

Appendix

E

Record Management

Appendix E: Record Management

Objective

To provide consistent governance, procedures, and processes to manage the records produced on a project. This Appendix outlines the Record Management System to be followed on all projects.

Roles, Responsibility and Authority

Role	Responsibility	Authority
Project Sponsor	Provide record management quality assurance and control on the project.	
Project Manager	To ensure the Project Team follows the Record Management System process.	
Contract Administrator	To follow the Record Management System process.	
Care & Control Owner (Receiver of the product or service)	To follow the Record Management System process.	

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Introduction to Record Management

This Appendix supplements and builds on Section 5.7.5 Plan Record Management of the Project Management Manual.

The Record Management System is based on the five major stages in a record's life-cycle:

1. Creation

Information is generated or received and gathered into a record.

2. Distribution and Use

The record, along with other information, is distributed among the Project Team on the Project based on the PMM and specific requirements identified in the Project Development Plan (PDP).

3. Storage and Maintenance

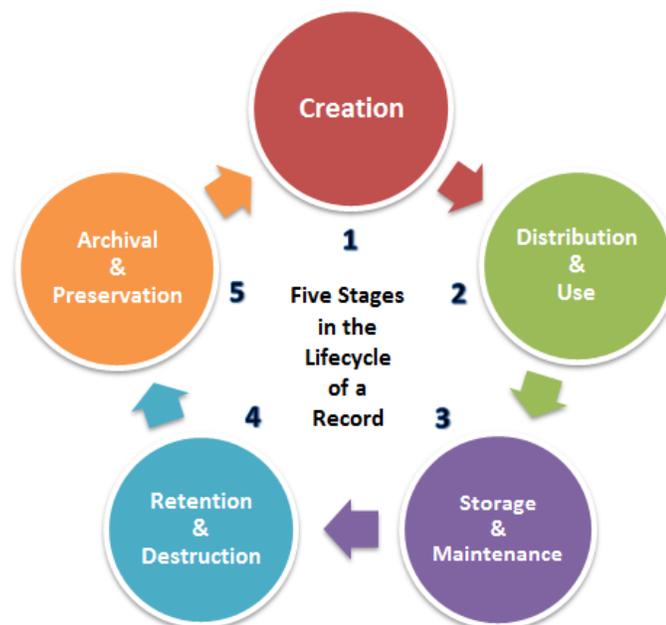
The records are filed using a logical and defined scheme into a managed repository, available for retrieval by authorized Project Team members. The Records Management System must maintain the integrity of the records, facilitate backup, and help users file and retrieve information.

4. Retention and Destruction

Depending on the nature of the record, it is destroyed or retained for a defined period of time.

5. Archival Preservation

Records that have a sustaining utility exceeding storage costs are preserved permanently in an archive.



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Creation

Document Creation and Approval

- Create document and ensure that it is paginated.
(for example, footer format: Page 1 of 4).
- Documents must contain the date of issue.
Documents to be used for ongoing reference (e.g., Standard Operating Procedures, Manuals, etc.) and administrative procedures shall also contain a date of when the document is to be reviewed.
- All documents must contain a “Revision Control” section to record all changes made to documents.
- Attach metadata tags according to the Metadata Requirements procedure (future).
- Store the document according to the Record Management System library structure. See *Library Structure* section in this Procedure.
- All documents must be legible, identifiable and made accessible to defined Project Team members and Stakeholders.
- Electronic document creators are responsible for incorporating new or revised documents, and keeping their documents updated and accessible.
- It is the responsibility of the document creator to remove any obsolete or uncontrolled documents from points of use.

Documents of External Origin

It is the responsibility of the Project Manager or Contract Administrator on Contracts to identify and maintain documents of external origin.

Documents to be used for ongoing reference (Project Deliverables) must be submitted to and approved by the Care & Use owner or their designate.

Distribution and Use

Making Copies of Documents

Project team members may make uncontrolled copies of documents for short-term use (less than 30 days), audits, or proposed revision.

- Copies must be discarded after use.
- Document creators (holders) are responsible for incorporating new or revised documents, and keeping their documents updated and accessible.
- It is the document creator’s responsibility to remove any obsolete or uncontrolled documents from points of use.
- Uncontrolled copies of documents, may be issued to organizations, customers, contractors, consultants and suppliers in paper or electronic form at the discretion of the Project Manager or Contract Administrator.

These copies are to be stamped “UNCONTROLLED COPY”.

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Obsolete Documents

- It is the responsibility of Project Team members to destroy uncontrolled or obsolete documents found in their work areas.
- Any obsolete document not destroyed, for historical purposes, shall be clearly stamped on paper copies or marked in the footer of electronic documents “OBSOLETE DOCUMENT” to prevent unintended use.

Revisions to Documents

The document owner must ensure that the following is on all revised documents:

- a revision number
- date of revision
- the name of the person who approved the document
- the nature of changes within revised documents maintained for ongoing use shall be clearly indicated in the “Revision Control” section at the beginning of each document. Details of all revisions must be maintained in the Revision Control section as shown in the Table 1.

Table 1: Example of Revision Control table

Document Revision No.	Revisions	Date Released	Released By:

Storage and Maintenance

Document Library

The following section outlines where to store/file the Project Record.

There are many documents generated throughout the course of a Project, each document type is unique and may occur only once whereas some document types will be created numerous times.

