Shire of Ravensthorpe

RECORDKEEPING PLAN

2015

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Introduction

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

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

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

The objectives of the Shire of Ravensthorpe RKP are to ensure:

- Compliance with Section 19 of the *State Records Act 2000*;
- Recordkeeping within the Local Government is moving towards compliance with State Records Commission Standards and Records Management Standard AS ISO 15489;
- Processes are in place to facilitate the complete and accurate record of business transactions and decisions;
- Recorded information can be retrieved quickly, accurately and cheaply when required; and the
- Protection and preservation of the Local Government's records.

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

This Recordkeeping Plan applies to all of the Shire of Ravensthorpe:

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

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

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

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

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

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

This Recordkeeping Plan supersedes RKP 2009033 and applies to all records created or received by any of the above parties, regardless of:

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

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

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

1. Principle One: Proper and Adequate Records

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

1.1 Historical Background

The Shire of Ravensthorpe was known as the Phillips River Road Board from 1903 to 1961. In 1961 the relevant State Act changed resulting in a change of name to Ravensthorpe Shire Council. There has not been any significant change in the boundaries of the Shire of Ravensthorpe. Currently seven (7) elected members, including the President and Deputy President make up the council.

The Shire of Ravensthorpe has essential relationship with the following organisations:

- The State Government – in particular the Department of Local Government, Regional Development, The Department of Planning and Infrastructure and The Department of Parks and Wildlife.
- Adjacent Local Authorities ie. Shire of Esperance, Jerramungup, Lake Grace, Kent and Dundas.
- Mining Companies – Ravensthorpe Nickel Operations, Galaxy Lithium, Phillips River Holdings and Silverlake Resources.

Since 2004, the Shire's strategic focus has remained the same except for an increase in responsibility for the administration of a recongnised airport which was used predominantly for BHP Biliton Nickel Mine which officially opened in May 2008 and was mothballed by the end of March 2009. Ravensthorpe Nickel Operations purchased the mine in 2010.

The Wudjari people are remembered in the names of landmarks within the Shire. Mining and agriculture have been the main activities of European settlers who arrived in the district in 1868.

1.2 Strategic Focus and Main Business Activity

To lead the Shire of Ravensthorpe toward the provision of a quality lifestyle for the community with substantial infrastructure based on a diverse sustainable economy, in harmony with the environment.

The main business activities of Council are:

- Rates
- Town planning
- Sporting and recreational facilities
- The maintenance of Council controlled public roads within the Shire
- The removal and disposal of refuse, as well as the maintenance of refuse sites within the conditions of the associated license requirements, the town sites within the Shire.
- The maintenance of foreshore and park reserves for the enjoyment of residents and visitors to the Shire.
- Provision of a General Practitioner servicing between two surgeries.
- Provides Banking and Licensing Services (under contract).

1.3 Functions, including those outsourced

Refer to Appendix 1.

1.4 Major Stakeholders

The Shire of Ravensthorpe recognizes employees, residents, ratepayers, general public and elected members as its major stakeholders.

The Shire recognizes and supports the activities of those groups that also provide services to residents, including community groups, the business community and State and Federal Government agencies.

1.5 Enabling Legislation

The Shire of Ravensthorpe is constituted as a district under the Local Government Act 1995. The general function of a local government is to provide for the good government of people living and working within its district and includes legislative and executive powers and responsibilities.

Using its legislative powers, a local government may make local laws prescribing all matters that are required or permitted to be prescribed by local laws, or are necessary or convenient to be so prescribed for it to perform any of its functions under the Local Government Act.

1.6 Legislation and Regulations Administered by the Shire of Ravensthorpe

Refer to Appendix 2.

1.7 Other Legislation Affecting the Shire of Ravensthorpe

Refer to Appendix 3.

1.8 Major Government Policy and/or Industry Standards

Refer to Appendix 4.

2. Principle Two: Policies and Procedures

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

2.1 Records Management Systems

- The creation and management of hard copy records is carried out by all Shire of Ravensthorpe administration staff. An electronic document management system Tr@cer, was introduced in July 2008 and hard copy records were scanned and classified into this system. The Shire of Ravensthorpe introduced an automated records management system – Records Registration Module of SynergySoft 26th September 2012 replacing Tr@cer.

- Tr@cer was replaced due to issues with lost documents within the system, the program was not user friendly.

- Transferring records from Tr@cer to Synergy could not be completed due to financial costs involved and seeking specialized technical support. Due to these factors – the data in Tr@cer could not be migrated across to SynergySoft. A spreadsheet has been developed to link the electronic copy to the correct file. Tr@cer is accessible only to view electronic searched items within the documents retention date.

- The records management system is paper based. The Records Officer is responsible for scanning the records and emails to SynergySoft for access purpose. The original paper copies are placed on file.

- The Shire of Ravensthorpe has no plans to change the records management system that was introduced 26th September 2012.

Table 2.1

Recordkeeping Activities for the management of hard copy records and covered in the Shire of Ravensthorpe Policies and Procedures	YES	NO
Correspondence capture and control – including incoming and outgoing mail registration; responsibilities assigned for classifying, indexing and registration; file titling and file numbering conventions. Include specific provisions for capture and control of Elected Members' correspondence.	Y	
Digitization – including categories of records digitized; disposal of source records; digitization specifications. See *General disposal authority for source records*. ***NB:*** *This procedure is only required where the organization intends to dispose of source records prior to the expiration of the approved minimum retention period after digitizing.*	Y	
Mail distribution – including frequency, tracking mechanisms and security measures.	Y	
File creation and closure – including assigned responsibility and procedures for both physical and automated file creation.	Y	
Access to corporate records – procedures for access to and security of corporate records.	Y	
Authorised disposal of temporary records and transfer of State archives to the State Records Office (SRO) – any assigned responsibilities.	Y	
Electronic records management – including the organization's approach and methodology for the capture and management of its electronic records (*e.g.* print and file, identification of the official record, use of EDRMS, hybrid system etc).	Y	
Email management – including the capture, retention and authorised disposal of email messages to ensure accountability Should indicate whether the organization is utilising a document management system or hard copy records system (*e.g.* print and file, identification of the official record, use of EDRMS, hybrid system etc).	Y	
Website management – i) Including guidelines 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, including capture of periodic snapshots of the site and mechanisms for recording website amendments.	Y	
Metadata management – including authority for the capture and control of metadata.	Y	

Recordkeeping Activities for the management of hard copy records and covered in the Shire of Ravensthorpe Policies and Procedures	YES	NO
System/s management – including any delegations of authority for the control and security of systems utilised by the organization (*e.g.* provision of access to systems through individual logins and passwords, protection of servers etc).	Y	
Migration strategy – strategies planned or in place for migrating electronic records (*e.g.* through upgrades in hardware and software applications, 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.*	Y	

2.2 Records Management Policy and Procedures

The creation and management of records is coordinated by the Shire of Ravensthorpe Records Officer.

Synergy is an integrated system. All rates, payroll, creditors payments, debtors, assets, mapping, receipting are separate modules and can be manually added to Records. These applications are not linked directly to synergy.

For the recordkeeping policy and procedures of the Shire of Ravensthorpe please refer to Appendix 5, 6 and 11.

2.3 Certification of Policies and Procedures

Evidence of formal authorization that the policies and procedures are in place and promulgated throughout the Shire of Ravensthorpe is provided by the copy of the certification document signed by the CEO. Please refer to Appendix 5 and 6.

2.4 Evaluation of Policies and Procedures

The recordkeeping policies and procedures for the Shire of Ravensthorpe cover all categories identified in Principle 2 of SRC Standard 2 and are assessed as operating efficiently and effectively across the Shire of Ravensthorpe.

Creation of Records

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

Capture & Control of Records

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

Security & Protection of Records

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

Access to Records

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

Appraisal, Retention & Disposal of Records

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

3. Principle Three: Language Control

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

3.1 Keyword for Councils Thesaurus Implemented

The Shire of Ravensthorpe has adopted and implemented the Keyword for Councils thesaurus for the titling of all its records. A sample of the terms used and their scope notes is attached. Please refer to Appendix 7.

3.2 Assessment of its Effectiveness

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

3.3 Identified Areas for Improvement

Using Keywords for Council, the Thesaurus Name / Keyword, Activity Descriptor and Subject Descriptor operates well within the Shire of Ravensthorpe, continuing training and education of all administration staff– no improvements are required.

4. Principle Four: Preservation

Government organizations ensure that records are protected and preserved

4.1 Assessment of the Risks

4.1.1 On Site Storage

The Shire of Ravensthorpe has its current and active, inactive and archival records stored at the Shire Administration Offices located at 65 Morgans Street, Ravensthorpe. The storage facility includes:

- Metal shelving,
- Secure premises
- Fire detection system
- Air-conditioning

The administration building is air conditioned during working hours and has smoke alarms fitted to the building.

External Storage Building:

- Metal shelving,
- Secure premises

The majority of inactive files and old archival records are stored in a secure, storage room on appropriate metal shelving. There is currently no fire detection systems installed in the external storage facility.

The Shire of Ravensthorpe will be undergoing renovations to the Administration building 2016/2017. The Records department will be included in the renovations – all record storage areas will be incorporated into one storage location within the Administration Building.

The main disaster threatening records stored onsite comes from fire/industrial accident/vandalism with the storage conditions as described here the risk is currently assessed as medium.

4.1.2 Offsite Storage

The Shire of Ravensthorpe has an Archives and Records Management Agreement with the Goldfields Voluntary Regional Organisation of Councils (GVROC). Archived records are transferred and stored at the Goldfields Records Storage.

See appendix 10 for conditions of the Goldfields Records Storage Facility

4.1.3 Storage of Archives

The Shire of Ravensthorpe has kept all State Archives in their original state within the administration building for example: Rates books have been wrapped in brown paper and then wrapped in plastic. All minute books are bound and kept in good condition and in their original state. These State Archives will remain under the custody of the Shire of Ravensthorpe administration building. The records will be kept at the Shire of Ravensthorpe due to the State Records Office being full to capacity.

4.1.4 Storage of Backups

Electronic backups of the Shire of Ravensthorpe computer records are held offsite at the end of each day and backed up on a daily basis.

The two tapes are encrypted and only specific software can be used with these tapes due to security restrictions.

Council are currently investigating setting up a disaster business continuity plan for our Synergy Soft environment. This is over a 12 – 24 month period depending on financial funding from the Shire of Ravensthorpe Council.

4.1.5 Quantity of Records

The Shire of Ravensthorpe has custody of:

- 50 meters of temporary records
- 10 meters of archives and permanent state records stored onsite.

4.1.5 Security and Access

The following measures are in pleace at the Shire of Ravensthorpe to ensure the security of its records, both hard copy and electronic and authorized access to them.

- The premises are secured every night
- Security levels are assigned to records to allow restriction to employees electronically
- Only staff have access to Shire records
- Payroll and Personal files are located in the Payroll Office, all documents are filed in a fire retardant pin coded filing cabinet accessible to only the CEO, DCEO, Records Officer and the Payroll Officer
- Confidential and legal records are held in a secure room with limited access. Access for these records is limited to only the CEO, DCEO and Records Officers. All Confidential and Legal records are filed in a fire retardant pin coded filing cabinet.

4.2 Assessment of the Impacts of Disasters

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

The Shire of Ravensthorpe will be undergoing renovations to the Administration building 2016/2017. The Records department will be included in the renovations – all record storage areas will be incorporated into one storage location within the Administration Building reducing the risk of a disaster to low. The improvements are anticipated to be carried out in the next 18 – 24 months.

4.3 Strategies in Place for Prevention and Response

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

- Vital records are held in a secure room
- Access to current hard copies records are limited to Shire Staff
- Archival Records in secure storage
- Computer records are backed up daily to reduce the impact of a loss of data
- Daily backups are held off site after business hours
- Access to electronic records can be remotely accessed

4.3.1 Vital Records Program

A vital records program has been developed for the Shire of Ravensthorpe. Vital records have been identified as a record that is essential for preserving, continuing or reconstructing the operations of the organization, its employees, customers and stakeholders in the event of a disaster or an emergency affecting the conduct of the organization.

