Town of Cottesloe

Town of Cottesloe

RECORDKEEPING PLAN

2024

109 Broome Street, Cottesloe WA 6011 | P 9285 5000 | E town@cottesloe.wa.gov.au cottesloe.wa.gov.au

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Introduction

This document is presented to the State Records Commission in accordance with Section 28 of the *State Records Act 2000* (the Act). Section 28 (5) of that Act requires that no more than 5 years must elapse between approval of a government organisation's record keeping plan and a review of it.

State Records Commission (SRC) Standard 1 – *Government record keeping* requires that government organisations ensure that records are created, managed and maintained over time and disposed of in accordance with principles and standards issued by the SRC. SRC Standard 2 – *Record keeping plans* comprise six record keeping principles each of which contains minimum compliance requirements.

The purpose of this Recordkeeping Plan (RKP) is to set out the matters about which records are to be created by the Town of Cottesloe and how it is to keep its records. The Recordkeeping Plan is to provide an accurate reflection of the record keeping program within the organisation, including information regarding the organisation's record keeping system(s), disposal arrangements, policies, practices and processes. The Recordkeeping Plan is the primary means of providing evidence of compliance with the Act and the implementation of best practice record keeping within the organisation.

The objectives of the Town of Cottesloe RKP are to ensure:

- Compliance with Section 28 of the *State Records Act 2000*;
- Record keeping within the Town of Cottesloe is moving towards compliance with State Records Commission Standards and Records Management Standard AS ISO 15489;
- Processes are in place to facilitate the complete and accurate record of business transactions and decisions;
- Recorded information can be retrieved quickly, accurately and cheaply when required; and the
- Protection and preservation of the Town of Cottesloe's records.

In accordance with Section 17 of the Act, the Town of Cottesloe and all its employees are legally required to comply with the contents of this Plan.

This Recordkeeping Plan applies to all:

- Town of Cottesloe employees;
- Town of Cottesloe contractors;
- Organisations performing outsourced services on behalf of the Town of Cottesloe; and
- Town of Cottesloe elected members.

Note: *The policy approach of the State Records Commission in monitoring the record keeping obligations in respect to local government elected members is:*

> ***"In relation to the record keeping requirements of local government elected members, records must be created and kept which properly and adequately***

record the performance of member functions arising from their participation in the decision making processes of Council and Committees of Council.

This requirement should be met through the creation and retention of records of meetings of Council and Committees of Council of local government and other communications and transactions of elected members which constitute evidence affecting the accountability of the Council and the discharge of its business.

Local governments must ensure that appropriate practices are established to facilitate the ease of capture and management of elected members' records up to and including the decision making processes of Council."

Local governments are to address the management of elected members' government records in accordance with this policy, in their record keeping plans.

This Recordkeeping Plan supersedes RKP 2016024 and applies to all records created or received by any of the above parties, regardless of:

- Physical format;
- Storage location; or
- Date created.

For the purposes of this RKP, a record is defined as meaning "any record of information however recorded" and includes:

(a) any thing on which there is writing or Braille;
(b) a map, plan, diagram or graph;
(c) a drawing, pictorial or graphic work, or photograph;
(d) any thing on which there are figures, marks, perforations or symbols, having 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) any thing on which information has been stored or recorded, either mechanically, magnetically, or electronically."

(State Records Act, 2000)

1 Principle One: Proper and Adequate Records

Government organisations ensure that records are created and kept which properly and adequately record the performance of the organisation's functions and which are consistent with any written law to which the organisation is subject when performing its functions.

1.1 Historical Background

The Cottesloe Roads Board was established on 2 November 1895. A Board of seven members was elected later that month. Rates were levied for the first time in 1896. The district was divided into South, North and East Wards in 1903.

After a referendum of residents, government approval was sought for the conversion of the Cottesloe Roads Board to a municipality. The Cottesloe Municipality was approved and gazetted in September 1907. A fourth Ward (Central) came into being in 1930.

Following significant redevelopment and a growth in population, the Municipality of Cottesloe officially changed its status to the Town of Cottesloe on 23 July 1961.

1.2 Strategic Focus and Main Business Activity

Our vision: A vibrant coastal community with a relaxed lifestyle.

Our mission: To preserve and improve Cottesloe's natural and built environment and beach lifestyle by using sustainable strategies in consultation with the community.

The Town of Cottesloe Council Plan 2023-2033 identifies the following key objectives and high level strategies:

- Our Community – connected, engaged and accessible.
    - Supporting an active, healthy and inclusive community culture, our residents enjoy access to a range of social, cultural and recreation activities.
    - Providing accessible and inclusive community spaces and facilities.
- Our Town – healthy natural environs and infrastructure meeting the needs of our community.
    - Town infrastructure is well planned, effectively managed and supports our community, whilst protecting and promoting our unique heritage and character.
    - Engage with external stakeholders to create connectivity throughout the Town
    - Future population growth is planned to enhance community connectivity, economic prosperity as well as the built and natural environment
    - Work collaboratively to protect, enhance and increase our natural assets and green canopy
- Our Prosperity – a vibrant and sustainable place to live, visit and enjoy.

    - Activating Cottesloe and Swanbourne town centres and increasing their appeal, attracting more local business and visitors
    - Partner with other stakeholders to create beautiful and diverse locations that celebrate our natural cultural and built heritage
    - Partner with other stakeholders to promote Cottesloe more widely, attracting visitors seeking a quality coastal experience.
- Our Leadership and Governance – strategic leadership providing open and accessible governance.
    - Engage, inform and actively involve our community in Council decision making
    - Work innovatively and collaboratively with government, industry, business and community to deliver positive outcomes
    - Deliver open, accountable and transparent governance

1.3 Functions, including those outsourced

Refer to Appendix 1.

1.4 Major Stakeholders

The Town of Cottesloe recognises employees, residents, ratepayers, elected members, and the general public as its major stakeholders. The Town also recognises and supports the activities of groups that provide services to residents, including community groups, the business community and State and Federal agencies.

1.5 Enabling Legislation

The Town of Cottesloe is established under the *Local Government Act 1995*.

1.6 Legislation and Regulations Administered by the Town of Cottesloe

Refer to Appendix 2.

1.7 Other Legislation Affecting the Town of Cottesloe

Refer to Appendix 3.

1.8 Major Government Policy and/or Industry Standards

Refer to Appendix 4.

2 Principle Two: Policies and Procedures

Government organisations ensure that record keeping programs are supported by policy and procedures.

2.1 Records Management and Business Information Systems

2.1.1 Records Management System

The Town of Cottesloe uses the Content Manager electronic document and records management system (EDRMS). Content Manager (previously known as TRIM and HP Records Manager) was implemented in 2007 for the management of both hard copy and electronic records.

Since 1 January 2009 the Town has been digitising (scanning) records received in hard copy. The digitised images are registered and held in Content Manager. Hard copy records are day batched after digitisation and managed as source records.

2.1.2 Business Information System/s

The Town of Cottesloe uses Civica Authority for the management of local government business activities such as building and planning applications and approvals, rates, permits and infringements. Authority is also used as the Town's financial management system. Authority is integrated with Content Manager and documents generated by Authority are held in Content Manager.

2.2 Records Management Policy and Procedures

The creation and management of records is coordinated by the Town of Cottesloe's Senior Records Officer.

For the Recordkeeping Policy and Procedures of the Town of Cottesloe please refer to Appendices 5 and 6.

Table 2.1

Record keeping activities covered in the Town of Cottesloe's Policies and Procedures	YES	NO
Correspondence capture and control – including incoming and outgoing mail registration; responsibilities assigned for classifying, indexing and registration; file titling and file numbering conventions. Include specific provisions for capture and control of Elected Members' correspondence.	✓	
Digitisation – including categories of records digitised; disposal of source records; digitisation specifications. ***NB:*** *This procedure is only required where the organisation intends to destroy source records prior to the expiration of the approved minimum retention period after digitising, in accordance with the General Disposal Authority for Source Records.*	✓	
Mail distribution - including frequency, tracking mechanisms and security measures.	✓	
File creation and closure – including assigned responsibility and procedures for both physical and automated file creation.	✓	
Access to corporate records – procedures for access to and security of corporate records.	✓	
Authorised disposal of temporary records and transfer of State archives (whether hard copy or electronic) to the State Records Office (SRO) – any assigned responsibilities.	✓	
Electronic records management – including the organisation's approach and methodology for the capture and management of its electronic records (e.g. use of EDRMS, hybrid system etc).	✓	
Email management – including the capture, retention and authorised disposal of email messages to ensure accountability (e.g. use of EDRMS, hybrid system etc).	✓	
Website management – Including the purpose of the site (e.g. whether informational/transactional), capture of all information published to the website within the corporate records management system and mechanisms for recording website amendments (e.g. content management system).	✓	
Metadata management – including requirements for capture of metadata in information systems, whether automatic or manual.	✓	

Record keeping activities covered in the Town of Cottesloe's Policies and Procedures	YES	NO
System/s management – including any delegations of authority for the control and security of systems utilised by the organisation (e.g. provision of access to systems through individual logins and passwords, protection of servers etc).	✓	
Migration strategy – strategies planned or in place for migrating information and records over time (e.g. through upgrades in hardware and software applications, and any assigned responsibilities) for long-term retention and access. See SRC Standard 8: *Managing Digital Information*.	✓	

2.3 Certification of Policies and Procedures

Evidence of formal authorisation that the policies and procedures are in place and circulated throughout the Town of Cottesloe is provided by the copy of the certification documents signed by the CEO. Please refer to Appendix 7.

2.4 Evaluation of Policies and Procedures

The record keeping policies and procedures for the Town of Cottesloe cover all categories identified in Principle 2 of SRC Standard 2 and are assessed as operating efficiently and effectively across the Town of Cottesloe.

3 Principle Three: Language Control

Government organisations ensure that appropriate controls are in place to identify and name government records.

3.1 Keyword for Councils Thesaurus Implemented

The Town of Cottesloe has adopted and implemented the Keyword for Councils Thesaurus for the titling of all its records.

3.2 Assessment of its Effectiveness

The thesaurus operates well within the Town of Cottesloe. It covers both administrative and functional activities of the Town of Cottesloe, is available for use by all staff and information can be filed and found without difficulty. This tool will be adjusted to reflect changes to the functions and activities of the Town of Cottesloe as may occur from time to time.

3.3 Identified Areas for Improvement

There are no identified areas for improvement.

