



City of Perth

RECORD KEEPING PLAN

2017

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Introduction

Background

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.

Purpose

The purpose of this Recordkeeping Plan is to set out the matters about which records are to be created by the City of Perth 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.

Objectives

The objectives of the City of Perth 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 City of Perth and all its employees are legally required to comply with the contents of this Plan.

Applicability

This Recordkeeping Plan applies to all:

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

Elected Members

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.”

Local Governments are to address the management of Elected Members’ government records in accordance with this policy, in their Recordkeeping Plans.

Superseded Plans

This Recordkeeping Plan supersedes RKP2009049.

Definition

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

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

1.1 Historical Background

Establishment

When the Swan River Colony was established in 1829 James Stirling was appointed Governor. By 1838, it had become apparent that the spreading colony required some form of localised government and the system of British Local Government was introduced.

In the same year, municipal administration was vested in a body of trustees consisting of the Town's Justices of the Peace and the owner/occupiers of freehold land. This body was known as the Perth Town Trust and consisted of a Chairman, W B Andrews and a committee of six. The Trust met as a united body and dealt with day to day problems such as the provision of roads, lighting, footpaths, drainage and keeping stock off private property and roads.

Predecessor Organisation's / History

The Trust progressed under able leaders, such as George Shenton, until 23 September 1856, when Perth was declared a Bishop's See by Queen Victoria. This automatically raised Perth to the status of City, but it was two years before the Trust formally changed its name to the Perth City Council under its first chairman Mr H C Cole. The first meeting of the Perth City Council was held on 10 December 1858.

The new City Council still retained its financial problems (inherited from the Trust), but due to the influx of convicts, many public works were completed during the period from 1858-79 (notably the Perth Town Hall).

Meetings of the Town Trust and later the City Council were held each month wherever the opportunity was offered. They were held in turn at the Court House, the Commercial Hotel and the United Services Tavern. From 2 December 1853, they were held at the Mechanics Institute on the corner of Howick (Hay) and Pier Streets.

It wasn't until 2 January 1871 that Perth had a permanent "home" and that was at the Town Hall. The population at the time had grown to 5,244.

On 3 July 1925 the Council moved to the Municipal Offices on Murray Street and held its first meeting there on 25 October. On 25 March 1963, there was a Civic Welcome for Her Majesty the Queen and His Royal Highness the Duke of Edinburgh during which Her Majesty officially opened Council House.

The title of Mayor was first conferred upon the Chairman of the Perth City Council on 8 September 1880 when Mr G Shenton was elected to take this position. On the Centenary of

the Foundation of the town of Perth, 12 August 1929, it was announced that His Majesty the King had granted the status of Mayor of the City being raised to that of Lord Mayor. The first Lord Mayor was the Hon J T Franklin, CMG, MLC, JP.

Amalgamations / Separations

In 1864 Perth was divided into three wards, and again in 1897 divided into five wards. Three small local authorities on the border of the Perth City Council amalgamated with the City Council to establish the PCC area. North Perth and Leederville amalgamated on December 22, 1914 and Victoria Park on November 1, 1917 – the City thus consisted of eight wards. In 1963 the Council re-distributed the boundaries of the previous 8 wards and held its first election of three Councillors for each of the nine wards on May 29, 1963.

In October 1993 the State Government announced the split of the City of Perth and 3 separate towns were created from the area previously known as the City of Perth. The City of Perth remains the Capital City of Western Australia and the three Towns created in the split were the Town of Vincent, Town of Victoria Park and the Town of Cambridge.

At that time, the City of Perth incorporated the Perth Central Business District together with the suburbs of East Perth, West Perth, Northbridge and a part of Crawley.

On 1 July 2016, a new City of Perth Act was passed by Western Australian Parliament. This saw a revision of the boundaries to include the University of Western Australia, the Queen Elizabeth II Medical Centre and the Royal Perth Yacht Club. Additionally, properties were transferred from the City of Subiaco and City of Nedlands.

1.2 Strategic Focus and Main Business Activity

Vision

The City's Strategic Plan provides strategies and goals which will facilitate the realisation of the City's vision and objectives. Fundamental to the progress of the plan is the input of the City's various stakeholders. The development of the City's activities relates to the directions laid out in the plan.

Vision Statement

The vision for the city as outlined in the Strategic Community Plan: Vision 2029+ is ...

Perth is renowned as an accessible city. It is alive with urban green networks that are safe and vibrant. As a global city, there is a diverse culture that attracts visitors. It provides city living at its best. Local and global businesses thrive here. Perth honours its past, while creating a sustainable future.

Main Business Activity

The City of Perth is constituted as a district under the *Local Government Act 1995*. The main business activity of a local government is to provide for the good government of people living and working within its district, and includes legislative and executive powers and responsibilities.

1.3 Functions (including those outsourced)

Refer to Appendix 1.

1.4 Major Stakeholders

The City has both a capital city representative role as well as the normal functions performed by other local governments within the State. Many of the functions performed by the City, as the capital of the State of Western Australia, are not prescribed by law and are bound in long tradition and practice, whereby the City plays a civic leadership role on behalf of the whole State.

The City of Perth, as the capital city of Western Australia, has a myriad of stakeholders. Aside from its Elected Members, employees and other government agencies the City has two distinct categories of customers.

The first category concerns the customers who have an investment within the City in the form of property ownership, operation of a business or a residential status. These groups are typified as key stakeholders who have interests similar to rate payers and residents in other municipalities.

The second category of customers in the City comes from the wider community and includes visitors, tourists and workers who all participate in the lifestyle promoted and provided by the City, but have a less direct link with the operations of the Council.

The Council must tread a finely balanced line between providing for the needs of the ratepayers and residents of our community, and those who participate in the lifestyle of the City and form an integral part of the City's vitality and contribute to the economic benefit of the City and the State.

The Council recognises that because of the diverse nature of the customers of the City, it has a unique and significant role to play in the economy and well-being of the broader community of Western Australia, particularly in the areas of culture, tourism and community service.

1.5 Enabling Legislation

The City of Perth was established under the *Local Government Act 1995*.

This Act enables a local government is to provide for the good government of people living and working within its district and includes legislative and executive powers and responsibilities.

Using its legislative powers, a local government may make local laws prescribing all matters that are required or permitted to be prescribed by a local law, or are necessary or convenient to be so prescribed for it to perform any of its functions under the *Local Government Act, 1995*.

The local government's executive powers involve administering its local laws and doing other things that are necessary or convenient to be done for, or in connection with, performing its

functions under the *Local Government Act, 1995* including the provision of services and facilities.

The new *City of Perth Act 2016* now takes precedence over the *Local Government Act 1995*.

1.6 Legislation and Regulations administered by the City of Perth

Refer to Appendix 2.

1.7 Other Legislation Affecting the City of Perth

Refer to Appendix 2 – combined into a single listing with legislation and regulations that are administered by the City of Perth.

1.8 Major Government policy and/or Industry Standards

Refer to Appendix 3.

2. Principle Two: Policies and Procedures

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

2.1 Contextualisation

The following provides context to the environment in which the City of Perth's information is managed.

2.1.1 Unit Establishment

In mid-2016, the City of Perth created a new Data & Information unit encompassing the Analysis & Engagement; Information Delivery; and Information Management teams. This has seen a clearer information and records management landscape introduced.

2.1.2 Unit Strategy

Data Management

- More timely and accessible data.
- Improved data collection facilities.
- Improved KPI reporting, including benefits realisation (e.g. ROI).
- Intuitive, sophisticated data analysis and visualisation tools.

Document Management

- Simpler document and records management processes and tools.
- More intuitive document search facilities.
- Improved information sharing capability (internal and external).

Digital Transformation

- Broad interoperability across platforms (i.e. data integration).
- Mobility for information collection and retrieval.
- Need to become a 'paper-light' organisation (i.e. Digital workflow and process automation).
- Support the journey for Perth to become a 'Smarter City'.

2.1.3 Unit Vision

To be a Smart City, driven by urban informatics and human-centred design, that meets residents' needs through efficiency of services and a high quality of life.

2.1.4 Unit Mission Statement

To advise, and provide our business with easy-to-use, intuitive information and data management systems that deliver sophisticated insights and support the business operations of the City of Perth.

2.1.5 Unit Goals and Objectives

A number of goals and supporting objectives have been established for the next 2-5 years. Of particular relevance to the City of Perth's Record Keeping Plan are:

2.1.5.1 Provide intuitive information management systems for both internal and external customers.

- Leverage technology to make information management easier (e.g. passive record keeping). This includes implementing TRIM/SharePoint integration and revising the City's business classification scheme.

2.1.5.2 Drive operational efficiencies through the City of Perth through the provision of lean processes and automation.

- Move to a more Digital Workplace. This includes:
 - Use of digital signatures; use of digital forms and workflows; moving from paper-based processes to digital.
 - Using metadata to drive automated record keeping, retention and disposal.
 - Enabling mobile access.

2.1.5.3 Maintain internal capacity through good systems designs and self service capability.

- Create a self-service capacity within the business (e.g. scanning at the multi-function devices).

2.2 Records Management and Business Information Systems

In 2017 the City of Perth undertook a Corporate Systems Review (CSR). This project evaluated a number of the City's core IT systems and saw the development of a strategic roadmap for the Information Technology and Data & Information business units. It is anticipated that this review will lead to a significant change in the information systems used by the City of Perth to deliver its services.

2.2.1 Records Management System (TRIM)

The City of Perth's main record keeping system, implemented in 2000, is TRIM/CM9. This tool enables the capture; classification; security; distribution; storage and disposition of corporate records.

Whilst the City of Perth predominantly digitises and digitally creates its records, there is a hybrid system in place requiring the management of both paper and electronic records. Records still predominantly managed in paper are: Building & Development application records; Grievance and Discipline records; Tender records; Child Care records; Art Collection records; and Financial records.

There are a number of Digital Workplace projects underway (including e-lodgement and e-processing of building and development applications) that will see paper processes phased out.

Business Information System/s

The following major information systems are implemented at the City of Perth:

2.2.1.1 Land Management System (Pathway)

Pathway contains information relating to rates; electoral; building and development; parking; and food premises.

Records input into, and generated by, this system are stored in TRIM. Integration between these products has enabled Pathway to be deemed an approved records management system.

Examples of records include parking infringement appeals; food premises inspections; settlement enquiries; and dog registrations.

2.2.1.2 Asset Management System (Hansen)

Hansen contains information relating to the management and maintenance of the City's infrastructure assets such as asset inventory; condition assessment; valuation and depreciation, predictive modelling; risk assessment; optimised decision making; life cycle management; works management; and financial management information.

Records input into, and generated by, this system are stored in TRIM or in hardcopy.

Examples of records include condition assessment reports; asset maintenance reports; asset handover documentation; and operating manuals.

2.2.1.3 Finance System (FinanceOne)

FinanceOne contains information relating to financial reporting; budgeting; accounting; costing; and capital works.

