



Town of Cottesloe

# Town of Cottesloe

## RECORDKEEPING PLAN

2016



# TABLE OF CONTENTS

Introduction.....	4
<b>1 Principle One: Proper and Adequate Records .....</b>	<b>6</b>
1.1 Historical Background .....	6
1.2 Strategic Focus and Main Business Activity .....	7
1.3 Functions, including those Outsourced.....	9
1.4 Major Stakeholders.....	9
1.5 Enabling Legislation.....	9
1.6 Legislation and Regulations Administered by the Town of Cottesloe .....	9
1.7 Other Legislation Affecting the Town of Cottesloe.....	9
1.8 Major Government Policy and/or Industry Standards .....	9
<b>2 Principle Two: Policies and Procedures .....</b>	<b>10</b>
2.1 Records Management and Business Information Systems.....	10
2.1.1 Records Management System .....	10
2.1.2 Business Information Systems .....	10
2.2 Records Management Policy and Procedures .....	11
2.3 Certification of Policies and Procedures .....	12
2.4 Evaluation of Policies and Procedures .....	12
<b>3 Principle Three: Language Control.....</b>	<b>13</b>
3.1 Keyword for Councils Thesaurus Implemented.....	13
3.2 Assessment of its Effectiveness.....	13
3.3 Identified Areas for Improvement .....	13
<b>4 Principle Four: Preservation .....</b>	<b>14</b>
4.1 Assessment of the Risks .....	14
4.1.1 On Site Storage.....	14
4.1.2 Offsite Storage .....	14
4.1.3 Storage of Archives.....	15
4.1.4 Storage of Backups .....	15
4.1.5 Quantity of Records .....	15
4.1.6 Security and Access.....	15
4.2 Assessment of the Impacts of Disasters .....	15
4.3 Strategies in Place for Preservation and Response .....	15
4.3.1 Vital Records Program .....	16
4.3.2 Backup Procedures for Electronic Records .....	16
4.3.3 Security.....	17
4.3.4 Storage Reviews .....	17
4.3.5 Recovery of lost Information .....	17
4.4 Areas Identified for Improvement .....	18
<b>5 Principle Five: Retention and Disposal.....</b>	<b>19</b>

5.1	Retention and Disposal Schedule/Sector Disposal Authority .....	19
5.2	Disposal of Source Records.....	19
5.3	Existing Ad Hoc Disposal Authorities .....	19
5.4	Existing Disposal Lists .....	19
5.5	Restricted Access Archives .....	19
5.6	Archives not Transferred to the SRO .....	19
5.7	Disposal Program Implemented.....	19
5.8	Authorisation for Disposal of Records.....	20
5.9	Identified Areas for Improvement .....	20
6	Principle Six: Compliance .....	21
6.1	Staff training, Information Sessions .....	21
6.2	Performance Indicators in Place .....	21
6.3	Agency’s Evaluation.....	23
6.4	Annual report .....	23
6.5	Identified Areas for Improvement .....	23
7	SRC Standard 6: Outsourced Functions .....	24
7.1	Outsourced Functions identified .....	24
7.2	Recordkeeping Issues Included in Contracts .....	24
7.2.1	Planning.....	24
7.2.2	Ownership .....	24
7.2.3	Control .....	24
7.2.4	Disposal.....	24
7.2.5	Access .....	25
7.2.6	Custody.....	25
7.2.7	Contract Completion .....	25
7.3	Areas Identified for Improvement .....	25
8	APPENDIX 1 - Functions of the Local Government .....	26
9	APPENDIX 2 – Legislation, Regulations, and Local Laws of the Town of Cottesloe .....	29
10	APPENDIX 3 – Other Legislation and Regulations .....	31
11	APPENDIX 4 - Government and Industry Standards and Codes of Practice .....	32

## Introduction

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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 organization's Recordkeeping Plan and a review of it.

State Records Commission (SRC) Standard 1 – *Government Recordkeeping* requires that government organizations 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 – *Recordkeeping Plans* comprises six recordkeeping principles each of which contains minimum compliance requirements.

The purpose of this Recordkeeping Plan 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 recordkeeping program within the organization, including information regarding the organization's recordkeeping 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 recordkeeping within the organization.

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

- 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 the
- Protection and preservation of the Local Government'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 of the Town of Cottesloe's:

- Employees;
- Contractors;
- Organizations performing outsourced services on behalf of the Town of Cottesloe; and
- Elected members.

