



Shire of Denmark

RECORD KEEPING PLAN

(RKP2013034)



Major Review – 2014 pursuant to section 28(5)

Approved by the Chief Executive Officer pursuant to Section 10(2) of the State Records Act 2000.

Approved by the SRO on August 2014 pursuant to Section 28(6) of the State Records Act 2000.

Shire of Denmark Recordkeeping Plan

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Introduction

The *State Records Act 2000* (the Act) is an Act to provide for the keeping of State records and related purposes.

This document is presented to the State Records Commission in accordance with Sections 19 and 28 of the Act, which requires each government organisation, including Local Government, to have a Recordkeeping Plan and to submit and have the plan approved by the State Records Commission. Section 28(5) of the Act requires no more than 5 years must elapse between approval of a government organisations Recordkeeping Plan and a review of it.

State Records Commission (SRC) Standard 1 – *Government Recordkeeping* requires that government organisations ensure that records are created, managed and maintained over time and disposed of in accordance with principles and standards issued by the SRC. SRC Standard 2 – *Recordkeeping Plans* comprises six Recordkeeping principles each of which contains minimum compliance requirements. SRC Standard 6 – *Outsourcing* comprises seven principles each of which contains minimum compliance requirements.

❖ Purpose

The purpose of this Recordkeeping Plan (RKP) is to set out the minimum requirements as to which records are to be created by the Shire of Denmark and how it is to keep its records. Recordkeeping Plans are 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 RKP is the primary means of providing evidence of compliance with the Act and the implementation of best practice recordkeeping within the organisation.

❖ Objectives

The objectives of the Shire of Denmark RKP are to ensure:

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

❖ Scope

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

This RKP applies to all of the Shire of Denmark:

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

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 will be met through the creation and retention of records of meeting 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 discharge of its business. These include:

- **Direct communications with Ratepayers.**
- **Telephone, meetings and other verbal conversations between elected members and another party in the course of their elected duties.**
- **Work diaries**
- **Presentations and speeches as part of elected members' duties.**

This RKP (2013034) supersedes RKP 2008013 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:

- anything on which there is writing or Braille;
- a map, plan, diagram or graph;
- a drawing, pictorial or graphic work, or photograph;
- anything on which there are figures marks, perforations, or symbols, having meaning for persons qualified to interpret them;
- anything from which images, sounds, or writings can be reproduced with or without the aid of anything else; and
- 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

Principle: 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 organization is subject when performing its functions.

1.1 Historical Background

The Shire of Denmark was established on Monday 3rd July 1961 with the swearing in of President and Councillors by FEC Carpenter JP. The Shire Clerk was FW Timothy and the Assistant Shire Clerk PJ Bennett.

When Denmark was first named, the district was under the authority of Governor Ralph Darling of N.S.W. On March 7, 1831 it came under Lieut.-Governor Stirling of Western Australia. When the Plantagenet Road Board was formed on February 10, 1887 the Denmark district was included in its limits. Nine years later on April 10, 1896, this district formed part of the newly created Albany Road Board. On September 22, 1911, the Governor, Sir Gerald Strickland, created the "Denmark Road District". Elections of Board members, was held on December 2, 1911, and a meeting was first held in early 1912.

The Shire of Denmark liaises with other Local Government agencies, State and Federal Government Departments, Community Groups and Organisations, Ratepayers and members of the public.

1.2 The Shire of Denmark's long term vision for the Shire comprises:

- **Vision**

Denmark in the year 2031 is a leading example of a dynamic, connected, caring and cohesive community, in tune with its environment.

- **Mission**

The Shire of Denmark aims, through vision and integrity, to serve its whole community and value its natural environment.

- **Values**

Sustainability, effectiveness, teamwork, transparency, respect, visionary leadership, honesty & integrity, creativity, commitment and trust.

- **Motto**

Discover Denmark

The Shire of Denmark's main business activity is to serve the community of Denmark efficiently, effectively and fairly as a Local Government Organisation.

