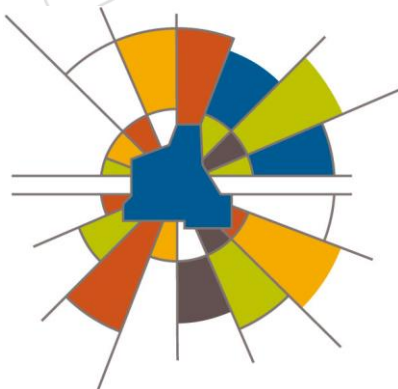


# SHIRE OF MERREDIN

## RECORDKEEPING

### PLAN 2022

Amended April 2023



SHIRE OF  
**MERREDIN**  
INNOVATING THE WHEATBELT

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## Introduction

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

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

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

The objectives of the Shire of Merredin's Recordkeeping Plan are to ensure:

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

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

This Recordkeeping Plan applies to all:

- Shire of Merredin Employees and Consultants
- Organizations performing outsourced services on behalf of the Shire of Merredin; and
- Shire of Merredin Elected Members.

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

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

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

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

Local Governments are to address the management of elected members’ government records in accordance with this policy, in their recordkeeping plans.

This Recordkeeping Plan supersedes previous **RKP 2015031** 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 Recordkeeping Plan, 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

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

## 1.1 Historical Background

Merredin is the largest regional centre in the heart of the Eastern Wheatbelt and is situated 260km east of Perth following along the Golden Pipeline Heritage Trail. Alternative routes include the Pioneers' Pathway, the Wheatbelt Way and Pathways to Wave Rock self-drive trail.

Merredin is recognized as the regional centre for the Central Wheatbelt, providing services to people within a 150 km radius from the town centre, and is the second largest town between Perth and Kalgoorlie. The Shire consists of an area of 3,299.7 square kilometers and incorporates the townsites of Burracoppin, Hines Hill, Merredin and Muntadgin along with the localities of Goomarin, Korbelt, Nangeenan, Nokanning, Norpa, Nukarni, South Burracoppin and Tandegin.

European settlement in Merredin was minimal in the early settlement days, (around the 1860s), where land was mainly used for pastoral purposes. The township of Merredin was established in the 1890s, aided by the opening of the railway line. Growth through the 1900s took place, culminating to a peak population of 5300 in the 1960s. There was a gradual decline through the 70s and 80s. The population of the Shire at the last census was 3119.

Merredin was gazetted as a townsite on 16 March 1891, with the first Merredin Road Board being established in 1911-12. The Shire of Merredin was constituted on 1 July 1961.

## 1.2 Strategic Focus and Main Business Activity

The Shire of Merredin Strategic Community Plan 2020 – 2030, which outlines the strategic direction for the area over the next 10 years, was created in consultation with the community and sets out the community's vision, aspirations for the future and key strategies that will assist in achieving the goals.

The themes and goals of the plan are as follows:

Theme	Goal
Community and Culture	Merredin is rich in culture, arts, sport and community life. Everyone is safe. Everyone belongs.
Economy and Growth	Merredin thrives with a job-rich and multi-faceted economy, building on local strengths.
Environment and Sustainability	Merredin looks after the natural environment and minimises its carbon footprint.
Communication and Leadership	The Merredin community is highly engaged in planning and action for its future, with a well governed, forward-looking, and proactive local government.
Places and Spaces	Merredin is an attractive regional town, with an inviting public realm.
Transport and Networks	Merredin is easy to get around for all and well-connected regionally, nationally and internationally for people and industry.

Merredin is a regional base for a range of Government agencies and services. It is an area with high employment and extensive community involvement. Located on the Great Eastern Highway and having the benefit of being serviced by daily Trans WA services and the Prospector train, it is a convenient location by road and rail.

Agriculture is the region's primary industry, with Merredin being the regional receival point for Co-operative Bulk Handling (CBH). Grain production is a large part of the community with wheat, barley, and canola being the main crops planted. Sheep farming is also a viable industry in the area.

The Shire of Merredin is home to the Collgar Wind Farm; a \$750 million project that has seen the establishment of the largest single stage wind farm in the Southern hemisphere. Other attractions include Merredin Peak and Tamma Parkland where there are bush walking trails and rock walls. The remains of many military installations from the town's role as a line of defense during World War II, along with Wildflowers and Granite Rock sites are other popular attractions. Cummins Theatre and other historical buildings in Merredin offer a fascinating glimpse into the growth and development of the area.

### 1.3 Functions, including those outsourced

Refer to Appendix 1.



## **1.4 Major Stakeholders**

The Shire of Merredin major stakeholders are:

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

## **1.5 Enabling Legislation**

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

## **1.6 Legislation and Regulations Administered by the Shire of Merredin**

Refer to Appendix 2.

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

Refer to Appendix 3.

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

Refer to Appendix 4.

## 2 Principle Two: Policies and Procedures

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

### 2.1 Records Management and Business Information Systems

The Shire of Merredin utilizes the SynergySoft Records Module for records management. SynergySoft Records Module is operating alongside the Keyword Classification Guide as a business classification template. The Keyword Classification Guide is based on property files and specific business units and allows for files to be stored in a centralized manner.

#### 2.1.1 Records Management System

The Shire's Records Management System is a combination of both electronic and physical hard copy documents. The Shire also uses an excel spreadsheet system to manage the archiving and record disposal systems.

SynergySoft Records is in place, and it operates as a registration program capturing all Shire correspondence. Paper based records are scanned and the digitised copies are entered into SynergySoft for access purposes. The hard copy originals are placed on file.

The current system was implemented in 2016. Before this the Shire used a hybrid system, with all incoming records from 2014 onwards being entered manually into the electronic document management system (EDRMS).

Sharepoint is also utilised to store copies of Councillor related documents (ie agendas and attachments) for Councillors to access remotely. The hard copy records are stored in the Shire's strong room and digital copies on the shared drive. One Drive/ Microsoft 365 backs up all email accounts and documents that are placed on individual computers (generally because they are drafts being worked on).

#### 2.1.2 Business Information System/s

The Shire's Key Business Information Systems are processed through the following SynergySoft modules:

- Financial Management
  - Receipting
  - Asset Management
  - Bank Reconciliation
  - Debtors
  - Creditors
  - Reserves
  - Human Resources

- Stores
- Tender, Contracts, Agreements and Grants
- Trust
- Payroll
- Purchase Orders
- Rates and Property
  - Cemeteries
  - Rate Modelling
  - Rates
  - Rates and Property
  - Dogs and Cats System
  - Electoral Roll
  - Mapping
  - Names and Addresses
- Technical
  - Central Records
  - Risk Management

## 2.2 Records Management Policy and Procedures

The creation and management of records is coordinated by the Shire of Merredin's Executive Manager Corporate Services and the Administration/ Records Officer in conjunction with the Customer Service Officers.

The creation and management of hard copy and electronic records is coordinated by the Records Officer. All Executives are responsible for managing corporate records pertaining to the business activities they perform in their daily activities for the Shire.

The Executive Assistant to the CEO records electronic and hard copies for the CEO for confidentiality reasons. The files are created by the Records Officer.

The creation, retention, and disposal of all record files within Synergy is performed by the Records Officer. Newly created record files are then added to the 'Keywords for Councils' document and saved on the intranet for internal use by all staff.

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

**Table 2.1** lists recordkeeping activities and indicates whether the Shire of Merredin's policies and procedures cover these.

<b>Recordkeeping Activities covered in the Shire of Merredin's Policies and Procedures</b>	<b>YES</b>	<b>NO</b>
<p><b>Correspondence capture and control</b> – including incoming and outgoing mail registration; responsibilities assigned for classifying, indexing and registration; file titling and file numbering conventions.</p> <p>Include specific provisions for capture and control of Elected Members' correspondence.</p>	✓	
<p><b>Digitization</b> – including categories of records digitized; disposal of source records; digitization specifications.</p> <p><i><b>NB:</b> This procedure is only required where the organization intends to destroy source records prior to the expiration of the approved minimum retention period after digitizing, in accordance with the General Disposal Authority for Source Records.</i></p>	N/A	
<p><b>Mail distribution</b> - including frequency, tracking mechanisms and security measures.</p>	✓	
<p><b>File creation and closure</b> – including assigned responsibility and procedures for both physical and automated file creation.</p>	✓	
<p><b>Access to corporate records</b> – procedures for access to and security of corporate records.</p>	✓	
<p><b>Authorised disposal</b> of temporary records and transfer of State archives (whether hard copy or electronic) to the State Records Office (SRO) – any assigned responsibilities.</p>	✓	
<p><b>Electronic records management</b> – including the organization's approach and methodology for the capture and management of its electronic records (e.g., print and file, identification of the official record, use of EDRMS, hybrid system etc).</p>	✓	
<p><b>Email management</b> – including the capture, retention, and authorised disposal of email messages to ensure accountability. Should indicate whether the organization is utilising a document management system or hard copy records system (e.g., print and file, identification of the official record, use of EDRMS, hybrid system etc).</p>	✓	

<b>Recordkeeping Activities covered in the Shire of Merredin's Policies and Procedures</b>	<b>YES</b>	<b>NO</b>
<p><b>Website management</b> – including the purpose of the site (e.g., whether informational/transactional), capture of all information published to the website within the corporate system and mechanisms for recording website amendments.</p> <p><i>Everything published on the website is already stored within SynergySoft or the Shared Drive (or both). It is only published on the website for community access purposes. The website itself has a log which captures what is uploaded, but this is not captured in Synergy. The Shire captures requests by staff via email who ask for documents to be uploaded or changed on the website – this is completed in Synergy.</i></p>	✓	
<p><b>Metadata management</b> – including requirements for capture of metadata in information systems, whether automatic or manual.</p>	✓	
<p><b>System/s management</b> – including any delegations of authority for the control and security of systems utilised by the organization (e.g., provision of access to systems through individual logins and passwords, protection of servers etc).</p> <p><i>The Shire has individual logins and passwords for all staff, and areas of our Synergy system and shared drive are allocated security levels to ensure only appropriate staff are able to access.</i></p>	✓	
<p><b>Migration strategy</b> – strategies planned or in place for migrating electronic information and records over time (e.g., through upgrades in hardware and software applications, and any assigned responsibilities) for long-term retention and access. See SRC Standard 8: <i>Managing Digital Information</i>.</p>	✓	

### 2.3 Certification of Policies and Procedures

For evidence of formal authorisation that the policies and procedures are in place and promulgated throughout the Shire of Merredin, please refer to Appendix 5.