Records input into, and generated by, this system are either captured in TRIM or printed and stored on hard copy files.

Examples of records include payment voucher claims; invoices; financial reports; and investment documentation.

2.2.1.4 Human Resource Systems (Empower)

Empower contains information relating to payroll and staff personnel.

Records input into, and generated by, this system are either captured in TRIM or printed and stored on hard copy files.

Examples of records include resumes; employment contracts; performance reviews; and timesheets.

2.3 Policy and Procedures

2.3.1 Records Management Policy

The City maintains a Record Keeping policy in its Organisational Policy manual (OP[10]). The policy is endorsed by the Executive Leadership Group and published on the City's intranet site. It is scheduled for annual review.

Refer Appendix 4 for a copy of this policy.

2.3.2 Corporate Record Keeping procedures

The City maintains corporate Record Keeping procedures (applicable to all employees, contractors etc.) These procedures were originally approved by either the Chief Executive Officer or the Director Corporate Services, and are published on the City's intranet site. They are scheduled for annual review.

Refer Appendix 5 for a listing of these procedures.

2.3.3 Section Record Keeping procedures

The City maintains supporting Record Keeping procedures (applicable to the Information Management team). These procedures were originally approved by either the unit Manager or Information Management Lead (Records), and published on the City's intranet site. They are scheduled for annual review.

Refer Appendix 6 for a listing of these procedures.

2.3.4 Record keeping activities covered in the City of Perth's policies and procedures

	YES	NO
	(C) = Corporate procedure (R) = IM Team procedure	
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.	✓ PR0044 (R) PR0045 (R) PR0046 (R) PR0056 (C) PR0060 (C) PR0089 (C) PR0096 (C) PR0171 (R) PR0208 (R) PR0432 (R) PR0433 (R) PR0447 (R) PR0545 (C) PR0970 (R) PR1046 (R)	

	YES	NO
	(C) = Corporate procedure (R) = IM Team procedure	
Digitisation – including categories of records digitized; disposal of source records; digitization specifications. NB: This procedure is only required where the organization intends to destroy source records prior to the expiration of the approved minimum retention period after digitizing, in accordance with the General Disposal Authority for Source Records.	✓ TRIM 43704/13 PR0055 (R) PR0057 (R) PR0070 (R) PR1108 (R)	
Mail distribution - including frequency, tracking mechanisms and security measures.	✓ PR0037 (C) PR0047 (C) PR0061 (C) PR0062 (C) PR0064 (C) PR0067 (C)	
File creation and closure – including assigned responsibility and procedures for both physical and automated file creation.	✓ PR0055 (R) PR0074 (R) PR0077 (R) PR0126 (R) PR0127 (R) PR0446 (R) PR0831 (R)	
Access to corporate records – procedures for access to and security of corporate records.	✓ PR0204 (R) PR0431 (R) PR0434 (R) PR0445 (R) PR0449 (R) PR0451 (R)	

	YES	NO
	(C) = Corporate procedure (R) = IM Team procedure	
Authorised disposal of temporary records and transfer of State archives (whether hard copy or electronic) to the State Records Office (SRO) – any assigned responsibilities.	✓ PR0072 (R) PR0073 (R) PR0076 (R) PR0097 (C) PR0437 (R) PR0438 (R) PR0444 (R) PR0453 (R) PR0454 (R)	
Electronic records management – 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.).	✓ PR0088 (C)	
Email management – 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.).	✓ PR0089 (C)	
Website management – including the purpose of the site (e.g. whether informational/transactional), capture of all information published to the website within the corporate system and mechanisms for recording website amendments.		✓
Metadata management – including requirements for capture of metadata in information systems, whether automatic or manual.		✓
System/s management – 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.).	✓ PR1066 (R)	✓
Migration strategy – strategies planned or in place for migrating electronic 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: <i>Managing Digital Information</i> .	✓ TRIM 25459/05	

2.4 Certification of Policies and Procedures

The City's endorsed Record Keeping Policy is in place and promulgated throughout the City of Perth.

Refer Appendix 7.

2.5 Assessment of Effectiveness

The following items have been identified for improvement:

Item	Review Date
Information Governance Roadmap	December 2017
Information Governance Framework	June 2019
Cloud Computing Policy (development and implementation)	June 2019
Metadata Management Policy (development and implementation)	June 2019
Social Media Management Policy (development and implementation)	June 2019
Website Management Policy (development and implementation)	June 2019
Corporate Systems RK Compliance assessment <i>Dependant on outcomes of the Enterprise Resource Planning (ERP) project</i>	June 2020

3. Principle Three: Language Control

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

3.1 Keyword for Councils Thesaurus Implemented

The City of Perth adopted and implemented the Keyword for Councils thesaurus for the titling of all its records in January 2002.

The thesaurus is applied to all files created in the City's record keeping system (TRIM). File creation is controlled by the Information Management team. The thesaurus covers the administrative and functional activities of the City of Perth (which aligns with the functions listed in Appendix 1).

3.1.1 Changes to the Thesaurus

The City's thesaurus tool is, from time to time, adjusted to reflect changes to the functions and activities of the City of Perth. Changes to these tools are authorised by the Information Management Lead (Records), and recorded in the RKS Thesaurus Change Management Register (TRIM 49039/03).

3.1.2 Record Title Conventions & Standard Abbreviations

The City of Perth titles all significant incoming correspondence in the City's Record Keeping System in accordance with the City's approved Record Title Conventions & Standard Abbreviations, as detailed in City of Perth Procedure PR0056. This tool ensures that, as far as possible, significant incoming correspondence is identified and named in a consistent way.

Any additions or modifications to the Record Title Conventions or Standard Abbreviations are authorised by the Information Management Lead (Records), and recorded in the City of Perth procedure PR0056.

3.2 Assessment of Effectiveness

The following items have been identified for improvement:

Item	Review Date
Business Classification Scheme (full review)	June 2019

4. Principle Four: Preservation

Government organizations ensure that records are protected and preserved

4.1 Assessment of Risks

4.1.1 On Site Storage

The City of Perth's official onsite storage locations hold active, inactive and some archival value records. Active records are predominantly held on Level 7 of Council House, and inactive/archival records in the basement (Vault C) of Council House.

The storage facility includes:

		Comments
Metal shelving	✓	
Fire retardant safe	✓	There is a fire retardant safe held in Vault B in the basement of Council House. This contains the City's legal documents, and is currently controlled by the Properties unit.
Secure premises	✓	Security passes are required to access all floors at Council House. Visitors / consultants are required to sign in and be escorted. Access to the basement Vaults is limited to relevant staff.
Secure server rooms	✓	Security passes are required to access the server room. Access is limited to authorised Information Technology staff. Visitors / consultants are required to sign in and be escorted.
Fire detection system	✓	There are smoke detectors and water sprinklers installed throughout Council House.
Air-conditioning	✓ X	Level 7 is air-conditioned during working hours. The basement is not air-conditioned, but does have natural air flow and a humidity level monitor. The ambient temperature is 20°C (± 2°C), and humidity is 50% (± 5%).

The main disaster threatening records stored onsite comes from system failure; fire; water; loss of data and pests. With the storage conditions as described here the risk is assessed as LOW.

Refer Appendix 8.

4.1.2 Offsite Storage

The City of Perth's official offsite storage location holds inactive and archival value records. Iron Mountain (previously known as Recall) provides this service and is listed as an authorised provider under the Common Use Arrangement CUAREC2015 for the provision of storage, destruction and digitisation services. This CUA was last updated April 2017.

Iron Mountain has several warehouse storage sites across Perth, and the City utilises both its general storage and specialised vault storage for its records.

		Comments
Metal shelving	✓	
Fire retardant safe/rooms	✓	The vault storage outer door is fire-rated for up to 4 hours. The general storage door is not fire-rated.
Fire detection system	✓	Dry-pipe and advanced smoke detection systems are in place in the warehouses, activating in the event of a fire/smoke.
Secure premises	✓	Premises have intrusion detection and alarm systems; physical key card access controls and 24/7 central CCTV monitoring of protection systems.
Air-conditioning	✓	The vault environment is climate controlled. Temperature is 22°C (± 3°C), and humidity is 50% (± 5%). General storage is monitored for temperature but is not actively climate controlled. The warehouse generally fluctuates depending on how high materials are situated within the warehouse due to the insulating properties of records as well as outside temperature, location within the warehouse etc. It also fluctuates due to other ambient weather conditions. The warehouse temperature will not match outside temperatures perfectly due to the thermal insulation given by cartons storage.

The main disaster threatening records stored at the offsite records storage facility comes from fire; flood; vandalism and pests. With the storage conditions as described here the risk is assessed as LOW for Vault storage and LOW to MODERATE for general storage.

4.1.3 Data Centre and Cloud Storage

The City of Perth has entered into an arrangement with a Third Party vendor to store backup copies of electronic data/digital information and records in a data centre.

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

Data Centre	Name of service provider	Geographic location of data centre	Geographic location of data centre backups	Risk assessed Y/N
Key corporate information systems and network drives data	Third Party vendor (confidential)	Perth (within 3 km radius of City of Perth)	Perth	Y

It is acknowledged that the City does not have an accurate listing of any implemented information systems hosted in the cloud, and subsequently storage of associated data/records. It is anticipated that this will be documented, and supported by Cloud Computing Policy, by June 2019.

4.1.4 Storage of Archives

As the State Records Office of WA is unable to accept State archives from government agencies, the City of Perth is obliged to maintain these records in accordance with the *Directions for keeping State archives awaiting transfer to the State Archives Collection*.

4.1.4.1 Environmental Conditions

Refer information contained in Sections 4.1.1 ad 4.1.2 above. In addition, the following is noted in regards to Vault 3:

- There are overhead water pipes, increasing the risk of water damage. There have been occasional leaks (minor drips), which have been rectified. The water pipes cannot have trays installed underneath to catch water drips.
- There is a temperature and humidity gauge. Measurements over time have shown this environment to be stable through all seasons.
- Lighting is only turned on when access is required. There is no direct sunlight to this space.

4.1.4.2 Storage Mechanisms

Refer information contained in Sections 4.1.1 ad 4.1.2 above. In addition, the following is noted in regards to Vault 3:

- Acid-free boxes are used to house physical records.
- Boxes are stored on metal shelving.
- Storage consists of both compactus' and open shelving. Closable compactus' are kept closed when not in use.
- The majority of City of Perth records identified as archival in value have been rehoused in small acid-free boxes with plastic lining. Their physical existence is listed in the City's main record keeping system.

4.1.4.3 Security & Disaster Management

Refer information contained in Sections 4.1.1 and 4.1.2 above. In addition, the following is noted in regards to Vault 3:

- The access door is fire-rated. The door is not locked (due to the weight of the door, being an old safe door, and the key for the lock is missing).
- Access to the basement area is controlled as other collections are held in this area (e.g. Vault A contains memorabilia items).

