



Record Keeping Plan

March 2019

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APPENDICES AND ATTACHMENTS

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Appendix 3 Government & Industry Standards

Appendix 4 Index - Records Procedure Manual

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Attachment 1 Records Disaster Management Policy

Attachment 2 Records Services Induction Manual

INTRODUCTION

The *State Records Act 2000* (the Act) is an Act to provide for the keeping of State records and for related purposes.

This document is presented to the State Records Commission in accordance with Section 19 of the Act, which requires each government organisation to have a Recordkeeping Plan approved by the State Records Commission.

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. SRC Standard 6 – *Outsourcing* comprises seven principles each of which contains minimum compliance requirements.

PURPOSE

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 Broome 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 systems, disposal arrangements, policies, practices and processes. The RKP is the primary means of providing evidence of compliance with the Act.

OBJECTIVES

The Shire of Broome RKP aims to ensure:

- Compliance with Section 19 of the State Records Act 2000
- Recordkeeping within the Shire of Broome 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
- The protection and preservation of the Shire of Broome's records.

SCOPE

In accordance with Section 17 of the Act, the Shire of Broome and all its employees are required to comply with the contents of this Plan. This RKP applies to all of the Shire of Broome's employees, contractors, organisations performing outsourced services on behalf of the Shire of Broome, and Elected Members.

This Recordkeeping plan (RKP) supersedes the Shire of Broome's Recordkeeping plan 2013 and applies to all records created or received by any of the above parties, regardless of physical or electronic 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:

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

Elected members of Council

The elected members of Council are included in scope as they are, according to SRC Policy, required to create, collect, and retain records relating to their roles as a Councillor for the Shire of Broome in a manner commensurate with legislation and the Shires' policies and procedures for recordkeeping.

PRINCIPLE ONE: PROPER AND ADEQUATE RECORDS

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

1. Historical Background

- Broome Roads Board District – 15 November 1901 to 24 July 1908
- Broome Municipal District – 30 September to 31 December 1918
- Broome Road District – 1 January to 30 June 1961
- Shire of Broome – from 1 July 1961

2. Vision and Mission Statements

Mission

To deliver affordable and quality Local Government services

Core Values

Communication: Actively consult, engage and communicate with, and on behalf of the community.

Respect: Recognise and respect the individual and unique requirements of all people, cultures and groups.

Integrity: **Be honest, equitable and ethical in all our dealings.**

Innovation: **Drive change through leadership and energy.**

Transparency: **Be open and accountable in all our activities.**

Courtesy: **Provide courteous service and helpful solutions.**

Vision

A thriving and friendly community that recognises our history and embraces cultural diversity and economic opportunity, whilst nurturing our unique natural and built environment.

3. Strategic Plans

3.1 Strategic Community Plan

In December 2018 The Shire of Broome Council adopted a minor review of Strategic Community Plan 2019 to 2029 which outlines how the Shire will, over the long term, work towards a brighter future for the Shire of Broome community as it seeks to achieve its vision inspired by the community's aspirations for the future.

Looking to the future, the Strategic Community Plan will influence how the Shire uses its resources to deliver services to the community, by guiding Council priority setting and decision making, being a mechanism for the ongoing integration of local planning initiatives, demonstrating how specific projects align with the aspiration of our community and engage local businesses community groups and residents in various ways to contribute to the Shire's future.

A major strategic review is proposed to commence in 2020/21 at which time we will re-engage and consult with the community on the vision and priorities for 2021 – 2031.

3.2 Corporate Business Plan

Achieving the community's vision and Shire's strategic objectives requires development of actions to address each strategy contained within the Strategic Community Plan. Careful operational planning and prioritisation is required due to limited resources. This planning process is formalised in this

Corporate Business Plan. The Corporate Business Plan puts the Strategic Community Plan into action via the Annual Budget.

The Corporate Business Plan 2019-2023 is reviewed annually to assess the progress of projects and realign actions and priorities with current information and available funding.

Actions requiring funding will only be undertaken once approved within the statutory budget and subject to funding availability. Along with achieving the community aspirations and objectives the Corporate Business Plan draws upon information from the following strategic documents.

4. Business activity / Functions

Appendix 1 of this Record Keeping Plan contains a comprehensive list of the Shire of Broome functions, including those outsourced by the Shire.

5. Major Stakeholders

- Residents and Ratepayers
- Employees
- Customers
- General Public
- Local Businesses
- Community Organisations
- State and Federal Government Departments
- Local, State and Federal Politicians
- Other Local Government Authorities

6. Enabling Legislation

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

7. Other legislation and Standards

Appendix 2 contains a comprehensive list of legislation and regulations that are wholly or partly administered by the Shire of Broome, or that affect the Shire's functions and operations. Also included in *Appendix 2* is a list of the Shire's Local Laws.

Appendix 3 contains a list of government and industry standards and codes of practice that may be imposed on or adopted by the Shire of Broome.

PRINCIPLE TWO: POLICIES AND PROCEDURES

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

1. Hard Copy records

The creation and management of hard copy and electronic records is carried out by the Shire of Broome's Records Services, within the Information Services Department. As of April 2013, all Shire staff are responsible for managing corporate records pertaining to the business activities they perform for the organisation.

The Shire of Broome has developed a set of records management procedures to be utilised by all staff (Refer Appendix 5).

The Shire adopted Records Management Policy 2.3.1 at its Ordinary Meeting of Council on 14 December 2017. The Policy is reviewed as a rule, biennially. It is included in the Shire of Broome Policy Manual. The policy relates to all Employees, Contractors and Elected Members, and their obligations under the State Records Act. It is also available to outsource agencies upon request.

Table 1

Recordkeeping Activities for the management of hard copy records and covered in the The Shire of Broome's Policies and Procedures	YES
Correspondence capture and control – including incoming and outgoing mail registration; responsibilities assigned for classifying, indexing and registration; file titling and file numbering conventions. Records induction and training processes in place for all staff. The Records Coordinator issues weekly electronic overdue records reports to all Managers, Directors & the CEO to monitor compliance.	✓
Mail distribution – including frequency, tracking mechanisms and security measures.	✓
File creation and closure – including assigning responsibility, tracking in and out and file audits.	✓
Access to corporate records – procedures for access to and security of corporate records. Security rights to records and files are assigned in accord with individual staff responsibilities and duties.	✓
Authorized disposal of temporary records and transfer of State archives to the State Records Office – responsibilities assigned, and a regular disposal program is in place.	✓

2. Electronic Records

As of April 2013, all Shire staff are responsible for managing corporate records pertaining to the business activities they perform for the organisation. This process is overseen by Records Services within the Information Services Department.

