



SHIRE OF
MANJIMUP

RECORDKEEPING PLAN

2021

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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 organization's Recordkeeping Plan and a review of it.

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

The purpose of this Recordkeeping Plan is to set out the matters about which records are to be created by the Shire of Manjimup (The Shire) and how it is to keep its records. The Recordkeeping Plan is to provide an accurate reflection of the recordkeeping program within the organization, including information regarding the organization's recordkeeping system(s), disposal arrangements, policies, practices and processes. The Recordkeeping Plan is the primary means of providing evidence of compliance with the Act and the implementation of best practice recordkeeping within the organization.

The objectives of the Shire of Manjimup 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 Manjimup and all its employees are legally required to comply with the contents of this Plan.

This Recordkeeping Plan applies to all:

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

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

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

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

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

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

This Recordkeeping Plan supersedes RKP 2009084/1 and applies to all records created or received by any of the above parties, regardless of:

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

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

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

1.1 Historical Background

The Shire was first included in the Plantagenet Wellington and Sussex Road Districts in 1871 and later in the Nelson Road Board District.

The Warren Road District was formed on 3 July 1908 and changed to the Manjimup Road District in June 1925. With the enactment of the Local Government Act 1960, the Manjimup Road District name was changed to Shire of Manjimup on 1 July 1961.

SHIRE STATISTICS 2019-20	
Area (sq km)	7,028
Population (est)	9,253
Number of Electors	6,391
Number of Dwellings	5,016
Length of Sealed Roads	514 km
Length of Unsealed Roads	818 km
Bridges	58
Total Rates Levied	\$9.7m
Total Revenue	\$36m
Number of Employees (FTE)	123

Situated Approximately 300km south of Perth and 130km from Bunbury, the Shire includes 4 major centres being Manjimup, Pemberton, Northcliffe and Walpole and 6 other settlements (Palgarup, Nyamup, Quinninup, Deanmill, Jardee and Windy Harbour).

Land Tenure 85% of the land within the Shire is state forest, national park or reserve with only 15% in private ownership.

Local Industries The principal local industries are aquaculture, avocados, beef, dairying, fruit, horticulture, marron, sheep, timber, tourism, truffles, vegetables, viticulture and wine.

1.2 Strategic Focus and Main Business Activity

Our Community Vision

We are a thriving region offering an excellent quality of life that is safe, liveable and welcoming.

We value and care for our natural environment, which sustains both economic and recreational pursuits.

Our industries are recognized for their resilience, quality and innovation and for their contribution to the state of Western Australia.

Our economic diversity provides business and employment opportunities for all.

Our Community Themes

Our Natural Environment – Custodians of our natural landscape and resources

Our Prosperity – Nurturing healthy industry, innovation and a diverse economy

Our Community – A connected, resilient and inclusive community

Our Infrastructure – Efficient and proactive service provision and planning

Our Local Government – Governed and represented with vision and integrity

Our Mission

The Shire of Manjimup is a professional, effective and helpful organization with a genuine commitment to facilitating good governance and achieving the community's vision.

We provide services and facilities, as well as manage legislation and develop policy, and we play a lead role in our Shire being an enjoyable and enviable place to live, work and visit.

We care about our community – its wellbeing, its prosperity and its sustainable future

Our Values

Professionalism – We provide competent and effective services and encourage innovation and excellence in our people

Courtesy – We are polite, approachable and helpful in our dealings with all people

Integrity – We are honest and trustworthy and make fair and transparent decisions

Reliability – We deliver services in an efficient and consistent way and honour our commitments

Proactivity – We actively identify solutions to community issues by being consultative and open-minded, and by showing bold leadership

1.3 Functions

The Shire of Manjimup 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 functions and activities of the Shire can be broadly described as follows:

Function	Brief Description
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 Shire's operation.
Council Properties	The function of acquiring, constructing, designing, developing, disposing and maintaining facilities and premises owned, leased or otherwise occupied by the Shire.
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, Planning and Development Act and Local Planning Scheme.
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.
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 Shire's financial resources.
Governance	The function of managing the election of Council representatives, the boundaries of the Shire, 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 Shire from the State and Federal Governments and other agencies for specific purposes.
Information Management	The function of managing the Shire'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 Shire.
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 Shire.
Parks & Reserves	The function of acquiring, managing, designing and constructing parks and reserves, either owned or controlled and managed by Council.
Personnel	The function of managing the conditions of employment and administration of personnel at the Shire 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 Shire'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 Health Act, health standards and regulations.
Rates & Valuations	The function of managing, regulating, setting and collecting income through the assessment of rateable land and other charges.

Recreation & Cultural Services	The function of the Shire 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 or loss of Shire properties and equipment and risks to personnel.
Roads & Bridges	The provision of road construction and maintenance of rural roads and associated street services to property owners within the Shire area.
Drainage	The function of designing and constructing, maintaining and managing drainage, 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 Shire to ratepayers for the removal of solid waste, destruction and waste reduction.

1.4 Major Stakeholders

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

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

1.6 Legislation and Regulations Administered by the Shire of Manjimup

Refer Appendix 1

1.7 Other Legislation Affecting the Shire of Manjimup

Refer to Appendix 2

1.8 Major Government policy and/or Industry Standards

The following government and industry standards and codes of practice have been imposed upon or adopted by the Shire of Manjimup.

- **Australian Accounting Standards**
- **Australian Records Management Standard ISO/AS 15489-2002 Parts 1 & 2**
- **General Disposal Authority for Local Government Records RD 2015001**
- **National Competition Policy**
- **Environmental Code of Practice**
- **Skin Penetration Code of Practice**
- **Timber Plantation Code of Practice**

2 Principle Two: Policies and Procedures

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

2.1 Records Management and Business Information Systems

The Shire of Manjimup stores and manages its records using Micro Focus Content Manager (CM). The system was initially implemented in 2016, with an upgrade to Version 9.3.4 in 2020. Data held previously in the Authority system was successfully migrated to Content Manager and is held in data format, which can be searched and accessed via Content Manager

2.1.1 Records Management System

The Shire of Manjimups' records management system is a hybrid system, with both electronic and hard copy records registered as appropriate. Hard copy documents are scanned and registered into CM, and allocated to the responsible officer. These hard copy documents are then placed on physical files, stored in the Records Office. These physical files replicate the Business Classification System (BCS) developed and held in CM. The BCS was created using the Keywords for Councils Thesaurus.

2.1.2 Business Information System/s

The Shire of Manjimup uses Datascape, a software designed and developed by Datacom.

Datascape is a cloud based platform that supports a range of core council activities including financial services, property, regulatory, community, customer relationship management, and HR and payroll.

The software is used to record financial transactions and retain supporting documentation to provide quick and easy access for auditing purposes.

Datascape CRM is specifically designed for councils and gives you a single view of your customer, including information across all services council provides. A single workflow capability automates the task of managing customer requests from when they're made to resolution. This same workflow gives you transparency over service levels, accountability, benchmarking, and progress.

Datascape CRM manages the customer's experience from the identification of an issue, complaint, or service request. It integrates with the Antenno mobile application and online forms, and it enables tracking of service requests within the Datascape portal.

All interactions with the customer are stored within Datascape CRM, enabling a full history for a customer's reference and for better understanding of customers' needs.

Supporting documentation (such as invoices, quotes and calculations) are attached by way of electronic file to the transaction for easy reference by users.

The information that we currently store in Datascape as attachments is stored off site, on a server managed by Datacom. (ie Cloud based so that the information can be accessed from anywhere that the Datascape software can be logged into)

Currently this information is being kept indefinitely. Whist the financial data is being held, the supporting documents are being held.

The Shire of Manjimup is working with the software developers to establish lifecycle for the data collected, however at the time of this update, there is nothing established to determine the end of use for these documents.

