Shire of Denmark
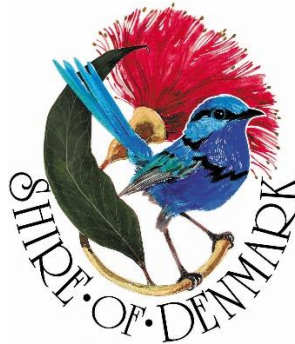
RECORDKEEPING PLAN
RKP 2021009
2021

Adopted by Council on 20th of March 2021 under item 9.2.4 Res: 060421

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 (RKP) 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 Denmark 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 Denmark'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 Denmark and all its employees are legally required to comply with the contents of this Plan.

This Recordkeeping Plan applies to all:

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

This Recordkeeping Plan supersedes Shire Denmark Recordkeeping Plan – RKP2013034/1 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) any thing 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 Denmark was established on Monday 3rd July 1961 with the swearing in of President and Councilors 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 Strategic Focus and Main Business Activity

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

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

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

- **Denmark 2027 Vision-** A happy, healthy and eclectic community that embraces creativity, values the natural environment and is invested in a strong local economy.
- **Denmark Mission Statement –** The Shire of Denmark will protect and improve the quality of life for our community by:

- o Providing quality services and infrastructure that meet community needs;
- o Carefully managing our natural environment;
- o Empowering out community to make positive change; and
- o Embracing innovation and opportunities.
- **Denmark Values:**
  - o Consistency
  - o Sustainability
  - o Honesty & Integrity
  - o Teamwork
  - o Transparency
  - o Respect

1.3 Functions, including those outsourced

Refer to Appendix 1 for the functions of the Shire of Denmark. The Shire of Denmark outsources the following functions:

1. Recyclable Waste Collection – The Shire of Denmark outsources the collection of domestic and commercial recyclable waste to Cleanaway. The waste is collected fortnightly from residential and commercial properties and from the Denmark Waste Management and Recycling facility. The recyclable waste is then transported to Albany for sorting.
2. Parry's Beach Management – The Shire of Denmark has engaged the Parry's Beach Volunteer Management Group to manage the Parry's Beach Campground. This includes the collection of fees. The campground is located on a portion of Reserve 20928 and is open to the public for camping.
3. Lime Extraction – The Shire of Denmark contracts the quarrying, crushing and screening of lime from the Shire leased Reserve (462736) mining Tenement M70/1038.
4. Debt Collection (Rates) – The Shire of Denmark has engaged Cloud Payment Group to work with the Rates Officer for the purposes of recovering outstanding rates.
5. Public Ablutions Cleaning – The Shire of Denmark outsources the cleaning of town public ablutions to local cleaning contractors. Currently there are 3 different local businesses engaged for Denmark Town, Nornalup and Peaceful Bay.
6. Peaceful Bay maintenance - The Shire of Denmark engages Peaceful Bay Progress Association Inc. to carry out maintenance of parks, reserves and drains in the local area.
7. Youth Services – The Shire of Denmark outsources youth services programs such as the Outreach Program to help disaffected youth within the Shire.

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

Refer to Appendix 2.

1.7   Other Legislation Affecting the Shire of Denmark

Refer to Appendix 3.

1.8   Major Government policy and/or Industry Standards

Refer to 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

Since March 2010, the Shire of Denmark has utilised the ItVision product *SynergySoft* as our only records management system. *SynergySoft* houses other business systems in use by the Shire of Denmark.

2.1.1   Records Management System

➢ The Shire of Denmark currently captures **all** records into the SynergySoft Central Records module. The Shires records are currently 90% borne digital. As such physical files are still in use to capture any physical documents created by or received by the Shire.

➢ The Shire of Denmark plans to move to a fully digitised recordkeeping model in the next 12 – 24 months.

2.1.2   Business Information System/s

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

- o Rates – contains information associated with all properties within the Shire such as - rates charges and history, Rates and interest payments and status, Ratepayer details, size and Zoning, Land Usage, Gross Rental Value and land parcel details. Contains Rate records and is used to create the Rate Book.
- o Debtors – Accounts Receivable information, including outgoing invoices and remittance information.
- o Creditors – Accounts Payable information, including Purchase Orders, supporting documentation and authority; incoming invoices, payment authority. Some of this information is not captured digitally but is retained physically in accordance with the GDALG and destruction accounted for in our Archives and Disposal Spreadsheet.
- o Payroll – The Payroll module contains historical and current employee payment details, employee details, personnel details and superannuation details.
- o Dogs – Registration details of all dogs within the Shire.
- o Cats - Registration details of all cats within the Shire.
- o Infringements – details of all infringements issued within the Shire.
- o Plant – details of all plant owned by the Shire

- o Building – Applications for building and demolition permits. Includes permit conditions and plans.
- o Town Planning – Applications for developments including subdivisions and amalgamations. Includes approvals, conditions and associated plans.
- o Cemetery – Currently being reviewed for population. May contain administration details such as the Grant of Right, Monument details and grave numbers.
- o Electoral Roll - Electoral Roll maintenance, production of WA Electoral Commission files and Electoral processing.
- o Mapping – contain aerial mapping of the Shire of Denmark with various overlays. Links to many other modules. Contains information such as rates charges and history, rates and interest payments and status, Ratepayer details, size and Zoning, Land Usage, Gross Rental Value and land parcel details.
- o Names and Addresses – a database of all Ratepayers, creditors, debtors, community organisations, government departments and Ministers as well as residents of the Shire and the general public that have corresponded with the Shire at some time. Information stored includes names, residential and postal addresses, telephone and email details and memos associated with the person/company. This is the main database that feeds down to other modules when updated.

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

2.2 Records Management Policy and Procedures

The management of records is coordinated by the Shire of Denmark's Senior Records Officer.

For the recordkeeping policy and processes of the Shire of Denmark please refer to Appendix 5 – *Shire of Denmark Records and Information Management Policy and Process Manual.*

Table 2.1

Recordkeeping Activities covered in the Shire of Denmark's Records and Information Policies and Process Manual	YES	NO
Correspondence capture and control – including incoming and outgoing mail registration; responsibilities assigned for classifying, indexing and registration; file titling and file numbering conventions. Include specific provisions for capture and control of Elected Members' correspondence.	✓	

Recordkeeping Activities covered in the Shire of Denmark's Records and Information Policies and Process Manual	YES	NO
Digitization – including categories of records digitized; disposal of source records; digitization specifications. *NB: This procedure is only required where the organization intends to destroy source records prior to the expiration of the approved minimum retention period after digitizing, in accordance with the General Disposal Authority for Source Records.*	✓	
Mail distribution - including frequency, tracking mechanisms and security measures.	✓	
File creation and closure – including assigned responsibility and procedures for both physical and automated file creation.	✓	
Access to corporate records – procedures for access to and security of corporate records.	✓	
Authorised disposal of temporary records and transfer of State archives (whether hard copy or electronic) to the State Records Office (SRO) – any assigned responsibilities.	✓	
Electronic records management – including the 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.).	✓	
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.).	✓	
Website management – Including the purpose of the site (e.g., whether informational/transactional), capture of all information published to the website within the corporate system and mechanisms for recording website amendments.	✓	
Metadata management – including requirements for capture of metadata in information systems, whether automatic or manual.	✓	
System/s management – including any delegations of authority for the control and security of systems utilised by the organization (e.g., provision of access to systems through individual logins and passwords, protection of servers etc.).	✓	

Recordkeeping Activities covered in the Shire of Denmark's Records and Information Policies and Process Manual	YES	NO
Migration strategy – strategies planned or in place for migrating electronic information and records over time (e.g., through upgrades in hardware and software applications, and any assigned responsibilities) for long-term retention and access. See SRC Standard 8: *Managing Digital Information*.	✓	

2.3   Certification of Policies and Procedures

Evidence of formal authorisation of the *Shire of Denmark Records and Information Management Policy and Process Manual* is in place and promulgated throughout the Shire of Denmark 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 *Shire of Denmark Records and Information Management Policy and Process Manual* covers all categories identified in Principle 2 of SRC Standard 2 and are assessed as operating efficiently and effectively across the Shire of Denmark. The Manual will be included as part of the Shire of Denmark's induction package. The Manual has been reviewed by the Shire's Governance Officer, Executive and CEO as part of the certification process.

3 Principle Three: Language Control

3.1 Keyword for Councils Thesaurus Implemented

The Shire of Denmark has adopted and implemented the Keyword for Councils (KfC) thesaurus for the titling of all files. The Shire also provides each file with a unique File Identifier to further assist staff with identifying files. For information on the File Identifier, please refer to the Shire of Denmark *Records and Information Management Policy and Process Manual Section 4.3.10 File Management/File Identifiers* at Appendix 5.

3.2 General File Index

Although all of the Shire of Denmark's files are listed in the Central Records Module of our eDRMS, we have also developed a General File Index (GFI) to assist officers with an easy ready reference to the administrative and functional file titles. The GFI, a Word document, contains only the Subject Descriptor/Free text of the KfC title and the Unique File Identifier. The Shire of Denmark also maintains a similar document in the form of a spreadsheet that contains all the files considered Vital such as Agreement, Contract, License, Lease, Loan and MOU files. Further information on the GFI can be found in the Shire of *Denmark Records and Information Management Policy and Process Manual Section 4.3.10 File Management/General File Index* at Appendix 5.

3.3 Assessment of its Effectiveness

The combination of the KfC thesaurus and the GFI operates well within the Shire of Denmark. It covers both administrative and functional activities of the Shire, is available for use by all staff and information can be found and filed without difficulty. Both tools provide consistency in naming files and the File Identifier provides an easy search tool. The GFI is adjusted to reflect opening of new files and withdrawal of others.

3.4 Identified Areas for Improvement

The GFI would be more useful in a different format and is being considered for review in 2022/23.

4   Principle Four: Preservation

Government organizations ensure that records are protected and preserved

For the *Records Disaster Recovery Plan* for the Shire of Denmark, please refer to Appendix 6.

4.1   Assessment of Risks

4.1.1 On Site Storage

The Shire of Denmark has its current and active records located in various onsite storage at the Shire Administration building – 953 South Coast Highway, Denmark. Refer to the Shire of Denmark Records and Information Management Policy and Process Manual for more information on all security and records storage location information. The storage facilities on site include:

- *Metal shelving compactus in a secure fire rated room dedicated to file storage,*
- *Metal Filing Cabinet – physical documents (also recorded electronically),*
- *Fire retardant strong room/safe,*
- *Secure premises,*
- *Secure, climate-controlled server room,*
- *Fire detection system; and*
- *Airconditioning as required for up to 9 hours a day.*

Access to the Administration building is controlled by monitored keypad entry for staff during and after hours. The building is fitted with a "back to Base" intruder alarm system as well as smoke alarms. CCTV is fitted.

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

The Shire of Denmark has an estimated 90% of its records stored either both electronically and physically (2010 – 2018) or electronically only (2018 – current. Borne digital items not printed for physical retention). This provides redundancy in the event of a fire or other disaster that may damage physical records.

Also located at the rear of the 953 South Coast Highway Administration building is a sea container housing pre eDRMS closed files awaiting disposal action. Files are stored in the following conditions:

- *Secured, sealed and watertight, steel sea container,*
- *Metal shelving compactus,*

The sea container has no airconditioning. There is a fan located within the container but is only used when in attendance. The container is accessed regularly and checked for any conditions which may cause degradation or damage to the contents. It should be noted that this storage is not permanent and once all items have been through the disposal process, they will be either destroyed or sent to Albany Records Management (ARM) for storage until destruction or transport to the State Records Office. Progress is

slow due to low resources. The Shire does not knowingly hold any State Archives in the Sea Container.

The Sea Container is located in a low fuel zone, away from vegetation that could pose a risk in the event of fire.

The main disasters threatening records stored in the sea container comes from water penetration or arson. Given that the container has been insitu since 2006 without any incident or sign of incident (e.g., mould, water damage, vermin etc.) the risk is assessed as low.

4.1.2 Offsite Storage

The Shire of Denmark has its non-current, inactive and some archival records located in an offsite storage facility at Albany Records Management (ARM), 97 Stead Road, Centennial Park (Albany, WA, 6330).

ARM facility has a concrete floor, walls and ceiling to provide superior environmental stability, with a fully monitored alarm system, CCTV, electronic access control and various fire suppression systems to meet or exceed all legislated requirements. ARM regularly conduct pest control treatments and is climate controlled. For in-depth information about ARM, please refer to Appendix 5 - *Shire of Denmark Records and Information Management Policy and Process Manual (Appendix 7).*

The main disaster threatening records stored at the offsite records storage facility comes from arson.

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

4.1.3 Data Centre and Cloud Storage

The Shire of Denmark is in the process of updating its server hardware. Once completed cloud backup will be implemented to a data centre in Sydney. No agreement has been entered into at this stage. The arrangement will include provisions for security and access; preservation; and return of the data. A risk assessment will be undertaken prior to the commencement of the data storage arrangement.

The Shire of Denmark has entered into an arrangement with Market Creations, utilising the Council Connect program for website management. Council Connect is a service that is fully managed, maintained and supported by Market Creations on behalf of the Western Australian Local Government Association (WALGA). The agreement includes storage of electronic data/digital information in a data centre/cloud storage facility as detailed in the table below.

Market Creations is currently implementing an Information Security Management System (ISMS) in compliance with the ISO/IEC27001:2013 Standard (referred to as ISO 27001). A risk assessment has not been carried out by the Shire of Denmark as the product is fully endorsed by WALGA. Market creations engages a certified third-party cyber security consultancy firm to subject the Content Management System to penetrative testing to ensure best practice is maintained.

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
Website Data	Market Creations	Perth WA	Geraldton, WA	N

4.1.4 Storage of Archives

The Shire of Denmark stores confidential or sensitive physical files classified as State archives in a secured location within the office of the Senior Records Officer in the Administration Building.

Approximately 9 linear metres of files classified as State archives are located off-site at ARM (details above in 4.1.2). State archives that are closed but continue to be accessed by staff as reference documents are maintained in the file room which is detailed above in 4.1.1. No State archives are knowingly held in the on-site sea container, however there are approximately 16 linear metres of files held there awaiting sentencing. The Shire is able to identify all State Archive files on the eDRMS – created from 2010 onwards, and their locations.

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

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

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

The Shire of Denmark acknowledges that more needs to be implemented in the area of archives storage, including storage of electronic archives.

4.1.5 Storage of Backups

Servers are configured in a two-node fail-over cluster with replicated hardware including storage, so that in the event of a hardware failure the services such as file storage and document management will continue. The physical hardware supports several virtual servers to provide the various services the Shire requires. All individual virtual servers run a disk-level backup system that completes an incremental backup of the server every hour and stores the backup image on Network Attached Storage (NAS) located in

the server room. The backup data on the NAS is then replicated to a NAS located at a remote location, currently the Works Depot on Zimmerman street.

4.1.6 Quantity of Records

The Shire of Denmark has custody of approximately:

- 58 linear metres of temporary active hard copy records stored onsite;
- 67 linear metres of active and inactive Permanent in Local Government records stored onsite;
- 16 linear metres of inactive (awaiting disposal action) records stored onsite;
- 179 linear metres of temporary hard copy records stored offsite (ARM);
- 18 linear metres of hard copy State archives stored onsite/offsite;
- 250Gb of digital records/information/data.

4.1.7 Security and Access

The servers and associated equipment are housed in a secure, dedicated climate-controlled room, fitted with smoke alarms. Internal access to computer systems is controlled through network logins and passwords. Remote access is controlled through the utilisation of a VPN, with access managed by security groups linked to the internal login of approved staff. A password policy enforces password change every 90 days.

Records are stored in a dedicated lockable filing within the administration building, it is a purpose-built brick room without windows. The room is secured outside of working hours.

