



SHIRE OF JERRAMUNGUP

RECORDKEEPING PLAN

2021

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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 (RKP) 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 Shire of Jerramungup 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 Shire of Jerramungup Recordkeeping Plan are to ensure:

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

In accordance with section 17 of the Act, the Shire of Jerramungup and all its employees are legally required to comply with the contents of this Plan.

This Recordkeeping Plan applies to all:

- Shire of Jerramungup Employees;
- Shire of Jerramungup Contractors;
- Organisations performing outsourced services on behalf of the Shire Of Jerramungup; and
- Shire of Jerramungup Elected Members.

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

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

This requirement should be met through the creation and retention of records of meetings of Council and Committees of Council of local government and other

communications and transactions of Elected Members which constitute evidence affecting the accountability of the Council and the discharge of its business.

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

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

This Recordkeeping Plan supersedes Recordkeeping Plan 2016003 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) 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 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 Shire is located within the Great Southern region of Western Australia, 180 kilometres northeast of Albany and 440 kilometres southeast of the state capital, Perth. The Shire covers an area of 6,507 square kilometres and has a population of approximately 1,133. The area is recognised as a strong agricultural region for grain and livestock production, with high biodiversity values, strong tourism potential and various mining prospects. The Shire is recognised internationally for its biodiversity and human interaction with the landscape.

The town of Jerramungup was established in 1953 as a war service settlement area and gazetted in 1957. The Shire of Jerramungup was established as its own local authority on 1 July 1982 having been annexed from the Shire of Gnowangerup. Although it is only a relatively young municipality, it is rich in history and proud of its heritage.

The town of Bremer Bay is developing rapidly with a growing aquaculture industry and is attracting increasing tourism activity. Bremer's unspoilt coastline invites fishing, beach combing, whale watching, surfing and swimming. Bremer Bay derives its name from the bay on which it is located. The bay is believed to have been named by John Septimus Roe, the Surveyor-General, who visited the area in 1831. The area was originally settled in the 1850's and Bremer Bay was originally named Wellstead in 1951 but locals petitioned to have the town renamed to what it was locally known as, this being Bremer Bay. The change of name was approved by the Minister for Lands and the new name gazetted in 1962.

The area is also synonymous with a unique and picturesque natural environment highlighted by the presence of the Fitzgerald River National Park and the Bremer Canyon. The Fitzgerald River National Park, located east of Jerramungup and Bremer Bay, and easily accessible from both towns, is one of the largest national parks in Australia. It contains 20 per cent of the State's described plant species. The park covers 329,039 hectares and is one of the most diverse botanical regions in the world, featuring more than 1,800 species of plants. The Fitzgerald River National Park (FRNP) forms the core of the Fitzgerald Biosphere, one of Western Australia's two internationally recognised Biosphere Reserves, designated under the UNESCO Man and the Biosphere Program.

The Shire of Jerramungup lies within the Wagyl Kaip region which is acknowledged as being the traditional lands of the Noongar People who since time immemorial have inhabited the lands and are acknowledged to have a continuing living cultural, spiritual, familial and social relationship with Noongar boodja (Noongar earth) and the Shire pays its respect to elders past and present.

1.2 Strategic Focus and Main Business Activity

The Shire of Jerramungup is constituted as a Local Authority under the *Local Government Act 1995*. The general function of a local government is to provide for the good government of persons within its district and includes general legislative and executive powers and functions.

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

The local government's executive powers involve administering its local laws and other actions as necessary or convenient to be done for, or in connection with, performing its functions under the *Local Government Act 1995*, including the provisions of services and facilities.

Shire of Jerramungup staff members were assigned the responsibility to develop a mission and values statement for the organisation. These statements now guide our behaviour within the workplace as they outline the organisations minimum expectations with regard to staff.

- **Jerramungup 2021 Vision** – The Shire of Jerramungup will provide leadership to maintain our identity by promoting social and economic development whilst embracing our unique natural environment.
- **Jerramungup Mission Statement** – Progressive, Prosperous and a Premium Place to Live and Visit.
- **Jerramungup Values:**
 - **Quality** – We ensure quality in everything we do
 - **Trust** – We are trustworthy and act with honesty and integrity at all times
 - **Respect** – We treat each other, all members of our community and visitors with respect
 - **Unity** – We are a united team
 - **Aspire** – We aspire to continuously improve our skills and the services we deliver for our community

1.3 Functions, including those Outsourced

Refer to Appendix 1.

1.4 Major Stakeholders

SRC Standard Ref: 1.1d

The Shire of Jerramungup recognises Elected Members, employees, residents, ratepayers and the general public as its major stakeholders.

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

1.5 Enabling Legislation

SRC Standard Ref: 1.2a Source *Local Government Act 1995*.

The Shire of Jerramungup is constituted as a district under the *Local Government Act 1995*. The general function of a local government is to provide for the good government of people living and working within its district and includes legislative and executive powers and responsibilities.

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

1.6 Legislation and Regulations Administered by the Shire of Jerramungup

Refer to Appendix 2.

1.7 Other Legislation Affecting the Shire of Jerramungup

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

The Shire of Jerramungup currently uses the Synergy Soft computer program.

Synergy Soft is an integrated system that lets all employees within the Shire access their own department modules as well as other departments if needed.

2.1.1 Records Management System

- The Shire of Jerramungup has been using Synergy Soft since 2010, Synergy Soft is comprised of 10 categories which are used by each department to do their daily works this includes creditor, debtor's admin/front desk, records, Executive, etc.
- Synergy soft being a fully integrated system means that all daily work that is being carried out in any department that needs to be added to records is automatically given a file and record number and added into the records system.
- The records management system is paper based; the Records Officer is responsible for scanning the records and emails to Synergy Soft for access purposes. The original paper copies are placed on the file.
- Records Registration Module for Synergy Soft was implemented on 4 January 2010.
- All previous manual records have been scanned and placed on the Records Registration Module of Synergy Soft.
- The Shire of Jerramungup has no plan to change the records management system.

2.1.2 Business Information System/s

The Shire also uses Synergy Soft modules to capture the following information. All the modules interact with each other on a hierarchical basis to retrieve and populate information. This ensures consistency across all modules and the ability to access relevant information from other modules, within the module you are working in.

Rates – contains information associated with all properties within the Shire such as – rates charges and history, rates and interest payments and status, ratepayer details, size and zoning, land usage, Gross Rental Value and land parcel details. Contains rate records and is used to create the Rate Book.

Debtors – Accounts receivable information, including outgoing invoices and remittance information.

Creditors – Accounts payable information, including purchase orders, supporting documentation and authority; incoming invoices, payment authority.

Payroll – The payroll module contains historical and current employee payment details, employee details, personnel details and superannuation details.

Dogs – Registration details of all dogs within the Shire.

Cats – Registration details of all cats within the Shire.

Infringements – Details of all infringements issued within the Shire.

Plant – Details of all plant owned by the Shire of Jerramungup.

Building – Applications for building and demolition permits. Includes permit conditions and plans.

Town Planning – Applications for developments including subdivisions and amalgamations. Includes approvals, conditions and associated plans.

Cemetery – Currently being reviewed for population. May contain administration details such as the grant of right, monument details and grave numbers.

Electoral Roll – Electoral roll maintenance, production of WA Electoral Commission files and electoral processing.

Mapping – Contains aerial mapping of the Shire of Jerramungup with various overlays. Links to many other modules. Contains information such as rates charges and history, rates and interest payments and status, ratepayer details, size and zoning, land usage, gross rental value and land parcel details.

Names and Addresses – A database of all ratepayers, creditors, debtors, community organisations, government departments and Ministers as well as residents of the Shire and the general public that have corresponded with the Shire at some time. Information stored includes names, residential and postal addresses, telephone and email details and memos associated with the person/company. This is the main database that feeds down to other modules when updated.

All of the modules mainly house metadata. Correspondence in the form of forms, emails, invoices, applications and approvals etc. are all captured in the Central Records module either via the individual module or a link.

2.2 Records Management Policy and Procedures

The creation and management of records is coordinated by the Shire of Jerramungup Records Officer.

For the recordkeeping policy and procedures of the Shire of Jerramungup please [refer to Appendix 5](#).

- *The policies and procedures have been established;*
- *The roles and responsibilities for all employees are defined;*
- *The organisational scope of the policies and procedures has been addressed e.g. their applicability to regional branches or outsourced contractors; and*
- *The policies and procedures have been authorised at an appropriate senior level and are available to all employees.*

Table 2.1

Recordkeeping Activities covered in the Shire of Jerramungup Policies and Procedures	YES	NO
Correspondence Capture and Control – including incoming and outgoing mail registration; responsibilities assigned for classifying, indexing and registration; file titling and file numbering conventions. Include specific provisions for capture and control of Elected Members’ correspondence.	✓	
Digitisation – including categories of records digitized; disposal of source records; digitisation specifications. <i>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 digitising, in accordance with the General Disposal Authority for Source Records.</i>		✓
Mail Distribution – including frequency, tracking mechanisms and security measures.	✓	
File Creation and Closure – including assigned responsibility and procedures for both physical and automated file creation.	✓	
Access to Corporate Records – procedures for access to and security of corporate records.	✓	
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: <i>Managing Digital Information</i> .	✓	

2.3 Certification of Policies and Procedures

Evidence of formal authorisation that the draft policies and procedures are in place and promulgated throughout the Shire of Jerramungup is provided by the CEO signature on the signed documentation. *Please refer to Appendix 5 and Appendix 6.*

2.4 Evaluation of Policies and Procedures

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

3 Principle Three: Language Control

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

3.1 Keyword for Councils Thesaurus Implemented

The Shire of Jerramungup has adopted and implemented the Keyword for Councils thesaurus for the titling of all its records.

3.2 Assessment of its Effectiveness

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

3.3 Identified Areas for Improvement

Nil at this time. The Keywords for Council Thesaurus is a very useful tool that is used on a daily basis throughout the Shire of Jerramungup and at this stage the Shire has not identified any areas for improvement.

4 Principle Four: Preservation

Government organisations ensure that records are protected and preserved

For the *Records Keeping System – Disaster Recovery Plan* for the Shire of Jerramungup. [Please refer to Appendix 7.](#)

4.1 Assessment of Risks

4.1.1 On Site Storage

The Shire of Jerramungup has its current and active records located onsite at the Shire office, 8 Vasey Street, Jerramungup.

The active files are stored in a large metal compactus that are sited in a storage room within the administration building the metal compactus is kept locked at night. Access to the compactus is by a key which is held by the Records Officer/Customer Services Officer.

Vital records are stored in a fire proof safe within the administration building. The safe is locked every night with limited staff access to the key.

Backup drives are changed every afternoon and are taken off site at night to a secure fire proof lock box located the Shire depot.

The administration building is air conditioned during working hours and has smoke alarms and an electronic alarm fitted to the building.

The majority of inactive files and old archival records are stored in a secure, storage room on appropriate shelving within the administration building.

Excess records awaiting disposal are stored in a secure, fire proof and vermin proof storage room located within the depot building.

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

4.1.2 Offsite Storage

The Shire of Jerramungup has its non-current, inactive and archival records located in an offsite storage facility at lot 289 Newton Street, Jerramungup.

The Shire of Jerramungup has converted an old office located in the Shire depot into our off site archival and inactive records room, the room its self is located within the Shire depot, is insulated and contains the following;

- Fully lockable building with perimeter fencing and CCTV.
- Location has fire alarms and extinguishers.
- Fire retardant lock box.
- Air-conditioning for 12 hours a day.
- Shelving that complies with SRO.

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

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

4.1.3 Storage of Archives

To the best of its financial ability, the Shire of Jerramungup maintains State Archives in accordance with the Directions for keeping State archives awaiting transfer to the State Archives Collection. This is done by:

- Ensuring storage areas are not located in area's that pose environmental risks such as flooding, fire or contamination by waste or vermin;
- Ensuring items are stored in dry, temperature and lighting controlled (via air-conditioning and structural standards i.e. no windows) to reduce the risk of mould.

Furthermore, all shelving is of quality metal and files stored in boxes are kept closed to reduce damage by light. Security of the buildings, rooms and storage cabinets is of a high standard (CCTV, access controlled and/or key entry and areas are accessed on a regular basis and checked for signs of vermin or mould.

4.1.4 Storage of Backups

Electronic backups of the Shire of Jerramungup computer records are held in the safe located at the Shire office, 8 Vasey Street Jerramungup on a daily basis then transferred to the safe located at the Shire depot on Newton Street.

4.1.5 Quantity of Records

The Shire of Jerramungup has custody of:

- 50 linear metres of temporary hard copy records stored onsite;
- 45 linear metres of temporary hard copy records stored offsite;
- 10 linear metres of hard copy State archives stored onsite/offsite;
- 28 Tb of digital records/information/data.

