City of Cockburn

RECORDKEEPING PLAN

2022

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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 Cockburn 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 Cockburn 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 Cockburn and all its employees are legally required to comply with the contents of this Plan.

This Recordkeeping Plan applies to all:

- City of Cockburn Employees;
- City of Cockburn Contractors;
- Organisations performing outsourced services on behalf of the City of Cockburn; and
- City of Cockburn 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 2017013 and applies to all records created or received by any of the above parties, regardless of:

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

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

(a) any thing on which there is writing or Braille;
(b) a map, plan, diagram or graph;
(c) a drawing, pictorial or graphic work, or photograph;
(d) any thing on which there are figures marks, perforations, or symbols, having meaning for persons qualified to interpret them;
(e) anything from which images, sounds, or writings can be reproduced with or without the aid of anything else; and
(f) any thing on which information has been stored or recorded, either mechanically, magnetically, or electronically."

(State Records Act, 2000)

1   Principle One: Proper and Adequate Records

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

1.1   Historical Background

For thousands of years Indigenous Australians have made the Cockburn area their home. Nyungar, the generic name for the Aboriginal people who reside in the south-west, had at least 12 groups. Local indigenous people belong to the Whadjuk clan. The Beeliar wetland system across Cockburn, including Bibra Lake (known as Walliabup), was important to them as it was a source of food and medicine.

Cockburn was first settled by Europeans some 180 years ago. The name Cockburn comes from Cockburn Sound, which was named after Admiral Sir George Cockburn by Captain James Stirling in 1827. Admiral Sir George Cockburn took Napoleon to exile on the island of Saint Helena after the Battle of Waterloo.

The first settlement in Cockburn was called Clarence, in honour of the Duke of Clarence who was heir to the British throne. Its boundaries stretched from Mayor Road and Yangebup Road in the North, Stock Road in the East, Wattleup Road in the South and the natural coastline on the Western side. It took in the current localities of Munster, Henderson and a part of Wattleup.

From 1871 the Fremantle District Roads Board was formed to administer the Fremantle and Cockburn area. The more agricultural parts of our district subsequently came under the Jandakot Road Board in 1892. These boards were merged in 1923 into the Fremantle District Road Board, until in 1955 the Fremantle and Cockburn areas were separated and the Cockburn District Road Board was formed.

In 1961 the Board was proclaimed as the Shire of Cockburn and ten years later it became the Town of Cockburn. The inevitable City status was achieved in 1979, with the City celebrating its 40th anniversary in 2019.

1.2   Strategic Focus and Main Business Activity

Vision – Cockburn, the best place to be.

Purpose – Support our communities to thrive by providing inclusive and sustainable services which reflect their aspirations.

The City of Cockburn Strategic Community Plan lists the organisation's strategic objectives and outcomes under five key themes:

- **Local Economy** – a sustainable and diverse local economy that attracts increased investment and provides local employment.
- **Environmental Responsibility** –a leader in environmental management that enhances and sustainably manages our local natural areas and resources
- **Community, Lifestyle and Security** – a vibrant, healthy, safe, inclusive and connected community.
- **City Growth and Moving Around** – a growing City that is easy to move around and provides great places to live.
- **Listening and Leading** – a community focused, sustainable, accountable and progressive organisation.

1.3   Functions, including those outsourced

Refer to Appendix 1.

1.4   Major Stakeholders

The City of Cockburn's major stakeholders are employees, residents, ratepayers, the general public, Elected Members, State and Federal Government Departments, Community Groups, Advisory & Reference Groups and local businesses and local clubs.

1.5   Enabling Legislation

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

1.6   Legislation and Regulations Administered by the City of Cockburn

Refer to Appendix 2.

1.7   Other Legislation Affecting the City of Cockburn

Refer to Appendix 3.

1.8   Major Government policy and/or Industry Standards

Refer to Appendix 4.

2   Principle Two: Policies and Procedures

Government organisations ensure that 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 Cockburn uses Technology One ECM as its electronic document and records management system (EDRMS).

ECM was implemented at the City of Cockburn in March 2013 by a dedicated project team that ensured all staff received training and all records held in the previous records management system (RecFind) were migrated and made available in ECM.

The records management system is automated and has the ability to manage both electronic and hard copy records with the majority of the City's records now available electronically.

The records management system actively supports the business needs of the City as well as providing all essential recordkeeping functions.

2.1.2 Business Information System/s

Other major business information systems that are used at the City of Cockburn include:

- Technology One Property & Rating
- Technology One Core Enterprise Suite (Financials, HR/Payroll, Supply Chain, Asset Management)

Property & Rating holds property, land, application, regulatory, request and customer data and is integrated with ECM. Any documents added within Property & Rating are automatically registered and stored in ECM.

The Core Enterprise Suite holds financial, human resources, payroll, procurement and asset management data. Integration between the Core Enterprise Suite and ECM has been implemented for human resources records and for contracts and will be implemented for the other modules in the future.

The City of Cockburn also uses the Microsoft 365 (M365) suite for working documents and collaboration. OneDrive is integrated with ECM and it is anticipated that further integration between ECM and M365 will be developed and implemented in the future.

2.1.3 Records Management Policy and Procedures

The creation and management of records is coordinated by the City of Cockburn's Information Management unit.

For the recordkeeping policy and procedures of the City of Cockburn please refer to Appendix 5.

Table 2.1

Recordkeeping Activities covered in the City of Cockburn's Policies and Procedures	YES	NO
Correspondence capture and control – including incoming and outgoing mail registration; responsibilities assigned for classifying, indexing and registration; file titling and file numbering conventions. Include specific provisions for capture and control of Elected Members' correspondence.	✓	
Digitization – including categories of records digitized; disposal of source records; digitization specifications. *NB: This procedure is only required where the organisation intends to destroy source records prior to the expiration of the approved minimum retention period after digitizing, in accordance with the General Disposal Authority for Source Records.*		✓ do not dispose of source records
Mail distribution - including frequency, tracking mechanisms and security measures.	✓	
File creation and closure – including assigned responsibility and procedures for both physical and automated file creation.	✓	
Access to corporate records – procedures for access to and security of corporate records.	✓	
Authorised disposal of temporary records and transfer of State archives (whether hard copy or electronic) to the State Records Office (SRO) – any assigned responsibilities.	✓	
Electronic records management – including the organisation's approach and methodology for the capture and management of its electronic records (e.g. 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 – 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.	✓	

Recordkeeping Activities covered in the City of Cockburn's Policies and Procedures	YES	NO
System/s management – including any delegations of authority for the control and security of systems utilised by the organisation (e.g. provision of access to systems through individual logins and passwords, protection of servers etc).	✓	
Migration strategy – strategies planned or in place for migrating 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: *Managing Digital Information*.	✓	

2.2 Certification of Policies and Procedures

Evidence of formal authorisation that the policies and procedures are in place and promulgated throughout the City of Cockburn is provided by excerpts from the Minutes of the Delegated Authority and Policies Committee Meetings and from the Ordinary Council Meeting Minutes.

A copy of the latest authorisation granted by the CEO for updates to the Employees Recordkeeping Guidelines and Elected Members Records Keeping Guidelines are also included.

Please refer to Appendix 5.

2.3 Evaluation of Policies and Procedures

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

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 Cockburn has adopted and implemented the Keyword for Councils thesaurus for the titling of all its records.

3.2   Assessment of its Effectiveness

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

4 Principle Four: Preservation

Government organisations ensure that records are protected and preserved

For the Records Disaster Recovery Plan for the City of Cockburn please refer to Appendix 6.

4.1 Assessment of Risks

4.1.1 On Site Storage

The City of Cockburn has its current and active records located in onsite storage at its Administration building located at 9 Coleville Crescent, Spearwood. The storage facility includes:

- Metal shelving,
- Secure premises,
- Secure server rooms,
- Fire detection and fire suppression systems, and
- Airconditioning for 11 hours per day.

The main disasters threatening records stored onsite comes from fire, vandalism or flood. With the storage conditions as described here the risk is assessed as low.

4.1.2 Offsite Storage

The City of Cockburn has its non-current, inactive and archival records in an offsite storage facility at Grace Records Management, 236 Berkshire Road, Forrestfield.

The facilities at Grace Records Management are constructed with quality materials and incorporate extensive fire protection systems that are in line with BCA 96 (Construction) and AS2118 (Fire Suppression). All buildings are equipped with sprinkler systems and fire doors to ensure correct fire prevention policies are maintained and fire alarms are linked to local fire brigade units. Extinguishers and sprinkler systems are fully maintained, and all sites are protected by electronic intruder detection systems with back-to-base alarms under 24 hour surveillance monitoring.

The main disaster threatening records stored at the offsite records storage facility comes from fire, vandalism or flood.

With the storage conditions as described here the risk is assessed as low.

4.1.3 Data Centre and Cloud Storage

The City of Cockburn has entered into an arrangement with third parties to store electronic data/digital information and records in data centres/cloud storage facility as detailed in the table below.

Where indicated, a risk assessment was undertaken prior to the commencement of the data storage arrangement.

Information system / categories of records	Name of service provider	Geographic location of data centre / cloud storage	Geographic location of data centre / cloud storage backups	Risk assessed Y/N
M365 Suite – working documents/collaboration	Microsoft	Australia	Australia	N
360 Pro – procurement	APET	Australia	Australia	N
PerfectGym – gym membership system	Perfect Gym	Australia	Australia	N
Fleetcare – vehicle bookings	Fleetster	Germany	Germany	N
Sine Pro – visitor sign-in system	Sine	Australia	Australia	N
Lucky Orange – website traffic monitoring and analysis	Lucky Orange	USA	USA	N
ArcGIS Online – mapping software	ESRI Australia	USA	USA	N
Cockburn ARC Website	Alyka	Australia	Australia	N
Emplive – employee timesheet, rostering and attendance	Workforce Software	Australia	Australia	N
RMSS – risk management and safety system	RMSS	Australia	Australia	N
Livepro – customer experience knowledge management	Livepro	Australia	Australia	N
BeeKeeper – rostering and communications software (ARC)	BeeKeeper	Switzerland	Switzerland	N
Spydus – library management	Civica	Australia	Australia	N
Cockburn Community Groups Website	Alyka	Australia	Australia	N
iAuditor – safety audit inspection checklists	Safety Culture	Australia	Australia	N
Kinesis – sustainability software	CCAP Integrated	Australia	Australia	N
The Hub – elected members portal	Bigtincan	Australia	Australia	N
Eventbrite – event bookings	Eventbrite	Australia	Australia	N
SpacetoCo – facilities booking system	SpacetoCo	Australia	Australia	Y
Service Desk Plus – helpdesk software	Manage Engine	Australia	Australia	N
Mimecast – email security	Mimecast	Australia	Australia	N
Cortex XDR – endpoint protection	Palo alto	Singapore	Singapore	N

Information system / categories of records	Name of service provider	Geographic location of data centre / cloud storage	Geographic location of data centre / cloud storage backups	Risk assessed Y/N
DUO – multi-factor authentication	Cisco	Australia	Australia	N
Airlocker – application white listing	Airlocker	Australia	Australia	N

4.1.4 Storage of Archives

The City of Cockburn does not currently wish to maintain state archives for longer than the compulsory transfer period. However, due to space limitations at the State Records Office, the City is unable to transfer any state archives at this time and therefore maintains them in compliance with SRC Standard 7.