The Shire of Broome Records Procedure Manual and the Shire of Broome Records Management Policy cover the following record keeping activities:

Table 2

Recordkeeping Activities for the management of electronic records and covered in the The Shire of Broome's Policies and Procedures	YES	NO
Electronic records management – including the organisation's approach and methodology for the capture and management of its electronic records (for example, whether records are created and kept electronically or are printed off and kept in hard copy format).	✓	
Email management – including the capture, retention and authorised disposal of email messages to ensure accountability (i.e. retained electronically).	✓	
Website management – i) If web information also exists in hard copy, guidelines are in place to determine which is the complete and accurate record, particularly in regard to the purpose of the site (e.g. whether informational/transactional). ii) Responsibility for the website and strategies implemented for the management of the website over time.		✓ ✓
Metadata management – including authority for the capture and control of metadata.	✓	
System/s management – including any delegations of authority for the control and security of systems utilised by the organisation.		✓
Migration strategy – strategies planned or in place for migrating electronic records for long-term retention and access.		NA

Note: 1. Website Management: detailed process of whose responsible for what in this field is due to be developed by June 2020

Note: 2. Although the process for digitising incoming records is already included in the Local Process 'Scanning and Attaching hardcopy documents' a Digitisation implementation program is currently being developed with a view to being ready by June 2020.

3. Certification of Policies and Procedures

The Shire of Broome reviews the functionality of its Policy Manual and Business Procedures (BOPS) biennially. In accordance with *Business Operating Procedure BOP 2.2.4*, Policies may only be amended by a resolution of Council; while a BOP may be amended with endorsement by the Executive Management Group.

All Policies and BOPs are accessible to the public on the Shire's Website via this link

<http://www.broome.wa.gov.au/Regulations-Laws-Forms/Council-Policy>

and are available electronically for all staff on our shared G Drive. Hardcopies are provided on request, to authorised persons. The Manager of Governance coordinates the updating and distribution of Policies and BOPs.

Evidence of formal authorisation that the policies and procedures are in place and circulated throughout the Shire of Broome is provided by the copy of the Shire of Broome's Policy Manual Index (Updated 16 January 2016) and saved into Shires Recordkeeping system under file ADM28 – Administration Policy. Refer Appendix 5

4. Evaluation of Policies and Procedures

The recordkeeping policies and procedures for the Shire of Broome are reviewed biennially. Principle 2 of SRC Standard 2 is the guide used to evaluate all categories, including Elected Members' record keeping responsibilities.

Note: Copies of 10 Procedural Documents are included as requested by the SRO

PRINCIPLE THREE: LANGUAGE CONTROL

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

1. Keyword for Councils Thesaurus – assessment and identified areas for improvement

The Shire of Broome continues to use the Keyword for Councils Thesaurus (Keywords) for the titling of all new files and works well covering both administrative and functional activities of the organisation. There is currently a review of the NSW Keyword for Councils Thesaurus being undertaken by a Western Australian LGRM working party of which the Shire of Broome's Records Coordinator is a member.

Keywords is sometimes adjusted by an authorised officer to reflect changes to the functions and activities of the Shire as they occur from time to time.

Some existing files have been closed or amended to bring them in line with Keywords titling, which encourages more accurate allocation of records to files; and the relevant staff are advised of any changes.

The consistent use of Keywords in conjunction with the General Disposal Authority for Local Government Records 2015 (GDALG) to create new files has resulted in more compliant and timely disposal processes.

PRINCIPLE FOUR: PRESERVATION

Government organisations ensure that records are protected and preserved.

1. Assessment of Risks

1.1 Onsite Storage

The Shire of Broome has most of its current active, inactive and archival records located onsite at the Shire Administration Centre located in a purpose-built Records storeroom in the centre of the building. Details for other Storage areas are below, and are also included, with risk ratings, in *Attachment 1 Records Disaster Management 2019*.

The Records storeroom consists of two storage levels

- The ground level contains active files stored in metal compactus. The ground level has a surface area of approximately 37m²,
- The second level up a flight of stairs contains all the archived records, as well as active building files stored in metal compactus units. Archived Council Minutes and other vital records are also kept on the second level within a locked compactus.

The entire building floor is 40cm above natural ground level and also 5m higher than the maximum tide level for this area.

There is also a small room above the second level. This third level has 10cm high bunding to avoid flooding into the record rooms in the event rain would ingress from the roof, and is built to BCA's standards for Region C, terrain category 2. This room is not used for storage, just houses the air conditioning split system unit, which remains on constantly, at a set temp of 25 degrees Celsius.

The Records storeroom walls and ceilings are brick and concrete and have a two-hour fire rating level. The ground and second level doors have a fire rating level of 120 min integrity / 30 min insulation making them fire secure for two hours.

Smoke detectors have been installed on the ground level and first floor and nine fire extinguishers with CO2 gas are affixed throughout the entire building. Two fire extinguishers are affixed next to the Records room. One is affixed on the outside wall and one on the first floor. Appropriate signage denotes their locations and instructions for fire type and use.

There is a non-pressurised pipe running along the ceiling of the second level of the Records storeroom. This pipe routes condensation from the air-conditioners located in the roof space directly above the Records storeroom. The pipe has been insulated with neoprene material to prevent condensation forming on its outside surface and dripping onto the metal compactus units.

The door of the Records room is kept locked at night during non-business hours. The Shire of Broome does not have a sprinkler system, however smoke detectors have been fitted and all Shire Offices have monitored alarm systems fitted. A security patrol service monitors the building throughout the night.

1.2 Other Storage areas

1. The office of the Payroll Officer is a lockable room located inside the Shire Administration Centre. This room has a surface area of approximately 12m² and includes an external wall with sliding windows protected by cyclone-rated metal mesh. These windows are locked overnight. This room is always locked in the absence of the Payroll Officer and overnight.
2. The office of the Manager of People & Culture (previously known as Human Resources) has a surface area of approximately 12m². The room doesn't adjoin any outside walls, but one wall consists of non-fire-resistant glass. This office is not lockable from the general office, as it has no doors. Any personnel or recruitment files loaned to Human Resources staff are stored in a locked metal cabinet overnight.
3. Financial Records for the current financial year are stored in boxes on shelves within the Finance area (which is not lockable or fireproof). Records for the 6 financial years previous to these are held in a separate Temporary Storage room within the Shire Administration Centre. An ongoing annual rotation and disposal program is in place for these records. The Temporary Storage room, to which only Records Services and Finance have access rights to, has an external wall, has no windows, and is kept locked at all times.
4. Active Building License files are stored on shelves on the ground floor Records room, depending on what stage of the approval process they are at. After being approved, they are stored in the metal compactus units on the second level of the Records room. Larger building licence files are held in the open space of the Shire Administration Centre in lockable vertical hanging metal cabinets.
5. A Vital Records room is located centrally on the ground floor in the Shire Administration Centre. It has a surface area of approximately 12m². The room has concrete walls, ceiling and floor. It is fitted with a fire-rated door, which is kept locked at all times. All current

personnel files, original leases, annual Rates Books, current election material and various other Vital Records are held on shelves in this room. Only Records Services, People and Culture, and Payroll staff have access rights to this room.

Aside from those offices or storage areas already detailed in this section, the doors and walls of the Administration Building have external metal cladding and internal plaster-board walls. Aside from those already detailed as fire-rated, internal doors are not fire-rated. The Shire Administration Centre is locked overnight, fitted with a security alarm and monitored after hours by an outsourced security patrol service. Staff access the building using electronic swipe-cards, including the requirement of entering individual PIN numbers outside of business hours.

The main disaster threatening records stored onsite comes from fire, cyclone damage and vandalism.

1.3 Electronic records backup

Daily, weekly and monthly electronic backups of the Shire's computer data are stored offsite at the Civic Centre (which is a Shire of Broome owned property).