The Shire of Ravensthorpe has established the vital records program through Synergy Soft. Vital Records can be nominated by tagging the record in Synergy, this will then flag the record as a Vital Record. This complies with all deeds, contracts, leases and payroll files.

Hard copy vital records are stored in fire retardant pin access filing cabinet accessible only to the CEO, DCEO and Records Officers. These records have been copied and the copies are placed on the relevant files and are used for normal business activities.

4.3.2 Back-up Procedures for Electronic Records

Electronic records of the Shire of Ravensthorpe are backed up daily. The back-ups are stored offsite after hours. Tapes are rotated fortnightly and kept for six months before being replaced.

Council are currently investigating setting up a disaster business continuity plan for our Synergy Soft environment. This is over a 12 – 24 month period depending on financial funding from the Shire of Ravensthorpe Council.

4.3.3 Security

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

- Electronic records have varying degrees of access depending on delegations assigned to staff within the organization. Files assigned with a level 99 access can be accessed by Executive staff only.
- Electronic records are backed up on a regular basis as described previously.
- Payroll and Personal files are located in a fire retardant pin coded filing cabinet in the Payroll Office accessible to only the CEO, DCEO, Records Officer and the Payroll Officer
- Vital, Confidential and legal records are held in a secure room with limited access. Access for these records is limited to only the CEO, DCEO and Records Officers. All Confidential and Legal records are filed in a fire retardant pin coded filing cabinet.

4.3.4 Storage Reviews

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

4.3.5 Recovery of Lost Information

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

- duplication of hard copy vital records;
- back up of electronic records;

4.4 Identified Areas for Improvement

The immediate areas for improvement are:

- improved archive capacity within the Shire of Ravensthorpe
- improved archive storage conditions
- The Shire of Ravensthorpe will be undergoing renovations to the Administration building 2016/2017 – all records storage locations will be relocated within the Shire of Ravensthorpe and storage conditions improved. These improvements are anticipated to be carried out in the next 18 – 24 months.

5. Principle Five: Retention and Disposal

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

5.1 General Disposal Authority for Local Government Records

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

5.1.1 Disposal of Source Records

The Shire of Ravensthorpe has established procedures to scan all incoming, hard copy, correspondence in accordance with the requirements of the General Disposal Authority for Source Records. The original hard copy correspondence, once reproduced electronically, will be treated as copies/duplicates and as such will be retained for the full retention date of the document to meet operational requirements and then destroyed.

The Shire of Ravensthorpe is not currently using the scanned electronic copy as the scanned / sourced document due to requirements of previous management. We will progressively change our procedures to treat the scanned / electronic copy as the original document.

5.2 Existing Ad Hoc Disposal Authorities

The Shire of Ravensthorpe has no approved Ad Hoc Disposal Authorities or Disposal Lists.

5.3 Existing Disposal Lists

The Shire of Ravensthorpe is currently creating disposal lists. All records consist of records pre 2011. Disposal and Archival Records will be transferred to the Goldfields Record Storage Facility once authorised by the CEO.

5.4 Restricted Access Archives

The Shire of Ravensthorpe does not have any State archives to which it intends to restrict access when they are transferred to the SRO.

5.5 Archives not Transferred to the SRO

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

5.6 Disposal Program Implemented

The Shire of Ravensthorpe has implemented the General Disposal Authority for Local Government Records and will be conducting a regular disposal program on an annual basis. Refer to Appendix 12

5.7 Authorisation for Disposal of Records

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

6. Principle Six: Compliance

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

6.1 Staff Training, Information Sessions

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

Table 6.1

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

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

Refer to Appendix 13 and 14 for Synergy Soft Cheat Sheet and Recordkeeping Induction Training

6.2 Performance Indicators in Place

The primary performance indicators used by the Shire of Ravensthorpe relate principally to the time it takes to respond to requests.

Due mainly to the relatively small size of the Shire of Ravensthorpe records it is not considered necessary to implement any additional formal performance indicators.

This will be re-examined in the next review.

6.3 Agency's Evaluation

On the basis of response times and staff feedback thus far, the recordkeeping systems are assessed as being efficient and effective within the organization. The Deputy Chief Executive Officer currently assesses monthly response times and feedback through Synergy Soft Records Program.

6.4 Annual Report

An excerpt from the Local Government latest Annual Report is attached, demonstrating the organization's compliance with the *State Records Act 2000*, its Recordkeeping Plan and the training provided for staff. Please refer to Appendix 9.

The Shire of Ravensthorpe Council will comply with Principle 6 in future Annual Reports commencing with the production of the 2014/2015 Annual Report.

6.5 Identified Areas for Improvement

The Shire of Ravensthorpe has identified that more staff training is required on Records Management this will help further develop procedures and policy documentation that is currently in place.

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 organizations with persons to perform any aspect of record keeping for the organization.

State organizations may enter into contracts or other arrangements whereby an individual or an organization is to perform a function or service for the State organization, or act as the State organization's agent to deliver services to clients, or for the State organization'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 organization's legislative, business and accountability requirements.

7.1 Outsourced Functions Identified

Refer to Appendix 1 for those functions outsourced.

The Shire of Ravensthorpe undertakes banking and licensing services on behalf of Westpac and the Department of Transport.

The Shire of Ravensthorpe outsource Information Technology support all computer technical requirements (PCS) Perfect Computer Solutions. Other outsourced functions include Synergy – IT Vision and Spark – Market Creations, our web design application. Shire of Ravensthorpe Administration staff control and maintain the contact.

7.2 Recordkeeping Issues included in Contracts

7.2.1 Planning

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

7.2.2 Ownership

The Shire of Ravensthorpe will ensure that the ownership of State records is addressed and resolved during outsourcing exercises. Where possible this will be included in the signed contract/agreement.

7.2.3 Control

The Shire of Ravensthorpe will ensure that the contractor creates and controls records in electronic or hard copy format, in accordance with recordkeeping standards, policies, procedures and guidelines stipulated by the Shire of Ravensthorpe.

7.2.4 Disposal

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

7.2.5 Access

Conditions for the provision of access to any State records produced in the course of the contract/agreement have been agreed between the Shire of Ravensthorpe and the contractors.

7.2.6 Custody

Custody arrangements between the Shire of Ravensthorpe and the contractors for State records stored on and off site by the contractor are specified in the contract/agreement(s) as applicable.

7.2.7 Contract Completion

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

APPENDIX 1

Functions of the Local Government

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

APPENDIX 1

Functions of the Local Government

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

APPENDIX 2

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

Legislation, Regulations and Local Laws	*Tick if YES, the LG administers*
Agriculture and Related Resources Protection Act 1976	✓
Building Regulations 2012	✓
Bush Fires Act 1954	✓
Bush Fire Regulations	✓
Caravan Parks and Camping Grounds Act 1995	✓
Caravan Parks and Camping Grounds Regulations 1997	✓
Dangerous goods safety Act 2004	✓
Disability Services Act 1993	✓
Dog Act 1976	✓
Dog Regulations	✓
Environmental Protection Act 1986	✓
Environmental Protection (Noise) Regulations 1997	✓
Food Act 2008	✓
Food Regulations 2009	✓
Hairdressing Establishment Regulations 1972	✓
Health Act 1911	✓
Health Regulations	✓
Heritage of Western Australia Act 1990	✓
Land Administration Act 1997	✓
Litter Act 1979	✓
Liquor Control Act 1988	✓
Local Government Act 1995	✓
Local Government (Miscellaneous Provisions) Act 1960	✓
Local Government Grants Act 1978	✓
Local Government Regulations	✓
Main Roads Act 1930	✓
Parks and Reserves Act 1895	✓
Planning and Development Act 2005	✓
Radiation Safety Act 1975	✓
Radiation Safety Regulations	✓
Rates and Charges (Rebates and Deferments) Act 1992	✓
Rights in Water and Irrigation Act 1914	✓
Residential Design Codes of WA 2010	✓
Road Traffic Act 1974	✓

APPENDIX 2 **Legislation and Regulations that may be wholly or partly administered by Local Government, And Local Laws of the Local Government**	
Legislation, Regulations and Local Laws	***Tick if YES, the LG administers***
Strata Titles Act 1985	✓
Telecommunications Act (Commonwealth) 1997	✓
Telecommunications (Low Impact Facilities) Determination 1997	✓
Transfer of Land Act 1893	✓
Valuation of Land Act 1978	✓
Waterways Conservation Act 1976	✓
Western Australia Disability Services Act 1993	✓
Local Laws of the Shire of Ravensthorpe	
Dogs Local Law	✓
Parks, Reserves and Foreshores	✓

APPENDIX 3

Other Legislation and Regulations affecting the functions and operations of the Local Government

Other Legislation and Regulations	*Tick If Yes*
Building Services (Registration) Act 2011	✓
Criminal Code 1913	✓
Electronic Transactions Act 2011	✓
Equal Opportunity Act 1984	✓
Evidence Act 1906	✓
Freedom of Information Act 1992	✓
Freedom of Information Regulations 1993	✓
Industrial Awards	✓
Industrial Relations Acts (State and Federal)	✓
Interpretation Act 1984	✓
Limitation Act 1935, 2005	✓
Occupational Safety and Health Act 1984	✓
Occupational Safety & Health Regulations 1996	✓
Parliamentary Commissioner Act 1971	✓
State Records Act 2000	✓
State Records (Consequential Provisions) Act 2000	✓
State Records Commission Principles & Standards 2002	✓
Swan and canning River Management Act 2006	✓
Workers Compensation and Injury Management Act 1981	✓

APPENDIX 4

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

Government & Industry Standards and Codes of Practice	***Tick if Yes***
Australian Accounting Standards	✓
Australian Records Management Standard ISO/AS 15489-2002 Parts 1 & 2	✓
General Disposal Authority for Local Government Records	✓
National Competition Policy	✓
Other Please detail any additional items below	

APPENDIX 5
Policies and Procedures

Shire of Ravensthorpe

Records Management Policies

Document Control

Synergy Soft – Electronic Version of Records Management Policy: IPP14124294
State Records Act 2000 WA (the act) http://www.austlii.edu.au/au/legis/wa/consol_act/sra2000156/

1. Purpose

This policy provides a formal framework and assigns responsibilities for ensuring a responsible and sustainable approach to the management of the corporate knowledge base.

This policy establishes a framework for best practice management and consistency in the keeping of information in the form of documents, images, plans and web based content in both hard copy and electronic environment, in order to meet evidentiary, legislative and good governance accountabilities.

2. Definitions

The Act	State Records Act 2000 – Western Australia (the act)
SynergySoft	The system used to electronically store all Council's documents, images, plans and web based information.
Keeper	The Shire of Ravensthorpe
Record	Recorded information in any form, on any medium (paper or electronic) created or received and maintained by Council in the transaction of business or the conduct of affairs and kept as evidence of such activity.

3. Scope

This policy applies to all aspects of Council's business activities.

It applies to all Council employees, Elected Members, volunteers and external service providers engaged under contractual arrangements to conduct business on behalf of Council.

It applies to all active and archival records and all core and administrative functions where records are created, maintained, managed and stored, including the various business applications in use by the Council. This includes hard copy documents, images, plans and web based content.

Adherence to the Records Management Policy is a mandatory requirement for all, executives, managers, team leaders, coordinators, staff, contractors of the Shire of Ravensthorpe. No exemptions exist for this Policy.

4. Context

The State Records Act 2000 (the Act) requires public offices to make and keep full and accurate records of their activities. The Act also requires public offices to ensure that such records are effectively and efficiently managed so that they are accurate, complete and available when required. These records must be protected from accidental or deliberate loss, damage or misuse and secured from unauthorised access. The Council is responsible for, and is committed to, the effective management of all records and information in its care.