### 2.4 Evaluation of Policies and Procedures

The recordkeeping policies and procedures for the Shire of Merredin cover all categories identified in Principle 2 of SRC Standard 2 and are assessed as adequate for the Shire of Merredin's current needs. However, due to a change in Executive Management, will be reviewed during the 22/23 financial year.

### Creation of Records

All elected Members and Staff will create full and accurate records, in the appropriate format, of the Shire of Merredin's business decisions and transactions to meet all

legislative, business, administrative, financial, evidential, and historical requirements. Files are created and closed by the Records Officer as required.

### **Capture & Control of Records**

All records created and received during the Shire of Merredin business are captured at the point of creation into the appropriate recordkeeping and business systems, that are managed in accordance with sound recordkeeping principles. The Records Officer is responsible for collecting, opening, and recording all mail and forwarding to appropriate Managers or Staff. All incoming and outgoing mail is recorded in a mail register which details the following information:

- Date received
- Sender
- Description of content
- Relevant officer to which the mail relates
- File and document reference

The capture, retention, and authorised disposal of correspondence via email is recorded through SynergySoft into the appropriate file by the Records Officer. All Executive Managers are responsible for recording their own emails pertaining to their business activity or forwarding them through to the Records Officer for capturing.

Elected Members email correspondence related to business activities is captured by the Executive Assistant to the CEO or forwarded to the Records Officer.

### **Security & Protection of Records**

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

### **Access to Records**

Access to the Shire of Merredin's records by staff will be in accordance with designated access and security classifications. Access to the Shire of Merredin's records by the public will be in accordance with the Freedom of Information Act 1992 and the Shire of Merredin policy. Access to the Shire of Merredin's records by elected members will be via the CEO in accordance with the Local Government Act 1995.

Access to hard copy confidential records (Human Resources and Payroll) is kept in a separate location in locked filing cabinets. Electronic records are stored in locked folders on the Shire's Drive, with only relevant personnel having access.

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

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

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

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

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

The Shire of Merredin has adopted and implemented the Keyword for Councils thesaurus for the titling of all its records. This is adhered to for simplicity and ease of filing. The Keyword for Councils Thesaurus is supported by the Keyword Classification Scheme.

#### **3.2 Assessment of its Effectiveness**

The Thesaurus and Scheme currently in use operate well within the Shire of Merredin. They cover both administrative and functional activities of the Shire of Merredin and are available for use by all staff, information can be filed and found without difficulty. This tool will be adjusted to reflect changes to functions and activities of the Shire of Merredin as may occur from time to time.

#### **3.3 Identified Areas for Improvement**

While compliant and usable, the Shire will be looking to update the current Keyword Classification Scheme in future to ensure relevance.

## 4 Principle Four: Preservation

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*Government organisations ensure that records are protected and preserved.*

*For the Records Disaster Recovery Plan for the Shire of Merredin, please refer to Appendix 6*

*[Note: Where records disaster recovery strategies have been incorporated into an organization wide Disaster Management Plan (DMP), Appendix 6 may include only that relevant section of the DMP, if it demonstrates that all elements of the Assessment of Risks, Assessment of the Impacts of Disasters and Strategies for Prevention and Response have been addressed, the roles and responsibilities for all employees are defined, the organizational scope of the plan has been addressed e.g. applicability to regional offices or outsourced contractors, and the plan has been authorised at an appropriate senior level and is available to all employees.]*

### 4.1 Assessment of Risks

#### 4.1.1 On Site Storage

The Shire of Merredin has its current and active records located in onsite storage at the Shire Administration Building. The storage facility includes:

- Metal shelving,
- Fire retardant safe,
- Secure premises within the Shire Building,
- Secure server room within the Shire building,
- Fire detection system, and
- Airconditioning for 10 hours per day.

The personnel and payroll files are stored in a separate lockable payroll office for confidentiality. Bound council and committee minutes are held within the locked strong-room office located at the Shire Administration Building.

The main disaster threatening records stored onsite comes from fire with subsequent water and dry powder damage from the fire extinguisher. The building is maintained, with the storage conditions and security described above, the risk is assessed as low.

#### 4.1.2 Offsite Storage

Historical documents, archival files and maps are stored in a secure, fire retardant safe off-site with restricted access. Keys are stored in a lockable key press at the Administration Office. The records are stored in a vermin proof area with metal shelving.

Archived and non-current records were previously stored at the Works Depot which had limited security and were also dusty and pest ridden. In 2015/16 these were



moved to their current location which is a secure room at the Shire of Merredin Library, located at the Old North Merredin Primary School site, 22 Coronation Street.

The main disaster threatening records stored at the offsite records storage facilities comes from fire and the subsequent water damage resulting from that.

With the storage conditions as described above, the risk is assessed as medium-low.

A register listing of the records stored in each facility is to be prepared and routinely maintained by the Records Officer.

#### **4.1.3 Data Centre and Cloud Storage**

The Shire of Merredin has a contract with JH Computer Services to store electronic data/ digital information and records in data centres/ cloud storage facility as detailed in the table below. The arrangement includes provisions for security and access; preservation; and return of the data. A risk assessment was undertaken prior to the commencement of the data storage arrangement and the risk was considered low.

<b>Information system / categories of records</b>	<b>Name of service provider</b>	<b>Geographic location of data centre / cloud storage</b>	<b>Geographic location of data centre / cloud storage backups</b>	<b>Risk assessed Y/N</b>
All digital data maintained on the Shire server	JH Computer Services	PERTH	PERTH	Y

#### **4.1.4 Storage of Archives**

State archives in the custody of the Shire of Merredin are maintained in accordance with the directions for keeping hard copy State archives awaiting transfer to the State Records Office and are located in a fire-retardant strongroom.

#### **4.1.5 Storage of Backups**

Electronic backups of the Shire of Merredin's electronic information are held offsite at JH Computer Services and are transferred there daily, weekly and monthly.

#### **4.1.6 Quantity of Records**

The Shire of Merredin has custody of:

- 60 linear metres of temporary hard copy records stored onsite;
- 110 linear metres of temporary hard copy records stored offsite;
- 47 linear metres of hard copy State archives stored onsite/offsite;
- 1.8tb of digital records/ information/ data i.e., records management system; line of business system/s; network drives; email applications etc., excluding backups

#### **4.1.7 Security and Access**

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

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

The Shire of Merredin has current active records kept in a metal compactus, in a lockable storage room in the Administration building. The Administration building has 'keypad' access for first entry daily, with alarm and deadlock and access by swipe cards during normal business hours. Swipe cards are linked to individual staff to ensure appropriate monitoring of persons within the building is observed.

All record storage areas are locked outside business areas and only authorized access to those areas are permitted. With the security as described above, the security risks to records has been assessed as medium.

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

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

#### **4.3 Strategies in Place for Preservation and Response**

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

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

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

- Minutes;
- System backups;
- Land titles;
- Contracts and Agreements;
- Cemetery registers; and
- Financial Reports.

Vital records in hard copy are stored in a locked strong room, accessible to Executive Staff. The majority of these records have been copied and recorded electronically on the SynergySoft platform and are used for all normal business activities. These records are stored in a locked strong room with keys being held by Executive Staff. Encrypted digital copies of most vital records are also stored offsite at JH Computer Services in Perth.

A vital records policy is in the process of being written for the Shire of Merredin with this being a requirement of the Recordkeeping Plan. It has an expected completion date of the end on 2022/23 financial year. This policy will include:

- Identification of vital records.
- Immediate implementation for steps on identification, duplication, back up and removal.
- Plan and documentation strategies to ensure speedy recovery of records and return to business should a disaster occur.

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

Electronic records of the Shire of Merredin are backed up every hour incrementally, every week there is a full backup completed Fridays and also monthly backups. The back-ups are stored offsite at JH Computer Services. Backups are encrypted and isolated from Merredin's network. Emails, OneDrive, and SharePoint are backed up separately to Shire data and are stored in the cloud with infinite retention. We have unlimited retention set on Office 365.

Backups are retained for a minimum of 12 months.

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

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

- Media used to store electronic information is periodically checked to ensure the information is accessible and readable. JH Computer Services performs quarterly checks on all associated hardware including physical scans of hardware to detect any potential bad blocks or other failures that could lead to a loss of a drive.
- Digital storage media, including removable storage devices, is refreshed as necessary to prevent data loss. As technology advances JH Computer Services replaces hard disk drives in their server arrays to maintain current technology. Currently JH Computer Services run Solid State Drives in their server arrays.
- Electronic records requiring long term retention are maintained in an appropriate format for long term preservation. Daily backups are retained for 2 weeks, weekly backups are retained for 2 months, monthly backups are retained for 6 months, and year end backups are retained for 48 months.

- Access to the server room is restricted to staff who have accessed the Administration area via their staff swipe card.

#### **4.3.4 Security**

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

- Hard copy records are stored in the metal compactus in a secure location and accessible by Staff as needed. The building is locked each day and secured by an alarm.
- Hard copies of inactive and archived records are stored offsite at secure sites. These buildings are well maintained and secured. The Records Officer is the only person on site to authorize entry into these buildings.
- Electronic records have varying degrees of access depending on delegations assigned to staff within the organization. Electronic records are backed up on a regular basis as described previously.
- Access to server rooms is restricted to authorised staff.
- Trend Worry Free Business Security provides antivirus and mail filtering for all Shire devices to add an extra layer of digital security. Remote management software deploys a ransomware agent to all devices that actively monitors for any suspicious activity and inoculates machines. The firewall at each Shire site has active subscription to prevent unauthorised access. The 365 tenancy has infinite retention on all mailboxes, OneDrive, and SharePoint as well as Multi-factor Authentication. AI Ransomware monitoring of the entire 365 tenancy with features such as phishing protection and ransomware monitoring is also active.

