

Shire of Dalwallinu

Recordkeeping Plan

February 2025



Adopted March 2025

DOCUMENT CONTROL			
Version	Approved by		Next Review Date
	Name	Title/Resolution	
1	Council	M9522 – New Plan – 2020 23 March 2020	March 2025
2	Council	M0000 – Annual Review 25 March 2025	March 2030
3	Council	M10373 – Annual Review March 2030	March 2035
4	Council	M00000 – Annual Review March 2035	March 2040



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Introduction

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

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

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

The objectives of the Shire of Dalwallinu's RKP are to ensure:

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

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

This Recordkeeping Plan applies to all of the Shire of Dalwallinu's:

- Employees;
- Contractors;
- Organisations performing outsourced services on behalf of the Shire of Dalwallinu; and
- Elected members.

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

"In relation to the recordkeeping requirements of Local Government elected members, records must be created and kept which properly and adequately record the performance of member functions arising from their participation in the decision-making processes of Council and Committees of Council. This requirement should be met through the creation and retention of records of meetings of Council and Committees of Council."



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 RKP 2007078 (reviewed in 2014) and applies to all records created or received by any of the above parties, regardless of:

1. Physical format;
2. Storage location; or
3. Date created.

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

- (a) anything on which there is writing or Braille;
- (b) a map, plan, diagram or graph;
- (c) a drawing, pictorial or graphic work, or photograph;
- (d) anything on which there are figures marks, perforations, or symbols, having meaning for persons qualified to interpret them;
- (e) anything from which images, sounds, or writings can be reproduced with or without the aid of anything else; and
- (f) anything on which information has been stored or recorded, either mechanically, magnetically, or electronically."
- (g) *(State Records Act, 2000 Part 1, s3)*



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.

1.1 Historical Background

The Shire of Dalwallinu was established in 1916 as the Dalwallinu Roads Board and becoming a Shire in 1960.

The town originated as a siding with the first settlers arriving in 1907 and first crops sown in 1910.

The economic activity of the Shire is dominated by agricultural pursuits including wheat, lupin, barley, peas, canola, sheep, pigs and cattle.

Local industries include gypsum mining, engineering, retailing and service of farm machinery.

1.2 Strategic Focus & Main Business Activity

The **Mission** for the Shire of Dalwallinu is:

To promote and enhance economic opportunities and lifestyle for the community.

The **Vision** is:

A Shire with social and economic stability and well-planned sustainable towns. A high standard of living, promotes business growth and nurturing agriculture in balance with the environment. A place of promoting opportunity, acceptance of all people, strong health/aged care, educational services and a community favourable to extended families.

The Shire of Dalwallinu's **Corporate Management Strategy** is:

- 1.1.1. To provide cost effective and efficient services to the community.
- 1.1.2. To develop and maintain a management structure, which is responsive to the needs of the organisation and its clients.
- 1.1.3. To create an environment where managers work within established parameters and have a high degree of autonomy, tied to accountability.
- 1.1.4. To ensure staff are well qualified, experienced and skilled.
- 1.1.5. To provide transparent, open and honest governance.

The main **Business Activities** for the Shire of Dalwallinu include:

Rates modelling, raising and issuing of rate notices and collection of rates. Issuing of Final Notices, Instalment Reminders and court action if required.



Motor Vehicle Licensing, Debtors, Creditors, Payroll, Receipting, and Library Services are also incorporated into the Shire's main business activities, along with control maintenance and management of the local road network

1.3 Functions, including those outsourced

Functions of the Shire of Dalwallinu include:

Community Relations, community services, corporate management, management and maintenance of Council properties, customer service, development and building applications, economic development, emergency services, environmental management, financial management, governance, government relations, grants and subsidies, information management, information technology, land use and planning, laws and enforcement, legal services, parks and reserves, personnel, plant, equipment and stores, public health, rates and valuations, recreation and cultural services, risk management, roads, sewerage and drainage, traffic and transport, waste management (outsourced), water supply and website maintenance.

See Attachment 1.

1.4 Major Stakeholders

The Shire of Dalwallinu's major stakeholders are employees, ratepayers, residents, customers, general public, elected members, State and Federal Government Departments, Community Groups and local clubs.

1.5 Enabling Legislation

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

1.6 Legislation and Regulations Administered by the Shire of Dalwallinu

See Attachment 2.