4.1.5 Storage of Backups

Electronic records of the City of Cockburn are backed up daily, which involves backup across the network to disk. The primary storage repository for backups is located in the Administration Building with a secondary storage device for offsite duplication of backup jobs located at the City's disaster recovery site at the Operations Centre. The Operations Centre is located greater than 1 kilometre from the Administration Building.

There are currently 28 restore points for primary backups and 7 days for offsite backup copies. Integrity of backup data is verified through regular file restores as part of ad-hoc business as usual service requests. No tapes are used for backups or backup copies.

4.1.6 Quantity of Records

The City of Cockburn has custody of:

- 166 linear metres of temporary hard copy records stored onsite;
- 701 linear metres of temporary hard copy records stored offsite;
- 580 linear metres of hard copy State archives stored onsite/offsite;
- 40.6Tb of digital records/information/data held in all systems

4.1.7 Security and Access

The following security and access measures have been implemented at the City of Cockburn:

Hard copy records stored on site are stored in a locked/secured room accessible only by authorised staff.

Hard copy records stored off site at Grace Records Management are protected by electronic intruder detection systems with back-to-base alarms under 24 hour surveillance monitoring.

Prior to commencing employment, each staff member at Grace Records Management is properly screened, and background and work reference checks are completed for every employee, this includes a Police Criminal Security check. Every employee of Grace Records Management is required to complete a Company Confidentiality Deed as part of their employment terms.

Electronic records are stored within the City's EDRMS (Technology One ECM). Access to the City's records by staff is in accordance with designated access and security classifications and only in accordance with the requirements of their role.

Only authorised IT staff and site services have access to the City's server room via security access cards. Keys to the disaster recovery site can be signed out from the Operations Centre administration or via swipe card access to the Administration server room, where a spare set is kept.

4.2   Assessment of the Impacts of Disasters

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

4.3   Strategies in Place for Preservation and Response

The following strategies have been implemented by the City of Cockburn 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 Cockburn. Vital records have been identified as:

- Certificates of Title
- Deeds
- Easements
- Leases
- Licences
- Restrictive Covenants
- Service Agreements/Contracts
- Vesting/Management Orders

Vital records in hard copy are stored in a locked, fire-resistant room supported by the Inergen Gas Fire Suppression System and are accessible only by authorised officers. These records have been scanned and registered into the EDRMS and are used for all normal business activities. There is a Vital Records index within the EDRMS.

4.3.2 Backup Procedures for Electronic Records

Electronic records of the City of Cockburn are backed up daily, which involves backup across the network to disk. These backups are then copied offsite to the disaster recovery facility. The primary storage repository for backups is located in the Administration Building with a secondary storage device for offsite duplication of backup jobs located at the City's disaster recovery site at the Operations Centre. The Operations Centre is located greater than 1 kilometre from the Administration Building.

There are currently 28 restore points for primary backups and 7 days for offsite backup copies. Integrity of backup data is verified through regular file restores as part of ad-hoc business as usual service requests. No tapes are used for backups or backup copies.

4.3.3 Preservation of Electronic Records

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

- Redundant hard disks storage platforms are used to store electronic information. S.M.A.R.T (Self-Monitoring, Analysis and Reporting Technology) is a monitoring system included in the hard disks to ensure integrity of the disks as well as the accessibility and readability of the information stored on them;
- Electronic records requiring long term retention are maintained in an appropriate format for long term preservation. Records stored in the EDRMS are rendered to PDFA format to ensure they will remain accessible over time. Rendering occurs automatically upon registration of documents within the EDRMS.

4.3.4 Security

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

- Hard copy records are stored in a locked/secure room accessible only to Information Management staff. Hard copy records are generally not given to staff, however, when essential, tracking of these records is done through the EDRMS (Technology One ECM).
- Hard copy records stored offsite are located at Grace Records Management, a secure commercial storage facility. Access to these records is via a secure website, with only Information Management staff having logins. Staff must liaise with Information Management to request any records stored offsite.
- 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.
- Access to server rooms is restricted to authorised staff using swipe card access.

4.3.5 Storage Reviews

The records storage facilities utilised by the City of Cockburn are reviewed regularly, generally every 3 to 5 years, to ensure that conditions are appropriate for the organisation's records. The storage facilities were last reviewed in 2021 as the term of the contract with the City's offsite storage provider was due to expire. The subsequent request for quotation process resulted in the City remaining with Grace Records Management, as the storage facilities met all requirements and provided the best value for money overall.

4.3.6 Recovery of Lost Information

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

- duplication of hard copy vital records electronically;
- back up of electronic records;
- offsite storage of backups;
- review of the Records Disaster Recovery Plan which has now been updated and incorporated in the Information Management Standard Operating Procedures

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 Cockburn uses the General Disposal Authority for Local Government Records, produced by the State Records Office, for the retention and disposal of its records.

5.2   Restricted Access Archives

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

5.3   Transfer of Archives

An Archives Transfer Request form has not been submitted to the SRO as the SRO is unable to accept any archives at this time due to space restrictions.

The City of Cockburn will transfer State archives to the State Archives Collection for permanent preservation when requested by the SRO.

5.4   Non-Transfer of Archives

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

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

5.5   Disposal Program Implemented

The City of Cockburn has implemented the General Disposal Authority for Local Government Records and conducts a regular disposal program on a bi-annual basis.

Please refer to Appendix 7 for a recent authorised list of records for disposal.

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 reviewed by the CEO and the relevant Manager and authorised for destruction or transfer.

5.7   Identified Areas for Improvement

The disposal program for hard copy records is effective, however, a disposal program still needs to be implemented for electronic records stored within the EDRMS. It is anticipated that such as disposal program will be developed before the Recordkeeping Plan is next reviewed.

6 Principle Six: Compliance

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

6.1 Staff Training, Information Sessions

The City of Cockburn 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 City of Cockburn'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 City of Cockburn provides brochures or newsletters to publish recordkeeping information, highlight issues, or bring particular recordkeeping matters to staff attention.	✓	
The City of Cockburn's Intranet is used to publish recordkeeping information, highlight issues, or bring particular recordkeeping matters to staff attention.	✓	
The City of Cockburn's Induction Program for new employees includes an introduction to the organisation's recordkeeping system and program, and information on their recordkeeping responsibilities.	✓	

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

Please refer to Appendix 8.

6.2 Performance Indicators in Place

The following performance indicators have been developed to measure the efficiency and effectiveness of the City of Cockburn's recordkeeping systems:

- Staff Customer Satisfaction Survey;
- ECM Training Feedback Forms

6.3 Agency's Evaluation

On the basis of survey of staff satisfaction, the recordkeeping systems are assessed as being efficient and effective within the organisation.

6.4 Annual Report

An excerpt from the City of Cockburn'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 9.

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 10 for excerpts of clauses addressing recordkeeping issues in contracts for outsourced functions.

7.2.1 Planning

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

7.2.2 Ownership

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

7.2.3 Control

The City of Cockburn 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 Cockburn.

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 Cockburn 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

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 Cockburn and the contractor(s)/agent(s).

7.2.6 Custody

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

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

  Refer to the Principal's Records Management Policy for definition of a record.

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

7.2.7 Contract Completion

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

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

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

	APPENDIX 1
Functions of the Local Government	

Function	*Brief Description of LG Function*	*Performed by the LG* *Tick if Yes*	*Performed by an External Agency* *Tick if Yes*
Information 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.		✓
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.	✓	✓

			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*
Water Supply	The function of managing the design, construction, maintenance and management of water supplies, either by the LG or by service providers.		✓

APPENDIX 2	
Legislation and Regulations that may be wholly or partly administered by Local Government, and Local Laws of the Local Government	
Legislation, Regulations and Local Laws	*Tick if YES, the LG administers*
Agriculture and Related Resources Protection Act 1976	✓
Animal Welfare Act 2002	✓
Building Act 2011	✓
Building Regulations 2012	✓
Bush Fires Act 1954	✓
Bush Fire Regulations	✓
Caravan Parks and Camping Grounds Act 1995	✓
Caravan Parks and Camping Grounds Regulations 1997	✓
Cat Act 2011	✓
Cemeteries Act 1986	✓
Dangerous Goods Safety Act 2004	✓
Disability Services Act 1993	✓
Dog Act 1976	✓
Dog Regulations 2013	✓
Emergency Management Act 2005	✓
Environmental Protection Act 1986	✓
Environmental Protection (Noise) Regulations 1997	✓
Fire and Emergency Services Act 1998	✓
Fire Brigades Act 1942	✓
Food Act 2008	✓
Food Regulations 2009	✓
Hairdressing Establishment Regulations 1972	✓
Health Act 1911	✓
Health Regulations	✓
Heritage Act 2018	✓
Land Administration Act 1997	✓
Litter Act 1979	✓
Liquor Control Act 1988	✓
Local Government Act 1995	✓
Local Government (Miscellaneous Provisions) Act 1960	✓
Local Government Grants Act 1978	✓
Local Government Regulations	✓
Main Roads Act 1930	✓
Parks and Reserves Act 1895	✓

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*
Planning and Development Act 2005	✓
Radiation Safety Act 1975	✓
Radiation Safety Regulations	✓
Rates and Charges (Rebates and Deferments) Act 1992	✓
Rights in Water and Irrigation Act 1914	✓
Residential Design Codes of WA	✓
Road Traffic Act 1974	✓
Strata Titles Act 1985	✓
Telecommunications Act (Commonwealth) 1997	✓
Telecommunications (Low Impact Facilities) Determination 2018	✓
Transfer of Land Act 1893	✓
Valuation of Land Act 1978	✓
Waterways Conservation Act 1976	✓
Local Laws of the City of Cockburn	
Standing Orders 2016	✓
City of Cockburn (Local Government Act) Local Laws 2000	✓
City of Cockburn Health Local Laws 2000	✓
Bush Fire Brigade Local Law 2000	✓
Jetties, Waterways and Marina Local Law 2012	✓
City of Cockburn Fencing Local Law 2012	✓
Waste Local Law 2020	✓
Parking & Parking Facilities Local Law 2007	✓