Approximately 4 tb (terabytes) of electronic storage space is used by the Shire.

1.4 Quantity of records

The Shire of Broome has custody of 740 Linear metres of combined temporary, Permanent within LG and State archives records stored onsite.

2. Assessment of the Impacts of Disasters

The risk of a disaster occurring to the records of The Shire of Broome has been assessed overall as being low to moderate using the Shire's Risk management matrix.

The Records Disaster Management Plan has been reviewed and updated for this RKP (see *Attachment 1*) and contains a table showing the major risks affecting the Shire's Record Keeping System, and the risk rating. The event level refers to the level of severity of the disaster should it occur (consequences) and the likelihood of the event occurring.

3. Strategies in Place for Prevention and Response

3.1 Records Disaster Management Plan

Refer to *Attachment 1* Disaster Management Plan 2019 for details on the strategies that have been implemented by the Shire of Broome to reduce the risk of disaster and for a quick response should a disaster occur.

The Records Disaster Management Plan 2019 documents the main risks to the Shire's records and describes measures taken to mitigate the risks, including risk acceptance statements for each rating.

Its purpose is to enable Shire staff to respond quickly and appropriately to recover records after a disaster with the Shire's most valuable records prioritised for recovery and ensures that the best use is made of the Shire's internal and external resources in disaster preparedness and recovery activities.

It is Shire policy to review the Records Disaster Management Plan biennially, with the Manager of Information Services being responsible for this review.

3.2 Security and Access

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

Electronic

- Use of classifications and groups ensures information is accessed only by authorised staff.
- Version control is in place to track changes made to documents.
- Electronic tracking is used for documents and physical files.
- Staff have varying degrees of access to Electronic records depending on delegations and responsibilities assigned to them within the organisation. All actions, including viewing and modifications made can be traced through the system's Audit Trail function.
- Access to the Records Module is controlled through system passwords provided in accordance with the Shire's IT Password Procedure. No public access is allowed in the records system.
- Only records staff have delete permissions in the Records system.

Hardcopy

- The Records room is locked overnight to prevent unauthorised access to hard copy physical files; during business hours, only authorised employees can enter the Records room.
- As mentioned above under 4.1.1 Onsite storage, vital and confidential records are accessed by a limited, authorised few Employees.
- Records borrowed from the Records room are tracked using the electronic records system.

4. Storage Reviews

The storage facilities utilised by the Shire are reviewed every two years to ensure that conditions are appropriate for the organisations' records.

5. Recovery of lost information

The Shire of Broome has developed a set of quick response strategies to recover lost information as part of the Records Disaster Management Plan.

Vital records and electronic records will be recoverable through vital record hard copies and electronic back-ups.

PRINCIPLE FIVE: RETENTION AND DISPOSAL

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

1. General Disposal Authority for Local Government Records

The Shire of Broome uses the General Disposal Authority for Local Government Records 2015 (GDALG DA 2015-001/1) produced by the State Records Office, for the retention and disposal of its records.

2. Other Disposal Authorities

The Shire of Broome has an Ad Hoc Disposal Authority, AD 2016007, for destruction of personal files where employees' date of birth, retirement or death are unknown. This Ad Hoc Disposal Authority was approved by the State Records Commission on 9th December 2016.

The Shire has no Disposal Lists approved by the State Records Commission.

Personnel files with Unknown DOBs have been sentenced, boxed and awaiting due disposal according to the AD2016007.

3. Restricted Access Archives

As mentioned above under Principal 4, 1.1 Onsite Storage, the Shire has Archived (Permanent) records in locked Compactuses. Access is restricted to Records Services, Payroll and People & Culture only.

4. Archives not Transferred to the SRO

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

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

5. Disposal Program Implemented

The Shire of Broome has implemented the GDALG 2015 and conducts a regular disposal program on an annual basis. Other ad-hoc disposal is done continually throughout the year as required. A permanent register is kept of all records disposed of, including signed authority forms.

6. Authorisation for Disposal of Records

Before any temporary records are destroyed, or State archives are transferred, a list of those records due for destruction or transfer is emailed to the Manager, Information Services (MIS), and then is authorised by the MIS, by return email. The authorised email with list of records to be disposed of is then recorded into our Electronic RM System into a file which has a permanent retention.

Example of recent list of records authorised for destruction:

GDA Ref No.	Recommended Disposal Period	Description of Records	Disposal Due
7.2	21 years after expiry of agreement (common seal)	FILE: LSS007 – Tenancy agreement – Lotteries House – Aboriginal Reconciliation Unit Agreement expired: 31 Dec 1997	Jan 2019
7.3	7 years after expiry of agreement	FILE: LSS156 – Staff Leasing: 157/1 Lullfitz Drive – Tenancy agreement expired: 4 Feb 2012	Feb 2019
7.3	7 years after expiry of agreement	FILE: LSS159 – Staff Leasing: 11 Mulgrue Court – Tenancy agreement expired: 21 Nov 2011	Dec 2018
53.2	7 years after action completed	FILE: PEI03 – Staff Grievance / dispute – 2007	2014
53.2	7 years after action completed	FILE: PEI02 (xref: P016475) – Staff Grievance / dispute – 2007 to 2008	2015

“I hereby authorise the disposal of the records listed above”

Regards,

Peter Smith

Manager Information Services

Shire of Broome

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Web: www.broome.wa.gov.au

PRINCIPLE SIX: COMPLIANCE

Government organisations ensure their employees comply with the Recordkeeping Plan.

1. Staff Training, Inductions, Information sessions and Publications

The Shire of Broome's Induction manual for new staff has 3 pages dedicated to Information Services and are used in the initial Records Services and Information Technology Inductions. The two sections on Recordkeeping require the new employee to sign off indicating each item on the checklist has been covered. The initial Induction is followed by an on-line Records awareness training course which is mandatory for all employees; then followed up with a more in-depth face-to-face training session on Record keeping (including the current Recordkeeping software).

See Attachment 2 for a copy of the Induction Manual for use by Records Staff

We also have an ongoing Training program in place, which is delivered on both a departmental basis as well as on an individual basis. The training program involves delivering presentations, assessing knowledge and skills, and following up with further individual training where necessary.

A survey, to be sent to all new employees as well as existing staff, is currently being developed to capture levels of knowledge as well as feedback on the training delivered.

We also have refresher training provided by an external party (ITVision) on the Recordkeeping software from time to time.

2. Performance Indicators

The following performance indicators are used to measure the efficiency and effectiveness of the Shire of Broome's recordkeeping systems:

Table 3

Performance Indicators & Monitoring processes	
Aim:	Ensure mail is processed in a timely manner:
Measure	100% of Australia Post mail to be processed 4.30 pm daily
Measure	85% of other mail received before 12 noon to be tasked by 4.30pm daily
Aim:	Ensure that Freedom of Information requests are processed in accordance with Freedom of Information Act requirements.

