Annexure K

CAPTURING RECORDS PROCEDURE
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Public Document? **NO**
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1. ACTIVITY DEFINITION

To ensure that all Records are captured into the Corporate Information System – Synergy Soft – upon creation or receipt to meet legal, evidential, accountabilities and legislative requirements as set out in the State Records Act 1997.

2. RISK ASSESSMENT

Occupational Health and Safety Requirements	✓	*Refer to attached risk assessment*
Asset Management	☐	*Refer to attached risk assessment*
Financial Management	✓	*Refer to attached risk assessment*
Information Management	✓	*Refer to attached risk assessment*
Service Provisions	☐	*Refer to attached risk assessment*
Legal Compliance	✓	*Refer to attached risk assessment*
Environment Management	☐	*Refer to attached risk assessment*

Risk Assessment Number: ……………………

3. WORK PERMIT / OTHER APPROVAL REQUIRED?

Nil

4. DOCUMENTATION

Recordkeeping Requirements within South Australian Legislation – Guidelines
State Records Act 1997
Whyalla City Council's File Index
Synergy Soft User Manuals
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5. TRAINING / COMPETENCIES REQUIRED

Competency based assessment of the use of Synergy Soft.
In-house training

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6. EQUIPMENT AND MATERIALS THAT MAY BE USED

Synergy Soft User Manuals
Synergy Soft - Records – Records Registration Module
Whyalla City Council File Index

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7. WORK METHOD REQUIREMENTS

It is the responsibility of **ALL EMPLOYEES** and **ELECTED MEMBERS** to ensure that when a record is received or created by The Whyalla City Council documenting Council business it is captured into the Corporate Information System (Synergy Soft) and maintained for its life**.**

Employees / Elected Members are not to maintain individual / separate files or recordkeeping systems or unmanaged electronic records.

The responsibility for capturing records into the Corporate Information System is as follows:

Type of Record	Who is Responsible
Incoming Mail, Parcels and Facsimiles	Records Management Department
Incoming E-Mails addressed to the Council Mail Box	Records Management Department
Incoming E-Mails addressed to an Officer's Mail Box	The Officer whom receives the email

Incoming Emails addressed to an Elected Members Mail Box	The Elected Member must forward the email to the Records Management Department to be captured
Outgoing Email created by Elected Members	The Elected Member must forward the email to the Records Management Department to be captured
Outgoing and Internal E-Mails	The Officer who created the email
Outgoing Mail and Facsimiles	The Officer who created the record
Internal Memos and Letters	The Officer who created the record
Customer Requests	The Officer taking the request

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Correspondence is to be captured if:-

➢ It is a response to an incoming record.
➢ It is seeking or providing information.
➢ It documents a business transaction of the Whyalla City Council.
➢ It is an original created by the Whyalla City Council.
➢ It contains evidence of a decision being made.
➢ It could provide future evidence for legal purposes.
➢ It authorises an action (e.g. payment, expenditure, work to be carried out, etc.)
➢ It contains evidence of something for which the Whyalla City Council is accountable to the public.
➢ There is any legislation which says the record must be kept, e.g. Inspections under the Food Act etc.

All Records are to be captured into the Records Module within Synergy Soft with the exception of material that can be destroyed under Normal Administrative Practice.

NAP is the concept that material can be destroyed according to *'Normal Administrative Practices'*. Material that can be disposed of under NAP comprises items of ephemeral or transitory nature that have no continuing value, created, acquired or collected by officers in the course of their duties.

If you answer **NO** to the questions listed above then your document ***is not a record*** and ***can be destroyed according to NAP***. Items that ***may be*** destroyed under **NAP** include:

➢ Word processing documents and spreadsheets in electronic recordkeeping systems after updating, printing or transfer to electronic recordkeeping.
➢ Drafts and rough notes. *(see exceptions listed below)*
➢ Brochures, catalogues, price lists, unsolicited promotional material etc. received from external sources.
➢ Superseded copies of instructions, guidelines, standard etc. that are not included in the General Disposal Schedule.
➢ Extra copies of records no longer required for reference purposes except if the copy has additional annotations or notes which then constitutes it as an original record.
➢ Copies of published items kept for personal reference.
➢ Working Documents. *(see exceptions listed below)*
➢ Unimportant messages and notes e.g. those for only a few hours or a few days.
➢ System printouts used to verify or monitor data, or answer ad hoc queries, which are not part of regular reporting procedures and are not required for ongoing use.

