



# **Shire of Sandstone**

## **RECORDKEEPING PLAN**

**In accordance with the State Records Act 2000**

**2020-2025**

# TABLE OF CONTENTS

Introduction .....	3
<b>1 Principle One: Proper and Adequate Records .....</b>	<b>4</b>
1.1 Historical Background .....	4
1.2 Strategic Focus and Main Business Activity .....	5
1.3 Functions, including those outsourced .....	5
1.4 Major Stakeholders .....	5
1.5 Enabling Legislation .....	5
1.6 Legislation and Regulations Administered by the Shire of Sandstone .....	5
1.7 Other Legislation Affecting the Shire of Sandstone .....	5
1.8 Major Government policy and/or Industry Standards .....	5
<b>2 Principle Two: Policies and Procedures .....</b>	<b>6</b>
2.1 Records Management and Business Information Systems .....	6
2.1.1 Records Management System .....	6
2.2 Records Management Policy and Procedures .....	6
2.3 Certification of Policies and Procedures .....	8
<b>3 Principle Three: Language Control .....</b>	<b>12</b>
3.1 Keyword for Councils Thesaurus Implemented .....	12
3.2 Thesaurus (other than Keyword for Councils) Implemented .....	12
3.3 File Plan / List of Subject headings / List of Authorised Headings .....	12
3.4 Assessment of its Effectiveness .....	12
3.5 Identified Areas for Improvement .....	12
<b>4 Principle Four: Preservation .....</b>	<b>13</b>
4.1 Assessment of Risks .....	13
4.1.1 On Site Storage .....	13
4.1.2 Offsite Storage .....	13
4.1.3 Data Centre and Cloud Storage .....	13
4.1.4 Storage of Backups .....	13
4.1.5 Quantity of Records .....	13
4.1.6 Security and Access .....	14
4.2 Assessment of the Impacts of Disasters .....	14
4.3 Strategies in Place for Preservation and Response .....	14
4.3.1 Vital Records Program .....	14
4.3.2 Backup Procedures for Electronic Records .....	14
4.3.3 Preservation of Electronic Records .....	14
4.3.4 Security .....	15
4.3.5 Storage Reviews .....	15
4.3.6 Recovery of Lost Information .....	15

4.4	Identified Areas for Improvement.....	15
5	<b>Principle Five: Retention and Disposal.....</b>	<b>16</b>
5.1	<b>General Disposal Authority for Local Government Records.....</b>	<b>16</b>
5.2	<b>Disposal of Source Records.....</b>	<b>16</b>
5.3	<b>Existing Ad Hoc Disposal Authorities.....</b>	<b>16</b>
5.4	<b>Existing Disposal Lists.....</b>	<b>16</b>
5.5	<b>Restricted Access Archives.....</b>	<b>16</b>
5.6	<b>Transfer of Archives.....</b>	<b>16</b>
5.7	<b>Non-Transfer of Archives.....</b>	<b>17</b>
5.8	<b>Disposal Program Implemented.....</b>	<b>17</b>
5.9	<b>Authorisation for Disposal of Records.....</b>	<b>17</b>
5.10	<b>Identified Areas for Improvement.....</b>	<b>17</b>
6	<b>Principle Six: Compliance.....</b>	<b>18</b>
6.1	<b>Staff Training, Information Sessions.....</b>	<b>18</b>
6.2	<b>Performance Indicators in Place.....</b>	<b>18</b>
6.3	<b>Agency's Evaluation.....</b>	<b>19</b>
6.4	<b>Annual Report.....</b>	<b>19</b>
6.5	<b>Identified Areas for Improvement.....</b>	<b>19</b>
7	<b>SRC Standard 6: Outsourced Functions.....</b>	<b>18</b>
7.1	<b>Outsourced Functions Identified.....</b>	<b>18</b>
7.2	<b>Recordkeeping Issues Included in Contracts.....</b>	<b>18</b>
7.2.1	<b>Planning.....</b>	<b>18</b>
7.2.2	<b>Ownership.....</b>	<b>19</b>
7.2.3	<b>Control.....</b>	<b>19</b>
7.2.4	<b>Disposal.....</b>	<b>19</b>
7.2.5	<b>Access.....</b>	<b>19</b>
7.2.6	<b>Custody.....</b>	<b>19</b>
7.2.7	<b>Contract Completion.....</b>	<b>19</b>

**Appendices**

Appendix 1 – Functions of the Local Government.....	20
Appendix 2 – Legislation & Regulations Administered by the Local Government, and Local Laws of the Local Government.....	22
Appendix 3 – Other Legislation & Regulations Affecting the Operations of the Local Government.....	25
Appendix 4 – Major Government & Industry Standards.....	26
Appendix 5 – Annual Report.....	26
Appendix 6 – Procedure and Guidelines.....	27
Appendix 7 – Records Disaster Recovery.....	33

## Introduction

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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 Sandstone 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 Sandstone 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 Sandstone and all its employees are legally required to comply with the contents of this Plan.

This Recordkeeping Plan applies to all:

- Shire of Sandstone Employees;
- Shire of Sandstone Contractors;
- Organisations performing outsourced services on behalf of the Shire of Sandstone and
- Shire of Sandstone 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 previous approved RKP 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

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*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

That there was an Aboriginal presence in the Black Range area before the coming of the Europeans has never been in doubt.

It is believed there were two distinct tribes within the Sandstone district. The Wongi in the Eastern half and the Yamagee in the Western half. It has been suggested that neither tribe would cross into the other's territory except for tribal meetings. Considering the scarcity of water in the area, it is also thought that both tribes may have only lived in the area on a non-permanent basis.

After that, very little is known of their presence in Sandstone. The only available information has been gathered from a scant number of publications throughout the years.

The Shire lies in the heart of the spectacular lower Murchison District and its bronzed landscape tells many tales of bygone days when gold was first discovered in the area in 1894 by Ernest Shillington and a number of fellow prospectors that found gold about 20 km southwest of the present townsite. From 1903 onwards more reefs of gold were discovered to the north of the present town so that in September 1906 the town was officially gazetted.

For a period of six years from 1907 Sandstone was a small city of some 6,000 to 8,000 people. It had four hotels, four butchers, many cafes, stores and business houses, as well as a staffed police station and two banks. Unfortunately, by 1919 many buildings were pulled down and moved elsewhere and the only remaining population counted 200 people. The town was able to survive as a centre for the region's growing pastoral industry and became the Shire of Sandstone in 1961. Sandstone Shire Council is a rural/remote Local Government with a population of approximately 110. The primary industries in the region are mining exploration, pastoral and tourism. The Shire of Sandstone is bounded by the Shires of Mt Magnet, Wiluna, Meekatharra, Yalgoo, Leonora, Menzies, Mt Marshall, and Cue.

## **1.2 Strategic Focus and Main Business Activity**

The Shire of Sandstone 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.

## **1.3 Functions, including those outsourced**

The Shire of Sandstone outsources the following functions:

- Environmental matters
- Legal Services (Rate Debt Recovery)
- Contracted Corporate and Governance services

The functions and activities of the Shire of Sandstone (including those contracted out to other organisations) are broadly described. Please refer to Appendix 1.

## **1.4 Major Stakeholders**

The Shire of Sandstone major stakeholders are:

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

## **1.5 Enabling Legislation**

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

## **1.6 Legislation and Regulations and Local Laws Administered by the Shire of Sandstone**

Refer to Appendix 2.

## **1.7 Other Legislation Affecting the Shire of Sandstone**

Refer to Appendix 3.

## **1.8 Major Government policy and/or Industry Standards**

Refer to Appendix 4.

## **2 Principle Two: Policies and Procedures**

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

## 2.1 Records Management and Business Information Systems

The shire uses Synergy’s Records Module and outsources some Finance and Rates along with some payroll to IT Vision. Synergy Records Module is operating with Keywords for Council.