1.3 Functions - outsourced

1. Cleanaway

The Shire of Denmark uses a contractor for the collection of recyclable materials, which is collected kerbside fortnightly and then transported to Albany by Cleanaway, or appointed other contractors for collection of waste metal collected on an as needed basis. Cleanaway remove other recyclable materials from the McIntosh Rd Tip site.

2. Albany Records Management

The Shire of Denmark utilises the services of a Records Management company as for the disposal of records in accordance with the General Disposal Authority for Local Government Records (RD2010046).

3. Parry's Beach Volunteer Management Group

The Shire of Denmark has authorised the Parry's Beach Management Group to manage a portion of reserve 20928 known as the Parry's Beach Camping Ground in conjunction with the Shire.

No other significant activities are outsourced, although the Shire does use outside contractors for specific tasks ie electricians for repairs, cartage contactors for the haulage of waste etc.

The records created for these contracts include the purchase orders or the original requests for tenders and the signed contract documents, which are kept in the safe at the Denmark Shire Administration Centre.

1.4 Major Stakeholders

The Shire of Denmark's major stakeholders are;

- our Ratepayers.
- Elected Members
- Employees
- Other government departments
- Community and other organisations
- Members of the public

1.5 Enabling Legislation

The Shire of Denmark is established under the Local Government Act 1995.

1.6 Legislation and Regulations Administered by the Shire of Denmark

See Appendix 2.

Also included is a list of Local Laws administered by the Shire of Denmark

1.7 Other Legislation Affecting the Shire of Denmark

See Appendix 3.

1.8 Major Government and/or Industry Standards

See Appendix 4

2. Principle Two: Policies and Procedures

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

2.1 Records Management Systems

- The Shire of Denmark uses an electronic Records management system, SynergySoft, hardcopy files and excel spreadsheets (for records scheduled for destruction).
- The Shire of Denmark maintains both electronic and paper based records of all appropriate inward and outward correspondence whether original is hardcopy or electronic (email, social media postings etc)
- The current SynergySoft system has been in place since March 2010.
- The Shire of Denmark provided whole organization training prior to implementing the new electronic system. The previous system and the new system were run in conjunction with each other for two months and then individual training and written procedures were provided to all employees who were required to use the new electronic system and the previous system was phased out.
- The Shire of Denmark has no plans to change the records management system in the foreseeable future.
- The electronic system allows for scanning of the majority of inward correspondence taking into account size and type of publication. The system also allows access to the main computer system so outward correspondence files and documents created in the main system can be attached via this as well. The system has the capacity to create documents via templates that insert the metadata into letter form and attach to the metadata sheet electronically.
- All hardcopies of captured inward correspondence are kept on file including captured emails, faxes and hardcopy correspondence received via the postal system or delivered by hand to the Administration Centre. Officer created outward correspondence is similarly entered into the electronic records system and hardcopies printed for file.
- Incoming and outgoing emails are captured via an electronic integration system linked directly to the main software. This allows for all metadata and attachment of source documents in Outlook format to be captured and stored directly from Outlook. It maintains all the same integrity, authenticity and usability of the main software and is accessible through the normal channels.
- Internal memos, notes and appropriate phone messages are also captured.
- The Shire uses the General Disposal Authority for Local Government as its reference for disposal of documents.
- Metadata is captured by the electronic system and include
 - Routing
 - (Record)Type of Correspondence ie application/legal documents
 - Cross referencing
 - File(s) Reference and details
 - External Correspondent(s) and details
 - Contents of correspondence
 - Internal Correspondent(s)

- Date entered and document date.
 - Security level of document
 - Action Status
 - Document identification number
- The Shire of Denmark conduct regular disposal of records according to the State Records Act 2000 section 16(3)(a-c) and within the scope of the General Disposal Authority for Local Governments Records. (see Shire of Denmark Policy and Procedure for Recordkeeping Plan & appendix 5 - certificate of disposal from Albany Records Management).
 - The Shire of Denmark has a presence on the internet with both a Webpage and a social media outlet in Facebook. The webpage is managed by the Executive Assistant to the CEO and all postings are held in electronic form on the network server system. The webpage is supported by the webpage provider who provides a 30 day backup regime. Many of the documents loaded and viewed on the webpage are also created as hardcopies and entered into the source document retention system.