The Shire of Ravensthorpe is committed to establishing and maintaining practices that meet business needs, accountability requirements, and stakeholder expectations and minimise risks.

The policy aims to ensure that the following is understood:

- Council employees and Elected Members have an obligation to identify and keep records of business conducted including records created or received as part of daily work;
- Records created are covered by legislation and provide proof of activities and evidence of business; and
- Records have many purposes other than the original intent and these are often not evident at the time of creation.

The Shire of Ravensthorpe recognises that Records are vital assets, necessary to:

- Support its management, administration and service delivery,
- Deliver customer service in an efficient, fair and equitable manner,
- Provide evidence of actions and decisions and precedents for future decision making, and
- Protect its rights and interests and that of its clients and residents.

Council seeks to ensure that:

- It has the Records it needs to support ongoing business activity and customer service, meet accountability requirements and reasonable community expectations,
- These Records are managed efficiently and effectively, and can be readily accessed,
- It complies with all requirements concerning records and information management practices,
- Retention and disposal of council records will be in accordance with the General Disposal Authority for Local Government Records provided by the State Records Office of Western Australia (SRO).
- Records of longer-term value are identified and protected for historical purposes and those records identified as permanent are transferred to the State Records Office of Western Australia in due course to become part of the state archives, and;
- *State Records Act 2000; and Standards issued by the State Records Office of Western Australia*
- *State Records Office Guidelines, Management of Digital Records;*
- *Building Act 1993;*
- *Corruption and Crime Commission Act 2003 ;*
- *Electronic Transactions (Western Australia) Act 2011;*
- *Evidence Act 1906;*
- *Financial Management Act 2006;*
- *Freedom of Information Act 1992;*
- *Limitation Act 1935, Limitation Act 2005;*
- *Local Government Act 1995;*
- *Public Sector Management Act 1994.*

Refer to http://www.sro.wa.gov.au/state-recordkeeping/legislative-requirements

5. Policy

5.1 Policy Statement

Documents, images and other media created, received or used by Council staff, Elected Members, Volunteers and external service providers in the normal course of business are the property of the Council.

The Council's official Records constitute its corporate memory, and as such are a vital asset for ongoing operations, and for providing evidence of business activities and transactions.

5.2. Roles & Responsibilities

In accordance with the *State Records Office of Western Australia (SRO)*, Council's **Chief Executive Officer** is responsible for carrying out, with the advice and assistance of the Keeper, a program of efficient management of public records that is in accordance with all Standards issued by the Keeper.

All employees, Elected Members, external service providers and volunteers have a responsibility to create, capture and manage appropriately the complete and accurate records of The Shire of Ravensthorpe business, including records of decisions made, actions taken and transactions of daily business in accordance with the records management program, this policy and Council's records management procedures and processes.

The **CEO** and **DCEO,** are responsible for monitoring staff under their supervision to ensure that they understand and comply with the Records Management Policy and procedures. The CEO and DCEO are also responsible for fostering and supporting a culture within their workgroup that promotes good record management practices;

The Records Officers:

- develops and implements the SynergySoft program, including training;
- advises the CEO and DCEO on the management, storage, classification, retention and disposal of records according to standards and Disposal Authorities issued by the State Records Office of Western Australia (SRO); and
- manages the transfer of hardcopy and electronic records such as images, plans and web based content, and the capture and preservation of The Shire of Ravensthorpe.

External service providers will be responsible for:

- Ensuring that complete records are accurately created and managed that properly and adequately record evidence of the business activities of the work functions for which they are responsible. This applies to both hardcopy and electronic information, including email, images, plans and web based content;
- Complying with the requirements of the Act, and any other applicable legislation with requirements pertaining to recordkeeping;
- Respecting and protecting the confidentiality of these Records from unauthorised access and release of information, and
- Ensuring that these Records are returned to Council upon completion or termination of the Contract or work.

5.3. SynergySoft

SynergySoft is a completely integrated application that incorporates the very best features of Local Government software. There are in excess of thirty modules all of which, apart from the core General Ledger, are optional.

It is a comprehensive management system, specifically designed to meet the current and future information processing and management needs of Local Government Authorities. SynergySoft is flexible, with modules being fully integrated, and has been designed to include a consistent and helpful interface between the user and the system. It also encompasses two very important principles:

- That data must only be input once and stored once.
- All related data must be available for viewing.

All information created or received in the conduct of the Shire of Ravensthorpe business should be considered a public record and therefore captured into SynergySoft.

SynergySoft is a combination of business applications, procedures and practices. The system manages the following processes:

- the creation and capture of records;
- the storage of records;
- the protection of record integrity and authenticity;
- the security of records;
- access to records;
- the disposal of records in accordance with approved disposal authorities; and
- guidance and uniformity in method; and
- compliance with the requirements of the State Records Office of Western Australia.

SynergySoft assists in making full and accurate records, which include the following characteristics:

- **compliant** with the recordkeeping requirements arising from the regulated and accountable environment;
- **adequate** for the purposes for which they are kept;
- **complete** in content and contain the structural and contextual information necessary to document a transaction;
- **meaningful** with regards to information and/or linkages that ensure the business context in which the record was created and used is apparent;
- **comprehensive** in documenting the complete range of business for which evidence is required by the organisation;
- **accurate** in reflecting the transactions that they document;
- **authentic** in providing proof that they are what they purport to be and that their purported creators did indeed create them;
- **inviolate** through being securely maintained to prevent unauthorised access, alteration or removal, and
- **retrievable** records through the use of a key word discipline intuitive environment.

The following “systems/tools” do not provide adequate recordkeeping functionality and are not to be used to store all organisational Records:

- email folders;
- local F:drives;
- portable storage devices; and
- shared (network) drives.

6. Administrative updates

It is recognised that, from time to time, circumstances may change leading to the need for minor administrative changes to this document. Where an update does not materially alter this document, such a change may be made administratively. Examples include a change to the name of a Council department, a change to the name of a Federal or State Government department, and a minor update to legislation which does not have a material impact. However, any change or update which materially alters this document must be by resolution of the CEO or DCEO.

7. Review

The next biennial review of this document is scheduled for completion by 30 June 2017.

8. Breaches

Any serious breaches and non-conformance with this Policy and associated policies, procedures and legislative requirements will be dealt with under Council's Code of Conduct for Employees, Disciplinary Code.

Managers will always need to take into account principles of fairness and reasonableness in dealing with any breaches of this policy.

SynergySoft PRINCIPLES

Council is committed to achieving best practice through a council-wide consistent approach to the management of electronic information. This will be archived through the following principles:

1. Manage

- Council will establish the capability to manage the life-cycle of electronic content by maintaining electronic content and metadata in electronic form for the purpose of delivering services and conducting business. Electronic information is more accessible and continues to contain content when maintained in electronic form.

- Council will develop policies, business rules and procedure to enable sound recordkeeping practices in the electronic environment.

- Council will ensure the effective establishment and ongoing operation of its electronic content management system.

2. Capture

- Council will establish business processes to ensure hard copy documents and electronic content generated or received by Council employees, in the course of official duties are treated as official records in accordance with the State Records Act 2000 (the act) Western Australia.

- Council will implement electronic recordkeeping practices through the design and operation of reliable recordkeeping or business systems which produce authentic and reliable electronic content.

3. Store and Preserve

- Council will store and manage electronic content in compliance with relevant legislation and industry standards such as the State Records Act 2000, State Records Office Guidelines – Management of Digital Records.

- Maintaining electronic records over time involves a shared responsibility between Council and the State Records Office of Western Australia. Council cooperates with State Records Office of Western Australia to establish arrangements for the long-term management and preservation of electronic records.

4. Deliver

- Council will establish processes to ensure the delivery and access to electronic content is compliant with legislative requirements such as Freedom of Information Act 1992.

- Council will develop and maintain a security classification within the SynergySoft framework to provide a secure single point of access to all electronic content in business and recordkeeping applications.

5. Enable

- Council will invest in information technology infrastructure to support SynergySoft framework that facilitates integration of business and recordkeeping applications.

- Council will establish a security methodology that will enable security management and demonstrate authentication of electronic content within the Synergysoft framework.

The Record Management Policy was adopted by Counil on 19 February 2015

OFFICER RECOMMENDATION AND COUNCIL DECISION	ITEM 10.4.6
Moved: Cr Kelton	Seconded: Cr Dunlop
1. That the 2015 Policy Manual be adopted as presented.	
Carried: 6/0	Res: 13/15

I, Ian Fitzgerald, Chief Executive Officer certify that the Records Management Plan was adopted by The Shire of Ravensthorpe Council of 19 February 2015.

Ian Fitzgerald, CEO

APPENDIX 6

Records Procedures for the Shire of Ravensthorpe

Know The Shire of Ravensthorpe's procedures for managing records
The Shire of Ravensthorpe is required to establish procedures for the management of their records in all forms. It is the Records Officers responsibility to create and keep records according to the Shire of Ravensthorpe's Record Keeping Plan.

Why are records important?
Records tell us what, where and when something was done and why a decision was made. They also tell us who was involved and under what authority. They provide evidence of government and individual activity and promote accountability and transparency.

What are the benefits of good record keeping?
Records:
- help you work more efficiently
- enable you to meet legal obligations applicable to your work
- protect the interests of the Shire of Ravensthorpe
- demonstrate the cost and impact of the Shire of Ravensthorpe
- enable review of processes and decisions
- retain the corporate memory of the Shire of Ravensthorpe and its narrative history
- help research and development activities
- enable consistency and continuity of the Shire of Ravensthorpe

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Who is responsible?
The Shire of Ravensthorpe Chief Executive Officer and the Records Officer are responsible for meeting the requirements of the *State Records Act 2000.* Creating and looking after records is central to your responsibilities as a Records Officer. As an individual government employee, it is possible to be charged with an offence under the *State Records Act 2000* if you fail to keep a record in accordance with the Shire of Ravensthorpe Record Keeping Plan.

What do we have to do?
Create records routinely as part of your work
Records arise in the course of your work, such as sending an email. In other cases, where the activity does not automatically result in the creation of a record, you need to create one. Examples of this include meetings, informal discussions and the receipt of funds. It is important that the record accurately reflects the transaction or activity that has taken place.

File records into official records systems
The Shire of Ravensthorpe uses SynergySoft for managing and maintaining its records, whether they are created and received in paper or electronically. Failure to capture records into official records systems makes them difficult or impossible to locate when needed. They may even end up lost or destroyed. This also applies to emails. If an email needs to be kept to document a transaction or decision, then it should be captured into the Shire of Ravensthorpe records system.

Handle records with care
For paper records to survive and be available for as long as they are needed, they must be properly cared for. Avoid storing records near known hazards and try not to damage them.
Records are a corporate asset of the Shire of Ravensthorpe and do not belong to you. Do not remove them from official records systems for extended periods of time or take them out of the Shire of Ravensthorpe Administration Office.

Do not destroy records without authority

The Shire of Ravensthorpe records, whether paper or electronic, generally cannot be destroyed without proper authority from The Shire of Ravensthorpe Chief Executive Officer. Some kinds of records have only temporary value and can be destroyed when no longer needed. Make sure you know which records are required long term and which are not. This information is
part of The Shire of Ravensthorpe Retention and Disposal Schedule – General Disposal Authority for Local Government Records supplied by the State Records Commission, 2010. Failing to maintain records for the length of time they are needed puts you and the Shire of Ravensthorpe at risk of being unable to account for what has happened or been decided. This can result in problems for the Shire of Ravensthorpe clients, monetary losses from penalties or litigation, embarrassment to the Local Government, or, in extreme cases, disciplinary action for you or your colleagues.

Protect sensitive records from unauthorised access

Records can contain personal and confidential information which must not be disclosed to unauthorised persons. Ensure that records storage areas are secure, protect passwords and do not leave sensitive records lying around.

