RECORD KEEPING PLAN

@ShireofQuairading

@shireofquairading

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A. INTRODUCTION

1. This document is presented to the State Records Commission in accordance with Section 28 of the *State Records Act 2000* (the Act).

2. Section 28 of the Act requires that no more than five years must elapse between the approval of a government agencies Recordkeeping Plan and a review of that Recordkeeping Plan.

3. State Records Commission (SRC) Standard 1 – Government Recordkeeping requires that government agencies ensure that records are created, managed and maintained over time and disposed of in accordance with principles and standards issued by SRC.

4. SRC Standard 2 – Recordkeeping Plans is comprised of six recordkeeping principles, each of which contains minimum compliance requirements.

5. The purpose of this Recordkeeping Plan is to govern how records are created by the Shire of Quairading, and how those records are kept. The Recordkeeping Plan provides an accurate reflection of the recordkeeping program within the organisation, including information regarding the Shire's recordkeeping systems, disposal arrangements, policies and procedures.

6. The Recordkeeping Plan is the primary means of providing evidence of compliance with the requirements of the Act, and the implementation of best practice recordkeeping within the organisation.

7. The objective of the Shire of Quairading Recordkeeping Plan 2018 is to ensure:

    7.1 Compliance with Section 28 of the State Records Act 2000;

    7.2 That recordkeeping within the organisation is moving towards compliance with State Records Commission Standards and Records Management Standard AS ISO 15489;

    7.3 That there are processes in place to facilitate the complete and accurate recording of business transactions and decisions;

    7.4 That recorded information can be retrieved quickly, accurately and cost effectively when required; and

    7.5 The protection and preservation of the organisation's records.

B.   SCOPE

1. This Recordkeeping Plan applies to all Shire:

    1.1   Employees;

    1.2   Contractors;

    1.3   Elected Members; and

    1.4   Organisations performing outsourced services on behalf of the Shire.

2. This Recordkeeping Plan supersedes all previous versions and applies to all records created or received by any of the above parties, regardless of:

    2.1   Physical format;

    2.2   Storage location; or

    2.3   Date created.

3. For the purposes of this Recordkeeping Plan, a record is defined as meaning 'any record of information however recorded,' and includes:

    3.1   Anything on which there is writing or Braille;

    3.2   A map, plan, diagram or graph;

    3.3   A drawing, pictorial or graphic work or photograph;

    3.4   Anything on which there are figures, marks, perforations or symbols having meaning for persons qualified to interpret them;

    3.5   Anything from which images, sounds or writings can be reproduced with or without the aid of anything else; and

    3.6   Anything on which information has been stored or recorded, either mechanically, magnetically or electronically.

    (*State Records Act 2000*)

C.   LEGISLATIVE AND STRATEGIC CONTEXT

1. This Recordkeeping Plan complies with the *State Records Act 2000* and the State Records Commission Standards.

D. REVIEW POSITION AND DATE

1. This Recordkeeping Plan was approved by the Executive Management Team on 15 April 2022.

2. This Recordkeeping Plan must be reviewed every five years, or earlier if considered necessary.

E. ASSOCIATED DOCUMENTS

1. The following Shire of Quairading documents (currently under development) relate to this Recordkeeping Plan:

    1.1 Community Strategic Plan

    1.2 Business Plan

    1.3 Records Management Policy

    1.4 Legal Deposit Procedure

    1.5 Inactive Records Procedures & Destruction Procedure

    1.6 Recordkeeping Responsibilities for Staff

    1.7 Provision of Records to Police Procedure

    1.8 Content Management System User Guide

    1.9 Business Continuity Plan

    1.10 Records Disaster Recovery Management Plan

    1.11 Records Induction Checklist

    1.12 Copy of Certificate of Destruction & Authorisation Forms

F. ACRONYMS & DEFINITIONS

1. Acronyms

    1.1 *State Records Act 2000 (the Act);*

    1.2 State Records Commission (SRC)

    1.3 Electronic Document Records Management System (EDRMS)

2. Definitions

1.1 Corporate Record

means any hard-copy, digital or online record that meets one or more of the following criteria:

1.1.1   It conveys information essential or relevant in decision-making processes.

1.1.2   It conveys information upon which others will, or may, use to make decisions affecting the Shire's operations, rights and obligations under legislation.