4.1.4.4 Access & Control

The following is noted in regards to Vault 3:

- Access to archives that are less than 25 years old, are facilitated through the FOI process.
- Access to archives that are more than 25 years old, are facilitated through an Archive Search.

4.1.4.5 Preservation

Refer Section 4.3.3.

4.1.5 Storage of Backups

Monthly backup tapes of the City of Perth's electronic information are held offsite with Iron Mountain. In addition, daily and weekly backups are kept online in a Data Domains storage system. There are two of these storage systems, both within a 3km radius of Council House.

4.1.6 Quantity of Records

The City of Perth has custody of:

Record Type	Location	Volume
Temporary and Permanent	Onsite	@5,000 files
	Offsite	@ 8, 400 boxes
Archives	Onsite	@2,100 files
	Offsite	@390 files
Electronic	Online	TRIM @3.5TB Networks @20TB Outlook @3.5TB Email Archiver @3TB

4.1.7 Security and Access

Refer Sections 4.1.1, 4.1.2 and 4.1.4.3 Appendix 8.

4.2 Assessment of the Impacts of Disasters

The City of Perth has developed and implemented strategies for the recovery of the main Record Keeping System in the event of a disaster. Refer Appendix 8. It is anticipated that the Records Disaster Recovery Plan will be fully revised and aligned with the City's Crisis & Business Continuity Management plans by June 2019.

4.3 Strategies in Place for Preservation and Response

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

4.3.1 Vital Records Program

The vast majority of City's records are held electronically and protected via the City's backup practices. The City has identified some vital records (e.g. Legal Agreements, which are retained in hard copy format in a locked, fire resistant safe in Vault A in the basement, with restricted access to authorised staff. These records have been digitised and captured in the main record keeping system for normal business activities).

It is anticipated that a full Vital Records Plan will be developed for the City of Perth by June 2019.

4.3.2 Backup Procedures for Electronic Records

Back-up practices for the City of Perth's key corporation systems and network drives are as follows:

Frequency	Retention	Location
Daily (incremental, online)	Retained for 7 days	Data Domains storage (East Perth – 2 separate locations)
Weekly (online)	Retained for 4 weeks	Data Domains storage (East Perth – 2 separate locations)
Monthly (tapes)	Retained indefinitely	Iron Mountain

Veritas NetBackup active logs provide verification of successful back-up and restoration.

4.3.3 Preservation of Electronic Records

In 2009, the City of Perth implemented a Digital Preservation Strategy for the management of its permanent and archival value records.

The Strategy saw the development and implementation of an Archiver Client tool. This tool identified; extracted; normalised (using XENA); encapsulated; and re-stored archives in the City's main record keeping system.

However, the City's upgrade to its standard operating system (SOE) in late 2013 / early 2014 saw the Archiver Client tool become inoperable as it was not compatible with the new SOE. It was determined at that time not to invest in upgrading the Archiver Client.

A complete review of the City's Digital Preservation Strategy is anticipated by June 2019.

4.3.4 Security

The following security measures have been implemented by the City of Perth to prevent unauthorised access to records.

4.3.4.1 *Hardcopy records*

- Onsite source records (once digitised): These are housed in a box in the compactus located in the Information Management (IM) section. The compactus is visible by IM staff at all times and is kept locked overnight. Filled boxes are either stored transferred to onsite basement or offsite storage.
- Onsite Tender files: Once returned by the Tender Panel, these are temporarily housed in the compactus located in the IM section. Closed files are transferred to offsite storage.
- Onsite Building & Development application files: These are permanently housed in open shelving in the Development Approvals unit. Closed files are transferred initially to basement storage (for up to 2 years) and then transferred to offsite storage.
- Onsite Art Collection files: These are permanently housed on open shelving within the Arts, Culture & Heritage unit. Closed files are transferred to offsite storage.
- Onsite HR Grievance / Discipline files: These are permanently housed in locked filing cabinets within the Human Resources unit. Closed files are transferred to offsite storage.
- Onsite Child Care files: These are permanently housed in locked filing cabinets within the Child Care Centre. Closed files are transferred to offsite storage.
- Onsite Financial records: These are permanently housed in locked and unlocked cabinets within the Finance unit. Inactive records are routinely transferred to either basement or offsite storage.
- Onsite records (basement): Refer Section 4.1.1 and 4.1.4.3.
- Offsite records (Iron Mountain): Refer Section 4.1.2.

4.3.4.2 *Electronic records*

- Electronic records, in the main record keeping system, have varying degrees of access for staff within the organisation. Default access is open to all staff. Security changes can be applied to both a single document or to a whole file. Authorisation (by the Manager, Director or CEO – depending on the content) is required prior to security changes being applied. Approved changes can only be applied by Information Management staff. Security changes are documented in the main record keeping system.
- Access to the server room is restricted to authorised staff using swipe card access.

4.3.5 Storage Reviews

The facilities utilised by the City of Perth are reviewed to ensure that conditions are appropriate for the organization's records. The City last conducted a review of its offsite storage provider in 2017. As the City selects a provider off the Common Use Arrangement (CUA), these facilities have already been assessed for compliance.

4.3.6 Recovery of Lost Information

The City of Perth has the following strategies in place to recover lost information should a disaster occur.

- Duplication (Legal Agreements/Opinions): Digitised copies have been created of all physical legal agreements and opinions. The digitised copy is seen as an access copy, and a vital records copy, should the original source record be lost or damaged.
- Duplication (Council Minutes): Digitised copies have been created of Council Minutes from 1999. The digitised copy is seen as an access copy, and a vital records copy, should the original source record be lost or damaged.
- Duplication (Building & Development application files): Digitised copies have been made of agreed 'key' records (primarily the application and approval). The digitised copy is seen as an access copy, and a sufficient vital record copy, should the original source record be lost or damaged.
- Back-up of electronic records: A vast majority of the City's records are held electronically and are routinely protected through a back-up process. Refer Section 4.3.2.
- Records Disaster Recovery Plan: Refer Appendix 8.
- Records Disaster Recovery bin: A records disaster recovery kit (i.e. equipment for use in the event of a disaster) is held both onsite (within the Information Management section) and offsite.

4.4 Identified Areas for Improvement

The following items have been identified for improvement:

Item	Review Date
Records Disaster Recovery Plan (full review)	June 2019
Vital Records Plan (development and implementation)	June 2019
Digital Preservation Strategy (full review)	June 2019
Cloud Computing Policy (development and implementation)	June 2019
Identification of cloud hosted information systems/data stores	June 2019

5. Principle Five: Retention and Disposal

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

5.1 General Disposal Authority for Local Government Records

The City of Perth uses the General Disposal Authority for Local Government Records, produced by the State Records Office, for the retention and disposal of its records. The current GDA 2015-001 (issued March 2016) has been implemented.

5.1.1 Penalties for non-compliance

It is acknowledged that there are penalties for the unauthorised destruction of public records:

Section 78(3) of the State Records Act, 2000 provides that:

“A government organization employee who destroys a government record commits an offence unless the destruction is authorized by the record keeping plan of the organization.”

Penalty: \$10,000

Section 110 to the Freedom of Information Act, 1992 provides that:

“A person who conceals, destroys or disposes of a document or part of a document or is knowingly involved in such an act for the purpose (sole or otherwise) of preventing an agency being able to give access to that document or part of it, whether or not an application for access has been made, commits an offence.”

Penalty: \$5,000 or 6 months Imprisonment

5.2 Disposal of Source Records

The City previously used approved RD2007017 (approved March 2008) to dispose of hardcopy source records once digitised. RD2007017 outlined processes and standards to be implemented when digitising (including minimum scanning standards, quality assurance testing etc.). In July 2009 the State Record Commission endorsed the *General Disposal Authority for Source Records* which effectuatedly made RD2007017 redundant.

In February 2013, the City submitted its project plan for *Implementing GDA for Source Records* to the State Records Office of WA for review. Feedback indicated the plan was comprehensive and should ensure compliance with requirements. The project was implemented in March 2013.

The original source records, once reproduced electronically and quality reviewed, are treated as copies/duplicates and retained for a minimum six (6) months to meet operational requirements and then destroyed under the City’s standard disposal process.

Refer Appendix 9.

5.3 Existing Ad Hoc Disposal Authorities

The City of Perth had an Ad Hoc Disposal Authorities AD 92036 approved in December 1992. This disposal authority is superseded by the General Disposal Authority for Local Government Records (GDA 2015-001).

5.4 Existing Disposal Lists

The City of Perth has no existing authorised Disposal Lists.

5.5 Restricted Access Archives

The City of Perth has not previously identified any State archives to which it intends to restrict access when they are transferred to the SRO. However, recent politically sensitive matters will require a review of this decision to ensure any appropriate restrictions are identified. This review is anticipated by June 2019.

5.6 Transfer of Archives

The Archives Explored Online (AEON) database shows that several City of Perth records have been formally transferred to the SRO (Agency No 74). However, no Archives Transfer Request forms have been submitted to the SRO for a number of years due to the SRO being unable to accept transfers.

The City of Perth 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 organizations to retain State archives older than 25 years. However, the City of Perth has not identified any State archives that will not be transferred to the SRO for permanent preservation. Should this change, the City will notify the SRO in writing.

5.8 Disposal Program Implemented

The City of Perth has implemented the General Disposal Authority for Local Government Records (GDA 2015-001), and conducts its disposal program on an ad hoc basis.

Please refer to Appendix 10 for a copy of a recent authorised list of records for disposal.

5.9 Authorisation for Disposal of Records

The City applies a 4-step disposal authorisation process:

- (1) Records are identified as meeting minimum disposal requirements by the Senior Information Management Officer (Records).
- (2) Records are reviewed for a disposal decision by the relevant Record Custodian, and the Disposal List signed. The Custodian has the opportunity, with appropriate justification, to extend the retention period.
- (3) The signed Disposal List is reviewed by the Information Management Lead (Records) to make a final disposal consideration.
- (4) Records are destroyed by an Information Management officer.

The CEO has designated all Directors and Managers at the City as Record Custodians.

A Record Disposal Certificate is created at the time of destruction and retained permanently in the City's Record Keeping System as evidence of the destruction taking place.

5.10 Identified Areas for Improvement

The following items have been identified for improvement:

Item	Review Date
Restricted Access Archives listing (review)	June 2019

6. Principle Six: Compliance

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

6.1 Staff Training, Information Sessions

The City of Perth has implemented the following activities to ensure that staff are aware of their recordkeeping responsibilities.

