



City of Albany
Publication

Recordkeeping Plan 2025

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Introduction

1. This document is presented to the State Records Commission in accordance with Section 28 of the State Records Act 2000 (the Act).
2. Section 28 of the Act requires that no more than five years must elapse between the approval of a government agencies Recordkeeping Plan and a review of that Recordkeeping Plan.
3. State Records Commission (SRC) Standard 1 – Government Recordkeeping, requires that government agencies ensure that records are created, managed and maintained over time and disposed of in accordance with principles and standards issued by SRC.
4. SRC Standard 2 – Recordkeeping Plans is comprised of six recordkeeping principles, each of which contains minimum compliance requirements.
5. The purpose of this Recordkeeping Plan is to govern how records are created by the City of Albany, and how those records are kept. The Recordkeeping Plan provides an accurate reflection of the recordkeeping program within the organisation, including information regarding the City's recordkeeping systems, disposal arrangements, policies and procedures.
6. The Recordkeeping Plan is the primary means of providing evidence of compliance with the requirements of the Act, and the implementation of best practice recordkeeping within the organisation.
7. The objective of the City of Albany Recordkeeping Plan 2025 is to ensure:
 - Compliance with Section 28 of the State Records Act 2000;
 - That recordkeeping within the organisation is moving towards compliance with State Records Commission Standards and Records Management Standard AS ISO 15489;
 - That there are processes in place to facilitate the complete and accurate recording of business transactions and decisions;
 - That recorded information can be retrieved quickly, accurately and cost effectively when required; and
 - The protection and preservation of the organisation's records.

Scope

8. This Recordkeeping Plan applies to all City:
 - Employees;
 - Contractors;
 - Elected Members; and
 - Organisations performing outsourced services on behalf of the City.
9. This Recordkeeping Plan supersedes NPD1890618 and applies to all records created or received by any of the above parties, regardless of:
 - Physical format;
 - Storage location; or
 - Date created.

10. For the purposes of this Recordkeeping Plan, 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.(State Records Act 2000)

Legislative and Strategic Context

11. This Recordkeeping Plan complies with the State Records Act 2000 and the State Records Commission Standards.

Review Position and Date

12. This Recordkeeping Plan was approved by the Executive Management Team on 19 August 2025. In accordance with Section 28 of the State Records Act 2000, this Recordkeeping Plan must be reviewed and submitted to the State Records Commission at intervals of no more than five years from its approval date, or earlier if there are significant changes to the organisation’s structure, functions, recordkeeping practices, or systems.
13. This Recordkeeping Plan must be reviewed every five years, or earlier if considered necessary.

Associated Documents

14. The following documents relate to this Recordkeeping Plan:
 - City of Albany Community Strategic Plan Attachment 1);
 - Corporate Business Plan (Attachment 2);
 - Regulatory Compliance Policy Guideline (Attachment 3)
 - Incident Management and Business Continuity Response Plan (Attachment 4);
 - Records and Information Management Policy and Procedure (Attachment 5);
 - Provision of Records to Police Procedure (Attachment 6);
 - ICT Policies and Procedures Manual (Attachment 7);
 - Data Breach Response Policy and Procedure (Attachment 8);
 - Code of Conduct for Recorded Material Acquired on City of Albany Property (Attachment 9);
 - Records Disaster Recovery Management Plan (Attachment 10);
 - Records Induction Checklist (Attachment 11);
 - Copy of Certificate of Destruction and Authorisation Forms (Attachment 12)

Definitions

The following is a list of all key terms and acronyms used in this Recordkeeping Plan:

- State Records Act 2000 (the Act);
- State Records Commission (SRC)
- Electronic Document Records Management System (EDRMS)

Principal One: Proper and Adequate Records

Government organisations are to 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

Albany is situated on the south coast of WA in Noongar Country, traditionally owned and occupied by the Menang People for over 50,000 years.

The City of Albany was established on 1st July 1998, with the amalgamation of the former Town and Shire of Albany.

Overlooking one of the world's most majestic and unique natural harbours, Albany is also Western Australia's first European settlement and is steeped in history, retaining strong connections to its culture and heritage. It has a unique chapter in the Anzac story as the place where more than 40,000 Anzacs gathered to sail for the battlefronts of World War I.

With a population of over 40,000, Albany is the administrative and service hub of the Great Southern Region. It has experienced growth in its population and economy over the past decade and this is expected to continue. The City of Albany covers a land area of about 4,312 square kilometres and offers both an urban and rural lifestyle. The City manages over 1,600kms of road, 250kms of pathways, 380kms of roadside kerbing and 35 hectares of irrigation in 360 gardens, playgrounds and sporting fields.

Diverse facilities such as a library, leisure and aquatic centre, airport, arts centre, day care and visitor centre provide a broad range of services to the community.