#### **4.3.5 Storage Reviews**

The records storage facilities utilised by the Shire of Merredin are reviewed and inspected on an annual basis to ensure that conditions are appropriate for the organization's records. This was last reviewed on 19<sup>th</sup> October 2022 with no issues arising.

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

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

Efficient offsite support is provided by JH Computer Services.

Please refer to Appendix 6 for the Shire of Merredin Disaster Recovery Plan, which includes strategies for the recovery of lost information such as;

- duplication of hard copy vital records;
- back up of electronic records;
- internal and offsite storage of backups;

- hard copies of vital records are stored in a fireproof safe, digital records are backed up at an offsite location in Perth. This data is encrypted to ensure an added layer of security.

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

Continued training is required by key records personnel and new staff members to enhance understanding of legislative compliance and perform record keeping duties, including inhouse training and preparation/review of work procedures. This will ensure continuity of record keeping is in line with the State Records Act 2000.

Although the Shire holds its vital records in the strong room, to ensure these records are accounted for and held securely, a Vital Records Register is being developed and will be finalised in the 2022/23 financial year.

## 5 Principle Five: Retention and Disposal

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

### 5.1 General Disposal Authority for Local Government Records

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

### 5.2 Disposal of Source Records

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

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

The Shire of Merredin does not intend to destroy source records at this time.

### 5.3 Existing Ad Hoc Disposal Authorities

The Shire of Merredin has not identified any State archives to which it intends to restrict access when they are transferred to SRO.

### 5.4 Existing Disposal Lists

The Shire of Merredin has not identified any State archives transferred to the SRO for permanent preservation.

### 5.5 Restricted Access Archives

The Shire of Merredin has not identified any State archives to which it intends to restrict access when they are transferred to the SRO.

### 5.6 Transfer of Archives

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

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

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

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

## **5.8 Disposal Program Implemented**

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

A permanent register is kept of all records disposed of, including signed authority forms.

Please refer to *Appendix 7* for a copy of the disposal procedure and a recent authorised list of records for disposal.

## **5.9 Authorisation for Disposal of Records**

Before any temporary records are destroyed or State archives are transferred to the SRO, a list of those records due for destruction or transfer is reviewed by the CEO/ Executive Manager Corporate Services and authorised for destruction or transfer.

## **5.10 Identified Areas for Improvement**

The previous RKP indicates that the Shire conducts a regular disposal program, however this has not been upheld. A systematic disposal procedure will be developed to implement new processes and procedures to align record archival and disposal practices in line with the State records requirements.

Although the Shire has been destroying records on a regular basis, there is still a backlog to be completed. This has been due to a turnover of Records Officers and Executive staff.

## 6 Principle Six: Compliance

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

### 6.1 Staff Training, Information Sessions

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

**Table 6.1**

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

Coverage of the training/ information sessions as detailed here extends to all staff. However, records management staff are offered more frequent and more specialised training where required.



## **6.2 Performance Indicators in Place**

Performance indicators will be developed to measure the efficiency and effectiveness of the Shire of Merredin's recordkeeping systems. It is planned to have these in operation by the end of the 2023 year.

## **6.3 Agency's Evaluation**

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

- Policies and Procedures – a complete review and update are required
- Compliance – including increased recordkeeping training for all staff, distribution of recordkeeping related information by way of intranet and meetings.
- Unsuccessful retrieval of information
- Missing files/ information

Initially, these will be addressed within the 22/23 financial year and then on an annual basis moving forward.

## **6.4 Annual Report**

An excerpt from the Shire of Merredin's latest Annual Report is attached, demonstrating the organization's compliance with the *State Records Act 2000*, its Recordkeeping Plan and the training provided for staff. Please refer to Appendix 8.

## **6.5 Identified Areas for Improvement**

The Shire of Merredin delayed updating its Recordkeeping Plan due to changes in the format being undertaken by the SRO in 2020. Staff turnover and the ongoing effects of Covid-19 delayed the organisations ability to complete the Recordkeeping Plan prior to the agreed deadline.

The Shire is working toward bridging the gap and meeting compliance moving forward and expects to bring its record management plan up to the standard required by the end of the 2023 year. It is doing this by:

- Regular Record Officer training,
- Training new staff in record keeping requirements
- Disposal of the backlog of old records
- Developing a new system for archiving and storing records to enable easy tracking

## 7 SRC Standard 6: Outsourced Functions

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

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

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

### 7.1 Outsourced Functions Identified

The Shire of Merredin outsources the following functions:

- Animal Services (Ranger)
- Merredin Regional Community Lifestyle Centre (MRCLC)
- Engineering Consultancy/Support
- Building Development and Planning Services
- Environmental Health Matters (Avon waste)
- IT Services (JH Computer Services)
- Shred-X (Document Disposal)
- Legal Services (Rate Debt Recovery)

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

### 7.2 Recordkeeping Issues Included in Contracts

#### 7.2.1 Planning

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

In each case the following will apply:

- All documentation, including advertisements, are placed in the Tender Register or agreements file
- Copies of all documentation are placed in the Recordkeeping System.
- Responsible Officer is to monitor the contract
- Report on outcome presented to Council placed in the Recordkeeping System.

### **7.2.2 Ownership**

The Shire of Merredin 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 Merredin 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 Merredin

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

### **7.2.5 Access**

Conditions for the provision of access to any State records produced in the course of the contract/agreement have been agreed between the Shire of Merredin and the contractor(s)/agent(s).

### **7.2.6 Custody**

Custody arrangements between the Shire of Merredin and the contractor(s)/agent(s) for State records stored on and off site by the contractor will be specified in the contract(s)/agreement(s).

### **7.2.7 Contract Completion**

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

### Functions of the Local Government

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

### Functions of the Local Government

<i>Function</i>	<i>Brief Description of LG Function</i>	<i>Performed by the LG Tick if Yes</i>	<i>Performed by an External Agency Tick if Yes</i>
Information Technology	The function of acquiring and managing communications and information technology and databases to support the business operations of the LG.	✓	✓
Land Use & Planning	The function of establishing a medium to long term policy framework for the management of the natural and built environments.	✓	
Laws & Enforcement	The function of regulating, notifying, prosecuting, and applying penalties in relation to the Council's regulatory role.	✓	
Legal Services	The function of providing legal services to the LG.		✓
Parks & Reserves	The function of acquiring, managing, designing and constructing parks and reserves, either owned or controlled and managed by the LG.	✓	✓
Personnel	The function of managing the conditions of employment and administration of personnel at the LG, including consultants and volunteers.	✓	
Plant, Equipment & Stores	The function of managing the purchase, hire or leasing of all plant and vehicles, and other equipment. Includes the management of the LG's stores. Does not include the acquisition of information technology and telecommunications.	✓	
Public Health	The function of managing, monitoring and regulating activities to protect and improve public health under the terms of the Public Health Act, health codes, standards and regulations.	✓	
Rates & Valuations	The function of managing, regulating, setting and collecting income through the valuation of rateable land and other charges.	✓	
Recreation & Cultural Services	The function of LG in arranging, promoting or encouraging programs and events in visual arts, craft, music, performing arts, sports and recreation, cultural activities and services.	✓	
Risk Management	The function of managing and reducing the risk of loss of LG properties and equipment and risks to personnel.	✓	
Roads	The provision of road construction and maintenance of rural roads and associated street services to property owners within the LG area.	✓	✓
Sewerage & Drainage	The function of designing and constructing, maintaining and managing the liquid waste system, including drainage, sewerage collection and treatment, stormwater and flood mitigation works.	✓	✓
Traffic & Transport	The function of planning for transport infrastructure and the efficient movement and parking of traffic. Encompasses all service/facilities above the road surface and includes all forms of public transport.	✓	
Waste Management	The function of providing services by the LG to ratepayers for the removal of solid waste, destruction and waste reduction.	✓	✓
Water Supply	The function of managing the design, construction, maintenance and management of water supplies, either by the LG or by service providers.	✓	✓

## APPENDIX 2

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

<i>Legislation, Regulations and Local Laws</i>	<i>Tick if YES, the LG administrators</i>
Agriculture and Related Resources Protection Act 1976	
Animal Welfare Act 2002	✓
Building Act 2011	✓
Building Regulations 2012	✓
Bush Fires Act 1954	✓
Bush Fire Regulations	✓
Caravan Parks and Camping Grounds Act 1995	✓
Caravan Parks and Camping Grounds Regulations 1997	✓
Cat Act 2011	✓
Cemeteries Act 1986	✓
Dangerous Goods Safety Act 2004	N/A
Disability Services Act 1993	N/A
Dog Act 1976	✓
Dog Regulations 2013	✓
Emergency Management Act 2005	✓
Environmental Protection Act 1986	✓
Environmental Protection (Noise) Regulations 1997	✓
Fire and Emergency Services Act 1998	✓
Fire Brigades Act 1942	✓
Food Act 2008	✓
Food Regulations 2009	✓
Hairdressing Establishment Regulations 1972	✓
Health Act 1911	✓
Health Regulations	✓
Heritage of Western Australia Act 1990	N/A
Land Administration Act 1997	N/A
Litter Act 1979	✓
Liquor Control Act 1988	✓
Local Government Act 1995	✓
Local Government (Miscellaneous Provisions) Act 1960	Repealed
Local Government Grants Act 1978	✓
Local Government Regulations	✓
Main Roads Act 1930	✓
Parks and Reserves Act 1895	✓