1.1.3   It commits the Shire to certain courses of action, the commitment of resources or provision of services.

1.1.4   It conveys information about matters of public safety or public interest, or involves information upon which contractual undertakings are entered into.

1.1.5   The information is likely to be needed for future use or is of historical value.

1.2 Ephemeral Records

means any record that has no continuing value to the Shire, including duplicated records and/or those that have only short-term value with little or no on-going administrative, fiscal, legal, evidential or historical value. The Shire uses the guidelines contained within the General Disposal Authority for Local Government Records to determine which records are considered ephemeral.

1.3 General Disposal Authority

means the General Disposal Authority for Local Government records (the schedule). It is designed to provide consistency throughout Local Governments in disposal activities and decisions. It is a continuing authority for the disposal and archival of records which document a Local Government's operations.

1.4 Government Record

means a record created or received by a government organisation or a government organisation employee in the course of their work for the organisation.

1.5 Record

means any record of information however recorded, and includes:

1.5.1   Anything on which there is writing or Braille;

1.5.2   A map, plan, diagram or graph;

1.5.3   A drawing, pictorial or graphic work or photograph;

1.5.4   Anything on which there are figures, marks, perforations or symbols having meaning for persons qualified to interpret them;

1.5.5   Anything from which images, sounds or writings can be reproduced with or without the aid of anything else; and

1.5.6   Anything on which information has been stored or recorded, either mechanically, magnetically or electronically.

1.6 Record Keeping Plan

means a plan that ensures records are created, managed and maintained over time and disposed of in accordance with principles and standards issued by the State Records Commission. It is the primary means of providing evidence of compliance with the Act, and that best practices have been implemented in the organisation.

1.7 Records Disposal

means depositing records in the State Archives, managing the records as designated by State Archives or by destruction in accordance with policy.

1.8 Significant Records

means records containing information, which is of administrative, legal, fiscal, evidential or historical value, and are not recorded elsewhere on the public record. They describe a topic, record who was involved, why a decision was made, and may include actual guidelines.

1.9 State Record

means a parliamentary or government record.

1.10 Vital Records

means records essential to the continued business of the Shire. Vital Records include those that protect the rights of the individual and the organisation, and are absolutely essential for reconstruction in the event of a disaster.

G. PRINCIPAL ONE: PROPER & ADEQUATE RECORDS

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

1. Historical Background

Quairading is located in the central Wheatbelt of Western Australia, on Noongar Ballardong country just 167km east of Perth on the York-Quairading Road.

Quairading is a farming community with a population of approximately 1200, producing cereal and grain crops, forestry, wool, sheep and cattle supported by rural service industries. The district includes the localities of Quairading, Pantapin, Yoting, Badjaling, Dangin, South Caroling, Balkuling, Doodenanning and Wamenusking.

The town of Quairading was officially gazetted on 7th August 1907 and a railway extension from Greenhills to Quairading was built in 1908 with Quairading at the terminus. By 1909 there was a hotel, general store, blacksmith, baker, carpenter and two banks. The Quairading district quickly went ahead and by 1950 there was very little farming land which had not been cleared and brought into production. The small community at Dangin was eventually disbanded in favour of one central settlement at Quairading. Dangin's status as a 'dry' town also led to its demise as people were drawn to the licensed hotel at Quairading.

Improvements in technology and farming methods have resulted in a steady increase in production and a decrease in population as manual labour lessens in demand.

2. Strategic Focus & Main Business Activity

The Shire's Community Strategic Plan sets out our vision, aspirations, objectives and community priorities into the future and is our principal strategy and planning document. The Shire's Corporate Business Plan summarises the current and future resources required to deliver services, projects and programs over the next five years to implement the Community Strategic Plan and is supported by informing strategies and plans that are fully aligned with business plans for each business unit, our long-term financial plan, our strategic asset management plans and our people strategy.

3. Outsourced Functions

The Shire of Quairading outsources the following functions:

- Waste collection services;

- Document destruction; and

- Cleaning services.

4. Major Stakeholders

The Shire of Quairading recognises residents, ratepayers, regulatory bodies, funding bodies, the general public, elected members and employees as its major stakeholders.