Agriculture and retail are among the region's main industries and tourism is a key growth area thanks to the region's abundance of natural and other attractions. The award winning National Anzac Centre, one of Australia's most important cultural pilgrimages, boutique food and wine, fishing, surfing, whale watching and community events combined with the region's world-recognised biodiversity provides an envious lifestyle for locals and unique experiences for visitors.

1.2 Strategic Focus and Main Business Activity

The City of Albany Strategic Community Plan 2032 sets out our vision, aspirations, objectives and community priorities into the future and is our principal strategy and planning document.

The City of Albany Corporate Business Plan 2023-27 summarises the current and future resources required to deliver services, projects and programs over the next four years to implement the Community Strategic Plan and is supported by informing strategies and plans that are fully aligned with business plans for each business unit, our long term financial plan, our strategic asset management plans and our people strategy. (Attachment 1)

1.3 Functions, including those outsourced

The City of Albany outsources the following functions:

- Waste Management Services;
- Document Storage and Destruction; and
- Cleaning services.

1.4 Major Stakeholders

The City of Albany recognises residents, ratepayers, the general public, elected members and employees as its major stakeholders.

1.5 Enabling Legislation

The City of Albany was established under, and operates in accordance with, the Local Government Act 1995.

1.6 Other Legislation

Other legislation and regulations affecting the functions and operations of the City of Albany:

- Argentine Ant Act 1968
- Argentine Ant Regulations (Repealed as at 1 May 2013)
- Builders Registration Act 1939
- Building Regulations 2012
- Building Act 2011
- Bush Fires Act 1954
- Bush Fire (Infringements) Regulations 1978
- Bush Fire Regulations 1954
- Caravan Parks and Camping Grounds Act 1995
- Caravan parks and Camping Grounds Regulations 1997
- Cat Act 2011, Cat Regulations 2012 & Cat (Uniform Local Provisions) Regulations 2013
- Cemeteries Act 1986
- Control of Vehicles (Off-Road Areas Act 1978)
- Criminal Code Act Compilation Act 1913
- Disability Services Regulations 2004
- Dividing Fences Act 1961
- Dog Act 1976
- Dog Regulations 2013
- Dog (Restricted Breeds) Regulations (No. 2) 2002
- Electronic Transactions Act 2011
- Emergency Management Act 2005
- Environmental Protection Act 1986
- Environmental Protection Act Regulations 1987
- Environmental Protection (DEPM-UPM) Regulations 2007
- Equal Employment Opportunity Act 1984
- Evidence Act 1906
- Fines, Penalties and Infringement Notice Enforcement Act 1994
- Fire and Emergency Services Authority of Western Australia Act 1998
- Food Act 2008
- Freedom of Information Act 1992
- Freedom of Information Regulations 1993
- Hairdressing Establishment Regulations 1972
- Public Health Act 2016
- Public Health Regulations 2017
- Health (Air Handling and Water Systems) Regulations 1994
- Health (Aquatic Facilities) Regulations 2007
- Health (Asbestos) Regulations 1992
- Health (ANZ Food Standards Code Adoption) Regulations 2001
- Health (Cloth Materials) Regulations 1985
- Health (Garden Soil) Regulations 1998
- Health Act (Laundries and Bathrooms) Regulations
- Health (Meat Hygiene) Regulations 2001

- Health (Offensive Trade Fees) Amendment Regulations 2014
- Health (Pesticides) Regulations 2011
- Health (Pet Meat) Regulations 1990
- Health (Poultry Manure) Regulations 2001
- Health Act (Public Buildings) Regulations 1992
- Health (Section 112(2) Prohibition) Regulations 2006
- Health (Skin Penetration Procedure) Regulations 1998
- Health (Temporary Sanitary Conveniences) Regulations 1997
- Health (Treatment of Sewerage & Disposal of Effluent & Liquid Waste) Regulations 1974
- Health Act (Underground Water Supply) Regulations 1959
- Health (Adoption of Food Standards Code) Regulations 1992
- Health (Food Standards) (Administration) Regulations 1986
- Heritage of Western Australia Act 1990
- Heritage of Western Australia Regulations 1991
- Industrial Relations Commission Regulations 2005
- Industrial Regulations Act 1979
- Interpretation Act 1984
- Land Administration Act 1997
- Land Valuation Tribunals Act 1978
- Library Board of Western Australia Act 1951
- Limitation Act 2005
- Litter Act 1979
- Litter Regulations 1981
- Liquor Licensing Act 1988
- Local Government (Administration) Regulations 1996
- Local Government Regulations 2006
- Local Government Act 1995
- Local Government (Audit) Regulations 1996
- Local Government (Constitution) Regulations 1998
- Local Government (Elections) Regulations 1997
- Local Government (Financial Management) Regulations 1996
- Local Government (Function and General) Regulations 1996
- Local Government (Miscellaneous Provisions) Act 1960
- Local Government Grants Act 1978
- Local Government (Parking for Disabled Persons) Regulations 1988
- Local Government (Uniform Local Provisions) Regulations 1996
- Work Health and Safety Act 2020
- Planning and Development Act 2005
- Planning and Development (Local Government Planning Fees) Regulations 2000
- Radiation Safety Act 1975
- Rates and Charges (Rebates and Deferrals) Act 1992
- Retail Trading Hours Act 1987
- Retail Trading Hours Regulations 1988
- Road Traffic Act 1974
- Sewerage (Lighting, Ventilation and Construction) Regulations 1971