4.1.6 Security and Access

The following measures are in place at the Shire of Jerramungup to ensure the security of its records, both hard copy and electronic, and authorised access to them:

- The administration building can only be accessed via a monitored key card system called Salto (after hours), which is supported by a back to base alarm system.
- Security levels are assigned to records to allow restriction to employees electronically.
- The Records Officer holds the key for the compactus; staff place a request to the Records Officer if the hard copy file is required. The Records Officer is then responsible for distributing the hard copy file to staff.
- Confidential and personnel documents are located in the Deputy Chief Executive Officer's office in a lockable filing cabinet; access for these records needs to be obtained by the Deputy Chief Executive Officer or the Chief Executive Officer.
- Archive room at Newton Street is locked at all times and access needs to be approved by an executive staff member or Records Officer.
- Shire of Jerramungup has CCTV and a fully enclosed lockable yard located on Newton Street where the archivals room is located.

4.2 Assessment of the Impacts of Disasters

As stated previously, the risk of a disaster occurring to the records of the Shire of Jerramungup has been assessed as low. The impact of a disaster on the organisations 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 and the most data that would be lost would be one hour.

4.3 Strategies in Place for Preservation and Response

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

- Multiple tier power sources
- Power surge protection
- Security of buildings and server rooms
- Access controls
- Fire rated main file storage room
- Pest control
- Fire detection
- Strong metal racks for servers and file storage compactus
- Backups in a separate location enabling fast recovery
- Multiple layered backup procedures
- Strong policies surrounding physical records
- Cyber-attack mitigation

4.3.1 Vital Records Program

A vital records program has been developed for the Shire of Jerramungup.

Vital records have been identified as a record that is essential for preserving, continuing or reconstructing the operations of the organisation, its employees, its customers and its stakeholders in the event of a disaster or an emergency affecting the conduct of the organisation.

The Shire of Jerramungup has an established vital records program through Synergy Soft. After the creation of a vital record, Synergy Soft will place it in the Vital Records file. All of the vital Records held with in Synergy Soft can be seen when producing a Vital Records Report, this report will give a print out of all records and where they can be found in the compactus or DCEO's office.

Vital records in hard copy are stored in a locked, fire resistant safe, accessible to senior staff and the records officer. These records have been copied and the copies are placed on the relevant files and are used for all normal business activities.

The Shire of Jerramungup recognises the following categories as vital records:

- Certified bound volumes of Council Minutes and Agendas.
- Contracts/Agreements/MOU – with Community groups, government departments, banks, police, Bushfire Brigades, DFES etc.
- Leases – Council properties, Mining Tenement.
- Licenses – including Firearms, ERA (Water), Waste Disposal (DWER).
- Staff residential leases.
- Bank Guarantee's.
- Shire Loan documentation (our own and those extended to community groups).
- Land Management Orders.
- Local Government Registers – Gift, Disclosure etc.
- Cemetery Records.
- Personnel Records.

4.3.2 Backup Procedures for Electronic Records

Electronic records of the Shire of Jerramungup are backed up daily. The back-ups are stored in the safe at the Shire of Jerramungup, 8 Vasey Street Jerramungup then transferred to the safe located at the Shire Depot, Newton Street Jerramungup. Hard drives are rotated daily.

4.3.3 Preservation of Electronic Records

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

- Digital storage media, including removable storage devices, is refreshed as necessary to prevent data loss, media used to store electronic information is periodically checked *6 monthly* to ensure the information is accessible and readable;
- Electronic records requiring long term retention are maintained in an appropriate format for long term preservation. All records and business information since the inception of the eDRMS are accessible on separate hard drives which are kept off site in a fire proof safe.

4.3.4 Security

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

- Access to the Administration building is controlled by monitored Key card entry for staff during and after hours. The building is fitted with a "Back to Base" intruder alarm system.
- Hard copy records are stored in a locked/secure room accessible to Records/Executive staff by authorisation.
- Files are not to be removed from the building without the knowledge of the Records

Officer. Files removed are managed and monitored in the eDRMS.

- Hard copy records stored offsite are located at Newton Street, Jerramungup in a locked fire proof facility accessible by keys held by the Records Officer.
- Vital Records and backups are stored at the safe located at the Jerramungup Depot then transferred to the Shire safe.
- Confidential and personnel hard copy records are located in a locked filing cabinet in the Deputy Chief Executive Officer's, office.
- Electronic records have varying degrees of access depending on delegations assigned to staff within the organisation. Files assigned with a level 99 access can only be accessed by Executive Staff only. Electronic records are backed up on a regular basis as described previously.
- Access to electronic records is managed on several levels, initially by controlling access to the Central Records module. Access is further controlled by security levels being allocated to files within the eDRMS. Lastly staff are only provided access to file security levels appropriate to their work requirements.
- Access to all systems is controlled by managed login accounts with password

4.3.5 Storage Reviews

The records storage facilities utilised by the Shire of Jerramungup are reviewed annually to ensure that conditions are appropriate for the organisation's records.

Periods of inspection are as follows:

- Storage facilities within the administration building are continually checked during daily access (Monday to Friday). CCTV and building access controls are in place for after hours.
- ARM off-site storage – visited and inspected at least bi-annually.
- Server room is accessed daily.
- Backups are checked on a daily basis.

4.3.6 Recovery of Lost Information

The Shire of Jerramungup has developed a set of quick response strategies to recover lost information, in all formats, should a disaster occur:

- In the event that physical files are lost or damaged, an estimated 95% of records stored inside the main building are recorded and stored electronically. It is expected that minimal loss would occur, due to the multi-leveled backup procedures in place for information stored electronically on servers;
- duplication of hard copy vital records;
- back up of electronic records;
- offsite storage of backups.

4.4 Identified Areas for Improvement

After a review of our offsite storage facility in January 2020 it was brought to our attention that the climate control of the archival room at the depot was substandard, it was then decided that we would utilise one of the spare offices in the depot and convert it into the new archival room.

This room now complies with the standards outlined in Directions for keeping hardcopy State archives awaiting transfer to the State Records Office as do all of our other storage sites.

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 Shire of Jerramungup 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 Shire of Jerramungup has established procedures to scan all incoming, hard copy, correspondence in accordance with the requirements of the *General Disposal Authority for Source Records* and the *SRO Guideline: Digitisation Specification* have been met. The original hard copy correspondence is therefore unable to dispose of in accordance with the GDASR.

5.3 Existing Ad Hoc Disposal Authorities

The Shire of Jerramungup does not have any adhoc disposal authorities. An adhoc disposal authority produced by the State Records Office is awaiting final approval/authorisation to address the retention and disposal of records relating to COVID-19.

5.4 Existing Disposal Lists

The Shire of Jerramungup maintains details of file locations including current, inactive, archived, and permanent within local government and destroyed files. Refer to Appendix 10 for an extract of a recently authorised list of records for disposal.

5.5 Restricted Access Archives

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

5.6 Transfer of Archives

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

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

5.7 Non-Transfer of Archives

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

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

5.8 Disposal Program Implemented

The Shire of Jerramungup has implemented the *General Disposal Authority for Local Government Records* and conducts a regular disposal program on an annual basis.

[Please refer to Appendix 8](#) for a copy of the Document to be Destroyed procedure.

[Please refer to Appendix 9](#) for a copy of a Documents to be Destroyed Sheet.

Authorisation for Disposal of Records

On closure of all volumes of files, the Disposal and Retention action is reviewed to ensure that the code allocated is still suitable – i.e., the significance has not changed over the life of the file.

Before any temporary records are destroyed or State archives are transferred to the State archives collection, a list of those records due for destruction or transfer is reviewed and authorised by the relevant business manager and the CEO prior to the destruction or transfer.

5.9 Identified Areas for Improvement

Nil identified at this stage.

6 Principle Six: Compliance

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

6.1 Staff Training, Information Sessions

The Shire of Jerramungup 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 Shire of Jerramungup 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 Shire of Jerramungup provides brochures or newsletters to publish recordkeeping information, highlight issues, or bring particular recordkeeping matters to staff attention.		✓
The Shire of Jerramungup Intranet is used to publish recordkeeping information, highlight issues, or bring particular recordkeeping matters to staff attention.		✓
The hire of Jerramungup Induction Program for new employees includes an introduction to the organisation's recordkeeping system and program, and information on their recordkeeping responsibilities.	✓	
Ad hoc information is distributed by the Senior Records Officer via email to all staff members on relevant records matters, new procedures, hints and tips or as a reminder of correct procedures.	✓	

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 Shire of Jerramungup recordkeeping systems:

- Fortnightly overdue records report.

Performance indicators *are currently being reviewed and updated* to measure the efficiency and effectiveness of the Shire of Jerramungup's recordkeeping systems. It is planned to have these improvements operational by *December 2022*.

6.3 Agency's Evaluation

There is a need for some reviews of the Shire of Jerramungup's recordkeeping systems in the following areas:

- Ongoing training of staff in regards to mail merges.
- Ongoing training of staff in allocating correct file for documents.

These will be addressed by *December 2022*.

6.4 Annual Report

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

6.5 Identified Areas for Improvement

There is an ongoing issue with staff's continual use of the f: drive over approved recordkeeping systems. This issue is being addressed regularly at staff meetings and via internal correspondence.

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

The Shire of Jerramungup has adapted the sample information included in the State Records Office Records Management Advice October 2019 – Records in Outsourced Arrangements, for inclusion in major contracts and agreements. The information is amended on a case-by-case basis for smaller contracts and agreements.

7.2.1 Planning

The Shire of Jerramungup recognises its responsibilities under the *State Records Act 2000* and the need to comply with this and its own internal procedures. When outsourcing functions the Shire of Jerramungup will consider records management responsibilities and plan accordingly.

7.2.2 Ownership

The Shire of Jerramungup will ensure that the ownership of State records is addressed and resolved during outsourcing exercises. Where possible this will be included in the signed contract/agreement.

7.2.3 Control

The Shire of Jerramungup will ensure that the contractor creates and controls records in electronic or hard copy format, in accordance with recordkeeping standards, policies, procedures and guidelines stipulated by the Shire of Jerramungup.

7.2.4 Disposal

The disposal of all State records which are the product of or are involved in any contract/agreement with the Shire of Jerramungup 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 Shire of Jerramungup and the contractor(s)/agent(s) in the procurement process i.e., contract/agreement negotiations.

7.2.6 Custody

Custody arrangements between the Shire of Jerramungup and the contractor(s)/agent(s) for State records stored on and off site by the contractor will be specified in the contract/agreement as negotiated during the procurement process.

7.2.7 Contract Completion

All arrangements regarding record custody, ownership, disposal and transfer upon the completion of the contract(s)/agreement(s) will be specified in the contract(s)/agreement(s).

7.3 Identified Areas for Improvement

Nil at this time.

APPENDIX 1 – Functions of the Local Government

APPENDIX 1			
Functions of the Local Government			
Function	Brief Description of LG Function	Performed by the LG Tick if Yes	Performed by an External Agency Tick if Yes
<i>Commercial Activities</i>	<i>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.</i>	✓	
<i>Community Relations</i>	<i>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.</i>	✓	
<i>Community Services</i>	<i>The function of providing, operating or contracting services to assist local residents and the community.</i>	✓	
<i>Corporate Management</i>	<i>The function of applying broad systematic planning to define the corporate mission and determine methods of the LG's operation.</i>	✓	
<i>Council Properties</i>	<i>The function of acquiring, constructing, designing, developing, disposing and maintaining facilities and premises owned, leased or otherwise occupied by the LG.</i>	✓	
<i>Customer Service</i>	<i>The function of planning, monitoring and evaluating services provided to customers by the Council.</i>	✓	
<i>Development and Building Controls</i>	<i>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).</i>	✓	
<i>Economic Development</i>	<i>The function of improving the local economy through encouragement of industry, employment, tourism, regional development and trade.</i>	✓	
<i>Emergency Services</i>	<i>The function of preventing loss and minimising threats to life, property and the natural environment, from fire and other emergency situations.</i>	✓	
<i>Energy Supply and Telecommunications</i>	<i>The function of providing infrastructure services, such as electricity, gas, telecommunications, and alternative energy sources.</i>	✓	

APPENDIX 1

Functions of the Local Government

Function	Brief Description of LG Function	Performed by the LG Tick if Yes	Performed by an External Agency Tick if Yes
<i>Environmental Management</i>	<i>The function of managing, conserving and planning of air, soil and water qualities, and environmentally sensitive areas such as remnant bushlands and threatened species.</i>	✓	
<i>Financial Management</i>	<i>The function of managing the LG's financial resources.</i>	✓	
<i>Governance</i>	<i>The function of managing the election of Council representatives, the boundaries of the LG, and the terms and conditions for elected members.</i>	✓	
<i>Government Relations</i>	<i>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.</i>	✓	
<i>Grants and Subsidies</i>	<i>The function of managing financial payments to the LG from the State and Federal Governments and other agencies for specific purposes.</i>	✓	
<i>Information Management</i>	<i>The function of managing the LG's information resources, including the storage, retrieval, archives, processing and communications of all information in any format.</i>	✓	
<i>Information Technology</i>	<i>The function of acquiring and managing communications and information technology and databases to support the business operations of the LG.</i>		✓
<i>Land Use and Planning</i>	<i>The function of establishing a medium to long term policy framework for the management of the natural and built environments.</i>	✓	
<i>Laws and Enforcement</i>	<i>The function of regulating, notifying, prosecuting, and applying penalties in relation to the Council's regulatory role.</i>	✓	
<i>Legal Services</i>	<i>The function of providing legal services to the LG.</i>		✓
<i>Parks and Reserves</i>	<i>The function of acquiring, managing, designing and constructing parks and reserves, either owned or controlled and managed by the LG.</i>	✓	