The administration building can only be accessed via a monitored keypad and keycard (after hours), which is supported by back to base alarm system. Security is further supported by CCTV which is accessible to authorised staff outside of working hours in the event of the alarm being activated. In the event of a mains power failure, the administration building is supported by a diesel generator, enabling access security and CCTV to be retained

4.2 Assessment of the Impacts of Disasters

The risk of a disaster occurring to the records of the Shire of Denmark has been assessed as low based on the information provided above*.* The impact of a disaster on the organization's records has therefore been assessed as low. In the extremely unlikely event of all servers failing at the same time, the most data that would be lost would be one hour. The Shire of Denmark has considered strategies in place to ensure that the business activities of the organisation are not unduly affected in the event of disaster. Please refer to paragraph 4.4.

4.3 Strategies in Place for Preservation and Response

The following strategies have been implemented by the Shire of Denmark in order to reduce the risk of disaster:

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

The Shire of Denmark has implemented a Business Continuity Plan that sets out the process for responding to a disaster which includes ensuring IT systems are a priority 1 for recovery. Please refer to paragraph 4.4.

The Shire of Denmark has mitigated the risk of crypto (Cyber) attack by having the servers connected to the NAS via a UNC Path.

4.3.1 Vital Records Program

The Shire of Denmark recognizes the following categories as vital records:

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

Vital Records are registered in the *Safe Filing Cabinet – Vital Records Register* (an Excel spreadsheet). This register is to be maintained to reflect the most accurate information in relation to contract/agreement dates; removal of items from Vital Records and additions to the register.

Vital records in hard copy are stored in a metal filing cabinet, or shelving within a lockable, fire resistant safe/strong room. They are all accessible via the eDRMS, which is the preferred method of access. The safe/strong room is accessible to all staff during working hours. After hours the room can only be accessed by staff that have access to a key. Approximately 90% of records/documents have been recorded in the eDRMS. The exception being the cemetery records and personnel files. All unrecorded cemetery and personnel records are stored in the safe/strong room. Cemetery records are being migrated to a new eDRMS business module specifically for cemetery information management. Once digitised, the physical copies of the records will be archived. New personnel records (since mid-2020) are being recorded in the eDRMS; any older records were not. A project is being raised to add all personnel records not already recorded, to electronic files within our eDRMS. Any records that were received in a physical format will be maintained on a physical version of the file after being digitised.

4.3.2 Backup Procedures for Electronic Records

The physical hardware in place at the Shire of Denmark supports several virtual servers. We use ShadowProtect SPX to back up our servers. All individual virtual servers run a disk-level backup system that completes an incremental backup of the server every hour and stores the backup image on Network Attached Storage (NAS)

located in the server room. The backup data on the NAS is then replicated to a NAS located at a remote location, currently the Works Depot on Zimmerman street, Denmark. The Shire of Denmark does not use back-up tapes. Once cloud-based back-ups are in place, this will provide a 3rd tier of data protection. Back up procedures include:

- Single full back up every 6 months

- Continuous incremental backups hourly from 6am to 7pm daily

- Individual servers backed up to separate folders on the NAS (and replicated)

- Replication of NAS at remote location

- End of Year backup images copied to a portable drive for archiving to provide access to 12 months of data.

4.3.3 Preservation of Electronic Records

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

- The backup logs of hard drives used to store electronic information is checked daily;
- Electronic records requiring long term retention are maintained in an appropriate format for long term preservation. All records and business information since the inception of the eDRMS are accessible on replicated NAS devices located remotely. The Shire of Denmark does not use back-up tapes or other rewriteable storage devices.

4.3.4 Security

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

- Access to the Administration building is controlled by monitored keypad entry for staff during and after hours. The building is fitted with a "back to Base" intruder alarm system. The building is fitted with CCTV cameras.
- Active physical files are stored in a fire rated filing room. The room is accessible to all staff during working hours and locked after hours. Staff are required to tag files out of the room by replacing a file with a department tag.
- Files are not to be removed from the building without the knowledge of the Senior Records Officer. Files removed are managed and monitored in the eDRMS.
- Vital records are stored in a fire rated strong room, which is locked after hours. Personnel files and other confidential records/documents are kept in locked metal filing cabinet within the strong room.
- Inactive, Permanent in Local Government files and some planning files are kept in metal compactus outside of the main filing room (within the Administration building) due to lack of space within the main filing room. The Shire is currently consulting to expand the Administration building and it is envisaged that a larger space, rated for file storage will be included.
- Access to the sea container storage area is controlled by padlock and key. The key is stored in the safe/strong room.
- The Shire of Denmark has its non-current, inactive and some archival records located in an offsite storage facility at ARM, 97 Stead Road, Centennial Park, Albany, WA, 6330. ARM facility has concrete floor, walls and ceiling to provide superior environmental stability, with a fully monitored alarm system, CCTV, electronic access control and various fire suppression systems to meet or exceed all legislated requirements.
- Access to electronic records is managed on several levels, initially by controlling access to the Central Records module. Access is further controlled by security levels being allocated to files within the eDRMS. Lastly staff are only provided access to file security levels appropriate to their work requirements.

- Access to the server room is restricted.
- Access to all systems is controlled by managed login accounts with password.

4.3.5 Storage Reviews

The records storage facilities utilised by the Shire of Denmark are reviewed regularly to ensure that conditions are appropriate for the organisation's records. Periods of inspection are as follows:

- Storage facilities within the Administration building are continually checked during daily access (Monday to Friday). CCTV and building access controls after hours.
- Sea container on-site – checked at intervals no longer than monthly.
- ARM off-site storage – visited and inspected at least annually.
- Server room is accessed daily.
- Backup logs and NAS is checked on a daily basis.

4.3.6 Recovery of Lost Information

The following strategies are currently in place at the Shire of Denmark to recover lost information, should a disaster occur.

- In the event that physical files are lost or damaged, an estimated 95% of records stored inside the main building are recorded and stored electronically. It is expected that minimal loss would occur, due to the multi-leveled backup procedures in place for information stored electronically on servers.
- IT systems are considered a Priority 1 recovery item in the Shire of Denmark Business Continuity Plan. This would entail recovery of data from the local NAS, the replicated NAS at the remote location, or cloud storage.

4.4 Identified Areas for Improvement

Confidential and sensitive physical State Archives are currently being held in a secure location however that location is in a higher risk area, being that it is not fire rated. Extra file storage is being considered in the current Administration Building upgrade.

Cemetery and personnel records are not all recorded and digitised, there is a low risk that these documents could be lost/damaged. They are held in a fire rated strong room.

Cemetery records provide significant heritage information, including maps and burial details. The Shire has recently acquired a Cemetery module into the eDRMS to capture and manage such information. The intention is to digitise all physical documents to provide a back-up of this valuable information. All correspondence will be recorded into the Central Records module. This work is expected to be completed by the end of 2021.

Most Personnel records are kept in the Payroll module of the eDRMS; however, some information has been recorded on a generic file. Action is being planned to ensure all physical personnel records stored in the strong room are recorded in the eDRMS. It is envisaged that this will be completed by the end of 2021.

The records in the sea container are predominately pre our eDRMS (2010) and as such are not duplicated electronically. There is no further way of protecting them. The risk is considered low and it has been documented that action needs to be taken in regard to auditing, sentencing and disposing/archiving them.

The Shire of Denmark currently does not have a Records Disaster Management Plan or any other document that meets the criteria required under Principle 4 of SRC Standard 2. The Shire has a *Business Continuity Plan for Building / Asset Impact Event and Communicable Disease Pandemic.* Amongst other information, it contains a list of Critical Activities which includes ensuring IT systems are operational (listed as a Priority 1) and Records Management (listed as a Priority 3). This plan primarily lists what we will do in the event of a disaster to bring the Shire back up to an operation level, who shall do it, and in what order. It does not deal with the management of the recovery of physical records. It is limited in the information surrounding the procedure to bring the IT systems back to fully operational. The Shire of Denmark is currently reviewing the Business Continuity Plan for presentation to the Audit Committee in August 2021. It has been flagged that more information is required either in this document or in a separate document.

In order to meet the requirements of Principle 4 of SRC Standard 2, the Shire of Denmark will create a Records Disaster Management Plan by the end of 2021.

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 of Denmark uses the *General Disposal Authority for Local Government Records (DA 2015-001/1)*, produced by the State Records Office, for the retention and disposal of its records.

The Shire of Denmark is also bound by the *General Retention and Disposal Authority (GRDA) for Incidents and Allegations of Child Abuse or Neglect (DA 2020-03).* The Shire currently has no records to which the GRDA applies.

5.2 Disposal of Source Records

The Shire of Denmark does not currently meet the requirements of the *SRO Guideline: Digitization Specifications.* As such, documents received or created that were not borne digital are kept on physical files after being scanned and recorded in the eDRMS. These items are sentenced in accordance with the GDALG. The Shire has plans to move to a fully digital records system in the next 12 to 24 months.

5.3 Existing Ad Hoc Disposal Authorities

The Shire of Denmark is currently using the *Ad Hoc Disposal Authority COVID-19 - Contact Registers (DA 2020-006)* for the destruction of contact registers in use by the various Shire departments.

5.4 Existing Disposal Lists

The Shire of Denmark has not implemented any Disposal Lists.

5.5 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 State archives collection.

5.6 Transfer of Archives

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

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

5.7 Non-Transfer of Archives

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

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

5.8   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.

Please refer to Appendix 5 *(Shire of Denmark Records and Information Management Policy and Process Manual)*, Section 7, for information on the annual disposal. An extract from a recent authorised list of records for destruction, and authorisation for destruction is attached at Appendix 7.

5.9   Authorisation for Disposal of Records

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

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

6   Principle Six: Compliance

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

6.1   Staff Training, Information Sessions

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

Table 6.1

Activities to ensure staff awareness and compliance	YES	NO
Presentations on various aspects of the Shire of Denmark's recordkeeping program are conducted. These are delivered to all staff on a regular basis.		✓
In-house recordkeeping training sessions for staff are conducted.	✓	
From time to time an external consultant is brought in to run a recordkeeping training session for staff. Staff are also encouraged to attend training courses outside the organization whenever practicable.		✓
Staff information sessions are conducted on a regular basis for staff as required.		✓
The Shire of Denmark provides brochures or newsletters to publish recordkeeping information, highlight issues, or bring particular recordkeeping matters to staff attention.		✓
The Shire of Denmark's Intranet is used to publish recordkeeping information, highlight issues, or bring particular recordkeeping matters to staff attention.		✓
The Shire of Denmark's Induction Program for new employees includes an introduction to the organization's recordkeeping system and program, and information on their recordkeeping responsibilities.	✓	
Ad hoc information is distributed by the Senior Records Officer via email to all staff members on relevant records matters, new procedures, hints and tips or as a reminder of correct procedures.	✓	

Coverage of the training/information sessions as detailed here extends to all staff. However, records management staff are offered specialised training and continual support.

6.2   Performance Indicators in Place

Performance indicators have been developed to measure the efficiency and effectiveness of the Shire of Denmark's recordkeeping systems. Please refer to Section 9 – Performance Monitoring, included in Appendix 5 (*Shire of Denmark Records and Information Management Policy and Process Manual).*

6.3   Agency's Evaluation

Records officers are continually monitoring the recordkeeping practices of staff when recording daily correspondence. This is done by checking for related or referenced correspondence that may have gone directly to an officer to ensure they have recorded it and so cross referencing can be done. The results of the performance indicators in place, are assessed as being efficient and effective within the organization.

6.4   Annual Report

An excerpt from the Shire of Denmark'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 8.

6.5   Identified Areas for Improvement

There is an ongoing issue with staff's continual use of system drives over approved recordkeeping systems. This issue is being addressed regularly by training and regular reminders via internal correspondence. The issue is also addressed regularly with the Executive for line management to all staff.

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 organizations with persons to perform any aspect of record keeping for the organization.

State organizations may enter into contracts or other arrangements whereby an individual or an organization is to perform a function or service for the State organization, or act as the State organization's agent to deliver services to clients, or for the State organization'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 organization's legislative, business and accountability requirements.

7.1   Outsourced Functions Identified

Refer to Appendix 1 and Paragraph 1.3 for functions outsourced.

7.2   Recordkeeping Issues Included in Contracts

The Shire of Denmark has adapted the sample information included in the State Records Office Records Management Advice October 2019 – Records in Outsourced Arrangements, for inclusion in major contracts and agreements. The information is amended on a case-by-case basis for smaller contracts and agreements. Please refer to Appendix 5 - *Shire of Denmark Records and Information Policy and Process Manual 2021 (Appendix 3)*

7.2.1 Planning

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

7.2.3 Control

The Shire of Denmark will ensure that contractors create and control 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 State records which are the product of or are involved in any contract/agreement with the Shire of Denmark 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 will be agreed upon between the Shire of Denmark and the contractor(s)/agent(s) in the procurement process i.e., contract/agreement negotiations.

7.2.6 Custody

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

7.2.7 Contract Completion

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

7.3 Identified Areas for Improvement

The Shire of Denmark has historic contracts/agreements that do not fully address the requirements of Standard 6. Executive and Management have been made aware of the obligations and that on renewal of such contracts/agreement's information addressing the requirements as per paragraph 7.2 above are included in the new contract/agreement.

APPENDIX 1 – Local Government Functions

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.	N/A	N/A
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.	✓	
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.	✓	

	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 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.	✓	
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

Legislation and Regulations that may be wholly or partly administered by Local Government, and Local Laws of the Local Government	
Legislation, Regulations and Local Laws	*Tick if YES, the LG administers*
Aboriginal Heritage Act 1972	✓
Agriculture and Related Resources Protection Act 1976	✓
Animal Welfare Act 2002	✓
Australian Citizenship Act 2007	✓
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	✓
Control of Vehicles (Off-Road Areas) Act 1978 and Regulations	✓
Dangerous Goods Safety Act 2004	✓
Disability Services Act 1993	✓
Dog Act 1976	✓
Dog Regulations 2013	✓
Emergency Management Act 2005	✓
Environmental Protection Act 1986	✓
Environmental Protection (Noise) Regulations 1997	✓
Equal Opportunities Act 1984	✓
Fines, Penalties and Infringement Notices Enforcement Act 1994	✓
Fire and Emergency Services Act 1998	✓
Fire Brigades Act 1942	✓
Food Act 2008	✓
Food Regulations 2009	✓
Freedom of Information Act 1992	✓
Hairdressing Establishment Regulations 1972	✓
Health Act 1911	✓
Health Regulations	✓
Heritage of Western Australia Act 1990	✓

Legislation and Regulations that may be wholly or partly administered by Local Government, and Local Laws of the Local Government	
Legislation, Regulations and Local Laws	**Tick if YES, the LG administers**
Land Administration Act 1997	✓
Litter Act 1979	✓
Liquor Control Act 1988	✓
Local Government Act 1995	✓
Local Government (Miscellaneous Provisions) Act 1960	✓
Local Government Grants Act 1978	✓
Local Government Regulations	✓
Main Roads Act 1930	✓
Parks and Reserves Act 1895	✓
Planning and Development Act 2005	✓
Public Health Act 2016	✓
Public Interest Disclosure Act 2003	✓
Radiation Safety Act 1975	✓
Radiation Safety Regulations	✓
Rates and Charges (Rebates and Deferments) Act 1992	✓
Rights in Water and Irrigation Act 1914	✓
Residential Design Codes of WA	✓
Road Traffic Act 1974	✓
Road Traffic Code 2000	✓
Strata Titles Act 1985	✓
State Records Act 2000	✓
State Records Principles and Standards 2002	✓
Telecommunications Act (Commonwealth) 1997	✓
Telecommunications (Low Impact Facilities) Determination 1997	✓
Transfer of Land Act 1893	✓
Valuation of Land Act 1978	✓
Waste Avoidance and resource Recovery Act 2007	✓
Waterways Conservation Act 1976	✓
Local Laws of the Shire of Denmark	✓
Activities on Thoroughfares & Trading in Thoroughfares & Public Places Local Law	✓
Bushfire Brigades Local Law	✓
Cemetery Local Law	✓

Legislation and Regulations that may be wholly or partly administered by Local Government, and Local Laws of the Local Government	
Legislation, Regulations and Local Laws	*Tick if YES, the LG administers*
Dogs Local Law	✓
Extractive Industries Local Law	✓
Fencing Local Law	✓
Health Local Law	✓
Local Government Property Local Law	✓
Parking & Parking Facilities Local Law	✓
Pest Plants Local Law	✓
Standing Orders Local Law	✓

APPENDIX 3 – Other Legislation & Regulations

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

APPENDIX 4 – Government & Industry Standards

Government and Industry Standards and Codes of Practice that have been imposed upon or adopted by the Local Government	
Other Legislation and Regulations	*Tick if YES*
Australian Accounting Standards	✓
Australian Records Management Standard ISO/AS 15489	
General Disposal Authority for Local Government Records	✓
General Retention & Disposal Authority for Incidents & Allegations of Child Abuse or Neglect	✓
Keywords for Councils	✓
National Competition Policy	✓

APPENDIX 5 – Records & Information Management Policies & Processes Manual

SHIRE OF DENMARK

RECORDS AND INFORMATION MANAGEMENT POLICY AND PROCESS MANUAL 2021

Authorisation

The Records and Information Management Policies and Process Manual for the Shire of Demark (the Shire) is issued under the Authority of the Chief Executive Officer. It has been developed to provide effective guidance and direction for record keeping within the Shire. All staff are requested to familiarise themselves with its contents and follow the processes contained within it.

