



**City of Bayswater
RECORDKEEPING PLAN**

RKP 2016033

**In Accordance with Section 28(5) of the
State Records Act 2000**

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Introduction

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

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

The purpose of this Recordkeeping Plan is to set out the matters about which records are to be created by the City of Bayswater and how it is to keep its records. The Recordkeeping Plan is to provide an accurate reflection of the recordkeeping program within the organisation, including information regarding the organisation'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 organisation.

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

This Recordkeeping Plan applies to all of the City of Bayswater:

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

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

"In relation to the recordkeeping requirements of local government elected members, records must be created and kept which properly and adequately record the performance of member functions arising from their participation in the decision making processes of Council and Committees of Council.

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

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

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

This Recordkeeping Plan supersedes RKP 2009083 applies to all records created or received by any of the above parties, regardless of:

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

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

1.1 Historical Background

The Bayswater Road District was gazetted on 5 March 1897 and was carved out of part of the Perth Road Board and part of the Swan Road Board. In July 1961, all Road Districts were abolished and became municipalities. The Bayswater Road District became known as the Shire of Bayswater.

In 1981 planning commenced for the development of a new Administration Centre to meet the needs of the expanding Shire. On 29 October 1983, the Shire of Bayswater was elevated to City status and renamed the City of Bayswater.

The City's new Administration Centre was officially opened on 20 November 1983 at 61 Broun Avenue Morley.

On 1 July 1998, the locality of Maylands and parts of the localities of Mount Lawley and Inglewood were officially transferred from the City of Stirling to the City of Bayswater. The City of Bayswater established the Maylands Advisory Committee, which comprised five local residents to represent their community on all matters affecting local government services in the new South Ward of the City of Bayswater. This interim committee operated until the next local government election in May 1999 when Maylands residents were able to elect two Councillors for the new South Ward.

NB: City of Stirling archived records relating the suburbs of Maylands and parts of the localities of Mount Lawley and Inglewood were officially transferred to the care control and custody of the City of Bayswater in 2013 by way of a signed Memorandum of Understanding between the two agencies. This MOU was ratified by the State Records Commission. These records now form part of the City of Bayswater records and are covered by this Recordkeeping Plan.

In 2006, the City's Administration Centre underwent extensive upgrading and renovations and was reopened as the City of Bayswater Civic Centre on 11 August 2007.

On 1 July 2016, the area of the suburb of Noranda located north of Widgee Road and extending east to the Reid and Tonkin Highways was transferred from the City of Swan to the City of Bayswater. This area was included in the North Ward of the City of Bayswater.

NB: City of Swan records relating to the transferred area of Noranda remain the archived records of that agency as evidence of its administration of the area. However, the City of Bayswater is allowed access to those archived records to enable the continuing administration of the area now under its control.

In addition to the City of Bayswater Civic Centre, a number of out centres are located throughout the City and these include:

- Max Tully Information Office located in the Galleria Shopping Centre 4 Collier Road Morley;
- Morley Public Library located in the Les Hansman Community Centre at 240 Walter Road West Morley;

- Bayswater Public Library located at 25 King William Street Bayswater;
- Mertome Aged Care Facility located at 30 Winifred Road Bayswater;
- Carramar Aged Care Facility located at 23A Redgum Way Morley;
- Bayswater Hostel Aged Care Facility located at 21 Embleton Avenue Embleton;
- Bayswater Waves Aquatic Centre located at 160 Broun Avenue Embleton;
- Paddy Walker Works Depot and Dog Pound located at 15 Wright Street Bayswater;
- Rangers and Security Office located at 21 Raymond Avenue Bayswater;
- Embleton Public Golf Course located at 25 McGregor Street Embleton;
- Olive Tree House and Harry Hall Autumn Centre located at 1A Lee Street Morley;
- Maylands Autumn Centre located at 55 Ninth Avenue Maylands;
- Bayswater Senior Citizens Centre located at 25 King William Street Bayswater;
- Maylands Peninsula Public Golf Course located at 15 Swan Bank Road Maylands;
- Maylands Waterland Playground located at 48 Clarkson Road Maylands; and
- The RISE multipurpose recreation and community centre incorporating the Maylands Public Library located at 28 Eighth Avenue Maylands.

1.2 Strategic Focus and Main Business Activity

The focus at the City of Bayswater is managing its very diverse roles and functions founded on very sound government of its district. The City is made up of the following categories:

- *Community* – a multicultural community of 56,733 residents.
- *Elected Members* – consisting of eleven members, elected by the community, one of whom is the Mayor, elected by the Council.
- *Organisational Structure* – consisting of a Chief Executive Officer, four Directors, sixteen Managers and 629 staff (including Full Time, Part Time and Casuals), providing a high quality service to the community.
- *Infrastructure* – a high level of management ensures that the assets of the City are protected, maintained and renewed. This also includes the physical and natural environment of the City.

Demographics / Statistics (2014/15 Annual Report)

Distance from the City of Perth	8km
Area (sq km)	32.74
No. Electors (September 2010)	40477
Population (ABS Census 2011)	61262
No. Rateable properties	28633
Total Rates Levied	\$47,432,458
Total Revenue	\$81,425,968

Suburbs: Bayswater, Bedford, Embleton Maylands, Morley, Noranda and parts of Beechboro, Dianella, Inglewood and Mount Lawley.

Local Industries : Morley City Centre, Bayswater Town Centre, Bayswater Industrial Area and Maylands Business Centre.

The City of Bayswater Corporate Plan is the driving force of the direction the Council will take in the community, incorporating the Mission, Vision and Values of the corporation.

The City Of Bayswater's aim is to provide a safe and peaceful environment promoting a harmonious and high quality lifestyle for its community, ensuring that the community is aware of what Council is doing, for what reason and with what result.

The Future of our City: Strategic Plan 2011 - 2015 (as adopted by Council 23 November 2010)

Our Vision

A quality lifestyle in a sustainable environment.

Our Commitment

We commit to be:

Respectful;

Responsive;

Innovative; and to Deliver

Our Overall Goals

Key Results Area 1: Our Community

Wellbeing and sense of belonging for our community.

- We actively engage with our community.
- We promote and facilitate healthy lifestyles for our community.
- We provide preventative measures to guard the health of our community.
- We provide responsive and affordable services to the community.
- We provide and promote a range of community events to bring people together and celebrate their way of life in the City of Bayswater.
- We acknowledge and celebrate cultural diversity of our City.
- Our community feels safe and secure.

Key Results Area 2: our Natural Environment

Protect and enhance the Swan River and natural environment.

- Our community will continue to enjoy access to natural environmental areas.
- We commit to conserving our environment for future generations by pursuing renewable energy.
- We actively pursue ways to minimize water use.
- We actively pursue ways to minimize water waste.
- We facilitate the rehabilitation of contaminated sites.
- We pursue ways to mitigate and adapt to climate change.

Key Results Area 3: Our Built Environment

An attractive, liveable and sustainable City.

- We develop our City based on a targeted population size and range of lifestyle choices.
- We work to achieve a high quality built form for the City.
- We develop town centres as vibrant community meeting places.
- We develop Bayswater as an attractive, liveable and pedestrian friendly City.
- We ensure City-owned buildings and infrastructure are of high quality appropriate to community needs.
- We ensure the City's parks and associated infrastructure are of high standard to meet the needs of the community.
- We ensure the City's roads and civil infrastructure are of high standard.

Key Results Area 4: The Local Economy

A strong and diverse local economy that meets the needs of the local community.

- We accommodate businesses of varying sizes and types that:
 - support local centres/areas;

- offer employment;
- meet the needs and expectations of our community.
- We identify, develop and promote the City's tourism opportunities, destinations and events and our role as gateway to Perth's eastern tourism region.
- We manage car parking to a sustainable level that supports local centres/areas.

Key Results Area 5: Leadership & Governance

Provide prudent stewardship and be an exemplar of good governance.

- We ensure compliance with all legislative and statutory requirements.
- We advocate effectively on behalf of the community.
- We plan for the future to meet community needs. Taking into account the social, economic and cultural wellbeing of our residents.
- We ensure policies; procedures and practices are effective, open and transparent.
- We ensure Council is accountable to its community.
- We build strong stewardship and leadership.
- We promote an innovative, empowered and responsible organisational culture.
- We ensure prudent financial management practices.