1.7 Other Legislation Affecting the Shire of Dalwallinu

See Attachment 3.

1.8 Major Government and/or Industry Standards

See Attachment 4.



2 Principle Two: Policies and Procedures

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

2.1 Records Management and Business Information Systems

2.1.1 Records Management System

The creation and management of hard copy records is carried out by the Shire of Dalwallinu's internal staff.

Table 2.1

Recordkeeping Activities for the management of hard copy records and covered in the Shire of Dalwallinu's Policies and Procedures	YES	NO
<p>Correspondence capture and control Correspondence produced within the organisation is given a coded index listing in the top right-hand corner i.e.</p> <p>CEO:CP/1:O-COR-1234 = CEO – the person writing the letters job title; CP/1 is the file reference, it relates to council properties – sales and acquisitions; The record number given by the electronic management software, SynergySoft.</p> <p>All correspondence is filed in a section of the compactus, Personnel Files, Property Files, Property Development Files and Engineering Files (in the Records Store – fireproof), utilising the File Index Listing. This Listing is alphabetical and numerical i.e.</p> <p>Axxx Property Files – Individual assessment numbers used CP/1 Council Properties, Acquisitions and Disposal, Land Development and Sales, and continues through to WS/9 Water Supply, Monitoring, Recycling, Recycled Water Scheme. This system allows easy control and maintenance of the hard copy of records.</p> <p>The records officer files all correspondence.</p>	✓	
<p>Mail distribution Incoming mail is collected from the Post Office daily (approximately 9am), opened by the records officer, date stamped, and sorted into 'Important Mail' - Important Mail is entered into our electronic records system and given an incoming record number ie. I-COR-1234, it is then scanned into PDF format and attached to the record cover sheet in SynergySoft. The original document is kept in a subject file in the compactus. Invoices, Statements and Other, are then passed on to the Chief Executive Officer or other Officers in charge.</p> <p>Outgoing mail is taken to the Post Office, along with the lodgement statement book, daily at approximately 4pm. The lodgement statement customer detail section and declaration is prepared by staff and checked by an Australia Post officer.</p>	✓	



<p>Any correspondence addressed to Elected Members is opened with a copy being processed through the records system and a copy put into the elected members pigeonhole, or sent to the member.</p>		
<p>File creation and closure</p> <p>In the instance that new General Files are created, these are formatted alphabetically and numerically to coordinate with the already existing File Index. These files will be created by the Records Officer or other relevant Officers. In the instance that new Property Files are created, these are coded as per the Assessment Number created in the Mapping Section of SynergySoft.</p> <p style="text-align: center;">A 9 0 0</p> <p style="text-align: center;">V 0 1</p> <p>The above tag represents Property File and volume number and stored in numerical order in compactus.</p> <p>Development Files are created as above with the addition of the letter D next to the volume.</p> <p style="text-align: center;">A 9 0 0</p> <p style="text-align: center;">D V 0 1</p> <p>Personnel Files are created by the Payroll Officer only and kept in a separate locked filing cabinet within the Strong Room Personal file documents are added to records as internal document e.g. N-HR-0000 under employee's electronic personal file.</p> <p>If any files are closed, they are placed in Archive Boxes, labelled clearly and placed into the relevant area, bay and shelf within the Archives system (i.e. Property, Development, Personnel or General) with the Archive Register being amended to reflect this action and the file's location and disposal details. There are 224 bays specifically designated for Archives.</p>	✓	
<p>Access to corporate records</p> <p>Personnel working within the organisations internal network (i.e. inside staff) have access to all records during office hours. This includes: Chief Executive Officer, Manager Corporate Services, Finance Officer, Executive Services</p>	✓	



Officer, DDC/Community Support Officer, Technical Support Officer, Payroll Officer, Records Officer, Customer Services Officer, Manager Planning & Development Services and Manager of Works and Services. The Personnel records are only accessed by the Chief Executive Officer, Manager Corporate Services, Finance Officer and Payroll Officer and are kept confidential and secure at all times.		
<p>Authorised disposal of temporary records and transfer of State archives to the State Records Office</p> <p>At present, no records are transferred to the State Records Office, although Council has undertaken to forward any rate books to the SRO when it is able (space permitting at the SRO) for microfilming.</p> <p>The Shire of Dalwallinu uses the General Disposal Authority for Local Government Records, produced by the SRO for the retention and disposal of its records. This occurs annually.</p>	✓	

2.1.2 Business Information Systems

The Shire of Dalwallinu runs the SynergySoft Financial Management System using the following modules:

- Assets
- Bank reconciliation
- Creditors
- Debtors
- General Ledger
- Loans
- ~~Payroll~~
- Plant
- Purchase Orders
- Receipting
- Works Costing

In addition, Rates and Mapping Systems are also within the SynergySoft program.