Signed:

Date: 09 April 2024

Document Version Control

Document Name:	Shire of Denmark Records and Information Management Policy and Process Manual
Document Status:	Completed
Version Number:	V01
Date:	
Author:	Wendy Dembowski in Consultation with IRIS Consulting
Authorised by:	David Schober – CEO (Acting) - Shire of Denmark
Distribution:	All Staff – Shire of Denmark

Change History

Version	Issue Date	Author	Reason for Change
V01.1	19 June 2020	IRIS Consulting Group Pty Ltd	External Review – suggested changes
V01.2	12 March 2021	W. Dembowski	Updates to conform with the RKP

TABLE OF CONTENTS

1 INTRODUCTION

The Shire of Denmark's Records and Information Management Policy and Process Manual has been developed to provide a practical guide for staff involved in the creation, management and/or use of corporate records. This includes all staff and elected members engaged in activities directly associated with the business of the Shire, regardless of whether they are permanent or casual employees or employed through a contract arrangement.

The information resources of an organisation, particularly corporate information, are one of its most valuable assets. Proper information management provides the level of transparency and accountability demanded by its key stakeholders – the general public, ratepayers and community groups.

1.1 PURPOSE OF THE MANUAL

The purpose of this manual is to describe:
- the responsibilities of all staff and elected members in relation to recordkeeping activities;
- the statutory basis upon which recordkeeping practices are governed;
- policy statements enabling the Shire to comply with statutory requirements; and
- processes to be followed.

1.2 STRUCTURE OF THE MANUAL

The Manual contains an over-arching Records Management Policy, followed by more specific policies relating to records management and recordkeeping. Each policy within the Manual is broken down into three headings:
- the policy statement,
- a rationale explaining why the policy is required, and
- processes applicable to the policy.

1.3 SUPPORTING DOCUMENTS

The following support the Records and Information Management Policy and Process Manual and should be referenced for further understanding of the Shire's recordkeeping requirements:
- State Records Act 2000;
- Keywords for Councils (KfC);
- General Disposal Authority for Local Government;
- General Disposal Authority for Source Records; and
- General Retention and Disposal Authority for Incidents and Allegations of Child Abuse or Neglect.

1.4 LEGISLATIVE FRAMEWORK

There are various legislative requirements for managing records in government organisations in Western Australia. The primary legislation relating to the keeping of public records is the State Records Act 2000. The Act is supported by the State Records Principles and Standards 2002 and the State Records Principles and Standards 2016, which provide the minimum requirements for recordkeeping in government organisations.

Other examples of important legislation that impact upon records management include:

- Criminal Code 1913
- Electronic Transactions Act 2011
- Evidence Act 1906 (amended)
- Financial Management Act 2006
- Freedom of Information Act 1992
- Limitation Act 2005
- Local Government Act 1995

1.5 ROLES AND RESPONSIBILITIES

1.5.1 Elected Members

All elected members are to create and maintain records required for the performance of their member functions. This can be achieved through the creation and retention of records of meetings of Council and Committees of Council. Other communications and transactions of elected members which constitute evidence affecting the accountability of the Council and the discharge of its business should also be recorded. Party political information and their own records about their personal affairs are exempt.

1.5.2 Chief Executive Officer

The Chief Executive Officer is required under the State Records Act 2000 to institute a system for the maintenance and management of records. The system must comply with records management legislation and State guidelines and procedures. The CEO is responsible for the promulgation of this policy to all staff and contractors.

1.5.3 Executives and Managers

All executives and managers are to ensure all records and information management policies and procedures are provided to all staff, contractors and elected members.

1.5.4 Senior Records Officer

The Senior Records Officer is responsible for maintaining the Shires tools/framework used to manage the Shire's records according to the requirements of the State Records Commissions Principles and Standards.

1.5.5 Records Officers

Records Officers have responsibility for the following recordkeeping tasks:

- Maintenance of the Shire's recordkeeping system and registers;
- Registration of incoming correspondence;
- Creation of new corporate files;
- Attaching documents to corporate files;
- Closure of corporate files;
- Retention and disposal of closed files.

1.5.6 All Staff

All staff are responsible for creating and capturing records relating to the business activities they perform. They are required to:

- Make records to document and support business activities and decisions;
- Capture records (including email and outgoing correspondence) into the recordkeeping system, i.e. placed on official corporate files and/or registered into business information systems specific to the Shire's business i.e. SynergySoft;

Staff must **NOT**:

- By-pass the incoming mail registration process. Refer to section 4.3.3 for details about current incoming mail process.
- Hold records in informal or uncontrolled hard copy files which are not already registered in the recordkeeping system.
- Keep important business information in personal locations, such as personal hard copy file collections, email folders or computer hard drives, where it is inaccessible to others.
- Remove official records from the organisation without prior permission.
- Misuse or pass records to an unauthorised person.
- Delete records

2 RECORDS MANAGEMENT POLICY

2.1 POLICY STATEMENT

The Shire of Denmark is committed to making and keeping full and accurate records of its business transactions and activities. Records created and received by the Shire's employees, contractors and elected members, irrespective of format, are to be captured and managed in accordance with these Record Keeping Policies and Processes.

Records will not be destroyed except by reference to an approved disposal authority and after consultation with the Senior Records Officer.

2.2 RATIONALE

The State Records Act 2000 requires each government agency to have in place a comprehensive record keeping framework referred to as a Record Keeping Plan that covers the management of government records from their inception through to their final disposition by destruction or archiving.

Under the State Records Act 2000, a government record is defined as

"a record created or received by –

(a) a government organisation; or

(b) a government organisation employee or contractor in the course of work for the organisation"

Please refer to Appendix 1 for Frequently Asked Questions and Terms Used

It is the responsibility of all staff, contractors and elected members, to ensure that they create and maintain government records in accordance with the Record Keeping Plan. Failure to comply with this requirement is deemed to be an offence under the Criminal Code 1913 and under the State Records Act 2000 and could attract a penalty of up to $10,000.

2.3 PROCESSES

The Shire of Denmark has implemented systematic records management policies, processes and practices to ensure the capture and management of all its records, irrespective of format.

All elected members and staff are to ensure that full and accurate records are created to provide evidence of business transactions and decisions.

The Shire uses the SynergySoft Central Records module, an electronic Records Management System (eDRMS) to record and manage information. The thesaurus Keywords for Council (KfC) has been adopted as the recommended standard for naming corporate files. Throughout this document the words eDRMS and SynergySoft will be used interchangeably but have the same meaning.

The Shire is moving towards a paperless record keeping system in keeping with its values on sustainability and the environment. As such, our current record keeping system is considered a "paper-light" system whereby electronic information received or sent is not printed or placed onto a physical file. There will be exceptions.

Corporate records will only be disposed of in accordance with the State Records Office's General Disposal Authority for Local Government and by the Senior Records Officer or other Records staff.

2.4 MANAGING SPECIFIC TYPES OF RECORDS

To assist Shire staff, further information relating to specific types of Shire Records should also be referred to and are contained in the following Appendices:

- Appendix 3 – Records associated with the Tender Process
- Appendix 4 – Records associated with Outsourced Arrangements
- Appendix 5 – Records associated with specific Business Units
- Appendix 6 - Records associated with Grants

3 RECORDS CREATION

3.1 POLICY STATEMENT

All staff are responsible for capturing all records, created or received by the Shire, irrespective of format, into the Shire's record keeping system.

3.2 RATIONALE

Records should be, complete, meaningful, accurate, authentic and inviolate. For records to be meaningful, the links between records documenting a sequence of actions should be maintained.

Records are required:

- To provide evidence of a transaction;
- To prove that policies, procedures or guidelines have been followed in arriving at a decision or outcome;
- To enable others to know what action occurred, what was decided, when it occurred, who was involved and the sequence of actions, therefore providing continuity and consistency in administration; and
- To defend against potential claims or future legal actions, for example workers compensation or breach of contract.

Records that must be captured into the official record keeping system include those that show:

- what happened;
- what was decided or recommended;
- what advice or instruction was given;
- when it happened;
- who was involved; or
- the order of events and/or decisions.

Please refer to Appendix 1 for Frequently Asked Questions and Terms Used

3.3 PROCESSES

Records may be created as part of a business process, for example issuing of invoices. In other circumstances, active steps are required to create the record, as is the case with a telephone conversation. Some specific examples are:

3.3.1 Decisions and recommendations

Any decision impacting on the operations of the Shire, or for which the organisation may be held accountable, should be adequately documented to show who made the decision and on what basis it was made. This includes the background information and research that led to the decision.

3.3.2 Oral decisions and commitments

Any decision that is reached, or any commitment or transaction made verbally (ie person to person, or via telephone), should be adequately documented.

3.3.3 Meetings

The Minutes of a meeting are the record of the meeting and should accurately document decisions made at the meeting. The minutes should include a copy of the agenda and all documents considered at the meeting, decisions taken, and any other background papers involved in reaching the decision.

3.3.5 Records of Correspondence

Sending or receiving a memorandum or piece of correspondence internally or externally, by letter, or electronic mail (email), is a record and should be captured in the recordkeeping system.

4 RECORDS CAPTURE AND CONTROL

4.1 POLICY STATEMENT

All government records, irrespective of format, are to be registered and captured into the Shire's official records system, eDRMS. All correspondence should be attached to a corporate file.

4.2 RATIONALE

To maintain integrity of evidence over time, records should be managed in an official recordkeeping system, which can maintain and demonstrate the connection between a record and the business it documents. Within the Shire of Denmark, the official records management system is SynergySoft Central Records module and other business systems modules, for example the Rates and Finance Modules.

Capturing records involves registering documents, attaching them to appropriate files either physically or electronically or both, and using business systems to record transactions.

Records capture and control helps to ensure that records are:

- Accessible to all who require them, subject to any restrictions that may apply;
- Controlled and managed in accordance with policy and procedures;
- Secured against tampering, unauthorised access or unlawful deletion; and
- Disposed of promptly in accordance with approved Disposal Authorities.
- Protect the rights and obligations of the Shire, the individual and the community.

4.3 PROCESSES

4.3.1 Recordkeeping

- All original information documenting the Shire of Denmark's business activities, must be registered in Central Records module or the appropriate business module i.e., Financial, within SynergySoft.
- Information "born digital" i.e., correspondence or documents created or received electronically/digitally should not be printed and filed on the physical file. In accordance with the Shire's values on sustainability and the limited capacity for storage, officers should carefully consider the requirement to print and physically store information received in this format.
- Until such time that the Shire adopts a fully digital record keeping system, documents received in a physical format i.e., through the post or by hand must still be recorded electronically and the original document stored on the official physical corporate file.

4.3.2 Criteria for Capture

Capture is a deliberate action which results in the registration of a record into a recordkeeping system.

Criteria for capturing records[1]

- Constitutes evidence of the communications between staff, stakeholders or the public e.g. letters, memos or emails etc relating to activities or transactions of the Shire.
- Signifies a policy change or development
- Relates to projects or activities being carried out by the Shire
- Contains advice or provides guidance

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[1] State Records Authority of NSW (2001) *Create and capture: Guidelines on better recordkeeping (No. 13)* downloaded on 6 August 2009 http://www.records.nsw.gov.au/recordkeeping/government-recordkeeping-manual/guidance/guidelines/guideline-13-create-and-capture-guidelines-on/guideline-13

- Provides evidence of Grant activity, expenditure and acquittal
- Provides evidence of financial activity
- Have value in support of a project or activity being carried out by you or your section.

Records do not need to be captured into the corporate records system when they:
- are facilitative or ephemeral (i.e. of very short-term value), or
- are of a personal nature and do not relate to work matters.

4.3.3 Mail Management and Registration

For the purposes of this document, "mail" includes the following physical items:
a) items distributed by Australia Post;
b) items delivered by courier;
c) hand delivered items.

Incoming Mail

- Personnel should not use the Shire's postal address for private mail. All mail addressed to the Shire of Denmark will be opened by Records staff.
- Mail is collected from the Post Office daily. Mail is collected by Records Staff from the Customer Service Counter regularly throughout the day.
- Records concerning the Shire's business activities and received directly by staff via a courier service, or "by hand" (for example at meetings, visits or presentations etc) are to be recorded by the receiving officer
- The following mail will be opened by the Records staff, regardless of whom it is addressed to (mail addressed to the Shire is considered business correspondence):
  o Mail received via Australian Post;
  o Mail received by courier;
  o Mail, correspondence and documents received via the Shire Customer Service front counter.

Processing Incoming Mail

- All incoming correspondence, including cheques and payments, will be date stamped to validate receipt.
- Care will be taken not to deface legal documents or papers that may need to be returned to the sender. In this instance, the accompanying letter or envelope should be date stamped.

Registration

- Incoming correspondence (as described above), whether received by Records Staff or other Shire officers will be registered in the eDRMS excepting those considered ephemeral.
- Documents and correspondence received or created physically i.e. in paper form, are to be scanned and the electronic version added to the eDRMS record. The original (source) document is to be filed on the physical Shire file.
- Registration of the correspondence will link the record to descriptive information about the context of the record, and to related records. The following information (metadata) will be included as a minimum:
  o Date received;
  o Document description or title (for example, the subject line);
  o Date of creation (ie. Date created by originator)
  o Author or Sender;
  o Recipient/Action Officer (i.e. officer responsible for actioning incoming mail); and
  o The action taken by the recipients.

Mail Distribution

- Records that have been registered by the Records staff will be assigned to appropriate Shire officers for action. Consultation between the Records staff and Directorates will also be used to determine the assignment of correspondence/documents for action and information.
- Physical mail received at the Shire for elected members will be opened by the Records staff to ascertain if registration is required. All physical mail whether it is registered or not into the eDRMS will be passed to the Governance Officer in the first instance.

Outgoing Mail

- All outgoing correspondence MUST include a Shire file reference number.
- Officers are responsible for registering their own outgoing correspondence on the appropriate corporate file in the eDRMS. Officers are responsible for enveloping and placing outgoing mail in the correct mailbox located in the Hallway.
- Large mail-outs are to be advised to the Creditors Officer for correct GL code assignment (Financial Reporting).

