



ORDINARY MEETING OF COUNCIL

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Attachment 14.02.21.07A - Shire of Brookton Records Keeping Plan 2020 - 2025



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Shire of Brookton

RECORDKEEPING PLAN

In accordance with the State Records Act 2000

2020 - 2025

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Introduction

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

State Records Commission (SRC) Standard 1 – Government Recordkeeping requires that government organisations ensure that records are created, managed and maintained over time and disposed of in accordance with principles and standards issued by the SRC. SRC Standard 2 – Recordkeeping Plans comprises six (6) 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 Brookton and how it is to keep its records. The Recordkeeping Plan is to provide an accurate reflection of the recordkeeping program within the organisation, including information regarding the organisation's recordkeeping system(s), disposal arrangements, policies, practices and processes. The Recordkeeping Plan is the primary means of providing evidence of compliance with the Act and the implementation of best practice recordkeeping within the organisation.

The objectives of the Shire of Brookton Recordkeeping Plan are to ensure:

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

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

This Recordkeeping Plan applies to all:

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

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

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

This requirement should be met through the creation and retention of records of meetings of Council and Committees of Council of local government and other communications and transactions of elected members which constitute evidence affecting the accountability of the Council and the discharge of its business.

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

Local Governments are to address the management of elected members' government records in accordance with this policy, in their Recordkeeping Plans.

This Recordkeeping Plan supersedes **RKP 2007/50** 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 Recordkeeping Plan, a record is defined as meaning "any record of information however recorded" and includes:

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

(State Records Act, 2000)

1 Principle One: Proper and Adequate Records

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

The Shire of Brookton will ensure that records are created and kept which properly and adequately record the performance of the Shire of Brookton functions, record history and which are consistent with any written law to which the Shire of Brookton is subject to when performing its functions. The Shire of Brookton roles and functions are mandated by government legislation and regulations. While performing these roles and functions, the Shire of Brookton will participate in a wide range of activities and transactions. Proper and adequate records of these activities must be created and kept to ensure sufficient evidence of the Shire of Brookton performance of these functions.

The broad recordkeeping requirements of the Shire of Brookton are based on the business and regulatory environment in which it operates, as detailed below.

1.1 Historical Background

Brookton is a typical small wheatbelt town bisected by the railway line. It sits at a point where the Great Southern Highway and Brookton Highway cross. In recent times, being only 135km from Perth on a good road, it has attempted to attract Perth commuters.

John Seabrook was the town's first settler. So when the Great Southern Railway arrived in 1884 the siding was named Seabrook Siding. It was subsequently decided that Seabrook couldn't be used because there was already a Seabrook near York. It was changed to Brookton which was the name of John Seabrook's house.

Prior to the arrival of European settlers the district around Brookton was inhabited by the Noongar Aboriginal people. Of particular significance was Boyagin Rock. The first European into the area was John Seabrook in 1846. Between the 1840s and 1860s the area was regularly visited by itinerant saddlewood cutters. John Seabrook and his family were the only permanent Europeans in the area until his stepson, AW Robinson, took up adjacent land in 1864. By the 1860s and 1870s there were sheep and wheat farms in the area who were cutting sandalwood and clearing the white gums, York gums, jam and she-oak thickets and scrub and turning the land into grazing and wheat growing acreage.

A small community grew up around it. The Brookton Railway station was opened in June 1889. The town was gazetted in 1895 and named Seabrook. The town's name was changed from Seabrook to Brookton in 1899. By 1903 the tiny settlement of Brookton comprised a school, hotel, bank and a few shops. In 1906 the Brookton Road Board was formed. In 1940 the town acquired a bulk wheat silo. Today the town is a typical wheatbelt service centre. ([Brookton, WA - Aussie Towns](#))

The Shire of Brookton is a local government area in the Wheatbelt region of Western Australia, about 140 kilometres (87 mi) southeast of Perth, the state capital. The Shire covers an area of 1,602 square kilometres (619 sq mi) and its seat of government is the town of Brookton.

The local economy, worth approximately \$25 million per year to the state economy, is based on agriculture - predominantly cereal grains and sheep.

The Brookton Road District was established on 27 April 1906 after Mr Samuel Williams led a move by local landowners to break away from the Beverley Road District and met for the first time on 10

September that year. On 1 July 1961, it became the Shire of Brookton under the *Local Government Act 1960*, which reformed all remaining road districts into shires.

The localities of Aldersyde, Brookton, Jelcobine, Kweda and Nalya fall within the Shire of Brookton. The current population 756 (Census 2016)

1.2 Strategic Focus and Main Business Activity

Vision Statement

The vision of the Shire of Brookton states:

BROOKTON Vision by 2027

BROOKTON is

A well-recognised business and agricultural hub

A flourishing stop-over destination, and

A celebrated place to live.

Main Business Activity

The Shire of Brookton provides for the good governance of the community in its district, including legislative and executive functions. The services of the Shire are available to all customers, free from any form of discrimination.

The Shire is a corporate body, constituted under Section 2.5 of the *Local Government Act 1995*. Its general function is to provide for the “good governance of persons in its district”.

The Shire of Brookton has identified the “Brookton Behaviours” as being equitable, empowering, encouraging and entrepreneurial. With this the following framework of The BROOKTON 20> has been developed.

The BROOKTON 20>			
BROOKTON grows	BROOKTON grows	BROOKTON grows	BROOKTON grows
Enterprise + Industry	Population + Visitation	Performance + Knowledge	Lifestyle + Community
1. New and Secondary Industry BROOKTON enhances, attracts and diversifies its big business.	5. Older Population BROOKTON is recognised for its 'age-friendly and active-ageing' positioning which benefits all ages of the community.	9. Community Engagement BROOKTON is an empowered and resilient community.	13. Education Super Site BROOKTON attracts a new-age education business and learning opportunities.
2. Small to Medium Enterprise BROOKTON's small to medium businesses are celebrated, prosperous and diverse.	6. New Population BROOKTON's population has grown and diversified, and is well-understood, measured and targeted.	10. Strategy and Reporting BROOKTON's community has elevated its knowledge and use of strategic planning and engages in reporting and insights.	14. History, Heritage, Recreation and Culture BROOKTON's culture enables a flourishing stop-over destination and a celebrated, and active, place to live.
3. Social Innovation BROOKTON has found better ways to use its assets and its people for the benefit of the community and the planet.	7. Aboriginal Population BROOKTON's Indigenous population has grown and is supported in BROOKTON's strategic growth.	11. Value Proposition A distinct BROOKTON brand is owned and managed by full BROOKTON community.	15. Technology and Automation BROOKTON has kept involved with the digital age and proven its technology capabilities to attract business.
4. Jobs and Volunteering BROOKTON is a thriving community with strong job options and new-age volunteering models.	8. Visitation and Transient Population BROOKTON has attracted a new-age transient workforce, transient visitors, mid-term population groups and short-term visitors.	12. Measurement, Learning and Knowledge BROOKTON community and Council has changed its behaviour to make decisions aligned to strategy, and with the use of insights.	16. Community Activity and Visitor Eventing BROOKTON's events and gatherings have increased prosperity, short term population, knowledge and social impact.

1.3 Functions (including those outsourced)

The Shire of Brookton outsources the following functions:

- Legal Services (Rate Debt Recovery)
- IT Services
- Animal Welfare (Ranger Services)
- Waste Collection and Refuse Site Management

The functions and activities of the Shire of Brookton (including those contracted out to other organisations) are broadly described in Appendix 1 – Functions of the Local Government.

1.4 Major Stakeholders

The Shire of Brookton major stakeholders are:

- Residents
- Ratepayers
- Employees
- Members of the Public
- Elected Members
- Business Community and Community Groups
- State and Federal Government Departments.

1.5 Enabling Legislation

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

1.6 Legislation and Regulations and Local Laws Administered by the Shire of Brookton

Refer to Appendix 2.

1.7 Other Legislation Affecting the Shire of Brookton

Refer to Appendix 3.

1.8 Major Government Policy and/or Industry Standards

Refer to Appendix 4.

2 Principle Two: Policies and Procedures

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

2.1 Records Management and Business Information Systems

The Shire uses Synergy's Altus Records Module. Synergy Altus Records Module is operating with the keywords that the Shire of Brookton has utilised is a business classification based on keywords based on property files and specific business units' functions for a Band 4 local government.

2.1.1 Records Management System

The Shire's Records Management System is electronic and physical hard copy. The Shire of Brookton uses a tailored Business Classification System and an excel spreadsheet to manage the file numbering.

Synergy Altus Records is in place and it operates as a registration program for all Shire correspondence.

