

Shire of Kellerberrin

RECORDKEEPING PLAN

2022

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Introduction

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

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

The purpose of this Recordkeeping Plan is to set out the matters about which records are to be created by the Shire of Kellerberrin 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 Kellerberrin RKP are to ensure:

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

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

This Recordkeeping Plan applies to all:

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

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

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

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

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

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

This Recordkeeping Plan supersedes the Shire of Kellerberrin's Recordkeeping Plan RKP 2017003 and applies to all records created or received by any of the above parties, regardless of:

1. Physical format;
2. Storage location; or
3. 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 organisations ensure that records are created and kept which properly and adequately record the performance of the organisation's functions and which are consistent with any written law to which the organisation is subject when performing its functions.

1.1 Historical Background

The Shire of Kellerberrin is located in the Wheatbelt region of Western Australia, 202 kms East of Perth. It includes the locations of Kellerberrin, Doodlakine and Baandee.

The history of the Shire is a story similar to most towns in the region, with grazing leases being established in the decades following exploration. In Kellerberrin's case, Ensign Robert Dale led an exploration party to the area in 1830. In the early 1860's, when Charles Hunt was commissioned by the government to sink wells in the region, he named Killaberrin Hill (although some argue that it was Killaburnin, Killabin or Killaburing, while others argue that Hunt already used the term Kellerberrin in 1864). The source of Kellerberrin's name is contentious, with two possible sources, both of Aboriginal origin¹. One theory is that it was named after an aggressive type of ant found on the hill (for which the Aboriginal word for was "Keela"), whereas another theory is that the name means 'camping place near where rainbow birds are found' from the Aboriginal words: 'kalla' meaning 'camping place', 'berrin berrin' meaning 'rainbow bird'.²

The four earliest settlers of the area were the families Massingham, Leake, Sewell and Ripper, and by 1877 all had established properties (sheep stations) in the region.

The Townsite was first surveyed in 1895, and by 1898 there was a demand for small blocks of land in the area, and the government surveyed a number of 20 acre lots. The town was gazetted in 1901, the first year of Australia's federation, making the town of Kellerberrin as old as Australia itself. The Shire followed shortly afterwards, with the Kellerberrin Road District being created in 1908 (including parts of what is now Tammin, Wyalkatchem and Trayning). The Shire of Kellerberrin as it exists now was established on 1 July 1961, following the enactment of the Local Government Act 1960.

¹Landgate, History of Country Town Names, retrieved 28 August 2012
<<http://www.landgate.wa.gov.au/corporate.nsf/web/History+of+country+town+names>>

²Western Australia Now and Then, Kellerberrin, retrieved 28 August 2012
<<http://www.wanowandthen.com/Kellerberrin.html>>

1.2 Strategic Focus and Main Business Activity

Strategic Focus

The Shire of Kellerberrin will be diverse and welcoming to all members of the community and visitors. We will be open to various cultures and industries and we will strive to provide a community that is safe. Our focus will be to develop a community that is prosperous and economically sustainable, rich and vibrant

Vision

To welcome diversity, culture and industry; promote a safe and prosperous community with a rich, vibrant and sustainable lifestyle for all to enjoy.

To be a leading local government organisation that facilitates and advocates to other agencies and levels of government, wherever possible, the issues that affect the overall development, growth and general wellbeing of our Shire.

1.3 Functions, including those outsourced

Refer Appendix 1.

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

Appendix 1 contains a comprehensive list of typical Local Government functions.

1.4 Major Stakeholders

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

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

1.5 Enabling Legislation

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

The general function of a local government under section 3.1 of the Act is to provide for the good government of persons in its district.

Using its legislative powers under section 3.5 of the Act, 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 un the Local Government Act 1995.

The local government's executive functions under section 3.18 of the Act involves administering its local laws and doing other things that are necessary or convenient to be done for, or in connection with, performing its functions under the Local Government Act 1995, including the provision of services and facilities.

1.6 Legislation and Regulations Administered by the Shire of Kellerberrin

Refer Appendix 2.

The Shire of Kellerberrin is wholly responsible for administering the following Shire of Kellerberrin Local Laws:

- Cemeteries Local Law 2016
- Activities on Thoroughfares and Trading in Thoroughfares and Public Local Law 2016
- Local Government (Council Meeting) Local Law 2016
- Fencing Local Law 2016
- Dog Local Laws 2014
- Parking and Parking Facilities Local Law 2016
- Health Local Law 2014

Appendix 2 contains a comprehensive list of typical legislation and regulations that may be wholly or partly administered by Local Government.

1.7 Other Legislation Affecting the Shire of Kellerberrin

Refer to Appendix 3.

The attached legislation and regulations in Appendix 3 also affect the functions and operation of the Shire of Kellerberrin.

1.8 Major Government Policy and/or Industry Standards

Refer to Appendix 4.

Appendix 4 contains a list of Major Government Policy and/or Industry Standards that have been imposed or adopted by the Shire of Kellerberrin.

2. Principle Two: Policies and Procedures

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

2.1 Records Management and Business Information Systems

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

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

2.1.1 Records Management System

- The Shire of Kellerberrin has been using Synergy Soft since 2007, Synergy Soft is comprised of 10 categories which are used by each department to do their daily works this includes creditor, debtor's admin/front desk, records, Executive, etc.
- Synergy soft being a fully integrated system means that all daily work that is being carried out in any department that needs to be added to records is automatically given a file and record number and added into the records system.
- The records management system is paper based; the Records Officer is responsible for scanning the records and emails to Synergy Soft for access purposes. The original paper copies are placed on the file.
- Records Registration Module for Synergy Soft was implemented in 2015.
- All previous manual records have been scanned and placed on the Records Registration Module of Synergy Soft.

2.1.2 Business Information System/s

IT Vision's Synergy software is also utilised for:

- Financial Management – Process all transactions for Creditors, Debtors and Receipting. Paper based files are kept for all payments and invoices.
- Rates & Property Data.
- Animal Control – Dog and Cat databases and registration renewals
- Asset Register and Asset Management
- Payroll and Personnel

All of the systems listed above can be cross referenced and/or linked with the ERMS.

2.1.3 Migration Strategy

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

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

- Re-appraise records as part of the conversion or migration process. This involves reassessment of the requirements to retain records and may require amendment of a disposal authority in conjunction with the State Records Office. Records which can be destroyed according to an approved disposal authority will not be migrated to a new system.
- Assign responsibility for migration. This will be a shared responsibility between the Shires Manager of Governance and Records Officer who will ensure all data is successfully carried across, and recordkeeping professionals, who will ensure records are transferred without loss of integrity. Within the Shire of Kellerberrin, the Records Officer will be primarily responsible.
- Identify and assess risks, in particular the possibility of compromising the integrity of the records whilst migrating them. The value of the record as evidence of the business it supports must be safeguarded by retaining:
 - the information contained in the record;
 - the metadata captured with the record at the time of its registration in the SynergySoft;
 - Linkages or relationships to other records and systems.
- Use appropriate software for the migration of electronic records. The software should be able to:
 - read the source file and analyse differences between it and the target format;
 - identify and report on mismatch and risks if mismatch occurs;
 - accurately convert the source files to the target specifications;
 - work on single files and large collections; and
 - provide a record of the process for inclusion in project documentation.
- Make and keep appropriate documentation of the process so that there is a record of what occurred during migration.

2.2 Records Management Policy and Procedures

Refer to Appendix 5.

The management of records is coordinated by the Shire of Kellerberrin's Administration Officer and Manager of Governance.