- Spear-guns Control Act 1955
- State Records Act 2000
- State Records Principles and Standards 2002
- Strata Titles Act 1985
- Strata Titles General Regulations 1996
- The Privacy Act 1988
- Tobacco Products Control Act 2006
- Tobacco Products Control Regulations 2006
- Town Planning Regulations 1967
- Town Planning and Development (Subdivisions) Regulations 2000
- Transfer of Land Act 1893
- Waste Avoidance and Resource Recovery Act 2007
- Western Australia Disability Services Act 2004
- Workers Compensations and Injury Management Act 1981
- Workers Compensation and Injury Management Regulations 1982
- Privacy and Responsible Information Sharing Act 2024

In addition, the City administers the following City of Albany Local Laws:

- Activities in Thoroughfares and Public Places and Trading Local Law 2011
- Animals Local Law 2020
- Bush Fire Brigades Local Law 2020
- Dog Local Law 2017
- Extractive Industries Local Law 2009
- Fencing Local Law 2010
- Health (Food) Local Laws 2009
- Health Local Laws 2001
- Jetties, Bridges, Boat Pens and Swimming Structures Local Law 2020
- Health Local Laws 2001
- Keeping and Welfare of Cats Repeal Local Law 2014
- Local Government Property Local Law 2011-Determination-Stidwell Bridle Trail-Designated Horse and Authorising Vehicle Use Only
- Local Government Property Local Law 2011 – Determination-Vehicles on Beaches
- Local Government Property Local Law 2011
- Local Law Relating to the Former Perth 2001
- Parking and Parking Facilities Local Law-Determination-Airport Parking
- Parking and Parking Facilities Local Law 2009
- Parking and Parking Facilities Local Law-Determination-Designate Parking Spaces for Electric Vehicle Charging Use Only
- Sand Drift Prevention and Abatement Local Law 2009
- Signs Local Law 2006
- Standing Orders Local Law 2014
- Waste Local Law 2017.

1.7 Major Government Policy and/or Industry Standards

The following government and industry standards and codes of practice have been imposed upon or adopted by the City of Albany:

- Australian Records Management Standard ISO/AS 15489;
- Australian Accounting standards;
- National Competition Policy;
- State Records Commission Principles and Standards;
- WA Government Policy, Premier's Instructions and Public Sector Commissioner's Circulars; and
- Government Disposal Authority for Local Government Records DA2023-005]
- Australian Building Codes – standard

Principal Two: Policies and Procedures

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

2.1 Records Management and Business Information Systems

The City of Albany stores and manages its records using SynergySoft, SynergySoft has been used as the City's electronic document management system since 2001.

2.1.1 Records Management System

The core records management system used by the City of Albany is SynergySoft and consists of both hard copies and electronic records. Hard copy records are scanned and registered into SynergySoft and electronically allocated to Responsible Officers.

Physical files may be loaned to staff. All physical files loaned to staff are recorded electronically in SynergySoft and an audit of those loaned files is conducted twice per year. Retention and disposal of physical files is managed in accordance with the General Disposal Authority DA2023-005.

Files are created using the Keywords for Council Thesaurus, with the exception of Assessment, Subdivision, Strata, Contract and Lease files. These files are created within SynergySoft but are numbered manually.

2.1.2 Business Information Systems

The core business information system used by the City of Albany is SynergySoft, supplied and maintained by IT Vision. The system is a comprehensive Content Records Management System designed specifically for use by local governments.

SynergySoft includes a Records Management Module which is used by all staff as the single repository for records.

Records can be registered manually using the software, and email records can be captured from Outlook and recorded in SynergySoft.

SynergySoft has specific modules for the following functions:

- Customer Service Requests;
- Rate payments;
- Building and Planning Applications;
- Electoral Roll (Owners and Occupiers);
- Payroll;
- Financial Management including Creditors and Debtors;
- Inspections;
- Dog and Cat Registrations; and
- Infringements.

