

**Shire of York
Recordkeeping Plan
2020**

VERSION CONTROL AND ENDORSEMENT

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INTRODUCTION

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

State Records Commission (SRC) Standard 1 – *Government Recordkeeping* requires that government 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 York 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 organization's recordkeeping system(s), disposal arrangements, policies, practices and processes. The Recordkeeping Plan is the primary means of providing evidence of compliance with the Act and the implementation of best practice recordkeeping within the organisation.

The objectives of the Shire of York RKP are to ensure:

- Compliance with Section 28 of the *State Records Act 2000*;
- Recordkeeping within the organisation 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 cost effectively when required; and the
- Protection and preservation of the organisation's records.

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

This Recordkeeping Plan applies to all:

- Employees;
- Contractors;
- Organisations performing outsourced services on behalf of the Shire of York; and
- 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.”

This Recordkeeping Plan supersedes 2015038 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) any thing on which there is writing or Braille;
- b) a map, plan, diagram or graph;
- c) a drawing, pictorial or graphic work, or photograph;
- d) any thing on which there are figures marks, perforations, or symbols, having meaning for persons qualified to interpret them;
- e) anything from which images, sounds, or writings can be reproduced with or without the aid of anything else; and
- f) any thing on which information has been stored or recorded, either mechanically, magnetically, or electronically.”

(State Records Act, 2000)

1 PRINCIPLE ONE: PROPER AND ADEQUATE RECORDS

1.1 HISTORICAL BACKGROUND

York was established as a town site in 1831, the first inland settlement of the colony of Western Australia. In about 1843, a road committee was created with responsibility for roads in the district, and it later became a roads trust. In 1871, two bodies were created from the Trust - the Municipality of York (Town Council) and the York Roads Board. The Municipality was responsible only for the town site, and the Roads Board controlled the surrounding District. In 1961, the Roads Board became Shire Council as a result of the Local Government Act 1960, and in 1964, the two organisations were amalgamated as the Shire of York.

At present the Shire of York is comprised of the localities of York, Kauring, Mt Hardey, Cold Harbour, Greenhills, Gwambygine, Balkuling, Balladong, Gilgerring, Burges, Daliak, Wilberforce, Inkpen, St Ronans, Talbot, Mt Observation, Flynn, Quellington, Malebelling, Caljie, Badgin and Narrologan.

The Shire is a member of the State and regional entities and many locally such as:

- Avon-Midland Zone of WALGA
- The Shire of York was a member of SEAVROC until York ceased the membership in August 2014

The Shire has strong relationships with numerous departments and organisations, including:

- WA Local Government Association
- Wheatbelt Development Commission
- Wheatbelt North Region, Main Roads WA

1.2 MISSION STATEMENT

Supporting our local community to thrive while embracing our environment, our future and our past.

1.3 STRATEGIC FOCUS

In response to community engagement in 2020 in developing a new Strategic Community Plan, Council has adopted a new Vision for the Shire of York. This Vision is intended to be easy to understand and apply to the Shire's work – by understanding the needs and aspirations of our community and focussing our efforts to achieve these outcomes.

Community Vision

- We are WA's first inland community
- The treasured Avon River is at our heart
- The Shire is easy to get around for everyone
- Our tourism and agricultural based economy is thriving, providing jobs for all and a future for our young people
- The town centre is renowned for its iconic heritage and hosts festivals and events that draw thousands of visitors per year
- The natural environment replenishes the soul and we embrace the culture and history of the Ballardong people as an integral part of life and the future

1.4 BUSINESS ACTIVITY

The general function of a local government is to provide for the good government of people living and working within its district and includes legislative and executive powers and responsibilities.

1.5 OUTSOURCED FUNCTIONS

Refer to Appendix 1 for a list of the functions performed by the Shire of York and which of those functions have been outsourced to external entities to complete on the organisations part.

1.6 MAJOR STAKEHOLDERS

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

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

1.7 ENABLING LEGISLATION

The Shire of York is constituted as a district under and operates in accordance with the Local Government Act 1995.

1.8 OTHER LEGISLATION

For other legislation and regulations affecting the functions and operations of the Shire of York, or administered by the Shire of York:

- Legislation and regulations administered by the Shire of York – Appendix 2
- Other legislation affecting the Shire of York – Appendix 3

1.9 MAJOR GOVERNMENT POLICY AND/OR INDUSTRY STANDARDS

Refer to Appendix 4

2 PRINCIPLE TWO: POLICIES AND PROCEDURES

2.1 RECORDS MANAGEMENT AND BUSINESS INFORMATION SYSTEMS

2.1.1 *Records Management System*

Effective 22 July 2019 the Shire of York runs a hybrid records management system. Prior to this the EDRMS software was only used for ease of access to documentation and tracking outstanding records requiring addressing. The hybrid system consists of:

- Hardcopy files
- SynergySoft Central Records (EDRMS)
- Excel spreadsheets
 - File plan – duplicated in SynergySoft
 - Archive listings – partially duplicated in SynergySoft

Effective 22 July 2019 a procedure was introduced to discontinue the printing of emails for hardcopy files unless they are considered vital. This is the first step to easing staff into making better use of the electronic systems and reducing unnecessary resources on hardcopy filing (materials and time) improving sustainability practices.

The Shire of York recognises that a high percentage of information contained on the shared network drive is not captured into any official corporate records management systems.

A Records and Information Management Systems (RIMS) Strategic Plan has been developed. This plan used a basic risk assessment of the current state of all systems involved with records management processes to identify the needs of staff and management in order to develop the best direction forward completing the transition to fully electronic records management systems. Refer to Appendix 6.

2.1.2 *Business Information Systems*

Other business systems containing corporate records include:

- SynergySoft – primary line of business software integrating with the EDRMS see Appendix 5
- Microsoft Outlook – emails
- Roman II – road details such as location in straight line kilometres (slk)
- Metrocount – raw data for road counters
- Amlib
- Mosaic
- Point3

2.2 RECORDS MANAGEMENT POLICY AND PROCEDURES

The creation and management of the Shire of York's records is coordinated by the Records Officer.

The policies and procedures cover the following recordkeeping 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 hardcopy records – any assigned responsibilities;
- 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 authorised disposal of email messages to ensure accountability. Should indicate whether the organisation is utilising a document management system or hard copy records system (e.g. print and file, identification of the official record, use of EDRMS, hybrid system etc);
- Website management – including the purpose of the site (e.g. whether informational/transactional), capture of all information published to the website within the corporate system, and mechanisms for recording website amendments;
- Metadata management – including requirements for capture of metadata in information systems, whether automatic or manual;
- System/s management – including any delegations of authority for the control and security of systems utilised by the organisation (e.g. provision of access to systems through individual logins and passwords, protection of servers etc); and
- Migration strategy – strategies planned or in place for migrating electronic information and records over time (e.g. through upgrades in hardware and software applications) and any assigned responsibilities for long-term retention and access. See SRC Standard 8: Managing Digital Information.

2.3 CERTIFICATION OF POLICIES AND PROCEDURES

Shire of York policies are authorised by the Council at a council meeting. Details of this authorisation/adoption are detailed at the end of every policy. Staff are made aware of the new policy adoption and any changes by elected members at the all staff meeting following the council meeting.

Internal policies and procedures are authorised by an executive manager via an authorising signature at the end of the policy/procedure. Authors of the document are expected to circulate the policy/procedure via email to all staff. They can alternatively launch the new policy/procedure at a workshop which will cover all effected staff.

All staff are expected to have their recordkeeping responsibilities covered during their induction. Induction for staff with access to the Shire’s electronic systems receive a full induction into the recordkeeping policies and procedures. Please refer to Appendix 7 for a copy of policies and procedures current as at 8 December 2020.

2.4 EVALUATION OF POLICIES AND PROCEDURES

The recordkeeping policies and procedures for the Shire of York do not cover the following categories:

- Authorised disposal of electronic records
- Transfer of State archives to the State Records Office
- Identification and treatment of restricted state archives

and will be amended to cover all categories identified in Principle 2 of SRC Standard 2 by January 2022.

3 PRINCIPLE THREE: LANGUAGE CONTROL

3.1 FILE PLAN/LIST OF SUBJECT HEADINGS / LIST OF AUTHORISED HEADINGS

The Shire of York has developed a File Plan to control the titling of records. The file plan covers both administrative and functional records. An extract of the file plan is attached, refer to Appendix 8.

3.2 ASSESSMENT OF ITS EFFECTIVENESS

A superseded file classification system was closely linked to the Strategic Plan adopted in 1999. This proved to be ineffective and inefficient. Another system was implemented in 2004. This system was based on the model developed at the Shire of Mundaring with enhancements and changes to reflect the requirements of the Shire of York. The system is based on functional keywords.

Unfortunately, over time this system has also become ineffective and inefficient as identified in the staff survey conducted as part of the strategic planning process.

3.5 IDENTIFIED AREAS FOR IMPROVEMENT

The Shire intends to conduct a review of the file plan to identify the best way to improve the filing system in the near future. This may consist of a modification to the existing file plan or the complete overhaul of the entire system aiming to streamline ease of use, access and reuse.

4 PRINCIPLE FOUR: PRESERVATION

For the Shire of York Records and Information Management Disaster Management Plan, refer to Appendix 9.

4.1 ASSESSMENT OF RISKS

4.1.1 *On Site Storage*

The Shire of York has its main current and active records located in onsite storage at the Shire Administration Office. Due to the introduction of contact registers with the COVID-19 issues all community facilities including the Swimming Pool, Residency Museum, Visitors Centre and YRCC temporarily store current and active records.

The main storage facility is at the Shire Administration Office and includes:

- Metal shelving,
- Locked safe,
- Secure premises and
- Airconditioning for 11 hours per day.

The main disaster threatening records stored onsite would result from a break in and any subsequent vandalism that may include arson. With the building safeguards and storage conditions as described here the risk is assessed as moderate.

An assessment of the disasters threatening records stored onsite at the rest of the Shire of York's facilities has not formally been undertaken. Informal quick assessment of these locations identified the main disaster threatening records would result from break in and any subsequent theft or vandalism that may include arson. For manned facilities the risk is assessed as moderate, for unmanned facilities the risk has been assessed as high.

Current and active records stored at the Residency Museum are those required for the day to day running of the facility and those required to be kept with the acquisitions of the museum under museum related regulations, standards and best practices. The main disaster threatening records stored onsite would result from a break in and any subsequent vandalism that may include arson. With the building safeguards and storage conditions as described here the risk is assessed as moderate.

4.1.2 *Offsite Storage*

The Shire of York has its non-current, inactive and archival records located in an offsite storage facility at the Shire Depot. These records are kept in a sea container with some modifications for records storage including:

- metal shelving;
- lighting; and
- heating/cooling for when it is being used by authorised staff.

The container is padlocked and has a personnel access door that is locked with a key secured at the Shire Administration Office.

The Shire of York has historical records and inactive archival records archived and maintained by the York Society Inc. The Shire of York currently has a signed agreement with the York

Society to store Shire records on their premises. The York Society building is a purpose built, fire proof, air- conditioned room that is secured within the archive building.

The main disaster threatening records stored offsite at the Shire Depot would result from flooding/water damage. Given the age of the records, their intrinsic value to the shire for both historical or archival purposes the risk is assessed as high.

The main disaster threatening records stored offsite at the York Society would result from a break in and any subsequent vandalism that may possibly include setting on fire. Given the age of the records, their intrinsic value to the shire for both historical or archival purposes, and the building safeguards and storage conditions, the risk is assessed as medium.

4.1.3 Data Centre and Cloud Storage

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

Information system / categories of records	Name of service provider	Geographic location of data centre / cloud storage	Geographic location of data centre / cloud storage backups	Risk assessed Y/N
Shire of York Backups	Focus Networks	Victoria Park	Malaga	Y
Office 365	Microsoft	Hong Kong, Japan, Malaysia, Signapore and South Korea		Y
Shire of York Website Content	Market Creations	Geraldton	Malaga	Y

An Application to have Office 365 data transferred to Australian data centres has been lodged with Mirosoft.

4.1.4 Storage of Archives

State archives are kept in the best manner possible while awaiting transfer to the State Archives Collection. Unfortunately, we are unable to meet all requirements of the Directions for Keeping State Archives Awaiting Transfer to the State Archives Collection. Storage conditions will be improved once resources become available to address the issues.

4.1.5 Storage of Backups

Electronic backups of the Shire of York's electronic information are held onsite at the administration building and offsite at two separate locations. Offsite encrypted transfers are conducted on daily, weekly, monthly and six monthly basis.

A snapshot of the virtualisation layer is taken and stored on a server at the administration building hourly. On a daily basis this snapshot is encrypted and transferred offsite to a data storage centre. See 4.3.2 for retention periods.

Archival tapes are created on a biannual (six monthly) basis and stored in a separate offsite location to the data storage centre.

4.1.6 *Quantity of Records*

The Shire of York has custody of approximately:

- 382 linear metres of temporary and current hard copy records stored onsite;
- 56 linear metres of temporary hard copy records stored offsite;
- 60 linear metres of hard copy State archives stored onsite;
- 46 linear metres of hard copy State archives stored offsite in Shire custody;
- 22 linear metres of hard copy State archives stored offsite in custody of the York Society;
- 40 linear metres of hard copy permanent records stored onsite;
- 7 linear metres of hard copy permanent records stored offsite;
- 42.8Tb of digital records/information/data. This includes but is not limited to records and information management systems; line of business system/s; network drives; email applications. This excludes backups.

Liner metres have been calculated by multiplying the estimated number of full-size full archive boxes by 32cm.

4.1.7 *Security and Access*

Records storage areas under control of the Shire of York, including server rooms, have been assessed for the following risks:

- Security and accessibility
- Disposal
- Occupational safety and health
- Disasters
- Environmental stability

These risks have been assessed, weighted and prioritised for action.

4.2 ASSESSMENT OF THE IMPACTS OF DISASTERS

As stated previously, the risk of a disaster occurring to the records of the Shire of York has been assessed as moderate and high. The impact of a disaster on the organisation's records has therefore been assessed as high. 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 disasters occurring.

4.3 STRATEGIES IN PLACE FOR PRESERVATION AND RESPONSE

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

- Electronic records (non-financial) - The Shire of York utilises cloud backup and data is saved to an off-site server. The Shire of York also uses Office365 which enables employees to access email on any computer should the Office Server fail in any way. Records deemed vital have a copy printed and place in the safe.
- Paper records - all inward and outward mail is recorded in a register in the Central Records Module of the financial software, which has a daily back up taken. In the event of a disaster, these records would be used to obtain copies from senders or recipients, in order to reconstruct the activities. Records deemed vital have the original copy placed in the safe and a working copy placed on file.

4.3.1 Vital Records Program

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

- Contracts, agreements, memorandums of understanding and leases
- Certificates of Title
- Deeds
- Vesting/Management Orders

Vital records in hard copy are stored in a locked safe, accessible to all staff during opening hours. 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 York are backed according to the below table.

When	Where	Retained for
Hourly	Onsite	14 days
Daily	Offsite	31 days
Weekly	Offsite	2 months
Monthly	Offsite	6 months
Six Monthly (Biannually)	Offsite	7 years

Offsite backups are stored on servers located in Malaga WA and archived onto tape and stored in a fireproof data safe in Victoria Park WA. Archive tapes are not rotated and are used to complete an annual data restore.

4.3.3 Preservation of Electronic Records

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

- Media used to store electronic information is checked daily and monthly to ensure the information is accessible and readable;
- Digital storage media, including removable storage devices, is refreshed as necessary to prevent data loss. This involves the following:
 - Hardware failure notifications for disk storage onsite and offsite monitored as part of the daily systems checks; and
- Electronic records requiring long term retention are maintained in an appropriate format for long term preservation involving the following:
 - LTO technology used for archived tapes;
 - Archived tapes stored in a 2-hour fireproof certified NT017 data safe;
 - Data safe secured with an electronic pin code.

4.3.4 Security

The following security measures have been implemented by the Shire of York:

- Hard copy vital records are stored in a secured and locked storage room.
- Hard copy current, some inactive and some permanent records are stored in a compactus with a locked section to restrict unauthorised access.
- Hard copy retained and archival records are stored offsite at the Shire Depot in a sea container.

- 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 the server room is restricted to authorized staff.

4.3.5 *Storage Reviews*

The records storage facilities utilised by the Shire of York are reviewed annually to ensure that conditions are appropriate for the organisation's records. The review of hardcopy storage locations conducted December 2019 identified the need for improved storage facilities/conditions for long term records. Plans to address this are being made but are heavily dependent on the availability of resources such as funding.

4.3.6 *Recovery of Lost Information*

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

- 3 copies of vital records are stored
 - Electronic copy in the EDRMS
 - Original hardcopy in the safe room
 - Duplicate hardcopy on file to work with
- Electronic records are backed up hourly, daily, weekly, monthly and six monthly
- Hourly electronic backups are stored onsite
- Other electronic backups are stored offsite on a server and on archival tapes in separate locations
- A records disaster recovery bin is located in the administration building
- Disaster recovery plans are in place

4.4 IDENTIFIED AREAS FOR IMPROVEMENT

Physical storage conditions have been identified as an area in need of improvement. Plans to address this area are being made but are heavily dependent on the availability of resources such as funding.

5 PRINCIPLE FIVE: RETENTION AND DISPOSAL

5.1 RETENTION AND DISPOSAL SCHEDULE/SECTOR DISPOSAL AUTHORITY

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

5.1.1 *Retention and Disposal Schedule Review*

The State Records Office reviews the General Disposal Authority for Local Government Records in accordance with the State Records Act 2000.

5.2 DISPOSAL OF SOURCE RECORDS

Although the Shire of York has established procedures to scan all incoming hard copy correspondence, not all requirements of the *General Disposal Authority for Source Records* (GDASR) and the *SRO Guideline: Digitization Specification* have been met. The original hard copy correspondence is therefore unable to dispose of in accordance with the GDASR.

5.4 EXISTING AD HOC DISPOSAL AUTHORITIES

The Shire of York does not have any adhoc disposal authorities. An adhoc disposal authority produced by the State Records Office is awaiting final approval/authorisation to address the retention and disposal of records relating to COVID-19.

5.5 EXISTING DISPOSAL LISTS

The Shire of York maintains details of file locations including current, inactive, archived, permanent within Local Government and destroyed files. Refer to Appendix 10 for an extract of a recently authorised list of records for disposal.

5.6 RESTRICTED ACCESS ARCHIVES

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

5.7 TRANSFER OF ARCHIVES

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

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

5.8 NON-TRANSFER OF ARCHIVES

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

State archives remaining in the custody of Shire of York will be kept as close as practically possible to the SRC Standard 7: *State Archives retained by Government Organisations*, Principles 2-7.

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

5.9 DISPOSAL PROGRAM IMPLEMENTED

The Shire of York has an annual disposal program. The General Disposal Authority for Local Government Records has been fully implemented within the organisation.

5.10 AUTHORISATION FOR DISPOSAL OF RECORDS

Before any records are destroyed, transferred to the SRO or transferred to the York Society, a list of those records due for destruction or transfer are:

- prepared by the Records Officer;
- emailed for review to officers responsible for the file contents;
- reviewed by the Administration and Governance Coordinator;
- checked by the Executive Manager Corporate and Community Services; and
- authorised by the Chief Executive Officer.

