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Classification:	General
Last Reviewed:	June 2023 (469/2023)
Next Review Date:	June 2027
Approved By:	Council Resolution
Responsible Officer:	Chief Executive Officer
Applicable Legislation:	State Records Act 1997 Local Government Act 1999 Freedom of Information Act 1991 Independent Commissioner Against Corruption Act 2012
Relevant Policies, Procedures & Standards:	Policy 1.14 Records Management Policy ISO 15489-2017 Australian Standard Records Management State Records SA's Information Management Standard SA Government Information Management Strategy 2019-2022 Source Records Procedure 2020 General Disposal Schedule 40 for Local Government v.1 Burials and Cremations General Disposal Schedule 41 v.1 General Disposal Schedule 21 v.5 Source Records

1. INTRODUCTION

District Council of Robe is an agency under the *State Records Act 1997* and as such has a responsibility to manage the official records of Council.

The responsibility encompasses ensuring official records are appropriately:

- Created, received, and captured into an Electronic Document and Records Management System (EDRMS)
- Maintained and preserved – through appropriate storage
- Disposed and retained (temporary and permanent records)
- Protected - to ensure security, privacy, confidentiality, and legal requirements are met.

The development and promulgation of this policy is one of the requirements of State Records of South Australia, who administer the *State Records Act 1997*, to gain certification for the disposal of source records under General Disposal Schedule 21 version 5 (GDS 21).

2. PURPOSE

The purpose of this policy is to outline and direct the practices of the District Council of Robe (Council) in the digitisation of hard copy records and the management of the original source records as defined by GDS 21. This will ensure that the Council is able to meet its compliance requirements under the *State Records Act 1997* and reduce the management, maintenance, and storage of hard copy (source) records that can be destroyed.

The policy aims to provide clear guidelines for the management of hard copy source records and ensure the systematic and authorised disposal of these records.

3. SCOPE

This policy applies to all employees of the Council but does not apply to Elected Members. Elected Members are required to submit hard copy records to the Records Officer for scanning and capture into the SynergySoft System.

This policy applies to the source records of Council, source records are those that are scanned and then the digitised version is captured into the SynergySoft Electronic Document Record Management System (EDRMS).

4. BACKGROUND

The SynergySoft EDRMS system was implemented by Council to manage the information (metadata) about the records of Council in approximately 2010 Council commenced using the system to capture records and commenced the scanning and capture of hard copy records in their electronic format in 2012.

Since the capture of records in their electronic format, the source records of Council have been scanned as they are received and then captured as digital records. All records born electronic, both created and received, are captured directly into the SynergySoft EDRMS. Council operates in an electronic records management environment.

The SynergySoft EDRMS system is used by all staff who create, receive and access records of Council.

5. LEGISLATIVE AND STANDARDS REQUIREMENTS AND RELATED POLICIES

The Policy is to be read and implemented in conjunction with relevant legislation, standards, policies, and strategies, including:

5.1 *The State Records Act 1997*

The State Records Act 1997 was enacted to ensure best practice by government agencies in the management of their records. Under this Act agencies have an obligation to ensure that all official records in their custody are maintained in good order and condition and stored appropriately, for set retention periods and are disposed of in accordance with the Act. Penalties can apply to individuals under the *State Records Act 1997* for the illegal and intentional disposal of records.

5.2 *General Disposal Schedule 21*

General Disposal Schedule 21 – (GDS 21 version 5) was developed by State Records to provide agencies, including Local Government, with the means of disposing of source records after they have been rendered into digital format by the process of scanning. Digitised records are then captured into an EDRMS or approved business system.

5.3 *Digitisation of Official Records and Management of Source Documents Guideline 2009*

This guideline deals with the digitisation of paper source documents and the subsequent management and disposal of these and their digitised counterparts.

5.4 South Australian Recordkeeping Metadata Standard (SARKMS)

South Australian Recordkeeping Metadata Standard (SARKMS) 2015 - This Standard outlines the basic core set of metadata elements required to manage records in accordance with best practice. Compliance will assist in identifying, authenticating, describing and managing records, and in particular electronic records, in a systematic and consistent way to meet business, accountability, evidentiary, and archival requirements.