**NOTE:** The policy approach of the State Records Commission in monitoring the recordkeeping obligations in respect to Local Government elected members is:

***“In relation to the recordkeeping 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.”***

This Recordkeeping Plan supersedes RKP2010062 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) any thing 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

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*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 beginning of local government in Cottesloe dates back to the first meeting of the Cottesloe Roads Board held in December 1895 held at a butcher's shop on the Perth-Fremantle Road (Stirling Highway). In 1904 the board vacated the shop and moved to a wooden hall in Jarrad Street, and three years later the Cottesloe Municipal Council came into being. It was not however, until 1929 that a brick structure was erected and the Council was able to enjoy better premises. In 1911 Mr Claude de Bernales purchased Judge Pennefather's property and renamed it Overton Lodge. Mr de Bernales transformed the Lodge into a Spanish style mansion that has become the principle building of Cottesloe – better known nowadays as the Cottesloe Civic Centre.

Mr de Bernales was forced to dispose of his assets following the collapse of his companies in 1949 and the Municipality of Cottesloe purchased Overton Lodge in 1950. After some structural alterations, it was renamed the Cottesloe Memorial Town Hall and Civic Centre and officially opened by WA's Governor, Sir James Mitchell on 30 September 1950.

The first decade of the 1900's saw a change in the status and further development of Cottesloe. With the intention of attracting new residents, the Roads Board developed and promoted the beach front. However issues soon arose over beach attire and behaviour including the contentious issue of mixed bathing. Safety then became the dominant concern, leading to the formation of volunteer lifesaving patrols in 1908, which in turn led to the formation of the Cottesloe Life Saving and Athletic Club and the erection of a clubhouse.

As the community grew, churches and places of worship were constructed, several new charitable institutions opened (including a school for deaf and dumb children and the Lady Lawley Cottage) and another primary school opened. The Ocean Beach Hotel opened in January 1908 and the Hotel Cottesloe was built in 1905. Both establishments have maintained their positions and popularity to the present day. Sport and leisure activities became popular in the area, and the Cottesloe Golf Club was formed in 1908.

### **Town of Cottesloe Organisational History:**

#### ***Cottesloe Roads Board 1895-1907***

Dates of Existence: 02-11-1895 to 27-09-1907

History: Cottesloe Road Board came into being on 2 November 1895. A Board of seven members was elected later that month. The district was divided into South, North and East Wards in 1903.

***Municipality of Cottesloe 1907-1961***

Dates of Existence: 27-09-1907 to 23-07-1961

History: A successful petition for the Cottesloe Road Board to be made a Municipality was gazetted on 18 September 1907 and this was carried by Order of Council on 27 September 1907. A fourth Ward (Central) came into being in 1930.

***Town of Cottesloe 1961 - current***

Dates of Existence: 23-07-1961 to current

History: Due mainly to 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**

**“To preserve and improve Cottesloe’s natural and built environment and beach lifestyle by using sustainable strategies in consultation with the community.”**

The Town’s mission is to preserve and improve Cottesloe’s natural and built environment and beach lifestyle by using sustainable strategies in consultation with the community. Our underpinning principles are sustainable development, community participation, good governance and cooperation.

A summary of the Town of Cottesloe strategic focus and business activities is below. Full details can be found in the Town of Cottesloe Strategic Community Plan 2013 to 2023 published on the Town of Cottesloe website.

**Priority Area 1: Protecting and enhancing the wellbeing of residents and visitors**

- 1.1 Develop an ‘integrated transport strategy’ that includes cycling, park and ride, Cott Cat, public transport and parking management strategies to meet the needs of pedestrians, cyclists and other non-vehicular traffic.
- 1.2 Continue working with licensed premises to manage noise, parking and antisocial behaviour.
- 1.3 Identify places to host more cultural events and activities.
- 1.4 Continue to improve community engagement.
- 1.5 Continue to improve access and inclusion of aged persons and those with disabilities.

**Priority Area 2:** Achieving connectivity between east and west Cottesloe

- 2.1 Proactively pursue solutions for Curtin Avenue and the railway
- 2.2 Produce a draft Structure Plan for consultation purposes showing the sinking of the railway and realignment of Curtin Avenue together with 'what's possible' in terms of sustainable redevelopment and pedestrian and traffic links and Town Centre integration
- 2.3 Promote an engineering and financial feasibility study within the preferred solution

**Priority Area 3:** Enhancing beach access and the foreshore

- 3.1 Implement the 'Foreshore Redevelopment Plan' in consultation with the community.
- 3.2 Continue to improve access to beach facilities.
- 3.3 Improve dune conservation outside the central foreshore zone (implement NAMP).
- 3.4 Increase public transport services and solutions for moving people to and from the beach area.
- 3.5 Develop a parking strategy for the beach precinct.