1.3 Functions, including those outsourced

Appendix 1 contains a comprehensive list of typical Local Government functions.

1.4 Major Stakeholders

The City of Bayswater's major stakeholders are its employees, residents, ratepayers, the general public and its Elected Members.

The City of Bayswater recognises and supports the activities of those groups that also provide services to residents, including community groups, the business community and State and Federal Government agencies.

1.5 Enabling Legislation

The City of Bayswater is established under the *Local Government Act 1995*.

1.6 Legislation and Regulations Administered by the City of Bayswater

Appendix 2 contains a comprehensive list of typical legislation and regulations that may be wholly or partly administered by Local Government.

Appendix 2 also includes a listing of all the Local Laws of the Local Government of the City of Bayswater.

1.7 Other Legislation Affecting the City of Bayswater

Appendix 3 contains a list of other legislation and regulations affecting the functions, operations and recordkeeping of Local Government.

1.8 Major Government Policy and/or Industry Standards

Appendix 4 contains a list of government and industry standards and codes of practice that may be imposed on or adopted by Local Government.

2 Principle Two: Policies and Procedures

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

2.1 Records Management and Business Information Systems

2.1.1 Records Management System

The City Of Bayswater uses Technology One's Electronic Document Management System (EDMS), ECM Ci Anywhere formerly known as DataWorks, to manage its documents, records and files within the main Civic Centre and outstations. The system enables the City to easily and efficiently capture, store, use and manage information contained in its business documents from any device, anywhere, at any time.

ECM Ci Anywhere creates profiles with multiple indexes to link documents to where they are needed. Standardised naming conventions are used to structure the way information is retrieved. Standardised mandatory indexes are used to register, manage and easily retrieve information.

The benefits of ECM Ci Anywhere are:

- access to business critical information;
- integrated with other core information systems;
- shared information across all business units and work groups;
- reduction of information processing costs and time;
- easily captured document profile information;
- storage of business documents in a single, central repository;
- access to information anywhere, anytime, anyhow on any device;
- enhancement of internal business processes;
- capture of documents or information from any format or any device;
- reduction in time spent searching for documents and records;
- supports a mobile workforce; and
- meets legislative requirements.

ECM Ci Anywhere allows the City of Bayswater to utilize a hybrid records management system comprising a combination of both hard copy and electronic records formats. The City's Development Applications and Building Permit Applications rely on the use of filing hard copy documents whilst being complimented with the registration of electronic documents in ECM Ci Anywhere.

The City of Bayswater previously used the InfoVision records and document management system from 1997 to 2009 with all records from that system being migrated into DataWorks / ECM Ci Anywhere InfoVision Index for reference purposes only.

2.1.2 Business Information System/s

A number of other corporate business information systems exist within the City of Bayswater which are covered by this Recordkeeping Plan and the provisions of the *State Records Act 2000*. These include:

- Property and Rating (Property & Rating Enquiry System);
- Finance One (Financial Management Enquiry System);

- City Spatial (Geographic Query Tool);
- Outlook (Email Management System);
- City of Bayswater Web Site;
- City of Bayswater Facebook Site;
- City of Bayswater Twitter Site; and
- Human Resources and Payroll Physical Files (Restricted to Human Resources & Payroll)

2.2 Records Management Policy and Procedures

The creation and management of records is coordinated by the City of Bayswater Information Management Section.

The City of Bayswater Policy AD-P16 Records Management – (In Association with the City of Bayswater Recordkeeping Plan) was adopted by Council at its Ordinary Meeting on 23 March 2010. However, this Policy was rescinded by Council at its Ordinary Meeting on 15 December 2015 as it was considered the provisions of the Policy are dealt with under Division 3 of the *Local Government Act 1995* and Section 19 of the *State Records Act 2000*.

Appendix 5 contains the City of Bayswater "Recordkeeping for Employees Policy Statement" which outlines the requirements of the City of Bayswater Recordkeeping Plan. This City of Bayswater Recordkeeping Plan has been adopted as the "manual" for all recordkeeping policies and procedures. Under this Recordkeeping Plan:

- the policies and procedures have been established;
- the roles and responsibilities for all employees are defined;
- the organisational scope of the policies and procedures has been established; and
- the policies and procedures have been authorised at an appropriate senior level and are available to all employees.

Table 2.1

Recordkeeping Activities for the management of hard copy records and covered in the City of Bayswater Policies and Procedures	YES	NO
Correspondence capture and control – including incoming and outgoing mail registration; responsibilities assigned for classifying, indexing and registration; file titling and file numbering conventions. Include specific provisions for capture and control of Elected Members' correspondence.	√	
Digitization – including categories of records digitized; disposal of source records; digitization specifications. See <i>General Disposal Authority for Source Records RD2016002</i> ; NB: <i>This procedure is only required where the organisation intends to dispose of source records prior to the expiration of the approved minimum retention period after digitizing.</i>	√	
Mail distribution – including frequency, tracking mechanisms and security measures.	√	
File creation and closure – including assigned responsibility and procedures for both physical and automated file creation.	√	
Access to corporate records – procedures for access to and security of corporate records.	√	

Recordkeeping Activities for the management of hard copy records and covered in the City of Bayswater Policies and Procedures	YES	NO
Authorised disposal of temporary records and transfer of State archives to the State Records Office (SRO) – any assigned responsibilities.	√	
Electronic records management – including the organisation's approach and methodology for the capture and management of its electronic records (e.g. print and file, identification of the official record, use of EDRMS, hybrid system etc.).	√	
Email management – including the capture, retention and authorised disposal of email messages to ensure accountability. Should indicate whether the organisation 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.)	√	
Website management – i) The City of Bayswater website is managed through the Manager Information Services. The Information Services Section is responsible for the technical set up and maintenance of the website and each City of Bayswater Business Unit is responsible for the content ensuring it meets the corporate standards. ii) The City of Bayswater website is backed up as part of the IT backup process involving a third party hosting company.	√	
Metadata management – including authority for the capture and control of metadata.	√	
System/s management – Management of the City of Bayswater Business Systems is the responsibility of the Manager Information Services. Levels of access are managed through the Information Services Section and are dependent on the individual officer's position within the organization.	√	
Migration strategy – Strategies are in place to manage digital information over time and in the event of system changes; records are scanned to PDF format and other documents formats within the EDMS; ECM Ci Anywhere. All documents can be viewed as PDF with use of a Rendering Server. Should the document management system be updated to new software, a migration strategy will be developed to ensure records remain accessible in the future.	√	

2.3 Certification of Policies and Procedures

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

2.4 Evaluation of Policies and Procedures

The recordkeeping policies and procedures for the City of Bayswater cover all categories identified in Principle 2 of SRC Standard 2 and are assessed as operating efficiently and effectively across the City of Bayswater.

Creation of Records

All Elected Members, staff and contractors will create full and accurate records, in the appropriate format, of the City of Bayswater business decisions and transactions to meet all legislative, business, administrative, financial, evidential and historical requirements.

Capture & Control of Records

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

Security & Protection of Records

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

Access to Records

Access to the City of Bayswater records by staff and contractors will be in accordance with designated access and security classifications. Access to the City of Bayswater records by the general public will be in accordance with the *Freedom of Information Act 1992* and City of Bayswater policy. Access to the City of Bayswater records by Elected Members will be via the Chief Executive Officer in accordance with the *Local Government Act 1995*.

Appraisal, Retention & Disposal of Records

All records kept by the City of Bayswater will be retained and disposed of in accordance with the General Disposal Authority for Local Government Records DA2015-001, produced by the State Records Office of Western Australia.

Areas for Improvement

Formal procedures for Website Management, Systems Management and Migration Strategy will be developed over time by the Manager Information Services.

3 Principle Three: Language Control

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

3.1 Keyword for Councils Thesaurus Implemented

The City of Bayswater has adopted and implemented the Keyword for Councils Thesaurus for the titling of all its records. This is translated into the Subject Index of the City of Bayswater Document Management System, ECM Ci Anywhere, to reflect the functions of the City of Bayswater as identified in Appendix1.

