This document links to the Community Strategic Plan through:

Goal 5: Effective leadership and governance

v.1.0 Endorsed by ELT 14 July 2015
Introduction

This strategy has been developed in response to the Department of Local Government and Communities Integrated Planning and Reporting requirements.

The Information and Communications Technology Framework identifies the key elements for the effective management of information and technology, to ensure that corporate information and ICT systems are secure, protected, tested, controlled, developed and maintained in line with corporate objectives and respond to emerging trends.

The ICT Strategic Framework is made up of eight elements:

- Governance
- Emerging Trends and Technologies
- Business Systems and Applications
- Infrastructure and Technology
- IT Business Continuity
- Security
- Project Management
- Information Management.

The first seven elements and their relationships comprise an Information Technology Framework. The Information Technology Framework provides a high level framework for the effective management of Information Technology (IT) within Local Government.

The framework identifies the elements of IT that should be considered in managing systems, networks, devices and data, to ensure that they are secure, protected appropriately from risk, adequately tested and controlled, and developed and maintained in line with corporate objectives.

The eighth element consists of important subsets and has been developed as a separate but related Information Management (IM) Framework. The Information Management Framework provides a high level framework for the effective management of information within the Shire. The framework identifies the aspects of information management that should be considered to ensure that information is captured, stored, accessed, maintained and disposed of securely and effectively.

IT Framework Supporting Documentation and IM Framework Supporting Documentation underpin the respective frameworks. These include the policies, plans, strategies and registers required as baseline to enable effective implementation of the framework.

The documentation has been assessed against the framework with all baseline recommendations complete and over 70% of intermediate and advanced recommendations complete. Action Plans are included to further progress compliance with the framework.
# Table of Contents

## 1.0 Information Technology Framework

1. Governance .................................................................................................................. 1
2. Emerging trends and technology ................................................................................ 4
3. Business systems and applications ............................................................................. 7
4. Infrastructure and technology ..................................................................................... 11
5. IT business continuity .............................................................................................. 13
6. Security ..................................................................................................................... 14
7. Project Management ................................................................................................. 17

Information Technology Actions ...................................................................................... 18

## 2.0 Information Management Framework

1. Information governance ............................................................................................. 19
2. Knowledge management ........................................................................................... 22
3. Information asset management .................................................................................. 23
4. Information access and use ....................................................................................... 25
5. Recordkeeping .......................................................................................................... 27
6. Data management ..................................................................................................... 30
7. Information security ................................................................................................... 32

Information Management Actions ...................................................................................... 34
1.0 Information Technology Framework

1. Governance

This section relates to the strategies, principles and practices that guide the correct and effective delivery of ICT and provides a framework for ICT decision making.

ICT Strategic Plan

Level: Baseline - Complete

The ICT Strategic Plan covers a period of four years. The Plan has recently been amended to reflect changes to systems and is currently under a full review. The reviewed ICT Strategic Plan will cover the period 2015-2019.

Action: Finalise review of the ICT Strategic Plan

ICT Annual Business Plans

Level: Baseline - Complete

As part of the Integrated Planning and Reporting process, an ICT Business Plan is generated annually. The Plan includes actions identified in the Shire Corporate Plan, ongoing activities, and responding to annual organisational requests.

The Corporate Plan is reviewed annually along with a review of the budget and the first year of the plan forms the Operational Plan.

KPIs

Level: Advanced - Complete

KPIs are developed as part of the Corporate Plan and these are reported on annually through the Annual Report. These are currently under review.

Individual staff KPIs are identified and reported on as part of the annual staff Performance Review.

The ICT Business Units have identified standard response times to Support Requests by users.
Risk Management Strategy and Plan

Level: Baseline - Complete


The Risk Management Framework has identified sixteen key themes under which risks in the Shire are grouped. Specific risks related to Information and Communication Technology (ICT) are registered in the theme Failure of IT and/or communications systems and infrastructure. Risks in this section relate to:

- The instability, degradation of performance, or other failure of IT Systems, Infrastructure, Communication of Utility causing the inability to continue business activities and provide services to the community. This may or may not result in IT Disaster Recovery Plans being invoked. Examples include failures or disruptions caused by:
  - Hardware and/or software
  - IT network
  - Failure of IT vendors

  This also includes where poor governance results in the breakdown of IT maintenance such as:
  - Configuration management
  - Performance monitoring
  - IT incident, problem management and disaster recovery processes

Risks relating to ICT may also be evident in the risk themes External theft and fraud (including Cyber Crime), Inadequate project/change management and Inadequate supplier/contract management.

Regular risk reporting is provided to the Risk Committee, which is embedded within the Executive Leadership Team, and to the Audit and Risk Management Committee and Council.

