



Shire of **Ngaanyatjaraku**
ON A JOURNEY

Shire of Ngaanyatjaraku

RECORDKEEPING PLAN

2021

TABLE OF CONTENTS

Introduction	3
1 Principle One: Proper and Adequate Records	7
1.1 Historical Background	7
1.2 Strategic Focus and Main Business Activity	8
1.3 Functions, including those outsourced	10
1.4 Major Stakeholders	10
1.5 Enabling Legislation	10
1.6 Legislation and Regulations Administered by the Shire of Ngaanyatjarraku	10
1.7 Other Legislation Affecting the Shire of Ngaanyatjarraku	10
1.8 Major Government policy and/or Industry Standards	10
2 Principle Two: Policies and Procedures	11
2.1 Records Management and Business Information Systems	11
2.1.1 Records Management System	11
2.1.2 Business Information System/s	11
2.2 Records Management Policy and Procedures	12
2.3 Certification of Policies and Procedures	12
2.4 Evaluation of Policies and Procedures	13
3 Principle Three: Language Control	14
3.1 Keyword for Councils Thesaurus Implemented	14
3.2 Thesaurus (other than Keyword for Councils) Implemented	Error! Bookmark not defined.
3.3 File Plan / List of Subject headings / List of Authorised Headings	14
3.4 Assessment of its Effectiveness	14
3.5 Identified Areas for Improvement	14
4 Principle Four: Preservation	15
4.1 Assessment of Risks	15
4.1.1 On Site Storage	15
4.1.2 Offsite Storage	15
4.1.3 Data Centre and Cloud Storage	15
4.1.4 Storage of Archives	16
4.1.5 Storage of Backups	16
4.1.6 Quantity of Records	16
4.1.7 Security and Access	16
4.2 Assessment of the Impacts of Disasters	16
4.3 Strategies in Place for Preservation and Response	17
4.3.1 Vital Records Program	17
4.3.2 Backup Procedures for Electronic Records	17
4.3.3 Preservation of Electronic Records	17
4.3.4 Security	18

4.3.5	Storage Reviews	18
4.3.6	Recovery of Lost Information	18
4.4	Identified Areas for Improvement	18
5	Principle Five: Retention and Disposal	20
5.1	General Disposal Authority for Local Government Records	20
5.2	Disposal of Source Records	20
5.3	Existing Ad Hoc Disposal Authorities	20
5.4	Existing Disposal Lists	20
5.5	Restricted Access Archives	20
5.6	Transfer of Archives	20
5.7	Non-Transfer of Archives	20
5.8	Disposal Program Implemented	21
5.9	Authorisation for Disposal of Records	21
5.10	Identified Areas for Improvement	21
6	Principle Six: Compliance	22
6.1	Staff Training, Information Sessions	22
6.2	Performance Indicators in Place	22
6.3	Agency’s Evaluation	23
6.4	Annual Report	23
6.5	Identified Areas for Improvement	23
7	SRC Standard 6: Outsourced Functions	24
7.1	Outsourced Functions Identified	24
7.2	Recordkeeping Issues Included in Contracts	24
7.2.1	Planning	24
7.2.2	Ownership	24
7.2.3	Control	24
7.2.4	Disposal	24
7.2.5	Access	25
7.2.6	Custody	25
7.2.7	Contract Completion	25
7.3	Identified Areas for Improvement	25
<u>Appendices</u>		
	Appendix 1 – Functions of the Local Government	26
	Appendix 2 – Legislation & Regulations Administered by the Local Government, and Local Laws of the Local Government	28
	Appendix 3 – Other Legislation & Regulations Affecting the Operations of the Local Government	30
	Appendix 4 – Major Government & Industry Standards	31
	Appendix 5 – Council Policy – Records Management	32
	Appendix 6 – CEO Procedure – Records Management	33

Appendix 7 – Disaster Recovery Plan (excerpt).....	.42
Appendix 8 – Training Documentation45
Appendix 9 – Extract of Records Clause for Annual Report.....	.53
Appendix 10 – Proposed Contract Record Keeping Clause54

Introduction

This document is presented to the State Records Commission in accordance with Section 19 of the *State Records Act 2000* (the Act), which requires each government organization to have a Recordkeeping Plan approved by the State Records Commission.

State Records Commission (SRC) Standard 1 – *Government Recordkeeping* requires that government organizations 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 Ngaanyatjarraku and how it is to keep its records. The Recordkeeping Plan is to provide an accurate reflection of the recordkeeping program within the organization, including information regarding the organization'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 organization.

The objectives of the Shire of Ngaanyatjarraku's RKP are to ensure:

- Compliance with Section 19 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 Ngaanyatjarraku and all its employees are legally required to comply with the contents of this Plan.

This Recordkeeping Plan applies to all:

- Shire of Ngaanyatjarraku Employees;
- Shire of Ngaanyatjarraku Contractors;
- Organizations performing outsourced services on behalf of the Shire of Ngaanyatjarraku; and
- Shire of Ngaanyatjarraku 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 [where applicable, insert number of previous approved RKP] and applies to all records created or received by any of the above parties, regardless of:

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

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

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

(State Records Act, 2000)

1 Principle One: Proper and Adequate Records

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

1.1 Historical Background

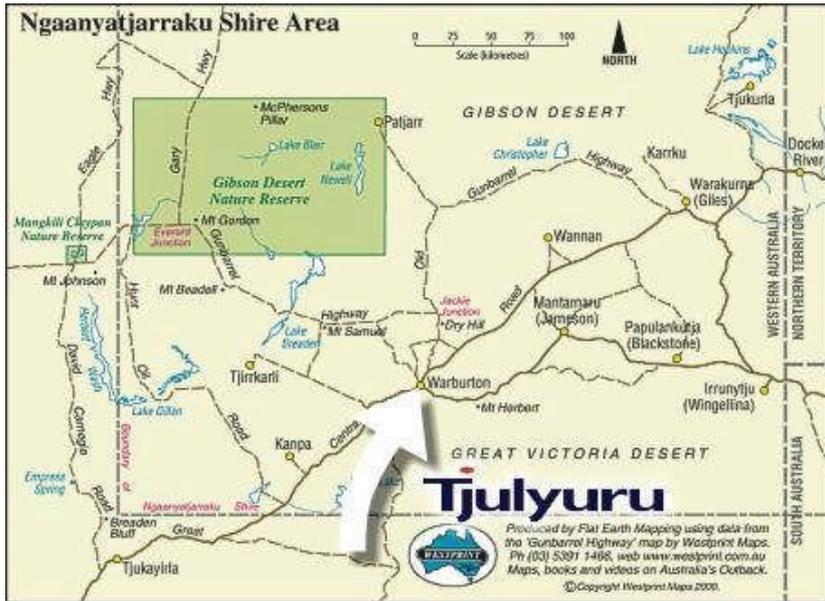
The Shire of Ngaanyatjarraku is a unique local government in that its community of interest is contained within the traditional lands of the Ngaanyatjarra people of the Central Desert of Western Australia. The 99 year leases held by the Ngaanyatjarra Land Council on behalf of the traditional owners also form the boundaries of the Shire of Ngaanyatjarraku.

The Shire of Ngaanyatjarraku was formed on the 1st of July 1993 by the division of the Shire of Wiluna with the eastern area becoming the new Shire. The first local government elections were held in October 1993 and 8 Councillors were elected unopposed. The communities, as originally stated in their submission to the Boundaries Commission, are committed to "mainstream" local government and the delivery of services by the Shire rather than any other organisation.

The Shire encompasses an area of 159,948 square kilometres and is located approximately 1542km from Perth. The region itself is diverse in natural beauty from the magnificent Rawlinson ranges to the red sandy plains of the Gibson Desert.

The Shire's main township is Warburton, which is also the largest of the eleven Indigenous communities within the Shire. Warburton is positioned 1,542 kilometres northeast of Perth, 560 kilometres of gravel road northeast of Laverton, 750 km northeast of Kalgoorlie and 1,050 kilometres southwest of Alice Springs. Neighbouring shires include the Shire of Wiluna, Laverton, and East Pilbara. The Shire offices are located in the Tjulyuru Cultural and Civic Centre in Warburton.

In 2016 the Shire's Census had an estimated residential population of 1,606 people, comprised of 48.7% male and 51.3% female residents and there are approximately 500 dwellings within the Shire. In comparison to the Western Australia demographic the district has a higher proportion of younger residents in the 0-44 year age ranges with a lower proportion in all age groups over 45 years than the State average. This must be a consideration for the Shire when considering the types of service provision to the community.



1.2 Strategic Focus and Main Business Activity

The following three key strategic objectives highlight our focus, in reflection of our communities hopes for the future.