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

Table 2.1

Recordkeeping Activities for the management of hard copy records and covered in the Shire of Kellerberrin'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. Include specific provisions for capture and control of Elected Members' correspondence.</p>	✓	
<p>Digitization – including categories of records digitized; disposal of source records; digitization specifications. See <i>General disposal authority for source records</i>; NB: This procedure is only required where the organisation intends to dispose of source records prior to the expiration of the approved minimum retention period after digitising.</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 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>	✓	
<p>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.)</p>	✓	
<p>Website management –</p> <p>i) Including guidelines to determine which is the complete and accurate record, particularly in regard to the purpose of the site (e.g. whether informational/transactional).</p> <p>ii) Responsibility for the website and strategies implemented for the management of the website over time, including capture of periodic snapshots of the site and mechanisms for recording website amendments.</p> <p>iii) Approved uploads to website are recorded internally on our F Drive</p>	✓	
<p>Metadata management – including authority for the capture and control of metadata.</p>	✓	

Recordkeeping Activities for the management of hard copy records and covered in the Shire of Kellerberrin’s Policies and Procedures	YES	NO
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 information and records over time (e.g. through upgrades in hardware and software applications, and any assigned responsibilities) for long-term retention and access. <i>See SRC Standard 8: Managing Digital Information.</i>		✓

2.3 Certification of Policies and Procedures

Refer to Appendix 5

Evidence of formal authorisation that the draft policies and procedures are in place and promulgated throughout the Shire of Kellerberrin is provided by the CEO signature on the signed documentation.

Council Policy – Record Management Policy was adopted by Council at the Ordinary Council Meeting on 21st June 2022

MIN 083/22 MOTION - Moved Cr. Steber 2nd Cr. Gardiner

That Council

1. ***Adopts the 2022 Policy Manual as presented.***
2. ***Instruct the Chief Executive Officer to ensure all staff are aware of the Policy Manual updates and provide copies if requested.***

CARRIED 7/0

2.4 Evaluation of Policies and Procedures

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

3. Principle Three: Language Control

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

3.1 List of Authorised Headings

Refer to Appendix 6.

The Shire of Kellerberrin has developed and implemented its own List of Authorised Headings to control the titling of records. The List of Authorised Headings covers both administrative and functional records.

3.2 Assessment of its Effectiveness

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

3.3 Identified Areas for Improvement

It has been identified that some filenames use 'general' terms and does not allow easy assignment of retention and disposal periods. Revision of the List of Authorised Headings is ongoing and any new files created will be further defined and more adaptable with the as per the General Disposal Authority for Local Government Records (GDALG).

4. Principle Four: Preservation

Refer to Appendix 7 – Disaster Recovery Plan Records/IT Management.

4.1 Assessment of Risks

4.1.1 On Site Storage

The Shire of Kellerberrin has its current and active records located in onsite storage at 110 Massingham Street, Kellerberrin.

The storage facility includes:

- Metal shelved compactus,
- Fire retardant safe, wooden shelving for storage of vital records,
- Secure premises including monitored alarm,
- Fire detection system, and
- Air-conditioning for 9 hours per day

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

4.1.2 Offsite Storage

The Shire of Kellerberrin has its non-current, inactive and archival records located in an offsite storage facility at Kellerberrin Town Hall Bio-Box.

The Storage Facility is located above the entrance to the Town Hall.

- The Bio Box has its own locked solid door.
- Metal Shelving
- Concrete Flooring
- Pest control measures are undertaken annually.
- Ventilation is provided through access to the hall

The main disaster threatening records stored at the offsite records storage facility comes from fire, vandalism, vermin or pests.

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

4.1.3 Data Centre and Cloud Storage

The Shire of Kellerberrin has entered into an arrangement with a third party to store electronic data/digital information and records in data centre/cloud storage facility.

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
Synergysoft	ITVision	Perth WA	Kellerberrin WA	Y
Definitiv/Altus	ITVision	Perth WA	Kellerberrin WA	Y

4.1.4 Storage of Archives

All vital/permanent records are currently stored in a fire retardant safe in the Administration Building and offsite at the offsite storage facility at Kellerberrin Town Hall Bio-Box.

Officers are currently reviewing which records require archiving. Archived records will remain onsite and stored in accordance with the directions for keeping State archives awaiting transfer to the State Archives Collection.

4.1.5 Storage of Backups

Electronic daily backups of the Shire of Kellerberrin's computer records and financial transactions are held offsite overnight at a senior officer's residence on a daily basis. Previous days backups are stored in the fire retardant safe ready for weekly rotation.

4.1.6 Quantity of Records

The Shire of Kellerberrin has custody of:

- 15 meters of temporary records stored onsite;
- 30 meters of temporary records stored offsite;
- 15 meters of vital/permanent records stored onsite; and
- 4 x 300 GB (computer storage capacity) of records/information/data including all systems, i.e. records management system, line of business systems network drives email applications excluding backups.

4.1.7 Security and Access

Onsite temporary files are stored inside the Administration Building. Office Staff and Managers have keys to access the Administration Building and must deactivate the alarm system when entering the building outside of office hours. Each employee is issued with their own unique security pin, which provides a form of traceability of entry and exiting.

Vital/Permanent Records including but not limited to Rate Books, Lease & Agreements and Council Minutes are stored inside a walk-in safe inside the Administration Building which is key locked at the end of every working day and the key stored at another location within the building. Furthermore, documents have been saved on an external hard drive and stored at the Kellerberrin & Districts Recreation and Leisure Centre in a key locked waterproof/fire retardant safe as per the Vital Records Program.

Personnel and Payroll files are stored in the CEO's office in the Administration Building in a filing cabinet which is locked at all times.

Offsite files are stored in the Bio-box at Kellerberrin Memorial Hall and can only be accessed with a key that is stored within a locked cabinet in the Administration Building safe.

The overall risk assessment for security of records storage at both the Administration Building and Kellerberrin Memorial Hall is assessed as low.

4.2 Assessment of the Impacts of Disasters

The risk of a disaster occurring to the records of the Shire of Kellerberrin has been assessed as low. The impact of a disaster on the organisation's records has therefore been assessed as low.

There are sufficient preventative measures in place to ensure that business activities of the organisation are not unduly affected in the event a disaster occurring.

4.3 Strategies in Place for Prevention and Response

Please refer to Appendix 7 for Disaster Recovery Plan Records/IT Management.

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

4.3.1 Vital Records Program

Refer to Appendix 8.

A vital records program has been developed for the Shire of Kellerberrin. Vital records have been identified to include, but not limited to; lease documents, contracts, tender records, rate books and licences.

Vital records are stored in a locked, fire retardant safe, accessible to Administration Staff and Managers.

4.3.2 Back-up Procedures for Electronic Records

Electronic records of the Shire of Kellerberrin are backed up daily. User shared data and the Synergy database is backed up 3 times a day, twice to an internal hard drive and once to an external drive. Once a day, all of this data is copied to a removable 2.5" hard drive and are stored offsite each night.

The removable hard drives are rotated on a daily basis and retained for one week before being used again. Access to several backups is possible before the backup is overwritten on each drive.

Additional backups are performed annually, at the end of the financial year and retained for 12 months.

4.3.3 Preservation of Electronic Records

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

- Media used to store electronic information is checked at least once a year to ensure the information is accessible and readable;
- Digital storage media, including removable storage devices, is refreshed as necessary to prevent data loss. Computer (C: Drive) and USB's are only used for temporary purposes, all files are to be copied onto the Shire of Kellerberrin's database server (F: Drive) which is backed up daily; and
- Electronic records requiring long term retention are duplicated in printed format for long term preservation.

4.3.4 Security

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

- User access to ERMS is subject to computer network and software (Synergy) username and password, individual user settings/permissions and file securities are applied depending on delegations assigned to staff within the organisation.
- Hard copy records are stored in the Administration Office, all confidential employee files are kept in a locked filing cabinet in the Chief Executive Officer's office and vital and permanent records are stored in a locked fire retardant walk in safe.
- Back up servers are subject to username and password.

Access to the Administration Office is restricted to officers and managers who have been issued with a key and alarm access code.

4.3.5 Storage Reviews

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

4.3.6 Recovery of Lost Information

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

- duplication of hard copy vital records;
- back up of electronic records;
- offsite storage of latest backup and vital records; and
- a records disaster recovery kit (ie equipment for use in the event of a disaster; etc].

4.4 Identified Areas for Improvement

N/A

5. Principle Five: Retention and Disposal

5.1 General Disposal Authority for Local Government Records

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

5.2 Disposal of Source Records

The Shire of Kellerberrin has established procedures to scan *all incoming, hard copy, correspondence* in accordance with the requirements of the General Disposal Authority for Source Records and retains the hard copy on file.