### 2.1.1 Records Management System

- Synergy Records is in place and it operates as a registration program for all Shire correspondence;
- The system is paper based, but index and registered electronically
- The current system was implemented in December 2016;
- The new system replaces a quasi-Digital system, which was put in place, without any risk assessment being applied, that system has undergone reconstruction as a hard copy paper-based system.

## 2.2 Records Management Policy and Procedures

The creation and management of records is coordinated by the Shire of Sandstones Administration Officer

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

**Table 2.1**

<b>Recordkeeping Activities covered in the Shire of Sandstones Policies and Procedures</b>	<b>YES</b>	<b>NO</b>
<p><b>Correspondence capture and control</b> – 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><b>Digitization</b> – including categories of records digitized; disposal of source records; digitization specifications.</p> <p><i><b>NB:</b> This procedure is only required where the organisation 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>	NA	



<b>Recordkeeping Activities covered in the Shire of Sandstones Policies and Procedures</b>	<b>YES</b>	<b>NO</b>
<b>Mail distribution</b> - including frequency, tracking mechanisms and security measures.	✓	
<b>File creation and closure</b> – including assigned responsibility and procedures for both physical and automated file creation.	✓	
<b>Access to corporate records</b> – procedures for access to and security of corporate records.	✓	
<b>Authorised disposal</b> of temporary records and transfer of State archives (whether hard copy or electronic) to the State Records Office (SRO) – any assigned responsibilities.	✓	
<b>Electronic records management</b> – 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..).	✓	
<b>Email management</b> – 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.).	✓	
<b>Website management</b> – 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.	✓	
<b>Metadata management</b> – including requirements for capture of metadata in information systems, whether automatic or manual.	✓	
<b>System/s management</b> – 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.).	✓	

Recordkeeping Activities covered in the Shire of Sandstones Policies and Procedures	YES	NO
<b>Migration strategy</b> – 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 Sandstone.

#### Creation of Records

All elected members, staff and contractors will create full and accurate records, in the appropriate format, of the Shire of Sandstones business decisions and transactions to meet all legislative, business, administrative, financial, evidential and historical requirements.

#### Capture & Control of Records

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

#### Security & Protection of Records

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

#### Access to Records

Access to the Shire of Sandstones records by staff and contractors will be in accordance with designated access and security classifications. Access to the Shire of Sandstones records by the general public will be in accordance with the Freedom of Information Act 1992 and Shire of Sandstone policy. Access to the Shire of Sandstones records by elected members will be via the Chief Executive Officer in accordance with the Local Government Act 1995.

## **Appraisal, Retention & Disposal of Records**

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

### **3 Principle Three: Language Control**

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

#### **3.1 Keyword for Councils Thesaurus Implemented**

The Shire of Sandstone has adopted and implemented the Keyword for Councils thesaurus for the titling of all its records.

OR

#### **3.2 Thesaurus (other than Keyword for Councils) Implemented**

N/A

OR

#### **3.3 File Plan / List of Subject headings / List of Authorised Headings**

N/A

#### **3.4 Assessment of its Effectiveness**

The thesaurus although only recently implemented appears to already be operating well within the Shire of Sandstone. It covers both administrative and functional activities of the Shire of Sandstone, 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 Sandstone as may occur from time to time.

#### **3.5 Identified Areas for Improvement**

Working well within the shire and no current identified areas for improvement.

## 4 Principle Four: Preservation

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*Government organisations ensure that records are protected and preserved*

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

### 4.1 Assessment of Risks

#### 4.1.1 On Site Storage

The Shire of Sandstone has its current, active records located in onsite storage at the Shire Administration Office. The storage facility includes:

- Metal shelving,
- Fire retardant Archive room,
- Secure premises,
- Secure server rooms,
- Fire detection system/or fire suppression system, and
- Airconditioning for 10 hours per day

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

#### 4.1.2 Offsite Storage

The Shire of Sandstone has inactive temporary records stored in a fully enclosed and locked sea container located at the Shire Depot opposite the Administration building. No State Archival Records are held in the sea container.

#### 4.1.3 Data Centre and Cloud Storage

The Shire of Sandstone are currently under contract to Market Creations. Data is backed up on the local server and then backed up nightly to Cloud storage.

#### 4.1.4 Storage of Backups

Electronic backups of the Shire of Sandstone's electronic information are done nightly onto their local server and then backed up to the cloud by Market Creations on a nightly basis.

#### 4.1.5 Quantity of Records

The Shire of Sandstone has custody of:

- 36 linear metres of temporary hard copy records stored onsite;
- 6 linear metres of temporary hard copy records stored offsite;
- 1 linear metre of State Archival Records

#### **4.1.6 Security and Access**

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

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

#### **4.2 Assessment of the Impacts of Disasters**

As stated previously, the risk of a disaster occurring to the records of the Shire of Sandstone has been assessed as low. The impact of a disaster on the organisation's records has therefore been assessed as low. There are sufficient strategies in place to ensure that business activities of the organisation 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 Sandstone in order to reduce the risk of disaster and for quick response should a disaster occur:

##### **4.3.1 Vital Records Program**

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

- Minutes
- System backups
- Financial Reports
- Contracts and Agreements

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

##### **4.3.2 Backup Procedures for Electronic Records**

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

##### **4.3.3 Preservation of Electronic Records**

The Shire of Sandstone 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;

- Digital storage media, including removable storage devices, is refreshed as necessary to prevent data loss and
- Electronic records requiring long term retention are maintained in an appropriate format for long term preservation.

#### **4.3.4 Security**

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

- Hard copy records are stored in a locked/secure room accessible only to records staff.
- Hard copy records stored offsite are located at the Shire Depot.
- Electronic records have varying degrees of access depending on delegations assigned to staff within the organisation. Electronic records are backed up on a daily basis as described previously.
- Access to server rooms is restricted to authorised staff.

#### **4.3.5 Storage Reviews**

The records storage facility(ies) utilised by the Shire of Sandstone are reviewed annually to ensure that conditions are appropriate for the organisation's records. This was last reviewed in 2016 with no issues arising.

#### **4.3.6 Recovery of Lost Information**

The Shire of Sandstone has developed a set of quick response strategies to recover lost information, in all formats, should a disaster occur. For the Shire of Sandstone Disaster Recovery Plan, please refer to Appendix 7.

- duplication of hard copy vital records;
- back up of electronic records;
- Internal and offsite daily backups;
- Vital records, hard copies, are stored in a fire proof safe.

#### **4.4 Identified Areas for Improvement**

No areas identified at this time.

## 5 Principle Five: Retention and Disposal

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

### 5.1 General Disposal Authority for Local Government Records

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

### 5.2 Disposal of Source Records

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

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

Not Applicable

### 5.3 Existing Ad Hoc Disposal Authorities

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

### 5.4 Existing Disposal Lists

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

### 5.5 Restricted Access Archives

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



## **5.7 Non-Transfer of Archives**

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

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

## **5.8 Disposal Program Implemented**

The Shire of Sandstone 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 CEO and authorised for destruction or transfer.

## **5.10 Identified Areas for Improvement**

None at this time.

## 6 Principle Six: Compliance

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*Government organisations ensure their employees comply with the recordkeeping plan.*

### 6.1 Staff Training, Information Sessions

The Shire of Sandstone 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**

<b>Activities to ensure staff awareness and compliance</b>	<b>YES</b>	<b>NO</b>
Presentations on various aspects of the <LG's> recordkeeping program are conducted. These are delivered to all staff on a regular basis.		✓
In-house recordkeeping training sessions for staff are conducted.	✓	
From time to time an external consultant is brought in to run a recordkeeping training session for staff. Staff are also encouraged to attend training courses outside the organisation whenever practicable.	✓	
Staff information sessions are conducted on a regular basis for staff as required.		✓
The Shire of Sandstone provides brochures or newsletters to publish recordkeeping information, highlight issues, or bring particular recordkeeping matters to staff attention.	✓	
The <LG's> Intranet is used to publish recordkeeping information, highlight issues, or bring recordkeeping matters to staff attention.	✓	
The <LG'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.