Items such as:

- Minutes and Agendas of the Shire of Denmark Council and Council Committees
- Public Notices
- Frequently asked Questions

The Shire of Denmark Facebook page is utilised for disseminating information regarding weather and fire information, impounded animals and Shire projects. All postings are printed to hardcopy and filed under a Social Media file reference.

- The Shire of Denmark's Migration Strategy is based within the SynergySoft software itself.
 - All records and internal information kept on SynergySoft is capable of being migrated to upgraded systems with the direction and support of the Shire of Denmark IT consultant, with every expectation that the authenticity, integrity, reliability and usability of the records would be maintained.
 - The system is monitored daily by the Shire's IT consultant and any system issues are dealt with immediately.
 - In addition The Shire of Denmark Business Continuity Plan requires nearline daily backup storage of all systems. The external hard drives are stored in a fireproof, secure location along with external hard drives rotated offsite weekly in a local banking facility strongroom.
 - The system allows for continuous storage of electronic financial records with only are hardcopies disposed of within the General Disposal Authority for Local Government guidelines. These hardcopies are stored in archive boxes labelled with the following data:
 - Relevant financial year
 - Full description of contents
 - Pending destruction date
 - Date scheduled
 - Scheduling Officer
 - Box Identification Number

A complete database of scheduled boxes, contents and location is kept in Excel spreadsheet form and is accessible by finance staff who may require access via the network server.

- The Shire of Denmark is now activating its source (hardcopy only) records disposal schedule based on the electronic system disposal advice reports. These are reviewed twice annually and the files disposed of with the General Disposal Authority for Local Governments guidelines although certain specified source documents and files have been deemed to be of permanent value and may be treated as such outside of the disposal guidelines.
- The Shire of Denmark will not be changing systems within the foreseeable future.

2.2 Records Management Policy and Procedures

- The creation and management of records is coordinated by the Shire of Denmark's Records Department under the guidance of the Chief Executive Officer and the Director of Finance and Administration.
- For the recordkeeping policy and procedures of the Shire of Denmark please refer to Appendix 6.

Table 2.1

Recordkeeping Activities for the management of hard copy records and covered in the Shire of Denmark Policies and Procedures	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>✓</p>	
<p>Digitization – including categories of records digitized; disposal of source records; digitization specifications. See <i>General disposal authority for source records</i>;</p> <p><i>NB: This procedure is only required where the organization intends to dispose of source records prior to the expiration of the approved minimum retention period after digitising.</i></p>	<p>NA</p>	
<p>Mail distribution – including frequency, tracking mechanisms and security measures.</p>	<p>✓</p>	
<p>File creation and closure – including assigned responsibility and procedures for both physical and automated file creation.</p>	<p>✓</p>	
<p>Access to corporate records – procedures for access to and security of corporate records.</p>	<p>✓</p>	
<p>Authorised disposal of temporary records and transfer of State archives to the State Records Office (SRO) – any assigned responsibilities.</p>	<p>✓</p>	
<p>Electronic records management – including the organization’s approach and methodology for the capture and management of its electronic records (<i>e.g.</i> print and file, identification of the official record, use of EDRMS, hybrid system etc).</p>	<p>✓</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 (<i>e.g.</i> print and file, identification of the official record, use of EDRMS, hybrid system etc.)</p>	<p>✓</p>	
<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 (<i>e.g.</i> 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>✓</p>	
<p>Metadata management – including authority for the capture and control of metadata.</p>	<p>✓</p>	

Recordkeeping Activities for the management of hard copy records and covered in the Shire of Denmark Policies and Procedures	YES	NO
System/s management – including any delegations of authority for the control and security of systems utilised by the organization (<i>e.g.</i> provision of access to systems through individual logins and passwords, protection of servers etc).	✓	
Migration strategy – strategies planned or in place for migrating information and records over time (<i>e.g.</i> 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>	✓	

2.3 Certification of Policies and Procedures

Evidence of formal authorisation that the policies and procedures are in place and promulgated throughout the Shire of Denmark will be provided when the Recordkeeping Plan has been submitted to Council and accepted by same. The Shire of Denmark intends to submit this Plan at the finalisation of the process with the State Records Office to ensure that the plan can be submitted to council without changes and is of an approved standard by the state authority. A copy of the minutes will be provided to the State Records office at completion of this process.