## APPENDIX 2

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

<i>Legislation, Regulations and Local Laws</i>	<i>Tick if YES, the LG administers</i>
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	N/A
Residential Design Codes of WA	✓
Road Traffic Act 1974	✓
Strata Titles Act 1985	✓
Telecommunications Act (Commonwealth) 1997	✓
Telecommunications (Low Impact Facilities) Determination 1997	✓
Transfer of Land Act 1893	✓
Valuation of Land Act 1978	✓
Waterways Conservation Act 1976	✓
<b>Local Laws of the Shire of Merredin</b>	
Cemeteries Local Law – Cemeteries Act 1986	✓
Standing Orders Local Law 2017 – Local Government Act 1995	✓
Activities in thoroughfares and public places and trading local law – Local Government Act 1995	✓
Bush Fire Brigades Local Law – Bushfires Act 1954	✓
Local Laws relating to Fencing – Local Government Act 1995	✓
Local Government Property Local Law – Local Government Act 1995	✓
Local Law No. 8 – Parking and Parking Facilities – Local Government Act 1995	✓
Local Law No.11 – Pest Plants – Agriculture and Related Resources Protection Act 1976 and Local Government Act 1995	✓
Local Law No. 10 – Extractive Industries – Local Government Act 1995	✓
Shire of Merredin Health Local Law	✓

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

<b><i>Other Legislation and Regulations</i></b>	<b><i>Tick if YES</i></b>
Building Services (Registration) Act 2011	✓
Conservation and Land Management Act 1984	✓
Contaminated Sites Act 2003	✓
Criminal Code 1913	✓
Electronic Transactions Act 2011	✓
Equal Opportunity Act 1984	✓
Evidence Act 1906	✓
Freedom of Information Act 1992	✓
Freedom of Information Regulations 1993	✓
Industrial Awards	✓
Industrial Relations Acts (State and Federal)	✓
Interpretation Act 1984	✓
Legal Deposit Act 2012	✓
Library Board of Western Australia Act 1951	✓
Limitation Act 1935, 2005	✓
Museum Act 1969	✓
Occupational Safety and Health Act 1984	✓
Occupational Safety & Health Regulations 1996	✓
Parliamentary Commissioner Act 1971	✓
Police Act 1982	✓
Soil and Land Conservation Act 1945	✓
State Records Act 2000	✓
State Records (Consequential Provisions) Act 2000	✓
State Records Commission Principles & Standards	✓
Swan and Canning Rivers Management Act 2006	N/A
Workers Compensation and Injury Management Act 1981	✓
Working with Children (Criminal Record Checking Act) 2004	✓



**APPENDIX 4****Government and Industry Standards and Codes of Practice that have been imposed upon or adopted by the Local Government**

<i>Other Legislation and Regulations</i>	<i>Tick if YES</i>
Australian Accounting Standards	✓
Australian Records Management Standard ISO/AS 15489	✓
General Disposal Authority for Local Government Records	✓
National Competition Policy	✓

## Shire of Merredin Recordkeeping Policy

Policy Manual



<b>POLICY NUMBER</b>	- 3.25
<b>POLICY SUBJECT</b>	- 3.25 Recordkeeping Policy
<b>ADOPTED</b>	- 16 December 2014 (CMRef 81489)

**LEGAL AUTHORITY**

*State Records Act 2000, Freedom of Information Act 1992, Local Government Act 1995.*

**OBJECTIVES:**

1. To encompass the principles of the *State Records Act 2000*;
2. To ensure uniformity and consistency within the creation and maintenance of records management systems within the Shire of Merredin;
3. To define the roles and responsibilities of the officers who manage and perform record keeping processes for, or on behalf of, the Shire of Merredin; and
4. To prescribe a methodical and organised approach in the management of the Shire of Merredin's records.

**DEFINITIONS:**

For the purposes of this policy, a record is defined as per the *State Records Act 2000* meaning any record of information however recorded and includes:

1. Anything on which there is writing or Braille;
2. A map, plan, diagram or graph;
3. A drawing, pictorial or graphic work, or photograph;
4. Any thing on which there are figures, marks, perforations or symbols, having a meaning for persons qualified to interpret them;
5. Any thing from which images, sounds or writings can be reproduced with or without the aid of anything else; and
6. Any thing on which information has been stored or recorded, either mechanically, or electronically.

Within the scope of this definition and Council's perspective, a government record is deemed to be a record created or received by Council, Councillor or an employee or contractor in the course of work for Council. The record may record a business decision, transaction or reflect a current state of knowledge and is generated as part of a business process.

Note: Unless otherwise indicated, reference to the term 'record' in the body of this policy refers to a government record.

Vital Records are defined as records that are fundamental to the continued business of the Shire of Merredin. Vital records include those that protect the rights of individuals and the Shire and are imperative for the Shire's reconstruction in the event of a disaster. Vital records have a continual value to the Shire and need to be incorporated into the Council's record keeping system.

**POLICY:**

**1. Introduction**

Under current records-related legislation such as the State Records Act, the Freedom of Information Act and the accredited standard ISO 9001:2000 the Shire of Merredin is obliged to maintain record keeping systems that are dedicated to the creation and control of Council's records. The systems must ensure that Council's records both correctly and sufficiently record the performance of its functions and are able to contribute towards appropriately informed decision-making at the Shire of Merredin.

This policy is applicable for all government records which are created or received by the Shire of Merredin (or on behalf of), regardless of their media, date of creation or storage location.

**2. Policy Statement**

The Shire of Merredin considers all its records to be a corporate asset. Complete and accurate records of all business decisions and transactions are to be documented in the Shire's record keeping systems. The records are then to be managed in accordance with the *State Records Act 2000* and associated Council policies and procedures.

**Creation of Records:** All elected members, staff and contractors will create full and accurate records, in the appropriate format, of the Shire of Merredin's business decisions and transactions to meet all legislative, business, administrative, financial, evidential and historical requirements. Files are created and closed by the Records Officer as required.

**Capture and Control of Records:** All records created and received in the course of Shire of Merredin business are to be captured at the point of creation, regardless of format, with required metadata, into appropriate recordkeeping and business systems, that are managed in accordance with sound recordkeeping principles. The Records Officer is responsible for collecting and opening all mail. All incoming & outgoing mail is recorded in the ERMDS which details the following information:

- Date received
- Sender
- Description of content
- Relevant Officer (to which the mail relates)
- File Reference

Incoming mail is distributed to the relevant officers on a daily basis through the ERMDS.

**Elected Members Records:** Elected Members mail is opened by the Executive Assistant and added to the ERMDS with details the following information:

- Date received
- Sender
- Description of content
- Relevant Officer (to which the mail relates)
- File Reference

The incoming mail is then captured and attached to the physical file, then distributed to the relevant members.

**Electronic Records:** Relevant electronic records are printed and attached to the physical file as a 'File Copy'. Relevant email records are also printed and attached to the physical file.

The electronic finance system in place 'SynergySoft' is backed up daily and maintenance of this system is outsourced to an experienced Information Technology firm. The SynergySoft system allows 'audit trails' to be kept of changes made to all finance records.

Website Management is maintained by the Media & Communications Officer. Electronic access to the website and other social media sites is outlined in Policy 2.22 Social Media in the Shire of Merredin Policy Manual.

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

**Access to Records:** Access to the Shire of Merredin's records by staff and contractors will be in accordance with designated access and security classifications. Access to the Shire of Merredin's records by the general public will be in accordance with the Freedom of Information Act 1992 and Shire of Merredin policy. Access to the Shire of Merredin's records by elected members will be via the CEO in accordance with the Local Government Act 1995.

Access to confidential records (Human Resources & Payroll) is kept locked in the Payroll & Rates Office. Electronic records are password protected by the relevant Executive Manager.

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

Disposal of records is determined by the Records Management Officer. A register of records to be disposed of is compiled and is required to be authorised (prior to disposal) by the Executive Manager of Corporate Services and the CEO.

### **3. Roles and Responsibilities**

#### **3.1 CEO**

The CEO is to ensure that there is an organisational system which facilitates the maintenance and management of records in compliance with the *State Records Act 2000* and Council's guidelines and procedures.

#### **3.2 All Staff**

All staff are to create, maintain and retain records relating to the business activities they perform. They are to identify records and ensure that all records are captured and recorded in the appropriate record keeping system, and, protected and disposed of in accordance with the State Records Office's General Disposal Authority for Local Government Records.

#### **3.3 Elected Members**

Councillors are to ensure that they are aware of the record keeping procedures that ensure records are created and kept regarding their participation in the decision making processes of Council.

### **4. Policy Ownership**

The custodian of this Policy is the Executive Manager of Corporate Services. The Records Officer has operational responsibility for the Policy.

### **5. Review**

This policy is to be reviewed by the Executive Manager of Corporate Services and Records Officer in consultation with other staff (i.e CEO, DCEO etc) every five years.

# SHIRE OF MERREDIN

## RECORDS DISASTER

## RECOVERY PLAN

2022



*In Accordance with the State Records Act 2000*

Document Control

Document Status	Draft October 2022
Revision No	V1
Prepared by	Lorraine Filetti Records Officer
Endorsed	Leah Boehme Executive Manger Corporate Services
Adopted	20 December 2022
Revision Date	Annually

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## 1. INTRODUCTION

*State Records Act 2000* (Subsection 1B & 2D) requires that without limitation, a Record Keeping Plan (RKP) must set out the systems to ensure the security of government records and compliance with the Record keeping plan.

The Shire of Merredin's Record Keeping System is a vital corporate system that manages, stores, and provides access to the Shire of Merredin's records. The impact resulting from the entire or partial loss of records in the Record Keeping System would be immense.

In the event of a disaster, natural or otherwise, affecting the Shire of Merredin's Record Keeping System, the swift and complete recovery of the system would be essential in ensuring minimal impact on the Shire of Merredin's operations.

This *Record Keeping System Disaster Recovery Plan* offers a step-by-step process to minimize the impact of potential disasters.