Measure	Ensure that 100% requests for service are responded to in a timely manner (within FOI Act 1992 timeframes)
Aim:	Customer Service is delivered in a timely manner
Measure	100% of requests for assistance responded to within 1 day
Measure	95% of requests for completed within 24 hours
Measure	95% of requests for archived information completed within 5 days
Measure	Evaluation of service provision via a Records Satisfaction Survey
Additional to Key Performance Indicators the Records section procedures note that:	
Aim:	Closed files are routinely checked for accuracy prior to being archived.
Process	File Loans Audits are conducted by Records Services staff in December each year, to check for accuracy of the recordkeeping system, to assess whether staff are logging files out correctly, as well as notifying the Records Department when files are transferred between staff.
Process	Incoming Records are considered to be “overdue” when more than 14 days has elapsed since they were received and recorded by the Shire. Records Services produces weekly Overdue Records Reports for all Managers, Directors and the CEO for the monitoring of compliance.

3. Training and information for Elected Council members

Newly elected council members are required to attend the Shire of Broome Induction which includes information on FOI Act 1992 and mention of their responsibilities on the use of Shire of Broome email address as these emails are kept and stored on the Shire’s Email Archive.

Each Councillor has a Shire email address set up, however monitoring of the recordkeeping practices of elected members is something we acknowledge needs to be improved and is apart of our new ongoing Training Program.

New and existing Elected members are also offered training courses, both online and inhouse in Recordkeeping, and are encouraged to attend.

4. Agency's Evaluation

A survey, to be sent to all new employees as well as existing staff, is currently being developed to capture levels of knowledge as well as feedback on the training delivered.

Note: This survey, as part of our ongoing training program is due to be implemented by June 2020

5. Annual Report

The Shire of Broome Annual Report includes information on

- Compliance with the State Records Act
- Records training and records induction programs
- The effectiveness and efficiency of the Shire recordkeeping system

SHIRE'S RECORDKEEPING STATEMENT FOR 2017/18 ANNUAL REPORT

Freedom of Information Act 1992 The Shire of Broome is subject to the provisions of the Freedom of Information (FOI) Act 1992, which gives individuals and organisations a general right of access to information held by the Shire. The Act also provides the right of appeal in relation to decisions made by the Shire to refuse access to information applied for under the Act. The Shire received 11 FOI applications in 2017/18 of which eight were completed, two withdrawn and one still in progress. One review was requested, and the review was completed. In accordance with Section 96 and 97 of the Act, the Shire is required to publish an Information Statement which details the process of applying for information under the Act, as well as information that the Shire provides outside the Act. The Shire has reviewed its Information Statement document as required under the Act. For further information on Freedom of Information at the Shire of Broome please visit the FOI page on the Shire website

The State Records Commission approved the Shire of Broome's Amended Recordkeeping Plan in February 2014. The amended plan details the goals and strategies for recordkeeping within the Shire and demonstrates the Shire's commitment to accurate and compliant record keeping practices in accordance with the State Records Act 2000. The Amended Recordkeeping Plan will be reviewed in 2019. The records management program aims to ensure that proper and adequate records are created, maintained and kept; ensuring enough evidence of the Shire's performance of its functions is available. Records are recognised as a core information resource in the Shire and it is acknowledged that sound record keeping practices contribute to the overall efficiency and effectiveness of the organisation. The Shire provides a recordkeeping awareness program to staff including inductions and online training. Several information management initiatives were also completed including: Clean up and disposal of archive records; In-house disposal process, The development of an improved formal Induction program and the implementation of an ongoing training program for all staff, not just new starters. This report has been published in accordance with the requirements of the State Records Act 2000.

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 a local government with persons to perform any aspect of recordkeeping for the organisation.

In relation to a Local government's RKP, it is necessary to ensure that recordkeeping requirements are extended to outsourced services or functions.

'Outsourcing' refers to where, by contract or some other binding arrangement, an individual or an organisation acts as the Local Government's agent and accepts responsibility for providing or delivering a service to its clients or performing a function on its behalf.

Contractual arrangements which involve the outsourcing of functions or services which are entered into or renewed from the date of this RKP being registered should provide that the contractor create and maintain records that meet the Local Government's recordkeeping requirements pursuant to the Recordkeeping Plan.

1. Outsourced functions identified

See *Appendix 1* for a list of all business activities and functions that are part of the Shire's core business; the table indicates where some parts of a functions, or that sometimes that function is outsourced.

Wherever certain aspects relating to Council properties are outsourced control is maintained by the Shire and all Shire of Broome Corporate records related to that work is captured.

2. Recordkeeping Issues included in Contracts

2.1 Planning

The Shire of Broome 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.

Contracts relating to the outsourcing of Council services include a clause requiring tenderers to comply with the Shire's Recordkeeping Plans, Policies and procedures. The Contract documents are maintained by the Shire of Broome, including tender documents, contracts and agreements.

2.2 Ownership

The Shire of Broome has ensured that the ownership of Local Government records is addressed and resolved during outsourcing exercises. Where possible this will be included in the signed contracts and agreements.

2.3 Control

The Shire of Broome will ensure that the contractors and agents create and control records in electronic or hard copy format, in accordance with Recordkeeping standards, policies, procedures and guidelines stipulated by the Shire of Broome.

2.4 Disposal

The disposal of all Local Government records which are the product of, or are involved in, any contracts or agreements between the Shire of Broome and contractors or agents will be disposed of

in accordance with the General Disposal Authority for Local Government Records, produced by the State Records Office.

2.5 Access

Conditions for the provision of access to any Local Government records produced in the course of any contracts or agreements have been agreed between the Shire of Broome and the contractor or agent.

2.6 Custody

Custody arrangements between the Shire of Broome and the contractors or agents for Local Government records stored on and off site by the contractor or agent are specified in the contracts or agreements as follows:

- Records to be held by contractors or agents off-site until contractual obligations are finalised and outsourced projects completed.
- After this time, all created Records relevant to the outsourced project are to be returned to the Shire of Broome by the contractors or agents.
- These Records remain the property of the Shire of Broome at all times.

2.7 Contract Completion

All arrangements regarding record custody, ownership, disposal and transfer upon the completion of the contracts or agreements will be specified in the contracts or agreements.

Note: the requirement of all outsource contracts to contain a clause that outlines the following has been lodged with the Executive committee for approval.

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

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

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

APPENDIX 1

BUSINESS ACTIVITIES / FUNCTIONS

APPENDIX 1			
Functions of the Shire of Broome			
Local Government Function	Brief Description	Performed by the Shire of Broome	Sometimes or part of Function Performed by an External Agency
Commercial Activities	The function of competing commercially or providing services to other local governments or agencies on a fee for service basis. Includes undertaking activities on a consultancy or contract basis.	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 Shire of Broome's operation.	✓	
Council Properties	The function of acquiring, constructing, designing, developing, disposing and maintaining facilities and premises owned, leased or otherwise occupied by the Shire of Broome.	✓	✓
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).	✓	✓

APPENDIX 1			
Functions of the Shire of Broome			
Local Government Function	Brief Description	Performed by the Shire of Broome	Sometimes or part of Function Performed by an External Agency
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.	N/A	
Environmental Management	The function of managing, conserving and planning of air, soil and water qualities, and environmentally sensitive areas such as remnant bushlands and threatened species.	✓	
Financial Management	The function of managing the Shire of Broome's financial resources.	✓	✓
Governance	The function of managing the election of Council representatives, the boundaries of the Shire of Broome, 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 Shire of Broome from the State and Federal Governments and other agencies for specific purposes.	✓	
Information Management	The function of managing the Shire of Broome's information resources, including the storage, retrieval, archives, processing and communications of all information in any format.	✓	