5.11 IDENTIFIED AREAS FOR IMPROVEMENT

The Shire of York needs to develop better processes for identifying any state records that should have restricted access. Better processes are also required for the identification of when confidential council items are no longer deemed confidential.

6 PRINCIPLE SIX: COMPLIANCE

6.1 STAFF TRAINING, INFORMATION SESSIONS

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

- Presentations on various aspects of the Shire of York's recordkeeping program are delivered on an annual basis to all staff by records staff;
- In-house training sessions are conducted for the organisation's staff by records officers on an as needs basis;
- All staff receive records induction training on commencement; and
- From time to time an external consultant is brought in to run a training session for staff. Staff are also encouraged to attend training courses outside the organisation whenever practicable;

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 BROCHURES OR NEWSLETTERS

The Shire of York provides recordkeeping information to its staff through the Administration Bulletin issued irregularly. Refer to Attachment 11 for an extract from the April 2020 Administration Bulletin.

Information, reminders and updates are also distributed to all staff via email updates containing information such as:

- Changes to procedures
- New procedures
- New files created
- Hints and tips for effectiveness and efficiency

6.3 INDUCTION PROGRAMS

New employees with electronic records access are provided with an induction manual and one on one records induction training to ensure they are aware of their role and responsibilities in terms of recordkeeping within the Shire of York. Refer to Appendix 12 for manual contents.

Supervisors and managers are expected to ensure all staff who do not have electronic records access such as the outside works crew receive records induction training to ensure they are aware of their role and responsibilities in terms of recordkeeping within the Shire of York.

All staff sign a declaration that they are aware of and understand their record keeping responsibilities. All staff annually sign a declaration that they are complying with their record keeping responsibilities.

6.4 PERFORMANCE INDICATORS

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

- weekly overdue records report
- monthly registered records report
- quarterly file audits
- biennial staff survey

6.5 AGENCY'S EVALUATION

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

- locating records
- using records systems to create, capture and locate records
- finding the correct file number to allocate to records

These are planned to be addressed by December 2023.

6.6 ANNUAL REPORT

An extract from the Shire of York's latest Annual Report is attached in Appendix 13, demonstrating the organisation's compliance with the *State Records Act 2000*, its Recordkeeping Plan and the training provided for staff.

6.7 IDENTIFIED AREAS FOR IMPROVEMENT

There is a need to improve the electronic systems staff are working with to make it easier for them to create, capture and locate records. The existing systems are not deemed user friendly or intuitive especially when compared to today's software and apps available on mobile phones and tablets. The current strategy is to update the software systems, review the file plan and train staff in the updated systems.

The preferred software has been identified and a project management plan is planned to be developed by July 2021. Full completion of the project including updated procedures, induction manuals and staff training is planned for December 2023

7 SRC STANDARD 6: OUTSOURCED FUNCTIONS

7.1 OUTSOURCED FUNCTIONS IDENTIFIED

Refer to Appendix 1 for a list of the functions performed by the Shire of York and which of those functions have been outsourced to external entities to complete on the organisations part.

7.2 RECORDKEEPING ISSUES INCLUDED IN CONTRACTS

7.2.1 *Planning*

The Shire of York recognises its responsibilities under the State Records Act and the need to comply with this and its own internal procedures. When outsourcing functions the Shire of York will consider records management responsibilities and plan accordingly.

7.2.2 *Ownership*

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

7.2.3 *Control*

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

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 York and a contractor/agent will be disposed of in accordance with the General Disposal Authority for Local Governments published 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 will be agreed between the Shire of York and its contractors.

7.2.6 *Custody*

Custody arrangements between the Shire of York and its contractors for State records stored on and off site by the contractor will be specified in the contract/as follows:

The Suppliers must create and maintain appropriate evidence of the function they are performing on behalf of the agency.

7.2.7 *Contract Completion*

All arrangements regarding record custody, ownership, disposal and transfer upon the completion of the contracts will be specified in the contracts as follows:

On expiry or earlier termination of this Agreement, the Supplier will (at [agency]'s option) either return all such Records to [agency] in accordance with [agency]'s directions, or destroy them in accordance with [agency]'s RKP. In either case, the return or destruction of such Records will be at [agency]'s expense.

7.3 IDENTIFIED AREAS FOR IMPROVEMENT

Although a commitment to have record keeping practices included in contracts for outsourcing functions effective from September 2015, the risk assessment conducted in 2019 has revealed this has not been happening. The standard procurement templates supplied by the Western Australian Local Government Association (WALGA) overlooked this crucial area and educating new staff of the requirement was also overlooked. The induction manual and induction checklist now include this requirement so staff are aware.

Templates downloaded from WALGA will be reviewed and updated to ensure record keeping practices are included in the templates staff are using to conduct their work.

APPENDIX 1 – FUNCTIONS OF LOCAL GOVERNMENT

Function	Brief Description of York's Function	Performed by the Shire of York	Performed by an External Agency
Commercial Activities	The function of competing commercially or providing services to other local governments or agencies on a fee for service basis. Includes undertaking activities on a consultancy or contract basis.	✓	
Community Relations	The function of establishing rapport with the community and raising and advancing the council's public image and its relationships with outside bodies, including the media and the public.	✓	
Community Services	The function of providing, operating or contracting services to assist local residents and the community.	✓	✓
Corporate Management	The function of applying broad systematic planning to define the corporate mission and determine methods of the Shire of York's operation.	✓	
Council Properties	The function of acquiring, constructing, designing, developing, disposing and maintaining facilities and premises owned, leased or otherwise occupied by the Shire of York.	✓	✓
Customer Service	The function of planning, monitoring and evaluating services provided to customers by the council.	✓	✓
Development and Building Controls	The function of regulating and approving building and development applications for specific properties, building, fences, signs, antennae, etc. covered by the Building Code of Australia and the Environmental Protection Authority	✓	✓
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 minimizing threats to life, property and the natural environment, from fire and other emergency situations.	✓	✓
Energy Supply and 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 Shire of Yorks financial resources.	✓	✓
Governance	The function of managing the election of Council representatives, the boundaries of the Shire of York, 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 Environmental Management	✓	✓
Grants and Subsidies	The function of managing financial payments to the Shire of York from the State and Federal Governments and other agencies for specific purposes.	✓	✓
Information Management	The function of managing the Shire of Yorks information resources, including the storage, retrieval, archives, processing and communications of all information in any format.	✓	✓

Function	Brief Description of York's Function	Performed by the Shire of York	Performed by an External Agency
Information Technology	The function of acquiring and managing communications and information technology and databases to support the business operations for the Shire of York	✓	✓
Land Use and Planning	The function of establishing a medium to long term policy framework for the management of the natural and built environments.	✓	
Laws and Enforcement	The function of regulating, notifying, prosecuting, and applying penalties in relation to the Council's regulatory role.	✓	
Legal Services	The function of providing legal services to the Shire of York.		✓
Parks and Reserves	The function of acquiring, managing, designing and constructing parks and reserves, either owned or controlled and managed by the Shire of York	✓	✓
Personnel	The function of managing the conditions of employment and administration of personnel at the Shire of York, including consultants and volunteers.	✓	
Plant, Equipment and Stores	The function of managing the purchase, hire or leasing of all plant and vehicles, and other equipment. Includes the management of the Shire of Yorks 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 and Valuations	The function of managing, regulating, setting and collecting income through the valuation of ratable land and other charges.	✓	
Recreation and Cultural Services	The function of the Shire of York 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 Shire of York 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 Shire of York area.	✓	✓
Sewerage and 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 and Transport	The function of planning for transport infrastructure and the efficient movement and parking of traffic. Encompasses all service/facilities above the road surface and includes all forms of public transport.	✓	✓
Waste Management	The function of providing services by the Shire of York to ratepayers for the removal of solid waste, destruction and waste reduction	✓	✓
Water Supply	The function of managing the design, construction, maintenance and management of water supplies, either by the Shire of York or by service providers.	✓	✓

APPENDIX 2 – LEGISLATION AND REGULATIONS ADMINISTERED BY THE SHIRE OF YORK

Legislation, Regulations and Local Laws	Tick if YES, the LG administers
Agriculture and Related Resources Protection Act 1976	
Building Regulations 1989	✓
Bush Fires Act 1954	✓
Bush Fire Regulations	✓
Caravan Parks and Camping Grounds Act 1995	✓
Caravan Parks and Camping Grounds Regulations 1997	✓
Cat Act 2011	✓
Cat Regulations	✓
Cemeteries Act 1986	✓
Disability Services Act 1993	
Dog Act 1976	✓
Dog Regulations	✓
Environmental Protection Act 1986	✓
Environmental Protection (Noise) Regulations 1997	✓
Explosive and Dangerous Goods Act 1961	✓
Food Act 2008	✓
Food Regulations 2009	✓
Freedom of Information Act 1992	✓
Freedom of Information Regulations 1993	✓
Hairdressing Establishment Regulations 1972	
Health Act 1911	✓
Health Act (Air Handling and Water Systems) Regulations 1994	✓
Health Act (Asbestos) Regulations 1992	✓
Health Act (ANZ Food standards Code adoption) Regulations 2001	✓
Health Act (Carbon Monoxide) Regulations 1975	✓
Health Act (Cloth Materials) Regulations 1985	✓
Health Act (Food Hygiene) Regulations 1993	✓
Health Act (Food Standards) (Administration) Regulations 1987	✓
Health Act (Garden Soil) Regulations 1998	✓
Health Act (Laundries and Bathrooms) Regulations	✓
Health Act (Meat Hygiene) Regulations 2001	✓
Health Act (Pesticides) Regulations 1956	✓
Health Act (Pet Meat) Regulations 1990	✓
Health Act (Poultry Manure) Regulations 2001	✓

Legislation, Regulations and Local Laws	Tick if YES, the LG administers
Health Act (Public Buildings) Regulations 1992	✓
Health Act (Skin Penetration Procedure) Regulations 1998	✓
Health Act (Swimming Pools) Regulations 1964	✓
Health Act (Temporary Sanitary Conveniences) Regulations 1997	✓
Health Act (Treatment of Sewerage and Disposal of Effluent and Liquid Waste) Regulations 1974	✓
Heritage of Western Australia Act 1990	✓
Land Administration Act 1997	✓
Land Valuation Tribunals 1978	✓
Litter Act 1979	✓
Liquor Licensing Act 1988	✓
Local Government Act 1995	✓
Local Government (Miscellaneous Provisions) Act 1960	✓
Local Government Grants 1978	✓
Local Government Regulations	✓
Main Roads Act 1930	✓
Parks and Reserves Act 1895	✓
Planning and Development Act 2005	✓
Radiation Safety Act 1975	
Radiation Safety Regulations	
Rates and Charges (Rebates and Deferments) Act 1992	✓
Rights in Water and Irrigation Act 1914	
Residential Design Codes of WA 2002	✓
Road Traffic Act 1974	✓
Strata Titles Act 1985	
Telecommunications Act (Commonwealth) 1997	✓
Telecommunications (Low Impact Facilities) Determination 1997	✓
Transfer of Land Act 1893	✓
Valuation of Land Act 1978	✓
Waterways Conservation Act 1976	
Local Law – Activities on Thoroughfares and Trading in Thoroughfares and Public Places	✓
Local Law – Cemeteries	✓

Legislation, Regulations and Local Laws	Tick if YES, the LG administers
Local Law – Cat	✓
Local Law – Council Meetings	✓
Local Law – Dogs	✓
Local Law – Extractive Industries	✓
Local Law – Fencing	✓
Local Law – Fire Precautions	✓
Local Law – Health	✓
Local Law – Local Government Property	✓
Local Law – Parking and Parking Facilities	✓
Local Law – Pest and Plants	✓
Local Law – Standing Orders	✓
Local Law – Signs and Advertisements	✓

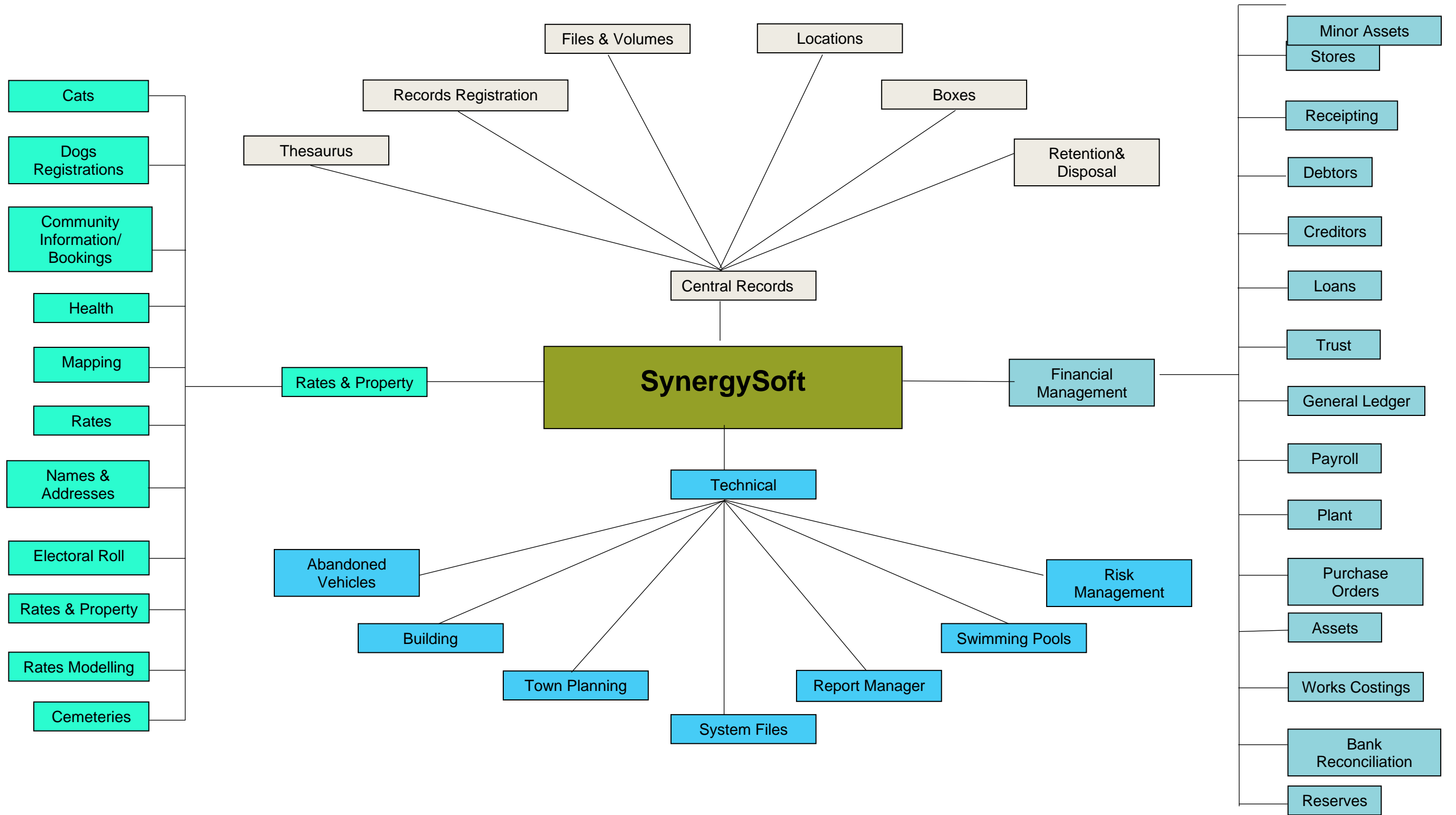
APPENDIX 3 – OTHER LEGISLATION AND REGULATIONS AFFECTING THE SHIRE OF YORK

Other Legislation and Regulations	Tick If Yes
Builders Registration Act 1939	✓
Criminal Code 1913	
Electronic Transactions Act 2003	✓
Equal Employment Opportunity Act 1984	✓
Evidence Act 1906	✓
Freedom of Information Act 1992	✓
Industrial Awards	✓
Industrial Relations Acts (State and Federal)	✓
Interpretation Act 1984	✓
Limitation Act 1935, 2005	
Occupational Safety and Health Act 1984	✓
Occupational Safety & Health Regulations 1996	✓
Parliamentary Commissioner Act 1971	
State Records Act 2000	✓
State Records (Consequential Provisions) Act 2000;	✓
State Records Commission Principles & Standards 2002	✓
Workers Compensation and Assistance Act 1981	✓

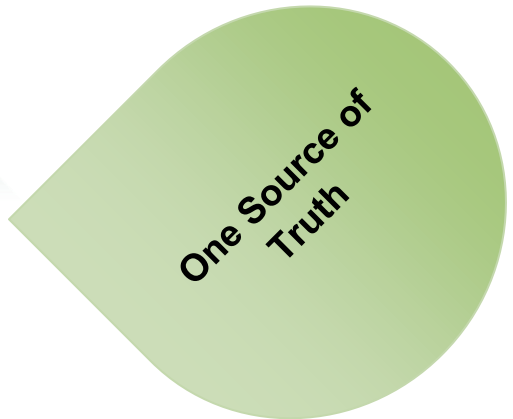
**APPENDIX 4 – MAJOR GOVERNMENT POLICY
AND/OR INDUSTRY STANDARDS IMPOSED UPON OR
ADOPTED BY THE SHIRE OF YORK**

Government & Industry Standards and Codes of Practice	Tick if Yes
Australian Accounting Standards	✓
Australian Records Management Standard ISO/AS 15489-2002 Parts 1 & 2	✓
General Disposal Authority for Local Government Records RD 2015-001/1	✓
National Competition Policy	✓
Shire of York Policy Manual	✓

APPENDIX 5 – SYNERGYSOFT MODULES



APPENDIX 6 – RECORDS MANAGEMENT SYSTEMS STRATEGIC PLAN



**Shire of York
Records Management Systems Strategic Plan
2020-2030**

VERSION CONTROL AND ENDORSEMENT

This document is to have a minor review every two years with a major review to take place every 4 years in line with the Strategic Community Plan.

Date	Action	Officer	Resolution No	Date of Resolution
29/11/2019	First Draft	Amanda Smith – Records Officer		
07/12/2020	Final Draft	Amanda Smith – Records Officer		
12/02/2021	Adopted		111220	22/12/2020

PURPOSE

Information is an organisational asset. Its value can depreciate or grow and, similar to a building or other physical asset, it requires maintenance. This strategy aims to ensure that our practices result in information that supports business and satisfies our legal and stakeholder requirements. It also strives to enhance public trust through supporting the freedom of information process, staff decision making and minimisation and correction of errors.

Effective governance and the achievement of corporate and business priorities depend on the organisations capacity to manage information effectively. This strategy supports continual improvement in our information management practices. It identifies strengths and weaknesses and outlines plans for building on our strengths and addressing weaknesses. This includes, but is not limited to, consideration of appropriate systems to support our information management needs into the future. It is based on an analysis of our current information management status and establishes a plan for future progress.

The strategy will ensure that information management supports our Strategic Community Plan (Theme 5 Strong Leadership and Governance 5.1 5.2 5.4 5.8), Corporate Business Plan (strategic operating projects, summary of service plans, development priorities) and their priorities.

VISION

A trustworthy, efficient and user-friendly electronic records management system.