- **Our People:** Looking after our people - our communities are healthy, happy and informed
- **Our Land:** Looking after our land - which we all depend upon and love living on, and want to keep good for our children and grandchildren; and
- **Our Leadership:** Showing the way for our communities - doing the right things to look after our people and land.

Development of the local economy, whilst not a key strategic focus due to being outside the Shire’s responsibility and control, is of keen interest and the Shire will support, where possible, initiatives supporting the local economy. We will continue to work closely with State and Federal Government agencies and our traditional partner, Ngaanyatjarra Council to deliver services across the Ngaanyatjarra Lands (Lands).

Service Delivery

- The Shire of Ngaanyatjarraku delivers services to its community in line with its vision, values, the key strategic objectives set out above and available funding. Each of the objectives has several outcomes the Shire seeks to achieve over the 10+ years of the Strategic Community Plan.
- Strategies and detailed actions to achieve these outcomes have been developed as part of the Corporate Business Planning process and are detailed on the following pages.
- When these actions will be undertaken is indicated also, some actions may be completed in one year, others will take longer, and some are ongoing and subject to funding.
- As the Shire strives to achieve these outcomes, our communities will be kept informed of the progress by means of the Shire's Annual Report.

Service Delivery on the Lands

For some time, the Shire has been advocating for the need for a review of services provided to the lands via a Lands Service Review. In June 2020, the Shire wrote to the Minister for Local Government; Culture and the Arts advising that the Shire was experiencing issues related to legislative change and seeking his advocacy to try and resolve some major issues the Shire has been unsuccessful in negotiating with other State Ministers.

Since then, the Aboriginal Engagement (DPC) and the Goldfields Regional and Remote Service Delivery (DoC) units have set up a joint working group made up of State representatives across various portfolios, the National Indigenous Australians Agency (NIAA) and the Ngaanyatjarra Council Aboriginal Corporation (NCAC) and the Shire of Ngaanyatjarraku (SoNg).

The main issues raised by the Shire for urgent stage 1 resolution by the working party are:

- Swimming pools to open in Warburton, Warakurna and Blackstone for the upcoming swim season (NCAC) and ongoing funding for future seasons;
- Waste management services;
- Sport and recreation services;
- Youth services;
- Early years child development;
- Environmental health services; and
- Fire and emergency services

Longer term stage 2 issues will cover the full range of services and infrastructure, including community and human services, economic development, including the link between service provision arrangements and employment, welfare, economic development, education and training that a normal Local Government provides.

1.3 Functions, including those outsourced

A comprehensive list of typical Local Government functions and relevant functions performed by the Shire of Ngaanyatjarraku (and those functions, if applicable, performed by another party on behalf of the Shire) is detailed in Appendix 1.

1.4 Major Stakeholders

The Shire of Ngaanyatjarraku's major stakeholders are all employees, residents, ratepayers, the general public and elected members.

The Shire also recognises as stakeholders and supports the activities of those other groups that provide services to residents and the Ngaanyatjarra communities, including non-government resource agencies, mining and exploration industry companies, and State and Commonwealth Government Departments.

1.5 Enabling Legislation

The Shire of Ngaanyatjarraku is constituted as a discrete local government authority under the provisions of 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 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.

The local government's executive powers involve administering its local laws and doing other things that are necessary or convenient to be done for, or in connection with, performing its functions under the Local Government Act, including the provision of services and facilities.

1.6 Legislation and Regulations Administered by the Shire of Ngaanyatjarraku

The Shire is wholly or partly responsible for administering the legislation and regulations (including Local Laws) as detailed in Appendix 2.

1.7 Other Legislation Affecting the Shire of Ngaanyatjarraku

A list of other legislation and regulations affecting the functions, operations and recordkeeping of the Shire is detailed in Appendix 3.

1.8 Major Government policy and/or Industry Standards

A list of government and industry standards and codes of practice that may be imposed on or adopted by the Shire is detailed in Appendix 4.

2 Principle Two: Policies and Procedures

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

2.1 Records Management and Business Information Systems

2.1.1 Records Management System

The Shire of Ngaanyatjarraku uses the SynergySoft Database as its Electronic Document Records Management System (EDRMS). The system provides for the basic functions of Records Management, including coversheets & attachments, security levels and staff access rights, vital records, files & thesaurus, file loans, boxes, retention & disposal, and workflow.

- The records system is a hybrid system using a combination of paper and electronic records.
- The records management system is electronic, with documents viewed through the EDRMS through a workflow.
- Where hardcopies are received, the hardcopies are scanned, registered and the hardcopies kept on file.
- Where electronic copies are received, the documents are registered using Outlook 365 'Add-ins' feature.
- Documents that are impractical to be sent electronically (e.g. Planning and Building documents, large technical reports and Personnel Records) are kept in hardcopy by the users. Files are created for these documents and are categorised in the EDRMS as 'loose items' detailing the location of that file.
- The records management system was implemented in 2009. However due to loss of key staff the system was not fully used and hard copy records were still kept.
- A review of the records management system occurred in late 2015 to ensure it was meeting the organisation's needs. The system was re-implemented and refresher training for users was undertaken.

2.1.2 Business Information System/s

The Shire is using the SynergySoft Corporate Software Solution to provide the core services of Rates, Payroll and Financial Managed Services.

The Shire also outsource to Moore Australia (MA) to review financial management information and compile statutory monthly financial reports, and assist with the annual financial report, annual budget and annual budget review.

2.2 Records Management Policy and Procedures

The creation and management of records is coordinated by the Shire's Corporate Services area.

The Shire currently has Council Policy 1.21 - Record Management, and a new Record Management Procedure is being implemented to align to Council Policy 1.21 Records Management and the approved Record Keeping Plan.

Table 2.1

Record Keeping Activities for the management of hard copy records and covered in the Draft Shire Policy and Procedure	YES	NO
<p>Correspondence capture and control – including incoming and outgoing mail registration; responsibilities assigned for classifying, indexing and registration; file titling and file numbering conventions.</p> <p>Include specific provisions for capture and control of Elected Members' correspondence.</p>	✓	
<p>Digitization – including categories of records digitized; disposal of source records; digitization specifications. See General disposal authority for source records.</p>	✓	
<p>Mail distribution – including frequency, tracking mechanisms and security measures.</p>	✓	
<p>File creation and closure – including assigned responsibility and procedures for both physical and automated file creation.</p>	✓	
<p>Access to corporate records – procedures for access to and security of corporate records.</p>	✓	
<p>Authorised disposal of temporary records and transfer of State archives to the State Records Office (SRO) – any assigned responsibilities.</p>	✓	
<p>Electronic records management – including the organization'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.).</p>	✓	
<p>Email management – including the capture, retention and authorised disposal of email messages to ensure accountability. Should indicate whether the organization 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.)</p>	✓	

Record Keeping Activities for the management of hard copy records and covered in the Shire's Policies and Procedures	YES	NO
<p>Website management –</p> <p>i) Including guidelines to determine which is the complete and accurate record, particularly in regard to the purpose of the site (e.g. whether informational/transactional).</p> <p>ii) Responsibility for the website and strategies implemented for the management of the website over time, including capture of periodic snapshots of the site and mechanisms for recording website amendments.</p>	✓	
<p>Metadata management – including authority for the capture and control of metadata.</p>	✓	
<p>System/s management – including any delegations of authority for the control and security of systems utilised by the organization (e.g. provision of access to systems through individual logins and passwords, protection of servers etc).</p>	✓	
<p>Migration strategy – strategies planned or in place for migrating information and records over time (e.g. through upgrades in hardware and software applications, and any assigned responsibilities) for long-term retention and access. <i>See Public Records Policy: 8 – Policy for the ongoing management of electronic records designated as having archival value.</i></p>	✓	

2.3 Certification of Policies and Procedures

Evidence of formal authorisation that the policies and procedures are in place and promulgated throughout the Shire is provided by the copy of the certification document signed by the CEO. Please refer to Appendix 5.

2.4 Evaluation of Policies and Procedures

The recordkeeping policies and procedures for the Shire cover all categories identified in Principle 2 of SRC Standard 2 and are assessed as operating efficiently and effectively across the Shire. Please refer to Appendix 6

3 Principle Three: Language Control

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

3.1 Keyword for Councils Thesaurus Implemented

The Shire utilises the Keywords for Councils thesaurus system, slightly modified to reflect the unique circumstances of the Shire and the additional functions, activities, and services it provides to the Ngaanyatjarra Lands region.

The Keyword for Councils thesaurus proves suitable for the purposes of the Shire. To assist officers using the thesaurus for Keywords for Council, the has also developed a chart of common thesaurus uses for each work area which enables the user to rapidly search the defining keyword, and assist matching the appropriate file reference accordingly using the 'drop-down' listings within the EDMS.