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

Other Legislation and Regulations	*Tick if YES*
Building Services (Registration) Act 2011	✓
Conservation and Land Management Act 1984	✓
Contaminated Sites Act 2003	✓
Criminal Code 1913	✓
Electronic Transactions Act 2011	✓
Equal Opportunity Act 1984	✓
Evidence Act 1906	✓
Freedom of Information Act 1992	✓
Freedom of Information Regulations 1993	✓
Industrial Awards	✓
Industrial Relations Acts (State and Federal)	✓
Interpretation Act 1984	✓
Legal Deposit Act 2012	✓
Library Board of Western Australia Act 1951	✓
Limitation Act 1935, 2005	✓
Museum Act 1969	✓
Parliamentary Commissioner Act 1971	✓
Police Act 1892	✓
Soil and Land Conservation Act 1945	✓
State Records Act 2000	✓
State Records (Consequential Provisions) Act 2000	✓
State Records Commission Principles & Standards	✓
Swan and Canning Rivers Management Act 2006	✓
Work Health and Safety Act 2020	✓
Work Health and Safety (General) Regulations 2022	✓
Workers Compensation and Injury Management Act 1981	✓
Working with Children (Criminal Record Checking Act) 2004	✓

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

Other Legislation and Regulations	*Tick if YES*
Australian Accounting Standards	✓
Australian Records Management Standard ISO/AS 15489	✓
Australian Standards for General Conditions of Contracts (AS 4122-2010, AS 2124-1992, AS 4906-2002, AS 4000-1997, AS 4902-2000, AS 4905-2002, AS 4906-2002)	✓
General Disposal Authority for Local Government Records	✓
National Competition Policy	✓

APPENDIX 5

Records Management Policy:

Title	Records Management

Policy Type

Council

Policy Purpose

The purpose of this policy is to provide guidance and direction on the creation and management of records and to clarify responsibilities for recordkeeping within the City of Cockburn.

This policy and related recordkeeping procedures/guidelines are the framework for ensuring records are created and retained appropriately to meet accountability requirements, legislative compliance and adherence to best practice standards.

Policy Statement

Records are recognised as an important information resource within the City of Cockburn, and it is accepted that sound records management practices will contribute to the overall efficiency and effectiveness of the organisation.

The effective management of records will also:

- Protect the interests of the City of Cockburn and the rights of its employees, customers and stakeholders
- Support informed decision making
- Provide evidence of achievements
- Increase efficiency in administration and service delivery across the organisation

(1) Ownership

   All records created or received during the course of business belong to the City of Cockburn not to the individuals who created them.

   All contractual arrangements will ensure the City's ownership of records.

(2) Creation of Records

   All employees, contractors and elected members will ensure that full and accurate records are created to provide evidence of business transactions and decisions and that these records will be registered in the City of Cockburn's recordkeeping system.

(3) Capture and Control of Records

   All records created and received in the course of City business will be captured at the point of creation (wherever possible), regardless of format, with required metadata into the recordkeeping system or appropriate business system.
   Records created when using social media applications will also be captured in the City of Cockburn's recordkeeping system.

[1]

Records Management Policy:

Title	Records Management

Records will not be maintained in email folders, shared drives, personal drives, external storage media or personal cloud services (such as Dropbox, OneDrive, Box, Google Drive), as these lack the necessary functionality to protect business information and records over time.

(4) Security and Protection of Records

Records will be maintained in a safe and secure environment ensuring their usability, reliability, authenticity and preservation for as long as they are needed.

Records will not be removed from the City's sites unless in accordance with the approved retention and disposal schedule, they are being transferred to the City's archive storage provider, or they are in the custody of an officer performing official business. It is preferred that wherever possible only copies of records are removed by those officers performing official business.

(5) Access to Records

Access to the City's records by staff and contractors will be in accordance with designated access and security classifications and in accordance with the requirements of their role.

Access to the City's records by the general public will be in accordance with the Local Government Act 1995 and the Freedom of Information Act 1992.

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

(6) Appraisal, Retention and Disposal of Records

All records kept by the City of Cockburn will be disposed of in accordance with the General Disposal Authority for Local Government Records, published by the State Records Commission of Western Australia.

Staff and Elected Members must not personally undertake destruction of any records.

Records identified for destruction will be subject to review and approval by the Records Manager or Senior Records Officer, the Manager of the business unit the records relate to, and the Chief Executive Officer.

Copies/duplicates may be disposed of after use by staff and Elected Members ensuring any such records that contain personally identifiable information or information that is not publicly available are placed into confidential destruction bins or given to Records Services to dispose of.

(7) Roles and Responsibilities

1. Elected Members

Elected Members will create and keep records of communications or transactions which convey information relating to the City's business or

[2]

Records Management Policy:

Title	Records Management

functions. These records will be forwarded to the Elected Members Personal Assistant for capture into the City's recordkeeping system. Refer to the Elected Members Recordkeeping Guidelines for detailed procedures.

2. Chief Executive Officer

The Chief Executive Officer will ensure there is a system for the capture and management of records that is compliant with the State Records Act 2000 and best practice standards.

3. Executive and Managers

Executive and managers will ensure that all staff (and contractors) under their supervision comply with this policy, associated records management procedures/guidelines and the City of Cockburn's Recordkeeping Plan.

4. All Staff

All staff (including contractors) will create and receive records relating to the business activities they perform and are required to:

(a) Make records to document and support business activities.
(b) Ensure that records are captured and registered into the recordkeeping system or appropriate business system
(c) Ensure that records are secure at all times.

Refer to the Employees Recordkeeping Guidelines for detailed procedures.

(8) Legislation and Standards

Legislation and standards applicable to recordkeeping in Western Australian Local Government organisations include:

1. State Records Act 2000
2. Corruption and Crime Commission Act 2003
3. Criminal Code Act Compilation Act 1913
4. Electronic Transactions Act 2011
5. Evidence Act 1906
6. Freedom of Information Act 1992
7. Interpretation Act 1984
8. Local Government Act 1995
9. State Records Commission: Principles and Standards
10. Australian Standard on Records Management: AS ISO 15489

(9) Definitions

1. Record

A record is information recorded in any form that is created, received and maintained by an organisation in the course of conducting its business activities and kept as evidence of such activity.

[3]

Records Management Policy:

Title	Records Management

A record may have any or all of the following attributes:

(a) Information which is of evidentiary or historical value and is not recorded elsewhere;

(b) Formal communications and/or transactions between officers or between an officer and another party; or

(c) It may document the rationale behind organisational policy, decisions or directives.

2. Ephemeral Records

Ephemeral records are duplicated records and/or those that have only short-term value to the City of Cockburn, with little or no ongoing administrative, legal, fiscal, evidential or historical value. They may include insignificant drafts and rough notes, or records of routine enquiries.

3. Recordkeeping Plan

The Recordkeeping Plan ensures that records are created, managed and maintained over time and disposed in accordance with legislation. It is the primary means of providing evidence of compliance with the State Records Act 2000. All government organisations must have a Recordkeeping Plan that is approved by the State Records Commission.

4. General Disposal Authority (GDA)

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

5. Personally Identifiable Information (PII)

PII refers to information, or an opinion, that can be used to distinguish or trace an individual's identity, either alone or when combined with other personal or identifying information that is linked or linkable to a specific individual, whether the information or opinion is true or not; and whether the information or opinion is recorded in a material form or not.

[4]

APPENDIX 5

Records Management Policy:

Title	Records Management

Strategic Link:	City of Cockburn Recordkeeping Plan
Category	Governance
Lead Business Unit:	Information Management
Public Consultation: (Yes or No)	No
Adoption Date: (Governance Purpose Only)	9 September 2021
Next Review Due: (Governance Purpose Only)	September 2023
ECM Doc Set ID: (Governance Purpose Only)	4521606

[5]

APPENDIX 5

Website Management Policy (formerly Council Policy SC62):

Policy¤	Website·Management¤

¶

¶
Policy·Type·¶

Administration¶

¶
¶
Policy·Purpose¶

Under·Principle·2·of·the·State·Records·Commission·(SRC)·Standard·2:·Policies·and·Procedures,·the·City·of·Cockburn·is·required·to·have·a·policy·in·place·for·the·proper·management·of·its·website.··The·State·Records·Office·prescribes·that·websites·should·also·be·managed·in·accordance·with·SRC·Standard·8:·Managing·Digital·Information·which·is·supported·by·the·State·Records·Office·(SRO)·Guideline:·Management·of·Digital·Records.¶

The·purpose·of·this·policy·is·to·ensure·the·City's·websites·are·appropriately·managed·and·records·of·website·content·and·transactions·are·retained,·together·with·records·that·document·the·administration·of·the·sites.¶

The·policy·is·also·to·ensure·that·adequate·security·measures·are·in·place·to·protect·the·integrity·of·the·websites.¶

¶
Policy·Statement¶

This·policy·applies·to·the·City·of·Cockburn·corporate·website·and·the·Cockburn·ARC·website.··Over·time·it·will·be·extended·to·cover·all·websites·managed·by·the·City.¶

The·websites·are·used·for·both·informational·and·transactional·purposes·The·City's·corporate·website·resides·on·network·servers·that·are·managed·in-house·by·the·City's·Technology·unit·and·the·Cockburn·ARC·website·is·hosted·by·an·external·company,·Alyka.¶

In·order·to·comply·with·legislative·requirements·and·best·practice·standards,·the·City·of·Cockburn·will·ensure·that:¶

(1) → The·websites·are·backed·up·to·a·back-up·repository·daily,·seven·days·a·week.··Each·back·up·will·be·retained·for·seven·days.¶

(2) → The·websites·are·updated·and·managed·using·a·Content·Management·System·(CMS)·and·all·changes·to·content·are·captured·within·the·CMS.··The·website·has·a·limit·of·twenty·versions·for·each·page·within·the·CMS,·meaning·the·roll·back·date·for·any·particular·page·is·reliant·on·how·often·the·page·is·updated.¶

(3) → Digital·information·is·safe·from·intentional·damage·and·unauthorised·tampering,·and·authentication·and·passwords·are·required·for·all·users·accessing·the·websites'·content·management·system.¶

(4) → The·City·has·systems·that·log·and·alert·access·to·information.··More·than·five·incorrect·password·attempts·will·lock·the·account·and·notify·the·account·owner,·enabling·the·City·to·identify·and·respond·to·incidents·or·attempted·security·breaches.¶

APPENDIX 5

Website Management Policy (formerly Council Policy SC62):