Actions from the 2014 Risk audit for ICT are:

- Review IT Disaster Recovery Plan - complete
- Test IT Disaster Recovery Plan – scheduled for 2015/16
- Create ICT Information Framework - complete
- Develop a security awareness program in the organisation – complete
ICT Procurement

**Level: Baseline - Complete**

All ICT procurement is in line with the Shire Purchasing Policy. Where the dollar value is close to or exceeds $100,000, and there are no WALGA preferred suppliers, procurement is line with the Shire Tender procedures. Where appropriate and suppliers are available, the preference is to use the WALGA preferred suppliers list to ensure that compliance requirements of the *Local Government Act* are met.

Policy, process and procedures

**Level: Baseline – Complete**

The ICT team maintains a register of procedures and guides that document the processes for activities undertaken within the Business Unit. Documents are either for operational purposes or for user benefit and training.

User documents are available to all staff on the Shire Intranet. They are updated as processes change to reflect current work practices.

The development of procedures is an ongoing activity within ICT however, the team has identified that there is a need to risk rate all documentation to ensure that high risk activities are reviewed annually as a minimum.

*Action: Risk rate all procedures and documentation and identify review dates of high risk, annually, medium risk every two years and low risk every three years.*
2. Emerging trends and technology

This section relates to emerging trends and technologies providing challenges and opportunities for local government in managing ICT systems and resources, and delivery of future ICT services.

Social media

**Level: Intermediate - Complete**

The Shire currently participates at a low level with social media through the Recreation Centre and Youth Advisory Council Facebook pages and the Library blog. Further expansion into this area will be dependent upon resourcing.

The Code of Conduct for staff and Social Media procedures outlines employee responsibilities when interacting with social media spaces.

Smart phones and devices

**Level: Intermediate - Complete**

ICT staff regularly undertakes trials of new equipment to determine its benefits, functionality and integration with current systems. Smart phones and devices are issued as part of the requirements of a position.

The Shire Apple iPhone Purchases and Replacements procedure details eligibility for a phone or device, acquisition of the equipment, conditions surrounding upgrades to the device and removal of the phones from the system when they have reached the replacement date.

The Shire Information Technology Security Awareness Program sets out the requirements for all users to ensure the organisation and its employees and partners are protected from illegal or damaging actions by individuals knowingly or unknowingly and the appropriate use of devices issued to employees and representatives of the Shire.

The procedures form part of the new employee ICT Induction.

Cloud computing

**Level: Advanced - not started**

Cloud computing generally refers to a service being provided from a third-party via the internet. It is often described as something provided "as a service," such as Software as a Service (SaaS) and Infrastructure as a Service (IaaS). While there are many benefits associated with this method of service delivery, there can also be a number of negative attributes associated with the cloud computing. These can include the amount of internet...
bandwidth required for effective operation and the security of the data held by the cloud provider.

The Shire currently utilises a number of cloud based services that have generally been procured on an ad hoc basis. Services include data storage, GIS functions, document distribution and software management. Additional services will inevitably be setup on, or migrated to, cloud computing platforms in the future. Procedures need to be developed to ensure the Shire is providing services through the most appropriate method while mitigating the risks associated with cloud computing.

Action: Develop Cloud computing procedures

Bring your own device

Level: Advanced – Complete

Remote access is available for all staff that have log on access to the Shire network. Access to the network via a staff members own equipment is covered in the Information Technology Security Awareness program and the Remote Access User guide.

At this stage there is no move to extend the use of personal devices in the workplace. Prior to this occurring a risk assessment would need to be undertaken.

Online services

Level: Intermediate – Started

To enable customers to undertake transactions online the Shire website provides the following services:

♦ Change of address
♦ Works request
♦ Customer complaint
♦ Information on how to make payments through B-Pay.

The corporate software, SynergySoft, has an online services module that has been assessed. To date no components of the module have been implemented.

It was identified that the payments component was more expensive than the current payment system however, due to integration it is possible savings could be made through reduced processing times.

The Sustainable Development directorate are currently re-assessing the relevant modules due to changes that have occurred to the Western Australian Planning Department online
portal that the Shire had previously subscribed to for the accepting online applications. A draft amount is included in the 2015-2016 budget to proceed with this module.

The Customer Service component still requires further development but would be beneficial to implement when finalised.

The Shire has in place a Privacy policy and a Website and Online Services Privacy procedure to protect the collation of information provided through online applications.

Mobile applications

**Level: Advanced – Started**

In 2014 the Shire website was upgraded to allow information to be accessed using a smart phone or portable device.

The interactive mapping system accessed through Intramaps through the website is also available using a smart phone or small device.

At this stage access to other information through mobile applications is restricted due to the high cost of application development by the supplier of the Shire corporate software.

Open data

**Level: Advanced – Not started**

Open data is the concept that government data should be freely available to everyone to use as they wish. While open data generally refers to datasets, it can also include publications. Open data is being adopted by a number of government agencies within Australia to make data accessible free of charge to citizens to use in any way that they wish, typically over the internet and/or using a smart phone or device.

Open data policy has been more widely accepted in the UK at a local government level. Examples of information made available includes list of public toilets, buildings, planning approvals, planning appeals, grants received, contracts register, income from parking, local authority land.