However, there may be some situations listed above where certain records are still required to be captured*:*

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a.   Draft Documents

A draft document should be retained on file, where it represents a version of a final document, which is significantly different from that final version. This allows for tracking of the evolution of an important record.

Drafts of the following kinds of records should be retained:
-    Drafts relating to Council policies or procedures, with significant or substantial changes relative to a previous version, or the subsequent version; or containing annotations made by a more senior officer, whose views on the draft are important, or who is the officer who is responsible for the final document;
-    Drafts relating to the formulation of legislation or amendments to existing legislation;
-    Drafts of legal documents e.g. Agreements, Contracts, Tenders for Provision of Service.

b.   Working Documents

Working papers are to be retained on file, when they document significant decisions, reasons for decisions, and action notes, or contain significant information that is not contained in the final document.

Examples of working documents that must be retained include:
-    Working papers / records of a staff member who is working on a project / investigation, where the papers constitute the original, substantive record of the project / investigation (i.e. they contain substantial and valuable information not found elsewhere).
-    Papers in an "unofficial" filing system, where a registered file has yet to be created within the recordkeeping system. Such papers **must** be sent for filing when the project / investigation is complete.

If still unsure of what kind of correspondence in your work should be captured please consult with the Records Management Department.

All Records must be captured as soon as possible after they have been created, received and/or sent.

7.1   **Incoming Mail**

The Records Management Department will collect all incoming mail. This includes those addressed to the Visitor Information Centre, Depots, Libraries, Child Care Centre, Airport, Cemetery etc.

Mail is collected by 9:30 am Monday to Friday from the Post Office by the Records Management Department and processed the same day.

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All correspondence received over the counter must be placed in the incoming mail tray located in the Customer Service area.

Incoming Mail is sorted _(unopened)_ into the following categories:

7.1.1   Not To Be Opened

Anything marked **tender**

Tenders, although not opened, are still put through the registration process. The details entered into Synergy Soft are obtained from the envelope and then the envelope is placed in the tender box located in the Supply Office.

In the case where a tender is accidentally opened, the envelope will be resealed and a member of the Records Management Department will sign the envelope to inform the officer concerned that an error has taken place and that the correspondence has not been read.

7.1.2   To Be Opened

The Records Management Department will open ALL other incoming mail and determine which items are to be captured.

7.1.2.1 Mail to be captured

The record is stamped with an incoming stamp and registered into Synergy Soft.

7.1.2.2 Mail not to be captured

These items of correspondence are _date stamped_ and forwarded onto the relevant officer. These may include invoices, statements, accounts, NAP – magazines and sales brochures etc.

7.2   **Other Incoming Correspondence**

7.2.1   Facsimiles

All incoming facsimiles are received electronically by the Records Management Department. The Records Management Department will determine whether they need to be captured or not.

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7.2.2   Parcels

Couriered or hand delivered parcels received over the counter must be handed directly to the Records Management Department for processing.

7.2.3   E-Mails

7.2.3.1   Council Mail Box

All emails that arrive in the Whyalla City Council mail box will be:
➢   Opened by the Records Management Department.
➢   Captured if it documents any business of the Whyalla City Council.
➢   Printed and placed on the corresponding file.

7.2.3.2   Council Officer's Mail Box

All emails that are sent directly to officers' email addresses from outside the organisation that are records are to be captured by the **officer who received** the email.

Where an officer has been CC'd a message (i.e. are not the main recipient), they should check whether the main recipient is an employee of Council, or from outside the organisation. **If the latter**, they need to capture the email.

If there are several main recipients of an email, the person who is mainly responsible for the matter or project, or the first officer on the recipient list should capture the email.

Often messages become part of a series of replies:
➢   If the incoming email is going to be responded to within 24 hours then capture the last message in the series, which will include all previous exchanges.
➢   If the incoming email is going to be responded to after 24 hours then capture the incoming email when it arrives and then capture its response when it is sent. Make sure to cross reference the two records when registering the Outgoing Email. (See 4 Registering Records)

Once captured it is the responsibility of that officer to print off a copy and forward to the Records Management Department to be placed on file.

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7.2.3.3 Elected Member's Mail Box

All emails that are sent directly to Elected Members email addresses from outside the organisation that are records are to be forwarded to the Records Management Department to be captured.

Where an Elected Member has been CC'd a message (i.e. are not the main recipient), they should check whether the main recipient is an employee of Council, or from outside the organization. **If the latter**, they need to forward the email to the Records Management Department to be captured.