Policy¤	Website·Management¤

(5) → All·files·and·digital·information·are·stored·on·systems·that·use·Access,·Authentication·and·Authorisation·(AAA)·which·require·usernames·and·passwords·before·being·permitted·access.¶

(6) → The·City's·future·cloud·strategy·will·review·the·risk·of·storing·information·systems·offsite·or·offshore.··¶

(7) → All·documents·on·the·City's·corporate·website·are·captured·in·the·City's·records·management·system·in·order·to·be·published·to·the·websites·via·an·automated·integration·process.··Any·future·websites·will·be·integrated·with·the·records·management·system.¶

(8) → Only·authorised·officers·with·assigned·security·permissions·are·able·to·publish·documents·to·the·corporate·website·via·the·City's·records·management·system.··Training·is·provided·to·these·officers·and·documented·procedures·are·also·available.¶

(9) → Transactional·information·is·managed·in·accordance·with·the·City's·Records·Management·policy·and·is·the·responsibility·of·the·Service·Unit·that·owns·the·transaction.··Transactions·conducted·via·the·websites·are·retained·as·records·in·the·financial·management,·Perfect·Gym·web·portal·or·records·management·system·as·appropriate·and·for·the·required·retention·periods.¶

(10)→Only·authorised·content·writers·and·uploaders·who·have·received·training·are·permitted·to·add,·remove·or·alter·content·on·the·websites.··Content·is·approved·by·allocated·staff·in·a·City·marketing·or·communications·area·and·the·CMS·captures·the·most·recent·approval·of·any·given·page,·including·who·has·submitted·it·and·who·has·approved·it.¶

Accessibility·Compliance¶

The·City·strives·to·ensure·that·information·published·on·its·websites·is·accessible·to·all·users·including·older·people·and·people·with·visual,·hearing,·cognitive·or·motor·impairments.¶

The·websites·have·been·designed·in·accordance·with·the·World·Wide·Web·Consortium·(W3C)·internationally·recognised·Web·Accessibility·Initiative·(WAI)·guidelines.··The·City·aims·for·its·websites·to·conform·to·Level·AA·of·the·Web·Content·Accessibility·Guidelines·(WCAG)·2.0.¶

Accessibility·features·include·readability,·ability·to·scale·font·size,·screen·reader·access·to·image·information,·ability·to·disable·formatting,·keyboard·navigation·in·all·areas·of·the·website,·keyboard·shortcuts·on·all·pages,·ReadSpeaker·text-to-speech·screen·reader.¶

Archiving¶

Website·pages·can·be·archived·if·required·and·captured·for·historical·purposes·if·a·site·is·decommissioned.¶

[2]¶

APPENDIX 5

Website Management Policy (formerly Council Policy SC62):

Policy¤	Website·Management¤

Governing·Legislation¶

State·Records·Act·2000¶
Electronic·Transactions·Act·2011¶
Evidence·Act·1906¶
Financial·Management·Act·2006¶
Freedom·of·Information·Act·1992¶
Limitations·Act·1935¶

Strategic·Link:¤	Digital·Strategy¤
Category:¤	Business,·Economy·&·Technology¤
Lead·Business·Unit:¤	Information·&·Technology¤
Public·Consultation:¶ (Yes·or·No)¤	No¤
Adoption·Date:¶ (Governance·Purpose·Only)¤	2·August·2022¤
Next·Review·Due:¶ (Governance·Purpose·Only)¤	August·2024¤
ECM·Doc·Set·ID:¶ (Governance·Purpose·Only)¤	11079252¤

APPENDIX 5

Data Migration Policy (formerly Council Policy SC61):

Policy¤	Data·Migration¤

Policy·Type·

Administration

Policy·Purpose

In·accordance·with·the·State·Records·Act·2000·and·the·State·Records·Commission·(SRC)· Standard·8:·Managing·Digital·Information,·the·City·of·Cockburn·is·required·to·ensure· strategies·are·in·place·for·migrating·electronic·information·and·records·over·time·to·ensure· long-term·retention·and·access·(such·as·through·upgrades·in·hardware·and·software· applications).

Data·migration·involves·the·transfer·of·electronic·information·from·one·hardware·or· software·version·or·format·to·another·and·is·a·key·consideration·for·any·system· implementation,·upgrade·or·consolidation.

The·purpose·of·this·policy·is·to·establish·an·official·commitment·to·the·ongoing· management·and·preservation·of·the·City·of·Cockburn's·electronic·information·and·to· outline·processes·that·must·be·observed·when·data·needs·to·be·migrated.

This·policy·applies·to·electronic·information·held·in·all·corporate·business·systems,·network· drives·and·electronic·storage·devices·at·the·City·of·Cockburn.

Policy·Statement

The·management·of·corporate·information·and·the·management·of·knowledge·is·an· important·responsibility,·and·the·City·of·Cockburn·will·endeavour·to·ensure·that:

(1) → All·information·stored·in·electronic·formats·will·be·migrated·through·changes·in·the· hardware·and·software·environment·so·that·the·information·retains·its·structure,· content·and·context·for·the·required·retention·periods.

(2) → Any·migration·process·used·for·preserving·electronic·information·will·consider·both· long·term·accessibility·and·integrity·of·this·information,·so·it·is·distinguishable·as·a· unique·evidence·of·business·transactions.

(3) → Electronic·information·from·old·systems·will·be·kept·active·until·data·in·new·systems· has·been·fully·validated·and·a·decommissioning·process·has·been·undertaken.

(4) → Integrity·checks·of·electronic·information·will·be·carried·out·through·a·data·validation· process.

(5) → Backups·of·electronic·information·from·old·systems·will·be·kept·until·new·systems· have·proven·to·be·fully·operational·and·an·approval·process·has·been·followed·to· remove·back-ups.

(6) → Migration·of·all·electronic·data,·including·information·of·permanent·value,·will·be·in· accordance·with·SRC·Standard·8:·Managing·Digital·Information.

APPENDIX 5

Data Migration Policy (formerly Council Policy SC61):

Policy	Data Migration

Applying the Policy

As the course of action for the successful migration of electronic data shall vary from project to project, the responsible officer for the project will develop a specific strategy prior to the implementation of new systems or to the upgrading of existing systems.

A change request is to be completed and approved for all system upgrades and must include a roll-back plan.

Responsibilities

The Head of Information and Technology shall be responsible for ensuring the successful running of migration processes.

Governing Legislation

State Records Act 2000
Evidence Act 1906
Financial Management Act 2006
Freedom of Information Act 1992
Limitations Act 1935

Strategic Link:	Digital Strategy
Category:	Business, Economy & Technology
Lead Business Unit:	Information & Technology
Public Consultation: (Yes or No)	No
Adoption Date: (Governance Purpose Only)	18 August 2022
Next Review Due: (Governance Purpose Only)	August 2024
ECM Doc Set ID: (Governance Purpose Only)	11079251

APPENDIX 5

Excerpts - Recordkeeping Procedures:

Employees

Recordkeeping Guidelines

Revision History

Date amended	Description of Change	Version	Revised by	Approved by	Date approved
02/11/2015	Document Creation	1	Records Manager	Ordinary Council Meeting	10/12/2015
14/02/2018	List of exceptions modified under Incoming Correspondence section. Emails section simplified & updated to reflect current practices Use of Shared/Network Drives & H Drives added Additional information added to Resigning Staff section. Sending an ECM Document Link added Removable media device added to Definitions SRO Information Sheets replaced with updated versions. Standard ECM Document Descriptions updated Attachment 5 added	2	Records Manager	Chief Executive Officer	21/02/2018
12/06/2018	Minor changes to Standard ECM Document Descriptions for Statutory Planning	3	ECM Analyst	Records Manager	12/06/2018
23/07/2020	Minor change added Procurement to Standard ECM Document Descriptions	4	Procurement	Records Manager	23/07/2020

APPENDIX 5

Excerpts - Recordkeeping Procedures:

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Excerpts - Recordkeeping Procedures:

Elected Members

Recordkeeping Guidelines

Revision History

Date amended	Description of Change	Version	Revised by	Approved by	Date approved
02/11/2015	Document Creation	1	Records Manager	Ordinary Council Meeting	10/12/2015
24/10/2016	Changes made to Emails section to reflect integration now available between the recordkeeping system and customer request system. Change to email address for PA to Elected Members also updated	2	Records Manager	Chief Executive Officer	07/12/2016
27/02/2020	Updated responses section and emails section to include relevant email address and updated Attachment 1 with latest version of information sheet	3	Records Manager	A/Chief Executive Officer	28/02/2020
21/09/2021	Updated position title and service unit name to reflect new organisation structure	4	Records Manager	Chief Executive Officer	29/09/2021

APPENDIX 5

Excerpts - Recordkeeping Procedures:

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Excerpts - Recordkeeping Procedures:

City of Cockburn – Information Management
Standard Operating Procedures

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APPENDIX 5

Certification of Policies & Procedures –
Excerpt from Minutes of the Delegated Authority and Policies Committee Meeting
– 26 August 2021:

Item 12.2   DAP 26/08/2021

12.2   **(2021/MINUTE NO 0039) Review and Proposed Minor Amendments to**
         Various Council Policies

Author(s)   B Pinto
Attachments   1.   Proposed Amendment - Investment of Funds Policy ⇩

RECOMMENDATION
The Committee recommends that Council ADOPTS:

(1)   the proposed amendments to Policy 'Investment of Funds', as shown in the
       attachment to the Agenda; and

(2)   the following policies with no changes:
       1.   Maintenance of Public Open Space and Road Reservations following
             Residential Subdivision;
       2.   Street and Public Open Space Lighting;
       3.   Street and Reserve Tree Management;
       4.   Crossovers;
       5.   Kerbside House Numbering;
       6.   Promotional and Advertising Sign Within Road Reserve;
       7.   Subdivision Construction Standards;
       8.   Records Management;
       9.   Installation of Private Memorial Plaques in Public Open Space.

Committee Recommendation
MOVED Cr M Separovich SECONDED Cr C Terblanche

That the recommendation be adopted.

                                                                              CARRIED 5/0

Background

Following the completion of the Policy Review Project, all policies and associated
Delegated Authorities are proposed to be reviewed over a two year cycle.

Submission

N/A

APPENDIX 5

Certification of Policies & Procedures –
Excerpt from Minutes of the Ordinary Council Meeting – 9 September 2021:

OCM 9/09/2021   **Item 17.4**

Declaration of Interest

Cr Terblanche submitted a Declaration of Financial Interest, pursuant to Section 5.60A of the *Local Government Act 1995* for Item 17.4. (Item 12.4 of the Committee Meeting Minutes – "Elected Member Entitlements – Allowances and Reimbursements".
Nature of Interest: Cr Terblanche, at the time she submitted the motion, held a membership of the Australian Institute of Company Directors (AICD).