The Shire through its website provides copies of all key documents and Agendas and Minutes of Council and Committee meetings however, it currently does not release datasets. Whilst the Shire is committed to freely available information, access is not formalised through any identified process. Legislative requirements for the advertising and availability of some information provide direction but on a whole what is made freely available through the website is largely at the discretion of the Manager in control of that information.

*Action: Develop an Open data policy/procedure.*
3. Business systems and applications

This section refers to the software systems used by the Shire.

Corporate software

Level: Baseline - Complete

- ITVision SynergySoft system - This system manages the following information:
  - Financial
  - Property and Rating
  - Records and Document Management
  - Assets – some information but not roads
  - HR and Payroll
  - Environmental Health
- Intramaps – Geographic Information System managed by Asset Services
- Romans II – Assets for roads used by local governments in WA and managed by Asset Services
- ShoreTel – Telephone system

Website and Intranet

Level: Baseline - Complete

The current website was developed by key2creative, a Perth based company, in 2009. An independent analysis of West Australian council websites in 2010 identified that the Shire website performed well in three out of the four key aspects of a website: O = Objectives, T = Technology, C = Communicating and B = Basics.

In 2014 the Shire website was refreshed to enable it to meet the growing demand for mobile platforms as well as the latest accessibility standards. The content was also re-structured so that it was customer centric.
The website has security controls and a Content Management System that meets record keeping requirements and is hosted off site through key2creative.

**Intranet**

The Shire intranet is an in-house site which uses free Sharepoint Foundation software as its platform. The site was last refreshed in 2014.

ICT are currently investigating the latest full Sharepoint Server software to identify whether the added functionality would benefit the site.

**Other software**

ICT maintains a data base of current software assets used by the organisation. This is updated regularly as purchases are approved.

**Systems documentation**

**Level: Baseline – Complete**

ICT services hold on the intranet copies of relevant documentation that supports software used by the organisation.

Development of documentation is an ongoing activity however, a gap analysis needs to be undertaken to identify any further documentation that could be either developed or made available to staff.

*Action: Undertake a gap analysis to determine if further system documentation is required to support users and prioritise for development.*

**Systems test and implementation plans**

**Level: Intermediate – Not started**

The Shire does not currently have in place formal procedures for testing systems.

As part of an informal process ICT will purchase equipment to trial or software to test its capability and suitability for the organisations purposes.

It is recommended that we implement a formal process

*Action: Develop formal process for testing software systems and implementation plans.*
Website and Intranet business plan

Level: *Advanced – Not started*

As part of the Corporate Plan the Shire website is identified to be refreshed every four years. The Shire Intranet is operated internally and was last reviewed in 2014. There is no formal Website and Intranet Business Plan currently in place.

*Action: Develop a Website Business Plan*

Website accessibility

Level: *Advanced - Complete*

The Shire is committed to ensure that content on the Shire website can be accessed by as many people as possible, including persons with a disability, people living in remote locations and people using both traditional and mobile computing platforms.

The Website Accessibly procedure outlines requirements for the website and is included on the website under Accessibility for the information of users.

Systems upgrades

Level: *Advanced - Complete*

The annual License Agreement with Synergy Soft for the corporate software includes the release and installation of software updates as they occur throughout the year.

Updates for Intramaps are reviewed annually and an amount included in the budget where appropriate.

Currently almost all Microsoft software in use at the Shire is maintained through Microsoft Software Assurance (SA) agreements. Over the long term, this allows the Shire to keep Microsoft software up-to-date without additional cost. ICT intends to move the remaining Microsoft software to SA agreements in the 2015-2016 financial year.

A similar Enterprise Agreement with Adobe allows ICT to keep Adobe Acrobat up-to-date and available to all staff.
Software Asset Management

Level: *Advanced - Complete*

As part of the Corporate Planning process and budget development ICT liaises with individual business units to identify software requirements that would benefit the delivery of their services.

It is expected that at this point the relevant business unit has undertaken research and analysis to determine how this new software will impact upon efficiency, the risks involved, the costs, the impact on the organisation or community and training requirements.

All software is maintained within a register and purchased through ICT.

The Software Asset Management procedure sets out the how software is purchased and monitored.
4. Infrastructure and technology

This section relates to all hardware (such as PCs, laptops, mobile computing devices), IT, networking and communications equipment (such as servers, firewalls, switches, routers, and telephony) or other technology that is used to deliver local government services.

ICT Acceptable Use

Level: Baseline – Complete

It is important that Shire systems are used appropriately for business purposes in serving the interests of the Shire, and of our clients and customers.

The Information Technology Security Awareness program is signed by all new employees as part of their organisation Induction. All existing employees are required to review this procedure at least yearly and sign it off again.

IT Asset Replacement strategy

Level: Intermediate – Not started

The Corporate Plan identifies timeframes for refreshing ICT hardware to ensure that systems are up to date. This is generally a three to four year replacement program. No formal procedure is in place for the upgrading of infrastructure and technology.