2.4 Evaluation of Policies and Procedures

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

Refer Appendix 8 - Shire of Denmark Information Technology Security Policy

3. Principle Three: Language Control

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

3.1 General File Index / List of Subject Headings / List of Authorised Headings.

The Shire of Denmark has developed a comprehensive File Plan to control the titling and creation of records. This Filing Index covers administrative, functional, planning and road records and lists the file name and function. File titles can be searched through the search engine via the computer or via the provided hardcopy.

It is updated as required and hard copies are available on site in the Filing Room

File references are also listed and accessible on the electronic records system available to all officers, this is consolidated with file references to all property assessment numbers.

Refer Appendix 9. – Shire of Denmark File Index <L:\Org Wide Reference Documents, Forms, Photos etc\Reference Files & Registers\GENERAL FILE INDEX.doc>

3.2 Assessment of its effectiveness

The File Plan operates well within the Shire of Denmark. It covers both administrative and functional activities of the Shire of Denmark, is available for use by all staff, and information, electronic and in hardcopy, can be filed and found without difficulty. Along with the electronic records file register it combines to make an organisation wide, comprehensive file reference register.

This Index will be adjusted or updated by the Records Officer to reflect changes to the functions and activities of the Shire of Denmark, as they arise.

3.3 Identified Areas for Improvement

Nil at this time

4. Principle Four: Preservation

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

For the Shire of Denmark *Business Continuity and Recovery Plan* (Administration Building) please refer to Appendix 11.

4.1 Assessment of the Risks

4.1.1 Onsite records storage

The Shire of Denmark has its current, active, some inactive and archival records located onsite at the Shire of Denmark, South Coast Highway, Denmark.

The active files are stored in large metal compactus that are sited in a fire rated file room, within the Administration building and kept locked at night. Access to the Archives Room is by a key which is held by the Records Officer. The storage facilities are fitted with:

- Metal shelving
- Fire detection system
- Secure, lockable facility
- Fire resistance rating

The Legal Documents are stored in a fire proof strongroom within the Administration building. The safe is locked every night with limited staff access to the key. Records maintained here include:

- Leases and agreements
- All personnel files
- Certified Minutes and Agendas of Shire of Denmark Council and Council Committees
- Required registers of Council
- Server backup external hard drives

The Administration Building is air conditioned during working hours and has smoke alarms and an electronic intruder alarm system.

The majority of inactive files and old archival records are stored in a secure, fire proof and vermin proof facility (sea container) on appropriate shelving within the Administration building compound. The majority of files are stored on metal shelving within metal compactus, the rest on metal shelving.

Records awaiting destruction are stored in secure, fire proof and vermin proof facilities offsite from the Administration Centre, but within Shire facilities until transported to an offsite facility.

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

4.1.2 Offsite records storage, including offsite use of records (where applicable)

The Shire of Denmark has its destruction scheduled record's storage, located in an offsite storage facility at Councils Depot, Zimmerman Street, Denmark.

The records are stored on metal shelving in fireproof and vermin proof facility. The facility is locked at all times and the keys held at the Shire Admin Office in the Safe. Access to the facility is via the Records Officer.

The storage facility is situated away from the other buildings to minimise the threat if there was a fire in nearby buildings.

The Depot is locked at 4.00pm every working day. The keys are held by the Works Supervisor.

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

Addendum 1: The sea container facilities are used frequently with very little issues arising from vermin or mould. Great care is taken in choosing appropriate times to enter so that any dampness would not penetrate. Boxes are only relocated during dry weather to eliminate the possibility of mould and the containers are vermin proof. Temperature trials have been conducted to monitor fluctuations in temperature.

Addendum 2: The Shire of Denmark in its long term financial strategy, plans for an upgrade to the Administration building that would include larger and more suitable storage that would enable all current, archived and scheduled for destruction files and documents to be stored in conditions that are in accordance with Standard 7 of the State Records Commission. This is expected to be realised within the next five years.