The Shire payroll is managed by Definativ Software which replaced SynergySoft Payroll in 2023.

The Shire Library uses the LMSi Library Management online System to manage and organise the books and other lending items.

2.2 Records Management Policy and Procedures

The creation and management of electronic records, are carried out by the records officer using the records program SynergySoft by ReadyTech. All letters and other documents are accessed on the Fileserver "T-Drive" by all staff members.



Table 2.2

Recordkeeping Activities for the management of electronic records and covered in the Shire of Dalwallinu's Policies and Procedures	YES	NO
<p>Electronic records management</p> <p>The Shire of Dalwallinu's current method of Electronic Records Management is the records program in SynergySoft. At present all records (incoming and outgoing) are entered into the program and given a record number ie. O-COR-123, for outgoing records and I-COR- 1234 for all incoming records. The record is then scanned as a PDF and attached to the cover sheet created in SynergySoft. Each record is then copied to the relevant member of staff to be dealt with. The hard copy of the record is then filed in the corresponding subject file in the compactus. All staff members are able to access records on the SynergySoft system. This procedure began in September 2005.</p>	✓	
<p>Email management</p> <p>With SynergySoft there is an option to enter emails straight into the Records program and staff have been trained to enter their important emails that would generally go through records, into the SynergySoft system.</p> <p>All internal personnel sign an Agreement on commencement regarding the 'Acceptable Use of Computing and Communications Facilities' document, which ensures that Council's computing and communication resources are managed and controlled effectively.</p>	✓	
<p>Website management</p> <p>Shire of Dalwallinu's website is managed internally. Information is uploaded by a member of staff when needed. Content of the website is supervised by a senior staff member. An outside consultancy firm is engaged to provide support for any operational errors in the software.</p>	✓	
<p>Metadata management</p> <p>Including requirements for capture of metadata in information systems, whether automatic or manual. Records are captured into SynergySoft in accordance with consistent metadata fields. (see SynergySoft entry screen in Attachment 6)</p>	✓	
<p>System/s management</p> <p>The Manager Corporate Services (in consultation with the IT support contractor) currently maintains Council's Computer and Communications systems including Financial Management systems, HR information management systems, email, virus protection products, rates and Synergy updates. Updates and backups are carried out regularly. Documented processes and procedures were introduced as of September 2005 with the SynergySoft system.</p>	✓	



<p>Migration strategy</p> <p>Strategies are planned or in place for migrating electronic records for long-term retention and access. An external consultancy firm is engaged to provide cloud based backups and this process has been tested in real time. <i>See SRC Standard 8: Managing Digital Information.</i></p>	✓	
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Adequate and appropriate procedures have been established for effective records management for the Shire of Dalwallinu.

Staff have been advised and the control initiated by the Manager Corporate Services ensures the procedures are maintained.

This is achieved by a spreadsheet of file numbers created specifically for the Shire of Dalwallinu.

2.3 Certification of Policies and Procedures

Evidence of formal authorisation is provided by the copy of the certification document in the Policy Manual signed by the by the Chief Executive Officer.

2.4 Evaluation of Policies and Procedures

The present method of recording and control of records and documentation ensures safe maintenance of all Shire records; the easy location of same, due to registers and indexes detailing the numbered location of the items, ensures minimum time is involved in locating items and similarly destruction of obsolete items is simple with destruction dates recorded against each item

Policy Statements

Creation of Records

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

Capture & Control of Records

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

Security & Protection of Records

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

Access to Records

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

Appraisal, Retention & Disposal of Records

All records kept by the Shire of Dalwallinu 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

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

3.1 Keywords AAA Thesaurus Implemented

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

3.2 Thesaurus (Other than Keyword AAA) Implemented

The *thesaurus* operates well within the Shire of Dalwallinu. It covers both administrative and functional activities of the Shire of Dalwallinu, is available for use by all staff and information can be filed and found without difficulty. This tool will be adjusted to reflect changes to the functions and activities of the Shire of Dalwallinu as may occur from time to time.

