Recordkeeping Plan

Table of Contents

Introduction

The State Records Act 2000 is an Act which provides for the keeping of State records and for related purposes.

Section 61 of the State Records Act 2000 is to ensure that government organisation recordkeeping plans submitted to the State Records Commission for approval meet the requirements of the Act.

Section 57 of the Act requires the establishment of a body called 'The State Records Commission', consisting of the Auditor General, Information Commissioner, Parliamentary Commissioner for Administrative Investigations and an experienced person in recordkeeping who is not a public service officer, appointed by the Governor.

The Recordkeeping Plan must set out:

- Those records that will be State archives;
- Those State archives that will be restricted access archives and the ages at which they will cease to be restricted access archives;
- The retention period for records that are not State archives;
- The systems to ensure the security of the records and compliance with the recordkeeping plan.

The City's Recordkeeping Plan will also set out:

- The manner in which records will be created;
- For a record to be reproduced in another form;
- The destruction of a record, including duplicate copies.

All elected members, staff and contractors are responsible for accurate recordkeeping and must adhere to the Recordkeeping Plan, which is located on the City's Portal or by contacting the Records Services Coordinator on ext. 4586.

PRINCIPLE 1 – Proper and Adequate Records

Historical Information

The City has its origins in the Wanneroo Road Board, created in 1902. Seven members who represented 250 people, the total population of the district at the time, founded the Board. The Road Board became the Shire of Wanneroo in July 1961, and later became the City of Wanneroo in October 1985. The City of Wanneroo was divided into the City of Joondalup and the Shire of Wanneroo in July 1998. The City owes much of its development to Australians of diverse cultural and linguistic backgrounds, from the flourishing market garden industry of migrant communities in the early part of the century, to the new migrants of today.

The North West Corridor of Perth in which the City is situated has been one of the fastest growing regions in Australia for the past two decades. The North West Corridor has been a focal point for growth with its extensive availability of good quality residential land in the coastal belt, combined with its proximity to the Perth CBD. Today, the City of Joondalup is one of the most popular and fastest growing regions in Australia, with a population of more than 150,000 and growing at a rate of around 3.5% annually. The City of Joondalup has two main residential areas still to be developed being north Iluka and Burns Beach. The City Centre is intended to be the second largest centre in the Perth Region after Perth CBD, providing a wide range of business, shopping, civic, entertainment, education, heath and recreation services.

The City's current Strategic Plan 2003 to 2008 will place particular emphasis on environmental sustainability and the need to protect and maintain the City's wealth and natural assets. The City will respond to the community's expectation of being innovative and open, as well as having a safe environment. The City embraces its people and community and is a place of opportunity.

Vision Statement

The vision of the City is *a sustainable City and community that are recognized as innovative, unique and diverse.*

Mission Statement

The mission of the City is to *plan, develop and enhance a range of community lifestyles to meet community expectations.*

Values

The values are the underlying beliefs held by the City which will support the achievement of our Mission and Vision. Theses values are:

Vibrancy – we will work with stakeholders to create a vibrant City Centre and community; we will be dynamic and flexible.

Innovation – we will provide innovative programs and services; we will have a strong team spirit to generate positive ideas; we will develop a culture of innovation and excellence.

Responsiveness – we will respond to changing community needs; we will promote a sense of community spirit and ownership.

Respect – we will acknowledge community and individual opinions; we will respect community and individual contributions.

Trust – we will develop an environment of openness and transparency; we will make information accessible.

Safety – we will work towards the development of a safe and secure environment; we will develop partnerships.

Main Business Activity

The City is a body corporate, constituted under Section 2.5 of the *Local Government Act 1995*. Its general function is to provide for the 'good government of persons in its district'.

Functions and Activities

The City comprises of a Mayor and fourteen elected members representing seven wards. The wards are North Coastal, Marina, Whitfords, Pinnaroo, South Coastal, South and Lakeside. Two elected members represent each ward. As at 5 December 2003 the Council was suspended and five commissioners will hold office until the release of a Panel of Inquiry report.

The City is managed by the Chief Executive Officer and supported by an Executive Management Team and Middle Management Team. The Chief Executive Officer's role is to carry the ultimate responsibility for the efficient and effective utilisation of the organisation's resources in the achievement of Council's objectives. The Directors, who are highly qualified professionals managing more than 500 employees throughout the City, assist the Chief Executive Officer in that role.

Functions and Activities cont'd….

The directorates are Corporate Services and Resource Management (Financial Services; Information Management; Assets and Commissioning), Infrastructure and Operations (Infrastructure Management and Ranger Services; Operations Services) and Planning and Community Development (Approvals Planning and Environmental Services; Community Development Services; Library and Information Services). The Office of the CEO directorate is responsible for Audit and Executive Services; Strategic and Sustainable Development; Marketing Communications and Council Support; Human Resources.

A description of the function of each directorate is included in the City's annual publication titled 'Community Directory' or at:

http://living.joondalup.wa.gov.au/BUmarketing/directory/living_community_directory.asp

The City's functions and activities can be broadly described as per the State Records Authority of NSW 2001 Keyword for Councils (thesaurus of local government terms) as:

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 City'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 City's corporate mission and determine methods of operation.

Council Properties - the function of acquiring, constructing, designing, developing, disposing and maintaining facilities and premises owned, leased or otherwise occupied by the City.

Customer Service - the function of planning, monitoring and evaluating services provided to customers by the City.

Development and Building Controls - the function of regulating and approving building and development applications for specific properties, buildings, fences, signs, antennae, etc.

Drainage - the function of designing and constructing, maintaining and managing drainage, stormwater and flood mitigation works.

Economic Development - the function of improving the local economy through encouragement of industry, employment, tourism, regional development and trade.

Functions and Activities cont'd….

Emergency Services - the function of preventing loss and minimising threats to life, property and the natural environment, from fire and other emergency situations.

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 City's financial resources.

Governance - the function of managing the election of Council representatives, the boundaries of the City and the terms and conditions for Elected Members.

Government Relations - the function of managing the relationship between the City and other governments, particularly on issues which are not related to normal Council business such as Land Use and Planning or Environment Management.

Grants and Subsidies - the function of managing financial payments to the City from State and Federal Governments and other agencies for specific purposes.

Information Management - the function of managing the City'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 City.

Land Use and Planning - the function of establishing a medium to long term policy framework for the management of the natural and built environments.

Laws and Enforcement - the function of regulating, notifying, prosecuting, and applying penalties in relation to the City's regulatory role.

Legal Services - the function of providing legal services to the City.

Parks and Reserves - the function of acquiring, managing, designing and constructing parks and reserves, either owned or controlled and managed by the City.

Personnel - the function of managing the conditions of employment and administration of personnel at the City including consultants and volunteers.

Plant, Equipment and Stores - the function of managing the purchase, hire or leasing of all plant and vehicles, and other equipment. Includes the management of the City's stores.

Functions and Activities cont'd….

Public Health - the function of managing, monitoring and regulating activities to protect and improve public health under the terms of the Health Act 1911, health codes, standards and regulations.

Rates and Valuations - the function of managing, regulating, setting and collecting income through the valuation of rateable land and other charges.

Recreation and Cultural Services - the function of the City 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 City properties and equipment and risks to personnel.

Roads - the provision of road construction and maintenance of roads and associated street services to property owners within the City area.

Traffic and 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 City to ratepayers for the removal of solid waste, destruction and waste reduction.

Outsourced Functions

The functions outsourced by the City include:

Aged and Disability Services
- Adult Day Centre
- Community care packages
- Podiatry
- Children and youth respite
- Home support services
- Meals services

Children and Family Services
- Family day care

Outsourced Functions cont'd….

These services were transferred to a non-government agency, Community Vision during 2001.

The agreement between the City and Community Vision dated 1 January 2001 includes:

- Ownership of records
- Control of records
- Disposal of records
- Access to records
- Custody of records

Major Stakeholders

The City's major stakeholders include:

- Armstrong Jones Pty Ltd
- Australian Institute of University Studies / Australian Institute of Golf Management (Excel Education)
- Country Lodging Australia
- Department of Industry and Technology
- Department of Premier and Cabinet
- Edith Cowan University
- Joondalup Business Association Inc
- Joondalup Country Club
- Joondalup Education Department
- Landcorp
- Mayne Health - Joondalup Health Campus
- North Metro Community On-line Association Inc
- North Metropolitan Health Service
- Police Academy Joondalup
- Stellar Call Centres Pty Ltd
- WA Sports Centre Trust
- West Coast College of TAFE

Stakeholders as described in the City's Strategic Plan 2003 – 2008 are:

Individuals and organisations that have an impact on the strategic direction and decision making processes of the City of Joondalup.

Enabling Legislation

Local Government Act 1995 – *an Act to provide for a system of local government in Western Australia.*

Legislation Administered

Local Laws are enforceable rules made by the City to apply within its district, which help to establish and maintain the quality of life in keeping with community expectations.

Local Laws support higher legislation (Acts of Parliament) to control and manage the more basic matters that affect the community, which can be helpful to resolve disputes and are also used to achieve good governance.

The City has Local Laws relating to Animals, Bushfire Prevention and Control, Extractive Industries, Health, Local Government and Public Property, Parking, Private Property, Signs, Standing Orders, Trading in Public Places and those to amend or appeal local laws. Each Local Law has a 'fact sheet' that explains the requirements of the local law.