3.2 Assessment of its Effectiveness

The Keyword for Councils thesaurus proves suitable for the purposes of the Shire. To assist officers using the thesaurus for Keywords for Council, the has also developed a chart of common thesaurus uses for each work area which enables the user to rapidly search the defining keyword, and assist matching the appropriate file reference accordingly using the 'drop-down' listings within the EDMS.

3.3 Identified Areas for Improvement

Not Applicable as the Shire has recently undertaken a review of all Records Keeping functions and implemented improvement for the use of the Thesaurus and File Structures.

4 Principle Four: Preservation

Principle: Government organisations ensure that records are protected and preserved.

For the Disaster Management Plan for the Shire of Ngaanyatjarraku please refer to Appendix 7. This plan will be reviewed as part of the implementation of our IT Plan.

4.1 Assessment of Risks

4.1.1 On Site Storage

The Shire of Ngaanyatjarraku has its current, active, inactive and archival records located onsite at the Tjulyuru Cultural and Civic Centre (the Shire's administrative offices) in Warburton.

The Shire's records are stored in a lockable metal compactus unit and lockable filing/storage cabinets in the administration office. The administration office has individually locked offices, and is air conditioned for approximately 12 hours per day. Shire management and administration staff are the only persons with access to the records and this occurs under the authority of the Chief Executive Officer.

The main potential threats to records stored onsite come from fire, vandalism, vermin or other pests, all of which are controlled as best as possible.

With the onsite storage conditions as described the risk is assessed as low. However, it is proposed that a review of storage be undertaken to determine the best location to store records.

4.1.2 Offsite Storage

The Shire's offsite records are stored in a sea container located outside the CEO House. The sea container is water and vermin proof and is fitted with an air circulation device on the roof. Appropriate email records are stored using the Microsoft Outlook 365, Add-ins function.

Moore Australia, Perth - provides accounting & financial reporting services under contract to the Shire accessing the SynergySoft System which is housed in the cloud by Focus Networks the Shires IT contractor. Non system generated reports are emailed to the Shire and are recorded in the EDMS.

4.1.3 Data Centre and Cloud Storage

The Shire has entered into an arrangement with Focus Networks to store electronic data/digital information and records in data centres/cloud storage facility as detailed in the table below. The arrangement includes provisions for security and access; preservation; and return of the data.

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

Information system / categories of records	Name of service provider	Geographic location of data centre / cloud storage	Geographic location of data centre / cloud storage backups	Risk assessed Y/N
SharePoint	Focus Networks	Malaga, Perth.	Malaga, Perth.	Yes
Synergy Soft	Focus Networks	Victoria Park, Perth	Victoria Park, Perth	Yes

4.1.4 Storage of Archives

The Shire follows the requirements of the State Records Office of processing archives for transferal. Currently this is not possible, due to space restrictions at the State Records Office. The Shire uses the General Disposal Authority for Local Government Records to designate what is archival materials and what is of temporary or permanent value.

The Shire is not able to comply with all of Principle 1, temperature and humidity levels within SRC Standard 7 due to the Shire's remote location in the Gibson Desert. The Shire's self-assessment against other Principles is thought to be compliant.

4.1.5 Storage of Backups

Electronic backups of the Shire computer records are completed multiple times per day. Backups are conducted online in Office 365, and then backed up into Focus Networks data center, based in Malaga Perth.

4.1.6 Quantity of Records

The Shire has:

- approximately 23 linear metres of records stored onsite: and
- approximately 1 linear metre of State archives stored onsite.
- Approximately 30 boxes of records stored offsite.

4.1.7 Security and Access

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

- Security levels are in place for the EDMS (SynergySoft), which allows read access to staff with user and computer access and have been inducted to using the SynergySoft System.
- Security is through the active directory, with named users and role based permissions.
- Hard copy records are stored in the administration office accessible only to management and administration staff.
- Electronic records are backed up multiple times per day, as described previously.
- Access to records is granted via the authority of the Chief Executive Officer

in line with the designated security classifications.

4.2 Assessment of the Impacts of Disasters

The risk of a disaster occurring to the hard copy records of the Shire has been assessed overall as being low to moderate. The risk to electronic records is assessed as low.

The impact of a disaster on the organisation's records has therefore been assessed as low to moderate.

There are sufficient strategies in place to ensure that business activities of the organisation will not be unduly affected in the event of a disaster occurring. A disaster recovery plan has been developed including existing hard copy-based system and is to be amended to reflect the new SynergySoft electronic records system.

Whilst the loss of hardcopy records would result in considerable inconvenience to the Shire, the day-to-day business operations of the Shire would not be significantly affected in the event of a disaster occurring. The storage and security of the electronic records is very good.

4.3 Strategies in Place for Preservation and Response

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

4.3.1 Vital Records Program

A vital records program has been developed for the Shire. Vital records have been identified as:

- Insurance policies
- Personnel records
- Corporate seals
- Contracts and Management Agreements
- Software Programs
- Legal Documents
- Leases
- Council minutes

Vital records in hard copy are stored in locked filing cabinets and all legal documents in a fireproof safe in the administration office accessible by and under the authority of the Chief Executive Officer. These records have been copied and the copies are placed on the relevant files and are used for all normal business activities; the whereabouts of the vital records are always known.

4.3.2 Backup Procedures for Electronic Records

Electronic records of the Shire are backed up multiple times per day in Office 365 and on the Focus Networks data centre in Malaga, Perth.

4.3.3 Preservation of Electronic Records

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

- Focus Networks Media used to store electronic information is periodically checked regularly to ensure the information is accessible and readable;
- Digital storage media, including removable storage devices, is refreshed as necessary to prevent data loss ; and
- Electronic records requiring long term retention are maintained in an appropriate format for long term preservation.

4.3.4 Security

The following security measures have been implemented by the Shire to prevent unauthorized access to records:

- Security levels are in place for the EDMS (SynergySoft), which allows read access to staff with user and computer access and have been inducted to using the SynergySoft System.
- Hard copy records are stored in the administration office accessible only to management and administration staff.
- Electronic records are backed up on a regular basis as described previously.
- Access to records is granted via the authority of the Chief Executive Officer in line with the designated security classifications.

4.3.5 Storage Reviews

The storage facilities utilised by the Shire are reviewed on an ongoing basis to ensure that conditions are appropriate for the organisation's records.

4.3.6 Recovery of Lost Information

The Shire has developed a set of quick response strategies to recover lost information, should a disaster occur. Strategies include:

- access duplication of hard copy vital records held electronically.
- twice daily back-up of electronic records / data to disc on local server (assuming server has not gone down);
- access previous end of day on-site back-up of electronic records / data for storage in the CEO fireproof safe; and
- access additional whole-of-system backup conducted every month and stored off-site.

The re-creation of the Shire's hard records (not in the EDMS) arising from a complete or partial disaster due to fire or other destructive event would most probably not be completely achieved (moderate risk).

In respect to the cost, the Shire has insured against the cost and expenses

necessarily and reasonably incurred in reinstating, replacing, reproducing, or storing documents, manuscripts, securities, deeds, plans, drawings, business books and other records of every description upon loss or destruction of or damage caused by the threat protected against. The policy also includes reproducing data media, data storage devices and program devices for electronic data processing.

With the backup procedures currently in place for the entire computer network and the alternative arrangements that have been made for remote access to the network by Focus Network, the Shire is confident that the recovery of all damaged or lost electronic data would be achieved in full. Regarding the pre-electronic data recording period however, there are a number of vital hard copy records (not copied electronically) where recovery of lost information would be difficult. These include council minutes, correspondence, rate records etc.

4.4 Identified Areas for Improvement

Undertake a full review of storage to determine if it is feasible for records to be stored offsite.

5 Principle Five: Retention and Disposal

Government organizations 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 utilises the General Disposal Authority for Local Government Records produced by the State Records Office of WA for the retention and disposal of its records.

5.2 Disposal of Source Records

The Shire has established procedures to scan all incoming, hard copy (no larger than A3 in size), correspondence in accordance with the requirements of the General Disposal Authority for Source Records. The original hard copy correspondence, once reproduced electronically, will be treated as copies/duplicates and as such will be retained for a minimum of 6 months to meet operational requirements and then destroyed. Refer to the Management Procedure, Attachment 6 for full documentation of scanning procedures, quality control and other processes. Hard copy records larger than A3 are filed (either in Records / Loose Files).

5.3 Existing Ad Hoc Disposal Authorities

The Shire does not have an approved Ad Hoc Disposal Authority and does not use any other disposal authorities.

5.4 Existing Disposal Lists

The Shire has not developed an approved Disposal List in consultation with the State Records Office and approved by the State Records Commission. The Shire has not and does not propose to undertake disposal of any hard copy records received prior to implementation of the EDMS.