4.1.3 Storage of Backups of Electronic Records

Daily electronic backups of the Shire of Denmark critical computer records are held onsite in the fire proof safe.

Weekly copies of backups are held at a local banking facility strongroom.

Annual back-ups are also taken at "system roll-over" and end of year and backups are stored on the server .

4.1.4 Quantity of records

The Shire of Denmark currently holds:

- 30 metres of temporary records stored onsite;
- 16 metres of temporary records stored offsite;
- 26.5 metres of State archives stored onsite; and
- 0 metres of State archives stored offsite.

4.2 Assessment of the Impacts of Disasters

The Shire of Denmark has a Business Continuity and Recovery Plan that details the assessment of the impact of disasters and the recovery of lost information.

Refer Appendix 11 – Shire of Denmark Business Continuity and Recovery Plan

[..\Manuals, Delegations Register & Code of Conduct\BUSINESS CONTINUITY & RECOVERY PLAN 2012.pdf](#)

4.3 Strategies in Place for Prevention and Response

The Shire of Denmark is accommodated in a near new building which incorporates a substantial fire and intruder alarm system connected to a remote 24 hour monitoring system.

The building has hardwired smoke alarms as well as security alerted intruder alarms. The daily procedures for Administration include processes for ensuring that all doors and windows are locked and the building armed.

This will enable quick and effective response in the event of fire or intruder access.

4.3.1 Vital Records

Vital records has been identified for the Shire of Denmark as computer backup external hard drives, certified copies of Council’s Minutes and Agenda’s, contracts, leases and agreements, Personnel files, Owners & Occupiers applications and electronic versions of the Owners and Occupiers Roll, along with certified copies of the consolidated rolls used at times of elections.

Also included in the vital records list are hardcopy versions of Council registers, land titles and management orders, current and historical Denmark Cemetery records, Shire of Denmark blank cheque bases and manual credit card transaction facilities.

Vital records in hard copy are stored in a locked, fire resistant safe, accessible to the CEO, Director of Finance & Administration and Records Officer. Many of these records have been copied and the copies are placed on the relevant files and are used for all normal business activities.

4.3.2 Back-up Procedures for Electronic Records

Two separate daily back-up records are kept of the complete server system and retained in an external hard drives rotation system of five days each.

Weekly copies of backups are held at a local banking facility with sign in/sign out requirements accessed by specific, limited officers.

Annual back-ups are also taken at “system roll-over” and end of year. Annual backups are stored on the server and incorporated into the daily electronic backup system

4.3.3 Security

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

- Hard copy records are stored in a lockable compactus accessible only to all staff. This facility is locked at night and during all closing hours.
- Archives and State Records are kept in locked fire proof facilities accessible by keys held by Records Officer.
- Electronic records are backed up on a daily basis as described previously and stored in fire proof strongroom.

4.3.3 Storage Reviews

The storage facilities utilised by the Shire of Denmark are reviewed on a yearly basis to ensure that conditions are appropriate for the organisation's records. The latest review conducted in 2012 found that both onsite and offsite facilities were adequate for the storage of the Shires current records storage requirements.

4.3.4 Recovery of Lost Information

The Shire of Denmark has formalised a set of quick response strategies to recover lost information should a disaster occur. (refer Appendix 11)

In the event a disaster occurs, the following recovery procedures can be undertaken:

- In the event that hard copies are lost or damaged – it is estimated that electronic copies of 40 – 50% of documents (largely outward correspondence) up to March 2010 are available. If original hard copies of documents provided by outside correspondents are lost, a percentage may be recoverable by contacting the party involved based on previous correspondence received databases. Since the installation of an electronic records system that captures metadata and an attached image of the document, it is estimated that 95% of documents would be recoverable. The 5% discrepancy would be for documents not suitable for scanning due to size or format.
- Most documents created by Shire officers are entered and retained on the electronic records system.
- Financial records on the SynergySoft system are fully backed up electronically.
- In the event of computer network malfunction, records will be retrievable through backup external hard drives which are made daily of the entire server system.

4.4 Identified Areas for Improvement

- Improved archive capacity.
- Improved archive storage conditions.