Please note: The City of Albany has commenced a project to replace SynergySoft with Datascape from Datacom and Pulse HR from Pulse Software. Datascape and Pulse are cloud-based enterprise resource planning systems. When Datascape and Pulse are implemented, the associated records management system will SharePoint using AvePoint Opus. This records management plan will be updated and resubmitted when Datascape has been implemented at the City of Albany.

Other business information systems used by the City to capture and record information are:

- PerfectGym – used by Albany Leisure and Aquatic Centre –contains customer details.
- ArcGIS – GIS application for displaying information spatially - contains customer details.
- Forcefield – Security Access System. Used to administer staff security access.
- Mandalay – Waste Management System. Contains customer details.
- Spydus – Library Management System. Contains customer details.
- Microsoft – Outlook, Teams, SharePoint and OneDrive
- Quest Archive Manager – Stores all emails sent and received.
- iFerret – Search and discovery system for legacy data.
- ELMO – HR recruitment management. Contains staff details.

Microsoft Outlook, and ArcGIS are integrated with SynergySoft. Other systems are stand alone and specific to business unit requirements.

Retention of Microsoft Teams Communications:

In accordance with the General Retention and Disposal Authority for Local Government Records (GRDA 2023-005), Microsoft Teams private chats are retained for 30 days. Messages and files shared within Teams channels are considered official business records and are retained permanently. Staff must ensure that any record of ongoing value shared via Teams is captured appropriately within the City's approved EDRMS.

2.2 Records Management Policy and Procedures

The registration, creation and management of the City's records is coordinated by the Records Team. The City's Recordkeeping Policies and Procedures include:

- Records and Information Management Policy and Procedures (Attachment 5)
- Provision of Records to Police Procedure (Attachment 6);
- ICT Policies and Procedures Manual (Attachment 7);
- Code of Conduct for Recorded Material Acquired on City of Albany Property (Attachment 9);
- Incident Management and Business Continuity Response Plan (Attachment 4);
- City of Albany Records Disaster Recovery Management Plan (Attachment 10);

2.2.1 Hard Copy Records

The creation and management of hard copy records is carried out by all staff, including the Records Team.

Recordkeeping Activities for the management of hard copy records	YES	NO
Correspondence capture and control - including incoming and outgoing mail registration; responsibilities assigned for classifying, indexing and registration; file titling and file numbering conventions.	✓	
Mail distribution - including frequency, tracking mechanisms and security measures.	✓	
File creation and closure - including assigned responsibility and procedures for file creation.	✓	
Access to corporate records - procedures for access to and security of corporate records.	✓	
Authorised disposal of temporary records and transfer of State archives to the State Records Office (SRO) - responsibilities assigned and a regular disposal program is in place.	✓	

2.2.2 Electronic Records

The creation and management of the City's digital records, including digital mail, is carried out by all users. The Procedure for End Users, which details the following recordkeeping activities, is detailed at Attachment 3.

Recordkeeping Activities for the Management of electronic records	YES	NO
Electronic records management – including the organisation's approach and methodology for the capture and management of its electronic records (e.g. print and file, identification of the official record, use of EDRMS, hybrid system etc.). <i>Records Management Procedure-End Users, Records Team Procedure for Records Management.</i>	✓	
Email management - including the capture, retention and authorized disposal of email messages to ensure accountability Should indicate whether the organisation is utilising a document management system or hard copy records system (e.g. print and file, identification of the official record, use of EDRMS, hybrid system etc. <i>Records Team Procedure for Records Management, Records Management Procedure-End Users</i>	✓	
Website management- including the purpose of the site, capture of all the information published to the website within the corporate system, and mechanisms for recording website amendments. The City of Albany's websites are maintained by the Website Coordinator and are the responsibility of the Manager of the specific area of the business. There is no specific Policy for the management of the website, however an induction is completed.	✓	
Metadata management – including authority for the capture and control of metadata. <i>City of Albany Delegations Register 2025</i>	✓	
System/s management - including any delegations of authority for the control and security of systems utilised by the organisation. <i>City of Albany Delegations Register 2025, ICT Policy</i>	✓	
Migration strategy - strategies planned or in place for migrating electronic records (and any assigned responsibilities) for long-term retention and access. See Public Records Policy: 8 - Policy for the ongoing management of electronic records designated as having archival value. <i>City of Albany Migration Action Plan.</i>	✓	

The City has created the following Procedures:

- Records Team Procedure for Records Management;
- Records Management Procedure-End Users
- Records Team Procedure for Processing Inactive Files and Destruction;
- Records Induction Check List Form;
- Legal Deposit Procedure for Records Team; and
- Provision of Records to Police Procedure.

