



mainroads
WESTERN AUSTRALIA

Record Keeping Code of Practice For the management of contract records

February 2019

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Document Control

Owner	Information Manager
Custodian	Program Management Office
Document Number	D10#133812
Issue Date	August 2016
Review Frequency	Annual

Amendments

Revision Number	Revision Date	Description of Key Changes	Section / Page No.
3	Feb 2019	Full content review	All
2	Aug 2016	Full content review	All
1	Mar 2016	Update document to new Corporate Branding	All
0	Jun 2010	Initial issue	

1 INTRODUCTION

1.1 Background

The State Records Act 2000 is 'An Act to provide for the keeping of State Records and for related purposes'.

Clause 33 (3) *Contracting-out of record keeping not prevented* of the State Records Act 2000 requires that 'any State Record subject to the contract or arrangement -

- a) Remains under the control of the organisation and control of it is not to be taken as having been transferred to the person; and
- b) Remains subject to this Act and the organisation's RecordKeeping Plan.

Main Roads Western Australia (Main Roads) will ensure that Contractors create Record(s) to meet the organisation's accountability requirements, in relation to the functions performed or services provided for Main Roads. The Contractor will maintain those Record(s) according to standards acceptable to Main Roads, for as long as the Record(s) are required and either return them to Main Roads when the contract expires or on request by Main Roads, whichever is the earlier.

Contracts awarded by Main Roads will include requirements for Contractors to develop a Contract RecordKeeping Plan for the contract.

1.2 Purpose of this code of practice

This *Record Keeping Code of Practice for the Management of Contract Records** is intended as a benchmark for use by Main Roads' officer/s administering a contract on behalf of the Principal, e.g. Superintendent, Main Roads' Representative, Project Manager, Contract Manager etc. (hereinafter referred to as the Superintendent) to audit the Contractors' record keeping practices and to ensure that Main Roads complies with legislative requirements for managing Records produced by Contractors in accordance with the State Records Commission Standard 6 – Outsourcing.

This Document is intended as a guide to meeting the minimum compliance requirements documented within State Records Commission Standard 6 by Contractors and Superintendents.

1.3 Underlying principles of the code of practice

The underlying principles of this Code of Practice are to ensure that:

- Specified Records required when contracting are identified and agreed by Main Roads and the Contractor;
- ownership of the Specified Records is clearly stated and understood by the Contractor;
- the Contractor complies with the record keeping controls determined by Main Roads;
- the Specified Records are retained in accordance with the Retention and Disposal Schedule of Main Roads, the General Disposal Authority for State Government Information and the General Disposal Authority for Source Records;
- access to and security of the Specified Records by Main Roads' Superintendents or their delegated representatives is agreed, and access by the public to Records is managed by Main Roads;
- custodial arrangements for the Specified Records are well-established and understood by the Contractor; and
- Specified Records are returned to Main Roads by the Contractor as agreed during the course of a contract, at the conclusion of the defects correction/ liability period or on Practical Completion of the contract.

1.4 Responsibilities for record keeping

Position	Responsibility	Frequency
Contractor	<p>Develop a Contract RecordKeeping Plan and submit to the Superintendent for the contract within 28 days of contract award and maintain Specified Records relating to the work – see Appendix A.</p> <p>The Contractor will promptly provide the Superintendent, upon request, any documentation, Record(s) or assistance during the surveillance or audit activity. The Contract RecordKeeping Plan should specify a Records Controller and detail his/her responsibilities. This person will be the authorised contact for communications with the Superintendent on record keeping matters.</p>	Ongoing
Superintendent	<p>Approval of the Contractor's RecordKeeping Plan to ensure that it meets both Main Roads' and legal requirements.</p> <p>The Superintendent will forward a copy of their Recordkeeping Plan assessment (Appendix C) to Information Services for compliance reporting to parliament documented in Main Roads Annual Report.</p> <p>The Superintendent reserves the right to conduct surveillance and third party audits on the Contractor's and any subcontractor's compliance with this Code of Practice.</p>	Ongoing for compliance with the State Records Act 2000 and as part of other Main Roads checks and quality control.
Main Roads IMB: Information Services Section	Provide advice and guidance prior to sign-off of the Contractor's Recordkeeping Plan, the Recordkeeping Plan Assessment (Appendix C), surveillance and third party audits at the request of the Superintendent.	Prior to Contract commencement and then Ongoing
Main Roads Auditor	Audit conformance with this RecordKeeping Code of Practice.	Annual in consultation with IMB: Information Services