### 6.2 Performance Indicators in Place

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

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

### **6.3 Agency's Evaluation**

On the basis of Annual surveys, the recordkeeping systems are assessed as being efficient and effective within the organisation.

### **6.4 Annual Report**

An excerpt from the Shire of Sandstone'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. Please refer to Appendix 7.

### **6.5 Identified Areas for Improvement**

At this stage there is no need for improvement.

## 7 SRC Standard 6: Outsourced Functions

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

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

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

### 7.1 Outsourced Functions Identified

The Shire of Sandstone outsources the following functions:

- Environmental Health matters
- Legal Services (debt recovery)

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

### 7.2 Recordkeeping Issues Included in Contracts

#### 7.2.1 Planning

The Shire of Sandstone 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.

- The Shire contracts out some services and in each case the following will apply:
- All documentation, including advertisements, are placed in the Tender Register or Agreements file.
- Copy of all documentation is placed in the Recordkeeping System.
- Responsible Officer is to monitor the contract.
- Report on outcome presented to Council placed in the Recordkeeping System.

#### 7.2.2 Ownership

The Shire of Sandstone will ensure that the ownership of State records is addressed and resolved during outsourcing exercises. Where possible this will be included in the signed contracts/agreements.

### **7.2.3 Control**

The Shire of Sandstone will ensure that the contractors/agents create and control records in electronic or hard copy format, in accordance with recordkeeping standards, policies, procedures and guidelines stipulated by the Shire of Sandstone.

### **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 Sandstone and a contractor/agent will be disposed of in accordance with the General Disposal Authority for Local Government Records, produced by the SRO.

### **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 Sandstone and the contractor(s)/agent(s).

### **7.2.6 Custody**

Custody arrangements between the Shire of Sandstone 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.

### Functions of the Local Government

<i>Function</i>	<i>Brief Description of LG Function</i>	<i>Performed by the LG Tick if Yes</i>	<i>Performed by an External Agency Tick if Yes</i>
Commercial Activities	The function of competing commercially or providing services to other local governments or agencies on a fee for service basis. Includes undertaking activities on a consultancy or contract basis.	✓	
Community Relations	The function of establishing rapport with the community and raising and advancing the Council's public image and its relationships with outside bodies, including the media and the public.	✓	
Community Services	The function of providing, operating or contracting services to assist local residents and the community.	✓	
Corporate Management	The function of applying broad systematic planning to define the corporate mission and determine methods of the LG's operation.	✓	
Council Properties	The function of acquiring, constructing, designing, developing, disposing and maintaining facilities and premises owned, leased or otherwise occupied by the LG.	✓	
Customer Service	The function of planning, monitoring and evaluating services provided to customers by the council.	✓	
Development & Building Controls	The function of regulating and approving building and development applications for specific properties, buildings, fences, signs, antennae, etc. covered by the Building Code of Australia and the Environment Protection Authority (EPA).	✓	
Economic Development	The function of improving the local economy through encouragement of industry, employment, tourism, regional development and trade.	✓	
Emergency Services	The function of preventing loss and minimising threats to life, property and the natural environment, from fire and other emergency situations.	✓	
Energy Supply & Telecommunications	The function of providing infrastructure services, such as electricity, gas, telecommunications, and alternative energy sources.		✓
Environmental Management	The function of managing, conserving and planning of air, soil and water qualities, and environmentally sensitive areas such as remnant bushlands and threatened species.	✓	
Financial Management	The function of managing the LG's financial resources.	✓	
Governance	The function of managing the election of Council representatives, the boundaries of the LG, and the terms and conditions for elected members.	✓	
Government Relations	The function of managing the relationship between the Council and other governments, particularly on issues which are not related to normal Council business such as Land Use and Planning or Environment Management.	✓	
Grants & Subsidies	The function of managing financial payments to the LG from the State and Federal Governments and other agencies for specific purposes.	✓	

**Functions of the Local Government**

<b>Function</b>	<b>Brief Description of LG Function</b>	<b>Performed by the LG Tick if Yes</b>	<b>Performed by an External Agency Tick if Yes</b>
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.	✓	

<b>APPENDIX 1</b>			
<b>Functions of the Local Government</b>			
<b>Function</b>	<b>Brief Description of LG Function</b>	<b>Performed by the LG Tick if Yes</b>	<b>Performed by an External Agency Tick if Yes</b>
Water Supply	The function of managing the design, construction, maintenance and management of water supplies, either by the LG or by service providers.	✓	

<b>APPENDIX 2</b>	
<b>Legislation and Regulations that may be wholly or partly administered by Local Government, and Local Laws of the Local Government</b>	
<b>Legislation, Regulations and Local Laws</b>	<b>Tick if YES, the LG administers</b>
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	✓



**APPENDIX 2****Legislation and Regulations that may be wholly or partly administered by  
Local Government, and Local Laws of the Local Government**

<i>Legislation, Regulations and Local Laws</i>	<i>Tick if YES, the LG administers</i>
Fire and Emergency Services Act 1998	✓
Fire Brigades Act 1942	✓
Food Act 2008	✓
Food Regulations 2009	✓
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	✓
Main Roads Act 1930	✓
Parks and Reserves Act 1895	✓
Planning and Development Act 2005	✓
Radiation Safety Act 1975	✓
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	✓

**APPENDIX 2****Legislation and Regulations that may be wholly or partly administered by  
Local Government, and Local Laws of the Local Government**

<i>Legislation, Regulations and Local Laws</i>	<i>Tick if YES, the LG administers</i>
Telecommunications (Low Impact Facilities) Determination 1997	✓
Transfer of Land Act 1893	✓
Valuation of Land Act 1978	✓
Waterways Conservation Act 1976	✓
<b>Local Laws of the Shire of Sandstone</b>	
Activities on thoroughfares and Trading in thoroughfares and Public places local laws	✓
Bush Fire Brigade Local Laws	✓
Dogs Local Laws	✓
Sandstone Public Cemetery Local Laws	✓

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

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

<b>APPENDIX 4</b>	
<b>Government and Industry Standards and Codes of Practice that have been imposed upon or adopted by the Local Government</b>	
<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	✓
Other <i>Australian equivalents to the International Financial Reporting Standards (AIFRSs)</i>	✓

## **APPENDIX 5**

### **Excerpt from 2017/2018 Annual Report**

#### **3. RECORD KEEPING PLAN**

The State Records Act 2000 requires that the Shire of Sandstone maintains and disposes of all records in the prescribed manner. During 2016/17 a revised Record Keeping Plan was adopted by Council and submitted to the State Records Commission for approval. The plan was subsequently approved by the State Records Office.

Council is continuing to utilise an electronic record keeping system and formally archiving old records. A new Record Keeping Plan has been prepared and approved by the State Records Office.

In accordance with State Records Commission Standard 2 – Principle 6 compliance with the Record Keeping Plan the following is reported:

#### **Rationale:**

An organisation and its employees must comply with the organisation's Record Keeping Plan. Organisations should develop and implement strategies for ensuring that each employee is aware of the compliance responsibilities.

#### **Minimum Compliance Requirements:**

The Record Keeping Plan is to provide evidence to adduce that:

1. The efficiency and effectiveness of the organisation's Record Keeping System is evaluated not less than once every 5 years
2. The organisation conducts a Record Keeping Training Program.
3. The efficiency and effectiveness of the Record Keeping Training Program is reviewed from time to time.
4. The organisation's induction program addresses employee roles and responsibilities in regard to their compliance with the organisation's Record Keeping Plan.

The Shire has complied with items 1 to 4.

