**<Name of LG>**

**RECORDKEEPING PLAN**

**<Year>**

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**Introduction**



This document is presented to the State Records Commission in accordance with Section 19 of the *State Records Act 2000* (the Act), which requires each government organisation to have a record keeping plan approved by the State Records Commission.

*OR*

Section 28 of the *State Records Act 2000* (the Act). Section 28 (5) of that Act requires that no more than 5 years must elapse between approval of a government organisation’s record keeping plan and a review of it.

*[Delete section for ‘New’ Plan (section 19) or ‘Amended’ Plan (Section 28) as appropriate.]*

State Records Commission (SRC) Standard 1 – *Government record keeping* requires that government organisations ensure that records are created, managed and maintained over time and disposed of in accordance with principles and standards issued by the SRC. SRC Standard 2 – *Record keeping plans* comprises six record keeping 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 <LG> and how it is to keep its records. The Recordkeeping Plan is to provide an accurate reflection of the record keeping program within the organisation, including information regarding the organisation’s record keeping 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 record keeping within the organisation.

The objectives of the <LG> RKP are to ensure:

* Compliance with Section 19 or 28 *[delete as appropriate]* of the *State Records Act 2000*;
* Record keeping 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 <LG> and all its employees are legally required to comply with the contents of this Plan.

This Recordkeeping Plan applies to all:

* <LG> Employees;
* <LG> Contractors;
* Organisations performing outsourced services on behalf of the <LG>; and
* <LG> Elected members.

***Note:*** *The policy approach of the State Records Commission in monitoring the record keeping obligations in respect to local government elected members is:*

***“In relation to the record keeping 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 record keeping plans.*

This Recordkeeping Plan supersedes *[where applicable, insert number of previous approved RKP]* and applies to all records created or received by any of the above parties, regardless of:

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

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

(a) 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**



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

* 1. **Historical Background**

*[Insert the following]:*

* *[Brief organisational history, indicating:*
  + - *the Local Government’s establishment date;*
    - *names of predecessor organisations;*
    - *any amalgamations, separations and changes in functions, that may have occurred, including dates when these occurred and arrangements for custody and/or transfer of relevant records; and*
* *Essential relationships with other organisations.]*
  1. **Strategic Focus and Main Business Activity**

*[Insert brief description of the Local Government’s Strategic Focus and Main Business Activity. Use information from the Annual Report or other relevant document.]*

* 1. **Functions, including those outsourced**

Refer to Appendix 1.

*[Appendix 1 contains a comprehensive list of typical local government functions. Tick the appropriate boxes for functions performed by the Local Government and those functions, if applicable, performed by another party on behalf of the Local Government].*

*OR*

*[Insert here the Local Government’s own description of its functions including those that are outsourced].*

* 1. **Major Stakeholders**

The <LG’s> major stakeholders are *[insert details of the Local Government’s major stakeholders, whether employees, customers, general public, etc.]*

* 1. **Enabling Legislation**

The <LG> is established under the *Local Government Act 1995*.

* 1. **Legislation and Regulations Administered by the <LG>**

Refer to Appendix 2.

*[Appendix 2 contains a comprehensive list of typical legislation and regulations that may be wholly or partly administered by local government. Tick the appropriate boxes for legislation or regulation wholly or partly administered by the Local Government, and add any which may have been omitted].*

*[Also include in Appendix 2 a listing of all the Local Laws of the Local Government].*

* 1. **Other Legislation Affecting the <LG>**

Refer to Appendix 3.

*[Appendix 3 contains a list of other legislation and regulations affecting the functions, operations and record keeping of local government. Tick the appropriate boxes for legislation or regulations affecting the Local Government and make additions as necessary].*

* 1. **Major Government policy and/or Industry Standards**

Refer to Appendix 4.

*[Appendix 4 contains a list of government and industry standards and codes of practice that may be imposed on or adopted by local government. Tick the appropriate boxes for those adopted by the Local Government, and add those others adopted that are not on the list].*

1. **Principle Two: Policies and Procedures**



*Government organisations ensure that record keeping programs are supported by policy and procedures.*

* 1. **Records Management and Business Information Systems**

*[Provide an overview of the Local Government’s records management system/s and* ***major*** *information systems containing corporate records].*

* + 1. **Records Management System**

*[The overview should include, as appropriate:*

* *Whether the records management system is manual or automated, e.g. is there a manual file listing on an Excel spreadsheet (or similar) or has an electronic records system been implemented, such as Content Manager, Synergy; Dataworks, etc;*
* *Whether the system is paper based, electronic or a hybrid system, ie are records held in hard copy; electronic format; or a combination of paper and electronic;*
* *When the system currently in use was implemented;*
* *If applicable, how the change from one system to another was managed;*
* *Whether the Local government is planning to change the records management system; and*
* *Any additional details considered relevant.]*
  + 1. **Business Information System/s**

*[These may include, but are not limited to: financial management systems; human resource management systems; rates and licensing systems; etc.*

*The overview should include, as appropriate:*

* *The name of the system/s and a brief description of the records, documents or data held in each system;*
* *Which, if any, of the systems are integrated with the records management system; and*
* *Any additional details considered relevant.]*
  1. **Records Management Policy and Procedures**

The creation and management of records is coordinated by the <LG’s> *Corporate Information Unit / Records Officer [amend title as appropriate]*.