Please refer to *Addendum 2* to 4.1.2 regarding future plans for expansion of Administration Centre.

5. Principle Five: Retention and Disposal

Principle: 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 Denmark 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 Other Disposal Authorities

N/A

5.3 Restricted Access Archives

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

5.4 Archives not Transferred to the SRO

The Shire of Denmark has not identified any State archives that will not be transferred to the State Records Office for permanent preservation.

5.5 Disposal Program Implemented

The Shire of Denmark has implemented the General Disposal Authority for Local Government Records and conducts a regular disposal program on an annual basis. Details of disposal/detention or destruction of “Record Types” is entered into the appropriate module within SynergySoft and reports generated to list files/documents that are due for scheduling. This report is produced by the Records officers every three months. See Appendix 5.

5.6 Authorisation for Disposal of Records

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

6. Principle Six: Compliance

Principle: Government organizations ensure their employees comply with the Recordkeeping Plan.

6.1 Staff Training, Information Sessions, Publications

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 a regular basis.	✓	
In-house recordkeeping training sessions for staff are conducted as required	✓	
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 for staff as required.	✓	
The Local Government provides brochures or newsletters to publish recordkeeping information, highlight issues, or bring particular recordkeeping matters to staff attention.	✓	
The Local Government's Intranet is used to publish recordkeeping information, highlight issues, or bring particular recordkeeping matters to staff attention.	✓	

6.2 Performance Indicators in Place

The Primary Performance Indicators used by the Shire of Denmark relate principally to the time it takes to respond to requests.

At present the users of the Shire of Denmark's records system are consulted regularly concerning the effectiveness and efficiency of the System.

Due mainly to the relatively small size the Shire of Denmark records it is not considered necessary to implement any additional formal performance indicators.

This issue will be re-examined in the next review.

6.3 Agency's Evaluation

On the basis of response times, the Recordkeeping systems are assessed as being efficient and effective within the organization.

6.4 Annual Report

In the 2012/13 financial year, and in all subsequent years, the Shire of Denmark Annual Report will have attached to it, information demonstrating the organisation's compliance with the State Records Act 2000, its Recordkeeping Plan and the training provided for staff. Appendix 12.

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 a local government with persons to perform any aspect of recordkeeping for the organization.

In relation to a Local government's RKP, it is necessary to ensure that recordkeeping requirements are extended to outsourced services or functions.

'Outsourcing' refers to where, by contract or some other binding arrangement, an individual or an organisation acts as the Local Government's agent and accepts responsibility for providing or delivering a service to its clients or performing a function on its behalf.

Contractual arrangements which involve the outsourcing of functions or services which are entered into or renewed from the date of this RKP being registered should provide that the contractor create and maintain records that meet the Local Government's recordkeeping requirements pursuant to the Recordkeeping Plan.

7.1 Outsourced functions identified

- Collection of kerbside recyclables fortnightly by the Cleanaway.
- Parry's Beach Voluntary Management Group manages the Parry's Beach Nature Based Camping Park.
- Outsourced Disposal activity - Albany Records Management.

7.2 Recordkeeping Issues included in Contracts

The only records kept for the kerbside recyclables contract are the original successful tenders and the signed contracts, which are kept in the safe at the Shire of Denmark. Quarterly and annual reports are received from Cleanaway which detail the operations undertaken.

The Parry's Beach Voluntary Management Agreement includes clauses that require the Parry's Beach Voluntary Management Group to keep the appropriate records based upon the Shire of Denmark recordkeeping requirements. In the main these relate to receipting of monies and statistics of usage. The group reports to Council twice a year.

Albany Records Management are utilised on an as needs basis. Records of all destroyed documents are kept as per the requirements of the State Records Office.

7.2.1 Planning

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

7.2.2 Ownership

The Shire of Denmark has ensured that the ownership of Local Government records is addressed and resolved during outsourcing exercises. Where possible this will be included in the signed contract(s)/agreement(s) (See 7.2.)

7.2.3 Control

The Shire of Denmark has ensured that the contractor(s)/agent(s) creates and controls records in electronic or hard copy format, in accordance with Recordkeeping standards, policies, procedures and guidelines stipulated by the Shire of Denmark.