5.5 Restricted Access Archives

The Shire 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

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

5.7 Non-Transfer of Archives

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

5.8 Disposal Program Implemented

The Shire has not recently authorised records for disposal but intends to implement a regular disposal program that will be undertaken on an annual basis. See 5.3 above.

5.9 Authorisation for Disposal of Records

Before any records are destroyed, transferred into inactive storage, or identified State archives transferred to the State Records Office, those records due for destruction or transfer are reviewed by the Chief Executive Officer and authorised beforehand to ensure compliance with the General Disposal Authority for Local Government Records.

A schedule of the records disposed of or destroyed is maintained.

Electronic records of archival value will be stored indefinitely, and arrangements are in place to ensure these records are held in secure conditions and that the data is migrated as necessary to maintain readability.

5.10 Identified Areas for Improvement

1 Improvements to the EDMS are required, to allow for an improved Retention & Disposal process. The main areas requiring improvement are:

1.1 Automatic change of status of File Volumes from Inactive to Disposed of, once signed off.

1.2 Deletion of attachments to Coversheets that have been marked for Disposal. Currently it is a manual process of destruction. Suggestions have been made to the software company regarding the process of destruction. Improvements to the Archiving of Records.

ITVision have advised that the next release of the SynergySoft RMS software will have this functionality.

2 Undertake a review of records to determine an authorised list of records for disposal and offsite storage

6 Principle Six: Compliance

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

6.1 Staff Training, Information Sessions

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

Table 6.1

Activities to ensure staff awareness and compliance	YES	NO
Presentations on various aspects of the Local Government's recordkeeping program are conducted. These are delivered to all staff on an as required basis (e.g. when changes made to RKP, Policy or Procedures).	✓	
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 organization whenever practicable.	✓	
Staff information sessions are conducted on a regular basis for staff as required (e.g. RKP amendment).	✓	
Staff are required to complete an online record keeping awareness training course; as training sessions are somewhat difficult to deliver locally due to the extremely remote location of this Shire.	✓	
The Local Government's email system is used to publish recordkeeping information, highlight issues, or bring particular recordkeeping matters to staff attention.	✓	
The Local Government's Induction Program for new employees includes an introduction to the Local Government's recordkeeping system and program, and information on their recordkeeping responsibilities.	✓	

Coverage of the training/information sessions as detailed here extends to all staff that use the EDMS. However, records management staff are offered more frequent and more specialised training where required (e.g. ITV Administrator Training).

Appendix 8 contains samples of training documents / aids used.

6.2 Performance Indicators in Place

Regular monitoring of outstanding correspondence occurred with reports provided to the Senior Management Team on a fortnightly basis highlighting the responsible officer and number of days each item had been outstanding. This provided a level of assurance that the organisation is actioning incoming correspondence from the community in a timely manner.

Further performance indicators will be developed to measure the efficiency and effectiveness of the Shire's recordkeeping systems.

6.3 Agency's Evaluation

There is a need for some reviews / improvements of the Shire's recordkeeping systems as identified in the Areas for Improvement throughout this plan.

6.4 Annual Report

An excerpt from the Shire's latest Annual Report is attached, demonstrating the organization's compliance with the *State Records Act 2000*, its Recordkeeping Plan and the training provided for staff. Please refer to Appendix 11.

6.5 Identified Areas for Improvement

Further performance indicators will be developed to measure the efficiency and effectiveness of the Shire's recordkeeping systems. One of the duties and responsibility of the new Administration Coordinator is to improve our Record Keeping.

.

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 does not have clauses addressing recordkeeping issues in its current contracts for outsourced functions.

7.2.1 Planning

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

7.2.2 Ownership

The Shire 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 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.

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

7.2.6 Custody

Custody arrangements between the Shire and the contractor(s)/agent(s) for State records stored on and off site by the contractor are specified in the contract.

7.2.7 Contract Completion

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

Appendix 10 contains draft wording to be used in future contracts to address the above.

7.3 Identified Areas for Improvement

The Shire will work with its contractors to improve awareness and understanding of their responsibilities under the State Records Act 2000. Clauses addressing recordkeeping issues in contracts for outsourced functions have been drafted and will be used in new / reviewed contracts.

APPENDIX 1

Functions of the Local Government

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

APPENDIX 1
Functions of the Local Government

Function	Brief Description of LG Function	Performed by the LG Tick if Yes	Performed by an External Agency Tick if Yes
Information Technology	The function of acquiring and managing communications and information technology and databases to support the business operations of the LG.	✓	✓
Land Use & Planning	The function of establishing a medium to long term policy framework for the management of the natural and built environments.	N/A	
Laws & Enforcement	The function of regulating, notifying, prosecuting, and applying penalties in relation to the Council's regulatory role.	N/A	
Legal Services	The function of providing legal services to the LG.	✓	✓
Parks & Reserves	The function of acquiring, managing, designing and constructing parks and reserves, either owned or controlled and managed by the LG.	✓	
Personnel	The function of managing the conditions of employment and administration of personnel at the LG, including consultants and volunteers.	✓	
Plant, Equipment & Stores	The function of managing the purchase, hire or leasing of all plant and vehicles, and other equipment. Includes the management of the LG's stores. Does not include the acquisition of information technology and telecommunications.	✓	
Public Health	The function of managing, monitoring and regulating activities to protect and improve public health under the terms of the Public Health Act, health codes, standards and regulations.	✓	
Rates & Valuations	The function of managing, regulating, setting and collecting income through the valuation of rateable land and other charges.	✓	
Recreation & Cultural Services	The function of LG in arranging, promoting or encouraging programs and events in visual arts, craft, music, performing arts, sports and recreation, cultural activities and services.	✓	
Risk Management	The function of managing and reducing the risk of loss of LG properties and equipment and risks to personnel.	✓	
Roads	The provision of road construction and maintenance of rural roads and associated street services to property owners within the LG area.	✓	✓
Sewerage & Drainage	The function of designing and constructing, maintaining and managing the liquid waste system, including drainage, sewerage collection and treatment, stormwater and flood mitigation works.	N/A	
Traffic & Transport	The function of planning for transport infrastructure and the efficient movement and parking of traffic. Encompasses all service/facilities above the road surface and includes all forms of public transport.	✓	
Waste Management	The function of providing services by the LG to ratepayers for the removal of solid waste, destruction and waste reduction.	✓	
Water Supply	The function of managing the design, construction, maintenance and management of water supplies, either by the LG or by service providers.	N/A	N/A

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>
Agriculture and Related Resources Protection Act 1976	Not applicable
Animal Welfare Act 2002	✓
Building Act 2011	✓
Building Regulations 2012	✓
Bush Fires Act 1954	✓
Bush Fire Regulations	✓
Caravan Parks and Camping Grounds Act 1995	✓
Caravan Parks and Camping Grounds Regulations 1997	✓
Cat Act 2011	✓
Cemeteries Act 1986	Not applicable
Dangerous Goods Safety Act 2004	Not applicable
Disability Services Act 1993	✓
Dog Act 1976	✓
Dog Regulations 2013	✓
Emergency Management Act 2005	✓
Environmental Protection Act 1986	✓
Environmental Protection (Noise) Regulations 1997	✓
Fire and Emergency Services Act 1998	✓
Fire Brigades Act 1942	✓
Food Act 2008	✓
Food Regulations 2009	✓
Hairdressing Establishment Regulations 1972	Not applicable
Health Act 1911	✓
Health Regulations	✓
Heritage of Western Australia Act 1990	Not applicable
Land Administration Act 1997	Not applicable
Litter Act 1979	Not applicable
Liquor Control Act 1988	Not applicable
Local Government Act 1995	✓

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>
Local Government (Miscellaneous Provisions) Act 1960	✓
Local Government Grants Act 1978	Not applicable
Local Government Regulations	✓
Main Roads Act 1930	✓
Parks and Reserves Act 1895	Not applicable
Planning and Development Act 2005	Not applicable
Radiation Safety Act 1975	Not applicable
Radiation Safety Regulations	Not applicable
Rates and Charges (Rebates and Deferments) Act 1992	✓
Rights in Water and Irrigation Act 1914	Not applicable
Residential Design Codes of WA	Not applicable
Road Traffic Act 1974	✓
Strata Titles Act 1985	Not applicable
Telecommunications Act (Commonwealth) 1997	Not applicable
Telecommunications (Low Impact Facilities) Determination 1997	Not applicable
Transfer of Land Act 1893	Not applicable
Valuation of Land Act 1978	Not applicable
Waterways Conservation Act 1976	Not applicable
Local Laws of the Shire of Ngaanyatjarraku	Not applicable
Ngaanyatjarra Council (Aboriginal Corporation) By-Laws	✓

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>
Building Services (Registration) Act 2011	✓
Conservation and Land Management Act 1984	Not applicable
Contaminated Sites Act 2003	✓
Criminal Code 1913	Not applicable
Electronic Transactions Act 2011	Not applicable
Equal Opportunity Act 1984	✓
Evidence Act 1906	✓
Freedom of Information Act 1992	✓
Freedom of Information Regulations 1993	✓
Industrial Awards	✓
Industrial Relations Acts (State and Federal)	✓
Interpretation Act 1984	✓
Legal Deposit Act 2012	Not applicable
Library Board of Western Australia Act 1951	Not applicable
Limitation Act 1935, 2005	Not applicable
Museum Act 1969	Not applicable
Occupational Safety and Health Act 1984	✓
Occupational Safety & Health Regulations 1996	✓
Parliamentary Commissioner Act 1971	Not applicable
Police Act 1982	Not applicable
Soil and Land Conservation Act 1945	Not applicable
State Records Act 2000	✓
State Records (Consequential Provisions) Act 2000	✓
State Records Commission Principles & Standards	✓
Swan and Canning Rivers Management Act 2006	Not applicable
Workers Compensation and Injury Management Act 1981	✓
Working with Children (Criminal Record Checking Act) 2004	✓

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

<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>	

Policy 1.21 Records Management

APPENDIX 5

Policy Objective

To control and manage government records within a records management and record keeping framework that complies with legislative, accountability and best practice requirements.