Action: Develop IT Asset Replacement procedure

Infrastructure capacity planning

Level: Advanced - Complete

The Workforce Plan, a supporting strategy of the Corporate Plan, identifies that in response to service changes and managing workforce costs to a sustainable level, the Shire has deferred workforce growth requests that are not funded into the long term five to ten years.

Individual staff Training Needs Analysis identify skill development requirements for the next five years to ensure that the Shire can meet the demands of changing technology.

As part of general maintenance ICT staff review existing server infrastructure annually to ensure there are adequate resources (cpu, memory, network, storage) to accommodate future demand.
Virtualisation

Level – Intermediate - Started

The Shire began transitioning from traditional physical server infrastructure to virtual in 2006. As of 2012, all servers within the organisation are running on a virtualized platform. Some of the key drivers for “going virtualized” include:

- Maximising server hardware utilisation
- Consolidating the number of physical servers required for standard operations
- Faster server provisioning and increased uptime
- Improved backup and disaster recovery strategies

VMware is the Shire’s chosen virtualisation platform. VMware was selected originally as they were the only company producing and supporting virtualization products that were suitable for enterprise environments. Due to their suite of products proving to be incredibly reliable, ICT Services has chosen to stay with VMware as their virtualization platform, despite a number of other options becoming available.

ICT Services maintains support agreements with VMware to ensure technical support is available when needed and also ensure the underlying platform and associated applications stay current. The Shire is currently using VMware vSphere Standard 5.5

The Shire’s position on virtualisation is not documented in any procedure.

*Action: Document Virtualisation actions.*

System documentation

Level: Baseline - Complete

The ICT Business Unit has developed a number of procedures and guides for the operation of Shire infrastructure and technology.

Development of documentation is an ongoing activity however, a gap analysis needs to be undertaken to identify any further documentation that should be developed to support these operations.

*Action: Undertake a gap analysis to determine if further infrastructure and technology documentation is required and prioritise for development.*
5. IT business continuity

This section details activities that are undertaken to enable a local government to perform its key functions and deliver its ICT services.

Level: **Baseline - Complete**

The objective of the Shire Business Continuity Plan (BCP) is to minimise adverse consequence arising from the disruption of usual business operations for a period greater than four hours.

The IT BCP forms part of the Shire of Augusta Margaret River Business Continuity Management Framework (BCMF) together with the ICT Disaster Recovery Plan and Records Disaster Recovery Plan. In addition, the Shire has Local Emergency Management Arrangements to deal with response and recovery in relation to external emergency situations.

The ICT Disaster Recovery Plan includes:

- List of key contacts required in the event of a disaster
- List of important ICT assets required for standard operations
- Risk matrix and assessment
- Recovery strategies for identified risks
- Testing of the plan.

The ICT Disaster Recovery Plan has had a full review in 2015 with the document updated to reflect current infrastructure, technology and risks.

Testing of the Shire Business Continuity Plan and the ICT Disaster Recovery Plan is scheduled for 2015/2016

Data protection

Level: **Baseline – Complete**

Protection of data is managed under the ICT Data Protection procedure which is documented in the 6. Security – IT security and data protection.
6. Security

This section details activities that are undertaken to protect systems from unauthorised access and use.

IT security and data protection

**Level: Intermediate – Complete**

ICT Services is responsible for providing and maintaining a variety of information and communication systems that are critical to the Shire’s operation, these include:

- Computer, storage and network infrastructure
- Software applications
- IP PABX telephone system
- Mobile communications

The objective of the ICT Data Protection procedure is to:

- Give ICT staff and management a high-level overview of the methods used to backup the majority of these systems.
- Identify “What, where and how” systems are backed up.
- Work in conjunction with the ICT Disaster Recovery Plan and the associated technical user guides for restoring particular data and services.

Access management

**Level: Baseline - Complete**

Access Management grants authorised users the right to use the Shire’s information systems, while preventing access to non-authorised users.

The ICT Security Awareness program sets out the requirements for users of the Shire’s systems and equipment to follow. This includes passwords, internet browsing, email, use of equipment, remote access, Apple ID and iCloud exiting users.

The following documents provide further details on access and security:

- Guide to Passwords and Security
- How to change your password
- Remote Access procedure
Security audit

Level: Advanced – Partially complete

The Shire does not have in place formal security audit processes. Some of the key security threats are identified below with current controls:

1. **Computer and network passwords.** Covered by password procedures. New employees are not provided access until they have undertaken an induction and signed off on the procedure. Exiting employees are removed as part of HR processes.

2. **Physical assets.** Laptops are held in the ICT work area and are required to be booked through an electronic booking system prior to being used.

3. **Records of physical assets.** Data bases are maintained and backed up in line with procedures.

4. **Data backups.** The Data Protection procedure outlines the activities taken for data backups.

5. **Logging of data access.** The main corporate software Synergy Soft has an audit trail of each time data is accessed and details who, what and when this occurs.