4.3.4 Electronic Records

- Electronic records are those documents or emails that are born digital and are evidence of the business activities and transactions of the Shire.
- All electronic documents, plans, images etc which constitute a record, as defined under the State Records Act 2000, must be captured into a corporate approved system which meets the recordkeeping requirements under the State Records Act 2000 and the State Records Principles and Standards 2002 and 2016.
- All staff, including contractors and elected members, will ensure that electronic documents created outside of the eDRMS, for example in office applications such as word processing, spreadsheets etc, are attached to a record at the time of registration. Printing of documents born (created/received) electronically is not required.
- Email received via the Shires official email address - enquiries@denmark.wa.gov.au, will be registered in the eDRMS and assigned to the relevant Officers. In most cases, emails will not be printed for placement on a physical file.
- If an Officer requires a physical working copy of a document, it is their responsibility to print the item, stamp it with "Copy" and confidentially dispose of the item when not required.

Records staff will run an "End of Day" message program at the end of each working day, resulting in Officers receiving an email notifying them of any records assigned to them during that day.

Officers are required to check their Outstanding Items within the eDRMS at least daily, take action as appropriate and update the Action Status. Notes should be made in the Actions tab outlining the actions taken.

The records staff will provide Directors and the CEO with monthly reports on the quantity of 'Outstanding Actions' for the purpose of ensuring the Shire's Customer Service Charter is being upheld.

4.3.5 Email Management

Emails created or received by the Shire staff and elected members as part of their role in conducting the Shire's business, are the property of the Shire. They are government records and are subject to the same record keeping requirements as government records in other formats.

Electronic messages, like records in other formats, are subject to legislation such as the Freedom of Information Act 1992 and to legal processes such as discovery and

subpoenas. The records may also be required by Royal Commissions, the Courts and auditors.

Shire staff and elected members are responsible for managing email they create and receive. Incoming and outgoing emails which are evidence of the business activities or transactions of the Shire and are not transitory or ephemeral in nature, should be captured in the eDRMS on the appropriate corporate file.

Elected members emails will be captured in the eDRMS by Shire staff on their behalf.

Outgoing email should be registered at the time of sending using the Add-In function – this will ensure that the Outgoing Record number is attached and can be used as a reference by the addressee in response.

Correspondence, may be created using a template in SynergySoft, or outside of SynergySoft in a word processing application.

- If creating the document outside of SynergySoft, create a coversheet in SynergySoft for the document first. The resulting Record Number must be placed on the document as the Outgoing Reference number. The document can then be attached to the coversheet.
- If using a template within SynergySoft, the record number will be merged into the document on Update Mail merge/Document.

Where possible all correspondence, regardless of how it was created should be issued by email. Where not possible then it may be sent using the standard physical mail postal process, such as Australia Post.

If sent by email a new Outgoing Record number is not required, although the email should be attached to the coversheet within SynergySoft.

4.3.5.1 Sending or Receiving Emails
- It is the responsibility of the email sender to capture email sent internally or externally into SynergySoft.
- If the email is received from outside of the Shire then the recipient is responsible for capturing the email into SynergySoft.
- It is not necessary to capture each individual email that forms part of an email conversation. The instigator of the email conversation should decide when to capture the email which may be at the end of the email conversation. The email 'thread' must be kept intact as a record of the entire conversation.
- Email messages and attachments may be deleted from the email system after they have been captured into SynergySoft.
- Email messages of ephemeral value, including spam or junk email, may be destroyed routinely during the normal course of business.

4.3.6 File Management

The Shire currently uses both physical and electronic files. All files must be registered within the eDRMS. It is the goal of the Shire to move to an electronic system by the year by 2023. This will mean that all files except those required by legislation will be managed electronically only. Physical copies will only be kept for a 6-month period or as designated by the General Disposal Authority for Source Records.

How Files will be Created and Managed

- Files will be created electronically in the first instance until there is a requirement to create a physical file. This will be when a physical document or correspondence is received or created.
- Corporate records will be captured and managed within the eDRMS. on registered files.
- Active physical files will be held in the Administration Building filing room.

- Files containing sensitive, restricted or legal documents will be kept in the Strong Room or the Senior Records Officers locked cabinets.
- The physical movement of files must be tracked at all times. <u>Refer to File Movements</u>.
- All files are to be titled according to the Keyword for Councils (KfC) Thesaurus, which encompasses both functional and administrative terms KfC is the SRO recommended classification system. See <u>File Titling</u> for further information.

General File Index

The General File Index (GFI) has been developed to list all files created in the eDRMS and to provide a source document for easy reference by officers. The GFI is currently maintained in a Word document and located on the shared network L:\Org Wide Reference Documents, Forms, Photos etc\Reference Files & Registers.

The following information (Metadata) must be captured for each file in the eDRMS. Some information is added at the time of creating the file and other information throughout the life of the file:
- File and volume number
- File Title (from KfC)
- Date file created
- Related files
- Home Location
- Date file closed
- Disposal Action (e.g. D, A, P) and Sentence (to be added when file created)
- Date of Destruction
- (Archive) Box Number

New File Creation

All new file and volume requests must be directed to the Senior Records Officer. New files are created by Records staff when:
- A new function, subject, activity, project, grant, property or subdivision is commenced;
- There is no appropriate existing file; or
- An existing file becomes too large and a new volume is required. It is the responsibility of the Directorate using the file to advise the Records Staff when a new Volume is required.

When a new file is being created, Records staff will liaise with the requesting officer to determine the classification (Name) under KfC and the Retention and Disposal period as per the GDALG.

File Titling

The Shire uses the Keyword for Councils (KfC) Thesaurus to classify and title files. The Thesaurus is hierarchical in nature and contains three levels.

Business activities are classified in order to:
- Provide linkages between individual records which accumulate to provide a continuous record of activity,
- Ensure records are named in a consistent manner over time,
- Assist in the retrieval of all records relating to a particular function or activity;
- Determine security protection and access appropriate for sets of records;
- Allocate user permissions for access to, or action on, particular groups of records;
- Distribute responsibility for management of particular sets of records;
- Distribute records for action, and
- Determine appropriate retention periods and disposal actions for records.

The first level of the classification lists council functions, then council activities related to those functions, and finally the subjects or transactions related to the activities. Files are titled according to the following hierarchy:

- Keyword (represents the broad function of local government)
- Activity Descriptor (reflects a business activity within the function)
- Optional – Subject Descriptor/Free Text (describes subject or topic)

See Appendix 2 for an example of file titling.

Where it is likely that a file will be ongoing i.e. Verge Spraying Registrations or financial file, files should be titled by year or financial year (as appropriate) in the Subject Descriptor line. This allows for earlier disposal if the file is deemed Temporary under the GDA. A volume is considered part of a series and technically a volume should not be destroyed until the series has been completed. By titling files by the year of use, we can reduce our storage, costs and make searching for documents easier.

File Identifiers

- Files are allocated a unique File Identifier by the Records staff on creation. The File Identifier follows the Shire's historical file identifying system as seen on the GFI i.e. PLN.XX where the XX is the next sequential number in the Planning (PLN) series.
- The File Identifier has no specific meaning, other than uniquely identifying each file.

File Volumes

- The file volume number will be located on the spine of a physical file or can be found in the Metadata in eDRMS.
- Three volumes will be the maximum number of volumes permitted before a new file is created – for records disposal purposes (excluding Assessment and Subdivision files).
- Active physical files and their associated volumes are stored in the File Room compactus in alphanumerical order.

File Stationery – Physical Files Only

The Shire uses standard heavy-duty file covers with a plastic three-piece clip. All new files will be colour coded using the following colour standards:

- Assessment/Property Files – WHITE
- Functional Files – GREEN
- Subdivision Files – LIGHT BLUE
- Sensitive Files – PINK
- Restricted Access Files - RED

A file label will be attached to the front of a physical file and will contain the official registered title as per the KfC and the File Identifier. The spine of the file will be labelled with the File Identifier and volume number. This will assist with immediate identification of the file title and its contents.

Attaching Documents to File

Physical and electronic documents created or received by Shire staff, must be registered in the eDRMS prior to being attached to a file.

- Documents must be attached to files as soon as possible after creation or receipt of the document.
- The GFI or SynergySoft Central Records (Files) should be used to identify the most appropriate file.
- Where an officer is not sure of the correct file, advice should be sought from the Records Officer.

- The file number and record number should be written on the document. The document must also contain a date - either created, received or sent.
- Documents which need to be attached to file should be placed in the hallway filing boards in the correct order.
- Documents are attached to file in the date order in which they were created or received, with the most recent document on top.
- Sticky 'post-it' notes should NOT be used to record significant information relating to correspondence, the annotation should be made directly on the document (signed and dated), or on a file note and attached to the document.
- If a post-it note is used to record significant information, the document should be photocopied with the post-it note in place. The post-it note can then be removed and destroyed and the original document and photocopy of the document with the post-it note attached to the file.
- Printouts of registered email records should not be placed in the hallway for filing. If an officer identifies a requirement outside of the scope of this document, filing should be carried out by that officer. Officers should always be mindful of the Shire's values on sustainability and the environment as well as the goal of being as paperless as possible.
- Records staff will not file printed recorded emails unless they contain notes not on the original document.

What NOT to Attach to File

The following material should not be filed unless otherwise directed:
- Duplicate (or exact) copies of records, documents, circulars, forms etc where no annotations (hand-written notes or comments) have been made;
- Information material produced by other organisations e.g. price lists, catalogues, advertising material, brochures;
- Externally published documents including reports, magazines, newsletters or information downloaded from the internet;
- Blank forms;
- Unsolicited letters or promotional material offering goods or services to the organisation; and
- Letters or cards of appreciation, sympathy or greetings with no enduring value.

File Closure

Files will be closed when the activity, project or matter to which the file relates has been completed. (for Physical and Electronic Files in eDRMS).
- A new volume of a physical file will be created when the previous volume reaches approximately 25mm in thickness (containing approximately 200 pages). It is the responsibility of all staff to bring the requirement for a new volume of a file to the attention of Records staff. Over full files can result in damage to or loss of documents within the file.
- Creating new volumes of electronic only files within SynergySoft will occur when the previous volume reaches a total of a total of 350 electronic documents. (Rollover and Cutover).
- Physical files requiring a new volume or closure without a new volume are to be placed in the appropriate area of the Hallway.
- The responsibility for closing files and opening new file volumes lies with the Records staff. New volumes will be created electronically only until the requirement for a physical file arises i.e. a physical document is received.
- Superseded volumes and closed files are marked as closed by the attachment of a File or Volume Closed page as the last document in the closed file; (Physical Files).
- After the attachment of the File or Volume Closed page, no further documents are to be attached to the file. (Physical Files).
- The file record in the eDRMS is amended to show the closed status, the date of closing of the file or volume; and any change to the location where the closed file will be kept.

- The Retention and Disposal code is to be reviewed on closure of any volume and amended as appropriate.

File Audit

- An annual audit will be conducted of all files in the file compactus.
- The audit will confirm that files not in the store have been marked out to the custody of an officer.
- The audit will also identify files which have been inactive for two years and which may be removed to inactive storage, and allocated a disposal date and disposal action (i.e. destruction or archiving).

4.3.7 Physical File Storage

The Shire has six file storage areas, the file compactus in the Administration Building, the Strong Room, the Records Office, the sea container to the rear of the Administration Building, the hallway Compactus and Albany Records Management: Details about the type and status of files is outlined below:

- The home location of all current (active) files is the compactus in the filing Room at the Shire's Administration Building.
- Active restricted access files will be kept in the locked cabinet in the Records Officers office.
- Vital files (Agreements, Leases, MOU, Licences, Contracts and Personnel) will be kept in the Strong Room.
- Closed (inactive) functional files, will be stored in the sea container until archived.
- Where Inactive files are kept for 'Reference Only'; no documents are to be added after the 'File Closed' date.
- Closed Assessment (Property) volumes and files sentenced as Permanent in Local Government (PILG), as well as Subdivision and planning files will be kept in the hallway compactus.
- Archived files waiting for destruction will be transferred to Albany Records Management for storage until disposal.
- Files sentenced as State Archives will be held at Albany Records Management (unless considered sensitive) until such time as they can be moved to the State Archives.

4.3.8 Physical File Movements

- Files being removed from the main compactus in the filing room must be accounted for by replacing the file with a Directorate Marker.
- The Records Officer must be notified about any files removed from the Shire Office's so that the loan maybe recorded in SynergySoft.
- Files removed from the strong room must be accounted for by signing the loan register. Files removed from the Strong Room must be returned by the end of the working day.
- The officer borrowing a file is responsible returning the file to the correct location.

4.3.9 Website Management

The Shire's external website is hosted by Market Creations. The website's primary function is to provide ratepayers, residents and the general public access to the latest information including registers and information required by legislation to be made available for public inspection.

The website contains:

- Council Minutes and Agenda's.
- Frequently asked question on a number of services provided by the Shire.
- Information on Council and Shire activities.
- Applications for planning developments, inviting submissions.

- Information on the functions and services provided by the Shire
- The history of the Denmark
- Access to community, sporting and emergency service groups contact details.
- Employment opportunities
- Webform access to contact the Shire to report information and make enquiries.
- Application forms and documents available for downloading.
- Documents & forms including the policies, local laws, plans & reports.

All changes are recorded within a versioning system that does not expire for the life of that page. No hard copies of changes to the website are retained by Market Creations.

Market Creations backs up the website daily (including supporting files such as images and PDF's) and stores the information for a duration of 7 days. Weekly backups are also performed and stored for one year.

Backups are kept secured locally, and replicated to a second data centre facility located 400 kilometres away, ensuring all data is retained within WA providing best practice data governance and risk management.

To ensure compliance with Retention and Disposal authority, all meaningful information must be recorded in the eDRMS prior to being published on the website. This ensures that in the event of any situations that result in the loss of data stored by Market Creations, information can still be accessed.

4.3.10 Internal Process for Updating Website Content

The Communication and Engagement Officer is responsible for the Shire's website. Several staff members are authorised to add or update information relevant to their directorates. Outside of this, all other information and amendments to the website content must be approved by the Communication and Engagement Officer. Corporate documents published on the website must be registered on a corporate file within the eDRMS as a record. For example, the original Strategic Plan must be registered and attached to the relevant corporate file.

4.3.11 Metadata Management

Metadata is data about data that describes the who, what, where, when and why records about a business activity or transaction were created. Metadata must be captured during business transactions to describe the content, context and structure of records in both paper and electronic recordkeeping systems. The Shire is responsible for ensuring that all metadata elements associated with its record keeping system are captured, stored and made accessible over time.

Metadata is what remains after files and documents have been legitimately destroyed as this will record exactly what happened to the record.

Metadata is not collected from information stored on system drives or other business management systems outside of the Shire's recognised recordkeeping system.

Record keeping metadata ensures that records can be effectively retrieved over time and across platforms and systems as they are changed. Metadata is represented by the fields within the software and captured at the time of registering. Also captured is data about who entered the information and when, via an audit trail. Each record and its associated metadata will be inextricably linked for as long as the record is required.

Document Metadata

Metadata will be captured at the time of registering documents in SynergySoft Central Records. The Shire has set the following minimum metadata requirements for documents:

- Date of receipt;
- Document description or title (for example, the subject line);
- Date of creation (ie. date written);
- Author or Sender;
- Recipient (ie officer responsible for actioning incoming mail); and
- File reference number.

File Metadata

Metadata will be captured at the time of opening a new file or volume and will be conveyed to the front of physical file covers. The Shire has determined the following minimum metadata requirements for files folders:

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

Website Metadata

Website metadata is collected by Market Creations.