8.18pm   Having declared a Financial Interest in Item 17.4, Cr Terblanche departed the meeting.

17.4   (2021/MINUTE NO 0162) Minutes of the Delegated Authorities and Policies Committee Meeting - 26 August 2021

Author(s)   B Pinto
Attachments   1.   Minutes of the Delegated Authorities and Policies
                              Committee Meeting - 26 August 2021 ⇩

RECOMMENDATION
That Council:

(1)   RECEIVES the Minutes of the Delegated Authorities and Policies Committee
        Meeting held on 26 August 2021, as attached to the Agenda; and

(2)   ADPOTS the recommendations contained therein.

TO BE CARRIED BY AN ABSOLUTE MAJORITY OF COUNCIL

Council Decision
MOVED Cr C Stone SECONDED Cr P Eva

That the recommendation be adopted.

CARRIED BY ABSOLUTE MAJORITY OF COUNCIL 7/0

8.21pm   Cr Terblanche returned to the meeting. The Presiding Member advised
                Cr Terblanche of the decision of Council in her absence.

APPENDIX 5

Certification of Policies & Procedures –
Excerpt from Minutes of the Ordinary Council Meeting – 8 March 2018:

Item 15.3	OCM 8/03/2018

15.3 **(2018/MINUTE NO 0042) PROPOSED NEW POLICIES SC61 'DATA MIGRATION' AND SC62 'WEBSITE MANAGEMENT'**

Author(s)	E Machura
Attachments	1. SC61 'Data Migration'
	2. SC62 'Website Management'

RECOMMENDATION
That Council adopt:

(1) proposed new Policy SC61 'Data Migration'; and

(2) proposed new Policy SC62 'Website Management';

as shown in the attachments to the Agenda.

COUNCIL DECISION
MOVED Cr P Eva SECONDED Cr C Terblanche

That the recommendation be adopted.

CARRIED 7/0

APPENDIX 5

Certification of Policies & Procedures –
Excerpt from Minutes - DAPPS Committee Meeting – 23 August 2018 – Conversion of Council Policies to Administrative Policies:

DAPPS 23/08/2018   **Item 8.1**

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8.   COUNCIL MATTERS

8.1   **(2018/MINUTE NO 0009) POLICY REVIEW PROJECT - POLICIES STRUCTURE ALIGNMENT TO CITY OF COCKBURN POLICY FRAMEWORK**

Author(s)	J Ngoroyemoto
Attachments	1. Policies & Position Statements to be Deleted ⇩
	2. Policies & Position Statements to be converted to Administrative Procedures ⇩
	3. Policies & Position Statements to be converted to Planning Policies ⇩
	4. Policies & Position Statements to be converted to Administrative Policies ⇩
	5. Proposed Council Policies Review Plan ⇩

RECOMMENDATION
That the Committee:

(1)   delete Policies, Positions Statements as shown in Attachment 1 of the report;

(2)   convert Policies, Positions Statements to administrative procedures, as shown in Attachment 2 of the report;

(3)   convert Policies and Position Statements to Local Planning Policies in accordance with the Town Planning Scheme No.3 provisions, as shown in Attachment 3 of the report;

(4)   convert Policies, Position Statements to Administrative Policies as shown in Attachment 4 of the report; and

(5)   proceed with the review of the Policies and Position Statements recommended to remain Council Policies, as shown in Attachment 5 of the report, in consultation with Elected Members.

COMMITTEE RECOMMENDATION
MOVED Cr C Reeve-Fowkes SECONDED Mayor L Howlett
That Council adopt the recommendation, subject to amending Attachment 5 to include the following to the proposed policies review plan:

Title	Comments
PSEW23 '50KM/H Speed Limit Reminder Signs'	To be reviewed and presented to future DAPPS and Council Meetings for consideration.
SC16 'Council Administration Centre –	To be reviewed and presented to future

APPENDIX 5

Certification of Policies & Procedures –
Excerpt from Minutes - DAPPS Committee Meeting – 23 August 2018 – Conversion of Council Policies to Administrative Policies:

Designation of Areas & Access Protocols'	DAPPS and Council Meetings for consideration.
AES6 'Attendance at Conferences & Seminars'	To be reviewed and presented to future DAPPS and Council Meetings for consideration.
AES8 'Council Owned Vehicle Usage'	To be reviewed and presented to future DAPPS and Council Meetings for consideration.

CARRIED 5/0

Attachment to DAPPS – Listing Policies to be Converted from Council to Admin:

DAPPS 23/08/2018   Item 8.1 Attachment 4

POLICIES/POSITION STATEMENTS TO BE CONVERTED TO ADMINISTRATIVE POLICIES		
Proposed Title	**Recommendations**	**Lead Business unit**
STREET ADDRESSING	incorporates content from Position Statement PSPD19 - Street Addressing. Content to be reviewed	Strategic Planning
COUNCIL SPONSORED COMMUNITY COMPETITIONS	incorporates content from Policy ACS15 - Council Sponsored Community Competitions. Content to be reviewed	Corporate Communications
REWARDS FOR CIVIC DEEDS	incorporates content from Policy ACS4 - Rewards for Civic Deeds. Content to be reviewed	Ranger & Community Safety
CORPORATE UNIFORMS	incorporates content from Position Statement PSCS8 - Inside Staff Uniforms. Change of Title to cover all employees in all departments, including permanent and casual Employees, and content to be reviewed	Human Resources
TRAILER PASSES	incorporates content from Position Statement PSEW21 - Trailer Passes. This relates to the Henderson day to day operational matters which fall under the responsibility of the CEO, as an administrative task.	Waste
Occupational Safety and Health	NEW: committed to achieving zero harm within the City's working environment to all persons employed or engaged by the City in any capacity.	Human Resources
Website Management	incorporates content of Policy SC62 - Website Management. Content to be reviewed	Information Services
Data Migration	incorporates content of Policy SC61 - Data Migration. Content to be reviewed	Information Services

APPENDIX 5

Certification of Policies & Procedures –
Excerpt from Minutes -Ordinary Council Meeting – 13 September 2018 - Conversion
of Council Policies to Administrative Policies (Adoption of DAPPS Minutes):

Item 13.1	OCM 13/09/2018

13. COUNCIL MATTERS

13.1 (2018/MINUTE NO 0141) MINUTES OF THE DELEGATED AUTHORITIES, POLICIES & POSITION STATEMENTS COMMITTEE MEETING - 23 AUGUST 2018

Author(s)	B Pinto
Attachments	1. Minutes of the Delegated Authorities, Policies & Position Statements Committee Meeting - 23 August 2018 ⬇

RECOMMENDATION
That Council receive the Minutes of the Delegated Authorities, Policies & Position Statements Committee Meeting held on Thursday, 23 August 2018, and adopt the recommendations contained therein.

COUNCIL DECISION
MOVED Cr M Separovich SECONDED Cr C Reeve-Fowkes
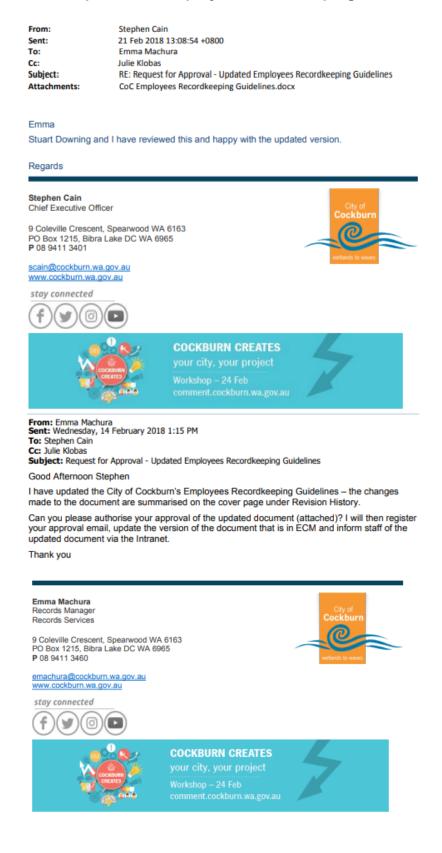
That the recommendation be adopted.

CARRIED 9/0

Approval to Proceed to Convert Council Policies to Admin Policies – Chief Financial Officer:

From: Stuart Downing <sdowning@cockburn.wa.gov.au>
Sent: Friday, 30 September 2022 2:43 PM
To: Emma Machura <emachura@cockburn.wa.gov.au>
Cc: Brett Fellows <bfellows@cockburn.wa.gov.au>
Subject: RE: Council Resolution to Convert Website Management and Data Migration Policies from Council to Admin

Hi Emma

Yes, they can be converted as they have already been signed off by Council.
Please proceed.

Thanks

Stuart

Stuart Downing
Chief Financial Officer
P 08 9411 3444
E sdowning@cockburn.wa.gov.au

Cockburn Nyungar moort Beeliar boodja-k kaadadjiny. Koora, yeyi, benang baalap nidja boodja-k kaaradjiny.
Cockburn acknowledges the Nyungar people of Beeliar boodja. Long ago, now and in the future they care for country.

APPENDIX 5

Certification of Policies & Procedures –
CEO Endorsement of Updates to Employee Recordkeeping Guidelines

From:	Stephen Cain
Sent:	21 Feb 2018 13:08:54 +0800
To:	Emma Machura
Cc:	Julie Klobas
Subject:	RE: Request for Approval - Updated Employees Recordkeeping Guidelines
Attachments:	CoC Employees Recordkeeping Guidelines.docx

Emma

Stuart Downing and I have reviewed this and happy with the updated version.

Regards

Stephen Cain
Chief Executive Officer

9 Coleville Crescent, Spearwood WA 6163
PO Box 1215, Bibra Lake DC WA 6965
P 08 9411 3401

scain@cockburn.wa.gov.au
www.cockburn.wa.gov.au

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Workshop – 24 Feb
comment.cockburn.wa.gov.au

From: Emma Machura
Sent: Wednesday, 14 February 2018 1:15 PM
To: Stephen Cain
Cc: Julie Klobas
Subject: Request for Approval - Updated Employees Recordkeeping Guidelines

Good Afternoon Stephen

I have updated the City of Cockburn's Employees Recordkeeping Guidelines – the changes made to the document are summarised on the cover page under Revision History.

Can you please authorise your approval of the updated document (attached)? I will then register your approval email, update the version of the document that is in ECM and inform staff of the updated document via the Intranet.