APPENDIX 1

Functions of the Local Government

Function	Brief Description of LG Function	Performed by the LG Tick if Yes	Performed by an External Agency Tick if Yes
<i>Personnel</i>	<i>The function of managing the conditions of employment and administration of personnel at the LG, including consultants and volunteers.</i>	✓	
<i>Plant, Equipment and Stores</i>	<i>The function of managing the purchase, hire or leasing of all plant and vehicles, and other equipment. Includes the management of the LG's stores. Does not include the acquisition of information technology and telecommunications.</i>	✓	
<i>Public Health</i>	<i>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.</i>	✓	
<i>Rates and Valuations</i>	<i>The function of managing, regulating, setting and collecting income through the valuation of rateable land and other charges.</i>	✓	
<i>Recreation and Cultural Services</i>	<i>The function of LG in arranging, promoting or encouraging programs and events in visual arts, craft, music, performing arts, sports and recreation, cultural activities and services.</i>	✓	
<i>Risk Management</i>	<i>The function of managing and reducing the risk of loss of LG properties and equipment and risks to personnel.</i>	✓	
<i>Roads</i>	<i>The provision of road construction and maintenance of rural roads and associated street services to property owners within the LG area.</i>	✓	
<i>Sewerage and Drainage</i>	<i>The function of designing and constructing, maintaining and managing the liquid waste system, including drainage, sewerage collection and treatment, stormwater and flood mitigation works.</i>	✓	
<i>Traffic and Transport</i>	<i>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.</i>	✓	
<i>Waste Management</i>	<i>The function of providing services by the LG to ratepayers for the removal of solid waste, destruction and waste reduction.</i>	✓	
<i>Water Supply</i>	<i>The function of managing the design, construction, maintenance and management of water supplies, either by the LG or by service providers.</i>	✓	

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

APPENDIX 2	
Legislation and Regulations that may be wholly or partly administered by Local Government, and Local Laws of the Local Government	
<i>Legislation, Regulations and Local Laws</i>	<i>Tick if YES, the LG administers</i>
<i>Agriculture and Related Resources Protection Act 1976</i>	✓
<i>Animal Welfare Act 2002</i>	✓
<i>Building Act 2011</i>	✓
<i>Building Regulations 2012</i>	✓
<i>Bush Fires Act 1954</i>	✓
<i>Bush Fire Regulations</i>	✓
<i>Caravan Parks and Camping Grounds Act 1995</i>	✓
<i>Caravan Parks and Camping Grounds Regulations 1997</i>	✓
<i>Cat Act 2011</i>	✓
<i>Cemeteries Act 1986</i>	✓
<i>Dangerous Goods Safety Act 2004</i>	✓
<i>Disability Services Act 1993</i>	✓
<i>Dog Act 1976</i>	✓
<i>Dog Regulations 2013</i>	✓
<i>Emergency Management Act 2005</i>	✓
<i>Environmental Protection Act 1986</i>	✓
<i>Environmental Protection (Noise) Regulations 1997</i>	✓
<i>Fire and Emergency Services Act 1998</i>	✓
<i>Fire Brigades Act 1942</i>	✓
<i>Food Act 2008</i>	✓
<i>Food Regulations 2009</i>	✓
<i>Hairdressing Establishment Regulations 1972</i>	✓
<i>Health Act 1911</i>	✓
<i>Health Regulations</i>	✓
<i>Heritage of Western Australia Act 1990</i>	✓
<i>Land Administration Act 1997</i>	✓
<i>Litter Act 1979</i>	✓
<i>Liquor Control Act 1988</i>	✓
<i>Local Government Act 1995</i>	✓
<i>Local Government (Miscellaneous Provisions) Act 1960</i>	✓
<i>Local Government Grants Act 1978</i>	✓
<i>Local Government Regulations</i>	✓
<i>Main Roads Act 1930</i>	✓
<i>Parks and Reserves Act 1895</i>	✓
<i>Planning and Development Act 2005</i>	✓

APPENDIX 2

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

<i>Legislation, Regulations and Local Laws</i>	<i>Tick if YES, the LG administers</i>
<i>Radiation Safety Act 1975</i>	✓
<i>Radiation Safety Regulations</i>	✓
<i>Rates and Charges (Rebates and Deferments) Act 1992</i>	✓
<i>Rights in Water and Irrigation Act 1914</i>	✓
<i>Residential Design Codes of WA</i>	✓
<i>Road Traffic Act 1974</i>	✓
<i>Strata Titles Act 1985</i>	✓
<i>Telecommunications Act (Commonwealth) 1997</i>	✓
<i>Telecommunications (Low Impact Facilities) Determination 1997</i>	✓
<i>Transfer of Land Act 1893</i>	✓
<i>Valuation of Land Act 1978</i>	✓
<i>Waterways Conservation Act 1976</i>	✓
Local Laws of the Shire of Jerramungup	
Dogs Local Law	✓
Reserves and Foreshores Local Law	✓
Beach Access Local Law 1997	✓
Parking and Parking Facilities Local Law	✓
Local Government Property Local Law	✓
Dust and Sand Local Law 2011	✓

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

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

APPENDIX 4 – Codes of Practice

APPENDIX 4	
Government and Industry Standards and Codes of Practice that have been imposed upon or adopted by the Local Government	
<i>Other Legislation and Regulations</i>	<i>Tick if YES</i>
Australian Accounting Standards	✓
Australian Records Management Standard ISO/AS 15489	✓
General Disposal Authority for Local Government Records	✓
National Competition Policy	
Other <i>[Please detail any additional items below]</i>	



AP4 – RECORDS MANAGEMENT POLICY

MANAGEMENT PRACTICE: RECORD KEEPING

DELEGATION: N/A

OBJECTIVE

To ensure that the Shire of Jerramungup meets the statutory requirements of the *State Records Act 2000*.

SCOPE

To provide guidance and direction on the creation and management of records and to clarify responsibilities for recordkeeping within the Shire of Jerramungup.

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

POLICY STATEMENT

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

The effective management of records will also:

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

Ownership

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

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

Creation of Records

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

Capture and Control of Records

All records created and received in the course of Shire business will be captured at the point of creation (wherever possible), regardless of format, with required metadata into the recordkeeping system or appropriate business system.

Records created when using social media applications will also be captured in the Shire of Jerramungup's recordkeeping system.

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

Security and Protection of Records

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

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

Access to Records

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

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

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

Appraisal, Retention and Disposal of Records

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

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

Records identified for destruction will be subject to review and approval by the Records Manager, and the Chief Executive Officer.

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

Roles and Responsibilities

1. Elected Members

Elected Members will create and keep records of communications or transactions which convey information relating to the Shire's business or functions. These records will be forwarded to the Chief Executive Officer's Executive Assistant for capture into the Shire's recordkeeping system. Refer to the Elected Members Recordkeeping Guidelines for detailed procedures.

2. Chief Executive Officer

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

3. Executive and Managers

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

4. All Staff

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

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

Refer to the Record Keeping Management Practice for detailed procedures.

Legislation and Standards

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

State Records Act 2000

Corruption and Crime Commission Act 2003

Criminal Code Act Compilation Act 1913

Electronic Transactions Act 2011

Evidence Act 1906

Freedom of Information Act 1992

Interpretation Act 1984

Local Government Act 1995

State Records Commission: Principles and Standards

Australian Standard on Records Management: AS ISO 15489

Definitions

1. Record (*State Records Act 2000*)

For the purposes of this document, a record is defined as meaning "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 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, mechanically, magnetically or electronically.

2. Significant Records

Contain information which is of administrative, legal, fiscal, evidential or historical value and are not recorded elsewhere on the public record. They describe an issue, record who was involved, record why a decision was made, and may embody actual guidelines.

3. Vital Records

Are records that are essential to the continued business of the Shire. Vital records include those that protect the rights of individuals and the Shire and are essential or the Shire's reconstruction in the event of a disaster. Examples of vital records include core computer system records, Council and Committee Minutes and Agendas, Financial and Budget records, Title Deeds, Policy and Procedure Manuals, Registers, Contracts/Tenders, Licences, Historical documents, Delegation of Authority, Insurance Policies, Town Planning Scheme deeds/information and any document detailing approvals of some kind.

4. Ephemeral Records

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

5. Third Party or Public Records (Non-Records)

Are documents that are generally available in the public domain and do not form part of a business process in respect to the Shire's activities. They are generally used for reference and information purposes, such as reports or plans from another organisation, a published directory, or a training manual of a third-party Roles and Responsibilities.

6. Recordkeeping Plan

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

7. General Disposal Authority (GDA)

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

8. Personally Identifiable Information (PII)

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

Relevant Legislation:	<i>Evidence Act 1906</i> <i>Freedom of Information 1992</i> <i>Local Government Act 1995</i> <i>Criminal Code 1913 (section 85)</i> <i>Electronic Transactions Act 2011</i> <i>State Records Act 2000</i> <i>General Disposal Authority for Local Government Records</i>
Related Documents:	Management Practice – Record Keeping Shire of Jerramungup Record Keeping Plan
Related Local Law:	N/A
Related Policies:	N/A
Adopted:	26 May 2021
Last Reviewed:	17 April 2019
Next Review Date:	2023

Chief Executive Officer Authorisation:



Date: 19 / 07 / 2021



Council Procedure

Synergy Records Management Procedures

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1. Objective

The Records Management Procedures (End Users) provides clear guidelines so that Shire staff can respond to daily mail, register correspondence and make informed decisions on what documents to register.

This document will ensure that all staff satisfy their legal obligations from a record keeping perspective and also continue to provide outstanding customer service both internally and externally.

2. Actions

2.1.1.1 A. What must go on a File

Significant records such as letters, file notes, memos, (certain work place diaries), agreements, reports, contracts, minutes, maps, plans, photographs, films; cd disks; videos; newspaper articles; electronic images (facsimile and emails) which provides evidence of business activity, decisions or outcomes.

- i. Records of correspondence received by post, facsimile, emails or electronic mail that reflect the business activity of Council.
- ii. Memos, reports and signed copies of outwards correspondence.
- iii. Agendas, minutes, background papers and outcomes of formal meetings.
- iv. Documentary evidence of decisions for which the Shire of Jerramungup is held accountable.
- v. Official information related to personnel (eg workers compensation).
- vi. Copies of contracts, leases and agreements, and related documentation.
- vii. Records relating to precedent cases, where precedent play a role.
- viii. Records of individual actions, where there is a likelihood of the individual having to account for that action later.
- ix. Electronic business related information via facsimile or email.
- x. Photographs and electronic media images.
- xi. Development plans and maps including organisation and individual.

Records that **should not** be captured onto the Central Records Module are:

Transient records: records of little value that only need to be kept for a limited or short period of time.

These may be in the following content or form:

- Duplicates of documents, without additional notions;
- Copies of another organisation's reports and files;
- Telephone messages of a routine or trivial nature;

- Facsimile transmissions and electronic mail of a routine or trivial nature or that duplicate information held elsewhere (working documents, 'for your information' communication);
- Desk calendars and office diaries where no entries pertaining to work activities have been recorded;
- Audio recording of a routine or trivial nature or that duplicate information held elsewhere (recordings of minutes that have been subsequently transcribed to paper and accepted as a true and accurate record of proceeding by the committee members concerned);
- Consultants advertising their services in the form of sales letters or brochures;
- Training organisation advertising courses;
- Political newsletters; and
- Quotes for services and equipment (does not include official tenders).

2.1.1.2

2.1.1.3 B. Incoming Correspondence

All incoming correspondence that is hand delivered to any staff member should be brought to Central Records for registering and scanning into Synergy Soft.

Mail is collected twice daily (At 9.30am when outgoing mail is delivered to the Post Office and 11.30am) and is placed in the wire basket on the Record Officers desk.

All mail is opened and then sorted into the following groupings – cheques, invoices, corporate records, and ephemeral records. The details of the cheques are entered in the cheque register by a Records officer, signed off and forwarded to the Cashier for processing. The invoices are date stamped with the creditors' registration stamp and forwarded to the Creditors staff for processing.

The ephemeral records are date stamped and distributed to appropriate staff via incoming mail basket in each officers office.

The corporate records are date stamped, the action officer and file number/s are allocated by the Records Officer. All correspondence received is recorded in the electronic records management system (Synergysoft) in the following way:

Each document has been date stamped and is entered into Synergysoft as a cover sheet identifying the details of the correspondence, and then the document is scanned into the system and attached to the appropriate cover sheet. The following details (metadata) are recorded:

- who it is from;
- what file number/s it is to be placed under;
- which staff member/s it is for the attention of;
- the subject of the correspondence;
- the author;
- date of letter; and
- address of sender.

A list of all incoming mail is produced from the electronic program, hardcopy printed for filing, and emailed to all staff for their information. The action officer for each incoming document is able to access their correspondence via the electronic records management system for processing.

The original document is filed in the appropriate files in the Records system by the Records officers.

2.1.1.4 C. Email Management

Emails and Faxes:

Both incoming and outgoing Corporate Emails are to be registered in the electronic records management system (Synergy Soft), hardcopy printed and then sent to the Records Officer for filing.