The system is paper based however an index and registered electronically is used.

The current system was implemented in October 2020.

The new system replaces a Keywords for Council system, which was put in place, without any risk assessment being applied, that system has undergone reconstruction as hard copy paper-based system whilst implementing a digital system.

2.1.1.1 Hard Copy Record

The Shire of Brookton's staff carries out the creation and management of hard copy records.

2.1.1.2 Electronic Records

All Shire of Brookton staff carry out the creation and management of electronic records, including electronic mail. These are stored on the ALTUS with the filing system mirroring the hard copy records.

2.1.2 Business Information System/s

The Shire's Key Business Information Systems are processed through the following SynergySoft modules:

- Desktop Mapping
- Financials
 - Rate Modelling
 - Rating
 - Receipting
- Names and Addresses
- Payroll/Personnel
- Property
- Dogs System
- Electoral Role

- Property File
- Reporting

2.2 Records Management Policy and Procedures

The creation and management of records is coordinated by the previous Shire Deputy Chief Executive Officer in conjunction with the Customer Service and Administration Records Officer in mid-2020.

The creation and management of records is coordinated by the Shire of Brookton's Administration Officer.

For the recordkeeping policy and procedures of the Shire of Brookton, please refer to Appendix 5.

[Table 2.1 lists several recordkeeping activities, and indicates whether the Local Government's policies and procedures cover the recordkeeping activities.

Table 2.1

Recordkeeping Activities covered in the Shire of Brookton's Policies and Procedures	YES	NO
<p>Correspondence capture and control – including incoming and outgoing mail registration; responsibilities assigned for classifying, indexing and registration; file titling and file numbering conventions.</p> <p>Include specific provisions for capture and control of Elected Members' correspondence.</p>	✓	
<p>Digitization – including categories of records digitized; disposal of source records; digitization specifications.</p> <p>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.</p>	N/A	
<p>Mail distribution - including frequency, tracking mechanisms and security measures.</p>	✓	
<p>File creation and closure – including assigned responsibility and procedures for both physical and automated file creation.</p>	✓	
<p>Access to corporate records – procedures for access to and security of corporate records.</p>	✓	
<p>Authorised disposal of temporary records and transfer of State archives (whether hard copy or electronic) to the State Records Office (SRO) – any assigned responsibilities.</p>	✓	
<p>Electronic records management – including the organisation's approach and methodology for the capture and management of its electronic records (e.g. print and file, identification of the official record, use of EDRMS, hybrid system etc).</p>	✓	

Recordkeeping Activities covered in the Shire of Brookton's Policies and Procedures	YES	NO
Email management – including the capture, retention and authorised disposal of email messages to ensure accountability Should indicate whether the organisation is utilising a document management system or hard copy records system (e.g. print and file, identification of the official record, use of EDRMS, hybrid system etc).	✓	
Website management – including the purpose of the site (e.g. whether informational/transactional), capture of all information published to the website within the corporate system and mechanisms for recording website amendments.	✓	
Metadata management – including requirements for capture of metadata in information systems, whether automatic or manual.	✓	
System/s management – including any delegations of authority for the control and security of systems utilised by the organisation (e.g. provision of access to systems through individual logins and passwords, protection of servers etc).	✓	
Migration strategy – strategies planned or in place for migrating electronic information and records over time (e.g. through upgrades in hardware and software applications, and any assigned responsibilities) for long-term retention and access. See SRC Standard 8: <i>Managing Digital Information</i> .	✓	

2.3 Certification of Policies and Procedures

Evidence of formal authorisation that the policies and procedures will be in place and promulgated throughout the Shire of Brookton.

2.4 Creation of Records

All Elected Members, staff and contractors will create full and accurate records, in the appropriate format, reflecting the Shire of Brookton's business decisions and transactions, to meet all legislative, business, administrative, financial, evidential and historical requirements.

Capture & Control of Records

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

Security & Protection of Records

All Human Resources records are kept in a locked cabinet, with keys and access only granted to the Manager Corporate and Community and the Organisational Development Officer. All security levels are assigned through ALTUS and are based on positions held within the organisational structure. Confidential minutes & agendas are saved in the electronic filing system, with security provisions set, so access is only granted to the Chief Executive Officer, Manager Corporate and Community and Executive Governance Officer.

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

Access to Records

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

Appraisal, Retention & Disposal of Records

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

3 Principle Three: Language Control

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

3.1 Keyword for Councils Thesaurus Implemented

The Shire of Brookton previously had adopted and implemented the use of Keyword for Councils Thesaurus for the titling of all its records. However due to an upgrade of systems and change over of staff, the Shire of Brookton is currently using a Business Classification listing.

The Business Classification listing is viewed as the most practical record keeping framework for the Shire of Brookton given its size and resource capacity as a small Band 4 Local Government – refer to Section 3.4 for additional explanation.

OR

3.2 Thesaurus (other than Keyword for Councils) Implemented

N/A

OR

3.3 File Plan

The Shire of Brookton has adopted and implemented the Business Classifications framework to guide the titling of all its records. This framework is to be adhered too and maintained for simple instruction and ease of filing under the direction of the Manager Corporate and Community.

3.4 Assessment of its Effectiveness

The Thesaurus is in place for the business requirements of the Shire of Brookton, functional files operating independently are Assessment files and Personnel files.

The thesaurus, although only recently implemented is proving effective for the Shire of Brookton. It covers both administrative and functional activities of the Shire of Brookton, is available for use by all administration staff where information can be filed and retrieved without difficulty. This framework will be adjusted under the direction of the Manager Corporate and Community to reflect changes to the functions and activities of the Shire of Brookton as may occur from time to time.

3.5 Identified Areas for Improvement

Under the Shire of Brookton's charter to instill a culture of continuous improvement the need has arisen to routinely review its internal processes and procedures, as required under legislation. This includes the review of records and its functions to achieve efficiency, effectiveness and statutory compliance. Initial areas identified for improvement with prolonged application includes:

- Employee training associated with the ALTUS electronic recording keeping module and understanding of what constitutes a record, particularly in relation to email correspondence.

- Education on responsibilities for the keeping of records by Employees and Elected Members.
- Procedures and associated work instructions to maintain understanding, consistency and efficiency across the record keeping functions applied Employees and Elected Members.
- Implementation of the actions identified in Section 4 (below) of this Records Keeping Plan.

4 Principle Four: Preservation

Government organisations ensure that records are protected and preserved.

For the Records Disaster Recovery Plan for the Shire of Brookton please refer to Appendix 6.

4.1 Assessment of Risks

4.1.1 Onsite Storage

The Shire of Brookton has its current and active records located in the Shire Administration Office, these files consist of: Administration files, Human Resource Files and Assessment files. The storage facility includes:

- Metal shelving;
- Fire retardant safe;
- Secure premises within the Building Administration;
- Server room; and
- Air-conditioning for approximately ten (10) hours a day, except in the Server area, where it is kept on twenty four (24) hours a day.

The buildings are very well maintained and storage conditions assessed as low risk. The main disaster threatening records stored are medium for all areas.

An accurate register listing of the records stored in each facility is to be prepared and routinely maintained by the nominated Records Officer.

4.1.2 Offsite Storage

The Shire of Brookton has its non-current, inactive and archival records located in various onsite and two offsite storage facilities including the Shire Administration Building, and a compliant offsite Archive storage provider in Perth. The Council's Minute books are currently stored in a fire-proof safe within the Shire Administration building.

An accurate register listing all records stored off-site is to be prepared and routinely maintained by the nominated Records Officer.

4.1.3 Data Centre and Cloud Storage

The Shire of Brookton are currently under contract services with Market Creations. Data is backed up on the local server and then backed up nightly to Cloud Storage under the contract. This is backed up and able to restore as required. Market Creations also provides a separate location as an additional back up for the Shire's electronic data.

Written confirmation from Market Creations is to be provided monthly that confirms the backups and storage of electronic data is being maintained.

4.1.4 Storage of Archives

Currently the storage of Archives is of a high standard, comprising of a fire resistant safe, and general Archives held by a compliant offsite storage provider in Perth and also within the Shire Offices.

An accurate register listing of the records stored in archive is to be prepared, routinely maintained by the nominated Records Officer with a hard copy kept in a fire safe room.

4.1.5 Storage of Backups

Electronic backups of the Shire of Brookton's electronic information are done nightly onto the local server and then backed up to the offsite location under the contract of Market Creations. This is then saved onto a third server under the agreement with Market Creations.

Written confirmation from Market Creations is to be provided monthly that confirms the backups and storage of electronic data is being maintained.