For the record keeping policy and procedures of the <LG> please refer to Appendix 5.

*[Attach policy and procedure manual or documentation. Note: In the absence of either a policy and procedures manual or individual policy and procedure documents, the organisation may adopt the RKP as the “manual” and must include statements addressing the following, demonstrating that:*

* *The policies and procedures have been established;*
* *The roles and responsibilities for all employees are defined;*
* *The organisational scope of the policies and procedures has been addressed e.g. their applicability to regional branches or outsourced contractors; and*
* *The policies and procedures have been authorised at an appropriate senior level and are available to all employees.*

***AND*** *provide detailed descriptions of current practices in relation to all sections listed below.]*

*[****Table 2.1*** *lists several record keeping activities. Indicate in the table by ticking Yes or No as to whether the Local Government’s policies and procedures cover the record keeping activities. Add to/amend the relevant categories as appropriate.*

**Table 2.1**

| **Record keeping activities covered in the <LG’s> Policies and Procedures** | **YES** | **NO** |
| --- | --- | --- |
| **Correspondence capture and control** – including incoming and outgoing mail registration; responsibilities assigned for classifying, indexing and registration; file titling and file numbering conventions.  Include specific provisions for capture and control of Elected Members’ correspondence. |  |  |
| **Digitisation** – including categories of records digitised; disposal of source records; digitisation specifications.  ***NB:*** *This procedure is only required where the organisation intends to destroy source records prior to the expiration of the approved minimum retention period after digitising, in accordance with the General Disposal Authority for Source Records.* |  |  |
| **Mail distribution** - including frequency, tracking mechanisms and security measures. |  |  |
| **File creation and closure** – including assigned responsibility and procedures for both physical and automated file creation. |  |  |
| **Access to corporate records** – procedures for access to and security of corporate records. |  |  |
| **Authorised disposal** of temporary records and transfer of State archives (whether hard copy or electronic) to the State Records Office (SRO) – any assigned responsibilities. |  |  |
| **Electronic records management** – including the organisation’s approach and methodology for the capture and management of its electronic records (e.g. use of EDRMS, hybrid system etc). |  |  |
| **Email management** – including the capture, retention and authorised disposal of email messages to ensure accountability (e.g. use of EDRMS, hybrid system etc). |  |  |
| **Website management** – Including the purpose of the site (e.g. whether informational/transactional), capture of all information published to the website within the corporate records management system and mechanisms for recording website amendments (e.g. content management system). |  |  |
| **Metadata management** – including requirements for capture of metadata in information systems, whether automatic or manual. |  |  |
| **System/s management** – including any delegations of authority for the control and security of systems utilised by the organisation (e.g. provision of access to systems through individual logins and passwords, protection of servers etc). |  |  |
| **Migration strategy** – strategies planned or in place for migrating information and records over time (e.g. through upgrades in hardware and software applications, and any assigned responsibilities) for long-term retention and access. See SRC Standard 8: *Managing Digital Information*. |  |  |

* 1. **Certification of Policies and Procedures**

Evidence of formal authorisation that the policies and procedures are in place and circulated throughout the <LG> is provided by the copy of the certification document signed by the CEO *[amend this statement as necessary]*. Please refer to Appendix 5.

* 1. **Evaluation of Policies and Procedures**

The record keeping policies and procedures for the <LG> cover all categories identified in Principle 2 of SRC Standard 2 and are assessed as operating efficiently and effectively across the <LG>.

*OR [delete as appropriate]*

The record keeping policies and procedures for the <LG> do not cover the following categories: *[insert as appropriate]* and will be amended to cover all categories identified in Principle 2 of SRC Standard 2 by *[insert proposed timeline for completion, e.g. June 2025]*.

1. **Principle Three: Language Control**



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

* 1. **Keyword for Councils Thesaurus Implemented**

The <LG> has adopted and implemented the Keyword for Councils thesaurus for the titling of all its records.

*OR*

* 1. **Thesaurus (other than Keyword for Councils) Implemented**

The <LG> has developed and implemented its own thesaurus which covers both administrative and functional records, in all formats. A sample of the terms used and their scope notes is attached, please refer to Appendix 6.