Policy Statement

The Shire is committed to making and keeping full and accurate records of its business transactions and official activities. Records created and received by Shire personnel and contractors, irrespective of format, are to be managed in accordance with the Shires Record Keeping Plan and Records Management Policy and Procedure Manual. Records will not be destroyed except by reference to the State Records Office's General Disposal Schedule for Local Government Records.

Guidelines

It is the responsibility of all staff to ensure that the business, operational and corporate activities of the Shire are appropriately documented and that records are created and maintained in fulfilment of legislative requirements.

All records, irrespective of format, are to be registered, classified, and captured into the Shires official record keeping systems. All correspondence should be attached to a corporate file.

The Shire 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 appropriate security and protection measures to all records created or received when carrying out the Shire's business.

Access to the Shire 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*.

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

Records will only be destroyed or otherwise disposed of by reference to the General Disposal Authority for Local Government Records issued by the State Records Office and following authorisation from the Section Manager and the Chief Executive Officer. Records identified as a State Archive should be transferred to the State Records Office in accordance with the requirements of the General Disposal Authority for Local Government Records.

Amendments to this Policy

Amendments to this policy require a simple majority decision of council.

History:

Policy reviewed: 24 June 2020

Policy amended: N/A

Previous Policy:

Policy adopted: unknown

Policy No. 2.12

APPENDIX 6



Operational Procedure / Guideline

Title	Records Management
Council Adoption date	
Minute number	
Review due date	
Date revoked	
Responsible Officer	Chief Executive Officer

PURPOSE

The Records Management Procedure sets out the process to ensure that full and accurate records of all activities and decisions of Council / Shire are created, accessed, managed and retained or disposed of appropriately and in accordance with relevant legislation.

DEFINITIONS

Council means the Council of the Shire of Ngaanyatjarraku (the elected body).

Shire means the Shire of Ngaanyatjarraku (the administration).

GDALG means the General Disposal Authority for Local Government Records DA 2010046.

Local Government employee means:

- (a) a person who, whether or not an employee, alone or with others governs, controls or manages a local government organisation;
- (b) a person who, under the Public Sector Management Act 1994, is a public service officer of a local government organisation; or
- (c) a person who is engaged by a local government organisation, whether under a contract for services or otherwise;

and includes, in the case of a local government organisation referred to in the *Public Sector Management Act 1994* Schedule 1 items 5 or 6, a ministerial officer assisting the organisation.

Local Government Records means a record created or received by or for a local government organisation or a local government organisation employee or contractor in the course of the work for the organisation.

Government record – is a record created or received by a government organization or a government organization employee or contractor in the course of the work for the organization.

- (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, symbols, having a meaning for persons qualified to interpret them;
- (e) anything for 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.

Significant Record means records that are State Archives

- affect the whole-of-local government function; or
- concern or affect local government authority executive activity; or
- concern major liabilities or obligations of the local government authority and/or

- the State; or
- relate to the development of legislation, regulations, local laws or policy; or
- otherwise (significantly) impact or affect the local government authority's functions or structure e.g. proposed changes
- to organizational functions, amalgamations of local governments; or
- were precedent setting; or
- involved substantial community debate or controversy; or
- generated wide community interest; or
- caused major changes to local government authority policy; or
- involved items or property considered to have cultural heritage significance; or
- relate to historical or major community events or occasions e.g. centenary.

POLICY STATEMENT

1. The Shire recognises that its records are a local government owned asset and will ensure that they are managed as such. Ownership and proprietary interest of records created or collected during the course of business (including those from outsourced bodies or contractors) are vested in the Shire of Ngaanyatjaraku.
2. This policy applies to all Council records created or received by a Shire employee, contractor or Elected Member, or an organisation performing outsourced services on behalf of the Shire, regardless of their physical format, storage location or date of creation.
3. *Local Government Records of Continuing Value* are records created or received which:
 - (a) Contain information that is of administrative value to the Shire and the Council. These records may be referred to for many administrative purposes, including the need:
 - (i) to check an interpretation of Council policy or the rationale behind it;
 - (ii) to check the facts on a particular case or provide information to management;
 - (iii) to monitor progress and coordination of responses to issues;
 - (iv) to document formal communications and/or transactions (e.g. a minute, report or submissions) between elected members and another party; and
 - (v) to document elected members' decisions, directives, reasons and actions.
 - (b) Contain information that is of legal value to the Shire and the Council on the basis that there are statutory requirements or court orders that stipulate the retention of records, which must be observed.
 - (c) Contain information of fiscal value to the Shire and the Council that includes original records documenting the receipt, expenditure and control of public money that must be left for a period of time, and will facilitate transparent accountability by the officers responsible.
 - (d) Contain information of **evidential value** to the Shire and the Council such as those that contain information about the legal rights and obligations of the local government including elected members, ratepayers, organisations and the general community.
 - (e) Contain information of **historical value** to the Shire and the Council and to the State.

4. *Local Government Records of No Continuing Value* are records which:
- (a) Are considered ephemeral (short lived) in that they do not have the attributes stated above and only need to be kept for a limited or short period of time, for example, a few hours or a few days.
 - (b) Have only a facilitative or routine instructional value and are used to further some minor activity.

Creation of Records

All elected members, staff and contractors will create full and accurate records, in the appropriate format, of the Shires' business decisions and transactions to meet all legislative, business, administrative, financial, evidential and historical requirements.

Capture & Control of Records

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

Security & Protection of Records

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

Access to Records

Access to the Shires' records by staff and contractors will be in accordance with designated access and security classifications. Access to the Shires' records by the general public will be in accordance with the Freedom of Information Act 1992 and Shire policy. Access to the Shires' records by elected members will be via the Chief Executive Officer in accordance with the Local Government Act 1995.

Appraisal, Retention & Disposal of Records

All records kept by the Shire will be retained and disposed of in accordance with the General Disposal Authority for Local Government Records, produced by the State Records Office of WA.

ROLES AND RESPONSIBILITIES

The State Records Act 2000 defines record keeping activities as creating, maintaining, indexing, organising, storing, preserving, retaining and managing records.

The Act is quite explicit and makes clear the extent to which all records must be kept, the following outlines the responsibilities of the Shire of Ngaanyatjarraku staff in this regard:

1 Chief Executive Officer

The Chief Executive Officer is to ensure that there is a system for the maintenance and management of records that is compliant with records management legislation and State guidelines and procedures.

2 Managers and Coordinators

All managers and coordinators are to ensure that staff members under their supervision comply with the records management policies and procedures in the Record Keeping Plan.

3 All Staff

All staff (including contractors) are to create and retain records relating to the business activities they perform. They are to identify significant and ephemeral records and ensure significant records are registered in the records management system.

PROCEDURE

In order to support the Shires' Record Management Policy and Record Keeping Plan, the Shire of Ngaanyatjarraku has developed procedures encompassing the following activities:

1.1 Correspondence Capture and Control

Incoming correspondence includes all postal mail, faxes, emails, and any over the counter deliveries. The incoming correspondence is processed by the records administration staff and is sorted into categories for registration and/or straight through distribution. Mail items that are not relevant to the Shire's everyday business or that are general sales and promotional material are not registered.

Documents are date stamped and then indexed according to the Shire of Ngaanyatjarraku's file index. The responsibility for classifying and indexing documents for registration is that of the records administration staff. Elected Member's mail is opened by records administration staff for immediate registration and incorporation onto the Shire's Record Keeping System. If the document is of a Shire nature the original is placed on file and a copy given to the Elected Member. If the document is of a personal nature the original is forwarded to the Elected Member.