## Appendix 6

# PROCEDURE AND GUIDELINES



### **Corporate Recordkeeping Procedures:**

#### **Facsimiles & Emails**

Faxes are removed from the fax machine and handed to the appropriate staff member for action. If there is any discrepancy as to whom the fax is for then the person removing the fax is to refer it to the Chief Executive Officer. Faxes that have been actioned will then be placed in the filing tray for appropriate coding and filing by the administration officer.

Corporate Emails are registered in synergy and a hard copy is placed in the filing tray for filing as appropriate.

## **Website**

The Shire of Sandstone has a web page which is maintained by the administration officer. A back-up copy of the current site is held by the Spark CMS host and also on the Shire of Sandstone's server. The site is locked and alterations can only be made by the administration officer. All alterations are authorised by the Chief Executive Officer.

## **Incoming Mail**

The administration officer is responsible for opening the mail from the Post Office on Tuesday and Thursday mornings. The administration officer then opens, date stamps and sorts all mail. The mail is sorted into: Letters & Important Correspondence, Financial documents & promotional materials.

The files are given to the CEO who then passes the correspondence onto the appropriate staff member for action.

## **Outgoing Mail**

All mail to be sent out is placed in the front office 'mail out' box. All letters are recorded into synergy and a spreadsheet kept in the F: Drive of the outgoing date.

## **Private/Confidential Mail**

All incoming mails marked private and confidential is kept unopened by the administration officer and is given to the addressee who then opens it and advises of what is to be registered into synergy. Private correspondence is not recorded within the Shire of Sandstone records.

## **Vital Records**

Hard copy of vital records is identified, captured, scanned and the originals of these are then copied and are held in the filing system for every day access/use, if applicable. The originals documents are locked in a fire proof safe accessible only by the CEO.

## **Records Services Procedures**

### **File Creation and closure**

The administration officer is responsible to collate, create, index, distribute and filing of any of the Shire of Sandstone's records received. The method is followed according to the training procedure for Synergy Records Management Entry listed into the Office Procedures Manual and IT Vision training manual.

### **Records Archiving Program**

A full review and sorting of records is carried out annually. All records are assessed and those ready to be archived or moved into long term storage are removed from the current filing system which is housed in the Compactus in the filing room, listed and put into archive boxes.

Records are sorted according to Disposal Date, Archive Date or Permanent as applicable. Files are reviewed by the Administration Officer and CEO. Items for storage are removed and only current and ongoing information is left into the filing room.

The items removed are stored in a temporary area of storage and labelled accordingly. The administration officer updates a spreadsheet and a hard copy is attached to the authorization disposal letter to be approved by the CEO.

Boxes for destruction are labelled and moved into the shire's storage facility where they are stored in date of destruction order.

## **Access to Corporate Records**

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

## **Records Disposal**

Records files are reviewed every annually. Boxes ready for destruction will be removed for the archive store and placed into a sea container for disposal.

A records disposal list is prepared showing the box number and the contents of the box. This is reviewed and authorised by the CEO. The material is then destroyed by shredding.

## **Authorised disposal of temporary records**

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

The CEO will be the responsible officer to authorize the disposal of the Shire of Sandstone's records.

## **Document & File Management**

### **Attaching Documents to Files**

All correspondence/records for filing are placed in the 'filing' tray located on the administration officer's desk. It is the responsibility of the administration officer to



appropriately code all items. Files are then scanned and attached to the records registration appropriate.

### **File Maintenance**

Files can only be added or deleted by the administration officer authorised by the CEO. Any such changes are recorded and kept on electronic database for recordkeeping.

### **File Title change**

The filing index is maintained by the administration officer with new extensions or categories being added logically and alphabetically/numerically as and when required under the instruction of the CEO.

### **Superseded Files**

The administration officer is responsible to ensure superseded files are stored, recorded and kept according with the SRO guidelines.

### **Migration of Records**

The Shire is aware that from time to time it will need to upgrade systems due to changes in hardware and software capabilities and to enable best recordkeeping practice and policy to be maintained. At the time of any alteration to operating systems all records of archival value will be managed in accordance with SRO Policy 8. Full integrity checks will be carried out on any new system to ensure the integrity of any data transferred before the closure or un-installation of the previously utilized system.

### **Metadata Management**

The administration officer controls metadata management regarding all correspondence and documents and is responsible for recording details of records held, including when they were created, format, what they are called and what type of information is be recorded.

The CEO controls metadata for the finance, accounting and rates system.

Appendix 7

# Shire of Sandstone



## RECORDS DISASTER RECOVERY PLAN

In accordance with the State Records Act 2000

<b>Document Status:</b>	<b>November 2019</b>
<b>Revision No.:</b>	
<b>Prepared by:</b>	<b>Margaret Duhig</b>
<b>Endorsed:</b>	<b>Edwin Piper</b> <b>Acting Chief Executive Officer</b>
<b>Adopted:</b>	
<b>Revision Date:</b>	<b>November 2019</b>

## Table of Contents

1.0	INTRODUCTION.....	39
2.0	STATEMENT OF IMPORTANCE .....	40
2.1	Potential Impact Post Disaster .....	40
2.2	Potential Consequence List .....	42
3.0	RISK ANALYSES .....	44
3.1	Emergency Risk Management Process .....	44
3.2	Risk Assessment .....	46
3.3	Action Plan to Reduce/Remove Risks.....	49
4.0	INVENTORY OF ASSETS.....	51
4.1	Electronic Components.....	51
4.2	Physical Components .....	51
5.0	DISASTER RECOVERY .....	53
5.1	Event Requirements Category .....	53
6.0	DISASTER RECOVERY STRATEGY .....	55
6.1	Response and Recovery Steps – Flow Chart.....	55
6.2	Recovery Action Plan Process.....	57
6.3	It System Save.....	59
6.4	Recovery/Salvage Procedures- Fire/Water/Mould Damage .....	59
6.4.1	Fire Damage .....	59
6.4.2	Water Damage.....	60
6.4.3	Mould Damage.....	61
6.5	Recovery Salvage Procedures – Disaster Bins & Stores.....	62
7.0	AFTER THE DISASTER.....	63
7.1	Cleaning up the Disaster Site.....	63
7.2	Re-shelving Treated Records .....	63
7.3	Reporting .....	63
8.0	COUNTER MEASURES.....	65
8.1	Local Security .....	65
8.2	Physical Security .....	65
8.3	RKS Review – Storage Areas .....	65
9.0	RESPONSIBILITIES.....	66
9.1	Disaster Recovery Responsibilities .....	66

10.0	RESOURCES.....	67
11.0	TRAINING PROGRAM (TRAINING MANUAL) .....	67
11.1	Recordkeeping Training Program .....	67
12.0	TESTING PROGRAM.....	67
13.0	APPENDICES .....	68
14.0	REFERENCES.....	69

## 1.0 INTRODUCTION

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

A major threat to the preservation of records is the risk of disasters, natural or otherwise. A disaster recovery plan is essential to ensure the swift, efficient and effective resumption of the Shire's RKS<sup>2</sup> and the wide range of activities it supports following disasters.