5. Enabling Legislation

The Shire of Quairading was established under, and operates in accordance with, the *Local Government Act 1995.*

6. Governing Legislation

Governing legislation and regulations that directly affect the functions and operations of the Shire of Quairading:

- *Argentine Ant Act 1968*

- *Builders Registration Act 1939*

- *Building Regulations 2012*

- *Building Act 2011*

- *Bush Fires Act 1954*

- *Bush Fire (Infringements) Regulations 1978*

- *Bush Fire Regulations 1954*

- *Caravan Parks and Camping Grounds Act 1995*

- *Caravan parks and Camping Grounds Regulations 1997*

- *Cat Act 2011*

- *Cat Regulations 2012*

- *Cat (Uniform Local Provisions) Regulations 2013*

- *Cemeteries Act 1986*

- *Control of Vehicles (Off-Road Areas Act 1978)*

- *Criminal Code Act Compilation Act 1913*

- *Disability Services Regulations 2004*

- *Dividing Fences Act 1961*

- *Dog Act 1976*

- *Dog Regulations 2013*

- *Dog (Restricted Breeds) Regulations (No. 2) 2002*

- *Electronic Transactions Act 2011*

- *Emergency Management Act 2005*

- *Environmental Protection Act 1986*

- *Environmental Protection Act Regulations 1987*

- *Environmental Protection (DEPM-UPM) Regulations 2007*

- *Equal Employment Opportunity Act 1984*

- *Evidence Act 1906*

- *Fines, Penalties and Infringement Notice Enforcement Act 1994*

- *Fire and Emergency Services Authority of Western Australia Act 1998*

- *Food Act 2008*

- *Freedom of Information Act 1992*

- *Freedom of Information Regulations 1993*

- *Hairdressing Establishment Regulations 1972*

- *Public Health Act 2016*

- *Public Health Regulations 2017*

- *Health (Air Handling and Water Systems) Regulations 1994*

- *Health (Aquatic Facilities) Regulations 2007*

- *Health (Asbestos) Regulations 1992*

- *Health (ANZ Food Standards Code Adoption) Regulations 2001*

- *Health (Cloth Materials) Regulations 1985*

- *Health (Garden Soil) Regulations 1998*

- *Health Act (Laundries and Bathrooms) Regulations*

- *Health (Meat Hygiene) Regulations 2001*

- *Health (Offensive Trade Fees) Amendment Regulations 2014*

- *Health (Pesticides) Regulations 2011*

- *Health (Pet Meat) Regulations 1990*

- *Health (Poultry Manure) Regulations 2001*

- *Health Act (Public Buildings) Regulations 1992*

- *Health (Section 112(2) Prohibition) Regulations 2006*

- *Health (Skin Penetration Procedure) Regulations 1998*

- *Health (Temporary Sanitary Conveniences) Regulations 1997*

- *Health (Treatment of Sewerage & Disposal of Effluent & Liquid Waste) Regulations 1974*

- *Health Act (Underground Water Supply) Regulations 1959*

- *Health (Adoption of Food Standards Code) Regulations 1992*

- *Health (Food Standards) (Administration) Regulations 1986*

- *Heritage of Western Australia Act 1990*

- *Heritage of Western Australia Regulations 1991*

- *Industrial Relations Commission Regulations 2005*

- *Industrial Regulations Act 1979*

- *Interpretation Act 1984*

- *Land Administration Act 1997*

- *Land Valuation Tribunals Act 1978*

- *Library Board of Western Australia Act 1951*

- *Limitation Act 2005*

- *Litter Act 1979*

- *Litter Regulations 1981*

- *Liquor Licensing Act 1988*

- *Local Government (Administration) Regulations 1996*

- *Local Government (Amendment of Part VIA-Employee Superannuation) Regulations 2006*