7.2.4 Disposal

The disposal of all Local Government records which are the product of or are involved in any contract(s)/agreement(s) with the Shire of Denmark and contractor(s)/agent(s) 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 Local Government records produced in the course of the contract(s)/agreement(s) have been agreed between the Shire of Denmark and the contractor(s)/agent(s).

7.2.6 Custody

Custody arrangements between the Shire of Denmark and the contractor(s)/ agent(s) for Local Government records stored on and off site by the contractor(s)/agent(s) are specified in the contract(s)/agreement(s) as applicable.

7.2.6 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 required.

Functions of the Local Government

<i>Function</i>	<i>Brief Description of LG Function</i>	<i>Performed by the LG Tick If Yes</i>	<i>Performed by an External Agency Tick If Yes</i>
Commercial Activities	The function of competing commercially or providing services to other local governments or agencies on a fee for service basis. Includes undertaking activities on a consultancy or contract basis.		✓
Community Relations	The function of establishing rapport with the community and raising and advancing the Council's public image and its relationships with outside bodies, including the media and the public.	✓	
Community Services	The function of providing, operating or contracting services to assist local residents and the community.	✓	
Corporate Management	The function of applying broad systematic planning to define the corporate mission and determine methods of the LG's operation.	✓	
Council Properties	The function of acquiring, constructing, designing, developing, disposing and maintaining facilities and premises owned, leased or otherwise occupied by the LG.	✓	
Customer Service	The function of planning, monitoring and evaluating services provided to customers by the council.	✓	
Development & Building Controls	The function of regulating and approving building and development applications for specific properties, buildings, fences, signs, antennae, etc. covered by the Building Code of Australia and the Environment Protection Authority (EPA).	✓	
Economic Development	The function of improving the local economy through encouragement of industry, employment, tourism, regional development and trade.	✓	
Emergency Services	The function of preventing loss and minimising threats to life, property and the natural environment, from fire and other emergency situations.	✓	
Energy Supply & Telecommunications	The function of providing infrastructure services, such as electricity, gas, telecommunications, and alternative energy sources.		✓
Environmental Management	The function of managing, conserving and planning of air, soil and water qualities, and environmentally sensitive areas such as remnant bushlands and threatened species.	✓	

Functions of the Local Government

<i>Function</i>	<i>Brief Description of LG Function</i>	<i>Performed by the LG Tick If Yes</i>	<i>Performed by an External Agency Tick If Yes</i>
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.	✓	
Information Technology	The function of acquiring and managing communications and information technology and databases to support the business operations of the LG.	✓	
Land Use & Planning	The function of establishing a medium to long term policy framework for the management of the natural and built environments.	✓	
Laws & Enforcement	The function of regulating, notifying, prosecuting, and applying penalties in relation to the Council's regulatory role.	✓	
Legal Services	The function of providing legal services to the LG.		✓
Parks & Reserves	The function of acquiring, managing, designing and constructing parks and reserves, either owned or controlled and managed by the LG.	✓	
Personnel	The function of managing the conditions of employment and administration of personnel at the LG, including consultants and volunteers.	✓	
Plant, Equipment & Stores	The function of managing the purchase, hire or leasing of all plant and vehicles, and other equipment. Includes the management of the LG's stores. Does not include the acquisition of information technology and telecommunications.	✓	

Functions of the Local Government

<i>Function</i>	<i>Brief Description of LG Function</i>	<i>Performed by the LG Tick If Yes</i>	<i>Performed by an External Agency Tick If Yes</i>
Public Health	The function of managing, monitoring and regulating activities to protect and improve public health under the terms of the Public Health Act, health codes, standards and regulations.	✓	
Rates & Valuations	The function of managing, regulating, setting and collecting income through the valuation of rateable land and other charges.	✓	
Recreation & Cultural Services	The function of LG in arranging, promoting or encouraging programs and events in visual arts, craft, music, performing arts, sports and recreation, cultural activities and services.	✓	
Risk Management	The function of managing and reducing the risk of loss of LG properties and equipment and risks to personnel.	✓	
Roads	The provision of road construction and maintenance of rural roads and associated street services to property owners within the LG area.	✓	
Sewerage & Drainage	The function of designing and constructing, maintaining and managing the liquid waste system, including drainage, sewerage collection and treatment, stormwater and flood mitigation works.	✓	
Traffic & Transport	The function of planning for transport infrastructure and the efficient movement and parking of traffic. Encompasses all service/facilities above the road surface and includes all forms of public transport.	✓	
Waste Management	The function of providing services by the LG to ratepayers for the removal of solid waste, destruction and waste reduction.	✓	
Water Supply	The function of managing the design, construction, maintenance and management of water supplies, either by the LG or by service providers.	✓	