2.1.1.5

2.1.1.6 D. Daily Mail Report

Officers will receive all the Record numbers via an email sent out after the daily mail has been registered.

2.1.1.7

The screenshot displays the SynergySoft Records Registration interface. The main window title is 'Secretary/LGS/TER/SRV/SynergySoft - [Records Registration - ICR101079 UPDATING ORGANISATIONS CONTACT DETAILS]'. The interface includes a menu bar (File, Systems, Codes, Related Information, Searches, Tools, Spooler, Menu Bar, Secretary, Window, Help) and a toolbar with buttons for Search, Add, Update, Save, Delete, First, Previous, Next, Last, Log Out, and Cancel. Below the toolbar, there are tabs for Search, PickList, Cover Sheet, Corresp, Attachments, Actions, Other, and RelApps. The 'Cover Sheet' tab is active, showing a form for record ICR101079. The form includes fields for Record Number (ICR101079), Routing (Incoming), Record Type (CORRESPONDENCE), Cross Ref Docs (1 File), GR.SL.9, Volume (1), and the title 'GOVERNMENT RELATIONS STATE LIAISON DEPARTMENT OF SPORT & RECREATION'. It also shows 1 Corresp (92637) from the DEPARTMENT OF SPORT AND RECREATION, with a contact address in LEEDERVILLE WA. The 'Short Title / Contents' field contains 'UPDATING ORGANISATIONS CONTACT DETAILS'. The 'Int. Corr.' field is set to 'CHARMAINE SOLOMON CEO SECRETARY'. The 'Record Status & Date Last Changed' section shows 'Draft' and '06/07/2010'. At the bottom, there are 'Dates' for 'Rec'd / Sent' (06/07/2010) and 'Respond By' (13/07/2010), with an 'Action Status' of 'Outstanding'. A footer bar contains buttons for 'View Attach (1)', 'Audit History', 'On Loan', 'Cust Serv', 'Vital Rec', 'Day Box', 'Security Level', and 'Rel Ind: Subject to FOI'.

2.1.1.8 E. How do I find my outstanding documents?

2.1.1.9

2.1.1.10 To find correspondence to which you have not yet responded you can run a report to find all outstanding documents, which have been assigned to you for action.

Select “Show My Outstanding Documents” which is located at the bottom left-hand corner of the Records Registration search screen.

The screenshot shows the 'Records Registration' search screen. The interface includes a menu bar (File, Systems, Codes, Related Information, Searches, Tools, Spooler, Menu Bar, Secretary, Window, Help) and a toolbar with buttons for Search, Add, Modify, Save, Delete, First, Previous, Next, Last, Logout, and Cancel. The main search area contains several sections: 'Search' with fields for Record No., Keyword 1, File Number, File Type, Vol. No., Correspondent, Date Selection, and Checked Out To; 'Routing' with a dropdown menu; 'Attachments' with fields for File Name and Filename; 'Actions' with buttons for Show My Outstanding Records, Record Status, Hidden, Unattached?, and Customer Services; and 'Other' with fields for Rec Type, Keyword 2, Clients Ref, Status, Dept. Name, Rel Ind, and Security Level. A 'Show My Outstanding Records' button is located at the bottom left of the search area.

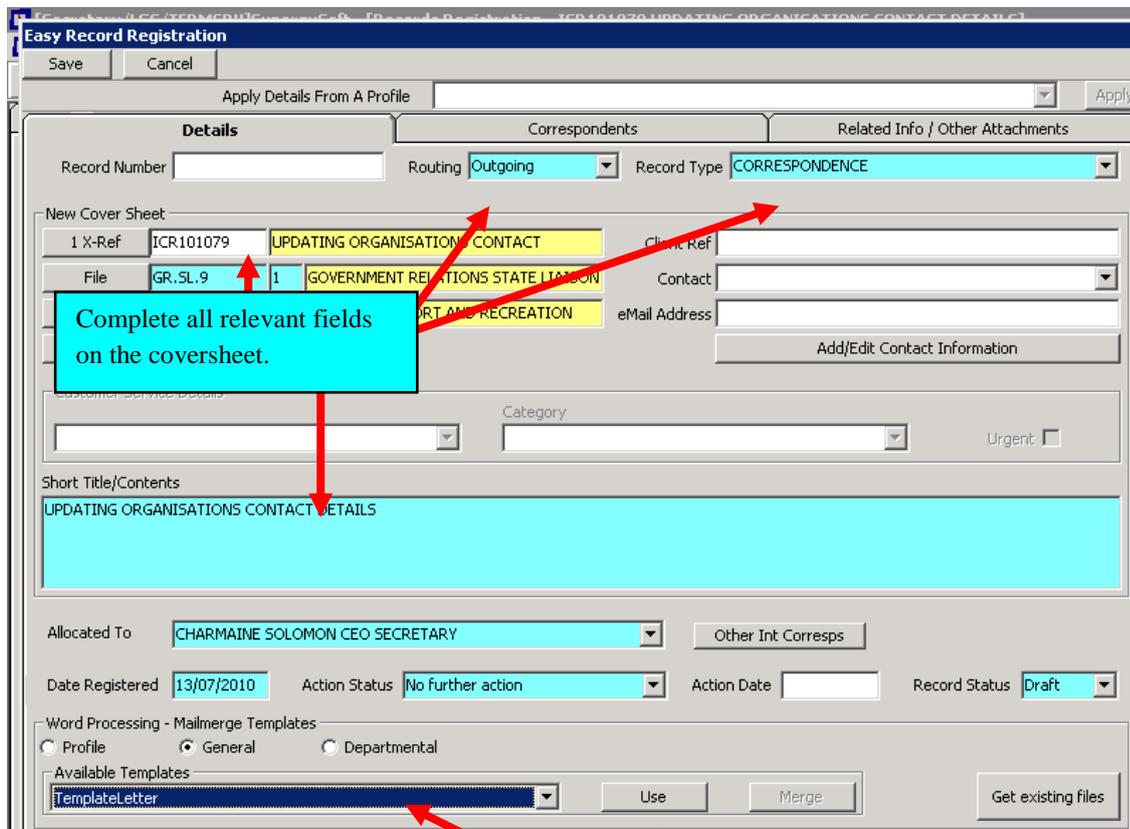
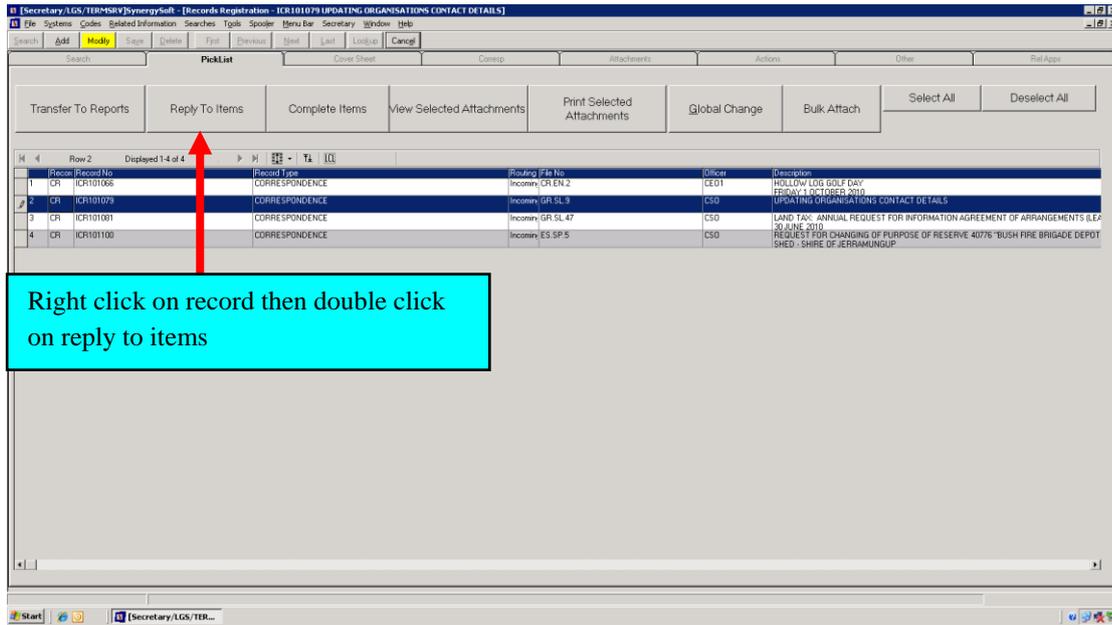
- You will then have activated the search and any outstanding documents will be listed.

The screenshot shows the 'Records Registration' search screen with a list of outstanding documents. The interface includes a menu bar, a toolbar, and a main search area. A 'PickList' section is visible at the top, containing buttons for Transfer To Reports, Reply To Items, Complete Items, View Selected Attachments, Print Selected Attachments, Global Change, Bulk Attach, Select All, and Deselect All. Below the buttons is a table with the following data:

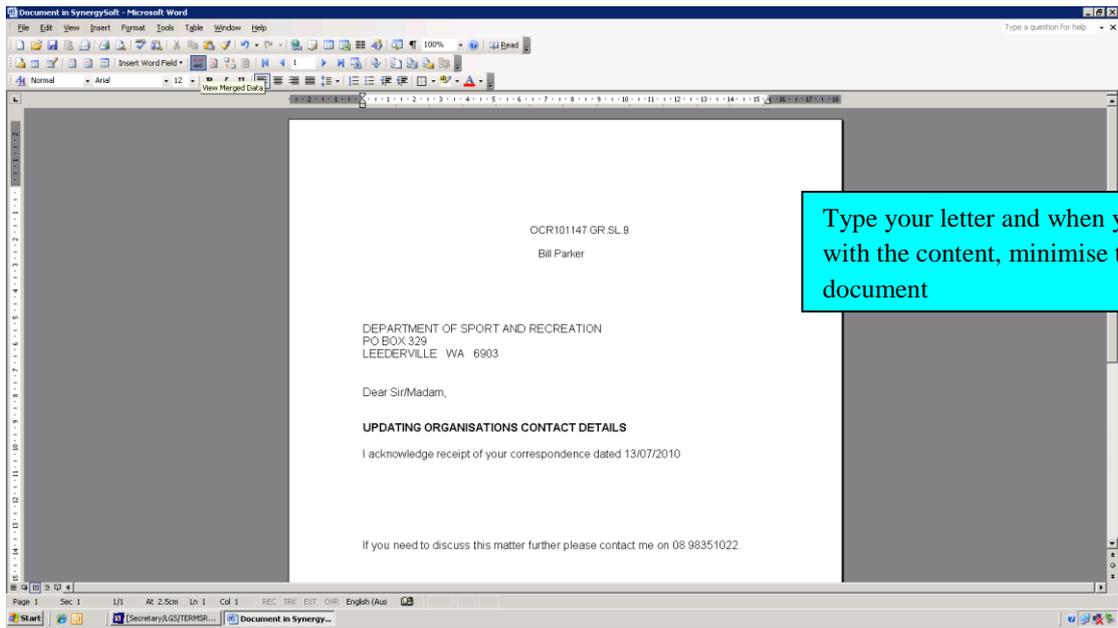
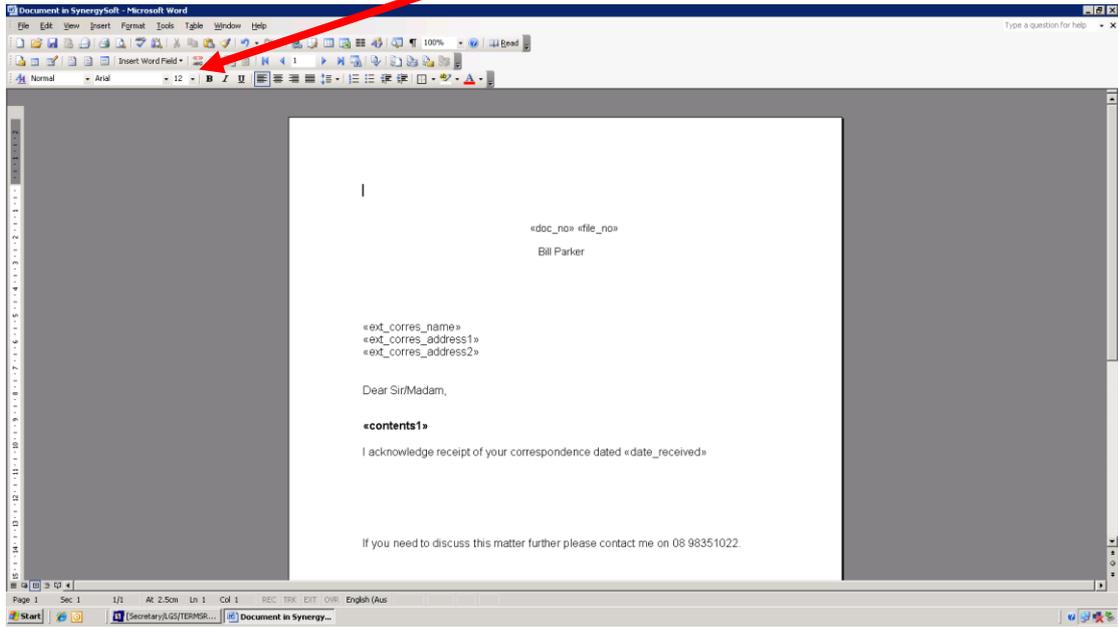
Record No.	Record Type	Routing	File No.	Officer	Description
1 CR ICR101066	CORRESPONDENCE	Incoming	CR EN 2	CE01	HOLLOW LOG GOLF DAY FROM 4 OCT 1998 200
2 CR ICR101079	CORRESPONDENCE	Incoming	GR SL 9	CS0	UPDATING ORGANISATIONS CONTACT DETAILS
3 CR ICR101081	CORRESPONDENCE	Incoming	GR SL 47	CS0	LAND TAX: ANNUAL REQUEST FOR INFORMATION AGREEMENT OF ARRANGEMENTS (LEA 20 JUNE 2010
4 CR ICR101100	CORRESPONDENCE	Incoming	ES SP 5	CS0	REQUEST FOR CHANGING OF PURPOSE OF RESERVE 4076 "BUSH FIRE BRIGADE DEPOT SHED - SHIRE OF JERRAMUNGUP