4 Principle Four: Preservation

Government organisations ensure that records are protected and preserved

Please refer to Appendix 8 for the introductory information and table of contents for the Town of Cottesloe Business Continuity Response Plan.

4.1 Assessment of Risks

4.1.1 On Site Storage

The Town of Cottesloe has the following hard copy records located in onsite storage at the Civic Centre:

- Building and planning applications prior to 2023;
- Financial records for the current financial year (until audit completed); and
- Individual personnel files.

The onsite storage facility includes:

- Metal shelving;
- Fire retardant safe;
- Secure premises;
- Fire detection and fire suppression system; and
- Airconditioning for eleven hours per day.

The main disaster threatening records stored onsite comes from adverse weather events, fire and flood. With the storage conditions as described here the risk is assessed as low.

4.1.2 Offsite Storage

The Town of Cottesloe has all hard copy records other than those listed in section 4.1.1 located in a commercial offsite storage facility operated by ZircoDATA. This includes archival records and batched source records that have been digitised.

ZircoDATA is an approved storage provider under the Common Use Arrangement CUAREC2015 Storage, Retrieval, Destruction and Digitisation of Paper and Electronic Records.

The main disaster threatening records stored at the offsite records storage facility comes from fire, flood or industrial accident. With the storage conditions provided by the commercial storage facility the risk to the records stored offsite is assessed as low.

4.1.3 Data Centre and Cloud Storage

The Town of Cottesloe has entered into an arrangement with Managed IT to store electronic data/digital information and records in data centres/cloud storage facilities as detailed in the table below. The arrangement includes provisions for security and access, preservation and return of the data.

A risk assessment was undertaken prior to the commencement of the data storage arrangement.

Information system / categories of records	Name of service provider	Geographic location of data centre / cloud storage	Geographic location of data centre / cloud storage backups	Risk assessed Y/N
Virtual Data Centre (VDC) Server Hosting	Managed IT	Perth WA	Perth WA	Y
Email and SharePoint	Microsoft 365	Microsoft Azure	Skykick	Y

4.1.4 Storage of Archives

The Town of Cottesloe maintains State archives in its custody in accordance with the Directions for Keeping State Archives Awaiting Transfer to the State Archives Collection. Hard copy archival records are held in a commercial offsite storage facility operated by ZircoDATA (approved under the Common Use Arrangement CUAREC2015 Storage, Retrieval, Destruction and Digitisation of Paper and Electronic Records).

4.1.5 Storage of Backups

Electronic backups of the Town of Cottesloe's electronic information are managed by Managed IT.

Backups are stored in a 3-2-1 model – production data, local backup copy and replicated backup copy offsite. Backups are encrypted and at least one copy of the backup is immutable.

Backups of Office 365 email and SharePoint/OneDrive/Teams data are performed up to six times per day with unlimited retention for the selected staff mailboxes.

4.1.6 Quantity of Records

The Town of Cottesloe has custody of approximately 90 linear metres of hard copy State archives, as identified under a relevant approved retention and disposal authority, stored onsite and offsite.

4.1.7 Security and Access

The following measures are in place at the Town of Cottesloe to ensure the security of records storage areas and authorised access to records:

- Access to Town of Cottesloe workplaces is restricted to employees and authorised persons.
- Hard copy records held onsite are stored within locked rooms, compactuses, cabinets or safes. Access is restricted to authorised employees.
- Additional access restrictions are applied in Content Manager to records that require a higher level of security.
- The Town of Cottesloe's servers are hosted in Managed IT's private cloud datacentre.

The risk of unauthorised access to records is therefore assessed as low.

4.2 Assessment of the Impacts of Disasters

As stated previously, the risk of a disaster occurring to the records of the Town of Cottesloe has been assessed as low. The impact of a disaster on the organisation's records has therefore been assessed as low. There are sufficient strategies in place to ensure that business activities of the organisation are not unduly affected in the event of the more likely disaster occurring.

4.3 Strategies in Place for Preservation and Response

The following strategies have been implemented by the Town of Cottesloe in order to reduce the risk of disaster and for quick response should a disaster occur:

4.3.1 Vital Records Program

A vital records program has been developed for the Town of Cottesloe. Vital records have been identified as:

- Agreements;
- Bank Guarantees;
- Certificates of Title;
- Common Seal i.e. original documents with Common Seal;
- Deeds;

- Leases;
- Local Laws; and
- Vesting Orders.

Vital records in hard copy are stored in a locked, fire resistant strongroom accessible to the Senior Records Officer and other authorised employees. These records have been digitised and saved into the appropriate file in Content Manager for ease of reference.

4.3.2 Backup Procedures for Electronic Records

Electronic records of the Town of Cottesloe are backed up daily. The Town of Cottesloe's servers are hosted in Managed IT's private cloud datacentre and are replicated offsite after each backup to another location.

Backups of the Town of Cottesloe's virtual servers are retained for 30 days, before being overwritten.

These backups are automatically tested daily by the backup software, manually reviewed each day and manually tested at the end of each month.

4.3.3 Preservation of Electronic Records

The Town of Cottesloe has implemented the following processes to ensure that electronic records are accessible and readable for as long as required:

- A monthly restore of data is performed to ensure that data can be retrieved; and
- Electronic records requiring long term retention are maintained in an appropriate format for long term preservation.

4.3.4 Security

The following security measures have been implemented by the Town of Cottesloe to prevent unauthorized access to records:

- Hard copy records are stored in a locked/secure room accessible only to authorised employees.
- Hard copy records stored offsite are located in a commercial offsite storage facility operated by ZircoDATA.
- Electronic records have varying degrees of electronic access depending on delegations assigned to staff within the organisation. Electronic records are backed up on a regular basis as described previously.
- The Town of Cottesloe's servers are hosted in Managed IT's private cloud datacentre.

4.3.5 Storage Reviews

The records storage facilities utilised by the Town of Cottesloe are reviewed on an ongoing basis to ensure that conditions are appropriate for the organisation's records. The Manager Community and Customer Services and Senior Records Officer visited the commercial offsite storage facility operated by ZircoDATA in November 2024 and no issues were identified.

4.3.6 Recovery of Lost Information

The Town of Cottesloe has developed a set of quick response strategies to recover lost information, in all formats, should a disaster occur:

- Storage of hard copy vital records in a strongroom;
- All hard copy records (including vital records) are digitised and saved into Content Manager;
- Backup of electronic records;
- The Town of Cottesloe's Business Continuity Plan includes a list of contacts should a disaster occur; and
- Expert advice will be sought if required regarding the appropriate process for the recovery and treatment of damaged records.

4.4 Identified Areas for Improvement

There are no identified areas for improvement.

5 Principle Five: Retention and Disposal

Government organisations ensure that records are retained and disposed of in accordance with an approved disposal authority.

5.1 General Retention and Disposal Authority for Local Government Information (GRDALG)

The Town of Cottesloe uses the *General Retention and Disposal Authority for Local Government Information*, produced by the State Records Office, for the retention and disposal of its records.

5.2 Disposal of Source Records

The Town of Cottesloe has established procedures to scan all incoming hard copy correspondence in accordance with the requirements of the *General Disposal Authority for Source Records* and the *Digitisation Specification*. The original hard copy correspondence, once reproduced electronically, will be treated as copies/duplicates and as such will be retained for six months to meet operational requirements and then destroyed. *Refer to Appendix 9 for the Work Instruction for Scanning Corporate Records.*

5.3 Existing Ad Hoc Retention and Disposal Authorities

The Town of Cottesloe does not have any Ad Hoc Retention and Disposal Authorities.

5.4 Existing Disposal Lists

The Town of Cottesloe does not have any Disposal Lists.

5.5 Restricted Access Archives

The Town of Cottesloe does not have any State archives to which it intends to restrict access when they are transferred to the SRO.

5.6 Transfer of Archives

An Archives Transfer Request form has not been submitted to the SRO.

The Town of Cottesloe will transfer State archives to the State archives collection for permanent preservation when requested by the SRO.

5.7 Non-Transfer of Archives

SRC Standard 7: *State Archives retained by Government Organizations* provides for organisations to retain State archives older than 25 years.

The Town of Cottesloe has not identified any State archives that will not be transferred to the SRO for permanent preservation.

5.8 Retention and Disposal Program Implemented

The Town of Cottesloe has implemented the *General Retention and Disposal Authority for Local Government Information.* Records disposal has previously been undertaken on an as-required basis. The Town of Cottesloe will implement a regular annual retention and disposal program in 2025.

Please refer to the Recordkeeping Procedure in Appendix 6. Appendix 10 provides a copy of a memorandum authorizing records for disposal.

5.9 Authorisation for Disposal of Records

Before any temporary records are destroyed or State archives are transferred to the SRO, a list of those records due for destruction or transfer is reviewed by the Chief Executive Officer and authorised for destruction or transfer.

5.10 Identified Areas for Improvement

There are no identified areas for improvement.

6 Principle Six: Compliance

Government organisations ensure their employees comply with the record keeping plan.

6.1 Staff Training, Information Sessions

The Town of Cottesloe has implemented the following activities to ensure that all staff are aware of their record keeping responsibilities and compliance with the Recordkeeping Plan:

Table 6.1

Activities to ensure staff awareness and compliance	YES	NO
Presentations on various aspects of the Town's record keeping program are conducted. These are delivered to all staff on a regular basis.	✓	
In-house record keeping training sessions for staff are conducted.	✓	
From time to time an external consultant is brought in to run a record keeping training session for staff. Staff are also encouraged to attend training courses outside the organisation whenever practicable.	✓	
Staff information sessions are conducted on a regular basis for staff as required.	✓	
The Town provides brochures or newsletters to publish record keeping information, highlight issues, or bring particular record keeping matters to staff attention.		✓
The Town's Intranet is used to publish record keeping information, highlight issues, or bring particular record keeping matters to staff attention.	✓	
The Town's Induction Program for new employees includes an introduction to the organisation's record keeping system and program, and information on their record keeping responsibilities.	✓	

Coverage of the training/information sessions as detailed here extends to all staff. However, records management staff are offered more frequent and more specialised training where required.

New employees are provided with the following information to ensure they are aware of their role and responsibilities in terms of record keeping within the Town of Cottesloe:

- Training program provided by the Senior Records Officer using a Content Manager training manual.

Induction programs are provided for all staff commencing with the Town of Cottesloe.

Please refer to Appendix 11 for the contents page for the *Content Manager Training Manual*.