4.3.12 Social Media

The Shire has a Facebook page and uses it to convey information on behalf of the Shire to the public. The Shire has a Social Media Policy (P040236) which must be complied with by all staff. Until the Shire has appropriate software for capturing Social Media posts, any defamatory, threatening or controversial posts should be "screen Shot" and recorded.

4.3.13 Out Sourcing

Please refer to Appendix 4

5 SECURITY AND PROTECTION OF RECORDS

5.1 POLICY STATEMENT

Access to the Shires records by employees and contractors will be in accordance with appropriate 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.

5.2 RATIONALE

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

Records should be maintained in a safe and secure environment irrespective of whether in physical or digital format. The Shire will ensure the records remain usable, reliable, authentic and preserved for as long as the records are legitimately required.

Providing a safe and secure environment for the Shires records ensures that records are:
- accessible to all who have the required access;
- secure from unauthorised disclosure which could damage the Shire's corporate security or individual's privacy, give unfair commercial advantage or cause harm to an individual or organisation;
- secured against tampering, unauthorised access or unlawful deletion;
- protected in appropriate environmental conditions ensuring the availability of records as long as they are required;
- stored in a cost-effective manner;
- accessible for as long as they are required to meet business and accountability needs and community expectations; and
- able to assist the Shire to meet its recordkeeping requirements under the *Local Government Act 1995*, the *State Records Act 2000* and other acts to which it is subject.

5.3 PROCESSES

5.3.1 File Security
- The Shire's Administration building houses the file storage room. The file storage room is secured outside office hours. Staff members are aware of the location of the key for access after-hours if required.
- Access by the general public to the administrative area of the Shire Administration building is controlled by doors and counters which are monitored by staff during working hours and CCTV 24/7.
- The Administration building is secured after hours.
- Staff members access the Administration building during working hours by a rear door with key pad entry.
- After-hours access to the Administration building is controlled by key card. Key card holders are limited and must be approved by management. A register of key card holders is maintained. Access to the Administration building is monitored 24/7 by a contracted security company. Access reports are provided daily.
- Individual officers are responsible for the security of records held in their workspace.
- The Shire's Council Minutes are stored in the Strong Room.

- Records classed as 'vital records', such as lease agreements, contracts, licences, Memorandum of Understanding, leases etc, are stored in the Strong Room.
- The Strong Room is unsecured during working hours and secured by key after hours.
- The Sea Container to the rear of the Administration building is padlocked at all times. The key is held in the Strong Room.
- A diesel generator provides mains power support to ensure access security is maintained in the event of power failure.

5.3.2 Physical File Storage Location

Shire records must be located apart from all known hazards. It is the responsibility of the Records Officer to verify that each storage area meets the requirements under the State Records Principles and Standards 2002 for Records Management. Sites should be weather-proof, humidity controlled, dedicated to the storage of records, be intruder resistant and access controlled.

To ensure records stored in Shire facilities meet the above requirements:

- The storage areas will be reviewed regularly to ensure environmental conditions are sound.
- Steps will be taken immediately to remove/reduce any potential risks identified during the review.

Shire staff and contractors must not store records in areas that are unauthorised or store records at their home. Records should be returned to authorised storage areas as soon as possible after use.

Physical File Storage Location – Archived Off-Site

Archived records are unable to be stored at a Shire facility due to limited space and therefore are stored at Albany Records Management (ARM). The facility is 54km away. Records stored at ARM include temporary files awaiting disposal as well as State Archives awaiting transfer to SRO. ARM is the approved supplier of Records Management to government departments in the Great Southern Region (Group Buying Arrangement 089882014: Panel Arrangement for the storage, Retrieval and Destruction of Paper and Electronic Records in the Great Southern Region). Appendix 6 provides information on the structure and security of the facility.

5.3.3 Environmental Control

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

- Have reasonable temperature and humidity levels
- Exclude direct sunlight;
- Be pest and vermin free;
- Have good air quality and circulation; and
- In the case of magnetic media, are free from magnetic fields.

Records stored in the sea container at the rear of the Administration building are not subject to temperature or humidity control. As such this area will only be used for the storage of temporary records awaiting archiving and removal to ARM for long term storage. No State Archives or Permanent in Local Government records will be knowingly stored there.

5.3.4 Shelving and Packaging

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

- Be clean;
- Be in a good state of repair;
- Be strong enough to withstand the weight of the records;
- Meet occupational health and safety (OH&S) requirements.

Shire staff and contractors should notify the Records Officer of inappropriate or damaged shelving and containers, or OH&S risks. Records should be returned carefully to their proper containers and shelving after use.

5.3.5 Protection from Disaster

The Shire has a Business Continuity Plan and is currently in the process of updating that to an Incident Management/Business Continuity Response Plan. These plans will detail the assessment of the impact of a disaster and provide guidance on the management of an incident. The new plan will provide more specific information related to the protection and recovery of electronic data – including records, and physical documents. A new Records Disaster Management Plan, dealing specifically with identifying and mitigating risk and managing the recovery of records, both physical and electronic is being created.

5.3.6 Systems Management

The CEO is responsible for the overall management of all IT systems within the Shire. The Director of Corporate and Community Services is responsible for the network security. The Information Communications and Technology Officer is responsible for the day-to-day management of the computer systems, hardware, software and supporting documentation. This includes storage management, Helpdesk Support, as well as technical updates, solutions, maintenance and recovery. External support and consultancy is provided by Winthrop Australia and The Bits & Bytes Shop in the event the ICT Officer is unavailable.

Servers and associated equipment are housed in a dedicated climate-controlled room, fitted with smoke alarms and a lockable door. The server is connected to mains power as well as an UPS (Uninterrupted Power Supply) unit. In case of mains power failure, the system will switch over to the PV solar array back up battery unit until depleted and then revert to the UPS. In the future a third level of redundancy will be backups to the cloud.

Servers are configured in a two-node fail-over cluster with replicated hardware including storage, so that in the event of a hardware failure the services such as file storage and document management will continue. The physical hardware supports several virtual servers to provide the various services the Shire requires. All individual virtual servers run a disk-level backup system that completes an incremental backup of the server every hour and stores the backup image on Network Attached Storage (NAS) located in the server room. The backup data on the NAS is then replicated to a NAS located at a remote location, currently the Works Depot on Zimmerman street.

Internal access to computer systems is controlled through network logins and passwords. Remote access is controlled through the utilisation of a VPN, with access managed by security groups linked to the internal login of approved staff. A password policy enforces password change every 90 days. Passwords to the network and SynergySoft are not to be shared.

5.3.7 Migration Strategy

Migration is the process of transferring records from one records system to another while maintaining their integrity and authenticity. The Director of Corporate and Community Services is responsible for the development and management of migration strategies processes.

Migration of any system will be done in accordance with the State Records Office of Western Australia. State Records Commission Managing Digital Information Principle 4 Storing Digital Information and State Records Office Guideline – Management of Digital Records.

Before any migration of records occurs, full consideration must be given to the process used to undertake the migration.

The following steps should be undertaken to maximise the efficiency of the migration process:

- Re-appraise records as part of the conversion or migration process. This involves reassessment of the requirements to retain records and may require amendment of a disposal authority in conjunction with the State Records Office. Records which can be destroyed according to an approved disposal authority will not be migrated to a new system.

- Assign responsibility for migration. This should be a shared responsibility between information technology professionals, who will ensure all data is successfully carried across, and recordkeeping professionals, who will ensure records are transferred without loss of integrity.

- Identify and assess risks, in particular the possibility of compromising the integrity of the records whilst migrating them. The value of the record as evidence of the business it supports must be safeguarded by retaining:
    - the information contained in the record;
    - the metadata captured with the record at the time of its registration in the recordkeeping system; and
    - Linkages or relationships to other records and systems.

- Use appropriate software for the migration of electronic records. The software should be able to:
    - read the source file and analyse differences between it and the target format;
    - identify and report on mismatch and risks if mismatch occurs;
    - accurately convert the source files to the target specifications;
    - work on single files and large collections; and
    - provide a record of the process for inclusion in project documentation.

- Make and keep appropriate documentation of the process so that there is a record of what occurred during migration.

Where no replacement system exists, the Shire will ensure all legacy data, information and records will be maintained and managed in a manner which will ensure the data, information and records can be accessed for the entire period required under the relevant approved Disposal Authority.

6 ACCESS TO RECORDS

6.1 POLICY STATEMENT

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

6.2 RATIONALE

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

6.3 PROCESSES

6.3.1 Internal access to records

Records must be available to all staff and on-site contractors who require access to them for business purposes.

Some records created by the Shire will be of a sensitive or confidential nature and will require access to them to be restricted to one or more people.
Access to electronic files is controlled at two levels:

- File level – each file is assigned a security classification according to the sensitivity of the content.
- Personnel (Login) – each employee is given access to security classifications in accordance with the information they need to carry out their duties.

Access to records by elected members will be via the CEO in accordance with the Local Government Act 1995.

6.3.2 External access to records

Access to the Shire records by members of the public will be in accordance with the Freedom of Information Act 1992.

Accessibility
- Records will be stored in a way that they can be identified and retrieved easily and quickly by the Shire staff.
- Records will be housed in areas which are not accessible to the public or other unauthorised personnel.

As a general rule, no physical Shire records should be removed from the Shire premises, however it is sometimes necessary. Where records are removed from the Shire premises, the loan to the individual concerned must be recorded by the Records Officer and the care of the record is the responsibility of the person to whom the record has been loaned.

7   APPRAISAL, RETENTION OR DISPOSAL OF RECORDS

7.1   POLICY STATEMENT

Records will only be destroyed or otherwise disposed of in accordance with an approved Disposal Authority and following authorisation from the relevant business manager and the Chief Executive Officer. Records identified as State Archives should be transferred to the State Records Office in accordance with the requirements of the State Records Act 2000.

N.B At the present time the State Records Office is unable to accept archival records due to a shortage of storage space.

7.2   RATIONALE

The appraisal, retention and disposal of records should be handled in a systematic and consistent manner to ensure that records are:

▪ retained:

o to satisfy operational, administrative or evidential purposes;

o to comply with statutory or regulatory requirements; or

▪ destroyed when they have no further value.

7.3   PROCESSES

7.3.1   Disposal Authorities

Government records will only be disposed of in accordance with Disposal Authorities approved by the State Records Commission.

Currently the Shires records are covered by the General Disposal Authority for Local Government Records (DA2015-001/1).

Should the Shire move to a Digital only records system, the authority for disposal of source documents will be the General Disposal Authority for Source Records (RD 2016002).

7.3.2   Disposal Program

The Records Disposal Program will be coordinated by the Senior Records Officer.

Records/files due for disposal are identified, reviewed, processed and transferred or destroyed on an annual basis (for the previous full calendar year).

Records will generally be disposed of, either by destruction or by transfer to State Archives, once they have reached the end of a specified retention period, but only if the record is no longer required for administrative or business purposes (Permanent in Local Government).

Refer to the Records Officer Procedures Manual for further details about the Shire's Disposal Program.

7.3.3   Sentencing

The Senior Records Officer is responsible for ensuring the annual disposal of corporate files.

Corporate files are sentenced at the time of creation using retention and disposal information contained in the General Disposal Authority for Local Government Records DA2015-001/1. The following disposal metadata is captured on creating a new file:

▪ Disposal action (destroy or archive)

- Retention period
- Disposal authority reference

Where files contain records with differing retention periods, the entire file must be retained for the longest retention period that applies to the contents. Individual documents must not be removed from files.

7.3.4 Disposal Authorisation

Disposal of records, either by destruction or by transfer to the State Records Office as Archives, will occur only after written approval by the relevant business Manager and Chief Executive Officer or his delegate as follows:

- Authorisation forms must be completed before destruction or transfer of files. (Authorisation forms for destruction and transfer are located electronically in the Records Officer Procedures.)
- Signed authorisation forms will be recorded and retained.

7.3.5 Transfer to Offsite Storage

Inactive records (e.g. closed files) of both temporary and long-term value, are to be held offsite in a commercial records storage facility due to limited storage space within the Shire offices.

Whilst the State Records Office has no repository space, records of archival value may also be stored offsite in accordance with the State Records Office's Directions for keeping hardcopy State archives awaiting transfer to the State Records Office.

After file sentencing is reviewed:

- Files are sorted and placed in boxes according to disposal action (i.e. destroy or archive) and the year of destruction based on the length of retention period.
- Box Id numbers are created and files are entered into the Disposal & Archived Files Register against the Box Id.
- Box Id's are created in SynergySoft Central Records Module and individual files are updated to reflect the Box Id in which they are stored. The location of the file may also need to be updated at this stage.
- Labels are attached to the archive boxes – templates for the labels are located electronically in the Records Officer Procedures.
- Boxes are to be collected by ARM when 30 have accumulated. Transferring 30 boxes or more is free of charge. If less than 30 boxes are to be transferred, transference should coincide with Secure Waste collection if possible or the boxes should be transferred by Shire vehicle to reduce costs.
- On relocation to ARM, a list of Box Id's is to be provided to ARM and a receipt provided as proof of storage. ARM will also provide their own box Id.
- The Disposal & Archive Files Register is to be updated to reflect the box is now located at ARM and the date of transfer.
- SynergySoft Box Id is to be updated to reflect the new location and individual files should also be updated to reflect Archived instead of Inactive. Updating the Box Id should also change the location of the individual file.
- The *Boxes held at ARM* spreadsheet should also be updated. (this spreadsheet is used for easy verification of full and half boxes held at ARM against Invoices).
- Both the Disposal & Archive Files Register and the *Boxes held at ARM* spreadsheet should be updated to include the ARM box Id as well as the Shires Id.

7.3.6 Destruction of Records

Records due for destruction will be destroyed, after formal approval, in a manner that is environmentally friendly and irreversible, with no risk of the records being recoverable.

- A Certificate of Destruction will be obtained and recorded (providing authorisation that records were legally destroyed and in what manner).

- Records will not be destroyed if they are required for an inquiry, investigation or legal action.
- The eDRMS will be updated to include the date of destruction.
- The Disposal & Archive Files Register is to be updated to reflect the individual files have been destroyed and the date of destruction.
- Box Id's in SynergySoft are to be updated with the date of destruction and the location of the individual files updated to reflect the location of DESTROYED PHYS. Comments as to the date of destruction should be placed in the Comments field.
- The *Boxes held at ARM* spreadsheet should also be updated moving the destroyed files to the DESTROYED tab.

7.3.7 Transfer of Archival Records

Records which are State Archives should be transferred to the State Records Office. The transfer of records will be in accordance with SRO guidelines using storage materials (archive boxes and liners) specified by the State Records Office.

At this time, due to storage constraints at the State Records Office, the Shire is required to store records classified as State Archive in accordance with Directions for keeping hardcopy State archives awaiting transfer to the State Records Office.
At such time that records are to be transferred to the State Records Office the above approval and recording procedures will apply.

7.3.8 Disposal of Electronic Records.

Electronic records are to be deleted from the eDRMS as part of the Annual Disposal Program. The file and the record Cover Sheet are to remain on the system to provide metadata of the existence of both. The file and/or volume must be updated to reflect the disposal details ie the date. All attachments are to be deleted from the eDRMS.

8   PERFORMANCE MONTORING

8.1   POLICY STATEMENT

The Shire is required under the State Records Commission Principles and Standards 2002 to monitor the efficiency and effectiveness of their current Record keeping Systems.

8.2   RATIONALE

The Shire needs to know what parts of its current Record Keeping System are not being adequately used by staff in order to effect efficient improvements wherever possible.