These procedures encompass the following activities:

- Correspondence capture and control – including incoming and outgoing mail registration; responsibilities assigned for classifying, indexing and registration; file titling and file numbering conventions;
- Mail distribution – including frequency, tracking mechanisms and security measures;
- File creation and closure – including assigned responsibility and procedures for both physical and automated file creation;
- Access to corporate records – including procedures for access to and security of corporate records;
- Authorised disposal of temporary records;
- Digital records management – including the organisation's approach and methodology for the capture and management of its digital records (e.g. print and file, identification of the official record, use of EDRMS, hybrid system etc.);
- Email management – including the capture of email correspondence.

The City's Intranet contains Corporate Documents. The use of the Intranet is governed by the Corporate Document Policy, to ensure that corporate documents are relevant, uniform, accessible and user friendly.

All corporate documents are developed and reviewed in accordance with the Corporate Document Development and Review Policy, which ensures that Corporate Documents are written in a standardized and accessible manner, are developed in consultation with relevant stakeholders, are adopted and that mechanisms are established to support their implementation and review.

The City has the following websites:

- www.albany.wa.gov.au
- www.library.albany.wa.gov.au
- www.albanyleisurecentre.com.au
- www.artsandculture.albany.wa.gov.au
- www.nationalanzaccentre.com.au
- www.amazingalbany.com.au
- www.albany2026.com.au

The City of Albany website is transactional in addition to providing access to information. The following functions can be accessed through www.albany.wa.gov.au:

- Pay your Rates-online rate payments. These transactions are captured in the Rates module of SynergySoft;
- Online lodgement of Building Applications, including a tracking function to track the progress of your application. These applications are captured in the Building module of SynergySoft.

Metadata management – including requirements for capture of metadata in information systems, whether automatic or manual; Capturing metadata into the City's EDRM is the responsibility of all staff and is done manually.

System/s management is guided by the ICT Policies and Procedures. This is an overarching policy that defines the access to the City's Electronic Business Systems in order to protect public and/or commercial information.

Delegated authority for the control and security of systems utilised by the organisation (e.g. provision of access to systems through individual logins and passwords, protection of servers etc.) is governed by the City of Albany Delegations Register, which is reviewed and adopted annually by Council.

The City's Executive Management Team have endorsed the Digital Records Migration Action Plan Briefing Note on 18 July 2018. The Migration Action Plan is being progressed through the City's ICT Steering Committee, including scoping of the project to migrate TIF files, Zip Files and information stored on CD's or DVD's to an open format. The priority records for migration will be valuable or at risk records.

This is an ongoing project, subject to staffing and budget provision.

In addition, the City is in the process of identifying valuable or at risk records which are not currently held in digital format.

2.3 Certification of Policies and Procedures

Each of the City's Policies and Procedures contains a Document Approval and Document Revision History which details the method of approval i.e. either approved by the Executive Management Team or adopted by Council.

2.4 Evaluation of Policies and Procedures

The recordkeeping Policies and Procedures for the City of Albany cover all categories identified in Principle 2 of SCR Standard 2 and are deemed appropriate and effective. The City promotes continuous improvement in all policies and procedures to ensure that they are contemporary, relevant and effective, and that the City keeps pace with the changing corporate environment.

Principal Three: Language Control

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

3.1 Keyword AAA Thesaurus Implemented

The City of Albany has adopted and implemented the Keyword AAA Thesaurus which guides and informs the classification, titling and indexing of the City's records.

3.2 Assessment of its Effectiveness

The Thesaurus enables effective recordkeeping by ensuring consistency in the classification, titling and indexing for both administrative and functional activities of the City of Albany, not only for registration/capture of records, but for retrieval of records.

3.3 Identified Areas for Improvement

Particular areas for improvement have been identified:

- Improved short title contents and metadata (search terms); and
- Correct file selection.

Principal Four: Preservation

Government organisations ensure that records are protected and preserved.

For the City of Albany Records Disaster Recovery Management Plan refer to Attachment 4.

4.1 Assessment of Risks

4.1.1 On Site Storage

The City of Albany has its current, non-current, permanent and archival records located in on site storage at 102 North Road, Albany. This storage facility includes:

- Metal shelving with core flute board placed on the shelves;
- MDF shelving with core flute board placed on the shelves;
- Secure premises with swipe key access limited to Records Staff;
- Fire detection system, smoke alarms, fire proof door and a hand held fire extinguisher;
- Climate control air conditioning for 24 hours per day at a controlled temperature of 20 degrees Celsius;
- Disaster Recovery Kit;
- Compactum housing vital records;
- Large metal lockable container containing title deeds; and
- Secure Server Rooms (2), both are secured rooms with access restricted to authorised staff.

The City also holds current active files in two large compactum and a lockable filing cabinet in the Records Room, with swipe key access to this room allocated only to Records Team and cleaners. Climate control air conditioning runs for 12 hours per day.