The Shire of Manjimup will ensure that records are maintained in accordance with the *State Records Act 2000* and we will continue to update the RKP as changes occur.

The Authority program is still used for the management of Building Licence applications. It will remain in use until migration of the data to the Datascape System is initialised and completed.

2.2 Records Management Policy and Procedures

The creation and management of records is coordinated by the Shire of Manjimup Records Officer.

For the recordkeeping policy and procedures of the Shire of Manjimup please refer to Appendices 4 and 6.

Table 2.1

Recordkeeping Activities covered in the Shire of Manjimup 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><i>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.</i></p>		✓
<p>Mail distribution - including frequency, tracking mechanisms and security measures.</p>	✓	
<p>File creation and closure – including assigned responsibility and procedures for both physical and automated file creation.</p>	✓	
<p>Access to corporate records – procedures for access to and security of corporate records.</p>	✓	
<p>Authorised disposal of temporary records and transfer of State archives (whether hard copy or electronic) to the State Records Office (SRO) – any assigned responsibilities.</p>	✓	
<p>Electronic records management – including the organization’s approach and methodology for the capture and management of its electronic records (e.g. print and file, identification of the official record, use of EDRMS, hybrid system etc).</p>	✓	

Recordkeeping Activities covered in the Shire of Manjimup Policies and Procedures	YES	NO
Email management – including the capture, retention and authorised disposal of email messages to ensure accountability Should indicate whether the organization is utilising a document management system or hard copy records system (e.g. print and file, identification of the official record, use of EDRMS, hybrid system etc).	✓	
Website management – including the purpose of the site (e.g. whether informational/transactional), capture of all information published to the website within the corporate system and mechanisms for recording website amendments.	✓	
Metadata management – including requirements for capture of metadata in information systems, whether automatic or manual.	✓	
System/s management – including any delegations of authority for the control and security of systems utilised by the organization (e.g. provision of access to systems through individual logins and passwords, protection of servers etc).	✓	
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 are in place and promulgated throughout the Shire of Manjimup is provided by the copy of the certification document signed by the CEO. Please refer to Appendix 5.

2.4 Evaluation of Policies and Procedures

The recordkeeping policies and procedures for the Shire of Manjimup cover all categories identified in Principle 2 of SRC Standard 2 and are assessed as operating efficiently and effectively across the Shire of Manjimup. The Shire strives to continually improve upon all policies and procedures to ensure their relevance and effectiveness as it moves forward in the ever changing corporate world.

3 Principle Three: Language Control

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

3.1 Keyword for Councils Thesaurus Implemented

The Shire of Manjimup has adopted and implemented the Keyword for Councils Thesaurus (Keywords) for the classification, titling and indexing of all the Shire's records.

3.2 Assessment of its Effectiveness

The Thesaurus is operating efficiently within the Shire of Manjimup. It covers both administrative and functional activities of the Shire of Manjimup, is available for use by all staff and information can be filed and found without difficulty. This tool is sometimes adjusted to reflect changes to the functions and activities of the Shire of Manjimup as may occur from time to time. The consistent and continual use of the Keywords Thesaurus in conjunction with the GDALG to create new files has enabled a more compliant and timely disposal/archival process for all Corporate Records.

4 Principle Four: Preservation

Government organizations ensure that records are protected and preserved

For the Records Disaster Recovery Plan for the Shire of Manjimup please refer to Appendix 7.