MISSION

To build on the existing record management systems to develop systems that not only meet compliance requirements but are also trustworthy and user-friendly enabling:

- Good governance
- Ease of capture, retrieval and reuse of information
- One source of information
- Digital lifecycle
- Security and privacy of information maintained

BACKGROUND

The Shire of York currently runs what is commonly known as a hybrid records management system. This system consists of hard copy records/files as well as an electronic document records management system (EDRMS). This is the start of the transition to fully electronic records management and commenced in 2007/08 with the introduction of SynergySoft

Central Records (EDRMS). Completion of this process requires the establishment of electronic workflow processes and digitisation of hard copy records.

Appendix 1 contains a diagram showing the current capabilities of the organisation's main line of business software SynergySoft and the current known sources and repositories of information. The majority of information is captured into SynergySoft. The organisation strives to ensure that any new systems introduced will integrate with the current systems maintaining effective and efficient operations.

In 2019 a basic risk analysis of the records management systems and staff survey were undertaken to substantiate general observations and identify any additional issues. This analysis was based on the State Records Standards and Principals. In addition, the Records Officer attended digitisation training to identify what actions needed to be completed for the organisation to digitise records in accordance with the needs to satisfy the general disposal authority for source records.

Through the risk analysis process, practical and useable key performance indicators were set to successfully continue monitoring the basics of the records management systems. This will also show how any changes impact the records management systems providing positive reinforcement and the opportunity to respond timely to negative impacts. The development of this strategy has identified additional performance indicators that will require implementation.

STRENGTHS

- Majority of staff have received records training.
- Majority of staff are confident they understand their record keeping responsibilities.
- One on one training is available most of the time.
- Access to records is secure both electronically and physically.
- Good communication exists with system users to identify and address issues early.

WEAKNESSES

- Not leading by example
- Physical storage of archival and permanent records does not meet requirements
- Occupational health and safety issues with access to certain storage areas
- Occupational health and safety issues with the lifting of archive boxes
- Not easy to use the existing file plan
- Not easy to use records software (EDRMS)
- Disposal of electronic records is not occurring
- The capture of born digital records is not occurring very often
- Vital records management
- Inclusion of record keeping responsibilities is not being addressed well when outsourcing functions

CHALLENGES

- Change management – giving staff a sense of ownership and input will go a long way to obtaining support when implementing changes as well as top down leadership by example.
- Funding sources – as records management falls under compliance the only opportunities to obtain grant funding is to piggyback off museum or library initiatives.
- Developing tools or redeveloping the current file plan to make it easier for users to classify records correctly.
- Overcoming the need for physical signatures

- Overcoming preferences of paper
- Developing and Implementing effective paper free work processes

OPPORTUNITIES

- Upgrade to the more user-friendly replacement version of the current EDRMS Altus Content Management.
- Improve end user sense of ownership.
- Maximise Office 365 records capabilities.
- Improve/revamp existing systems to support our mission.

LEGISLATION

Records management is affected by but not limited to the following Acts and Regulations:

- Building Services (Registration) Act 2011
- Criminal Code 1913
- Electronic Transactions Act 2011
- Equal Opportunity Act 1984
- Evidence Act 1906
- Freedom of Information Act 1992 and Regulations 1993
- Interpretation Act 1984
- Local Government Act 1995
- Public Interest Disclosure Act 2003
- State Records Act 2000
- Workers Compensation and Injury Management Act 1981

See Appendix 2 to 4 of the Shire of York Record Keeping Plan for a more comprehensive list of legislation and standards.

RELEVANT STRATEGIES AND PLANS

The following strategies and plans affect the records management systems strategy and take precedence in the event of a conflict:

1. Strategic Community Plan
2. Corporate Business Plan

OBJECTIVES

THEME1: GOVERNANCE

Good governance is about ensuring information is managed in a manner that it supports decision making, policy development, compliance and general operation of the organisation. It ensures officers have the information they need, when they need it and that the information they receive is trustworthy, current and complete.

Current Issues

Filing Rules - When the current file plan was introduced there were a number of rules set and fundamental errors made. The fundamental errors were not such an issue until EDRMS was introduced and now some file titles are unable to be reflected correctly in EDRMS. The rules set are creating an issue with timely disposal of unnecessary records. The State Records Office estimates that 3-5% of business records will ever become state archives (Information Sheet Myth and Reality). With the rules that were originally set, assuming the

rules were followed and judging by the volume of records held and disposed of, at an educated guess we have estimated this caused the organisation to retain closer to 20-40% of all records created and received. This causes

- unnecessary storage issues both in cost and space
- records searches become bulky and inefficient
- increases the potential exposure to personal data breaches

Procedures – The procedures and guidelines are not all in place yet and can cause inconsistencies with the way that some activities are completed or filed. This can lead to retrieval and compliance issues making our systems untrustworthy.

File Plan – Currently we have a Microsoft Excel spreadsheet as well as what is loaded into the EDRMS. These do not fully match, causing issues with staff being able to allocate records to the correct file. This later results in retrieval issues and staff potentially using incomplete information to make decisions.

Electronic Disposal – Electronic disposal is not taking place in EDRMS, the shared network drive or emails. Hard copy files are being destroyed and best practice principles are to destroy the electronic copies of these files at the same time. This is leading to digital landfill causing

- unnecessary storage costs and space
- records searches become bulky and inefficient
- increases the potential exposure to personal data breaches

Part of this issue is due to not having an efficient way to dispose of these records. Additional software is available for EDRMS to address part of the issue. Methods will need to be developed to address the rest of the issue.

Storage – Current physical offsite storage consists of a sea container with whirlybird vent and air conditioner to attempt to control temperature and humidity. These measures are not maintaining the temperature and humidity at the correct levels to preserve archival materials. Ponding underneath the sea container is adding to the environmental control issues. Some archival materials are stored in inappropriate containers (eg plastic). The physical space provided is insufficient to contain the shires retained records (archival and disposal).

Outsourcing – Although provided for in the Record Keeping Plan none of the contracts tested included the records related clause specified in the Record Keeping Plan or a similar requirement.

Outcomes

- 1.1 Information is managed in line with regulatory and statutory requirements.
- 1.2 Information is valued as an operational and strategic asset.
- 1.3 Ensure information is managed according to its purpose and associated risk profile.
- 1.4 Longevity of records is assured with physical storage meeting State Records Standard 7 or better and electronic records meeting State Records Standard 8 or better.
- 1.5 Electronic and hardcopy records are disposed of on a regular basis.
- 1.6 Social media capture is effective and efficient.
- 1.7 Management of records is addressed in outsourced services.

Strategies

- a) Procedures and guidelines are developed for all aspects of records management.
- b) Filing rules and file plan reviewed and addressed.

- c) Physical storage space increased and meets regulatory requirements for state archives.
- d) Additional software purchased to effectively address electronic disposal requirements.
- e) Investigate software, develop and implement workflows to ensure social media records are captured.

Performance Indicators

Key: Records Managers/Local Government level of control/influence:

High	Areas in direct control of records managers/local government
Medium	Records managers/local government does not control but can influence
Low	Records managers/local government does not control, cannot influence but is of concern
-	Not applicable (under development)

	Indicator	Desired Trend/Target
H	Information is managed in line with regulatory and statutory requirements.	Increase
H	Information is valued as an operational and strategic asset	Increase
H	Information is managed according to its purpose and associated risk profile	Increase
H	Longevity of records is assured with physical storage meeting State Records Standard 7 and electronic records meeting State Records Standard 8 or better	Increase
H	Electronic and hardcopy records are disposed of on a regular basis.	Annual disposal runs
H	Social media capture is effective and efficient	Increase

EASE OF CAPTURE, RETRIEVAL AND REUSE OF INFORMATION

This is about ensuring our records management systems are user friendly. This makes users feel more confident they have all information required to make decisions and increases the value of information to the organisation. User-friendly systems also enable users to efficiently and effectively meet their record keeping requirements.

Issues

Retrieval – Regardless of the training in place, 41% of staff currently find it difficult to locate information in EDRMS and 50% find it difficult to locate information in the physical files. Feedback obtained from the staff survey has attributed this mostly to inconsistent file allocation.

EDRMS currently only searches the metadata entered by users. Although accuracy has been tested and appears relatively high at 96%, the degree of inaccuracy is still causing difficulties for officers to retrieve the information required.

Capture – Regardless of the training in place, 36% of staff currently find it difficult to use the EDRMS.

Users – Staff are less likely/reluctant to make use of the systems if they are not user friendly. The current EDRMS is an older style platform and not particularly intuitive. When compared to mobile applications and browser-based platforms available for other business activities it generates reluctance and frustration, especially for the technologically challenged.

Quality – Quality of scanned documents does not always meet the users’ needs

Outcomes

- 2.1 All records are captured in the EDRMS.
- 2.2 Users find it easy to capture and retrieve information.
- 2.3 Staff receive adequate training so they can meet their record keeping requirements and use the records management systems effectively and efficiently.
- 2.4 Archival and Permanent records are stored in an appropriate manner, format and quality.

Strategies

- a) Filing rules and file plan reviewed and addressed.
- b) Research and implement alternative EDRMS platform.
- c) Review and improve current user training.
- d) When purchasing new equipment, specifications are met for the digitisation of archival records.

Performance Indicators

Key: Records Managers/Local Government level of control/influence:

High	Areas in direct control of records managers/local government
Medium	Records managers/local government does not control but can influence
Low	Records managers/local government does not control, cannot influence but is of concern
-	Not applicable (under development)

	Indicator	Desired Trend/Target
H	All records are captured in the electronic document records management system (EDRMS).	Increase
H	Users find it easy to capture and retrieve information.	Increase
H	Staff receive adequate training so they can meet their record keeping requirements and use the records management systems effectively and efficiently.	Increase
H	Archival and Permanent records are stored in an appropriate manner, format and quality.	Increase

ONE SOURCE OF INFORMATION

This is about ensuring there is only one storage location users need to access to find all the information they need to conduct the organisations business.

Issues

In the current hybrid system, users are having to search multiple storage locations for the information required to conduct their business reducing their confidence that all information has been located to make informed decisions. These locations include but are not limited to:

- EDRMS
- Hard copy files
- Shared network drive
- Staff emails
- Other software/online services eg Trello, Social Media

Outcomes

- 3.1 Reduced need to search in multiple locations for information.
- 3.2 EDRMS is the first port of call when searching for information.
- 3.3 Digitisation of hard copy records.
- 3.4 EDRMS platform is user-friendly and intuitive to use.
- 3.5 Future software/online services engaged are ideally integrated with the EDRMS.
Alternatively, processes and procedures are in place to ensure records are captured in the EDRMS.
- 3.6 Digitisation risks are assessed and monitored on a regular basis and documented.
- 3.7 Digitisation quality control measures are developed and monitored on a regular basis and documented.
- 3.8 Digitised material meets authenticity, integrity and trustworthy requirements.

Strategies

- a) Research and implement alternative EDRMS platform.
- b) Review and improve current user training.
- c) Develop and implement documentation and practices to support the digitisation of hard copy records.
- d) Cease providing hard copy documents for officers to work with.
- e) Include software and online services selection in induction and refresher training.

Performance Indicators

Key: Records Managers/Local Government level of control/influence:

High	Areas in direct control of records managers/local government
Medium	Records managers/local government does not control but can influence
Low	Records managers/local government does not control, cannot influence but is of concern
-	Not applicable (under development)

	Indicator	Desired Trend/Target
M	Need to search in multiple locations for information	Decrease
M	EDRMS is the first port of call when searching for information.	Increase
H	Digitisation of hard copy records.	Increase
H	EDRMS platform is user-friendly and intuitive to use.	Increase
H	Digitisation risks are assessed and monitored on a regular basis and documented.	Increase
H	Digitisation quality control measures are developed and monitored on a regular basis and documented.	Increase
H	Digitised material meets authenticity, integrity and trustworthy requirements.	Increase

DIGITAL LIFECYCLE

This is about minimising the need for scanning hard copy documents in order to capture them into the EDRMS. This will increase effective and efficient management of records.

Issues

Physical Storage - With the current lack of suitable physical storage available for hardcopy records there is a greater desire to move to electronic methods of managing records. Implementing digitisation of records will enable source records to be destroyed sooner than

present freeing up physical storage space. This can only be achieved by ensuring digitised documents meet quality requirements for records to be used in the worst of circumstances such as in a court of law.

Digitisation of Hard Copy Records – In order to digitise hard copy records in a manner that they can be used in a court of law as evidence a great deal of work is required. A comprehensive risk analysis must be conducted (includes checking legislation affecting local government), quality control processes must be documented, quality control must be constantly monitored and regularly audited and all staff will need training to ensure they can meet their compliance needs. These processes can be bypassed by keeping information digital from creation through to the end of their useful life thereby minimising the risk of records not meeting evidential requirements.

Outcomes

- 4.1 Implementation of digital and electronic signatures.
- 4.2 Development and implementation of digital workflows across the whole organisation.
- 4.3 Implementation of digital disposal processes.
- 4.4 Reduced dependency on hard copy records.
- 4.5 Hardware eg printers/scanners capacities meet the functionality requirements for digitisation.

Strategies

- a) Development and implementation of digital and electronic signature policies, procedures and workflows.
- b) Examine current workflow processes and develop practical electronic equivalents.
- c) Develop and implement a digitisation program.
- d) Ensure hardware replacement programs include specifications for digitisation as a major component of hardware selection.

Performance Indicators

Key: Records Managers/Local Government level of control/influence:

High	Areas in direct control of records managers/local government
Medium	Records managers/local government does not control but can influence
Low	Records managers/local government does not control, cannot influence but is of concern
-	Not applicable (under development)

	Indicator	Desired Trend/Target
H	Implementation of digital and electronic signatures.	Increase
H	Development and implementation of digital workflows across the whole organisation.	Increase
H	Implementation of digital disposal processes.	Increase
M	Reduced dependency on hard copy records.	Decrease
H	Hardware eg printers/scanners capacities meet the functionality requirements for digitisation.	Increase

SECURITY AND PRIVACY OF INFORMATION

This is about ensuring access to information is restricted to those who need the information to ensure both customer and organisation privacy is respected and maintained. This includes access to the shared network drive, computers and software.

Issues

Login – Users sharing login details, eg relief records officer uses records officer login details, means access and changes etc captured by the audit trails do not reflect the actual officer operating the system. This can lead to inaccurate reporting, disciplining the incorrect officer and potential data breaches.

Synergy Access Groups - Current levels of assigned EDRMS functionality access allows a high proportion of staff to access elements they do not need to access. This functionality includes the ability to delete records and could be used by staff deliberately or inadvertently leading to the potential loss of critical records.

Access to Records – Access to records is auditable in relation to those records in the EDRMS. There is a procedure in place that hard copy files borrowed from the compactus or storage areas are processed through a loan system. There are currently no audit trails for accessing secured records areas eg locked section of compactus, offsite storage.

Outcomes

- 5.1 Appropriate security levels are applied to files.
- 5.2 Appropriate security levels are applied to officers.
- 5.3 Security levels are reflected in software, EDRMS, shared network drive and hard copy files.
- 5.4 Access can be audited accurately.
- 5.5 Officers use their own logins when job sharing or relieving other officers, so audit trails reflect true.

Strategies

- a) Develop and implement policies, procedures, forms and any other documentation necessary to ensure the application and maintenance of appropriate security levels of users and files.
- b) Implement methods to ensure an audit trail exists for the access of records and storage areas.
- c) IT to ensure each user has their own login and methods are developed to ensure relieving and job-sharing officers have access to the information required eg emails.

Performance Indicators

Key: Records Managers/Local Government level of control/influence:

High	Areas in direct control of records managers/local government
Medium	Records managers/local government does not control but can influence
Low	Records managers/local government does not control, cannot influence but is of concern
-	Not applicable (under development)

	Indicator	Desired Trend/Target
H	Appropriate security levels are applied to files.	Increase
H	Appropriate security levels are applied to officers.	Increase
M	Security levels are reflected in software, EDRMS, shared network drive and hard copy files.	Increase
M	Access can be audited accurately.	Decrease
H	Officers use their own logins when job sharing or relieving other officers, so audit trails reflect true.	Increase

FINANCIAL ASSESSMENT/FUNDING STREAMS

As the management of the organisation's information is considered a compliance issue there are few if any opportunities to obtain external funding. The best opportunities come in combining records needs with other area needs such as library or visitors centre services.

The below budgetary requirements have been formulated allowing for external contractors/consultants to conduct the works due to records specific knowledge required for higher risk planning activities such as the digitisation risk assessment.

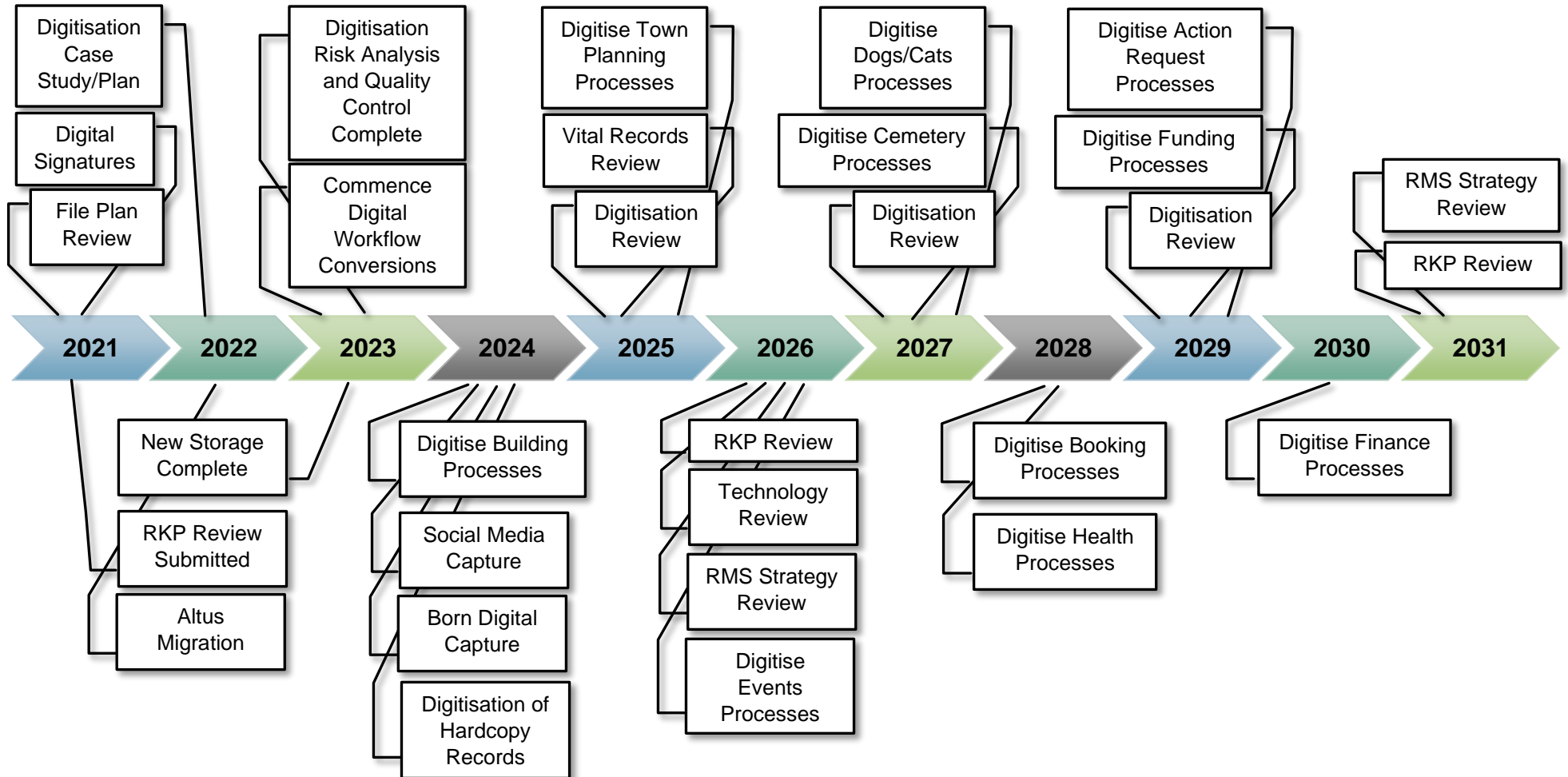
It is presumed that computer requirements will be covered in the IT Strategy and budget. Additional software estimates have been included.