Monitoring Schedule

Monitoring Activity	Frequency	Monitoring Undertaken By
Information Statement	Annually	Records Officer
Recordkeeping Plan	Annually	Records Officer
Policies and Processes	Annually	Records Officer
File Usage PIs	Quarterly	Records Officer
Training	Induction/Min Annually	Records Officer
Shire Officer Recording	Bi-annually	Records Officer
Storage – Sea Container	Regularly – min Monthly	Records Officer
Storage – ARM	Annually	Records Officer
Network Drive Monitoring	Quarterly / Annually	Records Officer/IT Officer
Disaster Management – Risk Assessment	Annually	Records Officer/IT Officer
Shire Officer Response Time	Quarterly	Records Officer
Annual Report	Annually	Records Officer

8.3   TRAINING

A Records Training Spreadsheet is to be set up containing all relevant staff. It will document when induction Records training was provided as well as the dates for annual training. The following practices are to be incorporated:

- a) Initial training for new staff members.
- b) Group training is to be provided quarterly to allow all staff to attend.
- c) Training is to be provided annually for Councillors on their responsibilities (this may be done through other avenues ie WALGA)
- d) Training is to be reviewed annually and attendance reported to the Executive.
- e) One on One training is to be made available to all staff.
- f) Support is to be available during working hours
- g) Recordkeeping is to be included as a Performance Requirement in staff Annual Performance reviews.

8.4   RECORDS AND INFORMATION MANAGEMENT POLICIES AND PROCESS MANUAL

The Records and Information Management Polices and Process Manual is to be reviewed and updated annually. All staff are to read and sign as having read and understood the Manual each year.
Feedback from staff should be accepted, considered and responded to.

8.5 FILE USAGE PERFORMANCE INDICATORS

Each quarter, the Shire will randomly select 5 different but currently used Denmark files from SynergySoft and assess and record the results for the following:

- The file title does or does not match the Keyword for Council titling method;
- The contents of the file match the title used;
- The file contains emails and documents; and
- The file has been sentenced correctly.

8.6 STORAGE

Storage areas need to be assessed regularly to ensure there is no deterioration of conditions.

The Sea Container will be checked regularly. An Inspection form is to be created and located within the Sea Container. This form is to be completed by the Senior Records Officer regularly at no less than 1-month intervals. The following should be recorded. Was the facility found to be:

- dirty,
- dusty
- pests or vermin observed, or
- the records storage areas are being used as a dumping ground for old equipment surplus office furniture etc.

Albany Records Management (ARM) Facility is to be attended each year in conjunction with the annual destruction program. At this time, the Shire's record storage area is to be inspected to ensure all records are stored without damage or being in danger of being damaged.

Action is to be taken if any of the above are reported.

8.7 SHIRE OFFICER RECORDING

Shire Officers are responsible for recording all incoming and outgoing email correspondence received or sent by themselves that documents the business of the Shire. Reports will be produced bi-annually to provide management with statistics of record capture. Annual training will remind officers that emails may only be kept on network drives after they have been officially recorded.

8.8 NETWORK DRIVE MONITORING

To ensure that Shire Officers are not storing records on network drives instead of the records system, information will be included in all training sessions by the Records Officer. The IT Officer should work with the Records Officer by monitoring the storage growth on the network drives quarterly. Executive Management will be responsible for ensuring that the Network drive is used for working copies of records and reference documents only.

8.9 ANNUAL RECORDS DISASTER MANAGEMENT RISK ASSESSMENT

A Records Disaster Management Plan will be created as required under Standard 2, Principle 4 of the State Records Commission Principles and Standards 2002. This Plan will be reviewed and tested annually. The Plan is to be completed by the end of 2021. A new Information Technology Disaster Recovery Plan will provide specific information related to the protection and recovery of information of electronic data – including records. It will be the responsibility of the IT Officer to ensure this Plan is reviewed annually.
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8.10 SHIRE OFFICER RESPONSE TIME

The Shire has a charter that determines the time correspondence is expected to be responded to. Outstanding Record Reports will be provided to management for review every quarter.

8.11 INFORMATION AND ANNUAL STATEMENTS

The Information Statement will be reviewed, updated, published on the Shire website and sent to the Information Commissioner annually IAW Section 96(1) of the Freedom of Information Act 1992 (WA). A statement on records performance over the previous 12 months will be provided to the Corporate Planning Officer for inclusion in the Shire of Denmark Annual Report IAW Standard 2, Principle 6 of the State Records Commission Principles and Standards 2002.

FREQUENTLY ASKED QUESTIONS & TERMS USED

What is a Record?

Information created, received and maintained as evidence and as an asset by an organization or person, in pursuit of legal obligations or in the transaction of business. Taken from ISO 15489 Part 1.

What is Evidence?

Evidence is documenting a business transaction and a transaction is the smallest unit of a work process consisting of an exchange between two or more participants or systems. Note 1. This is proof of a business transaction which can be shown to have been created in the normal course of business activity and which is inviolate and complete. It is not limited to the legal sense of the term. Taken from ISO 15489 Part 1

What is Best Evidence?

Amendments to the Evidence Act 1906 in S73A Reproductions admissible (best evidence rule modified) states: (1) A document that accurately reproduces the contents of another document is admissible in evidence before a court in the same circumstances, and for the same purposes, as that other document, whether or not that other document still exists.

What is an Authentic Record?

An authentic record is one that can be proven to:

- Be what it purports to be
- Have been created or sent by the agent purported to have created or sent it; and
- Have been created or sent when purported.

Business rules, processes, policies, and procedures which control the creation, capture and management or records should be implemented and documented to ensure the authenticity of records - Taken from ISO 15489 Part 1.

Action Officer

The action officer is the person who is responsible for taking action on a piece of correspondence received by the Shire. For example, if correspondence is about a development application or subdivision the action officer will be a member of the Sustainable Development team.

Disposal

A group of processes associated with implementing records appraisal decisions including the retention or destruction of records in or from recordkeeping systems and associated physical files. They also include the transfer of custody of records, for example to the State Records Office as permanent archives.

Electronic/Digital records[2]

An electronic record (or digital record) is any information existing in electronic form, requiring combinations of computer hardware and software to be read and understood. Electronic records include word processed files, electronic spreadsheets, databases, email, voice mail, internet and intranet systems, and scanned documents. They may be held on hard drives, network drives, or external storage media such as thumb drives.

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[2] State Records Office General Questions (no date) Retrieved June 27 2019 from
http://www.sro.wa.gov.au/state-recordkeeping/recordkeeping-faq#

Ephemeral Documents (Transitory Documents) [3]

Ephemeral documents are defined as those documents which are of a trivial nature or of such short-term value that they do not support or contribute to the business function of the organisation. These records are generally only needed for a few hours or a few days.

In broad terms, ephemeral documents include:

- documents of a routine or trivial nature;
- documents which duplicate (or extract) information which is already held elsewhere; and
- documents with little or no administrative, fiscal, legal, evidential, cultural or known historical value.

In more specific terms, ephemeral documents include:

- circulars received from other organisations;
- copies of internal circulars, the master of which has already been captured into the recordkeeping system;
- duplicates or exact copies of other documents used for reference purposes only;
- unused forms (other than monetary forms);
- informational material received from other organisations; including price lists, catalogues, advertising and brochures;
- reference sets of directories, addresses and contact lists;
- unsolicited letters or promotional material which offer goods or services;
- messages in the form of voice mail, e-mail, list serve messages, SMS (Short Message Services) or text messages, telephone messages or post-it notes when the message does not relate to the business activity of the organisation;
- rough drafts of reports, or correspondence, routine or rough calculations not circulated to other staff in the organisation and of which a final draft has been produced and captured into the corporate recordkeeping system; **NB**: Versions of drafts which contain significant changes to the context must be captured into the corporate recordkeeping system.
- transitory messages giving minor instructions of a routine nature that are used to further some activity in either a paper based or electronic format e.g. requesting file creation or retrieval;
- letters or cards of appreciation, sympathy or greetings with no enduring value;
- working papers, background notes and reference materials used to prepare or complete other documents.
- **NB:** Working papers and background notes relating to the development of internal policy or significant projects must be captured into the corporate recordkeeping system and form part of the corporate memory.
- office or desk calendars;
- computer printouts such as superseded computer logs, test data and data input forms.

Ephemeral documents do not include:

Documents with any of the following characteristics must be treated as significant and not destroyed under General Disposal Authority for Local Government Records.

- those which add value to an existing record;
- those which document significant operations of an agency;

- those which contain information on the rights or obligations of government or private individuals;
- those which indicate when or where an event, organised by the creating agency, happened;
- those which indicate how a decision was made by the creating agency; or
- those which are identified as a formal draft of a policy, cabinet submission, agreement or legal document.

Metadata

Metadata is the data that must be captured alongside an electronic record that provides contextual information and supports its management and use. It is the information that describes the content and context of a record. Examples of metadata include: date and time of creation and registration, author, document name, links to records related to the same sequence of business activity, and directory trees. The Cover Sheet in SynergySoft holds the metadata for records and file.

Recordkeeping

Making, receiving and maintaining complete, accurate and reliable evidence of business transactions in the form of recorded information.

Recordkeeping system

Information systems that capture, maintain and provide access to records over time. May be electronic or paper-based.

Records of continuing value

Records of continuing value are those that contain information that is of administrative, legal, fiscal, evidential, or historical value to the Shire and its stakeholders. They will generally be retained as archives and not destroyed.

Retention and Disposal Schedule

A Retention and Disposal Schedule is a formal instrument that provides guidance on how long particular categories or classes of records need to be kept, to meet business needs, the requirements of organisational accountability and community expectations. It also identifies the final disposal action, either destruction or permanent retention by archiving. Retention and Disposal Schedules must be approved by the State Records Commission before use. The State Records Office (SRO) has developed a number of Disposal Authorities for use by all government organisations. The Shire uses the General Disposal Authority for Local Governments (GDALG) as the authority to dispose of records.

Vital Records

Records without which an organisation could not continue to operate i.e. those containing information needed to re-establish the organisation in the event of a disaster. Vital records are those that protect the assets and interests of the organisation as well as those of its clients and stakeholders.

SAMPLE FILE TITLE

CREATING A FILE TITLE - USING KEYWORD FOR COUNCILS

KEYWORD	ACTIVITY DESCRIPTOR	SUBJECT DESCRIPTOR FREE TEXT

Broad function (keyword) to specific business (activity) to subject (free text).

Represents the broad function of local government	Reflects the specific business acivity performed	Describes the subject or topic in more detail

Broad function (keyword) to specific business (activity) to subject (free text).

COMMUNITY SERVICES	PLANNING	TRUANCY

TENDER AND REQUEST FOR QUOTE (RFQ) RECORDING PROCESS

Local Government (Functions and General) Regulations Part 4 Division, is the relevant reference for the requirements for tendering in Local Government. The relevant General Disposal Authority for Local Government reference for dealing with Tenders and Quotations is 112.

1.   In accordance with the regulations above, Clause *17. Tender Registers* explains the requirement to keep a Tender Register and what needs to be recorded in the register. Each tender will require a register to be created. Most of the information required can be contained in a spreadsheet, however some documents such as the notice of invitation to tender will need to be recorded separately and saved as an attachment.

2.   Due the differing periods of retention for varying parts of the tendering process, from going out to tender right up until the end of an ensuing contract or agreement, a minimum of 2 files will need to be created. One for the tender process and Tender Register and one for the rejected and unsuccessful tenders. These files will be created by the Records staff and named in accordance with the KfC and will contain a reference to the financial year the tender was opened. Tender process files will initially hold a security level of 70 and access is limited to the Senior Records Officer until the tender documents are reviewed.
The security level is then changed to 71 and access is provided to those Shire Officers that are involved in the process. Security Level 71 is added and removed from staff members as required.

- Tender/quote process (and Tender Register) files must be maintained for a minimum of 7/6 years respectively after any ensuing contract has expired. Depending on the significance of the Tender/Quote it may be required to be kept for 21 years or forever as a State Archive.
- Rejected and Unsuccessful tenders need only be kept for 2 years – however the Assessment of the tender must be kept on the process file. (unsuccessful tenders will be moved to a new file but remain Xreferenced to the original process file.)
- If a contract is issued subsequent to the tender process, then a new file is required to be raised to contain all the documentation related to the contract only. This file will also be named in accordance with KfC but should contain a reference to the tender/quote file. The retention period for this file will be dependent on the contract. At times it may be more relevant to utilise a project file for the contract and ensuing coordination of the project. This file will need to be kept for a period after any warranty/defect/liability period expires.

3.   A separate email address for responses to tender requests has been created – tenders@denmark.wa.gov.au – this email address should be the advertised email address for tender submissions. If/when a contract or agreement is entered into – all correspondence in relation to that contract or agreement should be directed to the enquiries@denmark.wa.gov.au email address for recording and allocation to the contract managers.

4.   Requests for Quotations (RFQ) and responses should be kept on the project file. Requests for quotes and successful quotes are required to be kept for a minimum of 6 years after any warranty/defect/liability period expires. Unsuccessful quotes are only required to be kept for 2 years and can remain on the project file.

5.   Retention periods will differ in relation to the significance of Tenders and Quotes and whether an ensuing contract is signed under seal of deed or not.

RECORDS IN OUTSOURCED ARRANGEMENTS

S. 33 (3) Of the State Records Act 2000 states that "any State Record created or captured as part of a contractual arrangement remains under the control of the organisation and is subject to that organisation's Recordkeeping Plan."

1. State Records Office of Western Australia's *Information Management Advice* on *Records in Outsourced Arrangements* (Oct 2019) states that the Shire "must certify that the third-party provider keeps accurate and complete records in respect of the outsourced function. Outsourcing a business function does not diminish an organisation's responsibility to require that tasks are carried out correctly and accountably. The types of records that must be made to satisfy accountability and performance measurement requirements may need to be specified in a schedule to the third-party provider. In the case of digital information, the formats may also need to be specified to allow for the return of records to the organisation's business information systems at the end of the contract."

2. When entering into a contract with a third-party provider, the following must be considered:

- Ownership Clauses – ownership of records created by the third-party in relation to the outsourced function as well as records provided to the third-party to enable them to carry out the function need to be considered and included in contracts. This includes intellectual property.
- Use of information gained by or provided to the third-party for commercial profit or other purposes.
- Retention and disposal – any records held by the third party relating to the outsourced function must be disposed of in accordance with an approved disposal authority (approved by the State Records Commission). It is the responsibility of the Shire to ensure that records are not disposed of illegally.
- Access – how will the Shire have access to the records held by the third-party?
- Confidential information – the return of any of the Shire's confidential information on the cessation of the contract must be addressed in the contract.

3. The *Information Management Advice* on *Records in Outsourced Arrangements* (Oct 2019) also states that "Failure to plan for the completion of a contract may result in loss of information and increased risk of exposure to legal liabilities for both the organisation and the third-party provider

4. The *Information Management Advice* on *Records in Outsourced Arrangements* (Oct 2019) contains a sample of Information Management clauses for contracts. This information is to be used when writing contracts. The document can be found on the State Records Office website Records Management Advice - Records in Outsourced Arrangements (www.wa.gov.au)

RECORDKEEPING - BUSINESS UNITS

Outside of recording the general day to day correspondence, the business units within the Shire of Denmark have differing requirements in regard to how they record, maintain, store and archive the correspondence and documents they create and receive when carrying out their roles. This document addresses these differences.

1. Governance

The business of governance is to create policy and strategic documents for the workings of the Shire in relation to the community and ensure that the shire adheres to legislation relevant to Local Government. Governance staff should ensure that they create proper records of the following:

- Shire Local Laws – must be version controlled and recorded in the Shire's eDRMS. Each version must be retained. To avoid accidental changes to documents they should be recorded as .pdf1 format. These documents should be considered Vital Records and safeguarded appropriately.

- Council and management Policies – these documents provide guidance and dictate the behaviour and conduct of the Shire employees. These documents should be version controlled and recorded in the Shire's eDRMS. All versions must be retained. To avoid accidental changes to documents they should be recorded as .pdf1 format.