*OR*

* 1. **File Plan / List of Subject headings / List of Authorised Headings**

The <LG> has developed a *File Plan/List of subject headings/List of authorised headings [delete as appropriate]* to control the titling of records. The *[insert appropriate name]* covers both administrative and functional records *[correct this statement as necessary]*. The *File Plan/List of subject headings/List of authorised headings [delete as appropriate]* is attached, please refer to Appendix 6.

* 1. **Assessment of its Effectiveness**

The *thesaurus/file plan/List of subject headings/List of authorised headings [delete as appropriate]* operates well within the <LG>. It covers both administrative and functional activities of the <LG>, is available for use by all staff and information can be filed and found without difficulty. This tool will be adjusted to reflect changes to the functions and activities of the <LG> as may occur from time to time.

*OR*

The *thesaurus/file plan/List of subject headings/List of authorised headings [delete as appropriate]* is inadequate for the business requirements of the <LG>. It will be *revised completely/where necessary [delete as appropriate]*, amended and implemented for use by *[insert proposed timeline for completion, e.g. June 2025]*.

* 1. **Identified Areas for Improvement**

*[Where the thesaurus/file plan/list of subject headings has been shown to be inadequate and the agency has identified areas where improvement is needed, these should be described along with the strategies for undertaking improvements and the proposed timeline for completion.]*

1. **Principle Four: Preservation**



*Government organisations ensure that records are protected and preserved*

For the *Disaster Management Plan/Records Disaster Recovery Plan [delete as appropriate]* for the <LG> please refer to Appendix 7.

*[****Note:*** *Where records disaster recovery strategies have been incorporated into an organisation wide Disaster Management Plan (DMP), Appendix 7 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 organisational 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.]*

* 1. **Assessment of Risks**
     1. **On Site Storage**

The <LG> has its current and active records located in onsite storage at [insert location]. The storage facility includes:

* *Metal shelving,*
* *Fire retardant safe,*
* *Secure premises,*
* *Secure server rooms,*
* *Fire detection system/or fire suppression system, and*
* *Airconditioning for [insert number of hours per day].*

*[Amend dot points as appropriate].*

The main disaster threatening records stored onsite comes from *fire/flood/cyclone/industrial accident/vandalism or pests [delete or insert as appropriate]*. With the storage conditions as described here the risk is assessed as *low/medium/high [delete as appropriate]*.

* + 1. **Offsite Storage**

The <LG> has its non-current, inactive and archival records *[include as appropriate]* located in an offsite storage facility at *[insert location(s)]*.

*[Provide a general description of the storage facility e.g. a basement / attic / outside shed / rented accommodation / sea container / shed at the works depot, and include such things as:*

* *Security of premises / facility;*
* *Fire detection / suppression system;*
* *Fire retardant safe / cabinets;*
* *Airconditioning for [insert number of hours per day];*
* *Type of shelving e.g. metal.*

*[Amend dot points as appropriate].*

The main disaster threatening records stored at the offsite records storage facility comes *from fire / flood / cyclone / industrial accident / vandalism / vermin or pests [delete or insert as appropriate]*.

With the storage conditions as described here the risk is assessed as *low/medium/high [delete as appropriate]*.

* + 1. **Data Centre and Cloud Storage**

*[Use the table below to enter details of any third party data centres and/or cloud storage facilities utilized by the organisation for storage of electronic data, digital information and records (including all business systems and the categories of records stored)]*

The <LG> has entered into an arrangement with [a] third party/ies 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. *[Amend as appropriate]*

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

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| **Information system / categories of records** | **Name of service provider** | **Geographic location of data centre / cloud storage** | **Geographic location of data centre / cloud storage backups** | **Risk assessed Y/N** |
|  |  |  |  |  |
|  |  |  |  |  |

* + 1. **Storage of Archives**

*[Provide a statement to address the steps the organisation has taken to ensure that State archives (in all formats) in its custody are maintained in accordance with the Directions for keeping State archives awaiting transfer to the State Archives Collection.]*

* + 1. **Storage of Backups**

Electronic backups of the <LG>’s electronic information are held offsite at *[insert location]* and are transferred there on a *[daily/weekly/etc]* basis.

* + 1. **Quantity of Records**

The <LG> has custody of:

* *[insert number]* linear metres of hard copy State archives, as identified under a relevant approved retention and disposal authority, stored onsite/offsite.