The proposed workload to drive the transformation from paper based to digital operations, monitoring requirements and exiting practices that need to continue, is too great for current staffing levels. Allowance for an additional part-time staff member will need to be made and has not been included below.

Year	Projects	Shire Funding	Other Funding	Total Costs
2022	Altus EMC	\$45,454 \$7,000 (ongoing)		\$45,454 \$7,000
2023	Storage	\$40,000		\$40,000
	Digitisation	\$30,000		\$30,000
	Digitise Workflows	\$5,000		\$5,000
2024	Social Media Capture	\$1,200 (ongoing)		\$1,200
	Building/Planning Digitisation Workflow Software	\$10,000		\$10,000
2025	Digitise Workflows	\$1,000		\$1,000
2026	Digitise Workflows	\$1,000		\$1,000
2027	Digitise Workflows	\$1,000		\$1,000
2028	Digitise Workflows	\$1,000		\$1,000
2029	Digitise Workflows	\$1,000		\$1,000
2030	Digitise Workflows	\$1,000		\$1,000
2031	Digitise Workflows	\$1,000		\$1,000

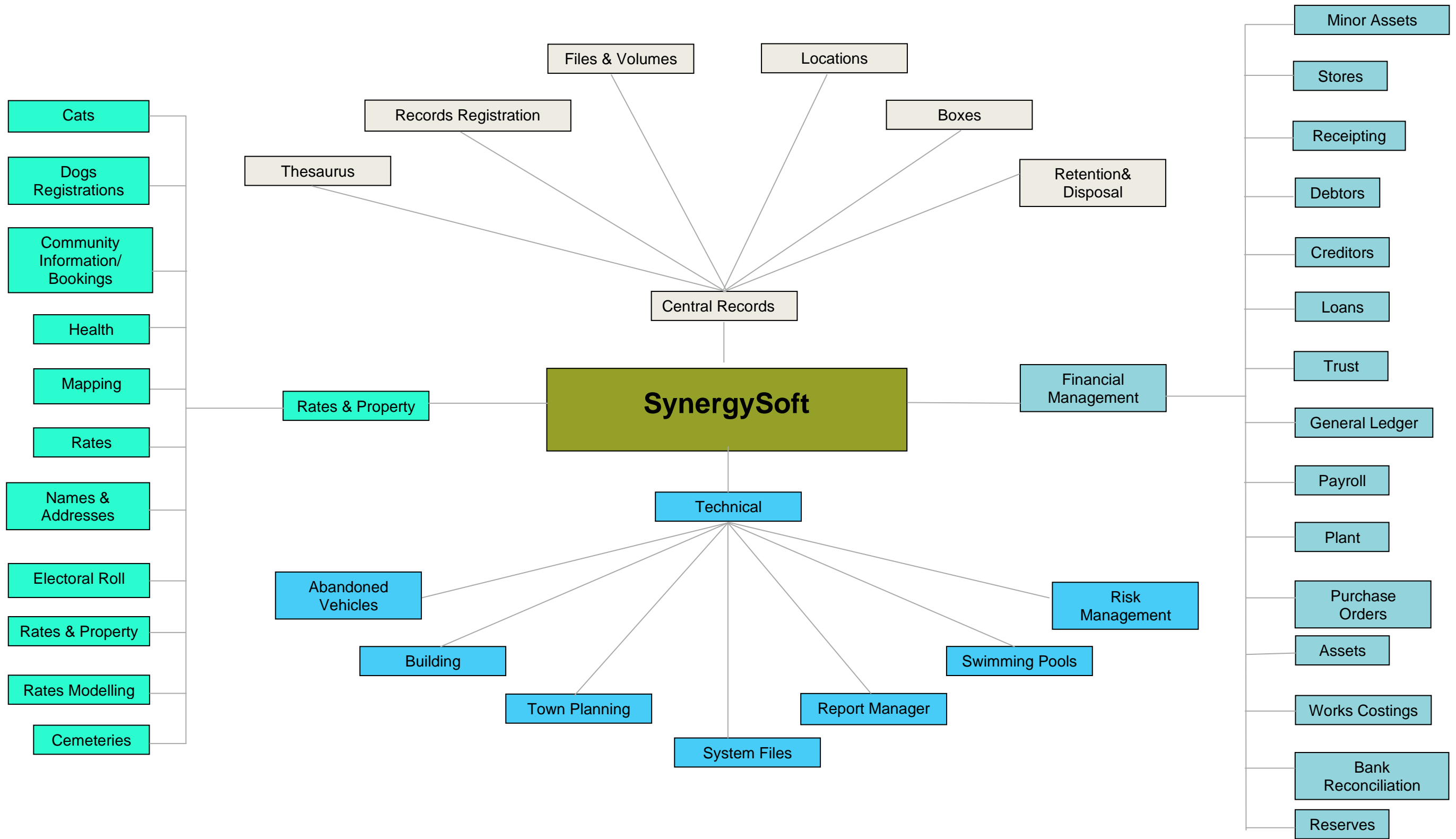
ROAD MAP

This roadmap is based on the assumption Council will make funding available for consultants to assist with the development and implementation.

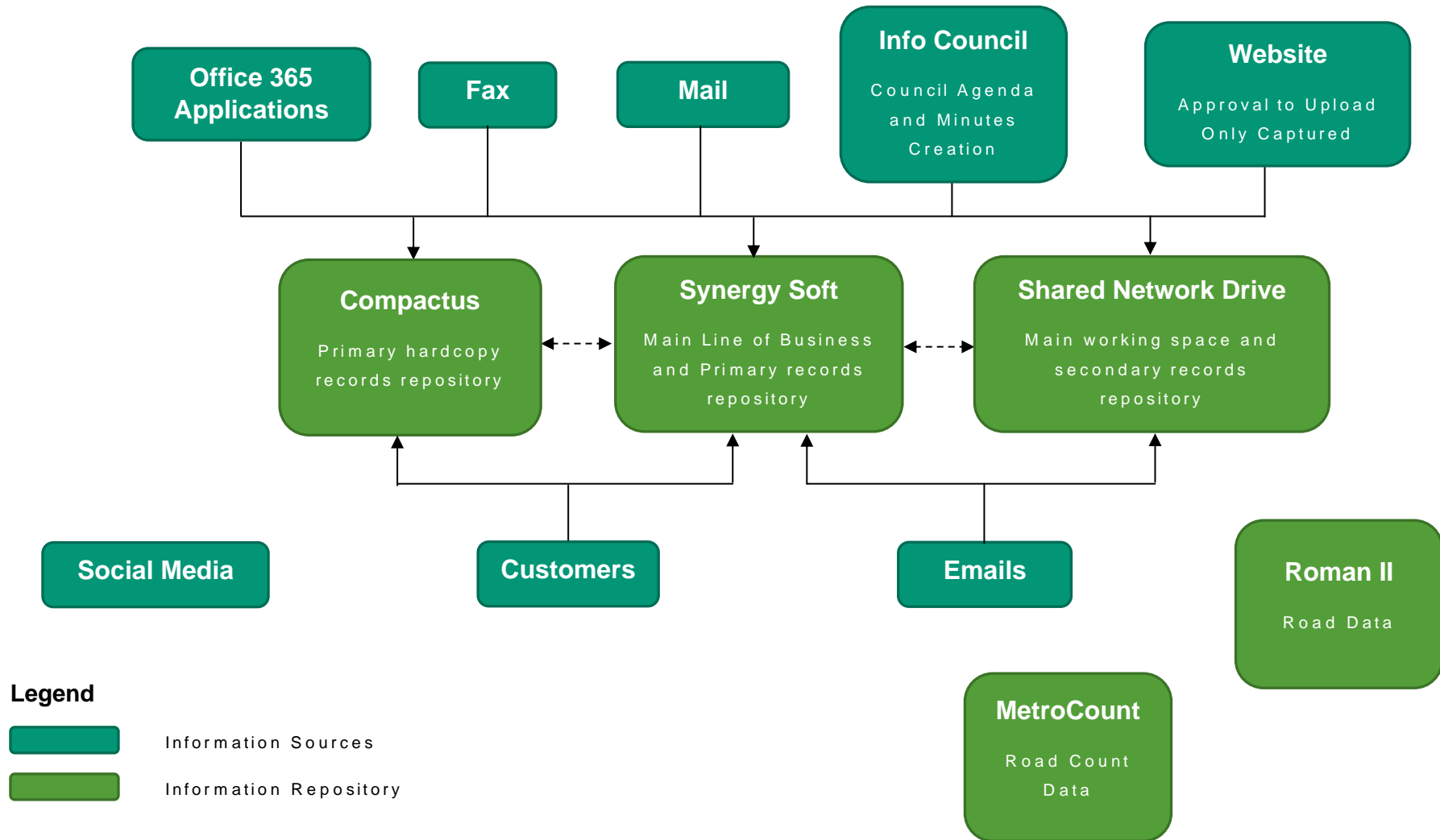


Appendix 1

SynergySoft Modules and Information Repositories



INFORMATION REPOSITORIES



Legend

- Information Sources
- Information Repository

APPENDIX 7 – POLICIES AND PROCEDURES



Index of Records Related Policies and Procedures

Records Policies

- G1.8 Record Keeping

Internal Records Policies

- Digital and Electronic Signatures

Policies Containing Record Keeping Requirements

- C1.1 Freeman of the Shire of York
- CP1.3 Commissioning of Legal Advice
- CP1.5 Compliance
- F1.2 Procurement
- F1.3 Significant Accounting Policies
- F1.4 Investment
- F1.5 Authority to Make Payments From Trust and Municipal Funds
- F1.9 Panels of Pre-Qualifies suppliers
- G1.1 Code of Conduct: Councillors, Committee Members and Employees
- G1.15 Attendance at Events: Elected Members and CEOs
- G2.1 Comprehensive Complaints Response
- G2.5 Reference Groups
- G2.6 Public Question Time
- G3.1 Public Interest Disclosure
- G4.8 Legislative Compliance

Records Procedures

- Addressing Outstanding Correspondence
- Archiving – Hardcopies
- Closing Files and Volumes
- Digital and Electronic Signatures – Application
- Digital and Electronic Signatures – Setup
- Disposal Procedures – Destruction of Hardcopies
- Employee Procedures
- Incoming Mail Registration Distribution
- Loaning Files
- Mail Report Generation
- New File Creation
- New Residents Advice
- Newspaper Articles
- Outgoing Mail and Banking
- Overdue Records Report
- Profiles
- Records Information
- Records Monitoring – Storage Areas
- Records Monitoring Programs

- Records Security and Access
- Registering – Creditor Forms
- Registering – Emails
- Registering – General Procedures
- Registering – Account Enquiries
- Staff Induction
- SynergySoft Names and Addresses
- Using the File Plan
- Website Management

Procedures Containing Record Keeping Requirements

- Approval Process for Upload of Content to Website
- Completed Development Application
- Controlled Waste Tracking
- Disclosures of Gifts, Notifiable Gifts and Travel Contributions Register
- Employee/Volunteer Training and Development
- Information Bulletin
- Legal Procedures
- Neighbour Notification
- New and Update Creditor Request Procedure
- Operating Procedure – Cemetery – Record Keeping
- Processing Building Applications
- Recruitment and Selection
- Road Data Collection Procedure
- Stallholders Licence
- Website Management

APPENDIX 8 – FILE PLAN EXTRACT

Administration

Refers to the provision of administrative support to the organisation.

Administration	Advertising	AS.ADV
Administration	Contracted Services	AS.CNT
Administration	Communications	AS.COM
Administration	Consultancy Services	AS.CON
Administration	Equipment	AS.EQU
Administration	Information and Technology	AS.ITY
Administration	Quotations	AS.QTN
Administration	Records Management	AS.RMT
Administration	Stationery	AS.STA
Administration	Statistics	AS.STS
Administration	Tenders	AS.TEN
Administration	Vehicle Licensing	AS.VLS

Building Services

Refers to the regulatory requirements and the administration of the building section.

Specific building issues will be coded to the property file and the building licence records as kept by the section.

Building Services	General Administration	BS.GEN
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Community Services

Relates to Federal, State and Local Government Community Service organisations and activities that cannot be allocated to specific properties.

Community Services	Council Community Services	CS.CCS
Community Services	Celebrations and Events	CS.CEV
Community Services	Citizen Recognition	CS.CIT
Community Services	Information	CS.INF
Community Services	Local Community Services	CS.LCS
Community Services	National and State Events	CS.NSE
Community Services	National and State Community Services	CS.NCS
Community Services	Residents and Ratepayers Associations	CS.RRA
Community Services	Services for Specific Populations	CS.SSP

Council And Community Properties

Relates to all Council properties including reserves

For Council owned houses refer to the applicable geographic property file

For bookings of CCPs refer to CS.CCS.6

Council and Community Properties	Council and Community Properties	CCP
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Environment

Relates to the protection, conservation and control of the environment.

Matters dealing with specific locations are coded to property file.

Environment	Pollution Control	EV.PNC
Environment	Protection and Preservation	EV.PVN
Environment	Reserves	EV.RES

Finance

Relates to all aspects of financial management

Finance	Accounting	FI.ACC
Finance	Asset Management	FI.AST
Finance	Banking	FI.BNK
Finance	Budget	FI.BUD
Finance	Creditors	FI.CRS
Finance	Sponsorship & Donations	FI.DON
Finance	Debtors	FI.DRS
Finance	Financial Assistance Grants	FI.FAG
Finance	Fees and Charges	FI.FEE
Finance	Financial Reporting	FI.FRP
Finance	General Administration	FI.GEN
Finance	Insurance	FI.INS
Finance	Loans	FI.LNS
Finance	Payroll	FI.PAY
Finance	Rates	FI.RTS
Finance	Taxation	FI.TAX

Health Services

Refers to the regulatory requirements and administration of the health section.

Specific issues will be coded to the property file.

Health Services	General Administration	HS.GEN
Health Services	Inspection Testing and Licensing	HS.ITL
Health Services	Pest and Vermin Eradication	HS.PVE
Health Services	Waste Disposal	HS.WDL

Legal

Concerns records relating to statutory and litigious matters dealing with Acts and Local Laws, Contracts, Agreements and Prosecutions that cannot be coded by property.

Legal	Acts and Statutes	LE.ACT
Legal	Contracts and Agreements	LE.CNT
Legal	Local Laws	LE.LLW

Organisation

Relates to Federal, State and Local Government organisational functions and responsibilities for the statutory requirements of government.

Organisation	Boundaries	OR.BOU
Organisation	Corporate Image	OR.CIM
Organisation	Councillors	OR.CLR
Organisation	Corporate Management	OR.CMA
Organisation	Elections	OR.ELN
Organisation	General Administration	OR.GEN
Organisation	Intergovernmental Relations	OR.IGR
Organisation	Meetings	OR.MEE
Organisation	Regional Development	OR.RDT

Personnel

Relates to Industrial Awards etc affecting Shire personnel. Also includes Human Resources Management and Occupational Safety and Health matters.

Personnel	Awards	PE.AWD
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Personnel	Employees	PE.EMP
Personnel	Invitations	PE.IVT
Personnel	Occupational Health and Safety	PE.OHS
Personnel	Professional Associations	PE.PAS
Personnel	Recruitment	PE.REC
Personnel	Remuneration and Benefits	PE.REM
Personnel	Training	PE.TRG

Planning Services

Concerns the provision of administrative and regulatory requirements of the Planning Services Section.

Planning Services	Development Control	PS.DEV
Planning Services	General Administration	PS.GEN
Planning Services	Naming (Nomenclature)	PS.NAM
Planning Services	Precinct Planning and Development	PS.PPD
Planning Services	Signs	PS.SGN
Planning Services	Subdivision Control	PS.SUB
Planning Services	Town Planning Scheme	PS.TPS

Property Files

Property Files	Assessment Details	A
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Ranger Services

Relates to the provision of law enforcement services and volunteer and emergency services

Ranger Services	Animal Control	RS.ANC
Ranger Services	Bushfire Control	RS.BFC
Ranger Services	Fire and Emergency Services	RS.FES
Ranger Services	General Administration	RS.GEN
Ranger Services	Vehicle Control	RS.VEC

Transport

Relates to public and commercial transport systems and vehicular movement within the Shire.

