 The Operating Company shall notify the Director and the Performance Audit Group immediately when individuals, who have been granted access to information and communication technology systems managed by the Director or the Performance Audit Group, leave the Operating Company. The Director and the Performance Audit Group will use this information to disable access permissions to Transport Scotland's information and communication technology systems.

### 5.4 Computer Systems

- 5.4.1 The Operating Company shall keep its computer systems under continuous review from Operations Commencement Date 1 until the Service End Date and shall pursue further development and upgrading to ensure that it is able to provide the required services without degradation.
- 5.4.2 Transport Scotland currently uses the software shown in Table 5.4.2.A and the Operating Company's software shall be capable of producing output which is fully compatible with this.

**Table 5.4.2.A**

Requirement	Software Utilised
Operating Systems - Servers	Microsoft Windows
Operating Systems – Desktops & Laptops	Microsoft Windows
Email	Microsoft Outlook
Word processing	Microsoft Word
Spreadsheets	Microsoft Excel
Computer Aided Design	AutoCAD and AutoCAD LT
Project Management	Microsoft Project

- 5.4.3 The Operating Company shall prepare, implement and continuously update a contingency and backup plan to deal with any failure of any computer system, regardless of cause.

### 5.5 Communication Systems

- 5.5.1 The Operating Company's communication systems shall ensure that communications links between the various parts of the Operating Company within the Unit are maintained throughout the Contract Period.
- 5.5.2 The communication systems shall provide communications with and between the:
- (i) Central Office, sub-offices and depots,
  - (ii) Core Management Team,
  - (iii) Key Staff,
  - (iv) Operating Company's vehicles, including direct contact with the personnel in charge of the vehicle and between:
    - (a) all vehicles involved with establishment and maintenance of traffic management,

- (b) the Winter Service Manager's vehicle, the Winter Service Duty Officers' vehicles and all Winter Service Plant,
- (c) vehicle recovery vehicles, Incident Support Unit vehicles and the Trunk Road Incident Support Service vehicles,
- (d) vehicles of supervisory and inspection personnel including those staff nominated to supervise Operations and Works Contracts, and
- (e) other key personnel involved in the Operations including all persons nominated to be on call for emergency call out.

5.5.3 The Operating Company shall prepare, implement and continuously update a contingency and backup plan to deal with any failure of any communications system, regardless of cause. The contingency and backup plan shall include:

- (i) details of all communication systems, and
- (ii) the temporary communication system to be used in the event of failure of any particular communications system.

The detailed contingency and backup plan shall be included in the Operating Company's Information and Communication Technology System Plan.

5.5.4 Irrespective of the use of a temporary communications system, where any communication system or any part of it is inoperative for any reason, the Operating Company shall take all measures satisfactory to the Director to effect a repair or a replacement within 24 hours of the failure.



This is Annex 5.2/A to Schedule 5 Part 2 referred to in the foregoing Agreement between Scottish Ministers and Amey LG Limited.

**SCOTTISH MINISTERS' REQUIREMENTS**

**SCHEDULE 5 PART 2**

**RECORDS, INFORMATION AND COMMUNICATION TECHNOLOGY**

**ANNEX 5.2/A – Records Retention Periods**



**SCOTTISH MINISTERS' REQUIREMENTS****SCHEDULE 5 PART 2****RECORDS, INFORMATION AND COMMUNICATION TECHNOLOGY****ANNEX 5.2/A – Records Retention Periods**

<b>Record</b>	<b>Records Retention Period</b>
Land Ownership <ul style="list-style-type: none"> <li>- Interfaces</li> <li>- Boundaries</li> </ul>	In perpetuity In perpetuity
Drainage Outfalls	In perpetuity
Files and other records required by the CDM Regulations	In perpetuity
As Built Drawings: <ul style="list-style-type: none"> <li>- Roads</li> <li>- Structures (including bar bending schedules)</li> <li>- Electrical</li> <li>- Landscaping Maintenance Manuals</li> </ul>	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
Any models provided by the Director or used for Operations on the Principal Crossings	Until 2 years after deletion from inventory of designed item
Inspection Records <ul style="list-style-type: none"> <li>- Road Maintenance and Management System Safety Inspection</li> <li>- Road Maintenance and Management System Safety Patrols</li> <li>- Road Maintenance and Management System Detailed Inspections</li> <li>- Structures <ul style="list-style-type: none"> <li>- General</li> <li>- Principal</li> <li>- Special</li> <li>- Electrical</li> </ul> </li> </ul>	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

<b>Record</b>	<b>Records Retention Period</b>
Investigations	Until 10 years after date of investigation unless involving a Structure in which case until 2 years after Structure demolished.
Surveys <ul style="list-style-type: none"> <li>- Ground</li> <li>- Topographical</li> <li>- Environmental</li> <li>- Traffic</li> <li>- CCTV</li> </ul>	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
Statutory Orders <ul style="list-style-type: none"> <li>- Speed Limits</li> <li>- Waiting</li> <li>- Clearway</li> <li>- Traffic Regulations</li> <li>- Compulsory Purchase</li> <li>- Any other Traffic</li> </ul>	Until 10 years after Statutory Order rescinded Until 10 years after Statutory Order rescinded Until 10 years after Statutory Order rescinded Until 10 years after Statutory Order rescinded Until 10 years after Statutory Order rescinded 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 <ul style="list-style-type: none"> <li>- Designation</li> <li>- Apparatus</li> <li>- Notices</li> </ul>	Until 10 years after date of Notice Until 10 years after date of Notice 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 <ul style="list-style-type: none"> <li>- Conditions of Contract</li> <li>- Bills of Quantities</li> <li>- Specifications</li> </ul>	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 <ul style="list-style-type: none"> <li>- Engineer's construction reports</li> <li>- Material Test Results</li> </ul>	Until 2 years after deletion from inventory Until 2 years after deletion from inventory
Noise Assessment	Until 10 years after final assessment

<b>Record</b>	<b>Records Retention Period</b>
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



This is Annex 5.2/B to Schedule 5 Part 2 referred to in the foregoing Agreement between Scottish Ministers and Amey LG Limited.