Thank you

Emma Machura
Records Manager
Records Services

9 Coleville Crescent, Spearwood WA 6163
PO Box 1215, Bibra Lake DC WA 6965
P 08 9411 3460

emachura@cockburn.wa.gov.au
www.cockburn.wa.gov.au

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APPENDIX 5

Certification of Policies & Procedures –
CEO Endorsement of Updates to Elected Members Recordkeeping Guidelines

From:	"Maddison Nicholls" <mnicholls@cockburn.wa.gov.au>
Sent:	Wed, 29 Sep 2021 14:43:36 +0800
To:	"Emma Machura" <emachura@cockburn.wa.gov.au>
Subject:	FW: Request for Approval - Updated Elected Members Recordkeeping Guidelines
Attachments:	City of Cockburn Elected Members Recordkeeping Guidelines.docx

Hi Emma

Please see the below approval from Tony.

Maddi

Maddison Nicholls
Administration Assistant | Office of the CEO

P 08 9411 3448
E mnicholls@cockburn.wa.gov.au

Cockburn Nyungar moort Beeliar boodja-k kaadadjiny. Koora, yeyi, benang baalap nidja boodja-k kaaradjiny.
Cockburn acknowledges the Nyungar people of Beeliar boodja. Long ago, now and in the future they care for country.

From: Tony Brun <tbrun@cockburn.wa.gov.au>
Sent: Wednesday, 29 September 2021 2:02 PM
To: Maddison Nicholls <mnicholls@cockburn.wa.gov.au>
Subject: RE: Request for Approval - Updated Elected Members Recordkeeping Guidelines

Yep all good to go

Tony Brun
Chief Executive Officer

P 08 9411 3401
E tbrun@cockburn.wa.gov.au

Cockburn Nyungar moort Beeliar boodja-k kaadadjiny. Koora, yeyi, benang baalap nidja boodja-k kaaradjiny.
Cockburn acknowledges the Nyungar people of Beeliar boodja. Long ago, now and in the future they care for country.

From: Maddison Nicholls <mnicholls@cockburn.wa.gov.au>
Sent: Wednesday, 29 September 2021 1:53 PM

APPENDIX 5

Certification of Policies & Procedures –
CEO Endorsement of Updates to Elected Members Recordkeeping Guidelines

To: Tony Brun <tbrun@cockburn.wa.gov.au>
Subject: FW: Request for Approval - Updated Elected Members Recordkeeping Guidelines

Hi Tony,

Just wondering if you have had a chance to review the recordkeeping document for the EM and if you were happy to provide your approval

Maddi

Maddison Nicholls
Administration Assistant | Office of the CEO

P 08 9411 3448
E mnicholls@cockburn.wa.gov.au

Cockburn Nyungar moort Beeliar boodja-k kaadadjiny. Koora, yeyi, benang baalap nidja boodja-k kaaradjiny.
Cockburn acknowledges the Nyungar people of Beeliar boodja. Long ago, now and in the future they care for country.

From: Emma Machura
Sent: Tuesday, 21 September 2021 3:05 PM
To: Tony Brun <tbrun@cockburn.wa.gov.au>
Cc: Maddison Nicholls <mnicholls@cockburn.wa.gov.au>; Lyn Spearing <lspearing@cockburn.wa.gov.au>
Subject: Request for Approval - Updated Elected Members Recordkeeping Guidelines

Hi Tony

I have updated the Elected Members Recordkeeping Guidelines in preparation for a presentation I've been asked to give to the incoming Elected Members on their recordkeeping responsibilities on the Monday after the upcoming elections. I have updated the following within the document to reflect the changes to the organisation structure:

- Updated position title from Personal Assistant to the Elected Members to Senior Executive Assistant to the Mayor and Councillors
- Updated Records Services to Information Management

Can you please authorise your approval of the updated document attached? I will then register your approval email and update the version of the document that is in ECM. I'll also arrange for the updated version to be uploaded to the Hub and will arrange for a copy to be emailed to the incoming Elected Members after my presentation to further reinforce their requirements.

Many thanks

Emma Machura
Records Manager | Information Management

9 Coleville Crescent, Spearwood WA 6163
PO Box 1215, Bibra Lake DC WA 6965
P 08 9411 3460

E emachura@cockburn.wa.gov.au
www.cockburn.wa.gov.au

(f) (y) (o) (o)

Cockburn Nyungar moort Beeliar boodja-k kaadadjiny. Koora, yeyi, benang baalap nidja boodja-k kaaradjiny.
Cockburn acknowledges the Nyungar people of Beeliar boodja. Long ago, now and in the future they care for country.

Records Disaster Recovery Plan:

RECORDS DISASTER RECOVERY PROCEDURES

A hard copy of these procedures is stored at the City of Cockburn's ICT Disaster Recovery Site, located at the Operations Centre 54 Wellard Street, Bibra Lake*

65. Background

The City of Cockburn's Business Continuity Plan (BCP) (ECM Doc Set ID 8334478) sets out the principles to be followed, actions to be taken and resources to be used for the initial response, continuity of priority services and activities, and long-term recovery in the event of a prolonged disruption impacting the organisation.

66. Recovery Procedures

If the BCP is activated following an incident/event/disaster, initial instructions will be provided by the Manager Information Services (or ICT Manager in their absence).

The procedures listed herein support the BCP and outline the practical steps that can be taken within Records Services to assist in recovery efforts following a disaster that impacts the City of Cockburn's records and/or the core functions provided by the Records Services team.

Disaster Scenarios

The following scenarios have been identified as possible risks that could impact the City of Cockburn's records. Recovery strategies are included for each scenario to either resume services and/or recover records that have been impacted by the event.

- **Administration Building Lost, Severely Damaged or Inaccessible**

The BCP will be activated in this situation to relocate to an alternate site – follow instructions provided by the Manager Information Services (or ICT Manager in their absence).

The Records Manager (or Senior Records Officer in their absence) will then be responsible for coordinating and delegating the following activities once relocation to an alternate site has occurred:

1. Contact couriers to temporarily suspend incoming/outgoing mail delivery services (if required) and to redirect them to the alternate site when appropriate for the incoming mail delivery and outgoing mail collection (refer to External Contacts section later in this document for contact details). It may also be appropriate to temporarily suspend the midday runs to/from the Operations Centre and Cockburn ARC until normal operations have resumed.

2. Retrieve box number 7022 from Grace Records to enable processing of incoming mail to recommence from alternate site when practical. Box 7022 contains the following:

Records Disaster Recovery Plan:

- Date stamp for incoming mail
- Received with payment stamp
- Copy stamp
- Internal mail folders (blue and yellow)
- White 2D system files
- Letter openers
- Thumb drive
- Basic stationery supplies (pens, staplers, sticky tape, bulldog clips, white out, staple removers, post-it notes, notepads, elastic bands)
- Australia Post mail lodgement forms
- Registered mail slips

3. Also purchase some archive boxes from Grace Records and request that they are delivered to the alternate site (if working from this location for a prolonged time).

4. Contact the State Records Office (SRO) of WA to notify them of the disaster. It may be unknown at this time what the extent of the damage is but it will alert the SRO that a disaster has occurred and they can provide some initial advice if required.

5. Determine arrangements and equipment required for scanning the incoming mail. This will include liaising with ICT to setup a PC if a desktop scanner is available. Alternatively, a thin client can be setup and documents scanned using one of the multi-function devices at the Operations Centre (or wherever the alternate site has been setup).

6. Setup workstations/space to enable mail processing to recommence.

7. Temporarily suspend archiving services (retrievals from offsite storage and accepting lodgements of archiving from Service Units). If urgent retrievals from offsite are required, utilise the Grace Scan on Demand Service (Grace Digital Office).

8. Determine arrangements for processing outgoing mail.
   a. If internet access is available, mail can be lodged as normal using the Australia Post eLMS Australia Post.
   b. If access to eLMS is unavailable, temporarily suspend the outgoing mail service and advise staff to use alternatives such as email or provide manual mail lodgement forms for urgent mail which can then be lodged manually at either the Australia Post Bibra Lake Delivery Centre, or Spearwood Post Office.

9. Open and sort mail into the following groups:
   - Documents to be registered
   - Documents not to be registered (put to the side and retain together in date received order until it is practical for these documents to be distributed)

Records Disaster Recovery Plan:

- Library subscriptions (magazines, books etc) – keep together and liaise with the Manager Libraries to determine process for collection/delivery
- Invoices - (liaise with Accounts Payable Coordinator to determine whether they can receive invoices or if they are to be retained by Records until further notice)
- Payments – without correspondence (liaise with the Rates & Revenue Coordinator to determine whether they can process the payments or if they are to be retained by Records until further notice)
- Payments – with correspondence (stamp with received with payment stamp and liaise with the Rates & Revenue Coordinator regarding whether they can process the payments or if they are to be retained by Records until further notice)

10. Stamp incoming mail with the date received stamp.

11. Classify the incoming mail as best as possible – the level of classification will depend on whether ECM is available.

12. Scan documents and if ECM is available register into ECM. Create and open new retention boxes and folders (both in ECM and physically) to file the registered documents.

13. If ECM is not available, scan documents to the following location on the network drive; if the network is available (a folder should be created in this location for each date received).

    S:\Finance and Corporate\Information Services\Records\Scanning

14. If network connection is not available, scan the documents to an alternative location such as a thumb drive.

15. If documents **cannot be processed into ECM** straight away, create an **incoming mail register** to record items received and action taken (use Excel if access is available or create in hard copy if no computer access is available). Include the following information:
    - Date received
    - Description
    - Sender
    - Payment included (Y/N, type, amount)
    - Distributed to (name of officer/s)
    - Distribution method:
      - Email
      - Photocopy - must be stamped with a copy stamp before distributing

Records Disaster Recovery Plan:

- o Original – originals must <u>only</u> be distributed in **exceptional circumstances** eg required for signature or court appearance and only if it is logistically possible. A **copy of the document must be taken and retained** to **enable registration in ECM** once available if the original document is distributed.

> NOTE: The preferred method to distribute if ECM is unavailable is by email if possible.

16. If items can't be registered into ECM immediately, ensure the date received stamp has been affixed to each document and place the physical documents in date received order in a folder to be registered in ECM when this is again possible.

17. If registration of incoming mail into ECM has to be done at a later date when access is restored, ensure that a note is added in ECM to all incoming mail for the affected period that states:

    "Due to *<insert description of disaster>*, there was a delay in this document being registered in ECM. The document was distributed by *<insert distribution method, eg email>* to *<insert officer's name>* on *<insert date>*. Please ensure any action taken at that time is now recorded in ECM".

18. Ensure physical documents are then placed in the correct retention folder/box once registered in ECM.

19. Once access is restored to the Administration Building, assess the damage to any records (if safe to do so) and notify the State Records Office for further advice.