Source records are not disposed of, prior to retention and disposal specified in GDALG.

5.3 Existing Ad Hoc Disposal Authorities

N/A

5.4 Existing Disposal Lists

N/A

5.5 Restricted Access Archives

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

5.6 Transfer of Archives

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

The Shire of Kellerberrin 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 organisations to retain State archives older than 25 years.

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

5.8 Disposal Program Implemented

Refer to Appendix 9.

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

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 reviewed by the Chief Executive Officer or Deputy Chief Executive Officer and authorised for destruction or transfer.

5.10 Identified Areas for Improvement

The disposal program and authorisation for disposal of hard copy records has shown to be adequate and the Shire of Kellerberrin has not identified any areas where improvement is needed at the current stage.

6. Principle Six: Compliance

6.1 Staff Training, Information Sessions

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

Table 6.1

Activities to ensure staff awareness and compliance	YES	NO
Presentations on various aspects of the Local Government's recordkeeping program are conducted. These are delivered to all staff on a regular basis.		✓
In-house recordkeeping training sessions 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 Kellerberrin provides brochures or newsletters to publish recordkeeping information, highlight issues, or bring particular recordkeeping matters to staff attention.		✓
The Shire of Kellerberrin Intranet is used to publish recordkeeping information, highlight issues, or bring particular recordkeeping matters to staff attention.		✓
The Shire of Kellerberrin'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 offered more frequent and more specialised training where required.

Please refer to Appendix 10 for an induction checklist and individual officer evaluation survey.

6.2 Performance Indicators in Place

Performance indicators have been included in the responsible officers position description and is assessed at the time of their annual review. Performance indicators include;

- Ensure all mail is processed in a timely manner
 - 100% of Australia Post mail to be collected by 11am daily,
 - 100% of correspondence to be scanned, recorded and distributed by 12 noon daily
- Ensure all financial records are collated, boxed and stored in offsite storage within 3 months after the final financial audit has been finalised.
- Ensure disposal program for temporary records is reviewed, and finalised by 31st January of each year.

6.3 Agency's Evaluation

On the basis of officer survey/feedback, the recordkeeping systems are assessed as being efficient and effective within the organisation.

Please refer to Appendix 10 for an induction checklist and individual officer evaluation survey.

6.4 Annual Report

Refer to Appendix 11 – CEO's Report

An excerpt from the Shire of Kellerberrin's latest Annual Report is attached, demonstrating the organisation's compliance with the *State Records Act 2000*, its Recordkeeping Plan and the training provided for staff.

6.5 Identified Areas for Improvement

The Shire of Kellerberrin has not identified any areas where improvement is needed, current induction and training will be reviewed and updated on a regular basis.

7. SRC Standard 6: Outsourced Functions

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

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

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

7.1 Outsourced Functions Identified

Refer to Appendix 1.

7.2 Recordkeeping Issues included in Contracts

Refer to Appendix 12.

7.2.1 Planning

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

7.2.2 Ownership

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

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 Kellerberrin and a contractor/agent will be disposed of in accordance with the General Disposal Authority for Local Government Records, produced by the State Records Office.

7.2.5 Access

Conditions for the provision of access to any State records produced in the course of the contract/agreement have been agreed between the Shire of Kellerberrin and the contractors.

7.2.6 Custody

Custody arrangements between the Shire of Kellerberrin and the contractor/agent for State records stored on and off site by the contractor/agent are specified in the contract/agreement.

7.2.7 Contract Completion

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

- When this Contract is terminated, the Contractor must promptly return to the Principal any of the Principal's property or documents which the Principal owns or in which the Principal has an interest.

7.3 Identified Areas for Improvement

N/A

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.	✓	

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, Regulations and Local Laws

Legislation & Regulations Administered by the 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 2011	✓
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 Regulations	✓

<i>Legislation, Regulations and Local Laws</i>	<i>Tick if YES, the LG administers</i>
Main Roads Act 1930	✓
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 Kellerberrin	
Cemeteries Local Law 2016	✓
Activities on Thoroughfares and Trading in Thoroughfares and Public Places Local Law 2016	✓
Local Government (Council Meetings) Local Law 2016	✓
Dog Local Law	✓
Parking and Parking Facilities Local Law 2016	✓
Fencing Local Law 2016	✓

Appendix 3 Other Legislation and Regulations

Other Legislation and Regulations affecting the operations of the Local Government

<i>Other Legislation and Regulations</i>	<i>Tick If Yes</i>
Building Services (Registration) Act 2011	✓
Criminal Code 1913	✓
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	✓
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	✓
Workers Compensation and Injury Management Act 1981	✓
Working with Children (Criminal Checking Act) 2004	✓

Appendix 4 Major Government & Industry Standards

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

<i>Government & Industry Standards and Codes of Practice</i>	Tick if Yes
Australian Accounting Standards	✓
Australian Records Management Standard ISO/AS 15489-2002 Parts 1 & 2	✓
General Disposal Authority for Local Government Records	✓
National Competition Policy	✓
Other Please detail any additional items below	
Council Policy 5.6 – Model Code of Conduct	✓

Appendix 5 Policies and Procedures



COUNCIL POLICY

Title: Records Management

Responsible Officer: Deputy Chief Executive Officer

Shire of
Kellerberrin
Version: Current

1. PURPOSE

The purpose of this policy is to define the principles of the Shire’s record keeping functions and the roles and responsibilities of those individuals who manage or perform record keeping processes on behalf of the Shire.

2. SCOPE

This policy is applied to the Shire of Kellerberrin and its elected members and employees.

3. DEFINITIONS

Term	Meaning
Ephemeral Records	Ephemeral records are records that have no continuing value to the Shire of Kellerberrin with no administrative, fiscal, legal, evidential or historical value. They may include duplicate copies, messages, promotional material or information material produced by other organisations.
ERMS	Electronic Records Management System (ERMS) is the Central Records Module within IT Vision’s SynergySoft
General Disposal Authority	The General Disposal Authority for Local Government Records (GDALG) is a management tool for identifying and determining the retention and disposal of records.
Record	A record or significant record may be recorded information (in any form) created or received and maintained by the Shire of Kellerberrin or person in the transaction of business and kept as evidence of such activity.
Vital Records	Are records essential to the continued functioning or reconstitution of the Shire of Kellerberrin during and after an emergency.

4. STRATEGIC CONTEXT

This policy links to core drivers:

1. Relationships that bring us tangible benefits (to the Shire and our community)
2. Our lifestyle and strong sense of community
3. We are prepared for opportunities and we are innovative to ensure our relevancy and destiny

5. POLICY STATEMENT

Creation and Capture of Records

Full and accurate records will be created and captured in the appropriate format (preferably in an electronic format), in accordance with legislation and the Shire of Kellerberrin's Record Keeping Plan, policy and procedures meeting all legislative, business, administrative, financial, evidential and historical requirements.

Where an original hard copy record exists and has been captured in Shires ERMS, it is required that the hard copy be provided to the Records Officer for filing and to meet retention requirements as per GDALG

Security

All records are to be categorised as to their level of sensitivity and adequately secured and protected from violation, unauthorised access or destruction.

Records are not to be removed for the Shire Administration Building or Kellerberrin Memorial Hall (offsite location) unless in accordance with the approved retention and disposal schedule, or in the custody of an officer performing their official business.

Storage of Records

Confidential personnel and payroll records are kept locked in CEO's office.

Vital Records including but not limited to, Rate Books, Lease & Agreements, Minutes and other significant or permanent records are kept in fire resistant walk-in safe.

Non-current (audited) financial records are stored at Kellerberrin Memorial Hall awaiting disposal in accordance with the GDALG.

Access to Records

Access to records by Employees or Contractors will be in accordance with designated and approved access and security classifications.

General public access to the City's records will be in accordance with the Local Government Act 1995, the Freedom of Information Act 1992 and other relevant legislation and policies.

