RECORDKEEPING PLAN

RKP 2023010

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Introduction

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

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

The purpose of this Recordkeeping Plan is to set out the matters about which records are to be created by the City of Wanneroo and how it is to keep its records.

The Recordkeeping Plan is to provide an accurate reflection of the recordkeeping program within the organisation, including information regarding the organisation's recordkeeping system(s), disposal arrangements, policies, practices and processes. The Recordkeeping Plan is the primary means of providing evidence of compliance with the Act and the implementation of best practice recordkeeping within the organisation.

The objectives of the City of Wanneroo's RKP are to ensure:

- Compliance with Section 28 of the *State Records Act 2000*.
- Recordkeeping within the Local Government is moving towards compliance with State Records Commission Standards and Records Management Standard AS ISO 15489.
- Processes are in place to facilitate the complete and accurate record of business transactions and decisions.
- Recorded information can be retrieved quickly, accurately and cheaply when required; and the
- Protection and preservation of the Local Government's records.

In accordance with Section 17 of the Act, the City of Wanneroo and all its employees are legally required to comply with the contents of this Plan.

This Recordkeeping Plan applies to all of the City of Wanneroo's:

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

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

> ***"In relation to the recordkeeping requirements of local government council members, records must be created and kept which properly and adequately record the performance of member functions arising from their participation in the decision making processes of Council and Committees of Council.***
>
> ***This requirement should be met through the creation and retention of records of meetings of Council and Committees of Council of local government and other communications and transactions of council members which constitute evidence affecting the accountability of the Council and the discharge of its business.***
>
> ***Local governments must ensure that appropriate practices are established to facilitate the ease of capture and management of council members' records up to and including the decision making processes of Council."***
>
> ***Local Governments are to address the management of council members' government records in accordance with this policy, in their Recordkeeping Plans.***

This Recordkeeping Plan supersedes RKP 2018/015 and applies to all records created or received by any of the above parties, regardless of:

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

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

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

(State Records Act, 2000)

1 Principle One: Proper and Adequate Records

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

1.1 Historical Background

The City of Wanneroo has a proud heritage comprising of ancient Aboriginal culture and the spirits of early pioneers, as well as a diverse mix of traditions and customs from across the world that have made Wanneroo a cultural centre with its own unique regional history.

The original inhabitants of the Wanneroo area were the Yellagonga Aboriginal people, and the name "Wanneroo" is thought to be from the Aboriginal word "Wanna" meaning a digging stick which was used by Aboriginal women and "roo" meaning the "place of" i.e., "a place where women dig up roots". [1]

European settlement dates from 1838 when the first land grants were made. Land was used mainly for cattle grazing, market gardening and poultry farming. Population was minimal until the late 1800s and early 1900s, with the township of Wanneroo established in the 1880s.[2]

Local government in Wanneroo began with the formation of the Perth Districts Road Board in 1871 followed by recognition as a Roads District in 1902. The first elections and Road Board Meeting were held in January 1903. The Road Board continued until 1950 when it was disbanded and replaced by a Commissioner. In June 1950, a new Road Board was elected but in 1957 it was again replaced by a Commissioner.

Significant development occurred in the area during the post-war years, aided by the provision of electricity in 1954 and in 1961 the Wanneroo Shire Council was formed. The 1970's saw rapid growth with the adoption of the Corridor Plan by the State Government, starting in the southern suburbs of Girrawheen and Koondoola, and over time moving northwards.

By 1985, Wanneroo had achieved City status. In 1998, the City of Wanneroo was split into the Shire of Wanneroo and the City of Joondalup. However, the Shire regained its City status on 1st July 1999 and began operation as a separate Local Government Authority. The election of the inaugural council of the new City of Wanneroo took place on 11 December 1999, when Mayor Jon Kelly plus fourteen ward councillors were elected.

[1] https://discoverwanneroo.com.au/about-wanneroo/

[2] https://profile.id.com.au/wanneroo/about

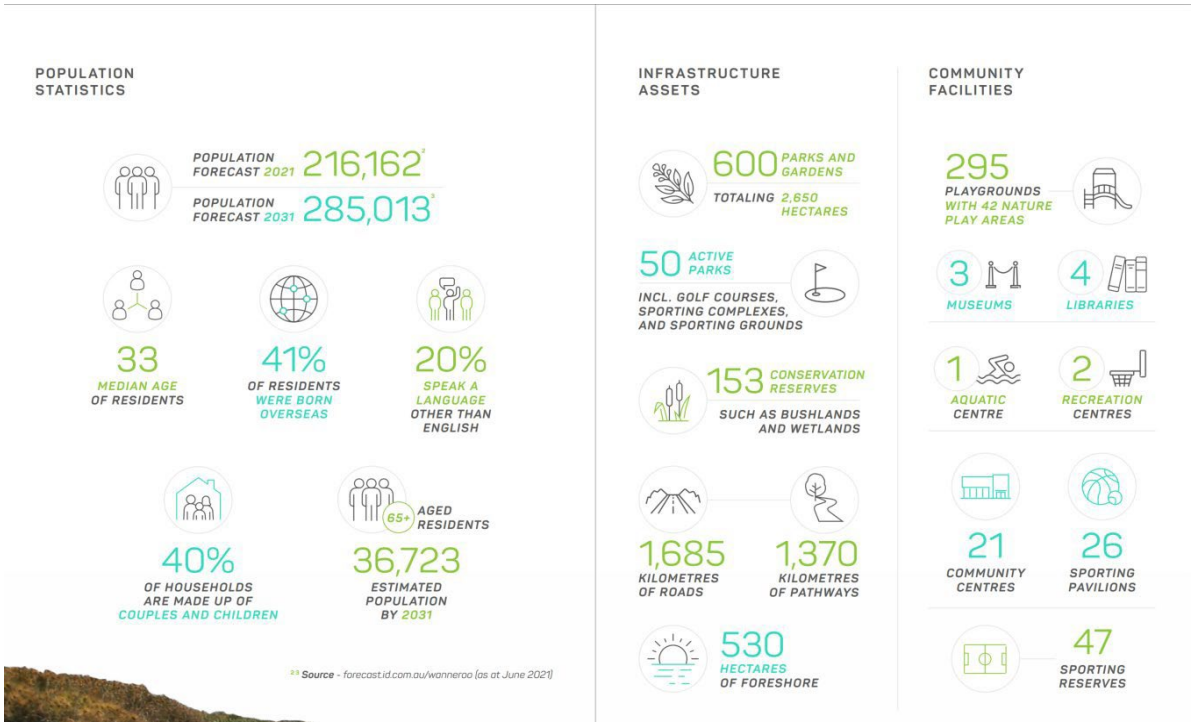
The City of Wanneroo has been identified as one of Western Australia's largest and fastest growing local government areas. It has 36 suburbs, across 685.1 square kilometres, stretching from Girrawheen in the south to Two Rocks in the north, and lies on the north-eastern urban corridor of the Perth metropolitan area, about 12km from the Perth CBD at its nearest point and 62km at its farthest point.

Geographically the modern-day City of Wanneroo is bounded by the Shire of Gingin in the north, the Shire of Chittering and the City of Swan in the east, the Cities of Stirling and Joondalup in the south, and in the west 32 kilometres of Indian Ocean coastline.[3]

The City of Wanneroo is characterised by a diverse mix of urban, rural and industrial land uses, as well as a significant area of natural bushland and state forest, including Yanchep National Park, Neerabup National Park and Yellagonga Regional Park. A natural wetland system runs through the City, dominated by the pristine Lake Joondalup that separates the City of Wanneroo from the City of Joondalup.

Urban land is predominantly residential, with a number of commercial centres providing jobs and services, along with the established industrial centre of Wangara and the newly emerging Neerabup Industrial Area site. Economic activity is strong, with the City of Wanneroo hosting a diverse mix of industries including agriculture, retail, construction, education, healthcare and a range of professional industries.

This infographic from the City of Wanneroo's 2021 – 2031 Strategic Community Plan provides a snapshot of the City's population and assets.



[3] https://profile.id.com.au/wanneroo/about

1.2 Strategic Focus and Main Business Activity

The City of Wanneroo's Vision as outlined in its Strategic Community Plan 2021 – 2031 captures the voice of the local community who want to make Wanneroo a place that is welcoming to all people and provide the necessary connections for those people to live, work and participate locally, ultimately to help build a wider sense of belonging in the area.