**Priority Area 4:** Management Development

- 4.1 Implement/apply planning incentives for heritage properties
- 4.2 Consider undeveloped Government owned land for higher density development provided there is both public support and benefit for the Cottesloe community.

**Priority Area 5:** Providing sustainable infrastructure and Community Amenities

- 5.1 Develop sustainability and capacity criteria to assess major strategies.
- 5.2 Manage assets that have a realisable value.
- 5.3 Implement the Town Centre Public Domain Infrastructure Improvement Plan.
- 5.4 Maximise income from non-rates sources.
- 5.5 Develop a long term asset management plan.

**Priority Area 6: Providing open and accountable local governance**

- 6.1 Ongoing implementation of Council's community consultation policy.
- 6.2 Continue to deliver high quality governance, administration, resource management and professional development.
- 6.3 Implement technologies to enhance decision making, communication and service delivery
- 6.4 Enhance the Town's ability to embrace and manage change

**1.3 Functions, including those Outsourced**

The Town of Cottesloe carries out a complex range of functions in its service to the Community. Some of these functions are outsourced. Appendix 1 contains a comprehensive list of all Local Government functions and identifies any outsourced functions.

**1.4 Major Stakeholders**

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

**1.5 Enabling Legislation**

The Town of Cottesloe was established under, and operates in accordance with the *Local Government Act 1995*.

**1.6 Legislation and Regulations Administered by the Town of Cottesloe**

A list of the legislation and regulations administered by the Town of Cottesloe is provided in Appendix 2.

**1.7 Other Legislation Affecting the Town of Cottesloe**

A list of other legislation and regulations affecting the functions, operations and recordkeeping of the Town of Cottesloe can be found in Appendix 3.

**1.8 Major Government Policy and/or Industry Standards**

A list of government and industry standards and codes of practice that are imposed on or adopted by the Town of Cottesloe can be found in Appendix 4.

## 2 Principle Two: Policies and Procedures

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*Government organisations ensure that recordkeeping programs are supported by policy and procedures.*

### 2.1 Records Management and Business Information Systems

The Town of Cottesloe stores corporate records with TRIM. Corporate records are initiated through several interfaces including Authority, Encapsulate, and a parking infringement database.

#### 2.1.1 Records Management System

TRIM was implemented in early 2007 as the Town of Cottesloe's electronic document management system. The original implementation catered for both electronic and paper based content.

In December 2009, the Town increased its electronic management of records with the exception of Vital Records, Human Resource (Personnel Files) and Building/Planning Applications. Additionally scanning and day batching was put in place.

In 2016 all remaining subject matter physical files were closed and moved to Iron Mountain (Off Site). Most vital records are stored electronically with the exception of documents with ink signatures.

Development services has committed to increased electronic document management in 2016.

The increased management of content electronically has improved and enhanced the usage of TRIM by Cottesloe employees and contractors.

The Town of Cottesloe is constantly looking of ways to develop its records management system. As a result an upgrade from TRIM version 7.3 to HPE Records Manager 8.3 has been scheduled for the 2016/2017 financial year.

#### 2.1.2 Business Information Systems

HP TRIM, integrated with Civica's Authority delivers a consistent view to effectively manage Council's business operations including a central register of contacts and property information. Access to the information is enabled via both Authority and TRIM.

Authority is designed specifically to support local government business activities. The Town of Cottesloe is using Authority to automatically generate templated letters, attachments and correspondence on council activities such as Animals, Parking, Rates, Building Approvals, Planning Approvals and Health Registrations. Authority passes the documents generated and specific metadata to TRIM to be stored.

TRIM is the primary record keeping system storing all content generated in performing council functions.

Encapsulate is used for the collation of reports for Council meeting Agendas and Minutes. All finalized and accepted minutes are stored in TRIM.

Civica's Authority program is used for the Finance System at the Town of Cottesloe. This includes Rates, Debtors, Creditors, Payroll, Animals, Infringements, Development/Building Applications, Trust Deposits, General Ledger, Assets and Purchasing data. Documents are linked via Trim for many of these modules. All finalised documents are stored in TRIM.