Activities to ensure staff awareness and compliance	YES	NO
Induction (Responsibilities): Online training for staff on their recordkeeping responsibilities.	✓	
Induction (Procedures & Processes): In-house, group training sessions for staff on the City of Perth's recordkeeping processes and procedures.	✓	
Induction (System): In-house, one-to-one training for staff on managing records in the City of Perth's approved record keeping system.	✓	
Awareness: Staff information sessions (Record Keeping Forums) are conducted on a regular basis for recordkeeping 'champions' quarterly.	✓	
Awareness: Presentations on various aspects of the City of Perth's recordkeeping program are conducted. These are delivered to all staff on a regular basis.		✓
Awareness: Content is regularly included in the City of Perth's internal staff newsletter (<i>Inside City</i>) on various recordkeeping issues.	✓	
Awareness: The City of Perth's intranet is used to publish recordkeeping information; training documents (quick guides, User Guides, RK Tips), highlight issues, or bring particular recordkeeping matters to staff attention.	✓	
Support: Advice and assistance is provided to staff via the Information Management Help Desk.	✓	
Other: Information Management staff are encouraged to attend training courses outside the organisation whenever relevant and practicable to encourage professional development.	✓	

Refer Appendix 11 (sample of training products).

6.2 Performance Indicators in Place

Aside from some general statistical indicators the Information Management team (IM) also conducts two surveys (biennially, as a minimum):

- Customer Satisfaction: To assess value of the services offered, and IM service levels.
- Training Program: To assess the effectiveness of delivery methods, and value of content.

Corporate Record Keeping Performance Indicators need to be developed and implemented to measure the efficiency and effectiveness of the City of Perth's recordkeeping systems and information management program. It is anticipated this will occur by June 2019.

6.3 Agency's Evaluation

The City of Perth is currently in the process of upgrading from TRIM 7.3 to Content Manager 9.1. As part of the implementation, the Benefits Review will allow for an evaluation of the efficiency and effectiveness of this system.

To be taken into consideration is the City's proposal to implement TRIM/SharePoint integration. Once implemented, the City will implement triennial evaluations (as a maximum).

6.4 Annual Report

The City of Perth's compliance with this Record Keeping Plan is reported each year in the City's Annual Report. The latest annual report can be found published at the City of Perth website (<https://www.perth.wa.gov.au/>).

6.5 Identified Areas for Improvement

The following items have been identified for improvement:

Item	Review Date
Corporate Record Keeping Performance Indicators	June 2019

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 organizations with persons to perform any aspect of record keeping for the organization.

State organizations may enter into contracts or other arrangements whereby an individual or an organization is to perform a function or service for the State organization, or act as the State organization's agent to deliver services to clients, or for the State organization'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 organization's legislative, business and accountability requirements.

7.1 Outsourced Functions Identified

At present, the City of Perth is aware of two 'outsourced' functions:

- Outsourcing of tenancy management of the Affordable Housing units at 11-113 Goderich Street to Access Housing Australia Ltd.
- Outsourcing the review of service complaints to ABG Consulting (appointed as the City of Perth's Internal Ombudsman).

Associated record keeping requirements have been addressed with both of the above contracts.

It is acknowledged that the City does not have an accurate listing of outsourced functions. Process and procedural reviews are currently occurring with the Procurement team (in the Finance unit). It is anticipated that an Outsourced Functions (Record Keeping Requirements) plan will be addressed by June 2019 to enable more accurate reporting of outsourced functions and ensure the inclusion of record keeping requirements into contracts.

7.2 Recordkeeping issues included in Contracts

The City of Perth will undertake, by June 2019, to ensure that the following record keeping issues are included in all contracts pertaining to outsourced functions:

7.2.1 Planning

The City of Perth will ensure that the creation and management of proper and adequate records of the performance of the outsourced functions will be included in the planning process.

7.2.2 Ownership

The City of Perth will ensure 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 City of Perth will ensure 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 City of Perth.

7.2.4 Disposal

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

7.2.5 Access

The City of Perth will ensure that conditions for the provision of access to any State records produced in the course of the contract/agreement are agreed between the City of Perth and the contractor(s)/agent(s).

7.2.6 Custody

The City of Perth will ensure that custody arrangements between the City and the contractor(s)/agent(s) for State records stored on and off site by the contractor are specified in the contract.

7.2.7 Contract Completion

The City of Perth will ensure that 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).

7.3 Identified Areas for Improvement

The following items have been identified for improvement:

Item	Review Date
Outsourced Functions (Record Keeping Requirements) Plan	June 2019

8. RK Plan Review

A full review of the City of Perth's Record Keeping Plan is to be initiated a minimum of once every five (5) years, or as directed by the State Records Office of WA.

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.	✓	

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
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.	✓	
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.	✓	

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
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.	✓	

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
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

Other Legislation and Regulations affecting the functions and operations of the Local Government

Legislation, Regulations and Local Laws	Tick if YES, the LG administers
A New Tax System (Australian Business Number) Regulations 1999	✓
A New Tax System (Goods and Services Tax) Act 1999	✓
Aboriginal and Torres Strait Islanders Heritage Protection Act 1984	✓
Aboriginal Heritage Act 1972	✓
Aboriginal Heritage Regulations 1974	✓
Acts Interpretation Act 1901 (and Determinations)	✓
Age Discrimination Act 2004	✓
Aged Care Act 1997	✓
Agriculture and Related Resources Protection Act 1976	
Animal Welfare (General) Regulations 2003	✓
Animal Welfare Act 2002	✓
ANZAC Day Act 1960	✓
ANZAC Day Regulations 2016	✓
Architects Act 2004	✓
Associations Incorporation Act 1987	✓
Associations Incorporation Regulations 2016	✓
Australian Citizenship Act 1948	✓
Australian Citizenship Regulations 1960	✓
Australian Human Rights Commission Act 1986	✓
Biodiversity and Agriculture Management Act 2007	✓
Biodiversity Conservation Act 2016	✓

APPENDIX 2

Legislation and Regulations that may be wholly or partly administered by Local Government, and Local Laws of the Local Government

Other Legislation and Regulations affecting the functions and operations of the Local Government

Legislation, Regulations and Local Laws	Tick if YES, the LG administers
Botanic Gardens and Parks Authority Act 1998	✓
Building Act 2011	✓
Building and Construction Industry Training Fund and Levy Collection Act 1990	✓
Building and Construction Industry Training Fund and Levy Collection Regulations 1991	✓
Building Regulations 2012	✓
Building Services (Complaint Resolution and Administration) Act 2011	✓
Building Services (Complaint Resolution and Administration) Regulations 2012	✓
Building Services (Registration) Act 2011	✓
Building Services (Registration) Regulations 2011	✓
Bush Fire Regulations 1954	✓
Bush Fires (Infringements) Regulations 1978	✓
Bush Fires Act 1954	✓
Caravan Parks and Camping Grounds Act 1995	✓
Caravan Parks and Camping Grounds Regulations 1997	✓
Carers Recognition Act 2004	✓
Cat (Uniform Local Provisions) Regulations 2013	✓
Cat Act 2011	✓
Cat Regulations 2012	✓
Cemeteries Act 1986	
Charitable Trusts Act 1962	✓
Cheques Act 1986	✓

APPENDIX 2

Legislation and Regulations that may be wholly or partly administered by Local Government, and Local Laws of the Local Government

Other Legislation and Regulations affecting the functions and operations of the Local Government

Legislation, Regulations and Local Laws	Tick if YES, the LG administers
Cheques Regulations 1987	✓
Chevron-Hilton Hotel Agreement Act 1960	✓
Child Care Act 1972	✓
Child Care Transitional Regulations 1998	✓
Child Welfare Act 1947	✓
Children and Community Services Act 2004	✓
City of Perth (Lathlain Park Reserves) Act 1950	✓
City of Perth Act 2016	✓
Civil Aviation Act 1988	✓
Civil Aviation Safety Regulations 1998	✓
Civil Liability Act 2002	✓
Classification (Publications, Films and Computer Games) Enforcement Act 1996	✓
Classification (Publications, Films and Computer Games) Enforcement Regulations 1996	✓
Commercial Tenancy (Retail Shops) Agreements Act 1985	✓
Commercial Tenancy (Retail Shops) Agreements Regulations 1985	✓
Commonwealth of Australia Constitution Act	✓
Commonwealth Places (Administration of Laws) Act 1970	✓
Commonwealth Places (Application of Laws) Act 1970	✓
Commonwealth Places (Application of Laws) Regulations 1998	✓
Conservation and Land Management Act 1984	✓
Conservation and Land Management Regulations 2002	✓

APPENDIX 2

Legislation and Regulations that may be wholly or partly administered by Local Government, and Local Laws of the Local Government

Other Legislation and Regulations affecting the functions and operations of the Local Government

Legislation, Regulations and Local Laws	Tick if YES, the LG administers
Constitution Act 1889	✓
Contaminated Sites Act 2003	✓
Control of Vehicles (Off-Road Areas) Act 1978	✓
Control of Vehicles (Off-Road Areas) Regulations 1979	✓
Copyright Act 1969	✓
Corruption Crime and Misconduct Act 2003	✓
Credit Act 1984	✓
Credit Regulations 1985	✓
Criminal Code Compilation Act 1913	✓
Dangerous Goods Safety Act 2004	✓
Defamation Act 2005	✓
Disability Discrimination Act 1992	✓
Disability Discrimination Regulations 1996	✓
Disability Services Act 1993	✓
Dividing Fences Act 1961	✓
Dividing Fences Regulations 1971	✓
Dog Act 1976	✓
Dog Regulations 2013	✓
Electoral (Ballet Paper Forms) Regulations 1990	✓
Electoral Act 1907	✓
Electoral Regulations 1996	✓

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Legislation and Regulations that may be wholly or partly administered by Local Government, and Local Laws of the Local Government

Other Legislation and Regulations affecting the functions and operations of the Local Government

Legislation, Regulations and Local Laws	Tick if YES, the LG administers
Electronic Transactions Act 2011	✓
Electronic Transactions Regulations 2012	✓
Emergency Management Act 2005	✓
Emergency Services Levy Act 2002	✓
Environmental Protection (Abrasive Blasting) Regulations 1998	✓
Environmental Protection (Clearing of Native Vegetation) Regulations 2004	✓
Environmental Protection (Concrete Batching and Cement Product Manufacturing) Regulations 1998	✓
Environmental Protection (Controlled Waste) Regulations 2004	✓
Environmental Protection (Metal Coating) Regulations 2001	✓
Environmental Protection (Noise) Regulations 1997	✓
Environmental Protection (Noise) Regulations 1997	✓
Environmental Protection (Unauthorised Discharges) Regulations 2004	✓
Environmental Protection (Unauthorised Discharges) Regulations 2004	✓
Environmental Protection Act 1986	✓
Environmental Protection and Biodiversity Conservation Act 1999	✓
Environmental Protection and Biodiversity Conservation Regulations 2000	✓
Environmental Protection Regulations 1987	✓
Equal Opportunity Act 1984	✓
Equal Opportunity for Women in the Workplace Act 1999	✓
Equal Opportunity Regulations 1986	✓
Evidence Act 1906	✓

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Legislation and Regulations that may be wholly or partly administered by Local Government, and Local Laws of the Local Government