What happens to records once the business need ceases?

Most of the Shire of Ravensthorpe records, whether paper or electronic, can be destroyed with proper authority from the Chief Executive Officer. However, some records have permanent value to the State and to the people of Western Australia as evidence of the Shire of Ravensthorpe activities. These records will become State archives to be retained permanently and transferred to the State Records Office. Make sure you know which records you deal with have continuing value. Good record keeping includes taking proper care of records which have archival value and will be retained permanently.

APPENDIX 7

Keyword for Councils thesaurus File Titling

FILE NUMBER	TITLE, ACTIVITY, SUBJECT
CA.AU.1	COMMERCIAL ACTIVITIES AUDIT EXTERNAL
CA.CT.1	COMMERCIAL ACTIVITIES CONTRACTING
CA.CT.2	COMMERCIAL ACTIVITIES CONTRACTING COOPERATIVE BULK HANDLING
CA.CT.3	COMMERCIAL ACTIVITIES CONTRACTING LABORATORY ANALYSIS AND SUPPORT
CA.CT.4	COMMERCIAL ACTIVITIES CONTRACTING DIRECTORY LISTINGS
CA.FC.1	COMMERCIAL ACTIVITIES FEES AND CHARGES
CA.FC.2	COMMERCIAL ACTIVITIES FEES AND CHARGES CORRESPONDENCE
CA.FC.3	COMMERCIAL ACTIVITIES FEES AND CHARGES PENSIONER & SENIORS CONCESSIONS
CA.MK.1	COMMERCIAL ACTIVITIES MARKETING ADVERTISING
CA.MK.2	COMMERCIAL ACTIVITIES MARKETING PROMOTIONAL PUBLICATIONS
CA.PP.1	COMMERCIAL ACTIVITIES PROPOSALS
CA.PS.1	COMMERCIAL ACTIVITIES PREFERRED SUPPLIERS SUCCESSFUL
CA.PS.2	COMMERCIAL ACTIVITIES PREFERRED SUPPLIERS UNSUCCESSFUL APPLICATIONS
CA.TE.1	COMMERCIAL ACTIVITIES TENDERING REGISTER

Appendix 8
Keywords for Council Statement of Agreement & License

D/09/67

RLI00021NP

File: SRO/2002/050-03

Keyword for Coui
Statement of Agreement

STATE RECORDS NEW SOUTH WALES

Licence No. 074

Use of the *Keyword for Councils* thesaurus is dependent upon you agreeing to, and abiding by, the terms and conditions as stated in this licence agreement form. It is essential that the contents of this agreement are read and fully understood.

If you have any queries with any part of this agreement, please contact Lena Stekl on (08) 9427 3435 or email: lena.stekl@sro.wa.gov.au

This statement of agreement must be signed by a person who has the authority to bind the organisation, witnessed and returned to the State Records Office of Western Australia when ordering *Keyword for Councils*.

I, the undersigned, have read and understood the full terms of the licence agreement with the State Records Authority of New South Wales for the *Keyword for Councils* Thesaurus. I agree, for and on behalf of the SHIRE OF RAVENSTHORPE to abide by these conditions, and acknowledge that failure to do so may result in withdrawal of *Keyword for Councils.*

Name MR. PASCOE DURTANOVICH.

Signature

Date 12. 1. 2009

In the presence of:

Witness Signature

Witness Name JENNIFER FORD

Date 12.1.2009

(For State Records Office Staff use only)

Signed Statement of Agreement received and acknowledged by the State Records Office of Western Australia.

Signature: Date: 15.01.09

State Records Office of Western Australia, Alexander Library Building, Perth Cultural Centre, Perth, WA 6000
(Entrance South West corner of Building)
Telephone (08) 9427 3435 Facsimile (08) 9427 3368 email: sro@sro.wa.gov.au
www.sro.wa.gov.au

APPENDIX 9
The Local Government latest Annual Report

State Records Act 2000

State Records Commission Standard 2 (Record Keeping Plan), Principle 6 (Compliance) states that government organisations, including local government, should develop and implement strategies for ensuring that each employee is aware of the compliance responsibilities under their Recordkeeping Plan.

In accordance with State Records Commission Standard 2 – Principle 6 compliance with the Record Keeping Plan the following is reported:

Rationale:

An organisation and its employees must comply with the organisation's Record Keeping Plan. Organisations should develop and implement strategies for ensuring that each employee is aware of the compliance responsibilities.

Minimum Compliance Requirements:

The Record Keeping Plan is to provide evidence to adduce that:

1. The efficiency and effectiveness of the organisation's Record Keeping System is evaluated not less than once every 5 years
2. The organisation conducts a Record Keeping Training Program.
3. The efficiency and effectiveness of the Record Keeping Training Program is reviewed from time to time.
4. The organisation's induction program addresses employee roles and responsibilities in regard to their compliance with the organisation's Record Keeping Plan.

The Shire has complied with items 1 to 4.

Freedom of Information Act, 1992

Under Part 5 of the Freedom of Information Act 1992 the Shire of Ravensthorpe is required to prepare and publish as annual information statement.

This is available on the Shire website.

During the 2013/14 financial year no applications were received for information under the termss of this legislation

APPENDIX 10
Offsite Storage

Goldfields Records Storage offers a fully managed document cataloguing, storage, and retrieval service, tailored to specific needs.

Goldfields Records Storage has a secure facility..

Services Goldfields Records Storage offer:

- Document Storage
- Document Management
- Secure Document Destruction
- Cataloguing and Archiving
- Heavy Duty Boxes
- Retention & Destruction schedules
- Contract Records Management
- 240ltr Security Bins
- On Demand Scanning
-

For further information please call Manager, Yvette Hargreaves on 08 90217349 or mob: 0408805035

DOCUMENT STORAGE

Goldfields Records Storage collects the documents from offices and transport them in their vehicle to the storage facility.

As the boxes come into the storage facility they are registered onto our database, detailing the individual location, destruction review date, and retrieval status of each box.

DOCUMENT RETRIEVAL

Goldfields Records Storage confirms all requests by email, advising of when the delivery or collection will take place.

In order to avoid the risk of loss or error arising from your documents being handled by different people, your request is allocated to a specific Client Service Assistant. He or she is completely responsible for the entire process, personally retrieving any boxes, delivering them to you, collecting returned boxes and new ones into store, completing all paperwork, registering them, and physically putting them away. The Client Service Assistant you see will be knowledgeable about you and your specific request and be in the perfect position to answer any queries you may have.

Goldfields Records Storage tracks all aspects of all retrieval including who requested the retrieval, whom it was for, and who signed for the retrieval.

CATALOGING

Goldfields Records Storage are able to take complete responsibility for the process of cataloguing and boxing your documents in a smooth, efficient, and accurate process.

The finished catalogue allows you to search for key words as well as by file name and is sorted logically and consistently.

SECURE DOCUMENT DESTRUCTION

However sensitive your documents, we can ensure total peace of mind with our secure destruction service. Goldfields Records Storage can supply a “Certificate of Destruction”, if required.

Goldfields Records Storage can also offer secure destruction bins that we will deliver and pickup as a scheduled service or on adhoc basis.

ABOUT US

Goldfields Records Storage offer a fully managed document cataloguing, storage, retrieval and destruction service, tailored specifically to meet your needs.

Stored documents can be delivered to you whenever necessary, on a same day or next day basis.

GOLDFIELDS RECORDS STORAGE FACILITY OFFERS:

- Access Control
- CCTV – Monitored 24hrs a day
- Fire Detection
- Security

APEENDIX 11
Mail Registration and Distribution

Incoming Mail:
Each morning the mail is collected from the Ravensthorpe Post at 9am – Post Box 43.

All mail is opened and then sorted into the following groups – cheques, invoices, all other incoming records, ephemeral records. The details of the cheques are entered into the cheque register by the Records Officer and then passed onto the Customer Service Officer to be processed. The invoices are dated with the Received date stamp and then forwarded to the Accounts Payable/Payroll Officer for processing.

The ephemeral records are date stamped and distribute to appropriate staff via the pigeonhole collection system. Ephemeral records for the Manager of Planning and the Manager of Engineering Services are placed in a plastic envelope and placed in their in-trays on their desks.

All other incoming records are date stamped with the Synergy stamp and handed to the CEO for allocation to the appropriate Officer. All records are returned to the Records Officer - they are recorded electronically using records management system Synergy Soft before being distributed to the allocated Officers.

Each document has been date stamped and is entered into Synergy Soft as a cover sheet identifying the details of the correspondence, and then the document is scanned into the system and attached to the appropriate cover sheet. The following details (metadata) are recorded:

- Is it Incoming
- Who is it from
- What file number/ assessment numbers is it placed under
- Which staff member is assigned to the record
- The subject of the correspondence
- Date of the letter
- Address from the sender
- Any reference numbers or previous cross reference

A list of all incoming mail is produced from the electronic program, a hardcopy is printing for filing and staff are email their information. The action for each incoming document is able to access their correspondence via electronic record management system for processing.

The original document is filed in the appropriate files in the Records system by the Records Officer. Please refer to the Synergy Soft Quick Reference Cards

Outgoing Mail and other Material Created Internally for Filing:
All mail to be sent out is placed in the ‘mail tray’ for processing by the Customer Service Officer for delivery to Australian Post. All outgoing letters are entered into the outgoing mail register and, and are required to be produced in the electronic records management system are to be photocopied and the copy is forwarded to the Records Officer for filing, before the original is posted out. The appropriate officer is to ensure that this is done prior to placing the letter in the envelope.

Emails:
Both incoming and outgoing corporate emails are to be registered in the electronic records management system (Synergy Soft), hardcopy printed and then sent to the Records officer for filing. Outlook has a tab (Add-Ins) which allows you to enter the record directly into Synergy Soft.

Registering Outgoing Correspondence:
Each outgoing correspondence is created in Synergy Soft and attached to the appropriate cover sheet, the following details are recorded:

- Is it Outgoing
- What file number/ assessment numbers is it placed under
- Who is the contact officer?
- The subject of the correspondence
- Date of the letter
- Name and the Address of where the document is going
- Any reference numbers or previous cross reference

A copy of the original document is filed in the appropriate files in the Records system by the Records Officer.

All outgoing mail is collated by the Customer Service Officer and is delivered to Australia Post at the close of business each day for processing.

File Creation and Closure:
New files can only be created or closed by the Records Officer
New files can be created when:
A new function, subject, activity, project or subdivision is commenced or when an existing file becomes too large and a new volume is required.