The City has undertaken the measures detailed above to mitigate risk of damage by fire, flood or rain..

A twice yearly audit of loaned files is carried out to mitigate the risk of lost files.

4.1.2 Offsite Storage

Records held offsite are located in a commercial storage facility, operated by Albany Records Management. Albany Records Management were evaluated in accordance with the City's Procurement Policy and were chosen as the most suitable offsite storage facility, offering storage, retrieval and destruction of hard copy records, at a climate controlled secure facility.

Security of premises

Albany Records Management facility is fitted with an Intruder alarm system, including Reed Switches on the doors, glass break detectors on the frontage and Passive Infrared motion detectors throughout the offices and the warehouse.

CCTV covers the front of the building, the reception and the rear loading dock/driveway. Access is regulated by keyed external doors and electronic access control on internal access doors.

The service area/hard-stand at the rear of the premises is covered and gated at both ends. Motion activated security lights operate throughout.

Fire detection / suppression system

Smoke detectors are incorporated into the Security Alarm System, this system is direct dial to first responders. The rear roller door is an automated fire shutter with incorporated fire sprinklers. Hose reels service the premises in conjunction with portable fire appliances.

Air conditioning

No specific programming – subject to external conditions. The warehouse is maintained at 22 degrees Celsius, the storage environment is operated with stability being the main objective (temperature changes no more than 2 degrees and relative humidity changes no more than 5% in any 24 hour period).

Type of Shelving

The warehouse is equipped primarily with Dexion pallet racking lined with 19mm chipboard or 22mm MDF sheeting.

4.1.3 Data Centre and Cloud Storage

The City of Albany has entered into an arrangement with third parties to store electronic data/digital information and records in data centres or cloud storage facilities as detailed in the table below. A risk assessment was undertaken prior to the commencement of the data storage arrangement.

Information system/ categories of records	Name of service provider	Geographic location of cloud	Geographic location of backups	Risk assessed Y/N
Library Customer Records	Spydus	Australia	Australia	YES
Social Media Archive	Brolly	Melbourne, Victoria, Australia	Melbourne, Victoria, Australia	YES
Cloud HR and Payroll	ELMO	Australia	Australia	YES

4.1.4 Storage of Archives

The City of Albany holds State Archive Records in its archive storeroom, which has secure, restricted access and a 24 hour temperature control of 20 degrees Celsius. The City of Albany has transferred approximately 50 percent of its Archival Records into acid free boxes to preserve and protect the records. Some of these records have been captured electronically, whilst the remainder are hard copy only.

Electronic records in the City's EDRM are backed up on a daily basis.

4.1.5 Storage of Backups

Electronic backups of the City's electronic information are held offsite at the Mercer Road Admin Building and transferred there on a daily basis. Traditional backup tapes are not used. Veeam backup software is used to manage the electronic backups.

4.1.6 Quantity of Records

The City of Albany has custody of:

- 656 linear metres of temporary, permanent and archival hard copy records stored onsite;
- 12 linear metres of temporary hard copy records stored offsite; and
- 10 Tb of digital records/information/data.

4.1.7 Security and Access

The City has two main Server Rooms. Both are secure rooms with access restricted to approved staff only. Veeam backup software is used to manage the electronic backups.

A risk assessment has been undertaken as part of the City's Business Continuity Plans and Disaster Recovery Plan to ensure that the City can continue to operate in a crisis situation. Please refer to Attachment 2.

4.2 Assessment of Impacts of Disasters

A risk assessment has been undertaken regarding the risk of a disaster occurring which may affect the records of the City. This likelihood of a disaster has been rated as *Possible*.

The impact of a disaster affecting the City's records has been assessed as *Medium (9)*. The City considers that there are sufficient strategies in place to ensure that the business activities of the organisation will be managed appropriately in the event of a business interruption due to a disaster.

4.3 Strategies in Place for Preservation and Response

Strategies have been developed by the City in order to mitigate the impacts of a disaster, including a response strategy.

4.4 Vital Records

Vital records in hard copy are stored in a compactus in the archive storeroom. To mitigate the risk of loss, these records have been scanned and captured in the City's EDRMS. The digital copies are used for all normal business activities.

4.5 Back Up Procedures for Electronic Records

Electronic records are backed up daily. The backups are stored offsite. Veeam backup software is used to manage the electronic backups

4.6 Preservation of Electronic Records

The City has implemented the following processes to ensure that electronic records are accessible and readable into the future:

- a) Electronic records are maintained on hard disk arrays connected to the City's file servers. The City does not archive data to removable storage devices. The hard disk arrays are replicated for disaster recovery purposes and file servers are backed up as images. The physical disk arrays are replaced before they are regarded as 'end of life'.
- b) Digital records currently assessed as at risk or of high value are in open format to ensure accessibility and readability into the future.