In short, the City's vision is: *A Welcoming Community, connected through Local Opportunities".*

In achieving the Vision, the City of Wanneroo has developed a statement, which declares the City's purpose: *To create a strong community with local opportunities to participate, be active, feel secure, contribute and belong.*

The Strategic Community Plan will provide direction to the City of Wanneroo over the next ten (10) years. To realise the Vision, the City has developed a four (4) year Corporate Business Plan and annual Service Unit Plans. The Corporate Business Plan is reviewed annually in line with the City of Wanneroo's budget and annual Service Unit Plans which focus on service delivery and the integration of financial, risk and workforce planning.

All of these key initiatives are supported by three (3) resourcing plans:
- Long Term Financial Plan;
- Asset Management Plans; and a
- Strategic Workforce Plan.

To ensure that the Strategic Community Plan remains relevant and fit for purpose, minor reviews are undertaken on a two (2)-yearly basis and major reviews, which include extensive community consultation, are undertaken every four (4) years.

1.3 Functions, including those outsourced.

Refer to *Appendix 1*.

1.4 Major Stakeholders

The City of Wanneroo's major stakeholders are

- Mayor and Council members
- Council Advisory Committees
- Council working groups
- Residents and Ratepayers
- Members of Parliament
- Government Agencies
- Other Councils and Cities
- Not-for profit agencies
- Emergency Services
- Business community
- Volunteers

1.5 Enabling Legislation

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

1.6 Legislation and Regulations Administered by the City of Wanneroo

Refer to *Appendix 2*.

1.7 Other Legislation Affecting the City of Wanneroo

Refer to *Appendix 3.*

1.8 Major Government policy and/or Industry Standards

Refer to *Appendix 4.*

2 Principle Two: Policies and Procedures

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

2.1 Records Management and Business Information Systems

2.1.1 Records Management System

The City of Wanneroo has a digital recordkeeping system which utilises Content Manager EDRMS, Ezescan software and dedicated scanners.

The digital recordkeeping system has been in place since 2010 and over the intervening period the percentage of hard copy records received by the City has diminished. Hard copy records which are received are scanned and once quality checked, the source records are held on site for six (6) months after date received and then destroyed. The City stores its hard copy Archive and Vital Records at Iron Mountain storage facility.

All scanning processes comply with the State Records Office's requirements i.e.:

- *General Disposal Authority for Source Records;*
- *SRC Standard 7 - State Archives Retained by Government Organisations; and*
- *SRC Standard 8 - Managing Digital Information.*

The City of Wanneroo has its non-current, inactive and archival records located in an offsite storage facility at Iron Mountain in Malaga and Balcatta.

In 2023 the City will be implementing Office 365 and upgrading the current version of Content Manager.

The City also utilises automated online forms for some business processes. Once a form is completed, it is saved directly into the EDRMS for processing.

The City does utilise network drives, however the City's IT Business Unit manages the space made available and periodically notifications are sent to all staff reminding them to save documents from the network drive into the EDRMS.

In 2023 the City will implement Microsoft Office 365 and the use of OneDrive which will replace network drives. The City's has developed FAQ's for staff in the use of Microsoft Office 365 and are planning to migrate documents from network drives and synchronize them to OneDrive. This will be undertaken with minimal impact to users and on data.In respect to the management of emails, all staff have been advised of the EDRMS function in which emails can be linked to specific folders in the EDRMS and processed

accordingly. This has significantly reduced the time taking of registering, whilst prompting the end users to follow proper Titling Standards.

2.1.2 Business Information System/s

The City uses a number of business systems (*See Appendix 5)* to provide services internally and externally. In November 2022 a *Business Systems Catalogue* was created which lists all of the City's business systems and provides relevant details about each system e.g.:

- *Application Name;*
- *Application Alias;*
- *Module Name;*
- *Application Link;*
- *Application Owner;*
- *Application Champion / Custodian;*
- *Used For /Used by;*
- *Customer Data/Employee Data;*
- *Personally Identifiable Information/ Sensitive Information;*
- *Information Classification;*
- *Type of User Login/ SSO Type/Authentication Type;*
- *Integrations;*
- *Cloud Based/On Premise;*
- *Where is the data stored in the application and or database;*
- *How is the data accessible; and*
- *Retention Schedule applied.*

A sample of the City's business systems include:

Application	Used For
Civica Authority	Various applications within the City i.e., animal renewals, infringement and fines, health service renewals, verge bond payments, building and development applications, subdivisions, community safety and emergency management, GIS, mobile application available and desktop system, name and address records, rates, rates and property, registers and mobile applications
Content Manager	Electronic Document Management
Contract Management System	Managing Contracts
InfoCouncil	Meeting Papers
Intramaps and Public	Enterprise GIS application deployed through a web browser
Nintex Process Manager	Process Mapping
Oracle Finance	City's financial management system
Peoplestreme	Employee Management
Project Online (PMO)	City Project Management system
QGIS	Desktop GIS application

SAI360	Safety Management System
Solvinjury	Injury Management
Spydus	Library Collection Management
Technology One HRP	Payroll

See Appendix 5 for the complete list of business systems.

2.1.3 Records Management Policy and Procedures

The City has a suite of documents which relate to a variety of recordkeeping processes which are undertaken by the Information Management Team. These documents meet the requirements of the RKP; however, the Information Management Team have identified that a number of policies and procedures need review and updating.

Two procedures (Freedom of Information requests and Suspicious Mail Handling) have already been reviewed and added to the Process Manager Application. It is anticipated that further work will be undertaken, in line with available resources, to review current processes and document them accordingly.

For the City's recordkeeping records management policy and procedure manual refer to *Attachment 1a Records Management Policy and Attachment 1b Procedure Manual*

Table 2.1

Recordkeeping Activities covered in the City of Wanneroo's Policies and Procedures	**YES**	**NO**
Correspondence capture and control – including incoming and outgoing mail registration; responsibilities assigned for classifying, indexing and registration; file titling and file numbering conventions. Include specific provisions for capture and control of Council Members' correspondence.	√	
Digitization – including categories of records digitized; disposal of source records; digitization specifications. ***NB:*** *This procedure is only required where the organisation intends to destroy source records prior to the expiration of the approved minimum retention period after digitizing, in accordance with the General Disposal Authority for Source Records.*	√	
Mail distribution - including frequency, tracking mechanisms and security measures.	√	

Recordkeeping Activities covered in the City of Wanneroo's Policies and Procedures	**YES**	**NO**
File creation and closure – including assigned responsibility and procedures for both physical and automated file creation.	√	
Access to corporate records – procedures for access to and security of corporate records.	√	
Authorised disposal of temporary records and transfer of State archives (whether hard copy or electronic) to the State Records Office (SRO) – any assigned responsibilities.	√	
Electronic records management – including the organisation's approach and methodology for the capture and management of its electronic records (e.g., print and file, identification of the official record, use of EDRMS, hybrid system etc.).	√	
Email management – including the capture, retention and authorised disposal of email messages to ensure accountability Should indicate whether the organisation is utilising a document management system or hard copy records system (e.g., print and file, identification of the official record, use of EDRMS, hybrid system etc.).	√	
Website management – including the purpose of the site (e.g., whether informational/transactional), capture of all information published to the website within the corporate system and mechanisms for recording website amendments.	√	
Metadata management – including requirements for capture of metadata in information systems, whether automatic or manual.	√	
System/s management – including any delegations of authority for the control and security of systems utilised by the organisation (e.g., provision of access to systems through individual logins and passwords, protection of servers etc.).	√	
Migration strategy – strategies planned or in place for migrating electronic information and records over time (e.g., through upgrades in hardware and software applications, and any assigned responsibilities) for long-term retention and access. See SRC Standard 8: *Managing Digital Information*.	√	

2.2 Certification of Policies and Procedures

The City of Wanneroo has implemented an organisational wide governance process for the development, review and approval of policies and procedures. The process is defined in the City's *Policy and Procedure Development and Review Management Manual* and accompanying guidelines. The manual and guidelines provide staff with the processes required to develop/review, consult and gain approval for the relevant document.

Documents once approved (with the exception of Work Procedures) are recorded in the City's Policy and Procedure Register.

All relevant policies and procedures developed by the Information Management Team are required to meet these requirements.