Other Legislation and Regulations affecting the functions and operations of the Local Government

Legislation, Regulations and Local Laws	Tick if YES, the LG administers
Fair Trading Act 2010	✓
Fair Work Act 2009	✓
Fair Work Act 2009	✓
Fair Work Regulations 2009	✓
Financial Management Act 2006	✓
Financial Management Regulations 2007	✓
Fines Penalties and Infringement Notices Enforcement Act 1994	✓
Fines Penalties and Infringement Notices Enforcement Regulations 1994	✓
Fire and Emergency Services Act 1998	✓
Fire and Emergency Services Regulation 1998	✓
Fire Brigades Act 1942	
Firearms Act 1973	✓
Firearms Regulations 1974	✓
Flags Act 1953	✓
Food Act 2008	✓
Food Regulations 2009	✓
Freedom of Information Act 1992	✓
Freedom of Information Regulations 1993	✓
Fringe Benefits Tax Act 1986	✓
Fringe Benefits Tax Assessment Act 1986	✓
Fringe Benefits Tax Regulations 1992	✓

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Legislation and Regulations that may be wholly or partly administered by Local Government, and Local Laws of the Local Government

Other Legislation and Regulations affecting the functions and operations of the Local Government

Legislation, Regulations and Local Laws	Tick if YES, the LG administers
Gaming and Wagering Commission Regulations 1998	✓
Hairdressing Establishment Regulations 1972	✓
Harbours and Jetties Act 1928	✓
Health (Air Handling and Water Systems) Regulations 1994	✓
Health (Asbestos) Regulations 1992	✓
Health (Carbon Monoxide) Regulations 1975	✓
Health (Cloth Materials) Regulations 1985	✓
Health (Construction Work) Regulations 1973	✓
Health (Immunisation by Local Governments) Regulations 2000	✓
Health (Laundries and Bathrooms) Regulations 1997	✓
Health (Lighting Ventilation and Construction) Regulations 1971	✓
Health (Miscellaneous Provisions) Act 1911	✓
Health (Offensive Trades Fees) Regulations 1976	✓
Health (Pesticides) Regulations 2011	✓
Health (Prescribed Insect Pests) Regulations 1991	✓
Health (Public Buildings) Regulations 1992	✓
Health (Skin Penetrations Procedure) Regulations 1998	✓
Health (Swimming Pools) Regulations 1964	✓
Health (Temporary Sanitary Conveniences) Regulations 1997	✓
Health (Treatment of Sewage and Disposal of Effluent and Liquid Waste) Regulations 1974	✓
Health (Underground Water Supply) Regulations 1959	✓

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Other Legislation and Regulations affecting the functions and operations of the Local Government

Legislation, Regulations and Local Laws	Tick if YES, the LG administers
Health Act 1911	✓
Heritage of Western Australia Act 1990	✓
Heritage of Western Australia Regulations 1991	✓
Home and Community Care Act 1985	✓
Home Building Contracts (Home Indemnity Insurance Exemptions) Regulations 2002	✓
Home Building Contracts Act 1991	✓
Home Building Contracts Regulations 1992	✓
Income Tax Act 1986	✓
Income Tax Assessment Act 1936	✓
Income Tax Rates Act 1986	✓
Income Tax Regulations 1937	✓
Industrial Awards	✓
Industrial Relations Acts 1979	✓
Industrial Relations Regulations (State and Federal) (various)	✓
Infrastructure Australia Act 2008	✓
Interpretation Act 1984	✓
Jetties Act 1926	✓
Jetties Regulations 1940	✓
Justices of the Peace Act 2004	✓
Land Administration (Land Management) Regulations 2006	✓
Land Administration Act 1997	✓

APPENDIX 2

Legislation and Regulations that may be wholly or partly administered by Local Government, and Local Laws of the Local Government

Other Legislation and Regulations affecting the functions and operations of the Local Government

Legislation, Regulations and Local Laws	Tick if YES, the LG administers
Land Administration Regulations 1998	✓
Land Boundaries Act 1841	✓
Legal Deposit Act 2012	✓
Library Board (Registered Public Libraries) Regulations 1985	✓
Library Board of Western Australia Act 1951	✓
Limitation Act 1935, 2005	✓
Liquor Control Act 1988	✓
Liquor Control Regulations 1989	✓
Litter Act 1979	✓
Litter Regulations 1981	✓
Local Government (Administration) Regulations 1996	✓
Local Government (Audit) Regulations 1996	✓
Local Government (Constitution) Regulations 1998	✓
Local Government (Elections) Regulations 1997	✓
Local Government (Employee Superannuation) Regulations 2016	✓
Local Government (Financial Management) Regulations 1996	✓
Local Government (Functions and General) Regulations 1996	✓
Local Government (Long Service Leave) Regulations 1996	✓
Local Government (Miscellaneous Provisions) Act 1960	✓
Local Government (Parking for People with Disabilities) Regulations 2014	✓
Local Government (Regional Subsidiaries) Regulations 2017	✓

APPENDIX 2

Legislation and Regulations that may be wholly or partly administered by Local Government, and Local Laws of the Local Government

Other Legislation and Regulations affecting the functions and operations of the Local Government

Legislation, Regulations and Local Laws	Tick if YES, the LG administers
Local Government (Rules of Conduct) Regulations 2007	✓
Local Government (Uniform Local Provisions) Regulations 1996	✓
Local Government Act 1995	✓
Local Government Grants Act 1978	✓
Long Service Leave Act 1958	✓
Magistrates Court Act 2004	✓
Magistrates Court (Civil Proceedings) Act 2004	✓
Magistrates Court (Civil Proceedings) Regulations 2011	✓
Magistrates Court (Civil Proceedings) Rules 2005	✓
Magistrates Court (Fees) Regulations 2005	✓
Magistrates Court (General) Rules 2005	✓
Magistrates Court (Minor Cases Procedure) Rules 2005	✓
Magistrates Court Regulations 2005	✓
Main Roads Act 1930	✓
Main Roads (Control of Advertisements) Regulations 1996	✓
Medicare Levy Act 1986	✓
Metropolitan Redevelopment Authority Act 2011	✓
Metropolitan Water Supply Sewerage and Drainage Act 1909	✓
Metropolitan Water Supply, Sewerage and Drainage By-Laws 1981	✓
Minimum Conditions of Employment Act 1993	✓
Minimum Conditions of Employment Regulations 1993	✓

APPENDIX 2

Legislation and Regulations that may be wholly or partly administered by Local Government, and Local Laws of the Local Government

Other Legislation and Regulations affecting the functions and operations of the Local Government

Legislation, Regulations and Local Laws	Tick if YES, the LG administers
Motor Vehicle Dealers Act 1973	✓
Museum Act 1969	✓
Museum Regulations 1973	✓
National Title (State Provisions) Act 1999	✓
National Title (State Provisions) Regulations 2000	✓
National Trust of Australia (WA) Act 1964	✓
Native Title Act 1993	✓
Noise Abatement (Noise Labelling of Equipment) Regulations 1985	✓
Nursing Home Charge (Imposition) Act 1994	✓
Nursing Homes Assistance Act 1974	✓
Nursing Homes Assistance Regulations 1975	✓
Oaths Affidavits and Statutory Declarations Act 2005	✓
Occupational Safety & Health Regulations 1996	✓
Occupational Safety and Health Act 1984	✓
Occupiers Liability Act 1985	✓
Parks and Reserves Act 1895	✓
Parks and Reserves By-Laws 1922	✓
Parliamentary Commissioner Act 1971	✓
Payroll Tax Act 1941 and 2002	✓
Payroll Tax Assessment Act 1941	✓
Payroll Tax Assessment Regulations 2003	✓

APPENDIX 2

Legislation and Regulations that may be wholly or partly administered by Local Government, and Local Laws of the Local Government

Other Legislation and Regulations affecting the functions and operations of the Local Government

Legislation, Regulations and Local Laws	Tick if YES, the LG administers
Payroll Tax Regulations 1941	✓
Perth Parking Management (Taxing) Act 1999	✓
Perth Parking Management Act 1999	✓
Perth Parking Management Regulations 1999	✓
Perth Theatre Trust Act 1979	✓
Perth Town Hall Act 1950	✓
Piggeries Regulations 1952	✓
Planning and Development Act 2005	✓
Planning and Development (Development Assessment Panels) Regulations 2011	✓
Planning and Development (Local Planning Scheme) Regulations 2015	✓
Planning and Development Regulations 2009	✓
Police Act 1982	✓
Privacy Act 1988	✓
Property Law Act 1969	✓
Public Health Act 2016	✓
Public Interest Disclosure Act 2003	✓
Public Interest Disclosure Regulations 2003	✓
Public Sector Management (Breaches of Public Sector Standards) Regulations 2005	✓
Public Sector Management (General) Regulations 2005	✓
Public Sector Management Act 1994	✓
Public Works Act 1902	✓

APPENDIX 2

Legislation and Regulations that may be wholly or partly administered by Local Government, and Local Laws of the Local Government

Other Legislation and Regulations affecting the functions and operations of the Local Government

Legislation, Regulations and Local Laws	Tick if YES, the LG administers
Racial Discrimination Act 1975	✓
Racial Discrimination Regulations 2004	✓
Radiation Safety Act 1975	
Radiation Safety Regulations	
Rates and Charges (Rebates and Deferments) Act 1992	✓
Rates and Charges (Rebates and Deferments) Regulations 1992	✓
Regional Development Commissions Act 1993	✓
Registration, Enforcement and Discharge of Local Authority Charges on Land Regulations	✓
Residential Tenancy Act 1987	✓
Residential Tenancy Regulations 1989	✓
Retail Trading Hours Act 1987	✓
Retail Trading Hours Regulations 1988	✓
Retirement Villages Act 1992	✓
Retirement Villages Regulations 1992	✓
Rights in Water and Irrigation Act 1914	✓
Road Traffic Act 1974	✓
Road Traffic (Events on Roads) Regulations 1991	✓
Roads to Recovery Act 2000	✓
Salaries and Allowances Act 1975	✓
Salaries and Allowances Regulations 1975	✓
Sale of Land Act 1970	✓

APPENDIX 2

Legislation and Regulations that may be wholly or partly administered by Local Government, and Local Laws of the Local Government

Other Legislation and Regulations affecting the functions and operations of the Local Government