*[****Note:***

1. *To measure in linear meters, measure the length of the hard copy files / boxes on a shelf. This is the linear meterage.*

*If records are boxed in standard type 1 archive boxes, (385mm x 250mm x 168mm) these measure 0.16m in width. So, x number of boxes multiplied by 0.16.*

*Commercial archive boxes (e.g. Recall boxes) are typically wider so the measurements will change.*

*If you are converting square metres into linear metres, the conversion is 1sqm = 12 linear metres for standard compactus shelving.*

1. *Do not include quantity of archives which have already been transferred to the State Records Office.]*
   * 1. **Security and Access**

*[Include a statement to indicate whether security of records storage areas, including server rooms, and availability of access to records have been assessed for risk.]*

* 1. **Assessment of the Impacts of Disasters**

As stated previously, the risk of a disaster occurring to the records of the <LG> has been assessed as *low/medium/high [delete as appropriate]*. The impact of a disaster on the organisation’s records has therefore been assessed as *low/medium/high [delete as appropriate]*. There are sufficient strategies in place to ensure that business activities of the organisation are not unduly affected in the event of the more likely disaster occurring. *[Amend as appropriate]*

* 1. **Strategies in Place for Preservation and Response**

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

* + 1. **Vital Records Program**

A vital records program has been developed for the <LG>. Vital records have been identified as *[list categories of vital records for the Organisation]*.

Vital records in hard copy are stored in a locked, fire resistant safe, accessible to *[name positions]*. These records have been copied and the copies are placed on the relevant files and are used for all normal business activities.

*[Where the practice is different from the above statement, amend as appropriate. Add details of other procedures in place for vital records, e.g. a register of vital records, whose responsibility, review of the status of vital records at regular intervals e.g. annually].*

* + 1. **Backup Procedures for Electronic Records**

Electronic records of the <LG> are backed up *daily/weekly/monthly/six monthly*. The back-ups are stored offsite *[delete/alter as appropriate]*.

*[As applicable, provide details of tape rotation, how long backups are retained (e.g. before being overwritten) and processes for testing (e.g. that backups were completed successfully and that information is retrievable over time).]*

* + 1. **Preservation of Electronic Records**

The <LG> has implemented the following processes to ensure that electronic records are accessible and readable for as long as required:

*[Amend as appropriate]*

* Media used to store electronic information is periodically checked *[include frequency]* to ensure the information is accessible and readable;
* Digital storage media, including removable storage devices, is refreshed as necessary to prevent data loss *[include a brief description of the process]*; and
* Electronic records requiring long term retention are maintained in an appropriate format for long term preservation *[include a brief description of the process]*.
  + 1. **Security**

The following security measures have been implemented by the <LG> to prevent unauthorized access to records:

* Hard copy records are stored in a locked/secure room accessible only to records staff. A bar code system is in place to enable the tracking of records. *[Amend as appropriate].*
* Hard copy records stored offsite are located at *[insert details, whether or not at a commercial facility, and describe conditions]*.
* Electronic records have varying degrees of electronic access depending on delegations assigned to staff within the organisation. Electronic records are backed up on a regular basis as described previously.
* Access to server rooms is restricted to authorized staff using swipe card access. *[Amend as appropriate]*

*[Add other relevant security measures which are in place in the local government.]*

* + 1. **Storage Reviews**

The records storage facility(ies) utilised by the <LG> are reviewed regularly *[state how often]* to ensure that conditions are appropriate for the organisation’s records. *[Provide details of when the records storage facilities were last reviewed and the outcome of that review, including any actions planned or completed.]*

* + 1. **Recovery of Lost Information**

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

*[Provide a brief description of the strategies, such as:*

* *duplication of hard copy vital records;*
* *back up of electronic records;*
* *offsite storage of backups;*
* *A records disaster recovery kit (ie equipment for use in the event of a disaster; etc)].*
  1. **Identified Areas for Improvement**

*[Where the elements of Assessment of Risks/Assessment of the Impacts of Disasters/Strategies in Place for Prevention and Recovery have been shown to be inadequate and the agency has identified areas where improvement is needed, these should be described along with the strategies for undertaking improvements and the proposed timeline for completion.]*

1. **Principle Five: Retention and Disposal**



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

* 1. **General Retention and Disposal Authority for Local Government Information (GRDALG)**

The <LG> uses the *General Retention and Disposal Authority for Local Government Information*, produced by the State Records Office, for the retention and disposal of its records.

* 1. **Disposal of Source Records**

*[Section 16 (5) of the State Records Act 2000 makes provision for the record keeping plan to identify government records being reproduced in another form, and for the destruction of a government record if a reproduction of it is being kept, even though the destruction occurs at a time when the record would otherwise not be able to be lawfully destroyed.*

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

The <LG> has established procedures to scan all incoming, hard copy, correspondence *[amend as required]* in accordance with the requirements of the *General Disposal Authority for Source Records* and the *Digitisation Specification*. The original hard copy correspondence, once reproduced electronically, will be treated as copies/duplicates and as such will be retained for *[Insert time period the source records will be retained]* to meet operational requirements and then destroyed. Refer to Appendix 8 for full documentation of the risk assessment, scanning procedures, quality control and other processes.