F. How to answer your Outstanding Documents

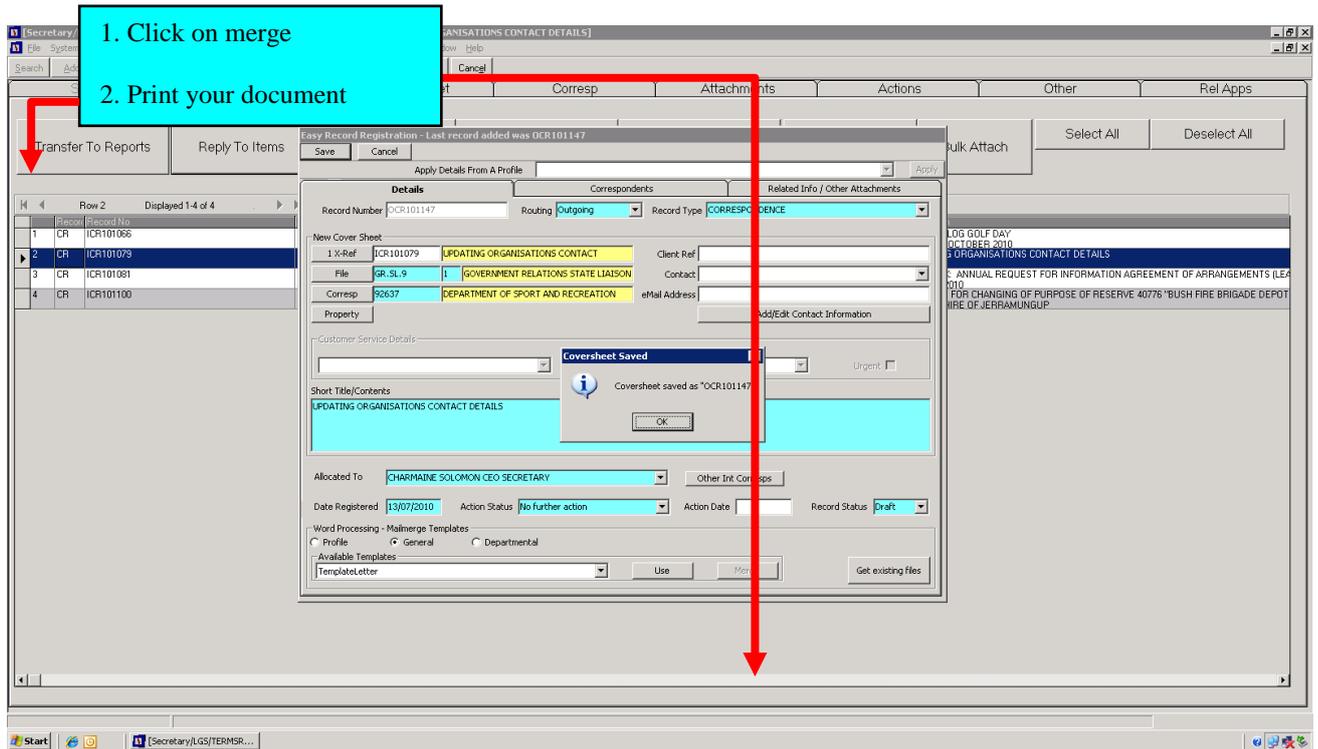
Follow the screens below:



Click on this icon 'ABC' and the metadata will merge across from the completed coversheet.



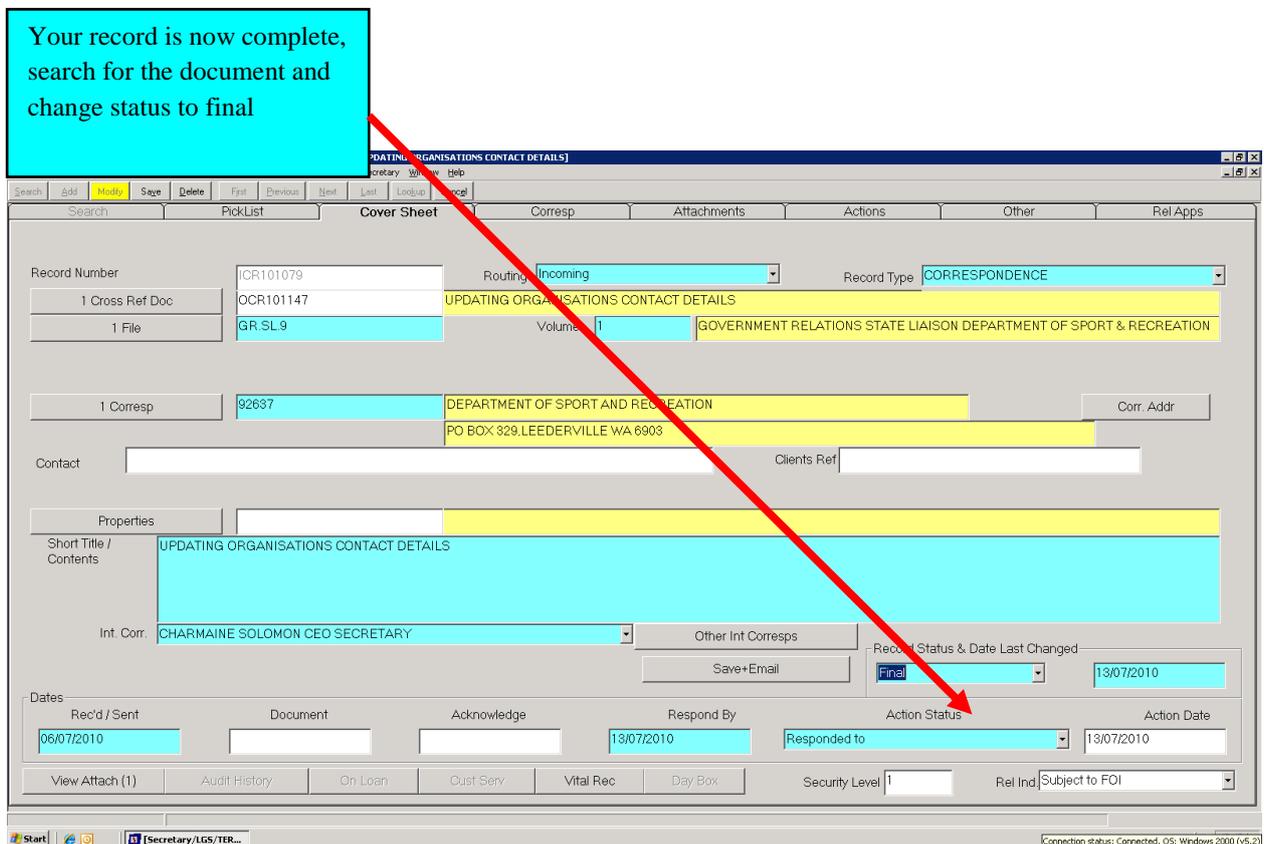
2.1.1.11



2.1.1.12

2.1.1.13

2.1.1.14



2.1.1.15 G. Searching for a Document

All business correspondence is registered in the Synergy Soft Central Records Module and at times you may need to find a document. As with the files program, all fields on the Records Registration search form are searchable. In order to do search, follow these steps:

- i. Select Records then Records Registration.
- ii. Enter your search criteria, at a minimum you should fill in the following fields:
 - Routing (incoming, internal or outgoing).
 - Keyword Information.



The image shows a search interface with two text input fields. The left field is labeled 'Keyword 1' and the right field is labeled 'Keyword 2'. Between the two fields is a dropdown menu currently displaying the word 'AND'. The fields are empty.

- iii. To commence the search, just click on the “Search” button.

Note: The more information you enter when searching, the more chance you have or making a “direct hit” finding the information you are looking for.

2.1.1.16

2.1.1.17 H. Data Entry Protocols – Names and Address Module

An accurate names and address database is a very powerful marketing and customer relationship-building tool.

The current database is littered with duplicate entries, inaccurate postal addresses and incomplete records.

The Shire has created the following protocols that if followed and implemented correctly will improve the accuracy and reliability of our names and address database.

Always complete an extensive search of the names and address database to ensure that a contact does not exist before entering that person e.g. avoid duplicates

- i. All text must be in title case
 - ✓ SHIRE OF JERRAMUNGUP
 - × Shire of Jerramungup

- ii. Do not use abbreviation or acronyms in surname field. Enter organisation's full name as it appears on their letterhead. Do not use acronyms.

- ✓ WESTERN AUSTRALIAN LOCAL GOVERNMENT ASSOCIATION
- × WALGA

At the discretion of the data input officer, the acronym can be included within the contacts field. By including the acronym into the contacts field, SynergySoft will search for contacts using both the 'short form' and 'long form' criteria.

- iii. Addresses – ensure full address is used and suburbs are defined.

- ✓ 102 NORTH ROAD
EAST PERTH WA 6330
- × 102 NORTH ROAD
PERTH WA 6330

- iv. Date Format = dd/mm/yy

- ✓ 01/01/10
- × 1/1/10
- × 1ST JANUARY 2010

- v. Time Format = hh:mm (24hr clock)

- ✓ 20:16
- × 8:16 PM

- vi. Telephone and mobile phone number – ensure that prefix is always used and that spaces are in the correct locations.

- ✓ 08 9841 9333
- × 0898419333
- ✓ 0429 900 242
- × 042 990 0242

- vii. Email addresses – insert address as you were entering details into the address line of an email.

- ✓ council@jerramungup.wa.gov.au
- × Council@jerramungup.wa.gov.au

2.1.1.18 I. Names and Address – Individual

- i. Individual Rule

Individuals have their own record, i.e. if John Smith of 11 Brown Street writes in and the only record available is Arthur Smith of 11 Brown Street, Then a new name record must be created.ii. Similar initials – first name rule

If J Smith of 11 Brown Street write in and the only available record is John Smith of 11 Brown Street, then attach the existing name and address code.

- iii. Similar surname – different initial rule
If J Smith of 11 Brown Street writes in and the only available record is AJM Smith of 11 Brown Street then a new name record must be created.
- iv. Same name – different address rule
If John Smith of 13 Black Street writes in and the only available record is J Smith of 11 Brown Street, then a new name record must be created.
- v. Married Couples
In the database married couples are listed separately (eg. They each have a name record). Attach both name records if both names are on the correspondence you are registering.
- vi. No name or address given
When records receive a piece of correspondence which is anonymous, then the title “no name or address given” is allocated. This includes letters signed, “A concerned resident or citizen”.
- vii. Letter to multiple name and addresses
Letters that go out to a large number of names and addresses are attached to the title of residents/distribution list.