1.5 Definitions

Term	Definition
Contractor	The entity, person or persons with whom Main Roads has entered into a contract or arrangement whereby the entity, person or persons are to perform any function on behalf of Main Roads.
Custody	Responsibility for the care of State Records in any format. Custody does not include legal ownership, or the right to control access to the Record(s).
Document	Information or an object which can be treated as a unit.
Government Record(s)	Evidence of business activity captured, created or received by a Main Roads employee or Contractor in the course of the work performed on behalf of Main Roads

Term	Definition
Code of Practice	A statement of guidance and advice on minimum compliance requirements to achieve legislated standards required to be met by Main Roads.
Outsourcing	The transfer of responsibility for a service or function conducted by Main Roads to an external service provider, either in whole or part.
Practical Completion	The stage reached when a contract has been essentially completed and is fit for its intended purpose, except for minor omissions and defects that do not prevent its use.
Record(s)	Any Record(s) of information however recorded and includes – <ul style="list-style-type: none"> (a) anything on which there is writing or braille; (b) a map, plan, diagram or graph; (c) a drawing, pictorial or graphic work, or photograph; (d) anything on which there are figures, marks, perforations, or symbols, having a meaning for persons qualified to interpret them; (e) anything from which images, sounds or writings can be reproduced with or without the aid of anything else; and (f) anything on which information has been stored or recorded, either mechanically, magnetically, or electronically.
Specified Records	Record(s) deemed to be essential for the operation, use and maintenance of the works and/or services, and for the ongoing management of the asset after completion of the work. Examples of Specified Records are contained in Appendix A to this Document.
Vital Records	Contain information critical to the continued operation or survival of an organisation during or immediately following a crisis to ensure business continuity. Vital Records are necessary to recreate an organisation's legal and financial status and to preserve the rights and obligations of clients, stakeholders and employees.

2 CONTRACT RECORDKEEPING PLAN

2.1 Requirements

The Contractor is required to prepare a Contract RecordKeeping Plan for each contract awarded by Main Roads except those contracts covered under a Common Use Arrangement whereby the General Conditions of Contract will apply. The Plan may be included in the Contractor's Quality Plan or Quality System Procedures, or be created or incorporated into a separate Document such as a Project Plan.

The objective of the Contract RecordKeeping Plan will be the creation and management of authentic, reliable and useable Record(s), capable of supporting the contractual activities for as long as the Specified Records are required by Main Roads.

The Contract RecordKeeping Plan will detail the role of the Contractor's records management representative with respect to the Contract and how it is intended to meet Main Roads recordkeeping requirements including delegation of the Contractor's management responsibilities, authorities and communication requirements for any subcontracted work under a Main Roads Contract. All of the Contractor's personnel working on the project will be informed of Main Roads requirements detailed in the Contract RecordKeeping Plan as part of the Contractor's induction process.

The Contract Record Keeping Plan will be submitted to the Superintendent within twenty-eight days of award of the contract or within ten days of possession of site being given, whichever is the earlier. Any amendments to the approved Contract RecordKeeping Plan will be submitted to the Superintendent and will not be implemented until the amendments have been considered (see below) and then approved by the Superintendent.

The Superintendent will forward a copy of their Contract Recordkeeping Plan assessment (Appendix C) to enable feedback from the IMB Information Services Section prior to sign-off for approval and to ensure parliamentary reporting in Main Roads Annual Report as per Principles 1 - 7 of State Records Commission Standard 2.

2.2 Approval and audits

Main Roads will, as it considers necessary, conduct compliance audits of the Contractor's Record Keeping Plan at intervals, to confirm that appropriate Record(s) are being maintained and that the Contractor's record keeping is effective in meeting Main Roads' record keeping objectives and legislative obligations.

If a non-conformance is identified, the Contractor will submit a proposed corrective action to rectify the non-conformance, for the Superintendent's approval.

2.3 Scope

The scope of the Contractor's RecordKeeping Plan will include, as a minimum, a description of the methods used for:

- Adequately documenting the activities required under contract;
- The systematic control of the creation, registration, capture, maintenance, storage, retrieval and disposal of the Specified Records;
- Transferring the Specified Records to the Superintendent in the format (hardcopy and/or electronic) specified by Main Roads; and
- Planning for disaster management (see Appendix B for further information).

The Contractor will establish recordkeeping practices to ensure that the Specified Records are:

- Sufficiently comprehensive to demonstrate compliance with Contract specifications, which includes Subcontractor and supplier Record(s) where relevant;
- Accurate, legible and complete;
- Kept in order, particularly in the case of multi-page, multi-format Record(s);
- Filed electronically or stored physically in such a way that individual Record(s) can be readily retrieved;
- Filed promptly after the Record(s) are generated or received;
- Securely maintained to prevent unauthorised access, alteration, removal, deterioration, damage or loss;
- Tracked where authorised access, removal or transfer of Record(s) is permitted; and
- Tagged or entered onto a register or through software to show which Record(s) are exported or handed over to the Superintendent or sent to other parties, including the date and method of transfer or handover.