Transport	Air	TR.AIR
Transport	Rail	TR.RAI
Transport	Road	TR.RDT

Utilities

Relates to public utilities and the provision of these services

Utilities	Drainage	UT.DRN
Utilities	Electricity	UT.ELE
Utilities	Gas	UT.GAS
Utilities	Sewerage	UT.SEW
Utilities	Telecommunications	UT.TEL
Utilities	Water Supply	UT.WSP

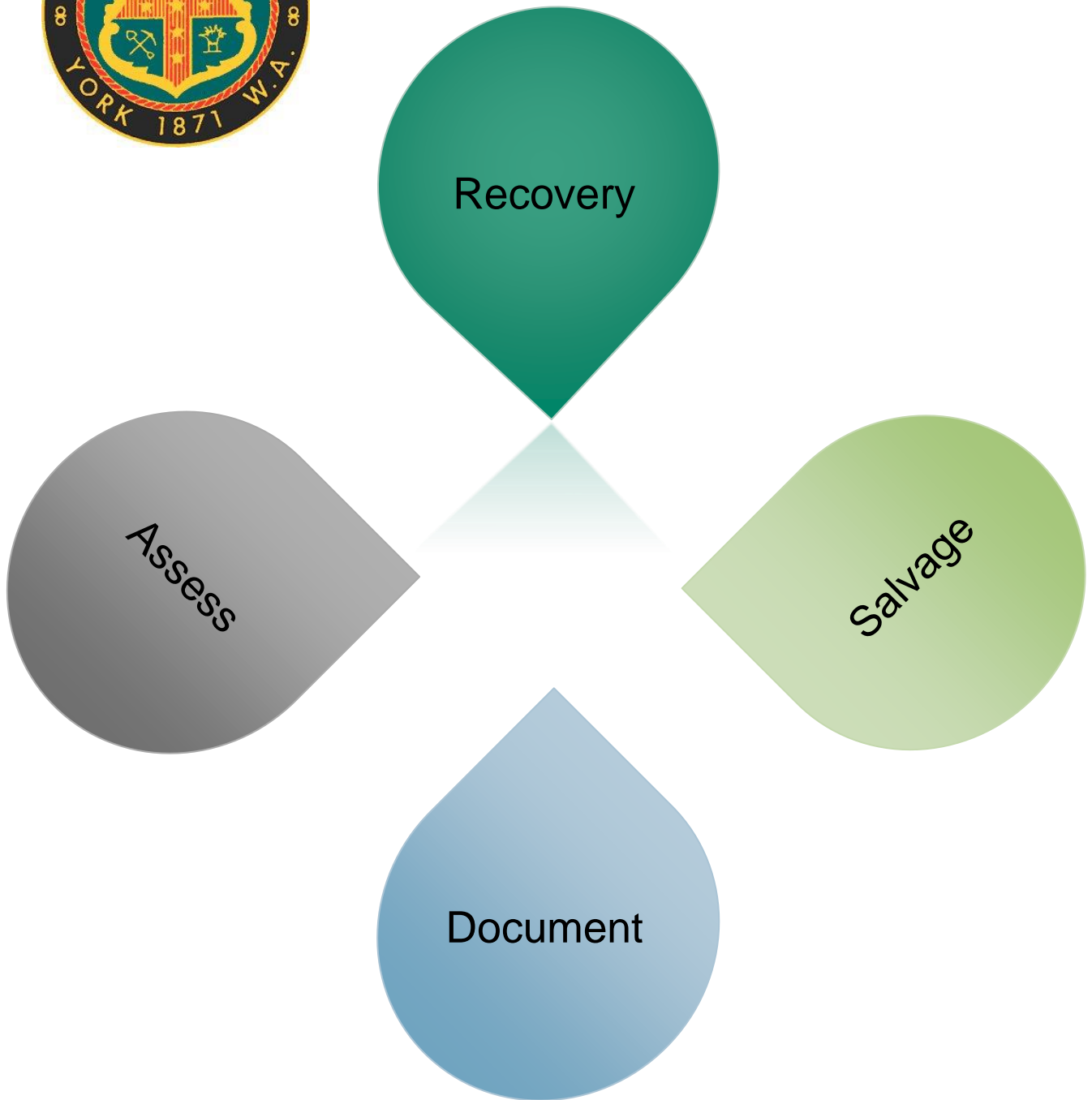
Works

Relates to all aspects of road construction and maintenance and plant management

Works	Construction and Maintenance	WK.CMP
Works	Contractors	WK.CON
Works	Footpaths	WK.FTP

Works	General Administration	WK.GEN
Works	Hired Plant	WK.HPL
Works	Materials	WK.MAT
Works	Construction Equipment	WK.NEQ
Works	Office Vehicles	WK.OFV
Works	Parks, Reserves and Open Spaces	WK.PRO
Works	Ranger and Bushfire Vehicles	WK.RBV
Works	Road Matters	WK.RDM

APPENDIX 9 – RECORDS AND INFORMATION MANAGEMENT DISASTER MANAGEMENT PLAN



**Shire of York
Records & Information Management Disaster
Management Plan**

Revised September 2020

VERSION CONTROL AND ENDORSEMENT

Date	Action	Officer	Resolution No	Date of Resolution
15/3/2010	Adopted	A/DCEO - T Cochrane	120210	15/02/2010
11/5/2015	Reviewed	DCEO - T Cochrane	060515	25/05/2015
02/9/2020	Major Review	Records Officer - A Smith		
12/2/2021	Adopted		111220	22/12/2020

INTRODUCTION

A disaster event that causes significant loss of the Shire of York records has the potential to cause major disruption to the Shire of York's ability to operate effectively. This can result in financial loss, public embarrassment and a loss of credibility and goodwill.

The causes of a disaster are varied and include flooding, fire, industrial accidents, structural failure and computer viruses. Although the risk of a disaster will always exist, its impact and the cost of salvage and restoration can be mitigated by careful planning.

Planning and preparing for a disaster requires an ongoing commitment to reducing or avoiding potential risks. It is the role of all employees to consider aspects of the records holdings and the impact of loss or interruption to services should a disaster occur. Users will be aware that with effective and efficient disaster management strategies and procedures in place, the ability of the shire to continue to effectively meet its core business requirements in an accountable way will be maintained.

The Shire of York paper records are considered to be at a greater risk than its electronic records principally for the reason that full back-ups of the Shire of York's critical computer systems are performed on a regular basis. Fire and water damage are the most common disasters affecting paper records but although the primary cause of a disaster may be fire-related it is frequently the effects of fire suppression activities (i.e. water) that cause most damage.

An important part of this plan is to identify and protect the Shire of York's vital records. These are the most important records as they protect the rights of individuals and the rights and interests of Shire of York and the execution of its obligations. Vital records include:

- Contracts, agreements, memorandums of understanding and leases
- Certificates of Title
- Deeds
- Vesting/Management Orders

Vital records typically constitute 3-10% of an organisation's records.

In the event of an actual disaster that impacts significantly on the Shire of York's records, professional advice should be immediately sought from the State Records Office and a professional disaster and recovery company.

PURPOSE

The purpose of this plan is to ensure records are protected from the impact of a disaster, and to ensure that normal business operations can be resumed as soon as possible following a disaster. This document involves identification, analysis, assessment, and response to disasters that may impact on records.

The records disaster recovery plan will act as a comprehensive resource for the recovery process by outlining the four stages of disaster management programs for records;

- 1) Prevention
- 2) Preparedness
- 3) Response
- 4) Recovery

It also includes some useful advice and information about responsibility after the disaster.

BACKGROUND

The Shire of York runs a hybrid records management system and is in the process of migrating to fully electronic records management. Original copies of records considered to be vital to the running of the organisation are kept in the fireproof safe with working copies on file. Where the original copies are digital, a hardcopy is printed for the safe in order to ensure business continuity in the event of an electronic systems related disaster. For further information please see the Vital Records Program and IT Disaster Recovery Plan.

SCOPE

This document covers records in formats including paper records, tapes, and disks. Electronic records on server drives are covered by the IT Disaster Recovery Plan. This document is to be read in conjunction with the Business Continuity Management Plan and IT Disaster Recovery Plan.

The implementation of this disaster plan is based on best practice as demonstrated in the International Standard IS015489.2 Records Management, with a “set of clear, comprehensive, written, step by step instructions relating to the organisation, site and building, and to the services that are provided by it, to ensure the minimum loss and disruption of services in the event of an emergency or disaster”.

This document is to lay out disaster management process that covers the key points of Business Continuity Management principles for Hardcopy Records.

The assets covered under this document are:

- Corporate paper records (registered and unregistered)

Corporate Electronic Records will be managed as part of the IT Disaster Recovery Plan.

It is to be noted that any records recovery procedures should be activated only when it is safe to enter the building.

OBJECTIVES

The objectives are:

- To establish a disaster management program/plan for records
- To provide the leadership and immediate action required during a crisis situation for the protection and preservation of records
- To ensure that appropriate equipment and materials are available to deal with a likely emergency
- To ensure that staff are trained and prepared to take on appropriate roles in any disaster reaction, response and recovery
- To take steps to minimize the risks or detect any problems as early as possible
- Identify vital records, duplicate as appropriate and store offsite

- To minimise the loss of, or damage to, vital and essential records in the event of a disaster
- Ensuring safety and that the organisation “gets back to business” as soon as possible, with minimum loss or extent of damage

PLANNING

DISASTER RECOVERY TEAM

Any recovery of Shire of York records is to be managed by specialist personnel. The role of the Disaster Recovery Team is to manage all aspects of the response to any disaster situation affecting records administered by the Shire of York.

The Disaster Recovery team will be guided by the Records Disaster Management Plan.

The disaster recovery team shall meet annually to discuss the current document and list recommendations for changes to it in liaison with the CEO who will authorise any changes.

RESPONSIBILITIES

A disaster recovery team has been established and organised to:

- assess the extent of damage to records and determine priorities
- contact a professional disaster recovery company if required (refer 3.5)
- set up a work and evaluation area
- transfer damaged records from the disaster site to the work area
- document damaged records
- arrange for equipment and materials
- undertake restoration activities
- make recommendations

The team will consist of the following positions:

- Records Disaster Recovery Coordinator
- IT Disaster Recovery Manager
- IT Disaster Recovery Coordinator
- Records Disaster Recovery Team Members

The designated Records Disaster Recovery Coordinator (see Appendix 10.1 Emergency Contacts) should be the first team member advised when a disaster impacts on the organisation’s records. After assessing the situation with the Emergency Manager, the other team members should be contacted.

Records Disaster Recovery Coordinator

This position is responsible for coordinating the physical records disaster response and recovery project. The primary responsibilities include (but are not limited to):

- Initiation and management of the Records Disaster Management Plan;
- To ensure that safety of personnel involved in recovery operations;
- Co-ordination between the Critical Incident Management Team (CIMT) and the recovery team;
- Co-ordination of the recovery team;
- Implementation of recovery procedures and related activities; and
- Co-ordination of salvage operations and materials.

Records Disaster Recovery Team Members

The primary responsibilities include (but are not limited to):

- Liaise with the Records Disaster Recovery Coordinator for guidelines for the response and recovery procedures
- Liaise with external vendors for recovery procedures and services
- Perform damage assessment
- Review and update the emergency telephone list at least annually
- Issue revised pages as and when necessary - remember to date the revisions
- Remove old versions from circulation
- Ensure policy statement is reviewed and updated regularly
- Recommend any need for remedial actions in relation to the buildings and their infrastructure that pose potential threats
- Keep up to date with and maintain information on handling and recovery techniques
- Ensure promotion of disaster prevention awareness among staff
- Ensure staff are trained in the disaster plans
- Ensure plan is tested regularly, using disaster simulations if possible
- Report the results of the test plan (include things that went according to plan as well as those parts of the plan that need to be adjusted)
- Ensure the disaster bin contains the required emergency supplies and that all items are in working order
- Replenish any items that might have been used from the disaster bin
- Maintain list of materials for use in disaster (appendix 10.2)
- Plan to raise the level of awareness and understanding of the effects of disaster experiences on staff
- Keep a duplicate copy of the disaster plan off site, for ease of access

IT Disaster Recovery Manager and Coordinator

IT Disaster Recovery teams must be involved in the response and recovery process in case there is an IT disaster affecting the electronic records. Refer to the IT Disaster Recovery Plan for specific roles and responsibilities of IT disaster recovery teams.

RISK MANAGEMENT

DISASTERS AFFECTING RECORDS

A disaster is typically an unexpected event that causes a potential inability on an organisation's part to provide critical business functions for a period of time and which has potential long-term adverse effects on its normal operations. The following disasters are identified as having the potential for a significant, adverse impact on the Shire of York's records:

Risk	Description
Acts of war	includes bombing or warfare-related activities such as terrorism and sabotage
Criminal behaviour	includes theft, arson and vandalism
Industrial accidents	includes chemical spills and explosions
Information technology failures	includes deliberate or accidental erasure of vital electronic records, computer viruses causing corruption of data, computer equipment failure
Natural disasters	includes cyclones, earthquakes,/tremors, flooding and bushfire

Storage conditions	Electronic media and paper records with archival value must be stored in appropriate storage and environmental conditions where temperature and humidity levels can be controlled Includes building conditions eg faulty wiring, malfunction of air-conditioning or heating systems, plumbing problems, structural or design deficiencies
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RISK ASSESSMENT SUMMARY

Risks associated with the event of a disaster are reviewed every 2 years in conjunction with internal audits and review of the Records Disaster Recovery Plan. The following table shows the risks and their corresponding risk rating based on the likelihood of the risk occurring. Please see the records risk assessment spreadsheet for full details.

Risk	Location	Rating	Mitigation
Fire	Administration Office Archives – Depot	Low Low	Firefighting extinguishers in place
Flood	Administration Office Archives – Depot	Low High	Relocating archives
Storm	Administration Office Archives – Depot	Medium Medium	
Earthquake	Administration Office Archives – Depot	Low Low	
Criminal Behaviour	Administration Office Archives – Depot	Medium Medium	Security alarms in place Gate restricting access to compound
Industrial Accident	Administration Office Archives – Depot	Low Medium	
Storage conditions	Administration Office Archives – Depot	High Extreme	Relocating archives

See appendix 10.5 for the risk assessment tools use to determine the risk ratings.

PREVENTION

Some disasters, such as seismic disturbances occur suddenly and unexpectedly with others, such as the effect of undetected insect or vermin damage, happen gradually. Photographic negatives, for example, are inherently unstable and may in time self-combust and cause a fire. Effective planning strategies can help to minimise the likelihood of some disasters and mitigate their impact on the Shire of York operations and records.

In most instances a disaster may be prevented if warning signs are identified and dealt with early. Potential hazards should be reported to the Administration and Governance Officer or Records Officer, and if able to, prevent further damage.

RECORDS SECURITY

- Establish guidelines on how to recognize and deal with suspicious mail and parcels, and possible bomb threats
- Compile a list of all vital records, their location and keep up to date. Mark them so they are easily recognisable and can be targeted first for rescue after a disaster.
- Make a security copy of vital records and ensure the original or the copy is stored off-site in appropriate environmental conditions
- Ensure electronic records are backed up regularly and stored off site

BUILDINGS

- Keep fittings and fixtures well maintained
- Ensure ceiling areas are checked regularly
- Ensure appropriate safety signs are in place
- Ensure alarm systems where installed are tested and maintained annually

It is the responsibility of the Development Services Coordinator to inform the Records Officer/s of any contract work being carried out which may present an increased risk of disaster (water, fire, dust, structural failure) and to negotiate checking the work site to ensure:

- All collections are covered with ample plastic sheeting to protect them from dirt and water during building works if appropriate;
- No collection material is placed on the floor or moved unnecessarily;
- Dust produced by the work site is kept to a minimum and/or fully extracted away from collection areas;
- Risk to the collections is at its absolute minimum, if necessary, collections may be moved to an agreed location to minimise risk factoring the costs into the project;
- Contractors are aware of their responsibilities when working near collections; and
- Contractors know whom to contact in an emergency involving collection material

FIRE

The Shire of York prohibits smoking within buildings. There are smoke detectors located in the administration building.

The Shire of York does not have an Automatic Fire Sprinkler System installed. The Building Code of Australia does not require this system to be installed.

It is the responsibility of Development Services to:

- Ensure all doors and aisles are kept free of obstruction
- Ensure fire-fighting equipment is clearly visible and signposted (dry powder and water extinguishers etc.)
- Ensure fire extinguishers are accessible
- Ensure all firefighting and detection equipment is tested and renewed in accordance with Australian Standards
- Ensure evacuation map installed, clear and evacuation point identified

FLOOD/STORM

Water damage is the most common form of disaster affecting an organisation's records. Water damage to records may occur as a consequence of flooding, burst water pipes or fire suppression activities of the fire brigade.

Any water leaks should be reported immediately to the Administration Governance Officer or Records Officer.

- Check for any sign of water damage after a severe storm
- Monitor water penetration points
- Ensure air-conditioners are regularly checked

PESTS & VERMIN

- Inspect storage areas regularly for infestations including
 - Termites
 - Cockroaches
 - Spiders
 - Silverfish
 - Rodents
- Ensure areas are added to annual termite inspections

Any pests found may be an indication of more in hiding and can cause:

- Damage, nests, droppings / grass, or remains;
- Smell; or
- Damage to collections

In the event of an infestation:

- Notify the Administration Governance Officer or Records Officer
- Do not add or remove material until treatment complete
- Identify the source of the infestation eg access points

STORAGE

- Ensure shelving is strong, stable and non-flammable
- Bottom shelves should be raised 15 centimetres above floor level
- Archival materials must be housed in acid free boxes
- Maps, posters, plans, etc should be stored flat, where this is not possible it is preferable to store them in boxes, loosely rolled
- Where possible do not store items or information on the tops of shelves because most water damage occurs through the ceiling from burst pipes or sprinklers. This area also is usually dirty and dusty and presents an occupational safety and health risk during rapid evacuation or removal.
- Ensure areas such as on top of and underneath shelving are cleaned regularly
- The compactuses must be maintained in full operational order to facilitate access to all records
- Vital records to be situated within favourable environmental conditions (locked Fireproof room)
- Ensure records storage areas are suitably labelled

ELECTRICAL

- Ensure plugs and power points in good repair
- Keep electrical cords in good condition
- Ensure leads and cords are stored in proper condition
- Electrical tagging occurs annually

HOUSEKEEPING

- Ensure adequate lighting, including emergency lighting, at walkways and the exits are well lit
- Ensure access walkways are clearly marked and clear at all time

SIGNAGE

- Ensure exit signs are clearly marked
- Ensure location is appropriate and signs are readable
- Ensure fire extinguishers location signage is clear and well defined

ACTIVATING THE RECORDS DISASTER RECOVERY PLAN

The Records Disaster Recovery Coordinator activates the disaster recovery plan where damage has occurred to any area where hardcopy records are stored.

INITIAL STEPS

The area must initially be assessed for access by Incident Controller. Recovery activities are not to commence until the area is declared safe in a handover. For example, fire may have caused structural damage to the building which must be stabilised first.

Some of the initial steps that the Records Disaster Recovery Coordinator needs to take are:

- Make an initial assessment of the type of damage sustained;
- Appoint additional team member/s that will work in the Records Disaster Recovery Team as required;
- Liaise with the IT team to identify if electronic records are affected and to what extent.
- Lay out the records disaster recovery plan to the team and debrief them about the immediate and next steps;
- Set responsibilities within the team for all team members; and
- Contact the State Records Office to advise them of the disaster.

Note: In scenarios whereby electronic records or other services and facilities are affected, the Shire of York may enact or may have already enacted its IT Disaster Recovery Plan or its Business Continuity Plan. When these plans have been enacted, all records disaster recovery tasks will align to any broader activities at the direction of executive management.

PREPARATIONS

In the event the Records Disaster Recovery Plan is activated the Records Team with the support of the other members of staff and fitting into the overall risk management team will prepare to respond and recover records by:

- Securing the site
- Assessing damages and make recommendations
- Recruit co-operation of local emergency services where needed
- Source contents of the disaster bin where the disaster bin contents have been consumed/damaged by the disaster
- Identify a secure, evaluation area for assessment and treatment of damaged records can be established

RESPONSE

ASSESSING THE DISASTER

The nature and extent of a disaster will determine the response required.

If a disaster site is expected to be off-limits for several days (or weeks) it will be necessary to seek special permission from the Fire Brigade or Police to access the site in order to retrieve records that require immediate attention such as vital records and those affected by water.

When a disaster involves the loss of official Shire of York records, the action being taken must be reported to the State Records Office.

SECURING THE SITE

The disaster site must be immediately secured to prevent:

- Unauthorised access
- Possible harm to individuals uninformed about risks that may exit
- Prevent the loss of records due to theft

All equipment should be disconnected from electrical power outlets.

ASSESSING DAMAGED RECORDS

Determine:

- Which records have been damaged and if any vital records have been damaged
- The security measures required during recovery if confidential records have been damaged
- If shelving units and other equipment have been damaged
- If there is any structural damage to the building
- Whether the advice or services of a professional conservator company is required
- The requirements for equipment and materials – refer Appendix 10.2 for listing of supplies needed for use in disaster recovery operations and Appendix 10.1 for listing of suppliers, (Australian Standard AS 4390-1996 recommends preparation of a list of equipment and materials available for use in disaster salvage and recovery operations)
- The recovery work required by the Disaster Response and Recovery Team

DOCUMENT THE DISASTER

All aspects of the disaster management need to be documented and recorded for future use.

