Disposal of Paper Copy Relating to Imaged Records

Department
Organisational Development & Governance

Responsible Officer
Executive Manager

Introduction

This procedure applies to hard copies of imaged records and outlines the correct way to dispose of these records. Original copies of documents for DA files, HR and Legal files are not covered by this procedure.

GDA 39 is the authority for the retention and disposal of administrative and functional records within Council.

GDA 36 is the authority for the disposal of records that have been copied using imaging or microfilming technologies.

It allows for the destruction of records:

- Created at any time and that are not required as State Archives; or
- that are required as State Archives and were created or received on or after 1 January 2000; and
- the image copy is retained for the full retention period as required under GDA 39.

Additionally, the following conditions must be met before disposal is authorised under GDA 36:

- All requirements for retaining originals have been assessed and fulfilled;
- Copies are made which are authentic, complete and accessible and;
- Originals are kept for quality control purposes for an appropriate length of time.

There are records excluded from disposal in accordance with GDA 36 and these are as follows:

- Records that are subject to current or pending legal proceedings or relate to an application for access under Government Information (Public Access) Act 2009 (GIPA), the Health Records Act and the Information Privacy Act 2002 or the Privacy and Personal Information Protection Act 1998;
- Records that are subject to a Government Policy or directive not to be destroyed;
- Original artworks;
- Original proclamations, charters, testimonials and intergovernmental agreements or treaties.

Examples of State Archive records include (but are not limited to):

- Correspondence regarding building and development matters
- A petition received from a community group
- Declarations concerning a Councillor’s pecuniary interests
- Speech notes made for addresses given at official Council events, and
- Complaints by rate payers about Council services
Definitions

<table>
<thead>
<tr>
<th>Term</th>
<th>Definition</th>
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<tr>
<td>Disposal</td>
<td>a range of processes associated with implementing appraisal decisions. These include 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 or custody of ownership of records.</td>
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<td>Disposal Authority</td>
<td>General retention and disposal authority: local government records (GA 39) — a tool which provides for the authorised destruction or other disposal of State records under the terms of the State Records Act.</td>
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<tr>
<td>General disposal authority 36 (GDA 36)</td>
<td>a tool which provides for the authorized disposal of records that have been copied using imaging or microfilming technologies.</td>
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<td>Image</td>
<td>a reproduction of a document on a media such as film, microfilm or optical disk</td>
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<td>Retention Periods</td>
<td>a disposal authority generally specifies retention periods. That is, how long State records are to be retained in a public office’s premises or offsite storage, before being destroyed or transferred as State Archives. Retention periods are usually minimum periods for which it is advisable/legally required to retain records. A public office may decide to keep records for longer periods.</td>
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<td>State Archive</td>
<td>defined in Section 3(1) of the State Records Act as:</td>
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<td>• “a state record that the authority has control of under the Act.”</td>
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<td>• State Records is entitled to the control of “State Archives” which are records that are no longer in use for official purposes (25 years or older) and where these records are not the subject of a “still in use determination”. These are records older than 25 years but still required for business purposes.</td>
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<tr>
<td>State Records</td>
<td>defined in Section 3(1) of the State Records Act 1998 as:</td>
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<td></td>
<td>• “any record made and kept, or received and kept, by any person in the course of the exercise of official functions in a public office, or for the use of a public office, where before or after the commencement of this section.”</td>
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Responsibilities

Within Council the responsibility for the disposal procedure is with the Workforce and Administration area and the authority for the destruction of corporate records is with the Customer Service and Records Team Leader. Corporate records are not to be disposed of without reference to this procedure and consultation with the records team.

Appraisal and disposal process

Sentencing is the process of identifying and classifying records, as part of the appraisal process, according to GDA 39 and applying the disposal action specified. A critical reason for sentencing is to allow the authorised disposal of corporate records and by sentencing and proper documentation, Council is able to demonstrate it has disposed of its records legally and in accordance with the State Records Act 1998 (the Act).

Sentencing is carried out by the records team in consultation with appropriate staff.

Sentencing ensures resources are not utilised in storing records longer than necessary. GDA 36 allows the disposal of the paper document and the retention of the image in its place. In order to comply with GDA 36, the following procedures are in place:
1. Ensuring requirements for retaining originals have been assessed and fulfilled. Council will complete this assessment prior to disposal.

2. Copies are made which are authentic, complete and accessible
   Council has in place routine copying and registration processes that ensure the legible reproduction of the original in its entirety are accessible, with the appropriate security in Council’s document management system. Records are scanned by a centralised team and compliance checking is part of the process. Once documents are registered into Council’s document management system there are controls in place to prevent unauthorised alteration of images. The system security prevents unauthorised destruction of images. Only authorised officers can delete images or records.

3. Originals are kept for quality control purposes for an appropriate period of time
   An assessment of each record will be undertaken at the point of registration to determine if the original document is excluded from disposal in accordance with GDA 36. If the original is not required, it will be stored in a day box for a period of at least 3 months before destruction.

4. Documenting the Imaging Process
   Attachment A details the imaging procedure. The paper copy will only be retained for 3 months unless the paper records are required as State Archives and have been created or received prior to January 2000.

Process description

1. The records team will scan incoming documents and register them in the electronic document management system. The original documents will then be sorted into the following categories:
   a. Original proclamations, charters, testimonials and intergovernmental agreements or treaties.
   b. Records that are subject to current or pending legal proceedings or relate to an application for access under GIPA, the Health Records Act and the Information Privacy Act 2002 or the Privacy and Personal Information Protection Act 1998;
   c. Documents kept hard copy (DA records, tenders, job applications, signed leases, agreements, bonds etc.)
   d. All other documents.

2. Scanned documents will then be put into a day box.

3. Day boxes will be destroyed after 3 months.

Disposal

The disposal of paper copies of imaged records will be co-ordinated by the Customer Service and Records Team Leader and will only be carried out following proper documented authorisation. This includes:

- A record of the date range of records to be destroyed.
- Endorsement by the Governance Coordinator.
- Endorsement by the Executive Manager – Organisational Development & Governance.

The hard copy of documents to be destroyed will be placed in secured bins and removed to Council’s disposal contractor’s premises where they will be shredded and recycled.

The destruction certificates shall be registered into TRIM and these shall serve as evidence that records have been destroyed in the event of legal proceedings or a GIPA request.
Attachment A: Disposal of Paper Copy of Imaged Record

Record scanned, registered & sentenced under approved disposal authority

Is record an exemption under the GDA 36.2?

Yes ➔ Retain original copy

No ➔ Was the record created before 1/1/2000 & required as State Archive?

Yes ➔ Complete quality assurance check of record

No ➔ Has the quality assurance revision check been completed? (authentic, complete and accessible)

Yes ➔ Electronic copy to be retained in TRIM in accordance with GDA 39

No ➔ Original to be kept for appropriate length of time for quality control purposes as per policy.

Permission to destroy
Attachment BC: Request for Destruction of Paper Copies of Imaged Records

I hereby request permission to destroy the following paper copies of imaged records:

The above records are covered by GDA 36 which allows for the destruction of paper copies of imaged records which will be kept in accordance with GDA 39.

The documents have been checked for anything that may be excluded under GDA 36.

Authorised by:

Signed: __________________________ Date: _________________

Manager Name: _____________________

Signed: __________________________ Date: _________________

Executive Manager
Organisational Development & Governance