Elected Members access to records will be via the Chief Executive Officer in accordance with the Local Government Act 1995.

Disposal and Retention of Records

All records maintained by the Shire of Kellerberrin are to disposed of in accordance with the State Records Office's General Disposal Authority for Local Government Records (GDALG)

6. RELATED LEGISLATION/ DOCUMENTATION

7. REVIEW DETAILS

Council Adoption	Date	June 2022	Resolution #	MIN 083/22
Previous Adoption	Date	October 2016	Resolution #	MIN168/16

RECORDS PROCEDURES

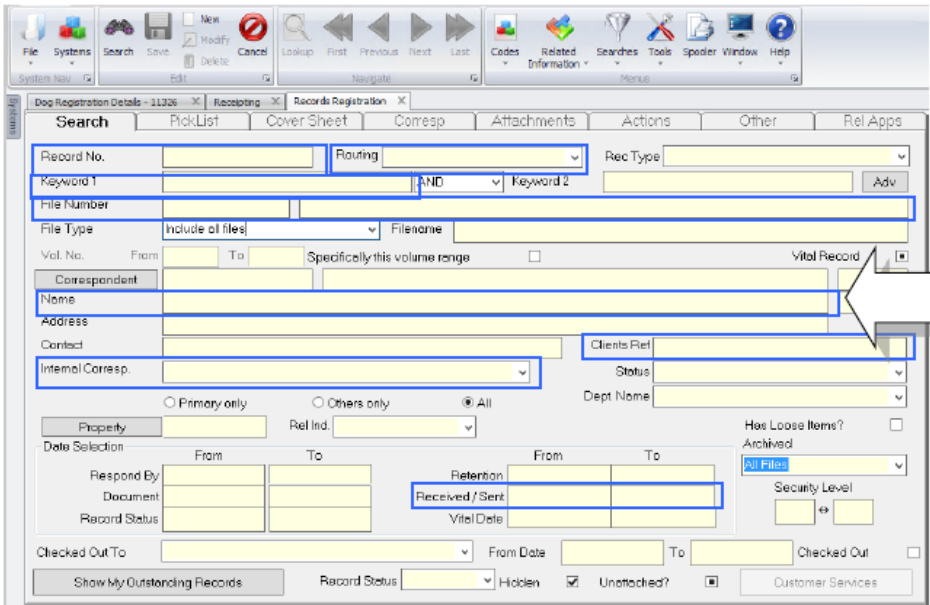
Quick Reference Cards

- Searching for a Record
- Create New Record Coversheet
- Scanning Documents and Adding Attachment/File
- Capture from Email/Word/Excel—New and Existing Coversheet
- Complete Coversheet

Procedures

- Mail Procedure
- Names and Addresses (correspondent)
- How to Set up a File (Administrators only)

SEARCHING FOR A RECORD



- Best Search fields**
1. Record No
 2. Routing
 3. Keyword
 4. File
 5. Name (Surname/ Company Name)
 6. Internal Correspondent
 7. Client Ref
 8. Sent/Received Dates

To Search for a Record you can enter information in any of the above fields. Then click SEARCH.

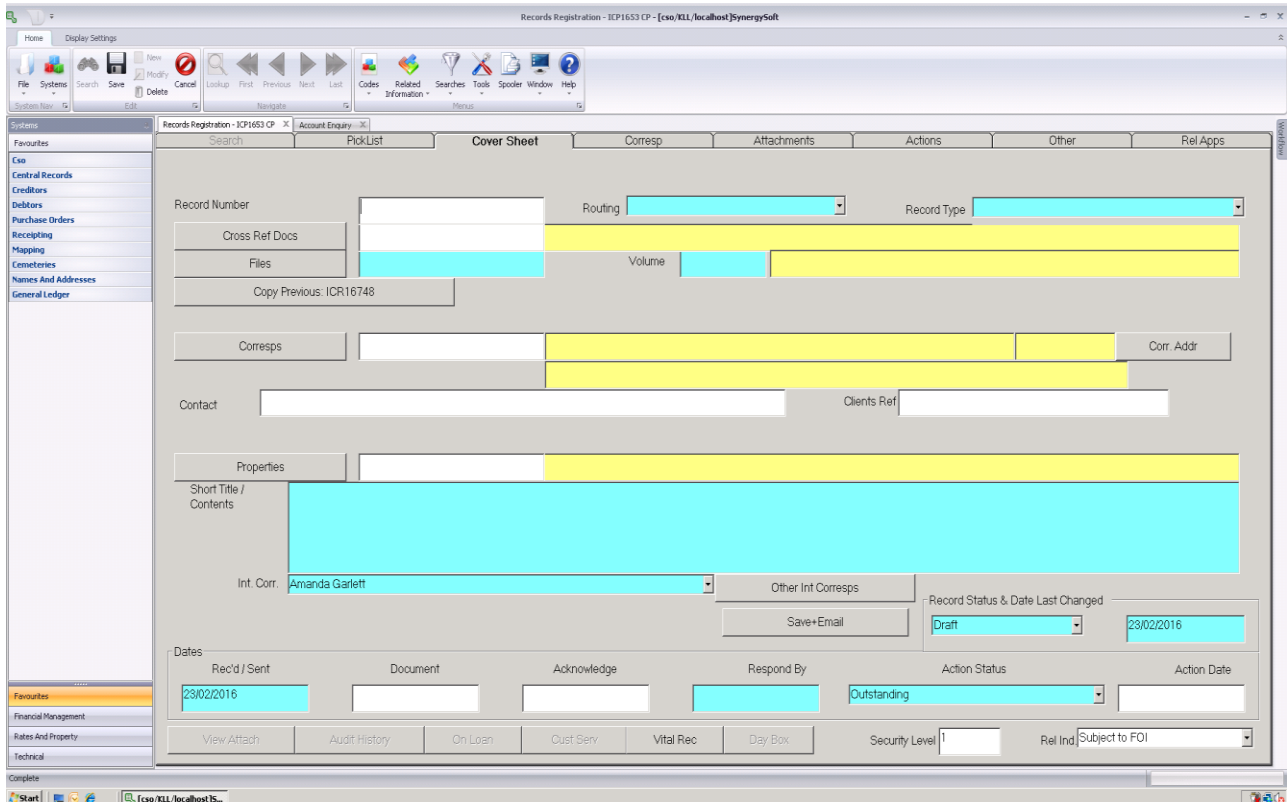
If more than one record matches the search criteria then a pick list will appear. Double click on row to open record or refine your search further by entering information in more than one field.

Action - Edit - Update

TO ACTION A RECORD

- Search and open record coversheet
- Click on Actions Tab
- Go to New Actions field (*bottom section*)
 - Add row
 - Enter Date of Action
 - Enter action details in description field
- SAVE

CREATE A NEW RECORD COVERSHEET



TO CREATE A NEW RECORD COVERSHEET

Open Records Registration in Central Records menu and click on New (*in top toolbar*)

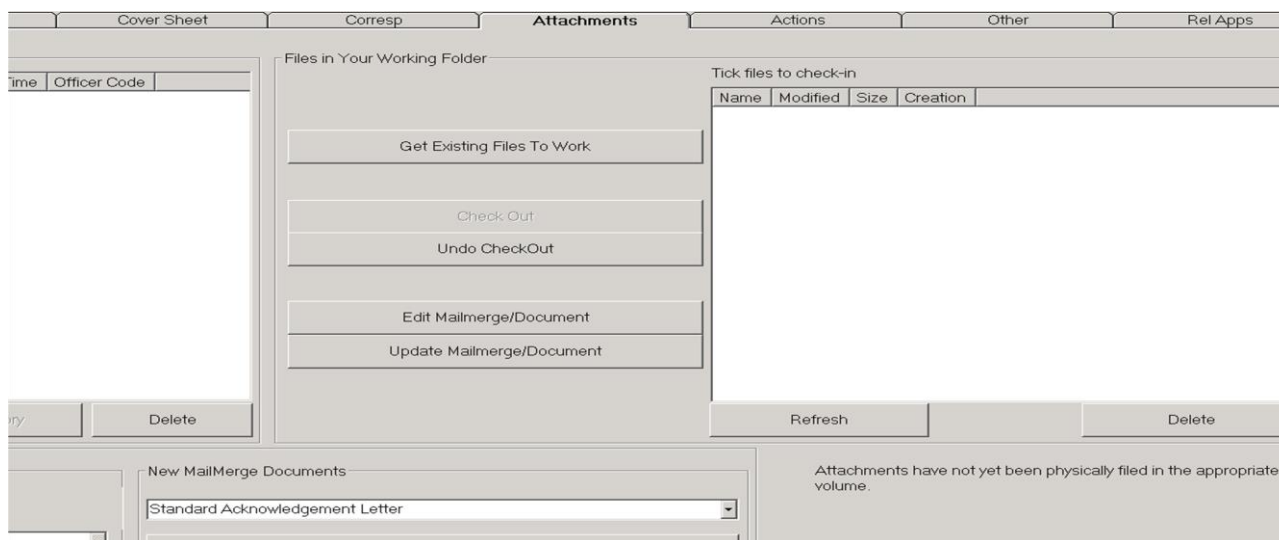
The fields that need to be entered are:

- Routing - *select from drop down box*
- Record Type - *select from drop down box*
- File - *can search file number in text field (next to volume) or click on Files button and search in Title/Contents field*
- Correspondent - *can search in text field or click on Corresps button and search in Keyword & Email Search area*
If unable to find correspondent, add in Name & Addresses detail maintenance.
- Property - *Enter assessment when a property is directly involved in the record*
- Short Title/Contents - (**What, Where & When**) - *Enter details that may be used to identify and search the record*
- Internal Correspondent - *if more than one person needs to action or be made aware of this record then click on*
Other Int Corresps button and Add Row
- Document Date (the date on the document)

SCANNING DOCUMENTS

Scanning a document to email – select folder listed under M and select MDS, this will scan the document and send to your email address.

Scanning document for records capture – select MDS on the front screen. Once the document has been scanned it will automatically appear in the list in synergy on the attachments tab on the right hand side. This document can also be accessed by going to the MDS folder on your desktop.



Renaming a scanned document – select whether you want to email or capture your scanned document then before scanning select Scan Settings, then select Document Name and enter detail and press OK

ADDING AN ATTACHMENT/FILE

- Scan the document to your working folder with appropriate filename eg. Record Number
- Search the Record number and click on Attachments tab, select the file you wish to attach and click SAVE.
- Alternatively, if you wish to add a file from F: drive you click on GET EXISTING FILES TO WORK, select the file you want to attach and press SAVE to exit records coversheet.

CAPTURE FROM EMAIL/WORD/EXCEL

TO CAPTURE AN EMAIL (New Record Coversheet)

- Open the email you are wishing to capture
- Click on Add-ins (top tab)
- Click on Central Records Form
- Fill out coversheet
 - Routing—*Incoming, Outgoing, Internal*
 - Record Type
 - File—search by keyword in coloured field
 - Correspondent (who email is from or to)
 - Short Title/Contents—**What, Where & When.**
 - Allocated to—Staff Member
 - Other Internal Correspondents
 - Action Date (if needs to be finalised by certain date)
- Save

TO ADD AN EMAIL TO AN EXISTING COVERSHEET

- Open the email you are wishing to capture
- Click on Add-ins (*top tab*)
- Click on Central Records Form
- Click on Record Number button
- Enter Record Number or text to search or Show Outstanding Records button
- Highlight record you require from list above
- Save

**CHANGING DETAIL ON THIS SCREEN
WILL CHANGE THE ORIGINAL
COVERSHEET**

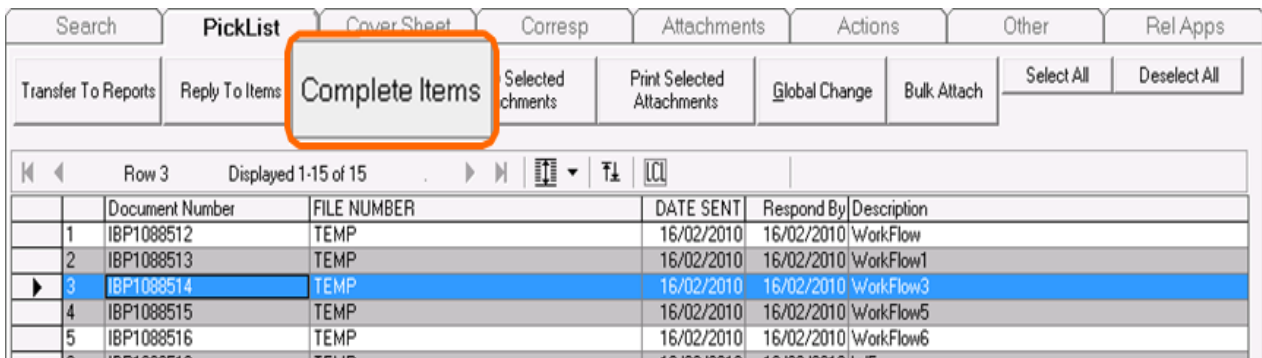
TO CAPTURE FROM WORD & EXCEL (Synergy Server Desktop)

Would normally create records coversheet and 'Get existing files to Work', alternatively if working in synergy server you can:

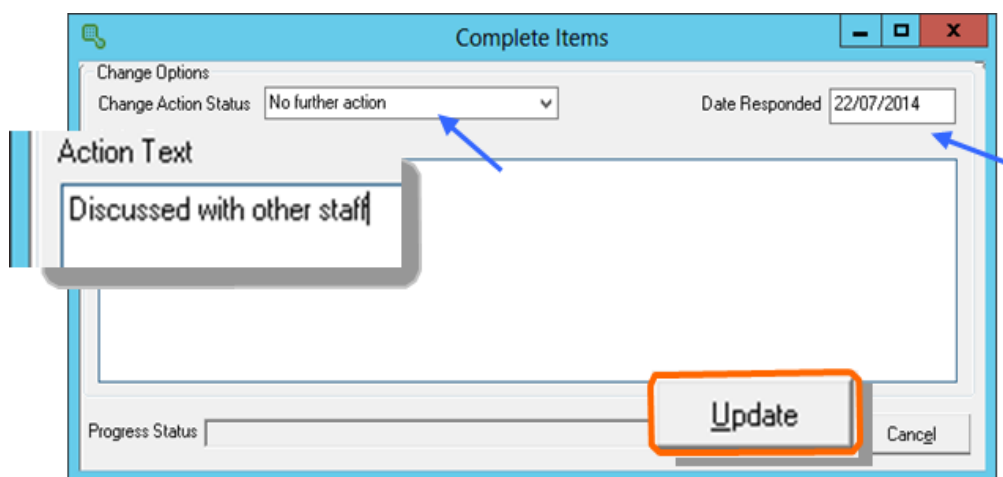
- Open the document
- Click on Add-ins (*top tab*)
- Click on Save Record OR Central Records Form
- Create the coversheet (*as per instructions above*)
- Save

COMPLETING A RECORD

- Open the Records Registration program
- Go to the Search Tab
- Search for all Coversheets assigned to you by Clicking on **Show My Outstanding Records** button on the bottom left hand of the page
- A Picklist will appear with the Outstanding records assigned to you. (each row represents a separate record)
- To complete a coversheet, highlight the row which contains the coversheet you which to complete
- Click on **Complete Items**



TO UPDATE THE ITEM



- Click on Change Action Status drop down box and change to “No Further Action”
- Date Responded will default to the date you complete the Item on
- Action Text - add a comment

MAIL PROCEDURE

Incoming

Mail is collected from the Post Office every morning.

It is to be opened, sorted and captured by 11am and then distributed no later than 12pm.

Open all mail, except if it is labelled "Private and Confidential" or addressed to the Community Resource Centre, Library or Tenders

All mail opened must be stamped with the date stamp.