- *Local Government Act 1995*

- *Local Government (Audit) Regulations 1996*

- *Local Government (Constitution) Regulations 1998*

- *Local Government (Elections) Regulations 1997*

- *Local Government (Financial Management) Regulations 1996*

- *Local Government (Function and General) Regulations 1996*

- *Local Government (Miscellaneous Provisions) Act 1960*

- *Local Government Grants Act 1978*

- *Local Government (Parking for Disabled Persons) Regulations 1988*

- *Local Government (Uniform Local Provisions) Regulations 1996*

- *Occupational Safety and Health Act 1984*

- *Occupational Safety and Health Regulations 1996*

- *Planning and Development Act 2005*

- *Planning and Development (Local Government Planning Fees) Regulations 2000*

- *Radiation Safety Act 1975*

- *Rates and Charges (Rebates and Deferments) Act 1992*

- *Retail Trading Hours Act 1987*

- *Retail Trading Hours Regulations 1988*

- *Road Traffic Act 1974*

- *Sewerage (Lighting, Ventilation and Construction) Regulations 1971*

- *Spear-guns Control Act 1955*

- *State Records Act 2000*

- *State Records Principles and Standards 2002*

- *Strata Titles Act 1985*

- *Strata Titles General Regulations 1996*

- *The Privacy Act 1988*

- *Tobacco Products Control Act 2006*

- *Tobacco Products Control Regulations 2006*

- *Town Planning Regulations 1967*

- *Town Planning and Development (Subdivisions) Regulations 2000*

- *Transfer of Land Act 1893*

- *Waste Avoidance and Resource Recovery Act 2007*

- *Western Australia Disability Services Act 2004*

- *Workers Compensations and Injury Management Act 1981*

- *Workers Compensation and Injury Management Regulations 1982*

7. Shire of Quairading Local Laws

The following Local Laws have been imposed upon or adopted by the Shire of Quairading:

- *Activities in Thoroughfares and Trading in Thoroughfares and Public Places Local Law 2016*

- *Animals, Environment and Nuisance Amendment Local Law 2019*

- *Animals, Environment and Nuisance Local Law 2019*

- *By-Law Relating to Buildings - Brick Area 1970*

- *By-Law Relating to Buildings - Brick Area Amendment 1995*

- *Cemetery Local Law 2016*

- *Dogs Local Law 2017*

- *Extractive Industries Local law 2011*

- *Health Local Law 2016*

- *Joint Standing Committee on Delegated Legislation Undertakings relating to Animals, Environment and Nuisance Local Law 2017*

- *Local Government Property Local Law 2016*

- *Pest Plants Amendment Local Law 2018*

- *Pest Plants Local Law 2016*

- *Repeal Local Law 2016*

    8.   Government Policy & Industry Standards

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

- Australian Records Management Standard ISO/AS 15489;

- Australian Accounting standards;

- National Competition Policy;

- State Records Commission Principles and Standards;

- WA Government Policy, Premier's Instructions and Public Sector Commissioner's Circulars;

- Government Disposal Authority for Local Government Records DA2015001]; and

- Australian Building Codes – standard

H.   PRINCIPAL TWO: POLICIES & PROCEDURES

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

    1.   Records Management & Business Information Systems

The Shire of Quairading stores and manages its records using a hard copy onerous and inadequate information management system. The organisation is transitioning to IT Vison's Altus Connect and this transition will be finalised by December 2022.

Altus Connect will provide efficient and secure interoperability and dynamic transport of data between Altus and third party systems. An integration platform, Altus Connect will enable streamlining and automation of critical data between the existing on-site SynergySoft installations and Altus cloud-based systems, minimising costs and disruption to the organisation.

Altus Connect offers customisable data workflow management capabilities and can identify and resolve erroneous data errors.

2. Records Management System

The Shire of Quairading's records management system is inadequate and this has been recognised by the incoming CEO and Executive Management Team (incoming as of 2022). The system consists of both hard copies and electronic records. Hard copy records are scanned and registered on F:Drive. There is no secure mechanism to stop files from being deleted (accidentally or deliberately). Hard copy records are sometimes placed on physical files and stored in a records room. The organisation is currently transitioning to IT Vison's Altus Connect and this transition will be finalised by December 2022.

Retention and disposal of physical files is managed in accordance with the General Disposal Authority DA2015- 001. Physical files are created using the Keywords for Council Thesaurus.

3. Business Information Systems

The organisation is transitioning to IT Vison's Altus Connect and this transition will be finalised by December 2022.

Connect is an intuitive browser-based Enterprise Content Management (ECM) solution connecting people to content. Content provides access to corporate information with improved responsiveness, increased quality, and high levels of customer satisfaction. It provides organisations with an efficient mechanism to capture, manage, store, preserve and deliver disparate corporate information produced in varied systems and communicated via different channels. Content aggregates content from multiple sources to streamline business processes, using Advanced Optical Character Recognition (OCR) to capture all content types. This allows organisations to manage the entire content lifecycle. Altus Content supports automatic capture and classification of content and is available through a range of cloud and SaaS.

4. Records Management Policy & Procedures

The registration, creation and management of the Shire's records will be underpinned by Recordkeeping Policies and Procedures. Please refer to the list of documents in Section 14.