6.2 Performance Indicators in Place

The following performance indicators have been developed to measure the efficiency and effectiveness of the Town of Cottesloe's record keeping systems:

- Regular consultation with individual staff and departments to identify issues, needs and areas for improvement; and
- Ongoing monitoring by the Senior Records Officer to ensure that incoming hard copy mail, incoming emails and file creation requests are processed within the appropriate timeframes.

6.3 Agency's Evaluation

On the basis of regular consultation with staff and ongoing monitoring and reviewing, the record keeping systems are assessed as being efficient and effective within the organisation.

6.4 Annual Report

An excerpt from the Town of Cottesloe's 2022/2023 Annual Report is attached (please refer to Appendix 12) demonstrating the organisation's compliance with the *State Records Act 2000* and its Recordkeeping Plan.

The 2023/2024 Annual Report is awaiting Council approval prior to publication and will include the following statement regarding the training provided for staff:

Recordkeeping training is provided to all new employees as part of their induction training. This includes information regarding recordkeeping responsibilities and the Town's recordkeeping system. Refresher training is provided to employees as required.

6.5 Identified Areas for Improvement

There are no identified areas for improvement.

7 SRC Standard 6: Outsourced Functions

The purpose of this Standard, established under Section 61(1)(b) of the State Records Act 2000, is to define principles and standards governing contracts or arrangements entered into by State organisations with persons to perform any aspect of record keeping for the organisation.

State organisations may enter into contracts or other arrangements whereby an individual or an organisation is to perform a function or service for the State organisation, or act as the State organisation's agent to deliver services to clients, or for the State organisation's own use. The general term 'outsourcing' is used for such arrangements.

Contractual arrangements should provide that the contractor create and maintain records that meet the State organisation's legislative, business and accountability requirements.

7.1 Outsourced Functions Identified

Refer to Appendix 1 for those functions outsourced.

7.2 Record keeping Issues Included in Contracts

Refer to Appendix 13 for standard template clauses for addressing record keeping issues in contracts for outsourced functions.

7.2.1 Planning

The Town of Cottesloe includes the creation and management of proper and adequate records of the performance of the outsourced functions detailed above, in the planning process for the outsourced functions.

7.2.2 Ownership

The Town of Cottesloe has ensured that the ownership of State records is addressed and resolved during outsourcing exercises. Where possible this will be included in the signed contract/agreement.

7.2.3 Control

The Town of Cottesloe has ensured that the contractor creates and controls records in electronic or hard copy format, in accordance with record keeping standards, policies, procedures and guidelines stipulated by the Town.

7.2.4 Disposal

The disposal of all State records which are the product of or are involved in any contract/agreement with the Town of Cottesloe and a contractor/agent will be disposed of in accordance with the *General Retention and Disposal Authority for Local Government Information*, produced by the State Records Office.

7.2.5 Access

Conditions for the provision of access to any State records produced in the course of a contract/agreement have been agreed between the Town of Cottesloe and the contractor(s)/agent(s).

7.2.6 Custody

Custody arrangements between the Town of Cottesloe and the contractor(s)/agent(s) for State records stored on and off site by the contractor are specified in the contract/agreement as follows:

- All records created or collected by the Contractor in the course of undertaking this Contract that are not commercial in confidence, will be deemed a government-owned asset i.e. ownership and propriety interest of said documentation shall remain vested in the Town of Cottesloe's name in perpetuity.

7.2.7 Contract Completion

All arrangements regarding record custody, ownership, disposal and transfer upon the completion of the contract(s)/agreement(s) are specified in the contract(s)/agreement(s) as follows:

- The Contractor shall, at the Town of Cottesloe's request or on completion, expiry or termination of this Contract, provide and/or return to the Town of Cottesloe the following records; including but not limited to contract variation documents, as constructed drawings, operating manuals and/or instructions, warranties, maintenance records and a detailed subcontractor listing that were created, received, stored and maintained during the course of this Contract.

7.3 Identified Areas for Improvement

There are no identified areas for improvement.

APPENDIX 1 **Functions of the Local Government**			
Function	***Brief Description of LG Function***	***Performed by the LG*** ***Tick if Yes***	***Performed by an External Agency Tick if Yes***
Commercial Activities	The function of competing commercially or providing services to other local governments or agencies on a fee for service basis. Includes undertaking activities on a consultancy or contract basis.	✓	
Community Relations	The function of establishing rapport with the community and raising and advancing the Council's public image and its relationships with outside bodies, including the media and the public.	✓	
Community Services	The function of providing, operating or contracting services to assist local residents and the community.	✓	✓
Corporate Management	The function of applying broad systematic planning to define the corporate mission and determine methods of the LG's operation.	✓	
Council Properties	The function of acquiring, constructing, designing, developing, disposing and maintaining facilities and premises owned, leased or otherwise occupied by the LG.	✓	
Customer Service	The function of planning, monitoring and evaluating services provided to customers by the council.	✓	
Development & Building Controls	The function of regulating and approving building and development applications for specific properties, buildings, fences, signs, antennae, etc. covered by the Building Code of Australia and the Environment Protection Authority (EPA).	✓	✓
Economic Development	The function of improving the local economy through encouragement of industry, employment, tourism, regional development and trade.	✓	✓
Emergency Services	The function of preventing loss and minimising threats to life, property and the natural environment, from fire and other emergency situations.	✓	✓
Energy Supply & Telecommunications	The function of providing infrastructure services, such as electricity, gas, telecommunications, and alternative energy sources.		✓
Environmental Management	The function of managing, conserving and planning of air, soil and water qualities, and environmentally sensitive areas such as remnant bushlands and threatened species.	✓	✓
Financial Management	The function of managing the LG's financial resources.	✓	
Governance	The function of managing the election of Council representatives, the boundaries of the LG, and the terms and conditions for elected members.	✓	✓
Government Relations	The function of managing the relationship between the Council and other governments, particularly on issues which are not related to normal Council business such as Land Use and Planning or Environment Management.	✓	✓
Grants & Subsidies	The function of managing financial payments to the LG from the State and Federal Governments and other agencies for specific purposes.	✓	✓
Information Management	The function of managing the LG's information resources, including the storage, retrieval, archives, processing and communications of all information in any format.	✓	✓

APPENDIX 1 **Functions of the Local Government**			
Function	***Brief Description of LG Function***	***Performed by the LG*** ***Tick if Yes***	***Performed by an External Agency Tick if Yes***
Information Technology	The function of acquiring and managing communications and information technology and databases to support the business operations of the LG.	✓	✓
Land Use & Planning	The function of establishing a medium to long term policy framework for the management of the natural and built environments.	✓	
Laws & Enforcement	The function of regulating, notifying, prosecuting, and applying penalties in relation to the Council's regulatory role.	✓	
Legal Services	The function of providing legal services to the LG.		✓
Parks & Reserves	The function of acquiring, managing, designing and constructing parks and reserves, either owned or controlled and managed by the LG.	✓	✓
Personnel	The function of managing the conditions of employment and administration of personnel at the LG, including consultants and volunteers.	✓	✓
Plant, Equipment & Stores	The function of managing the purchase, hire or leasing of all plant and vehicles, and other equipment. Includes the management of the LG's stores. Does not include the acquisition of information technology and telecommunications.	✓	✓
Public Health	The function of managing, monitoring and regulating activities to protect and improve public health under the terms of the Public Health Act, health codes, standards and regulations.	✓	
Rates & Valuations	The function of managing, regulating, setting and collecting income through the valuation of rateable land and other charges.	✓	✓
Recreation & Cultural Services	The function of LG in arranging, promoting or encouraging programs and events in visual arts, craft, music, performing arts, sports and recreation, cultural activities and services.	✓	✓
Risk Management	The function of managing and reducing the risk of loss of LG properties and equipment and risks to personnel.	✓	✓
Roads	The provision of road construction and maintenance of rural roads and associated street services to property owners within the LG area.	✓	✓
Sewerage & Drainage	The function of designing and constructing, maintaining and managing the liquid waste system, including drainage, sewerage collection and treatment, stormwater and flood mitigation works.	✓	✓
Traffic & Transport	The function of planning for transport infrastructure and the efficient movement and parking of traffic. Encompasses all service/facilities above the road surface and includes all forms of public transport.	✓	✓
Waste Management	The function of providing services by the LG to ratepayers for the removal of solid waste, destruction and waste reduction.	✓	✓
Water Supply	The function of managing the design, construction, maintenance and management of water supplies, either by the LG or by service providers.		✓

APPENDIX 2 **Legislation and Regulations that may be wholly or partly administered by Local Government, and Local Laws of the Local Government**	
Legislation, Regulations and Local Laws	***Tick if YES, the LG administers***
Agriculture and Related Resources Protection Act 1976	
Animal Welfare Act 2002	✓
Biosecurity and Agricultural Management Act 2007	
Building Act 2011	✓
Building and Construction Industry Training Fund and Levy Collection Act 1990	✓
Building Service (Complaint Resolution and Administration) Act 2011	
Bush Fires Act 1954	✓
Caravan Parks and Camping Grounds Act 1995	✓
Cat Act 2011	✓
Cemeteries Act 1986	
Child Care Services Act 2007	
City of Perth Act 2016	
Commercial Tenancy (Retail Shops) Agreements Act 1985	✓
Control of Vehicles (Off-road Areas) Act 1978	
Disability Services Act 1993	✓
Dividing Fences Act 1961	✓
Dog Act 1976	✓
Dog Amendment (Stop Puppy Farming) Act 2021	✓
Electoral Act 1907	✓
Emergency Management Act 2005	✓
Environmental Protection Act 1986	✓
Fire and Emergency Services Act 1998	
Fire Brigades Act 1942	
Food Act 2008	✓
Health (Miscellaneous Provisions) Act 1911	✓
Heritage Act 2018	✓
Land Administration Act 1997	✓
Litter Act 1979	✓
Liquor Control Act 1988	✓
Local Government Act 1995	✓
Local Government Amendment Act 2023	✓
Local Government Amendment (COVID-19 Response) Act 2020 (Amendment Act)	✓
Local Government Grants Act 1978	✓
Local Government (Miscellaneous Provisions) Act 1960	✓
Local Government Regulations	✓
Local Government Regulations Amendment Regulations	✓