See Attachment 2 for the *Policy and Procedure Development and Review Management Manual.*

2.3 Evaluation of Policies and Procedures and Identified Areas for Improvement

The City of Wanneroo's policies and procedures includes all categories identified in *Principle 2 of SRC Standard 2*. However, as indicated in *Section 2.2* the Information Management Team have identified that since the last RKP (2018) some processes have changed and as such procedures need to be reviewed and amended.

Identified Areas for Improvement:

- Review identified recordkeeping processes;
- Review identified policies and procedures; and
- It is anticipated that the review and updating of relevant policies and procedures will be completed in line with the City's Development & Review Policy and Procedure Framework.

3 Principle Three: Language Control

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

3.1 Classification Model

The City of Wanneroo has implemented the *Function – Activity – Transaction (Subject)* model for the classification of its records. A Business Classification Scheme (BCS) has been developed and is held as a Keyword Thesaurus and as a File Plan in the EDRMS.

The **Keyword Thesaurus** was developed in 2009 by an external consultant from two publications developed by the NSW State Archives and Records i.e.

- *Keyword AAA thesaurus (1995)*, and
- *Keyword for Councils (2001)*.

The thesaurus is an alphabetical list of controlled terms that provides users with scope notes, multiple entry points to terms, cross referencing of terms and terms which are non-preferred. It is held in the EDRMS in Microsoft Word format and is used as a reference tool. The File Plan, which is the most current version of the BCS is held in the EDRMS. It is a hierarchical BCS with terms and scope notes derived from the 2009 Keyword Thesaurus and terms which have been added or modified as required.

A sample of the *File Plan* is attached, please refer to *Appendix 6.*

3.2 Assessment of its Effectiveness

In 2021 the File Plan and Thesaurus were reviewed by an external consultant which indicated that there was a requirement to improve the way in which the BCS was used and maintained. The recommendations included:

- Training for the Information Management Team in classification and indexing. This was delivered in May 2022;
- Develop procedures and guidelines for maintenance of the BCS- *See Section 2.3;* and
- Review, develop and modify BCS components – this is an ongoing process with some work already completed.

3.3 Identified Areas for Improvement

It is anticipated that the review, development, and modification of the BCS will be planned for as part of the next financial years' Service Unit Plan.

4 Principle Four: Preservation

Government organisations ensure that records are protected and preserved.

The City's Business Continuity Framework consist of an overarching Crisis Management Plan, Pandemic Plan and individual service unit Business Continuity Plans. *Attachment 3* contains the *Business Continuity Management Guidelines* which outlines how the City will maintain business continuity in the event that the City's core services are disrupted and outlines the detailed steps that will be put into action in the event of a disaster, pandemic, incident or unplanned outage.

4.1 Assessment of Risks

4.1.1 On Site Storage

The City of Wanneroo stores active records on site at its Administration Building located at 23 Dundebar Road, Wanneroo WA 6065. The storage facilities available are:

- *Secure premises;*
- *Secure server rooms;*
- *Fire detection system/or fire suppression system, and*
- *Airconditioning for 8 hours per day*

Digital records are held within business systems including the EDRMS which are located on premise in the City's secure and airconditioned server room. Hard copy source records are held in day batch boxes onsite. The area is secure but not air conditioned.

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

4.1.2 Offsite Storage

The City of Wanneroo has its non-current, inactive and archival records located at Iron Mountain in Malaga and Balcatta.

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

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

4.1.3 Data Centre and Cloud Storage

The City of Wanneroo has entered into an arrangement with third parties to store electronic data/digital information and records in data centres/cloud storage facilities as detailed in the table below. The arrangement includes provisions for security and access; preservation; and return of the data.

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

Information system / categories of records	**Name of service provider**	**Geographic location of data centre / cloud storage**	**Geographic location of data centre / cloud storage backups**	**Risk assessed Y/N**
Asset Management Information System	Brightly	Victoria	New South Wales	Y
Utilities Billing System	Azility	New South Wales	New South Wales	
Corporate Performance Management Solution	CAMMS	Sydney	Victoria	
Email marketing services	Campaign Monitor	US-based data centre. As well as multiple data processing locations including USA, Australia and Germany	Amazon cloud storage backups	Y
Contract Management System	Ready Tech	South East Australia	Australia East Region	
Digital data collection and analysis platform	Culture Counts	Singapore	Singapore and Perth	
Collection of E-Rates	Zip Form	Perth, WA	Perth, WA	Y
Event Management	Eventbrite	US	US	
Exercise Software	Exercise Software	Canberra Data Centre		
Customer Service Software	Freshdesk	Ticket data, requestor/contact data, social data,	Data is distributed and stored in secure	Y

		application integration data, knowledge base data, forum data, report data – hosted in US, EEA, IND and AU. Call recording, chat messages - hosted in US and EEA	locations in the respective region	
Advertising ROI	Google Analytics	Google do not make details of their data storage arrangements public, but other sources indicate that it's collected locally then transferred to the US.	Google do not make details of their data storage arrangements public, but other sources indicate that it's collected locally then transferred to the US.	
Grants Management	Enquire	AWS Sydney Australia	AWS Sydney Australia	Y
Knowledge Management	iKnow	Wanneroo on-prem	Wanneroo on-prem	
Intramaps Public	TechnologyOne			
Online Forms	Jadu CXM	AWS Sydney	AWS Sydney	
Online Forms	Jadu UAT	Rackspace Sydney	Rackspace Sydney	
Issues Tracking System	Jira	Sydney	Sydney	
I2I	SAI Global	No City records are stored in this resource, it is a portal to Australian Standards documentation maintained by SAI Global		
Mail	Microsoft 365	Wanneroo on-prem	Wanneroo on-prem	
NearMe	TechnologyOne			

Process Mapping	Nintex Process Manager	Australia in the Microsoft Azure Blob	Australia in the Microsoft Azure Blob	N
Oracle Finance	Oracle Corporation	Sydney	Melbourne (DR site)	
HR System – Performance, Learning and Recruitment	Peoplestreme	Melbourne	Melbourne	
Infringements and Enforcements	Pinforce	Wanneroo on-prem	Wanneroo on-prem	
Management Reporting	PowerBi	Wanneroo on-prem	Microsoft 365	
Enterprise Project Management System	Project Online (PMO)	(Melbourne, Canberra, Sydney)	(Melbourne, Canberra, Sydney)	All data is encrypted at rest and in transit.
Recruitment Reference Checking	Xref			
Compliance Monitoring System	Reliansys	Macquarie Cloud Service Data Center IC2,North Sydney	Macquarie Cloud Service Data Center IC2,North Sydney	Y - ISO 27001 and SOC 2 certified
Work Health & Safety System	SAI360	AWS Sydney	AWS Melbourne	
Visitor Management System	Sine	AWS Sydney	AWS Melbourne	
Online Presence Management	Siteimprove	Denmark and Germany (Frankfurt)	Denmark and Germany (Frankfurt)	
Injury Management System	Solvinjury			
Spark CMS	Market Creations	Western Australia	Western Australia	
Software Testing	Spira	Sydney, NSW	Melbourne, VIC	
Shared Location Information Platform (SLIP)	Landgate	Only receive information via SLIP and do not create or store City records in the system	Only receive information via SLIP and do not create or store City records in the system	
Survey Management	Survey monkey	USA	USA	

Telstra Integrated Messaging	Telstra	TIMS	Telstra	N
Typeform	Amazon AWS	Virginia, USA	Virginia, USA and Germany	N
Facility Booking System	Momentus	Sydney NSW	Sydney NSW	Y
Payroll Processing (Emplive)	Workforce Solutions	Azure Cloud	NSW	

**The above information is the most current information provided by the Information Technology and Business Systems teams. A new position of Business Systems Analyst - Engagement Lead has been recruited for, this position will focus on engagement with third party providers and will review and maintain the above list. Once this list has been reviewed a revised copy can be provided to the SRO.*

4.1.4 Storage of Archives

The City of Wanneroo does not currently wish to maintain State archives for longer than the compulsory transfer period. However, given the space limitations at the State Records Office, the City understands that it is unable to transfer any State archives at this time and therefore stores them offsite at Iron Mountain's facilities. *See Section 4.1.2*

4.1.5 Storage of Backups

Electronic records are backed up daily and held offsite at the City of Wanneroo Library and by Zetta Group who provide ICT Managed Services to the City of Wanneroo. *See also Section 4.3.2*

4.1.6 Quantity of Records

The City of Wanneroo has custody of:

- 11 linear metres of Batched day boxes on site;
- 60.73 linear metres of temporary and long term hard copy records stored offsite;
- 40.75 linear meters including 28.3 linear metres of Archives and 12.45 linear meters of Vital records stored offsite;
- 70 TB before deduping and compression of digital records/information/data.