5. Hard Copy Records

The creation and management of hard copy records will be carried out by all staff.

Recordkeeping Activities for the management of hard copy records	Yes	Part Compliant	No
Correspondence capture and control – including incoming and outgoing mail registration; responsibilities assigned for classifying, indexing and registration; file titling and file numbering conventions.		✓	

Mail distribution – including frequency, tracking mechanisms and security measures.		✓	
File creation and closure – including assigned responsibility and procedures for file creation.		✓	
Access to corporate records – procedures for access to and security of corporate records.		✓	
Authorised disposal of temporary records and transfer of State archives to the State Records Office (SRO) – responsibilities assigned and a regular disposal program is in place.	✓		

6. Electronic Records

The creation and management of the Shire's digital records, including digital mail, will be carried out by all users.

Recordkeeping Activities for the management of hard copy records	YES	NO
Electronic records management – including the organisation's approach and methodology for the capture and management of its electronic records (e.g. print and file, identification of the official record, use of EDRMS, hybrid system etc.).		✓
Email management - including the capture, retention and authorized disposal of email messages to ensure accountability Should indicate whether the organisation is utilising a document management system or hard copy records system (e.g. print and file, identification of the official record, use of EDRMS, hybrid system etc.		✓
Website management- including the purpose of the site, capture of all the information published to the website within the corporate system, and mechanisms for recording website amendments. The Shire of Quairading's websites are maintained by the Website Coordinator and are the responsibility of the Manager of the specific area of the business. There is no specific Policy for the management of the website.		✓
Metadata management – including authority for the capture and control of metadata.		✓

System/s management - including any delegations of authority for the control and security of systems utilised by the organisation.		✓
Migration strategy - strategies planned or in place for migrating electronic records (and any assigned responsibilities) for long-term retention and access. See Public Records Policy: 8 - Policy for the ongoing management of electronic records designated as having archival value. *Shire of Quairading Migration Action Plan.*		✓

The Shire has commenced creating the following Procedures:

- Records Management Procedure-End Users

- Procedure for Processing Inactive Files and Destruction;

- Records Induction Check List Form;

- Legal Deposit Procedure; and

- Provision of Records to Police Procedure.

These procedures will encompass the following activities:

- Correspondence capture and control – including incoming and outgoing mail registration;

- Responsibilities assigned for classifying, indexing and registration; file titling and file numbering conventions;

- Mail distribution – including frequency, tracking mechanisms and security measures;

- File creation and closure – including assigned responsibility and procedures for both physical and automated file creation;

- Access to corporate records – including procedures for access to and security of corporate records;

- Authorised disposal of temporary records;

- Digital records management – including the organisation's approach and methodology for the capture and management of its digital records (e.g. print and file, identification of the official record, use of EDRMS, hybrid system etc.);

- Email management – including the capture of email correspondence.

The Shire's Intranet will contain Corporate Documents. The use of the Intranet will be governed by the Corporate Document Policy, to ensure that corporate documents are relevant, uniform, accessible and user friendly.

All corporate documents will be developed and reviewed in accordance with the Corporate Document Development and Review Policy, which will ensure that Corporate Documents are written in a standardised and accessible manner, are developed in consultation with relevant stakeholders, are formally adopted by Council and that mechanisms are established to support their implementation and review.

The Shire has put out a Request for Quote to re-develop the website. The Shire has the following website:

- www.quairading.wa.gov.au

The Shire of Quairading website will be transactional in addition to providing access to information. The following functions will be accessed through www.quairading.wa.gov.au:

- Pay Rates-online rate payments. These transactions will be captured in the Rates module of Altus.

- Online lodgements of Building Applications, including a tracking function to track the progress of an application. These applications will be captured in the Building module of Altus.

Metadata management – including requirements for the capture of metadata in information systems, whether automatic or manual; Capturing metadata into the Shire's EDRM will be the responsibility of all staff and will be done manually.

System/s management will be guided by the Information Management (IT System Security) Policy. This will be an overarching policy that defines the access to the Shire's Electronic Business Systems in order to protect public and/or commercial information.

Delegated 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.) is governed by the Shire of Quairading Delegations Register, which is reviewed and adopted annually by Council.

The Shire is in the process of identifying valuable or at risk records which are not currently held in digital format, including cemetery records, and converting them to digital format.

7. Certification of Policies & Procedures

Each of the Shire's Policies and Procedures contains a Document Approval and Document Revision History which details the method of approval (i.e. either approved by the Executive Management Team or adopted by Council).