The Shire of Ngaanyatjarraku is capturing hard copy and electronic records such as email into the SynergySoft records management system which has been installed on the internal computer network. The Shire is committed to minimizing the volume of hard copy.

1.2 Distribution and Access

All registered incoming correspondence is distributed to the appropriate officer by the records administration. Services requests are referred to the Finance and Administration Section for action and referral to the appropriate officer.

Once registered a unique document ID and file reference is generated for the correspondence/service request, recorded on the hard copy and distributed via internal mail on a daily basis in line with the mail delivery day (Thursday) for this remote isolated community in which the Shire's main office is situated.

With the implementation of the SynergySoft package, electronic copies of the correspondence/record will also be forwarded to the appropriate officer for their attention and action. Outgoing correspondence including email and faxes are similarly created and saved to records for registration. The location of records can be searched using the search and enquiry module of the SynergySoft records management system enabling workflow movements, officer acknowledgements and responses to be monitored.

Access to both the hard copy and electronic format records systems is controlled and authorised by the Chief Executive Officer in line with the designated security classifications for Departments and staff members. Some hard copy records (loose items, e.g. personnel, building and planning) are held in lockable storage in the administration office, accessible only to management and administration staff; access to electronic records under the SynergySoft system is determined by the specific job functions and responsibilities of individual staff members and confidentiality protected through password systems. The network servers are located in a secure alarmed, locked and air-conditioned room with keys being held by the CEO and Finance and Administration Coordinator.

1.3 File Creation/Closure

All records created and received in the course of the Shire's business are captured regardless of format into appropriate record keeping and business systems and are managed in accordance with generally sound record keeping best practice standards. The general file system of the Shire consists of a group of files and the system allows files with similar characteristics to be grouped together and classified according to the Keywords structure and Local Government functional themes (thesaurus). File creation for incoming and outgoing correspondence, volume control and subsequent closure is under the control of the Chief Executive Officer and Finance and Administrative Coordinator, who directs and supervises the records administration staff.

1.4 Electronic Records Management

The Shire of Ngaanyatjarraku file server stores electronic files created or saved through various information systems (excluding the financial database). The file server is secured using Windows 2000 file system security. Access to electronic data is controlled by the Finance and Administration Coordinator and CEO which ensures access to authorised officers only.

Incremental backups are performed daily to DAT tape cartridge, stored onsite in a fire retardant safe and reused on a weekly cycle. Full system backups are performed weekly and stored offsite on a five-week cycle.

1.5 Financial Records Management

The Shire of Ngaanyatjarraku financial database is stored on the Unix server located onsite in Warburton. Given internet speeds in this remote location it is not possible to have an independent off-site back-up of the network operating system. The system is backed up to tape on a daily basis. Daily tapes are stored on site in a fire retardant safe. Weekly tapes are stored offsite and reused on a five-week cycle.

1.6 Email Management

The responsibility for recording email is with the officer creating or receiving the email.

Using the SynergySoft system, email records received via records are recorded by Records Management staff direct into SynergySoft system. Email records received by Staff are recorded in to the SynergySoft system using Outlook 'add-ins' management procedures.

1.7 Website Management

The website for the Shire of Ngaanyatjarraku is maintained in house by the Finance and Administration Coordinator on a monthly basis (with the exception of road condition reports which are updated more frequently according to prevailing weather events). The site operates only as an informational (non-transactional) portal, and any changes are approved by the CEO prior to "live" viewing. "Snap- shot" backups of the website are taken for record keeping purposes.

1.8 Metadata Management

All electronic records of the Shire that are created and received during the course of business are referenced with the required contextual information, that is their date and time of creation and registration, the author, the document name, links to records related to the same sequence of business activity and directory trees. The Shire's Administration department is responsible for all documents created by the Shire and for the security of the documents registered by records administration and other staff with the associated metadata information.

1.9 Systems Management

All staff are required to create, collect and retain records relating to the business activities they perform on behalf of the council and that all these records are handled in a manner commensurate with legislation and the Shire's policies and procedures.

Access to the Shire's electronic records by staff is only permitted in accordance with the designated access and security classifications and in regard to the significant hard copy records; access to these records is restricted to the staff responsible for their retention and security. The general public is only permitted access to the Shire's records in accordance with the Freedom of Information Act 1992. In regard to Elected Members, access is only permitted by the Chief Executive Officer pursuant to the provisions of the *Local Government Act 1995*.

1.10 Migration Policy

All electronic records kept by the Shire of Ngaanyatjarraku remain accessible throughout their legal retention period. Whenever changes are made to software and hardware, policies and procedures are in place for the conversion of all existing electronic records to reflect these changes in order to maintain their readability for the entirety of their retention period and to ensure that there is minimal loss of data or associated metadata over the period in question.

1.11 Disposal

Subject to the General Disposal Authority for Local Government Records, the Shire does not currently have any separate policies or procedures for the disposal of electronic records. Regardless of their age and archival value, there are no plans at present for any

of these records to be disposed of or destroyed. It is considered that the cost of hardware to accommodate the ever-increasing demand for storage of these records is relatively inexpensive compared to the value and convenience of maintaining access to them indefinitely.

In regard to the hard copy records, the disposal of these records at present is restricted to creditors payment vouchers and invoices, receipts, computer generated reports and other ephemeral records. These records require considerable storage space and consequently are disposed when available storage is at a premium. Responsibility for the destruction of these records rests with the Chief Executive Officer under the provisions of the General Disposal Authority and the Shires' Record Keeping Plan.

1.12 Certification of Policies and Procedures

The Shire of Ngaanyatjarraku's administration policies, procedures and plans are reviewed on an annual basis; any amendments or additions are authorised by the Chief Executive Officer and then distributed throughout the organization as required.

Council policies are reviewed on an annual basis and formally adopted through Council meetings; these are then circulated throughout the organization via internal email and hard copy.

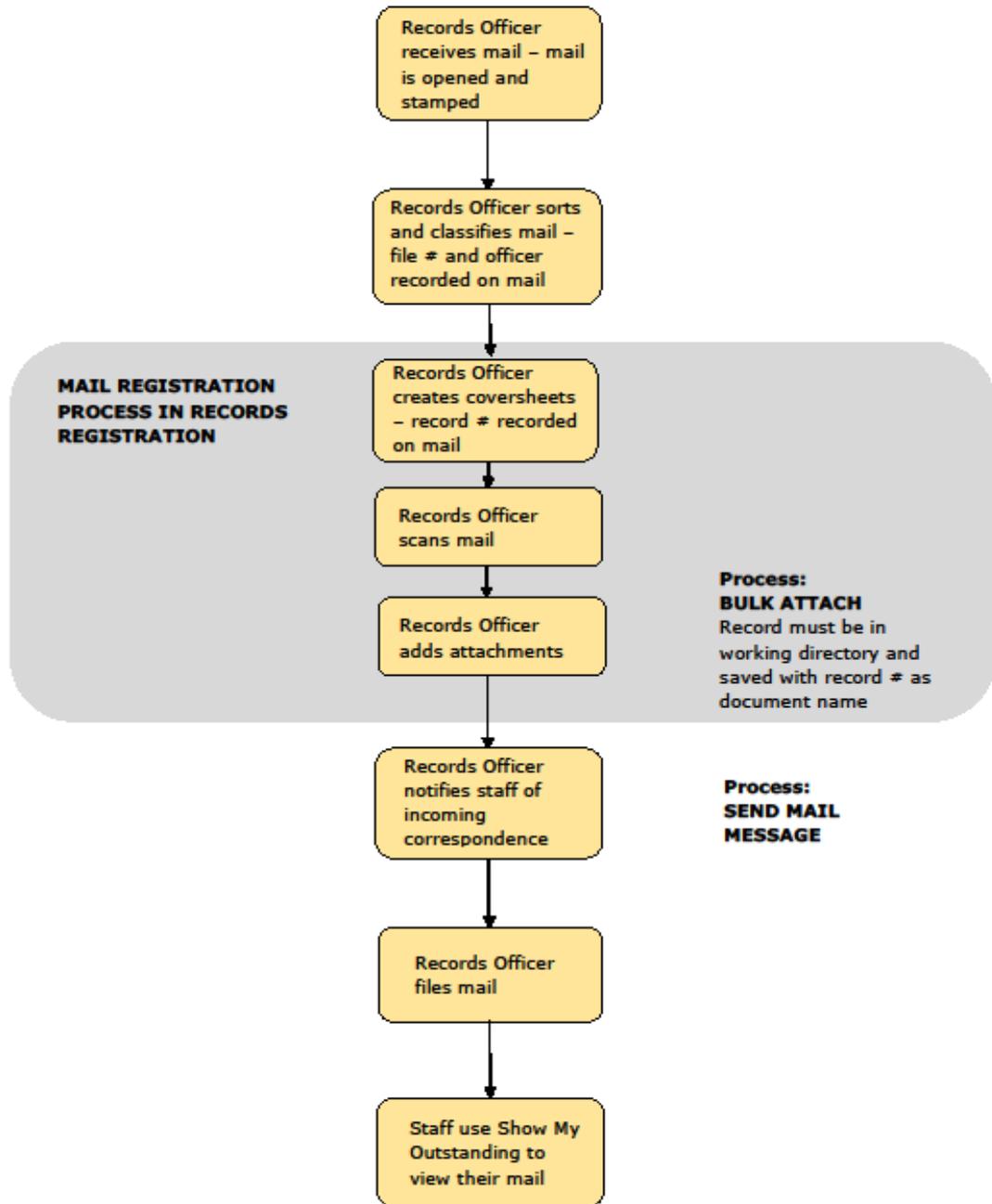
1.13 Evaluation of Policies and Procedures

The Shire of Ngaanyatjarraku will review and evaluate its records keeping systems in line with the Council's regular annual review of all its policies and procedures. This generally occurs in November of each year. Additionally, a full review of all associated records policies, procedures and plans is undertaken as part of the five year review of the Records Management Plan.