## 2.2 Records Management Policy and Procedures

The creation and management of the Town of Cottesloe's records is coordinated by the Manager Community and Corporate Services.

The policy and procedures manual covers the following recordkeeping activities:

**Table 2.1**

<b>Recordkeeping Activities for the management of hard copy records and covered in the Town of Cottesloe's Policies and Procedures</b>	<b>YES</b>	<b>NO</b>
<b>Correspondence capture and control</b> – 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.	✓	
<b>Digitization</b> – including categories of records digitized; disposal of source records; digitization specifications. See <i>General disposal authority for source records</i> ;	✓	
<b>Mail distribution</b> – including frequency, tracking mechanisms and security measures.	✓	
<b>File creation and closure</b> – including assigned responsibility and procedures for both physical and automated file creation.	✓	
<b>Access to corporate records</b> – procedures for access to and security of corporate records.	✓	
<b>Authorised disposal of temporary records and transfer of State archives to the State Records Office (SRO)</b> – any assigned responsibilities.	✓	
<b>Electronic records management</b> – including the organization's approach and methodology for the capture and management of its electronic records (e.g. print and file, identification of the official record, use of EDRMS, hybrid system etc).	✓	

Recordkeeping Activities for the management of hard copy records and covered in the Town of Cottesloe's Policies and Procedures	YES	NO
<b>Email management</b> – including the capture, retention and authorised disposal of email messages to ensure accountability. Should indicate whether the organization is utilising a document management system or hard copy records system (e.g. print and file, identification of the official record, use of EDRMS, hybrid system etc.)	√	
<b>Website management</b> i) Including guidelines to determine which is the complete and accurate record, particularly in regard to the purpose of the site (e.g. whether informational/transactional). ii) Responsibility for the website and strategies implemented for the management of the website over time, including capture of periodic snapshots of the site and mechanisms for recording website amendments.	√	
<b>Metadata management</b> – including authority for the capture and control of metadata.	√	
<b>System/s management</b> – including any delegations of authority for the control and security of systems utilised by the organization (e.g. provision of access to systems through individual logins and passwords, protection of servers etc).	√	
<b>Migration strategy</b> – 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. <i>See Public Records Policy: 8 – Policy for the ongoing management of electronic records designated as having archival value.</i>	√	

### 2.3 Certification of Policies and Procedures

Evidence of formal authorisation that the policies and procedures are in place and promulgated throughout the Town of Cottesloe is provided by the copy of the certification document signed by the CEO.

### 2.4 Evaluation of Policies and Procedures

The recordkeeping 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**

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*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, ensuring all files are named in a systematic and consistent way. The Records Manager is responsible for applying the thesaurus to file titles.

The thesaurus is available for use by all staff when searching within TRIM. Files 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 to the Thesaurus.

## 4 Principle Four: Preservation

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*Government organisations ensure that records are protected and preserved.*

### 4.1 Assessment of the Risks

#### 4.1.1 On Site Storage

The Town of Cottesloe has its current and active hardcopy records located in onsite storage within the office and Depot. The storage facility includes:

Administration Office located in Cottesloe:

- Metal compactuses with metal shelving,
- Fire retardant safe with wooden shelving,
- Secure premises and locked compactuses,
- Fire detection system and fire retardant doors, and
- Air-conditioning for approximately 10 hours per day.

Note: These records relate to Building, Planning and Property Files only.

Depot Site located in Fremantle:

- Secure premises,
- Fire detection system, and
- Air-conditioning for approximately 10 hours per day.

Note: All records are scheduled to be sent to offsite storage by the end of 2016, including Council Minutes.

The main disaster threatening records stored onsite comes from Criminal Behavior, Structural/Building Failure and Information Technology Disasters. With the storage conditions as described here the risk is assessed as low.

#### 4.1.2 Offsite Storage

The Town of Cottesloe has its non-current, inactive and archival records located in an offsite storage facility at Iron Mountain located in Welshpool.

Iron Mountain is an approved State Government Commercial Storage provider. Records stored at this facility are deemed to be stored in accordance with State Records Office Guidelines. The facility features:

- Entrance to buildings and warehouse areas is available only through restricted access points, and restricted to Iron Mountain personnel (identifiable by distinctive uniforms and/or id passes). All visitors are signed in at reception and issued with passes (after signing the visitors register) and are supervised at all times when on-site. All access points are controlled via key locks, pin codes or magnetic swipe cards. Magnetic reed switches and/or infrared detectors are also used. Electronic and manual access logs are maintained.
- Sprinkler systems specifically designed for the unique characteristics of the facility including “In rack” sprinkler systems with total building and loading dock coverage. Multiple hose reels are located at entry points and inside racking on every level.
- Metal/wood shelving on the bottom floor and upper floors are metal shelving.