3.3 List of Subject Headings

The Shire of Dalwallinu has developed a List of Subject headings to control the titling of records. This tool 'Archive Titles' covers both administrative and functional records.

3.4 Identified Areas for Improvements

The current records management system works efficiently and effectively for the Shire of Dalwallinu and any improvements are addressed as required.



4 Principle Four: Preservation

Government organisations ensure that records are protected and preserved.

4.1 Assessment of the Risks

4.1.1 Onsite Storage

The Shire of Dalwallinu has its current, active, inactive and archival records located onsite at the Shire Administration Centre in Johnston Street, Dalwallinu in the Records Strong room.

The Records Strong room adequately accommodates the Shire records and provides for an additional ten years of records before a need to dispose of records for space. The area was specifically designed as an archival storage area with fireproof door and fire alarm connected to a smoke alarm system provides protection.

The shelving, steps and cabinets are steel, intended to minimise the spread of fire in the case of risk.

All current General Files, Development Files and Property Files are kept in the compactus system with coded bays. Archives are all located upstairs of the Records Strong room in clearly labelled archive boxes on numbered bays and shelves.

4.1.2 Offsite Storage

Not applicable

4.1.3 Data Centre and Cloud Storage

Electronic backups of the Shire of Dalwallinu's computer records are done daily and are backed up via the 'cloud' each evening.

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
All financial and correspondence records	ThinkOn	Data centre Perth	Data centre Perth	Y



4.1.4 Storage of Archives

Records that are archived and relate to State Archives are labelled accordingly and either housed in the stored in a locked / secure Records room or electronically backed up to the 'cloud'. Relative to the Shire of Dalwallinu the following areas have been identified as State Archive records.

Cemetery; Joint Venture; Agendas/Minutes; Elections; Insurance Compensation; Council Committees; Sewerage; Shire corporate style; Significant Construction (i.e Hanwa); Diaries & Appointment books; Freedom of Information; Property information; Gifts; Industrial Relations; Personnel Records; Occ. Health & Safety; Media Liaison; Memorials; Records Management; Risk Assessment.

4.1.5 Storage of Backups

Electronic backups of the Shire of Dalwallinu's electronic information are held offsite at the Data centre Sydney and are transferred there on a daily basis.

4.1.6 Quantity of Records

The Shire of Dalwallinu holds:

- 1.5 TB volume of digital information.
- 150 m of temporary records stored onsite, 224 bays (14 shelves x 16 bays)

The following security measures are in place at the Shire of Dalwallinu to ensure the security of its records, both hard copy and electronic, and authorised access to them:

- Hard copy records are stored in a locked / secure Records Store, accessible only to administrative staff.
- Electronic records have varying degrees of access depending on delegations assigned to staff within the organisation.
- Electronic records are backed up on a regular basis as described previously.

4.1.7 Security and Access

The risk of an unwanted party accessing the records storage area and server room of the Shire of Dalwallinu has been assessed overall as being low.

4.2 Assessment of the Impacts of Disasters

The risk of a disaster occurring to the records of the Shire of Dalwallinu has been assessed overall as being low.

The impact of a disaster on the organization's records has therefore been assessed as low.



4.3 Strategies in Place for Prevention and Response

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

- Emergency Management Plan adopted;
- Internal fire hoses connected and functional;
- Hand held fire extinguishers regularly tested.

4.3.1 Vital Records Program

Vital records in hard copy are stored in a locked, fire resistant Records Store and are not to be left out under any circumstance, accessible only to Administration Staff. These records have been copied and the copies are placed on the relevant files and are used for all normal business activities these records do not leave the Shire building.

Vital Records include rates books, vesting/management orders, personnel files, minutes/agendas and property registers.

4.3.2 Backup Procedures for Electronic Records

Electronic records for the Shire of Dalwallinu are backed up daily. The back-ups are stored offsite via the 'cloud'.

4.3.3 Storage Reviews

The storage facilities utilised by the Shire of Dalwallinu are reviewed annually to ensure that conditions are appropriate for the organisation's records.