APPENDIX 1

Functions of the Shire of Broome

Local Government Function	Brief Description	Performed by the Shire of Broome	Sometimes or part of Function Performed by an External Agency
Information Technology	The function of acquiring and managing communications and information technology and databases to support the business operations of the Shire of Broome.	✓	
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 Shire of Broome.		✓
Parks & Reserves	The function of acquiring, managing, designing and constructing parks and reserves, either owned or controlled and managed by The SHIRE OF BROOME.	✓	✓
Personnel	The function of managing the conditions of employment and administration of personnel at the Shire of Broome, 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 Shire of Broome'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.	✓	

APPENDIX 1			
Functions of the Shire of Broome			
Local Government Function	Brief Description	Performed by the Shire of Broome	Sometimes or part of Function Performed by an External Agency
Recreation & Cultural Services	The function of the Shire of Broome 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 the Shire of Broome's properties and equipment and risks to personnel.	✓	
Roads	The provision of road construction and maintenance of rural roads and associated street services to property owners within the Shire of Broome 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 Shire of Broome to ratepayers for the removal of solid waste, destruction and waste reduction.	✓	✓

APPENDIX 2

LEGISLATION AND REGULATIONS

APPENDIX 2 Legislation & Regulations administered, wholly or in part, by the Shire of Broome, or affecting the Shire's functions and operations; and Local Laws of the Shire
Aboriginal Heritage Act 1972
Aboriginal and Torres Strait Islander Heritage Protection Act 1984 (Cth)
Agriculture & Related Resources Protection Act 1976
Agriculture & Related Resources Protection Regulations 2011
Building Act 2011
Building Regulations 2012
Building & Construction Industry Training Levy Act 1990
Building & Construction Industry Training Fund & Levy Collection Act 1990
Building Services (Registration) Act 2011
Building Services Levy Act 2011
Bush Fires Act 1954
Bush Fires (Infringements) Regulations 1978
Bush Fire Regulations 1954
Caravan Parks & Camping Grounds Act 1995
Caravan Parks & Camping Grounds Regulations 1997
Cat Act 2011
Cat (Uniform Local Provisions) Regulations 2013
Cat Regulations 2012
Commercial Tenancy (Retail Shops) Agreements Act 1985
Commercial Tenancy (Retail Shops) Agreement Regulations 1985
Conservation & Land Management Act 1984
Conservation & Land Management Regulations 2002

APPENDIX 2**Legislation & Regulations administered, wholly or in part, by the Shire of Broome,
or affecting the Shire's functions and operations; and Local Laws of the Shire**

Construction Camp Regulations

Contaminated Sites Act 2003

Contaminated Sites Regulations 2006

Criminal Code Act Compilation Act 1913

Dangerous Goods Safety Act 2004

Dangerous Goods Safety (General) Regulations 2007

Disability Services Act 1993

Disability Services Regulations 2004

Dividing Fences Act 1961

Dog Act 1976

Dog Regulations 2013

Electronic Transactions Act 2011

Electronic Transactions Regulations 2012

Emergency Management Act 2005

Emergency Management Regulations 2006

Emergency Services Levy Act 2002

Environmental Protection Act 1986

Environmental Protection (Controlled Waste) Regulations 2004

Environmental Protection (Noise) Regulations 1997

Environmental Protection (Rural Landfill) Regulations 2002

Environment Protection and Biodiversity Conservation Act 1999 (Cth)

Environmental Protection Regulations 1987

Environmental Protection (Unauthorised Discharges) Regulations 2004

Equal Opportunity Act 1984

Equal Opportunity Regulations 1986

Evidence Act 1906

Explosive and Dangerous Goods Act 1961

APPENDIX 2**Legislation & Regulations administered, wholly or in part, by the Shire of Broome,
or affecting the Shire's functions and operations; and Local Laws of the Shire**

Food Act 2008

Food Regulations 2009

Fire & Emergency Services Act 1998

Fire & Emergency Services Regulations 1998

Freedom of Information Act 1992

Freedom of Information Regulations 1993

Hairdressing Establishment Regulations 1972

Health Act 1911

Health Act (ANZ Food Standards Code Adoption) Regulations 2001

Health Act (Carbon Monoxide) Regulations 1975

Health Act (Laundries and Bathrooms) Regulations

Health (Air-Handling and Water Systems) Regulations 1994

Health (Aquatic Facilities) Regulations 2007

Health (Asbestos) Regulations 1992

Health (Cloth Materials) Regulations 1985

Health (Garden Soil) Regulations 1998

Health (Offensive Trades Fees) Regulations 1976

Health (Pesticides) Regulations 2011

Health (Pet Meat) Regulations 1990

Health (Poultry Manure) Regulations 2001

Health (Public Buildings) Regulations 1992

Health (Skin Penetration Procedure) Regulations 1998

Health (Temporary Sanitary Conveniences) Regulations 1997

Health (Treatment of Sewerage and Disposal of Effluent and Liquid Waste) Regulations 1974

Heritage of Western Australia Act 1990

Heritage of Western Australia Regulations 1991

APPENDIX 2**Legislation & Regulations administered, wholly or in part, by the Shire of Broome,
or affecting the Shire's functions and operations; and Local Laws of the Shire**

Industrial Awards

Industrial Relations Act 1979

Interpretation Act 1984

Jetties Act 1926

Jetties Regulations 1940

Land Acquisition and Public Works Act 1902

Land Administration Act 1997

Land Administration Regulations 1998

Land Valuation Tribunals 1978

Library Board of Western Australia 1951

Limitation Act 2005

Litter Act 1979

Liquor Control Act 1988

Local Government Act 1995

Local Government (Miscellaneous Provisions) Act 1960

Local Government Grants Act 1978

Local Government (Audit) Regulations 1996

Local Government (Constitution) Regulations 1998

Local Government (Elections) Regulations 1997

Local Government (Financial Management) Regulations 1997

Local Government (Functions & General) Regulations 1996

Local Government (Long Service Leave) Regulations

Local Government (Parking for Disabled Persons) Regulations 1988

Local Government (Rules of Conduct) Regulations 2007

Local Government (Uniform Local Provisions) Regulations 1996

Litter Act 1979

Main Roads Act 1930

APPENDIX 2**Legislation & Regulations administered, wholly or in part, by the Shire of Broome,
or affecting the Shire's functions and operations; and Local Laws of the Shire**

Native Title (State Provisions) Act 1999

Native Title (State Provisions) Regulations 2000

Occupational Safety & Health Act 1984

Occupational Safety & Health Regulations 1996

Parliamentary Commissioner Act 1971

Parks and Reserves Act 1895

Planning & Development Act 2005

Planning & Development (Consequential) Regulations 2006

Planning & Development (Development Assessment Panels) Regulations 2011

Planning & Development (Transitional) Regulations 2006

Planning & Development Regulations 2009

Police Act 1892

Public Health Act 2016

Public Works Act 1902

Radiation Safety Act 1974

Radiation Safety (General) Regulations 1983

Rates and Charges (Rebates and Deferments) Act 1992

Rights in Water and Irrigation Act 1914

Residential Design Codes of WA 2002

Residential Tenancies Act 1987

Residential Tenancies Regulations 1989

Right in Water & Irrigation Act 1914

Road Traffic Act 1974

Sewerage (Lighting, Ventilation & Construction) Regulations 1971

Shire of Broome Town Planning Scheme No. 6

Soil & Land Conservation Act 1945

APPENDIX 2**Legislation & Regulations administered, wholly or in part, by the Shire of Broome,
or affecting the Shire's functions and operations; and Local Laws of the Shire**