* 1. **Existing Ad Hoc Retention and Disposal Authorities**

*[Ad Hoc Disposal Authorities are documents developed in consultation with the State Records Office and approved by the State Records Commission. They are not internal documents that may be created by local governments as a part of a retention and disposal program. If you are unsure if your organisation has any approved Ad Hoc retention and disposal authorities please contact the State Records Office for advice.]*

The <LG> has the following approved Ad Hoc retention and disposal authorities which have been implemented. The records to which they apply are *no longer extant or have been transferred to the SRO for permanent retention as State archives* *[amend as required]*.

* AD *[insert number]* - *[insert brief details including date range and type of records covered]*.

*[Add dot points as required for more than one Ad Hoc.]*

* 1. **Existing Disposal Lists**

*[Disposal Lists are documents developed in consultation with the State Records Office and approved by the State Records Commission. They are not internal documents listing records for destruction or transfer that may be created by local governments as a part of a retention and disposal program. If you are unsure if your organisation has any approved Disposal Lists please contact the SRO for advice.]*

The following Disposal Lists have been approved and have been implemented. The records to which they apply are *no longer extant or have been transferred to the SRO for permanent retention as State archives* *[amend as required]*.

DL *[insert number]* - *[insert brief details including date range and type of records covered]*.

*[Add dot points as required for more than one Disposal List.]*

* 1. **Restricted Access Archives**

*[If the local government intends to restrict access to State archives when they are transferred to the SRO, then details about the following are to be included here.*

* *The categories of records that are to be restricted;*
* *The reasons for restriction; and*
* *The proposed open access date (or restriction period).]*

The following State archives will have restricted access for [insert number] years:

* *[Insert records categories as appropriate.]*

*OR*

The <LG> does not have any State archives to which it intends to restrict access when they are transferred to the SRO.

* 1. **Transfer of Archives**

An Archives Transfer Request form *has/has not* *[delete as appropriate]* been submitted to the SRO *[include date submitted if applicable]*.

The <LG> will transfer State archives to the State archives collection for permanent preservation when requested by the SRO.

* 1. **Non-Transfer of Archives**

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

*[Delete as appropriate]*

*[If the local government intends to retain in its custody State archives which are more than 25 years old, and not transfer them to the SRO, then details as outlined below will need to be included.]*

The <LG> intends to retain the following State archives and not transfer them to the SRO. The State archives will be maintained by the <LG> and will be stored in conditions compliant with SRC Standard 7: *State Archives retained by Government Organizations*, Principles 2-7.

* *[Insert records categories as appropriate, including the GRDALG schedule number.]*
* *[Justification for retaining the records]*
* *[Statements providing evidence of compliance with SRC Standard 7,Principles 2-7 attach supporting documentation as appropriate]*

*OR*

The <LG> has not identified any State archives that will not be transferred to the SRO for permanent preservation.

* 1. **Retention and Disposal Program Implemented**

The <LG> has implemented the *General Retention and Disposal Authority for Local Government Information* and conducts a regular retention and disposal program on an *[annual, bi-annual, indicate as appropriate]* basis.

Please refer to Appendix 9 for a copy of the disposal procedure *[if not included in Principle 2]* and a recent authorised list of records for disposal *[amend as required]*.

*[****NB:*** *Include only a section of the list of records (up to three pages) and the signatories.]*

* 1. **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 / Director of Corporate Services* *[insert Officer’s Title as appropriate]* and authorised for destruction or transfer.

* 1. **Identified Areas for Improvement**

*[Where the retention and disposal program/authorisation for disposal of records has been shown to be inadequate and the agency has identified areas where improvement is needed, these should be described along with the strategies for undertaking improvements and the proposed timeline for completion.]*

1. **Principle Six: Compliance**



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

* 1. **Staff Training, Information Sessions**

The <LG> has implemented the following activities to ensure that all staff are aware of their record keeping responsibilities and compliance with the Recordkeeping Plan:

*[Table 6.1 lists several activities that the Local government may implement to ensure that all staff are aware of their record keeping responsibilities and compliance with the Local government’s Recordkeeping Plan. Indicate in the table by ticking Yes or No as to which activities are conducted.]*

**Table 6.1**

|  |  |  |
| --- | --- | --- |
| **Activities to ensure staff awareness and compliance** | **YES** | **NO** |
| Presentations on various aspects of the <LG’s> record keeping program are conducted. These are delivered to all staff on a regular basis. |  |  |
| In-house record keeping training sessions for staff are conducted. |  |  |
| From time to time an external consultant is brought in to run a record keeping training session for staff. Staff are also encouraged to attend training courses outside the organisation whenever practicable. |  |  |
| Staff information sessions are conducted on a regular basis for staff as required. |  |  |
| The <LG> provides brochures or newsletters to publish record keeping information, highlight issues, or bring particular record keeping matters to staff attention. |  |  |
| The <LG’s> Intranet is used to publish record keeping information, highlight issues, or bring particular record keeping matters to staff attention. |  |  |
| The <LG’s> Induction Program for new employees includes an introduction to the organisation’s record keeping system and program, and information on their record keeping 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. *[amend this statement as necessary]*.