Closure of Files:
Closed files are marked closed by attaching a File Closed Form at the front of the file (this form indicated that no further documentation is to added to this volume, the date it was closed whether a new volume was created and authorised by the Records Officer)

APPENDIX 12
Disposal List Authorsation

NCR155265

Closed Files 2 - Administration Compactors

File Ref	Decription	GDA	Disposal Action	Closed Date	Disposal Date
2.1.4	Building Structures - unapproved, correspondence	37.1.4	D - 7 years after last action	2007	2014
2.1.5	Building - Public buildings, correspondence	37.1.4	D - 7 years after last action	1995	2002
2.3.0	Building Classification - Correspondence	1.9	D - Until reference ceases	2008	2009
2.4.0	Building Inspections - records	60.4	D - 2 years after last action	2008	2010
2.4.1	Building Inspections - correspondence fax	1.9	D - Until reference ceases	2007	2008
3.0.0	Community Services	25.4.1.2	D - 5 years after last action	2008	2013
3.1.0	Community Services, Welfare correspondence	25.4.1.2	D - 5 years after last action	2008	2013
3.1.1	Community Services, Welfare correspondence V2	25.4.1.2	D - 5 years after last action	2008	2013
2.1.3.6	Building Licences	60.4	D - 2 years after last action	2008	2010
1.11.3	Emphemerial Record	1.2	D - Until reference ceases	2006	2007
1.6.10	Publication, newsletters, Empemerial Records	1.2	D - Until reference ceases	2007	2008
2.0.0	Building Inspections - records	60.4	D - 2 years after last action	2008	2010
1.6.12	Public Relations - Draft community meetings and consultations	89.9	D - 2 years after last action	2007	2009
1.8.0	Statistical Reporting - surveys	110.1	D - 5 years after last action	2007	2012
1.9.0	Copyright and correspondence	61.4	D - 6 years after last action	2004	2010
1.11.0	Emphemerial Record	1.2	D - Until reference ceases	2007	2008
1.6.9	Advertising - Press Cuttings	71.2	D - 7 years after last action	2005	2012
2.0.1	Circulars, Newsletters	1.2	D - Until reference ceases	2008	2009
2.0.2	Statistical Reporting - surveys	110.1	D - 5 years after last action	2007	2012
2.0.3	Building Training Fund	4.2	D - 6 years after sucessful audit	2008	2014
2.0.4	Building Correspondence	1.9	D - Until reference ceases	2007	2008
2.1.2	Temporary Accomodation	37.1.4	D - 7 years after last action	2006	2013
1.6.3	Public Relations - Awards, Public Sector, corporate Image	17.3	D - 7 years after last action	2008	2015
1.6.6	Public Relations - Functions, Celebrations, Ceremonies	20.2	D - 7 years after last action	2008	2015
1.6.7	Public Relations - Gifts and Promotional Materials	50.2	D - 7 years after last action	2007	2014
3.1.5	Community Welfare - Disability Services and Inclusion Plan	83.7	D - 7 years after last action	2008	2015
3.1.7	Community Welfare, Multifunctional Services, Unemployment Correspondence	103.2.2	D - 7 years after last action	2004	2011
3.1.9	Community Welfare, Youth and Childcare correspondence	103.2.2	D - 7 years after last action	2008	2015
3.2.0	Liason	25.4.1.2	D - 5 years after last action	2008	2013
3.2.1.0	Liason - Community Projects	73.7	D - 7 years after last action	2007	2014
3.2.3	Liason - Library Program	68.1	D - 7 years after last action	2008	2015
3.2.4	Liason - Bushfire Control Correspondence	78.8	D - 1 years after last action	2008	2009
3.2.4.002	Liason - Bushfire Control Correspondence, Firebreaks	78.8	D - 1 years after last action	2004	2005

File: IM.RM.1

Authorisation for Disposal:_____

APPENDIX 13

Recordkeeping Induction Training

Mail Collection – PO Box 43

Synergy Registration:

- **Creating a Coversheet - Examples ..\..\Records management\TRAINING\Records - Coversheet Examples.pub**
- **Register Mail in Synergy soft – refer to Quick reference Synergy Cheat Sheet ..\..\Records management\TRAINING\Records Quick Reference Cards.pdf**
- **Scan documents into synergy using multi function scanner**
- **Guidelines and Examples for Synergy ..\..\Records management\TRAINING\Records Guidelines and Examples.pub**
- **Synergy add-ins using Word, Excel and Outlook**

Creating New Files:

- **Creating new files**

Disposal List:

- **Creating boxes and Disposal lists**
- **..\..\Disposal List**

Stationary Orders:

- **Purchase Orders required for all purchase – CEO or DCEO**
- **Refer to contact list ..\..\Records management\Stock Orders\Stock Contact details.docx**

Harvest and Movement Bans:

- **What are Harvest and Movement Bans**
- **https://www.messagenet.com.au/**
- **Procedures on Harvest and Movement Bans ..\..\..\Library\Procedures\Harvest & Movement Ban**

Road Closures:

- **What is a road closure and when is it used**
- **https://www.messagenet.com.au/**
- **F:\Library\Procedures\Road Closures**

APPENDIX 14

Guidelines and Examples – Synergy Records

Guidelines and Examples

Guidelines

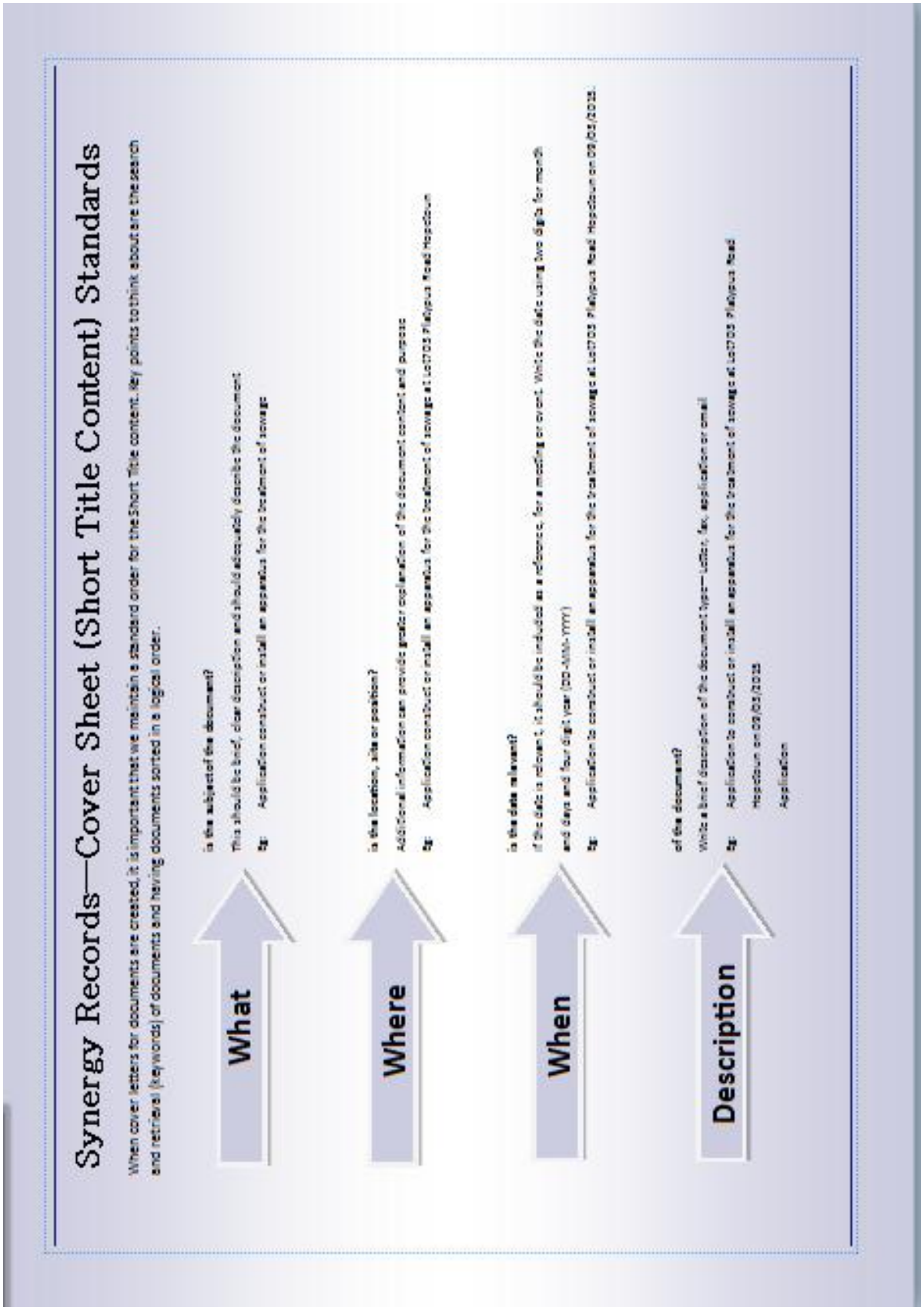
- Keep document titles short and meaningful
- Order the elements What, where, when, description in the most appropriate way to retrieve the record, start a new line on each subject
- When using single numbers are included show as two digits (03), except for year (2015) or a number with more than two digits (134)
- Where a person name is included use first name followed by surname
- Do not use acronyms or abbreviations to names or titles. Should a project or company only be known by the acronym type the actual name and put the acronym in brackets at the end of the name for Example: Royal Automobile Club (RAC)

Examples

- period ending 30th February 2015 = period ending 30/02/2015
- RAC = Royal Automobile Club (RAC)
- Council Annual Report 14/15 = Council Annual Report 2014—2015
- WALGA = Western Australian Local Government Association (WALGA)
- 12 Gibson Wy, Hopey = 12 Gibson Way, Hopetoun

APPENDIX 15

Cover sheet – Synergy Records



APPENDIX 16

Synergy Soft Cheat Sheet

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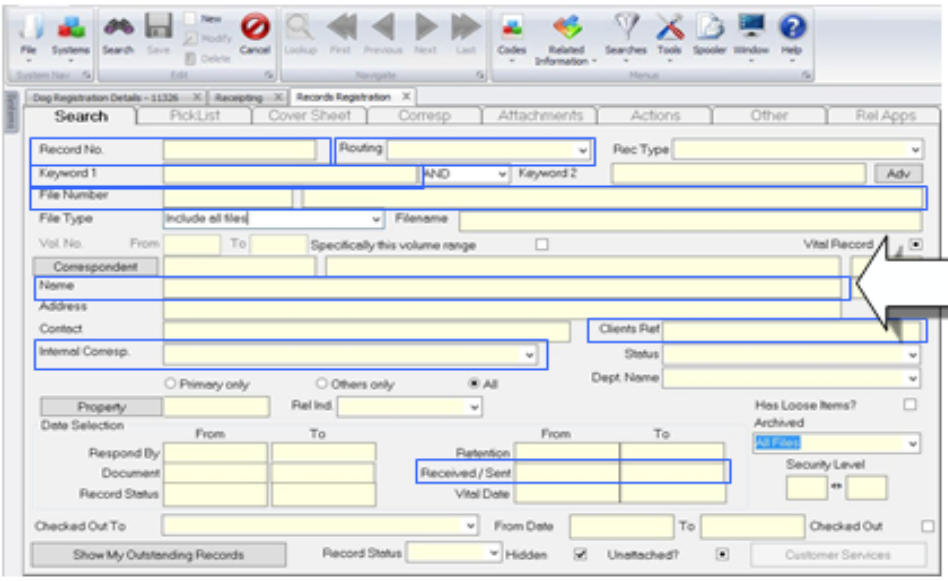
Quick Reference Card 1

Central Records

Searching for a record



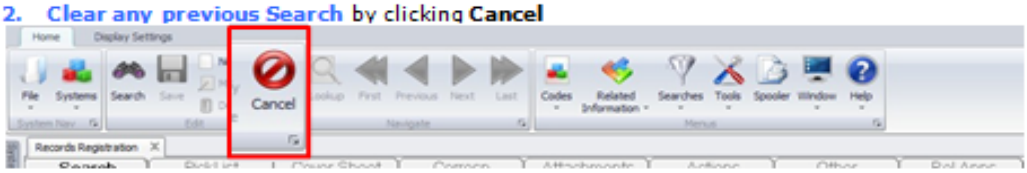
Best Search fields

1. Record No
2. Routing
3. Keyword
4. File
5. Name (Surname / Company Name)
6. Internal Correspondent
7. Client Ref
8. Sent/Received Dates

Steps

1. Open the Records Registration program and go to the Search tab

2. Clear any previous Search by clicking **Cancel**

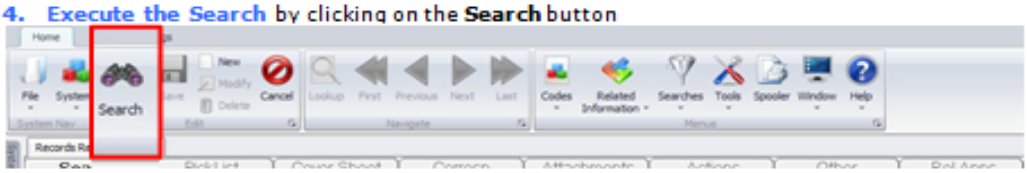


3. Enter your Search criteria You can either enter:
   - just the **Record Key** – (Record Key = Document No)
     (Since Record Keys are unique, you won't need to enter any other search fields. When you Search, the system will automatically find the matching record.)
   - or **one field or combination of fields**

Example 1: My current or past correspondence

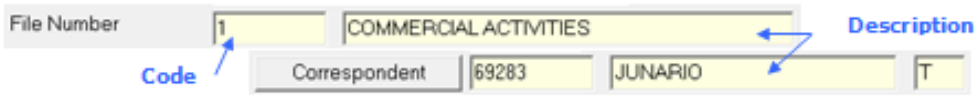
Example 2: A letter received last month

4. Execute the Search by clicking on the **Search** button



Tips and Hints

1. **Using the File or Correspondent fields** Both are Lookup fields. If you enter the Code, by typing in the number or by doing a lookup, the system automatically inserts a Description for you. If you enter a Description though, the Code isn't inserted automatically. The system needs both a valid Code and Description to be entered (so ensure both are included) before you click on **Search**.