WORK INSTRUCTIONS

Where necessary the Shire will also develop work instructions / flowcharts detailing work processes to support the above procedures. Below is an example flowchart for the 'Incoming Mail Process' for hard copy mail.

INCOMING MAIL PROCESS





Shire of **Ngaanyatjarraku**
ON A JOURNEY

DISASTER RECOVERY PLAN

JUNE 2015

Review Date: 10 October 2021

Responsible Officer: Chief Executive Officer

Table Of Contents

EXECUTIVE SUMMARY	3
INTRODUCTION.....	4
BEFORE THE DISASTER.....	5
DISTRIBUTION OF THE BC/DR PLAN	5
RISK ASSESSMENT.....	5
RISK MANAGEMENT	7
RISK RATINGS	8
IMPACT RATINGS.....	9
DAILY PREPARATION	10
BUSINESS IMPACT ANALYSIS.....	10
CRITICAL RECORDS	12
CRITICAL BUSINESS FUNCTIONS.....	13
DURING THE DISASTER.....	16
EMERGENCY PROCEDURES	16
AFTER THE DISASTER.....	18
ACTIVATE THE CRISIS MANAGEMENT TEAM.....	18
RELOCATION OF STAFF AND BUSINESS PROCESSES	21
SUPPLIES AND EQUIPMENT	21
CRISIS MANAGEMENT TEAM & CONTACTS.....	22
GENERAL CONTACTS.....	25
COMPUTER CONFIGURATION	25
MANUAL BOOKKEEPING	25
TESTING THE PLAN	25
RECOMMENDATIONS	27
CRISIS CENTRE PREPARATION.....	27
VIRTUAL ENVIRONMENT / SERVER REPLICATION	27
SHIRE ADMINISTRATION BUILDING SECURITY.....	27
SECURITY OF CRITICAL RECORDS.....	27
NETWORK CONFIGURATION.....	27
APPENDIX A.....	29
PLAN FOR RELOCATION.....	29

Record Keeping Plan, Item 4 Preservation

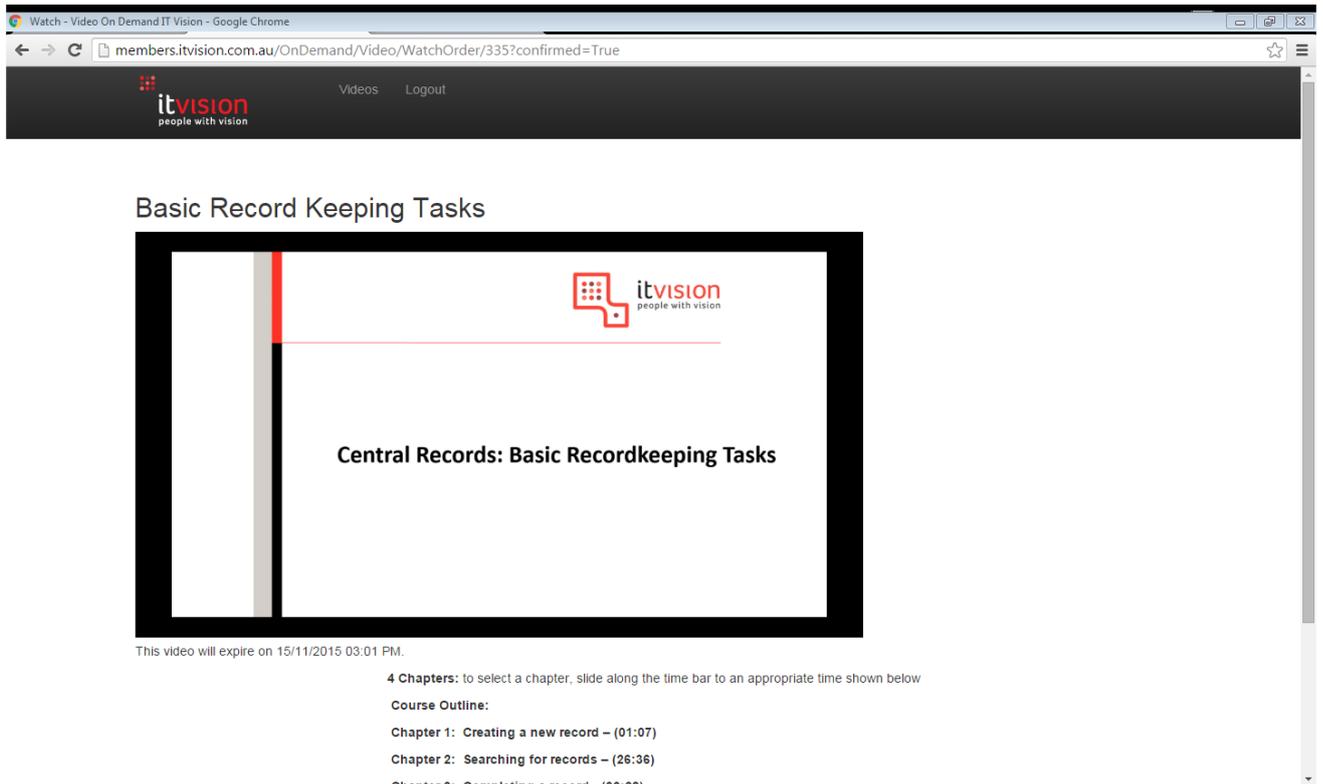
This Plan was adopted by Council at its meeting of/...../ 2015 and has been promulgated throughout the Shire.

.....

CL Paget

Chief Executive Officer/...../2015

SAMPLE TRAINING AIDS / DOCUMENTS



The screenshot shows a web browser window displaying a video player. The browser's address bar shows the URL: members.itvision.com.au/OnDemand/Video/WatchOrder/335?confirmed=True. The video player interface includes the itvision logo (people with vision) and navigation options like 'Videos' and 'Logout'. The video content is a slide with the following text:

Basic Record Keeping Tasks

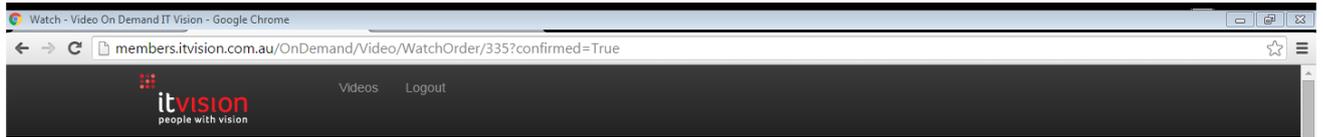
Central Records: Basic Recordkeeping Tasks

This video will expire on 15/11/2015 03:01 PM.

4 Chapters: to select a chapter, slide along the time bar to an appropriate time shown below

Course Outline:

- Chapter 1: Creating a new record – (01:07)
- Chapter 2: Searching for records – (26:36)
- Chapter 3: Completing a record – (16:28)



Basic Record Keeping Tasks



This video will expire on 15/11/2015 03:01 PM.

4 Chapters: to select a chapter, slide along the time bar to an appropriate time shown below

Course Outline:

Chapter 1: Creating a new record – (01:07)

Chapter 2: Searching for records – (26:36)

Chapter 3: Completing a record – (15:28)



Central Records Administration Workshop
Activity Booklet

All Rights Reserved



CENTRAL RECORDS ADMINISTRATION

ACTIVITY BOOKLET

PERTH OFFICE: Level 3, Kirri Centre, 15 Ogilvie Road, Ashpatria, WA 6152 Ph: (08) 931 5 7000
ADELAIDE OFFICE: 200-287 St Donald Bradman Drive, Brookley Park SA 5032 Ph: (08) 8354 1617

Registering a new Record

These steps explain how to add an uninitiated Record (i.e. a completely new Coversheet that is neither cross referenced to or a reply to an existing Record).