New employees are provided with the following information to ensure they are aware of their role and responsibilities in terms of record keeping within the <LG>:

* Induction manual - please refer to Attachment 10 *[Attach table of contents and introduction]*;
* Training program provided by the records manager *[name of position]*;
* *[Add details of other relevant induction programs provided by the local government]*.

Induction programs are provided for all staff coming into the <LG>.

*[Attach samples of presentations/training manual contents page, samples of brochures/newsletter, induction program coverage if appropriate]* Please refer to Appendix 10.

* 1. **Performance Indicators in Place**

The following performance indicators have been developed to measure the efficiency and effectiveness of the <LG>’s record keeping systems:

* *[list methods of measurement]*;

*[As a guide, some basic but useful performance indicators might include:*

* *Staff survey eliciting feedback on use, effectiveness of record keeping system/training etc;*
* *Percentage of correspondence registered or captured into the record keeping system; and*
* *Percentage of accurate retrieval of information].*

*OR*

Performance indicators *[are being/will be]* developed to measure the efficiency and effectiveness of the <LG>’s record keeping systems. It is planned to have these in operation by *[Insert date]*.

* 1. **Agency’s Evaluation**

On the basis of *[insert evaluation method used, e.g. survey of staff satisfaction/response times]*, the record keeping systems are assessed as being efficient and effective within the organisation.

*OR*

There is a need for some reviews of the <LG>’s record keeping systems in the following areas *[List areas]*. These will be addressed by *[Insert date]*.

* 1. **Annual Report**

An excerpt from the <LG>’s latest Annual Report is attached, demonstrating the organisation’s compliance with the *State Records Act 2000*, its Recordkeeping Plan and the training provided for staff. Please refer to Appendix 11.

* 1. **Identified Areas for Improvement**

*[Where the staff training/induction programs/performance indicators/evaluation of record keeping systems/annual reporting has been shown to be inadequate and the agency has identified areas where improvement is needed, these should be described along with the strategies for undertaking improvements and the proposed timeline for completion.]*

1. **SRC Standard 6: Outsourced Functions**



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

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

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

* 1. **Outsourced Functions Identified**

Refer to Appendix 1 for those functions outsourced.

*OR*

*[List here those functions outsourced].*

* 1. **Record keeping Issues Included in Contracts**

Refer to Appendix 12 for excerpts of clauses addressing record keeping issues in contracts for outsourced functions.

* + 1. **Planning**

The <LG> 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.

*[Include further details about the planning process as appropriate].*

* + 1. **Ownership**

The <LG> *has ensured / will ensure* *[delete as appropriate]* that the ownership of State records is addressed and resolved during outsourcing exercises. Where possible this will be included in the signed contract/agreement.

*[Include further details about the issue of ownership as appropriate].*

* + 1. **Control**

The <LG> *has ensured/will ensure [delete as appropriate]* that the contractor creates and controls records in electronic or hard copy format, in accordance with record keeping standards, policies, procedures and guidelines stipulated by the <LG>.

*[Include further details about the issue of control as appropriate].*

* + 1. **Disposal**

The disposal of all State records which are the product of or are involved in any contract/agreement with the <LG> and a contractor/agent will be disposed of in accordance with the *General Retention and Disposal Authority for Local Government Information*, produced by the State Records Office.

*[Include further details about the issue of disposal as appropriate].*

* + 1. **Access**

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

*[Include further details about the issue of access as appropriate].*

* + 1. **Custody**

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

• *[To be completed]*

* + 1. **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) as follows:

• *[To be completed]*

* 1. **Identified Areas for Improvement**

*[Where the outsourced functions have not been identified and/or record keeping issues addressed in contracts for outsourced functions have been shown to be inadequate and the agency has identified areas where improvement is needed, these should be described along with the strategies for undertaking improvements and the proposed timeline for completion.]*