Often messages become part of a series of replies:
➢ If the incoming email is going to be responded to within 24 hours, the last message in the series should be captured, which will include all previous exchanges.
➢ If the incoming email is going to be responded to after 24 hours the incoming email needs to be captured when it arrives and its response when it is sent.

Please ensure that when forwarding emails to the Records Management Department there is an appropriate description of what the email is regarding attached so as to assist the Records Management Department in the registration process.

7.2.4 Customer Requests

All customer requests received in person, by telephone, referrals from Elected Members or staff, or face to face with a customer either at a customer service site or in the course of daily business are to be captured and registered by the officer at the time of taking the request through Councils 'Customer Requests System' in the Customer Service Module within Synergy Soft.

7.3 **Outgoing and Internal Correspondence**

7.3.1 Hardcopy

Outgoing letters, facsimiles or internal records that need capturing are to be registered into Synergy Soft by the **officer who created** the record **at the time of creation**. Failure to do this will contribute to the loss of official records, the inability to make informed decisions and lead to personal stores of records that often remain uncontrolled, unmanaged and inaccessible to others who may need them.

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Outgoing letters, facsimiles or internal records created by an Elected Member that need capturing are to be forwarded to the Records Management Department. Please ensure that when forwarding records to the Records Management Department an appropriate description of what the record is regarding is attached so as to assist the Records Management Department in the registration process.

7.3.2   Emails

7.3.2.1 Council Officers

Outgoing and internal emails that need capturing are to be registered into Synergy Soft by the **officer that created** the email.

If you receive an internal email from another officer, it is **their** responsibility to capture the email.

Where an officer has been CC'd a message (i.e. are not the main recipient), they should check whether the main recipient is an employee of Council, or from outside the organisation. **If the latter**, they need to capture the email.

If there are several main recipients of an email, the person who is mainly responsible for the matter or project, or the first officer on the recipient list should capture the email.

Often messages become part of a series of replies:
➢   If the incoming email is going to be responded to within 24 hours then capture the last message in the series, which will include all previous exchanges.
➢   If the incoming email is going to be responded to after 24 hours then capture the incoming email when it arrives and then capture its response when it is sent. Make sure to cross reference the two records when registering the Outgoing Email. (See 6.4 Registering Records)

Once captured it is the responsibility of that officer to print off a copy and forward to the Records Management Department to be placed on file.

7.3.2.2 Elected Members

Outgoing and internal emails created by an Elected Member that need capturing are to be forwarded to the Records Management Department.

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If you receive an internal email from a Council Officer, it is **their** responsibility to capture the email.

Where an Elected Member has been CC'd a message (i.e. are not the main recipient), they should check whether the main recipient is an employee of Council, or from outside the organisation. **If the latter**, they need to forward the email to the Records Management Department for capturing.

Often messages become part of a series of replies:
➢ If the outgoing email is going to be responded to within 24 hours the last message in the series is captured, which will include all previous exchanges. Once this email has been received forward it to the Records Management Department.
➢ If the outgoing email is going to be responded to after 24 hours then forward the outgoing email to the Records Management Department went it is sent and its response when it is received.

Please ensure that when forwarding emails to the Records Management Department an appropriate description of what the email is regarding is attached so as to assist the Records Management Department in the registration process.

7.4 **Registering Records Process – All Record Types**

The registration process involves details of the record being entered onto an electronic coversheet within Synergy Soft.
(See Synergy Soft User Manuals – Part 1, Internal Records and Part 2, Outgoing Records for detailed instructions)

When registering a record into Synergy Soft there are a number of minimum requirements that must be completed. These minimum requirements are:

➢ Routing Type
➢ Record Type
➢ File Number
➢ External Correspondent
➢ Short / Title Contents – otherwise known as a précis
➢ Internal Correspondent

Within the Short / Title Content (précis) field a description of the content of the record should be written - emphasis should be on what makes the document unique amongst others as this will allow for easy retrieval. Make sure that *prominent keywords* are used and mention any *important* meeting *dates*. The full content of this field become **SEARCHABLE KEYWORDS** once the coversheet is saved in order to locate the record at a later date.

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A good précis should have two features:
➢ Contain sufficient information to make the content of the record clear.
➢ Include specific keywords that help identify the subject of the record.

Synergy Soft can only retrieve from the information entered into the coversheet when searching for a record. It is extremely important therefore, to exercise caution and care when entering material. Please do not use abbreviations and ensure that the spell checker is active to pick up any spelling mistakes.

If any information has been incorrectly entered into the system it can be changed or deleted. However this must only be carried out by the Records Management Department.