20. If records are damaged, contact a specialised restoration company for assistance and advice such as:

    Steamatic
    2/145 Vulcan Road
    CANNING VALE WA 6155
    1300 783 262
    contracts@steamatic.com.au

21. Return to normal operations when safe to do so – ensure the courier company is advised when operations are returned to the Administration Building and to recommence the midday runs to/from the Operations Centre and Cockburn ARC, if they were suspended.

22. Ensure items in box 7022 are replenished and return the box to Grace Records for storage.

23. If an incoming mail register was created during the incident, register it into ECM as a record.

APPENDIX 6

Records Disaster Recovery Plan:

24. Participate in any post-incident debrief activities as instructed by the Manager Information Services (or ICT Manager in their absence).

- **Records Located in Records Compactus Damaged (fire/water/vandalism)**

Records stored in this location include:

- Original rates books (from 1923 – 2001) – not digitised.
- Legal Documents (leases, licences, deeds/agreements, certificates of title, contracts, management orders, easements, restrictive covenants – digitised.
- Digitised inactive property files

The Records Manager (or Senior Records Officer in their absence) will coordinate and delegate the following tasks should damage occur to any of the records stored in the Records Compactus.

1. Assess the level of damage (if it is safe to do so).

2. Prioritise the recovery and salvaging of records depending on their significance and whether they have been digitised or only a hard copy exists.

3. Contact a specialised restoration company for assistance and advice such as:

   Steamatic
   2/145 Vulcan Road
   CANNING VALE WA 6155
   1300 783 262
   contracts@steamatic.com.au

4. If the records are severely damaged and have not yet reached their minimum disposal period as required by the General Disposal Authority for Local Government Records, contact the State Records Office of WA to discuss whether recovery attempts of the hard copy records should be made or if the digitised version can be used in their place. The damaged records should not be destroyed without permission from the SRO.

- **Records Located in the Records Storage Room Damaged (fire/water/vandalism)**

Records stored in this location include:

- Digitised daily incoming mail
- Inactive records awaiting transfer to offsite storage

The Records Manager (or Senior Records Officer in their absence) will coordinate and delegate the following tasks should damage occur to any of the records stored in the Records Compactus.

1. Assess the level of damage (if it is safe to do so).

2. Prioritise the recovery and salvaging of records depending on their significance and whether they have been digitised or only a hard copy exists.

Records Disaster Recovery Plan:

3.   Contact a specialised restoration company for assistance and advice such as:

Steamatic
2/145 Vulcan Road
CANNING VALE WA 6155
1300 783 262
contracts@steamatic.com.au

4.   If the records are severely damaged and have not yet reached their minimum disposal period as required by the General Disposal Authority for Local Government Records, contact the State Records Office of WA to discuss whether recovery attempts of the hard copy records should be made, or if digitised version of the records exist, whether the digitised version can be used in their place. The damaged records should not be destroyed without permission from the SRO.

•   **ECM Unavailable**

1.   If ECM goes down, the ECM Analyst (Records Manager, Senior Records Officer or any of the Records team in their absence) should contact the IT Helpdesk (extension 3415) as soon as possible for urgent assistance.

2.   If ICT are unable to restore access to ECM, raise an Urgent case with Technology One Support for immediate assistance via one of the below contact methods.

Website - https://technologyone.force.com/community/login
Phone - 1300 735 130 (Option 6)
Email - supportcentre@technologyonecorp.com

3.   Email an Unscheduled Outage Notification to all staff advising them of the outage and if known the anticipated restoration time.

4.   Provide any support as needed to Technology One, ICT or Business Systems to aid in the restoration of ECM.

5.   Once ECM is back up and running, email a Restoration of Service Notification to all staff.

6.   Participate in any debriefs as instructed by the Manager Information Services (or ICT Manager in their absence).

7.   Document the cause of the issue and the solution in the ECM System Administrator - Troubleshooting, Fixes, Procedures and Useful Information Guide (ECM Doc Set ID **4268411**).

APPENDIX 6

Records Disaster Recovery Plan:

67. External Contacts

Contact	Service
All Stamps (Nev Kent) Phone: 9249 2999 Email: Nev@allstamps.com.au	Supplies the records incoming mail stamps and received with payment stamps • Contact if replacement stamps are required
Ausrecord Phone: 1800 355 610 or 9478 3322 Email: info@ausrecord.com	Supplies white 2D System Files • Order additional files if required: • Tubeclip and Fastners Set (code CTTRSET) • 2D System Files Foolscap (code F2D)
Australia Post Bibra Lake Delivery Centre Contact: Malcolm Sequeira, Business Services Manager Phone: 9236 7223 or 0475 812 533 Email: malcolm.sequeira@auspost.com.au bibralakebusinesshub@auspost.com.au	Provides postage services to the City • Contact to request mail trays/tubs and additional postage supplies eg reply paid cards, parcel post tracking labels, manual lodgement forms, (if access to eLMS is unavailable) etc
Grace Records Management Email: recordswa@grace.com.au Phone: 9454 0999	The City's offsite archive storage provider • Contact to retrieve hard copy records stored offsite if requested, order archive supplies (eg archive boxes, barcodes)
Kodak Alaris Phone: 1300 252 747 – Select Option 1 then Option 2 when prompted Email: service-anz@kodakalaris.com	Undertakes servicing of the 3 x i3400 Kodak scanners and 1 x i3400 flatbed attachment
Kulbardi Phone: 1300 551 042 Website: https://www.kulbardi.com.au/	Supplies A4 and A3 paper to the City • Order additional paper supplies if required Codes for paper: A4 – 625002610 - $4.62/ream A3 – 1007130 - $11.06/ream GL 131-6234

APPENDIX 6

Records Disaster Recovery Plan:

Contact	Service
PEP Transport (Couriers) Email: couriers@peptransport.com.au Phone: 6254 0709	Provides courier services to the City, including the daily mail deliveries and collections • Contact to advise of alternative mail collection/delivery location and to advise of any changes to the courier runs between the Admin building, Operations Centre and Cockburn ARC
Quick Corporate Phone: 1300 139 388 Web: https://www.qca.com.au/	Provides stationery supplies to the City • Order replacement stationery if required
Shred-X Phone: 1800 641 384 Email: infowa@shred-x.com.au	Provides confidential destruction bins • Advise if any bins have been destroyed or damaged and request additional bins to be delivered to alternative location/s if required.
State Records Office of WA Email: sro@sro.wa.gov.au Phone: 9427 3661	Governing body for recordkeeping in WA • Contact to notify if there is a disaster and/or damage to records and seek specialty advice
Steamatic 2/145 Vulcan Road CANNING VALE WA 6155 1300 783 262 contracts@steamatic.com.au	Specialist restoration company. Contact in the event of any hard copy records being damaged during a disaster for advice and assistance.
Technology One Phone: 1300 735 130 Option 6 Email: supportcentre@technologyonecorp.com	Vendor for the City's Core Enterprise Suite, including ECM. Contact if technical assistance is required with ECM.

APPENDIX 6

Records Disaster Recovery Plan:

68. Account Numbers

The following account numbers can be used should access to Tech 1 Financials be unavailable and manual purchase orders need to be raised:

Account Number	Description
GL 130-6229	Professional Services
GL 130-6249	Courier Expenses
GL 130-6257	Equipment Maintenance
GL 130-6278	Minor Furniture & Equipment
GL 130-6286	Postage Expenses
GL 130-6287	Printing & Stationery
GL 130-6299	Software Support Expenses
GL 130-6303	Subscriptions
GL 130-6304	Sundry Minor Expenses
OP 6274-6200	Archive Storage
OP 9156-6200	Retention/Disposal (confidential bins)
OP 8870-6000	Knowledge Management (casual wages)

End of Document

APPENDIX 7

Authorised List of Records for Disposal:

File/ECM

Memorandum

To	Chief Executive Officer
From	Records Manager
Date	3 March 2022
Subject	Destruction of 2005 and 2015 Local Government Election Materials

The election material as per the attached list is due for destruction in accordance with the DA 2015-001/1 General Disposal Authority (GDA) for Local Government Records published by the State Records Commission of Western Australia. The contents in each box have been recorded and comply with the GDA to ensure they can be correctly destroyed and coincide with the destruction dates.

According to the Local Government (Elections) Regulations 1997, sub-regulation 82 (4) it states that *"the parcels are to be destroyed –*

(a) *the destruction is to be carried out by or under the supervision of the CEO in the presence of at least 2 employees; or*

(b) *the parcels are to be conveyed securely to a secure paper destruction company, or placed in a locked bin provided by such a company, by or under the supervision of the CEO in the presence of at least 2 employees".*

It is intended to carry out the destruction of election material in March 2022. The two (2) employees representing the City of Cockburn to witness the destruction of election material are Emma Machura – Records Manager and Carrie Russell – Senior Records Officer.

Should you disagree with the disposal schedule or would like to discuss this further, please do not hesitate to contact me on extension 3460.

Your signature for approval to destroy the documents is appreciated, along with the two (2) nominated City of Cockburn officers.

Regards

Emma Machura
Records Manager

APPENDIX 7

Authorised List of Records for Disposal:

Authority to Destroy Election Material

I Anthony Brun, Chief Executive Officer, declare that the records as per the attached list are no longer required and may be destroyed in accordance with the DA 2015-001/1 General Disposal Authority (GDA) for Local Government Records. I further authorise the officers below to carry out these instructions.

Signed _____ Date _9/03/22_

Anthony Brun
Chief Executive Officer

I, Emma Machura

Service Unit Information Management

Under the supervision of the Chief Executive Officer, will witness the destruction of election material in March 2022 in accordance with the DA 2015-001/1 General Disposal Authority for Local Government Records, as a City of Cockburn employee.

Signed _____ Date _03/03/2022_

Emma Machura
Records Manager

I, Carrie Russell

Service Unit Information Management

Under the supervision of the Chief Executive Officer, will witness the destruction of election material in March 2022 in accordance with the DA 2015-001/1 General Disposal Authority for Local Government Records, as a City of Cockburn employee.