4.3.4 Recovery of Lost Information

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

The strategies include:

- Recovery of backed up information process: Managed IT is advised of the information which requires recovering, including the date and time. The tape containing this particular information is located, either from onsite or offsite repository. A restore of the information is performed to the location of choice. In the event of a full system failure the system will be recovered from a system image, which is taken daily and located both on and offsite.
- Vital Records are scanned and stored in SynergySoft electronically. The original physical item is kept at the Shire of Dalwallinu in a fire retardant safe.
- All records are stored electronically where possible and can be re-created as required.



4.4 Identified Areas for Improvement

The current records management system works efficiently and effectively for the Shire of Dalwallinu and any improvements are addressed annually.



5 Principle Five: Retention and Disposal

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 Dalwallinu uses the General Disposal Authority for Local Government Records DA 2023-005, produced by the State Records Office, for the retention and disposal of its records.

5.2 Existing Ad Hoc Disposal Authorities

The Shire of Dalwallinu does not have any Ad Hoc Disposal Authorities approved by the State Records Commission.

5.3 Existing Disposal Lists

The Shire of Dalwallinu does not have any Disposal Lists approved by the State Records Commission.

5.4 Other Disposal Authorities

Not utilised by the Shire of Dalwallinu.

5.5 Restricted Access Archives

The Shire of Dalwallinu does not currently have any restricted archives.

5.6 Archives not transferred to the SRO

The Shire of Dalwallinu intends to have any rates books moved to the State Records Office when room in the Dalwallinu records storage is minimal.

5.7 Disposal Program Implemented

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

5.8 Authorisation for Disposal of Records

Before any temporary records are destroyed or State archives are transferred to the State Records Office, a list of those records due for destruction or transfer will be reviewed by the Chief Executive Officer for the Shire of Dalwallinu and authorised for destruction or transfer.

5.9 Identified Areas for Improvement

The current records management system works efficiently and effectively for the Shire of Dalwallinu and any improvements are addressed annually.



6 Principle Six: Compliance

Government organisations ensure their employees comply with the Recordkeeping Plan.

6.1 Staff Training, Information Sessions, Publications

Staff training is carried out for all employees and Elected Members of the Shire of Dalwallinu by way of orientation of the Administration Centre, Records Store and Archives (upstairs), plus offsite training for industry specific courses i.e. SynergySoft and Rates courses are generally held in Perth. All personnel are also advised of their responsibilities in relation to recordkeeping and supplied with a current copy of the Policy and Procedure Manual.

The Shire of Dalwallinu 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

Activities to ensure staff awareness and compliance	YES	NO
Presentations on various aspects of the Local Government'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 members 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 Local Government provides brochures or newsletters to publish recordkeeping information, highlight issues, or bring particular recordkeeping matters to staff attention.		✓
The Local Government's internal communication methods are used to publish recordkeeping information, highlight issues, or bring particular recordkeeping matters to staff attention.	✓	
The Local Government's Induction Program for new employees includes an introduction to the Local Government's recordkeeping system and program, and information on their recordkeeping responsibilities.	✓	
Staff information sessions are conducted on a regular basis for staff as required.	✓	

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

Two simple Performance Indicators currently utilised by the Shire of Dalwallinu include:

- An annual test to retrieve documentation with a random choice;
- Monthly selection of twenty items with an error rate less than 10% being acceptable.

6.3 Agency's Evaluation

On the basis of retrieval time the recordkeeping systems are assessed as being efficient and effective within the organisation.

6.4 Annual Report

An excerpt from the Shire of Dalwallinu's latest Annual Report is attached, please refer to Attachment 5, demonstrating the organization's compliance with the *State Records Act 2000*, its Recordkeeping Plan and the training provided for staff.

6.5 Identified Areas for Improvement

The current records management system works efficiently and effectively for the Shire of Dalwallinu and any improvements are addressed annually.



7 SRC Standards 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.

7.1 Outsourced Functions Identified

Currently the Shire of Dalwallinu outsource the following functions:

- 7.1.1 Waste management**
- 7.1.2 Auditing services**
- 7.1.3 Grading services**
- 7.1.4 Fire system management**
- 7.1.5 IT support and management**
- 7.1.6 Gravel carting**
- 7.1.7 Medical Centre**
- 7.1.8 Caravan Parks**
- 7.1.9 Ranger Services**

7.2 Recordkeeping Issues included in Contracts

The Shire of Dalwallinu will ensure that all new and renewed contracts are Standard 6 compliant.