MAIL TYPES	CAPTURE	DISTRIBUTION
Advertising (brochures, pamphlets, fliers)	N	Mail is given to PA for distribution among the appropriate staff members.
General (letters, invitations) - Significant	Y	Records Officer captures mail into Central Records on Synergy. (refer to Records Capture Procedure)
Invoices, Statements	N	Invoices are captured into Creditors Spread sheet on F Drive (only if a Purchase Order is recorded) then given to FO.
Cheques	N	Records Officer/Administration Officer captures Cheques details on the Incoming Cheque Register located on the F Drive. Process for payment then update register with receipt number.
Tenders	N	Private and Confidential—Hand deliver to PA. Once the Tenders has been sighted/signed the PA will enter it into the Central Records on Synergy.

Any mail that requires capturing in Synergy will require the original copy to be stamped Records stamp with the following information as per coversheet: Records number, File number and assigned officers codes before being distributed.

Outgoing

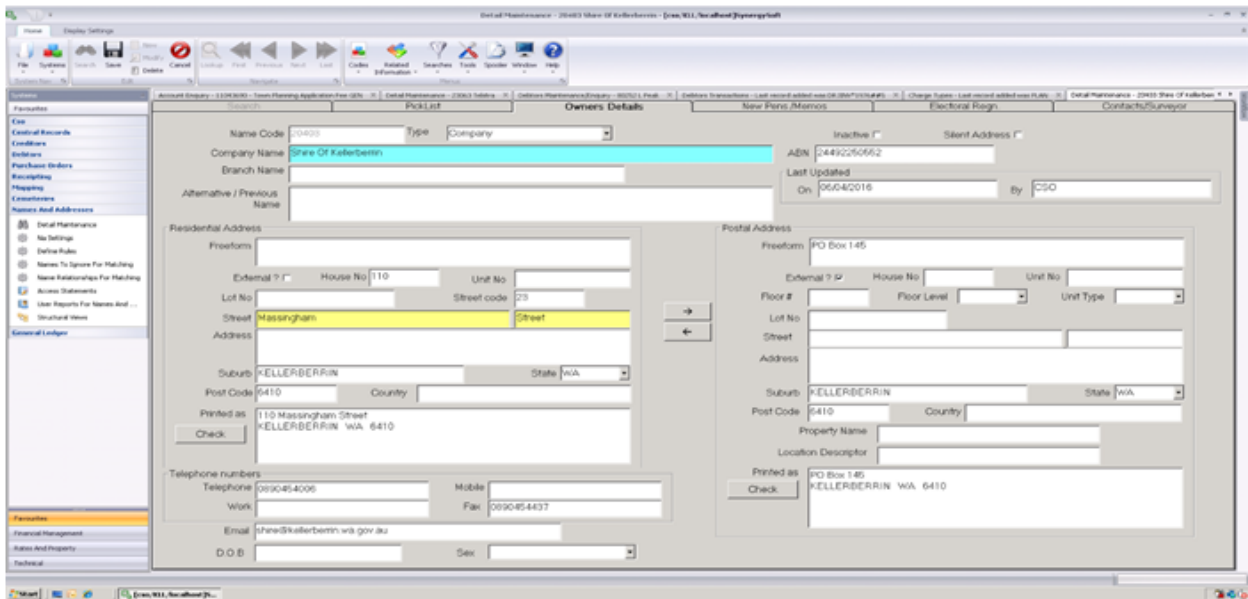
All mail that needs to be mailed must be entered into the Outgoing Mail Register.

This is located in CSO Admin on F Drive.

Double click on Mail Register, and then Outgoing Mail Register.

Enter the date and who the letter is addressed to.

NAME AND ADDRESS PROCEDURE



Select Name and Addresses from side panel/m menu

- Click on Detail Maintenance
- Click on New
- Either choose Individual or Company

FOR INDIVIDUAL

- Enter Surname, Given Names and Title

FOR COMPANY

- Enter Company name, Branch Names and ABN

RESIDENTIAL ADDRESS

- Freeform Box—only enter
 PO Box
 Farm Name
 Building Name

Tick the “External?” Box if individual or company are not situated within the Kellerberrin Shire or have a PO Box

- Enter House No./ Unit No./ Lot No.
- Enter Street in the two boxes
 Street Name –Type of Street eg. Street, road, avenue

Address Box—DO NOT ENTER ANY DETAILS INTO THIS BOX!!!

- Enter Suburb
- Enter State
- Enter Postcode
- Enter Country (only if overseas)
- Click on Printed as **Check** box

Check details are correct

If details are the same for Postal address click the arrow button in the middle of the screen.

(It will transfer all of the residential details across)

If the Postal Address is different enter the details following the above instructions for Residential Address

- Enter telephone/ fax/ mobile/ emails details
- Save

HOW TO SET UP A NEW FILE

Step 1 – Thesaurus Terms

Setup KEYWORD, ACTIVITY (number as ###.##) – only need to setup if not already created.

Setup SUBJECT (if applicable) – subject is not necessary for all files, may opt to use title free text when setting up file

Select Relationship and link KEYWORD, ACTIVITY and SUBJECT

Step 2 – Setup FILE

Select KEYWORD, ACTIVITY and SUBJECT (if applicable)

Enter Title Free Text (if not using subject)

Select Disposal Schedule

Select Default Location (*Compactus, Safe, CEO Office, Rates, Archives*)

SAVE

RECORD SETUP FOR SELECTED FILES

TENDERS

Keyword – TENDERS

Activity – YEAR TENDERS (*calendar year – ie 2015 TENDERS*)

Title Free Text – Tender number and Title

ROAD

Keyword – ENGINEERING

Activity - ROAD (Rural/Townsite)

Title Free Text – Street/Road Name

EMPLOYEES

Untick Use Thesaurus

File Number is EMP#### (*payroll number*)

Title/Contents – Employee Full Name (*SURNAME, GIVEN NAMES*)

Security - 800

DELEGATION REGISTER

Keyword – ADMINISTRATION

Activity – DELEGATION – REGISTER

Title Free Text – Year (financial year)

ANNUAL & PRIMARY RETURNS

Keyword – ADMINISTRATION

Activity – ANNUAL & PRIMARY RETURNS

Title Free Text – Year (financial year)

EVENTS

Keyword – COMMUNITY DEVELOPMENT

Activity – EVENTS

Subject – Event Names

COVERSHEETS

GRANTS

Record Number – same as Grant Register (GYR#### ie G15001)
Routing – Internal
Record Type – GRANTS
File Ref – FIN21 - *Finance.Grants*
Short Title – Grant Title, funding body, key dates

BUILDING

Record Number – same as Building Register (eg BP2015-6)
Routing – Internal
Records Type – Building Applications/Permits
File Ref – BUILD.09 – *Building Permits*
Property – applicable assessment number

MINUTES

Record Number – Minute number
Routing – Internal
Record Type – MINUTES
File Ref – as per agenda/minute

LEASES & AGREEMENTS

Record Number – as per register (LEASE#### or AGREE####)
Routing – Internal
Record Type – LEASE & AGREEMENTS
File Ref – ADM52 – *Administration.Lease & Agreements*

PROCEDURE MANUALS

Record Number – role (ie Debtors, Creditors, Bank Rec, Assets, Rates)
Routing – Internal
Record Type – POLICIES & PROCEDURES
File Ref – setup new file for either personnel or administration??

TENDERS

Record Type – Tender Documents
File Ref – TEND.15 – *Tender.year (calendar year)*
For submissions and unsuccessful letters use internal correspondent (routing) and list names in Short Title/contents section

RECORD TYPES

BUILDING APPLICATIONS/PERMITS

only use when allocating records number as per Building register

COMPLAINTS capture any complaints received either via phone, email or in writing. This record type has a shorter period for response allocated.