2.4 Form of records

The Contractor will keep the Specified Records in electronic and/or paper form as provided in the Contract and approved by the Superintendent.

With the approval of the Superintendent, the Specified Records may be provided in electronic form if it can be demonstrated that:

- (a) They have been properly captured into an electronic record keeping system and remain accessible, authentic, reliable and useable through any kind of system change during the period of the Contract and for the prescribed retention periods; and
- (b) The Record(s) can be migrated or exported to Main Roads' Electronic Records and Document Management System.

If Specified Records, held in electronic format, are transferred to other hardware and/or software platforms, it is essential that the format chosen will preserve the integrity of the electronic Record(s). As indicated above, the format cannot be altered without the approval of the Superintendent.

The Contractor will have a security procedure in place that restricts and controls access and changes to all electronic Record(s).

- Where the Specified Records are held in an electronic form that is not compatible with Main Roads' technological environment, the Contractor and the Superintendent will liaise with IMB:Information Services and agree to a format that will ensure the Specified Records are accessible and available during the course of the contract and retained for as long as needed and defined in the Main Roads Retention and Disposal Schedule, the General Disposal Authority for State Government Information and the General Disposal Authority for Source Records.

Note: The use of network drives and mobile storage devices to store records is *not supported* as this impedes access to and sharing of electronic information required for decision making in the conduct of business.

2.5 Evidence of compliance

The Principal deems evidence of compliance by the Contractor for this Section of the Code of Practice as:

- A Contract RecordKeeping Plan that defines the record keeping objectives of the Contractor in terms of how Main Roads recordkeeping requirements will be met concerning planning, ownership, control, disposal, access, custody and on contract completion and is relevant to the works required under the Contract.
- Procedures addressing the systematic control of the creation, registration, indexing, filing, maintenance, storage, movement, retrieval and legal disposal of Specified Records.
- A training and/or induction program in record keeping that addresses Main Roads recordkeeping requirements and the roles and responsibilities of all personnel involved that create, capture, maintain and use the Specified Records.

3 OWNERSHIP OF RECORDS

3.1 Definition

Ownership means the legal, physical and intellectual property rights over Government Records. The Record(s) may not always be in the custody of Main Roads, but they remain the property of the State at all times.

3.2 Procedure

The Contractor will ensure that there is clear documentation, where Specified Records are deemed to be the property of the Principal, i.e. a register describing:

- The Record(s) held by the Contractor for the purpose of carrying out contractual activities;
- The Record(s) transferred to the Superintendent;
- The process by which the Record(s) are transferred; and
- The dates and responsible person/s involved in the transfer.

3.3 Evidence of compliance

The Principal deems evidence of compliance by the Contractor for this Section of the Code of Practice as:

- A checklist identifying the Specified Records that remain the property of the Contractor both during and at completion of the Contract. All other records are owned by the State.
- An agreement specifying the ownership and use of intellectual property.
- An agreed intellectual property policy.

4 CONTROL OF RECORDS

4.1 Procedure

The control of Record(s) will be in accordance with the requirements of the Contract and this Code of Practice to ensure agreed compliance with Main Roads recordkeeping standards, policies, procedures and guidelines.

The Contractor will ensure that the Specified Records are controlled effectively by:

- Uniquely identifying each Record(s);
- Filing paper Record(s) in reverse chronological order;
- Registering incoming and outgoing mail in relation to the Contract;
- Maintaining an index of the Specified Records;
- Keeping track of the location of the Specified Records;
- Establishing a standard naming convention for records held regardless of format to facilitate retrieval at any stage; and
- Ensuring the Record(s) are stored and maintained as required by the Principal (see 8.2).

4.2 Records System and indexing

The Contractor will maintain either a computerised or manual system of indexing records. The Record(s) system index is used to:

- Register Record(s) at the time they are received or created;
- Show the location where paper or electronic Record(s) are stored;
- Provide effective and timely access and retrieval of offline and online records; and
- Sharing and tracking of Record(s) during the term of the contract.

Hardcopy/database registration details of the Specified Records shall include the following index terms or details approved by the Superintendent as relevant to the types of Record(s) used:

- Project code/number;
- Unique Identifier
- Author;
- Addressee;
- Record title or description;
- Type of Record(s), e.g. report, letter;
- Format of Record(s),
- Date registered;
- Date created;
- Storage location; and
- Current status, e.g. draft, version and/or revision number, final, handed over to the Principal.

It may be appropriate for the Contractor to have a separate Record(s) index/database of all Record(s) held in offsite storage.