- Take photos of the disaster site
- Take photos of the damaged records
- Clearly label photos with site and record details
- Compile a list of lost records
- Compile a list of damaged records and associated recovery actions taken
- Register the final reports, photos and lists in the records management system

RECOVERY

Do not open fireproof safes/rooms for at least 3 days after fire events to prevent spontaneous combustion.

BRIEF THE RESPONSE TEAM

Brief the response team (if necessary)

- Circumstances of the emergency – cannot return until declared “safe” by emergency services
- Work required – can all material be dealt with – will some paper records need to be frozen?
- Equipment and materials – what do we need to hire? (if necessary) (Appendix 10.1 and 10.2)
- Rotate jobs at regular intervals
- Ensure ten-minute break sessions every hour

STABILISE THE SITE

Co-ordinate work with the Risk Management, Occupational Health and Safety staff, and Emergency Wardens, in trying to stop the source of or stabilize the problem.

- Prevent the source of the problem where possible;
- Do not handle or move affected material;
- **Do not open fireproof safes/rooms for at least 3 days after fire events to prevent spontaneous combustion.**
- Preventing problems such as water leaks and dust by:
 - Covering collections with plastic sheeting;
 - Capturing water in buckets; and
 - Use mops, squeegees and absorbent materials to collect surrounding water.
- Stabilize the air conditioning for temperature between 18-20C.
- Adjust the humidity level to approx. 40-45% if fire damaged and 15-20% if flood damaged.
- Ensure shelving and their contents are secure

ASSESS THE RECORDS

Teams need to determine whether some records have been completely destroyed or are inaccessible. Then teams need to assess:

- The quantity and nature of damage;
- Which media has been affected;
- If vital records are damaged;
- If damage affects records storage containers; and
- What equipment, specialists and techniques are required.

RECOVERY PRIORITY

The recovery priorities for records salvage and restoration are outlined below. This priority structure ensures that records are categorized related to the resumption of business.

Recovery Priorities

1. Vital records;
2. Records that are not electronically stored in database;

3. Older photographic material such as pre 1950s colour formats, glass plate negatives, deteriorated film negatives, deteriorated black and white prints;
4. Magnetic media such as audio, video and computer tape;
5. Records with water soluble media, e.g. hand-annotated maps, watercolour sketches, signatures in red ink;
6. Paper records which you know were very fragile before the flood, e.g. previously mould-damaged material;
7. More modern photographic material like contemporary colour material, recent black and white prints;
8. Paper based files;
9. Books on uncoated paper; and
10. Photocopied reference material.

PREPARING THE RECOVERY AREA

SPACES AVAILABLE FOR THE RECOVERY OF RECORDS

LARGE DISASTER SPACE AVAILABILITY:

Pavilion which is located at 45 South Street, York

SMALL DISASTER SPACE AVAILABILITY:

Council Chambers which is located next door to the Shire Office on the second level of the town hall 81 Avon Terrace, York.

SETUP TASKS

Locate the Disaster Recovery Bin and transport it to the Recovery Area. Location at time of writing is at the administration office in the hallway outside the photocopier room.

- Remove all unnecessary furniture and equipment;
- Cover tables with plastic and then with butcher's paper to help absorb moisture out of any wet records
- Ensure good air circulation - use air-conditioning or fans, and open windows/doors;
- Maintain a stable temperature and humidity – use fans and humidifiers;
- Do not use heating to raise the temperature as this will encourage mould growth;
- Ensure all supplies and equipment are retrieved from the disaster recovery bin; and
- String up drying lines to air-dry individual documents

REMOVING THE RECORDS

Mould grows on wet records within 48 hours so need to act as quickly as practicably possible.

Do not open fireproof safes/rooms for at least 3 days after fire events to prevent spontaneous combustion.

- Make sure staff access is safe and easy
- Remove loose material and files from aisles and recording their location
- As a safety precaution gloves should be worn when removing material from the disaster area.
- Priority records should be removed and treated first.
- Any records with retention periods that expire soon or that have only short-term value are considered low priority records and, if necessary, may be completely discarded.
- Remove materials in the exact condition they are found;
- Start at the nearest point of access
- Work systematically through the top shelves (first) to remove the records. Be gentle if they have been water damaged, swelling may make them difficult to remove

- Loose files and any documents, reports, and booklets not in existing storage boxes should be packed into storage boxes or plastic crates with the spine side facing down.
- Where the damaged records are very wet plastic milk crates should be used since cardboard boxes will readily absorb moisture and consequently sag, weaken and may collapse under the weight of their contents. Milk crates also provide better air circulation and can be easily stacked.
- An attempt should be made to pack very wet material separately from that material which is only damp.
- Badly damaged records that cannot be replaced from copies held elsewhere but nevertheless need to be retained should be placed in manila folders or carefully wrapped and sent to a professional conservator for treatment.
- Care should be taken when handling documents affected by fire and/or water because they are very fragile and easily torn.
- When records are stored in archival boxes in shelving units, boxes from the top shelves should be removed first to prevent the shelving units becoming top heavy and toppling over.

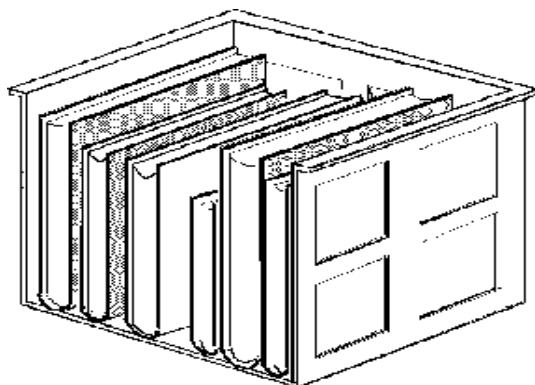
As wet documents can be very heavy trolleys should be used to move them to the evaluation area (paper will absorb up to 60 percent of its original weight).

RECORDING THE DAMAGE

Record and categorize details of the damage for each record/file on the Damage Sheet (Appendix 10.3)

SALVAGING WATER DAMAGED RECORDS

- Lay files on the prepared tabletops in a single layer with enough room between each file to open the cover and give access to the pages
- Do not try to separate volumes that have stuck together
- Interleave wet or damp pages with paper towel or some other form of clean absorbent paper every 5-10 pages and change regularly
- Keep freeing up the drying pages and replacing the interleaving paper, positioned between different pages, until files are dry
- Remove metal file fasteners as you encounter them, as they may start to rust before the file is dry
- Do not rub or brush items
- Use fans
- If required, loosely pack material into plastic crates, spine side down
- Place records for freezing into freezer bags



Packing wet records in plastic crates

Freezing Records

Freezing may be required when immediate salvage of materials is not possible and when a large quantity of damaged records requires attention.

Do not freeze

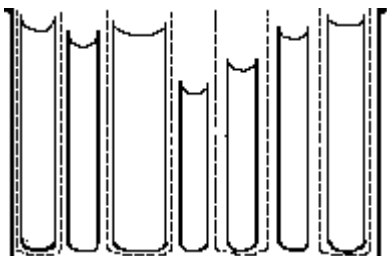
- vellum,
- photographs,
- glass plate negatives,
- magnetic media or
- vinyl records.

Freezing at low temperatures is the most effective method for immediately stabilising the damaged material and buys time for:

- Determining the best drying method.
- Allowing careful co-ordination of the drying operation.
- Assessing the value of the damaged items and the probable recovery costs.
- Preparation of adequate storage facilities for the damaged records.
- Controlling mould growth.
- Stabilising water-soluble materials such as, inks and dyes.

Conditions for freezing materials:

- Freezing can be done in a standard kitchen freezer or a bulk freezer storage unit.
- The freezing temperature must reach -10C.
- Dry ice can be used for transport in unrefrigerated trucks.
- Items should be wrapped in freezer wrap, freezer bags or wax paper.
- Give priority to items showing signs of developing mould.
- Do not open the freezer until ready to remove material, as a freeze-thaw cycle will begin.



Preparing wet records for freezing

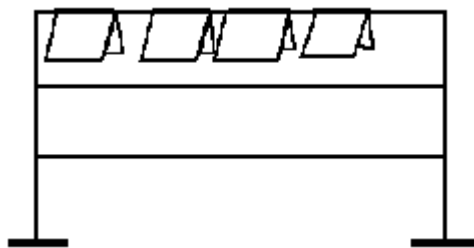
Drying Records

Air Drying

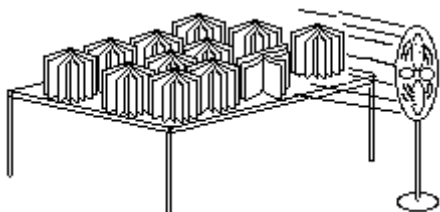
Air-drying requires an environment conducive to drying (10 to 17C and 25-35% humidity). Air-drying of materials should be used when only small amounts of records are involved and there is an opportunity to immediately begin salvage of the material.

Use fans to encourage air circulation as these assist with the drying process as well as discourage the growth of mould and mildew. Records that have developed mould should be allowed to dry before they are treated with specialised chemicals to remove mould from paper. It is advisable to seek the advice or use the services of a professional conservation company to perform this work if the number of records affected is large;

Wet file covers and archive boxes should be replaced.



Hanging small items



Drying bound volumes by standing upright

Freeze Drying

Freeze drying removes water through a process of sublimation. It ensures items do not stick together and it reduces stains and odours. The process can be very costly. Items must be moved to a freezing facility within 48 hours. Trained personnel wash mud and filth from the materials before freeze drying.

Vacuum Drying

Vacuum drying is used for large quantities of materials. Items are placed in a chamber and air evacuated until it reaches freezing point. The chamber is then filled with hot dry air.

SALVAGING FIRE AND SMOKE DAMAGED RECORDS

Fire damage requires expert advice.

The effects of fire include heat, soot, burnt edges, melted plastic pockets, odour and usually water damage. Where possible, attempts should be made to replace any records destroyed, or damaged beyond repair, by fire.

Partly burned records

Where records have been partly burned or charred around the edges, they can be trimmed and replacement photocopies of the documents prepared.

Destroyed records

Where records have been destroyed or burned beyond repair, and these records are documented on a database, a report should be printed that provides descriptive information about the records so that attempts can be made to identify duplicated holdings in other Offices and replacement copies requested or made.

Soot

The presence of soot may be removed by wiping damaged material with a clean, dry cloth or a very slightly damp sponge. If stains are stubborn, solvents may need to be applied.

Smoke damage

Smoke damage to records can sometimes be worse than the effect of fire. Soot particles and smoke residues can also be driven into filing cabinets by heat and pressure. The smoke residues are highly corrosive and the odour can remain for many months unless treated. The assistance of professional cleaners may be required to dry-clean records to remove smoke residues and to remove smoke odours by gas deodorisation.

The removal of smoke odours from large collections of records and/or from office rooms will require the assistance of professional cleaners.

If only a small number of paper records are smoke damaged, they can be placed inside a small, enclosed area with a bowl of baking soda to absorb the odours. This process typically takes two to three days to complete. If necessary, the baking soda should be changed daily

AFTER THE DISASTER

Before records are returned to their storage areas the walls, ceilings, floors and shelving units should first be washed with a fungicide in order to inhibit the possible growth of mould.

After records have been returned to their storage areas hygrothermographs should be used to monitor the air temperature and relative humidity for several weeks afterwards and paper documents should be monitored for the growth of mould.

CLEAN UP MEASURES

- Material should not be returned until the risk of a repeat disaster is removed;
- The disaster area should be thoroughly cleared of debris, or materials left from restoration of the affected area;
- Wash down dirty shelving, walls and floors
- Use fans to dry the area
- The area including all shelving, and/or filing cabinets must be thoroughly cleaned and dried before reuse;
- Fumigation of the disaster area may also be necessary;
- Use of fans and dehumidifiers will help maintain a stable temperature and relative humidity.
- Regular temperature and relative humidity checks should be conducted

RELOCATION OF MATERIAL

Once the disaster site has been completely cleaned and the temperature and relative humidity are consistently stable the materials can be returned to the shelves.

- Wait at least a week before returning material to its original location (needs to be fully dry and free of mould growth)
- Categorise material for re-location. For example, can it be returned to storage, does it need further treatment, or will it be destroyed (Appendix 10.3)
- Check shelving arrangements as the material may well take up additional space due to swelling
- Regularly check temperature and humidity in case the room or the records were not sufficiently dry when the room was reoccupied and because of mould growth
- Provide archived material with new boxes
- Check if current files need new file covers due to the legibility of the information having been affected

- Ensure filing cabinets are stable and any necessary equipment replaced prior to re-shelving;
- It is advisable to have salvaged materials treated with a fungicide before re-shelving;
- Material will need to be re-organised before filing

RECORDING THE EMERGENCY

Keep an adequate record of the emergency as depicted in the emergencies register (Appendix 10.4)

PLAN EFFECTIVENESS

Reporting and evaluation of an incident and the actions taken is a significant factor following a disaster. Teams should conduct a debriefing session with the staff and volunteers involved, to compare the disaster management plan to what actually happened. This is vital in ensuring that confusing procedures or mistakes are eliminated and that the disaster management plan will operate better in the future. Any change in response and recovery strategies resulting from the evaluation must be updated in the Records Disaster Management Plan immediately.

Subsequent to the occurrence of an actual disaster event it will be necessary to document the disaster in a formal report for management. A report is also needed to support an insurance claim. This can either be prepared as a separate document or the expenses incurred in the recovery efforts can be included as an appendix to this report.

A review undertaken following an actual disaster event should include an analysis of the following:

- A description of the disaster event including an explanation of how the disaster happened and whether it was preventable;
- The effectiveness of the existing counter-disaster measures;
- A summary of how the Shire of York responded to the disaster and an assessment of the effectiveness of this response;
- An assessment of the impact of the disaster on the Shire of York record keeping systems including a description of records that were lost;
- A description of any damage to buildings and equipment;
- An assessment of the effectiveness of supplies and hired equipment used in the recovery effort;
- An assessment of the effectiveness of the recovery efforts, emphasising the success or otherwise of restorative and replacement actions (of damaged records);
- An outline of any difficulties that were encountered during the recovery efforts;
- An assessment of the standard of cooperation and communication between all Offices involved in the response to the disaster and of the ability of staff to perform their respective functions;
- An outline of occupational safety and health issues;
- An assessment of the performance of outside agencies and consultants if they were involved;
- Recommendations.

Appendices should include photographs of the disaster and a detailed list of all expenses incurred in recovery operations (for insurance purposes).

Teams also need to conduct some residual tasks. For example, they should:

- Inventory response and recovery supplies and replace used supplies (Appendix 10.2);
- Evaluate performance of suppliers and recovery services and replace vendors that performed poorly; and

- Monitor affected areas and records for signs of continuing problems.

Finally, the organization should ensure that they congratulate staff for their efforts in disaster management

APPENDIX

10.1 EMERGENCY CONTACTS

Emergency Services

Ambulance	000
Fire Brigade	000
York Volunteer Fire Brigade	9641 1685
York Volunteer Fire & Rescue Service	9641 1124
State Emergency Service	13 25 00
York Police Station	9693 1000
Shire of York – Ranger	0417 181 349
Poisons Information Line	131 126
York Hospital	9641 0200
Electricity	131 351
Alinta Gas	131 352
Water	131 375
State Records Office	9427 3360

Emergency Supplies

Item	Company
Trestle Tables	Shire Town Hall
Wooden Pallets	Shire Depot
Wet/Dry Vacuum Cleaner	Radio Rentals 13 23 11
Plastic/Milk Crates	Crommelin Hire Osborne Park - 9204 1100
Large Fans	Applied Climate Control WA P/L Canningvale – 9455 2466
Portable Lighting	Shire Depot
Portable Generator	Shire Depot - York
Archive Boxes	Totally Confidential Records Management – 9376 8822 Corporate Express 1800 812 198
Dehumidifier	Applied Climate Control WA P/L Canningvale – 9455 2466
Portable Pump	Shire Depot - York
Freezer Space (Large Disaster)	Town Hall and Pavilion Cool rooms (dependant on where disaster has occurred)

Note: All above items except for Archive Boxes can be hired

Disaster Response and Recovery Team

For personal mobile numbers please see Shire of York Staff Contact Details attached as a confidential item not for publication in this document.

Role	Name	Position	Phone	Email
Records Disaster Recovery Coordinator	Amanda Smith	Records Officer	9641 0501	amanda.smith@york.wa.gov.au
IT Disaster Recovery Manager	Matthew Davies	Finance Officer – Payroll/IT	9641 0508	matthew.davies@york.wa.gov.au

IT Disaster Recovery Coordinator	Focus Networks Rep	External IT Contractors	1300 664 136	
Records Disaster Recovery Team Member	Carol Littlefair	Arts & Cultural Heritage Officer	9641 0520	Carol.littlefair@york.wa.gov.au
Records Disaster Recovery Team Member	Laura Appleton	Customer Service /Records Officer	9641 0504	laura.appleton@york.wa.gov.au
Records Disaster Recovery Team Member	<i>vacant</i>	Museum Curator	9641 0528	
Records Disaster Recovery Team Member	Natasha Brennan	Administration & Governance Coordinator	9641 0521	natasha.brennan@york.wa.gov.au
Records Disaster Recovery Team Member	Tamara Hooper	Executive Support Officer EMCCS	9641 0523	tamara.hooper@york.wa.gov.au

Building Disaster Response Contacts

Electrician	(ED & MJ Rous)	0419 926 293
Electrician	(KPL Electrical)	0418 756 680
Plumber	(Darry's Plumbing & Gas)	0418 903 777
Plumber	(PJ & KD Henderson)	0417 097 133

Other Staff Contacts

Chief Executive Officer – Chris Linnell	0447 884 150
Executive Manager Corporate and Community Services – Alina Behan	0457 600 161
Executive Manager Infrastructure and Development Services – Darren Wallace	0438 424 102

OTHER CONTACTS

State Records Office	9427 3360
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10.2 DISASTER BIN

A disaster bin, containing the equipment below should be clearly marked “DISASTER BIN” - Do Not Remove and keep the lid sealed.

- Adhesive tape and dispenser
- Paper towelling
- Bucket

- Butcher's paper
- Disposable camera (1) – optional
- Clipboards (2)
- Damage list
- Sponges
- Extension cords (2)
- Rubber gloves (3 pairs)
- Surgical type gloves (3 pairs)
- Cotton gloves (3pairs)
- Heavy-duty plastic sheeting to protect shelving/compactus
- Waterproof masking tape
- Pens, pencils, paper
- Torches (2)
- Dust pan and brush
- Plastic string
- Plastic pegs
- Plastic paper clips
- Labels – tie on
- Plastic bin liners
- Freezer paper
- Polypropylene Enclosures for Boxes
- Current Records Disaster Recovery Plan
- Current IT Disaster Recovery Plan

Note: Broom and mop are located in cupboards

The following large and/or expensive items may be purchased or hired when required and may include:

ITEM	HIRE	BUY
Plastic crates	X	X
Large fans	X	X
Trestle tables	X	
Blotting paper		X
Portable pump	X	
Portable lighting	X	
Dehumidifier	X	
Archive boxes		X
Portable generator	X	
Wet/dry vacuum cleaner	X	X
Wooden pallets	X	
Additional cool room	X	

Note: Wheelie bin can be used in conjunction with Pump as a vessel to pump the water into and can easily be wheeled away (as long as not over filled – due to weight)

(See Appendix 10.1 – EMERGENCY CONTACTS – Emergency Supplies) For Hire Company details for above items.