Soil & Land Conservation Regulations 1992

State Administrative Tribunal Regulations 2004

State Administrative Tribunal Rules 2004

State Records Act 2000

State Records (Consequential Provisions) Act 2000

State Records Principals & Standards 2002

Strata Titles Act 1985

Strata Titles General Regulations 1996

Telecommunications Act 1997

Telecommunications (Low Impact Facilities) Determination 1997

Tobacco Products Control Act 2006

Tobacco Products Control Regulations 2006

Town Planning and Development Act 1928

Transfer of Land Act 1893

Transport Co-ordination Act 1966

Valuation of Land Act 1978

Valuation of Land Regulations 1979

Waste Avoidance & Resource Recovery Act 2007

Waste Avoidance & Resource Recovery Regulations 2008

Waste Avoidance & Resource Recovery Levy Act 2007

Waste Avoidance & Resource Recovery Levy Regulations 2008

Waterways Conservation Act 1976

Workers' Compensation & Injury Management Act 1981

Workers' Compensation & Injury Management Regulations 1982

APPENDIX 2

**Legislation & Regulations administered, wholly or in part, by the Shire of Broome,
or affecting the Shire's functions and operations; and Local Laws of the Shire**

Local Laws of the Shire of Broome

Bush Fire Brigades Local Law 2003

Cemeteries Local Law 2012

Dogs Local Law 2012

Health Local Laws 2006

Local Govt Property & Public Places Local Law 2012 in amendment with 2013

Parking & Parking Facilities Local Law 2012

Standing Orders Local Law 2003

Trading, Outdoor Dining & Street Entertainment Local Law 2003

Repeal of Obsolete Local Laws 2012

Local Law to Repeal Local Laws 2000

Repeal of Outdated Local Laws 2001

Repeal of Local Laws (Control of Fencing) Local Law 2003

APPENDIX 3**INDUSTRY STANDARDS AND CODES OF PRACTICE****APPENDIX 3**

**Government & Industry Standards and Codes of Practice that have been imposed upon or
adopted by the Shire of Broome**

Australian Accounting Standards	✓
Australian Records Management Standard ISO/AS 15489-2002 Parts 1 & 2	✓
General Disposal Authority for Local Government Records RD 99004	✓

APPENDIX 4

INDEX OF RECORDS PROCEDURE MANUAL

LIST OF INTERNAL PROCEDURES DOCUMENTS FOR RECORDKEEPING		APPENDIX 4
SUBJECT	Process description	Target audience
BCP / Disaster recovery	RECORDS RESPONSIBILITIES & PROCESS	RECORDS ADMIN
BCP / Disaster recovery	DISASTER MANAGEMENT - RECOVERY BINS	RECORDS ADMIN
BCP / Disaster recovery	DISASTER MANAGEMENT - CYCLONE	ALL
CORRESPONDENTS	INTERNAL & EXTERNAL	ALL
COUNCILLORS	COMPLAINTS HANDLING	COUNCIL
COUNCILLORS	COUNCIL MINUTES	COUNCIL
COUNCILLORS	MAIL PROCESSING	RECORDS ADMIN
COUNCILLORS	NEW - GOC FILES	HR
COUNCILLORS	RECORDING COUNCIL QUESTIONS	COUNCIL
COUNCILLORS	RECORDING DOCUMENTS	RECORDS ADMIN
COUNCILLORS	TERMINATING GOC FILES	HR
COUNCILLORS	TRAINING	COUNCIL
DISPOSAL	LEGAL DEPOSIT / DONATION FORM	RECORDS ADMIN
DISPOSAL	SRO TRANSFER REQUEST TEMPLATE	RECORDS ADMIN
DISPOSAL	AUTHORISING DISPOSAL	RECORDS ADMIN
DOCUMENT	DIGITISATION OF INCOMING	RECORDS ADMIN
DOCUMENT	EMAIL RECORDING FOR OSH	ALL
DOCUMENT	EMAIL RECORDING FOR STAFF	ALL
DOCUMENT	FILING	RECORDS ADMIN
DOCUMENT	HARDCOPY RECORDING	RECORDS ADMIN
DOCUMENT	MOVING DOCUMENTS BETWEEN VOLS	RECORDS ADMIN
DOCUMENT	QRC FOR STAFF ON RECORDING HARDCOPY	ALL
DOCUMENT	RECORDING & ATTACHING	ALL
DOCUMENT	RECORDING BUILDING APPLICATION	ALL

LIST OF INTERNAL PROCEDURES DOCUMENTS FOR RECORDKEEPING		APPENDIX 4
DOCUMENT	RECORDING EVENT APPLICATION	ALL
DOCUMENT	RECORDING PANNING APPLICATION	ALL
DOCUMENT	RECORDING SEPTIC APPLICATION	ENV HEALTH
DOCUMENT	SCANNING & ATTACHING	RECORDS ADMIN
FILES	ARCHIVING AND DISPOSAL	RECORDS ADMIN
FILES	CLOSING & ARCHIVING	RECORDS ADMIN
FILES	CLOSING A VOLUME / OPENING NEW	RECORDS ADMIN
FILES	CREATE A LEASE FILE	RECORDS ADMIN
FILES	CREATE A PROPERTY FILE	DEV SERV
FILES	CREATE A SUBJECT FILE	RECORDS ADMIN
FILES	DELETING A FILE AND RECORDS	RECORDS ADMIN
FILES	FILE AND DOCUMENT CARE	ALL
FILES	LINKING NEW FILES TO OLD FILES	RECORDS ADMIN
FILES	LOANS & RETURNS	RECORDS ADMIN
FILES	MISSING SEARCH	RECORDS ADMIN
FILES	MOVING DOCUMENTS BETWEEN FILES	RECORDS ADMIN
FILES	NAMING CONVENTIONS	RECORDS ADMIN
FILES	TEMPLATE ADVICE ON FILE CONDITION	RECORDS ADMIN
FOI	CREATING LINK TO DOCUMENTS FOR APPLICANTS	RECORDS ADMIN
FOI	PUBLISHING THE INFORMATION STATEMENT	RECORDS ADMIN
FOI	RELEASE OF DOCUMENTS - POLICE	RECORDS ADMIN
FOI	RELEASE OF INFORMATION - DANGEROUS DOGS	ES&EH - RANGERS
FOI	REPORTING	RECORDS ADMIN
FOI	REQUEST PROCESSING	RECORDS ADMIN
GOVERNANCE	COMPLIANCE AUDIT RETURNS	RECORDS ADMIN
MAIL	PRIVATE AND PERSONAL PROCESSING	RECORDS ADMIN
MAIL	PROCESSING	RECORDS ADMIN
NAMES & ADDRESSES	MAINTENANCE	ALL