The main disaster threatening records stored at the offsite records storage facility comes from fire, flood, vandalism or pests. With the storage conditions as described here the risk is assessed as low.

#### **4.1.3 Storage of Archives**

The Town of Cottesloe is aware of the newly released Directions for keeping hard copy State archives awaiting transfer to the State Records Office (June 2016). The Town of Cottesloe will review and apply the requirements before July 2016.

#### **4.1.4 Storage of Backups**

Electronic backups and server imaging of the Town of Cottesloe's computer records are stored onsite, and replicated offsite to the Managed IT services main office on a daily basis.

#### **4.1.5 Quantity of Records**

The Town of Cottesloe has custody of:

- 170.7 metres of temporary and archive records stored onsite; and
- 208.50 metres of temporary and archive records stored offsite.

Further work is required to establish a breakdown of archives stored onsite/offsite.

#### **4.1.6 Security and Access**

The following measures are in place at the Town of Cottesloe to ensure the security of records storage areas, both hard copy and electronic and authorised access to them:

##### ***Physical***

All physical files are stored within locked compactuses, cabinets or a fire retardant safe. Access must be requested via the custodian or Records Manager. The risk of unauthorised access is assessed as low.

##### ***Electronic***

All files are allocated security upon creation. All documents inherit security based on the file. Role based security and access is applied to all staff, which in turn manages security and access to electronic records. A comprehensive audit log of all items accessed is maintained within TRIM. The risk of unauthorised access is 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 Town'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/Contracts;
- Bank Guarantees;
- Caveats;
- Certificate of Titles;
- Certified Copy of Annual Financial Statement;
- Certified Copy of Annual Report;
- Certified Copy of Budget;
- Certified Copy of Town Planning Scheme and Amendments;
- Council Minutes and Agendas;
- Deeds;
- Insurance Policy/Certificates;
- Leases;
- Local Laws;
- Memorandum of Understanding;
- Personnel Files;
- Policies;
- Rate Books; and
- Vesting Orders.

Vital records in hard copy are stored in a locked, fire resistant safe, accessible to the Records Manager. These records have been scanned and stored on the relevant TRIM files for regular access.

A live register of vital records is recorded in TRIM and can be generated as required. A regular review of vital records is carried out to ensure vital records are not misplaced and are expired out appropriately.

#### 4.3.2 Backup Procedures for Electronic Records

The current Town of Cottesloe backup procedure consists of daily onsite backups and replicates offsite to the Managed IT services office, immediately after each backup. These backups are automatically tested daily by the backup software, and manually tested at the end of each month.

The backup process follows:

- Monday – Sunday: Incremental backups are run overnight
- Monday – Sunday: Backups are replicated offsite
- Monday – Sunday: Backups onsite are tested by the backup software
- Every Friday a Synthetic Full backup (for the week) is created
- Monday – Friday: Backups are checked manually and any issues are resolved
- A restore from backup is performed monthly to test restoring files and booting virtual machines

All virtual machines can be restored directly from backups, as well as AD information and exchange emails.

### 4.3.3 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 secure room accessible only to the Records Manager.
- Hard copy records stored offsite at a commercial facility located at Iron Mountain in Welshpool.
- Electronic records have varying degrees of access depending on delegations assigned to staff within the organisation. Electronic records are backed up on a regular basis as described previously.

### 4.3.4 Storage Reviews

The storage facility utilised by the Town of Cottesloe is reviewed regularly to ensure that conditions are appropriate for the organisation's records. This review process occurs on a yearly basis.

The most recent review was conducted in January 2016 as a result of a change to the State Government Storage provider agreement. Even though Iron Mountain was not included, they have been deemed to maintain storage with acceptable conditions and remain comparable with other storage providers.

### 4.3.5 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.

The strategies include:

- Recovery of backed up information process: Managed IT is advised of the information which requires recovering, including the date and time. The tape containing this particular information is located, either from onsite or offsite repository. A restore of the information is performed to the location of choice. In the event of a full system failure the system will be recovered from a system image, which is taken daily and located both on and offsite.
- Vital Records are scanned and stored in TRIM electronically. The original physical item is kept at the Town of Cottesloe in a fire retardant safe.
- All records are stored electronically where possible and can be re-created as required.
- A disaster recovery kit is scheduled to be implemented in 2016.