4.1.6 Quantity of Records

The Shire of Brookton has custody of:

- 0 Linear metres of temporary hard copy records stored onsite;
- 15 Linear metres of temporary/ Archive hard copy records stored offsite;
- 4.5 Linear metres of hard copy State Archival Records.

4.1.7 Security and Access

The security of the record storage area is of a universally good standard across the organisation.

The Shire of Brookton has current, active and inactive archival records kept in either a lockable file cabinet, compactus or in a lockable strong room.

With security as described, the security risk to records is assessed as low. All record storage areas are locked outside business hours and only authorised access to those areas are permitted.

A 6 month review of these security measures is to be performed by the nominated Records Officer to ensure the level of risk is managed.

4.2 Assessment of the Impacts of Disasters

As stated previously, the risk of a disaster occurring to the records of the Shire of Brookton is assessed as medium. Should an event occur a risk assessment will be performed with specific reference to the Shire of Brookton Disaster Recovery Plan to implement the recovery measures stated in this Plan.

4.3 Strategies in Place for Preservation and Response

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

4.3.1 Vital Records Program

A Vital Records Program has the bones in place for the Shire of Brookton. Vital records are generally well maintained within the organisation. A Key Indicator of the health of a Local Government organisation is how the Minutes are handled. The Minutes in Brookton are well prepared and stored in a fireproof safe.

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

- Minutes
- System back ups
- Financial Reports
- Contracts and Agreements

Vital records in hard copy are stored in a locked, fire resistant safe, accessible to the Chief Executive Officer, Manager Corporate and Community and Administration Records Officer. These records have been copied and the copies are placed on the relevant files and are used for all normal business activities.

4.3.2 Backup Procedures for Electronic Records

Electronic records of the Shire of Brookton are backed up daily. The back ups are stored on an internal and external server.

Written confirmation from Market Creations is to be provided monthly that confirms the backups and storage of electronic data is being maintained.

4.3.3 Preservation of Electronic Records

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

- Backups are stored remotely under the contract agreement with Market Creations, where the provisions are then stored offsite at their additional office within Perth;
- Media used to store electronic information is periodically checked to ensure the information is accessible and readable;
- Digital storage media, including removable storage devices, is refreshed as necessary to prevent data loss; and
- Electronic records requiring long term retention are maintained in an appropriate format for long term preservation.

4.3.4 Security

The following security measures have been implemented and will be maintained by the Shire of Brookton to prevent unauthorised access to records:

- Hard copy records are stored in the hallway of the Shire Administration Office and should only be accessible to staff. The Shire Administration Office is locked each day.
- Hard copy records stored offsite are well maintained and secured.

- Electronic records have varying degrees of access depending on delegations assigned to staff within the organisation. Electronic records are backed up on a regular basis as described previously.
- Access to the server room is restricted. The server room is locked.
- Hard copy records are stored in a metal cupboards accessible to all staff (location is directly near the Chief Executive Officer's office).
- Hard copy records stored offsite are located at the Archivewise and ZircoData.
- Electronic records have varying degrees of access depending on delegations assigned to staff within the organization. Electronic records are backed up on a daily basis as described previously.
- Access to server room is restricted to authorised staff.

4.3.5 Storage Reviews

The records storage facilities utilised by the Shire are reviewed regularly (Annual) to ensure that conditions are appropriate for the organization's records.

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

The result of each review performed annually by the Manager Corporate and Community (or delegate) is to be presented the Shire of Brookton Audit and Risk Committee.

4.3.6 Recovery of Lost Information

The Shire of Brookton is well advanced in developing a set of quick response strategies to recover lost information, in all formats, should a disaster occur.

Efficient offsite support is provided by Market Creations.

The Shire of Brookton has developed a set of quick response strategies to recover lost information, in all formats, should a disaster occur. For the Shire of Brookton Disaster Recovery Plan, please refer to Appendix 6.

- Duplication of hard copy vital records
- Back up of electronic records
- Internal and offsite daily back ups
- Vital records, hard copies, are stored in a fire proof safe

4.4 Identified Areas for Improvement

Further training is to be performed by key records personnel, including the nominated Records Officer and Executive Governance Officer to enhance understanding and skill level to better understand legislative compliance and perform record keeping duties, including inhouse training and preparation/review of procedures and work instructions.

5 Principle Five: Retention and Disposal

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

5.1 General Disposal Authority for Local Government Records

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

5.2 Disposal of Source Records

[Section 16 (5) of the State Records Act 2000 provides that a Recordkeeping Plan may provide for a government record to be reproduced in another form, and for the destruction of a government record if a reproduction of it is being kept, even through the destruction occurs at a time when the record would otherwise not be able to be lawfully destroyed.

NB: This section is only required where the organization intends to destroy source records prior to the expiration of the approved minimum retention period after digitizing.]

N/A

5.3 Existing Ad Hoc Disposal Authorities

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

5.4 Existing Disposal Lists

The Shire of Brookton has not identified any State archives transferred to the SRO for permanent preservation.

5.5 Restricted Access Archives

The Shire of Brookton does not have any State archives to be transferred to the SRO.

5.6 Transfer of Archives

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

5.7 Non-Transfer of Archives

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

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

5.8 Disposal Program Implemented

The Shire of Brookton has implemented the General Disposal Authority for Local Government Records. It will conduct a regular disposal program on an annual basis in accordance with this authority.

5.9 Authorisation for Disposal of Records

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

5.10 Identified Areas for Improvement

The Shire conduct a Risk Assessment for the Digital Patient Records system to deal with the non-compliance issues on an annual basis. This will include:

- Development of an Appraisal program developed in collaboration with the State Records Office.
- The preparation of new processes and procedures to implement and train new staff.

6 Principle Six: Compliance

Government organisations ensure their employees comply with the recordkeeping plan.

6.1 Staff Training, Information Sessions

The Shire of Brookton 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 Brookton's recordkeeping program are conducted. These are delivered to all staff on a regular basis.	✓	
In-house recordkeeping training sessions for staff are conducted.	✓	
From time to time an external consultant is brought in to run a recordkeeping training session for staff. Staff are also encouraged to attend training courses outside the organisation whenever practicable.		✓
Staff information sessions are conducted on a regular basis for staff as required.	✓	
The Shire of Brookton provides brochures or newsletters to publish recordkeeping information, highlight issues, or bring particular recordkeeping matters to staff attention.	✓	
The Shire of Brookton's Intranet is used to publish recordkeeping information, highlight issues, or bring particular recordkeeping matters to staff attention.		N/A
The Shire of Brookton's Induction Program for new employees includes an introduction to the organisation's recordkeeping system and program, and information on their recordkeeping responsibilities.	✓	

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

6.2 Performance Indicators

The following performance indicators are to be applied to measure the efficiency and effectiveness of the Shire of Brookton's recordkeeping systems:

- Customer response times – ensure that all requests for service are responded to in a timely manner.
- Percentage of correspondence registered or captured into the Recordkeeping system;
- Ensure that all requested information, FOI, are processed in a timely manner; and
- Training.

6.3 Agency's Evaluation

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

- Key Performance Indicators
- Unsuccessful retrieval of information
- Missing files/missing information

On the basis of Annual reviews, the recordkeeping systems are to be annually assessed as being efficient and effective within the organisation.

6.4 Annual Report

The Shire of Brookton's Annual Report for each year is to demonstrate the organisation's compliance with the *State Records Act 2000*, its Recordkeeping Plan and the training provide for staff. Please refer to Appendix 7.

6.5 Identified Areas for Improvement

To ensure continued compliance an Employee records training program is to be developed, enacted and maintained upon adoption of this Plan. Key Performance Indicators are also to be applied together with an induction program and a statement in the Annual Report, with these measures established within 12 months of adoption.

7 SRC Standard 6: Outsourced Functions

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

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

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

7.1 Outsourced Functions Identified

The Shire of Brookton outsources the following functions:

- Legal Services (Rate Debt Recovery)
- IT Services
- Animal Welfare (Ranger Services)
- Waste Collection and Refuse Site Management

If functions are changed the Shire of Brookton will ensure that clauses covering recordkeeping issues will be include in all contracts.

7.2 Recordkeeping Issues Included in Contracts

7.2.1 Planning

The Shire of Brookton 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.

In each case the following will apply:

- All documentation, including advertisements, are placed in the Tender Register or Agreements file
- Copy of all documentation is placed in the Recordkeeping system
- Responsible Officer is to monitor the contract
- Report on outcome presented to Council placed in the Recordkeeping system.

7.2.2 Ownership

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

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 Brookton 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 between the Shire of Brookton and the contractor(s)/agent(s).