2. Always best to search on the Received/Sent Date

3. Using Keywords You can type multiple words (separated by spaces) into the Keyword 1 field as long as you think all words exist on the Coversheet you're searching for. Consider which words you use. The system finds exact matches only. If you use the word info, but the full word (information) appears on Coversheets, no matches will be found. Use an asterisk(*) if unsure e.g. info*- it will find Coversheets with either info or information.

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Quick Reference Card 2
Central Records

Completing an Item

You should regularly review your Outstanding Coversheets and action them. When doing so, ask yourself:

Do I need to reply?
If you need to send a letter back then use the "Reply To" feature

Do I simply need to add a note and complete my part of the Coversheet?
If you need to note your action on the Coversheet and complete your part of that Coversheet, use the "Complete Items" feature (below).

Steps

1. Open the Records Registration program and **go to the Search tab**

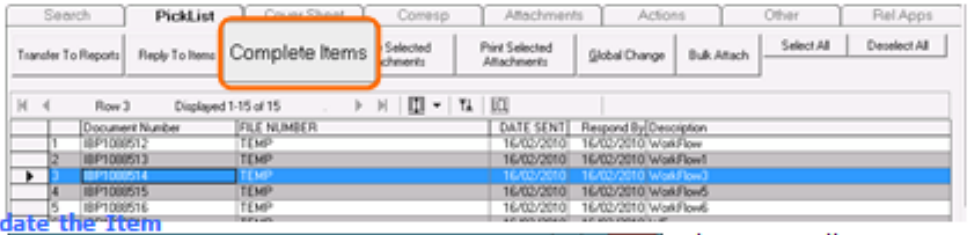
2. **Search for all Coversheets that are assigned to you** Click on the Show My Outstanding Records button

A Picklist that includes every Coversheet that is currently assigned to you will be displayed (each Row represents a separate Record).

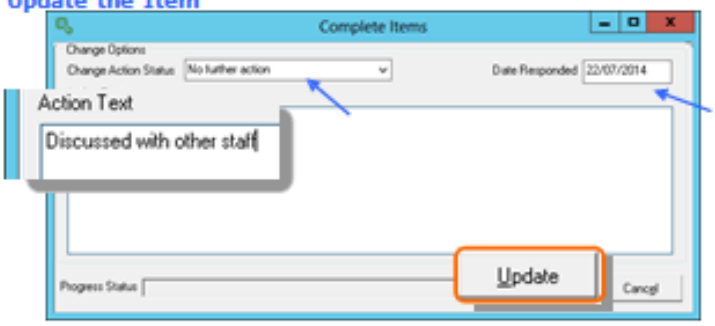
3. **Review a Coversheet** Double click on a Row to open one of the Records and review:
   - any Attachments (go to the Attachments tab) and
   - any Actions that have been recorded against the Record (go to the Actions tab)

4. **Go to the Picklist tab**

5. **Complete the Item** In the Picklist highlight the Row that contains the Coversheet you just reviewed and click on Complete Items



6. **Update the Item**



This screen allows you to add an action and update your part of the Coversheet.

Action Status = "No further action"

Date Responded – defaults to the date you complete the Item on.

Comment - Add a comment that other staff will understand, e.g. "Information Noted", "Discussed with relevant staff".

Click on **Update**

Tips and Hints

1. You need to refresh the Picklist (by doing another Search) to see the Coversheet disappear from your list of Outstanding Items.

2. If there are a number of Coversheets that can be completed with the same action, select all the relevant records from the Picklist in **Step 5** (Ctrl and click them) and then click on Complete Items.

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Quick Reference Card 3
Central Records

Replying to an Item – Part 1

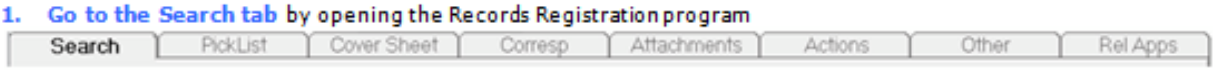
You should regularly review your Outstanding Coversheets and action them. When doing so, ask yourself:

Do I simply need to add a note and complete my part of the Coversheet?
If you need to note your action on the Coversheet and complete your part of that Coversheet, then use the "Complete Items" feature

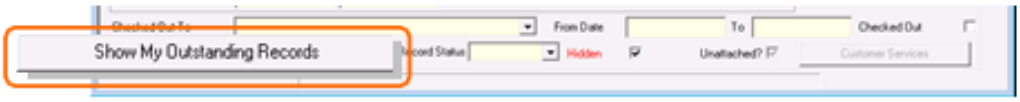
Do I need to reply?
If you need to send a letter back then use the "Reply To" feature (below)

Steps

1. **Go to the Search tab** by opening the Records Registration program



2. **Search for all Coversheets that are assigned to you** Click on the Show My Outstanding Records button

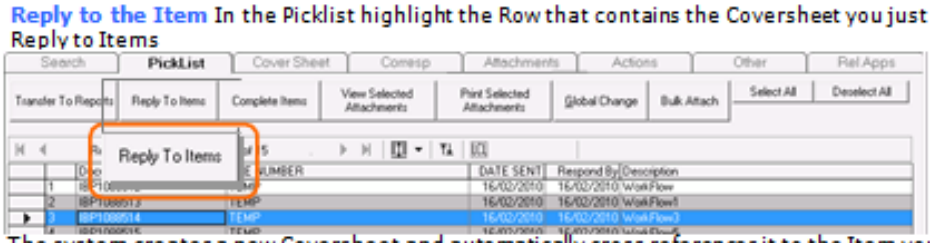


A Picklist that includes every Coversheet that is currently assigned to you will be displayed (each Row represents a separate Record).

3. **Review a Coversheet** Double click on a Row to open one of the Records.
   - the Attachments (go to the Attachments tab) and
   - any Actions that have been recorded against the Record (go to the Actions tab)

4. **Go to the Picklist tab**

5. **Reply to the Item** In the Picklist highlight the Row that contains the Coversheet you just reviewed and click on Reply to Items



The system creates a new Coversheet and automatically cross references it to the Item you're replying to. (Notice how a number of details are pulled through from the original Item to create the new Coversheet.)

6. **Add the Reply (letter)** When you create the Reply ask yourself:

Do you need to create a new document for the Reply?
If you need to create a new document then use a Template to create the Reply (see **Quick Reference Card 3a**)

Using Templates is the preferred way to produce outgoing correspondence.
Why?– Because the following information gets pulled through automatically onto the Reply's Coversheet:
Our Ref – Document Number
File Ref
Corresp
Your Reference – their Reference Number

Do you want to attach an existing document e.g. a letter that's been created outside SynergySoft?
If you want to use an existing document then use the Get existing Files option (see **Quick Reference Card 3b**)

Tips and Tricks

1. If there are a number of Coversheets that can be replied to using the same letter, select all the relevant records from the Picklist in **Step 5** (Ctrl and click them) and then click on Reply To Items.

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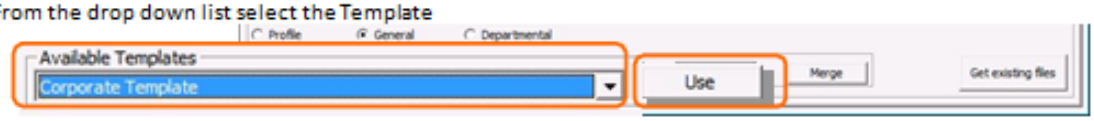
These instructions start on Quick Reference Card 3. Complete those steps then, if you decide you want to use a Template to create the Reply, finish the process off by completing the steps below.

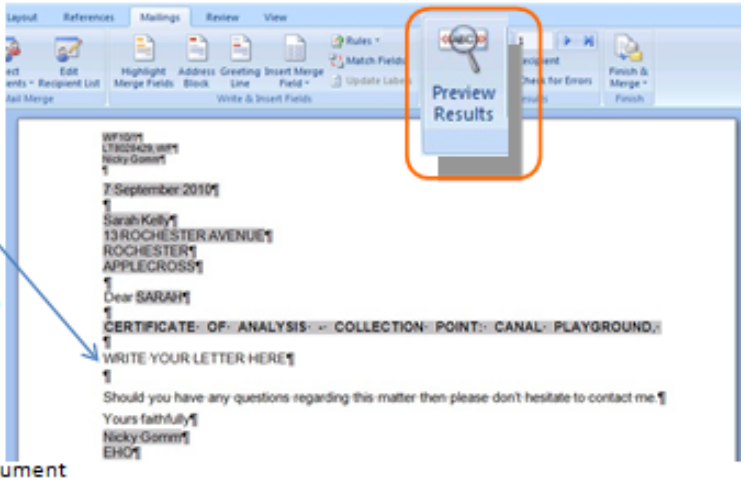
Using a Template to create the Reply

7. **Select the Template** that you want to use for your Reply
   a. From the drop down list select the Template

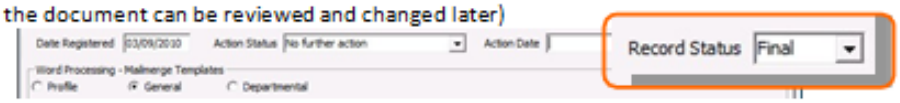


   b. Click on **Use**

8. **Compose the document in Word**
   i. Click on the **<<ABC>> Preview Results** button to see the merged data
   ii. Write the body of your letter
   iii. Minimise Word, and click on the **Merge** button in SynergySoft (See Tips and Hints, point 3).
   iv. When the temporary Word document appears print 2 copies (1 for the Records system and 1 that you send), then close the document



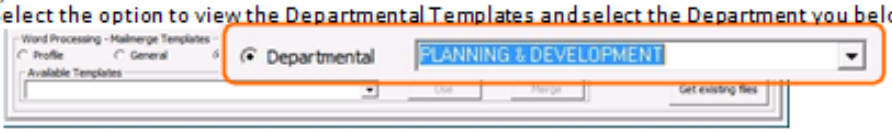
9. **Update the Coversheet**
   a. Back in SynergySoft, check/change the Record Status to Final (if the document is going out otherwise leave it as Draft so the document can be reviewed and changed later)



   b. Click on **Save**

Tips and Hints

1. After Replying, for the Coversheet to disappear from your list of Outstanding Items you will need to refresh the Picklist (by performing another Search)
2. When selecting which Template to use for your Reply (in **Step 7a** above) if Templates have been set up for your Department, you can use them:
   a. Select the option to view the Departmental Templates and select the Department you belong to



   b. From the list of Available Templates select the one that you want to use
3. Using the **Merge** button converts the mailmerge document into a standard document, allowing you to modify any of the information in the document
   Click on the **Merge** button to change the details in a mailmerge field such as the name of a person/company from **O'reilly** to **O'Reilly**, or an address from **P.o. Box 123** to **P.O. Box 123**
   ,or when you want to correct the spelling of a word.
   Remember, if the letter has been generated for multiple recipients then each page in your document will represent a separate letter. Ensure each page looks correct before printing and saving the record.

