

	<b>Source Records' Policy</b> <i>Policy No. ADMPOL 10</i>	<b>Version No:</b>	1.0
		<b>Responsible Officer/s</b>	Records Coordinator
		<b>Classification:</b>	Council
		<b>Issued:</b>	16 December 2019
		<b>Next Review:</b>	April 2026

## 1. Introduction

District Council of Grant is an agency under the *State Records Act 1997* (**State Records Act**) 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, 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 Grant (**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 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 Coordinator or Executive Assistant for scanning and capture.

This policy applies to the source records of Council (those scanned and the digitised version captured into the SynergySoft EDRMS system).

## 4. Definitions

**Access** the right, opportunity, means of finding, using or retrieving information.

**Capture** a 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.

	<b>Source Records' Policy</b> <i>Policy No. ADMPOL 10</i>	<b>Version No:</b>	1.0
		<b>Responsible Officer/s</b>	Records Coordinator
		<b>Classification:</b>	Council
		<b>Issued:</b>	16 December 2019
		<b>Next Review:</b>	April 2026

- Destruction*** the 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*** means a system used to manage the capture, use, management and disposal of physical and electronically created or digitised documents and records (**EDRMS**).
- 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 20*** 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.

## 5. Policy

### 5.1. Background

The SynergySoft EDRMS system was implemented by Council to manage the information (metadata) about the records of Council in 2003. Council commenced using the system to capture records in their electronic format in 2009.

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

	<b>Source Records' Policy</b> <i>Policy No. ADMPOL 10</i>	<b>Version No:</b>	1.0
		<b>Responsible Officer/s</b>	Records Coordinator
		<b>Classification:</b>	Council
		<b>Issued:</b>	16 December 2019
		<b>Next Review:</b>	April 2026

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

## 5.2. 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:

### 5.2.1. The State Records Act 1997

The State Records Act 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 its custody are maintained in good order, stored appropriately, for set retention periods and that they are disposed in accordance with the act. Penalties can apply to individuals under the State Records Act for the illegal and intentional disposal of records.

### 5.2.2. General Disposal Schedule 21

GDS 21 version 5 has been developed by State Records to provide Local Government Agencies with the means of disposing source records after they have been rendered into digital format by the process of scanning and capturing the digitised image into an EDRMS.

### 5.2.3. Digitisation of Official Records and Management of Source Documents

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.

### 5.2.4. South Australian Recordkeeping Metadata Standard

South Australian Recordkeeping Metadata Standard (**SARKMS**) – 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.

### 5.2.5. District Council of Grant Records Management Policy

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

## 5.3. SynergySoft EDRMS System Configuration

The system has been configured and tested to ensure it meets the requirements of the 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

	<p><b>Source Records' Policy</b> Policy No. ADMPOL 10</p>	<b>Version No:</b>	1.0
		<b>Responsible Officer/s</b>	Records Coordinator
		<b>Classification:</b>	Council
		<b>Issued:</b>	16 December 2019
		<b>Next Review:</b>	April 2026

assigned the relevant user types, to ensure staff cannot view any records they should not have access to. Staff who are not Administrators cannot destroy any records captured within the SynergySoft EDRMS.

#### 5.4. Policy Statement

The source records of the District Council of Grant are managed in accordance with the requirements of GDS 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 Coordinator, after consultation with the relevant staff.

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, retained and transferred to State Records of South Australia on approval.

The digitised version will be managed and disposed of in accordance with General Disposal Schedule 20 (as amended General Disposal Schedule 40) (**GDS 20**) and Council's Records Management Policy.

	<b>Source Records' Policy</b> <i>Policy No. ADMPOL 10</i>	<b>Version No:</b>	1.0
		<b>Responsible Officer/s</b>	Records Coordinator
		<b>Issued:</b>	<b>16 December 2019</b>
		<b>Next Review:</b>	<b>April 2026</b>

## 5.5. Source Records Retention

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

Source Record Class	GDS 20 ED 5 (as amended) Item number	GDS 20 (as amended) retention period	Retention of Source record after digitisation or approval
Permanent retention records created on or before 31 December 2004	various	<b>Permanent</b>	Permanent
Permanent retention records created on or after 1 January 2005	various	<b>Temporary</b>	Destroy 18 months after date of scanning and capture of digitised version into SynergySoft System
Temporary retention records – see exceptions below	various	<b>Temporary</b>	12 months
<b>Exceptions – Finance - Rates Records</b>	7.69.3 and 7.69.10	<b>Temporary</b>	15 months
Development Applications	3.71.4	<b>Temporary</b>	5 years after approval
Council, Committees of Council and Council Assessment Panel Meeting Minutes – Signed Version	9.24.1, 3.14.1 and others	<b>Permanent</b>	Permanent
Onsite Wastewater Systems (Septic tanks and aerobic systems)	3.71.16 and 5.71.6	<b>Temporary and Permanent</b>	3 years after approval - (Does not apply to permanent retention source records created on or before 31 December 2004)
Records omitted from GDS20 ED5 (as amended GDS 40)	various	<b>Unknown</b>	Retain until new edition

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

	<b>Source Records' Policy</b> <i>Policy No. ADMPOL 10</i>	<b>Version No:</b>	1
		<b>Responsible Officer/s:</b>	Records Coordinator
		<b>Issued:</b>	16 December 2019
		<b>Next Review:</b>	<b>April 2026</b>

### 5.6. 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 records are required to be transferred to State Records of SA digital archives, they are rendered into the format determined by State Records of South Australia at that time.