APPENDIX 2 **Legislation and Regulations that may be wholly or partly administered by Local Government, and Local Laws of the Local Government**	
Legislation, Regulations and Local Laws	***Tick if YES, the LG administers***
Main Roads Act 1930	✓
Marine and Harbours Act 1981	
Metropolitan Redevelopment Authority Act 2011	✓
Mining Act 1978	
Parks and Reserves Act 1895	✓
Planning and Development Act 2005	✓
Public Health Act 2016	✓
Public Works Act 1902	✓
Radiation Safety Act 1975	✓
Rates and Charges (Rebates and Deferments) Act 1992	✓
Residential Parks (Long-stay Tenants) Act 2006	
Rights in Water and Irrigation Act 1914	✓
Road Traffic Act 1974	✓
Road Traffic (Administration) Act 2008	✓
Strata Titles Act 1985	✓
Telecommunications Act (Commonwealth) 1997	✓
Telecommunications (Low Impact Facilities) Determination 2018 (Commonwealth)	✓
Transfer of Land Act 1893	✓
Valuation of Land Act 1978	✓
Waste Avoidance and Resource Recovery Act 2007	✓
Water Services Act 2012	
Waterways Conservation Act 1976	
Local Laws of the Town of Cottesloe	
Activities on Thoroughfares and Trading on Thoroughfares and Public Places	✓
Beach and Beach Reserves	✓
Dogs	✓
Eating Houses	✓
Fencing	✓
Parking Facilities	✓
Repeal of Defunct/Obsolete Local Laws	✓
Signs, Hoardings and Billposting	✓
Standing Orders	✓
Town of Cottesloe Local Government Properties	✓

APPENDIX 3 **Other Legislation and Regulations affecting the functions and operations of the Local Government**	
Other Legislation and Regulations	***Tick if YES***
Aboriginal Heritage Act 1972	✓
Aquatic Resources Management Act 2016	
Auditor General Act 2006	✓
Biodiversity Conservation Act 2016	✓
Conservation and Land Management Act 1984	✓
Contaminated Sites Act 2003	✓
Corruption, Crime and Misconduct Act 2003	✓
Country Housing Act 1998	
Criminal Code Act Compilation Act 1913	✓
Defamation Act 2005	✓
Electronic Transactions Act 2011	✓
Education and Care Services National Law (WA) Act 2012	
Equal Opportunity Act 1984	✓
Evidence Act 1906	✓
Freedom of Information Act 1992	✓
Industrial Awards	✓
Industrial Relations Acts (State and Federal)	✓
Interpretation Act 1984	✓
Legal Deposit Act 2012	✓
Library Board of Western Australia Act 1951	✓
Limitation Act 1935, 2005	✓
Mental Health Act 2014	
Museum Act 1969	
National Redress Scheme for Institutional Child Sexual Abuse (Commonwealth Powers) Act 2018	✓
Off Road Vehicle Act 1978	✓
Parliamentary Commissioner Act 1971	
Port Authorities Act 1999	
Plumbers Licensing and Plumbing Standards Regulations 2000	
Police Act 1982	
Public Interest Disclosure Act 2003	✓
Public Transport Authority Act 2003	
Regional Development Commissions Act 1993	
Residential Tenancies Act 1987	✓
Retail Trading Hours Act 1987	✓
Royalties for Regions Act 2009	

APPENDIX 3 **Other Legislation and Regulations affecting the functions and operations of the Local Government**	
Other Legislation and Regulations	***Tick if YES***
Salaries and Allowances Act 1975	✓
Soil and Land Conservation Act 1945	✓
State Administrative Tribunal Act 2004	✓
State Records Act 2000	✓
State Records (Consequential Provisions) Act 2000	✓
State Records Commission Principles & Standards	✓
Statistics Act 1907	
Swan and Canning Rivers Management Act 2006	✓
Trustees Act 1962	
Work Health and Safety Act 2020	✓
Workers Compensation and Injury Management Act 1981	✓
Working with Children (Screening / Criminal Record Checking) Act 2004	✓

APPENDIX 4 **Government and Industry Standards and Codes of Practice that have been imposed upon or adopted by the Local Government**	
Government and Industry Standards and Codes of Practice	***Tick if YES***
Australian Accounting Standards	✓
Australian Records Management Standard ISO/AS 15489	✓
General Retention and Disposal Authority for Local Government Information	✓
National Competition Policy	✓
Residential Design Codes of WA	✓
Other:	
Building Codes of Australia	✓

APPENDIX 5 - Recordkeeping Policy

Recordkeeping Policy

Town of Cottesloe

This Policy replaces all previous policies related to this topic.

1. Policy Purpose

1.1 To define the principles of the Town of Cottesloe's records management function.

1.2 Document the approach to the proper management of records to enable evidential records to be created and maintained.

1.3 Ensure legislative requirements are met in relation to records management.

1.4 Ensure that the Town works within a disposal process for records through an approved scheme.

2. Policy Scope

2.1 This policy applies to Elected Members, contractors and all staff including permanent, temporary, casual and part-time employees.

2.2 This policy applies to all external and internal records, which are handled, received or generated by the Town, regardless of their physical format or media type.

3. Policy Principles

3.1 Employees, consultants, contractors and Elected Members of the Town will create full and accurate records, in the appropriate format, of the Town's business decisions and transactions to meet all legislative, business, administrative, financial, evidential and historical requirements.

3.2 All records created and received in the course of the Town's business are to be captured at the point of creation, regardless of format, with required metadata, into appropriate recordkeeping and business systems that are managed in accordance with sound recordkeeping principles.

3.3 All records are to be categorised as to their level of sensitivity and adequately secured and protected from violation, unauthorised access or destruction and kept in accordance with the necessary retrieval, preservation and storage requirements.

3.4 Access to the Town's records:

3.4.1 By employees and contractors - will be in accordance with the designated access and security classifications.

3.4.2 By Elected Members - will be via the Chief Executive Officer in accordance with the *Local Government Act 1995*.

3.4.3 By the public - will be in accordance with the *Freedom of Information Act 1992* and relevant Town policies

3.5 All records kept by the Town will be disposed of in accordance with the '*General Retention and Disposal Authorities for Local Government*' (GRDSs), produced by the State Records Office.

3.6 All records, which are made or received by the Town or an individual staff member during the course of the Town's business, are corporately owned by the Town of Cottesloe, and are therefore subject to the recordkeeping practices and procedures of the Town of Cottesloe.

3.7 Registers are to be maintained of all records series and special categories, including but not limited to, registers of policies, assets, tenders and quotations, forms, vital records, files and contracts.

3.8 Records are not to be removed from the Town of Cottesloe unless in accordance with the approved retention and disposal schedule, or in the custody of an officer performing official business.

4. Definitions

4.1 **Ephemeral Records**- Ephemeral records are duplicated records and/or those that have only short term value to the Town of Cottesloe, with little or no on-going administrative, fiscal, legal, evidential or historical value. They may include insignificant drafts and rough notes, records or routine enquiries.

4.2 **General Disposal Authority** - The *General Retention and Disposal Authorities for Local Government* is designed to provide consistency throughout local government for records disposal activities and decisions. It is a continuing authority for the disposal and archival of records which document the operations of a local government.

4.3 **Government Record** - A record created or received by a government organisation or a government organisation employee in the course of their work for the organisation.

4.4 **Record** - Recorded information in any form, including data in computer systems, created or received and maintained by an organisation or person in the transaction of business and kept as evidence of such activity.

4.5 **Recordkeeping Plan** -The Recordkeeping Plan ensures that records are created, managed and maintained over time and disposed of in accordance with principles and standards issued by the State Records Commission. It is the primary means of providing evidence of compliance with the State Records Act, and that best practices have been implemented in the organisation.

4.6 **Records Disposal** - Disposal is by way of depositing records in the State Archives, managing the records as designated by State Archives, or by destruction in accordance with policy.

4.7 **Significant Records** -Significant records contain information which is of administrative, legal, fiscal, evidential or historical value, and are not recorded elsewhere on the public record. They describe an issue, record who was involved, why a decision was made, and may include actual guidelines.

4.8 **State Record** - A parliamentary or government record.

4.9 **Vital Records** Vital records are essential to the continued business of the Town of Cottesloe. Vital Records include those that protect the rights of an individual and the organisation, and are essential for reconstruction in the event of a disaster.

5. Legislation

The *State Records Act 2000* has specific provisions relating to the responsibility to create, manage and dispose of records in accordance with principles and standards issued by the State Records Commission. In accordance with Section 19 of the *State Records Act 2000,* the Town of Cottesloe has a Recordkeeping Plan that has been approved by the State Records Commission.

Other legislation and standards impacting on records management includes, but is not limited to:

5.1 *Evidence Act 1906*
5.2 *Limitation Act 2005*
5.3 *Freedom of Information Act 1992*
5.4 *Local Government Act 1995*
5.5 Australian Accounting Standards
5.6 *Criminal Code 1913 (Section 85)*
5.7 *Electronic Transactions Act 2011*

6. Other Relevant Procedures/Key Documents

6.1 Town of Cottesloe - Record Keeping Plan
6.2 Town of Cottesloe - Business Continuity Plan
6.3 State Records Office - *General Retention and Disposal Authorities for Local Government*

Council Policy Number:	POL/72	Council Adoption Date:	26/11/2024
Policy Area:	Governance	Version Number:	V2
Responsible Officer:	Director Corporate and Community Services	Amendment Dates:	
		Next Review Date:	26/11/2026

	Council Plan 2023-2033
Reference:	Key Objective: Our Leadership and Governance Our Strategy: 4.3 Deliver open, accountable and transparent governance

APPENDIX 6 - Recordkeeping Procedures

TOWN OF COTTESLOE PROCEDURE

RECORDKEEPING PROCEDURE UPDATE 2024

1. Purpose

This procedure provides guidance and direction for the creation and management of the Town's records. Records must be accurate, authentic, complete and useable.

This procedure supports the Town's *Recordkeeping Policy* (D24/46000) and facilitates the effective management and use of records in accordance with the Town's *Recordkeeping Plan* (D16/26083), the *State Records Act 2000* and the *State Records Commission Principles and Standards 2002*.

Records are required:

- to provide evidence of a transaction;
- to prove that policies, procedures or guidelines have been followed in arriving at a decision or outcome;
- to enable others to know what action occurred, what was decided, when it occurred, who was involved and the sequence of actions, therefore providing continuity and consistency; and
- To defend against potential claims or future legal actions.

Records that must be captured into the recordkeeping system include those that show:

- what happened;
- what was decided or recommended;
- what advice or instruction was given;
- when it happened;
- who was involved; or
- The order of events and/or decisions.