5.5 District Council of Robe Records Management Policy

This policy provides a records management framework for employees of the Council, and Elected Members, ensuring business needs, as well as legal and accountability requirements, are met in the management of Council's records.

6. RESPONSIBILITY

The management of the source records of Council, including disposal, is the responsibility of the Records Officer. The Records Officer has the responsibility for overseeing the scanning of hard copy records received in the daily post, hand delivered (undertaken by the front counter staff), or internally created, and capturing the digitised records into the SynergySoft EDRMS.

Authorisation of the destruction of temporary source records is the responsibility of the Records Officer.

Council staff have the responsibility of ensuring any records that require scanning, or have already been scanned and captured into SynergySoft EDRMS, are submitted to the Records Officer for their retention as defined by this policy.

Staff also have a responsibility for ensuring all official records of Council are captured into the SynergySoft EDRMS system or relevant business system (if approved), as defined by the Council's Records Management Policy and do not create separate files or filing systems.

7. SYNERGYSOFT EDRMS SYSTEM CONFIGURATION

The system has been configured and tested to ensure it meets the requirements of the South Australian Record Keeping Metadata Standard (SARKMS). IT Vision, (the SynergySoft vendor) worked with State Records of SA to identify the required fields for compliance and the system was enhanced accordingly.

Staff require a network logon to access the SynergySoft EDRMS and the permissions are configured to ensure that the appropriate access levels are assigned the relevant user types, to ensure staff cannot view any records they should not have access to. Staff cannot destroy any records captured within the SynergySoft EDRMS.

8. POLICY STATEMENT

The source records of the District Council of Robe are managed in accordance with the requirements of General Disposal Schedule 21 version 5 (as amended) and the relevant standards issued by State Records of South Australia. The SynergySoft EDRMS system is managed and maintained to ensure the records, and their associated metadata captured into the system, meet the requirements of GDS 21 and the relevant standards.

The destruction of source records is authorised by the Records Officer. Consultation with relevant staff will occur only if the Records Officer believes it is required.

All source records of temporary retention, and those permanent retention source records (created on or after 1 January 2005), are managed, retained, and destroyed as directed by this policy and the Source Records Procedure.

The source records of permanent retention records (created on or before 31 December 2004) are managed within hard copy files, retained, and transferred to State Records of South Australia on approval.

The digitised version will be captured, managed, and disposed of in accordance with GDS 40, Burials and Cremation GDS 41 and Council's Records Management Policy.

9. SOURCE RECORDS RETENTION

The source records of the District Council of Robe are retained for the following periods:

Source Document Record Class	GDS 40 v.1 Item number	GDS 40 retention period	Retention of Source Record after digitisation and capture
Permanent retention records created on or before 31 December 2004	various	Permanent	Permanent hard copy files
Permanent retention records created on or after 1 January 2005	various	Permanent	Temporary – Destroy 12 months after date of scanning and capture of digitised version into SynergySoft System
Temporary retention records – see exceptions below	various	Temporary	Temporary – 12 months
Exceptions			
Development Applications, Land Divisions, Wastewater Applications	59.22, 59.8, 59.9, 63.11	Temporary and Permanent	5 years after approval - (Does not apply to permanent retention source records created on or before 31 December 2004)
Existing Hard Copy Records – Back scanned	various	Temporary and Permanent	Destroy on scanning (after validation of digitised version) – (Does not apply to permanent retention source records created on or before 31 December 2004)
Records omitted from GDS 40	various	Unknown	Retain until new edition of schedule

Note: - retention periods for Source records are calculated after the date of capture into the SynergySoft EDRMS system except for back scanning and development applications which are after approval.

10. MIGRATION

As part of the IT Business Plan, the Software upgrades – Latest Version – minus one, the SynergySoft EDRMS system upgrades are planned and undertaken as new versions and system builds are released. The identification of projected technological obsolescence and subsequent migration of data and records and the upgrade of Council's systems as required are identified as outcomes.