#### 4.4 Areas Identified for Improvement

The following items have been identified for improvement:

- Review and apply the newly released Directions for keeping hard copy State archives awaiting transfer to the State Records Office (June 2016) - Expected completion date: July 2017.
- Implement a disaster recovery kit – Expected completion date: December 2016.
- Establish a breakdown of archives stored onsite and offsite – Expected completion date: July 2017.
- Send all remaining physical records to offsite storage including Council Minutes – Expected completion date: December 2016.
- Revise the Records Disaster Recovery Plan - Expected completion date: July 2017.

## 5 Principle Five: Retention and Disposal

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

### 5.1 Retention and Disposal Schedule/Sector Disposal Authority

The Town of Cottesloe uses the General Disposal Authority for Local Government Records RD2010046, 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. The original hard copy correspondence, once reproduced electronically, will be treated as copies/duplicates and as such will be retained for 6 months to meet operational requirements and then destroyed.

This process will be reviewed to ensure compliance with the newly released guidelines during 2016.

### 5.3 Existing Ad Hoc Disposal Authorities

The Town of Cottesloe does not have any Ad Hoc disposal authorities.

### 5.4 Existing Disposal Lists

The Town of Cottesloe does not have any existing 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 Archives not Transferred to the SRO

Under s32(1) of the *State Records Act 2000*, a government organisation is required to transfer its archives to the State archives collection when those archives become twenty-five (25) years old. The Town of Cottesloe has not identified any State archives that will not be transferred to the SRO for permanent preservation.

### 5.7 Disposal Program Implemented

The Town of Cottesloe has not implemented the General Disposal Authority for Local Government Records. A regular disposal program is not carried out.

## **5.8 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 CEO and authorised for destruction or transfer.

## **5.9 Identified Areas for Improvement**

The following items have been identified for improvement:

- Implement the new GDALG 2016001 – Expected completion date: December 2016.
- Apply the new GDALG 2016001 to files within TRIM – Expected completion date: December 2016.
- Review the Disposal of Source Records process to ensure compliance with the newly released 2016 guidelines – Expected completion date: December 2016.
- Implement a regular disposal program carried out monthly – Expected completion date: July 2017.
- Provide a recent authorised list of records for disposal to the State Records Office as evidence of a regular disposal program and authorised disposal – Expected completion date: July 2017.

## 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 recordkeeping 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 Local Government's recordkeeping program are conducted. These are delivered to all staff on a regular basis.	✓	
In-house recordkeeping training sessions for staff are conducted.	✓	
From time to time an external consultant is brought in to run a recordkeeping 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 Local Government provides highlight issues, or bring particular recordkeeping matters to staff attention.	✓	
The Local Government's Intranet is used to publish recordkeeping information, highlight issues, or bring particular recordkeeping matters to staff attention.		✓
The Local Government's Induction Program for new employees includes an introduction to the Local Government's recordkeeping system and program, and information on their recordkeeping 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.

### 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 recordkeeping systems:

## Records Management Performance Indicators Report

Indicator	Item	Target	Yes/No or Number	Comments
<b>ANNUALLY</b>				
1	Performance	<b>Presence of documented processes.</b> All policies and procedures existing and current according to Recordkeeping Plan	100%	
2	Reliability	<b>Trend in record creations</b> – comparison of records created against previous year = same or better as previous year	Retain satisfaction level	
3	Responsiveness	<b>Investment in staff training.</b> Training completed against identified training plan	80% formal training achieved	
<b>MONTHLY</b>				
4	Promptness	<b>Staff Inductions completed on time.</b> Review calendar to determine staff inductions completed on time.	100% completed on time	
5	Promptness	<b>File creation actioned within set timeframe</b>	24 hours from time of creation request	
6	Promptness	<b>Urgent file creations actioned within set time frame</b>	12 hours from time of creation request	
7	Promptness	<b>Mail Services</b> – Incoming mail delivered (sorted) accurately	No more than 2 complaints per month	
8	Promptness	<b>Mail Services</b> – Incoming mail delivered same day	By 12noon Daily	
9	Promptness	<b>Mail Services</b> – Council email and faxes registered and delivered same day	3 Times Daily	
10	Promptness	<b>Delivery of files held in offsite storage within set time frame</b>	72 hours from time of request	
11	Confidence	<b>Availability of information system</b> – Availability from 7.30am to 5.30pm Monday to Friday	99% up time	
12	Confidence	<b>Ability to locate all registered corporate records</b>	1% missing accepted	
13	Confidence	<b>Quality metadata capture in mail registration.</b> TRIM search mail registered per month.	5 bad entries per month	
14	Confidence	<b>Quality metadata capture in record creation.</b> TRIM search mail created by employees per month.	5 bad entries per month	
15	Quantity	<b>Number of records created in TRIM.</b> TRIM Search all records created by all employees each month.	Increase on Previous Month	
16	Quantity	<b>Number of files created in TRIM.</b> Trim Search all files that have been created by the Records Manager each month.	N/A	
17	Quantity	<b>Number of records destroyed.</b> TRIM Search all files and documents that have been destroyed each month.	Decrease on Previous Month	
18	Quantity	<b>Number of Staff Inducted.</b> Report on all Inductions Completed for each month	N/A	