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

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

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

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

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<sup>1</sup> Recordkeeping Plan

<sup>2</sup> Records Keeping System

## 2.0 STATEMENT OF IMPORTANCE

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

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

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

### 2.1 Potential Impact Post Disaster

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

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



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

## 2.2 Potential Consequence List

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

Level	Description	Financial Impact	Services	IT Services	Information Security	Property	Legal & Legislative	Reputation
1	Insignificant	Less than \$10,000	Little Impact	Single user PC being unavailable for short period	PC not locked when left unattended. Another user can access files	Minor repair required, little impact on facilities	Minor breach of statutory or contractual obligations	Unsubstantiated, low impact
2	Minor	\$10,000 to \$50,000	Inconvenient delays	Hardware failure in key service	User password shared gaining access to non-intended data	Minor repair required, minor inconvenience to users	Minor breach of statutory or contractual obligations	Substantiated, low impact
3	Moderate	\$50,000 to \$150,000	Significant delays in Major deliverables	Power outage under 1 day. Fault with phone system	Network PC infected by virus	Moderate non-structural repairs required, short term inconvenience to users	Significant breach of statutory obligations	Substantiated, public embarrassment, moderate impact
4	Major	\$150,000 to \$500,000	Non achievement of Major deliverables	Extended downtime of IT equip due to power outage over 2 days	Unauthorised person gaining access to server room	Significant structural repairs required, inconvenience to users for long term	Major breach resulting in fine or common law action	Substantiated, public embarrassment, high impact

5	Catastrophic	More than \$500,000	Non achievement of key objectives	Total loss of all hardware due to fire.	Firewall and network admin account access to network from outside source with malicious intent	Major structural damage likely to require full demolition, requires planning for re-development for long term	Major breach with significant penalties	Substantiated, public embarrassment, very high multiple impacts, high widespread.
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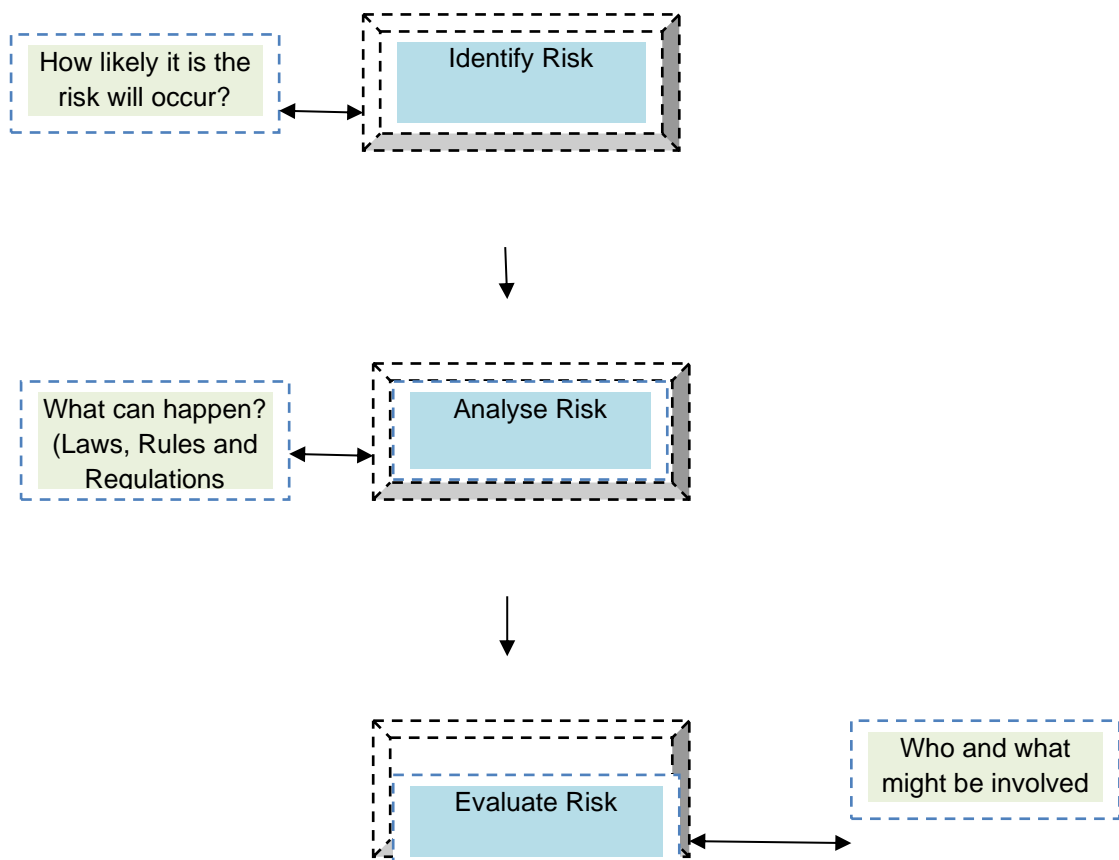
### 3.0 RISK ANALYSES

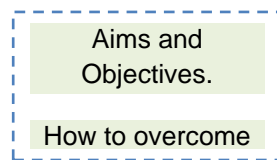
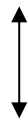
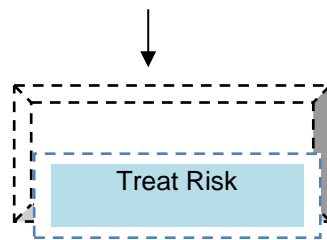
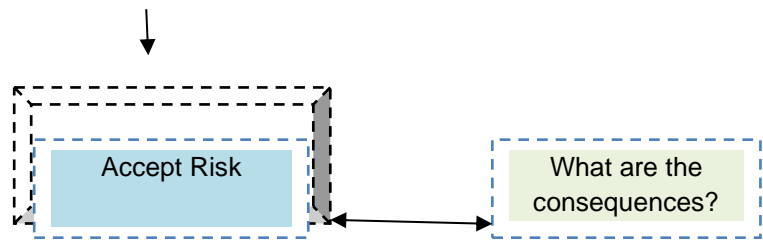
Risk identification is the first important step in developing effective counter disaster strategies for RKS, whereby critical information is needed for survival and resumption in the wake of a disaster event.

Organising recovery procedures rationally – by business process, provides for flexible implementation and enables the plan to be activated fully or in part.

#### 3.1 Emergency Risk Management Process

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





### 3.2 Risk Assessment

Risk assessment is the process of analysing all the possible risks before they happen and setting up preventions and treatments that will contribute to minimise the impact on the administrative and technical functions of the shire’s operations. The following table identifies the likelihood and levels associated with any disaster to RKM<sup>3</sup>.

Likelihood		Level of Risk				
Description	Frequency	Insignificant 1	Minor 2	Moderate 3	Major 4	Catastrophic 5
A- Almost Certain	More than once per year	High	High	Extreme	Extreme	Extreme
B- Likely	At least once per year	Moderate	High	High	Extreme	Extreme
C- Possible	At least once in 3 years	Low	Moderate	High	Extreme	Extreme

<sup>3</sup> Recordkeeping Management

D- Unlikely	At least once in 10 years	Low	Low	Moderate	High	Extreme
E- Rare	Less than once in 15 years	Low	Low	Moderate	High	High

Risk(Event)	Likelihood	Consequence	Residual Risk
<b>Technical</b>			
Software Failure	Likely	3	Moderate
Hardware Failure	Almost Certain	3	Major
<b>Physical</b>			
Vandalism	Likely	3	Moderate
Human Error	Likely	3	Moderate

<b>Fire/Flood</b>			
Records Storage	Likely	3	Moderate
Building Services	Likely	3	Moderate
Finance Services	Likely	3	Moderate
Human Resources	Likely	3	Moderate
<b>Vermin/Pest</b>			
Records Services	Possible	2	Minor
Building Services	Possible	2	Minor
Finance Services	Possible	2	Minor
Human Resources	Possible	2	Minor



### 3.3 Action Plan to Reduce/Remove Risks

Risk	Cause	Consequence	Treatment
Software Failure	Accidental damage or destruction	Data unable to be located	Back up procedures in place. Backup tapes stored offsite.
Hardware Failure	Unknown loopholes, bugs	Data unable to be located, reduced decision-making, non-compliance	Regular maintenance, back up procedure monitoring, fire alarm, trained and qualified personnel.
Vandalism	Hard copy files damaged	Vital records unable to be restored	Regular testing, back up procedure in place, training.
Human Error	Lack of procedure in place, staff fluctuations and miscommunications	Reduced decision-making process due to loss of data	Regular training and testing.
<b>Fire/Flood</b>			
Records Storage	Fire, water or smoke damage to hard copies	Vital records unable to be restored. Public embarrassment.	Alarm testing, regular monitoring, fire proof door and security placed.
Building Services	Fire and water damage to hard copies	Vital records unable to be restored. Public embarrassment	Electronic control of documents, scanning, quarterly inspections and KPI's <sup>4</sup> inducted.
Finance Services	Fire or flood damaged to hard copies	Financial implications and non-compliance, demotion of current high standard principles	Vital records removed and stored offsite.
Human Resources	Fire or Flood damaged to hard copies	Vital records unable to be restored. Personal data lost.	Electronic control of documents, scanning,

<sup>4</sup> Key Performance Indicators

			quarterly inspections and KPI's <sup>5</sup> inducted
<b>Pesticides (Vermin &amp; Pests)</b>			
Records, Financial and Building Services Storage	Pest damaged by rodents, silverfish to hard copies (Minutes, booklets, Agendas and inventory)	Vital records unable to be restored. Public embarrassment	Biannual inspection of storage by pest control company, records register updated. Monitoring/control building inspections via KRA's <sup>6</sup> on a compulsory basis.