The Superintendent may request copies of any Specified Records from the Contractor at any time during the course of the contract. The Contractor will provide to the Superintendent, an index of all Specified Records as agreed, at the conclusion of the defects correction/ liability period or on Practical Completion of the contract.

4.3 Procedure for tracking records

All movements or sharing of Specified Records will be tracked to ensure that they can be readily located as needed. Tracking the movement and use of Record(s) is required to:

- Identify outstanding actions required;
- Enable retrieval of Record(s) regardless of their format, location, status and use; and
- Prevent loss of Record(s).

The procedure for tracking will include, as a minimum:

- Entering the borrower's name and location and identifying the loan period;
- Noting when a Record(s) is temporarily or permanently transferred from the normal filing area or Records storage system to either off-site storage or to the Superintendent; and
- Conducting regular checks to confirm location or access.

4.4 Evidence of compliance

The Principal deems evidence of compliance by the Contractor for this Section of the Code of Practice as:

- A manual or computerized Records system compliant with ISO 16175 Part 3 has been agreed.
- A filing plan or Record(s) index has been developed and agreed for use.
- A document titling convention has been developed and agreed for use.
- A Record(s) tracking, sharing, security and/or workflow system has been defined.
- Procedures for Document control have been established and agreed.

5 RETENTION & DISPOSAL OF RECORDS

5.1 Retention of records

All original Record(s) specified in the contract will be transferred to Main Roads. *Any copies taken by the Contractor must be disposed of in accordance with Western Australian legislation, Main Roads' Retention and Disposal Schedule, the General Disposal Authority for State Government Information and the General Disposal Authority for Source Records.* A copy of these will be provided to the Contractor by Main Roads upon request.

5.2 Disposal process

The Contractor's RecordKeeping Plan shall specify audit trails or other methods to track Specified Records provided by the Contractor to Main Roads.

Paper records provided by the Contractor to Main Roads requiring offsite storage will be listed, boxed and transferred in accordance with Main Roads records procedures.

Specified Records detailed in the Contract Recordkeeping Plan for the contract are owned by the State and cannot be retained on contract completion by the Contractor.

All contract records under consideration for disposal **must** be referred to the IMB: Information Services Section prior to any action being taken.

5.3 Evidence of compliance

The Principal deems evidence of compliance by the Contractor for this Section of the Code of Practice as:

- Access, migration, export, transfer and/or handover of Specified Records by the Contractor to Main Roads during the course of the contract.
- Listing, boxing and transfer of paper-based Specified Records requiring offsite storage in accordance with Main Roads retention and disposal procedures prior to contract completion.
- Agreed referral of contract records for disposal to IMB: Information Services Section.

Disposal of copies retained by the Contractor on contract completion and the provision of a Destruction Certificate to IMB: Information Services Section.

6 ACCESS TO RECORDS

6.1 Access under contract terms and conditions

The Superintendent is entitled to have unlimited access to any Specified Records on request, as specified in the Contract. Progressive handover of Specified Records will minimise the number of requests by the Superintendent to view the Specified Records and will also minimise loss in the event of a disaster.

The Examples of Specified Records in Appendix A can be used as a guide for the handover of Record(s). It is not a complete list of all possible Specified Records.

Access by the public to the Specified Records is through a Freedom of Information request via Main Roads unless otherwise indicated in Main Roads' Information Statement. Refer to Section 6.4 of this Document. Access to Specified Records containing information of a private, personal and/or confidential nature is governed by the Commonwealth Privacy Act.

Some Specified Records may have restricted access due to the sensitivity of their contents.

6.2 Requirements

The Record(s) system and Contract RecordKeeping Plan shall provide for timely and efficient access to, and retrieval of, the Specified Records needed in the continuous conduct of the work, and to satisfy related accountability and contractual requirements.

The Record(s) system and Contract RecordKeeping Plan will include and apply appropriate security and controls on access, to ensure that the integrity of the Specified Records is not compromised. The system and practices shall provide and maintain audit trails or other methods to demonstrate that the Specified Records are effectively protected from unauthorised access, use, alteration or destruction.

For Specified Records held in electronic format, any system malfunction, upgrade or regular maintenance must not affect the integrity, usability or accessibility of the Specified Records.

6.3 Procedure

Managing the access process by the Contractor involves ensuring that:

- Specified Records are categorised according to their access status at a particular time e.g. restricted or unrestricted;
- Specified Records are released and accessible only to personnel who are authorised to see and use them;
- The designated owner of the specified record, or his/her delegate, has the authority to determine the access status and security of the Specified Records;
- Administration of recordkeeping systems and processes assigning access rights are undertaken only by personnel authorised to perform them;
- User permissions are monitored and mapped continuously, in consideration of changing business and legal requirements; and
- User permission will be available to the Superintendent on request.