3.2 File Plan / List of Subject Headings / List of Authorised Headings

The City of Bayswater's electronic document management system, ECM Ci Anywhere, utilises standardised indexes to assist in the efficient registration and retrieval of documents and records. The Business Rules for ECM Ci Anywhere dictate that all documents must be linked to a minimum of three (3) mandatory indexes being:

- the Customer Index - for all persons, organisations and agencies having business dealings with the City of Bayswater. All information in this index is created in and populated from the City's core Property and Rating System;
- the Subject Index - for classification of all the City's business functions, see Appendix 1; and
- the Property Index - for all land and property related transactions. All property information in this index is created in and populated from the City's core Property and Rating System and is also integrated with the City Spatial (GIS) System.

There are also other supplementary indexes available for documents to be indexed against if it is considered appropriate. These are:

- Applications Index - predominantly used for all Development Applications and Building Licence Applications, but also for any application type created in the City's Customer Request Module (CRM) in the Property and Rating System;
- Projects Index - all major capital works or other significant Council projects;
- Streets Index - all City streets, roads, laneways and thoroughfares. All information in this index is created from the City's core City Spatial (GIS) System;
- Templates Index - all internal corporate document templates;
- Intranet Index - used for migration of ECM documents to the City's Intranet;
- Meetings Index - used for the City's Minutes and Agenda preparation process;
- Employees Index - secured for all Human Resources and Payroll matters;
- Positions Index - secured for all Human Resources designated positions matters; and
- The Documents Index - from which all documents linked to the abovementioned indexes may be accessed.

Standardised language tools are utilised across all indexes for easy and consistent document registration and retrieval.

The City's former records and document management system, InfoVision used from 1997 until 2009 was based on an organisational/functional Records File Index.

The List of Subject Headings for InfoVision is attached. (please refer to Appendix 6).

3.3 Assessment of its Effectiveness

The list of subject headings in Subject Index operates well within the City of Bayswater. It covers both administrative and functional activities of the City of Bayswater and is available for use by all staff and information can be filed and found without difficulty.

3.4 Identified Areas for Improvement

Where the Subject Index headings have been shown to be inadequate and the City of Bayswater has identified areas where improvement is needed this tool is adjusted to reflect changes to the functions and activities of the City of Bayswater as may occur from time to time. Any changes to the Subject Index headings must be authorized by the Coordinator Information Management.

4 Principle Four: Preservation

Government organisations ensure that records are protected and preserved

For the *City of Bayswater Records Disaster Recovery Plan* for the City of Bayswater please refer to Appendix 7.

4.1 Assessment of the Risks

4.1.1 On Site Storage

The City of Bayswater has its current, non-current, active and some archival records located in onsite storage at its Civic Centre located at 61 Broun Avenue Morley. The storage facility includes:

- Metal shelving,
- Acid free archive boxes,
- Fire retardant safe,
- Secure premises,
- Fire detection system,
- Air conditioning for 24 hours per day; and
- CCTV coverage.

The main disaster threatening records stored onsite comes from fire / industrial accident / vandalism / vermin or pests. With the storage conditions as described here the risk to the City's records is assessed as low.

4.1.2 Offsite Storage

The City of Bayswater has its non-current, inactive and archival records located in an contracted offsite storage facility at Archivewise trading as Totally Confidential Records Management located at 10 Jackson Street Bassendean.

Archivewise provides secure storage facilities for commercial, government, healthcare and industrial sectors in WA. Archivewise facilities comply with all the requirements outlined by the Commonwealth Archives, WA Government Archives and State Records Office of WA, for records and information management, as well as conforming to all the relevant Australian Standards, including:

- Secure/confidential records management storage: AS 4390-6-1996
- Firefighting equipment: AS 2444-1995
- Emergency control and procedures for buildings: AS3745-1995
- Automatic smoke/heat detectors: AS 1851-51981
- Smoke and thermal detectors strategically positioned
- Fire extinguishers and water hose reels located to FESA standards
- 24-hour direct linked electronic fire detection system
- 24-hour electronic motion sensor security system
- Physical security monitor system
- Dust protection
- Termite and pest protection
- Restricted personnel access via key card
- National police clearance on all staff

- Repositories are protected with 4-hour fire-rated doors and maintained at temperatures between $20^{\circ}\text{C} \pm 2^{\circ}\text{C}$ with a humidity factor of $50\% \pm 5\%$.

The main disaster threatening records stored at the offsite records storage facility comes from fire / industrial accident / vandalism / vermin or pests. With the storage conditions as described here the risk to the City's records is assessed as low.

4.1.3 Storage of Archives

City of Bayswater records identified as having archival value in accordance with the General Disposal Authority for Local Government Records DA2015-001 are to be retained in the State Archives. Archival value records may be those created as evidence of an administration where their value goes well beyond their day to day use. These records may also document the history of an area and its population and the cultural and economic conditions under which they lived. These records have been identified as having a lasting value for the state and are a valuable resource for students or researchers in such areas as history, genealogy, social geography, economics, demography and urban planning.

In accordance with the General Disposal Authority for Local Government Records DA2015-001, all archival records will be transferred to State Archives five years after the date of last action.

However, the City of Bayswater acknowledges the State Records Commission has been unable to receive any Archival Records since June 2001. The City of Bayswater will retain all records identified as having archival value in accordance with the 2016 Directions for keeping hardcopy State Archives awaiting transfer to the State Records Office.

4.1.4 Storage of Backups

Electronic records of the City of Bayswater are:

- backed up nightly from disk to disk on a dedicated back-up server;
- the disk goes to a tape library and stored at The RISE located at 28 Eighth Avenue Maylands in a fire proof safe located in the Communications Room and are retained for 4 weeks;
- a replication is taken of all critical systems to the disaster recovery site, also at The RISE; and
- monthly back-up tapes are stored off site at Archivewise (TCRM) permanently.

4.1.5 Quantity of Records

The City of Bayswater has custody of:

- 1052.7 linear metres of temporary records stored onsite;
- 306.5 linear metres of temporary records stored offsite; and
- 50.4 linear metres of State archives stored onsite/offsite.

4.1.6 Security and Access

The majority of the City's records are stored on-site at the Civic Centre. Other outstations maintain some records locally. If there is insufficient and inappropriate space, records may be stored off-site at Archivewise. It is essential documents and records are stored in safe, secure and appropriate facilities. A number of factors are considered when deciding at which storage facility the records will be located or retained. These factors include:

- are they conveniently located to the user;

- do they have secure and controlled access;
- is the area appropriate for the kinds of documents to be stored;
- do they facilitate easy access and retrieval;
- are the records stored in containers that are suitable, durable and appropriate for the kinds of documents; and
- are the records and documents protected from loss or disaster?

The City's facilities, in relation to security of records storage and availability of access to records have been assessed and it has been determined that risk to be low.

4.2 Assessment of the Impacts of Disasters

The following table details the major risks affecting the City of Bayswater's Recordkeeping System. The event level refers to the level of severity of the disaster should it occur, with Level 1 being the highest and Level 5 being the lowest. The chance of the disaster occurring has been estimated in terms of low, moderate or high likelihood.

Risk	Description	Event Level	Likelihood
Fire – Civic Centre	Significant fire damage to whole of City's Civic Centre	Level 1	Low
Fire – Basement Archives Room	Significant fire damage to whole of Basement Archives Room	Level 1	Low
Fire – Computer Room	Significant fire or smoke damage to Computer Room	Level 1	Low
Fire – Records File Room	Significant fire or smoke damage to paper records	Level 1	Low
Water Damage – Computer Room	Water damage to computer hardware	Level 2	Moderate
Water Damage to Records File Room	Water damage to paper records	Level 1	Moderate
Water Damage to Basement Archives Room	Water damage to paper records	Level 1	Moderate
Hardware Failure	Failure of computer hardware component of Recordkeeping System	Level 3	Moderate
Software Failure	Failure of computer software component of Recordkeeping System	Level 3	Moderate
Malicious Damage	Deliberate damage or destruction of computer hardware	Level 3	Low
Theft	Theft of computer hardware	Level 3	Low
Destruction of Data	Accidental or malicious destruction of computer data	Level 4	High
Destruction of Records	Accidental or malicious destruction of paper records	Level 4	High

4.3 Strategies in Place for Prevention and Response

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

4.3.1 Vital Records Program

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

- Council and Committee Minutes;
- Legal documents such as Service Agreements, Deeds, Contracts, Caveats;
- Certificates of Title;
- Vesting/Management Orders;
- Delegations of Authority;
- Human Resources/Payroll Records;
- Financial Documents;
- Building Licenses;
- Development Applications (significant applications);
- Environmental Health Immunization Records
- Tender Documents

Vital records i.e. legal documents etc, in hard copy are stored in a locked, fire resistant safe, accessible to members of the Information Management Team only. These records have been scanned and registered in the City's electronic document management system ECM Ci Anywhere. Copies are also placed on the relevant files or day batch filed in records storage boxes and are used for all normal business activities. The Register of Legal Documents is maintained in the City's electronic document management system and is reviewed annually by the City's Coordinator Information Management or as and when required as new or expired documents are added or removed from the Register.