2.1.1.19

2.1.1.20 J. Business and Organisations

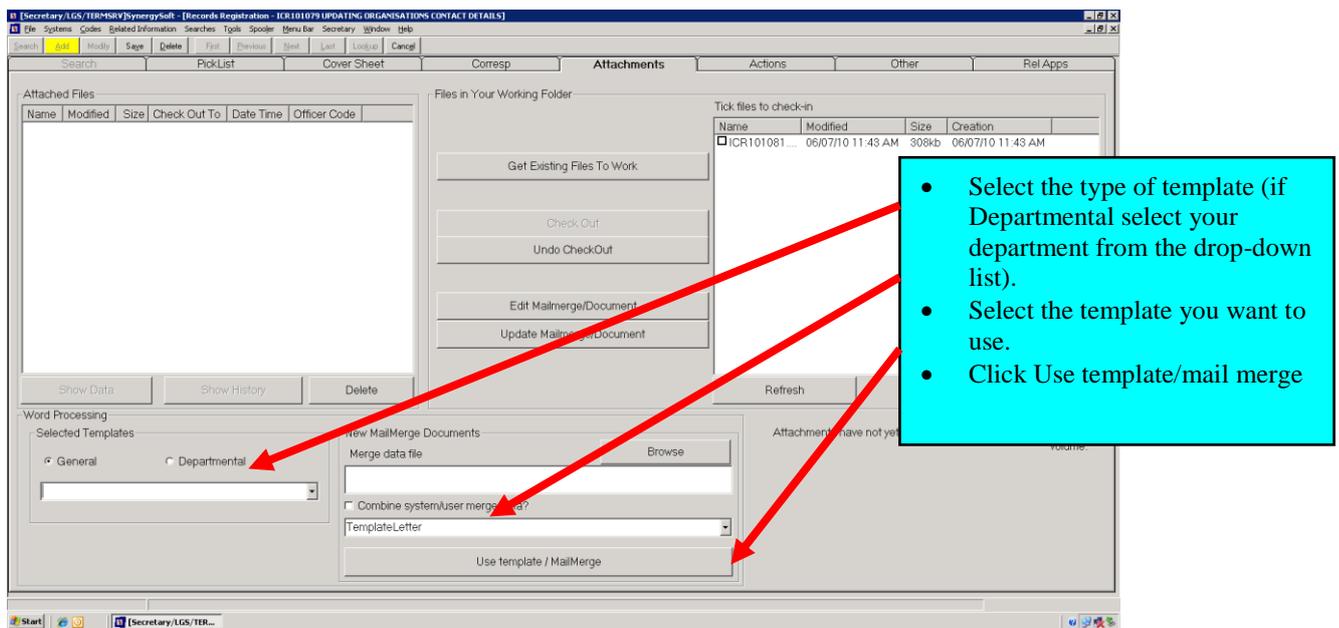
- i. Business with different address rule
Available in database e.g. Eastern Great Southern Petroleum, office in Jerramungup and Eastern Great Southern Petroleum, office in Lake Grace. Then a new name record must be created for each branch of the business.
- ii. Contact name for a business rule
The contact name is inserted into the contact field on the business name record.

REGISTERING OUTGOING CORRESPONDENCE USING SYNERGYSOFT TEMPLATES

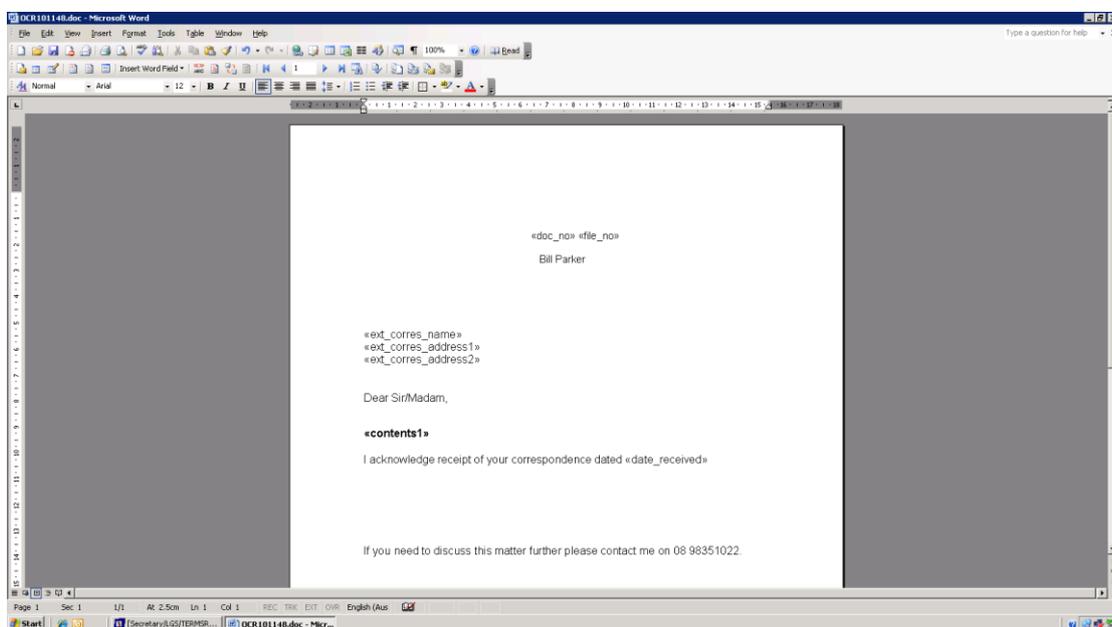
2.1.1.21

2.1.1.22 K. How to register and use Synergy Templates for Outgoing Correspondence, Corporate Internal Documents and File Notes

- i. Logon to SynergySoft and enter Records Registration through the Records menu.
- ii. Click on the Add button to create a new Coversheet that details the outgoing piece of correspondence, making sure you have entered in all the mandatory fields.
- iii. Go to the Attachments tab.
- iv. Select the list of templates you wish to use, i.e. General or Departmental.



- v. Select the mail merge template you wish to use.
- vi. Click on the **Use Template/Mail merge** button.
 1. Microsoft Word will open and display the template. You may notice that Synergy Soft has created a word document and comma separated value file (CSV) in the working directory based upon the Coversheets' key, e.g. O1234.



At this point you can only see the mail merge fields.

- vii. Click the **<<abc>>** button on the Mail merge toolbar inside Word to view the data for the mail merge fields.

2.1.1.24 M. File Creation and Closure

New files can only be created or closed by the Records Officers.

New files are created when:

A new function, subject, activity, project, property or subdivision is commenced,
or

When an existing file becomes too large and a new volume is required.

2.1.1.25

2.1.1.26 N. Closure of Files

Closed files are marked as closed by attaching a File Closed Form (this indicates that no further documentation is to be added to the volume, the date it was closed whether a new volume was created and authorization)

2.1.1.27 O. Disposal and Retention of Files

The disposal and retention of files is carried out annually. A copy of the General Disposal Authority for Local Government Records by the State Records Office of Western Australia is located in the Record Officers bookcase and should be referred to when disposing and retaining files.

All files tagged for disposal must be authorised for destruction by the Chief Executive Officer and signed off on the 'Destruction of Files' Register.

Files are to be destroyed in accordance with the *State Records Act 2000*.

Retained files are to be stored in archive boxes (located in the Backroom 1 or 2) and stored in Backroom 1, with files stored in Backroom 1 being sent to Backroom 2, with older records being moved to Archive Storage located at the Shire of Jerramungup Works Depot.

Any files eligible to be sent to State Records Archives are to be discussed with the Chief Executive Officer.

2.1.1.28

2.1.1.29 P. Metadata Management

Metadata is data about data and it describes who, what, where, when and why records about a business activity or transaction were created. Metadata is structured information that describes and/or enables finding, managing, controlling, understanding or preserving other information over time. Metadata must be captured during business transactions to describe the content, context and structure of records in both paper and electronic recordkeeping systems.

The Shire of Jerramungup is responsible for ensuring that all metadata elements associated with its record keeping system are captured, stored and made accessible over time.

Record keeping metadata ensures that records can be effectively retrieved over time and across platforms and systems as they are changed. Metadata is represented by the fields used to capture information about the record. Examples of information about records which must be captured are as followed:

- How the record was created, i.e. the application;
- The creator of the record;
- The date and time of the record creation or receipt;
- The relationship one record has with another, if any;
- The provenance of the record, that is the organisational context in which it was created;
- The level of security access held by each user of the record keeping system;
- The title of the record; and
- The changes made to a record:
 - For electronic records, who made the change and the nature of the change;
 - For hard copy records and files, movements from location or person to another location should be tracked.

Each identified record and its associated metadata will be inextricably linked for as long as the record is required, as defined under the *General Disposal Authority for Local Government Records*.

The Shire of Jerramungup has set the following minimum metadata requirements for documents, including emails:

- Document name or title
- Date of creation
- Date of receipt
- Author, sender and recipient – individual and organisation
- Location, i.e. file number where document has been attached

This metadata will be captured into the Shire's Synergy Soft Records Management System.

The Shire of Jerramungup has determined the following minimum metadata requirements for files or folders:

- File classification including name or title
- Identifier, i.e. file number
- Date of creation
- Date of closure
- Home location
- Current location
- Retention code and period

This metadata will be captured in the Shires Electronic Document and Records Management System.

In accordance with the *Guidelines for State Government websites (2005)* published by the Office of e-Government, the following minimum metadata elements will be captured for all pages on the Shire of Jerramungup internet site:

- Title
- Creator
- Publisher
- Date
- Identifier (for online resources) or availability (for offline resources instead of identifier)
- Function (AGLS (Extra))
- Keyword (meta-tag used for resource discovery by commercial search engines)
- Description (meta-tag used for resource discovery by commercial search engines)

2.1.1.30 Q. Systems Management

The Deputy Chief Executive Officer is responsible for maintaining the Synergy Soft System, which is the Shires Electronic Document and Records Management System (EDRMS). IT Vision's Synergy Soft is a comprehensive management system, specifically designed to meet the current and future information processing and management needs of Local Government Authorities, and includes the General Ledger and another 10 modules including the EDRMS Module.

The Shire has the following infrastructure and security controls:

- Servers (VMWRAE Base ES140 with Virtual Server).
- System Security for all servers and electronic records and information is based on, Sonicwall fire wall, MS Windows 2008 Revision 2 Server Active Directory, and standard Microsoft Enforced Password Complexity. In addition, the physical security extends to controlled access to the server room. Tapes and parallel drives are held in the safe which has controlled access.
- Internet security is managed using the Sonicwall Firewall, message labs virus and Spam filtering and a 3 layer anti-virus system.

2.1.1.31

2.1.1.32 R. System Backups

The Deputy Chief Executive Officer is responsible for System Backups being carried out and tested. Backing up the Shires records and other information resources is based on using pre-programmed scheduling which is a standard feature of all backup systems.

Much of the Shires records and information is contained in the Synergy Soft System and hard copy files.

	Servers, Image Files and Parallel drives	
	Physical VMWRAE(Synergy Data) Bade ESI140 Server Windows Server 2008 Revision 2	Image Files E Drive Virtual Server
Tape restored and checked daily	X	X
Weekly Full Back up to hard drive	X	X
Full Back up nightly/daily	X	X
Full Back up Weekly – Symantec Live State Recovery		X
Incremental Backup - daily		X
Incremental Back up twice daily		X
Tape Rotation	10 day basis	10 day basis
Tape Onsite/Offsite Storage	2 days offsite and 8 days in Shire’s safe	2 days offsite and 8 days in Shire’s safe

2.1.1.33 S. Migration Strategy

Migration is the process of transferring records from one records system to another while maintaining their authenticity. Migration of any systems will be done in accordance with the State Records Office of Western Australia *Public Records Policy No. 8: Policy for the on-going management of Electronic documents designated as having archival value.*

The Shire of Jerramungup will undertake the following steps to maximise the efficiency of the migration process;

- Re-appraise records as part of the conversion or migration process. This involves reassessment of the requirements to retain records and may require amendment of a disposal authority in conjunction with the State Records Office. Records which can be destroyed according to an approved disposal authority will not be migrated to a new system.
- Assign responsibility for migration. This will be a shared responsibility between the Shires Deputy Chief Executive Officer and Records Officer who will ensure all data is successfully carried across, and recordkeeping professionals, who will ensure records are transferred without loss of integrity. Within the Shire of Jerramungup, the Records Officer will be primarily responsible.

- Identify and assess risks, in particular the possibility of compromising the integrity of the records whilst migrating them. The value of the record as evidence of the business it supports must be safeguarded by retaining:
 - the information contained in the record;
 - the metadata captured with the record at the time of its registration in the SynergySoft;
 - Linkages or relationships to other records and systems.
- Use appropriate software for the migration of electronic records. The software should be able to:
 - read the source file and analyse differences between it and the target format;
 - identify and report on mismatch and risks if mismatch occurs;
 - accurately convert the source files to the target specifications;
 - work on single files and large collections; and
 - provide a record of the process for inclusion in project documentation.
- Make and keep appropriate documentation of the process so that there is a record of what occurred during migration.

2.1.1.34

2.1.1.35 T. SECURITY AND PROTECTION OF RECORDS

The Shire of Jerramungup is responsible for the security and protection of all records created or captured as part of the Shire's day to day operations. All Shire staff and contractors have a responsibility to apply the following security and protection measures to all records created or received when carrying out the Shire's business.

Records should be maintained in a safe and secure environment ensuring their useability, reliability, authenticity and preservation for as long as they are needed. By implementing this policy and guidelines, based on national and international best practice, the Shire of Jerramungup will be able to protect and use its records as corporate assets.

Providing a safe and secure environment for the Shire of Jerramungup's records ensures that records are:

- accessible to all who have the required security access;
- secure from unauthorised disclosure which could damage the Shire's corporate security or individual privacy, give unfair commercial advantage or cause harm to an individual or organisation;
- secured against tampering, unauthorised access or unlawful deletion;
- protected in appropriate environmental conditions ensuring the availability of records as long as they are required;
- stored in a cost-effective manner;
- secure and accessible for as long as they are required to meet business, and accountability needs and community expectations; and

- able to assist the Shire of Jerramungup to meet its record keeping requirements under the *Local Government Act 1995*, the *State Records Act 2000* and other acts to which they are subject.

2.1.1.36 U. GUIDELINES

Confidentiality

All Shire of Jerramungup Staff and Contractors must treat Council information as confidential and not release it in any form to third parties, without relevant approval. Please refer to Shire of Jerramungup's Code of Conduct for further details.

Computer Systems

Access to the Shire of Jerramungup's entire computer network is via a 'login' and each person has their own login.