The application of General Disposal Schedule 20 (as amended GDS 40) to the files on creation in the SynergySoft EDRMS system will occur, to ensure there is the identification of records of long term and permanent retention for ongoing management and accessibility.

### 5.7. Scanners

Council uses multi-function devices to scan hard copy records. The scanner resolution can be set to 200, 300, 400 or 600 DPI and they can be set to black and white scale or colour and the resolution can be adjusted.

### 5.8. Validation

As each digitised record is captured it is validated against the original by the Records Coordinator and other relevant staff, to ensure it is an accurate and readable version. The records are rescanned if they are not a reliable version of the original hard copy record. As part of the regular system audits, the quality of the digitised images are assessed. Prior to the destruction of source records, the quality and accuracy of the digitised image will be assessed.

### 5.9. Retrospective Scanning

Where there is a requirement to provide access to, or to preserve, an existing hard copy record, the record may be digitised and captured into SynergySoft EDRMS. The hard copy records would then become source records and the provisions of this policy and the 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.

	<b>Source Records' Policy</b> <i>Policy No. ADMPOL 10</i>	<b>Version No:</b>	1
		<b>Responsible Officer/s:</b>	Records Coordinator
		<b>Issued:</b>	16 December 2019
		<b>Next Review:</b>	<b>April 2026</b>

### 5.10. 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"> <li>Resolution: 300 dpi</li> <li>Type of image: bi-tonal</li> <li>Bit-depth: 1 bits</li> <li>Colour management: not applicable</li> </ul>
	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"> <li>Resolution: 300 dpi</li> <li>Type of image: colour</li> <li>Bit-depth: 24 bits</li> <li>Colour management: embedded ICC profile</li> </ul>
Photographs	Black and white	<ul style="list-style-type: none"> <li>Resolution: 600 dpi</li> <li>Type of image: greyscale</li> <li>Bit-depth: 8 bits</li> <li>Colour management: embedded ICC profile</li> </ul>
	Colour	<ul style="list-style-type: none"> <li>Resolution: 600 dpi</li> <li>Type of image: colour</li> <li>Bit-depth: 24 bits</li> <li>Colour management: embedded ICC profile</li> </ul>

### 5.11. Evaluation of SynergySoft system against State Records of SA Standards

#### (a) EDRMS Design Standard v.1.1

##### (i) *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

## **Source Records' Policy**

*Policy No. ADMPOL 10*

<b>Version No:</b>	1
<b>Responsible Officer/s:</b>	Records Coordinator
<b>Issued:</b>	16 December 2019
<b>Next Review:</b>	<b>April 2026</b>

- Security regime prevent unauthorised access
- Only Administrators can alter metadata, no one can alter the metadata or remove the records
- Audit log 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.

(ii) *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 actions.
- Audit reports can be generated

(iii) *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

(iv) *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 regime prevent unauthorised access
- Business Classification Scheme – Local Government is imported in the system
- System has the ability to search all metadata related to records

(v) *Principle 5: System Integrity*

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

	<b>Source Records' Policy</b> <i>Policy No. ADMPOL 10</i>	<b>Version No:</b>	1
		<b>Responsible Officer/s:</b>	Records Coordinator
		<b>Issued:</b>	16 December 2019
		<b>Next Review:</b>	<b>April 2026</b>

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

(b) EDRMS Functional Specification Standard

In addition to the above, the EDRMS Functional Specification Standards are as follows:

(i) *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

(ii) *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

(iii) *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

(iv) *Reporting on records*

- System reports can be configured

(v) *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

(vi) *Import and Export*

- The system has import/export functionality

	<b>Source Records' Policy</b> <i>Policy No. ADMPOL 10</i>	<b>Version No:</b>	1
		<b>Responsible Officer/s:</b>	Records Coordinator
		<b>Issued:</b>	16 December 2019
		<b>Next Review:</b>	<b>April 2026</b>

(vii) *Disposal*

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

(viii) *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.

## 6. Responsibilities

The management of the source records of Council, including disposal, is the responsibility of the Records Coordinator. The Records Coordinator, and other relevant staff, have the responsibility for scanning and capturing the digitised records into the SynergySoft EDRMS that are received in the daily post or by hand delivery, or internally created hard copy records.

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

Staff of Council 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 Coordinator 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, as defined by the Council's Records Management Policy and do not create separate files or filing systems.

## 7. References / Other Documents

### 7.1. Legislation

*State Records Act 1997*

### 7.2. Council Policies / Procedures

Records Management Policy ADMPOL 04

Records Management Procedure REC003P

Records Management Procedure for Elected Members ADMPR 04

Source Records' Procedure 2019 ADMPR 10

### 7.3. Other

General Disposal Schedule 20 (as amended General Disposal Schedule 40)

General Disposal Schedule 21

SynergySoft SARKMS Metadata Mapping 2019

	<b>Source Records' Policy</b> <i>Policy No. ADMPOL 10</i>	<b>Version No:</b>	1
		<b>Responsible Officer/s:</b>	Records Coordinator
		<b>Issued:</b>	16 December 2019
		<b>Next Review:</b>	<b>April 2026</b>

## 8. Review

This Policy shall be reviewed by the District Council of Grant at a minimum, once within every four (4) year Council term (or on significant change to legislation or other matters which could affect this policy).

<b>Action</b>	<b>Date</b>	<b>Minute Reference</b>
Adopted by Council	16 December 2019	19171.3
Minor formatting amendments	4 May 2020	Governance Officer