

POLICY 2.25

Governance

Digitisation and Disposal of Source Records - TRIM Records Management System

Version: 2 | Next Review: August 2023



Digitisation and Disposal of Source Records Policy

Info-Osmosis - May 2019

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Document Control

Date	Amended/Created	Responsible Person
May 2019	Draft version Created	Info-Osmosis
May 2019	Final version - amended based on feedback from– Cathy Franklin – Records Management Officer DC Tumby Bay	Info-Osmosis

Related Documents

- Records Management Policy

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1. PURPOSE

The District Council of Tumby Bay implemented the HP TRIM Electronic Document and Records Management System in 2016 to replace the management of hard copy records and files

The purpose of this policy and processes is to outline and direct the practices of the District Council of Tumby Bay (the Council), in the digitisation of hard copy records and the management of the original source record. This will ensure the Council:

- Protects its integrity;
- Meets its compliance requirements;
- Reduces the management and maintenance of temporary hard copy (source) records that can be destroyed.

This policy applies to the source records of the District Council of Tumby Bay.

2. LEGISLATION & STANDARDS

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

- The State Records Act 1997;
- General Disposal Schedule 21;
- Digitisation of Official Records and Management of Source Documents;
- South Australian Recordkeeping Metadata Standard (SARKMS);
- The District Council of Tumby Bay's Records Management Policy.

Council has a legislative responsibility to manage these records in accordance with the State Records Act 1997.

Under Part 7—Disposal of official records, Section 23—Disposal of official records by agency

- (1) An agency must not dispose of official records except in accordance with a determination made by the Manager with the approval of the Council.

Council is required to dispose of its records in accordance with General Disposal Schedule 20 Ed 5 (as amended). General Disposal Schedule No 21 (GDS 21) was issued as a disposal determination for source records under Section 23 of the Act.

GDS 21 provides state government agencies and local government authorities with the means of disposing of source documents and their digitised counterparts after the source documents have been rendered into digital format by the process of scanning and capturing into either an electronic document and records management system (EDRMS) or a business system with adequate recordkeeping functionality.¹

Source records are the hard copy records that have been scanned or photographed and captured into the system.

3. POLICY STATEMENT

The source records of the District Council of Tumby Bay will be managed in accordance with the requirements of General Disposal Schedule 21 and the relevant standards issued by State Records of South Australia. The TRIM system will be 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.

Source records will be managed, retained and destroyed as directed by the procedures included in this policy.

No permanent retention original, digitised or source record, will be destroyed, but will be retained in line with GDS 20 (as amended) and GDS 21.

¹ General Disposal Schedule 21

See Council's Records Management Policy for detailed guidance on the management of Council's records.

¹ General Disposal Schedule 21

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4. RESPONSIBILITY

The management of the source records of Council, including disposal, is the responsibility of the Records Management Officer. The Records Management Officer has the responsibility of scanning the hard copy records and capturing the digitised records into the TRIM system that are received in the daily post or by hand delivery.

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

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

Staff also have a responsibility for ensuring all official records of Council are captured into the TRIM system, as defined by the District Council of Tumby Bay's Records Management Policy, and are directed to not create separate files or filing systems.

5. TRIM SYSTEM

The TRIM system meets the requirements of the relevant standards and requirements of State Records of South Australia for a compliant Electronic Document and Records Management System. The system includes a VERS module to manage the rendering of permanent retention records into VEO format prior to transfer to the State Records Digital Archives, (when a digital archive is implemented and when the transfer of digital records is required).

The HP TRIM system was configured and tested to ensure it met the requirements of the South Australian Record Keeping Metadata Standard (SARKMS) and where metadata fields were not available in the existing system fields, additional or user defined fields were created to satisfy this requirement.

As part of the TRIM system licence agreement, any system upgrades are provided to Council and maintenance support is provided.

Staff require a network logon to access the TRIM system, and the user permissions are configured to ensure that the appropriate levels are assigned to the relevant user types, and to ensure staff cannot destroy any records or access files and records that they should not see.

As Council undertakes the required system upgrades, such as implementing the latest version of Microsoft Office, when records are accessed from within the TRIM 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 will be rendered into the format determined by State Records of South Australia at that time.

The application of the General Disposal Schedule 20 (as amended) to files on creation in the TRIM system, enables the identification of records of long term and permanent retention to ensure they are managed and are accessible over time.