| **APPENDIX 1**  **Functions of the Local Government** | | | |
| --- | --- | --- | --- |
| ***Function*** | ***Brief Description of LG Function*** | ***Performed by the LG***  ***Tick if Yes*** | ***Performed by an External Agency***  ***Tick if Yes*** |
| Commercial Activities | The function of competing commercially or providing services to other local governments or agencies on a fee for service basis. Includes undertaking activities on a consultancy or contract basis. |  |  |
| Community Relations | The function of establishing rapport with the community and raising and advancing the Council’s public image and its relationships with outside bodies, including the media and the public. |  |  |
| Community Services | The function of providing, operating or contracting services to assist local residents and the community. |  |  |
| Corporate Management | The function of applying broad systematic planning to define the corporate mission and determine methods of the LG’s operation. |  |  |
| Council Properties | The function of acquiring, constructing, designing, developing, disposing and maintaining facilities and premises owned, leased or otherwise occupied by the LG. |  |  |
| Customer Service | The function of planning, monitoring and evaluating services provided to customers by the council. |  |  |
| Development & Building Controls | The function of regulating and approving building and development applications for specific properties, buildings, fences, signs, antennae, etc. covered by the Building Code of Australia and the Environment Protection Authority (EPA). |  |  |
| Economic Development | The function of improving the local economy through encouragement of industry, employment, tourism, regional development and trade. |  |  |
| Emergency Services | The function of preventing loss and minimising threats to life, property and the natural environment, from fire and other emergency situations. |  |  |
| Energy Supply & Telecommunications | The function of providing infrastructure services, such as electricity, gas, telecommunications, and alternative energy sources. |  |  |
| Environmental Management | The function of managing, conserving and planning of air, soil and water qualities, and environmentally sensitive areas such as remnant bushlands and threatened species. |  |  |
| Financial Management | The function of managing the LG’s financial resources. |  |  |
| Governance | The function of managing the election of Council representatives, the boundaries of the LG, and the terms and conditions for elected members. |  |  |
| Government Relations | The function of managing the relationship between the Council and other governments, particularly on issues which are not related to normal Council business such as Land Use and Planning or Environment Management. |  |  |
| Grants & Subsidies | The function of managing financial payments to the LG from the State and Federal Governments and other agencies for specific purposes. |  |  |
| Information Management | The function of managing the LG’s information resources, including the storage, retrieval, archives, processing and communications of all information in any format. |  |  |
| Information Technology | The function of acquiring and managing communications and information technology and databases to support the business operations of the LG. |  |  |
| Land Use & Planning | The function of establishing a medium to long term policy framework for the management of the natural and built environments. |  |  |
| Laws & Enforcement | The function of regulating, notifying, prosecuting, and applying penalties in relation to the Council's regulatory role. |  |  |
| Legal Services | The function of providing legal services to the LG. |  |  |
| Parks & Reserves | The function of acquiring, managing, designing and constructing parks and reserves, either owned or controlled and managed by the LG. |  |  |
| Personnel | The function of managing the conditions of employment and administration of personnel at the LG, including consultants and volunteers. |  |  |
| Plant, Equipment & Stores | The function of managing the purchase, hire or leasing of all plant and vehicles, and other equipment. Includes the management of the LG’s stores. Does not include the acquisition of information technology and telecommunications. |  |  |
| Public Health | The function of managing, monitoring and regulating activities to protect and improve public health under the terms of the Public Health Act, health codes, standards and regulations. |  |  |
| Rates & Valuations | The function of managing, regulating, setting and collecting income through the valuation of rateable land and other charges. |  |  |
| Recreation & Cultural Services | The function of LG in arranging, promoting or encouraging programs and events in visual arts, craft, music, performing arts, sports and recreation, cultural activities and services. |  |  |
| Risk Management | The function of managing and reducing the risk of loss of LG properties and equipment and risks to personnel. |  |  |
| Roads | The provision of road construction and maintenance of rural roads and associated street services to property owners within the LG area. |  |  |
| Sewerage & Drainage | The function of designing and constructing, maintaining and managing the liquid waste system, including drainage, sewerage collection and treatment, stormwater and flood mitigation works. |  |  |
| Traffic & Transport | The function of planning for transport infrastructure and the efficient movement and parking of traffic. Encompasses all service/facilities above the road surface and includes all forms of public transport. |  |  |
| Waste Management | The function of providing services by the LG to ratepayers for the removal of solid waste, destruction and waste reduction. |  |  |
| 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** | |
| --- | --- |
| ***Legislation, Regulations and Local Laws*** | ***Tick if YES, the LG administers*** |
| Agriculture and Related Resources Protection Act 1976 |  |
| Animal Welfare Act 2002 |  |
| Biosecurity and Agricultural Management Act 2007 |  |
| Building Act 2011 |  |
| Building and Construction Industry Training Fund and Levy Collection Act 1990 |  |
| Bush Fires Act 1954 |  |
| Building Service (Complaint Resolution and Administration) Act 2011 |  |
| Caravan Parks and Camping Grounds Act 1995 |  |
| Cat Act 2011 |  |
| Cemeteries Act 1986 |  |
| Child Care Services Act 2007 |  |
| City of Perth Act 2016 |  |
| Commercial Tenancy (Retail Shops) Agreements Act 1985 |  |
| Control of Vehicles (Off-road Areas) Act 1978 |  |
| Disability Services Act 1993 |  |
| Dividing Fences Act 1961 |  |
| Dog Act 1976 |  |
| Dog Amendment (Stop Puppy Farming) Act 2021 |  |
| Electoral Act 1907 |  |
| Emergency Management Act 2005 |  |
| Environmental Protection Act 1986 |  |
| Fire and Emergency Services Act 1998 |  |
| Fire Brigades Act 1942 |  |
| Food Act 2008 |  |
| Health (Miscellaneous Provisions) Act 1911 |  |
| Heritage Act 2018 |  |
| Land Administration Act 1997 |  |
| Litter Act 1979 |  |
| Liquor Control Act 1988 |  |
| Local Government Act 1995 |  |
| Local Government Amendment Act 2023 |  |
| Local Government Regulations |  |
| Local Government (Miscellaneous Provisions) Act 1960 |  |
| Local Government Amendment (COVID-19 Response) Act 2020 (Amendment Act) |  |
| Local Government Grants Act 1978 |  |
| Local Government Regulations Amendment Regulations |  |
| Main Roads Act 1930 |  |
| Marine and Harbours Act 1981 |  |
| Metropolitan Redevelopment Authority Act 2011 |  |
| Mining Act 1978 |  |
| Parks and Reserves Act 1895 |  |
| Planning and Development Act 2005 |  |
| Public Health Act 2016 |  |
| Public Works Act 1902 |  |
| Radiation Safety Act 1975 |  |
| Rates and Charges (Rebates and Deferments) Act 1992 |  |
| Residential Parks (Long-stay Tenants) Act 2006 |  |
| Rights in Water and Irrigation Act 1914 |  |
| Road Traffic (Administration) Act 2008 |  |
| Road Traffic Act 1974 |  |
| Strata Titles Act 1985 |  |
| Telecommunications Act (Commonwealth) 1997 |  |
| Telecommunications (Low Impact Facilities) Determination 2018 (Commonwealth) |  |
| Transfer of Land Act 1893 |  |
| Valuation of Land Act 1978 |  |
| Waste Avoidance and Resource Recovery Act 2007 |  |
| Water Services Act 2012 |  |
| Waterways Conservation Act 1976 |  |
|  |  |
|  |  |
| **Local Laws of the <LG >** |  |
|  |  |
|  |  |
|  |  |