As Council undertakes the required system upgrades, such as implementing the latest version of Microsoft Office, when records are accessed from within the SynergySoft EDRMS system, they are opened in their native format and are converted into a readable format. This ensures records in all electronic formats are accessible for the life of the record. When permanent retention digital records are required to be transferred to State Records of SA digital archives, they will be rendered into the format determined by State Records of South Australia at that time.

The application of General Disposal Schedule 40 (as amended) and the Burials and Cremations GDS to the files occurs when the files are created in the SynergySoft EDRMS system. This will ensure that records of long term and permanent retention are identified for ongoing management and accessibility.

11. SCANNERS

Council uses multi-function devices, Konica Minolta scanner/printer to scan hard copy records. The scanner resolution can be set to 200 or 300 DPI and can be set to black and white scale or colour and the resolution can be adjusted.

12. VALIDATION

As each digitised record is captured it is validated against the original by the Records Officer, or other relevant staff to ensure it is an accurate and readable version and that all pages have been included. The records are rescanned if they are not a reliable version of the original hard copy record. Prior to the destruction of source records, the quality and accuracy of the digitised image will be assessed.

13. RETROSPECTIVE SCANNING

Where there is a requirement to provide access to, or to preserve, an existing hard copy records, the records can be digitised and captured into SynergySoft EDRMS. The hard copy records would then become source records and the provisions of this policy, and the source records procedures document will apply to the management of these.

Where records are retrospectively digitised, and they are temporary retention source records, they can be destroyed after validation of the digitised version against the source record.

Appendix 1 – Technical Specification

Records will be scanned with the following minimum technical specifications:

Document type		Requirements
Text Documents (including those which contain images)	Clean, high contrast documents with text or graphics for which colour is either not present or not essential, and any images are line art. Can include maps and plans.	<ul style="list-style-type: none"> Resolution: 300 dpi Type of image: bi-tonal Bit-depth: 1 bit Colour management: not applicable
	Documents where colour is present and must be retained to preserve the meaning of the record or documents with low contrast (e.g., faded text, coloured background etc.)	<ul style="list-style-type: none"> Resolution: 300 dpi Type of image: colour Bit-depth: 24 bits Colour management: embedded ICC profile
Photographs	Black and white	<ul style="list-style-type: none"> Resolution: 600 dpi Type of image: greyscale Bit-depth: 8 bits Colour management: embedded ICC profile
	Colour	<ul style="list-style-type: none"> Resolution: 600 dpi Type of image: colour Bit-depth: 24 bits Colour management: embedded ICC profile

Appendix 2 – Evaluation of SynergySoft system against State Records of SA Standards

1. EDRMS DESIGN STANDARD V.1.1

Principle 1: Risk Management

The system must enable agencies to effectively manage the risks associated with poor management of records.

- Records are received and captured into the SynergySoft System ensuring the relevant metadata is assigned.
- Migration of records and metadata is articulated in this Source Record Policy
- The system has import/export functionality
- Records are stored in their native format PDF, JPEG, PNG or TIF (digitised)
- Disposal of the source record and the digitised record is articulated in policy
- Security regimes prevent unauthorised access
- Only Administrators can alter metadata, no one can alter the metadata or remove the records
- Audit logs exist for actions undertaken in system
- record tasks are assigned and are undertaken on records
- records are version controlled
- disposal and destruction is undertaken through the Altus Platform and disposition of the records is managed through SynergySoft.

Principle 2: Reporting

The system must be able to interrogate and report upon the data it contains.

- Reports can be extracted from the system – including security, retention and disposal, actions and tasks
- Tasks can be reported if overdue – emails are sent to relevant staff to prompt action.
- Audit reports can be generated

Principle 3: Metadata

The system shall employ metadata standards to ensure accurate identification and aid preservation of the records.