Legislation, Regulations and Local Laws	Tick if YES, the LG administers
Security and Relations Activities (Control) Act 1996	✓
Security and Relations Activities (Control) Regulations 1998	✓
Sex Discrimination Act 1984	✓
Sex Discrimination Regulations 1984	✓
Soil and Land Conservation Act 1945	✓
Soil and Land Conservation Regulations 1992	✓
Stamp Act 1921	✓
Stamp Regulations 2003	✓
State Administrative Tribunal Act 2004	✓
State Administrative Tribunal Regulations 2004	✓
State Administrative Tribunal Rules 2004	✓
State Entities (Payments) Act 1999	✓
State Records Act 2000	✓
State Records (Consequential Provisions) Act 2000	✓
State Records Commission Principles & Standards	✓
Statutory Corporations (Liability of Directors) Act 1996	✓
Strata Titles Act 1985	✓
Strata Titles General Regulations 1996	✓
Surveillance Devices (WA) Act 1998	✓
Surveillance Devices (WA) Regulations 1999	✓
Swan and Canning Rivers (Transitional and Consequential Provisions) Act 2007	✓

APPENDIX 2

Legislation and Regulations that may be wholly or partly administered by Local Government, and Local Laws of the Local Government

Other Legislation and Regulations affecting the functions and operations of the Local Government

Legislation, Regulations and Local Laws	Tick if YES, the LG administers
Swan and Canning Rivers Management Act 2006	✓
Telecommunications (Low Impact Facilities) Determination 1997	✓
Telecommunications Act (Commonwealth) 1997	✓
Telecommunications Act 1997	✓
Titles (Validation) and Native Title (Effect of Past Acts) Act 1995	✓
Tobacco Products Control Act 2006	✓
Town Planning (Buildings) Uniform General By-Laws 1989	✓
Town Planning (Height of Obstructions at Corners) General By-Laws 1975	✓
Town Planning and Development By-Laws 1975	✓
Transfer of Land Act 1893	✓
Transfer of Land Regulations 2004	✓
Trustees Act 1962	✓
Unclaimed Monies Act 1990	✓
Valuation of Land Act 1978	✓
Valuation of Land Regulations 1979	✓
Volunteers (Protection from Liability) Regulations 2005	✓
Volunteers and Food and Other Donors (Protection from Liability) Act 2002	✓
Waste Avoidance and Resource Recovery Act 2007	✓
Waste Avoidance and Resource Recovery Regulations 2007	✓
Waste Resource & Recovery Act 2007	✓
Water Corporations Act 1995	✓

APPENDIX 2

Legislation and Regulations that may be wholly or partly administered by Local Government, and Local Laws of the Local Government

Other Legislation and Regulations affecting the functions and operations of the Local Government

Legislation, Regulations and Local Laws	Tick if YES, the LG administers
Waterways Conservation Act 1976	✓
Waterways Conservation Regulations 1970	✓
Workers Compensation (Common Law Proceedings) Act 2004	✓
Workers Compensation (Legal Practitioners and Registered Agents) Costs Determination 2005	✓
Workers Compensation and Injury Management (Acts of Terrorism) (Final Day) Regulations 2002	✓
Workers Compensation and Injury Management (Scale of Fees) Regulations 1998	✓
Workers Compensation and Injury Management Act 1981	✓
Workers Compensation and Injury Management Regulations 1982	✓
Working with Children (Criminal Record Checking Act) 2004	✓
Workplace Relations Act 1996	✓
Workplace Relations Regulations 1996	✓
City of Perth Local Laws:	
Activities on Land	✓
Air Conditioning	✓
Alfresco Dining	✓
Dog	✓
Fencing	✓
Health	✓
Local Government Property	✓

APPENDIX 2

Legislation and Regulations that may be wholly or partly administered by Local Government, and Local Laws of the Local Government

Other Legislation and Regulations affecting the functions and operations of the Local Government

Legislation, Regulations and Local Laws	Tick if YES, the LG administers
New Street Alignments	✓
Parking	✓
Public Trading	✓
Repeal	✓
Special Events	✓
Standing Orders	✓
Thoroughfares and Public Places	✓
Town Planning Schemes:	
City of Nedlands: Town Planning Scheme No 2	✓
City of Perth: City Planning Scheme 2 (CPS2)	✓
City of Perth: Minor Town Planning Schemes (various)	✓
City of Subiaco: Town Planning Scheme No 4	✓

APPENDIX 3	
Government and Industry Standards and Codes of Practice that have been imposed upon or adopted by the Local Government	
Other Legislation and Regulations	Tick if YES
Australian Accounting Standards	✓
Australian Standard AS 4282-1997: Control of the obtrusive effects of outdoor lighting	✓
Australian Standard ISO/AS 15489: Records Management	✓
Australian Standard AS 1926.1:1998: Swimming Pool Safety – Fencing for Swimming Pools	✓
Building Code of Australia	✓
Department of Employment & Workplace Relations: Code of Practice – Management & Control of Asbestos NOHSC:2018:2005	✓
Department of Employment & Workplace Relations: Code of Practice – Management of Hazardous Substances NOHSC:2007:1994	✓
Department of Employment & Workplace Relations: Code of Practice – Safe Removal of Asbestos NOHSC:2002:2005	✓
Department of Environment: Codes of Practice	✓
Department of Local Government & Communities: Operational Guidelines	✓
Fair Trading (Retirement Villages Management) Code 2003	✓
General Disposal Authority for Local Government Records	✓
General Disposal Authority for Source Records	✓
Home and Community Care Funding Guidelines	✓
International Accounting Standards	✓
Local Government Insurance Scheme (Injury Management) policies and procedures	✓
Main Roads: Black spot Roads Funding Guidelines	✓
Main Roads: Code of Practice – Traffic Management for Events	✓
Main Roads: Code of Practice – Traffic Management for Works on Roads	✓

APPENDIX 3	
Government and Industry Standards and Codes of Practice that have been imposed upon or adopted by the Local Government	
Other Legislation and Regulations	Tick if YES
Main Roads: Code of Practice – Utility Providers	✓
National Competition Policy	✓
Natural Resource Management Policy Manual	✓
Office for Crime Prevention: Funding Guidelines	✓
Perth Air Quality Management Plan 2000	✓
Perth International Airport master Plan 2004	✓
Residential Design Codes of WA	✓
Riverplan – An Environmental Management Framework for the Swan and Canning Rivers 2004	✓
Road Traffic Code 2000	✓
Salaries and Allowances Tribunal: Local Government Chief Executive Officers	✓
Salaries and Allowances Tribunal: Local Government Elected Members	✓
Swan River Concept Plan	✓
Telecommunications Code of Practice 1997, Regulations and Determinations	✓
WA Planning Commission: Planning Bulletins, Statements of Planning Policy, Development Control Policies	✓
WALGA: Model Code of Tendering	✓
Workers Compensation Code of Practice (Injury Management) 2005	✓
Workers Compensation and Injury Management Arbitration Rules 2011	✓
Workers Compensation and Injury Management Conciliation Rules 2011	✓
Worksafe: Codes of Practice	✓
Worksafe: Guidance Notes	✓

APPENDIX 4

City of Perth Record Keeping Policy OP[10] (extracted from Organisational Policy Manual)

OP [10] Record Keeping

Policy Objective

Establish a framework for the creation and management of City records, in accordance with legislative requirements and best practice standards.

Policy Statement

1. STATEMENT OF INTENT

- 1.1 The policy establishes the framework by which the City may ensure that its records are created and managed to evidence all decisions and transactions arising from the City's business and operational functions.
- 1.2 Records are to be retained and managed only within approved corporate record keeping systems which are to be established and maintained as repositories that meet the requirements of the State Records Act 2000.
- 1.3 Record keeping will be integral to, and part of, all business processes.

2. REGULATORY REQUIREMENTS

- 2.1 Section 5.41 of the Local Government Act 1995 prescribes the Chief Executive Officer's functions, which includes ensuring that records and documents of the local government are properly kept for the purposes of this Act and any other written law.
- 2.2 The State Records Act 2000 prescribes the City of Perth as a government organisation and the requirements of this Act apply to the creation and retention of records that evidence the activities of the City. This requirement extends to contractors who undertaken work on behalf of the City.
- 2.3 The City of Perth recognises its regulatory requirements as a local government and is committed to ensuring compliance with its statutory obligations through developing and supporting a sound record keeping culture.
- 2.4 All practices and procedures at the City of Perth will be drafted to ensure appropriate records are created and managed in accordance with this policy.

3. CUSTODIANSHIP OF RECORDS

- 3.1 The records of the City of Perth are considered an asset, and will be managed as such. Ownership and proprietary interest of records created or collected during the course of business (including those by outsourced bodies or contractors) is vested in the City of Perth.

4. ROLES AND RESPONSIBILITIES

4.1 Chief Executive Officer

- 4.1.1 The Chief Executive Officer is responsible for ensuring that an organisational system for the creation and management of records is established that is compliant with legislative requirements and that an appropriate record keeping culture is evident.

4.2 Directors and Managers

- 4.2.1 Directors and Managers are responsible for ensuring that record keeping policy and procedures are known and adhered to, in operations within the scope of their management control.
- 4.2.2 Directors and Managers are responsible for ensuring that any corporate or local procedures within the scope of their management control include compliant record keeping requirements.
- 4.2.3 Directors and Managers are responsible for fostering and supporting a culture within their workgroup that promotes good recordkeeping practices.

4.3 Information Management team

- 4.3.1 The Information Management team is responsible for developing, maintaining, monitoring, promoting, training, supporting and reporting on the performance of an organisational system for the creation and management of records that is compliant with legislative requirements.

4.4 Unit Record Focal Points

- 4.4.1 All Unit Record Focal Points are responsible for encouraging and promoting good record keeping practices and ensuring the timely delivery of records to individual staff in their unit.

4.5 All Employees

- 4.5.1 All employees (including contractors, consultants and outsourced providers) are responsible for creating, collection and retaining of records relating to the business activities they perform in accordance with the City's Record Keeping Policy and approved procedures.
- 4.5.2 Employees are responsible for identifying significant and ephemeral (short term value) records; ensuring significant records are captured in to the appropriate record keeping system, and that all records are handled in a manner commensurate with legislation and the City's approved policies and procedures.
- 4.5.3 Employees who are responsible for the administration of contracted services are responsible for ensuring that contractors create and retain, or transfer to the City in an approved manner, records which evidence the activities performed on City's behalf.

5. ACCOUNTABLE RECORDS

The City of Perth is required by law to create proper records of its business activities and to keep them until they can be dealt with in accordance with the *Western Australian Local Government General Records Retention and Disposal Schedule* prepared by the State Records Commission.

These records are required to be created and managed in ways that ensure they can be reused and understood in the future. This can be for current business purposes; as evidence in legal proceedings; for accountability to internal and external stakeholders; for future historical records, or to meet legislative requirements.

5.1 Records must be created

- 5.1.1 Records are to be created to document or facilitate the transactions of all business activities of the City.
- 5.1.2 Approved policies and procedures are to be established to ensure that requirements to create and retain records are documented, and are consistent across the City's activities.

5.1.3 All employees are to be made aware of their responsibilities to create records through training and induction to procedures.

5.2 Records must be accurate

5.2.1 Records are to be created at the time or as soon as practicable after the event to which they relate.

5.2.2 All records created by the City are to provide an accurate reflection of what was done, communicated or decided.

5.3 Records must be authentic

5.3.1 Records created or received by the City are to be routinely captured into an approved corporate record keeping system, ensuring that appropriate metadata is created and captured, or otherwise associated with records.