7.2.1 Planning

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



7.2.2 Ownership

The Shire of Dalwallinu will ensure that the ownership of Local Government records is addressed and resolved during outsourcing exercises. Where possible this will be included in the signed contract(s)/agreement(s).

7.2.3 Control

The Shire of Dalwallinu will ensure that the contractor(s)/agent(s) creates and controls records in electronic or hard copy format, in accordance with Recordkeeping standards, policies, procedures and guidelines stipulated by the Shire of Dalwallinu.

7.2.4 Disposal

The disposal of all Local Government records which are the product of or are involved in any contract(s)/agreement(s) with the Shire of Dalwallinu and contractor(s)/agent(s) 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 Local Government records produced in the course of the contract(s)/agreement(s) will be agreed between the Shire of Dalwallinu and the contractor(s)/agent(s).

7.2.6 Custody

Custody arrangements between the Shire of Dalwallinu and the contractor(s)/agent(s) for Local Government records stored on and off site by the contractor(s)/agent(s) will be specified in the contract(s)/agreement(s) as follows:

The Shire of Dalwallinu's authorised personnel will have unrestricted access to Shire records held off- site Monday to Friday 8am to 5pm.

7.2.7 Contract Completion

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

7.3 Identified Areas for Improvement

The current records management system works efficiently and effectively for the Shire of Dalwallinu and any improvements are addressed annually.



Attachment 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.	N/A	
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.	✓	

Attachment 1 - Functions of the Local Government			
Function	Brief Description of LG Function	<i>Performed by the LG Tick If Yes</i>	<i>Performed by an External Agency Tick If Yes</i>
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.	✓	

Attachment 1 - Functions of the Local Government			
Function	Brief Description of LG Function	<i>Performed by the LG Tick If Yes</i>	<i>Performed by an External Agency Tick If Yes</i>
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.		✓

Attachment 2 – Legislation & Regulations Affecting the Operations of the Shire	
<i>Legislation and Regulations that may be wholly or partly administered by Local Government, And Local Laws of the Local Government</i>	
<i>Legislation, Regulations and Local Laws – Subject to but not limited to</i>	<i>Tick if YES the LG Administers</i>
Agriculture and Related Resources Protection Act 1976	✓
Animal Welfare Act 2002	✓
Building Act 2011	✓
Building Regulations 2012	✓
Bush Fires Act 1954 An Act to make better provision for diminishing the danger resulting from bush fires, for the prevention, control and extinguishment of bush fires, for the repeal of the <i>Bush Fires Act 1937-1950</i> and for other purposes.	✓
Bush Fire Regulations 1954	✓
Caravan Parks and Camping Grounds Act 1995	✓
Caravan Parks and Camping Grounds Regulations 1997	✓
Cat Act 2011 An Act to provide for the control and management of cats and promote and encourage the responsible ownership of cats, and for related matters.	✓
Cemeteries Act 1986	✓
Dangerous Goods Safety Act 2004	✓
Disability Services Act 1993	✓
Dog Act 1976 An Act to amend and consolidate the law relating to the control and registration of dogs, the ownership and keeping of dogs and the obligations and rights of persons in relation thereto, and for incidental and other purposes.	✓
Dog Regulations 2013	✓
Emergency Management Act 2005	✓
Environmental Protection Act 1986 An Act to provide an Environmental Protection Authority, for prevention, control and abatement of environmental pollution, for the conservation, preservation, protection enhancement and management of the environment and for matters incidental to, or connected with, the foregoing.	✓
Environmental Protection (Noise) Regulations 1997	✓
Fire and Emergency Services Act 1998	✓
Food Act 2008	✓
Food Regulations 2009	✓
Freedom of Information Act 1992 An Act to provide for public access to documents, and to enable the public to ensure that personal information in documents is accurate, complete, up to date and not misleading, and for related purposes.	✓
Freedom of Information Regulations 1993	✓
Health Act 1911	✓