4.3.2 Back-up Procedures for Electronic Records

Electronic records of the City of Bayswater are:

- All data is backed up nightly from disk to disk on a dedicated back-up server;
- the disk goes to a tape library and stored at The RISE located at 28 Eighth Avenue Maylands in a fire proof safe located in the Communications Room;
- a replication is taken of all critical systems to the disaster recovery site, also at The RISE; and
- monthly back-up tapes are stored off site at Archivewise (TCRM).

4.3.3 Security

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

- Hard copy records are stored in a locked/secure room accessible only to Information Management and other City staff. A barcode system is in place for all hard copy files to enable the tracking of records. The City's Civic Centre and other facilities utilize security card, and in some cases PIN access, to protect against unauthorized entry. Most of the City buildings have CCTV coverage.
- Hard copy records stored offsite are located at Archivewise trading as Totally Confidential Records Management located at 10 Jackson Street Bassendean. The facility has been deemed to have compliant security measures in place to prevent unauthorized entry or access

- Electronic records have varying degrees of access depending on delegations assigned to staff within the organisation. Electronic records are backed up on a regular basis as described previously.

4.3.4 Storage Reviews

The records storage facilities utilised by the City of Bayswater are reviewed regularly, at least every 12 months, to ensure that conditions are appropriate for the organisation's records. The records storage facilities were last review in July 2016 and were considered compliant and appropriate for the organisation records.

4.3.5 Recovery of Lost Information

The City of Bayswater has developed a set of quick response strategies to recover lost information, in all formats, should a disaster occur.

- all data is backed up nightly from disk to disk on a dedicated back-up server;
- the disk goes to a tape library and stored at The RISE located at 28 Eighth Avenue Maylands in fire proof safe located in the Communications Room;
- a replication is taken of all critical systems to disaster recovery site also at The RISE;
- monthly back-up tape is store off site at Archivewise (TCRM); and
- recovery of hard copy records is included in the Disaster Recovery Plan.

4.4 Identified Areas for Improvement

From time to time, when the elements of Assessment of Risks Impacts or Strategies in Place for Prevention and Recovery has been shown to be inadequate and the City has identified areas where improvement is needed, the necessary steps and procedures are reviewed and changes made where appropriate.

A list of Salvage Bin equipment is being compiled to assist with recovery of records in the event of an emergency or disaster. Two Salvage Bins and the associated equipment are planned to be located in the City's Information Management Section and the Civic Centre Basement Archives Room. The Salvage Bins will be fully in place by 31 December 2017.

5 Principle Five: Retention and Disposal

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

5.1 General Disposal Authority for Local Government Records

The City of Bayswater uses the General Disposal Authority for Local Government Records DA2015-001, produced by the State Records Office of Western Australia, for the retention and disposal of its administrative, financial and accounting, and human resource management records.

5.1.1 General Disposal Authority for Source Records

The City of Bayswater commenced scanning of corporate documents into its document management system InfoVision in 2000 and subsequently DataWorks / ECM in 2009. The City has established procedures for the scanning of all incoming, hard copy correspondence in accordance with the requirements of the General Disposal Authority for Source Records DA2016-002. The original hard copy correspondence, once reproduced electronically, will be treated as copies/duplicates and as such will be retained for the minimum retention periods identified in the General Disposal Authority for Local Government Records DA2015-001 to meet operational requirements and then either destroyed, kept permanently or archived.

5.2 Existing Ad Hoc Disposal Authorities

The City of Bayswater does not have any Ad Hoc disposal authorities which have been implemented.

5.3 Restricted Access Archives

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

5.4 Archives Not Transferred to the SRO

Under s32(1) of the *State Records Act 2000*, a government organisation is required to transfer its archives to the State Archives collection when those archives become twenty-five (25) years old.

The City of Bayswater has not identified any State archives that will not be transferred to the SRO for permanent retention.

The City of Bayswater acknowledges the State Records Commission has been unable to accept State Archives from Government organisations since 2001. Notwithstanding, the City of Bayswater will maintain and store State archives in conditions compliant with the 2016 Directions for keeping hardcopy State Archives awaiting transfer to the State Records Office.

The City of Bayswater will transfer State archives to the State Archives Collection for permanent preservation when requested by the State Records Office.

5.5 Disposal Program Implemented

The City of Bayswater has implemented the General Disposal Authority for Local Government Records DA2015-001 and conducts a disposal program on an annual basis, usually December of each year, and at other times as and when the need arises. The annual disposal program includes day batched records which have been scanned and registered in ECM Ci Anywhere. Day batched records are sentenced for disposal/retention at the time of indexing, scanning and registration into the document management system. All day batched records are further

appraised before disposal takes place. All records due for disposal are placed in secured confidential bins and taken away for professional and confidential disposal.

For a copy of the disposal procedure and a recent authorised list of records for disposal refer to Appendix 8.

5.6 Authorisation for Disposal of Records

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

6 Principle Six: Compliance

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

6.1 Staff Training, Information Sessions

The City of Bayswater has implemented the following activities to ensure that all staff are aware of their recordkeeping responsibilities and compliance with the Recordkeeping Plan:

Table 6.1

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

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

For an extract of the City of Bayswater ECM, Records and Document Management Induction Program coverage, please refer to Appendix 9.

6.2 Performance Indicators in Place

Performance indicators will be developed by the Manager Information Services and the Coordinator Information Management to measure the efficiency and effectiveness of the City of Bayswater recordkeeping systems. It is planned to have these in operation by 31 December 2017.

6.3 Agency's Evaluation

On the basis of past surveys of staff satisfaction with the recordkeeping systems, where a need for some reviews has been identified, these are addressed and implemented.

6.4 Annual Report

An excerpt from the City of Bayswater's latest Annual Report is attached, demonstrating the organisation's compliance with the *State Records Act 2000*, its Recordkeeping Plan and the training provided for staff. Please refer to Appendix 10.

6.5 Identified Areas for Improvement

Where the staff training/induction of recordkeeping systems/annual reporting has been shown to be inadequate and the City has identified areas where improvement is needed, strategies for undertaking improvements are considered and implemented where necessary.

7 SRC Standard 6: Outsourced Functions

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

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

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

7.1 Outsourced Functions Identified

Refer to Appendix 1 for those functions outsourced.

7.2 Recordkeeping Issues included in Contracts

Refer to Appendix 11 for excerpts of clauses addressing recordkeeping issues in contracts for outsourced functions.

7.2.1 Planning

The City of Bayswater includes the creation and management of proper and adequate records of the performance of the outsourced functions detailed above, in the planning process for the outsourced functions as follows:

"The Contractor shall maintain a recordkeeping system that meets the minimum compliance requirements of the State Records Commission Standard 1 "Government Recordkeeping", to the satisfaction of the City of Bayswater."

7.2.2 Ownership

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

"The Contractor shall on request transfer all specified records to the City at the completion of the contract for ongoing management in accordance with the City's Recordkeeping Plan."

7.2.3 Control

The City of Bayswater has ensured that the contractor creates and controls records in electronic or hard copy format, in accordance with recordkeeping standards, policies, procedures and guidelines stipulated by the City of Bayswater.

"The Contractor must, at any time when requested by the City, provide to the City any information relating to the services in a form directed by the City and assistance as the City may require enabling it to perform its functions, including obligations under the State Records Act 2000 and the Freedom of Information Act 1992."

7.2.4 Disposal

The disposal of all State records which are the product of or are involved in any contract/agreement with the City of Bayswater and a contractor/agent will be disposed of in accordance with the General Disposal Authority for Local Government Records DA2015-001, produced by the State Records Office.