5.4 Records must have integrity

5.4.1 Record keeping systems and storage facilities are to be designed and implemented to meet the City's legislative obligations and must protect records from unauthorised access, alteration, deletion or loss. Unauthorised access, alteration or destruction is a breach of the State Records Act 2000.

5.4.2 Migration of records from one system to another is to be controlled and documented, and must comply with legislative requirements

5.5 Records must be accessible and useable

5.5.1 Records are to be linked to the appropriate business context, which includes records relating to the same business activity or transaction.

5.5.2 The record keeping location and use of records is to be determined in consultation with the Records Unit and recorded and tracked.

5.5.3 Records are to be categorised as to their level of sensitivity and adequately secured and protected from violation, unauthorised access or destruction.

5.5.4 Records must be accessible for as long as they are required to meet the City's business purposes and may only be disposed of in accordance approved procedures.

5.5.5 Records will be made available within the constraints of security, confidentiality, privacy and archival access conditions. Access by the general public will be in accordance with the Freedom of Information Act WA 1992. Access by Elected Members will be via the Chief Executive Officer, in accordance with the *Local Government 1995*.

Document Control Box									
Document Responsibilities:									
Custodian:	Records Services Team Leader				Custodian Unit:	Data and Information			
Decision Maker:	Executive Leadership Group								
Compliance Requirements:									
Legislation:	State Records Act 2000								
Industry:	Information Management								
Organisational:	Record Keeping Plan (P1020414)								
Document Management:									
Risk Rating:	LOW		Review Frequency:	Annual	Next Due:	2017	TRIM Ref:	83222/13	
Version #	Decision Reference:		Synopsis:						
8.	Council 18 November 2003		Policy CS35 approved (TRIM 66376/03)						
9.	Council 30 January 2007		Policy 13.1 amended (TRIM 10250/07)						
10.	Council 1 February 2011		Policy 13.1 (TRIM 7376/11)						
11.	ELG 7 November 2011		Policy 13.1 reinstated as PR1004 (TRIM 126158/11)						
12.	ELG 28 November 2016		Added to Admin Policy Manual 83222/13						

APPENDIX 5

Corporate Record Keeping Procedures (listing)

Procedure Number	Procedure Title
PR0065	Archiving Records
PR0066	Bring-up Requests
PR0004	City Publication Approval & Graphic Design Requests
PR0061	Courier & Hand Delivered Mail
PR0984	Creating & Applying Annotation Stamps
PR0097	Disposal of Records
PR0088	Electronic Documents
PR0089	Email Registration
PR0096	Facsimiles
PR0060	File Notes
PR0684	Forms Management
PR0037	Identifying & Handling Suspicious Mail Items
PR0047	Imaged Mail
PR0062	Internal Mail
PR0064	Outgoing Mail
PR00014	Procedures Management
PR0056	Record Title Conventions & Approval Abbreviations
PR0067	Special Mail Services
PR0545	Elected Member Record Keeping

APPENDIX 6	
Information Management Record Keeping Procedures (listing)	
Procedure Number	Procedure Title
PR0948	Affixing the Common Seal to Official Documents / Agreements
PR0444	Applying Retention Periods to Files
PR0434	Archive Searches
PR0072	Archiving Records
PR0205	Binding Council Minutes
PR1100	Binding Committee Minutes
PR0433	Central Email (info.city) Processing
PR0046	Courier & Hand Delivered Mail
PR0068	Daily Bring-up Processing
PR0073	Destruction of Records
PR0057	Document Scanning
PR0070	Document Scanning Quality Assurance
PR1108	Document Scanning Quality Assurance (Multifunction Devices)
PR0449	Elected Member Access to Information
PR0208	Fax Gateway Processing
PR0077	Folio Attaching
PR0698	Form Registration
PR0445	Freedom of Information Application Processing
PR0432	Frequently Registered Records
PR0055	Imaging Day Batch Storage
PR0437	Inactive Records Storage Facility Guidelines
PR0908	Lord Mayor Correspondence
PR0970	Mail Items not captured at point of receipt

APPENDIX 6

Information Management Record Keeping Procedures (listing)

Procedure Number	Procedure Title
PR0447	Mail Items not registered
PR0044	Mail Opening
PR0171	Mail Registration
PR0127	New File Part Registration
PR0126	New File Registration
PR1066	Pathway Processing
PR0074	Physical File Creation
PR0446	Physical File Loans
PR0045	Private & Confidential Mail
PR1046	Processing Records containing Credit Card Data
PR0431	Public Access to Information
PR0438	Retrieval of Records from State Records Officer
PR0451	Staff Access to Confidential Information
PR0075	Subpoena & Writ of Summons Processing
PR0435	Tender Processing
PR0453	Transferring Records to Offsite Storage
PR0454	Transferring Records to State Records Office

APPENDIX 7

Endorsement – City of Perth Record Keeping Policy OP[10] (Extract)

Extract from Executive Leadership Group (ELG) minutes evidencing endorsement of the City of Perth's updated Record Keeping Policy (as at 28 November 2016). The Organisational Policy manual was updated to reflect this updated Policy as at 30 November 2016.

EXECUTIVE LEADERSHIP GROUP MINUTES

Date: Monday 28 November 2016

Time: 9.00am

Location: CEO's Conference Room

3. Reports

3.1 Record Keeping Policy – Revision & Inclusion in Administrative Policy Manual

Summary

In accordance with State Records Commission (SRC) Standard 2 (Recordkeeping Plans), Principle 2 (Policies and Procedures), the City is required to have an approved, published record keeping policy. Policy 13.1 (Record Keeping) was initially endorsed by Council on 25 August 2003. It was reviewed and marginally updated in 2006. In late 2011 it was revoked as a Council Policy and amended to an Administrative Policy. However, due to an administrative error, the policy was not incorporated into the Administrative Policy Manual.

As the Policy was last updated in 2006, a full review has been undertaken.

Recommendation

That ELG:

1. Endorse the revised Record Keeping Policy as attached to this report; and
2. Approve its incorporation into the Administrative Policy Manual

Decision

ELG:

1. Endorsed the revised Record Keeping Policy as attached to this report with some minor amendments as discussed at the meeting; and
2. Approved its incorporation into the Administrative Policy Manual

ENDORSED

APPENDIX 8

Records Disaster Recovery Plan (Table of Contents)

NOTE: The full document was last submitted to the State Records Office in July 2009 as an attachment to the previous Record Keeping Plan (RKP2009049). As the content has not changed since then, only the Table of Contents is provided here.

- 1 Introduction
- 2 Statement of Importance
- 3 Risk Analysis
- 4 Inventory
 - 4.1 Electronic Components
 - 4.2 Physical Components
- 5 Recovery Requirements
 - 5.1 Council House compromised
 - 5.2 Computer Room compromised
 - 5.3 Server failure
 - 5.4 Data loss
 - 5.5 Paper loss
- 6 Counter Measures
 - 6.1 Service Level Agreement
 - 6.2 Physical Security
 - 6.3 Environmental Controls
 - 6.4 Security Copies of Vital Records
- 7 Recovery Strategy
- 8 Continuity Procedures
- 9 Responsibilities
- 10 Resources
- 11 Training
- 12 Testing

APPENDIX 9

Implementing GDA for Source Records (Table of Contents)

NOTE: The full document was submitted to the State Records Office in February 2013, prior to implementation, and was given SRO approval. As the content has not changed since then, only the Table of Contents is provided here.

1. Introduction
2. Objectives
3. Background
4. Implementation Options
5. Digitisation Specification
 - 5.1 Digitisation requirements
6. Destruction Requirements
 - 6.1 Destruction requirements
 - 6.2 Compliance & Risk assessment
7. Implementation Issues
 - 7.1 Calibrating scanners
 - 7.2 Scanning in colour
 - 7.3 OCR
 - 7.4 Technical impact
 - 7.5 User impact
 - 7.6 Long term preservation of digitised records
8. Financial Implications

APPENDIX 10

Records Disposal Authorisation



City of Perth

Memorandum

TO: MANAGER HEALTH & ACTIVITY APPROVALS
FROM: INFORMATION MANAGEMENT LEAD (RECORDS)
DATE: 19 MAY 2017
FILE REF: P1014586 DOCUMENT REF: 103608/17
SUBJECT: RECORDS DISPOSAL AUTHORISATION

Dear Manager

The records described in the attached Disposal Form are now eligible for legal destruction in accordance with the *General Disposal Authority for Local Government Records*. The prompt destruction of these records will reduce storage costs and improve information retrieval.

Please note that although these files have reached their minimum legal retention, they may be of ongoing value to the City. As these records originate from your department, it is your responsibility to review the files listed and advise if they should NOT be destroyed.

In order to process these files please:

1. Complete the following Records Disposal Form in the areas indicated
2. Complete the Authorisation Slip at the end of the Memo


Julie Mathieson
INFORMATION MANAGEMENT RECORDS LEAD

AUTHORISATION SLIP (for completion by the Unit Manager)

I hereby authorise the disposal of the following files listed as per comments in the Disposal Authorisation section.

OFFICER:

SIGNATURE: 

DATE: 26-5-17

CONFIRMATION SLIP (for completion by Records Services)

This file has been processed in accordance with the Unit Manager's directions.

OFFICER: 

SIGNATURE: 

DATE: 31/5/17

City to SWD destroyed

COP Imaged Record - 9/06/2017

City of Perth Recordkeeping Plan <RKP 2017xxx>

DISPOSAL FORM (for completion by Unit Manager)

Read the file descriptions listed below and if necessary, review the contents of each file to determine whether the records need to be retained.
Possible reasons for retention include:

- The records have ongoing administrative value
- The records relate to an agreement or contract that is still current
- The records are subject to a current or pending FOI request
- The records are subject to a current or pending court action or subpoena

If there is a reason to retain any records on the file, please tick 'retain' and fill out the 'reason for retention'.

File Number	File Description & Date Range	GDA Ref	Disposal due date	PLEASE TICK ONE		Reason for retention	Period to retain
				Destroy	Retain		
NA	Traffic Management Plan for City to Surf 2001 1 x CD	RD2015001 SCHED 36.6 Destroy after 7 years	31/12/2009	✓			
NA	Red Bull Air Race images & video 2006 2 x CDs	RD2015001 SCHED 105.2 Destroy after 7 years	31/12/2014		✓	Historic and important	7 years

* RBAR - Archived 31/5/17 LD

COP Imaged Record - 9/06/2017

APPENDIX 11

Training materials (sample)

Record Keeping Induction (sign off form)



CITY of PERTH

Record Keeping Induction

PARTICIPANT SIGN OFF

In accordance with Section 9.2.1 of the City of Perth Record Keeping Plan, all staff are required to complete and sign this form as confirmation of their:

- Attendance at the Record Keeping Induction, and
- Understanding of their record keeping responsibilities.