Key Steps

Steps

Scenario: You're a Community Development Officer sending out a letter to a number of Community groups

1. Get into Add mode by opening the Records Registration program and clicking on New on the main toolbar



2. Enter the Coversheet's details

Routing - Outgoing
Record Type - e.g. Correspondence
File - in the lookup field type in part of the File's Name e.g. COMMUNITY*



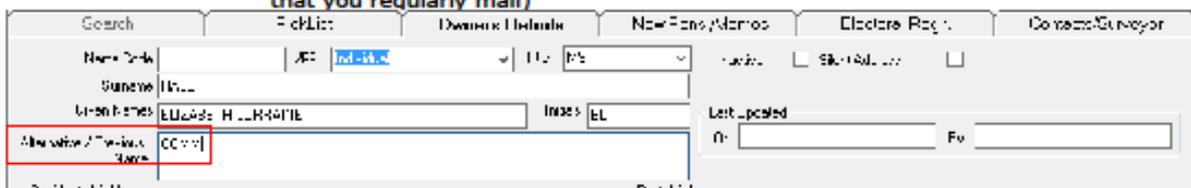
- Corresps** - locate the Correspondent by:
- a. Clicking on the **Corresps** button
 - b. Enter their Name (Surname/Company Name e.g. *Scouts*) and/or Given Name and click on **Find Matching Person**
 - c. Select the relevant Correspondent(s) from the list and click on **Select**

- To select the remaining Community Groups to send the letter to:
- a. After adding the first correspondent, click on the **Corresps** button again
 - b. Click on **Add Row** and repeat steps b-c above (Do the same for each additional correspondent the letter needs to be sent to)

TIP: If you regularly send letters to the same 300 recipients for example, a quicker and easier way to select which Correspondents to send it to is to:

- a. Group all of the External Correspondents you want to send the letter to together:
 - i. Open each recipient's N&A record (go to the Names and Addresses menu > Detail Maintenance > Owners Details tab) and
 - ii. Record the same code in the Contacts field for each of them

TIP: Use a simple, short code (such as a code of COMM for the Community groups that you regularly mail)



Once this step is completed, any time a letter needs to be sent to this group, all the officer has to do when they create the Coversheet and select the Recipient is:

- a. Click on the **Corresps** button

1. In Records Registration click on Add

2. Enter key details:

- Routing
- Record Type
- File
- Corresp
- Short Title

3. Add/create an Attachment

4. Print the document

5. Check Record Status = Final

Registering a Record from Outlook

Emails are a critical part of Records Management. If an email is identified as a record, it must be added to the Records system.

Key Steps

Steps

1. In Outlook, open the email

2. Open Office Integration

If you're using Office 2007 or later:

Click on **Add-Ins > Central Records Form**



If you're using an earlier version of Office:

Click on the **Central Records Form** button (bottom left) of the email

3. Enter in the Coversheet details

a. Enter/check these details:

Routing – this should have defaulted to Incoming, if the email has been received and is in your Inbox

Record Type – choose the appropriate one e.g. Correspondence, Financial Matter...

File – select the relevant File

External Correspondent – Click on the **Corresp** button

OI looks at the Sender's email address and tries to find a Correspondent record that contains a matching email address. If one's found, the Correspondent will be populated.

If one can't be found, do a normal Search to locate the Correspondent or add a new Correspondent record for them.

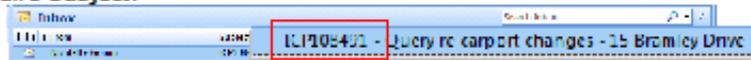
NOTE: When searching or adding a Correspondent, if correspondence is received from a person who works at an organisation e.g. John at the Shire of Kalamunda, use the organisation as the Correspondent and the person's name as the organisation's Contact.

Short Title – is pulled through from the email's Subject line – please review and update it – this will help you and other staff when you want to find the record again

b. Check **Record Status** is set to Final

4. Save the record into the Records system

c. Click on **Save** – the email will be recorded and the Record number will be added to the email's Subject:



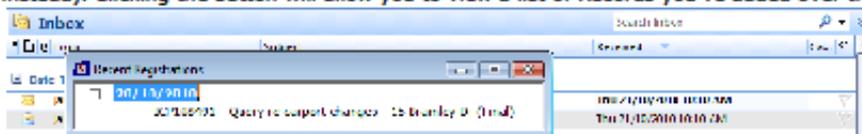
NOTE: You can manually delete the email from your Inbox at this point if you wish.

Tips and Hints

1. Instead of manually entering details onto the Coversheet, if your site has Profiles set up, you can use a **Profile** to automatically populate the Coversheet with the Routing Type, Record Type, File, Corresp, and Short Title, for example. To use a Profile, complete Step 2, then:

- Select the Profile you want to use from the drop down list, click on **Apply**
- Modify any details that need to change for this particular record, then **Save**

2. To view which records you've recently added, from your Inbox go to the Add-Ins tab and click on SynergyOffice (if you've just added a Record the button's caption will show the number of the last Coversheet saved instead). Clicking the button will allow you to view a list of Records you've added over the past week





**Records Management
Training Manual
Staff**

Table of Contents

Introduction	3
Definitions	3
Document Database Management.....	4
Correspondence Capture and Control.....	4
Hard and Electronic Copy Correspondence	4
Physical File Creation.....	5
Security Levels	5
Vital Records	5
Electronic Records Management	5
Photographic Records	7
Contractor Records	7
Freedom of Information	8
Attachment 1 – Council Policy, Records Management	9
Attachment 2 - CEO Procedure, Records Management	16
Attachment 3 – Quick Reference Cards	25
Attachment 4 – List of commonly used file numbers	28

APPENDIX 9

EXTRACT OF RECORDS CLAUSE FOR ANNUAL REPORT 2020/21

RECORD KEEPING PLAN

The Shire of Ngaanyatjarraku has prepared a record keeping plan as required by the State Records Act 2000, and the Shire is committed to ensuring its record keeping practices comply with legislation. This plan was submitted to the SRO in December 2015 and approved by the State Records Commission at its meeting held in March 2016 for a five-year period to 2021.

Under section 60 of the State Records Act, the State Records Commission monitors the operation of and compliance with the Act and it is a requirement for every local government to comply with the Commission's Standard 2, Principle 6 in an appropriate section within its Annual Report. Accordingly, the Shire reports as follows:

1. The Shire accesses an on-line record keeping training program that allows staff to familiarize themselves with and be aware of their record keeping responsibilities, and to ensure that the record keeping system is being operated in accordance with the revised Shire of Ngaanyatjarraku Record Keeping Plan. Given the very remote and isolated location of this Shire, online record keeping training provides on-site training and advice as well as utilizing the assistance and expertise of the staff at Goldfields Records Storage (a GVROC enterprise of which the Shire of Ngaanyatjarraku is a partner).
2. The efficiency and effectiveness of the record keeping training program will be reviewed on an ongoing basis and subsequently actioned to ensure its currency and relevance.
3. The Shire's record keeping induction program is continually improving to ensure employee roles and responsibilities are promoted in accordance and compliance with the Shire of Ngaanyatjarraku Record Keeping Plan

APPENDIX 10

PROPOSED CONTRACT RECORD KEEPING CLAUSE

Record Keeping Requirements

1. If the Contractor has custody or control of State records in the supply of the Goods and/or Services, the Contractor must comply with the Shire of Ngaanyatjarraku's record keeping plan to the extent necessary under the *State Records Act 2000*.
2. The Contractor must allow the Shire of Ngaanyatjarraku reasonable access to all Records in the custody or control of the Contractor in relation to their Contract with the Shire of Ngaanyatjarraku.
3. The Contractor must keep accurate, complete and current written Records in respect of the Contract
4. Where copyright is created for the Shire of Ngaanyatjarraku, the copyright must be transferred to the Shire of Ngaanyatjarraku.
5. The Contractor must keep all Records for at least 7 years after final payment under the Contract or after the expiry of the Term, whichever is later.
6. When disposing of documents, the Contractor must ensure that the disposal method is as required under the General Disposal Authority for Local Government, i.e. either shredding or pulping of the documents.
7. The Contractor must do everything necessary to obtain any third party consents which are required to enable the Shire of Ngaanyatjarraku to have access to Records. This clause survives expiration or termination of the Contract.
8. The Contractor must return all Records containing the Shire of Ngaanyatjarraku's Confidential Information immediately at the expiration or termination of the Contract.
9. On expiration or termination of the Contract, the Contractor must as soon as practicable deliver to the Shire of Ngaanyatjarraku all original Records as required by the Shire of Ngaanyatjarraku.