“The Contractor must not dispose of any records created or collected under the contract without written authorisation of the City of Bayswater.”

7.2.5 Access

Conditions for the provision of access to any State records produced in the course of the contract/agreement have been agreed between the City of Bayswater and the contractor(s)/agent(s) as follows:

“Access to the records by the Contractor after the completion of the contract will be in accordance with the Freedom of Information Act 1992 and the City of Bayswater Recordkeeping Plan.”

“Members of the public may be permitted to access the records in accordance with the Freedom of Information Act 1992 and the City of Bayswater Recordkeeping Plan.”

7.2.6 Custody

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

Contractors are required to store and maintain the specified records or copies thereof such that they are readily retrievable, in facilities that provide a suitable environment to minimize deterioration or damage, and to prevent loss. Records storage facilities should be located to minimize the risk of flooding or theft in a clean dry environment, free of excessive dust and pests and with appropriate fire prevention devices.

Contractors will store the specified records on media that ensure their usability, reliability, authenticity and preservation in accordance with the Contract. Contractors will ensure that fire prevention and protections, as well as security and safety systems, are operating in areas where the Specified Records are stored.”

7.2.7 Contract Completion

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

“The Contractor shall on request transfer all specified records to the City at the completion of the contract for ongoing management in accordance with the City's Recordkeeping Plan.”

APPENDICES

APPENDIX 1 - Functions of the Local Government

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

APPENDIX 1 - Functions of the Local Government

Function	Brief Description of LG Function	Performed by the LG <i>Tick If Yes</i>	Performed by an External Agency <i>Tick If Yes</i>
Grants & Subsidies	The function of managing financial payments to the LG from the State and Federal Governments and other agencies for specific purposes.	✓	
Information Management	The function of managing the LG's information resources, including the storage, retrieval, archives, processing and communications of all information in any format.	✓	✓
Information Technology	The function of acquiring and managing communications and information technology and databases to support the business operations of the LG.	✓	
Land Use & Planning	The function of establishing a medium to long term policy framework for the management of the natural and built environments.	✓	
Laws & Enforcement	The function of regulating, notifying, prosecuting, and applying penalties in relation to the Council's regulatory role.	✓	
Legal Services	The function of providing legal services to the LG.		✓
Parks & Reserves	The function of acquiring, managing, designing and constructing parks and reserves, either owned or controlled and managed by the LG.	✓	
Personnel	The function of managing the conditions of employment and administration of personnel at the LG, including consultants and volunteers.	✓	
Plant, Equipment & Stores	The function of managing the purchase, hire or leasing of all plant and vehicles, and other equipment. Includes the management of the LG's stores. Does not include the acquisition of information technology and telecommunications.	✓	
Public Health	The function of managing, monitoring and regulating activities to protect and improve public health under the terms of the Public Health Act, health codes, standards and regulations.	✓	
Rates & Valuations	The function of managing, regulating, setting and collecting income through the valuation of rateable land and other charges.	✓	
Recreation & Cultural Services	The function of LG in arranging, promoting or encouraging programs and events in visual arts, craft, music, performing arts, sports and recreation, cultural activities and services.	✓	
Risk Management	The function of managing and reducing the risk of loss of LG properties and equipment and risks to personnel.	✓	
Roads	The provision of road construction and maintenance of rural roads and associated street services to property owners within the LG area.	✓	
Sewerage Drainage &	The function of designing and constructing, maintaining and managing the liquid waste system, including drainage, sewerage collection and treatment, stormwater and flood mitigation works.	✓	

APPENDIX 1 - Functions of the Local Government

Function	Brief Description of LG Function	Performed by the LG <i>Tick If Yes</i>	Performed by an External Agency <i>Tick If Yes</i>
Traffic & Transport	The function of planning for transport infrastructure and the efficient movement and parking of traffic. Encompasses all service/facilities above the road surface and includes all forms of public transport.	✓	
Waste Management	The function of providing services by the LG to ratepayers for the removal of solid waste, destruction and waste reduction.	✓	✓
Water Supply	The function of managing the design, construction, maintenance and management of water supplies, either by the LG or by service providers.	✓	

APPENDIX 2 - Legislation and Regulations that may be wholly or partly administered by Local Government, And Local Laws of the Local Government

Legislation, Regulations and Local Laws	<i>Tick if YES, the LG administers</i>
Aboriginal Heritage Act 1972	
Aboriginal Heritage Regulations 1974	
Agriculture and Related Resources Protection Act 1976	
Agriculture and Related Resources Protection Regulations 2011	
Annual Report Form (Local Authorities) Regulations 1998	
Animal Welfare Act 2002	
Building Act 2011	
Building Regulations 2012	
Building Services Levy Act 2011	✓
Bush Fires Act 1954	✓
Bush Fire Regulations 1954	✓
Bush Fire (Infringement) Regulations 1978	✓
Caravan Parks and Camping Grounds Act 1995	✓
Caravan Parks and Camping Grounds Regulations 1997	✓
Cat Act 2011	✓
Cat Regulations 2011	✓
Cat (Uniform Local Provisions) Regulations 2011	✓
Contaminated Sites Act 2003	✓
Contaminated Sites Regulations 2006	✓
Control of Vehicles (Off Road Areas) Act 1978	✓
Control of Vehicles (Off Road Areas) Regulations 1979	✓
Crime And Corruption Commission Act 2003	✓
Disability Services Act 1993	✓
Disability Services Regulations 2004	✓
Dividing Fences Act 1961	✓
Dividing Fences Regulations 1971	✓
Dog Act 1976	✓
Dog Regulations 2013	✓
Emergency Services Levy Act 2002	✓
Environmental Protection Act 1986	✓
Environmental Protection(Landfill) Levy Act 1997	✓
Environmental Protection (Noise) Regulations 1997	✓

APPENDIX 2 - Legislation and Regulations that may be wholly or partly administered by Local Government, And Local Laws of the Local Government

Legislation, Regulations and Local Laws	Tick if YES, the LG administers
<i>Environmental Protection Regulations 1987</i>	✓
<i>Fines, Penalties and Infringement Notices Enforcement Act 1994</i>	✓
<i>Fines, Penalties and Infringement Notices Enforcement Regulations 1994</i>	✓
<i>Food Act 2008</i>	✓
<i>Food Regulations 2009</i>	✓
<i>Hairdressing Establishment Regulations 1972</i>	✓
<i>Health Act 1911</i>	✓
<i>Health (Air Handling and Water Systems) Regulations 1994</i>	✓
<i>Health (Aquatic Facilities) Regulations 2007</i>	✓
<i>Health (Asbestos) Regulations 1992</i>	✓
<i>Health (Cloth Materials) Regulations 1985</i>	✓
<i>Health (Garden Soil) Regulations 1998</i>	✓
<i>Health (Immunisation by Local Governments) Regulations 2000</i>	✓
<i>Health (Pesticides) Regulations 2011</i>	✓
<i>Health (Public Buildings) Regulations 1992</i>	✓
<i>Health (Skin Penetration Procedures) Regulations 1998</i>	✓
<i>Health (Temporary Sanitary Conveniences) Regulations 1997</i>	✓
<i>Health (Treatment of Sewerage and Disposal of Effluent and Liquid Waste) Regulations 1974</i>	✓
<i>Health (Carbon Monoxide) Regulations 1975</i>	✓
<i>Health (Laundries and Bathrooms) Regulations 2013</i>	✓
<i>Health (Local Authorities Sewerage Undertaking) Model Bylaws</i>	✓
<i>Heritage of Western Australia Act 1990</i>	✓
<i>Land Administration Act 1997</i>	✓
<i>Land Administration Regulations 1998</i>	✓
<i>Litter Act 1979</i>	✓
<i>Litter Regulations 1981</i>	✓
<i>Local Government Act 1995</i>	✓
<i>Local Government (Miscellaneous Provisions) Act 1960</i>	✓
<i>Local Government Grants Act 1978</i>	✓
<i>Local Government (Administration) Regulations 1996</i>	✓
<i>Local Government (Amendment to Part VIA - Employee Superannuation) Regulations 2006</i>	✓
<i>Local Government (Audit) Regulations 1996</i>	✓

APPENDIX 2 - Legislation and Regulations that may be wholly or partly administered by Local Government, And Local Laws of the Local Government