Note: This is not a complete list of legislation and regulations. Please add rows as required.

| **APPENDIX 3**  **Other Legislation and Regulations affecting the functions and operations of the**  **Local Government** | |
| --- | --- |
| ***Other Legislation and Regulations*** | ***Tick if YES*** |
| Aboriginal Heritage Act 1972 |  |
| Aquatic Resources Management Act 2016 |  |
| Auditor General Act 2006 |  |
| Biodiversity Conservation Act 2016 |  |
| Conservation and Land Management Act 1984 |  |
| Contaminated Sites Act 2003 |  |
| Corruption, Crime and Misconduct Act 2003 |  |
| Country Housing Act 1998 |  |
| Criminal Code Act Compilation Act 1913 |  |
| Defamation Act 2005 |  |
| Electronic Transactions Act 2011 |  |
| Education and Care Services National Law (WA) Act 2012 |  |
| Equal Opportunity Act 1984 |  |
| Evidence Act 1906 |  |
| Freedom of Information Act 1992 |  |
| 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 |  |
| Mental Health Act 2014 |  |
| Museum Act 1969 |  |
| National Redress Scheme for Institutional Child Sexual Abuse (Commonwealth Powers)  Act 2018 |  |
| Parliamentary Commissioner Act 1971 |  |
| Port Authorities Act 1999 |  |
| Plumbers Licensing and Plumbing Standards Regulations 2000 |  |
| Police Act 1982 |  |
| Public Interest Disclosure Act 2003 |  |
| Public Transport Authority Act 2003 |  |
| Regional Development Commissions Act 1993 |  |
| Residential Tenancies Act 1987 |  |
| Retail Trading Hours Act 1987 |  |
| Royalties for Regions Act 2009 |  |
| Salaries and Allowances Act 1975 |  |
| Soil and Land Conservation Act 1945 |  |
| State Administrative Tribunal Act 2004 |  |
| State Records Act 2000 |  |
| State Records (Consequential Provisions) Act 2000 |  |
| State Records Commission Principles & Standards |  |
| Statistics Act 1907 |  |
| Swan and Canning Rivers Management Act 2006 |  |
| Trustees Act 1962 |  |
| Work Health and Safety Act 2020 |  |
| Workers Compensation and Injury Management Act 1981 |  |
| Working with Children (Screening / Criminal Record Checking) Act 2004 |  |
|  |  |

Note: This is not a complete list of legislation and regulations. Please add rows as required.

| **APPENDIX 4**  **Government and Industry Standards and Codes of Practice that have been imposed upon or adopted by the Local Government** | |
| --- | --- |
| ***Other Legislation and Regulations*** | ***Tick if YES*** |
| Australian Accounting Standards |  |
| Australian Records Management Standard ISO/AS 15489 |  |
| General Retention and Disposal Authority for Local Government Information |  |
| National Competition Policy |  |
| Residential Design Codes of WA |  |
| Other  *[Please detail any additional items below]* |  |
|  |  |
|  |  |