4.1 Assessment of Risks

4.1.1 On Site Storage

The Shire of Manjimup has its current and active records located in onsite storage at the Administration Centre at 39 Rose St Manjimup. The storage facility includes:

- Metal shelving,
- Fire retardant strongroom,
- Secure premises,
- Secure server rooms,
- Fire detection system, and
- Airconditioning for 8 hours per day

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

4.1.2 Offsite Storage

The Shire of Manjimup has its non-current, inactive and archival records located in an offsite storage facility at the Shire of Manjimup Depot, Margerison St Manjimup

The storage facility is a recently completed purpose built facility. A large fully insulated and sealed building, it provides resistance to pest intrusion and moisture. It sits in isolation away from other buildings, and is fitted out with metal shelving and airconditioning. The Shire of Manjimup Depot is a secured yard, locked every day and protected by a monitored alarm system

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

4.1.3 Data Centre and Cloud Storage

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

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

Information system / categories of records	Name of service provider	Geographic location of data centre / cloud storage	Geographic location of data centre / cloud storage backups	Risk assessed Y/N
Datascape Software – Financial Records and supporting information	Datacom (Service Provider) utilizes Microsoft Azure Datacentres for data storage	Primary Storage – Located in Australia’s South East – Victoria	Secondary (Backup/DR) Storage located in Australia’s East – New South Wales	Yes

4.1.4 Storage of Archives

The Shire of Manjimup holds State Archives at the Records Storage Area at the Shire Depot, in the recently completed purpose built facility, within a locked compactus. The compactus is only accessible to authorized Records staff.

4.1.5 Storage of Backups

Electronic backups of the Shire of Manjimup’s electronic information are held offsite at the Shire Depot and are transferred there on a daily basis.

4.1.6 Quantity of Records

The Shire of Manjimup has custody of:

- 70 linear metres of temporary hard copy records stored onsite;
- 100 linear metres of temporary hard copy records stored offsite;
- 227 linear metres of hard copy State archives stored onsite/offsite;
- 43.2 Tb - Onsite (Shire Administration Offices)
- 18.4 Tb – Offsite (Shire Depot)

Security and Access

The Shire of Manjimup has a number of measures in place to ensure the security of its records, both hard copy and electronic.

All Shire buildings are alarmed, Records areas and the strongroom are locked.

All users have unique passwords to access electronic equipment, computers etc.

HR hard copy records are stored in locked cabinets within the HR Manager’s office.

Electronic records are stored within the Shires’ EDRMS – Content Manager.

Access to the Shires’ records by staff is in accordance with designated access and security classifications.

Security to files is based on the level of the position of the user. File security is applied through the file creation process, and includes all HR files, and other files containing sensitive documentation.

Content Manager Administrator positions are only held by Records Staff, and these staff are the only people able to delete records from the EDRMS. Users must request and advise which documents they require to be deleted, and this task is then managed by the Administrators.

4.2 Assessment of the Impacts of Disasters

As stated previously, the risk of a disaster occurring to the records of the Shire of Manjimup has been assessed as low. The impact of a disaster on the organization's records has therefore been assessed as low. There are sufficient strategies in place to ensure that business activities of the organization are not unduly affected in the event of the more likely disaster occurring.

4.3 Strategies in Place for Preservation and Response

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

(See: Appendix 7: Shire of Manjimup Disaster Recovery Plan)

4.3.1 Vital Records Program

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

- Loans
- Leases
- Agreements
- Contracts
- Certificates of Titles
- Licenses
- Vesting and Management Orders
- Bank Guarantees
- Loan Agreements
- Local Laws

Vital records in hard copy are stored in the locked, fire resistant strongroom, accessible to the Director Business and the Senior Administration/Properties Officer. These records have been scanned and registered into Content Manager and are used for all normal business activities.

The Senior Administration and Properties Officer is responsible for the Register of Vital Records and reviews the Register at regular intervals, not less than once a year.

Backup Procedures for Electronic Records

Electronic records of the Shire of Manjimup are backed up daily. The back-ups are stored offsite.

Automated process – depending on the backup matrix, servers backups are held for 30 days otherwise are held for 12 months. (See Appendix 8)

Process of testing – we hold a recovery register showing what has been requested to be backed up and if it was successful or not.