10.3 DAMAGE SHEET

Date:

Location:

Index No	Description/Title	Wet or Other	Returned to Storage	Needs Further Treatment	To Be Destroyed

10.4 EMERGENCIES REGISTER

Measures of Consequence									
RATING	PEOPLE	INTERRUPTION TO SERVICE	REPUTATION	COMPLIANCE	PROPERTY	NATURAL ENVIRONMENT	FINANCIAL IMPACT	PROJECT	
			(Social / Community)		(Plant, Equip, Buildings)			Time	Budget
Insignificant (1)	Near-Miss	No material service interruption Less than 1 hour	Unsubstantiated, localised low impact on community trust, low profile or no media item.	No noticeable regulatory or statutory impact	Inconsequential damage.	Contained, reversible impact managed by on site response	Less than \$10,000	Exceeds deadline by 5% of project timeline	Exceeds project budget by 5%
Minor (2)	First Aid Treatment	Short term temporary interruption – backlog cleared < 1 day	Substantiated, localised impact on community trust or low media item	Some temporary non compliances	Localised damage rectified by routine internal procedures	Contained, reversible impact managed by internal response	\$10,000 - \$50,000	Exceeds deadline by 10% of project timeline	Exceeds project budget by 10%
Moderate (3)	Medical treatment / Lost time injury <30 Days	Medium term temporary interruption – backlog cleared by additional resources < 1 Week	Substantiated, public embarrassment, moderate impact on community trust or moderate media profile	Short term non-compliance but with significant regulatory requirements imposed	Localised damage requiring external resources to rectify	Contained, reversible impact managed by external agencies	\$50,001 to \$200,000	Exceeds deadline by 15% of project timeline	Exceeds project budget by 15%
Major (4)	Lost time injury >30 Days / temporary disability	Prolonged interruption of services – additional resources; performance affected <1 Month	Substantiated, public embarrassment, widespread high impact on community trust, high media profile, third party actions	Non-compliance results in termination of services or imposed penalties to Shire / Officers	Significant damage requiring internal & external resources to rectify	Uncontained, reversible impact managed by a coordinated response from external agencies	\$200,001 to \$500,000	Exceeds deadline by 20% of project timeline	Exceeds project budget by 20%

EMPATHY

RESPECT

COURAGE

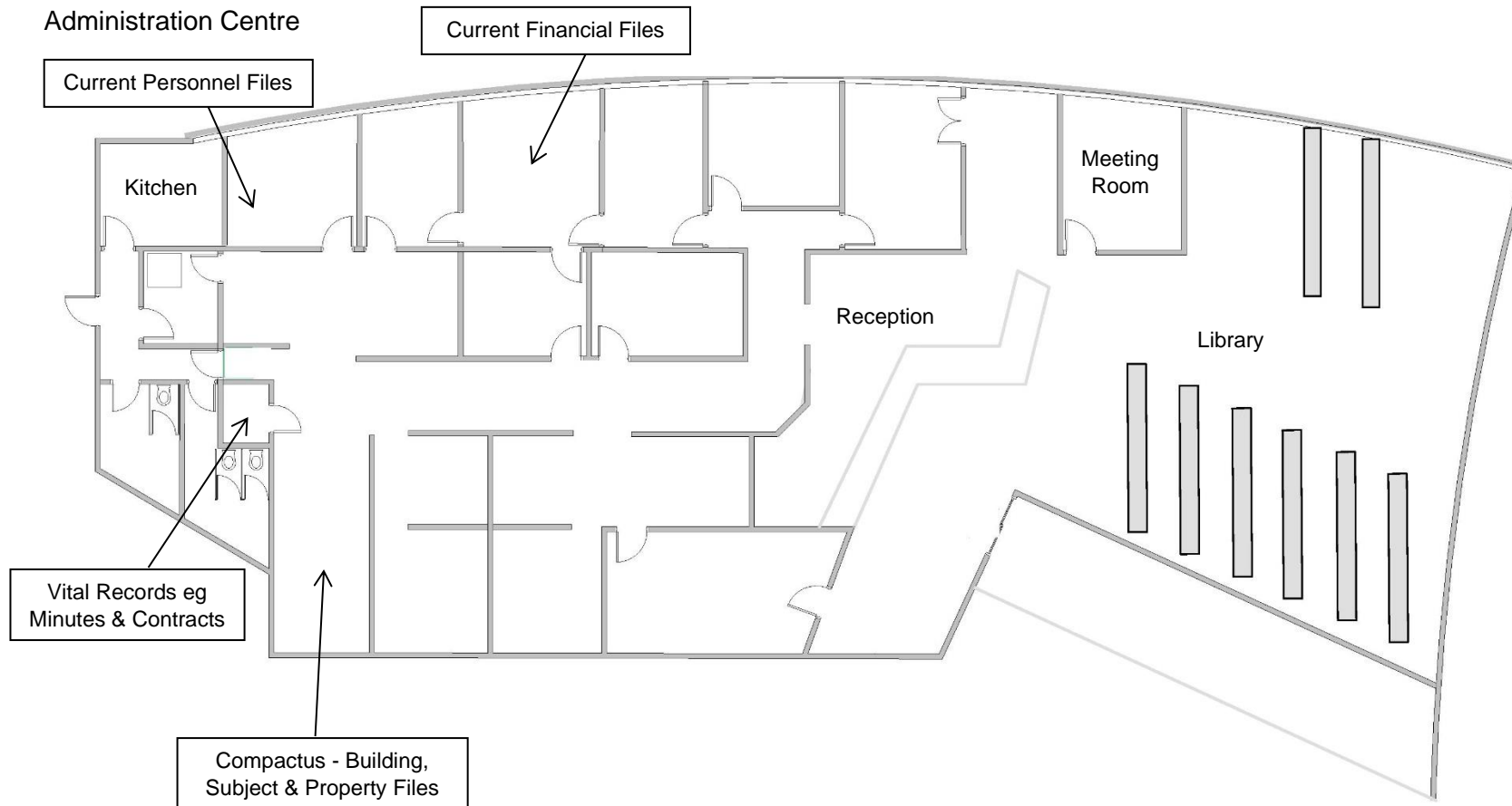
Extreme (5)	Fatality, permanent disability	Indeterminate prolonged interruption of services non-performance > 1 month	Substantiated, public embarrassment, widespread loss of community trust, high widespread multiple media profile, third party actions	Non-compliance results in litigation, criminal charges or significant damages or penalties to Shire / Officers	Extensive damage requiring prolonged period of restitution. Complete loss of plant, equipment & building	Uncontained, irreversible impact	>\$500,000	Exceeds deadline by 25% of project timeline	Exceeds project budget by 25%
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Measures of Likelihood		
Rating	Description	Frequency
Almost Certain (5)	The event is expected to occur in most circumstances	More than once per year
Likely (4)	The event will probably occur in most circumstances	At least once per year
Possible (3)	The event should occur at some time	At least once in 3 years
Unlikely (2)	The event could occur at some time	At least once in 10 years
Rare (1)	The event may only occur in exceptional circumstances	Less than once in 15 years

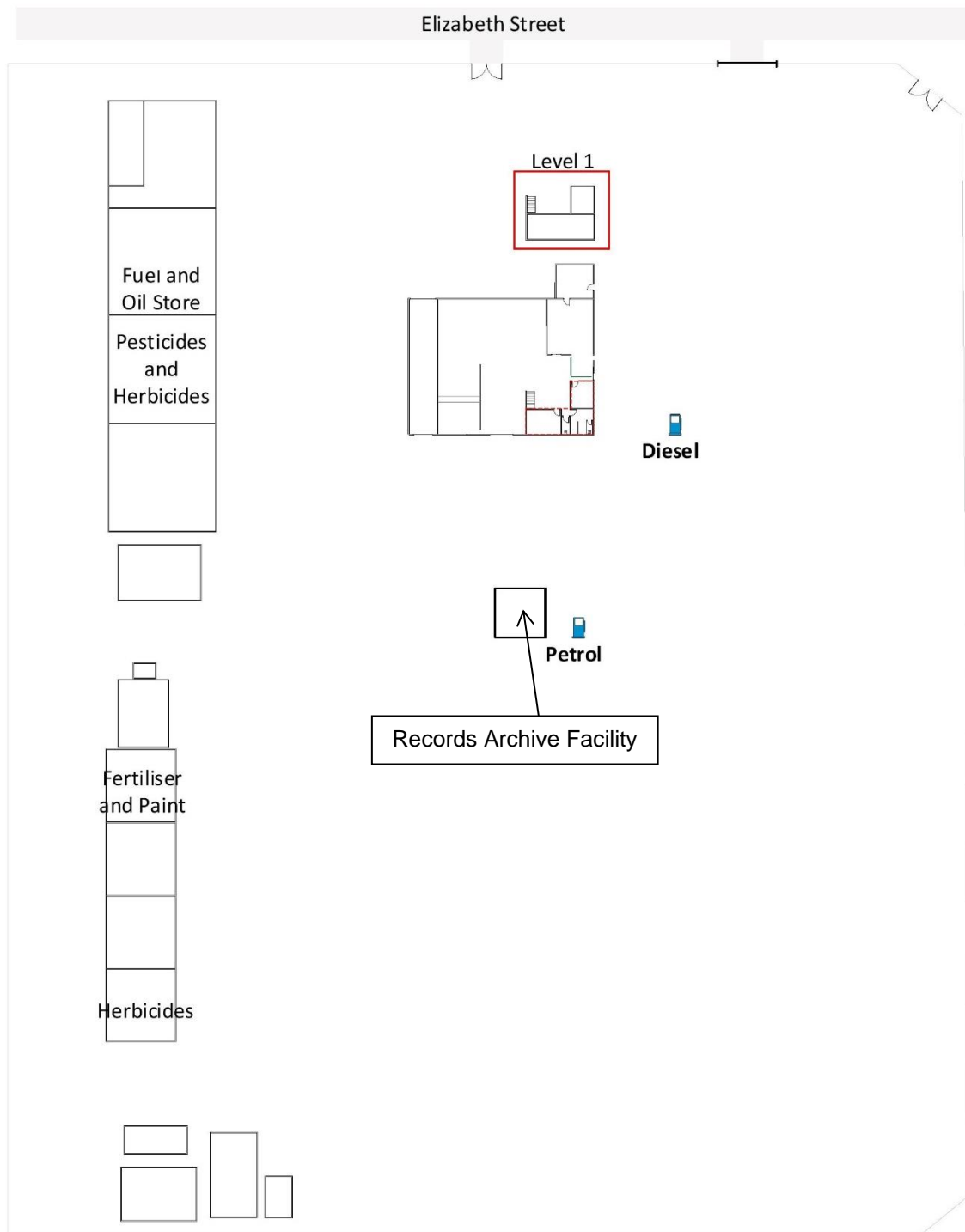
Risk Matrix					
	Insignificant (1)	Minor (2)	Moderate (3)	Major (4)	Extreme (5)
Almost Certain (5)	Moderate (5)	High (10)	High (15)	Extreme (20)	Extreme (25)
Likely (4)	Low (4)	Moderate (8)	High (12)	High (16)	Extreme (20)
Possible (3)	Low (3)	Moderate (6)	Moderate (9)	High (12)	High (15)
Unlikely (2)	Low (2)	Low (4)	Moderate (6)	Moderate (8)	High (10)
Rare (1)	Low (1)	Low (2)	Low (3)	Low (4)	Moderate (5)

10.6 FLOOR PLANS

Administration Centre



York Depot and Archives Shed Plan



**APPENDIX 10 – EXTRACT OF RECENTLY
AUTHORISED RECORDS FOR DESTRUCTION**



CERTIFICATE OF DESTRUCTION

Certificate: 2415098-Z3X9

Amount	Description
1	240L Permanent Security Bin
57	Archive Boxes

Collected From Shire of York 1 Joaquia Street York 6302 on 21/05/2020

The confidential data was transported in a secure, GPS tracked and alarmed vehicle to a Shred-X NAID AAA certified and PSPF endorsed secure destruction facility where all products were destroyed under the supervision of CCTV surveillance and vetted destruction personnel.

At no time did any unauthorised person have access to the sensitive documentation.

Compliance and Governance Manager



Shred-X Pty Ltd. | A.B.N: 44 123 767 153 | PO Box 1184, Oxenford, QLD 4210
p. 1300 747 339 | shred-x.com.au | info@shred-x.com.au

Record Destruction Authority

Shire of York

The following have been assessed according to the Local Government General Disposal Authority and, according to that authorised schedule are programmed for destruction. Please read through the list of records tabled below and, pending your approval, **sign at the conclusion of the tables** to signify your approval for these records to be destroyed.

Box 2018/021						
File Number	Title Description	Start Date	Finish Date	Disposal Action	General Disposal Authority	Authority Action
	Payroll Reports	21/09/2011	5/10/2011	D - 7 years after date of successful audit – 19/11/2012	2015-001/1	80.1 - Employee earnings - records of staff salaries / earnings and allowances, including shift work, on call, telephone, vehicle expenses, including listings
	Payroll Reports	11/10/2011	19/10/2011	D - 7 years after date of successful audit – 19/11/2012	2015-001/1	80.1 - Employee earnings - records of staff salaries / earnings and allowances, including shift work, on call, telephone, vehicle expenses, including listings
	Payroll Reports	2/11/2011	3/11/2011	D - 7 years after date of successful audit – 19/11/2012	2015-001/1	80.1 - Employee earnings - records of staff salaries / earnings and allowances, including shift work, on call, telephone, vehicle expenses, including listings
	Payroll Reports	17/11/2011	23/11/2011	D - 7 years after date of successful audit – 19/11/2012	2015-001/1	80.1 - Employee earnings - records of staff salaries / earnings and allowances, including shift work, on call, telephone, vehicle expenses, including listings

Box 2018/026						
File Number	Title Description	Start Date	Finish Date	Disposal Action	General Disposal Authority	Authority Action
	Licensing	1/01/2015	30/01/15	D - 2 years after expiry of agreement of Contract – 31/12/2017	2015-001/1	102.2 - Service Providers – records relating to services performed on behalf of other agencies where records are created (e.g. Australia Post, licence renewal on behalf of a State government organization)

Record Destruction Authority

Shire of York

Box 2019/001						
File Number	Title Description	Start Date	Finish Date	Disposal Action	General Disposal Authority	Authority Action
	Rates - V.G's Schedules - interim rates - volume 1	1/07/2011	30/06/2012	D - 6 years after action completed	2015-001/1	120.3 - Information / reports provided to the Valuer General - Under Section 37 of the Valuation of Land Act 1978
	Rates - V.G's Schedules - interim rates - volume 2	1/07/2011	30/06/2012	D - 6 years after action completed	2015-001/1	120.3 - Information / reports provided to the Valuer General - Under Section 37 of the Valuation of Land Act 1978
	Rates - V.G's Schedules - interim rates - volume 3	1/07/2011	30/06/2012	D - 6 years after action completed	2015-001/1	120.3 - Information / reports provided to the Valuer General - Under Section 37 of the Valuation of Land Act 1978
	Rates - Journals 2011/12	1/07/2011	30/06/2012	D - 6 years after successful audit - 19/11/12	2015-001/1	3.3 - Accounting - records (including master records) relating to the evidence of payments and supporting documentation. Includes but is not limited to: invoices; cheques; credit notes; approvals; purchase orders; claims and payment vouchers; cash books and journals; sales tax records; transaction records; ex-gratia payments; batch reports; and trial balance reports.
	Rates - Pension claims	1/07/2011	30/06/2012	D - 7 years after action completed	2015-001/1	90.8 - Pensioner rebates, other rebates and deferrals
	Rates - Sundry Debtors	1/07/2011	30/06/2012	D - 7 years after action completed	2015-001/1	34.8.4 - Rates - debtors balances, arrears book, debt collection, debtors interest calculations
	Rates Model - Rates Billing & G/L Accounts - rates excess distributed after billing	1/07/2011	30/6/2012	D - 6 years after successful audit - 19/11/12	2015-001/1	3.5 - General or subsidiary journals, ledgers and ledger accounts in any format

Record Destruction Authority

Shire of York

Box 2019/002						
File Number	Title Description	Start Date	Finish Date	Disposal Action	General Disposal Authority	Authority Action
	2011/12 Rate Receipts June 2012 4	1/07/2011	30/06/2012	D - 7 years after action completed	2015-001/1	90.9 - Rates payments - receipts
	2011/2012 Rate Receipts Feb - May 3	1/07/2011	30/06/2012	D - 7 years after action completed	2015-001/1	90.9 - Rates payments - receipts
	2011/2012 Rate Receipts Oct - Jan 2	1/07/2011	30/06/2012	D - 7 years after action completed	2015-001/1	90.9 - Rates payments - receipts
	2011/2012 Rate Receipts July - Sept 1	1/07/2011	30/06/2012	D - 7 years after action completed	2015-001/1	90.9 - Rates payments - receipts
	2011/2012 Rates - Penalty Interest 1	1/07/2011	30/06/2012	D - 6 years after successful audit - 19/11/12	2015-001/1	3.5 - General or subsidiary journals, ledgers and ledger accounts in any format

Box 2019/003						
File Number	Title Description	Start Date	Finish Date	Disposal Action	General Disposal Authority	Authority Action
	2011/2012 Rates - Penalty Interest 2	1/07/2011	30/06/2012	D - 6 years after successful audit - 19/11/12	2015-001/1	3.5 - General or subsidiary journals, ledgers and ledger accounts in any format
	Debtor Invoices 2011/12	1/07/2011	30/06/2012	D - 6 years after successful audit - 19/11/12	2015-001/1	34.2 - Debtors - invoices (office copy) and source documentation used to raise invoices
	Debtor Invoice Requisition 2011/12	1/07/2011	30/06/2012	D - 6 years after successful audit - 19/11/12	2015-001/1	34.2 - Debtors - invoices (office copy) and source documentation used to raise invoices
	Debtor Invoice Req's 3255 - 3453 11/12	1/07/2011	30/06/2012	D - 6 years after successful audit - 19/11/12	2015-001/1	34.2 - Debtors - invoices (office copy) and source documentation used to raise invoices


Record Destruction Authority

Shire of York

Box 2019/057						
File Number	Title Description	Start Date	Finish Date	Disposal Action	General Disposal Authority	Authority Action
	Residency Museum - Statistics - Visitor Counts / Day Sheets	1/07/2011	30/06/2013	D - 2 years after successful audit - 21/12/15	2015-001/1	19.2 - Annual estimates and budget reviews - drafts, calculations, costings and working papers.

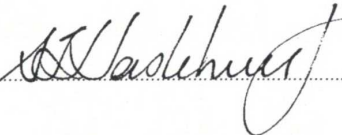
Recommended for Approval:

Natasha Brennan
Administration and Governance Coordinator

Signed .....


Date 13 May 2020

Suzie Hastlehurst
Executive Manager Corporate & Community Services

Signed .....

Date 13 May 2020

Chris Linnell
Chief Executive Officer

Signed .....

Date 14 - 05 - 2020

**APPENDIX 11 – ADMINISTRATION BULLETIN
APRIL 2020 EXTRACT**

Administration Bulletin

April 2020



Welcome!!