8. Evaluation of Policies & Procedures

The Recordkeeping Policies and Procedures for the Shire of Quairading will cover all categories identified in Principle 2 of SCR Standard 2 and will be deemed appropriate and effective. The Shire will promote continuous improvement in all policies and procedures to ensure that they are contemporary, relevant and effective, and that the Shire keeps pace with the changing corporate environment.

I. PRINCIPAL THREE: LANGUAGE CONTROL

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

1. Keyword AAA Thesaurus Implemented

The Shire of Quairading will adopt and implemented the Keyword AAA Thesaurus which will guide and inform the classification, titling and indexing of the Shire's records.

2. Assessment of its Effectiveness

The Thesaurus will enable effective recordkeeping by ensuring consistency in the classification, titling and indexing for both administrative and functional activities of the Shire of Quairading, not only for registration/capture of records, but for also retrieval of records.

3. Identified Areas for Improvement

Particular areas for improvement have been identified:

- The need to transition from an insecure, inadequate and onerous manual system to digital format;

- Training for staff.

- Improved short title contents and metadata (search terms); and

- Correct file selection.

J. PRINCIPAL FOUR: PRESERVATION

Government organisations ensure that records are protected and preserved.

Please refer to the Shire of Quairading Records Disaster Recovery Management Plan.

1. Assessment of Risks

1.1   On Site Storage

The Shire of Quairading has its current, non-current, permanent and archival records located in the archive storeroom in the Shire Administration Building. This storage facility includes:

- Metal shelving with core flute board placed on the shelves;

- Secure premises with limited access;

- Fire detection system, smoke alarms and a hand held fire extinguisher;

- Climate control air conditioning for 24 hours per day at a controlled temperature;

- Disaster Recovery Kit;

- Compactum housing vital records;

- Large metal lockable container containing title deeds; and

- Secure Server Room (secured with access restricted to authorised staff).

Records are at risk of damage or destruction from fire, flood and rain. The Shire has undertaken the measures detailed above to mitigate risk.

1.2   Offsite Storage

Other than historical records with State Archives, the Shire does not have offsite storage for hard copy records. Every effort is being made to ensure conversion of hard to soft copy records and archival in the Cloud to reduce the need for hard copy storage.

1.3   Security of Premises

The Shire's Administration Building is fitted with an intruder alarm system. CCTV covers the front of the building, the reception and the rear loading dock/driveway. Access is regulated by keyed external doors and electronic access control on internal access doors.

1.4   Fire Detection/Suppression System

Smoke detectors are incorporated into the Security Alarm System.

1.5   Air Conditioning

There is no specific programming for air-conditioning – this is subject to external conditions.

1.6   Type of Shelving

The archive room is equipped primarily with metal shelving, purpose built for storage in an office/storage environment.

1.7   Data Centre and Cloud Storage

The Shire of Quairading will be entering into an arrangement with third parties to store electronic data/digital information and records in data centres or cloud storage facilities within the next 12 months.

1.8   Storage of Archives

The Shire of Quairading holds State Archive Records in its archive storeroom, which has secure, restricted access and the ability for temperature control.

Electronic records in the Shire's EDRM are backed up on a daily basis.

1.9   Storage of Backups

Electronic backups of the Shire's electronic information are held offsite.

1.10   Quantity of Records

The Shire of Quairading has custody of both hard copy and soft copy records. The amounts of each will need to be determined once the transition to Altus Content has been finalised.

1.11   Security and Access

The Shire has one main Server Room which is a secure room with access restricted to approved staff only.

A risk assessment has been undertaken as part of the Shire's Business Continuity Plan and Disaster Recovery Plan to ensure that the Shire can continue to operate in a crisis situation.

1.12   Assessment of Impacts of Disasters

A risk assessment has been undertaken regarding the risk of a disaster occurring which may affect the records of the Shire. This likelihood of a disaster has been rated as *Possible.*

The impact of a disaster affecting the Shire's records has been assessed as *Medium.* The Shire considers that there are sufficient strategies in place to ensure that the business activities of the organisation will be managed appropriately in the event of a business interruption due to a disaster.

2.   Strategies in Place for Preservation and Response

The following strategies have been developed by the Shire in order to mitigate the impacts of a disaster, including a response strategy.