LIST OF INTERNAL PROCEDURES DOCUMENTS FOR RECORDKEEPING		APPENDIX 4
OSH	RECORDING EMAILS	ALL
OVERDUE RECORDS	MANAGING	ALL
OVERDUE RECORDS	REPORTING	RECORDS ADMIN
PERSONNEL FILE	CLOSING & ARCHIVING PERSONNEL FILES	HR
PERSONNEL FILE	CREATE & MANAGE	HR
PERSONNEL FILE	DOB FOR DISPOSAL	HR
PERSONNEL FILE	DOCUMENT FILING	HR
PERSONNEL FILE	INVESTIGATION & MISCONDUCT (ccc) PROCESS	RECORDS ADMIN
PERSONNEL FILE	RETENTION WITHOUT DOB - ADVICE FROM SRO	RECORDS ADMIN
PUBLICATIONS	PROVISION TO STATE LIBRARY	RECORDS ADMIN
RANGER FILES	FILING DOCUMENTS	ENV HEALTH
RECORD KEEPING PLAN	MAINTENANCE AND POSTING TO SRO	RECORDS ADMIN
RECORDS MANAGEMENT	RECORDING & DISTRIBUTING SPREADSHEET	RECORDS ADMIN
RECORDS ROOM	HOUSE KEEPING OPEN & CLOSE	RECORDS ADMIN
RECORDS ROOM - VITAL	HOUSE KEEPING OPEN & CLOSE	RECORDS ADMIN
RECRUITMENT FILE	DOCUMENT & FILE MANAGEMENT	HR
SECURITY ACCESS	FILE TYPES ACCESS RIGHTS - list of permission levels	ALL
SECURITY ACCESS	SETTING & AMENDING PERMISSION LEVELS	ALL
SOB WEBSITE	RESPONSE TO PUBLIC ENQUIRY	ALL
STAFFING	COMPLAINTS HANDLING	HR
STAFFING	PROCESSING MEDICAL CERTIFICATES	RECORDS ADMIN
STAFFING	ROSTERS	RECORDS ADMIN
STATIONERY	ORDERING	RECORDS ADMIN
TECHNICAL	ADDING ACTIONS TO RECORDED ITEMS	ALL
TECHNICAL	SETTING UP FAVOURITE MODULES / PERSONAL LIST	ALL

LIST OF INTERNAL PROCEDURES DOCUMENTS FOR RECORDKEEPING		APPENDIX 4
TECHNICAL	CHECKING OUTSTANDING RECORDED ITEMS	ALL
TECHNICAL	COMPLETING OUTSTANDING RECORDS	ALL
TECHNICAL	CONVERTING DOCUMENTS IN TEAMS 365	RECORDS ADMIN
TECHNICAL	CREATE A PROFILE FOR RECORDING	RECORDS ADMIN
TECHNICAL	EZESCAN PRO USER GUIDE	RECORDS ADMIN
TECHNICAL	FILE LOCATION CODES	RECORDS ADMIN
TECHNICAL	SCREEN COLOUR SET UP	RECORDS ADMIN
TECHNICAL	SYNERGY AUDIT TRAIL	RECORDS ADMIN
TENDERS AND RFQ	APPLICATION PROCESSING	ALL
TENDERS AND RFQ	DOCUMENT & FILE MANAGEMENT	ALL
TENDERS AND RFQ	SECURITY	ALL
TERMINATING	ADVICE TO TERMINATING STAFF ON MANAGING REC	ALL
TRAINING	INDUCTION	RECORDS ADMIN
TRAINING	Records Awareness Training (RAT)	RECORDS ADMIN
TRAINING	RECORDS STAFF NEW	RECORDS ADMIN
TRAINING	REFRESHER / EDUCATION PROGRAM	RECORDS ADMIN
TRAINING	PowerPoint Presentation with FAQs	RECORDS ADMIN

APPENDIX 5

SHIRE OF BROOME POLICY MANUAL INDEX

Shire of BroomePOLICY MANUAL – INDEX**Updated – 16 January 2018**

Each policy is to be reviewed by the Responsible Officer at least every two years.

Each Committee is to carry out a review of the policies relating to that Committee commencing in October each year.

Local Planning Policies are used in conjunction with the Shire of Broome Town Planning Scheme No. 6 and are to be reviewed as required under the relevant planning legislation.

1. OFFICE OF THE CHIEF EXECUTIVE OFFICER

<i>1.1</i>	<i>Elected Members</i>	Next Review
1.1.1	Elected Members Entitlements	Following 2019 Election
1.1.2	Formal Communication Policy – Elected Members and Staff	Following 2019 Election
1.1.3	Civic Receptions – Approvals – Rejections of Requests	Following 2019 Election
1.1.4	Liquor Accord	Following 2019 Election
1.1.5	Forums of Council – Concept Forums, Agenda Forums and Workshops	Following 2019 Election
<i>1.2</i>	<i>Organisational</i>	
1.2.1	Execution of Documents and Application of Common Seal	Following 2019 Election
1.2.2	Use of Council Chambers and Administration Building	Following 2019 Election
1	OFFICE OF THE CHIEF EXECUTIVE OFFICER	

1.2.3	Legal Representation – Costs Indemnification	Following 2019 Election
1.2.4	Appointment of Acting Chief Executive Officer	Following 2019 Election
1.2.5	Mining, Petroleum and Geothermal Energy Resource Extractions	Following 2019 Election
1.2.6	Consultation – Aboriginal Heritage	Following 2019 Election
1.3	<i>Human Resources</i>	
1.3.1	Staff Professional Development, Conferences and Study Tours	Following 2019 Election
1.3.2	Senior Employees	Following 2019 Election
1.3.3	Apprenticeships, Traineeships and Cadetships	Following 2019 Election
1.3.4	Staff Housing	Following 2019 Election
1.3.5	Education and Study Assistance	Following 2019 Election
1.3.6	Defence Reservist Leave	Following 2019 Election
1.3.7	Recruitment of Executive Staff	Following 2019 Election
1.3.8	Employee Gratuity Payments	Following 2019 Election
1.3.9	Work Safety Health	Following 2019 Election
1.4	<i>Media & Promotions</i>	
1.4.1	Media	Following 2019 Election
1.4.2	Local Government Elections – Promotions	Following 2019 Election

2. CORPORATE SERVICES

2.1	<i>Governance and Administration</i>	Next Review
2.1.1	Legislative Compliance	Following 2019 Election
2.1.2	Purchasing	Following 2019 Election
2.1.3	Local Regional Price Preference	Following 2019 Election
2.1.4	Risk Management	Following 2019 Election
2.1.5	Flags - Flying and Half Masting	Following 2019 Election
2.1.6	Complaint Resolution	Following 2019 Election
2.1.7	Procurement via Panels of Pre-qualified Suppliers	Following 2019 Election
2.2	<i>Finance</i>	
2.2.1	Internal Control	Following 2019 Election
2.2.2	Materiality in Financial Reporting	Annually (as part of budget process)
2.2.3	Investment of Surplus Funds	Following 2019 Election
2.2.4	Rating	Following 2019 Election
2.2.5	Debt Recovery	Following 2019 Election
2.2.6	Rate Exemption – Charitable Use	Following 2019 Election
2.2.7	Significant Accounting Policies	Annually (as part of budget process)
2.2.8	Self- Supporting Loans	Following 2019 Election
2.3	<i>Information Services</i>	
2.3.1	Records Management	Following 2019 Election
2	CORPORATE SERVICES	