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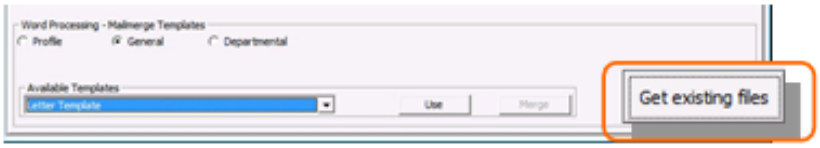
These instructions start on Quick Reference Card 3. Compelte those Steps. When you have written a Reply letter outside of SynergySoft and need to record it in the Records Management system then use the "Get existing files" feature (below).

Remember: Ensure you've spell checked and printed 2 copies of your document (1 copy for the Records system and 1 copy that you send) before completing the steps below.

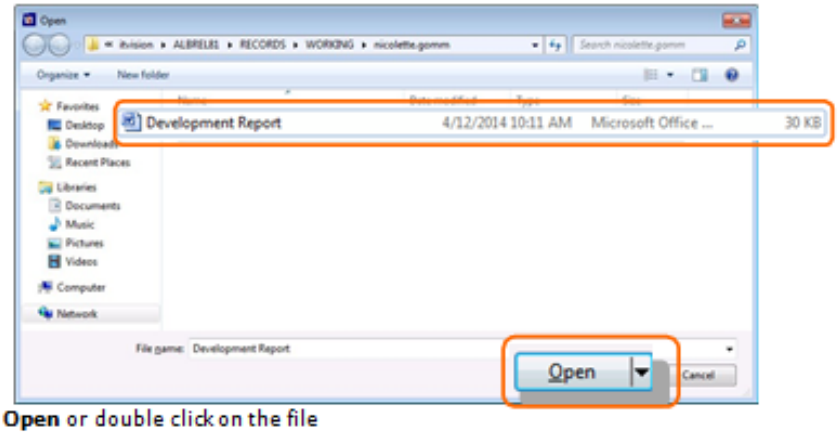
Using an existing letter for the Reply

7. Select the Document

a. Click on the Get existing files button



b. Browse to locate the file you want to attach

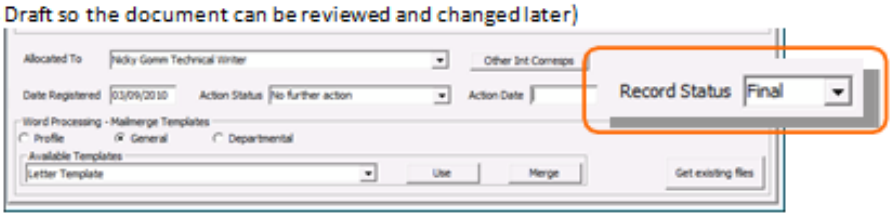


c. Click on **Open** or double click on the file

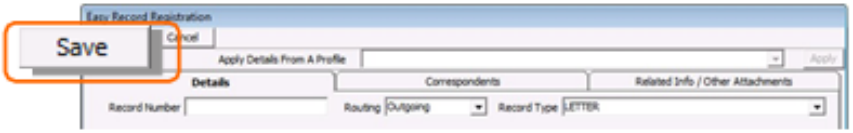
It's assumed that you have already spell checked and printed the document before attaching it.

8. Update the Coversheet

a. Back in SynergySoft, check/change the Record Status to Final (if the document is ready to be sent out otherwise leave it as Draft so the document can be reviewed and changed later)



b. Click on **Save**



Tips and Hints

1. After Replying, you need to refresh the Picklist (by doing another Search) to see the Coversheet disappear from your list of Outstanding Items.

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Quick Reference Card 4
Central Records

Registering a new Record

These steps explain how to add an uninitiated Record (i.e. a completely new Covershseet that is neither cross referenced to or a reply to an existing Record).

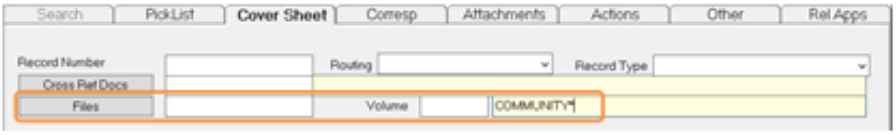
Steps

Scenario: You're a Community Development Officer sending out a letter to a number of Community groups

1. **Get into Add mode** by opening the Records Registration program and clicking on **New** on the main toolbar

2. **Enter the Coversheet's details**

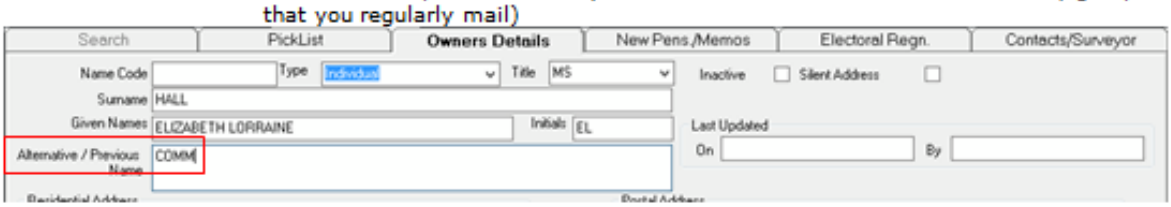
   Routing – Outgoing
   Record Type – e.g. Correspondence
   File – in the lookup field type in part of the File's Name e.g. COMMUNITY*



Corresps - locate the Correspondent by:
a. Clicking on the **Corresps** button
b. Enter their Name (Surname/Company Name e.g. *Scouts*) and/or Given Name and click on **Find Matching Person**
c. Select the relevant Correspondent(s) from the list and click on **Select**

To select the remaining Community Groups to send the letter to:
a. After adding the first correspondent, click on the **Corresps** button again
b. Click on **Add Row** and repeat steps b-c above (Do the same for each additional correspondent the letter needs to be sent to)

TIP: If you regularly send letters to the same 300 recipients for example, a quicker and easier way to select which Correspondents to send it to is to:
a. Group all of the External Correspondents you want to send the letter to together:
   i. Open each recipient's N&A record (go to the Names and Addresses menu > Detail Maintenance > Owners Details tab) and
   ii. Record the same code in the Contacts field for each of them
   TIP: Use a simple, short code (such as a code of COMM for the Community groups that you regularly mail)



Once this step is completed, any time a letter needs to be sent to this group, all the officer has to do when they create the Coversheet and select the Recipient is:
a. Click on the **Corresps** button

Key Steps

1. In Records Registration click on Add
2. Enter key details:
   - Routing
   - Record Type
   - File
   - Corresp
   - Short Title
3. Add/create an Attachment
4. Print the document
5. Check Record Status = Final

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Quick Reference Card 5
Central Records

Registering a Record from Outlook

Emails are a critical part of Records Management. If an email is identified as a record, it must be added to the Records system.

Key Steps

1. Open an email
2. Click on Add-ins > Central Records Form
3. Enter these key details:
   - Routing
   - Record Type
   - File
   - Corresp
   - Short Title
4. Check Record Status = Final
5. Save

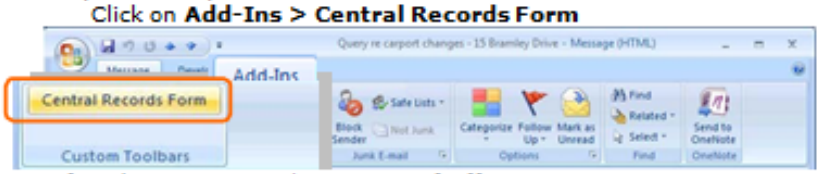
Steps

1. **In Outlook, open the email**

2. **Open Office Integration**

   If you're using Office 2007 or later:

   Click on **Add-Ins > Central Records Form**



   If you're using an earlier version of Office:

   Click on the **Central Records Form** button (bottom left) of the email

3. **Enter in the Coversheet details**

   a. Enter/check these details:

   Routing – this should have defaulted to Incoming, if the email has been received and is in your Inbox

   Record Type – choose the appropriate one e.g. Correspondence, Financial Matter…

   File – select the relevant File

   External Correspondent – Click on the **Corresp** button

   OI looks at the Sender's email address and tries to find a Correspondent record that contains a matching email address. If one's found, the Correspondent will be populated.

   If one can't be found, do a normal Search to locate the Correspondent or add a new Correspondent record for them.

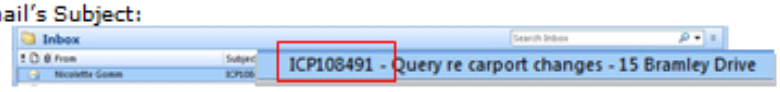
   NOTE: When searching or adding a Correspondent, if correspondence is received from a person who works at an organisation e.g. John at the Shire of Kalamunda, use the organisation as the Correspondent and the person's name as the organisation's Contact.

   Short Title – is pulled through from the email's Subject line – please review and update it - this will help you and other staff when you want to find the record again

   b. Check **Record Status** is set to Final

4. **Save the record into the Records system**

   c. Click on **Save** – the email will be recorded and the Record number will be added to the email's Subject:

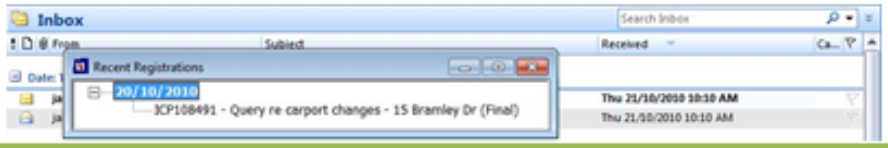


   NOTE: You can manually delete the email from your Inbox at this point if you wish.

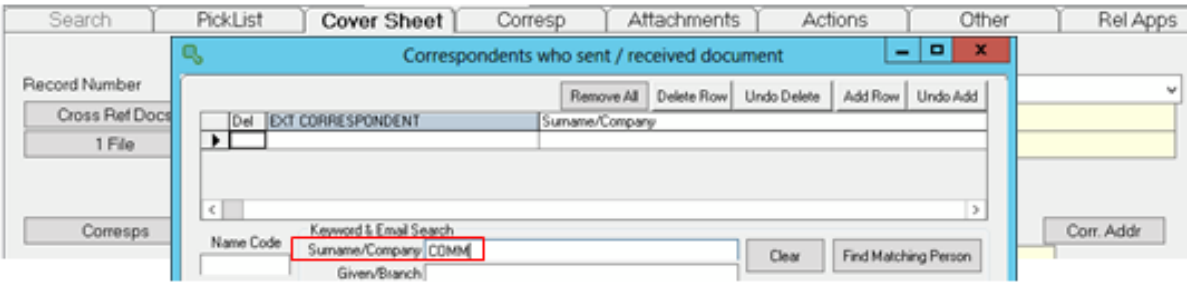
Tips and Hints

1. Instead of manually entering details onto the Coversheet, if your site has Profiles set up, you can use a **Profile** to automatically populate the Coversheet with the Routing Type, Record Type, File, Corresp, and Short Title, for example. To use a Profile, complete Step 2, then:
   a. Select the Profile you want to use from the drop down list, click on **Apply**
   b. Modify any details that need to change for this particular record, then **Save**

2. **To view which records you've recently added,** from your Inbox go to the Add-Ins tab and click on SynergyOffice (if you've just added a Record the button's caption will show the number of the last Coversheet saved instead). Clicking the button will allow you to view a list of Records you've added over the past week



b. In the Surname/Company field type the group's contact name



c. Click on **Find Matching Person**
This will pull through each of the recipients that are included in the group
- If the letter needs to be sent to each of the recipients, left mouse click in the first Row, hold down Shift and click on the last Row in the grid to select all of them
- If the letter doesn't need to go to every one of the listed recipients, simply select the relevant ones from the grid by clicking on them while holding down the Ctrl key

d. Click on **Select**
e. Click on **Select**
The count on the **Corresps** button will update to show the number of Correspondents that the letter is going to be sent to