6.4 Access under Freedom of Information (FOI)

The Western Australian Freedom of Information Act 1992 makes provision for organisations to assist the public to obtain access to all Government Documents promptly and at the lowest reasonable cost. Personal information contained in Documents must be accurate, complete, up-to-date and not misleading.

The Contractor is required to comply with the provisions of the FOI Act (via Main Roads) under the Conditions of Contract, in relation to the Specified Records.

6.5 Evidence of compliance

The Principal deems evidence of compliance by the Contractor for this Section of the Code of Practice as:

- An appropriate procedure clearly describing the access conditions for the Specified Records.
- An appropriate security policy and system security regime for the Specified Records held in electronic format.
- Agreed email usage policy and procedures.

7 CUSTODY OF RECORDS

7.1 Storage requirements

Contractors are required to store and maintain the Specified Records or copies thereof such that they are readily retrievable, in systems and/or facilities that provide a suitable environment to minimise deterioration or damage and prevent loss. Paper and digital records storage facilities must be located in areas that minimise the risk of flooding or theft and support a clean dry environment, free of excessive dust and pests with appropriate fire prevention devices.

Contractors will store the Specified Records on media that ensure their useability, reliability, authenticity and preservation in accordance with the Contract. Contractors will ensure that fire prevention and protection, as well as security and safety systems operate in areas where the Specified Records are stored.

7.2 Protection of records

Protection of the Specified Records can be achieved by ensuring that:

- storage areas are fitted with smoke alarms and appropriate fire extinguishers or another fire suppressant system;
- staff are trained to use the fire extinguishers and these are inspected at quarterly intervals;
- no food or drink is consumed in the storage area;
- storage areas are fumigated regularly and inspected against insects and vermin; and
- Specified Records stored in electronic format or systems are backed up regularly to maintain business continuity.

7.3 Disaster management

Contractors shall consider, when setting up an office, how to minimise the risks to the Specified Records in the event of disasters such as theft, flooding, fire, electrical failure etc. The Contract Record Keeping Plan will address disaster preparedness to ensure that risks are identified and mitigated. The Contractor will be able to demonstrate that the integrity of the Specified Records can be maintained during and after recovery from disaster.

Appendix B includes an excerpt from AS 4390 Records Management Part 6 - Storage, that lists the key components of a Disaster Response and Management Plan.

7.4 Evidence of compliance

The Principal deems evidence of compliance by the Contractor for this Section of the Code of Practice as:

- A business continuity plan to ensure continuing operations under the Contract.
- A disaster response and management plan that covers recovery of the Specified Records.
- An appropriate storage policy for the Specified Records, held in paper and/or electronic format.
- A register of storage locations and arrangements for Specified Records held for each storage location or database.

8 CONTRACT COMPLETION

8.1 Delivery

The Contractor is required to deliver the Specified Records to the Superintendent progressively during the course of the Contract, at the time/s identified in the Contract or as agreed with the Superintendent.

In the event that the Superintendent becomes entitled to elect to exercise the power conferred on him by the Conditions of Contract to terminate the Contract for reasons of Contractor default, insolvency, company wind-up or other reasons, the Contractor will hand over the Specified Records to the Superintendent within the time specified by the Superintendent.

8.2 Procedure

The Contractor will be required to:

- deliver the Specified Records to the Superintendent at the times agreed;
- provide an index of Specified Records with each box, container or database of Specified Records handed over to the Superintendent;
- provide the Record(s) in the format as specified in Item 4.1; and
- migrate or transfer any Specified Records held in electronic format to the Superintendent with adequate metadata for import to Main Roads Electronic Records and Document Management System.

Main Roads requires that boxes used for the transfer of paper Record(s) to offsite storage and handover to Main Roads are of a standard size and quality as specified in the Department of Treasury and Finance Common Use Arrangement Contract CUARE2016 for Storage, Retrieval and Destruction Services for Paper and Electronic Records. Main Roads can provide details of suppliers of suitable boxes. For safety reasons, Main Roads requires that the boxes weigh no more than 12 kg each.

8.3 Evidence of compliance

The Principal deems evidence of compliance by the Contractor for this Section of the Code of Practice as:

- An appropriate index of the Specified Records, including date of transfer, migration, export or handover to the Superintendent together with adequate metadata for import to Main Roads Electronic Records and Document Management System.
- Provision of a schedule of handover dates and responsible person/s to IMB: Information Services.