7.2.6 Custody

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

7.2.7 Contract Completion

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

7.2.8 Identified Areas for Improvement

The Shire has at the moment only one area where this is identified, some contracts are outsourced, but most work within the Shire Administration Office and records go directly onto the Shire Records system. Provisions will be made to review all contractual arrangements in place for the Shire and external contractors to review their agreements and the requirements needed with regards to keeping of records.

Appendices

APPENDIX 1			
Functions of the Local Government			
Function	Brief Description of LG Function	Performed by the LG Tick if Yes	Performed by an External Agency Tick if Yes
Commercial Activities	The function of competing commercially or providing services to other local governments or agencies on a fee for service basis. Includes undertaking activities on a consultancy or contract basis.	✓	
Community Relations	The function of establishing rapport with the community and raising and advancing the Council's public image and its relationships with outside bodies, including the media and the public.	✓	
Community Services	The function of providing, operating or contracting services to assist local residents and the community.	✓	
Corporate Management	The function of applying broad systematic planning to define the corporate mission and determine methods of the LG's operation.	✓	
Council Properties	The function of acquiring, constructing, designing, developing, disposing and maintaining facilities and premises owned, leased or otherwise occupied by the LG.	✓	
Customer Service	The function of planning, monitoring and evaluating services provided to customers by the Council.	✓	
Development & Building Controls	The function of regulating and approving building and development applications for specific properties, buildings, fences, signs, antennae, etc covered by the Building Code of Australia and the Environment Protection Authority (EPA).	✓	
Economic Development	The function of improving the local economy through encouragement of industry, employment, tourism, regional development and trade.	✓	
Emergency Services	The function of preventing loss and minimising threats to life, property and the natural environment, from fire and other emergency situations.	✓	
Energy Supply & Telecommunications	The function of providing infrastructure services, such as electricity, gas, telecommunications, and alternative energy sources.		✓
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.	✓	
Information Management	The function of managing the LG's information resources, including the storage, retrieval, archives, processing and communications of all information in any format.	✓	

APPENDIX 1

Functions of the Local Government

<i>Function</i>	<i>Brief Description of LG Function</i>	<i>Performed by the LG Tick if Yes</i>	<i>Performed by an External Agency Tick if Yes</i>
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 that may be wholly or partly administered by Local Government, and Local Laws of the Local Government

<i>Legislation, Regulations and Local Laws</i>	<i>Tick if YES, the LG administers</i>
Agriculture and Related Resources Protection Act 1976	✓
Animal Welfare Act 2002	✓
Building Act 2011	✓
Building Regulations 2012	✓
Bush Fires Act 1954	✓
Bush Fire Regulations	✓
Caravan Parks and Camping Grounds Act 1995	✓
Caravan Parks and Camping Grounds Regulations 1997	✓
Cat Act 2011	✓
Cemeteries Act 1986	✓
Dangerous Goods Safety Act 2004	✓
Disability Services Act 1993	✓
Dog Act 1976	✓
Dog Regulations 2013	✓
Emergency Management Act 2005	✓
Environmental Protection Act 1986	✓
Environmental Protection (Noise) Regulations 1997	✓
Fire and Emergency Services Act 1998	✓
Fire Brigades Act 1942	✓
Food Act 2008	✓
Food Regulations 2009	✓
Hairdressing Establishment Regulations 1972	✓
Health Act 1911	✓
Health Regulations	✓
Heritage of Western Australia Act 1990	✓
Land Administration Act 1997	✓
Litter Act 1979	✓
Liquor Control Act 1988	✓
Local Government Act 1995	✓
Local Government (Miscellaneous Provisions) Act 1960	✓
Local Government Grants Act 1978	✓
Local Government (Administration) Regulations 1996	✓
Main Roads Act 1930	✓

APPENDIX 2

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

<i>Legislation, Regulations and Local Laws</i>	<i>Tick if YES, the LG administers</i>
Parks and Reserves Act 1895	✓
Planning and Development Act 2005	✓
Radiation Safety Act 1975	✓
Radiation Safety Regulations	✓
Rates and Charges (Rebates and Deferments) Act 1992	✓
Rights in Water and Irrigation Act 1914	✓
Residential Design Codes of WA	✓
Road Traffic Act 1974	✓
Strata Titles Act 1985	✓
Telecommunications Act (Commonwealth) 1997	✓
Telecommunications (Low Impact Facilities) Determination 1997	✓
Transfer of Land Act 1893	✓
Valuation of Land Act 1978	✓
Waterways Conservation Act 1976	✓

Local Laws of the Shire of Brookton	
Cemeteries Amendment Local Law 2012	✓
By-law relating to the establishment, maintenance and equipment of Bush Fire Brigades 1993	✓
Pest Plants Local Law 2012	✓
Local Government Property Local Law 2013	✓
Extractive Industries Local Law 2011	✓
Dogs Amendment Local Law 2012	✓
Health Local Laws 2000	✓
Thoroughfares and Public Places Local Law 2012	✓

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

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

APPENDIX 4

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

<i>Other Legislation and Regulations</i>	<i>Tick if YES</i>
Australian Accounting Standards	✓
Australian Records Management Standard ISO/AS 15489	✓
General Disposal Authority for Local Government Records	✓
National Competition Policy	✓

APPENDIX 5 – Council Record Keeping Policies and Procedures

1.8 ELECTED MEMBER RECORDS

Directorate:	Executive			
Statutory Environment:	<i>State Records Act 2000</i>			
Council Adoption:	Date:	Apr 2009	Resolution #:	13.04.19.01
Last Amended:	Date:	Aug 2017	Resolution #:	
Review Date:	June 2021			

Objective:

The objective of this Policy is to ensure that records are created which properly and adequately record the performance of member functions arising from their participation in the decision making process of Council, and the various Committees of Council.

2.9 ACCESS TO ADMINISTRATION RECORDS

Directorate:	Governance			
Statutory Environment:	<i>State Records Act 2000</i> <i>Freedom of Information Act 1992</i>			
Council Adoption:	Date:	April 2009	Resolution #:	13.04.09.01
Last Amended:	Date:		Resolution #:	
Review Date:	June 2021			

Purpose:

To set clear guidelines for access and removal of Shire of Brookton records.

2.27 RECORDS INFORMATION MANAGEMENT

Directorate:	Corporate			
Statutory Environment:	<i>State Records Act 2000</i> <i>National Archives Australia</i>			
Council Adoption:	Date:	Aug 2017	Resolution #:	13.08.17.03
Last Amended:	Date:		Resolution #:	
Review Date:	June 2021			

Purpose:

To define accountabilities and responsibilities for the implementation and ongoing development of records and information management across the Shire. To support the Shire's commitment to the management of its records and information.



Work Instruction – Records Information Sheet

This is the Business Rules that have been set at the Shire of Brookton with regards to the Records Information and the ALTUS ECM system. This will help assist staff with records management on a daily basis with their roles and responsibilities with the Shire.

Instructions:

Staff are to observe the following rules associated with the Altus Enterprise Content Management System (ECM):

1. All staff are to use the Altus ECM system to document ALL official business. Staff are not to maintain individual or separate files or recordkeeping systems or unmanaged electronic records or to use "Post It" notes for record keeping.
2. Records are to be responded to within three (3) working days. Overdue Records are reported on weekly to staff.



Work Instruction – Creating documents in Altus ECM

This work instruction is for staff to create documents within the ALTUS ECM system and aligned to the *State Records Act 2000*.

Instructions:

- 1. How to open a record in Altus ECM**
 - Open AltusECM via the hyperlink



Work Instruction – ALTUS How to create a file

This documentation is to assist staff to utilise the current records system at the Shire, ALTUS. The work instructions are for the creation within the folder management requirements and boundaries with the framework that has been set.

Instructions:

HOW TO CREATE A FILE (ALTUSecm)

1. Click on Hierarchy (left hand side). Select the title you wish to add file to. Click on blue arrow. If there is a sub-file under (ie: Government Departments >Liaison) click on Liaison. By clicking on the blue arrow at the side of Liaison, this will produce the drop down list of all the files created under this title, so that you can check the file does not exist. If the file does not exist, click on the word Liaison.



Work Instruction – ALTUS Using Record Templates

To document detailed, step by step actions required to be completed by an individual role in order to achieve a desired outcome.

Instructions:

- 1. Open Altus ECM**
 - Open AltusECM via the hyperlink



Work Instruction – Viewing and managing documents in Altus ECM

Instructions:

- 1. How to open a record in Altus ECM**
 - Open AltusECM via the hyperlink



Records Disaster Recovery Plan

In accordance with the *State Records Act 2000*

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1.0 INTRODUCTION

State Records Act 2000 Part 3 (Subsection 1b & 2d) requires that without limitation a RKP (1) must set out the systems to ensure that security of government records and compliance with the Recordkeeping Plan.