4.3.2 Preservation of Electronic Records

The Shire of Manjimup 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 periodically checked to ensure the information is accessible and readable; backup media is tested every week by the backup system
- Digital storage media, including removable storage devices, is refreshed as necessary to prevent data loss and storage is done on physical servers that are refreshed every 4 years
- Electronic records requiring long term retention are maintained in an appropriate format for long term preservation. The preservation of the long term electronic records is achieved by ensuring that scanned documents are in PDF/A format. All scanners at The Shire are set up to enable the scanning in PDF/A format. Discussions are underway with our provider, Information Proficiency, to ensure that The Shire is licensed to use the “render” module of CM, to convert the remainder of the records (not scanned) to the long term preservation format of PDF/A.

4.3.3 Security

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

- Hard copy records are stored in secure rooms within the Shire of Manjimup Administration Offices. The offices are protected by a monitored alarm system.
- Hard copy records stored offsite are located at Manjimup Shire Depot, a locked building within a locked and patrolled compound.
- Electronic records have varying degrees of access depending on delegations assigned to staff within the organization. Electronic records are backed up on a regular basis as described previously.
- Access to server rooms is restricted to authorized staff using swipe card access.

4.3.4 Storage Reviews

The records storage facilities utilised by the Shire of Manjimup are reviewed regularly to ensure that conditions are appropriate for the organization’s records. As a result of the last review in 2019, finances were allocated and made available for the construction of a purpose built archival building at the Shire of Manjimup Depot facility. This building has been recently completed and has been identified as completely adequate to our needs now and into the future. It is anticipated that a storage review will be conducted every two years.

4.3.5 Recovery of Lost Information

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

All servers are replicated offsite. In the event of a disaster the replicated servers can be activated.

See Appendix 9: ICT Continuity & Disaster Recovery Plan

The Shire also has in place a Records Disaster Recovery Management Plan

See Appendix 7: Disaster Recovery Plan

5 Principle Five: Retention and Disposal

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

5.1 General Disposal Authority for Local Government Records

The Shire of Manjimup uses the General Disposal Authority for Local Government Records – RD2015001/1, produced by the State Records Office, for the retention and disposal of its records.

5.2 Existing Ad Hoc Disposal Authorities

The Shire of Manjimup has the following approved Ad Hoc disposal authorities which have been implemented.

AD 2020-006-001-01 – Covid 19 Contact Registers – Destroy 28 days after Last Action

5.3 Existing Disposal Lists

The Shire of Manjimup does not have any Disposal Lists

5.4 Restricted Access Archives

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

5.5 Transfer of Archives

An Archives Transfer Request form has not been submitted to the SRO as the SRO is unable to accept any archives at this time due to space restrictions.

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

5.6 Non-Transfer of Archives

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

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

5.7 Disposal Program Implemented

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

The disposal program ensures that the documentation is destroyed in accordance with the GDALG

Please refer to Appendix 10 for an authorised list of records for disposal.

5.8 Authorisation for Disposal of Records

Before any temporary records are destroyed, a list of those records due for destruction is reviewed by the CEO and Coordinator Finance and Administration Services and authorised for destruction.

6 Principle Six: Compliance

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

6.1 Staff Training, Information Sessions

The Shire of Manjimup 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 Manjimup's recordkeeping program are conducted. These are delivered to all staff on a regular basis.		✓
In-house recordkeeping training sessions for staff are conducted.	✓	
From time to time an external consultant is brought in to run a recordkeeping training session for staff. Staff are also encouraged to attend training courses outside the organization whenever practicable.	✓	
Staff information sessions are conducted on a regular basis for staff as required.	✓	
The Shire of Manjimup provides brochures or newsletters to publish recordkeeping information, highlight issues, or bring particular recordkeeping matters to staff attention.		✓
The Shire of Manjimup Intranet is used to publish recordkeeping information, highlight issues, or bring particular recordkeeping matters to staff attention.	✓	
The Shire of Manjimup Induction Program for new employees includes an introduction to the organization'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 11.