2. Scope

This procedure applies to all Town employees, contractors and Elected Members.

Refer to the State Records Office's *Information Sheet for Local Government Elected Members Records* for advice for Elected Members regarding recordkeeping responsibilities.

This procedure applies to all records created, received or maintained by the Town in the course of conducting its business activities, irrespective of format, including hard copy and electronic documents.

Under the *State Records Act 2000*, a government record is defined as "a record created or received by a government organisation or a government organisation employee or contractors in the course of work for the organisation".

TOWN OF COTTESLOE PROCEDURE

3. Records Creation, Capture and Control

3.1 Recordkeeping System

The Town uses Content Manager (CM10) to manage its hard copy and electronic records. Content Manager (CM10) integrates with CIVICA Authority and CRM.

3.2 Document Management

Records must be captured in the recordkeeping system i.e. Content Manager (CM10).

The author or originator of an electronic document is responsible for saving it into the Content Manager (CM10).

From 1 January 2009 onwards, the Town has been digitising (scanning) records received in hard copy (see section 3.6 Digitisation) with the exception of building and development applications.

Vital records e.g. signed agreements, leases are retained in hard copy. See section 4.2 Vital Records for further information.

Documents saved into Content Manager (CM10) must be named in accordance with the *Content Manager (CM10) Data Entry Standards and Acronyms* **(D09/13068).**

Content Manager (CM10) allocates a unique number to each document.

Documents created by the Town should reference a Content Manager (CM10) file number within the document itself.

Electronic records must not be held in other locations e.g. shared network drives, local drives, email folders.

3.3 Email Management

Emails sent or received by employees or contractors during the course of their work are records and are subject to the same recordkeeping requirements as records in other formats.

Business mails must be captured in Content Manager (CM10). Refer to the State Records Office's *Information Sheet – Email Records* **(D19/39073)** for information on what constitutes business email, ephemeral email and personal email.

Refer to the *Work Instruction – Email Management* **(D24/40095)** for information on capturing email messages and attachments into Content Manager (CM10).

The email sender/originator is responsible for capturing email that is sent internally or externally. Email received from an external sender should be captured by the recipient.

Email addressed to the Town email address is processed by the Senior Records Officer.

It is not necessary to capture each individual email that forms part of an email conversation/thread. The instigator of the email conversation should decide when to capture the email which may be at the end of the email conversation. It is advisable to save lengthy conversation at key stages rather than waiting until the end. Emails with attachments must be captured individually. The email thread must be kept intact as a record of the entire conversation.

Email messages and attachments may be deleted from Outlook after they have been captured into Content Manager (CM10).

3.4 File Management

Content Manager (CM10) manages both electronic and physical (hard copy) files.

Files created since 1 January 2009 are electronic only.

Files are created by the Senior Records Officer. Officers should complete a *New File Request Form* **(D07/1773)** to request the creation of a new file.

Files are classified in accordance with the Keyword for Councils thesaurus. File titles are made up of classification terms from Keyword for Councils and a free text description of the specific content of the file. The free text must be in accordance with the *Content Manager (CM10) Data Entry Standards and Acronyms* **(D09/13068)** and should be meaningful, descriptive and consistent with similar file titles.

Content Manager (CM10) allocates a unique number to each file.

Files will be closed by the Senior Records Office when the activity, project or matter to which the file relates has been completed and no further documents need to be added to the file.

Refer to the following work instructions for additional information on the creation and management of files:

- *Work Instruction - New File Registration & Titling* **(D24/40097)**
- *Work Instruction – Closure of Files* **(D24/40093)**

3.5 Mail Management

Mail is delivered to the reception desk by Australia Post.

Mail is opened by two officers e.g. the Senior Records Officer and an Administration Officer. Mail is sorted and date stamped (taking care not to deface legal documents or papers that may need to be returned to the sender).

All incoming mail addressed to the Town and individual officers is opened including mail marked as private and confidential. Courier-delivered and hand-delivered items are handled in the same way as those delivered by mail.

Incoming mail is digitised and captured into Content Manager (CM10) with the exception of:

- advertising and promotional material;
- magazines, newspapers and newsletters; and
- Invitations (unless addressed to the Mayor or Chief Executive Officer).

It is the responsibility of each officer to ensure that their outgoing correspondence is captured in Content Manager (CM10).

Refer to the *Work Instruction - Morning Mail Opening, Registration and Scanning* **(D24/40096)** for additional information on the management of incoming mail.

3.6 Digitisation

All incoming hard copy documents are digitised (scanned) in accordance with the requirements of the State Records Commission's *General Disposal* ***Authority*** *for Source Records*. The original source hard copy documents, once digitised, are treated as copies/duplicates and are retained for 6 months and then destroyed.

Refer to the *Work Instruction – Scanning Corporate Records (***D24/40099)** for additional information on the digitisation of documents.

3.7 Website Management

The Town website is informational and transactional.

The Manager Information Technology is responsible for the management of the Town website.

Changes to website information are approved prior to publication by an authorised officer.

Information content published to the Town website is captured in Content Manager (CM10).

Changes to external website content are managed and captured using a Content Management System (CMS).

3.8 Metadata Management

Metadata is data about data and it describes who, what, where, when and why records about a business activity or transaction were created. Metadata must be captured

during business transactions to describe the content, context and structure of records in recordkeeping systems.

Recordkeeping metadata ensures that records can be effectively retrieved over time and across platforms and systems as they are changed. Metadata is represented by the fields used to capture information about the record.

The Town is responsible for ensuring that all metadata elements associated with the recordkeeping system are captured, stored and made accessible over time.

The quality of metadata is controlled through the use of the Keyword for Councils classification scheme, naming conventions and rules for the use of specific metadata categories/ fields.

The use of mandatory fields in Content Manager (CM10) ensures that users capture adequate metadata when saving documents and creating files.

3.9 Migration Strategy

Migration is the process of transferring records from one system to another while maintaining their authenticity.

On the replacement or upgrade of any system containing records, project planning should incorporate the development of a migration strategy, which may include:

- assessment of the requirements to retain records i.e. in accordance with the State Records Commission's *General Retention and Disposal Authority for Local Government Information*;
- assignment of responsibility for migration;
- identification and assessment of risks;
- development of a solution for the ongoing management of any legacy records that are not migrated to the new system;
- documentation of the migration process; and
- Development of a test regime.

The Manager Information Technology is responsible for the coordination, development and management of migration strategies and processes.

4. Records Access, Security and Protection

4.1 Records Access and Security

Records must be available to all employees and contractors who require access to them in order to carry out their work.

Appropriate security measures will be applied to confidential and sensitive records to prevent unauthorised access.

Confidential information will be safeguarded in accordance with the *Code of Conduct* **(D24/40152)**

Individual employees and contractors are responsible for the security of records held in their workspace and records of a confidential or sensitive nature are to be held in locked cabinets.

Access to the Town's records by Elected Members will be via the Chief Executive Officer in accordance with the *Local Government Act 1995.*

Access to the Town's records by external parties will be in accordance with the *Freedom of Information Act 1992*.

4.2 Vital Records

Vital records have been identified as:

- Agreements;
- Bank Guarantees;
- Certificates of Title;
- Common Seal i.e. original documents with Common Seal;
- Deeds;
- Leases;
- Local Laws; and
- Vesting Orders.

Hard copy vital records are held in the secure onsite storage room. These records have been digitised and captured into Content Manager (CM10) for ease of reference

Refer to *Work Instruction – Vital Records* **(D24/40103)** for further information.

4.3 Systems Management

The Manager Information Technology is responsible for the management of the Town's computer network and information systems.

Access to the network and systems, including Content Manager (CM10), is controlled through the use of logins, passwords, user permissions and access controls.

TOWN OF COTTESLOE PROCEDURE

5. Records Appraisal, Retention and Disposal

5.1 Disposal Authorities

Records will only be destroyed, deleted or otherwise disposed of in accordance with the following disposal authorities approved by the State Records Commission:

- *General Retention and Disposal Authority for Local Government Information*
- *General Disposal Authority for Source Records*

5.2 Appraisal and Sentencing

The Town will appraise and sentence electronic and hard copy files in accordance with the State Records Commission's *General Retention and Disposal Authority for Local Government Information*.

Where files contain records with differing retention periods, the entire file must be retained for the longest retention period that applies to the contents.

The appraisal and sentencing process will be managed by the Senior Records Officer.

5.3 Disposal Program

The Town will conduct an annual disposal program that involves the identification and review of records due for disposal and seeking authorisation for disposal.

The disposal process will be managed by the Senior Records Officer.

5.4 Offsite Storage

Closed files and other inactive records can be transferred to an offsite commercial storage facility e.g. ZircoData. This process is often referred to as 'archiving' although the records may not be of archival (permanent) value.

Offsite storage locations must meet the requirements under the State Records Commission Standards.

The Senior Records Officer manages the processing and transfer of records to offsite storage and the retrieval of records on request. Content Manager (CM10) is updated to show the location of the file including the box number.

Records are sorted and boxed according to disposal action (e.g. destroy, State archive, permanent retention by the Town).

5.5 Disposal Authorisation

Records are reviewed by the manager of the business unit with functional responsibility for the records at the end of the required retention period and may be retained for an additional period of time if required.

The disposal of records, either by destruction or by archiving (i.e. transfer to the State Records Office), will occur only with the authorisation of the Chief Executive Officer. A record of this authorisation will be retained in Content Manager (CM10).

5.6 Records Destruction

Records should not be destroyed if they are required for, or relevant to, an inquiry, investigation or legal action.

Records approved for destruction will be destroyed in a secure manner and in such a way that no information is retrievable. The State Records Office recommends that hard copy records are destroyed by shredding, pulping or trammelling.

If the records destruction is outsourced then a Certificate of Destruction will be obtained and retained in Content Manager (CM10).

Content Manager (CM10) will be updated to show that the record has been destroyed and the destruction date. Electronic documents contained in the files should be deleted (completely) whilst the system retains the metadata for the file.

5.7 Transfer of Archival Records

The Town is required to identify records requiring permanent archival retention i.e. as State Archives.

At present the State Records Office is not able to accept the transfer of records as State Archives due to a lack of storage capacity. The Town is therefore required to maintain archival records until such time that the State Records Office can accommodate them.

Any future transfer of archival records will need to be in accordance with State Records Office instructions and using specified storage materials (e.g. archival quality boxes/liners).