Location

The Shire of Jerramungup's records must be located apart from all known hazards. It is the responsibility of the Deputy Chief Executive Officer to verify that each storage area meets the requirements under the *State Records Principles and Standards 2002* and the Australian Standard AS ISO 15489.2 for Records Management. Sites should be weatherproof, have good drainage, be dedicated to the storage of records, and be intruder resistant and access controlled.

Shire of Jerramungup staff and contractors must not store records in areas that are not authorised. Records should be returned to authorised storage areas as soon as possible after use.

Environmental Control

Records must be stored in an environment appropriate for their format and the period they are required to be kept. Records must be kept in areas that:

- have reasonable temperature and humidity levels;
- exclude direct sunlight;
- have good air quality and circulation, and
- in the case of magnetic media, are free from magnetic fields.

Shire of Jerramungup staff and contractors should return records to authorised storage areas after use, so that they are kept in suitable environments. Whilst records are in use, they should not be exposed to direct sunlight or other risks.

The Shire of Jerramungup has four storage areas which house the Shire's records:

Compactus Storage area located within the Administration Building.

Backroom 1 Storage area is located in the Administration Building and houses the old building licences, finance and 2001-2003 old files.

Backroom 2 Storage area is located in the Administration Building and houses building licenses and finance files.

Archive Storage area is a sea container located at the Shire of Jerramungup Works Depot. The archive is air-conditioned during the day with fire

detection/suppression system in place with all archive files and vital records are being stored at this location.

The Compactus, Backroom 1 and 2 Storage areas are air conditioned during the day.

Shelving and Packaging

All shelving and packaging used for records storage should protect them from deterioration. Shelving and packaging should:

- be clean;
- be in a good state of repair;
- be strong enough to withstand the weight of the records;
- be of appropriate quality suitable for the record's format and its period of retention; and
- meet occupational health and safety requirements.

Council staff and contractors should notify the Deputy Chief Executive Officer of inappropriate or damaged shelving and containers, or OHS risks. Records should be returned carefully to their proper containers and shelving after use.

Protection from Disaster

The Shire of Jerramungup has a Disaster Management Plan designed to minimise risks to records, from hazards like water, fire, theft, vermin or unauthorised access. Please see the Records Disaster Management Plan for further details. Employees should report any problems or risks they observe in records storage areas.

Careful Handling

To prevent damage to records from poor handling:

- Staff will be informed of the proper handling techniques for the record formats they use;
- Records will be handled properly when they are temporarily removed from the organisation for legitimate business purposes, such as when they are taken to building sites; and
- Records will be protected while they are being converted to other formats, for example, when they are imaged.

Accessibility

Records taken off site.

As a general rule no Shire of Jerramungup records should be removed from the Shire of Jerramungup premises. However, it is sometimes necessary to remove files such as in the case for Building Applications and Licences and when Minutes are sent to the Bookbinders for binding. Where records are removed from Shire of Jerramungup premises the loan to the individual concerned must be recorded in Removed File Register and the care of the record is the responsibility of the person to which the record has been loaned.

2.1.1.37 V. ACCESS TO RECORDS

Access to the Shire of Jerramungup's records by staff and contractors will be in accordance with designated access and security classifications. Access to the Shire's records by the general public will be in accordance with the *Freedom of Information Act 1992* and the Shire's policy on Freedom of Information. Access to the Shire's records by Elected Members will be through the Chief Executive Officer in accordance with the *Local Government Act 1995*.

The Shire of Jerramungup is responsible for the protection, safe custody and care of all State records under its control. Requests for access to records will be received from different groups and for different reasons. Providing access to records-based information is achieved through the provision of effective record keeping which supports business operations and enables the Shire of Jerramungup to meet statutory requirements and other requirements.

Guidelines

Internal Access to Records

- Records must be available to all Elected Members, staff and contractors who require access to them for business purposes of the Shire of Jerramungup.
- Some records created by the Shire of Jerramungup will be of a sensitive or confidential nature and will require access to them to be restricted to one or more people.
- Right of access to each record will be determined by the security classification specified on file.
- Confidential records will be restricted in accordance with the Shire's Records Keeping Procedure Manual.

External Access to Records

Access to Shire of Jerramungup Records by members of the public will be in accordance with the Shire's Policy on Freedom of Information.

Accessibility

- Records will be stored in a way that they can be identified and retrieved easily and quickly by Shire of Jerramungup's staff and contractors.
- Records will be housed in locked cupboards or areas which are not accessible to the public or other unauthorised personnel.
- The location of the records must not impede retrieval requirements.

2.1.1.38 W. FREEDOM OF INFORMATION

If a customer requests a document under the *Freedom of Information Act 1992*, the following procedure applies:

- Give the customer a copy of the 'Application for Access to Documents' Form (located in the front counter pigeonholes). This form must be completed. Request proof of identity from the customer.
- If the customer is seeking access to a document or documents on behalf of another person the Shire of Jerramungup will require authorisation in writing.

- Ensure the application is accompanied with payment for fees and charges (see Appendix A).
- The customer's request is to be given to the Freedom of Information Officer and will be dealt with as soon as practicable (within 45 days) after it is received.
- If the customer is not satisfied with the decision the FOI Officer makes concerning their application, they can apply to the Shire of Jerramungup for an internal review of that decision. Applications for an internal review must be lodged at the Shire within 30 days of receipt of notice of the Shire's decision. The Shire will respond within 15 days or any longer period agreed between the applicant and the Shire. There is no charge of an internal review.
- If the customer is still dissatisfied after the internal review has been completed, they may seek a review by the Information Commissioner. This request must be made in writing giving details of the decision to which their complaint relates. The complaint should be made to the Information Commissioner and addressed to:

The Office of the Information Commissioner
 Exchange Plaza
 Level 21
 2 The Esplanade
 PERTH WA 6000

Any party to a complaint may appeal to the Supreme Court on any question of law arising out of a decision of the Information Commissioner, except for a decision as to the deferral of access to a document, the charges to be imposed for dealing with an access application and the payment of a deposit on account of charges.

An individual may apply to have a document amended if it contains inaccurate, incomplete, out of date or misleading personal information. An application should be made in writing to the Shire of Jerramungup and should provide all the information required in the Act. Applicants must provide details and, if necessary, documentation in support of their claim that the information they seek to have amended is inaccurate, incomplete, out of date or misleading.

Applicants must also indicate how they wish the amendment to be made (i.e.. alternation, insertion etc).

3. Enabling Policy or Strategy

State Records Act 2000

4. Review Position and Date

Chief Executive Officer to review on or before 31 January 2021.

5. Associated Documents

Related strategies, procedures, references, guidelines and other documents that have a bearing on this procedure and that may be useful reference material for users of this procedure.

- *State Records Act 2000*
- Website Procedure
- Synergy – Registering and Actioning a Service Request
- General Disposal Authority for Local Government DA 2015-001
- Shire of Jerramungup Record keeping Plan 2016003

CEO Authorisation:



Date: 19 / 07 / 2021

Shire of Jerramungup



Record Keeping System – Disaster Recovery Plan

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RECORD KEEPING SYSTEM DISASTER RECOVERY PLAN

The Shire of Jerramungup's Record Keeping System is a vital corporate system that manages, stores and provides access to the Shire of Jerramungup's records. The impact resulting from the entire or partial loss of records in the Record Keeping System would be immense.

In the event of a disaster affecting the Shire of Jerramungup's Record Keeping System, the swift and complete recovery of the system would be essential in ensuring minimal impact on Shire of Jerramungup operations. Information is a key resource in all processes at the Shire of Jerramungup, and the loss of this resource would either significantly slow each process or halt each process entirely. The Record Keeping System, as the primary repository for Shire of Jerramungup information, has the greatest potential to impact the widest range of Shire of Jerramungup operations if destroyed in a disaster.

Impact of Loss

The loss of the Shire of Jerramungup's Record Keeping System could impact the Shire of Jerramungup in a number of ways. The major areas of likely impact are detailed below:

5.1.1 Breach of Customer Service Levels

The slowing of Shire of Jerramungup processes due to an inability to access required information, for even a short period of time, would quickly start to impact the Shire of Jerramungup's ability to meet its customer service levels. This would result in a flow on impact to Shire of Jerramungup customers and degradation of the Shire of Jerramungup's image in the community.

5.1.2 Staff down Time

With the majority of office staff utilising the Record Keeping System in their day-to-day activities the effect of the unavailability of the system on staff productivity would be significant. For short periods of system unavailability, other work could be performed, however as the period of time increases so does the impact on staff productivity.

5.1.3 Uninformed Decision Making

Being unable to access the right information at the right time can easily lead to uninformed decision making by Shire of Jerramungup staff. In the short term important decisions could be deferred, however as time pressures increase, decisions would have to be made without the benefit of potentially valuable information contained in Shire of Jerramungup records.

5.1.4 Loss of Corporate Memory

The loss of the Shire of Jerramungup's Corporate Memory would have an immense impact in the long term. A Corporate Memory helps to provide an organisation with its corporate identity, heritage and historical reference, as well as empowering staff to make improved business decisions, prevent duplication of effort, increase administrative efficiency and learn from the organisation's previous mistakes. The Shire of Jerramungup's Corporate Memory also makes a valuable contribution to the Public Memory of Western Australia, a vital historical resource for everyone in the WA community and beyond.

5.1.5 Legal Exposure

Shire of Jerramungup records are regularly utilised to support a legal defence or to substantiate prosecutions for the Shire of Jerramungup on various matters. The unavailability of such records would result in a significant legal exposure for the Shire of Jerramungup, by either not being successful in undertaking appropriate prosecutions under various empowering acts or not being able to defend the Shire of Jerramungup's actions in regard to contentious matters.

5.1.6 Cost of Re-creating Information

The loss of information used to support Shire of Jerramungup operations can not be accepted in the medium to long term. Such information is necessary to carry out these operations and would need to be re-created so that the activities could continue. The re-creation of many years' worth of information is a very costly if not impossible task.

5.1.7 Legislative Non-Compliance

The Shire of Jerramungup is required to comply with a myriad of Acts and Regulations covering all areas of the Shire of Jerramungup's diverse functions and operations. Of particular note is the *State Records Act 2000*, which governs the record keeping function of all government agencies in Western Australia. Non-compliance in terms of the retention and protection of Shire of Jerramungup records would result in heavy penalties and embarrassment for the Shire of Jerramungup in the State Parliament.

5.2 Risk Analysis

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

Risk	Description	Event Level	Likelihood
Fire	Fire and smoke damage to computer data or paper records	Level 1	Low
Flood	Water damage to computer data or paper records	Level 1	Low
Theft	Theft of computer data or paper records	Level 2	Low
Industrial Accident	Chemical or Industrial damage of offsite paper records	Level 3	Moderate
Destruction of Data	Accidental or malicious destruction of computer data and paper records	Level 4	Moderate
Vermin	Damage to paper records by vermin	Level 5	Moderate

5.3 Inventory of Assets

The following tables detail all the components of the Record Keeping System that require safeguarding. A ranking is given to each component to indicate the priority that should be given to each during any recovery activities. The inventory also provides details such as the format/operating system, location/host computer, custodian and security classification of each component.

5.3.1 Electronic Components:

<i>Item</i>	<i>Ranking</i>	<i>Operating System</i>	<i>Host Computer System</i>	<i>Custodian</i>	<i>Security Classification</i>
Server	1	Win10		DCEO	Sensitive

5.3.2 Physical Components:

<i>Item</i>	<i>Ranking</i>	<i>Format</i>	<i>Location</i>	<i>Custodian</i>	<i>Security Classification</i>
Compactus	1	Hard Copy	Office	DCEO	Sensitive
Storage Room 1	2	Hard Copy	Office	DCEO	Sensitive
Storage Room 2	3	Hard Copy	Office	DCEO	Public
Storage room	4	Hard Copy	Depot	DCEO	Public

5.4 Disaster Recovery Requirements

Five major disastrous events have been identified that would impact the Shire of Jerramungup's Record Keeping System. These events have been ranked by the level of severity of the disaster should it occur, with level one being the highest and level five being the lowest. This section of the disaster recovery plan describes these five event levels.

5.4.1 Level 1: Shire of Jerramungup Office Compromised

The total compromise of Shire of Jerramungup Office due to a major event such as fire, flood, earthquake or bombing, although highly unlikely, is a risk for the Shire of Jerramungup. The compromise of Shire of Jerramungup Office has been categorised as a level one event and would have an extreme impact on nearly all areas of operation within the Shire of Jerramungup.

The required recovery for an event of this magnitude would possibly need to include alternative accommodation, furniture, office equipment, information technology infrastructure and additional staffing, as well as the recovery of the Shire of Jerramungup's Record Keeping System.

Due to the wide ranging impact of a level one event, recovery from such a disaster is well beyond the scope of this disaster recovery plan. It is recommended that the recovery strategy for this level event be considered by the Chief Executive Officer.

5.4.2 Level 2: Theft of Shire of Jerramungup Records

The theft of the Shire of Jerramungup Records has been categorised as a level two event and although the likelihood is low, the effect, dependant on the files lost, would be a decrease in staff productivity.