4.1.7 Security and Access

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

- Hard copy records stored on site are stored in a room accessible only by authorized staff;
- Hard copy records stored offsite at Iron Mountain facility are protected by electronic intruder detection systems with back-to-base alarms;
- Digital records are stored within the City's EDRMS and other City Business Systems;
- Employee access to the City's records is in accordance with designated access and security classifications and only in accordance with the requirements of the individual's role; and
- Access to the City's server room is limited to IT employees with the required security access.

4.2 Assessment of the Impacts of Disasters

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

4.3 Strategies in Place for Preservation and Response

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

4.3.1 Vital Records Program

A vital records program has been developed for the City of Wanneroo.
As of June 2020, vital records were identified as:

General
- Council Minutes, Agendas and attached documentation;
- Set of COW policies and procedures (current and non-current);
- Council Members' Code of Conduct (current and non-current);
- Internal Committee Records; and
- Photographic history of the Council events and Councillors.

Legal
- Legal procedures/ significant cases;
- Contracts and Agreements including Contracts of sale and purchase of landbetween the City and other party;
- Caveats;
- Easements;
- Property Management orders; and
- Corruption and Crimes Commission investigations into the City's business.

Planning
- Town Planning Scheme and Amendments;
- Zoning Schemes and Plans;
- Corporate planning documentation (major plans, events and initiatives);
- Major City Projects – (Design and Construction – Buildings (incl. Civic Centre);
- Roads, Conservation Projects;
- Subdivision applications register and decisions (part of Authority and Proclaim;
- Building Applications register (part of Authority and Proclaim); and
- Development applications register (part of Authority and Proclaim.

Registers
- Assets Register (buildings, facilities, land, art);
- Heritage Places - Municipal Inventory Register / Significant Trees Register;
- Licences/Permits;
- Investment;
- Leases; and
- Rate registers (Authority)

Historical
- Heritage Places - buildings / sites / structures;
- Restoration and conservation records; and
- Microfiche records that contain documents identified as vital.

Controlling/Informative

- EDRMS Content Manager;
- Authority system;
- Proclaim;
- GIS (Property related and Zoning); and
- Archives Indexes (finding aids for hard copy records not covered by the EDRMS)

The Vital Records Management Procedure is at *Attachment 4a.* Vital records are stored as per the City's *Storage of Archival Records Procedure - See Attachment 4b.*

4.3.2 Backup Procedures for Electronic Records

Electronic records of the City of Wanneroo are backed up daily and held offsite at the City of Wanneroo Library and by Zetta Group who provide ICT Managed Services to the City of Wanneroo. These services include:

- Perform data recovery as required.
- Perform daily checks to ensure Zerto Data Replication RPO SLAs are being met and Veeam Backups are completing successfully as per Table 1 below:

Table 1:

VM#	VM	Veeam Backup WLCC	Frequency & Restore Points	Veeam Cloud Backup	Frequency & Restore Points
56	WCC-T1-PROD2	Yes	Daily/7	Yes	Daily/7
57	WCC-T1-INSTALL2	Yes	Daily/7	Yes	Daily/7
58	WCC-T1-CI2	Yes	Daily/7	Yes	Daily/7
59	WCC-T1-TEST_A	Yes	Monthly/1	No	N/A
60	WCC-T1-TRAIN	Yes	Monthly/1	No	N/A
61	WCC-CC-DC02	Yes	Daily/14	Yes	Daily/14
62	WCC-ZG-DC3	No	N/A	Yes	Daily/7
63	WCC-SCCM	Yes	Daily/7	Yes	Daily/7
64	WCC-ZG-AVA-SBC	No	N/A	Yes	Daily/7
65	WCC-CC-JUNDIR	No	N/A	Yes	Daily/7
66	WCC-CC-JUNSPACE2	No	N/A	Yes	Daily/7
67	WCC-RAS-02	Yes	Daily/7	Yes	Daily/7
68	WCC-T1-PROD_A	No	N/A	Yes	Daily/7
69	WCC-CC-FS1	Yes	Daily/60	Yes	Daily/60
70	WCC-LIB-DBS	Yes	Daily/7	Yes	Daily/7

Table 14 – Details of Veeam Backups

- Undertake a restore test schedule as per example in Table 2:

VM	Job	January	February	March
WCC-AVAYA-ACCS	WLCC-7RP-DAILY-JOB1	x		
WCC-LIC-SRV	WLCC-7RP-DAILY-JOB2	x		
WCC-AVA-IPO-PRI2	ZG-7RP-DAILY-JOB1	x		
WCC-LIC	ZG-7RP-DAILY-JOB2	x		
WCC-ZG-AVA-SBC	ZG-VDCB-JOB	x		
WCC-EDRMS-ARCH	ZG-WCC-EDRMS-ARCH	x		
WCC-AVAYA-VOICEMAIL	WLCC-7RP-DAILY-JOB1		x	
WCC-MONITOR	WLCC-7RP-DAILY-JOB2		x	
WCC-AVAYA-ACCS	ZG-7RP-DAILY-JOB1		x	
WCC-LIC-SRV	ZG-7RP-DAILY-JOB2		x	
WCC-ZG-CIV-WEB	ZG-VDCB-JOB		x	
WCC-EMAIL	ZG-WCC-EMAIL		x	
WCC-BIS	WLCC-7RP-DAILY-JOB1			x
WCC-OIC	WLCC-7RP-DAILY-JOB2			x
WCC-AVAYA-VOICEMAIL	ZG-7RP-DAILY-JOB1			x
WCC-MONITOR	ZG-7RP-DAILY-JOB2			x
WCC-ZG-ENV-WEB	ZG-VDCB-JOB			x
WCC-CC-FS1	ZG-WCC-SAN			x

Table 18 – Current Quarter Restore Test Schedule and Results

4.3.3 Preservation of Electronic Records

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

- All City servers are supported by warranty and maintenance contracts.
- The IT Support team and Vendor are alerted to any hardware issues for quick resolution;
- Obsolete hardware is replaced when no longer covered by maintenance / warranty.

4.3.4 Security

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

- Hard copy records stored on site are stored in a room accessible only by authorized staff;
- Hard copy records stored offsite at Iron Mountain facility are protected by electronic intruder detection systems with back-to-base alarms;
- Digital records are stored within the City's EDRMS and are backed up on a regular basis;

- Employee access to the City's records is in accordance with designated access and security classifications and only in accordance with the requirements of the individual's role; and
- Access to the City's server room is limited to IT employees with the required security access cards.

4.3.5 Storage Reviews

The majority of the City's records are stored in digital format and are held within the EDRMS or other business systems which are managed /reviewed daily by the IT support team. Scanned source records are held onsite until destroyed. The area where they are stored is used on a daily basis, so storage conditions are reviewed regularly.

4.3.6 Recovery of Lost Information

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

- Business Continuity Plans in place;
- Back up of electronic records;
- Offsite storage of backups; and
- Offsite storage of archives.

4.4 Identified Areas for Improvement

Although the City's Vital Records Program is working effectively, this is regularly reviewed in line with the City's Policy & Procedure Development & Review Framework. The results of the survey will be used to improve current practices and procedures for the management of Vital Records. It is anticipated that it will be completed by **December 2024**.

5 Principle Five: Retention and Disposal

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

5.1 General Disposal Authority for Local Government Records

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

5.2 Disposal of Source Records

The City of Wanneroo has established procedures to scan all incoming and hard copy, correspondence in accordance with the requirements of the *General Disposal Authority for Source Records* and the *SRO Guideline: Digitization Specification*. The original hard copy correspondence, once reproduced electronically, will be treated as copies/duplicates and as such will be retained for a period of six months to meet operational requirements and then destroyed.

Refer to *Attachments 5a Scanning Procedure and Attachment 5b Registration of Hard Copy Documents Procedure*

5.3 Existing Ad Hoc Disposal Authorities

The City of Wanneroo does not use any Ad Hoc Disposal Schedules.

5.4 Existing Disposal Lists

The City of Wanneroo has not developed a Disposal List.