9 REFERENCES AND RELATED DOCUMENTS

Document Number / Description
Main Roads Western Australia. Freedom of Information. Information Statement
Main Roads Western Australia. Retention and Disposal Schedule – DA 2014-016
General Disposal Authority for State Government Information – RD2013-017
General Disposal Authority for Source Records – RD2016-002
ISO9001:2015 Quality Management Systems – Requirements.
International Standard. ISO 15489:2016 Information and documentation – Records Management
International Standard. ISO 16175:2015 Information and Documentation – Principles and functional requirements for records in electronic office environments
International Standard. ISO 13008:2015 Information and documentation – Digital records conversion and migration process
Western Australia. Laws, Statutes. State Records Act 2000.
Western Australia. Laws, Statutes. Freedom of Information Act 1992
State Records Commission of Western Australia. State Records Principles and Standards. SRC Standard 6 : Outsourcing

10 APPENDICES

Appendix	Title
Appendix A	Examples of Specified Records
Appendix B	Contents of a Model Disaster Response Plan
Appendix C	Checklist for Auditing Record Keeping Compliance in Outsourced Contracts

Appendix A: Examples of Specified Records

The following list is intended as a guide only, to show examples of typical Specified Records. Main Roads' tender documents for each contract being awarded will include a complete list of applicable Specified Records that must be retained.

- Agreements (e.g. legal, deed(s), hire, service etc.)
- Application for delay
- Assessments
- Assets (e.g. inventory, inspection, condition, locations etc.)
- Assignment
- Calculations
- Certificates (e.g. currency, completion), cover notes, bonds, bank guarantees, covenants, security
- Certification (e.g. plant)
- Clearances, approvals (e.g. disposal of soils)
- Commissioning Record(s)
- Computer tapes / discs
- Condition profiles
- Conformance, compliance
- Non-conformance, non-compliance
- Correspondence (e.g. facsimiles, email, letters)
- Customs and excise documentation
- Data (e.g. traffic flow, traffic counts, Contractor performance, historical, public utilities, installation and maintenance, cost recovery, capital works, infrastructure etc.)
- Design and Construction Documents
- Directions, instructions
- Dispute documentation
- Drawings (as built, as constructed)
- Faults, defects, damage reporting
- Field information (e.g. controller, pit)
- Financial (e.g. invoices, receipts, purchase orders, tax, cost benefit, cost targets, cash flow, statements, balance sheets, profit / loss, earned value reports etc.)
- Form of tender, general condition of contracts and tendering, special conditions, price schedule, specification (including any schedule), the drawings, notice of acceptance (for goods and services contracts)
- Forms (e.g. Aboriginal sites, declared rare flora and fauna sites, Dieback control etc.)
- Information management systems
- Infrastructure (e.g. modifications, upgrades etc.)
- Inspection (e.g. construction)
- Insurance (policies, public liability, product liability, workers compensation, risk management, professional indemnity etc.)
- Investigation (e.g. structural treatments, seal)
- Judgement, arbitral award, order, mediation, adjudication etc.
- KPI (Key Performance Indicators) measurement
- Licenses
- Maintenance – operational (e.g. plant, detection loops etc.) – road (e.g. condition, repair etc.)

- Management Plans (e.g. Quality, traffic, safety and health, environmental etc.)
- Manuals
- Meetings (weekly, monthly, progress, site, agenda, minutes)
- Microfilm
- Notices / Notifications (e.g. termination, defaulting, rectifying, financial difficulties, insurance claim, acceptance, rejection, removal or rectification, delay, deficient goods, termination, assent to sub contract)
- Occupational Safety and Health (audit, incident reporting, work injury etc.)
- Patents
- Performance guarantees
- Personnel - appointment(s), termination, payment, job description etc.)
- Photographs
- Policies (e.g. administration, renewal, compliance, endorsement slips)
- Procedures
- Processes
- Programs (e.g. surveillance, forward planning etc.)
- Project (e.g. brief, approvals)
- Proposals
- Public and ministerial enquiries
- Quality Record(s), manuals, surveillance audits etc.
- Registers (e.g. site attendance, complaints, assets, hazardous material)
- Reports (e.g. performance progress, hydrology, geotechnical, damage, pavement surfacing etc.)
- Reviews / Waivers
- Risk (e.g. analysis, management, hazards etc.)
- Schedules (e.g. processes, audit etc.), endorsements
- Special events
- Spray loading Record(s)
- Sub contract Documents
- Superintendent's response
- Supplier / designer / manufacturer Record(s)
- Surveys (e.g. cadastral, aerial, site, digital, thermographic etc.) photogrammetry
- Testing / Tests (e.g. results, conformance etc.) – materials – bitumen – pavements – performance (e.g. lights, signals etc.)
- Variations, revisions, amendments
- Videos
- Warranty Documents
- Works diaries
- Works Record(s), work instructions, minor improvement works

The following are examples of major types of Main Roads contracts:

Main Roads outsources functions in the following ways:

Contracts and projects at Main Roads have a close relationship when the calling of Tenders is required. There are four different forms of contract and these are:

1. Construct Only (AS2124)

The purpose of the Construct Only (AS2124) Contract Management Process (CMP) is to assist contract superintendence staff in their role on construct-only contracts. Unless otherwise stated, the Superintendent (Super) is responsible for all tasks in the AS2124 CMP. The Super may delegate authority for many of these tasks to the Super's Representative.