In mid-February we welcomed our new CEO Chris Linnell and new museum curator Mona Numann to join us in this crazy start to the year!

I hope you have all made them feel welcome.

Services Update

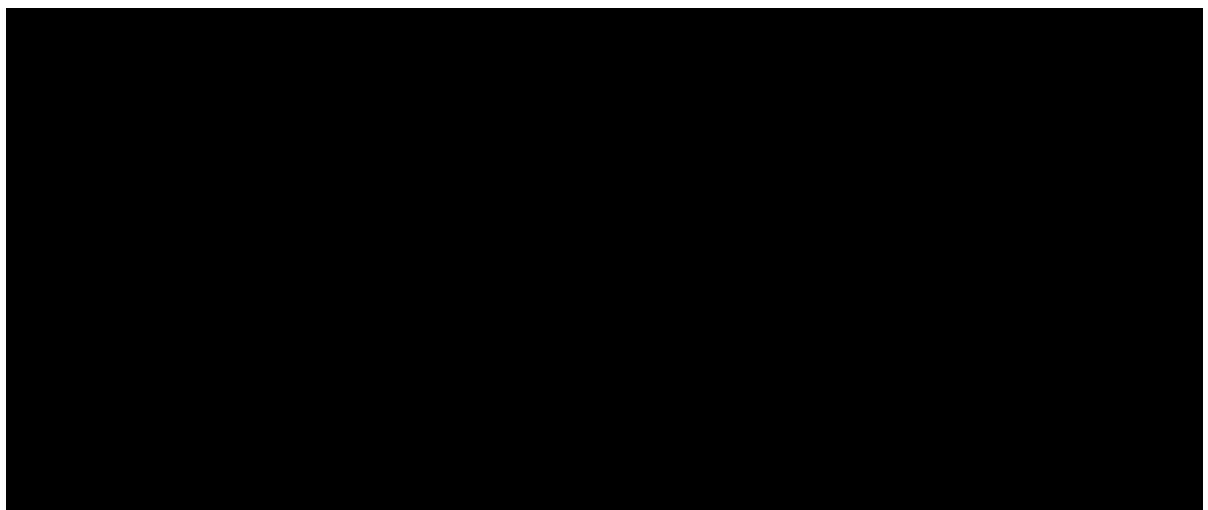
Due to current circumstances the following services have been closed:

- Visitor Centre
- Residency Museum
- YRCC
- Licensing
- Playgrounds
- Motocross Track
- RV Park
- Face to Face Customer Service
- Town Hall
- Community Bus
- Old Skate Park



The latest updates to available facilities can be found

<https://www.york.wa.gov.au/community/your-community/covid-19-important-community-information.aspx>





The Visitor Centre has been transformed into YorKIND hub rather than the YRCC as originally intended. The hub provides information and services including:

- Government & health alerts
- What services are available
- York mobile library
- Help with shopping
- Business support advice
- Town servicing updates
- Community companion calls
- Virtual activities
- Education guides
- Volunteer coordination
- Home support service
- Jigsaw library

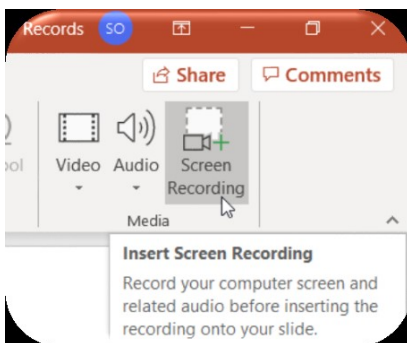
Make sure to let Es or Jo know if you have any ideas on services, activities or social media events to keep the community engaged.

Video Tutorials

Working from home introduced a few challenges to the mix when it came to assisting staff with their “how to” needs. Into the brain waltzes the idea of video tutorials!

A small number of tutorials have been created already with more to come:

- Using the step recorder – great for writing procedures
- Adding to the computer startup menu
- Outstanding records – goodbye records bill!
- Digital signatures – get those letters signed from home
- Registering emails



To video what is happening on your computer screen you can open a Power Point document and click on insert then screen recording. Select the area of screen you want to record then press the record button when you’re ready to go. When you press stop button the video is embedded into the presentation. Right click on the embedded video and save the recording to your location of choice.

Remember that you probably don’t have a built-in microphone to record audio unless you have a headset or external speakers with built in mike. Use Video Editor to perfect your already perfect creation, save it in the common share and let us all know it’s there!

New procedures

1 January 2020 to 15 April 2020

Record No	Title
N16205	Advertising
N16206	Christmas/New Year Closure of Shire Facilities
N16604	Operating Procedure - Grants Management
N16797	Digital and Electronic Signatures - Setting Up Procedure
N16836	Digital Signatures - Using - Application
N16837	Digital Signature Internal Policy Procedure





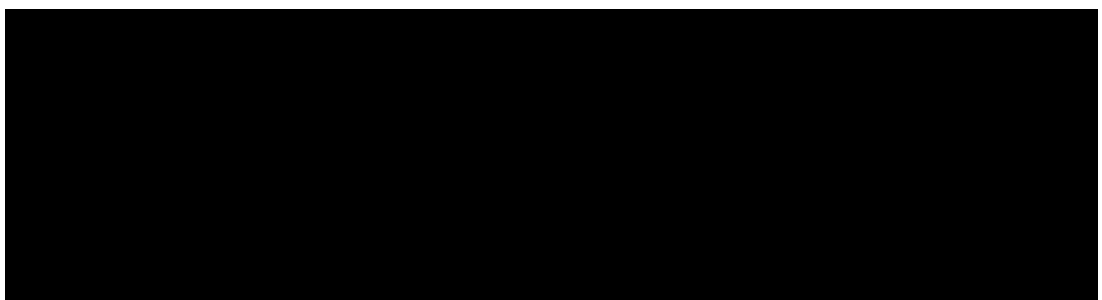
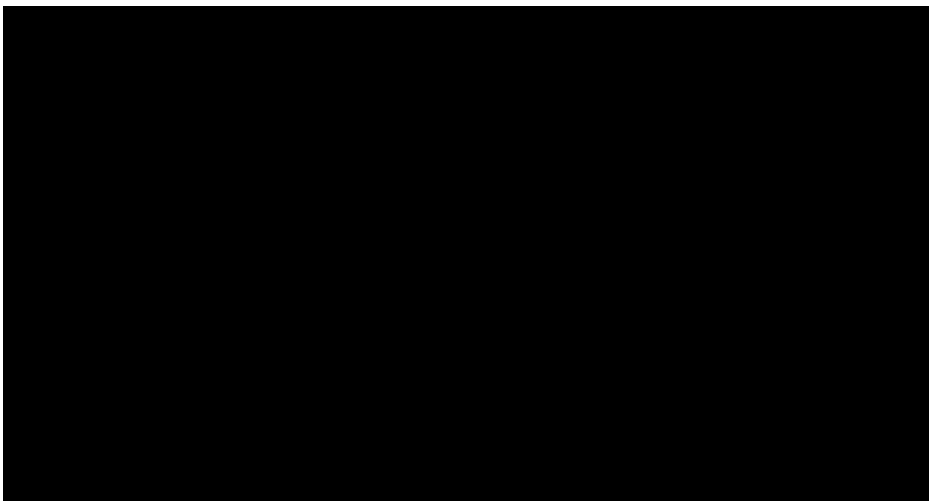
Matthew has been kept under the pump but has a few key steps to help us out:

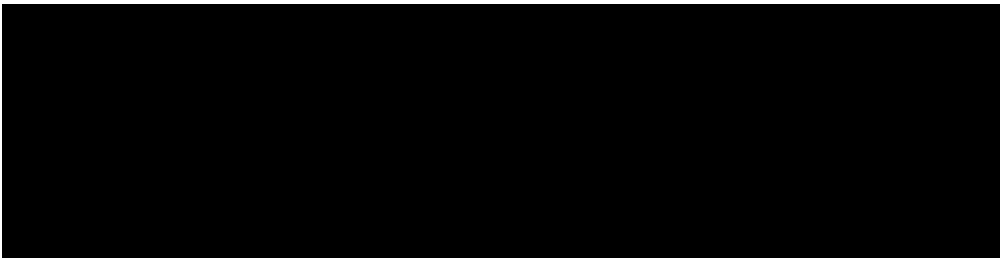
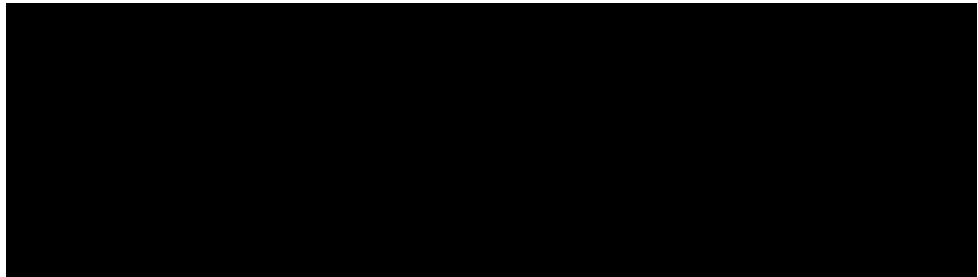
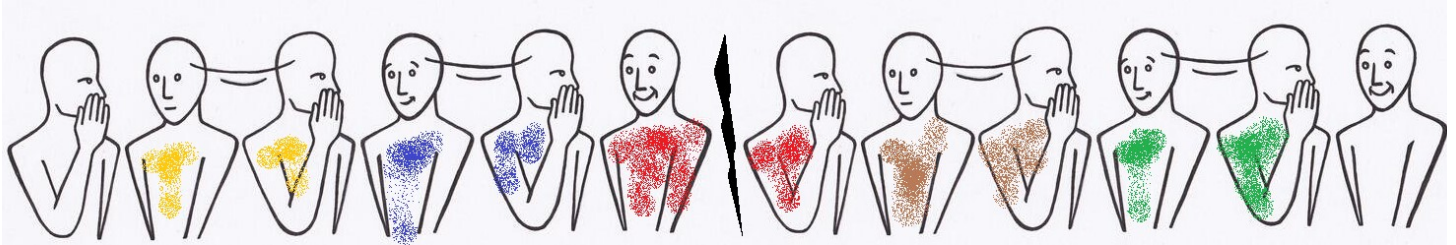
- If something isn't working, try closing it and reopening, if it still doesn't work try restarting the computer
- We have limited remote access capabilities so call Matthew first
- We have temporary admin level access for some of the smaller jobs eg Firewall issues, Records registrations, InfoCouncil

Webcams with built in microphones have been ordered but shipment from the warehouse has been delayed. Focus are chasing distributors to find an alternative to our original order.

Security Changes to Protect Servers and PC's

- Duo Multifactor Authentication – increases security for remote users. You will receive an email from DUO which we need you to follow through the activation steps. Please call if you have any issues.
- Crystal Reports – If you got a new PC recently and are having difficulty running reports in Synergy please contact Matthew. This is a simple fix, the SAP Crystal report program requires running.
- Outlook Records Registration – If you run into errors when registering, check your email has been registered in Synergy as there are occasions where it allocates a record number without completing the process correctly. Please contact Matthew or Amanda as the majority of the causes are simple fixes and we will generally get you back on track quickly.
- Phone Messages – Messages left on the work phones are being forwarded to your email address. They still need to be deleted off your phone. If you have not received any phone messages via email please contact Matthew. If you are unable to attend the office to have the message bank cleared please contact the office.





From the Records Desk



Working from home has certainly rearranged my priorities. My first thought was how are we going to get letters etc signed so we can be a little closer to business as usual? The next thought was how do I help my colleagues register their records when I can't stand over their shoulder and point at the screen? Yeah, I know, records officers are probably the only ones that care. So digital signatures got pulled forward a next year job to this year job. Some bright spark (me) decided to cover assistance she would make some instructional videos....

Well that was certainly a challenge. If you need help making a video, I'm your lady.

I have also discovered the beauty of Microsoft Teams ♥. Anneke can tell you just how excited I am! I'm always on Microsoft Teams and I do have a webcam and microphone for video calls.

My job list includes: getting disposal lists completed and circulated ready for approval, reviewing documentation for the record keeping plan, completing a digitization project plan and finding solutions for our file plan issues.

If there's something I can do to make life better for you all, let me know so I can get onto it and I will do my best.

A big thank you to Natasha and Tamara for sorting out our minutes and archiving a big stack of financial records.

If you're needing something to do, I always have something going.

Don't forget to keep registering those emails and knock off the outstanding records on that records bill!



**Stay Safe
Keep in Touch
And don't forget to Smile**



APPENDIX 12 – RECORDS INDUCTION MANUAL CONTENTS PAGE



RECORD KEEPING PROCEDURES INDUCTION MANUAL FOR GENERAL USERS

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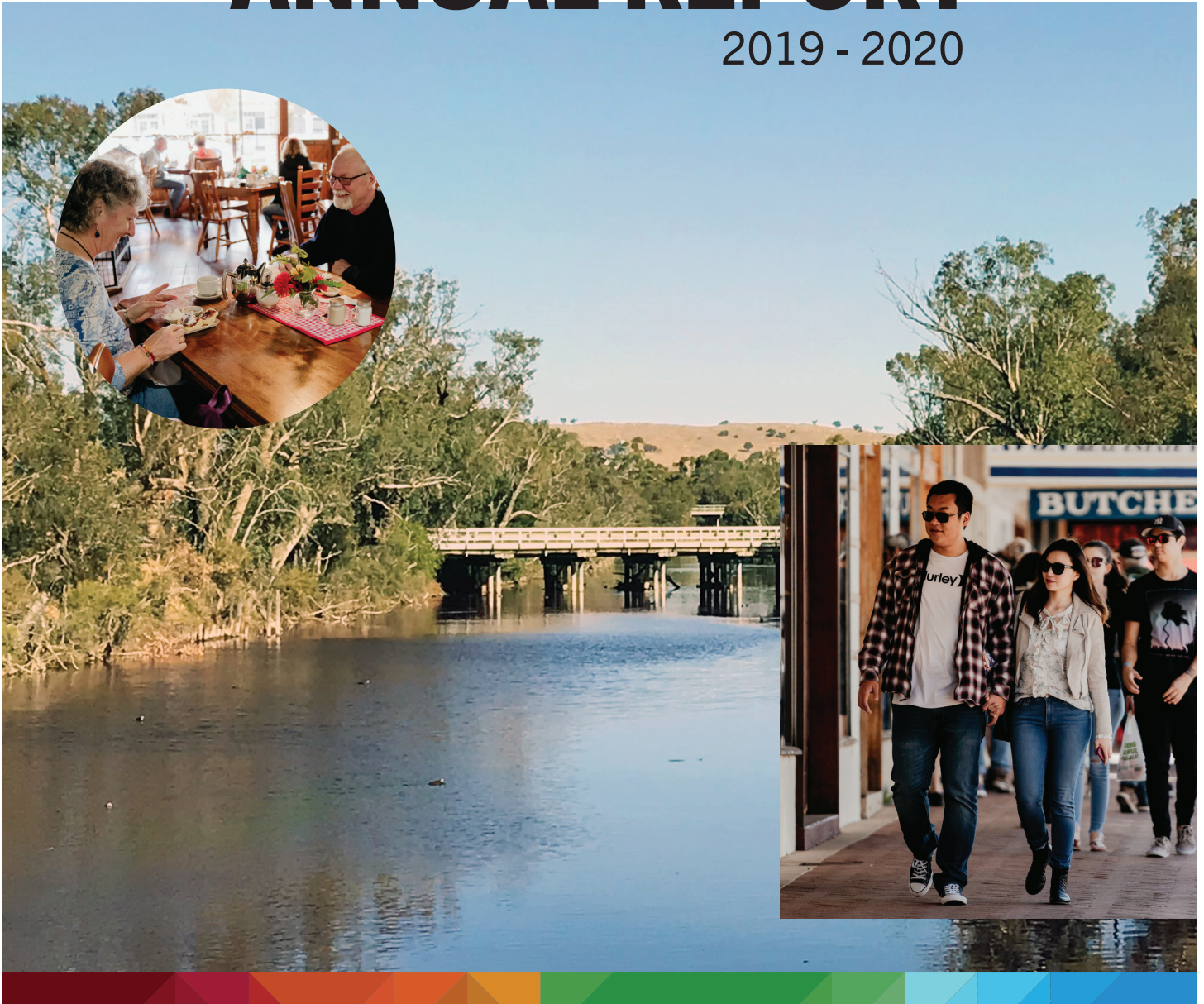
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Please Note: This manual is subject to regular update with updates to policies and procedures. For current procedures see <H:\Common Share\Administration\Procedures>. Employees are expected to keep their own manuals up to date. New procedures are circulated once completed.

APPENDIX 13 – ANNUAL REPORT EXTRACT

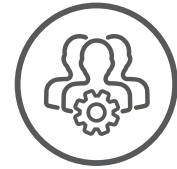


SHIRE OF YORK **ANNUAL REPORT** 2019 - 2020





Corporate Services



Records

The Shire of York uses a hybrid records management system (combination of electronic and hard copy). All records created and received in the course of business are captured and stored according to the Shire's Record Keeping Plan. As required under the State Records Act 2000 the Shire of York Record Keeping Plan 2015 is due for revision and adoption by March 2021.

All records are disposed of in accordance with the General Disposal Authority for Local Government Records. The disposal authority defines the minimum periods of time that different classes of records must be kept (retention periods) and provides guidelines for destruction of records after they have met the retention requirements of the schedule. The Records Officer annually recommends disposal of records in accordance with the State Records Act 2000 guidelines which are then approved by the Administration Governance Officer, Executive Manager for Corporate and Community Services and the CEO.

Standard 2 Principle 6 requires the Shire to ensure that employees comply with the Record Keeping Plan. The following activities have been undertaken to ensure staff awareness and compliance:

- ▶ Induction program was undertaken for 5 staff within 2 weeks of commencement. The staff induction program ensures employees are made aware of their roles and responsibilities in regards to their compliance with the Shire's Record Keeping Plan.
- ▶ 1 edition of the records information bulletin was produced and circulated to staff to bring awareness of responsibilities, issues and changes. 2 editions of the administration bulletin were produced including record keeping sections and circulated to staff.
- ▶ A presentation covering basic record keeping responsibilities was included with the annual all staff information workshop.
- ▶ One on one training and assistance has taken place on an as needs basis identified by staff/ manager request.

Key performance indicators have been established to identify the efficiency and effectiveness of inhouse training programs and records management systems. A Records and Information Management Systems Strategic Plan has been drafted in order to guide the development of records systems and practices in order to keep up to speed with changes in the way information is created, delivered and utilised.

Freedom of Information

The Shire of York has a Freedom of Information Statement prepared in accordance with the Freedom of Information Act 1992. It outlines the Shire's functions, the kind of documents held and how the documents can be assessed.

A total of two (2) new Freedom of Information Applications were received during this reporting period and one (1) was carried over from the previous year.

In addition one (1) application was subject to an Internal and External Review.

National Competition Policy and Public Interest Disclosure

The Shire of York has considered its obligations regarding the national competition policy and reviewed its policies to ensure anti-competitive practices are not adopted. No complaints were received regarding anti-competitive practice.

Disposal of Property

There were no disposals of property in accordance with Sections 3.58 and 3.59 of the Local Government Act 1995.