5.5 Restricted Access Archives

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

5.6 Transfer of Archives

An Archives Transfer Request form has not been submitted to the SRO.

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

5.7 Non-Transfer of Archives

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

5.8 Disposal Program Implemented

The City of Wanneroo has implemented the *General Disposal Authority for Local Government Record*s and conducts a regular disposal program on an annual basis. *See also Section 5.2 Disposal of Source Records.*

Planning has commenced for the implementation of a disposal program for digital records i.e., a review of existing file closure practices and training in the application of the EDRMS retention disposal module before commencing the disposal program.

Please refer to *Attachment 6a* for the *Records Archiving, Retention and Disposal Procedure* and *Attachment 6b shows* recent authorised lists of records for disposal.

5.9 Authorisation for Disposal of Records

The City of Wanneroo's process for the review and authorisation of records includes a review by the Director Corporate Strategy and Performance (authorised by CEO) with other signatories such as the Archivist, Team Leader Information Management and relevant Business Unit Managers. Once reviewed and signed these records are authorised for destruction or transfer.

Scanned source records which are reviewed and authorised for destruction by the Director Corporate Strategy and Performance (authorised by CEO) and the Team Leader Information Management. Once reviewed and signed these records are authorised for destruction.

5.10 Identified Areas for Improvement

Planning has commenced for the implementation of a disposal program for digital records i.e., a review of existing file closure practices and training in the application of the EDRMS retention disposal module before commencing the disposal program.

Training and a review of file closure practices and development of procedures will be completed by **December 2023.**

6 Principle Six: Compliance

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

6.1 Staff Training, Information Sessions

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

Table 6.1

Activities to ensure staff awareness and compliance	YES	NO
Presentations on various aspects of the City of Wanneroo's recordkeeping program are conducted. These are delivered to all staff on a regular basis.	√	
In-house recordkeeping training sessions for staff are conducted.	√	
From time to time an external consultant is brought in to run a recordkeeping training session for staff. Staff are also encouraged to attend training courses outside the organisation whenever practicable.	√	
Staff information sessions are conducted on a regular basis for staff as required.	√	
The City of Wanneroo's provides brochures or newsletters to publish recordkeeping information, highlight issues, or bring particular recordkeeping matters to staff attention.		√ Intranet is used
The City of Wanneroo's Intranet is used to publish recordkeeping information, highlight issues, or bring particular recordkeeping matters to staff attention.	√	
The City of Wanneroo's Induction Program for new employees includes an introduction to the organisation's recordkeeping system and program, and information on their recordkeeping responsibilities. *See Attachment 7 for the Induction Manual*	√	

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

6.2 Performance Indicators in Place

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

- The City's Information Management Officers undertake a Quality Assurance Task, which entails searching for the records registered on the previous day and reviewing the titling conventions applied by the end user;
- The Information Management Officers apply a quality checking process to all documents before they are scanned and registered into the EDRMS. This ensures that all records are scanned in accordance with the digitisation specifications requirements as set out by the State Records Office; and
- The City of Wanneroo proactively audits the EDRMS database.

6.3 Agency's Evaluation

The City of Wanneroo actively reviews its recordkeeping systems via:

- Internal/external audits;
- Information Management Team reviews; and
- Departmental and user feedback.

Based on these evaluations the City's recordkeeping systems are assessed as being efficient and effective, however the Information Management Team have identified a number of areas within the recordkeeping system which require review e.g.:

- Review of policies and procedures;
- Implementation of recommendations from the BCS review;
- Review and updating of Vital Records program; and
- Implementation of a disposal program for digital records.

These projects will be undertaken by the Information Management Team through the City's planned service planning process.

6.4 Annual Report

An excerpt from the City of Wanneroo's latest Annual Report is attached, demonstrating the organisation's compliance with the *State Records Act 2000*, its Recordkeeping Plan and the training provided for staff. Please refer to *Appendix 7*

6.5 Identified Areas for Improvement

As per *Section 6.3* for Identified Areas for Improvement

7 SRC Standard 6: Outsourced Functions

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

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

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

7.1 Outsourced Functions Identified

Refer to *Appendix 1* for those functions outsourced.

7.2 Recordkeeping Issues Included in Contracts

Refer to *Appendix 8* for excerpts of clauses addressing recordkeeping issues in contracts for outsourced functions.

7.2.1 Planning

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

7.2.2 Ownership

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

7.2.3 Control

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

7.2.4 Disposal

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

7.2.5 Access

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

7.2.6 Custody

Custody arrangements between the City of Wanneroo and the contractor(s)/agent(s) for State records stored on and off site by the contractor are specified in Section 39 of the Supply contract as indicated in *Clause 39 of the Supply Contract* – please refer to *Appendix 8*

7.2.7 Contract Completion

All arrangements regarding record custody, ownership, disposal and transfer upon the completion of the contract(s)/agreement(s) are specified in the contract(s)/agreement(s) as indicated in Clause 39 of the Supply Contract – please refer to *Appendix 8.*

APPENDICES

APPENDIX 1 **Functions of the Local Government**			
Function	***Brief Description of the City of Wanneroo's Functions***	***Performed by the City Tick if Yes***	***Performed by an External Agency Tick if Yes***
Commercial Activities	The function of competing commercially or providing services to other local governments or agencies on a fee for service basis. Includes undertaking activities on a consultancy or contract basis.	√	√
Community Relations	The function of establishing rapport with the community and raising and advancing the Council's public image and its relationships with outside bodies, including the media and the public.	√	
Community Services	The function of providing, operating or contracting services to assist local residents and the community.	√	√
Contracts and Procurement	The function of procuring goods, services and works and managing resulting contracts	√	
Corporate Management	The function of applying broad systematic planning to define the corporate mission and determine methods of the City's 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 council.	√	
Development & Building Controls	The function of regulating and approving building and development applications for specific properties, buildings, fences, signs, antennae, etc. covered by the Building Code of Australia and the Environment Protection Authority (EPA).	√	√
Economic Development	The function of improving the local economy through encouragement of industry, employment, tourism, regional development and trade.	√	
Emergency Services	The function of preventing loss and minimising threats to life, property and the natural environment, from fire and other emergency situations.	√	
Energy Supply & Telecommunications	The function of providing infrastructure services, such as electricity, gas, telecommunications, and alternative energy sources.	√	
Environmental Management	The function of managing, conserving and planning of air, soil and water qualities, and environmentally sensitive areas such as remnant bushlands and threatened species.	√	√
Financial Management	The function of managing the City's financial resources.	√	√

APPENDIX 1 **Functions of the Local Government**			
Function	***Brief Description of the City of Wanneroo's Functions***	***Performed by the City Tick if Yes***	***Performed by an External Agency Tick if Yes***
Government Relations	The function of managing the relationship between the Council and other governments, particularly on issues which are not related to normal Council business such as Land Use and Planning or Environment Management.	√	
Governance	The function of managing the election of Council representatives, the boundaries of the City, and the terms and conditions for council members.	√	
Grants & Subsidies	The function of managing financial payments to the City from the 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 & Planning	The function of establishing a medium to long term policy framework for the management of the natural and built environments.	√	
Laws & Enforcement	The function of regulating, notifying, prosecuting, and applying penalties in relation to the Council's regulatory role.	√	√
Legal Services	The function of providing legal services to the City.	√	√
Parks & 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 & 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. Does not include the acquisition of information technology and telecommunications.	√	√
Public Health	The function of managing, monitoring and regulating activities to protect and improve public health under the terms of the Public Health Act, health codes, standards and regulations.	√	
Rates & Valuations	The function of managing, regulating, setting and collecting income through the valuation of rateable land and other charges.	√	

APPENDIX 1 **Functions of the Local Government**			
Function	***Brief Description of the City of Wanneroo's Functions***	***Performed by the City Tick if Yes***	***Performed by an External Agency Tick if Yes***
Recreation & Cultural Services	The function of the City in arranging, promoting or encouraging programs and events in visual arts, craft, music, performing arts, sports and recreation, cultural activities and services.	√	
Risk Management	The function of managing and reducing the risk of loss of the City's properties and equipment and risks to personnel.	√	√
Roads	The provision of road construction and maintenance of rural roads and associated street services to property owners within the City's area.	√	
Sewerage & Drainage	The function of designing and constructing, maintaining and managing the liquid waste system, including drainage, sewerage collection and treatment, stormwater and flood mitigation works.	√	√
Traffic & Transport	The function of planning for transport infrastructure and the efficient movement and parking of traffic. Encompasses all service/facilities above the road surface and includes all forms of public transport.	√	
Waste Management	The function of providing services by the City to ratepayers for the removal of solid waste, destruction and waste reduction.	√	
Water Supply	The function of managing the design, construction, maintenance and management of water supplies, either by the City or by service providers.		√