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<sup>6</sup> Key Results Area

## 4.0 INVENTORY OF ASSETS

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

### 4.1 Electronic Components

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

### 4.2 Physical Components

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

Item	Ranking	Format	Location	Custodian	Security Classification
Legal Documents	1	Paper	Records	Records Officer	Confidential
Council Minutes	1	Paper/Electronic	Records	CEO	Internal/Not confidential
Human Resources Records	1	Paper	HR	CEO	Confidential

Delegations of Authority	1	Paper	Strategic Planning	CEO	Confidential
Building Plans	1	Paper	Building	CEO	Internal/Confidential
Corporate Documents	1	Paper/Electronic	Corporate	CEO	Confidential
Financial Records	2	Paper/Electronic	Finance	Senior Finance Officer	Confidential
Community Services	2	Paper/Electronic	Records	Records Officer	Internal
Library	1	Paper/Electronic	Library	Records Officer	Internal
Restricted Files	1	Paper	Archive	Records Officer	Confidential
FOI Files	1	Paper/Electronic	Records	Records Officer	Confidential/External

## 5.0 DISASTER RECOVERY

### 5.1 Event Requirements Category

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

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

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

Levels	Description	Specification	Recovery Time
1	In house documents	Major event such as flood, earthquake or bombing. It has been categorised as level 1 due to the fact that it would have extreme impact on all areas.	Dependant on identification of damage, recovery time would be up to 1 week.
2	Paper Loss	Loss of Vital documents due to fire, smoke and flood. Categorised as level 2 and is variable dependant on the importance of individual records.	Recovery time varies from 24 hours up to 2 weeks
3	Computer Room	Categorised as second level as has impact on servers. Equipment is protected by power supply (UPC) individually installed and controlled.	Dependant on identification. Recovery time would be up to 1 week
4	Server Failure	Affected mainly by hardware failure, theft or malicious damage.	Dependant on hardware, delivery and resources.

			Recovery time would be up to a maximum 1 week.
5	Data Loss	The loss of data from the main server due to an event such as accidental or malicious destruction and can be categorised as level 5.	Dependant on the consequence and the damages caused through the disaster. Recovery time would be 24 hours to a maximum of 2 days.