6. **Access to sensitive customer data, e.g., credit card info.** Credit card information is held within a secure database with limited access. Once payment has been correctly processed the information is deleted from the system. At the changeover of IT hardware a process of cleaning hard drives is undertaken to minimise risk.

7. **Access to client lists.** The main client list, Ratepayers of the Shire, is held within the secure corporate software SynergySoft.

8. **International calls.** International calls are restricted to limited positions within the organisation. Telephone accounts are checked for length of calls interstate and international.

9. **Emails.** The Shire has in place corporate SPAM filter software that checks all incoming and outgoing emails. The IT Security Awareness Program outlines how employees can spot potential spam and phishing emails.

*Action: Develop a Security Audit procedure*
Incident response Plan

Level: *Advanced - Complete*

This Incident Response Plan defines what constitutes a security incident and outlines the incident response phases. The document discusses how information is passed to the appropriate personnel, assessment of the incident, minimising damage and response strategy, documentation, and preservation of evidence.

While a security incident can come from a number of directions, this plan is based around an intrusion detection. Steps may need to be varied for the particular incident.
7. Project Management

This section details the activities undertaken for the planning, organising, controlling and managing resources to achieve project goals.

The organisation is currently in the process of more formally documenting projects and developing templates for key projects. This will include requirements for:

- Business case
- Scope and deliverables
- Project schedule
- Project status report
- Post implementation review

When finalised the ICT team will follow this documentation.
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<th>Section</th>
<th>Action</th>
<th>Officer</th>
<th>Due date</th>
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<tbody>
<tr>
<td>Governance</td>
<td>Finalise review of the ICT Strategic Plan</td>
<td>ICT Coordinator</td>
<td>1 Q 2015/16</td>
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<td></td>
<td>Risk rate procedural documentation and add review dates</td>
<td>ICT Coordinator</td>
<td>2Q 2015/16</td>
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<tr>
<td>Emerging and new technology</td>
<td>Develop Cloud computing procedures</td>
<td>ICT Coordinator</td>
<td>2016/17</td>
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<td></td>
<td>Develop Open data policy</td>
<td>Governance Officer/CEO</td>
<td>2016/17</td>
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<td>Business systems and</td>
<td>Undertake gap analysis to identify further documentation required and</td>
<td>ICT Coordinator</td>
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<td>applications</td>
<td>prioritise for development</td>
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<td>Develop software testing and implementation procedures</td>
<td>ICT Coordinator</td>
<td>2017/18</td>
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<td>Develop website business plan</td>
<td>Marketing and Events Officer</td>
<td>2016/17</td>
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<td>Infrastructure and Technology</td>
<td>Develop IT Asset Replacement procedure</td>
<td>ICT Coordinator</td>
<td>3Q 2015/16</td>
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<td>Document Virtualisation actions</td>
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<td>Security</td>
<td>Develop a Security audit procedure</td>
<td>ICT Coordinator</td>
<td>2016/17</td>
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2.0 Information Management Framework

1. Information governance

This section relates to the system by which the current and future use of information and its management is directed and controlled.

Information governance

Level: Advanced - Complete

Local Governments in Western Australia are required to comply with the State Records Act (the Act) 2000.

Under the Act a State record is defined as any record of information (in any form) created, received or maintained by a government organisation or parliamentary department in the course of conducting its business activities. State records may be in any format on which information can be stored, including maps, plans, photographs, films, magnetic and optical media.

The Act provides for an independent State Records Commission (the Commission) with standard-setting, auditing and reporting responsibilities. The State Records Commission is accountable directly to Parliament. The four members of the Commission are the Auditor General, the Information Commissioner, the Ombudsman, and an appointee with recordkeeping experience from outside Government.

A cornerstone of the legislation is an instrument of accountability called the "recordkeeping plan". Every State organisation, including Local Government, is to have and operate under an approved Recordkeeping Plan, which is to set out the matters about which records are to be created by the organisation, how those records are to be managed, and for how long records are to be kept. Recordkeeping Plans are to be submitted to the State Records Commission for approval. The Shire’s Recordkeeping Plan was last approved March 2015.

The Act formalises the position and role of Director of State Records, known as the State Archivist and Executive Director State Records. Under the leadership of the Executive Director, the State Records Office functions as the operational arm of the State Records Commission. The Executive Director, through the State Records Office, provides advice, assistance and training for government organisations on recordkeeping matters, including the development of and compliance with their recordkeeping plans. The Executive Director
advises and assists the Commission and reports to the Commission on the operation of the Act, including any alleged breaches.

The information and records management framework is documented in the Shire Recordkeeping Plan and outlines the legal, regulatory and business context within which information and records are created, used and managed. It sets out guiding principles which reflect an approach and commitment to creating and managing information and records that meet the Shire business needs.

The Recordkeeping Plan was approved by the State Records Commission in March 2015. It is next due to be reassessed and approved in 2020.