The purpose of this plan is to:

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

This plan is designed to aid in the recovery of normalised business operations; however, priority must be given to personal safety. The disaster recovery plan can be activated after the emergency is under control and the Emergency Control Officer (Fire Department Officer or Law Enforcement Officer) authorises the building (s) to be sufficiently safe for re-entry. Alternately, it may be activated when an emergency has arisen but has not been serious enough to involve the Emergency Services.

## 2. STATEMENT OF IMPORTANCE

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

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

The Record Keeping System, as a primary repository for the Shire of Merredin information, has the greatest potential to impact the widest range of the Shire's operations if destroyed in a disaster. A disaster effecting the Shire's Record Keeping System could impact the Shire in several ways. The major areas of likely impact are:

**Breach of Customer Service Levels** – The slowing of the Shire of Merredin's processes due to an inability to access required information, even for a short time, would quickly start to impact the Shire's ability to meet its usual Customer Service levels. This result would impact the Shire of Merredin's Residents and degradation of the Shire's image in the Community.

**Staff down time** – With many of the Office Staff utilising the Record Keeping System on a daily basis, even short periods of system unavailability would impact on Staff productivity.

**Uninformed Decision Making** – being unable to access the right information at the right time can easily lead to uninformed decision making by the Shire of Merredin Staff. In the short-term, important decisions could be deferred, however as time pressures increase, decisions would have to be made without the benefit of information contained in the Records System.

**Loss of Corporate Memory** – A corporate memory helps to provide an organisation with its corporate identity, heritage and historical reference, as well as empowering staff to make improved business decisions, prevent duplication of effort, increase administrative efficiency and learn from the Shire’s previous mistakes. The Shire of Merredin ‘s corporate memory also makes a valuable contribution to the Public Memory of Western Australia and a vital historic record and resource for everyone in the Shire of Merredin and beyond.

**Legal Exposure** – The Shire of Merredin’s records have been used to support a legal defence or substantiate prosecutions for the Shire on various matters. The unavailability of these records would result in a significant legal exposure for the Shire of Merredin, either by not being enabled to undertake appropriate prosecutions under various empowering acts or not being able to defend the Shire’s actions regarding contentious matters.

**Cost of re-creating Information** – The loss of information used to support the Shire of Merredin cannot have a value to it. This information is necessary to continue operations and would need to be re-created to enable continuation of those operations. The re-creation of many years’ work and information is a very costly, if not impossible, task.

**Legislative Non-Compliance** – The Shire of Merredin is required to comply with the State Records Act 2000, which governs the record keeping function of all government agencies in Western Australia. Non-compliance in terms of retention and protection of the Shire of Merredin Records would result in heavy penalties and embarrassment for the Shire of Merredin.

## 2.1 POTENTIAL IMPACT POST DISASTER

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

Area of Impact	Level of Impact/Time to Recovery					
	4 Hours	1 Day	2 Days	1 Week	1 Month	Unable to recover
Customer Service Levels	L	M	H	H	H	H
Staff Down Time	L	H	H	H	H	H
Uninformed Decision Making	L	L	M	H	H	H
Loss of Corporate Memory	L	L	M	M	H	H
Legal Exposure	L	L	M	M	H	H
Cost of Recreating Information	L	L	M	M	H	H
Legislative Non-compliance	L	L	M	M	H	H

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

## 2.2 POTENTIAL CONSEQUENCE LIST

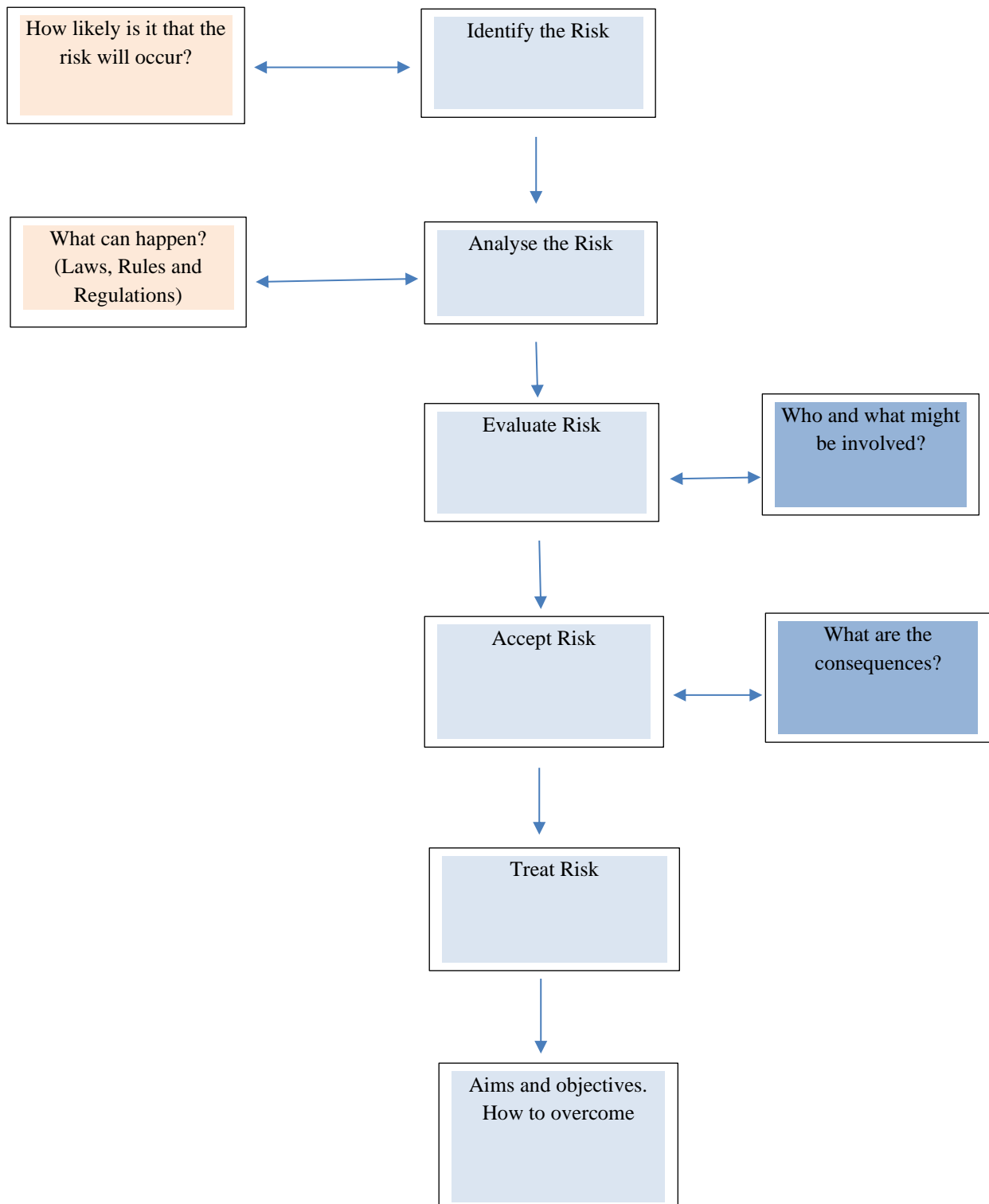
The following table illustrates the consequence and the impact from the entire or partial loss in the Record Keeping System:

	DESCRIPTION	FINANCIAL IMPACT	OPERATION	IT SERVICES	INFORMATION SECURITY	ENVIRONMENT	COMPLIANCE	REPUTATION
1.	Insignificant	Less than \$10,000	Little Impact	Single user PC being unavailable for short period	PC not locked when left unattended. Another user can access files	Minor repair required, little impact on facilities	Minor breach of statutory or contractual obligations	Unsubstantiated, low impact
2.	Minor	\$10,000 to \$50,000	Inconvenient delays	Hardware failure in key service	User password shared gaining access to non-intended data	Minor repair required, minor inconvenience to users	Minor breach of statutory or contractual obligations	Substantiated, low impact.
3.	Moderate	\$50,000 to \$150,000	Significant delays in major deliverables	Power outage under 1 day. Fault with phone system	Network PC infected by virus	Moderate non-structural repairs required, short term inconvenience to users	Significant breach of statutory obligations requiring internal investigation, treatment, or moderate damage control.	Substantiated, public embarrassment, moderate impact
4.	Major	\$150,000 to \$500,000	Non achievable of major deliverables	Extended downtime of IT equipment due to power outage over 2 days	Unauthorised person gaining access to server room	Significant structural repairs required, inconvenience to users for long term	Major breach resulting in fine or common law action requiring internal investigation.	Substantiated, public embarrassment, high impact
5.	Catastrophic	More than \$500,000	Non achievement of key objectives	Total loss of all hardware due to fire	Firewall and network admin account access to network from outside source with malicious intent	Major breach of legislation or extensive contamination and environmental damage requiring third party intervention.	Major breach resulting in external investigation or third-party actions resulting with significant tangible loss of damage to reputation.	Substantiated public embarrassment, very high multiple impacts, high widespread. Increase in cost or timeline, or inability to meet project objectives.

### 3.0 RISK ANALYSIS

Risk identification is the first important step in developing effective counter disaster strategies for the Record Keeping System, whereby critical information is needed for survival and resumption in the wake of a disaster. Organising recovery procedures using business processes provides for flexible implementation and allows the plan to be implemented fully or in part.

#### 3.1 EMERGENCY RISK MANAGEMENT PROCESS



### 3.2 Risk Assessment

Risk assessment is the process of analysing all the possible risks before they happen and setting up preventions and treatments that will contribute to minimize the impact on the administrative and technical functions of the Shire's operations. The following table identifies the likelihood and levels associated with any disaster to the Record Keeping System.

