

CONTRACT RECORDKEEPING PLAN (RKP) COMPLIANCE GUIDELINES

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Purpose and Scope

The Contract Recordkeeping Plan (RKP) is the primary means of providing evidence of compliance with the *State Records Act 2000* (the Act) and best practice recordkeeping by a contracted company over the course of a Main Roads project.

In accordance with Section 17 of the Act, Main Roads Western Australia (Main Roads) and its employees are legally required to comply with the contents of the Main Roads Record Keeping Plan.

Requirements specified in the State Records Act and Main Roads Record Keeping Plan also apply to all:

- Main Roads employees and contractors,
- Contract companies performing outsourced services on behalf of Main Roads, and
- Integrated Service Providers

In accordance with Clause 33 (3) *Contracting-out of record keeping* of the Act, any State Record subject to the contract or arrangement:

- a) Remains under the control of the Main Roads and control of it is not to be taken as having been transferred to the contractor; and
- b) Remains subject to this Act and the Main Roads Record Keeping Plan.

The Main Roads Recordkeeping Plan is to provide an accurate reflection of the records program including information regarding recordkeeping system(s), disposal arrangements, policies, practices, and processes.

Recordkeeping Code of Practice

The Main Roads *Recordkeeping Code of Practice for the Management of Contract Records* (CoP) is a guide to meeting the *minimum* compliance requirements documented within the Act by Contractors, Main Roads Superintendents and their representatives.

The underlying principles of the CoP ensures that:

- Specified Records required 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 progressively returned to Main Roads by the contractor as agreed during the course of a contract, at the conclusion of the defects liability period or on Practical Completion of the contract.

Contract RKP Principles

The Contract RKP should set out the matters about which records are to be created by the contractor and how it is to keep its records including principles for:

- Proper and adequate records,
- Policies and procedures,
- Preservation
- Retention and disposal, and
- Compliance

Guidelines

The following guidelines provide information for the development and implementation of a contractor's Contract RKP and should be read in conjunction with

the Main Roads *Recordkeeping Code of Practice for the Management of Contract Records*.

Project Overview

The Contract RKP should provide an overview of the specific scope of the Project *and* be documented in accordance with Sections 2.3 *Scope* and 2.4 *Form of records* of the CoP.

Objectives

The Contract RKP documents the contractors primary records management objectives. For example -

- Efficient document identification,
- Stored for ease of retrieval,
- Provide document history including revisions, approvals, certifications, etc.,
- Minimise cost and time for record keeping, and
- Facilitate stakeholder input.

Ownership of Records

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

The Contract RKP should outline the process(es) and personnel responsible for record keeping, and clearly state any intellectual property that the contractor may wish to protect (e.g., a particular method of construction).

Accountability and Responsibility

The Contract RKP should detail the individual roles and responsibilities of project personnel involved in managing, coordinating and using records (i.e., Project Manager, Quality Management Representative, Environment Representative, Project Engineer, Traffic Manager, Document Controller, Site Personnel, etc.). Also include a project breakdown of responsible Main Roads personnel .

Monitoring and Measurement

The Contract RKP should outline the arrangements for monitoring, measuring, analysing, and evaluating compliance of the RKP.

It should also describe any applicable audit and review processes. (see Section 4.4 *Evidence of compliance* of the CoP)

Document Control

Main Roads may stipulate preferred document control system requirements. For example - TeamSite and use of SharePoint Online for collaboration, and transfer of finalised documents to Main Roads records management system.

Detailed information necessary for the effective control of documents and records can be found in Section 4 *Control of Records* of the CoP.

A table of all project specific systems, applications, storage systems, and websites intended to be used as platforms for document and records management should be provided.

The table should detail platform names, key functions and related records, Main Roads interactions with the system, method(s) of transfer of Specified Records, and the roles and responsibilities of controlling personnel.

Records Systems

The Contract RKP should provide a description of how Main Roads requirements will be met by the contractors document and record management system(s). The contractor should consider:

- Management of hard-copy records,
- Verification and validation of records,
- Unique identifiers and record identification
- Titling, numbering, and naming conventions,
- Revision and version control,
- Location and indexing, and
- Security, confidentiality, and distribution.

The Superintendent or their representative 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 requested Specified Records as soon as practicable.

Retention and Disposal

All original Record(s) specified in the contract will be transferred to Main Roads. A copy of Specified Records will be provided by the contractor to Main Roads on request.

Detailed information relative to documents and records created during the entirety of the contracted project can be found in Section 5 *Retention & Disposal of Records* of the CoP.

The Contract RKP shall specify auditing processes or other suitable methods to track the Specified Records provided by the contractor to Main Roads.

Hard-copy records provided by the contractor to Main Roads that require offsite storage will be listed, appropriately boxed and transferred in accordance with applicable Main Roads records procedures.

Specified Records detailed in the Contract RKP for the project 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 Main Roads Information Services Section prior to any action being taken.

Access to Records

The Superintendent is entitled to have unlimited access to any Specified Records on request, as specified in the contract. Section 6 *Access to Records* of the CoP provides information to contractors relative to the terms, conditions, requirements, and processes for access to Specified Records.

The Record System(s) and Contract RKP shall provide for timely and efficient access to, and retrieval of records needed in the continuous conduct of the work and to satisfy related accountability and contractual requirements.

The Records System(s) and Contract RKP will include and apply appropriate security and controls on access, to ensure that the integrity of 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.

Custody of Records

Contractors are required to store and maintain the Specified Records and other related project records 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.

Section 7 *Custody of Records* of the CoP provides details for the storage and protection of records, including electronic system back-up requirements, and disaster management.

Contract Completion and Handover

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.

The Contract RKP should detail the process for delivery of Specified Records at the completion of the project and/or the defects liability period as applicable.

Freedom of Information (FOI)

The Western Australian Freedom of Information Act 1992 makes provision for organisations to assist the public to obtain access to Government records promptly and at the lowest reasonable cost.

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.

Recommended RKP Appendices

Proposed appendices that should be included by the contractor in the Contract RKP include, but are not limited to:

- Project Team Organisational Chart
- List of Specified Records
- Records and/or Document Guides
- Records and/or Document Procedures
- Records and/or Document Standards
- Records and/or Document Policies

Contract RKP Compliance

The Contract RKP will be evaluated for suitability and compliance specific to the project and conditions of contract in consideration of the requirements of the State Records Act 2000, Main Roads *Recordkeeping Plan* and the Main Roads *Record Keeping Code of Practice for the Management of Contract Records*.

Evidence of compliance with the Act, the Main Roads RKP, and Main Roads CoP will include:

- Procedures addressing the systematic control of Specified Records.

- An agreed intellectual property policy.
- Established and agreed procedures for document control.
- Satisfactory access of Specified Records by the contractor to Main Roads records during the course of the contract.
- An appropriate procedure clearly describing the access conditions for the Specified Records
- A business continuity plan to ensure continuing operations under the contract.
- A disaster response and management plan that covers recovery of the Specified Records.

RKP Submissions

Upon completion, submit finalised Contract RKP's to IMB: Information Services for review prior to seeking Superintendent approval.

Reference Documents

The following Main Roads reference documents should be considered in the development, implementation and extent of compliance to requirements detailed in the Contract RKP.

Document#	Document Title
D10#133812	Main Roads Western Australia Record Keeping Code of Practice (CoP)
D21#1298083	Main Roads Western Australia Specification 201
D09#177303	Main Roads Western Australia Superintendent's Contract Management Plan (SCMP)