These are available for inspection at all City of Joondalup public libraries and Customer Services Centres (Whitfords City Shopping Centre and Council Administration Building) or alternatively are available on the City's Internet site at:

http://www.joondalup.wa.gov.au/BUcouncilsupport/locallaws/council_laws.asp

Other Significant Legislation

- Anti-Corruption Commission Act 1988
- Builders Registration Act 1939 / Building Code of Australia 1996 / Building Regulations 1989
- Bush Fires Act 1954 / Regulations 1954
- Control of Vehicles (Off Road Areas) Act 1978
- Dog Act 1976 / Dog Regulations 1976 / Dog (Restricted Breeds) Regulations 2002
- Electoral Act 1907
- Environmental Protection Act 1986 / Regulations 1987
- Evidence Act 1906 / Acts Amendment (Evidence) Act 2000
- Freedom of Information Act 1992 / Regulations 1993
- Health Act 1911
- Metropolitan Region Town Planning Scheme Act 1959
- Rates and Charges (Rebates and Deferments) Act 1992
- Residential Design Codes of WA 2002
- Town Planning and Development Act 1928

Standards and Codes of Practice

The City's records and document management system was implemented using the Australia Standard AS4390.

The City's current recordkeeping practices are based upon the Australia Standard AS4390 (and it is envisaged to update these practices to the International Standard ISO15489), the Policies and Standards Manual – Records Management 1992 from the State Archives of Western Australia and the General Disposal Authority for Local Government Records from the State Records Office of Western Australia.

Financial records are retained as per the Local Government Accounting Directions 1994.

PRINCIPLE 2 – Policies and Procedures

Policies

The Council endorsed the attached policy titled Recordkeeping Responsibilities on *insert date.*

SECTION 2.3 – Office of the Chief Executive Officer

POLICY # - RECORDKEEPING RESPONSIBILITIES

OBJECTIVE

This policy sets the guidelines for proper recordkeeping practices by the City of Joondalup.

STATEMENT

All elected members, staff and contractors are responsible for maintaining complete, accurate and reliable evidence of all business transactions and ensuring all corporate documents are retained within the City's official recordkeeping system (RMS) at the point of creation regardless of the format, being in accordance with:

- State Records Act 2000
- Evidence Act 1906
- Acts Amendment (Evidence) Act 2000
- Freedom of Information Act 1992
- Local Government Act 1995
- Local Government Accounting Directions 1994

The definition of a corporate document/record is:

If any document/record meets one or more of the following criteria, they are deemed a corporate record.

1. *Does it convey information essential or relevant in making a decision?*

2. *Does it convey information upon which others will be, or are likely to make decisions affecting the City's operations, or rights and obligations under legislation?*

3. *Does it commit the City to certain courses of action or the commitment of resources or provision of services?*

4. *Does it convey information about matters of public safety or public interest, or involve information upon which contractual undertakings are entered into?*

5. *Is the information likely to be needed for future use, or is it of historical value or interest?*

All must abide by the recordkeeping requirements of the City as defined in the publication titled Recordkeeping Plan, which is a requirement of the State Records Act 2000.

Access

Access to corporate records by staff and contractors will be in accordance with designated access and security classifications as determined by the Records Services Coordinator.

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

Access to the City's records by elected members and committee members will be via the Chief Executive Officer in accordance with section 5.92 of the Local Government Act 1995.

Destruction

The Records Services Coordinator will dispose of records kept by the City in accordance with the 1999 General Disposal Authority for Local Government Records (produced by the State Records Office of Western Australia), following authorisation from the Chief Executive Officer.

Ephemeral Records

Ephemeral records have no continuing value to the City and are generally only needed for a few hours or a few days and they may not need to be placed within the City's official recordkeeping system. Section 1.11 of the General Disposal Authority for Local Government Records 1999 describes ephemeral records as:

- Duplicate (or exact) copies of records, documents, circulars, forms, etc.

- Information material including price lists, catalogues, advertising material, brochures etc, produced by other organisations.

- Reference sets of directories, addresses and contact lists, including internal directories and lists produced by the local government, other agencies and organisations or suppliers.

- Unsolicited letters or promotional material which offer goods or services to the local government.

- Messages in the form of voice mail, e-mail, telephone messages, post-it or sticky notes when the message does not relate to the business functions of the local government.

  Note: Messages which DO relate to the business functions of the local government must be transcribed and placed on the appropriate subject file. Once transcribed the original message may be destroyed.

- Rough drafts of reports, or correspondence, routine or rough calculations not circulated to other staff in the local government, and of which a final draft has been produced and placed on the appropriate subject file.

  Note: Versions of drafts which contain significant changes to context must be placed in the appropriate subject file e.g. internal policy.

- Transitory messages giving minor instructions and of a routine or instruction nature that are used to further some activity in either a paper-based or electronic format e.g. correcting typing errors; requesting file creation or retrieval; filing a letter; formatting documents; duplicating.

- Letters or cards of appreciation, sympathy or greetings of no enduring value.

- Working papers, background notes and reference materials used to prepare or complete other documents. Those documents become the record of the local government and are placed on the appropriate subject file.

  Note: Working papers and background notes relating to the development of internal policy must be placed on the appropriate subject file.

In accordance with this schedule staff, contractors or Elected Members may dispose of such ephemeral records once reference ceases.

Training and Education

Training in recordkeeping practices and the use of the City's document and records management system (RMS) is available to all newcomers upon commencement and refresher courses are available upon request to the Records Services Coordinator.

Elected members will be made aware of their recordkeeping responsibilities as part of the Elected Members Induction Program.

Procedures

Five publications describe procedures that are required to be adhered to by elected members, staff and contractors of the City being:

- Corporate Procedures Manual
- Recordkeeping Responsibilities and the RMS User Guide
- Recordkeeping Responsibilities for Elected Members
- RMS Administrators Guide
- Records Services Procedures Manual

Corporate Procedures Manual - the section titled Records Management in this manual is referred to as *attachment 1* and describes the following issues:

- Incoming Mail
- Outgoing Mail
- Public Records
- Electronic Records
- Historical Records
- Freedom of Information
- Subpoenas
- Internal Mail Delivery
- Information Requests for Active and Inactive Files
- Recordkeeping Responsibilities

The City's Corporate Procedures Manual was endorsed by the Executive during November 1999 and was last reviewed during June 2002.

Recordkeeping Responsibilities and RMS User Guide describes recordkeeping responsibilities and all user features in relation to the City's electronic document and records management system (RMS) and the table of contents and introduction to the guide is referred to as *attachment 2*.

(Draft) Recordkeeping Responsibilities for Elected Members Guide describes the recordkeeping responsibilities for elected members and is referred to as *attachment 3*.

RMS Administrators Guide describes the system administration features and all user features in relation to the City's electronic document and records management system (RMS) and the table of contents is attached and is referred to as *attachment 4*.

Records Services Procedures Manual describes all duties and responsibilities of the Records Services Section and the introduction to this manual is attached and is referred to as *attachment 5*.

The manuals/guides referred to as attachments 2 to 5 currently do not have endorsement of the Executive Management Team.

PRINCIPLE 3 – Language Control

Thesaurus

The City uses the 1996 Community Link Thesaurus of Local Government Terms, which is published by Records Systems Australia Pty Ltd (NSW), who are a consultancy group specialising in records management.

The specifications of the Community Link Thesaurus are:

- A format that conforms to the international standard for thesaurus construction ISO 2788 Guidelines for the Establishment and Development of Monolingual Thesauri – 1896.

- Contains a user-friendly introduction on how to use the Thesaurus.

- Contains a Classification Manual, outlining the arrangement of keywords in a hierarchical sequence to assist to maintain the Thesaurus.

- Capable of continuous expansion and can be updated by simply adding terms to the subject hierarchy.

- Community Link can be used to name both paper based and electronic records.

The City's thesaurus is maintained as an online tool, with the records management staff creating new file titles for property based files and seeking approval from senior records management staff for new business activity based titles.

The thesaurus is adjusted to reflect changes to the functions and activities of the City (when required) by senior records management staff.

The file titles are categorised into code sets called LAND, PROPERTY and SUBJECT.

The LAND code set relates to locations such as beaches, subdivisions, town planning scheme amendments, reserves and roads.

The PROPERTY code set relates to residential and commercial properties, including those owned by the City.

The SUBJECT code set relates the business activities of the City, including functions such as financial, personnel and organisational matters.

The codes sets also include reference to the file titles that were created from January 1998 to June 1998 for the former City of Wanneroo.

Thesaurus cont'd….

Keywords referred to as keyword 1 and 2 are the broad subject headings and are controlled and maintained by senior records management staff.

Keywords referred to as keyword 3 to 5 are descriptors, which identify specific subjects and are controlled by senior records management staff and maintained by records management staff.

Thesaurus cont'd….

PRINCIPLE 4 – Preservation

Disaster Recovery Plan

Currently the City is developing an overall Business Continuity Plan, which is an action plan for recovery of business in the event of a disaster/emergency. This plan is to be reviewed on an annual basis by the responsible officer of the area defined.

A component of this is to include organisation wide details of offsite storage, hardware/software requirements, network requirements, furniture requirements etc.

This will ensure the City's records are appropriately protected and preserved as long as required for legal, legislative, financial, administrative and historical purposes and will ensure an efficient and effective resumption of the recordkeeping system in the event of a disaster.

The draft records management component is referred to as *attachment* 6.

Website Management

The City's website is maintained by the Information Management Section with a weekly snap shot being retained. The snap shots are included in the three backup cycles, being daily, weekly and monthly, as per the City's Backup Policy Management.

Migration

During 2001 the City embarked on a Joondalup Migration Project, with the main objectives being:

- To upgrade the electronic and document management system from OASIS to the latest version of Vault Manager, for improved reliability, performance and Year 2000 compliance.

- To divide the single electronic and document management system into two systems, one for the City and the other for then Shire of Wanneroo.

- To implement a revised records management process together with a web-based interface to better suit the work being performed by the City and to improve overall acceptance of the system.

Migration cont'd….