Signed _____ Date _03/03/2022_

Carrie Russell
Senior Records Officer

APPENDIX 7

Authorised List of Records for Disposal:

Destruction List - 2005 Election Material

Records Box Number	Business / Service Unit	Description	Dates	GDA Code	Retention	Destruction Due
7237	Office of the CEO	Election Material - 7 May 2005 Form 14 Elector's Certificate (in batches, removed from voting packages) Postal voting package unclaimed - returned to sender	7/05/2005	42.9	D4	7/05/2009
7238	Office of the CEO	Election Material - 7 May 2005 Form 14 Elector's Certificate (in batches, removed from voting packages) Rejected postal voting packages Postal voting packages received after the close of poll Postal voting package unclaimed - returned to sender	7/05/2005	42.9	D4	7/05/2009
7239	Office of the CEO	Election Material - 17 October 2015 - West Ward Used ballot paper envelopes	17/10/2015	42.9	D4	17/10/2019
7240	Office of the CEO	Election Material - 17 October 2015 - West Ward Used ballot paper envelopes	17/10/2015	42.9	D4	17/10/2019
7241	Office of the CEO	Election Material - 17 October 2015 - Central / East & West Wards Used ballot paper envelopes	17/10/2015	42.9	D4	17/10/2019
7242	Office of the CEO	Election Material - 17 October 2015 - East Ward Used ballot paper envelopes	17/10/2015	42.9	D4	17/10/2019
7243	Office of the CEO	Election Material - 17 October 2015 - Central Ward Form 14 - Elector's Certificate (in batches, removed from election packages)	17/10/2015	42.9	D4	17/10/2019
7244	Office of the CEO	Election Material - 17 October 2015 - East Ward Form 14 - Elector's Certificate (in batches, removed from election packages)	17/10/2015	42.9	D4	17/10/2019

APPENDIX 8

Samples of Training Material

Excerpt from Employee Online Induction - Recordkeeping Awareness Training:

Modules

- Recordkeeping Requirements & Legislation
- What are Records?
- Recordkeeping Roles & Responsibilities
- Who Benefits from Good Recordkeeping?
- Overview of ECM
- Records Services Overview

APPENDIX 8

Excerpt from Online Recordkeeping Training for Managers and Supervisors:

APPENDIX 8

Excerpt from Elected Members Induction Presentation:

City of Cockburn Recordkeeping Plan RKP 2022039

Excerpt from Staff Intranet:

APPENDIX 8

Excerpt from Staff Intranet:

Incoming mail

Most incoming mail will be distributed to you electronically via your ECM task list. Also, remember to check your business unit's pigeon hole located in Information Management (formally Records Services - ground floor Admin building) for incoming and internal correspondence.

If you're unsure how to access or complete tasks, refer to ECM Quick Guide 11 - Understanding your Task List .

Outgoing mail

All outgoing mail **must be delivered to Information Management by 3.00pm**, if you want it to be sent out that day.

Please place your mail in the outgoing mail trolley located in the Information Management back office, as IM staff will need to count, weigh and enter it into our online lodgement system before it can be sent.

Remember, if you are sending a bulk mail out, you will need to complete a Bulk Mail Out form to accompany your mail. Please also ensure you are familiar with the Bulk Mail Out Procedure.

More information - contacting Information Management

Any questions about the documents in your task list, what to do if you go on leave, or any other records queries should be directed to Records Requests.

Documents
_____

Records Management - Policy
Modified on 01/10/2021 by Bernie Pinto

Available file formats
_____

City of Cockburn Employees Recordkeeping Guidelines
Modified on 23/07/2020 by Emma Machura

Available file formats
_____

City of Cockburn Elected Members Recordkeeping Guidelines
Modified on 30/09/2021 by Adrianne Vasile

Available file formats
_____

Work Instruction - Archiving
Modified on 17/05/2017 by Emma Machura

Available file formats
_____

ECM Document Registration Request Form
Modified on 19/12/2013 by Sheree Devlin

Available file formats
_____

Bulk Mail Out Notification
Modified on 21/03/2022 by Carrie Russell

Available file formats
_____

Procedure - Bulk Mail Outs
Modified on 11/12/2020 by Carrie Russell

Available file formats
_____

ECM Security and Task Group Membership Report
Modified on 09/03/2022 by Carrie Russell

Available file formats
_____

User Guide - ECM CiAnywhere
Modified on 17/02/2022 by COCKBURN-cfinlay

Available file formats
_____

ECM Quick Guide 63 - Exercising Delegations in ECM
Modified on 17/05/2018 by Sheree Devlin

Available file formats
_____

ECM Quick Guide 61 - Registering Comment on Cockburn Responses in ECM
Modified on 31/10/2017 by Sheree Devlin

Available file formats
_____

ECM Quick Guide 60 - Registering Mail Merge Letters
Modified on 02/10/2017 by Sheree Devlin

Available file formats
_____

APPENDIX 8

Excerpt from ECM CiAnywhere Training Plan – Part One:

LEARNING PLAN

Course Title	ECM CiAnywhere Training – Part One
Scope	This course covers the following: • Overview of ECM • Customising the CiAnywhere home screen • Searching • Document registration
Course Length	2 hours
Facilitator	ECM Analyst
Location	Training Room
Resources	Access to ECM CiAnywhere Test environment
Preparation Prior to Course	• Activate all attendees accounts in CiAnywhere Test • Send email with URL to CiAnywhere Test environment – ask users to confirm they can login and access the Document Management workplace • Send email with instructions for adding service account permissions for Test to H drive folders (Doc Set ID: 9536177) • Trainer to ensure their ECM Clipboard is empty and their saved searches and favourite indexes are removed • Reset the CiAnywhere home screen for the ECMTRAIN01 account including favourite indexes • Ensure the ECMTRAIN01 account has basic end user permissions (Security – ALLSTAFF) • Create new folders for each attendee in S:/All Staff and add 4x Team Meeting Minutes documents and Splash magazine PDF (copies are located in the ECM Analyst working folder) • Print searching examples handouts for all attendees (a copy is located in the ECM Analyst working folder) • Make note of who the ECM Key User Group members are for each attendee
Preparation day of course	• Prepare change of address email to be sent to all attendees as they arrive (a copy is located in ECM Analyst working folder) • Prepare barking dog complaint email to be sent to all attendees as they arrive (a copy is located in the ECM Analyst working folder)

APPENDIX 8

Excerpt from ECM CiAnywhere Training Plan – Part Two:

LEARNING PLAN

Course Title	ECM CiAnywhere Training – Part Two
Scope	This course covers the following: • Creating and using saved searches • Tasking documents and reviewing task lists • Editing documents • ECM Templates • Bulk registration of documents • Relating documents • Sending links • Generating document URLs
Course Length	2 hours
Facilitator	ECM Analyst
Location	Training Room
Resources	Access to ECM CiAnywhere Test environment
Preparation Prior to Course	• Ensure ECM Task Lists of all attendees are clear • Send action required task with note to all attendees using Doc Set ID: 4521606. The note should instruct the attendees to add the document to their ECM Clipboard • Ensure the attendees' individual folders are still available in the S:/All Staff folder and 3x Team Meeting Minutes are available. Copies are located in the S:/ECM Analyst Working documents folder should they not be.

APPENDIX 8

Excerpt from ECM CiAnywhere Refresher Training Plan:

LEARNING PLAN

Course Title	ECM CiAnywhere Training – End User
Scope	This course is designed to train staff with existing prior knowledge of ECM Legacy, how to use ECM CiAnywhere
Course Length	2 hours
Facilitator	ECM Analyst
Location	Training Room
Resources	Access to CiAnywhere Test environment
Preparation Prior to Course	• Ensure all attendees are active in Test environment • Reset CiAnywhere home screen, favourite indexes, ECM Clipboard and index order for training account in Production – ECMTRAIN01 • Ensure ECMTRAIN01 account has basic end user permissions • Create new folders for each attendee in S:/All Staff and add documents (1x Team Meeting Minutes and 2x Team Meeting Minutes Bulk Registration) • Prepare (mosquito complaint) email to be sent for training • Be familiar with who the ECM Key Users are for each attendee

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Excerpt from ECM CiAnywhere User Guide:

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Excerpt from ECM CiAnywhere User Guide:

Excerpt from Annual Report:

Annual Report 2020–2021

Recordkeeping Compliance Report

Evaluation of Recordkeeping Systems

Work was undertaken with the organisation's Information Services Business Unit to review its recordkeeping practices through the Knowledge Management project. This resulted in several changes to processes to improve recordkeeping and reduce the amount of information being stored outside of the recordkeeping system.

The City's Records Management Policy was reviewed, updated, and adopted by Council in December 2020. The policy is reviewed every two years with the next review due in December 2022.

Recordkeeping Training Program

All new staff are required to undertake an online Records Awareness Training (RAT) course. The interactive course outlines the recordkeeping roles and responsibilities of all employees at the City of Cockburn. Participants must undertake and pass a short assessment at the completion of the course. Employees must then repeat the course every two years.

An online course outlining the specific recordkeeping responsibilities of Managers and Supervisors has also been implemented.

Regular training for new and existing staff is also held on the use of the organisation's electronic document and records management system, called ECM.

Evaluation of the Recordkeeping Training Program

All participants who attend ECM training are asked to complete a training feedback form. The feedback forms are regularly reviewed and suggestions for improvements are incorporated into the training program.

The ECM training program was reviewed and amended in September 2020. All training is now undertaken in the new ECM CiAnywhere interface.

Recordkeeping Induction Program

New staff must complete the RAT and where relevant ECM training as part of their induction.

New Managers/Supervisors are also required to complete the online Recordkeeping Training for Managers and Supervisors.

Cockburn Rotary Spring Fair - October 2020

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APPENDIX 10

Excerpt of Clauses in Contracts for Outsourced Functions:

X   RECORDS MANAGEMENT RESPONSIBILITIES

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

Refer to the Principal's Records Management Policy for definition of a record.

X.X Record Keeping

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

X.X Access to Contractor's Premises and Records

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

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

APPENDIX 10

Excerpt of Clauses in Contracts for Outsourced Functions:

The Contractor shall provide all assistance reasonably requested by the Principal in respect of any inquiry into or concerning this Contract, For these purposes an inquiry includes any administrative or statutory review, audit or inquiry (whether within or external to the Principal), any request for information directed to the Principal, any request under the Freedom of Information Act directed to the Principal and any inquiry conducted by Parliament, any Parliamentary committee or a Government integrity body.

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

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

(i)   The disclosure is required for the Principal and/or the Contractor to respond to a request from an internal or external audit or a Government integrity body (e.g. WA Ombudsman, Crimes and Corruption Commission.);

(ii)   Compelled to do so by law;

(iii)   The record is already legally in the public domain;

(iv)   The Principal and the Contractor have consented to the disclosure; subject to any conditions a party may impose as it thinks fit; or

(v)   The disclosure to a third party is required for the purpose of complying with and carrying out the requirements and obligations of this Contract.

X.X   Access to Records - Public

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

APPENDIX 10

Excerpt of Clauses in Contracts for Outsourced Functions:

X.X Access to Records - Contractor

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

X.X Records – Return/Provision of

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

X.X Survival

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