3. Add/create the document

a. Go to the Attachments tab

If you want to create a new document using a Template

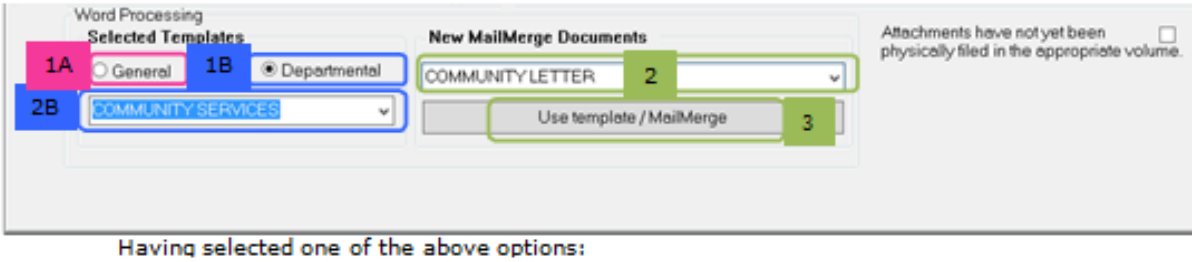
i. Decide which Template you want to use. Either

1A Select the option to use a **General Template** – General Templates are available to all users

or

1B Select the option to use a **Departmental Template** i.e. a Template that's been set up specifically for your Department to use and

2B Select the name of your Department from the drop down list



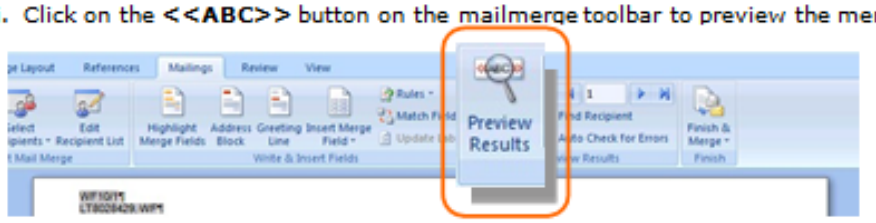
Having selected one of the above options:

2 Select the Template from the drop down list

3 Click on Use Template/Mailmerge

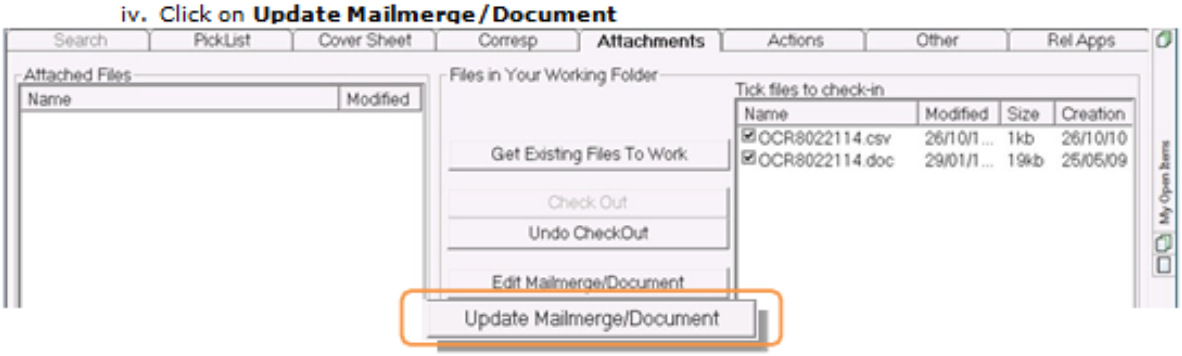
This will create a new document that's based on the template in Word

ii. Click on the **<<ABC>>** button on the mailmerge toolbar to preview the merged letter



iii. Minimise Word

iv. Click on **Update Mailmerge/Document**

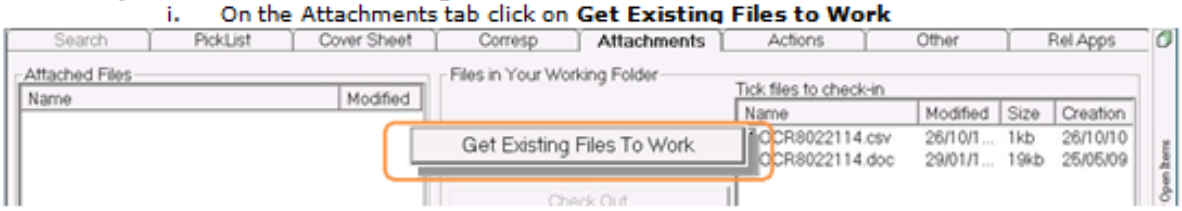


v. When prompted, click on **Merge** to create the finished letter

This converts the mailmerge document into a standard document that contains one page (i.e.one finished letter) per recipient. (The document no longer contains mergefields – any details that have been pulled through using mergefields are converted into static text. Because they are static text you can modify them if necessary.)

If you want to use an existing written document:

i. On the Attachments tab click on **Get Existing Files to Work**



ii. Browse to locate the file from your Working Directory and select **Open**

4. **Print the letter** – Remember to print one copy to send and one copy for the Records compactus:
   a. Simply highlight the document in your Working Directory
   b. Click on **Edit/Mailmerge Document**
   c. Print 2 copies, minimise Word and click on **Update Mailmerge/Document**

   REMEMBER You are in Add mode. If you want to search for another document at this point, click on **Cancel** on the main toolbar to return to the Search tab.

5. **Save the Coversheet** by clicking on **Save** on the main toolbar

Tips and Hints

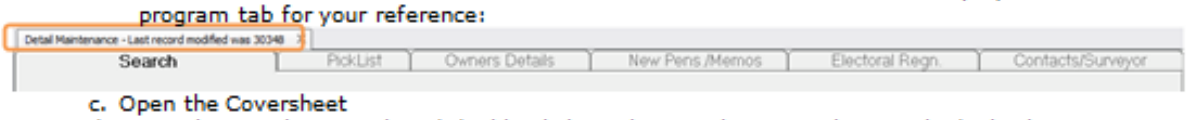
1. if you want to see which Outgoing Records you've created:

a. Go to the Search tab, check that all Search fields are blank, then search on **Routing** = Outgoing, **Int Corresp** = *your name*
b. Click on **Search**

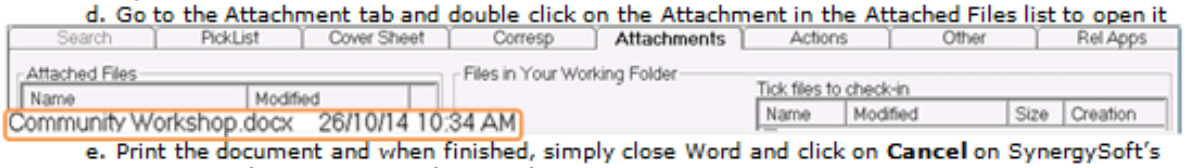
2. If you forgot to print your document and have already saved the Coversheet:

a. Go to the Search tab (click **Cancel** to get to the Search tab)
b. Search for the Record you just created using **Routing** = Outgoing and **Int Corresp** = *your name* or enter the Record number of the Coversheet you just created

TIP: Remember that the Record number of the last Coversheet added is displayed on the program tab for your reference:



c. Open the Coversheet
d. Go to the Attachment tab and double click on the Attachment in the Attached Files list to open it



e. Print the document and when finished, simply close Word and click on **Cancel** on SynergySoft's main menu bar to return to the Search screen

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Quick Reference Card 6

Central Records

Checking Coversheet Attachments in/out

These steps explain how to edit an Attachment (document) that's been added to a Coversheet.

TIP: In Records Management the terms Attachment and document are used interchangeably.

TIP: A Record's Status determines which changes users can make to a Record's Coversheet and its Attached document/s. A Record can have 1 of 3 possible Statuses – "Draft", "Review" or "Final". The 2 standard Record Statuses are "Draft" and "Final". While these notes explain how to update an Attachment if it has a Status of "Review" you can ignore those steps if your site doesn't use a Status of "Review" for its Records.

NOTE: You can only modify an Attachment if its Coversheet has a record status of "Draft" or "Review". Attachments linked to Coversheets with a status of "Final" can't be edited.

Steps

1. **Open the Coversheet that has the Attachment you want to update**

2. **Go to the Attachments tab, highlight the Attachment and check it out** so you can edit it
   a. Select the Attachment from the left pane
      The left pane shows all of the Coversheet's Attachments (in your Live Directory.) Documents in the left pane (i.e. Live Directory) can be viewed but not edited.
   b. Click on **Check Out** so you can edit it
      Checking the document out moves it to the right pane.
      The right pane shows all documents currently in your Working Directory. Documents in the right pane (i.e. Working Directory) can be edited

3. **Update the Attachment**
   a. Select the Attachment by going to the right pane and placing a tick next to its name)
   b. Click on **Edit Mailmerge/Document**
      This will open the document in Word so it can be edited
   c. Make your changes
   d. Click on the SynergySoft icon on your task bar
   e. Click on **Update Mailmerge/Document**
      TIP: This saves and closes the Attachment ready for it to be attached to the Coversheet
   f. Click on **Save** on the ribbon or by using **ALT+V** as a shortcut to save the Coversheet
      You'll be prompted to confirm that you want to attach the document to the Coversheet

   If the Coversheet has a status of "Draft"
   You'll then a message saying the document already exists do you want to overwrite it – select **Yes** to update the existing document or select **No** to keep the original document and to create a copy (second version) of the document that includes the changes you just made)

   If the Coversheet has a status of "Review"
   The system will automatically create a copy of the original document for you (you won't see the prompt you get when updating an attachment to a "Draft" Coversheet). The copy will include the changes you just made and will have a version number appended to it e.g.

Key Steps

1. In Records Registration open the relevant Coversheet

1. Go to the Attachments tab

   a. Select the document from your Working Directory (left pane)

   b. Click on: Check Out to move the document to your Live Directory (right pane)

   c. Select the document from the right pane

   d. Click on: Edit Mailmerge/ Document

   e. Make your change/s

   f. Click on: Update Mailmerge/ Document

if the original document had a number of LT224.docx, the new version will be given a number of LT224-1.docx

g. Select **OK**
This will automatically move the updated document from your Working Directory back to your Live Directory (when doing so it automatically checks the document back into your Live Directory so it's back in Read Only mode)

Tips and Hints

1. **If you Working directory is getting too cluttered**
If you share your Working Directory with other staff, and it's become cluttered, you can use the Delete button under the Working Directory (right pane) of the Attachment tab to clear out any unwanted attachments.

2. **If you check a document out then decide not to make any changes to it**
You can undo your check out to copy it back to your Live directory. Doing so ensures that the document is placed back into Read Only mode so changes aren't inadvertently made to it.

   To undo a check out:
   a. Select the document from the Working Directory (right pane)
   b. Click on **Undo Check Out**
   c. Click on **Refresh** below the Working Directory (right pane)

3. **If you want to re-use an Attachment elsewhere**
Click on the **Recover to work** instead of the Check Out button.
An example where you would use the option is when you have an existing document (e.g. a Policy document) that is held against a Coversheet that has been marked as "Final" and the document needs to be changed and a new Coversheet created for it.

   To save you from having to re-create the document from scratch, open the Coversheet that has the original Policy document attached. Select the document and click on Recover to work to create a copy of the document in your Working directory. Create a new Coversheet, pick up and attach the copy of the document to your Coversheet. Once the document's attached to your Coversheet, because it has a status of "Draft" or "Review" you'll be able to make the required changes to it.