The areas of risk were identified as:

- The new versions of the client, middleware and database software work as intended for a default installation in the Joondalup / Wanneroo environment.

- The new processes can be fully implemented by configuring the client, middleware and database software accordingly.

- The new web interface can fully interact with the client, middleware and database software as intended.

- The interaction between the template storage utilities and the new system.

- The messaging system can fully interact with the new system.

- The new system can coexist with existing applications that share the infrastructure for Joondalup / Wanneroo.

The project also included a testing process with participants from Records Services and Information Management. Any future upgrade of the City's electronic and document management system will follow the same methodology.

PRINCIPLE 5 – Retention and Disposal

The City uses the 1999 General Disposal Authority for Local Governments Records (RD99004) that is published by the State Records Office of Western Australia.

The specifications of the General Disposal Authority are:

- Consistency throughout Local Government in disposal activities and decisions.

- Identification of records of short term, permanent within Local Government or archival value.

- Refers to all records regardless of format including printed, electronic, graphic, audio, and images.

This Schedule aims to:

- Select, preserve and make available all records that have a continuing value, being legal, legislative, financial, administrative and historical.

- Destroy all records whose value has ceased.

- Transfer to the State Archives all records that have a significant historical value to the people of Western Australia.

The penalties for the unauthorised destruction of public records are:

Section 78 of the State Records Act 2000 provides that:

"(3) A government organization employee who destroys a government record commits an offence unless the destruction is authorized by the record keeping plan of the organization."

Penalty: $10,000.

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

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

Penalty: $5,000 or 6 months Imprisonment

Ephemeral Records

Ephemeral records have no continuing value to the City and are generally only needed for a few hours or a few days and they may not need to be placed within the City's official recordkeeping system. Section 1.11 of the General Disposal Authority for Local Government Records 1999 describes ephemeral records and an extract of which is below. In accordance with this schedule the City's employees, contractors or Elected Members may dispose of such ephemeral records once reference ceases.

GDA Ref.	Description of Records
1.11.1	Duplicate (or exact) copies of records, documents, circulars, forms, etc.
1.11.2	Information material including price lists, catalogues, advertising material, brochures etc, produced by other organisations
1.11.3	Reference sets of directories, addresses and contact lists, including internal directories and lists produced by the local government, other agencies and organisations or suppliers
1.11.4	Unsolicited letters or promotional material which offer goods or services to the local government
1.11.5	Messages in the form of voice mail, e-mail, telephone messages, post-it or sticky notes when the message does not relate to the business functions of the local government **Note:** Messages which do relate to the business functions of the local government must be transcribed and placed on the appropriate subject file. Once transcribed the original message may be destroyed
1.11.6	Rough drafts of reports, or correspondence, routine or rough calculations not circulated to other staff in the local government, and of which a final draft has been produced and placed on the appropriate subject file. **Note:** Versions of drafts which contain significant changes to context must be placed in the appropriate subject file eg. internal policy
1.11.7	Transitory messages giving minor instructions and of a routine or instruction nature that are used to further some activity in either a paper-based or electronic format eg. correcting typing errors; requesting file creation or retrieval; filing a letter; formatting documents; duplicating
1.11.8	Letters or cards of appreciation, sympathy or greetings of no enduring value
1.11.9	Working papers, background notes and reference materials used to prepare or complete other documents. Those documents become the record of the local government and are placed on the appropriate subject file. **Note:** Working papers and background notes relating to the development of internal policy must be placed on the appropriate subject file.

(State Records Office of WA, 1999)

Retention codes are added to files upon creation and is included as part of the City's online thesaurus.

The City currently has two destruction programs, one being for records created from 1998 and other for records prior to 1998.

Records created from 1998

The Records Services Coordinator prepares a destruction list twice a year for the approval by the Chief Executive Officer. These records are retained in either their original format or as an electronic only version. Paper records are placed in destructions bins and taken offsite for destruction by an approved contractor.

A reporting feature will notify which electronic records are able to be destroyed, with both the image and metadata being deleted.

Records created prior to 1998

The City's archivist appraises paper records that belong to the former City of Wanneroo and prepares a destruction list for approval by both the City and the City of Wanneroo and retains details on records that are kept as joint custody by both Cities.

Existing Ad Hoc Disposal Schedules

- AD2001074 – Computer printouts of security records for access by staff to the administration building from 1994 to 1998.

- RD2001078 – Retention of electronic records and the destruction of hardcopy originals from 2001.

PRINCIPLE 6 – Compliance

Staff Training / Induction

As part of the City's Induction Program a Corporate Overview Session is conducted each month for all new employees.

The Records Services Overview conducted by the Records Services Coordinator includes:

- An introduction to staff responsibilities within the Records Services Section
- Recordkeeping responsibilities of officers, including an overview of the State Records Act 2000 and the City's Recordkeeping Plan (in particular the definition of a corporate record)
- Usage of the City's electronic document and records management system (RMS)
- Processing of inwards correspondence, including classification of records
- Freedom of Information Act 1992

Employees are given a copy of the Recordkeeping Responsibilities and RMS User Guide and two handbooks titled:

- Records Services Handbook – contents include:
  - Welcome to Records Services
  - Your Recordkeeping Responsibilities
  - How Do I Receive Inwards Mail
  - How to Store a Corporate Email
  - How to Send, Receive and Retain Facsimiles
  - Freedom of Information

- RMS User Guide Handbook – contents include:
  - What is RMS
  - Definition of a Corporate Record
  - Finding a File Reference
  - Finding a Document
  - Storing a Document from Word, Proclaim, Outlook and RMS
  - Modifying / Amending documents
  - Your Recordkeeping Responsibilities
  - State Records Act 2000
  - Other Features
  - Records Help Desk and Assistance

Within three months of appointment those employees identified as receiving or creating corporate documents are provided with a hands on training session of the usage of the City's electronic document and records management system (RMS) by senior records management staff.

Staff Training / Induction cont'd….

A helpdesk facility provides continuous support and offers advice on the usage of the City's electronic document and records management system as well as officers' recordkeeping responsibilities, with all records management staff providing informal training sessions.

New employees are required to signoff on their attendance at the Corporate Overview Session and RMS training session as part of their three month probationary review.

Notification of new employees is by Human Resources on a monthly basis with a backup system of Information Management advising the Records Services Coordinator of new user requests for computer and email connections.

Evaluation

- Internal Customer Survey

This is conducted on a yearly basis and provides the City with information on the level of service that is provided to internal customers.

Measurements include:

- overall satisfaction with service provided
- satisfaction with the quality of information provided
- level of willingness to assist
- timeliness
- responsiveness
- whether information provided assists with resolution

This information provided to Business Unit Managers allows them to monitor the level of service their unit is providing and to make improvements as required. The electronic document and records management system and recordkeeping processes are included in this evaluation.

- External Customer Survey

This is conducted on an ongoing basis throughout the year and allows the City to monitor the level of service provided to external customers. Questions posed by Mystery Shoppers are of a general nature and can be done either in person, by telephone or in writing.

Measurements include:

- how the customer is greeted
- did the service meet the customers expectations
- how was the enquiry handled
- was the outcome satisfactory

Evaluation cont'd….

This information provided to Business Unit Managers allows them to acknowledge staff that are providing good customer service and provide training as required to staff who do not meet the required standard. Mystery Shopper results are used as generic performance measurement indicators.

The City has an RMS User Group that meets regularly throughout the year to determine enhancements to the document and records management system and/or recordkeeping processes. These improvements are then prioritised and costed for the next round of yearly improvements.

The management of the City's electronic document and records management system is the responsibility of the Records Services Coordinator. All ongoing developments and upgrades are made in conjunction with the City's system consultant. Liaison also occurs with the City's Information Management Section for system backups and links with other corporate systems.

Key Performance Indicators

The electronic document and records management system provides data for the City's Reward and Recognition program on the volume of inwards correspondence and the response times.

Web usage statistics are also recorded that show the level of usage of the document and records management system for:

- successful requests and the average successful requests per day i.e. document search page, retrieval of documents, file reference search page, retrieval of file references

- successful requests for pages i.e. document search page, file reference search page and the average successful requests per day

- distinct hosts served, being the number of computers that have accessed the RMS

Annual Report Excerpt

Once the City's recordkeeping plan has been approved by the State Records Commission, the Manager Marketing Communications and Council Support will be responsible to ensure that a section in the City's annual report each year addresses:

- Brief statement regarding any significant improvements or developments of the recordkeeping system and including an evaluation of the system not less than once every five years;

- Details of the City's recordkeeping training program and including an evaluation of the efficiency and effectiveness of the program is reviewed;

Annual Report Excerpt cont'd….

- The City's induction program addresses employee roles and responsbilities in regard to their compliance with the City's recordkeeping plan.

The evaluation of the recordkeeping system will report on the efficiency and effectiveness of the system and will be conducted by the Records Services Coordinator in consultation with a representative sample of staff.

The review will include the following areas:

- The extent to which the system meets each Recordkeeping Responsibilities Policy objective

- Level and extent of system usage across the organisation

- Processes that are working well

- Processes that are not working well or are not being utilised

- Problems and challenges experienced by staff

- Specific processes requiring improvement

- Staff ideas and suggestions for improvement

- Actions to be completed in the coming five year period.

A copy of the full report will be provided to the Executive Management Team and all staff and a summary of the report will be tabled at a Council meeting as soon as practicable after its completion.

Attachment 1

Corporate Procedures Manual

CORPORATE PROCEDURES MANUAL

INTRODUCTION

The Corporate Procedures Manual is intended to assist officers of the City of Joondalup to become familiar with the organisation and its functions.