4.7 Security

The following security measures have been implemented by the City to prevent unauthorised access to records:

- a) Hard copy records are stored in a secure room accessible only to approved staff. Currently the Records Team and cleaning staff have access to this secure room.
- b) Physical files loaned to staff are tracked electronically through SynergySoft using barcodes, and a physical twice yearly audit is conducted.
- c) Hard copy records stored offsite at Albany Records Management are located in a secure facility.
- d) Digital records have access levels determined in accordance with file structure and staff responsibilities. This access is reviewed twice yearly by the IT Manager and Team Leader Information Management in conjunction with the Executive Management Team to ensure that access is appropriately allocated.
- e) Access to Server Rooms is restricted to authorised staff only.
- f) All access to secure areas such as the Records Room, Archive Room and Server Rooms is logged on the City's access database.

4.8 Storage Reviews

The records storage facilities utilised by the City are reviewed every six months to ensure that conditions are appropriate for the organisations records. There are no plans to expand on site storage as the offsite storage currently utilised by the City is considered appropriate for the organisations needs. This will be assessed on a yearly basis.

4.8.1 Recovery of Lost Information

The City has developed a set of quick response strategies to recover lost information in all formats should a disaster occur:

- a) Core Servers are replicated offsite so that in the event of a disaster, the replicated servers can be activated through a script. This process ensures that there is a maximum loss of 15 minutes of data entry.
- b) A Disaster Recovery Kit is located on site in the Archive Room and the Records Room to assist in the recovery of hard copy records. In addition, the City also has in place a Records Disaster Recovery Management Plan (Attachment 3).

4.9 Identified Areas for Improvement

Ongoing Records Awareness Training across the organisation to address the number of records being stored on network drives is being undertaken. This has resulted in an increase in the number of records of this type being captured on the City's EDRMS. This training and awareness will continue into the future.

A Records Self-Assessment Checklist has been implemented across the organisation to identify training needs.

Principal 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 City uses the Retention and Disposal Schedule GDA 2023-005 relating to all functional records held by the City, which was released by State Records in August 2023. This Schedule replaces the previous General Disposal Authority DA2015-001.

The City applies the *General Disposal Authority for Local Government Records (GDA 2023-005)* for the retention and disposal of all records. Source records are scanned, registered into the approved EDRMS and the digitised copy is retained as the official record in accordance with the GDA 2023-005.

Records are scanned in accordance with the General Disposal Authority for Source Records. Only significant paper records are retained in original format, including key Finance, Leasing, Major Projects, Major Events, Work Health and Safety, and Building and Planning documents. All other source records are destroyed once digitised, with the digital copy retained for the prescribed retention period under GDA 2023-005.

Previously retained hard copy records will continue to be held for their required retention periods in line with GDA 2023-005.

5.2 Existing Ad Hoc Disposal Authorities

The City of Albany does not use any Ad Hoc disposal authorities.

5.3 Existing Disposal Lists

The City of Albany does not have any Disposal Lists.

5.4 Restricted Access Archives

The City does not hold any archival records which would require restricted access when transferred to the SRO.

5.5 Transfer of Archives

An Archives Transfer Request form has *not* been submitted to the SRO. The City will transfer State Archives to the State Archives Collection for permanent preservation when requested by the SRO.

5.6 Non-Transfer of Archives

SRC Standard 7: *State Archives retained by Government Organisations* provides for organisations to retain State archives older than 25 years. The City has not identified any State Archives that will not be transferred to the SRO for permanent preservation.

5.7 Disposal Program Implemented

The City conducts regular twice yearly (June and December) disposal program, disposals are documented in a Register of Destruction as per SRC requirements. The City of Albany's Retention and Disposal Schedule DA2023-005 and the *General Disposal Authority for State Government Information* have been fully implemented within the organisation.

5.8 Authorisation for Disposal of Records

Before any records are destroyed or transferred to the SRO, a list of the records due for destruction or transfer is provided to the Responsible Officer for each City business unit. This process allows for the review of documents due for destruction.

Officers may request any records which are not held in digital format to be scanned prior to destruction or re-sentenced for a longer period. The Destruction Schedule can then be authorised by the Information Management Coordinator, Executive Director Corporate and Commercial Services and the Chief Executive Officer.

5.9 Identified Areas for Improvement

The City has not identified any areas for improvement relating to the current scheduled disposal/destruction of hard copy records. However, consideration will be given to implementing a digital destruction schedule at the appropriate time.