APPENDIX 7 - Certification of Recordkeeping Policy and Procedures

MEMORANDUM

Town of Cottesloe

TO: Chief Executive Officer - Matthew Scott

FROM: Senior Records Officer - Chieko Mizutani

DATE: 24 October 2024

SUBJECT: **Town of Cottesloe Recordkeeping Procedures – Attached Document**

The Town of Cottesloe Recordkeeping Procedure has been reviewed and updated as part of the process of preparing the new the Recordkeeping Plan (RKP), due to be submitted to the State Records Office early December 2024.

The signature of the Chief Executive Officer is required to authorise the Recordkeeping Procedure prior to their submission to the State Records Office.

Thank you. Please advise if you require any further information.

Authorised by Chief Executive Officer:

Name: William Matthew Scott Title: Chief Executive Officer

Signature: ..... Date: 24/10/24

109 Broome Street, Cottesloe WA 6011 | P 9285 5000 | E council@cottesloe.wa.gov.au cottesloe.wa.gov.au

OCM191/2024

OFFICER RECOMMENDATION AND COUNCIL RESOLUTION

Moved Cr Heath Seconded Cr Wylynko

THAT Council approves the amended 'Recordkeeping Policy', as attached

Carried By En Bloc Resolution 9/0

APPENDIX 8 - Business Continuity Response Plan - Introductory Information and Table of Contents

Town of Cottesloe

Business Continuity Response Plan

Version 1.0: September 2022

Review date: September 2026 (or sooner, if managing a disruption)

Town of Cottesloe

Please read: Important information about this Plan for the user

This document is a series of checklists developed and maintained in readiness for use during an incident **resulting, or anticipated to result in a disruption to business-as-usual activities**.

The term 'Incident' can be used to indicate a 'Crisis', 'Disaster', 'Emergency', Accident or any other event **resulting, or anticipated to result in a disruption.**

This plan's main purpose is to offer guidance in restoring the Town to an acceptable level of operation by focusing on staff welfare, communications, time-critical business activities and those staff who will need to be contacted or mobilised due to the circumstances of the incident.

Every incident is unique. Therefore, the gap between continuity planning and the real disruptive incident now being faced, needs to be filled with new information, gathered after an assessment of the circumstances of the incident, and the Plan and response options updated accordingly. See diagram on following page.

An Organisation's behaviours during an incident can significantly damage the trust of staff, the community and other stakeholders. Therefore, during a disruptive incident, the Town will seek to:

1. **Before all else, establish the safety and wellbeing of staff, visitors and the community.**
2. **Provide regular, concise and meaningful communications internally and externally.**
3. **Strategically manage the incident through strong leadership and clear decision-making to return operations to normality.**
4. **Work together as a team demonstrating the Town's principles and values.**
5. **Provide the Town's community, customers and stakeholders with essential services.**
6. **Provide staff with a safe working environment to support service delivery.**
7. **Ensure that the recovery efforts have the necessary resources and support.**
8. **Plan into the future. Set critical milestones and time frames for recovery.**
9. **Ensure all actions are documented for investigators, debriefs and reviews.**

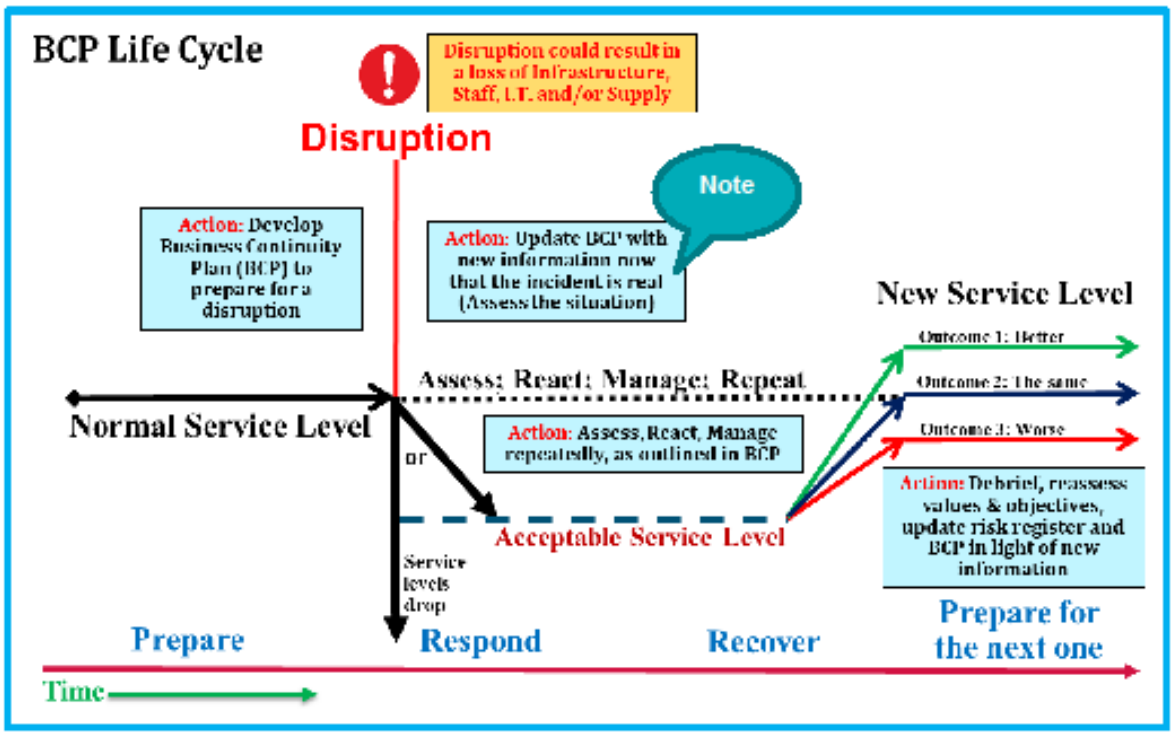
* Team checklists begin after the Table of Contents

* Pandemic Checklist (Appendix B)

*** Incident Leader Checklist at the back (Appendix C)

Town of Cottesloe

Please read:



Document Control

Document Record	
TRIM document name	Town of Cottesloe Business Continuity Response Plan 2022

Review and Approval	
Version date	September 2022
Approved by	Director Corporate & Community Services
Frequency of review	Annual

Hard and soft Copies of this plan are located:

- Depot
- Admin Office
- Accessible remotely through Office 365 and CM

Town of Cottesloe

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APPENDIX 9 - Work Instruction for Scanning Corporate Records

Town of Cottesloe

Scanning Corporate Records by KOFAX

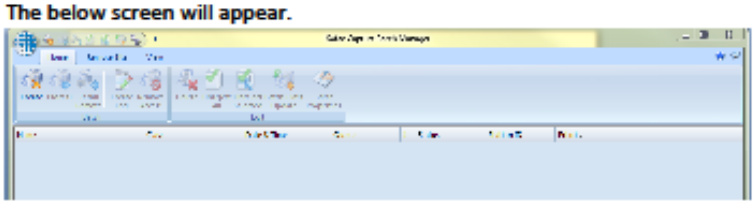
This Work Instruction is to ensure that all significant corporate records are captured into Content Manager (CM10)

Note: *This Work Instruction applies to the Senior Records Officer who has access to* ***"KOFAX"***

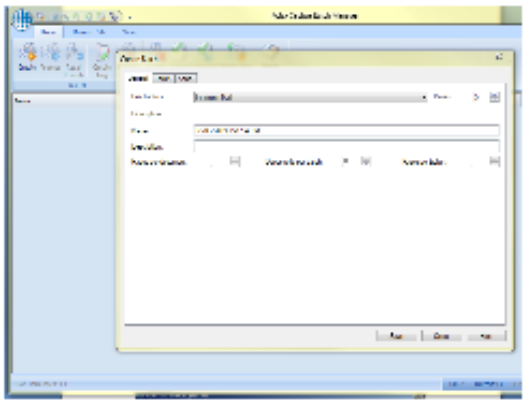
Work Instruction

1. **Sorting**
   - Remove all paper clips and/or staples from all the documents that are to be scanned.
   - Sort documents into single sided and double sided pages, and remove any duplicate attachments.
   - Place a separator sheet on the top of each document. The separator sheets are kept at the Records Office.

2. **Create a new daily batch in Batch Manager.**
   - Double click on the ***Batch Manager*** icon on your desktop.
   - The below screen will appear.



   - Click ***Create*** icon.
   - Check the default setting – Incoming Mail
   - Click ***Save***
   - Click ***Close***