APPENDIX 2 **Legislation and Regulations that may be wholly or partly administered by Local Government, and Local Laws of the Local Government**	
Legislation, Regulations and Local Laws	***Tick if YES, the City administers***
Agriculture and Related Resources Protection Act 1976	√
Animal Welfare Act 2002	√
Building Act 2011	√
Building Regulations 2012	√
Bush Fires Act 1954	√
Bush Fire Regulations	√
Caravan Parks and Camping Grounds Act 1995	√
Caravan Parks and Camping Grounds Regulations 1997	√
Cat Act 2011	√
Cemeteries Act 1986	√
Dangerous Goods Safety Act 2004	√
Disability Services Act 1993	√
Dog Act 1976	√
Dog Regulations 2013	√
Emergency Management Act 2005	√
Environmental Protection Act 1986	√
Environmental Protection (Noise) Regulations 1997	√
Fire and Emergency Services Act 1998	√
Fire Brigades Act 1942	√
Food Act 2008	√
Food Regulations 2009	√
Hairdressing Establishment Regulations 1972	√
Health (Miscellaneous Provisions) Act 1911	√
Health Regulations	√
Heritage of Western Australia Act 1990	√

APPENDIX 2 **Legislation and Regulations that may be wholly or partly administered by Local Government, and Local Laws of the Local Government**	
Legislation, Regulations and Local Laws	***Tick if YES, the City administers***
Land Administration Act 1997	√
Litter Act 1979	√
Liquor Control Act 1988	√
Local Government Act 1995	√
Local Government (Miscellaneous Provisions) Act 1960	√
Local Government Grants Act 1978	√
Local Government Regulations	√
Main Roads Act 1930	√
Parks and Reserves Act 1895	√
Planning and Development Act 2005	√
Radiation Safety Act 1975	√
Radiation Safety Regulations	√
Rates and Charges (Rebates and Deferments) Act 1992	√
Rights in Water and Irrigation Act 1914	√
Residential Design Codes of WA	√
Road Traffic Act 1974	√
Strata Titles Act 1985	√
Telecommunications Act (Commonwealth) 1997	√
Telecommunications (Low Impact Facilities) Determination 1997	√
Transfer of Land Act 1893	√
Valuation of Land Act 1978	√
Waterways Conservation Act 1976	√
Local Laws of the City of Wanneroo	
Animals Local Law 2021	√
Animals Amendment Local Law 2022	√
Bee Keeping Local Law 2016	√
Bush Fire Brigades Local Law 2022	√
Cats Local Law 2016	√
Dog Exercise Areas and Places where dogs are permitted	√

APPENDIX 2 **Legislation and Regulations that may be wholly or partly administered by Local Government, and Local Laws of the Local Government**	
Legislation, Regulations and Local Laws	***Tick if YES, the City administers***
Dogs Local Law 2016	√
Extension to Yanchep Dog Beach	√
Gazettal notice to the repeal of the extractive industries Local Law	√
Fencing Local Law 2021	√
Fencing Local Law Guidelines	√
Health Local Law	√
Parking Local Law 2015	√
Penalty Units Local Law 2015	√
Government Gazette – Private Property Repeal Local Law 2022	√
Public Places and Local Government Property Local Law 2015	√
Repeal Local Law 1999	√
Signs Local Law 1999	√
Site Erosion and Sand Drift Prevention Local Law 2016	√
Standing Orders Local Law 2021	√
Waste Local Law 2016	√

APPENDIX 3 **Other Legislation and Regulations affecting the functions and operations of the Local Government**	
Other Legislation and Regulations	***Tick if YES***
Building Services (Registration) Act 2011	√
Conservation and Land Management Act 1984	√
Contaminated Sites Act 2003	√
Criminal Code 1913	√
Electronic Transactions Act 2011	√
Equal Opportunity Act 1984	√
Evidence Act 1906	√
Freedom of Information Act 1992	√
Freedom of Information Regulations 1993	√
Industrial Awards	√
Industrial Relations Acts (State and Federal)	√
Interpretation Act 1984	√
Legal Deposit Act 2012	√
Library Board of Western Australia Act 1951	√
Limitation Act 1935, 2005	√
Museum Act 1969	√
Occupational Safety and Health Act 1984	√
Occupational Safety & Health Regulations 1996	√
Parliamentary Commissioner Act 1971	√
Police Act 1982	√
Soil and Land Conservation Act 1945	√
State Records Act 2000	√
State Records (Consequential Provisions) Act 2000	√
State Records Commission Principles & Standards	√
Swan and Canning Rivers Management Act 2006	√
Workers Compensation and Injury Management Act 1981	√
Working with Children (Criminal Record Checking Act) 2004	√

APPENDIX 4 **Government and Industry Standards and Codes of Practice that have been imposed upon or adopted by the Local Government**	
Other Legislation and Regulations	***Tick if YES***
Australian Accounting Standards	√
Australian Records Management Standard ISO/AS 15489	√
General Disposal Authority for Local Government Records	√
National Competition Policy	√
Other	N/A

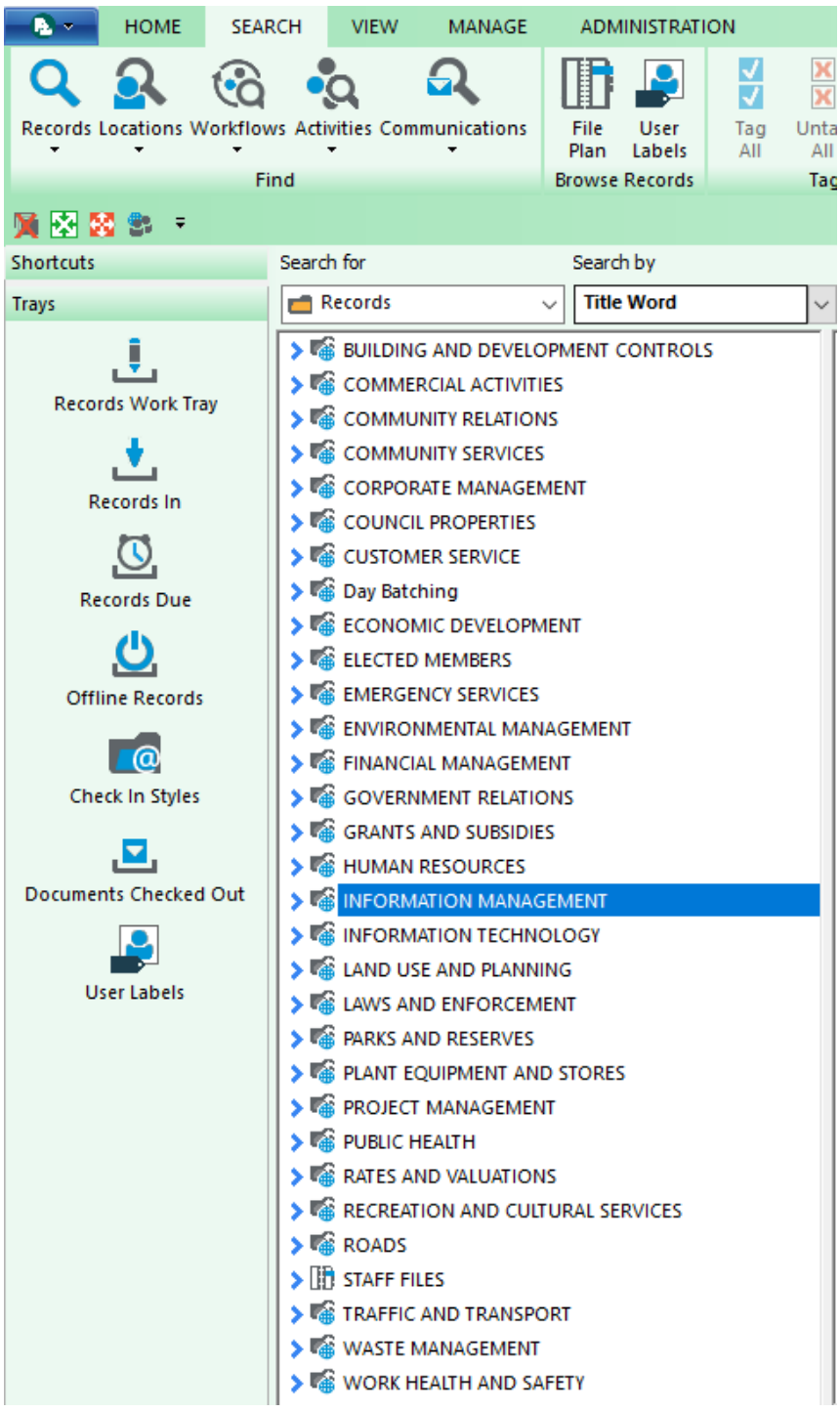
APPENDIX 5 **City of Wanneroo Business Systems**	
Application	**Used For**
Actus	Mobile application for the Customer Relations Management system used in the field
ArcMap	Desktop GIS application
ArgGis Pro	Geographical Information System. This will eventually replace ArcMap
Assetic / Brightly	Asset management and managing the City's land holdings and property under management orders
AusFleet	Vehicle booking system
Avaya	Call recording, capturing communication to City Customer Relation Centre Team and managing Contact Centre System
Azility	Billing system for utilities
Bartco Live	Fire danger rating sign messaging
CAMMS	Corporate Business Plan project monitoring and reporting
Campaign monitor	Managing subscriptions for updates on City services
Citrix Gateway	Remote access to City Systems
Civica Authority	Various applications within the City i.e., customer request management, animal renewals, infringement and fines, health service renewals, verge bond payments, building and development applications, subdivisions, community safety and emergency management, GIS, mobile application available and desktop system, name and address records, rates, rates and property, registers and mobile applications
Content Manager	Electronic Document Management
Contract Management System	Managing Contracts
Culture Counts	Museum tracking
Direct to Mobile (formerly Navman)	Tracking rangers and job allocation