- Corporate Planning Documents – these documents would be considered vital records and as such should be recorded in the eDRMS and any physical documents stored securely. To avoid accidental changes to documents they should be recorded as .pdf1 format.

- Documents related to the leasing of Shire property are considered vital records and all correspondence relating to the negotiation of leases as well as the signed lease should be recorded in the eDRMS. Signed leases and agreements should be stored securely.

- Registers – Several registers are required to be kept under the Local Government Act. These registers should be maintained and recorded in the eDRMS.

- Delegations – any written evidence of delegation of power or function must be recorded in the eDRMS.

2. Human Resources (HR)

Human Resource staff deal with recruitment and the personnel matters of staff, including Payroll.

- Personnel documents are to be recorded at a security level that is limited to the HR coordinator, Payroll Officer and the Manager of the relevant staff member. Physical records are to be safeguarded appropriately.

- Documents created in the Payroll Module of SynergySoft are maintained in that module. Payroll reports, Timesheets and Year End reports are boxed and the current and previous years are held on site until the annual financial audit is completed. The previous year's documents are then removed to the storage facility (ARM).

3. Planning (incl. Building & Health)

The Planning Department maintain most records of correspondence, surrounding Development Applications (Planning and Building) in the eDRMS, however have dedicated modules within SynergySoft where information is managed. The following documents are required to be recorded in the eDRMS or as indicated below:

- Development Applications (DA's) – Applicants are to be encouraged to send all DA's via email to the Shire enquiries email address. DA's are recorded on the Assessment file. Although processed within the Planning Module of SynergySoft, all applications and amendments, correspondence, site visit reports and Bushfire Management Plans are to be recorded within the eDRMS. Records of conversations are to be made and recorded. DA's and associated correspondence/documents are to be recorded on assessment files and should provide a complete record of the application and approval process. DA's have been determined to be Permanent in Local Government (PILG). To avoid damaged to physical documents, files should not be allowed to become overfull. A new volume is to be requested.

- Planning Enquiries – where there is no DA in progress, an enquiry should be recorded on the Planning Enquiries File (PLN.17) and linked to the property via the Property Field.

- Building Applications – Building Applications (BA's) and associated documents are to be recorded as per DA's. Processing of BA's is done within the Building Module of SynergySoft. BA's are considered either State Archives (where Significant as defined in the GDA) or PILG.

- Asbestos – Any information related to the presence, use or removal of asbestos as part of building must be recorded – including any associated correspondence, records of conversation and maps. These are to be kept as State Archives.

- Maps – Maps received as part of DA's and BA's are not accepted in any size above A3. Applicants are encouraged to email plans with DA's and BA's. Maps and plans are considered either State Archives (where Significant as defined in the GDA) or PILG.

- Subdivisions/Amalgamation – A new file for each Subdivision/Amalgamation is to be created. The file is to remain open until either;
    - Approval and conditions have been met.
    - Withdrawal by Applicant
    - Refusal and subsequent appeals have been exhausted.

Files are to be required to be disposed of after 30 years unless considered significant (as per the definition in the GDA).

Bank Guarantees

Bank Guarantees are considered Vital records and must be recorded in the eDRMS and stored in the Strongroom/Safe. A copy may be placed on the Assessment/ Subdivision or Project File if required, however it should clearly be stamped to identify it as a Copy. All Bank Guarantees must be recorded through the Records Officers for allocation of a unique file number. The Records Officer must be advised of the "return to bank" of a Bank Guarantee so that the electronic record may be annotated and the file made Inactive and disposed of IAW the GDALG.

Town Planning Scheme Amendments

Scheme Amendments and all associated documentation, advertising, plans, consultation notes, submissions etc are to be recorded in the eDRMS and kept PILG.

Physical Documents

Staff are to be aware of local storage restrictions and ensure that only documents that are absolutely necessary to be printed and placed on files are done so to avoid multiple volumes.

Health

All environmental health information is to be recorded and maintained within the eDRMS. It is important to note that Test results – all water, septic and Alternate Treatment Units (ATU's) must be recorded in the eDRMS. With the relevant retention periods as outlined below:

- o Water test results – State Archives
- o Septic and ATU – 10 years

Licences and Permits

Any licence or permit issued must be recorded in the eDRMS along with any related applications, details of fees charged and correspondence. Records are to be kept for:

- o Septic and ATU – SA (Significant) or PILG
- o Stall Holder, Eating House, Food Premise (Home), Caravan & Camping, Holiday Homes – 7 Years

Inspections

Schedules of inspections as well as reports associated with inspections, ensuing action, follow up inspections and all related correspondence is required to be recorded in the eDRMS and kept for the following periods:

- o Septic ATU - PILG
- o Pool, Septic Quarterly Maintenance, Eating house/Food Premise, Caravan and camping – 10 Years.

4. Finance (Creditors, Debtors, Rates, Accounting)

- Accounting, Creditors, Debtors and Rates staff work in dedicated modules of SynergySoft that maintains records.
- The Creditors Officer has a defined process that encompasses records maintained in a module of SynergySoft. Physical copies of invoices, which include good receipting signatures as well as proof of payment are maintained. The current and previous financial year's documents are stored at the Shire until a successful audit is completed. They are then archived and sent to the storage facility (ARM)
- The majority of documents associated with the Debtors and Rates roles are maintained electronically both in SynergySoft Central Records and a dedicated module.
- Records of accounting practices are to be maintained in SynergySoft Central Records files. Physical copies of statements and other banking and accounting documents are to be maintained by the relevant officer and returned to the physical file at the end of each financial year. Records of the current and previous year are stored at the Shire until a successful audit has been completed. The documents are then archived and sent to the storage facility (ARM).

5. Administration/Customer Service

The Customer Service team deal with customers presenting to the Shire and are essentially the face of the Shire offices. They deal with many varied topics. Most of which are captured in the eDRMS.

- Department of Transport - records created as part of the Licensing role should be recorded as instructed by the Department of Transport.
- Applications (Civic Centre Hire, Banners) and Registrations (Cats and Dogs) received by hand. All physical documents received by the Shire must be recorded in the eDRMS and also on the associated physical file. The action taken to address the application must also be recorded.

- Credit Card details – records of credit cards must be handled in accordance with the Payment Card Industry Data Security Standards (PCI DSS). Sensitive authentication data must be removed/deleted once the credit action has been taken and must not be stored either physically or electronically.
- Cemetery records are considered vital and have significant value to the history of the Shire. Any physical documents must be stored accordingly and only destroyed under an authorised Disposal Authority. All records should be recorded in the eDRMS. The State Records Officer Circular dated 13 June 2019 advised that no cemetery records are to be destroyed until further notice.

6. **Engineering and Technical (includes Asset Management, Waste and Sustainability)**

Engineering and Technical staff should maintain records in the eDRMS and not in system drives.

- Plant-Operator Check List/Daily Check List records are not recorded in the eDRMS. They are stored in date order for the financial year and then disposed of in accordance with GDALG. The box is recorded on the Disposal spreadsheet. The same process is undertaken for other daily or regular forms and documents.
- Service Requests (SRs) – SRs are recorded and maintained in the RAMM software, outside of the eDRMS. Any SRs received via webform are forwarded directly by Outlook rules to the Works and Services Administration Officer (WSAO) for recording in RAMM. Works Requests that contain complaints or information other than strictly works and services information will be recorded by the Records Officer. The WSAO will be included as an internal correspondent and will link the RAMM entry to the SynergySoft Record. Works/Service requests received by emails via enquiries@denmark.com.au are recorded into the eDRMS and assigned to the WSAO for action and inclusion in RAMM.
- Vehicle/asset purchase and sale. Proper records are to be kept in the eDRMS of all acquisitions and disposal of vehicles and plant.
- Projects – Projects carried out by Shire staff must be fully accounted for. All correspondence and financial documents related to the project should be recorded on an electronic file dedicated to that project. Internal project documentations should not be kept on System Drives.
- Sustainability – All activities related to environmental management, including the issuing of clearing permits, must be recorded in the eDRMS on the appropriate file.

7. **Recreation Centre Staff**

Recreation Centre staff must keep proper records of memberships, activities, projects and grant applications and expenditure. Staff should ensure they are aware of the requirement to record any activities involving and surrounding children/minors in the care of the Shire. This includes records pertaining child care services. Currently certain records related to children/minors are not to be destroyed until advised by the State Government.

Records except those mentioned below should be maintained in the eDRMS on files associated with the activity.

- The Recreation Centre use Centreman to capture and manage all memberships and payment details. Centreman is backed up daily, with back-up data being held for 6 months. Physical membership records are kept as a redundancy to Centreman. A spreadsheet is also kept summarising memberships. Physical membership records are kept and maintained in a filing cabinet on-site and are required to be kept for 7 years, before being destroyed by Records Staff.
- Financial records of memberships are processed in Centreman; however, information is transferred daily to the Finance Module of SynergySoft.

8. **Community Services**

Community Services receive most correspondence via the eDRMS. All responses should be recorded and linked to the original document.

- Shire event coordination – records related to the planning of annual or regular Shire events should be recorded on dedication eDRMS files which are closed and archived annually. Any security checks i.e. Working With Children or Police checks of service providers must be recorded and maintained.
- Grant applications and ensuing documentation must be recorded on a dedicated file if approved.
- Community event approvals – requests and responses must be recorded along with any set conditions of approval provided.
- Community Emergency Services Manager (CESM). The CESM is a shared resource however, any documents generated by this position on behalf of the Shire become the property of the Shire and must be accounted in the eDRMS. Emergency Services Arrangements and Appendices are considered vital. They must be volume controlled and the current version recorded in the EDRMS. Any original signed copies should be stored securely. Any other documents or emails generated by the CESM in the capacity as an employee of the Shire become the property of the Shire and must be accounted in the eDRMS. Recordkeeping processes for Shire of Denmark Tendering, Requests for Quotes (RFQ) and Grant applications must be followed.
- Bushfire Risk Planning Coordinator (BRPC). This role is also a shared resource. Any work carried out for the Shire of Denmark or documents created or received by the BRPC become the property of the Shire and as such must be accounted for in the eDRMS. Recordkeeping processes for Shire of Denmark Tendering, Requests for Quotes (RFQ) and Grant applications must be followed.
- Infringements – As there is a likelihood that legal action may ensue, there is a requirement to keep accurate and full records of all infringement's notices issued along with any evidence in any format ie file notes, images, video footage, sound recordings, diary entries and hardcopy inspection books. All correspondence associated with infringements such as requests for waivers and responses must also be kept and cross referenced.
  - o Due to the requirement to keep any information related to litigation for a different amount of time before destruction, the Records Officer must be requested to raise separate LEG (Legal) file for all information relating to the proceedings.
  - o It is noted that Infringement information is also managed within an Infringement module of SynergySoft.
- Impounded Animals – records pertaining to animals whilst in the care of the Shire should be kept. This includes medical reports, photos, file notes and pound notices.

RECORDKEEPING - GRANTS

Grants assist the Shire to provide the community with a variety of services ranging from activities for youth and the aged, maintaining buildings and other assets, capital work and even staff employment. The processes of applying for, being accepted or rejected as well as financial expenditure, reporting and finally acquittal need to recorded to maintain a history of the use of the funding granted.

- Advice of open grants and invitations to apply for grants will be recorded on file GRT.

- Applications responding to the invitation should be recorded on GRT.APPS. Many applications are now submitted via web portals. In cases where you are able to print your application afterwards, the application should be printed to .pdf and recorded. Applications should be linked to the invitation by Xreferencing on the Central Records Cover Sheet. Where you are unable to extract a copy of the submitted version of the application, an electronic copy of your applications acceptance should be recorded with a note in the description field that the application was submitted via a web portal.

- If the grant is approved, a new file is to be created by the Records Staff – the approval correspondence is to be recorded on the new file and Xreferenced to the application.

- If the grant is not approved, the correspondence advising as such is to be recorded on GRT.Z file.

- All activity related to the use of the funds granted should be recorded on the dedicated file. Once the grant has been acquitted, the file will be closed and disposed of.

- The enquiries@denmark.wa.gov.au email address should be used as the receiving email address for all grant correspondence to ensure timely recording and distribution.

ALBANY RECORDS MANAGEMENT STORAGE FACILTIY - (COMMERCIAL)

Albany Records Management maintains a high security storage facility located at 97 Stead Road, Albany CBD. To ensure documents are safe the premise is constructed of concrete floor, walls and ceiling to provide superior environmental stability, with a fully monitored alarm system, CCTV, electronic access control and various fire suppression systems to meet or exceed all legislated requirements.

ARM's facility is regularly and extensively maintained; only reputable companies are engaged to service fire appliances, conduct preventative pest control treatments, inspect and service machinery and complete periodic commercial cleaning. The climate-controlled premises provides a very stable environment to maximise the preservation of paper records, digital media and other specialised items.

Storage Facility – Stead Road, Albany	
Fire resistant and structurally sound.	Albany Records Management warehouse is a modern building constructed of 150mm tilt up concrete panel walls with concrete slab floor and ceiling. The premises are equipped with portable fire appliances, fixed hose reels, fire resistant ceiling sheets, automatic fire shutter roller door and strategic overhead sprinklers to meet all current fire codes.
Sturdy and intruder-resistant construction, suitable for prevailing weather conditions.	The tilt up concrete slab construction of the warehouse ensures the exterior is incredibly strong and intruder resistant. The windows and the doors at the front of the premises are laminated plate glass which have then been painted / tinted to eliminate the ability to see in. The reception, built behind the glass is fitted with access control to further restrict / delay access to the warehouse area. The premises also benefit from barb wire topped security gates on both sides which exclude access to the rear of the building, extensive overt CCTV cameras and mobile security patrols. The warehouse is the understory of a major retailer and associated car park. This means that less than 10% of the exterior walls of the warehouse experience any weather and/or direct sun. This not only minimises the risk of leaks but also contributes to the excellent temperature stability provided by the warehouse
Floor capable of holding the weight of fully loaded shelving/racking/cabinets	The warehouse floor is a poured concrete slab designed to carry the weight of 14-metre-high concrete panels, structural columns and a suspended concrete slab shop floor and car park above. The weight of racking / shelving is completely insignificant in comparison presents no issue.
Loading bays capable of accommodating large and small delivery vans.	The warehouse of Albany Records Management is equipped with a 2.7-metre-wide roller door which is suitable for most vehicles. The area outside this roller door is also completely covered and 90% enclosed which enables loading and unloading in a very secure and controlled environment.
Free of water leaks and dampness.	As mentioned above, the warehouse has very little external area exposed to the elements. The walls are solid concrete panels, the ceiling is a poured concrete slab which is additionally covered by another tenancy and the external roof and the floor is raised well above the surrounding ground level. The painted concrete exterior eliminates water ingress, the raw concrete interior dries the air and the temperature stability eliminates any possibility of condensation or damp.