The Manual has been divided into the following sections:

1	Administration
2	Records
3	Council
4	Human Resources
5	Finance
6	Town Planning & Building Control
7	Infrastructure Management Services & Operations Service
8	Environment & Waste Services

In order to amend a Corporate procedure, a report is to be prepared for the Executive's consideration on the effectiveness of the procedure, any variations which may have occurred in implementing the procedure, and reasons behind those variations and any recommendations for amendment.

Date of endorsement of Corporate Procedures Manual: **November 1999**
Date of Last Review: **June 2002**

INCOMING MAIL

All incoming mail, whether delivered by Australia Post, courier or private individual, shall be immediately passed to Records Services for indexing and registering.

All incoming mail will be opened by Records Services including mail marked "Private", "Confidential", "Personal" "Himself / Herself" "By Hand", "Mayor", "Elected Members", "Councillors'. A senior records management staff member will open mail marked in this fashion. Incoming mail identified as personal will be resealed and forwarded to the addressee.

All incoming facsimiles are received by Records Services via fax gateway software regardless of the facsimile number used.

Those deemed a corporate record will be processed as per normal practices for incoming correspondence and forwarded electronically via Microsoft Outlook. Those not deemed a corporate record will be forwarded to the relevant recipient in a timely manner. Any urgent facsimiles received after hours should be sent to the facsimile machine in Records Services, which will print the facsimile in a hardcopy format. Such facsimiles that are of a corporate nature should be forwarded to Records Services for indexing and registering.

All incoming emails of a corporate nature received by officers should be forwarded electronically to Records Services for indexing and registering via the drag and drop feature in Microsoft Outlook.

Those deemed a corporate record can be stored directly to the RMS by the recipient of the email, regardless if the email is received from outside of the City, sent internally or sent outside of the City. Incoming emails sent to Records Services record will be processed as per normal practices for incoming correspondence and forwarded electronically via Microsoft Outlook.

OUTGOING MAIL

Records Services co-ordinates the dispatch of all outgoing mail through Mailwest. All business units are issued with an outgoing mailbag with an account number on the attached tag. All outgoing mail is to be placed within these bags and delivered to Records Services no later than 4pm. Mailwest collects the outgoing mail from Records Services daily at 4pm. Personal mail can also be placed in the mailbags with postage stamp attached.

PUBLIC RECORDS

Records Services is responsible for ensuring the effective and efficient management of all public records within the City. The creation, management and destruction of public records is governed by:

- State Records Act 2000
- Freedom of Information Act 1992
- Evidence Act 1906
- Acts Amendment (Evidence) Act 2000
- Criminal Code 1913,

- Local Government Act 1995
- Australian Standard 4390 - 1996.

The State Records Act 2000 defines a 'record' as:

"any record of information however recorded and includes:

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

There are five (5) criteria for determining a corporate record. A record need only meet one of the criteria:

1) Does it convey information essential or relevant in making a decision?
2) Does it convey information upon which others will be, or are likely to make decisions affecting the City's operations, or rights and obligations under legislation?
3) Does it commit the City to certain courses of action or the commitment of resources or provision of services?
4) Does it convey information about matters of public safety or public interest, or involve information upon which contractual undertakings are entered into?
5) Is the information likely to be needed for future use, or is it of historical value or interest?

The City may be required to provide legally acceptable proof of what course of action was taken, and why the decision was made to take it.

ELECTRONIC RECORDS

The Records Management System (RMS) has been implemented to control electronic documents and records. Officers are required to store all documents and records generated electronically to the appropriate file reference, via the RMS Corporate templates, RMS generic store, Microsoft Outlook, Proclaim Property System (workflow events).

A signed hardcopy version of tenders, contracts, agreements (i.e. legal documents) and any non-electronic attachments are to be forwarded to Records Services. These documents will be scanned and stored to the RMS.

All corporate records created using corporate templates (acknowledgement, facsimile, filenote, letter, mayoral draft letter mayoral letter, memo, report) must be stored automatically to the RMS from Microsoft Word. From the Vault Menu choose to store the document as a Draft or Final Version.

Emails are able to be stored automatically to the RMS from Microsoft Outlook, under Public Folders-All Public Folders-RMS. Three (3) options are available:

- Action - Emails copied to this folder will be forwarded to Records Management staff to be treated as an Inwards document and allocated a file reference, letter number, Action Officer and returned electronically to the Action Officer. Emails copied here require an officer to respond to or action the item.

  It is essential that all emails requiring a response are copied to the Action folder to ensure that they are included in your business unit's Key Performance Indicators.

- File Copy - Emails copied here are stored to the RMS and attached to the nominated folder/s. Officers are required to enter the file reference number/s and determine the nature of the email (Incoming, Outgoing or Internal).

- RMS Help Desk – Emails copied to this folder will be forwarded to Records Management staff to determine if the item is to be actioned and to assign the file reference numbers/s. Officers storing here will be informed of the outcome and assistance provided for future storing of emails.

The RMS is accessed via the Intranet under Applications-Records Management System. Three (3) basic options are displayed:

- File Reference – locate an appropriate file reference number;
- Search Document – search for information or documents;
- Store Document – store a document created electronically (non-template).

Other operations are available, including a Check In/Out feature to modify documents and a number of reports, including key performance indicators for response times for inwards correspondence and volume of documents. Further information on the use of the RMS can be found on the screen help or user documentation that is available on the Internet, or obtained via a hard copy from the Records Help Desk.

For assistance with the RMS contact the Records Help Desk on ext. 4406 or Records Services Coordinator on ext. 4586. RMS training can be booked by contacting the Records Services Coordinator.

HISTORICAL RECORDS

Records relating to the former City of Wanneroo, covering the period of approximately 1900 to 1988 are housed in an offsite storage facility. Both the City of Joondalup and City of Wanneroo have access to these records. Permanent records of value to the State are to be retained by the State Reference Library. Items of possible historical significance or value shall be referred to the Manager Library Services for appraisal.

The Records Services Coordinator shall be responsible for determining whether records held or created by Directorates should be retained or destroyed, following compliance with the appropriate statutory requirements. Records may be disposed of only in accordance with the approved General Disposal Authority for Local Government, obtainable from Records Services.

It is an offence to destroy public records without the approval of the State Records Office. Records for which approval for destruction from the Records Services Coordinator has been obtained shall be shredded or pulped under the appropriate supervision.

FREEDOM OF INFORMATION

The Freedom of Information Act 1992 (the Act) imposes an obligation on the City to assist applicants exercise their right to access non-exempt information held by the City.

An Information Statement published on the City's website describes the functions and operations, the methods for public participation in decision-making and policy formulation and the categories of documents held by the City.

Processing applications is the responsibility of the Senior Records Officer who for the purpose of this function is also the City's Freedom of Information Coordinator. Enquiries that cannot be answered by staff should be referred to the FOI Coordinator, who is responsible for making available application forms and processing payments.

The FOI Coordinator is responsible for accurately identify all documents that fall within the scope of an application.

All applications shall be processed in accordance with provisions of the Act and the FOI Coordinator shall ensure that complete records are maintained.

The Records Services Coordinator shall receive and determine applications for internal review.

SUBPOENAS

All subpoenas addressed to the Chief Executive Officer or other officers requesting information held by the City, should be forwarded to the Records Services Coordinator for processing. The Records Services Coordinator will be responsible for coordinating the identification and gathering of the information with assistance of the relevant business unit manager and arrange delivery to the Court within the stated timeframe.

Copies of all subpoenas should be forwarded to Manager Audit and Executive Services for information.

INTERNAL MAIL DELIVERY

Records Services processes all incoming mail. Mail identified as corporate records are registered into the Records Management System (RMS).

An Indexing Officer will identify and record the appropriate file reference number, action, unique letter number, attachments and Action Officer.

Upon registration into the RMS the Action Officer will be notified of incoming correspondence via Microsoft Outlook.

The message will contain information about the document including identification number, action officer, title and file reference/title. The Officer can then select to view the correspondence via a hyperlink to the RMS.

Where the correspondence is noted as "Act" the Action Officer has seven (7) working days to register a response. Items not responded to, or where a response is not stored to the RMS within seven (7) working days will appear on the weekly Overdue Mail Report distributed to the Executive and Business Unit Managers.

Officers are responsible for ensuring that during periods of absence arrangements are made to either forward their incoming mail or ensure another Officer has access to their mailbox.

In some instances hardcopies will be forwarded to Action Officers. Where forms, colour brochures, photographs etc have been included in correspondence the hardcopy will be distributed to the Action Officer attached to the appropriate file. Current scanning hardware is limited to processing A4 and A3 size documents. Documents larger than A3 will be placed in pigeonholes for collection by business unit staff.

Other than those documents identified by Records Services for retention in their original format, all incoming correspondence shall be shredded or pulped under the appropriate supervision. Requests to retain the original copies can be made to the Records Help Desk on ext. 4406 or the Records Services Coordinator on ext. 4586.

Documents identified as non-corporate records (including invoices and published material) will be sorted and placed in pigeonholes for collection after 10.30 am.

INFORMATION REQUESTS

Officers requiring information held by Records Services can request the information by email, telephone or personally from the Records Help Desk. The email address for electronic requests is 'RecordsHelpDesk' or ext. 4406 for telephone requests. Officers are welcome to visit the Records Help Desk located on the second floor of the Administration Building.

Active Files

Active hardcopy files are housed by Records Services within the basement area of the Administration Building. These files contain records/documents from July 1998 to December 2001. From January 2002 all documents created electronically and stored to the RMS are not required to be stored on the hardcopy files, unless otherwise identified by Records Services.

These files are currently collected on the hour, therefore to avoid any delays please contact the Records Help Desk on ext. 4406 prior to visiting the Records Services Section.