APPENDIX 5 **City of Wanneroo Business Systems**	
Emu	Museum Collection Management
Enquire Grants Management	Grant Management
Envibe	Leisure centre management
Erates (Zipforms)	Collecting eRates registrations
Eventbrite	Manage event and activity bookings across Cultural Services and Communications and Branding.
Exercise pro	A service the City subscribes to that allows fitness plans to be developed. This holds member data and access is controlled by user admins in Aquamotion.
Force Field	Security swipe card access system
Freshdesk	Management of communication request tickets
Google Analytics	Web analytics
I2I	Access to Australian and international standards
Knowledge Management System	Knowledge Management
InfoCouncil	Meeting Papers
Intramaps and Public	Enterprise GIS application deployed through a web browser
Jadu ACC	Animal Care Centre Admissions
Jadu CMS	External website content management
Jadu CXM	Workflow and application management of online forms submitted via XFP
Jadu XFP	Form builder for external website and internal forms
Jira	Issue tracking
KACE	Management of support tickets for IT and Business Systems
Keepass	Collecting username and passwords
Keymaas	Used for key and card management
Keys/Cards Database	An access database that holds the history of keys and card access for City buildings
Lifestyle village application	This is used to generate and view annual rates notifications for lifestyle villages. It is functionality that Authority does not have.
Mail	Email
Mandalay	Tracking payments for tonnage (weigh bridge system)
MapInfo	Desktop GIS application
Milestone	CCTV Monitoring
Navman (GPS) / Director	Vehicle tracking system
NearMe	Public social media experience with GIS data
New Street Tree Database	Requests for new street trees
Nintex Promapp	Process Mapping
No spray list (spreadsheet)	A maintained list of areas being sprayed

APPENDIX 5 **City of Wanneroo Business Systems**	
Application	**Used For**
OGR2OGR	Manipulation of spatial data
Oracle Call Management Solutions	After Hours Service - Call Flows
Oracle Finance	The City's financial management system.
Peoplestreme	Employee Management
Pinforce (infringements and enforcements)	Infringements
PowerBi	Analysing data from multiple data sources
Project Online (PMO)	City project management
QGIS	Desktop GIS application
Ready ontracts	Contract management
Recruitment Reference Checking	Checking references for employments
Reliansys	Monitoring compliance obligations
SAI360	Safety Management System
Shared Location Information Platform (SLIP)	Sourcing location information
Sine	Visitor Management System
Siteimprove	Website governance
Solvinjury	Injury Management
Spark CMS	Intranet content Management
Spira	Quality management System
Spydus	Library Collection Management
Survey monkey	Customer engagement, surveys
Technology One HRP	Payroll
Telstra Integrated Messaging	SMS notifications regarding bushfires and various emergency communications (fire bans etc)
ThirdLight	Digital asset management
Typeform	Surveys in Waste
Ungerboeck	Community Facility Bookings, Community development activity bookings
Variable Message Boards	Variable message board messages
ViewTech3d	Virtual tours of facilities and development
Volunteer Management	Volunteer Management
Workforce Solutions	Awards Interpreter
Zoodata	Firebreak inspections

APPENDIX 6
Sample from the Business Classification Scheme

Function Keywords

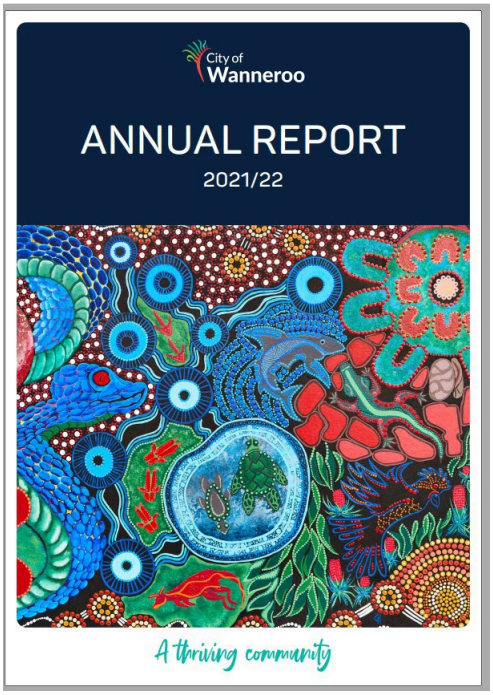


Example of File Titles

Search for: Records | Search by: Date Registered | Matching criteria: 01/01/2023 to 01/05/2023