2.1   Vital Records

Vital records in hard copy are stored in a compactus in the archive storeroom. To mitigate the risk of loss, these records have been scanned and captured in the Shire's EDRMS. The digital copies are used for all normal business activities.

2.2   Back Up Procedures for Electronic Records

Electronic records are backed up daily. The backups are stored offsite.

2.3   Preservation of Electronic Records

The Shire will implement the following processes to ensure that electronic records are accessible and readable into the future:

- The Shire archives data to removable storage devices.

- A Migration Strategy is being developed and will enable migration of hard copy and digital records currently assessed as at risk or of high value to an open format to ensure accessibility and readability into the future.

3. Security

The following security measures will be implemented by the Shire to prevent unauthorised access to records:

- Hard copy records are stored in a secure room accessible only to approved staff.

- Physical files loaned to staff are tracked manually.

- Hard copy records stored securely in the Shire's archive room.

- Digital records have access levels determined in accordance with file structure and staff key responsibilities.

- Access to the Server Room is restricted to authorised staff only.

- All access to secure areas such as the Records Room, Archive Room and Server Room is restricted.

4. Storage Reviews

The records storage facilities utilised by the Shire will be reviewed every six months to ensure that conditions are appropriate for the organisation's records. There are no plans to expand onsite storage as the onsite storage currently utilised by the Shire is considered appropriate for the organisation's needs. This will be assessed on a yearly basis.

5. Recovery of Lost Information

The Shire will develop a set of quick response strategies to recover lost information in all formats should a disaster occur:

- Core Servers will be replicated offsite so that in the event of a disaster, the replicated servers can be activated through a script. This process will ensure that there is a maximum loss of 15 minutes of data entry.

- A Disaster Recovery Kit will be located on site in the Archive Room to assist in the recovery of hard copy records. In addition, the Shire also has in place a Records Disaster Recovery Management Plan.

6. Identified Areas for Improvement

A large volume of hard copy records held by the Shire are not scanned and held as digital records. These records are largely historic and relate to the Shire of Quairading. Although the risk to these records in a disaster event is considered low, the loss of information could be significant.

The back scanning of these records will be undertaken as a project. This project has already begun.

Ongoing Records Awareness Training across the organisation to address the number of records being stored on network drives will be undertaken. This will result in an increase in the number of records of this type being captured on the Shire's EDRMS. This training and awareness will continue into the future.

A Records Self-Assessment Checklist will be developed for use across the organisation to identify training needs.

K.   PRINCIPAL FIVE: RETENTION AND DISPOSAL

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

1. General Disposal Authority for Local Government Records

The Shire uses the Retention and Disposal Schedule DA2015-001 relating to all functional records held by the Shire, which was released by State Records in June 2016. This Schedule replaces the previous General Disposal Authority RD2010046.

2. Existing Ad Hoc Disposal Authorities

The Shire of Quairading does not use any Ad Hoc disposal authorities.

3. Existing Disposal Lists

The Shire of Quairading does not have any Disposal Lists.

4. Restricted Access Archives

The Shire does not hold any archival records which would require restricted access when transferred to the SRO.

5. Transfer of Archives

An Archives Transfer Request form has *not* been submitted to the SRO. The Shire will transfer State Archives to the State Archives Collection for permanent preservation when requested by the SRO.

6. 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 has not identified any State Archives that will not be transferred to the SRO for permanent preservation.

7. Disposal Program Implemented

The Shire will conduct a regular twice yearly (June and December) disposal program. The Shire of Quairading's Retention and Disposal Schedule DA2015-001 and the General Disposal Authority for State Government Information have not yet been fully implemented within the organisation.

8. Authorisation for Disposal of Records

Before any records are destroyed or transferred to the SRO, a list of the records due for destruction or transfer is provided to the Responsible Officer for the Shire. This process allows for the review of documents due for destruction. Officers may request any records which are not held in digital format to be scanned prior to destruction or re-sentenced for a longer period. The Destruction Schedule can then be authorised by the Records Officer, Executive Director Corporate Services and the Chief Executive Officer.

9. Identified Areas for Improvement

The Shire has not identified any areas for improvement relating to the current scheduled disposal/destruction of hard copy records. However, with the Shire moving towards the Altus Connect program, there is now a need to consider the destruction/disposal of digital records.