2.3.2	CCTV	Following 2019 Election
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3. DEVELOPMENT AND COMMUNITY

3.1	<i>Development and Community</i>	Next Review
3.1.1	Compliance and Enforcement	Following 2019 Election
3.1.2	Waiving and Refunding of Fees	Following 2019 Election
3.1.3	Yawuru Park Council Representation	Following 2019 Election
3.2	<i>Planning and Building</i>	
3.2.1	Reissuing of Building Licences	Following 2019 Election
3.3	<i>Health and Rangers</i>	
3.3.1	Alcohol Management	Following 2019 Election
3.3.2	Buildings on Caravan Parks	Following 2019 Election
3.3.3	Caravan Parks and Camping Grounds - Maximum Number of Sites of a Particular Type That May Be Used at a Facility	Following 2019 Election
3.3.4	Approval to Camp for Up to 3 months in Areas Other Than Caravan Parks & Camping Grounds	Following 2019 Election
3.3.5	Operation of Temporary Caravan and Camping Facilities	Following 2019 Election
3.3.6	Trading in Public Places	Following 2019 Election
3.3.7	Horses on Cable Beach	Following 2019 Election
3.3.8	Keeping of 3-6 Dogs	Following 2019 Election
3.4	<i>Community and Economic Development</i>	
3.4.1	Broome History Collection	Following 2019 Election
3.4.2	Community Sponsorship Program	Following 2019 Election
3	DEVELOPMENT AND COMMUNITY	

3.4.3	Public Art	Following 2019 Election
3.4.4	Hire of Promotional Banner Sites	Following 2019 Election
3.4.5	Shire of Broome Shinju Matsuri Acquisitive Art Prize	Following 2019 Election
3.4.6	Community Engagement	Following 2019 Election
3.4.7	Events	Following 2019 Election
3.4.8	Broome Civic Centre Programming	Following 2019 Election
3.4.9	Tourism Administration	Following 2019 Election
3.5	<i>Sport and Recreation</i>	
3.5.1	BRAC - Non Sporting Special Events	Following 2019 Election
3.5.2	Advertising/Sponsors Signs within Active Reserves	Following 2019 Election

4. INFRASTRUCTURE

4.1	<i>Engineering</i>	Next Review
4.1.1	Traffic Control Signs for Roadworks - MRWA Delegation	Following 2019 Election
4.1.2	Business Direction Signs - MRWA Delegation	Following 2019 Election
4.1.3	Subdivision/Development Contributions - Road Reserve Works	Following 2019 Election
4.1.4	Subdivision/Development Contributions - Drainage Headworks	Following 2019 Election
4.1.5	Advisory Signs - MRWA Delegation	Following 2019 Election
4.1.6	Division of Responsibilities at Intersections of Highways and Local Roads	Following 2019 Election
4.1.7	Register of Public Roads	Following 2019 Election
4	INFRASTRUCTURE	

4.1.8	Tourist Attraction Signage	Following 2019 Election
4.2	<i>Operations</i>	
4.2.1	Private and Community Works	Following 2019 Election
4.2.2	Environmental Weed Management Strategy - Broome Townsite	Following 2019 Election
4.2.3	Restrictive Covenant Trees - Rivergum/Boab/Leichardt Ct Subdivision	Following 2019 Election
4.2.4	Verge Maintenance	Following 2019 Election
4.2.5	Traffic Management for Events	Following 2019 Election
4.2.6	Closure of Unsealed Roads Due to Wet Weather	Following 2019 Election
4.3	<i>Asset and Building</i>	
4.3.1	Asset Management	Following 2019 Election
4.3.2	Disposal of Assets	Following 2019 Election
4.3.3	Vandalism or Theft - Reward for Conviction	Following 2019 Election
4.4	<i>Resource Recovery</i>	
4.4.1	Fee Concessions at Waste Management Facility	Following 2019 Election
4.4.2	Sale of Recyclables	Following 2019 Election
4.4.3	Waste Management	Following 2019 Election

5. LOCAL PLANNING POLICIES

5.1	Outdoor Dining	
5.2	Staff Accommodation in General Agriculture, Rural Small Holdings and Culture and Natural Resource Zones	
5.3	Miscellaneous Structures	
5.4	Heritage List - Development of Listed Places	

5.5	Transient Workers Accommodation	
5.6	Parking	
5.7	Development Standards for Development Applications	
5.8	Fences	
5.9	Development Approvals - Amendments/Extensions to Term of Approval and Requests for Further Information	
5.10	Signs	
5.11	Telecommunications Infrastructure	
5.12	Provision of Public Art	
5.13	Design Guidelines - Town Centre Zone	
5.14	Public Consultation - Planning Matters	
5.15	Forms of Residential Accommodation Other Than Single House	
5.16	Old Broome Development Strategy	
5.17	Caretakers Dwellings and Attached Offices in the Light and Service Industry Zone	
5.18	Bed and Breakfast Accommodation	
5.19	Strata Titling of Tourist Developments in the Tourist Zone	
5.20	Exempt Development	
5.21	Non-Conforming Use Register	
5.22	Shire of Broome Structure Plan and Subdivision Standards	

6. MANAGEMENT DIRECTIVES

001	Frequent Flyers & Rewards Programmes	
002	Replaced by Business Operating Procedure 006 – June 2010	
003	Dismissal of Staff in the Event of a Cyclone	
004	Blank	
005	Replaced by Business Operating Procedure 2.003 – December 2009	
006	Replaced by Business Operating Procedure 2.004 – December 2009	
007	Insurances Professional Indemnity – Use of Disclaimers	

008	Issuing of Purchase Orders – Amended as required	
009	Replaced by Business Operating Procedure 2.006 – May 2010	
010	Replaced by Business Operating Procedure 2.016 – September 2010	
011	Litter Control – Honorary Inspectors	
012	Safe Collection & Disposal of Improperly Discarded Sharps	
013	Secondary Employment	

7. HUMAN RESOURCES DIRECTIVES

HR 001	Staff Training & Conferences	
HR 002	Emergency Services Volunteers – Leave to Attend Emergencies	
HR 003	Police Checks for Certain Staff – No longer required – July 2016	
HR 004	Equal Opportunity	
HR 005	Workplace Harassment – replaced by BOP	
HR 006	Sexual Harassment – replaced by BOP	
HR 007	Employees Health & Safety	
HR 008	Protection from the Sun for Outdoor Workers – Replaced by BOP 1.1.14 – July 2016	
HR 009	Smoking in the Workplace	
HR 010	Drug & Alcohol Free Directive	
HR 011	Payment of Broome Allowance on Leave	
HR 012	Recruitment and Selection Framework for all Non Executive Staff	
HR 013	Contractor Occupational Safety and Health Management	

ATTACHMENT 1 RECORDS DISASTER MANAGEMENT PLAN

Please see separate attachment

ATTACHMENT 2
RECORDS SERVICES INDUCTION MANUAL

Please see separate attachment

ATTACHMENT 3
EXAMPLES OF PROCEDURAL DOCUMENTS

Please see separate attachment