**Information Management policy, principles and architecture**

**Level: Baseline - Complete**

The Shire Records Management policy requires that full and accurate records of all activities and decisions of the Shire of Augusta Margaret River are created, managed and retained or disposed of appropriately, and in accordance with relevant legislation. The policy applies to all staff, Councillors and contractors of the Shire and covers:

- Creation of records
- Capture and control of records
- Security and protection of records
- Access to records
- Appraisal, retention and disposal of records
- State archives awaiting transfer
- Sanitizing of hard discs and magnetic media

The policies Correspondence addressed to Councillors and Councillor Emails applies to all Councillors of the Shire.

The Shire policies, Disaster Recovery Plan, procedures and induction program were approved by the State Records Commission in March 2015. They are next due to be reassessed and approved in 2020.

**Information management standards**

**Level: Advanced - Complete**

Records at the Shire are managed within the following standards as required by the Western Australia State Records Commission:

- SRC Standard 1: Government Recordkeeping
- SRC Standard 2: Recordkeeping Plans
SRC Standard 2: Appraisal of Records
SRC Standard 4: Restricted Access Archives
SRC Standard 5: Compulsory Transfer of Archives
SRC Standard 6L Outsourcing
SRC Standard 7: Storage of State Archives
SRC Standard 8: Digital Recordkeeping

Compliance with these standards is documented in the Shire Recordkeeping Plan 2015.

The State Records Commission provides further direction for recordkeeping under the following:

**SRO Guidelines:**
- Management of Digital Records
- Management of Email Records
- Sanitizing Digital Media and Devices
- Implementing a Revised Disposal Authority – Resentencing Records
- Records Retention and Disposal Instructions (Local Government General Disposal Authority)
- Managing Risks in an Emerging Technological Environment.

**SRO Directions:**
- Directions for keeping hardcopy State archives awaiting transfer to the State Records Office

**SRO Information Sheets**
- Email records
- Local Government Elected Members Records
- Management of Information Following Administrative Change
- Recordkeeping Responsibilities and You
2. Knowledge management

This section relates to maximising the use of knowledge and capturing and applying learning.

Information and records management strategy

Level: Intermediate - Complete

An Information and Records Management strategy was developed in 2015. This identifies strengths and weaknesses of the current operations and future actions to meet the organisation's goals.

Workforce Plan

Level: Intermediate - Complete

The Workforce Plan, a supporting strategy of the Corporate Plan, identifies that in response to service changes and managing workforce costs to a sustainable level, the Shire has deferred workforce growth requests that are not funded into the long term 5-10 years.

This document also addresses critical roles and succession planning across the organisation.

Succession planning within the Records Business Unit

Over the past three years there has been significant cross training between the Records staff so that they are aware of all processes.

Comprehensive procedures have been developed covering all aspects of recordkeeping to ensure continuity of service to the organisation.

Staff attend annual industry training on topics relevant to skill development needs or changes in the information environment.
3. Information asset management

This section relates to managing information assets with the same rigour as that applied to other strategic assets.

Electronic document and records management system

**Level: Advanced - Complete**

Information assets are managed through an electronic document management system, Synergy Soft. Whilst information may be shared on other platforms eg Intranet and Website, all business information is required to be held within one of the modules of the system, which are interlinked with the Central Records module. The system documentation and supporting Shire procedures details the framework for collecting the following information.

The overall management of information responsibilities is detailed in the Shire Records Management policy.

All staff are required to identify business information related to their position and register this into the Shire record keeping system, Synergy Soft, in accordance with the *State Records Act 2000*.

All new staff participate in a Records Induction to ensure that they are aware of their responsibilities and to be trained on the system.

Online tutorials on the system are available for further skill development of staff.

A guide for employees outlining their responsibilities and processes has been developed as a resource.

**Information classification**

A matrix of information has been developed to identify levels of access to information and security levels against files. This is based on:

- Open access - files available to all staff
- Restricted access – files restricted to those staff only who are required to deal with the information in their position
- Confidential – access is restricted to the Chief Executive Officer and other delegated officers as identified.

The matrix is reviewed on an ongoing basis as information access requests or processes are identified.

The AAA Keywords for Local Government is used to classify the information held in files.
Metadata

The Synergy Soft Central Records system coversheet has mandatory fields to manually collect the following metadata at registration of the record. These fields remain mandatory at all times:

- File number which contains information about the business function and activity.
- Retention and disposal status attached to the file number.
- Unique Document ID which is applied once the coversheet is saved.
- Author.
- Recipient.
- Date and time of registration.
- Subject line for more detailed information on about the business context of the record.

Other metadata collected through electronic systems such as emails and website contact forms includes date and time of transmission and the email address and details of the sender. This is captured into the record keeping system at the time of registration into the system.

The capture of all metadata is essential for recordkeeping purposes and is not be altered in anyway.