A major threat to the preservation of records is the risk of disasters, natural or otherwise. A disaster recovery plan is essential to ensure the swift, efficient and effective resumption of the Shire's RKS (2) and the wide range of activities it supports following disasters. (1 – Recordkeeping Plan, 2 – Record Keeping System)

In the event of a disaster affecting the RKP's, the swift and complete recovery of the system would be essential in ensuring minimal impact on the Shire's operations.

This document offers a step-by-step process for minimize the impact of potential disasters, and the purpose of this plan is to:

- Outline measures and responsibilities required to mitigate the impact of potential disasters;
- Document the main risks to Shire's records;
- Ensure the Shire's most valuable records are prioritized for recovery;
- Allow staff to respond quickly and appropriately to recover records after the event of a disaster.

The focus of this plan has been on proactive strategies for reducing future risks, thus, the aim of this plan is to map out the ways in which development can lead to disaster, just as disaster can interrupt development.

2.0 STATEMENT OF IMPORTANCE

Planning and preparing for disaster requires an ongoing commitment to reducing or avoiding potential risks.

This can be achieved by staff being pro-active in their awareness of the possibility of a disaster. Informed and intelligent planning will assist them in being prepared and staff should consider the components outlined which indicate the importance of disaster management and planning as an integral part of risk management.

Establishing and maintaining a records program, after a disaster occurs, takes time, labour and money. Vital records should be restricted to those records that really are crucial for start-up of operations, after the disaster.

2.1 Potential Impact Post Disaster

The following classifies the major areas of likely impact ranked by its level LOW, MODERATE and HIGH importance and the time to recover those affected documents:

Area of Impact	Level of Impact/Time to Recovery					
	4 Hours	1 Day	2 Days	1 Week	1 Month	Never
Customer Service Levels	L	M	H	H	H	H
Staff Down Time	L	H	H	H	H	H
Uniformed Decision Making	L	L	M	H	H	H
Loss of Corporate Memory	L	L	M	M	H	H
Legal Exposure	L	L	M	M	H	H
Costing of Recreating Information	L	L	M	M	H	H
Legislative Non-Compliance	L	L	M	M	H	H

	Impacted Areas	Rank Impact
2.1.1	Customer Service	Highly impacted from day 2. Staff members will be declined to continue their normal day-to-day operations.
2.1.2	Staff Down Time	Highly impacted most immediately. Staff will be unable to access information from day one.
2.1.3	Uniformed Decision Making	Low to moderate impact in the short term. Long term, important decisions would be made without the valuable records information that has been destroyed.
2.1.4	Loss of Corporate Memory	Highly impacted in long term. This loss will have an immense impact especially with heritage and historical aspect.
2.1.5	Legal Exposure	Moderate to high impact from Day 2. The unavailability of Legal and important documents would result in significant Legal exposure to the administration of the Shire.
2.1.6	Cost of Recreating Information	Moderate to high impact from Day 2. Restoration of many years of information is a very costly experience, if ever recovered.
2.1.7	Legislative Non-Compliance	Moderate to high impact from Day 2. Same level of risk for the Shire operation requirements. Not complying with the rules and regulations will attract penalties and embarrassment to the Shire's high level of achievements and honours.

2.2 Potential Consequence List

The following table illustrates the consequence and the impact from the entire or partial loss in the RKS:

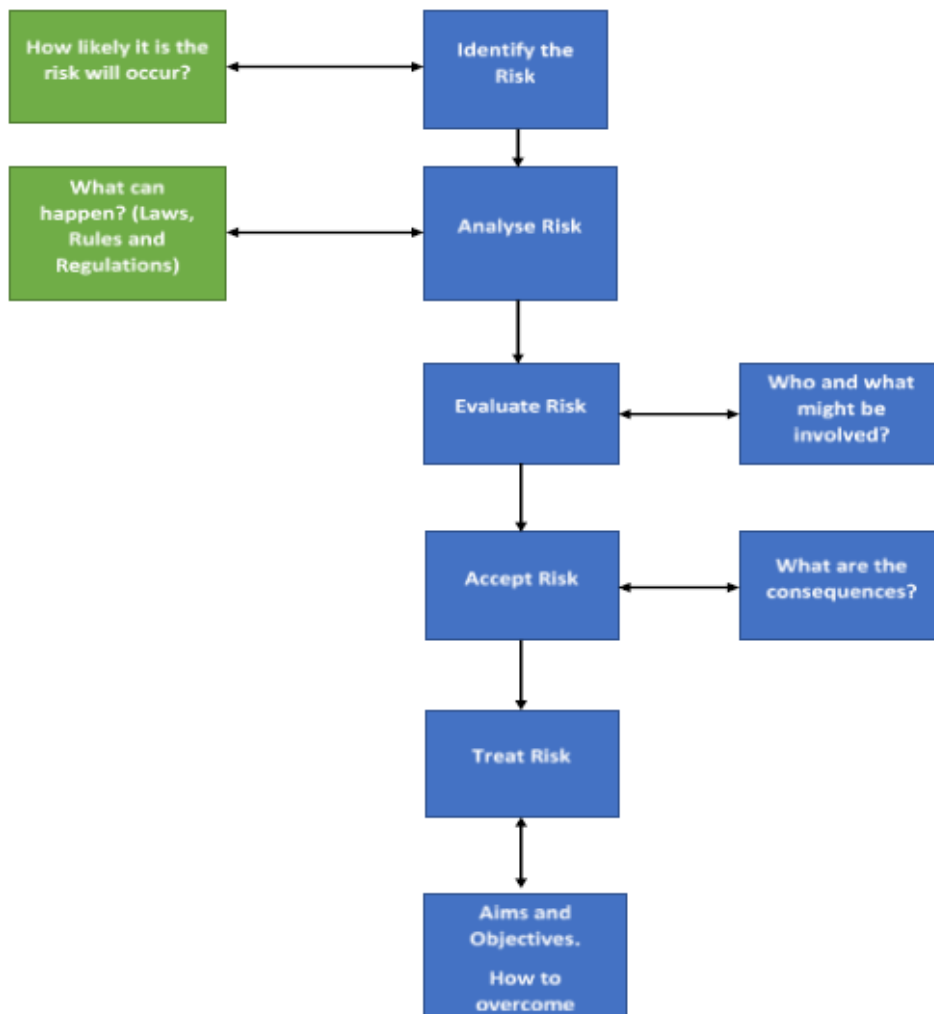
Level	Description	Financial Impact	Services	IT Services	Information Security	Property	Legal & Legislative	Reputation
1	Insignificant	Less than \$10,000	Little Impact	Single user PC being unavailable for short period	PC not locked when left unattended. Another user can access files	Minor repair required, little impact on facilities	Minor breach of statutory or contractual obligations	Unsubstantiated, low impact
2	Minor	\$10,000 to \$50,000	Inconvenient delays	Hardware failure in key service	User password shared gaining access to non-intended data	Minor repair required, minor inconvenience to users	Minor breach of statutory or contractual obligations	Substantiated, low impact
3	Moderate	\$50,000 to \$150,000	Significant delays in major deliverables	Power outage under 1 day. Fault with phone system	Network PC infected by virus	Moderate non-structural repairs required, short term inconvenience to users	Significant breach of statutory obligations	Substantiated, public embarrassment, moderate impact
4	Major	\$150,000 to \$500,000	Non achievable of major deliverables	Extended downtime of IT equipment due to power outage over 2 days	Unauthorised person gaining access to server room	Significant structural repairs required, inconvenience to users for long term	Major breach resulting in fine or common law action	Substantiated, public embarrassment, high impact
5	Catastrophic	More than \$500,000	Non achievement of key objectives	Total loss of all hardware due to fire	Firewall and network admin account access to network from outside source with malicious intent	Major structural damage likely to requires full demolition, requires planning for redevelopment for long term	Major breach with significant penalties	Substantiated public embarrassment, very high multiple impacts, high widespread

3.0 Risk Analysis

Risk identification is the first important step in developing effective counter disaster strategies for RKS, whereby critical information is needed for survival and resumption in the wake of a disaster event.

3.1 Emergency Risk Management Process

The following structure for the Risk Management Process will ensure that the framework/guidelines put in place will achieve the required initiatives:



3.2 Risk Assessment

Risk assessment is the process of analysing all the possible risks before they happen and setting up preventions and treatments that will contribute to minimize the impact on the administrative and technical functions of the Shire's operations. The following table identifies the likelihood and levels associated with any disaster to RKM.