Legislation, Regulations and Local Laws	Tick if YES, the LG administers
<i>Local Government (Constitution) Regulations 1996</i>	✓
<i>Local Government (Election) Regulations 1997</i>	✓
<i>Local Government (Financial Management) Regulations 1997</i>	✓
<i>Local Government (Functions and General) Regulations 1996</i>	✓
<i>Local Government (Long Service Leave) Regulations 2001</i>	✓
<i>Local Government (Parking for People with Disabilities) Regulations 2014</i>	✓
<i>Local Government Rules of Conduct) Regulations 2007</i>	✓
<i>Local Government (Uniform Local Provisions) Regulations 1996</i>	✓
<i>Main Roads Act 1930</i>	✓
<i>Parks and Reserves Act 1895</i>	✓
<i>Planning and Development Act 2005</i>	✓
<i>Planning and Development (Consequential and Transitional Provisions) Act 2005</i>	✓
<i>Planning and Development (Consequential) Regulations 2006</i>	✓
<i>Planning and Development (Development Assessment Panels) Regulations 2011</i>	✓
<i>Planning and Development (Transitional) Regulations 2006</i>	✓
<i>Planning and Development Regulations 2009</i>	✓
<i>Radiation Safety Act 1975</i>	✓
<i>Radiation Safety (General) Regulations 1983</i>	✓
<i>Rates and Charges (Rebates and Deferments) Act 1992</i>	✓
<i>Rates and Charges (Rebates and Deferments) Regulations 1992</i>	✓
<i>Rights in Water and Irrigation Act 1914</i>	✓
<i>Residential Design Codes of WA</i>	✓
<i>Road Traffic Act 1974</i>	✓
<i>Strata Titles Act 1985</i>	✓
<i>Strata Titles (General) Regulations 1996</i>	✓
<i>Telecommunications Act (Commonwealth) 1997</i>	✓
<i>Telecommunications (Low Impact Facilities) Determination 1997</i>	✓
<i>Tobacco Products Control Act 2006</i>	✓
<i>Tobacco Products Control Regulations 2006</i>	✓
<i>Town Planning Regulations 1967</i>	✓
<i>Transfer of Land Act 1893</i>	✓
<i>Valuation of Land Act 1978</i>	✓

APPENDIX 2 - Legislation and Regulations that may be wholly or partly administered by Local Government, And Local Laws of the Local Government

Legislation, Regulations and Local Laws	<i>Tick if YES, the LG administers</i>
Waste Avoidance and Resources Recovery Act 2007	✓
Waste Avoidance and Resources Recovery Levy Act 2007	✓
Waste Avoidance and Resources Recovery Levy Regulations 2008	✓
Waste Avoidance and Resources Recovery Regulations 2008	✓
Waterways Conservation Act 1976	✓
City of Bayswater Local Laws	
City of Bayswater Dogs Local Law	✓
City of Bayswater Fencing and Floodlighting Local Law	✓
City of Bayswater Health Local Law 2001	✓
City of Bayswater Keeping and Control of Cats Local Law 2016	✓
City of Bayswater Local Government Property Local Law	✓
City of Bayswater Activities on Thoroughfares and Trading in Thoroughfares and Public Places Local Law	✓
City of Bayswater Standing Orders Local Law 2013	✓
City of Bayswater Parking and Parking Facilities Local Law 2016	✓

APPENDIX 3 - Other Legislation and Regulations affecting the functions and operations of the Local Government

Other Legislation and Regulations	Tick If Yes
<i>Building Services (Complaint Resolution and Administration) Act 2011</i>	✓
<i>Building Services (Registration) Act 2011</i>	✓
<i>Building Services (Registration) Regulations 2011</i>	✓
<i>Criminal Code 1913</i>	✓
<i>Criminal Code Act Compilation Act 1913</i>	✓
<i>Commercial Tenancy (Retail Shops) Agreements Act 1985</i>	✓
<i>Commercial Tenancy (Retail Shops) Agreements Regulations 1985</i>	✓
<i>Conservation and Land Management Act 1984</i>	✓
<i>Conservation and Land Management Regulations 2002</i>	✓
<i>Electronic Transactions Act 2011</i>	✓
<i>Emergency Management Act 2005</i>	✓
<i>Emergency Management Regulations 2006</i>	✓
<i>Equal Opportunity Act 1984</i>	✓
<i>Evidence Act 1906</i>	✓
<i>Fair Work Act 2009</i>	✓
<i>Fire and Emergency Services Act 1998</i>	✓
<i>Fire and Emergency Services Regulations 1998</i>	✓
<i>Freedom of Information Act 1992</i>	✓
<i>Freedom of Information Regulations 1993</i>	✓
<i>Industrial Awards</i>	✓
<i>Industrial Relations Acts (State and Federal)</i>	✓
<i>Interpretation Act 1984</i>	✓
<i>Jetties Act 1926</i>	✓
<i>Land Valuation Tribunals 1978</i>	✓
<i>Library Board of Western Australia Act 1951</i>	✓
<i>Limitation Act 1935</i>	✓
<i>Limitation Act 2005</i>	✓
<i>Liquor Control Act 1988</i>	✓
<i>Liquor Licencing Act 1988</i>	✓
<i>Morley Shopping Centre Redevelopment Act 1992</i>	✓
<i>Native Title (State Provisions) Act 1999</i>	✓
<i>Native Title (State Provisions) Regulations 2000</i>	✓
<i>Offensive Trades (Fees) Regulations 1976</i>	✓
<i>Occupational Safety and Health Act 1984</i>	✓
<i>Occupational Safety & Health Regulations 1996</i>	✓

APPENDIX 3 - Other Legislation and Regulations affecting the functions and operations of the Local Government

Other Legislation and Regulations	Tick If Yes
Parliamentary Commissioner Act 1971	✓
Public Interest Disclosure Act 2003	✓
Public Interest Disclosure Regulations 2003	✓
Residential Tenancies Act 1987	✓
Residential Tenancies Regulations 1989	✓
Security and Related Activities (Control) Act 1996	✓
Security and Related Activities (Control) Regulations 1997	✓
State Administrative Tribunal Act 2004	✓
State Administrative Tribunal Regulations 2004	✓
State Administrative Tribunal Rules 2004	✓
State Records Act 2000	✓
State Records (Consequential Provisions) Act 2000	✓
State Records Commission Principles & Standards 2002	✓
Swan and Canning Rivers Management Act 2006	✓
Swan and Canning Rivers Management Regulations 2007	✓
Swan and Canning Rivers (Consequential and Transitional Provisions) Act 2006	✓
Surveillance Devices Act 1998	✓
Transport Co-ordination Act 1966	✓
Workers Compensation and Injury Management Act 1981	✓
Working With Children (Criminal Record Checking) Act 2004	✓
Working With Children (Criminal Record Checking) Regulations 2005	✓

APPENDIX 4 - Government & Industry Standards and Codes of Practice that have been imposed upon or adopted by the Local Government

RECORDKEEPING FOR EMPLOYEES

To incorporate the principles and guidelines of current government records related Legislation and Standards into the City of Bayswater's recordkeeping functions

To define the roles and responsibilities of individuals who manage or perform recordkeeping processes for, or on behalf of the City of Bayswater

To prescribe a systematic and organized approach in the management of the City's government records

Definitions (*State Records Act 2000*)

Record:

A record is information recorded in any form created or received and maintained by an organisation in the transaction of business and kept as evidence of such activity and includes:

- a) anything on which there is writing;
- 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 a meaning for persons qualified to interpret them;
- e) any thing from which images, sounds, 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.

Records are categorised as either:

Significant Records

Records containing information that is of administrative, legal, fiscal, evidential or historical value and is not recorded elsewhere on the public record. They describe an issue, record who was involved, record why a decision was made, and embody actual guidelines. These records need to be incorporated into the Council's recordkeeping systems; or

Ephemeral Records

Ephemeral records are duplicated records and/or those that have only short term value to the City of Bayswater, with little or no on-going administrative, legal, fiscal, evidential or historical value. They may include insignificant emails, preliminary drafts, and rough notes, record of routine enquiries. These records generally need to be kept for only a limited or short period of time and may be destroyed when reference to them ceases.