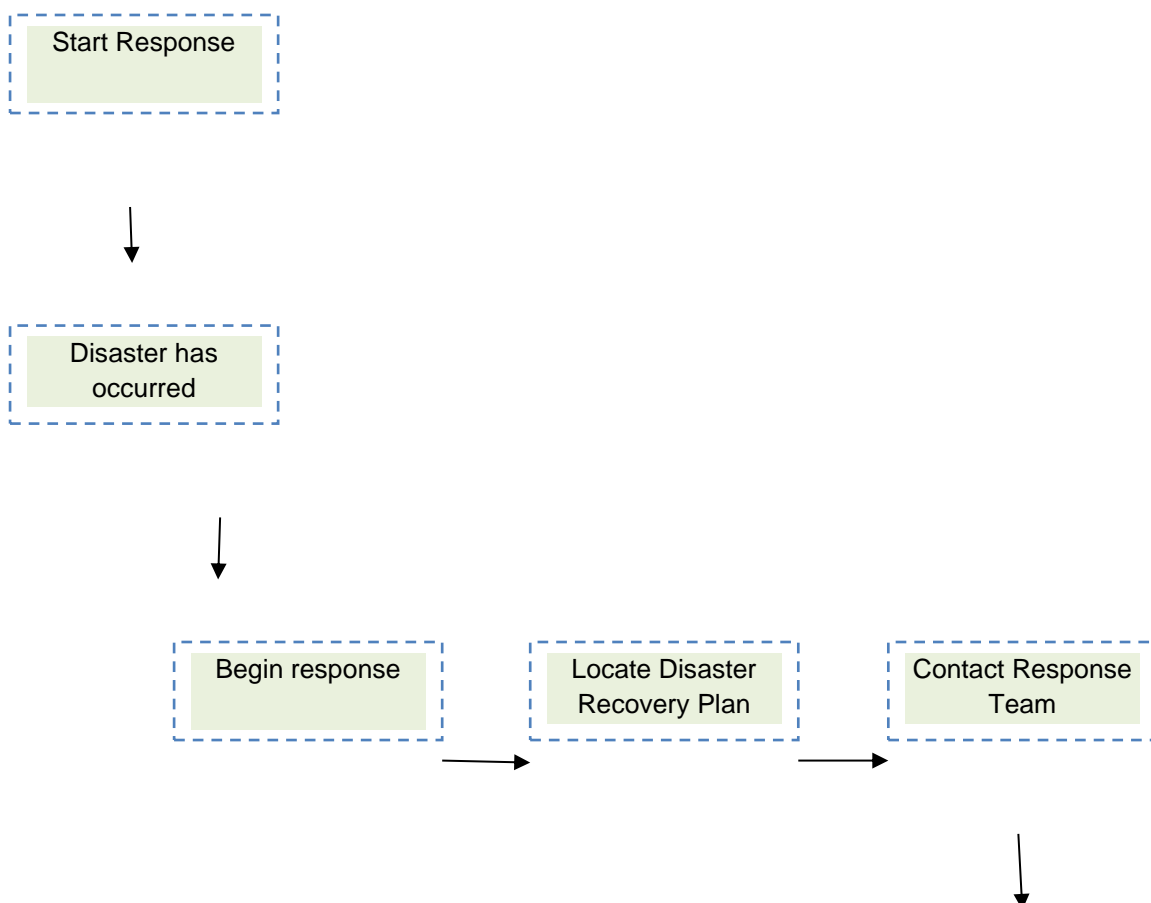
## 6.0 DISASTER RECOVERY STRATEGY

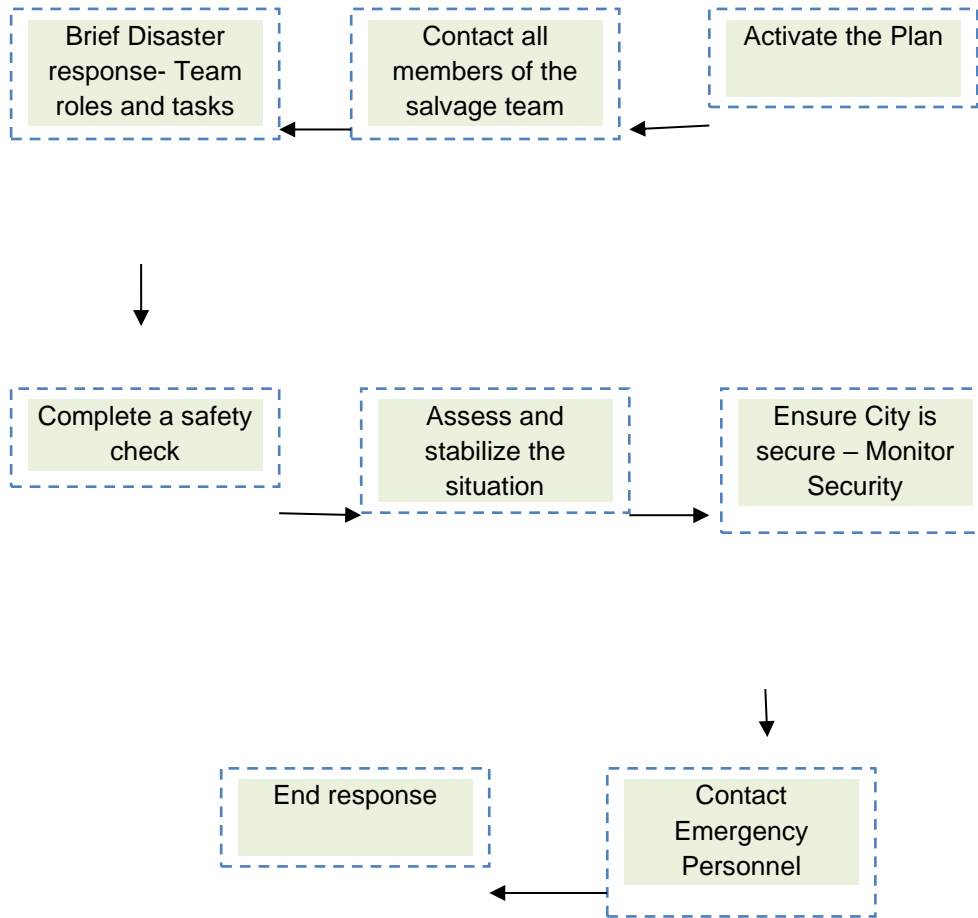
Recovery is the most difficult responsibility under the provisions of the Emergency Management Act 2005. The key success is without doubt, the early establishment and driving force behind the recovery team.

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

### 6.1 Response and Recovery Steps – Flow Chart

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

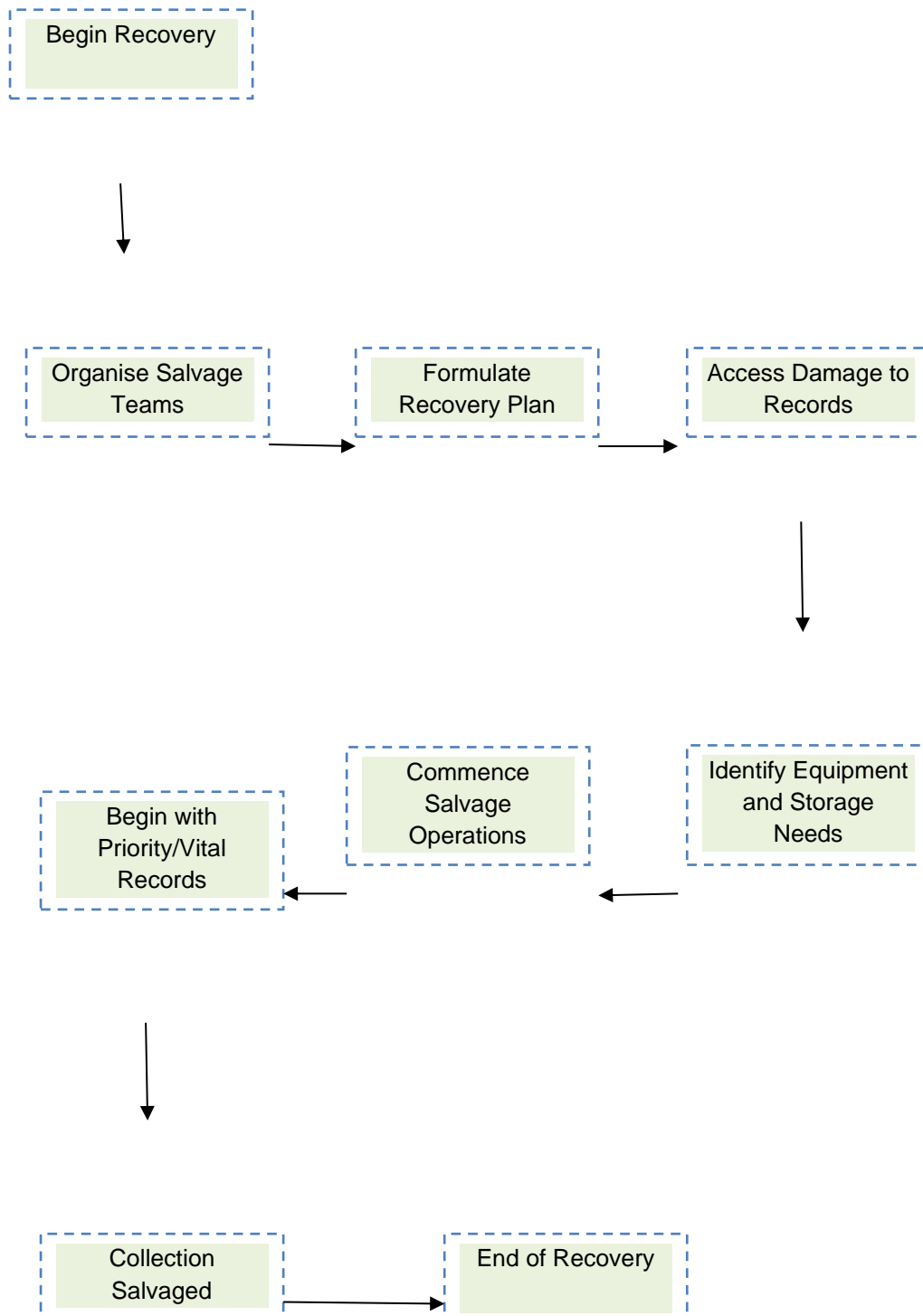




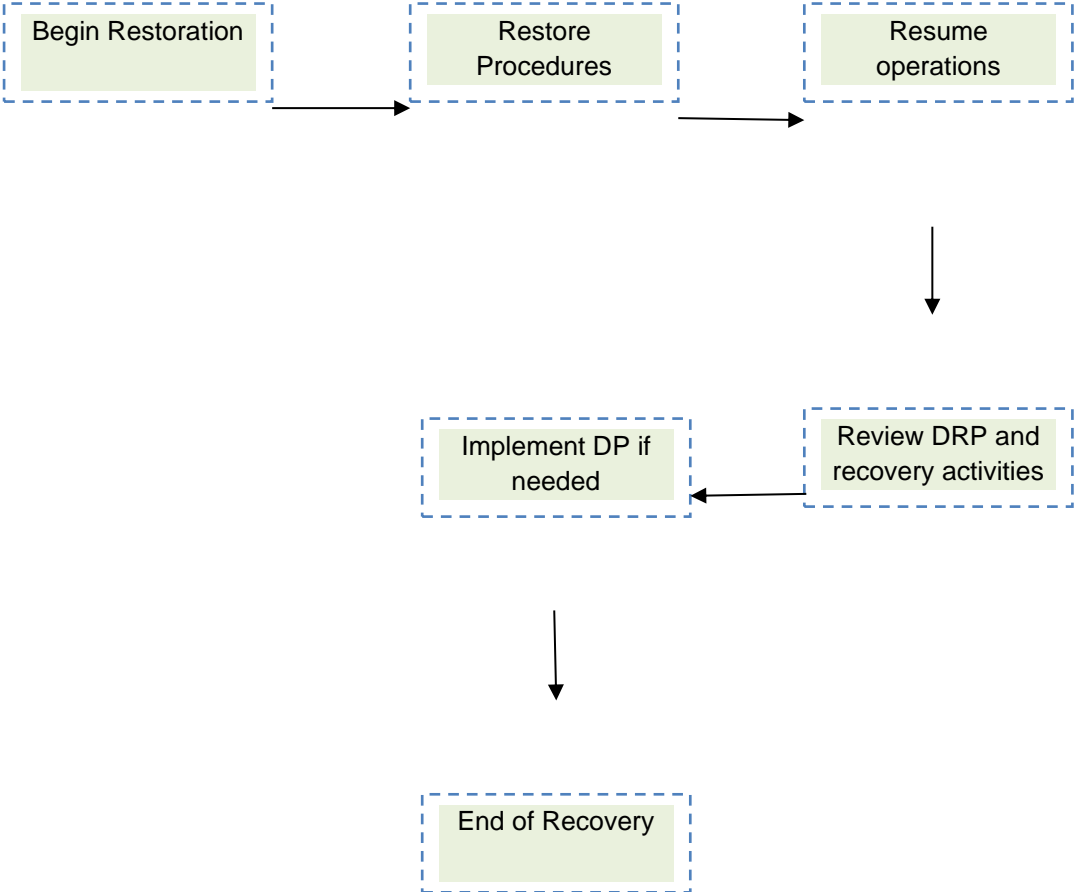


## 6.2 Recovery Action Plan Process

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



**Restoration/Implementation Process**



### 6.3 It System Save

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

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

Key Step/Process	Servers/Process
Select data to save	Full overnight back up is done onto to internal server daily.
Store backup offsite	Full offsite back done nightly by Market Creations