Officers are able to borrow these files, bearing in mind the requirements of the Freedom of Information Act 1992 that prohibits the viewing or release of documents/records to third parties.

Inactive Files

Microfiche files from 1987 to 1997 are housed within Records Services. Other hardcopy files (1900 to 1997) are housed in an offsite facility. There is a 24-hour turn around time for access to those records located offsite.

RECORDKEEPING RESPONSIBILITIES

Every officer within the City is responsible for maintaining complete, accurate and reliable evidence of business transactions and ensuring all corporate documents are retained within the City's records management system (RMS).

Officers are able to store documents to the RMS via:

Corporate RMS templates
RMS generic store
Microsoft Outlook – emails
Proclaim Property System – workflow events

Original hardcopy documents are scanned and stored to the RMS by Records Services.

The State Records Act 2000 is an Act to provide for the keeping of State records and for related purposes for which all officers are required to adhere to.

Section 61(1) of the Act requires the State Records Commission to establish principles and standards for recordkeeping - Australian Standard AS15489 Records Management is the accepted standard for all aspects of recordkeeping in Australia.

A requirement of the Act is for the City to produce a Recordkeeping Plan which includes how records/documents are created, how they are retained and/or disposed of, risk management issues, recordkeeping policies, procedures and training.

Each and every officer is responsible for proper recordkeeping and must adhere to the Recordkeeping Plan, which is located on the City's Portal or by contacting the Records Services Coordinator on ext. 4586.

For more information Records Services have two handbooks titled:

Records Services Handbook

Contents include:
- Welcome to Records Services
- Your Recordkeeping Responsibilities
- How Do I Receive Inwards Mail
- How to Store a Corporate Email
- How to Send, Receive and Retain Facsimiles
- Freedom of Information
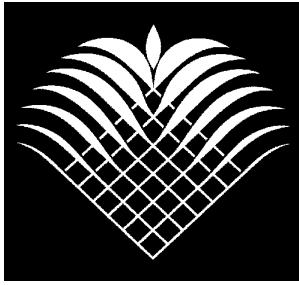
RMS User Guide Handbook

Contents include:
- What is RMS
- Definition of a Corporate Record
- Finding a File Reference
- Finding a Document
- Storing a Document from Word, Proclaim, Outlook and RMS
- Modifying/Amending documents
- Your Recordkeeping Responsibilities
- State Records Act 2000
- Other Features
- Records Help Desk and Assistance

Attachment 2

Recordkeeping Responsibilities

and RMS User Guide

Recordkeeping Responsibilities

and RMS User Guide

as at May 2002

City of Joondalup

TABLE OF CONTENTS

Prepared by: Updated by:

Trissa Dent – March 2001   Christine Robinson – May 2002
(City of Joondalup)   (City of Joondalup)

INTRODUCTION

Traditional Records Management

Records management is the discipline and organisational function of managing records to meet operational business needs, accountability requirements and community expectations. Records management plays many roles within an organisation and in the organisation's relationship with the world. Thus, records management is concerned with the following:

a) Managing the records continuum, from the design of a recordkeeping system to the end of the records' existence;

b) Providing a service to meet the needs, and the protection of interests, of the organisation and its clients;

c) Capturing complete, accurate, reliable and useable documentation of organisational activity to meet legal, evidentiary and accountability requirements;

d) Managing records as an asset and information resource, rather than as a liability;

e) Promoting efficiency and economy, both in the management of records and in organisational activity as while, through sound recordkeeping practices.

(AS 4390.01 – 1996 page 4)

Records management has grown into a very disciplined process over the years, particularly within government agencies. This has involved the creation of files according to strict file titling schemes and has required the use of records management staff to manage the movement of these files around the organisation. The primary purposes of this process being:

- Keeping records of the work that has been done to assist with future work. This is particularly true where the information flows across an ownership boundary. For instance, a letter being sent outside of the organisation would cross a boundary and would be captured in some sort of filing system. On the other hand, a small team working on a project may keep their 'working' documents outside of the official filing system;

- Providing an audit trail of the decisions that have been made. This can be used to ensure accountability and that all the right processes and approvals have been obtained and as such it is an essential element of a comprehensive risk management strategy.

This can have negative connotations but should be viewed as providing the capability to reverse decisions and learn from past mistakes. How it is applied, and hence the benefits gained, is largely a matter of management attitude;

- Complying with statutory requirements. As a government agency the City must retain certain records.

Records Management within the City of Joondalup

The 1996 Royal Commission found that the records management practises within the former City of Wanneroo varied between the business unit and many important records were not being effectively captured. A need was identified for a corporate strategy to develop a whole of business records management practice.

The City attempted to provide this whole of business approach by implementing an electronic records management system called OASIS. This was intended to provide the single repository for all documents, whether a working document or a record, and virtually eliminate the need for hardcopy file movements. Unfortunately at the time, the Evidence Act 1906 required that hardcopies to be kept which has resulted in the both the hardcopy and electronic version being maintained. During 2000 the Act Amendment (Evidence) Act 2000 was proclaimed and following approval from the State Records Office the City obtained permission to retain only electronic versions of corporate documents that are retained within the records management systems (RMS).

Prior to this amendment, this vision was not achieved in reality. A system audit was conducted into the reasons behind this and although there were many contributing factors some of the essential issues were:

- Ineffective change management strategy

- Overly complex implementation and processes

- Reliability / performance of the system

As a consequence, the entire system was redesigned to address these issues.

Creation of the former City of Wanneroo Records

As the former City of Wanneroo has now split into two, the City of Joondalup and the City of Wanneroo, it has been necessary to split and duplicate the historical records. This has been achieved by:

Closing off all electronic/hardcopy files with Oasis/RMS file references on 30 June 1998. These closed files are know known as the former City of Wanneroo Records and are duplicated for both the City of Joondalup and the City of Wanneroo for reference only.

- Records created between 1 July 1998 and 30 June 1999 for both cities coexisted but were clearly identified as belonging to one City or both.

- Since 1 July 1999 the records are effectively separated between the two cities.

The result is that each city has access to its own electronic and hardcopy records from July 1998 to November 1987 and has access to a common set of files pre November 1987 for reference purposes only.

While this migration continues it is expected that the cities will maintain identical systems but that these will start to diverge to meet specific requirements over the next few years.

Business Objectives

The following business objectives underpin the principles that are described in this guide and have been built into the application supporting the records management system process:

- The records of the City will be managed efficiently in a single system that is accessible to all users thereby meeting statutory obligations;

- Provide accountability and transparency to the business operations and decisions thereby managing business risk;

- Provide immediate access to all appropriate records to all staff in all locations when required thereby increasing staff productivity;

- Provide a cost efficient method of managing records.

Vault Manager

Vault Manager is the name given to the client application for what is really a three tier client server application consisting of a standard database (Oracle), the server middleware application (Optegra) and the client on the workstation. However, for convenience the server components are referred to as the Vault and the client as Vault Manager.

Vault Manager is the latest of a series of new versions that have their origins from the Oasis product that has been used by the City since 1998. This application follows the same principles but has been enhanced and now provides Year 2000 compliance and a more robust 32 bit architecture.

Vault Manager will only be provided to records management staff that require utilising the advanced features of the product. All other staff will access the system via the RMS Web Interface.

RMS Web Interface

The RMS provides a convenient 'light' version of the client that is accessible via the City's Intranet. It has been designed to be as simple to use as possible and follows the same look and feel as other corporate intranet applications used by the City.

RMS User Guide

This guide seeks to explain the features of the RMS and serves as a general user reference manual. The RMS User Guide is attached to the back of this guide.

Recordkeeping Responsibilities Policy

The attached policy titled Recordkeeping Responsibilities is currently in the process of being presented at the next Council meeting for endorsement.

SECTION 2.3 – Office of the Chief Executive Officer

<u>POLICY # - RECORDKEEPING RESPONSIBILITIES</u>

OBJECTIVE

This policy sets the guidelines for proper recordkeeping practices by the City of Joondalup.

STATEMENT

All elected members, staff and contractors are responsible for maintaining complete, accurate and reliable evidence of all business transactions and ensuring all corporate documents are retained within the City's official recordkeeping system (RMS) at the point of creation regardless of the format, being in accordance with:

- State Records Act 2000
- Evidence Act 1906
- Acts Amendment (Evidence) Act 2000
- Freedom of Information Act 1992
- Local Government Act 1995
- Local Government Accounting Directions 1994

The definition of a corporate document/record is:

If any document/record meets one or more of the following criteria, they are deemed a corporate record.

1. *Does it convey information essential or relevant in making a decision?*

2. *Does it convey information upon which others will be, or are likely to make decisions affecting the City's operations, or rights and obligations under legislation?*

3. *Does it commit the City to certain courses of action or the commitment of resources or provision of services?*

4. *Does it convey information about matters of public safety or public interest, or involve information upon which contractual undertakings are entered into?*

5. *Is the information likely to be needed for future use, or is it of historical value or interest?*

All must abide by the recordkeeping requirements of the City as defined in the publication titled Recordkeeping Plan, which is a requirement of the State Records Act 2000.

Access

Access to corporate records by staff and contractors will be in accordance with designated access and security classifications as determined by the Records Services Coordinator.

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

Access to the City's records by elected members and committee members will be via the Chief Executive Officer in accordance with section 5.92 of the Local Government Act 1995.

Destruction

The Records Services Coordinator will dispose of records kept by the City in accordance with the 1999 General Disposal Authority for Local Government Records (produced by the State Records Office of Western Australia), following authorisation from the Chief Executive Officer.

Ephemeral Records

Ephemeral records have no continuing value to the City and are generally only needed for a few hours or a few days and they may not need to be placed within the City's official recordkeeping system. Section 1.11 of the General Disposal Authority for Local Government Records 1999 describes ephemeral records as:

- Duplicate (or exact) copies of records, documents, circulars, forms, etc.