## Records Management Performance Indicators Staff Survey Results

Indicator	Item	Target	Yes/No	Comments	
1	Performance	<b>Retrieval Rate on Internal Data.</b> The retrieval rate on internal data is very bad (1), bad (2), acceptable (3), good (4) or very good (5)	90% Good		
2	Reliability	<b>Level of customer satisfaction.</b> What is your view on the recordkeeping program's ability to consistently meet needs, its dependability and its trustworthiness – very bad (1), bad (2), acceptable (3), good (4) or very good (5)	90% Good		
3	Promptness	<b>Level of customer satisfaction –</b> Please rate the timeliness of delivery, particularly for short turn around times – very bad (1), bad (2), acceptable (3), good (4) or very good (5)	90% Good		
4	Responsiveness	<b>Level of customer satisfaction –</b> What is your view on the recordkeeping program's ability to react to specific needs, awareness, willingness and alertness – very bad (1), bad (2), acceptable (3), good (4), very good (5)	90% Good		
5	Confidence	<b>Customer satisfaction levels.</b> How do you rate the reputation, assurance, credence and dependability of the recordkeeping program – very bad (1), bad (2), acceptable (3), good (4) or very good (5)	90% Good		
<b>AD HOC</b>					
	Responsiveness	<b>Level of customer service –</b> Are you satisfied with today's service	90% Good		

### 6.3 Agency's Evaluation

On the basis of regular staff feedback the recordkeeping systems are assessed as being efficient and effective within the organisation.

A more formal evaluation will be implemented using performance indicators.

### 6.4 Annual report

An excerpt from the Town of Cottesloe's latest Annual Report is attached, demonstrating the organisation's compliance with the *State Records Act 2000*, its Recordkeeping Plan and the training provided for staff.

Training will be reported in future Annual Reports.

### 6.5 Identified Areas for Improvement

The following items have been identified for improvement:

- Revise performance indicators and implement regular monitoring – Expected completion date: July 2017.
- Revise the Annual Report to include a report on training provided to staff in accordance with the requirements of Principle 6 – Expected completion date: 2016 Annual Report.

## 7 SRC Standard 6: Outsourced Functions

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*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 organisation's 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

A comprehensive list of outsourced functions can be found in Appendix 1.

### 7.2 Recordkeeping Issues Included in Contracts

Excerpts of clauses addressing recordkeeping issues in contracts for outsourced functions have been identified.

#### 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 recordkeeping standards, policies, procedures and guidelines stipulated by the Town of Cottesloe.

#### 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 Town of Cottesloe's approved Retention and Disposal Schedule or the General Disposal Authorities published by the SRO.

### **7.2.5 Access**

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

### **7.2.6 Custody**

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

*All records created in the performance of and pertaining to the contract/agreement identified as local government records in the custody of the contractor must be maintained in accordance with the Town of Cottesloe's record keeping policies.*

### **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:

*All records identified as being state records pertaining to the contract/agreement shall be delivered to the Town of Cottesloe at the completion of the contract/agreement.*

## **7.3 Areas Identified for Improvement**

No items have been identified for improvement.