Attachment 2 – Legislation & Regulations Affecting the Operations of the Shire	
<i>Legislation and Regulations that may be wholly or partly administered by Local Government, And Local Laws of the Local Government</i>	
<i>Legislation, Regulations and Local Laws – Subject to but not limited to</i>	<i>Tick if YES the LG Administers</i>
Health Regulations (various)	✓
Heritage Act 2018	✓
Land Administration Act 1997	✓
Litter Act 1979 An act to make provision for the abatement of litter, to establish, incorporate and confer powers upon the Keep Australia Beautiful Council (WA), and for incidental and other purposes.	✓
Liquor Licensing Act 1988 An Act to regulate the sale, supply and consumption of liquor, the use of premises on which liquor is sold, and the services and facilities provided in conjunction with or ancillary to the sale of liquor, to repeal the Liquor Act 1970, and for related matters.	✓
Local Government Act 1995 An Act to provide for a system of local government in Western Australia.	✓
Local Government Grants Act 1978	✓
Local Government (Miscellaneous Provisions) Act 1960	✓
Local Government Regulations (various)	✓
Main Roads Act 1930 An Act to consolidate and amend the law relating to and making provision for the construction, maintenance and supervision of highways, main and secondary roads, and other roads, the control of access to roads and for other relative purposes.	✓
Parks and Reserves Act 1895	✓
Planning and Development Act 2005	✓
Planning and Development Regulations 2009	✓
Planning and Development (Local Planning Schemes) Regulations 2015	✓
Public Health Act 2015	✓
Radiation Safety Act 1975	
Radiation Safety Regulations (various)	
Rates and Charges (Rebates and Deferments) Act 1992	✓
Rights in Water and Irrigation Act 1914	
Residential Design Codes of WA	✓
Road Traffic Act 1974 An Act to consolidate and amend the law relating to road traffic, to repeal the Traffic Act 1919-1974 and for incidental purposes.	
Strata Titles Act 1985 An Act to facilitate the subdivision of land into cubic spaces and the disposition of titles thereto, to provide for incidental and connected purposes and to repeal the <i>Strata Titles Act 1966</i> .	
Transfer of Land Act 1893 An Act to amend the <i>Transfer of Land Act 1893</i> and to amend various other Acts for related purposes.	✓



Attachment 2 – Legislation & Regulations Affecting the Operations of the Shire	
<i>Legislation and Regulations that may be wholly or partly administered by Local Government, And Local Laws of the Local Government</i>	
<i>Legislation, Regulations and Local Laws – Subject to but not limited to</i>	<i>Tick if YES the LG Administers</i>
Road Traffic Act 1974 An Act to consolidate and amend the law relating to road traffic, to repeal the Traffic Act 1919-1974 and for incidental purposes.	✓
Valuation of Land Act 1978	✓
Waterways Conservation Act 1976	
Disability Services Act 1993	✓
Local Laws of the Shire of Dalwallinu	
Fencing Local Laws	✓
Local Government Property	✓
Local Government (Council Meetings) Local Law 2014	✓
Parking & Parking Facilities	✓
Dog Local Laws	✓
Cemetery Local Laws	✓
Activities on Thoroughfares & Trading in Thoroughfares and Public Places	✓
Health By-Laws	✓
Bushfire Brigades Local Law (under development)	✓



Attachment 3 - Other Legislation and Regulations affecting the functions and operations of the Local Government	
<i>Other Legislation and Regulations – Subject to but not limited to</i>	<i>Tick If Yes</i>
Building Services (Registration) Act 2011	✓
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 An Act to amend and consolidate the law relating to the construction, application, interpretation, and operation of written law; to provide for the exercise of statutory powers and duties; and to provide for connected or incidental purposes.	
Library Board of Western Australia Act 1951	✓
Limitation Act 1935, 2005	
Work Health and Safety Act 2020	✓
Work Health and Safety (General) Regulations 2022	✓
Parliamentary Commissioner Act 1971 An Act to provide the appointment of a Parliamentary Commissioner for Administrative Investigations for the investigation of administrative action taken by or on behalf of certain government departments and other authorities and for incidental purposes.	
Soil and Land Conservation Act 1945	✓
State Records Act 2000 An Act to provide for the keeping of State records and for related purposes.	✓
State Records (Consequential Provisions) Act 2000;	✓
State Records Commission Principles & Standards 2002	✓
Swan and Canning Rivers Management Act 2006	
Workers Compensation and Injury Management Act 2023 An act to amend and consolidate the law relating to compensation for, and the rehabilitation of workers suffering disability by accident or disease in the course of their employment. Regulations, By-laws and local laws made under the foregoing.	✓
Working with Children (Screening) Act 2004	✓