L.   PRINCIPAL SIX: COMPLIANCE

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

1. Staff Training, Information Sessions

The Shire will implement the following activities to ensure that all staff are aware of their recordkeeping responsibilities and receive appropriate training to enable compliance with the Recordkeeping Plan:

- Induction for new employees.

- Self-Assessment Checklist as part of the induction process for employees to identify further training needs.

- In-house one to one Records Awareness training as required for all staff members and business units.

- Advanced group training using external training providers.

- Online Records Awareness training for employees using a training module in ELMO.

- Tutorials on the Shire's Intranet, including quick reference and 'Cheat Sheets'.

2. Induction Programs

New employees will be required to participate in an initial induction which introduces them to the Shire's record keeping system. As part of this induction, employees will be provided with the End User Procedures for Recordkeeping and Quick Reference Guide. In addition they will be provided with a Self-Assessment Check List which they can use to identify areas in which they require further training and support.

As part of the induction process, new employees will complete the Records Awareness online training module in ELMO. Online tutorials will also be available on the Shire's intranet.

Ongoing support and one to one training will always available upon request.

3. Performance Indicators

A set of Key Performance Indicators will be developed to monitor the Shire's recordkeeping performance.

4. Agency's Evaluation

The risk management matrix will enable the Shire to evaluate on a quarterly basis the performance and compliance functions of recordkeeping. The Shire will aim for continuous improvement in all functions across the organisation.

5. Identified Areas for Improvement

The Shire is committed to continuous improvement in both our recordkeeping systems and procedures, and records awareness training across the organisation.

The Shire will continue to evaluate and assess our current recordkeeping system to ensure that recordkeeping systems within the organisation are compliant and effective.

Training and induction across the organisation will be conducted in accordance with the most current information available to us.

Ongoing training will be provided across the organisation to improve records awareness. The introduction of "ELMO", a cloud based product which delivers online training across the Shire, will be considered. A Self-Assessment Form will also be implemented, and will identify training requirements/opportunities for staff across the organisation.

M. 7 – SRC STANDARD 6 - OUTSOURCED FUNCTIONS

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

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

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

1. Recordkeeping Issues Included in Contracts

The Shire of Quairading will include the creation and management of proper and adequate records of the performance of outsourced functions in the planning process for the outsourced functions. These requirements will be included in the signed contract/agreement, and will ensure that records created and controlled by a contractor are managed in accordance with contemporary record keeping standards stipulated by the Shire of Quairading.

The following clause will be included in all contract documents and will address recordkeeping responsibilities for contractors:

2. Recordkeeping

All manuals, drawings, computer programs or other records supplied by the Principal to the Contractor during the course of the Contract shall be returned to the Principal upon termination or completion of the Contract.

The Contractor shall ensure that all records relevant to, or created in the course of this Contract are held in a safe and secure manner, in line with industry best practice; i.e. backups completed, paper records held in a fire proof environment.

The Principal will be provided access to all records held by the Contractor associated with this Contract within twenty four (24) hours of written request. Such requests will be in the support of Contract performance measuring, general information resource for the Principal or to meet Freedom of Information legislation requirements.

3. Planning

The Shire will include the creation and management of proper and adequate records of the performance of the outsourced functions, in the planning process for the outsourced functions. This includes Tender Documents and Contracts.

4. Ownership

The Shire includes in all contracts a clarification that ensures the ownership of State records is addressed and resolved during outsourcing exercises. This clause is included in the signed contract/agreement.

5. Control

Any contractor undertaking outsourced functions on behalf of the Shire must ensure that records created and controlled by them in either hard copy or digital format are stored in accordance with the recordkeeping standards, policies, procedures and guidelines stipulated by the Shire.

6. Disposal

The disposal of all State Records which are the product of or are part of any contract/agreement between the Shire and a contractor/agent will be disposed of in accordance with the General Disposal Authority for State Government Information published by the State Records Office.

7. Access

Conditions for the provision of access to any State records produced in the course of a contract/agreement for outsourced functions are detailed in the signed contract/agreement.

8. Custody

Custody of documents which are the product of or are part of any contract/agreement between the Shire and a contractor/agent for State records are specified in the signed contract/agreement.

9. Contract Completion

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

10. Identified Areas for Improvement

The Shire has identified outsourced functions and recordkeeping requirements which have been addressed in contracts for outsourced functions in accordance with requirements of the Act. The Shire will continue to update the requirements to be addressed in contracts for outsourced functions in accordance with the most recent requirements under the Act.