APPENDIX 6 – Principle 4 Disaster Management

The Shire of Denmark will provide a Records Disaster Management Plan by the end of 2021

APPENDIX 7 - Principle 5 – Records Destruction

BOX ID	FILE ID	Vol	TYPE	FINANCIAL YEAR (Box)	DATE RANGE	R&D CODE	DESTRUCTION YEAR
2	ADM.13	1	STRUCTURAL REFORM		23 JAN 95 - 28 OCT 99	67.2	2018
1	ADM.7	1	STATISTICS - LG FINANCE (NEXT FILE REF IS INFO.3)		27 DEC ?? - 30 JUN 95	110.1	2018
2	ADMIN.12	1	COMPLAINT FORMS		DEC 96 - DEC 99	88.2	2018
1	ADMIN.3	2	STRUCTURAL REFORM (PREV FILE REF IS ADM.13 VOL1)		27 JAN 00-11 JUNE 01	67.2	2018
2	BLG.13	1	Recreation Centre Maintenance		3/4/95-17/2/99	36.2	2018
9	Elc 1	x	WA Electoral Commission- Residents Role		23/3/99-25/3/99	42.9	2018
9	Elc 1	1	Council Elections		4/5/00-21/3/01	42.9	2018
9	Elc 1	3	Council Elections		8/5/02-30/12/03	42.9	2018
9	Elc 1	2	Council Extraordinary Elections 2002 Nornalup ward		18/12/01-5/11/02	42.9	2018
9	ELC 1	4	Council elections 2005 - Owner and occ register 1997,candidate details, electoral office corro		7/1/04-5/12/06	42.9	2018
9	ELC 1	5	Council Elections 2007 and 2009		2/7/07-20/11/09	42.9	2018
10	Elc 1	x	Electoral Roll Extraordinary 2002 Nornalup ward, cert of roll		13/8/02-21/9/02	42.9	2018
10	Elc 1	x	Electoral Roll		14/3/03-20/3/03	42.9	2018
10	Elc 1	x	Shadforth Ward Extraordinary Election		10/3/03-2/1/04	42.9	2018
10	Elc 1	6	Council Elections 2012		29/04/11-1/11/13	42.9	2018
10	Elc 1	x	Electoral Roll, Owners and Occupiers Rolls - all wards		16/3/01-23/4/01	42.9	2018
10	Elc 1	x	Local Gov Elections Working Papers 2005		16/2/05-20/2/06	42.9	2018
10	Elc 1	x	1997 Elections		1997	42.9	2018
10	ELC 1	x	Electoral Roll Extra - Nornalup ward 2002 - certif of roll		Aug-02	42.9	2018
11	Elc 2		Electoral Commission		15/10/97-11/3/09	67.4	2018
11	Elc 2		Annual Election 1996		24/1/96-17/12/96	42.9	2018
11	Elc 2		Elections 97 and 98		11/96-09/98	42.9	2018
11	Elc 2		Elections 1999		14/9/98-3/12/99	42.9	2018
24	Elc 5	1	Polls & Referenda		4/7/96-23/8/96	42.9	2018
11	Eng 1	1 part a	Bridges		12/12/00-10/12/03	70.2	2018
11	Eng 1	1 part b	Bridges		3/9/03-10/11/06	70.2	2018
11	Eng 1	2	Bridges		09/03-11/06	70.2	2018
11	Eng 1	3	Bridges		03/02-10/12	70.2	2018
12	Eng 6	2	Traffic Counts		7/9/96-17/4/03	75.2	2018
12	Eng 6	3	Traffic Counts		9/7/98-20/6/00	75.2	2018
12	Eng.15	1	Private Works		May 2009 - July 2011	12.2	2018
26	EQU 12		Computer Equipment			33.1	2018
12	Equ 3		Plant Hire - mostly general info from external companies, letter re resident's loan of fire fighting unit to shire to trial		17/10/96-18/5/00	118.1	2018
12	EQU 4	6	Depot Vehicles		end sept 2008		2018
12	EQU 4	2	Plant Vehicle Licences		nov 1995-dec 1998		2018
13	EQU 4	5	Vehicles		end 2004		2018
13	EQU 4	6	Vehicles Admin		end 2008		2018
13	EQU 4	6	Vehicles Brigade and SES		end 2008		2018
33	EQU 5	1	Quotations for office equipment		1996-2005	112.8	2018
33	Equ 7		Depot Plant Servicing		3/1/96-12/2/99	70.2	2018

To Be Recovered and Destroyed by Shire Staff

BOX ID	FILE ID	Vol	TYPE	FINANCIAL YEAR (Box)	DATE RANGE	R&D CODE	DESTRUCTION YEAR
33	Equ 8	1	Computer Software		7/12/95-25/3/97	55.1	2018
33	Equ 8	2	Computer Software		7/5/97-8/12/99	55.1	2018
13	Equ 9		Two Way Radios & CB Licences		27/11/95-21/10/97	4.2	2018
	F11011		Trust Cheque's	2010/2011	400125 - 400143		2018
	F21011		Fees & Charges Review 2010/11	2010/2011	Financial Year		2018
	F31011		EFT Authorisations	2010/2011	2010/2011		2018
	F41011		Uniform Orders	2010/2011	07/2008-07/2011		2018
26	Fin 1	1	Assets Insurance (becomes Fin 2 for later vols) - assets data		1996-2006	24.7	2018
13	Fin 11	8	Fringe Benefits Tax		1/4/04-31/3/05	111.1	2018
13	Fin 11	9	Fringe Benefits Tax		1/4/05-31/3/06	111.1	2018
13	Fin 11	7	Fringe Benefits Tax		1/4/03-31/3/04	111.1	2018
13	Fin 11	6	Fringe Benefits Tax		1/4/02-31/3/03	111.1	2018
14	Fin 11	4	Fringe Benefits Tax		1/4/99-31/3/00	111.1	2018
14	Fin 11	1	Fringe Benefits Tax		13/1/94-31/3/97	111.1	2018
14	Fin 11	10	Fringe Benefits Tax		1/4/06-31/3/07	111.1	2018
14	Fin 11	2	Fringe Benefits Tax		1/4/97-31/3/98	111.1	2018
14	Fin 11	3	Fringe Benefits Tax		1/4/98-31/3/99	111.1	2018
14	Fin 11	5	Fringe Benefits Tax		1/4/01-31/3/02	111.1	2018
14	Fin 11	11	Fringe Benefits Tax		1/4/07-31/3/09	111.1	2018
15	Fin 28	2	Grants		12/12/94-31/12/98	105.2	2018
15	Fin 28	3	Grants		29/12/98-8/2/01	105.2	2018
15	Fin 28A	1	National Heritage Trust Submission Grants		10/4/97-18/2/98	105.2	2018
15	Fin 3	2	Audit Reports		Dec 94 - Dec 99	15.2	2018
15	Fin 30	1	Lime Pit Payments		3/7/96-11/5/99	3.3	2018
15	Fin 34	1	Coat Care Grant		1/3/97-15/3/99	105.2	2018
16	Fin 7	1	Bank Correspondence		1/2/96-15/6/04	18.4	2018
16	Fin 7	2	Bank Correspondence		end may 2009	18.4	2018
16	Fin 7	3	Bank Correspondence		end June 2004	18.4	2018
16	Fin 8	5	Audlit Reports		sept 2006 - March 2014	105.2	2018
16	Fin 8	3	Audit Reports		24/1/94-14/12/99	105.2	2018
16	Fin 8	4	Audit Reports		8/8/03-14/7/06	15.2	2018
33	Fin 8		Cultural Development Fund		Jan 94 - De 99	105.2	2018
MISCB77	FIN.24		Vol 4 - Road Funding		Jan 1999 - May 1999	105.2	2018
MISCB77	FIN.24		Vol 5 - Road Funding		01/06/99 - 30/05/00	105.2	2018
MISCB77	FIN.24		Vol 3 - Road Funding		Oct 1998 - Dec 1998	105.2	2018
MISCB77	FIN.24		Vol 2 - Road Funding		April 1995 - 08/05/97	105.2	2018
MISCB77	FIN.24		Vol 3 - Road Funding		July 1997 - Sept 1998	105.2	2018
	FIN.24		Vol 1 - Creditors Correspondence		06/08/08 - 03/10/11	32.4	2018
24	Grt 21		Dual Use Mitchell Street		2000-2003	105.2	2018

BOX ID	FILE ID	Vol	TYPE	FINANCIAL YEAR (Box)	DATE RANGE	R&D CODE	DESTRUCTION YEAR
24	Grt 22		Dual Use Path Scotsdale Road		2002-2003	105.2	2018
24	Grt 24		Waste Oil Collection Grant		2001-2004	105.2	2018
24	grt 27		Community Histories Grant (Municipal Inventory) - unsuccessful			105.3	2018
24	grt 27		Beach Wheel Chair Ocean Beach Grant		2002/2003	105.2	2018
24	Grt 31		Boat Harbour Coastal Compost Toilet		2004-2007	105.2	2018
26	Grt 4		Quick Response Grant - Youth Mini Festival		2000	105.2	2018
24	GRT 42		Peaceful Bay Finger Jetty Grant - not successful		2009	105.3	2018
24	Grt 43		Poddy Shot Point Trailer Parking Upgrade - Project Deferred		Jun-08	105.2	2018
26	Grt 6		Denmark Pistol Club Ablutions co3067		2000	105.2	2018
33	GRT 76 K		Royalties for Regions - Country Local Government Fund - Denmark Footpath Network		2011	105.2	2018
33	GRT 76 NB		Royalties for Regions - Country Local Government Fund		2000-2011	105.2	2018
33	Grt 88		Youth Holiday Development Program Jan 2010 - Application to Dpt of Communities only		2009-2010	105.3	2018
33	GRT.76.FCWP	1	Royalties for Regions -Country Local Government Fund - Forward Capital Works Plan		2010-2011	105.2	2018
	MISCF13		Waste Charge Dockets		1/1-31/12/2010		2018
	MISCF14		Waste Charge Dockets		1/1-31/12/2011		2018
	MISCF4		Fire Permits		2010/11		2018
B041819	PER.11.17.MHD		Personnel Recruitment - Mechanic (Heavy Duty)		13/11/17 - 08/02/18	92.4	2018
B011617	PER.11.17.ROM		PERSONNEL RECRUITMENT Job Applications - Records Officer (Maternity Leave)	2016/2017	13/02/17 - 31/03/17	92.4	2018
24	PLN.10		Landcare		1995-2008	25.4.2.1	2018
24	PLN.12		Multiple Rural Occupancy info		1992-1996	37.3.4	2018
24	PLN.7	1	Government Officer'S Technical Advisory Group		1995-1998	25.4.2.1	2018
24	PLN.7	2	Government Officer'S Technical Advisory Group		1999-2006	25.4.2.1	2018
33	TEN 2 9900		Haulage of Waste Transfer Bins from McIntosh Rd Transfer Station		1999/2000	112.3	2018
33	TEN 7		Fuel Tender		1996-2000	112.3	2018
33	TEN 8		Supplies Tender		2000	112.3	2018
MAP1			Bush Fire Location Maps	2010/2011			2018
MISCB32			Dog registration - expiried		31/10/2007 - 2009		2018
MISCB35			Bank Recs		2007/08-2009/10		2018
B200910			GL Impact - Debtors - 450-789	2009/2010	2/7/09-1/7/2010		2018
B31011			Muni Receipts	2010/2011	13/9-30/11/2010		2018
B41011			GL Receipting	2010/2011	1/7-30/11/2010		2018
B41011			Cash Receipting	2010/2011	1/7-30/11/2010		2018
B41011			Rec Centre	2010/2011	1/7-29/10/2010		2018
B51011			Transport Receipts	2010/2011	1/7-30/11/2010		2018
B51011			Aust Post Receipts	2010/2011	1/7-30/11/2010		2018
B61011			GL Receipting	2010/2011	1/12-31/12/2010		2018
B61011			Receipts by System	2010/2011	1/7-23/12/2010		2018
B61011			Cash Receipting	2010/2011	1/11-31/12/2010		2018
B61011			Rec Centre	2010/2011	1/11-21/12/2010		2018
B61011			Transport Receipts	2010/2011	1/12/2010 - 31/12/2010		2018

Continues - Extract Only

RECORDS DESTRUCTION AUTHORITY 2019

I authorise the destruction of the attached documents on this day according to State Records Office of Western Australia General Disposal Authority for Local Government and the Local Government (Constitution) Regulations 1998 [s 11G].

Destruction carried out on ___9 MAY 2019___ by:

Senior Records Officer and Customer Service Officer

By way of shredding at the Shire of Denmark Administration Officer, under the Supervision of the CEO.

Bill Parker
Chief Executive Officer

Wendy Dembowski
Senior Records Officer

Andrew Barrington
Customer Service Officer

A Barrington

RECORDS DESTRUCTION AUTHORITY 2019

I have reviewed the attached schedule of documents on this day in accordance with State Records Office Guideline Oct 2013 **Records Retention and Disposal Instructions section 17** and recommend the destruction in accordance with General Disposal Authority for Local Government (GDA2015-001/1).

Wendy Dembowski
Senior Records Officer

Dated: 01 MARCH 2019

Lee Sounness
Manager Corporate Services

Dated: 1/3/2019

I authorise the destruction of the attached documents on this day according to State Records Office Guideline Oct 2013 **Records Retention and Disposal Instructions section 17** and General Disposal Authority for Local Government (GDA2015-001/1).

Bill Parker
Chief Executive Officer

Dated: 01.03.19

Certificate of Destruction

Date of issue:	21st March 2019
Customer Name:	Shire of Denmark
Authorising Officer of the Customer:	Wendy Dembowski
Method of Authorisation:	Email
File Reference:	Nil
Date of Authorisation:	21st March 2019
Date of Destruction:	25th March 2019
Method of Destruction:	Shredding
List of records destroyed:	51 boxes & 6 files boxes as per following list.

Comments:

Confidentiality Agreement:

The Contractor, and any person employed by him, will not disclose or discuss with any other person in any circumstance (unless otherwise required by law) any confidential information obtained by him, or them, for the purpose of performance of duties under this agreement.

Signed:

Matthew Stedman

Albany Records Management

ALBANY RECORDS MANAGEMENT

Boxes Destroyed		Files Destroyed
1	B341011	FIN24V1
2	B351011	
11	B361011	
12	B371011	
13	B381011	
14	B391011	
15	B401011	
16	B421011	
17	B431011	
24	B441011	
26	B451011	
33	B461011	
MISCB30	R010	
MISCB31	R028	
MISCB32	R029	
MISCB35		
MISCB39		
MISCB77		
B041819		
B31011		
B41011		
B61011		
B71011		
B181011		
B211011		
B231011		
B241011		
B251011		
B261011		
B271011		
B281011		
B291011		
B301011		
B311011		
B321011		
B331011		

APPENDIX 8 - Principle 6 - Compliance

Annual report extract

Records Management

"The Shire recorded 7,365 pieces of incoming correspondence (which is an increase of 628 from the previous year) and over 4,276 pieces of outgoing correspondence during 19/20. During this period, 56 boxes of records were archived and 114 boxes of records are flagged to be destroyed.

A review of the Shire of Denmark Record Keeping Plan was conducted during 18/19, to assist in record keeping compliance as per the State Records Act 2000. Following this review the Records and Information Management Policy and Process Manual was completed. The new Record Keeping Plan will be implemented in 2020/21 and will form part of ongoing compliance and evaluation indicators for Shire record keeping systems.

The Shire is slowly reducing its reliance on paper with over 80% of correspondence now recorded in electronic form only. This is expected to continue to grow into the future. The movement to an e-records system is expected to be completed in 2021/22. Staff also continue to work towards improving the accuracy of database records as part of daily activity.

A digital Cemetery Records module has been implemented to replace manual cemetery records. Staff are now undertaking the work to transfer the information from historical paper records to digital form.

As of July 2020, discussions also ensued to commence electronically recording HR/Personnel documentation onto individual electronic HR files for each employee. IT Vision electronic HR system was reviewed for use by the Shire. Delivery of this module is planned for 2021/22 in conjunction with new payroll system.

The review and update of the style guide for key documents has been rescheduled to 20/21. Work on agreements, licences and MOUs held with the Shire is a significant amount of work and of an ongoing nature. Due to resource limitations this work is currently done as required."

The above extract has been taken from the Shire of Denmark 2019/2020 Annual Report and has been published on the Shire of Denmark Website www.denmark.wa.gov.au.

The Shire of Denmark acknowledges that the Annual Report does not address all the requirements of Standard 2, Principle 6 – Compliance, in particular the training activities related to record keeping. The Shire of Denmark will ensure that in ensuing Annual Reports this will be addressed.