Some documents will be support/background documents for other Project documents and will be linked accordingly. The document system in addition to the Library and Document Folder Design will be controlled through the use of Metadata tags (future).

Library Access Control

Access to the Libraries will be secure and controlled by the Project Manager.

For large Projects, a Document Administrator will assist in developing an access protocol.

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Library Structure

The following Library Structure is to be established for each Project. The preferred environment for this is *SharePoint*, however, each department needs to assess their ability to access this environment.

- Project Delivery and Management
- Contract Administration
- Procurement
- Project Financials
- Project Development
- Public Engagement/Communication
- Project Safety and Security
- Project Transfer Documentation

A Document Folder may be created for each of these documents types depending on the size of the Project. Below is the Document Folder structure within each Library.

Project Delivery and Management

- Business Case
- Background Information
- Risk Management
- Project Advisory Committee
- Project Delivery Plan
- Regulatory Information
- Project Schedule
- Briefing Notes

Contract Administration

A Document Folder should be created for each Contract Bid. This Folder is intended to include a Contract with Consultants, as well as Contractors.

- Insurance and Bonds
- Shop Drawings
- Contract Work Schedules
- Progress
- Billings
- Change Record
- Progress Meeting Minutes
- Field Instructions (FI)
- Nonconformance Reports
- Acceptance Tests
- Request For Information (RFI)
- Proposed Change Notice (PCN)
- Authorization for Contract Change
- Claims
- Over Expenditure Report Analysis
- Daily Construction Reports
- Daily Inspection Reports
- Material Testing Reports
- Third Party Test Reports
- Contractor Safety Records (Near Miss, Incident, Infraction, CS/HW/CL Permits, JHA's, PSI's)
- Progress Photos
- Contract Legal
- Certificates of Substantial Completion
- Total Performance
- Performance
- Verification Tests
- Deficiency Lists
- Final Acceptance

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Procurement

A Document Folder should be created for each Bid Opportunity.

- Bid Solicitation Documents
- Addenda
- Bid Award Report (Recommendation)
- Staff Augmentation Request

Project Financials

- Basis of Estimate (BOE)
- Payment Transactions
- Project Cost Reports
- Tangible Capital Asset (TCA) Information
- Capital Budget Estimates
- Operating Budget Estimates
- Over Expenditure Reports

Project Development

A document folder should be created for each Bid Opportunity.

- Studies and Assessments
- Conceptual/Preliminary/ Detailed Design Documents
- Configuration Roadmaps
- Issue Log and Supporting Documentation
- Technical Memorandums
- Value Engineering
- Fit-Gap Analysis

Public Engagement/Communication

- Public Communications
- Press Releases
- Public Consultations
- "Go Live" Announcements

Project Safety and Security

- Safety Management Plan
- Daily Safety Reports
- Site Orientations
- Site Safety Procedures
- Safety or Security Training
- Work Registry
- Safety Statistics
- Access Control
- Emergency Response Plan

Project Transfer Documents (deliverables)

- Training Materials
- Commissioning Documents
- Operation and Maintenance Manuals
- Asset Register Information
- Warranties
- As-built Records

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Retention/Destruction

City of Winnipeg By-Law 86/2010 governs retention periods for specific records, which include Project Records. In order to identify and decide whether or not to keep a record, this procedure contains definitions of the different categories and types of records encountered on a project as well as the criteria for their disposition.

Each category of record has several types. For example, Project Records can range from regular Status Reports to Financial Records. Bylaw 86/2010 requires that all records be kept for 1 year to satisfy public access requests. However, all retention lengths included below exceed this standard.

In order to assist program staff in their disposition of records, the following chart outlining retention periods for each type of record has been created to facilitate the process.

Category	Retention Length	Additional Information
Asset related	Life of asset + 2 years	Life of the asset refers to the point in time where a specific asset (ex: a pump) is taken out of service. Documents such as drawings and key reports (quality management, SOPs) fall under this category, and should be retained for two years after the asset is no longer operational.
Financial	7 years	Refers to budgets, financial records, financial reports, etc. Also includes time tracking records. Section 2.03 of By-Law 86/2010
Contracts	6 years after expiry	Contracts, such as those relating to capital projects and contractors, should be kept for 6 years after their expiry date. Expiry date is considered to be the date where the contracted party has met their final obligation as detailed in the Contract. An example of this could be the end of the warranty period. Section 5.08 of By-Law 86/2010
Correspondence	See additional information	Correspondence is governed by the subject matter it contains. For example, correspondence containing financial information should be retained for the financial length of 7 years. However, if the correspondence pertained to a progress report that contained no financial information, it falls under the general category only needs to be retained for 3 years.
Policies & Procedures	2 years after being superseded	Superseded refers to the point in time when a new policy or procedure that replaces one in question is official approved for use. Section 5.13 of By-Law 86/2010
General	3 years	All records that do not fall under other categories. This will most likely be progress and phase based reporting and general correspondence not related to other categories. Section 5.12 of By-Law 86/2010
Human Resources	60 years from last day worked	Records should be maintained for 60 years starting from the last day worked. However, the City's Human Resource area will be responsible for the maintenance and disposition of these records.

Archival

Records that require archiving will follow the City of Winnipeg's procedure for archiving and be managed by the specific Departmental owner of the record. This process is beyond the scope the Project Management.

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