## 8 APPENDIX 1 - Functions of the Local Government

Functions of the Local Government			
<i>Function</i>	<i>Brief Description of LG Function</i>	<i>Performed by the LG</i>  <i>Tick If Yes</i>	<i>Performed by an External Agency</i>  <i>Tick If Yes</i>
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.	✓	✓

<b>Functions of the Local Government</b>			
<b>Function</b>	<b>Brief Description of LG Function</b>	<b>Performed by the LG</b> <b>Tick If Yes</b>	<b>Performed by an External Agency</b> <b>Tick If Yes</b>
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.	✓	✓
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.	✓	✓

<b>Functions of the Local Government</b>			
<b>Function</b>	<b>Brief Description of LG Function</b>	<b>Performed by the LG</b> <b>Tick If Yes</b>	<b>Performed by an External Agency</b> <b>Tick If Yes</b>
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.		✓

## 9 APPENDIX 2 – Legislation, Regulations, and Local Laws of the Town of Cottesloe

Legislation and Regulations that may be wholly or partly administered by Local Government, And Local Laws of the Local Government	
<i>Legislation, Regulations and Local Laws</i>	<i>Tick if YES, the LG administers</i>
Agriculture and Related Resources Protection Act 1976	
Animal Welfare Act 2002	
Building Act 2011	✓
Building Regulations 2012	✓
Bush Fires Act 1954	✓
Bush Fire Regulations	✓
Caravan Parks and Camping Grounds Act 1995	✓
Caravan Parks and Camping Grounds Regulations 1997	✓
Cat Act 2011	✓
Dangerous goods safety Act 2004	
Disability Services Act 1993	✓
Dog Act 1976	✓
Dog Regulations 2013	✓
Emergency Management Act 2005	
Environmental Protection Act 1986	✓
Environmental Protection (Noise) Regulations 1997	✓
Food Act 2008	✓
Food Regulations 2009	✓
Hairdressing Establishment Regulations 1972	✓
Health Act 1911	✓
Health Regulations	✓
Heritage of Western Australia Act 1990	✓
Land Administration Act 1997	✓
Litter Act 1979	✓
Liquor Control Act 1988	✓
Local Government Act 1995	✓
Local Government (Miscellaneous Provisions) Act 1960	✓
Local Government Grants Act 1978	
Local Government Regulations	

Legislation and Regulations that may be wholly or partly administered by Local Government, And Local Laws of the Local Government	
<i>Legislation, Regulations and Local Laws</i>	<i>Tick if YES, the LG administers</i>
Main Roads Act 1930	✓
Parks and Reserves Act 1895	
Planning and Development Act 2005	
Radiation Safety Act 1975	✓
Radiation Safety Regulations	
Rates and Charges (Rebates and Deferments) Act 1992	✓
Rights in Water and Irrigation Act 1914	✓
Residential Design Codes of WA	✓
Road Traffic Act 1974	✓
Strata Titles Act 1985	✓
Telecommunications Act (Commonwealth) 1997	✓
Telecommunications (Low Impact Facilities) Determination 1997	✓
Transfer of Land Act 1893	✓
Valuation of Land Act 1978	
Waterways Conservation Act 1976	
<b>Local Laws of the Town of Cottesloe</b>	
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	✓

## 10 APPENDIX 3 – Other Legislation and Regulations

Other Legislation and Regulations affecting the functions and operations of the Local Government	
<i>Other Legislation and Regulations</i>	<i>Tick If Yes</i>
Building Services (Registration) Act 2011	✓
Criminal Code 1913	✓
Electronic Transactions Act 2011	✓
Equal Opportunity Act 1984	✓
Evidence Act 1906	✓
Freedom of Information Act 1992	✓
Freedom of Information Regulations 1993	✓
Industrial Awards	✓
Industrial Relations Acts (State and Federal)	✓
Interpretation Act 1984	✓
Limitation Act 1935, 2005	✓
Occupational Safety and Health Act 1984	✓
Occupational Safety & Health Regulations 1996	✓
Parliamentary Commissioner Act 1971	
State Records Act 2000	✓
State Records (Consequential Provisions) Act 2000	✓
State Records Commission Principles & Standards 2002	✓
Swan and Canning Rivers Management Act 2006	✓
Workers Compensation and Injury Management Act 1981	✓
Disability Discrimination Act 1992	✓

## 11 APPENDIX 4 - Government and Industry Standards and Codes of Practice

Government & Industry Standards and Codes of Practice that have been imposed upon or adopted by the Local Government	
<i>Government &amp; Industry Standards and Codes of Practice</i>	<i>Tick if Yes</i>
Australian Accounting Standards	✓
Australian Records Management Standard ISO/AS 15489-2002 Parts 1 & 2	✓
General Disposal Authority for Local Government Records	✓
National Competition Policy	
<b><i>Other</i></b>	
Building Codes of Australia	✓
Residential Design Codes	✓
Off Road Vehicle Act 1978	✓