6. MANAGEMENT OF SOURCES RECORDS

Source records are predominantly the hard copy records received, and at times created, by the Council in the conduct of business, either through the post or by hand from stakeholders such as, residents, ratepayers, Elected Members, clients, contractors, the public, Members of Parliament and government agencies (Commonwealth, State and Local). These records are assessed daily by the staff of the Records Management Officer to determine their status as a record. Those not requiring capture into the TRIM system, such as ephemeral material, are disseminated to the relevant staff member. The records requiring capture are scanned and the digitised versions of the records are captured into the TRIM system. The records are subsequently assigned the relevant metadata, including actions if required, to ensure the record is assigned to the relevant staff member.

The Council uses Ricoh and Kyocera scanners to manage the scanning of records into digital format. The resolution setting is customisable, but can be set to 300 DPI, and it can be set to black and white scale or colour and the resolution can be adjusted.

See Source Records Management Procedure April 2016 (updated May 2019) for the management of source records in the TRIM system.

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7. VALIDATION OF DIGITISED RECORD

As each digitised record is captured it is validated against the original source record by the staff member undertaking the task. This ensures the digitised version is an accurate and readable record. The record will be rescanned if it is not a reliable version of the original source record.

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8. SOURCE RECORDS RETENTION

The source records of the District Council of Tumbly Bay will be retained for the following period:

Source Document Record Class	GDS20 ED 5 (as amended) Item number	GDS 20 ED 5 (as amended) retention period	Retention of source record after digitisation and capture
Permanent retention records created pre 1 January 2005	Various	Permanent	Permanent.
Permanent retention records created on or after 1 January 2005	Various	Temporary	Destroy 6 months after date of scanning and capture for digitised version into TRIM.
Temporary retention records	Various	Temporary	Destroy 6 months after date of scanning and capture for digitised version into TRIM.
Temporary retention development applications	3.71.4	Temporary	5 Years after approval
Temporary retention source records that are over 50 years of age at; <ul style="list-style-type: none"> the time of scanning or when the retention period for the source record expires. 	various	Refer to SR for RDS	To be determined by RDS
Records omitted from GDS20	various	Unknown	Retain until new edition

Note: * Where exceptions are identified, e.g. legal case, pending FOI etc the temporary source records will be retained for a longer period required by reactivation of the action or by the relevant manager.

Prior to the destruction of any source record, the records will be reappraised to determine if there have been any changes to the status of the record.

Where required, legal advice will be sought in relation to the destruction of temporary source records.

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9. APPENDIX 1 - Glossary of Terms

Access	<i>Right, opportunity, means of finding, using or retrieving information.</i>
Capture	<i>Deliberate action that results in the registration of a record into a recordkeeping system. 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.</i>
Classification	<i>Systematic identification and arrangement of business activities and/or records into categories according to logically structured conventions, methods, and procedural rules represented in a classification system.</i>
Destruction	<i>Process of eliminating or deleting records, beyond any possible reconstruction.</i>
Digitised Version	<i>The scanned version of a hard copy record that is captured into the EDRMS as an electronic record.</i>
Disposal	<i>Range of processes associated with implementing appraisal decisions. These include the retention, deletion or destruction of records in or from recordkeeping systems. They may also include the migration or transmission of records between recordkeeping systems, and the transfer of custody or ownership of records.</i>
Disposal Schedule (GDS)	<i>Formal instrument that defines the retention periods and consequent disposal actions authorised for classes of records that are common to State Government agencies, Local Government authorities or Ministerial offices.</i>
Document	<i>Structured units of recorded information, published or unpublished, in hard copy or electronic form, and managed as discrete units in information systems.</i>
EDRMS	<i>Electronic Document and Records Management System - Information system that captures manages and provides access to records through time.</i>
File	<i>A file which stores one or more documents related to a particular subject/project.</i>
Metadata	<i>Data describing contexts, content and structure of records and their management through time.</i>
Record	<i>Information created, received, and maintained as evidence and information by an organisation or person, in pursuance of legal obligations or in the transaction of business (AS ISO 15489)</i>
Records Management	<i>The discipline and organisational function of managing records to meet operational business needs, accountability requirements and community expectations. (AS ISO 15489 Part 1 General)</i>
Source Record	<i>A document or record that has been copied, converted or migrated or will be 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. (NAA)</i>
Transaction of Business	<i>Umbrella term covering all the functions, processes, activities and transactions of the agency and its employees.</i>

Authority:

Adopted by Council: 13/08/2019 {7c/82019}

SIGNED:



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Responsible Officer

Date: 13 / 08 / 2019

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