APPENDIX 2	
Legislation and Regulations that may be wholly or partly administered by Local Government, And Local Laws of the Local Government	
<i>Legislation, Regulations and Local Laws</i>	<i>Tick if YES, the LG administers</i>
Agriculture and Related Resources Protection Act 1976	✓
Building Regulations 2012	✓
Bush Fires Act 1954	✓
Bush Fire Regulations	✓
Caravan Parks and Camping Grounds Act 1995	✓
Caravan Parks and Camping Grounds Regulations 1997	✓
Disability Services Act 1993	✓
Dog Act 1976	✓
Dog Regulations	✓
Cat Act 2011	✓
Cat Regulations 2012	✓
Cat (Uniform Local Provisions) Regulations 2013	✓
Environmental Protection Act 1986	✓
Environmental Protection (Noise) Regulations 1997	✓
Food Act 2008	✓
Food Regulations 2009	✓
Hairdressing Establishment Regulations 1972	✓
Health Act 1911 An Act to consolidate and amend the law relating to Public Health.	✓
Health Regulations	✓
Heritage of Western Australia Act 1990	✓
Land Administration Act 1997	✓
Litter Act 1979	✓
Liquor Control Act 1988	✓
Local Government Act 1995	✓
Local Government (Miscellaneous Provisions) Act 1960	✓
Local Government Grants Act 1978	✓
Local Government Regulations	✓
Main Roads Act 1930	x

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>
Parks and Reserves Act 1895	✓
Planning and Development Act 2005	✓
Radiation Safety Act 1975	x
Radiation Safety Regulations	x
Rates and Charges (Rebates and Deferments) Act 1992	✓
Rights in Water and Irrigation Act 1914	x
Residential Design Codes of WA 2010	✓
Road Traffic Act 1974	✓
Strata Titles Act 1985	✓
Telecommunications Act (Commonwealth) 1997	x
Telecommunications (Low Impact Facilities) Determination 1997	x
Transfer of Land Act 1893	✓
Valuation of Land Act 1978	✓
Waterways Conservation Act 1976	x
Local Laws of the Shire of Denmark	
Activities on thoroughfare & trading in thoroughfares & public places Local Law	✓
Standing Orders Local Law	✓
Bush Fire Brigades Local Law	✓
Denmark Cemetery (Reserve 11655) Local Law	✓
Local Laws relating to fences	✓
Dogs Local Laws	✓
Extractive Industries	✓
Local Laws – Pest Plants	✓
Local Government – Property Local Law	✓
Parking & Parking Facilities Local Law	✓
Health Local Laws (1998)	✓

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	✓
Criminal Code 1913	✓
Electronic Transactions Act 2003	✓
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	✓
Limitation Act 1935, 2005	✓
Occupational Safety and Health Act 1984	✓
Occupational Safety & Health Regulations 1996	✓
Parliamentary Commissioner Act 1971	x
State Records Act 2000	✓
State Records (Consequential Provisions) Act 2000	✓
State Records Commission Principles & Standards 2002	✓
Workers Compensation and Injury Management Act 1981	✓

APPENDIX 4

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

<u>Government & Industry Standards and Codes of Practice</u>	<u>Tick if Yes</u>
Australian Accounting Standards	✓
Australian Records Management Standard ISO/AS 15489-2002 Parts 1 & 2	✓
General Disposal Authority for Local Government Records	✓
National Competition Policy	✓
Other Please detail any additional items below	