Important Note: *Distinguishing between significant and insignificant records is a matter of judgment. If an officer is uncertain about a particular record's status, they should contact the City's Coordinator Information Management for determination or advice.*

Government Record

A record created or received by a government organisation or government organisation employee in the course of their work for the organisation.

General Disposal Authority (GDA)

The General Disposal Authority for Local Government Records (GDALG) is designed to provide consistency throughout the Local Government in disposal activity and decisions. It is a continuing authority for the disposal and archival of records which document a Local Government's operations.

General Disposal Authority for Source Records (GDASR)

The General Disposal Authority for Source Records provides for the digitization of records and the retention of the reproductions that meet the requirements of the State Records Act. It is the official and continuing authority for the destruction of source records that have been successfully digitized.

Records Disposal

Disposal is by way of depositing records in the State Archives, managing the records as designated by State Archives, or by destruction in accordance with policy and the GDALG.

Vital Records

Vital records are those that are essential to the continuing business of the City. Vital records include those that protect the rights of individuals and the City and are absolutely essential for the City's reconstruction in the event of a disaster. As for significant records, vital records have a continuing value to the organisation and need to be incorporated into the Council's recordkeeping systems.

Recordkeeping Plan

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

Policy Statement

1. Introduction

Under current records related legislation such as the *State Records Act 2000* and the *Freedom of Information Act 1992*, and the accredited standard ISO 9001:2000, the City of Bayswater is obliged to maintain recordkeeping systems that are dedicated to the creation and control of Council's records. The systems have to ensure that Council's records accurately and adequately record the performance of its functions and are able to contribute towards informed decision making at the City of Bayswater.

The Policy Statement applies to all government records which are created or received by or on behalf of the City of Bayswater, regardless of their media, date of creation or storage location.

2. Policy Statement

The City of Bayswater recognizes its records as a corporate asset. Complete and accurate records of all business decisions and transactions are to be recorded in the City's recordkeeping systems i.e. ECM Ci Anywhere, Property and Rating, Financials, GIS, Recreation Facilities Bookings etc., both in respect to their content and context. The records are to be managed in accordance with the relevant legislation and Council policy and procedures.

- **Records creation:** All management, staff, Elected Members and Council's contractors are to create full and accurate records in the appropriate format of the City's business decisions and transactions;
- **Records capture and control:** All records created and received in the course of the City's business regardless of the format are to be captured into the City's recordkeeping system;
- **Records access:** Access to the City's records by management, staff and contractors will be in accordance with designated access and security classifications. Access to the City's records by the general public will be in accordance with *Freedom of Information Act 1992*, *Local Government Act 1995* and existing operational guidelines. Access to the City's records by Councillors / Elected Members will be via the Chief Executive Officer in accordance with the *Local Government Act 1995*;
- **Records protection and security:** All City records are to be managed and adequately protected and stored according to whether they are significant or insignificant records or vital records, and in accordance with their security classifications definitions;
- **Retention and disposal actions:** All records maintained within recordkeeping systems maintained by the City of Bayswater are to be disposed of in accordance with the State Records Office's General Disposal Authority for Local Government (GDALG) DA2016-001, and General Disposal Authority for Source Records (GDASR) DA2015-002;
- **Records transfer:** Records are only to be transferred according to legislative requirements and the transfer is to be recorded in the relevant recordkeeping system; and
- **Source Records:** Source records can only be destroyed if the digitization process has met the guidelines set down in the General Disposal Authority for Source Records RD2016-002.

3. Roles and Responsibilities

- Chief Executive Officer

The Chief Executive Officer is to ensure that there is an organisational system of management and maintenance of the City of Bayswater records that is compliant with government recordkeeping legislation and Council's guidelines and procedures.

- Directors and Managers

All Directors and Managers are to ensure that recordkeeping policy and procedures are known and adhered to by all staff in relation to their area of responsibility. They are also to ensure that all staff attend inductions and ongoing training as to their recordkeeping responsibilities.

- All Staff

All staff are to create, maintain and retain records relating to the business activities they perform in the course of their employment, in accordance with the City's policy, procedures, work instructions and the City of Bayswater Recordkeeping Plan.

All staff are to also ensure that all records that come into their possession or are created by them, regardless of the format, are captured in the City's document management and recordkeeping system.

They are to:

- a) Identify insignificant (ephemeral), significant and vital records and ensure significant and vital records are captured and recorded in the City's recordkeeping system.
- b) Ensure that records are protected and disposed of in accordance with the State Records Office's General Disposal Authority for Local Government Records.

- Records/Information Management Staff

Records/Information Management staff are responsible for providing a records and information management service which complies with City of Bayswater policy and procedures, City of Bayswater Records Services Strategic Statement, and the State Records Office of WA requirements.

- Elected Members

All Elected Members are to create and maintain records relating to their role as an Elected Member for the City of Bayswater in accordance with the City of Bayswater policy and procedures, the City of Bayswater Recordkeeping Plan and the State Records Office of WA Guide for Elected Members Records (2009). Political and personal records of Elected Members are exempt.

4. Policy Ownership

The custodianship of this Policy is the Director Finance and Corporate Services. The Coordinator Information Management through the Manager Information Services has operational responsibility for this Policy.

5. Review

This Policy Statement is to be reviewed by the Coordinator Information Management at least every five (5) years in conjunction with the review of the City of Bayswater Recordkeeping Plan. The next review is due **November 2020**.

APPENDIX 6 - City of Bayswater InfoVision Records File Index (1997 - 2009)

	Prefix
Chief Executive Officer	
Council	3.1
Personnel	16.1
Emergency Services	5.1
External Advisory Bodies & Committees	15.1
Policy	16.4
Public Relations	16.3
Computing	4.1
Statutes	19.2
Administration & Community Services	
Administration	1.1
Community Services	6.1
Recreation Services	18.1
Ranger Services	20.1
Finance	
Financial Services & Rates	6.2
Insurance	9.1
Miscellaneous	
Grants	7.1
Licences	12.1
Prosecutions	16.5
Statistics	19.1
Solicitors	19.3
Technical Services	
Engineering	20.1
Rights of Way	ROW
Health (Environmental & Public)	8.1
Hair & Beauty Premises	HBS
Food Premises	FP
Public Buildings	PB
Skin Penetration Premises	SP
Planning & Development Services	
Pedestrian Access Ways	PAW
Subdivisions / Amalgamations	SD
Town Planning Scheme	DT2/21 TPS/24
Other	
Project Files	PF
Parks & Reserves	RES
Tenders	20.2

Roads & Streets: Alpha/Numeric utilizing first three letters of Road name and consecutive number differentiating names; i.e. Abbey Street Morley – **ABB-1**

Property: Alpha/Numeric utilizing first three letters of Road name and consecutive number differentiating names (as with Roads & Streets) and property number; i,e, 10 Zinnia Place Morley – **ZIN-1/10**



City of Bayswater

Disaster Recovery

Plan

In accordance with the State Records Act 2000

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APPENDIX 8 - City of Bayswater Records Disposal Procedure

Destruction of City of Bayswater Records

Records held by the City of Bayswater must only be destroyed in accordance with the General Disposal Authority for Local Government Records DA 2015-001 produced by the State Records Office of Western Australia. While a retention period is typically established when records are captured into the Recordkeeping System, changes in environmental circumstances, such as those detailed below, may require the record to be retained for a further period.

Retention and disposal of the City's records is undertaken by the Information Management Team under the supervision of the Coordinator Information Management.

During assessment, consideration of the following issues that could affect retention and disposal requirements will be made:

- Does the title of the file or description of the records accurately reflect the contents?
- Have any significant historical events taken place since the record was sentenced?
- Are there any current issues affecting the records?
- Are any of the records subject to a current Freedom of Information application?
- Are any of the records subject to a current, pending or suspected court case or subpoena?
- Has the retention period in the Retention & Disposal Schedule changed since the records were scheduled?

Once the eligibility for retention or disposal has been determined by the Coordinator Information Management, a Records Disposal Authority is created identifying the records. A Records Disposal Authority is forwarded to the Chief Executive Officer. The CEO must authorise each record disposal list prior to destruction taking place. A Records Disposal Certificate will be created at the time of destruction and retained permanently in the City of Bayswater Recordkeeping System as evidence of the approval and destruction taking place.