- Information material including price lists, catalogues, advertising material, brochures etc, produced by other organisations.

- Reference sets of directories, addresses and contact lists, including internal directories and lists produced by the local government, other agencies and organisations or suppliers.

- Unsolicited letters or promotional material which offer goods or services to the local government.

- Messages in the form of voice mail, e-mail, telephone messages, post-it or sticky notes when the message does not relate to the business functions of the local government.

  Note: Messages which DO relate to the business functions of the local government must be transcribed and placed on the appropriate subject file. Once transcribed the original message may be destroyed.

- Rough drafts of reports, or correspondence, routine or rough calculations not circulated to other staff in the local government, and of which a final draft has been produced and placed on the appropriate subject file.

  Note: Versions of drafts which contain significant changes to context must be placed in the appropriate subject file e.g. internal policy.

- Transitory messages giving minor instructions and of a routine or instruction nature that are used to further some activity in either a paper-based or electronic format e.g. correcting typing errors; requesting file creation or retrieval; filing a letter; formatting documents; duplicating.

- Letters or cards of appreciation, sympathy or greetings of no enduring value.

- Working papers, background notes and reference materials used to prepare or complete other documents. Those documents become the record of the local government and are placed on the appropriate subject file.

  Note: Working papers and background notes relating to the development of internal policy must be placed on the appropriate subject file.

In accordance with this schedule staff, contractors or Elected Members may dispose of such ephemeral records once reference ceases.

Training and Education

Training in recordkeeping practices and the use of the City's document and records management system (RMS) is available to all newcomers upon commencement and refresher courses are available upon request to the Records Services Coordinator.

Elected members will be made aware of their recordkeeping responsibilities as part of the Elected Members Induction Program.

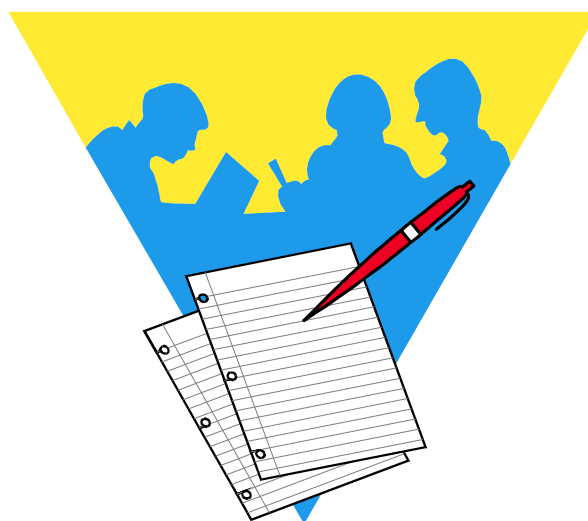# Attachment 3

(Draft) Recordkeeping Responsibilities for

Elected Members

(Draft) Recordkeeping Responsibilities

for

Elected Members

City of
Joondalup

TABLE OF CONTENTS

The attached State Records Commission guidelines titled *Managing Local Government Elected Members' Records* are to assist elected members in the course of their work for their local government.

INTRODUCTION

This guide is to assist elected members in their recordkeeping responsibilities.

All elected members, as well as every officer is responsible for accurate recordkeeping and must adhere to the City's Recordkeeping Plan.

It is acknowledged that elected members have a different work environment to that of City staff, but recordkeeping is still an essential role. Every effort will be made to ensure that elected members are made aware of their recordkeeping responsibilities, via the Elected Members Induction Program.

The Recordkeeping Plan is a requirement under the State Records Act 2000, which is an Act that provides for the keeping of State records and for related purposes and requires approval by the State Records Commission.

The Commission consists of the Auditor General, Information Commissioner, Parliamentary Commissioner for Administrative Investigations and an experienced person in recordkeeping who is not a public service officer, appointed by the Governor.

The Recordkeeping Plan must set out:

- Those records that will be State archives;
- Those State archives that will be restricted access archives and the ages at which they will cease to be restricted access archives;
- The retention period for records that are not State archives;
- The systems to ensure the security of the records and compliance with the recordkeeping plan.

The City's Recordkeeping Plan will also set out:

- The manner in which records will be created;
- For a record to be reproduced in another form;
- The destruction of a record, including duplicate copies.

RECORDKEEPING AT THE CITY

Traditional Records Management

The creation, management and destruction of public records is governed by:

- State Records Act 2000
- Freedom of Information Act 1992
- Evidence Act 1906
- Acts Amendment (Evidence) Act 2000
- Criminal Code 1913
- Local Government Act 1995
- Australian Standard ISO 15489.01 and 15489.02 - 2002

Records management is the discipline and organisational function of managing records to meet operational business needs, accountability requirements and community expectations. Records management plays many roles within an organisation and in the organisation's relationship with the world. Thus, records management is concerned with the following:

a) Managing the records continuum, from the design of a recordkeeping system to the end of the records' existence;

b) Providing a service to meet the needs, and the protection of interests, of the organisation and its clients;

c) Capturing complete, accurate, reliable and useable documentation of organisational activity to meet legal, evidentiary and accountability requirements;

d) Managing records as an asset and information resource, rather than as a liability;

e) Promoting efficiency and economy, both in the management of records and in organisational activity as while, through sound recordkeeping practices.

(AS 4390.01 – 1996 page 4)

Records management has grown into a very disciplined process over the years, particularly within government agencies. This has involved the creation of files according to strict file titling schemes and has required the use of records management staff to manage the movement of records and documents around the organisation. The primary purposes of this process being:

- Keeping records of the work that has been done to assist with future work. This is particularly true where the information flows across an ownership boundary. For instance, a letter being sent outside of the organisation would cross a boundary and would be captured in some sort of filing system. On the other hand, a small team working on a project may keep their 'working' documents outside of the official filing system;

- Providing an audit trail of the decisions that have been made. This can be used to ensure accountability and that all the right processes and approvals have been obtained and as such it is an essential element of a comprehensive risk management strategy.

Records Management within the City

The 1996 Royal Commission found that the records management practises within the former City of Wanneroo varied between the business units and many important records were not being effectively captured. A need was identified for a corporate strategy to develop a whole of business records management practice.

The implementing of an electronic records management system has provided a single repository for all documents, whether a working document or a record, and virtually eliminate the need for hardcopy file movements.

During 2000 the Act Amendment (Evidence) Act 2000 was proclaimed and following approval from the State Records Office the City obtained permission to retain only electronic versions of corporate documents that are retained within the records management systems (RMS).

Business Objectives

The following business objectives underpin the principles that a have been built into the application supporting the records management system process:

- The records of the City will be managed efficiently in a single system that is accessible to all users thereby meeting statutory obligations;

- Provide accountability and transparency to the business operations and decisions thereby managing business risk;

- Provide immediate access to all appropriate records to all staff in all locations when required thereby increasing staff productivity;

- Provide a cost efficient method of managing records.

INWARDS CORRESPONDENCE AND RESPONSES TO QUERIES

Inwards Correspondence received via Australia Post

Mail that is addressed to an elected member or to the 'Mayor' or 'Mayor and Councillors' in a general capacity will be opened by senior Records Services staff and forwarded to the respective officer for a response. A copy will be forwarded to the relevant elected member(s). If the matter does not relate to a corporate matter, then the mail is to be promptly sealed and forwarded to the respective member(s).

Other Correspondence

Correspondence received by elected members at their home or business address relating to the business activities of the City should be submitted in original from or copied to Records Services for processing.

Emails

All incoming emails of a corporate nature received by elected members should be forwarded electronically to Records Services for processing. This ensures that emails are treated in the same manner as inwards correspondence, which allows for future retrieval and provides evidence of action taken.

Responses to Correspondence

All responses to inwards correspondence and those created or received electronically are public records and as such must be retained in the City's records management system.

Internal Communications

Any communications with officers of the City via email that relate to the business activities of the City should be forwarded the Records Services Coordinator for retention.

Telephone / Verbal Conversations

Although under State legislation relating to the keeping of records there is no requirement that all verbal conversations need to be recorded, it is in the interest of accurate recordkeeping and continuous improvement that elected members record relevant action relating to enquiries made via telephone/verbal conversations.

Discretion needs to be made as what information is recorded due to the volume of conversations made. If any conversation meets one or more of the following criteria, it is deemed a corporate record:

1. *Does it convey information essential or relevant in making a decision?*

2. *Does it convey information upon which others will be, or are likely to make decisions affecting the City's operations, or rights and obligations under legislation?*

3. *Does it commit the City to certain courses of action or the commitment of resources or provision of services?*

4. *Does it convey information about matters of public safety or public interest, or involve information upon which contractual undertakings are entered into?*

5. *Is the information likely to be needed for future use, or is it of historical value or interest?*

If at the time of a conversation it is deemed that it is not relevant to record, but the matter becomes more significant it is recommended that a file note be created and retained on the RMS describing the initial conversation.

City of
Joondalup

SUPPORT FOR RECORDKEEPING

Records Services can provide the following support for elected members to enable the capture of corporate records/documents:

Written correspondence received by elected members at their home or business address

Provide the original or a copy to either the Personal Assistant to the Mayor / Administration Assistant, Council Support (located on the first floor) or Records Services (located on the second floor).

Emails – Incoming, External or Internal

Incoming emails *sent to elected members via the City's Internet Site* are also forwarded to the Records Services Coordinator for processing. The process that takes place is either:

1. Indexing of the email and forward to the relevant officer as well as the elected member

2. Email is not retained as it was deemed not a corporate record

Incoming emails *sent directly to elected members* are also forwarded to the Records Services Coordinator for processing. This solution allows for the capture of corporate records by Records Services without burdening the elected member to ensure the email is retained.