Likelihood		Level of Risk				
Description	Frequency	Insignificant 1	Minor 2	Moderate 3	Major 4	Extreme 5
A – Almost Certain	More than once per year	High	High	Extreme	Extreme	Extreme
B – Likely	At least once per year	Moderate	High	High	Extreme	Extreme
C – Possible	At least once in 3 years	Low	Moderate	High	Extreme	Extreme
D – Unlikely	At least once in 10 years	Low	Low	Moderate	High	Extreme
E – Rare	Less than once in 15 years	Low	Low	Moderate	High	High

E = Extreme Risk: Immediate action required by Executive Management

H = High Risk: Senior Management attention is required

M = Moderate Risk: Managed by specific monitoring or response procedures

L = Low Risk: Manage by routine procedures, unlikely to need specific application of resources.

Risk (Event)	Likelihood	Consequence	Residual Risk
<b>Technical</b>			
Software failure	Likely	3	Moderate
Hardware failure	Almost certain	3	Major
<b>Physical</b>			
Vandalism	Likely	3	Moderate
Human Error	Likely	3	Moderate
<b>Fire / Flood</b>			
Records storage	Likely	3	Moderate
Infrastructure services	Likely	3	Moderate
Finance services	Likely	3	Moderate
Human Resources	Likely	3	Moderate
<b>Vermin/Pest</b>			
Records services	Possible	2	Minor

Infrastructure services	Possible	2	Minor
Finance services	Possible	2	Minor
Human Resources	Possible	2	Minor

### 3.3 Action Plan to Reduce/Remove Risks

Risk	Cause	Consequence	Treatment
Software Failure	Accidental damage or destruction	Date unable to be located	Back up procedures in place. Back up tapes stored offsite.
Hardware Failure	Unknown loopholes, bugs	Data unable to be located, reduced decision making, non-compliance	Regular maintenance, back up procedure monitoring, fire alarm, trained and qualified personnel.
Vandalism	Hard copy file damaged	Vital records unable to be restored	Regular testing, back up procedure in place, training
Human Error	Lack of procedure in place, staff fluctuations and miscommunication	Reduced decision-making process due to loss of data	Regular training and testing
<b>Fire/Flood</b>			
Records Storage	Fire, water, or smoke damage to hard copies	Vital records unable to be restored. Public embarrassment	Alarm testing, regular monitoring, fireproof door, and security placed.
Building Services	Fire and water damage to hard copies	Vital records unable to be restored. Public embarrassment	Electronic control of documents, scanning, quarterly inspections and KPI'S inducted
Finance Services	Fire of flood damage to hard copies	Financial implications and non-compliance, demotion of current high standard principles	Vital records removed and stored offsite
Human Resources	Fire of flood damage to hard copies	Vital records unable to be restored. Personal data lost.	Electronic control of documents, scanning, Quarterly inspections and KPI'S inducted.
<b>Pesticides (Vermin &amp; Pests)</b>			
Records, financial and building services storage	Pest damaged by rodents, silverfish to hard copies. (Minutes, book, agendas, and inventory)	Vital records unable to be restored. Public embarrassment.	Biannual inspection of storage by pest control company, records register updated. Monitoring/control building inspections on a compulsory basis



## 4.0 Inventory of Assets

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

### 4.1 Electronic Components

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

### 4.2 Physical Components

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

Item	Ranking	Format	Location	Custodian	Security Classification
Legal Documents	1	Paper	Records	Records Officer	Confidential
Council Minutes	1	Paper Electronic	Records	CEO / EA	Internal Non-confidential
Human Resources Records	1	Paper	HR	CEO / SFO Records	Confidential
Delegations of Authority	1	1	Paper	Strategic Planning	Confidential
Building Plans	1	Paper	Records	EMDS	Internal Confidential
Corporate Documents	1	1	Paper Electronic	CEO	Confidential
Financial Records	2	Paper Electronic	Finance	SFO	Confidential
Community Services	2	2	Paper Electronic	Records	Internal
Library	1	Paper Electronic	Library	Library Manager	Internal
Restricted Files	1	Paper	Archive	Records Officer	Confidential
FOI Files	1	Paper Electronic	Records	CEO Records	Confidential External

## 5.0 DISASTER RECOVERY

### 5.1 Event Requirements Category

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

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

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

Levels	Description	Specification	Recovery Time
1	In house documents	Major event such as flood, Earthquake or bombing. It has been categorised as level 1 due to the fact that it would have extreme impact on all areas.	Dependant on identification of damage, recovery time would be up to one week.
2	Paper Loss	Loss of Vital documents due to Fire, smoke and flood water. Categorised as level 2 and is Variable dependant on the Importance of individual record.	Recovery time varies from 24 hours up to 2 weeks.
3	Computer Room	Categorised as second level as has impact on servers. Equipment is protected by power supply (UPC) individually installed and controlled.	Dependant on identification. Recovery time would be up to 1 week.
4	Server Failure	Affected mainly by hardware failure, theft or malicious damage.	Dependant on hardware, delivery and resources. Recovery time would be up to a maximum of 1 week
5	Data Loss	The loss of data from the main server due to an event such as accidental or malicious destruction and can be categorised as level 5.	Dependant on the consequence and the damages caused through the disaster. Recovery time would be 24 hours to a maximum of 2 days.