Record Number	File Plan	Title	Date Registered
2176V03	COMMUNITY SERVICES - ENQUIRIES	COMMUNITY SERVICES - ENQUIRIES - Cultural Development	23/03/2023 at 12:58 PM
2709V03	COMMUNITY SERVICES - ENQUIRIES	COMMUNITY SERVICES - ENQUIRIES - Museum and Community History Services	24/03/2023 at 10:49 AM
2844V08	COMMUNITY SERVICES - MAINTENANCE	COMMUNITY SERVICES - MAINTENANCE - Graffiti - Request Removal	30/01/2023 at 12:10 PM
2844V09	COMMUNITY SERVICES - MAINTENANCE	COMMUNITY SERVICES - MAINTENANCE - Graffiti - Request Removal	11/04/2023 at 3:09 PM
2323V023	COMMUNITY SERVICES - REGISTRATION	COMMUNITY SERVICES - REGISTRATION - Application to keep more than two dogs	08/03/2023 at 12:28 PM
2008V016	CORPORATE MANAGEMENT - CLAIMS MANAGEMENT - Public Liability	CORPORATE MANAGEMENT - CLAIMS MANAGEMENT - Public Liability - Public Liability	24/04/2023 at 11:27 AM
2399V09	CORPORATE MANAGEMENT - COMPLIANCE	CORPORATE MANAGEMENT - COMPLIANCE - Disclosure of Interest	15/02/2023 at 10:00 AM
3111V010	CUSTOMER SERVICE - PUBLIC REACTION - Complaints	CUSTOMER SERVICE - PUBLIC REACTION - Complaints - City Service	30/01/2023 at 3:30 PM
3043V03	CUSTOMER SERVICE - REPORTING - Statistics	CUSTOMER SERVICE - REPORTING - Statistics - Customer Relations Centre	24/04/2023 at 11:42 AM
2417V03	ELECTED MEMBERS - COUNCIL MEETING	ELECTED MEMBERS - COUNCIL MEETING - Ordinary Council Minutes	19/04/2023 at 2:12 PM
1846V02	ELECTED MEMBERS - ELECTIONS - Electoral Rolls	ELECTED MEMBERS - ELECTIONS - Electoral Rolls - Silent Electors - Section 51b Removal of Names	23/01/2023 at 11:55 AM
2360V08	ENVIRONMENTAL MANAGEMENT - INSPECTIONS	ENVIRONMENTAL MANAGEMENT - INSPECTIONS - Septic Tanks	17/01/2023 at 2:04 PM
1984V03	GRANTS AND SUBSIDIES - ENQUIRIES	GRANTS AND SUBSIDIES - ENQUIRIES - Community Funding Program	16/01/2023 at 12:01 PM
2077V07	LAND USE AND PLANNING - ADDRESS ALLOCATION	LAND USE AND PLANNING - ADDRESS ALLOCATION - Address Change	27/03/2023 at 2:32 PM
2897V05	LAND USE AND PLANNING - LOCAL PLANNING SCHEME Vital	LAND USE AND PLANNING - LOCAL PLANNING SCHEME Vital - Local Planning Scheme No 3 - Local Planning Strategy	04/01/2023 at 10:34 AM
3036V07	LAND USE AND PLANNING - SURVEYS	LAND USE AND PLANNING - SURVEYS - Approved Deposited Plans - WAPC and Landgate Approvals	28/04/2023 at 7:50 AM
2012V03	LAWS AND ENFORCEMENT - INFRINGEMENTS	LAWS AND ENFORCEMENT - INFRINGEMENTS - Building	05/01/2023 at 3:07 PM
2017V045	LAWS AND ENFORCEMENT - INFRINGEMENTS	LAWS AND ENFORCEMENT - INFRINGEMENTS - Parking	14/03/2023 at 2:13 PM
2862V024	LAWS AND ENFORCEMENT - INFRINGEMENTS	LAWS AND ENFORCEMENT - INFRINGEMENTS - Barking Dog Complaints	23/02/2023 at 12:25 PM
2346V02	LAWS AND ENFORCEMENT - LICENSING - Food Premises	LAWS AND ENFORCEMENT - LICENSING - Food Premises - Eating house applications	29/03/2023 at 11:06 AM
2356V07	LAWS AND ENFORCEMENT - NOTIFICATIONS - Abandoned Vehicles	LAWS AND ENFORCEMENT - NOTIFICATIONS - Abandoned Vehicles - Impounded/Abandoned Vehicles	08/03/2023 at 3:22 PM
2359V133	LAWS AND ENFORCEMENT - REGISTRATION	LAWS AND ENFORCEMENT - REGISTRATION - Dog Registration	09/01/2023 at 10:44 AM
2359V134	LAWS AND ENFORCEMENT - REGISTRATION	LAWS AND ENFORCEMENT - REGISTRATION - Dog Registration	21/01/2023 at 9:54 AM
2359V135	LAWS AND ENFORCEMENT - REGISTRATION	LAWS AND ENFORCEMENT - REGISTRATION - Dog Registration	09/02/2023 at 11:18 AM
2359V136	LAWS AND ENFORCEMENT - REGISTRATION	LAWS AND ENFORCEMENT - REGISTRATION - Dog Registration	23/02/2023 at 2:17 PM
2359V137	LAWS AND ENFORCEMENT - REGISTRATION	LAWS AND ENFORCEMENT - REGISTRATION - Dog Registration	13/03/2023 at 11:29 AM
2359V138	LAWS AND ENFORCEMENT - REGISTRATION	LAWS AND ENFORCEMENT - REGISTRATION - Dog Registration	29/03/2023 at 1:08 PM
2359V139	LAWS AND ENFORCEMENT - REGISTRATION	LAWS AND ENFORCEMENT - REGISTRATION - Dog Registration	21/04/2023 at 11:39 AM
2690V020	PLANT EQUIPMENT AND STORES - ACQUISITION	PLANT EQUIPMENT AND STORES - ACQUISITION - Purchasing - Plant - Quotations Evaluations	01/03/2023 at 5:47 PM

APPENDIX 7
Excerpt from Annual Report



INFORMATION MANAGEMENT

The State Records Act 2000 requires the City to have an approved Recordkeeping Plan (RKP) to detail the way we keep our records.

The City's Recordkeeping Plan was adopted in May 2018. We have a dedicated Information Management team to ensure that our records and information management practices are accurate and align with the relevant legislation and the RKP, alongside various management procedures to support business areas across the City.

In 2022/23 we will review our Recordkeeping Plan.

We improved our records and information management services in 2021/22 by:

- Implementing the IM Quality Management Program to support effective implementation of the RKP
- Reviewing our business classification scheme language and terminology against current standards and industry best practice with a view to improving business practices
- Improving our digitisation procedure to align with State Records Office specifications, resulting in reduced quantity of temporary hard copy records and associated storage costs.
- Developing an information management intranet page to support the ongoing provision of recordkeeping advice and the use of our Electronic Document and Records Management System (EDRMS)
- Leveraging EDRMS functionality and providing targeted system training to specific business areas for improved outcomes
- Integrating the EDRMS and corporate business systems to create efficiencies and reduce duplicated effort.
- Providing a high-quality Helpdesk support to a diverse EDRMS customer-user base and responding to a variety of enquiries
- Improving the skillset of Information Management team members through training and the sharing of knowledge.

APPENDIX 8
Recordkeeping Conditions in Contracts

Below is a snip from the returnable Schedule 10 contained in the City's Request for Tender (RFT) documents and a copy of the Record Keeping Requirements (conditions of contract clause 39) that is contained in tender documents. The conditions of contract are provided by the City's legal team.

RECORD KEEPING:
In accordance with clause 39 of the Supply Contract, I/we certify to undertake all record keeping requirements of the record keeping clauses set out in this documentation and as required by the State Records Commission under the State Records Act 2000 (WA) and the City of Wanneroo Recordkeeping Plan.

NAME OF TENDERER:		
SIGNATURE OF TENDERER:		**DATE:**

Contract Clause 39:
Record Keeping Requirements

39.1 The requirements in this clause 39 are the minimum requirements the Contractor must follow and do not limit any other obligations of the Contractor under this Supply Contract (including clause 9).

39.2 The Contractor must at all times maintain accurate, complete and up-to-date records which demonstrate its performance of, and compliance with, this Supply Contract, including:
(a) any records which the Contractor is required to keep in order to comply with its obligations under this Supply Contract; and
(b) any other records which a prudent and professional organisation would hold if it were required to perform the Contractor's obligations under this Supply Contract,
and such records must:
(c) include appropriate audit trails for transactions performed;
(d) be kept in a manner that permits them to be conveniently and properly audited;
(e) be maintained in such a way as to:
(i) facilitate any action undertaken by the Principal;
(ii) allow a proper scrutiny of the conduct of the Contractor's business by appropriate authorities; and
(iii) protect the financial, legal and other rights of the Principal, its clients, and any third parties affected by its actions and decisions;
(f) be controlled, as applicable, using:
(i) version control; and
(ii) date of last update and by whom;
(g) be made available to the Principal on request; and
(h) be governed by an appropriate retention and disposal management plan.

39.3 The Contractor acknowledges that the records it holds in connection with this Supply Contract may be subject to a request under the Freedom of Information Act received by the Principal, and such records are to be immediately returned to the Principal for review in such circumstances. If the return of the records impacts on the Contractor's performance of its obligations under this Supply Contract, the Principal will consider any concerns the Contractor may raise.

39.4 The Contractor must (at its own cost and expense), for the duration of this Supply Contract, provide the Principal with all assistance reasonably requested by the Principal to assist the Principal in complying with its obligations under the *State Records Act 2000* (WA) and with the Principal's records management plan, where such compliance is in respect of records created, or to be created, by the Contractor on behalf of the Principal in accordance with this Supply Contract.

39.5 The Contractor must, in respect of records created during the term of this Supply Contract, retain such records for the retention period set out for that class of record in the General Disposal Authority for Local Government Records RD 2010046 as amended or replaced from time to time.

39.6 Contractors must not knowingly destroy records once they are aware of any impending legal action relating to this Supply Contract by any contractual parties or by any third parties or is subject to an investigation by an appropriate investigating body. Any action of this nature must lead to the suspension of any disposal action of all records once the retention timeframe has been met on those records.