The same process would then take place:

1. Indexing of the email and forward to the relevant officer as well as the elected member

2. Email is not retained as it was deemed not a corporate record

If the email is sent internally and needs to be retained it will be filed directly to the RMS and not forwarded.

Telephone / Verbal Conversations

Elected members have access to a Word template called RMS Filenote in which a record of relevant telephone or verbal conversations can be made. This filenote can then be forwarded via email to the Records Services Coordinator for retention. Alternatively conversations can be recorded in an email and forwarded to the Records Services Coordinator.

Confidentially of matters will be maintained within Records Services, as only the Records Services Coordinator will process all items for elected members.

POLICY # - RECORDKEEPING RESPONSIBILITIES

OBJECTIVE

This policy sets the guidelines for proper recordkeeping practices by the City of Joondalup.

STATEMENT

All elected members, staff and contractors are responsible for maintaining complete, accurate and reliable evidence of all business transactions and ensuring all corporate documents are retained within the City's official recordkeeping system (RMS) at the point of creation regardless of the format, being in accordance with:

- State Records Act 2000
- Evidence Act 1906
- Acts Amendment (Evidence) Act 2000
- Freedom of Information Act 1992
- Local Government Act 1995
- Local Government Accounting Directions 1994

The definition of a corporate document/record is:

If any document/record meets one or more of the following criteria, they are deemed a corporate record.

6. *Does it convey information essential or relevant in making a decision?*

7. *Does it convey information upon which others will be, or are likely to make decisions affecting the City's operations, or rights and obligations under legislation?*

8. *Does it commit the City to certain courses of action or the commitment of resources or provision of services?*

9. *Does it convey information about matters of public safety or public interest, or involve information upon which contractual undertakings are entered into?*

10. *Is the information likely to be needed for future use, or is it of historical value or interest?*

All must abide by the recordkeeping requirements of the City as defined in the publication titled Recordkeeping Plan, which is a requirement of the State Records Act 2000.

Access

Access to corporate records by staff and contractors will be in accordance with designated access and security classifications as determined by the Records Services Coordinator.

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

Access to the City's records by elected members and committee members will be via the Chief Executive Officer in accordance with section 5.92 of the Local Government Act 1995.

Destruction

The Records Services Coordinator will dispose of records kept by the City in accordance with the 1999 General Disposal Authority for Local Government Records (produced by the State Records Office of Western Australia), following authorisation from the Chief Executive Officer.

Ephemeral Records

Ephemeral records have no continuing value to the City and are generally only needed for a few hours or a few days and they may not need to be placed within the City's official recordkeeping system. Section 1.11 of the General Disposal Authority for Local Government Records, 1999 describes ephemeral records as:

- Duplicate (or exact) copies of records, documents, circulars, forms, etc.

- Information material including price lists, catalogues, advertising material, brochures etc, produced by other organisations.

- Reference sets of directories, addresses and contact lists, including internal directories and lists produced by the local government, other agencies and organisations or suppliers.

- Unsolicited letters or promotional material which offer goods or services to the local government.

- Messages in the form of voice mail, e-mail, telephone messages, post-it or sticky notes when the message does not relate to the business functions of the local government.

  Note: Messages which do relate to the business functions of the local government must be transcribed and placed on the appropriate subject file. Once transcribed the original message may be destroyed.

- Rough drafts of reports, or correspondence, routine or rough calculations not circulated to other staff in the local government, and of which a final draft has been produced and placed on the appropriate subject file.

  Note: Versions of drafts which contain significant changes to context must be placed in the appropriate subject file e.g. internal policy

- Transitory messages giving minor instructions and of a routine or instruction nature that are used to further some activity in either a paper-based or electronic format e.g. correcting typing errors; requesting file creation or retrieval; filing a letter; formatting documents; duplicating.

- Letters or cards of appreciation, sympathy or greetings of no enduring value.

- Working papers, background notes and reference materials used to prepare or complete other documents. Those documents become the record of the local government and are placed on the appropriate subject file.

  Note: Working papers and background notes relating to the development of internal policy must be placed on the appropriate subject file.

In accordance with this schedule staff, contractors or Elected Members may dispose of such ephemeral records once reference ceases.

Training and Education

Training in recordkeeping practices and the use of the City's document and records management system (RMS) is available to all newcomers upon commencement and refresher courses are available upon request to the Records Services Coordinator.

Elected members will be made aware of their recordkeeping responsibilities as part of the Elected Members Induction Program.

Attachment 4

RMS Administrators Guide
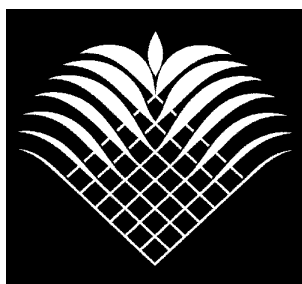
RMS Administrators Guide

as at April 2002

City of
Joondalup

TABLE OF CONTENTS

Prepared by: Updated by:

Trissa Dent (City of Joondalup)   Christine Robinson (City of Joondalup)
Dean Krajnovic (Solution6)   Dean Krajnovic (Alphawest6)
Shaun Lingham (Solution6)

March 2001   May 2002

Attachment 5

Records Services Procedure Manual
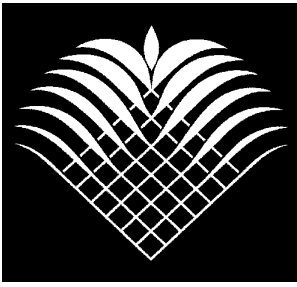
Records Services

Procedure Manual

This manual has been created to document all duties and responsibilities of the Records Services Section.

Whilst you may not be able to have an in depth knowledge of all of them, it is important that you're aware of them.

Records Services has a strong team work environment and excellent relationship with all team members. This is due to our philosophy of assisting any team member, with any task, at any time. Also sharing our tacit knowledge has allowed us to constantly perform at a high standard.

There are seven sections that are described in detail to allow you to perform duties for:

- Electronic Recordkeeping
- Indexing
- Outwards Mail
- Mail Opening
- Reception Collections
- Registration
- Records Help Desk
- Scanning

Other tasks/responsibilities include:

- Agreements
- Amending/Deleting File References
- Archives
- Attachments for Electronic Documents
- Brochures
- Cheques
- Complaints
- Contracts
- Customer Service
- Duplicate Files for Missing Files
- Duties
- Emails
- Encouragement Awards
- Error Messages for RMS
- External Telephone Calls
- Facsimiles
- Filing
- Forms
- Freedom of Information
- Indexing
- Introduction for New Employees
- Large TIFF Documents
- Leases
- Offsite Storage
- Previous Records Management Systems
- Proclaim Property System

- Records Help Desk
- Registration
- Researching
- Restricted Files
- RMS – Electronic Document Management System
- Scanning
- Stationery
- Statistics
- Vital Records

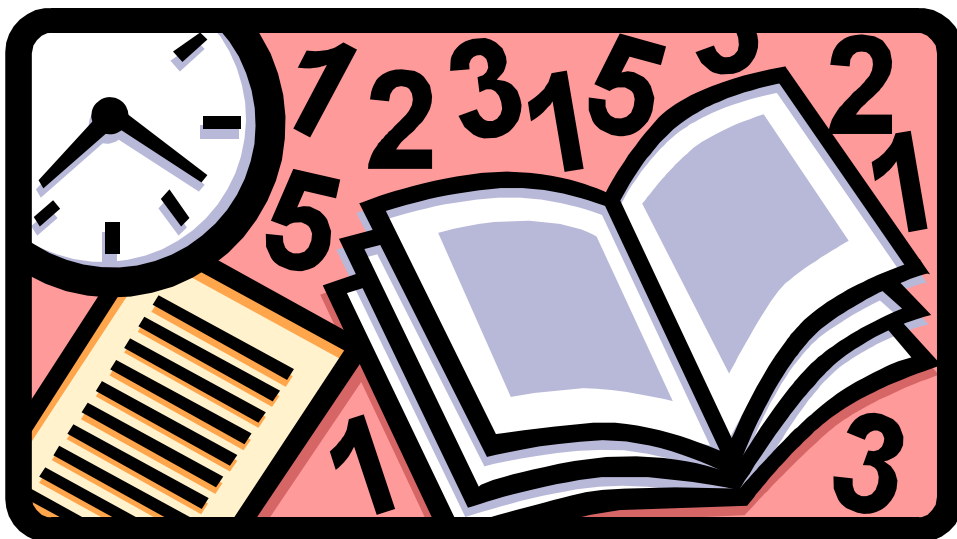This manual is a live document and as such is updated regularly.

Attachment 6

(Draft) Business Contingency Plan
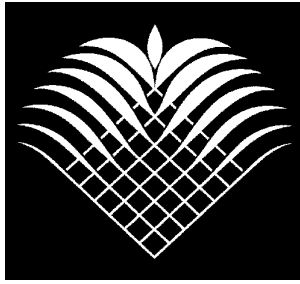
(Draft) Business Contingency Plan

Records Management

Records created prior to November 1987

Hardcopy records created prior to November 1987.

No system exists for the searching of inwards correspondence and documents created internally.

Listings of file titles and file reference are located at the Records Help Desk in a blue file titled 'Former City of Wanneroo Indexes' or electronically at V:\Records\Archives. A list of the files retained offsite and those disposed off after being appraised is currently a working project and are located at V:\Records\Archives\Archives User Files.

Records were classified as subject matter, with many files listed under the department name and not property locations.

All files are stored at an offsite storage facility (with the exception of development application, town planning scheme and subdivision application files) as per the Contract and Management Services Buyers Guide for the Supply, Retrieval and Destruction of Intermediate Records Services Contract No. 132499.