### 6.4 Recovery/Salvage Procedures- Fire/Water/Mould Damage

#### 6.4.1 Fire Damage

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

#### **Guidelines:**

- Deal with affected materials as quick as possible to limit the damage caused;
- Obtain necessary supplies of materials, equipment, services and expertise for salvage;
- Ensure all collection movements are fully documented and any containers labelled;
- Ensure records are tagged with file numbers;
- If labels are damaged or unreadable they should be placed in a plastic sleeve and photocopied or printed from computer system;
- Isolate the material prior to treatment by moving it to a dry place;
- Arrange for freezing, vacuum freeze drying

- Pack in plastic crates or boxes (do not pack the crates too tightly – the records may swell); Placing blotting paper between envelope and documents
- Put envelope and documents in manila folders;
- Send to a freezing facility.

#### **6.4.2 Water Damage**

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

#### **Guidelines:**

Treat in the following order:

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

#### **Freezing:**

- Place spine down;
- Send to a freezing facility.

#### **Maps and Plans:**

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

#### **Books:**

- Fan books open and stand on top or bottom edge; never stand them on the edge;
- Stand books on driest edge first to provide support. As the book dries turn it upside-down to the opposite edge every few hours;

- When the books is no longer wet, but still cool to the touch, close and place on a solid surface with a slight weight to keep distortion to a minimum. Check frequently to ensure that mould is growing;
- Do not try to close open books;
- Remove plastic covers;
- For books with tick covers, place a sheet of water-resistant film such as polyester inside the front cover to prevent moisture to the text.

### Electronic Media:

#### CD's (Do not Freeze)

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

### **6.4.3 Mould Damage**

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

### Guidelines:

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

- After treating materials with alcohol, place blotting paper between pages.

## **6.5 Recovery Salvage Procedures – Disaster Bins & Stores**

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

### **Wheelie Bins:**

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

### **Guidelines:**

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

### **Storeroom:**

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

### **Guidelines:**

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

## 7.0 AFTER THE DISASTER

### 7.1 Cleaning up the Disaster Site

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

#### **Measures:**

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

### 7.2 Re-shelving Treated Records

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

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

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

### 7.3 Reporting

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

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

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



## 8.0 COUNTER MEASURES

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

### 8.1 Local Security

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

### 8.2 Physical Security

The creation of security copies of records is the best defence in the event of a disaster. Security copies are stored in a separate location to original records so that in the event of the original being destroyed or damaged in a disaster, the security copy can be retrieved and used to replace the original.

### 8.3 RKS Review – Storage Areas

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

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

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

## 9.0 RESPONSIBILITIES

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

### 9.1 Disaster Recovery Responsibilities

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

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

## 10.0 RESOURCES

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

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

## 11.0 TRAINING PROGRAM (TRAINING MANUAL)

### 11.1 Recordkeeping Training Program

Team members of the DRP<sup>7</sup> will be trained in the operation of the RKS and associated procedures. Training will be conducted bi-annually and whenever new member joins the team.

### 12.0 Testing Program

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

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<sup>7</sup> Disaster Recovery Plan

## 13.0 APPENDICES

Appendix 1 – Emergency contacts

Appendix 2 – Records Disaster Recovery Requirement List

Appendix 3 – Emergencies Register

Appendix 4 – Vital Records Register

Appendix 5 – Damage Records Document List

Appendix 6 – Materials and Equipment List

Appendix 7 – Disaster Review Form

## 14.0 REFERENCES

A primer on Disaster Preparedness, Management and Response – [www.nara.gov.au](http://www.nara.gov.au)

Business Continuity Institute – <http://www.thebci.org.au>

City of Belmont WA – [www.belmont.wa.gov.au](http://www.belmont.wa.gov.au)

City of Cockburn – [www.cockburn.wa.gov.au](http://www.cockburn.wa.gov.au)

City of Fremantle – [www.fremantle.wa.gov.au](http://www.fremantle.wa.gov.au)

City of Geraldton-Greenough – [www.geraldton.wa.gov.au](http://www.geraldton.wa.gov.au)

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City of Perth – [www.perth.wa.gov.au](http://www.perth.wa.gov.au)

Disaster Preparedness Manual – [www.naa.gov.au](http://www.naa.gov.au)

Emergency Drying Procedure – <http://www.loc.gov/preserv/emerg/dry.html>

Emergency Management Australia – <http://www.ema.gov.au>

Emergency Salvage of wet books and records – [www.nedcc.org](http://www.nedcc.org)

Emergency Salvage of Mouldy books and paper –  
[www.nedcc.org/plam3/tleaf39.html](http://www.nedcc.org/plam3/tleaf39.html)

FEMA – [www.fema.gov.au](http://www.fema.gov.au)

GCG – Goates Consulting Group – [www.goatesconsultinggroup.com](http://www.goatesconsultinggroup.com)

Information Security Baseline controls – [www.oit.nsw.gov.au](http://www.oit.nsw.gov.au)

State Records Act 2000 – Standard Australia – [www.slp.wa.gov.au](http://www.slp.wa.gov.au)

State Records New South Wales – [www.records.nsw.gov.au](http://www.records.nsw.gov.au)

The National Archives & Records Administration – [www.archives.gov/records](http://www.archives.gov/records)

## Appendix 1 – Emergency Contacts

Emergency Contact	Telephone Number
Kleenheat Gas	1800 093 336
Ambulance/Fire Department	000
Big Red Carpet Cleaning	1800 600 066
Calm	9725 4300
Containers (Crates) United Crate Ltd	9455 1540
Cold Storage Facility	9418 0100 – 0401 146 023
DFES	132 500
Emergency Supplies	9376 8822
Fumigation/Pest Control	9965 3330
Flood, Storm & Earthquake Emergencies	1300 130 039
Freeze Drying – Large quantity	9418 0100

Freeze Drying – Small quantity	9444 4489
Horizon Power	132 351
LGIS	9483 8888
Police Attendance	131 444
Poison Information Line	131 126
State Records Office	9427 3360
Steamatic – Recovery & Restoration	03 9587 6572
Water Corporation	131 375



## Appendix 2 – Records Disaster Recovery Requirement List

Item Number	Description	Quantity



**Appendix 3 – Emergencies Register**

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


**Appendix 4 – Vital Records Register – RKM**

<b>Document</b>	<b>Format</b>	<b>Location</b>	<b>Custodian</b>	<b>Status</b>


**Appendix 5 - Damaged Records Document List**

Record	Location	Number	Damage	Category of Salvage	Treatment




**Appendix 6 – Materials and Equipment List**

<b>Materials</b>	<b>Use</b>	<b>Supplier</b>	<b>Phone</b>


**Appendix 7 – Disaster Review Form**

Type of Disaster	Cause	Damage	Duration