Likelihood		Level of Risk				
Description	Frequency	Insignificant 1	Minor 2	Moderate 3	Major 4	Catastrophic 5
A – Almost Certain	More than once per year	High	High	Extreme	Extreme	Extreme
B – Likely	At least once per year	Moderate	High	High	Extreme	Extreme
C – Possible	At least once in 3 years	Low	Moderate	High	Extreme	Extreme
D – Unlikely	At least once in 10 years	Low	Low	Moderate	High	Extreme
E – Rare	Less than once in 15 years	Low	Low	Moderate	High	High

Risk (Event)	Likelihood	Consequence	Residual Risk
Technical			
Software failure	Likely	3	Moderate
Hardware failure	Almost Certain	3	Major
Physical			
Vandalism	Likely	3	Moderate
Human Error	Likely	3	Moderate
Fire/Flood			
Records Storage	Likely	3	Moderate
Infrastructure Services	Likely	3	Moderate
Finance Services	Likely	3	Moderate
Human Resources	Likely	3	Moderate
Vermin/Pest			
Records Services	Possible	2	Minor
Infrastructure Services	Possible	2	Minor
Finance Services	Possible	2	Minor
Human Resources	Possible	2	Minor

3.3 Action Plan to Reduce/Remove Risks

Risk	Cause	Consequence	Treatment
Software failure	Accidental damage or destruction	Data unable to be located	Back up procedures in place. Back up tapes stored offsite
Hardware failure	Unknown loopholes, bugs	Data unable to be located, reduced decision-making, non-compliance	Regular maintenance, back up procedure monitoring, fire alarm, trained and qualified personnel.
Vandalism	Hard copy file damaged	Vital records unable to be restored	Regular testing, back up procedure in place, training
Human Error	Lack of procedure in place, staff fluctuations and miscommunication	Reduced decision-making process due to loss of data	Regular training and testing
Fire/Flood			
Records Storage	Fire, water or smoke damage to hard copies	Vital records unable to be restored. Public embarrassment	Alarm testing, regular monitoring, fire proof door and security placed
Building Services	Fire and water damage to hard copies	Vital records unable to be restored. Public embarrassment	Electronic control of documents, scanning, quarterly inspections and KPI's inducted
Finance Services	Fire or flood damaged to hard copies	Financial implications and non-compliance, demotion of current high standard principles	Vital records removed and stored offsite
Human Resources	Fire or flood damaged to hard copies	Vital records unable to be restored. Personal data lost	Electronic control of documents, scanning quarterly inspections and KPI's inducted
Pesticides (Vermin & Pests)			
Records, Financial and Building Services Storage	Pest damaged by rodents, silverfish to hard copies (Minutes, booklets, agendas and inventory)	Vital records unable to be restored. Public embarrassment	Biannual inspection of storage by pest control company, records register updated. Monitoring/control building inspections via KRP's on a compulsory basis

4.0 Inventory of Assets

One of the most important steps in Records and IT Management is the understanding of how, why and what physical assets the organization manages. A good inventory provides information that is useful to daily operational requirements, business assets tracking and security incident response.

4.1 Electronic Components

The recovery activities for the electronic components are detailed in the IT system restoration. Please refer to Appendix 1 & 2.

4.2 Physical Components

Ranking	Security Classification
1	Priority (Vital) records to be saved
2	Second Priority of records to be saved
3	Third priority records – copies of reference material
Confidential	Sensitive information – controlled internally
Internal	Non-sensitive records viewed by internal employees
External	Any information approved by management for public review

Item	Ranking	Format	Location	Custodian	Security Classification
Legal Documents	1	Paper	Records	Records Officer	Confidential
Council Minutes	1	Paper/Electronic	Records	CEO	Internal/Not confidential
Human Resources Records	1	Paper	HR	CEO	Confidential
Delegations of Authority	1	Paper	EGO	CEO	Confidential
Building Plans	1	Paper	Compactus	CEO	Internal/Confidential
Corporate Documents	1	Paper/Electronic	Corporate	CEO	Confidential
Financial Records	2	Paper/Electronic	Finance	MCC	Confidential
Community Services	2	Paper/Electronic	Records	Records Officer	Internal
Library	1	Paper/Electronic	Library	Sandie	Internal
Restricted Files	1	Paper	Archive	Records Officer	Confidential
FOI Files	1	Paper/Electronic	Records	Records Officer	Confidential

5.0 Disaster Recovery

5.1 Event Requirements Category

Disaster Recovery is a complex subject. The measures to prevent and recover from disasters have a very wide scope.

Many aspects of disaster prevention will be reflected in basic management decisions. These include provision for regular backups, database journaling, provision of power conditioning equipment and normal regular vigilance.

The following 5 Major Disastrous Events have been identified that would impact the Shire's RKS. These events have been ranked by the level of severity of the disaster it occurs, with level one being the highest and five being the lowest.

Levels	Description	Specification	Recovery Time
1	In house documents	Major event such as flood, earthquake or bombing. It has been categorized as level 1 due to the fact that it would have extreme impact on all areas	Dependant on identification of damage, recovery time would be up to 1 week
2	Paper Loss	Loss of vital documents due to fire, smoke and flood. Categorised as level 2 and is variable dependant on the importance of individual records	Recovery time varies from 24 hours up to 2 weeks
3	Computer Room	Categorised as second level as has impact on servers. Equipment is protected by power supply (UPC) individually installed and controlled	Dependant on identification. Recovery time would be up to 1 week
4	Server Failure	Affected mainly by hardware failure, theft or malicious damage	Dependant on hardware, delivery and resources. Recovery time would be up to a maximum 1 week
5	Data Loss	The loss of data from the main server due to an event such as accidental or malicious destruction and can be categorized as Level 5	Dependant on the consequence and the damages caused through the disaster. Recovery time would be 24 hours to a maximum of 2 days.

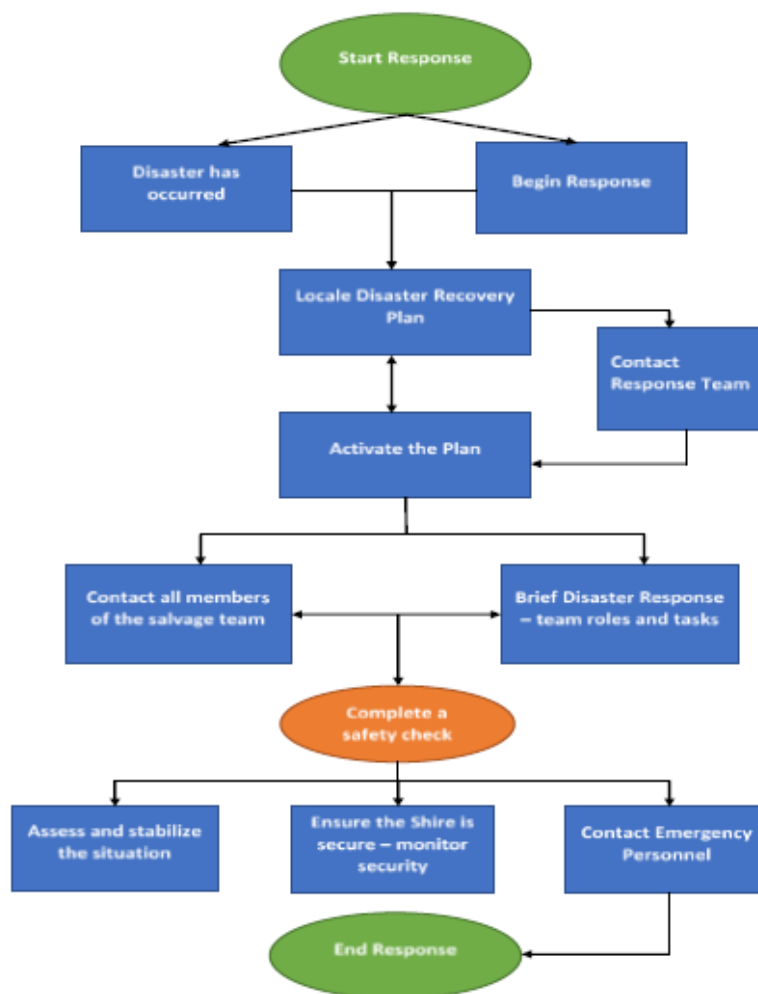
6.0 Disaster Recovery Strategy

Recovery is the most difficult responsibility under the provisions of the *Emergency Management Act 2005*. The key success is without doubt, the early establishment and driving force behind the recovery team.

Effective recovery requires the establishment of planning and management arrangements and it is most effective when conducted at the high level and supported by training programs and exercises.