Custodianship

As part of the registration process, the electronic document and records management system identifies the responsible owner of the information for actioning.
4. Information access and use

This section relates to how access to government information is maximised for use and reuse, and ensuring that all reasonable steps are taken to minimise social, economic and geographic disadvantage to accessing information.

Accessibility and use

Level: Baseline - Complete

The Shire Privacy policy provides guidance to Councillors and Officers in the collection, storage and use of personal information.

The Shire Access and Inclusion policy outlines the commitment of the organisation to comply with the WA Disability Services Act (1993) and to ensure that people with disability have the same access to information as other people in the Shire.

The Shire website provides access to key documents and information through the Publications section and the Council and Committee meeting and agendas sections.

The Website Privacy procedure provides guidance in the collection, storage and use of personal information. The procedure covers:

- Collection of personal information
- Disclosure of personal information
- Data quality of personal information
- Data security of personal information
- Openness in having procedures regarding the management of personal information

There is limited knowledge within the organisation for developing documents so that they are accessible by assistive technology on the website. A reference guide would enhance the availability of information and provide clear direction to staff to ensure all documents posted to the website are accessible.

Action: Develop guide for ‘Developing accessible documents’.
Freedom of Information

Level: Baseline - complete

The Shire maintains an Information Statement that is available on their website as required under the Western Australia Freedom of Information Act 1992. This document is reviewed annually.

Freedom of Information requests are processed in accordance with the Freedom of Information Requests procedure.

Costs associated with the release of information under the Act are reviewed annually and are available on the Shire website in the Schedule of Fees and Charges.

Records staff are trained Freedom of Information Officers with refresher training completed biennially or when legislative changes require updating skills, whichever is sooner.

The Shire completes statistical data on FOI requests annually for the Office of the Information Commissioner.

Confidentiality

Level: Intermediate - Complete

All staff participates in mandatory organisational inductions as a requirement of their position. The Staff Code of Conduct (page 11) details responsibilities of staff with regards to the use of confidential information.

The Guide to Records Management procedures for Records staff (page 6) details responsibilities of Records staff in relation to processing information.

It is deemed that these measures currently over-ride the need for any individual Confidentiality Agreements with staff.

Data Sharing Agreements

Level: Advanced – Not applicable
5. Recordkeeping

This section details the process of making and maintaining complete, accurate and reliable evidence of business transactions in the form of recorded information.

Record creation and capture

**Level: Baseline - Complete**

The Shire has a Records Business Unit with staff trained in both records management and system operation.

It is the responsibility of these staff to ensure the efficient and systematic control and maintenance of records, including the maintenance of their integrity and authenticity.

Records staff are responsible for ensuring that all other employees responsible for recordkeeping are trained in and understand their recordkeeping responsibilities.

The Shire uses the SynergySoft Central Records module and other associated modules for the creation and capture of records.

Responsibility for creation and capture into the system applies to all staff and is detailed in the Recordkeeping Plan, Records Management Procedure guide for Records Officers and Employee Recordkeeping Responsibilities guide.

The Records Business Unit is directly responsible for capturing all hard copy mail received through the main postal address, soft mail received through the corporate email address or website, advertised tenders, backups of social media sites,

Individual employees are responsible for capturing records they create during their work, emails directly received by them and external hardcopy documents they receive directly.

The following registration procedures have been developed for both Records staff and individual registrations:

- Employee records
- Employee training records
- Records registration
- Tenders recordkeeping
Collection management

The main collection of the Shire is archives which includes documents and photographs.

Archives are stored in a purpose built facility that meets the requirements of the State Records Act for structure, shelving, security and climate control. Regular quarterly inspections are undertaken with annual vermin control and six monthly fire extinguisher maintenance scheduled.

Archiving

From June 2011 all hardcopy files were closed and no new hard copy files opened. Where an original document is required, for example large plans, these are digitally captured prior to release and stamped ‘Working copy’ with a disposal date for return to Records.

The Vital Records procedure identifies the following vital records and the manner in which they are to be treated:

♦ Leases
♦ Contracts
♦ Loans
♦ Bank Guarantees
♦ Vesting Orders
♦ Management Orders
♦ Minute Books

The originals of some of these documents cannot be removed. Where possible, these documents are held within a fire proof room. With the exception of Minute Books prior to June 2011, documents are copied and the copy held off site in the event of a disaster as well as a digitised copy made.

The procedure Keeping of State Records Awaiting Transfer details how these records are to be managed.

Conservation and preservation

The Records Disaster Recovery Plan details the processes that are to be followed in the event that records are damaged. The Plan forms part of the Shire Business Continuity Plan.

A Disaster Recovery Bin with relevant support documentation is available both on site and off site.

There is no detailed procedure on preservation methods.

One staff member has undertaken training in preservation but this needs to be refreshed.

Action: Develop detailed procedures and resource material on conservation and preservation methods.
**Action: Identify training in conservation and preservation of records.**

**Digital continuity**

The procedure Migrating Digital Data outlines the steps the organisation will need to follow to ensure digital continuity of records into the future should the need arise.