This Guide lists contractors with criteria including (but not limited to):

> ➢ Compliance with the technical specification for the services based on AS4390 – Records Storage.

> ➢ Quality Assurance to ISO 9002 for contractors providing the full range of services and documented processes for contractors supplying destruction service only.

> ➢ Disaster Recovery Plan.

Details for the offsite facility are:

- Supplies Name - Ausdoc Information Management
- Suppliers Address - 39 McDowell Street Welshpool
- Suppliers Contact Number - (08) 950 3160

Due to the split of the former City of Wanneroo, the hard copy files for the development applications, subdivision applications and town planning scheme amendments for the period of 1960 to 1998 were divided depended on the property location and retained by the relevant local authority.

RISK	ANALYSIS	ASSESSMENT	TREAT
Storage facility breakdown (Offsite repository)	Minimal due to the requirement of the Contractor to be compliant with AS4390 – Records Storage, ISO 900 and in the possession of a Disaster Recovery Plan.	Breakdown facility due to fire or water damage would be minimal due to the policies and procedures in place.	Ausdoc Information Management have national policies that are internally and externally audited by Quality Assurance Services and adhere to AS4390 – Records Storage ISO 900 and a Disaster Recovery Plan which is verified by Contract and Management Services.
Unable to locate listings of file titles and file references	Additional hardcopies retained in the Vital Records Repository and the corporate Backup Policy covers any electronic version. The probability of these listings being misplaced or destroyed due to human error is minimal.	If human error plays a part in the 'working' copies becoming misplaced or destroyed another copy could be recreated from the backup copies.	Store hardcopy and electronic copy backup in the Vital Records Repository and store an electronic copy on the PC's of the Senior Records Officer and Records Services Coordinator (in which the PC's are covered in the corporate Backup Policy).
Unable to access file listings in excel	Additional hardcopies are retained in the Vital Records Repository and the corporate Backup Policy covers any electronic version. The probability of these listings being misplaced or destroyed due to human error is minimal.	If human error plays a part in the 'working' copies becoming misplaced or destroyed another copy could be recreated from the backup copies.	Store hardcopy and electronic copy backup in the Vital Records Repository and store an electronic copy on the PC's of the Senior Records Officer and Records Services Coordinator (in which the PC's are covered in the corporate Backup Policy).

Records created prior to November 1987

Records created November 1987 to December 1997

All records during this period are retained on microfiche jackets.

From 1994 inwards correspondence metadata was retained in the COMS system. Some word processing documents and metadata are retained in the OfficePower system. Both these systems can be searched via RMS.

A copy of the index of file titles/references is maintained in an electronic and hardcopy format and metadata on inwards correspondence from 1994 is retained within the City's current electronic document management system. Listings of file titles and file reference are located at the Records Help Desk in a blue file titled 'Former City of Wanneroo Indexes'. Records were classified as property locations as well as subject based.

A microfiche jacket exists as the corporate file and is located within the Vital Records Repository.

All files are stored at an offsite storage facility (with the exception of development application, town planning scheme and subdivision application files) as per the Contract and Management Services Buyers Guide for the Supply, Retrieval and Destruction of Intermediate Records Services Contract No. 132499.

Due to the split of the former City of Wanneroo, the hard copy files for the development applications, subdivision applications and town planning scheme amendments for the period of 1960 to 1998 were divided depended on the property location and retained by the relevant local authority.

RISK	ANALYSIS	ASSESSMENT	TREAT
Storage facility breakdown (Fire proof room)	A breakdown of the storage facility due to fire or water damage would be minimal due to the City's fire and sprinkler protection systems.	If a breakdown of the storage facility occurs copies of the microfiche jackets could be obtained at a cost from the City of Wanneroo.	Ensure microfiche jackets are returned to storage boxes and the fire retardant door to the room is closed at all times
Unable to locate listings of file titles and file references	Additional hardcopies retained in the Vital Records Repository and the corporate Backup Policy covers any electronic version. The probability of these listings being misplaced or destroyed due to human error is minimal.	If human error plays a part in the 'working' copies becoming misplaced or destroyed another copy could be recreated from the backup copies.	Store hardcopy and electronic copy backup in the Vital Records Repository and store an electronic copy on the PC's of the Senior Records Officer and Records Services Coordinator (in which the PC's are covered in the corporate Backup Policy).
Unable to access file listings in excel	Additional hardcopies are retained in the Vital Records Repository and the corporate Backup Policy covers any electronic version. The probability of these listings being misplaced or destroyed due to human error is minimal.	If human error plays a part in the 'working' copies becoming misplaced or destroyed another copy could be recreated from the backup copies.	Store hardcopy and electronic copy backup in the Vital Records Repository and store an electronic copy on the PC's of the Senior Records Officer and Records Services Coordinator (in which the PC's are covered in the corporate Backup Policy).

Records created November 1987 to December 1997

Records created January 1998 to present

Electronic records and metadata are stored within the City's record and document management system (Vault Manager / RMS).

An online thesaurus based on business activities and property locations is maintained within the RMS.

Hardcopy versions of documents from January 1998 to December 2001 are retained in the corporate file, which are retained in a file storage room. This room has been appraised by the State Records Office and is of adequate compliance, including a fire retardant door of four hours with sprinklers inside the room.

There are no hardcopy versions of documents from January 2002 that are retained within the City's records and document management system, as per approval from the Standing Committee on Public Records (State Records Office), with the exception of legal and personal matters and ad-hoc decisions made by the Records Services Coordinator.

Hardcopy versions of vital documents are retained within the Vital Records Repository that is a compactus shelving unit.

RISK	ANALYSIS	ASSESSMENT	TREAT
Computer breakdown	Due to the corporate Backup Policy the probability of not being able to access Vault Manager / RMS would result in the loss of data for one working day only	The data stored during the Backup Policy could be reloaded to enable to access	The City's electronic document management system (Vault Manager) is backed up using Veritas Netbackup 3.4. One of the reasons Netbackup was selected is that it can backup both Unix and NT servers. The master software resides on COJ04 (RMS server) and the client software is installed on all the client servers that are part of the backup process. A DLT stacker which can hold up to 15 DLTs cartridges is attached to the COJ04 server which allows the overflow of backups requiring more than one DLT cartridge. Veritas Netbackup is configured in Backup Policy Management to backup all the Local Drives on the following servers: COJ04 for RMS COJSUN01 for Oracle Financials COJNAS for NAS device COJ01 for Payroll COJ03 for file stored on S, V and W drives COJ05 for Exchange mailboxes and profiles COJ06 for Minor Applications / Planning and Community Development V drive COJBMS for Budget Management System and Jetforms COW06 for Council minutes COW07 for Proclaim COW08 JWEB for Intranet WWW_SQL for Internet database applications and WWW_XNET for Internet homepage

			There are three backup cycles daily, weekly and monthly. Differential incremental backups are carried out for the daily cycles and full backups are carried out for the weekly and monthly cycles.
			Daily Cycles Daily backups are scheduled to run from Tuesdays to Fridays and are retained for three weeks. Backups are set to commence at 12:15am starting with COJ04. COJSUN01 starts at 1:00am and COJ05 is set to commence at 1:10am. All other servers are set to run from 1:15am and are queued to run one after the other in no particular order. Backup windows for all daily schedules are set for 5 hours.
			Weekly Cycles Weekly backups are scheduled on Saturdays (except COJ05) starting at 12:15am with COJ04 and WWW_XNET. COJSUN01 is set to commence at 1:00am and all other servers are queued to run from 1:30am. Backup windows are set for 23 hours with the exception of WWW_XNET, which is set for 5 hours. COJ05 is scheduled for Sundays at 1:10am with a backup window of 5 hours. Weekly backups are retained for 3 months.
			Monthly Cycles Monthly backups are also scheduled on the last Saturdays of each month with the same start times as the weekly cycles. Monthly backups are retained for one year.

			Offsite Storage
			DLT cartridges are stored in an offsite facility. An official courier transfers DLT cartridges daily. A daily report is produced and given to the courier that details the DLTs to be placed in store, and the DLTs that are to be returned on the following day. Verification of Backups Backup logs are emailed each morning to the Systems Administrator to verify the success and completion of backups. These logs are emailed to a Help Desk Support Officer if the Systems Administrator is on annual leave.
Storage facility breakdown (Basement area)	A breakdown of the storage facility due to fire or water damage would be minimal due to the City's fire and sprinkler protection systems.	If a breakdown of the storage facility occurs electronic copies of the hardcopy files could be obtained from Vault Manager / RMS	Ensure the fire retardant door to the room is closed at all times

Records created January 1998 to present

Vital Records

Vital records are identified as being vital to the re-establishment of the organisation in the event of a disaster and those retained by Records Services include:

- Contract / expression of interest (EOI) signed documents

- Funding agreements (given by council and received by council)

- Lease agreements for council land and property

An online thesaurus based on business activities and property locations is maintained within the RMS.

Green corporate files are located within the Vital Records Repository that is a compactus shelving unit.

The Proclaim Property System (database) has also been deemed to contain vital records including:

- Electoral Roll records

- GIS Mapping

- Financial records

- Property records

RISK	ANALYSIS	ASSESSMENT	TREAT
Computer breakdown	Due o the corporate Backup Policy the probability of not being able to access Vault Manager / RMS and Proclaim would result in the loss of data for one working day only.	The data stored during the Backup Policy could be reloaded to enable access.	Corporate Backup Policy
Storage facility breakdown (Compactus shelving unit)	A breakdown of the storage facility due to fire or water damage would be minimal due to the City's fire and sprinkler protection systems.	If a breakdown of the storage facility occurs copies of the documents can be obtained from Vault Manager / RMS.	Ensure the compactus is closed at all times