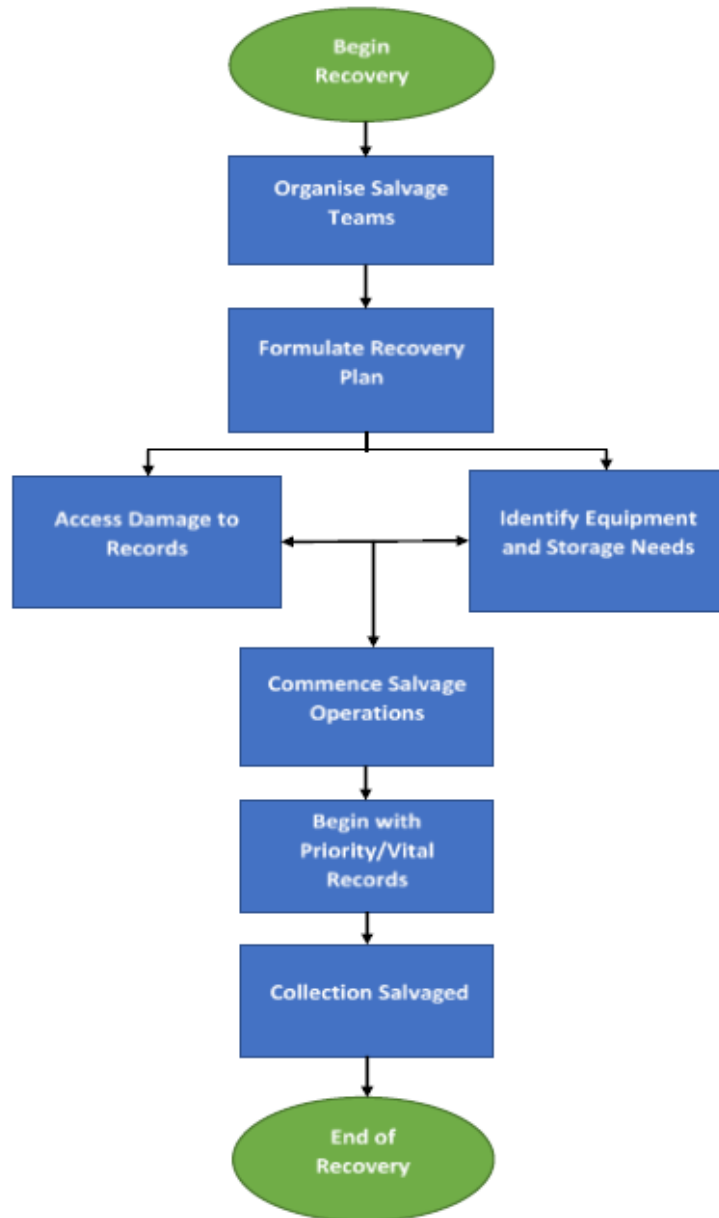
6.1 Response and Recovery Steps – Flow Chart

A pro-active, rather than re-active approach to disaster preparation is the best means of mitigating damage from disasters. The following chart provides information and guidance on response to assist and minimize impact on the Shire's daily operations.

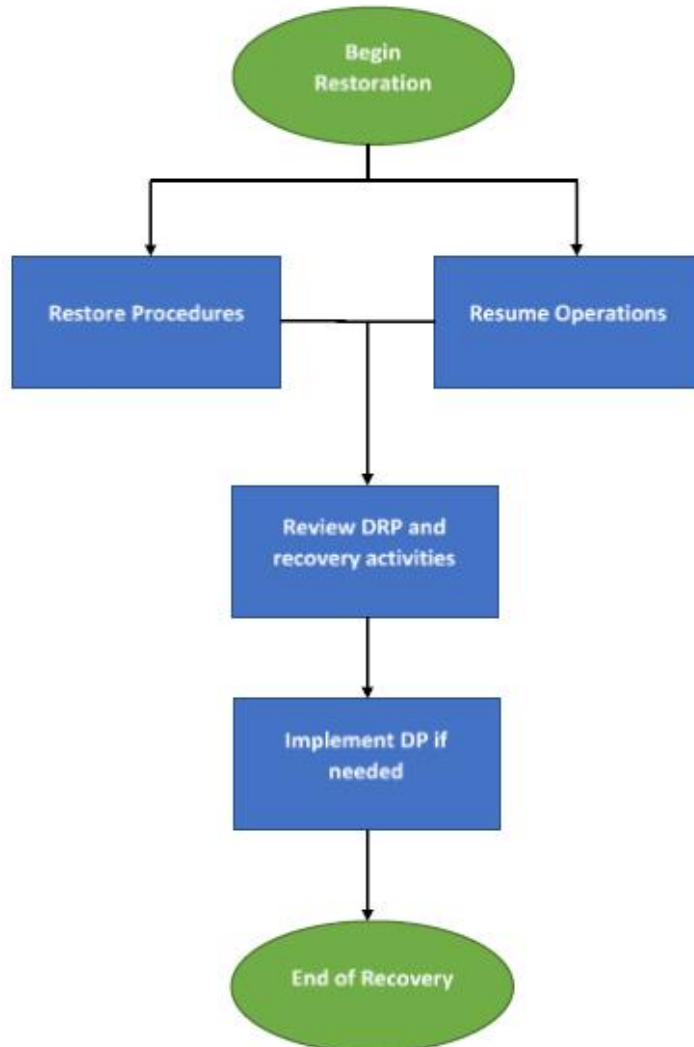


6.2 Recovery Action Plan Process

The following Disaster Recovery Process will assist effectively the operation in the emergency of a Disaster.



Restoration/Implementation Process



6.3 IT System Save

The Shire's back up data is completed daily by an internal service and then by Market Creations to an external server. Regardless of the environment, backups are useless, unless restoration has been tested. This ability should be tested periodically to ensure that media has not become corrupted and also to assist with a disaster.

The following table displays the Shire's process and it is in compliance with office procedures manual.

Key Step/Process	Servers/Process
Select data to save	Full overnight back up is done onto the internal server daily
Store backup offsite	Full offsite back done nightly by Market Creations
Annual Test of data recovery	Exercise on recovery of data on the back server conducted eacy year by Market Creations

6.4 Recovery/Salvage Procedures – Fire/Water/Mould Damage

6.4.1 Fire Damage

Physically damaged materials should be assessed on a case-by-case basis determine if professional restoration is required.

Guidelines:

- Deal with affected materials as quick as possible to limit the damage caused;
- Obtain necessary supplies of materials, equipment, services and expertise for salvage;
- Ensure all collection movements are fully documented and any containers labelled;
- Ensure records are tagged with file numbers;
- If labels are damaged or unreadable they should be placed in a plastic sleeve and photocopied or printed from computer system;
- Isolate the material prior to treatment by moving it to a dry place;
- Arrange for freezing, vacuum freeze drying;
- Pack in plastic crates or boxes (do not pack the crates too tightly – the records may swell), placing blotting paper between envelopes and documents;
- Put envelope and documents in manila folders.

6.4.2 Water Damage

For water damage materials crates should not be packed too tightly also and documents should not be pressed wet or swollen.

Guidelines:

Treat in the following order:

- Coated or glossy paper;
- Weak and very wet;
- Weak and damp;

- Remove items from boxes, envelopes and other enclosures, recording all relevant information;
- If ink is bleeding, separate the pages, and freeze them. If not, remove paperclips, ties and wet covers.

Freezing:

- Place spine down.

Maps and Plans:

- If items are hand-coloured, or if inks appears to be bleeding, separate the items with freezer paper and freeze them immediately;
- Do not pack the crates too tightly – it may swell;
- Place a board on top of a pile of up to 10 maps or plans;
- Place weight on top of pile.

Books:

- Fan books open and stand on top or bottom edge; never stand them on the edge;
- Stand books on driest edge first to provide support. As the book dries turn it upside-down to the opposite edge every few hours;
- When the books are no longer wet, but still cool to touch, close and place on a solid surface with a slight weight to keep distortion to a minimum. Check frequently to see if mould is growing;
- Do not try to close open books;
- Remove plastic covers;
- For books with tick covers, place a sheet of water-resistant file such as polyester inside the front cover to prevent moisture to the text.

Electronic Media:

CD's (Do not Freeze)

- Handle them by the edges;
- Remove each from its case or cover;
- Wash off any dirt in distilled water;
- Air-dry vertically, not flat;
- Dry with a lint-free towel. Wipe perpendicular to grooves, not in a circular motion;
- Place them in clear covers or containers.

6.4.3 Mould Damage

Physically damaged materials should be assessed on a case-by-case basis to determine if professional restoration is required. Mould should not be removed from materials while it is wet, as it will smear.