**Retention and disposal schedule**

**Level: Baseline - Complete**

The Shire undertakes a disposal program annually and is documented in the Corporate Plan as an ongoing annual activity.

This process identifies documents required to enter into archives or to be disposed of in accordance with the Local Government General Disposal Authority issued by the State Records Commission.

The Identifying, storing and disposing of records procedure details the process of authority to be followed by Records staff prior to disposal of any records.

Disposal is undertaken in accordance with the *State Records Act*.

**Digital record keeping (of source records)**

**Level: Intermediate - Complete**

In June 2011 the Shire moved to a fully digitised environment with source records. The Recordkeeping Plan and the Records Registration procedure details the digitization and scanning requirements for source records. This has been approved by the State Records Commission as meeting their requirements.

**Social media**

**Level: Intermediate - Complete**

Software has been installed to automatically capture information on social media sites in use. This data is then registered into the recordkeeping system following the Social Media Recordkeeping procedure.
6. Data management

The section details how data is managed with the same rigour as that applied to other strategic assets.

Data entry standards

**Level: Intermediate - Not started**

They Synergy Soft software is designed so that metadata descriptions aid retrieval of records and information stored in the system.

A large number of the fields are automatically set or pre-filled by the system with default values, depending on the settings for the fields in Synergy Soft. This includes dates, names, addresses, keywords, subject and activities.

Staff who have access to the administrator areas of the system are trained and the supporting documentation from ITVision provides direction. There is not however a complete document as a reference to data entry standards however, this would be a useful reference tool.

*Action: Develop Data Entry Standards reference document*

Document naming convention

**Level: Intermediate – Complete**

The Keyword AAA or Keyword for Councils, produced by State Records New South Wales, is a thesaurus of terms related to local government functions. It is designed to enable the classification, titling and indexing of records created by local government organisations.

The Western Australia State Records Office has entered into an agreement with State Records New South Wales to act as distributor for Keyword AAA to Western Australian State and local government agencies.

While it is not compulsory to use the thesaurus the Shire has adopted the Keyword AAA structure for classification in the Central Records system.

The status/stage/subject, who, identification number, date and transmission number are generated or completed as part of the registration process and are mandatory fields.

The format such as punctuations, spaces, title description, abbreviations, acronyms and versions is not contained in one document although advice is provided to general staff at time of induction. Some of this information is contained in a Corporate Style Guide for the preparation of documents but does not refer to the records registration requirements.
To improve on our document management, having a document that formalises the requirements would be beneficial.

*Action: Develop Naming Conventions Standards document*
7. Information security

This section details how information is protected from unauthorised access, use, modification, disclosure or destruction.

Access management

**Level: Baseline - Complete**

The File and System Security procedure details the security system settings of the electronic document management system and is developed in accordance with the State Records Commission Standard 2 Principle 2 – Policies and procedures.

The Synergy Soft corporate software has an audit feature which records who, what, and when data was changed within the system.

The Shire website document management system has an audit trail of changes.

**Security on files and documents**

There are three levels of security that can be set:

- File access - The security levels set up against a file.
- Individual access – The security level set up against the internal correspondent
- Document access - The security level set up against a document

The Records Management Procedures guide for Records Officers details how access is assigned to files and documents as well as the requirements around the provision of information to outside sources.

Individual access to the system is provided to individual staff at the commencement of employment by the ICT Business Unit as part of their procedures.

The Records Disaster Recovery Plan sets out requirements in the event that a disaster occurs.

Version control

**Level: Intermediate – Not started**

In 2014 the Risk Management Framework identified the need for the introduction of a Version Control system to ensure that changes to documents are tracked.

The electronic document management system that the organisation uses for recordkeeping and the Intranet Sharepoint site both have the ability to maintain version control, however these features are not used consistently across the organisation. A version control system is to be developed and implemented by December 2015.

**Action: Develop and implement version control system**
Information audit and review compliance

Level: Intermediate - Complete

The Western Australia State Records Office requires that all Recordkeeping Plans and associated documents are reviewed and approved every five years.

The AMRShire documents were reviewed and approved by the State Records Office in March 2015 and are scheduled for the next audit in 2020.

Internal audits of compliance under the Local Government Act, for requirements such as the Tenders Register, are undertaken by an external auditor as scheduled annually.
<table>
<thead>
<tr>
<th>Section</th>
<th>Action</th>
<th>Officer</th>
<th>Due date</th>
</tr>
</thead>
<tbody>
<tr>
<td>Information Access and Use</td>
<td>Develop guide for &quot;Developing accessible documents&quot;</td>
<td>Manager Customer &amp; Information Services</td>
<td>1Q 2015/16</td>
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<td>Recordkeeping</td>
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</table>
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- TTY users phone 133 677 then ask for 08 9780 5255
- Speak and Listen users phone 1300 555 727 then ask for 08 9780 5255
- Internet relay users connect to the NRS (www.relayservice.com.au) and then ask for 08 9780 5255