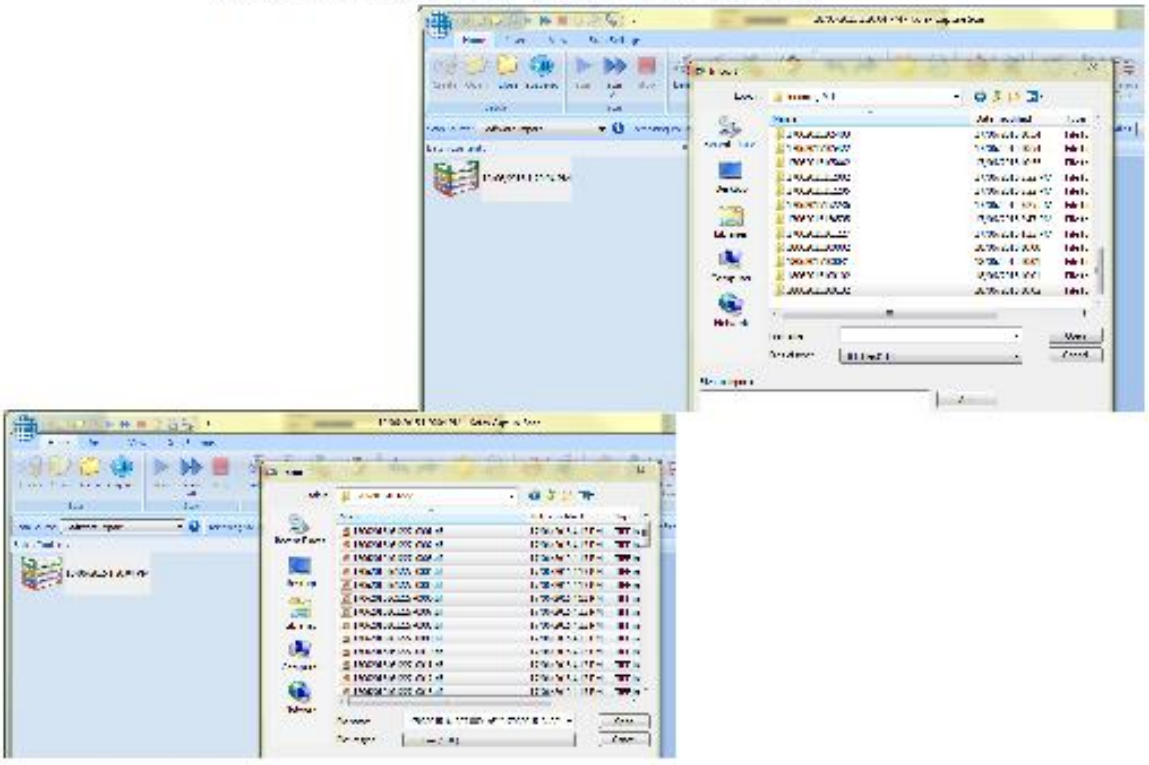
Town of Cottesloe

3. **Import batch file**

- Click ***Process*** and a new scanning screen will appear – *see below.*



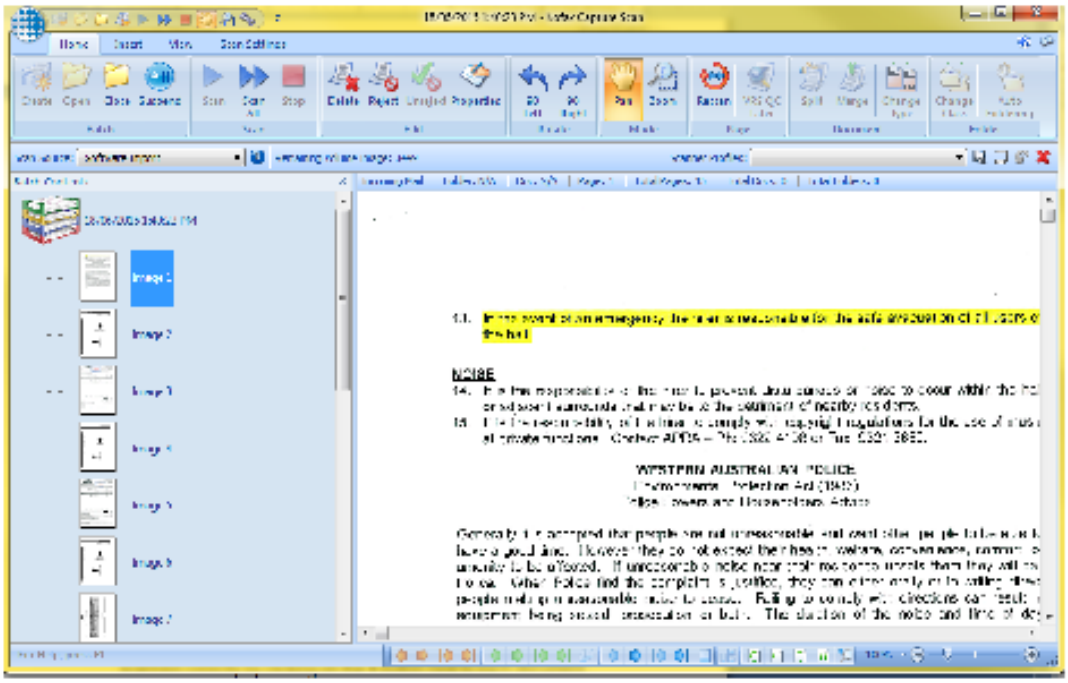
- Click ***Scan All*** - Import Screen will appear
- Select todays batch file
- Select ***open***
- Select all documents (Ctrl + A) – ***Open*** – Import - *see below.*



Town of Cottesloe

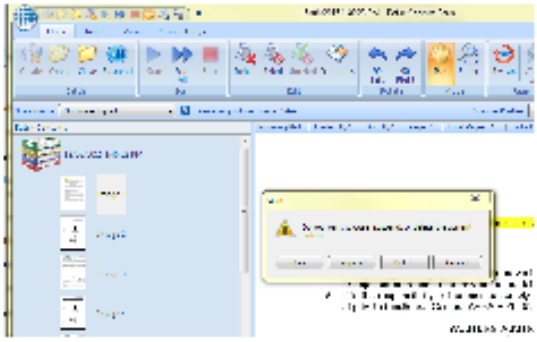
4. **Verify Batch documents**

   - **Once all documents have loaded, check all document to make sure all the pages have been scanned correctly on the screen. (Rotate Document, Delete Blank Page… Etc) – *see below.***



Note - Incorrectly Scanned Document

- **If a document has not scanned correctly it will need to be either rescanned or rotated.**
- **If there are any missing pages they will need to be rescanned.**
- **Blank Pages need to be deleted.**
- **If a document has scanned the wrong way, right click on the page – select – Rotate – then select the direction for rotation.**

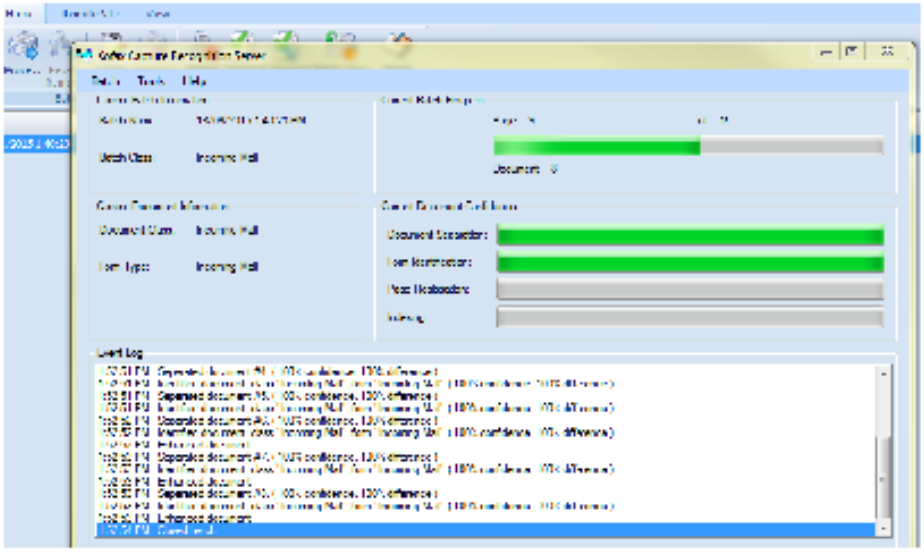


5. **Saving Scanned Batch to a Document Queue**

   - **Close that screen – Click X**

Town of Cottesloe

- Click ***Close***



- Click ***Process*** – *see below*
- *Once the screen disappears, click* ***Process*** *again (3 times).*
- Once the Batch has finished its saving, it will disappear from screen.
- Close Batch
- The Scanned documents have now been moved to the ***Document Queue*** in Content Manager (CM10).

APPENDIX 10 - Authorised List of Records for Disposal

MEMORANDUM

Town of Cottesloe

TO: Shane Collie

FROM: Chieko Mizutani

DATE: 5 January 2024

SUBJECT: **Town of Cottesloe Records Destruction Authorisation Form**

Destruction Item: Old Parking Infringement Run (OLD CD 2013 – 2015)

Retain Period: 7 Years (GDAL: 58.5)

The records listed in the attached report are due for destruction in accordance with the General Disposal Authority for Local Government Records.

The Manager of the business unit with functional responsibility for the records should review the list to confirm that the records are no longer required for business purposes.

The signature of the Chief Executive Officer is required to authorise destruction of the records.

Reviewed by Manager:

Name: Shane Collie Title: Director Corporate & Community Services

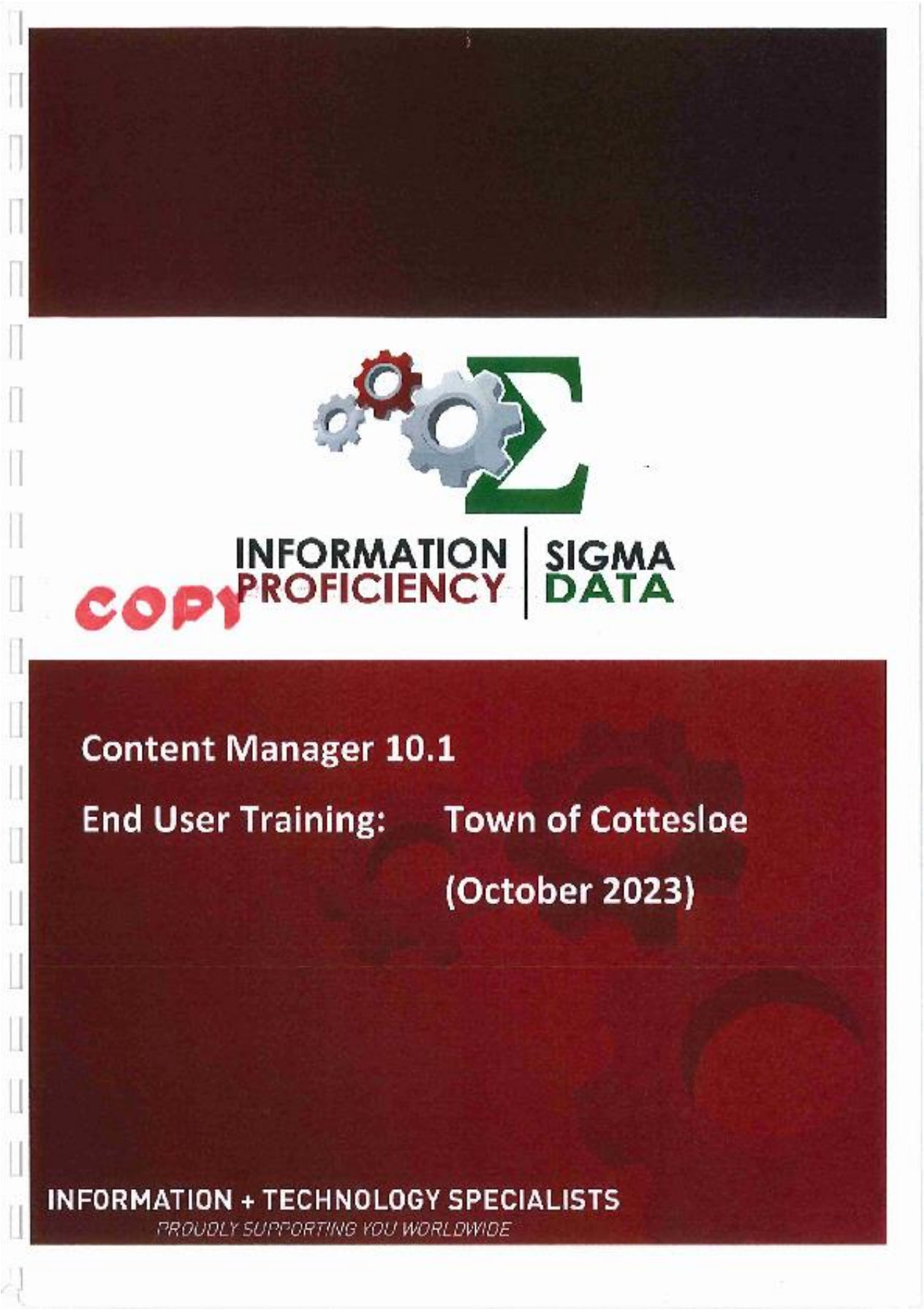
Signature: ..... Date: 4-1-24

Authorised by Chief Executive Officer:

Signature: ..... Date: 8/1/24

109 Broome Street, Cottesloe WA 6011 | P 9285 5000 | E council@cottesloe.wa.gov.au cottesloe.wa.gov.au

APPENDIX 11 - Content Manager Training Manual Contents Page



INFORMATION PROFICIENCY | SIGMA DATA

Course Outline
CM10.1 – End User Training

1. **Introduction**
2. **Overview & Orientation of Content Manager**
   - Customising CM to Suit your Job
   - Views
   - Icons
   - Panes
3. **Advanced Searching**
   - Searching for Records
   - Searching for Locations
   - Saved Searches
   - Filtering
   - Building Searches
   - Search Options
   - Search Editors
4. **Locations**
   - Searching for Locations
   - Creating External Locations
5. **Creating New Records**
   - Record Titling for Retrieval
   - Saving Techniques
   - Metadata (Record Fields) & Why
   - Communications
   - Relating
6. **Electronic Document Management**
   - Editing
   - Emailing Documents
   - Offline Records
   - Work Trays
   - Finalising Documents
   - Sharing Links
7. **Records Maintenance**
   - Basic Data Maintenance
   - Correcting Mistakes
8. **E-mail and Content Manager**
   - Integrating CM Check In Styles with your Email
   - Saving Email
   - How to Link Folders
   - Clearing your Old Email
9. **User Labels**
   - Creating a User Label
   - Modifying a User Label
   - Removing a User Label
   - Applying a User Label
   - Finding Items Using User Labels
   - Removing Labels from Items
10. **Document Queues**
    - Creating Queues
    - Using Queues
11. **Action Tracking**
    - Applying Actions
    - Completing Actions
    - Reassigning Actions
12. **Workflow Activities *(only if applicable)***
    - Applying Activities
    - Completing Activities
    - Reassigning Activities
13. **To Do Items**
    - Creating a to do item
    - Assigning a to do item
    - Completing a to do item
14. **Reports**
    - How to use Reports
    - Report Printing
15. **Alerts**
    - When are they Useful
    - Creating an Alert
    - Modifying an Alert
    - Suspending an Alert
    - Removing an Alert
16. **Customising Content Manager**
    - Setting Personal Options
    - Office Add-Ins

TOWN OF COTTESLOE REPRODUCTION 2023

INFORMATION PROFICIENCY | SIGMA DATA

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QRG.0013	Image Pane Overview & Customisation
QRG.0100	Dashboard
QRG.0099	Explorer
QRG.0002	Shortcut Bar
QRG.0042	Search Methods
QRG.0001	Searching
QRG.0007	Locations
QRG.0026	Naming Conventions
QRG.0103	Recycle Bin
QRG.0011	Electronic Documents
QRG.0041	Related Records
QRG.0009	Versions and Revisions
QRG.0021	Offline Records
QRG.0006	Links / References to Electronic Documents
QRG.0012	Cataloguing Email Check-in Styles & Linked Folders
QRG.0025	User Labels
QRG.0049	File System Document Queues
QRG.0028	Using & Completing Actions & Procedures
QRG.0004	Alerts
QRG.0029	My To Do Items
QRG.0003	Customising

APPENDIX 12 - Excerpt from Annual Report

RECORDS MANAGEMENT

The Town of Cottesloe, as a local government, is required under the State Records Act 2000 to provide an annual report on its recordkeeping practices.

COMMITMENT TO RECORDS MANAGEMENT

The Town of Cottesloe is committed to the reliable and systematic management of government records in accordance with legislative requirements and best practice standards.

RECORDKEEPING PLAN

The purpose of the Recordkeeping Plan (RKP) is to set out the matters about which records are to be created by the Town of Cottesloe and how the Town is to retain its records. The RKP is to provide an accurate reflection of the record keeping program within the organisation including information regarding the organisation's record keeping systems, disposal arrangements, policies, procedures and practises. The RKP is the primary means of providing evidence of compliance with the State Records Act 2000 and the implementation of best practice record keeping within the organisation.

The objectives of the Town of Cottesloe
RKP are to ensure the following:

- Compliance with Section 28 of the State
  Records Act 2000;
- Recordkeeping within the Local Government is moving towards compliance with State Records Commission Standards and Records Management Standard AS ISO 15489;
- Processes are in place to facilitate the complete and accurate record of business transactions and decisions;
- Recorded information can be retrieved quickly, accurately and cheaply when required; and
- Protection and preservation of the Local Government's records.

The Town's Recordkeeping Plan was updated in December 2021.

LOCAL LAWS

The Town continues to review its Local Laws. Local Laws where reviews were commenced or continued in 2022/23 were Parking and Parking Facilities and Dogs Local Law.

The Parking and Parking Facilities Local Law has been finalised and the Dogs Local Law is anticipated to be finalised in early 2024.



APPENDIX 13 - Template Contract Clauses for Outsourced Functions

Town of Cottesloe

Standard Template Clauses in Contracts for Outsourced Functions

RECORDS MANAGEMENT RESPONSIBILITIES

In accordance with the provisions of the State Records Act 2000, records created or collected by the Contractor in the course of undertaking this Contract that are not commercial in confidence, will be deemed a government-owned asset i.e. ownership and propriety interest of said documentation shall remain vested in the Town of Cottesloe's name in perpetuity.

Refer to the Town of Cottesloe's Recordkeeping Policy for the definition of a record.

Recordkeeping

The Contractor shall ensure that it creates, receives, stores and maintains full and complete records in accordance with the State Records Act 2000 (copies of which are available from www.legislation.wa.gov.au), State Records Commission Standards 6 (Outsourced Functions) and 7 (State Archives Retained by Government Organizations) and State Records Office Guideline – Archival Storage Specification as outlined in the Town of Cottesloe's Recordkeeping Plan (and published on the State Records Office of WA's website: www.sro.wa.gov.au); in a format that satisfies the Town of Cottesloe's legislative, business and accountability requirements.

Access to Contractor's Premises and Records

(a) General
The Contractor shall ensure access as reasonably required by the Town of Cottesloe and its representatives, at reasonable times, to the Contractor's premises and data, records, accounts and other contract material and information relevant to the performance of this Contract, however and wherever stored or located, under the Contractor's or its Subcontractors custody, possession or control for inspection and/or copying.
In the case of documents or records stored on a medium other than in writing, the Contractor shall make available on request and at no additional cost to the Town of Cottesloe such reasonable facilities as may be necessary to enable a legible reproduction to be created.

The Town of Cottesloe shall give the Contractor reasonable notice that access is required together with an indication of which documents and/or class of documents are required; except for those circumstances in which notice is not practicable or appropriate (e.g. caused by regulatory request with shorter notice or investigation of theft or breach of this Contract).

The Contractor shall provide all assistance reasonably requested by the Town of Cottesloe in respect of any inquiry into or concerning this Contract, For these purposes an inquiry includes any administrative or statutory review, audit or inquiry (whether within or external



to the Town of Cottesloe), any request for information directed to the Town of Cottesloe, any request under the Freedom of Information Act directed to the Town of Cottesloe and any inquiry conducted by Parliament, any Parliamentary committee or a Government integrity body.

The Contractor shall ensure that any subcontract entered into for the purpose of this Contract contains an equivalent clause granting the rights specified in this Clause with respect to the Subcontractor's premises, data, records, accounts and other contract material and information and those of its employees, agents or Subcontractors.

(b) Confidential Information
The Contractor and the Town of Cottesloe will treat as confidential any record of or relating to this Contract and the Town of Cottesloe and Contractor. Neither party will disclose any such information unless:

1. (i) The disclosure is required for the Town of Cottesloe and/or the Contractor to respond to a request from an internal or external audit or a Government integrity body (e.g. WA Ombudsman, Crimes and Corruption Commission.);
2. (ii) Compelled to do so by law;
3. (iii) The record is already legally in the public domain;
4. (iv) The Town of Cottesloe and the Contractor have consented to the disclosure; subject to any conditions a party may impose as it thinks fit; or
5. (v) The disclosure to a third party is required for the purpose of complying with and carrying out the requirements and obligations of this Contract.

Access to Records - Public

The Contractor, its employees, agents or Subcontractors on receipt of any request by the public for access to this Contract's records; shall forward the request in writing to the Town of Cottesloe. The Town of Cottesloe shall be responsible for answering and/or complying with any such requests for access to this Contract's records.

Access to Records - Contractor

The Town of Cottesloe shall ensure access or provide copies (in accordance with the Contractor's entitlement stated elsewhere in this Contract) of as required by the Contractor and its representatives, at reasonable times to the Town of Cottesloe's data, records and other contract material and information relevant to the performance of this Contract,

Records – Return/Provision of

The Contractor shall, at the Town of Cottesloe's request or on completion, expiry or termination of this Contract, provide and/or return to the Town of Cottesloe the following records; including but not limited to contract variation documents, as constructed drawings, operating manuals and/or instructions, warranties, maintenance records and a detailed



subcontractor listing that were created, received, stored and maintained during the course of this Contract.

Survival

The obligations under this Clause continue from the expiry or termination of this Contract for a period in accordance with the requirements of the State Records Office's General Disposal Authority for Local Government Records available from their website www.sro.wa.gov.au or until such time that all records have been returned or transferred to the Town of Cottesloe's records management system.