Guidelines:

- Deal with mould-affected materials as quick as possible to limit the damage caused and to prevent contamination of other materials;
- Control humidity, temperature and airflow through the area;
- Assess material and process items prioritized for fumigation and/or repair package and send material that cannot be adequately fumigated in-house to an outside fumigation company;
- Ensure all collection movements are fully documented and any containers labelled;
- Ensure all records are tagged with file numbers;
- Isolate the material prior to treatment by moving it to a dry place;
- If mouldy items are dry, store them in a sealed plastic bags while awaiting treatment (inactive mould is dry and powdery);
- Any unaffected records should be laid flat on a fresh sheet of newspaper until they can be reassessed and treated;
- For materials that are lightly affected by mould, alcohol can be applied to affected area using a cloth, paint brush or spray bottle;
- After treating materials with alcohol, place blotting paper between pages.

6.5 Recovery Salvage Procedures – Disaster Bins and Stores

Important to every disaster plan is a list of disaster recovery equipment and supplies. This list should highlight the available equipment and supplies that you have gathered and stored in preparation for a disaster and where they are located.

Wheelie Bins:

“Wheelies” are good storage units for dealing with small disasters and the immediate response to a large disaster. The bin should be clearly identified as a disaster bin and to be used for disaster response and recovery only.

Guidelines:

- A list of the contents inside the bin should be attached to the bin;
- The bin should be located in an easily accessible space that is not crowded or hindered by obstacles that could potentially slow down any public places within the office;
- Place a lock on the bin. It is important to remember that when using a lock to secure disaster supplies, make it clear where the key can be located.

Storeroom:

The Shire may decide to store disaster recovery supplies in a storeroom that is separate to the building.

Guidelines:

- A list of all supplies need to be clearly marked as Disaster Bin or Disaster;
- It can locked away in the wheelie bin or in a cupboard;
- Leave a set of keys with members of the recovery team.

7.0 After the Disaster

7.1 Cleaning up the Disaster Site

The aim is to return the site to its normal condition as soon as possible. Material and files should not be returned to the area until the risk of a repeat disaster is removed, the area has been thoroughly cleaned and dried, all repair work is completed and all shelving checked for stability and usefulness.

Guidelines:

- Wash down shelving, wall and floors;
- Circulate air to avoid mould growth using fans and dehumidifiers to dry as quickly as possible;
- Carry out regular temperature and relative humidity checks, and not return material to the area until the temperature and humidity have stabilized at acceptable levels for at least a week. Storage area is concrete based and will take longer than expected to dry out, particularly under any remaining floor covering, shelving units and in stagnant corners.

7.2 Re-shelving Treated Records

The aim is to return treated records to the rehabilitated disaster site. The material/files may take up more space than previously as there will have been swelling as a result of being wet. Extra storage space may need to be schedule.

Temperature and relative humidity should be checked regularly for at least 12 months in case the records or the room was not sufficiently dry when the room was reoccupied.

Archived material and files should be given new covers and new boxes if the legibility of information has been affected.

7.3 Reporting

Reporting is a significant component of the response to a disaster. It will ensure to keep an adequate record of emergency so that improvements can be made to prevent similar emergencies occurring in the future, thus, make the response to any subsequent ones more efficient.

A register should be maintained and the following information should be recorded:

- Location;
- Nature;
- Cause;
- Description of the event;
- Actions taken;
- Recommendations.

8.0 Counter Measures

This section details two counter measures that are required to be implemented and maintained to ensure the protection of the Shire's RKS. Some of those measures are preventative in nature and others will aid in the recovery of the system should a disaster occur.

8.1 Local Security

The Shire has fire walls in place to protect its business data and it also has system password access, as part of a wider security regime. The main server has a password protected monitor.

8.2 Physical Security

The creation of security copies of records is the best defence in the event of a disaster. Security copies are stored in a separate location to original records so that in the event of the original being destroyed or damaged in a disaster, the security copy can be retrieved and used to replace the original. (This is to be developed with the Shire Officers within 12 months of the adoption of the Recordkeeping Plan).

8.3 RKS Review – Storage Areas

Keeping records in a proper storage facility ensures fast and accurate tracking and facilities future transactions and needs. The use of storage rooms can seriously undermine a filing system or vital records program.

If storage must be created, the following guidelines for storage must be considered:

- Location;
- Size;
- Fire protection;
- Temperature/humidity conditions;
- Shelving;
- Floor load;
- Work areas/lighting; and
- Ventilation.

9.0 Responsibilities

A team has been assembled to ensure decisions are made quickly in the vent of a disaster as well as be part of the continuous development and implementation.

9.1 Disaster Recovery Responsibilities

The following table illustrates the roles and responsibilities for each area.

Position	Responsibilities/Roles
CEO	<ul style="list-style-type: none">• Responds to scene of emergency• Assesses scale of damages• Determine recovery priorities• Coordinate recovery teams• Direct staff resources• Set deadlines• Ensure the area is safe• Supervisor tasks• Act as liaison between areas
Administration Officer	<ul style="list-style-type: none">• Assist with development, training and implementation;• Provide support to officers;• Record process, procedure and damage;• Complies an after action report on accident;• Carry out duties as directed;• Assist with recovery.

Finance Officer	<ul style="list-style-type: none"> • Responds to scene of emergency directed by Disaster team; • Assists with recovery; • Carry out duties as directed.
Works Supervisor	<ul style="list-style-type: none"> • Responds to scene of emergency directed by Disaster team; • Assists with recovery

10.0 Resources

The following resources might be utilized in case of a disaster and it is dependent on severity of the disaster.

Item	Source	Location	Availability
Contents Wheelie bin and equipment list	Records Officers	Records Room	Equipment available
Offsite Storage Requirements	Technical Officer (IT Company)	Outsourced Company	Within maximum 2 days
Temporary Storage Facility (in the event of a major disaster)			Within maximum 2 days

11.0 Training Program (Training Manual)

11.1 Recordkeeping Training Program

Team members of the DRP will be trained in the operation of the RKS and associated procedures. Training will be conducted bi-annually and whenever new members join the team.

12.0 Testing Program

Disaster recovery team members will be involved in the testing of DRP and associated procedures. Complete and thorough testing will be conducted on an annual basis. Testing will be refined if any inadequacies or inefficiencies are discovered during testing.

13.0 Appendices

Appendix 1 – Emergency Contacts

Appendix 2 – Records Disaster Recovery Requirement List

Appendix 3 – Emergencies Register

Appendix 4 – Vital Records Register

Appendix 5 – Damage Records Document List

Appendix 6 – Materials and Equipment List

Appendix 7 – Disaster Review Form

Appendix 1 – Emergency Contacts

Emergency Contact	Telephone Number
Gas (Brookton IGA) – no natural gas	9642 1001
Ambulance/Fire/Police	000
Carpet cleaning	9642 1267
DPAW	9219 9000
Containers (Crate) United Crate Ltd	9455 1540
Cold Storage Facility	9418 0100
DFES	132500
Emergency Supplies	9376 8822
Fumigation/Pest Control	9887 0490
Food, Storm & Earthquake Emergencies	1300 130 039
Freeze Drying – Large quantity	9418 0100
Freeze Drying – Small quantity	9444 4489
Horizon Power?	132 351
LGIS	9483 8888
Police Attendance	131 444
Poison Information Line	131 126
State Records Office	9427 3360
Steamatic – Recovery & Restoration	03 9587 6572
Water Corporation	131 375
Note: any services engaged during an incident will need to be in accordance with the Shire's Purchasing Policy.	

Appendix 3 – Emergencies Register

Date/Time and Duration	Location	Nature/Cause	Effect on Staff, Records, Buildings, Other	Actions Taken	Recommendations for future prevention and changes

Appendix 4 – Vital Records Register – RKM

Document	Format	Location	Custodian	Status

Appendix 6 – Materials and Equipment List

Materials	Use	Supplier	Phone

Appendix 7 – Disaster Review Form

Type of Disaster	Cause	Damage	Duration

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APPENDIX 7 – Annual Report

Excerpt from 2018/2019 Annual Report

“State Records Act 2000

The Shire received an extension from the State Records Office (SRO) to review its recordkeeping plan until February 2020. In the 2018/2019 financial year, the Shire commenced the process of investing in an EDRMS platform to capture electronic records and information that is compatible with the existing Synergy software used for the Shire’s financial management. As a result of this major change to the capture and storage of information and records, the recordkeeping plan requires total review that is scheduled to be completed by February 2020, in line with the extension granted by the SRO Board. Presently, it is acknowledged the Shire is not compliant with the State Records Act, 2000”