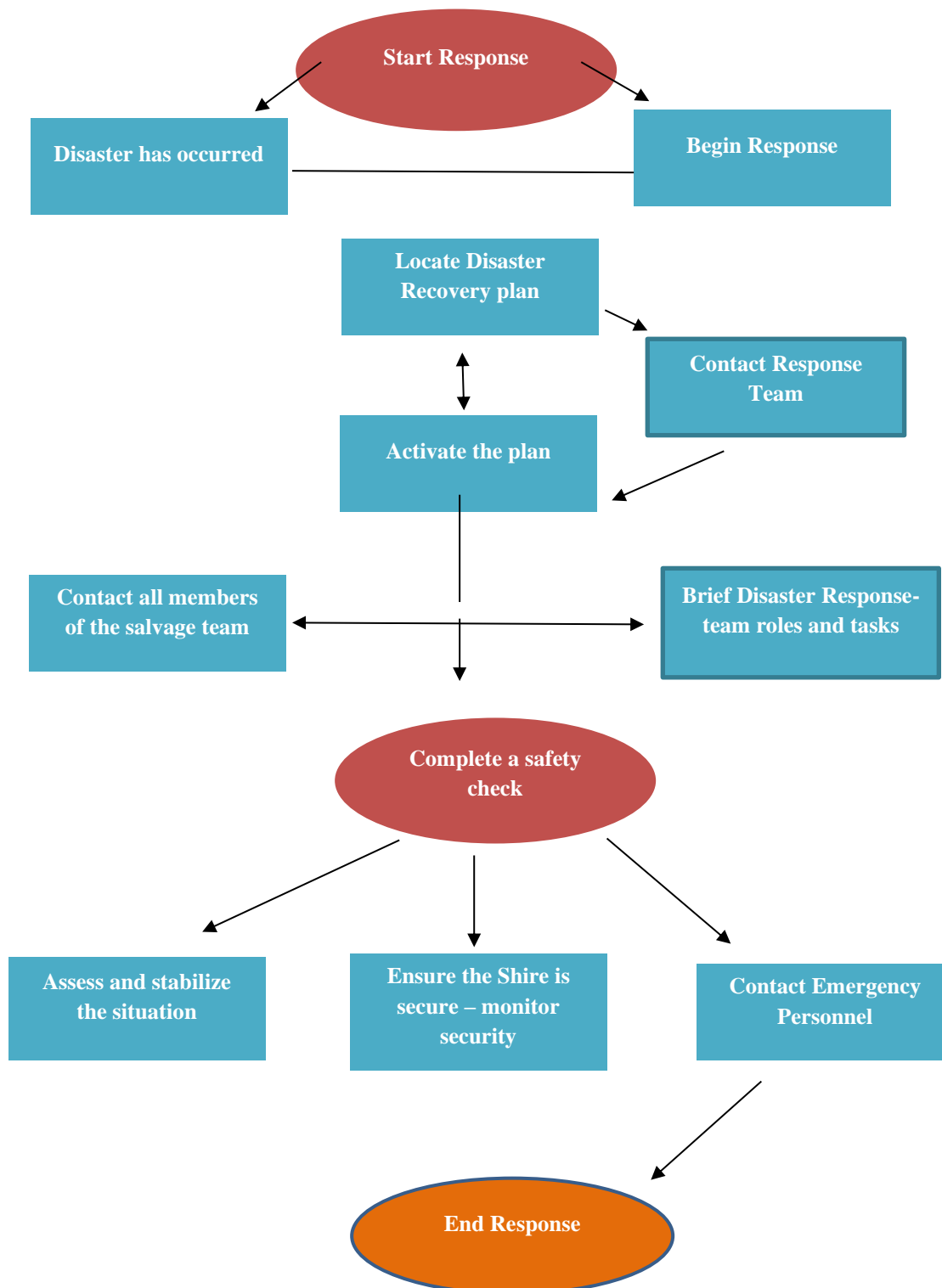
## 6.0 DISASTER RECOVERY STRATEGY

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

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

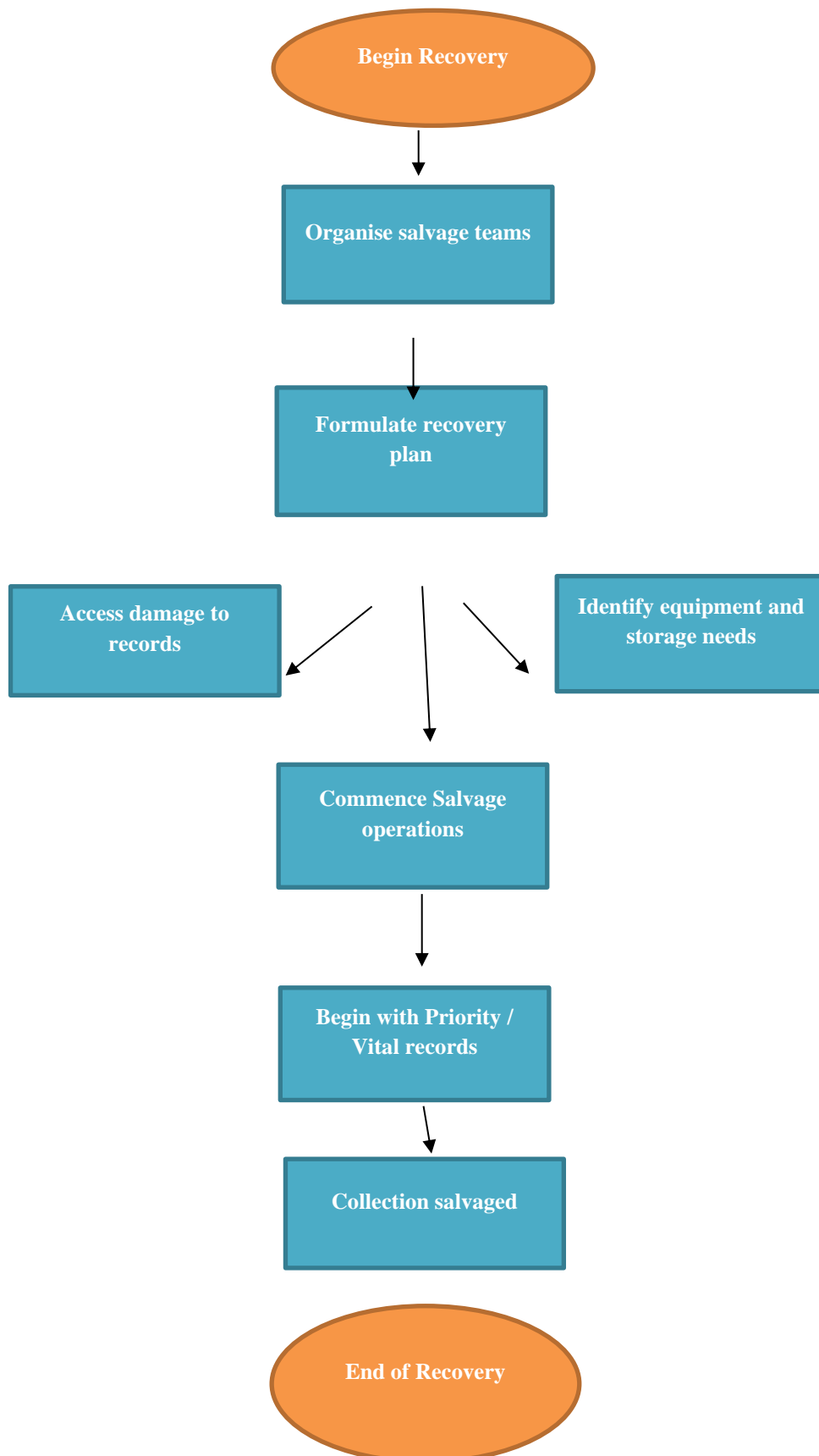
## 6.1 Response and Recovery Steps – Flow Chart

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

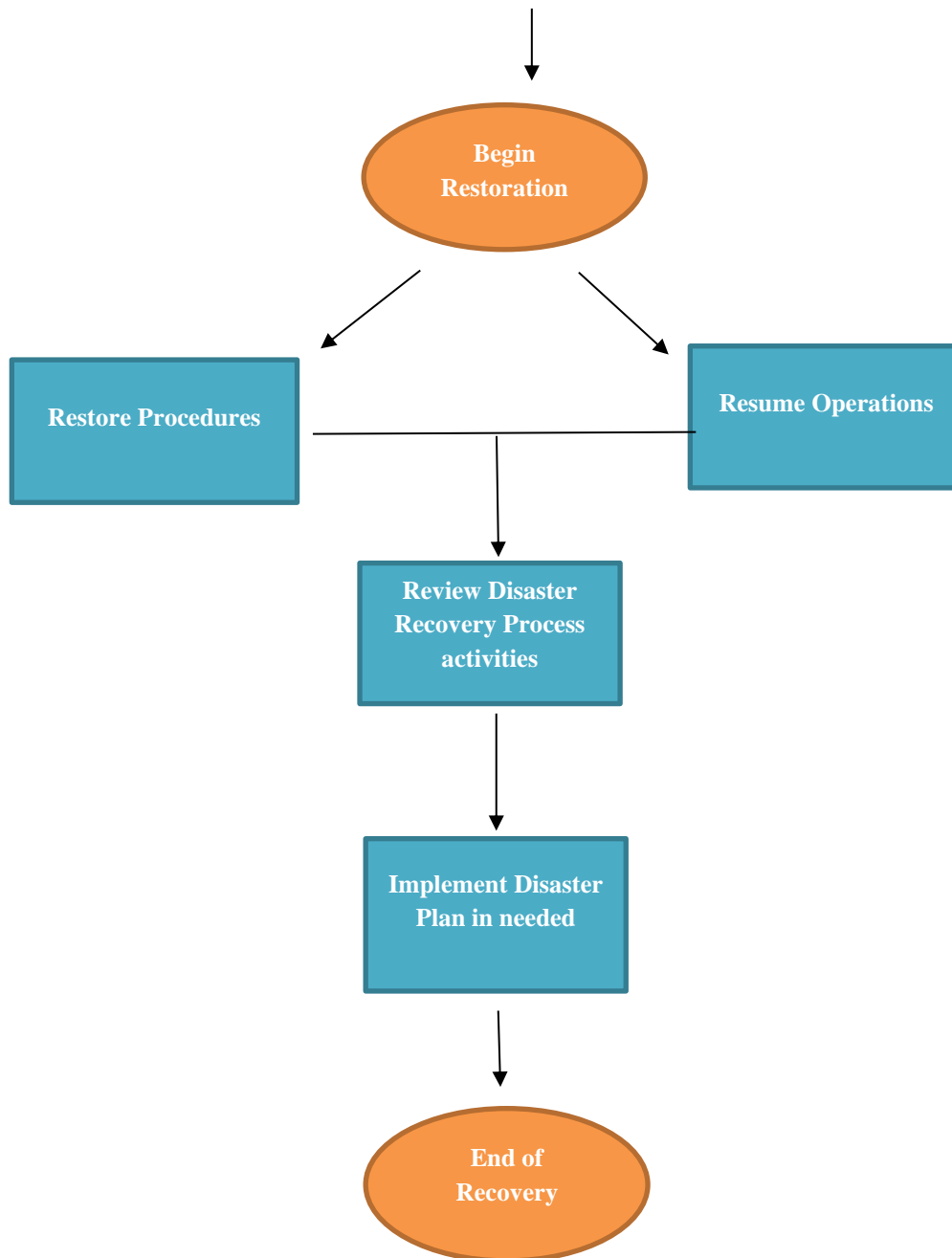


## 6.2 Recovery Action Plan Process

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



## 6.2 Restoration / Implementation Process



### 6.3 IT System Save

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

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

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

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

#### 6.4.1 Fire Damage

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

#### Guidelines:

- Deal with affected materials as quick as possible to limit the damage caused
- Obtain necessary supplies of materials, equipment, services and expertise for salvage
- Ensure all collection movements are fully documented and any containers labelled
- Ensure records are tagged with file numbers
- If labels are damaged or unreadable, they should be placed in a plastic sleeve and photocopied or printed from computer system
- Isolate the material prior to treatment by moving it to a dry place
- Arrange for freezing, vacuum freeze drying
- Pack in plastic crates or boxed (do not pack the crates too tightly-the records may swell), placing blotting paper between envelopes and documents
- Put envelop and documents in manilla folders
- Send to freezing facility

#### 6.4.2 Water Damage

For water damaged materials crates should not be packed too tightly, documents should not be pressed wet or swollen.

#### Guidelines:

- Treat in the following order:
- Coated or glossy paper

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

#### **Freezing:**

- Place spine down
- Send to a freezing facility

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

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

#### **Books:**

- Fan books open and stand on top or bottom edge; never stand them on the edge
- Stand books on driest edge first to provide support. As the book dries, turn it upside down to the opposite edge every few hours
- When books are no longer wet, but still cool to touch, close and place a solid surface with a slight weight to keep distortion to a minimum. Check frequently to ensure that mould is not growing.
- Do not try to close open books
- Remove plastic covers
- For books with tick covers, place a sheet of water-resistant file such as polyester inside the front cover to prevent moisture to the text.

### **6.4.3 Mould Damage**

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

#### **Guidelines:**

- Deal with mould affected materials as quick as possible to limit the damage caused and to prevent contamination of other materials
- Control humidity, temperature and airflow through the area
- Assess material and process items prioritised for fumigation and/or repair package and send material that cannot be adequately fumigated in-house to an outside fumigation company
- Ensure all collection movements are fully documented and any containers labelled
- Ensure all records are tagged with file numbers
- Isolate the material prior to treatment by moving it to a dry place
- If mouldy items are dry, store them in a sealed plastic bag while awaiting treatment (inactive mould is dry and powdery)

- Any unaffected records should be laid flat on a fresh sheet of newspaper until they can be reassessed and treated
- For material that are lightly affected by mould, alcohol can be applied to affected area using a cloth, paint brush or spray bottle
- After treating materials with alcohol, place blotting papers between pages

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

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

### **Wheelie Bins:**

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

### **Guidelines:**

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

### **Storeroom:**

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

### **Guidelines:**

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

## **7.0 AFTER THE DISASTER**

### **7.1 Cleaning up the Disaster Site**

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

### **Measures:**

- Wash down shelving, wall and floors
- Circulate air to avoid mould growth using fans and dehumidifiers to dry as quickly as possible



- Carry out regular temperature and relative humidity checks, and not return material to the area until the temperature and humidity have stabilised at acceptable levels for at least a week. Storage area is concrete based and will take longer than expected to dry out, particularly under any remaining floor covering, shelving units and in stagnant corners

## **7.2 Re-shelving Treated Records**

The aim is to return treated records to the rehabilitated disaster site. The material/files may take up more space than previously as there will have been swelling as a result of being wet. Extra storage space may need to be schedule. Temperature and relative humidity should be checked regularly for at least 12 months in case the records or the room was not sufficiently dry when the room was reoccupied.