Name: _____

Unit: _____

1 Attendance Confirmation

I confirm that I attended the following training sessions, conducted by City of Perth Information Management, at the date and time detailed below:

☐ Record Keeping Induction

Date: _____ Time: _____

2 Record Keeping Responsibilities

I confirm that I understand my record keeping responsibilities as a City of Perth staff member and have been informed of the following Corporate Record Keeping Procedures.

Procedure Title

Access Requests – Copyright
 Access Requests – Freedom of Information
 Access Requests – Subpoena & Writ of Summons Processing
 Access Requests – Consultant Access
 Document Management – Disposal of Records
 Document Management – Electronic Documents
 Document Management – File Notes
 Document Management – Forms
 Document Management – Procedures
 Document Management – Publications
 Document Management – Record Title Conventions & Approved Abbreviations
 Document Management – Common Seal
 Mail Management – Courier & Hand Delivered Mail
 Mail Management – E-mails
 Mail Management – Facsimiles
 Mail Management – Imaged Mail
 Mail Management – Internal Mail
 Mail Management – Outgoing Mail
 Mail Management – Special Mail Services

Procedure Ref.

PR0085
 PR0045
 PR0084
 PR0204
 PR0097
 PR0088
 PR0060
 PR0684
 PR0001
 PR0004
 PR0056
 PR0572
 PR0061
 PR0089
 PR0096
 PR0047
 PR0062
 PR0064
 PR0067

3 Staff Agreement

I hereby agree to comply with the City of Perth Record Keeping Plan. I understand that I am legally obliged to follow the above procedures in accordance with the City's Record Keeping Plan and the *State Records Act 2000*. I am aware that severe penalties apply under Section 78 of the *State Records Act 2000* for breaches of an organisation's Record Keeping Plan.

Please turn over

③ Evaluation

Please tick True / False for the following questions:

- | | | |
|---|-------------------------------|--------------------------------|
| I am responsible for creating a record. | <input type="checkbox"/> True | <input type="checkbox"/> False |
| I can store records permanently in the network drives. | <input type="checkbox"/> True | <input type="checkbox"/> False |
| I print all records (emails, letters, minutes etc.) and send to Information Management for scanning. | <input type="checkbox"/> True | <input type="checkbox"/> False |
| I am responsible to register email received and sent from my personal account in Outlook (<i>name@cityofperth.wa.gov.au</i>). | <input type="checkbox"/> True | <input type="checkbox"/> False |
| If I receive hand delivered / courier mail, I should bring the records to Information Management for processing. | <input type="checkbox"/> True | <input type="checkbox"/> False |
| If I receive a subpoena, I should just send the records off to court. | <input type="checkbox"/> True | <input type="checkbox"/> False |
| I am not allowed to dispose of significant records without first liaising with Information Management. | <input type="checkbox"/> True | <input type="checkbox"/> False |

Signature: _____

Record Keeping System (new user checklist)



RKS Training (TRIM)

USER TRAINING CHECKLIST

Name: _____

Unit: _____

1 Attendance Confirmation

I confirm that I had the following training session, conducted by City of Perth Records Trainer, at the dates and times detailed below:

☐ RKS Training (TRIM) – Session 1

Date: _____ Time: _____

☐ RKS Training (TRIM) – Session 2

Date: _____ Time: _____

☐ RKS Training (TRIM) – Session 3

Date: _____ Time: _____

Signature: _____ Date: _____

RKS Training (TRIM) – Session 1

PRE-TRAINING

- ☐ User profile switched from Inquiry User to Information Worker
- ☐ 8142/13 and 39555/16 reassigned to user

INTRODUCTION

- ☐ What is recordkeeping? [Induction / RAT]
- ☐ What is TRIM?
- ☐ Flow of mail [Chart]
- ☐ Provide global settings chart if wanted/ Add 39232/16 to Favourites

SYSTEMCHECK TRIM

- ☐ Apply global settings
- ☐ Check that Tools – Options – Integration tab – check that Work directly with HP TRIM is ticked
- ☐ Check that Tools – Desktop Add Ins – Microsoft Outlook ticked for Outlook users
- ☐ Check that Dropped Files – delete document after it has been processed is ticked & explain if necessary
- ☐ Add to Quick Search
 - ☐ Record Number
 - ☐ External ID
 - ☐ Purchase Order Number

SYSTEMCHECK OUTLOOK

- ☐ HP TRIM TRIM / ADD Ins tabs in Outlook

RECEIVING SCANNED CORRESPONDENCE

- ☐ Check Records Due Tray
 - ☐ Invoice [TIFF] 8142/13
 - ☐ Annotation – Creating stamp – PR0984 [standard wording FIN]
 - ☐ Reassigning
 - ☐ Email 39555/16 (.eml)
 - ☐ Replying (with History Only) using Catalogue on Send
 - ☐ Use of notes field
 - ☐ Completion

REGISTERING E-MAILS

- ☐ Saving emails
 - ☐ Received emails – ADD Ins Tab Catalogue or HP TRIM Tab Catalogue
 - ☐ Sent emails - HP TRIM Tab – Catalogue on send
- ☐ Outlook - Add in TRIM Ref column [refer 54020/17]
- ☐ Add Catalogue on Send Button to message tab
- ☐ Explain archiving of emails after 90 days

Note: If registering of electronic documents not done in Session 1, close all open Office applications. Then open Word / Excel, click Save. Show users the menu and ask users to just click Local to save documents on drive

SEARCHING

- ☐ Quick search – add fields: Record number, Creator
 - ☐ Title word (default) – search for 1. TRIM User Guide / 2. RKS Quick Guide
 - ☐ Record number – search for file references
 - ☐ Show how to see Pay On date for invoices. Either customise Properties / Additional tab
- ☐ Add to favourites TRIM User Guide & RKS Quick Guide
- ☐ Search Saved Searches for <Unit> Frequently Used Files
- ☐ Add to favourite Saved Searches
- ☐ Add PR0056 to Favourites

INFORMATION

- ☐ Procedures (on Intranet) / TRIM keywords *Unit & Corporate*
- ☐ Recordkeeping Page on Intranet – highlight RKS Quick Guides, Tips and FAQs, S@C Guides
- ☐ New File Request
- ☐ Records for scanning (explain exempt Records e.g. Invoices)

Reminder:

- ☐ Clear test file from My containers

RKS Training (TRIM) – Session 2

PRE-TRAINING

- ☐ Training booked Date: _____
- ☐ Audit records created (check titling, file numbers, relating records etc)

REGISTERING ELECTRONIC DOCUMENTS

- ☐ Saving Microsoft Word / Excel document Online
 - Templates e.g. Letter
- ☐ - Titling [WHAT – WHO – WHY – WHERE – WHEN]
 - Searching for contact – SMITH, J / NEW CONTACT
 - Author / Creator field
 - [P1023084] File Closed warning – double click on latest part
 - Related record [8186/13]
- ☐ Working with records
 - Recent document [stores 25 most recent]
 - Editing
 - Send to email
- ☐ Making references of TRIM documents in I:\drive [use Make Reference button on toolbar]
- ☐ Saving from I:\ Drive into TRIM [Right-click, Send to TRIM/ Drag and drop onto file]

WORKING WITH DOCUMENTS

- ☐ Relating documents
- ☐ Editing titles e.g. emails / Editing contacts
- ☐ Creating electronic PDFs using Send & Save (Word / Excel Function)
- ☐ Revising documents in TRIM with network drive documents
- ☐ Save drafts to Offline – Check In / Advanced Check Out

LINKING OUTLOOK FOLDERS TO TRIM CONTAINERS

- ☐ Set up example folder and link to TRIM File [Refer to 3715/15]
- ☐ Explain benefits of manually titling emails

Reminder:

- ☐ Clear test file from My containers

RKS Training (TRIM) – Session 3

PRE-TRAINING

- ☐ Training booked Date: _____
- ☐ Audit records created (check titling, file numbers, relating records etc)
- ☐ Send training email from stationery
- ☐ Add actions Corro Reply – Trainer and For Info – Trainee on 72248/15

CONTACTS

- ☐ Searching for contacts
 - SURNAME, INITIAL (EXTERNAL) or SURNAME, FIRST NAME (INTERNAL)
 - Using asterisk as wild card [*SURNAME*]
 - Organisations – no PTY LTD

BASIC SEARCH

- ☐ Use + in contact field e.g. BLUE COLLAR PEOPLE+
- ☐ Use of multiple criteria e.g. date range 01/01/13 31/12/13
- ☐ Refining search to exclude invoices
- ☐ Searching for files
 - Limit to record type – File e.g. HR file
- ☐ Navigating to Latest Part
- ☐ Navigating to Related Record

ACTIONS

- ☐ Putting on actions
- ☐ Use Report Record Type if training all other staff and show how to add ELG action
- ☐ Use Memo Record Type if training unit staff with other actions to show how to delete default action and replace with the Manager / Director Approval
- ☐ Save Quick Guides – ELG Reports [64096/16 & 110479/16] as Favourites
- ☐ Save <Unit> Quick Help Guide as Favourites

ES	EDA	DCC	DCS	DPD	CMD
<ul style="list-style-type: none"> ELG Report 	<ul style="list-style-type: none"> Manager Approval Director Approval ELG Report <p>Note: Must Train. Used in directorate to seek approval</p>	<ul style="list-style-type: none"> Manager Approval Director Approval ELG Report <p>Note: Only CMS uses Manager / Director Approval actions actively</p>	<ul style="list-style-type: none"> ELG Report <p>Note: DAI & IT use Manager/ Director / ITAC report actions</p>	<ul style="list-style-type: none"> ELG Report <p>Note: All units except DAU use Manager/ Director report actions</p>	<ul style="list-style-type: none"> ELG Report <p>Note: PKS & PPM use Manager/ Director report actions</p> <p>All units use Contracts report action</p>

- ☐ **Email received** 72248/15 (.vmbx) + link to RKS Tip 13213/16
 - Show user that record not in Due Tray
 - Click Show Actions/ Procedures to right click – Complete

SCANNING AT THE COPIER

- ☐ Exempt Records (invoices, tender contracts, high value signed / sealed docs)
- ☐ Demonstrate the Process (Scan 2 x Test Docs)
- ☐ Explain Quality Assurance (no blank pages, correctly rotated, full image scanned etc.)
- ☐ Use of Check in Button (New Document or New Revision)
- ☐ How to delete documents from queue (delete document from folder)
- ☐ Scan Batch Box (located with focal point)
- ☐ Mailing out original documents (make note 'Original mailed to customer on DD/MM/YY')

MISCELLANEOUS

- ☐ Use of Records Work Tray [Click F3 to add to tray]

Reminder:

- ☐ Clear test file from My containers

POST-TRAINING

- ☐ Post-survey sent