Principal Six: Compliance

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

6.1 Staff Training, Information Sessions

The City has implemented the following activities to ensure that all staff are aware of their recordkeeping responsibilities and receive appropriate training to enable compliance with the Recordkeeping Plan:

- Induction for new employees.
- Self-Assessment Checklist as part of the induction process for employees to identify further training needs.
- In house one to one Records Awareness training as required for all staff members and business units.
- Advanced group training using external training providers.
- 'Power Users' within the organisation who provide support within their teams.
- Online Records Awareness training for employees using a training module in ELMO.
- Tutorials on the City's Intranet, including quick reference and 'Cheat Sheets'.
- Ongoing professional development for Records Team staff members, including external training and conferences.

6.2 Induction Programs

New employees are required to participate in an initial induction which introduces them to the City's EDRMS SynergySoft. As part of this induction, employees are provided with the End User Procedures for Recordkeeping and Quick Reference Guide. In addition they are provided with a Self-Assessment Check List which they can use to identify areas in which they require further training and support. Please refer to Attachment 4.

As part of the induction process, new employees will complete the Records Awareness online training module in ELMO. Online tutorials are also available on the City's intranet.

Ongoing support and one to one training is always available upon request. 'Power Users' within each business unit can also provide on the spot support and training as required.

All Records Officers and the Records Coordinator can participate in the Induction of new employees and provide ongoing training and support.

6.3 Performance Indicators

A set of Key Performance Indicators have been developed to monitor the City's recordkeeping performance. These signa's are contained in the City's Corporate Scorecard, which is reported on a quarterly basis to Council for endorsement. This Corporate Scorecard also enables continuous monitoring of recordkeeping efficiencies across the organisation.

6.4 Agency's Evaluation

The monitoring tool provided by the Corporate Scorecard enables the City to evaluate on a quarterly basis the performance and compliance functions of recordkeeping. The City aims for continuous improvement in all functions across the organisation and does not consider that additional monitoring is required at this time.

6.5 Identified Areas for Improvement

The City is committed to continuous improvement in both our recordkeeping systems and procedures, and records awareness training across the organisation.

The City will continue to evaluate and assess our current recordkeeping system to ensure that recordkeeping systems within the organisation are compliant and effective.

Training and induction across the organisation will be conducted in accordance with the most current information available to us.

Ongoing training is provided across the organisation to improve records awareness. Introduction of "ELMO", a cloud-based product which delivers online training across the City, including records awareness. The Records Team have also developed a Self-Assessment Form which has been implemented and will identify training requirements/opportunities for staff across the organisation. Refresher Records Awareness Training is provided by Records staff on a scheduled basis.

7- SRC Standard 6- Outsourced Functions

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

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

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

7.1 Outsourced Functions Identified

Outsourced functions of the City have Albany are listed in 1.3.

7.2 Recordkeeping Issues Included in Contracts

The City of Albany includes the creation and management of proper and adequate records of the performance of outsourced functions in the planning process for the outsourced functions. These requirements are included in the signed contract/agreement and ensures that records created and controlled by a contractor are managed in accordance with contemporary record keeping standards stipulated by the City of Albany.

The following clause is included in all contract documents and addresses recordkeeping responsibilities for contractors:

Recordkeeping

All manuals, drawings, computer programs or other records supplied by the Principal to the Contractor while 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 in the course of this Contract are held in a safe and secure manner, in line with industry best practice, i.e. backups completed, paper records held in a fireproof environment.

The Principal will be provided access to all records held by the Contractor associated with this Contract within twenty-four (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.

7.2.1 Planning

The City includes the creation and management of proper and adequate records of the performance of the outsourced functions detailed in 1.5, in the planning process for the outsourced functions. This includes Tender Documents and Contracts.

Ownership

The City includes in all contracts a clarification that ensures the ownership of State records is addressed and resolved during outsourcing exercises. This clause is included in the signed contract/agreement.

7.2.2 Control

Any contractor undertaking outsourced functions on behalf of the City must ensure that records created and controlled by them in either hard copy or digital format are stored in accordance with the recordkeeping standards, policies, procedures and guidelines stipulated by the City.

7.2.3 Disposal

The disposal of all State Records which are the product of or are part of any contract/agreement between the City and a contractor/agent will be disposed of in accordance with the *General Disposal Authority for State Government Information* published by the State Records Office.

7.2.4 Access

Conditions for the provision of access to any State records produced during a contract/agreement for outsourced functions are detailed in the signed contract/agreement.

7.2.5 Custody

Custody of documents which are the product of or are part of any contract/agreement between the City and a contractor/agent for State records are specified in the signed contract/agreement.

7.2.6 Contract Completion

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

7.3 Identified Areas for Improvement

The City has previously identified outsourced functions and recordkeeping requirements which have been addressed in contracts for outsourced functions in accordance with requirements of the Act. The City will continue to monitor the requirements to be addressed in contracts for outsourced functions in accordance with the most recent requirements under the Act.