- SynergySoft System has been mapped to SARKMS – see Metadata Mapping document
- Unique identifier is assigned to each record.
- Administrators can configure the system including metadata
- Data entry is accurate as there is validation of metadata fields and automatic population based on pre-set values
- Accuracy is controlled by system defaults inbuilt field population requirements

Principle 4: Accessibility

The system shall enable agencies to access and subsequently disclose information to meet their business needs in ways that protect information that is sensitive, confidential or impinges on personal privacy

- Security regimes prevent unauthorised access
- Business Classification Scheme – Local Government is imported in the system
- System has the ability to search all metadata related to records

Principle 5: System Integrity

The system must contain the appropriate functionality to ensure the protection of data.

- Security regimes prevent unauthorised access
- Audit logs exist for actions undertaken in system
- System is backed up as part of the Council's system backup process

2. EDRMS FUNCTIONAL SPECIFICATION STANDARD

Also see above.

Capture and Management of Records

- Records are captured
- Records are captured and validated on scanning or photographing
- Records are related to the relevant metadata
- Metadata can be populated automatically from pre-set values
- Unique identifier is assigned
- Digitised records stored in their native format

Record metadata

- Records are assigned the relevant metadata (demonstrated in SARKMS metadata mapping document)
- System security permissions prevent the alteration of metadata where it shouldn't be altered
- Administrators only can amend metadata
- Audit history exist for actions undertaken in system
- Administrators can configure the system including metadata

Record reassignment, reclassification, duplication and extraction

- Movement of records can be tracked
- Duplication of record not required
- Audit log created for actions undertaken on records

Reporting on records

- System reports can be configured

Online security processes

- Council Fire Walls
- Security regime exists for access to and within the system
- Audit history created for actions undertaken in the system

Import and Export

- The system has import/export functionality

Disposal

- Disposal process, disposition and relevant metadata managed through Altus platform and Synergy Soft.

Storage

- The storage of physical and digital records is managed within the system with appropriate metadata
- Digital records are appropriately stored onsite within Council's servers.

Appendix 2 – Definitions

Access - Right, opportunity, means of finding, using or retrieving information.

Capture – Deliberate action that results in the registration of a record into a recordkeeping system assigning a unique identity on its entry into an EDRMS. For certain business activities, this action may be designed into electronic systems so that the capture of records is concurrent with the creation of records.

Destruction – Process of eliminating or deleting records, beyond any possible reconstruction.

Digital Documents/Records - A record created, and/or maintained by means of digital computer technology. Includes records that are 'born digital' or have undergone conversion from a non-digital format. That is, they have been digitised using OCR or imaging technology.

Disposal – The range of processes associated with implementing records retention, destruction or transfer decisions, which are documented in disposal authorities or other instruments.

Electronic Document Records Management System: EDRMS - A system used to manage the capture, use, management and disposal of physical and electronically created or digitised documents and records.

File – An organised unit of documents accumulated during current use and kept together because they deal with the same subject, activity or transaction.

General Disposal Schedule: GDS 40 – The disposal schedule relevant to Local Government Authorities in South Australia. The schedule determines the retention period of the records of Council. It is a continuing authority for implementing decisions on the value of records specified in the schedule.

Metadata – Data describing context, content and structure of records and their management through time.

Record – Information created, received and maintained as evidence or information by an agency or person, in the pursuance of legal obligations or in the transaction of business.

Source Record – A document or record that has been copied, (digitised) converted or migrated or are the input for such a process. A document or record that has been copied, converted or migrated or are the input for such a process. A source record may be an original record, or it may be a reproduction that was generated by an earlier copying, conversion or migration process.

14. FURTHER INFORMATION

This policy will be available for inspection at the Council offices listed below during ordinary business hours and available to be downloaded, free of charge, from Council's internet site: www.robe.sa.gov.au

Royal Circus, Robe SA 5276

Copies will be provided to interested parties upon request. Email council@robe.sa.gov.au

Any grievances in relation to this policy or its application should be forwarded in writing addressed to the Chief Executive Officer of Council.

15. POLICY REVIEW

This policy may be amended at any time and must be reviewed at least every four years since its adoption (or latest amendment).