The required recovery would be to implement appropriate continuity procedures including the recovery of all vital backup files and tapes, to restore the RKS to normal.

Required Recovery Time: 4 Hours

5.4.3 Level 3: Industrial Accident at Offsite Records Storage Area

An Industrial Accident at the Shire of Jerramungup Offsite Records Storage Area has been categorised as a level three event. The possibility of the event occurring is moderate, with access to archive and vital backup records restricted depending on the severity of the accident.

The required recovery would be to assess the damage to the offsite storage area and files stored, once the site has been secured. Any vital backup records destroyed will need to be re-created and returned to the offsite storage area. Repairs to the offsite storage area will need to be carried out where applicable.

Required Recovery Time: **4 Hours to 1 Week**

5.4.4 Level 4: Destruction of Records at the Shire of Jerramungup

The accidental or malicious destruction of records at the Shire of Jerramungup has been categorised as a level four event as the likelihood is moderate. The effects could be loss of vital records and damage to the server and/or computer equipment.

The required recovery would be to implement appropriate continuity procedures including the recovery of all vital backup files and tapes and to restore the RKS to normal. In the case of malicious destruction, staff access to records will need to be reviewed.

Required Recovery Time: **1 Day**

5.4.5 Level 5: Destruction to Records Caused by Vermin

The Destruction to records caused by vermin has been categorised as a level five event. The likelihood is high, with the effects being the loss and damage of paper records.

The required recovery would be to implement appropriate continuity procedures including the recovery of all vital backup files and tapes and to restore the Record Keeping System to normal. Vermin control measures would need to be improved.

Required Recovery Time: **1 to 2 Days**

5.5 Disaster Counter Measures

The Shire of Jerramungup will develop and implement counter measures to ensure the protection of the Shire of Jerramungup's Record Keeping System, as detailed below. Some of these measures are preventative in nature (to avoid a disaster from occurring in the first instance) and others will aid in the recovery of the system should a disaster occur.

5.5.1 Logical Security

Server access will be restricted at all times to Network Administration staff only.

The Shire of Jerramungup will ensure that the Server will be backed up each night, with the tape to be stored in the Office safe and backed up once a week on an offsite storage tape, to be stored at an offsite secure location.

5.5.2 Physical Security

The Shire office alarm system will be engaged at the close of business. Passwords for the system are to be authorised by the Chief Executive Officer. Compactus and safe are to be secured and locked at the close of business each day.

Offsite storage (Sea Container) is to be locked and the compound padlocked at the close of business each day.

5.5.3 Environmental Controls

All record keeping areas are to be air-conditioned and fitted with smoke detectors and fire alarms. Immediate access to fire extinguishers will be available. UPS (Un-interruptible Power Supply) Units will be fitted to all computers in the Administration office.

The offsite storage area is also to be suitably insulated, air-conditioned fitted with smoke detectors, fire alarms and contains fire retardant shelving.

5.5.4 Security Copies of Vital Records

The creation of security copies of records is the Shire of Jerramungup's best defence in the event of a disaster. Security copies are stored in a separate location to original records so that in the event of the original being destroyed or damaged in a disaster the security copy can be retrieved and used to replace the original record. It is essential that security copies are stored a significant distance from the original so that both are not destroyed by the same event. Security copies should be subjected to the same security and storage conditions as the original records.

- *Duplication of Electronic Records:* All documents stored in the Shire of Jerramungup's Record Keeping System must be duplicated on a regular basis. The security copies must be stored within environmentally controlled conditions at a facility located a significant distance from the original electronic records.
- *Duplication of Vital Hard Copy Records:* Hard copy vital records must be identified and duplicated on a regular basis. The security copies must be stored within environmentally controlled conditions at a facility located a significant distance from the original hard copy records.

5.6 Disaster Recovery Strategy

Upon the discovery of a disaster affecting the Shire of Jerramungup's Record Keeping System, the Chief Executive Officer should be immediately contacted. This person should then commence the recovery strategy detailed in this section of the plan.

5.6.1 Switch to Emergency Backup Operating Mode

The first task of the Chief Executive Officer is to immediately switch the Record Keeping System to the emergency backup operating mode. The following steps should be followed:

- Evaluate the extent of damage to the Record Keeping System and select an appropriate Record Keeping System Continuity Procedure (See Section 7.7 for details).
- Assemble appropriate staff to discuss Continuity Plan.
- Implement the relevant continuity procedures.
- Notify all staff of system unavailability.

5.6.2 Plan Recovery

The following steps should then be followed prior to the commencement of the recovery activities:

- Urgently assemble all relevant staff.
- Evaluate extent of damage or loss.
- Determine recovery tasks required.
- Notify all Record Keeping System stakeholders of recovery strategy and estimated time frame for recovery.

5.6.3 Implement Appropriate Recovery Operations

As a guide, the following recovery operations should be executed by the Chief Executive Officer. Different operations have been selected depending on the level of the disastrous event.

During recovery operations the recovery team will meet regularly. Communication should be channelled through the Chief Executive Officer. At the completion of the selected recovery strategy a debriefing will be held and a full report produced detailing the recovery operations and any recommendations regarding improvements to the disaster recovery plan.

- *Level 2: Theft of Shire of Jerramungup Records:*

Once the Police have been notified, the Chief Executive Officer will switch to the Emergency Backup Operating Mode, delegating staff to implement disaster continuity procedures that are applicable.

- *Level 3: Industrial Accident at Offsite Records Storage Area:*

The Chief Executive Officer will ensure that the required authorities are notified and the area is contained. The Shire will switch to the Emergency Backup Operating Mode, with the Chief Executive Officer delegating staff to implement disaster continuity procedures that are applicable.

- *Level 4: Destruction of Records at the Shire of Jerramungup:*

The Chief Executive Officer will switch to the Emergency Backup Operating Mode, delegating staff to implement disaster continuity procedures that are applicable.

- *Level 5: Destruction to Records Caused by Vermin:*

The Chief Executive Officer will switch to the Emergency Backup Operating Mode, delegating staff to implement disaster continuity procedures that are applicable.

5.6.4 Return to Normal Operating Mode

Once all the essential recovery activities are completed, the steps below should be followed to return the Record Keeping System to normal operating mode:

- Resume normal Record Keeping System procedures and halt Record Keeping System continuity procedures.
- Advise all staff that Record Keeping System is operating in normal mode.
- Ensure records created during Record Keeping System continuity procedures are captured and filed correctly.
- Ensure backup data and/or replacement materials are replaced or returned.

5.7 Disaster Continuity Procedures

The Shire of Jerramungup will develop and implement continuity procedures to be used during any extended period of system downtime during office hours to ensure the continued processing of records into the Record Keeping System and delivery of records to Shire of Jerramungup staff. Six separate continuity procedures will be used for different types of system problems, as described below. A combination of these individual procedures may be required.

- All records will continue to be registered and file numbered and will be stored for filing in the filing pigeonholes, until paper filing system is restored.

- Offsite Backup tapes for the server will be retrieved and reloaded onto system if still operational.
- Electronic records will be saved onto employees individual hard drives and saved onto the server, once server is restored or replaced.
- If the Shire of Jerramungup Filing Key is destroyed, all incoming and newly created documents will be registered and grouped together in the filing pigeonholes until a certified copy of the Filing Key is available to index records.
- New Incoming and Outgoing Mail registers will be established immediately in the event of the original registers being destroyed.
- If there are printer failures, electronic records will be saved to the server and once printers are restored, a hard copy printed out and filed.

5.8 Disaster Recovery Responsibilities

The following Shire of Jerramungup positions will be responsible for various activities that must be performed as part of the Record Keeping System Disaster Recovery Plan. The table below details the unit and position responsible for undertaking the activity and the frequency with which the activity should be performed.

<i>Activity</i>	<i>Position</i>	<i>Frequency</i>
Backup of Server Records	Senior Administration Officer	Daily
Vital Paper Records Backup Copies	Executive Secretary	Continual
Reviewing of Disaster Recovery Plan	DCEO	Annually

5.9 Disaster Recovery Resources

Dependent on the nature and severity of the disaster, the following resources may be required to restore the Shire of Jerramungup's Record Keeping System. The table below details the source, location and availability of each item.

<i>Item</i>	<i>Source</i>	<i>Location</i>	<i>Availability</i>
RKS Disaster Recovery Plan	Shire	Sea Container	Immediate
Vital Paper Records Backup Copies	Shire	Sea Container	Immediate
Vital Server Records Backup Copy	Shire	Offsite	Immediate
Replacement Hardware – Server/Software	Pre-Emptive Strike	Albany	1 Day to 1 Week
Replacement Compactus	Cunderdin Furnishing	Cunderdin	1 Week to 1 Month

<i>Item</i>	<i>Source</i>	<i>Location</i>	<i>Availability</i>
Replacement Files, Labels etc.	Boise	Perth	1 Day to 1 Week
State Records Office	State Library	Perth	1 Week to 1 Month
Bookbinders	44 Caversham Place	Perth	1 Week to 1 Month
Coates Hire	Chester Pass Road	Albany	1 Day to 1 Week
Preservation	State Library	Perth	1 Week to 1 Month
Office Max	136 629	Perth	1 Week to 2 weeks

<i>Emergency Service</i>	<i>Telephone</i>
Ambulance	000
Fire Department	000
State Emergency Service	132500
Police	9835 0222
Albany Health Campus	9892 2222
Western Power	131 351
Water Corporation	131 375

5.10 Disaster Recovery Plan Training Program

All members of the Record Keeping System Disaster Recovery Team will be trained in the operation of the Record Keeping System Disaster Recovery Plan and associated procedures. Training will be conducted annually and whenever a new member joins the team.

5.11 Disaster Recovery Plan Testing Program

All members of the Record Keeping System Disaster Recovery Team will be involved in the testing of the Record Keeping System Disaster Recovery Plan and associated procedures. Complete and thorough testing will be conducted on an annual basis. The Record Keeping System Disaster Recovery Plan should be refined if any inadequacies or inefficiencies are discovered during testing.

APPENDIX 9 – Document to Be Destroyed Sheet

Documents to be destroyed – December 2020

File Number	Date Closed	File Name	Contents	Reference	Disposal Date Guidelines
Time cards	2012	2011/12 time cards	Time sheets from admin staff & Time cards from works crew	Payroll	7 years ASA
FM, BA, 4	2012	CC Bills & payments	BANKING - CREDIT CARD - BILLS AND PAYMENTS	Financial	6 year ASA
CR,AW, 2	2012	Community Awards	Community awards correspondence	C/relations	7 years ALA
OLD FILES					
44.3	2003	Staff clothing	Uniforms	Staff	7 years ALA
33.8	2002	Manuals	Technical & User manuals	IT	2 Years ASR
34.4	2003	Debtors	Invoices	Financial	7 years ASA

CEO Authorisation for destruction

Signature: _____ Date: _____

Documents Shredded by: Danielle Wisewould

Signature: _____ Date: _____

Statutory Statements

Record Keeping Policy

The Shire of Jerramungup and all of its employees are committed to efficient and compliant record keeping practices. Internal review and training strategies have been developed and implemented to ensure that all are aware of their compliance responsibilities and that the Information Management System is operating in accordance with the Shire’s 2019 Record Keeping Plan.

As part of staff induction, the role and responsibilities of every employee, in relation to compliance with the record-keeping plan, are addressed. Ongoing training sessions are conducted where appropriate and additional training is provided to ensure the operation of our Information Management System is effective and compliant.

Annual Salaries

The *Local Government Act 1995* requires the Annual Report to detail the number of employees who are entitled to an annual salary of \$100,000 or more and to break those employees down into bands of \$10,000.

At 30 June 2020 the Shire of Jerramungup had two employees whose salary fell between \$110,000 and \$119,999, one other between \$120,000 and \$129,999 and one employee whose salary falls between \$160,000 and \$169,999.

Register of Financial Interests for Elected Members and Senior Staff

In accordance with the requirements of the *Local Government Act 1995*, this register is held in the Administration office and is available for viewing by the public.

National Competition Policy

Competitive Neutrality Policy and Principles;

The Shire of Jerramungup has not identified any business that would be classified by the Australian Bureau of Statistics as either a “Public Financial Enterprise” or “Public Trading Enterprise”.

Competitive Neutrality Policy and Principle CNS;

The Shire of Jerramungup has not identified any part of its business as “Significant Business Activity” in 2019/2020.

Structural Reform of Public Monopolies, Principles SR2, SR3 AND SR4 ;

The Shire of Jerramungup acknowledges the principles of structural reform under the National Competition Policy.

Disability Access and Inclusion Plan

The Shire of Jerramungup Disability Access and Inclusion Plan was reviewed in 2019. The purpose of the DAIP is to set out strategies that a local government will undertake to ensure that people with disability can access its services, and that the services provided will facilitate increased independence, opportunities and inclusion for people with disability in the community.

The Disability Access and Inclusion Plan 2018-2023 will continue to guide the Shire’s efforts to make the Shire of Jerramungup community a more friendly and inclusive place for people with disabilities and has resulted in a number of improvements being made throughout the Shire.

The upgrade of our shared path network, installation of a Universal Access toilet facility at Paperbarks Park, planning for disabled access in the Bremer Bay Town Centre, further footpath