2. Design & Construct

The purpose of the Design and Construct (D&C) Contract Management Process (CMP) is to assist contract management staff in their role on D&C contracts. Unless otherwise stated, the Main Roads' representative is responsible for all tasks in the D&C CMP. This representative may delegate authority for many of these tasks.

3. Direct Managed Works

The Direct Managed Works Contracting process describes how Main Roads will engage and supervise a collection of subcontractors, consultants and hired plant and resources.

4. Alliance Contracting

Alliance Contracting is a collective, risk sharing delivery method utilising a Main Roads specific Project Agreement. Alliance Contracting involves collaboration between Main Roads (as the owner participant) and contractors / consultants (non-owner participants) to deliver road and bridge infrastructure projects, with all participants sharing the responsibility for risks and for achieving project outcomes. Alliance Principles underpin the governance, leadership, decision making and management of Alliances and Main Roads has established Alliance Principles over a number of projects.

Below is the way in which these different forms of ROAD contracts plus other forms of contract requiring the calling of Tenders are categorized into differing types of projects by the Main Roads Project Management Office (PMO):

Project Matrix				
COST	\$15K – \$50K	\$50K – \$3M	\$3M - \$10M	\$10M & Greater
RISK	Low	Low	Low to Medium	Medium to High
COMPLEXITY	Low	Low	Low to Medium	Medium to High
SENSITIVITY	Low	Low	Low to Medium	Medium to High
	A	B	C	D

Type A - Maintenance Projects

A	Day to day maintenance activity maintaining serviceability to the organization and the network.	<ul style="list-style-type: none"> • ICT - hardware and software patching • Bridge maintenance projects • Works Orders • Small property maintenance
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Type B - Minor Regional Works Projects

B	Minor Regional project work typically conducted within the regions and ICT work involving more than one service and business improvement projects.	<ul style="list-style-type: none"> • Reseal including asphalt • Packaged pavement repairs, shoulder works on • various roads, pavement repair and rehabilitation programs • Bridge Project Works • Business improvement projects (strategic planning) • ICT system upgrades, enhancements and replacements
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Type C - Regional & Urban Projects

C	Work that needs to be delivered as a project. Projects are typically procured and delivered through the competitive tender process.	<ul style="list-style-type: none"> • Road widening over several sections at different timing • (high cost, low risk medium complexity) • Formations • Seal widening
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Type D - Complex Large Scale Projects

D	Complex and large scale projects that are major infrastructure enhancements.	<ul style="list-style-type: none"> • Town Bypasses • Free flow interchanges • to 8 lane packages • Major Road upgrades
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Period & Panel Contracts

Main Roads also has in place a number of panel/period contracts for services which can be used without the need to call competitive tenders and quotes. Engagements of panel members must be in accordance with the Buying Rules which have been established for each panel contract. Managers have been appointed to facilitate purchasing under each of these panel/period contract arrangements. Period and Panel Contracts involve:

- | | |
|---|---|
| <ul style="list-style-type: none"> ▪ Auditing Services and Safety Inspections ▪ Evaluation Services ▪ Construction Advice ▪ Design and Drafting ▪ Contract Surveillance and Quality Monitoring ▪ Material Testing – Services and Equipment ▪ Business Case Preparation ▪ Project Services & Strategy Advice | <ul style="list-style-type: none"> ▪ Public Relations & Community Relations ▪ Cost Estimating & Commercial Services, ▪ Prequalification ▪ Road & Bridge Project Management ▪ Infrastructure Procurement ▪ Valuation Services ▪ Surveying & Mapping ▪ Heavy Vehicle Accreditation ▪ Specialised Road Research |
|---|---|

Common Use Arrangements

Common Use Arrangements (or CUA's) are contracts set up by the Department of Finance for all Government agencies to use for the supply and delivery of goods, materials, equipment and services. There is a wide variety on offer and these CUA's remove the need for staff to go out to Tender. Recordkeeping concerning CUA contracts are reflected in the "General Conditions of Contract" developed and maintained by the Department of Finance.

Examples of these include:

- Information Communications Technology;
- Human Resources;
- Freight Transport;
- Mail Services;
- Financial Advice
- Vehicle Fleet;
- Media;
- Software Licensing;
- Office Furniture;
- Office Stationery;
- Printing & Copying
- Removalist
- Retail Electricity;
- Records Storage, Scanning & Destruction
- Temporary Personnel;
- Travel Reservation;
- Uniforms

Appendix B: Contents of a Model Disaster Response Plan

SOURCE

AS 4390.6 – 1996. Records Management – Storage.