Those records approved for disposal and held off-site at Archivewise will be destroyed appropriately and confidentially by the Archivewise staff. A Records Disposal Certificate will be provided by Archivewise and will be retained permanently in the City of Bayswater Recordkeeping System as evidence of the destruction taking place.

Transfer of Archival Records to State Archives

City of Bayswater records identified as having archival value in accordance with the General Disposal Authority for Local Government Records DA2015-001 are to be retained in the State Archives. Archival value records may be those created as evidence of an administration where their value goes well beyond their day to day use. These records may also document the history of an area and its population and the cultural and economic conditions under which they lived. These records have been identified as having a lasting value for the state and are a valuable resource for students or researchers in such areas as history, genealogy, social geography, economics, demography and urban planning.

In accordance with the General Disposal Authority for Local Government Records DA2015-001 all archival records will be transferred to State Archives five years after the date of last action.

However, as the State Records Commission has been unable to receive any Archival Records since June 2001, the City of Bayswater will retain and store all records identified as having

archival value in conditions compliant with the **2016 Directions for keeping hardcopy State Archives awaiting transfer to the State Records Office** until such time as they can be accepted by the State Records Commission.

The City of Bayswater will transfer State archives to the State Archives Collection for permanent preservation when requested by the State Records Office.

Example of Records Disposal Authorities

MEMORANDUM

TO: CHIEF EXECUTIVE OFFICER

CC:

FROM: COORDINATOR INFORMATION MANAGEMENT

DATE: 24 November 2015

SUBJECT: RECORDS DISPOSAL AUTHORITY 2015-0004



Dear Fran

The attached schedule identifies City of Bayswater records and documents presently stored offsite at Archivewise (Totally Confidential Records Management) and in the City's Basement Archives Room, which are due for disposal in accordance with the relevant clauses of the General Disposal Authority for Local Government Records (the GDA).

The 2010 GDA released by the State Records Office of WA has had the effect of changes to some retention and disposal periods. Some recommended R&D periods were increased, whilst others have been decreased. The attached schedule identifies these changes and the revised destruction dates. All records affected by decreased and increased R&D periods have been adjusted and re-sentenced on the Archives Master List held by me.

Please sign the declaration below and return it to me as soon as possible to enable appropriate disposal. A list of the items destroyed will be retained for reference purposes.

Yours sincerely

**DAVID TOASE
COORDINATOR INFORMATION MANAGEMENT**

Disposal of Documents/Records is Approved

**FRANCESCA LEFANTE
CHIEF EXECUTIVE OFFICER**

Date:

Disposal of Documents/Records is Complete

**DAVID TOASE
COORDINATOR INFORMATION MANAGEMENT**

Date:

APPENDIX 9 - City of Bayswater Records Presentations/Training Manual Contents

ECM Ci Anywhere, Records & Document Management –Training Checklist

What does Information Management Section do? - PowerPoint Presentation

Regulatory Issues

State Records Act 2000; Freedom of Information Act 1992.

Recordkeeping Responsibilities and You - State Records Office of WA

City of Bayswater Recordkeeping Plan; User Manual, Procedures, Responsibilities

Location on Free Access and how to use them

Records Management Policy AD-P16 - Now Rescinded by OCM 15/12/2016

Location on Free Access\Corporate Documents\Policy

What is ECM Ci Anywhere?

Corporate Electronic Document Management System - Formerly known as DataWorks

ECM Business Rules

Definition of a Corporate Record; Registration and Indexing; Document Indexes – Mandatory and Supplemental; Indexes Registration Fields

Getting started in ECM Ci Anywhere

Logging in; Navigating "My ECM"; Search; Task List; Delegation of Roles; Import Document; Respond Function

ECM Ci Anywhere Indexes

Subject Index; Customer Index; Property Index; Property & Rating System; GIS; Keywords for Council Thesaurus; Retention of Documents

Searching and Indexes

Search by Indexes; Customer Index; Subject Index; Property Index; Applications Index; Streets Index; InfoVision Index; Project Index; Searching using Document Search Criteria; Search Results Screen - Grid View/Card View; The Index List; The Documents List

Document Action Menu Items

Document Properties; Download Original or PDF; Notes; Task List; Respond Function – Using Template or Attach Document; Editing Documents, Versions

Importing a Document

Importing a document; Registering Documents; Registering E-mails - Received & Sent

Task List

Task List Display; Task List Options; Accessing and Completing Tasks; Overdue Tasks

Names and Addresses

Customer Index; Property Index; Property & Rating Name and Address Creation Manual & Standards



City of Bayswater Records and Document Management Induction Training

I _____ of _____
Division certify I have received induction and training in Records and Document Management.
The training covered the following topics:

What are Records?
What is Records and Document Management?
Why do we keep Records?
Where to access the City's records
Legislation governing Records - *State Records Act 2000 & Freedom of Information Act 1992 (FOI)*
City of Bayswater Recordkeeping Plan
Penalties for non-compliance with the City of Bayswater Recordkeeping Plan
Recordkeeping Responsibilities
Archiving and Disposal of Records
Incoming Mail including Facsimiles (Faxes) and Emails
Outgoing Mail
Confidentiality of Information
How to create full and accurate records
ECM Ci Anywhere Document Management System

I have been supplied with a copy of the ECM Ci Anywhere Business Rules; ECM Ci Anywhere Participant Workbook and the Property & Rating Creation & Standards Manual.

At the conclusion of my probationary period the Coordinator Information Management will hold a brief meeting with me to ensure that recordkeeping procedures as covered by this training session are being followed and practiced.

Signature _____ Date _____

This form will be forwarded to your supervisor at the end of your probationary period for endorsement.

Manager Human Resources please forward this form to the new employees' Supervisor/Manager on completion of the employees' probationary period.

Staff Members/Supervisors Comments:

Signature of Staff Member_____ Date_____

Signature of Supervisor_____ Date_____

This form is to be returned to Human Resources for inclusion on the new employees personnel file.

Recordkeeping

The Information Management Section manages the records of the City in accordance with the legal requirements of the *State Records Act 2000* and the City of Bayswater Recordkeeping Plan.

During 2014-15 212,980 documents were registered in the City's document management system ECM, an increase of 89 per cent on the previous financial year.

All new City employees undertake a compulsory induction training session for the City's document management system. The induction addresses employee's legal responsibilities in regard to their compliance with the City of Bayswater Recordkeeping Plan, and Council Policy on Recordkeeping.

After the initial induction training, follow up training sessions are conducted to ensure the City's staff understand their recordkeeping responsibilities and are abiding by procedures and policy. Additionally, on-going assistance and support is provided to all City staff by Information Management to ensure continued commitment to recordkeeping compliance and procedures.

APPENDIX 11 - Excerpt from City of Bayswater Contracts - Recordkeeping

"The Contractor shall maintain a recordkeeping system that meets the minimum compliance requirements of the State Records Commission Standard 1 "Government Recordkeeping", to the satisfaction of the City of Bayswater."

"The Contractor shall on request transfer all specified records to the City at the completion of the contract for ongoing management in accordance with the City's Recordkeeping Plan."

"The Contractor must, at any time when requested by the City, provide to the City any information relating to the services in a form directed by the City and assistance as the City may require enabling it to perform its functions, including obligations under the State Records Act 2000 and the Freedom of Information Act 1992."

"The Contractor must not dispose of any records created or collected under the contract without written authorisation of the City of Bayswater."

"Access to the records by the Contractor after the completion of the contract will be in accordance with the Freedom of Information Act 1992 and the City of Bayswater Recordkeeping Plan."

"Members of the public may be permitted to access the records in accordance with the Freedom of Information Act 1992 and the City of Bayswater Recordkeeping Plan."

"Contractors are required to store and maintain the specified records or copies thereof such that they are readily retrievable, in facilities that provide a suitable environment to minimize deterioration or damage, and to prevent loss. Records storage facilities should be located to minimize the risk of flooding or theft in a clean dry environment, free of excessive dust and pests and with appropriate fire prevention devices."

"Contractors will store the specified records on media that ensure their usability, reliability, authenticity and preservation in accordance with the Contract. Contractors will ensure that fire prevention and protections, as well as security and safety systems, are operating in areas where the Specified Records are stored."

"The Contractor shall on request transfer all specified records to the City at the completion of the contract for ongoing management in accordance with the City's Recordkeeping Plan."