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

## **7.3 Reporting**

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

A register should be maintained, and the following information should be recorded.

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

## **8.0 COUNTER MEASURES**

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

### **8.1 Local Security**

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

### **8.2 Physical Security**

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

### 8.3 Record Keeping System Review – Storage Areas

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

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

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

### 9.0 RESPONSIBILITIES

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

#### 9.1 Disaster Recovery Responsibilities

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

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

## 10.0 RESOURCES

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

Item	Source	Location	Availability
Contents Wheelie bin and equipment list	Records Officer	Records Room	Equipment available
Offsite storage requirements	IT Technician (JH Computer Services)	Outsourced Company	Within maximum 2 days
Temporary storage facility (in the event of a major disaster)			Within maximum 2 days

## 11.0 TRAINING PROGRAM (Training Manual)

### 11.1 Recordkeeping Training Program

Team members of the Disaster Recovery Plan will be trained in the operation of the Record Keeping System and associated procedures. Training will be conducted bi-annually and whenever new member joins the team.

## 12.0 TESTING PROGRAM

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

## Appendix 6.1 – Emergency Contacts

Emergency Contact	Telephone/Email
Ambulance/Fire/Police	000
State Emergency Services Merredin	9041 2266
LGIS Property	(08) 9483 8863
Cold Storage Facility	9418 0100
DFES	132 500
Freeze Drying – Large quantities	9418 0100
Freeze Drying – Small quantities	9444 4489
Western Power	13 10 87
Police Attendance	131 444
Poison Information Line	131 126
State Records Office	9427 3600
Steamatic – Recovery & Restoration Perth	1300 783 262
Water Corporation	131 375
IT Support – JH Computer Services	(08) 9367 9499 (08) 9474 4990
Container Hire Perth	1300 053 053
Pumps (McIntosh & Son Merredin)	9041 1099
Electrical (Merredin Electrical)	9041 1748

**Appendix 6.2 – Records Disaster Recovery Requirement List**

Item	Source	Location
<i>i.e. Contents Wheelie bin and equipment list</i>	<i>Records Officer</i>	<i>Old Library Records room</i>

**Appendix 6.3 – Emergencies Register**

Date/Time and Duration	Location	Nature/Cause	Effect on Staff, Records, Buildings, Other	Actions Taken	Recommendations for future prevention and changes
<i>i.e. 19/03/2020</i>	<i>Merredin</i>	<i>Strong wind event</i>	<i>Minimal</i>	<i>Checks on roofing to ensure it is secure, checked for debris</i>	<i>NA</i>

**Appendix 6.4 – Vital Records Register – Record Keeping System**

Document	Format	Location	Custodian	Status
<i>i.e. Cemeteries Register</i>	<i>Books and Register</i>	<i>Strong Room</i>	<i>CEO</i>	<i>Current</i>

**Appendix 6.5 – Damaged Records Document List**

Record	Location	Number	Damage	Category of Salvage	Treatment
<i>i.e. A331</i>	<i>Old Library</i>	<i>1 box</i>	<i>Water Damage</i>	<i>Salvageable</i>	<i>Dry records on flat surface</i>



**Appendix 6.6 – Materials And Equipment List**

<b>Materials</b>	<b>Use</b>	<b>Supplier</b>	<b>Phone</b>
<i>i.e. Temporary storage</i>	<i>Storage</i>	<i>Container Hire Perth</i>	<i>1300 053 053</i>

**Appendix 6.7 – Disaster Review Form**

<b>Type of Disaster</b>	<b>Cause</b>	<b>Damage (Material and financial)</b>	<b>Duration</b>	<b>Recommendations for improvement</b>
<i>i.e. Strong wind event</i>	<i>Weather formation</i>	<i>Damage to roof from wind</i>	<i>2 days</i>	<i>Regular inspection of premises</i>

## 14.0 REFERENCES

*Shire of Brookton* – [www.shireofbrookton.wa.gov.au](http://www.shireofbrookton.wa.gov.au)

*Shire of Sandstone* – [www.shireofsandstone.wa.gov.au](http://www.shireofsandstone.wa.gov.au)

*Shire of Jerramungup* – [www.shireofjerramungup.wa.gov.au](http://www.shireofjerramungup.wa.gov.au)

*State Records Act 2000 Act No: 052 of 2000 as at 22/12/2021, Version 01-g0-00*

*Salvage of Water Damaged Collections* –

[https://www.sos.wa.gov/\\_assets/archives/recordsmanagement/a11\\_salvagewaterdamagedcollections.pdf](https://www.sos.wa.gov/_assets/archives/recordsmanagement/a11_salvagewaterdamagedcollections.pdf)

**Disposal Procedure and Records List for Disposal**

1. Apply the correct General Disposal Authority (GDA) to the records and files as they are created.
2. Identify records that have exceeded their minimum retention period and are due for destruction.
3. Before any records can be destroyed, the disposal date on the file should correspond with the file recorded on SynergySoft and the GDA. If not, this needs to be re-evaluated and re-classified as necessary. Generate a list of these records for review. Records are listed in the following format:
  - File information – file title, file number, date range
  - Disposal authority information – the GDA selected, specific category reference, retention, and disposal action and
  - Other relevant information as required – date due for destruction, storage location.
4. Once hard copies are closed, they are placed into an archive box with the disposal date, contents and box number written on the front of it and placed in the archival room at the depot. Archived details are recorded in SynergySoft. A spreadsheet is also kept on the Shire of Merredin's "H" drive.
5. Once the disposal date is due, the file information is documented on a "Retention and Disposal template" which is prepared by the Records Officer and given to the relevant Manager and CEO for review. No files are permitted to be destroyed until they have been signed off by the CEO.
6. The document is referred to the appropriate Senior officer or Manager with knowledge of the subject matter of the functions documented in the records. Once approval has been obtained from those, the records are then signed off for destruction or further archiving.
7. Documentation is then referred to the EMCS and CEO for final written authorization of the records destruction.
8. Documents are then authorised for destruction. The Shire of Merredin outsources services from Shred-X for destruction of all documents. Before documents are placed in in the Shred bin the following procedure should be followed:
  - Check the file number against the "Retention and Disposal template" to ensure the correct record is being disposed of.
  - Remove all papers from fastings, remove any dog clips, paper clips, etc, (beside staples) and plastic covers.
  - Remove the papers out of the file cover and recycle what is possible
9. Retain the list of destroyed records and certificates of destruction as evidence of the destruction. If the organisation uses an electronic records management system, the records metadata must reflect the destruction record retained.

NCR20224841

SCANNED  
DATE 22/6/22  
INITIAL LF

IM/14/2

## Records Retention & Disposal Application



SHIRE OF  
**MERREDIN**  
INNOVATING THE WHEATBELT

RECORDS ARE TO BE DISPOSED OF IN ACCORDANCE WITH THE LOCAL GOVERNMENT RETENTION AND DISPOSAL SCHEDULE AND WITH THE AUTHORISATION OF THE CHIEF EXECUTIVE OFFICER

The following records have reached their disposal date in accordance with the General Retention and Disposal Schedule for Local Government Rd2015001. I request approval to dispose of the following Records:

GDALG No.	File No.	Dates	Description of Record (s)
48.2	B024	2013	End of Day Receipts – Jan-Mar 2013 – Auction Register from Auction sale 23/02/2013
80.2	B104	2013-2014	Timecards - 25/12/12 – 05/03/2013 – 12/11/2013 – 04/02/2014
	B092		
75.2	PH/13/1	2013	Trading on a thoroughfare and stallholder
75.2	PH/11/1	2013	Food Surveillance
89.3	IM/13/7	2007-2014	Information booklets / unsolicited brochures or marketing
48.2		Sept/ Oct 2010	EFT's 3020-3327
80.2	Box 2020/3	2007-2008	Payroll
48.2	2017/5	2008-2009 2010-2011	Creditor batch listings
48.2		2010	Cheques 21544-21595 / 21707-21759 / 21624-21623 / 21628-21706 / 21480-21542 / 21804-21841 / 21760-21803

### Records Officer:

Name: Lorraine Filetti

Signed: \_\_\_\_\_

Date: 21/6/22

### Recommendation for Disposal

Records shredded as per requirements of the State Recordkeeping Act 2000

### Authorisation

As **Executive Manager of Corporate Services** of the Shire of Merredin, I authorise the disposal/destruction of the above records.

Authorising Officer: Lindon Mellor A / EMCS

Signed: \_\_\_\_\_

Date: 21/06/22

As **Chief Executive Officer** of the Shire of Merredin, I authorise the disposal/destruction of the above records.

Authorising Officer: Lisa Clack (CEO)

Signed: \_\_\_\_\_

Date: 21/6/22

### Disposal/Destruction Performed by:

Name: Lorraine Filetti

Signed: \_\_\_\_\_

Date: 21/06/22

Upon disposal/destruction of the records as authorised, by the above method, ensure this form is returned to Records for filing.

C:\Users\adminofficer\Desktop\Records Retention & Disposal Application template - Copy.docx  
12/05/2016

## RECORDS



During 2020/21, the Shire of Merredin created

**3093**

new records

The Shire's reviewed Record Keeping Plan, as adopted by Council at its September 2015 meeting, is in operation - as far as all incoming correspondence is captured onto the electronic records system and then allocated to the relevant officer for attention whilst the hardcopy is filed. Work continues in educating officers of the procedure for incoming and outgoing correspondence via email. Work has also commenced with regard to capturing archived "permanent records" onto the electronic system. The archived hardcopy records are being held in a secure building, however, this is not dust free nor fire protected but we are working towards satisfying regulations in this regard.



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