INTRODUCTION

The aim of a Disaster Response Plan is to provide a set of clear, comprehensive, written, step-by-step instructions relating to the specific organisation, site and building, and to the services that are provided from it, to ensure the minimum of loss and disruption of services in the event of an emergency or disaster.

SCOPE

The Plan must cover:

- all procedures from the time of discovery to the preparation of a final report; and
- all information necessary for their implementation.

CONTENTS

The following shall apply:

- List of Vital Records, particularly significant or vulnerable holdings, with location and control documentation.
- List of equipment, materials and services available for use in disaster salvage and recovery.
- The function, composition and chain of command of the salvage and recovery team and their contact information.
- Procedures for identification and declaration of a disaster situation and initiation of the disaster response chain of command by the normal business operation.
- Provision for the training and current awareness of the team.
- List of sources of back-up resources, including expertise, tradespeople, materials, equipment, vehicles and accommodation.
- Procedures for updating and testing the Plan.
- Simple technical information regarding the handling of damaged material, directed towards establishing priorities for early action.

Appendix C: Contract RecordKeeping Plan Checklist

Contract No: _____ **Contract Name:** _____

Superintendent's Name: _____

**NOTE: Refer to IMB: Information Services prior to sign-off
Phone: 9323 4253 or 9323 4947**

Principle Components	Assessment		
	Superintendent to initial each box – where compliant		
	Available? Yes or No	Further Comment	Main Roads Use Only
<p>Contract RecordKeeping Plan –</p> <ul style="list-style-type: none"> ▪ A Contract RecordKeeping Plan that defines the record keeping objectives of the Contractor in terms of how Main Roads recordkeeping requirements will be met concerning planning, ownership, control, disposal, access, custody and on contract completion and is relevant to the works required under the Contract. ▪ Procedures addressing the systematic control of the creation, registration, indexing, filing, maintenance, storage, movement, retrieval and legal disposal of Specified Records. ▪ A training and/or induction program in record keeping that addresses Main Roads recordkeeping requirements and the roles and responsibilities of all personnel involved that create, capture, maintain and use the Specified Records. 			
<p>Ownership –</p> <ul style="list-style-type: none"> ▪ A checklist identifying the Specified Records that remain the property of the Contractor both during and at completion of the Contract. All other records are owned by the State. ▪ An agreement specifying the ownership and use of intellectual property. ▪ An agreed intellectual property policy. 			

Principle Components	Assessment		
	Available? Yes or No	Further Comment	Main Roads Use Only
Control – <ul style="list-style-type: none"> ▪ A manual or computerized Records system compliant with ISO 16175 Part 3 has been agreed. ▪ A filing plan or Record(s) index has been developed and agreed for use. ▪ A document titling convention has been developed and agreed for use. ▪ A Record(s) tracking, sharing, security and/or workflow system has been defined. ▪ Procedures for Document control have been established and agreed. 			
Retention & Disposal – <ul style="list-style-type: none"> ▪ Access, migration, export, transfer and/or handover of Specified Records by the Contractor to Main Roads during the course of the contract. ▪ Listing, boxing and transfer of paper-based Specified Records requiring offsite storage in accordance with Main Roads retention and disposal procedures prior to contract completion. ▪ Agreed referral of contract records for disposal to IMB: Information Services Section. ▪ Disposal of copies retained by the Contractor on contract completion and the provision of a Destruction Certificate to IMB: Information Services Section. 			
Access – <ul style="list-style-type: none"> ▪ An appropriate procedure clearly describing the access conditions for the Specified Records. ▪ An appropriate security policy and system security regime for the Specified Records held in electronic format. ▪ Agreed email usage policy and procedures. 			

Principle Components	Assessment		
	Available? Yes or No	Further Comment	Main Roads Use Only
Custody – <ul style="list-style-type: none"> ▪ A business continuity plan to ensure continuing operations under the Contract. ▪ A disaster response and management plan that covers recovery of the Specified Records. ▪ An appropriate storage policy for the Specified Records, held in paper and/or electronic format. ▪ A register of storage locations and arrangements for Specified Records held for each storage location or database. 			
Contract Completion – <ul style="list-style-type: none"> ▪ An appropriate index of the Specified Records, including date of transfer, migration, export or handover to the Superintendent together with adequate metadata for import to Main Roads Electronic Records and Document Management System. ▪ Provision of a schedule of handover dates and responsible person/s to IMB: Information Services. 			

Signature of Superintendent: _____

Date: ____ / ____ / ____

NOTE: Refer to IMB: Information Services prior to signature
Phone: 9323 4253 or 9323 4947