## **SCOTTISH MINISTERS' REQUIREMENTS**

### **SCHEDULE 5 PART 2**

#### **RECORDS, INFORMATION AND COMMUNICATION TECHNOLOGY**

#### **ANNEX 5.2/B – Schedule of Records to be Transferred by the Operating Company to a Successor Organisation**





## **SCOTTISH MINISTERS' REQUIREMENTS**

### **SCHEDULE 5 PART 2**

#### **RECORDS, INFORMATION AND COMMUNICATION TECHNOLOGY**

##### **ANNEX 5.2/B – 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) Any models provided by the Director or used for Operations on the Principal Crossings,
- (v) all as-built Records including details of drainage outfalls and road inventories,
- (vi) maintenance manuals including all policy standards but not commercial in confidence procedure or process manuals,
- (vii) inspection Records and Certificates for routine maintenance and management function of the Integrated Roads Information System, Structures, electrical,
- (viii) street lighting maintenance Records,
- (ix) roads, Structures and ancillary infrastructure inventory,
- (x) deflectograph, sideways coefficient routine investigation machine and high-speed road monitor reports and analyses,
- (xi) surveys (ground investigation, topographical, environmental, traffic, closed circuit television,
- (xii) traffic regulation orders, compulsory purchase orders and other statutory orders,
- (xiii) plans,
- (xiv) Drawings,
- (xv) development control Records and files,
- (xvi) registers and records relating to third party claims and Damage to Crown Property,
- (xvii) land ownership details,
- (xviii) 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.
- (xix) accident Records and reports,
- (xx) *New Roads and Street Works Act 1991* data, including as a minimum:
  - (a) the register of investigations and inspections in relation to NRSWA obligations, and
  - (b) the register of apparatus installed following the grant of permission in writing pursuant to Section 109 of New Roads and Street Works Act.
- (xxi) road safety audits,
- (xxii) files and other records required by the CDM Regulations,
- (xxiii) abnormal load movements,
- (xxiv) final Statements of Intent for structural maintenance Schemes,
- (xxv) contract documentation used in connection with Operations within the Unit,
- (xxvi) Works (Site) activity Records,
- (xxvii) construction Records including as a minimum to:
  - (a) Engineers' reports,
  - (b) Records relating to Construction Products Regulations, and
  - (c) materials test results.
- (xxviii) noise assessments Records,
- (xxix) investigation Records including as a minimum skid resistance investigations,
- (xxx) Winter Service policy, strategy and Records,
- (xxxi) Incident Response policy, strategy, Records,
- (xxxii) Multi Agency Response Team information folder,
- (xxxiii) Carbon Management System Records,
- (xxxiv) reports on monthly operations undertaken by the Operating Company,
- (xxxv) 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),
- (xxxvi) register and Records of tourist, truckstop and special events signing,
- (xxxvii) Reports on the Structural Health Monitoring System, Supervisory Control and Data Acquisition system and other systems on the Principal Crossings,
- (xxxviii) registers and Records in relation to delegated Statutory Functions,
- (xxxix) inventory of all Scottish Minister's property in the possession of the Operating Company,
- (xl) photographs; historical and contemporary, recording progress of works and Defects or taken for consultation or communication purposes,
- (xli) 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 or sub-contractor, and

- (xlii) any other Records identified by the Director and advised to the Operating Company in writing during the Contract Period.



This is Annex 5.2/C to Schedule 5 Part 2 referred to in the foregoing Agreement between Scottish Ministers and Amey LG Limited.

**SCOTTISH MINISTERS' REQUIREMENTS**

**SCHEDULE 5 PART 2**

**RECORDS, INFORMATION AND COMMUNICATION TECHNOLOGY**

**ANNEX 5.2/C – Historical Records Report**



SCOTTISH MINISTERS' REQUIREMENTS

SCHEDULE 5 PART 2

RECORDS, INFORMATION AND COMMUNICATION TECHNOLOGY

ANNEX 5.2/C – 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)
1	Plans	Annex 5.2/B Item (xi)	OC (Insert Name)	M8	Tender Documents	Report	2002	10 years	TS	200	Lever Arch file - Hard Copy	A4	B&W	Y	300 DPI *
2	Drawings	Annex 5.2/B Item (xii)	Glasgow Council	ALL	Scheme Management	Drawings	1957	In Perpetuity	TS	1	Plastic Pocket - Hard Copy	A1	Colour	Y	300 DPI *
3	Winter Service	Annex 5.2/B Item (xxvii)	OC (Insert Name)	ALL	Winter Service Plan	Report	2010	10 years	TS	400	Electronic PDF	A4	B&W	Y	300 DPI *

\* Sample data.