CORPORATE LIBRARY

Annual Reports, Budgets, Integrated Planning Reports, Risk Management, Policy Manuals, Town Planning Schemes, Local Laws

CORRESPONDENCE

general incoming or outgoing correspondence

GRANTS only use when allocating records number as per Grant Register

HEALTH

HIRE FORMS

HR & PERSONNEL

Job advertisements
Leave Applications
Position Descriptions, Reviews

LEASE & AGREEMENTS

Only use for capture of signed leases and other contracts or agreements

LEGAL MATTERS

Court Hearings (open court cases)

MINUTES only use when allocating records number as per confirmed minutes

PLANNING APPLICATIONS

Town Planning Applications

POLICY & PROCEDURES

Procedure manuals

TENDER DOCUMENTS

Appendix 6 List of Authorised Headings

FILE	KEYWORD	ACTIVITY	SUBJECT
AC.01.1	ANIMAL CONTROL	DOGS	DOG REGISTRATIONS
AC.01.2	ANIMAL CONTROL	DOGS	DOG COMPLAINTS
AC.01.3	ANIMAL CONTROL	DOGS	DOGS GENERAL
AC.02.1	ANIMAL CONTROL	CATS	CAT REGISTRATIONS
AC.02.2	ANIMAL CONTROL	CATS	CAT COMPLAINTS
AC.02.3	ANIMAL CONTROL	CATS	CAT GENERAL
ACTS01	ACTS	INFRINGEMENTS	BUSH FIRE
ACTS02	ACTS	INFRINGEMENTS	DOG
ACTS03	ACTS	INFRINGEMENTS	LITTER
ACTS04	ACTS	INFRINGEMENTS	CEMETERIES
ADM07	ADMINISTRATION	HALLS	BAANDEE HALL
ADM08	ADMINISTRATION	HALLS	CUOLAHAN PAVILION
ADM09	ADMINISTRATION	HALLS	DOODLAKINE HALL
ADM10	ADMINISTRATION	HALLS	EXHIBITION HALL
ADM11	ADMINISTRATION	HALLS	KELLERBERRIN MEMORIAL HALL
ADM12	ADMINISTRATION	HALLS	KELLERBERRIN SCOUT/GUIDE HALL
ADM13	ADMINISTRATION	COMMUNITY BUS	CORRESPONDENCE
ADM14	ADMINISTRATION	HIRE	CAMPING/CARAVAN PARK
ADM15	ADMINISTRATION	HIRE	COMMUNITY BUS APPLICATION FORMS
ADM16	ADMINISTRATION	HIRE	RECREATION CENTRE APPLICATION FORMS
ADM17	ADMINISTRATION	HIRE	KELLERBERRIN MEMORIAL HALL APPLICATION FORMS
ADM18	ADMINISTRATION	HIRE	LIQUOR LICENCE APPLICATION FORMS
ADM19	ADMINISTRATION	HIRE	STREET STALL APPLICATION FORMS
ADM28	ADMINISTRATION	CEMETERY	BURIAL ORDERS & INTERMENT OF ASHES
ADM29	ADMINISTRATION	CEMETERY	CORRESPONDENCE
ADM30	ADMINISTRATION	CEMETERY	RESERVE GRANTS

Appendix 7 Vital Records Program

VITAL RECORDS PROGRAM

Purpose

To assist with identification, management and preservation of records deemed to be essential for the recommencement of normal business as soon as possible, should a disaster occur. Records without which, an organisation could not continue normal business.

What is a Vital Record?

A Vital Record is a document, file or records in any format, containing information that is:

- essential to the operations and/or survival of Council;
- necessary to recreate Council's legal and financial position;
- necessary to preserve Council's claims and rights and those of its stakeholders.

Vital Records are records that will be needed get operations up and running again and must be protected in the event of an emergency or disaster because of severe consequences to the operation of Council if the record is lost or destroyed. They are records that, if lost or destroyed, would be both costly and time consuming to recreate - if able to be recreated at all.

Identification

Identifying the Vital Record is one of your most critical tasks. It needs to be done immediately so that you can arrange for protection **prior** to a disaster.

A Vital Records Checklist (Appendix 1) can be used to assist with identification of Vital Records.

Other considerations to determine if records are vital:

- uniqueness of the record;
- relationship of one record to another; and
- the type of information needed during and following an emergency.

INVENTORY

Vital Record	Format	Responsible Officer	Reviewed
Lease & Agreements	Hard Copy, ERMS,	CEO and EA	Annually and 1 month prior to cessation date
Contracts	Hard Copy, ERMS,	EA	
Tender Documents	Hard Copy, ERMS,	EA	
Registers (lease, tenders, etc)	Hard Copy, Computer	EA	
Elected Members Registers	Hard Copy, Computer, ERMS,	EA	
Policy Manual	Hard Copy, Computer, Emergency Box	EA	Annually (<i>October</i>)
IPR Reporting Plans	Hard Copy, Computer, Website, Emergency Box	MOG	
Annual Budget	Hard Copy, Computer, Website, Emergency Box, Duplicate	MOG	
Annual Financial Report	Hard Copy, Computer, Website, Emergency Box, Duplicate	MOG	Annually (<i>after Audit</i>)
Common Seal & Register	Hard Copy	EA	
Financial Transactions	Financial, Computer	Finance Officers	
Rate Books	Hard Copy, Financial transactions	SFO	
Employee Files	Personnel, ERMS	Payroll Officer	Maintained/Updated daily
Procedure Manuals	Hard Copy, Computer, Duplicate	All Staff	Annually
Disaster Recovery Plan	Hard Copy, Computer, Emergency Box	MOG	Annually
Local Emergency Management Plan (LEMC)	Hard Copy, Emergency Box	CEO, MOG	Annually
Corporate Style Guide	Hard copy, Computer	CEO	

Hard Copy – paper documents and stored in the fire retardant safe in Administration Building.

ERMS – record is scanned and captured in electronic record management system (ERMS) and backed up daily.

Financial – transactions are captured in Synergy and backed up daily. Printed copies are stored with the relevant officer with the exception of cheques and EFT payments which are stored in the fire retardant safe.

Computer – Word documents, Excel spread sheets that are saved on F: drive by relevant officers and backed up daily.

Duplicate – Copies of document(s) distributed to relevant staff.

Personnel - transactions are captured in Synergy and backed up daily. Personnel files are stored in locked cabinet in CEO's office.

Emergency Box – copies of documents in either hard copy or on external hard drive are store in a key lockable water and fire retardant safe offsite at the Kellerberrin and Districts Recreation Centre.

Website - copies are posted on www.kellerberrin.wa.gov.au

Protection

If a Vital Record is in a format only readable by specific equipment (ie microfilm reader, computers), procedures for accessing/obtaining the equipment must be arranged. For example, if a Vital Record is in electronic format, then the hardware or software used to create the record also needs to be protected or arrangements made to obtain compatible equipment.

The main protection method for Vital Records is through duplication/dispersal of records. This entails the physical duplication of information and the transfer/dispersal of these duplicates to on/off site storage location.

The benefits of duplication/dispersal are:

- the minimal chance that the primary copy and all distributed copies will be destroyed;
- it is cost efficient; and
- it is easy to do and usually done in the normal course of business.

Storage

Determining where your vital record should be stored is crucial and will need to be accessible within second to 24 hours after a disaster occurs. The following should be taken into consideration:

- Does the storage have ventilation?
- Does it have proper temperature and humidity controls?
- What security measures are in place to stop unauthorised access to the area?
- Is the building itself secured against fire, flood and other disasters?
- Is the equipment used for storage adequately safe from disasters and sabotage?
- Would you feel safer storing the only copy of a vital record on-site or off-site?

Appendix 8 Disposal Procedure

Disposal Procedure

All records are to be reviewed annually and assessed in accordance with accordance with the State Records Office's General Disposal Authority for Local Government Records (GDALG).