6.2 Performance Indicators in Place

The following performance indicators have been developed to measure the efficiency and effectiveness of the Shire of Manjimup's recordkeeping systems:

- Conduct file audits – check individual work spaces for physical files – check electronic files for accuracy of location of saved information.
- Confirm that access controls on electronic files, information security and protection measures are in place and working

- Perform daily, weekly and monthly audit of all correspondence registered into Content Manager
- Through the audit as described above, identify if staff are accurately using CM. Assist with further training and development if required.
- Monitor file creation and assist staff to ensure accuracy and relevance of such.
- Monitor registration of emails to ensure metadata is captured and that attachments are registered and related to said email.

6.3 Agency's Evaluation

On the basis of the Performance Indicators in place at the Shire of Manjimup, the recordkeeping systems are assessed as being efficient and effective within the organization.

6.4 Annual Report

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

Please refer to Appendix 12.

6.5 Identified Areas for Improvement

The Shire of Manjimup is committed to continuous improvement in recordkeeping systems, procedures and records awareness training across the organization.

Ongoing training is provided where the need to improve records awareness is identified.

Staff are regularly approached and assistance is given where it is needed. Staff also actively approach the Records Officer for assistance ie: additional procedural training within Content Manager.

7 SRC Standard 6: Outsourced Functions

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

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

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

7.1 Recordkeeping Issues Included in Contracts

Refer to Appendix 13 for excerpts of clauses addressing recordkeeping issues in contracts for outsourced functions.

7.1.1 Planning

The Shire of Manjimup 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.

7.1.2 Ownership

The Shire of Manjimup has ensured that the ownership of State records is addressed and resolved during outsourcing exercises. Appropriate requirements are included in the signed contract/agreement.

7.1.3 Control

The Shire of Manjimup has ensured 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 Manjimup

7.1.4 Disposal

The disposal of all State records which are the product of or are involved in any contract/agreement with the Shire of Manjimup 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.

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

7.1.6 Custody

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

- Access to records created by the Shire will be provided upon request
- Contractors are required to provide safe and adequate storage for all contract related records in their custody

7.1.7 Contract Completion

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

7.2 Identified Areas for Improvement

The Shire of Manjimup is aware that in the continually changing environment of Records Management, updates to requirements will be needed to be made. The arrangements for Contractor records will be reviewed on a regular basis, and updates initialized when identified, in accordance with the requirements of the Act.

Refer to Appendix 14 – LG Functions – including those outsourced.

APPENDIX 1

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

Legislation, Regulations and Local Laws

***Tick if YES, the
LG administers***

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	✓

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

Legislation, Regulations and Local Laws

***Tick if YES, the
LG administers***

Heritage of Western Australia Act 1990	✓
Land Administration Act 1997	✓
Litter Act 1979	✓
Liquor Control Act 1988	✓
Local Government Act 1995	✓
Local Government (Miscellaneous Provisions) Act 1960	✓
Local Government Grants Act 1978	✓
Local Government Regulations	✓
Main Roads Act 1930	✓
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	✓

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

Legislation, Regulations and Local Laws

*Tick if YES, the
LG administers*

Local Laws of the Shire of Manjimup

Activities on Thoroughfares and Trading in Thoroughfares and Public Places Local laws 2002	✓
Cat Local Law 2020	✓
Cemetery Local Law 1990	✓
Dog Local Law 2004	✓
Dog Local Law Amendment 2006	✓
Fencing Local Law 2012	✓
Fencing Local Law Amendment 2013	✓
Health Local Law 2020	✓
Landfill and Waste Transfer Local Law 2007	✓
Olympic Swimming Pool Repeal Local Law 2019	✓
Parking Local Law 2018	✓
Standing Order Local Law 2013	✓

**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	✓
Workers Compensation and Injury Management Act 1981	✓

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

<i>Other Legislation and Regulations</i>	<i>Tick if YES</i>
Working with Children (Criminal Record Checking Act) 2004	✓

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	✓

References:

State Records Office of WA

Shire of Dardanup Record Keeping Plan 2020

City of Albany Record Keeping Plan 2018

City of Cockburn Record Keeping Plan 2017

NSW State Archives and Records