Attachment 4 – Major Government & Industry Standards	
Government & Industry Standards and Codes of Practice that have been imposed upon or adopted by the Local Government	
<i>Government & Industry Standards and Codes of Practice</i>	<i>Tick If Yes</i>
Australian Accounting Standards	✓
Australian Records Management Standard ISO/AS 15489-2002 Parts 1 & 2	✓
General Disposal Authority for Local Government Records DA 2023-005	✓
National Competition Policy	✓
Other	
Please detail any additional items below	



Attachment 5 – Excerpt from Annual Report Year Ended 30 June 2024

RECORD KEEPING PLAN REPORT 2023-2024

Consistent with the provisions of the *State Records Act 2000*, the Shire of Dalwallinu on 24 March 2020 adopted an approved 'Recordkeeping Plan' and satisfied the compliance requirements of the Act, and has provided sufficient and appropriate training for the staff in this responsibility having had the Chief Executive Officer approve the Operational Procedures Manual for this training.

Purposes

The purpose of this Recordkeeping Plan (RKP) is to set out the minimum requirements as to which records are to be created by the Shire of Dalwallinu and how it is to keep its records. Recordkeeping Plans are to provide an accurate reflection of the recordkeeping program within the organisation, including information regarding the organisation's recordkeeping system(s), policies, disposal arrangements, practices and processes. The RKP is the primary means of providing evidence of compliance with the Act.

Objectives

The objectives of the Shire of Dalwallinu Recordkeeping Plan are to ensure:

- Compliance with Section 19 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
- Protection and preservation of the Local Government's records.

Performance Indicators

Under Section 6.2 of the Shire of Dalwallinu's Recordkeeping Plan, Performance Indicators, as listed below, were tested successfully with less than 10% error rate being recorded:

An annual test to retrieve documentation with a random choice;

- Selection of twenty items with an error rate less than 10% being acceptable.
- State records commission standard 2: Principal 6

Record Keeping Training Program

This Shire employs one full time Customer Service Officer, who has been trained to be proficient in all aspects of Records Keeping in relation to the software Council has in place with Synergy Soft. The Records Officer also provide training to other staff in relation to the requirements of the Records Keeping Plan.

Review of the efficiency and effectiveness of the record keeping training program.

A briefing session for all staff on the requirements of the RKP and their responsibilities is conducted regularly. The Shire of Dalwallinu's induction program addresses employees' roles and responsibilities in regard to their compliance with the Record Keeping Plan (RKP).

Each new employee is presented with a comprehensive Induction Manual which includes the requirements of the RKP. The Records Officer also provides – brief overview of the practical application of the plan.



Attachment 6 – Entry Screen for records in SynergySoft

Records Registration - I-COR-28217 COR X									
Search	PickList	Cover Sheet	Corresp	Attachments	Actions	Other	Rel Apps		
Record Number	I-COR-28217	Routing	Incoming	Record Type	Correspondence				
1 Cross Ref Doc	O-COR-19318	Shire of Dalwallinu - Budget Review 2024/25							
1 File	FM/19	Volume	1	FINANCIAL MANAGEMENT BUDGETING					
1 Corresp	14587	DEPARTMENT OF LOCAL GOVERNMENT, SPORT AND CULTURAL INDUSTRIES						Corr. Addr	
		LEVEL 2 RECEPTION, 140 WILLIAM ST, PERTH WA 6849							
Contact							Clients Ref		
Properties									
Short Title / Contents	Submission confirmation - Shire of Dalwallinu - Budget Review 2024/25								
Int. Corr.	Manager Corporate Services Hanna Jolly						Other Int Corresps		Save+Email
				Record Status & Date Last Changed					
				Draft		27/02/2025			
Dates	Registration	Sent/Rec'd	Created	Acknowledge	Respond By	Action Status	Action Date		
Dates	27/02/2025	27/02/2025	27/02/2025		04/03/2025	Responded to	27/02/2025		
Times	16:41	16:38	16:38						
View Attach (1)		Audit History	On Loan	Cust Serv	Vital Rec	Box	Security Level	1	Rel Ind: Public Record