Disposal Terms / Definition

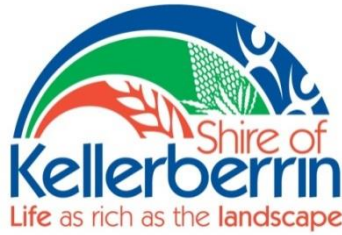
Ephemeral Records	<p>Ephemeral records are records that have no continuing value to the Shire of Kellerberrin with no administrative, fiscal, legal, evidential or historical value. They may include duplicate copies, messages, promotional material or information material produced by other organisations.</p> <p>Can be disposed as soon as reference ceases without authorisation being required.</p>
Temporary Records	<p>Temporary records are identified in the GDALG as a record having temporary value and which ultimately will be destroyed after recommended retention period.</p> <p>Are not State archived, and can be destroyed after specified retention period. <i>Can be retained longer than the period specified in the GDALG, if desired.</i></p>
Permanent Records	<p><i>Permanent Within Local Government</i></p> <p>The disposal action for a class of records identifies as NOT being State archives but which are to be retained permanently in-house by the local government authority for ongoing reference points.</p>
Significant Records	<p><i>Required as State Archives</i></p> <p>To be held by local government for the specified retention period then transferred to the State Records Office. <i>(Transfers need to be authorised by the State Records Office).</i></p>

During the annual review, records will be identified as either Ephemeral, Temporary, Permanent or Significant. Temporary records that are no longer active will be stored offsite in archive boxes for the applicable retention period. Permanent and Significant records will be stored in the fire retardant safe in the Administration building and if required will be transferred to State Archives. All records are to be recorded in the records spreadsheet to assist officers to locate, access and review records.

Temporary records can be destroyed once they no longer have any value, in accordance with retention periods specified in the GDALG. Records identified to be destroyed will need to be authorised by either the Chief Executive Officer or Deputy Chief Executive Officer. An **Authority to destroy records** will need to be completed and signed to authorise and document actions for each record.

Records/files that have been destroyed due to an incident (ie fire) prior to their assigned retention period must be reported to State Records Office. Furthermore, if records/files are damaged beyond repair authorisation to destroy records must be obtained from the State Records Office.

**Appendix 9 Samples of presentation/training manual contents
page induction manual**



RECORDS MANAGEMENT INDUCTION CHECKLIST

Employee Name: _____

Position: _____

Commencement Date: _____

RECORD KEEPING

Liaison with the Administration Officer who conducts the records keeping induction program:

- Recordkeeping Responsibilities and You and (for Elected members) Local Government Elected Members Records
 - Provided a copy of IT Vision's Central Records User Guide
 - Guided through SynergySoft Central Records System (ERMS)
 - Guided through Council's Records Management Policy
 - Guided through Council's Records Procedures
 - Guided through Council's Vital Record Program
 - Shown onsite and offsite storage locations
-

DECLARATION:

I have been provided with the above induction training from the Administration Officer and I am aware of the policies and procedures related to the Shire of Kellerberrin Records Management.

Employee Signature and Date

Administration Officer Signature and Date

Employee's Supervisors Signature and Date

EVALUATION SURVEY

Officers Name: _____ Date: _____

This survey is a tool to evaluate the awareness and effectiveness of Record Management including the Electronic Records Management System (ERMS).

Please remember that there are no right or wrong answers. You are encouraged to enter comments, suggestions and/or request training as this will help with your understanding of records and will assist with future training and development for all officers.

Please circle or highlight your responses below:

Question	Response	Comment
Are you confident in using Records?	YES / NO / Getting there / Not using it	
Have you amended text on coversheet to assist future searching and accurate capture of information?	YES / NO / Didn't know I could	
Have you been entering/updating actions on a coversheet?	YES / NO / Didn't know I could	
Have you created a coversheet from another application using outlook, word or excel?	YES / NO / Didn't know I could	
Have you had any difficulties in attaching files to coversheet?	YES / NO / Don't know how to	
Have you completed a coversheet?	YES / NO / Don't know how to	
Do you know how to identify, search or print your current outstanding records?	YES / NO	
Have you linked any coversheets to other modules in Synergy (ie Property, Creditor or Debtor)	YES / NO / Didn't know I could	
What do you do with the printed document if it is already scanned and saved in ERMS?		

Question	Response	Comment
Have you been able to find a document(s) when searching in ERMS?	YES / NO / After a bit of searching	
If you have had difficulties in finding a document, please indicate why you believe this is?	<ul style="list-style-type: none"> • I searched by file number and it was saved on a different file number • Spelling mistake in keywords • Wrong correspondent • Inaccurate or not enough text to search by keyword • Not captured in ERMS 	Other:
What records are required to be captured in Council's Electronic Management System (ERMS) Synergy? <ul style="list-style-type: none"> • Incoming Invoices (creditors) • Letters • Advertising, catalogues • Emails • Contracts and Agreements • Council Meeting Minutes • Gazettes 	YES / NO YES / NO YES / NO YES / NO YES / NO YES / NO YES / NO	
Have you read the following documents? <ul style="list-style-type: none"> • Record Management Policy • Disaster Recovery Plan – Records/IT Management • Vital Records Program • Disposal Procedure • Records Management Procedures • Internet and Email Policy 	YES / NO / Where is it? YES / NO / Where is it? YES / NO / Where is it? YES / NO / Where is it? YES / NO / Where is it? YES / NO / Where is it?	
Do you have any suggestions or requests for improving records management?		

Assessed by: _____ Date: _____

Individual Training Required: YES / NO Induction Training Needs Improving: YES / NO Staff Information Session Needed: YES / NO

Appendix 10 Annual Report

Shire of Kellerberrin- Annual Report 2020/2021

Excerpt from CEO's Report

GOVERNANCE REPORTING STANDARDS:

Local Government is governed by a number of various Acts of Legislation including the following Compliance and Statutory Reporting activities required for our Annual reporting processes and accountability;

Record Keeping Plan (RKP) – The State Records Act 2000 is an Act to provide for the keeping of State Records and for related purposes. Section 19 of the Act requires that every government organisation must have a record keeping plan (RKP) that has been approved by the State Records Commission. A government organisation including local government, record keeping plan sets out the matters about which records are to be created by the organisation and how it is to keep its records.

The record keeping plan comprises of a range of documents which, when assessed as a whole, provides an accurate reflection of the record keeping program within the organisation. More specifically, documentation regarding the organisation's record keeping system/s, disposal arrangements, policies, practices and processes will be essential components of the record keeping plan held by a local government.

The inclusion of such documentation will constitute evidence of compliance.

The Shire of Kellerberrin currently complies with the requirements of the State Records Act 2000 and its requirements for a Record Keeping Plan.

Appendix 11 Recordkeeping Issues included in Contracts

'Document' includes any note, memorandum, record, report, financial information, summary, analysis, calculation, strategic assessment, market survey, business plan, computer program, computer record, drawing, specification, material or any other means by which information may be stored or reproduced.

'Intellectual Property Right' means all intellectual and industrial property rights and interests throughout the world, whether registered or unregistered, including trade marks, designs, patents, inventions, semi conductor, circuit and other eligible layouts, copyright and analogous rights, trade secrets, know how, processes, concepts, plant breeder's rights, confidential information and all other intellectual property rights as defined in Article 2 of the Convention establishing the World Intellectual Property Organisation on 14 July 1967 as amended from time to time.

INTELLECTUAL PROPERTY RIGHTS

1. The Contractor warrants that the Works and any design, documents or methods of working provided by the Contractor, including the Design Documents, do not infringe any Intellectual Property Right.
2. The Contractor shall indemnify the Principal against any Loss resulting from any alleged or actual infringement of any Intellectual Property Right.
3. All payments and royalties payable in respect of any Intellectual Property Rights required in respect of performance of the obligations under this Contract shall be included in the Contract Price and shall be paid by the Contractor to the person, persons, or body to whom they may be due or payable.
4. Except as otherwise provided in this Contract, ownership of Intellectual Property Rights (other than third party Intellectual Property Rights) associated with the Works and any documentation provided by the Contractor pursuant to this Contract vests in and shall remain vested in the Contractor.
5. Ownership of the Principal's Intellectual Property Rights (other than third party Intellectual Property Rights) vests in and shall remain vested in the Principal.
6. The Contractor grants to the Principal an irrevocable, perpetual, worldwide, royalty free and transferrable licence to use and reproduce all Intellectual Property Rights associated with the Works and any documentation provided pursuant to this Contract.

.....When this Contract is terminated, the Contractor must promptly return to the Principal any of the Principal's property or documents which the Principal owns or in which the Principal has an interest.