All files in Synergy Soft have security levels applied to them; this includes all records that have been attached to these files. If officers are registering outgoing records of a confidential nature and are assigning the record to a file with no restricted access, a security level can be applied to the records coversheet and the attached record by the Records Management Department.

7.5 **After Registration Process**

7.5.1 Incoming Records

Once the incoming record is registered it is scanned and electronically attached to its coversheet. The original copy is placed on the appropriate file.

After the mail has been processed an email message will be sent out to all officers who have had incoming records registered for them letting them know the record's number, the file number it has been attached to, who it was from and what it is regarding. This allows for the officer to view the electronic version of the record on Synergy Soft.

7.5.1.1 Council Officers

The main internal correspondent will receive the file containing the incoming record unless there is an arrangement in place with the Records Management Department to view the record electronically.

If there is a record for a file which is temporarily located outside the Records Management Department the original record is then kept in the Records Management compactus and attached to the file on its return. Once the record has been responded to, the **yellow copy** of

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the response letter (i.e. the outgoing letter) must be forwarded back to the Records Management Department.

7.5.1.2 Child Care, Tourism, Library, Depot

No original record will be sent outside the Council office. The original record will be placed on its corresponding file and placed in the Records Management compactus. Officers outside the Council administration office will be required to view their incoming records via the records management system after they have received the email notification from Central Records. (If officers intend to print off their own copy please ensure that the record has been stamped with a copy stamp)

Once the record has been responded to a **yellow copy** of the response letter (i.e. the outgoing record) must be forwarded back to the Records Management Department.

If the record does not require a response officers must update the status of the record on the records coversheet within Synergy Soft.

7.5.1.3 Elected Members

A **copy** of **all** registered records for Elected Members mail will be placed in the appropriate tray located in the telephone switch area. No original records will be sent outside the Council offices. The original record will be placed on its corresponding file and placed in the compactus.

Once the record has been responded to, a copy of the response letter (i.e. the outgoing record) must be forwarded back to the Records Management Department.

If the record does not require a response, simply forward the record, (with no further action written on it), back to the Records Management Department who will update the status of the record on the records coversheet within Synergy Soft.

7.5.2   Outgoing and Internal Records

7.5.2.1 Council Officers

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Once registered the electronic version of the record must be attached to its coversheet in Synergy Soft and a **yellow hardcopy** forwarded to the Records Management Department to be placed on file. The yellow hardcopy must be stamped with the corresponding stamp with details of the record number and file number filled in.

If the outgoing or internal record is related to another record, when registering make sure that in the cross reference field on the coversheet in Synergy Soft the other record's record number is typed in. By typing in the related record certain fields within the coversheet will populate with data relating to this record – care must be taken to change the details in these fields to reflect the content of the outgoing or internal record that is being registered.
(See Synergy Soft User Manuals - Part 2, Outgoing Records for detailed instructions)

7.5.2.2 Elected Members

Outgoing and internal records created by an Elected Member that need capturing are to be forwarded to the Records Management Department. Please ensure that when forwarding records to the Records Management Department an appropriate description of what the record is regarding is attached so as to assist the Records Management Department in the registration process.

The Records Management Department will register all outgoing and internal records created by Elected Members.

7.6 **Actioning Records - Incoming**

It is the responsibility of all officers / Elected Members to action any incoming records assigned to them.

7.6.1 Council Officers

If an incoming record requires a response, once the response is created and registered into Synergy Soft and cross referenced with the incoming record, the status of the incoming record in Synergy Soft will automatically be updated.
(See the Synergy Soft Manuals – Part 2, Outgoing Documents for detailed instructions)

If the record doesn't require a response, the action officer must still in Synergy Soft update the status of the record and enter a date in the responded field (even if No Further Action is selected) in the records coversheet.

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(See the Synergy Soft User Manuals – Part 4, Updating My Records for detailed instructions)

Officers who receive the hardcopy, once the record has been actioned must place their initials inside the incoming stamp on the record.

7.6.2   Elected Members

If an incoming record requires a response, once the response is created and registered into Synergy Soft and cross referenced with the incoming record, the status of the incoming record in Synergy Soft will automatically be updated. (Please make sure when forwarding your response to the Records Management Department that the copy of the incoming record is attach so that the Records Management Department can cross reference the two records in order for this process to occur.)

If the record doesn't require a response, please inform the Records Management Department who will update the status of the record and enter a date in the responded field (even if No Further Action is selected) on the records coversheet within Synergy Soft.

7.7   **Outstanding Records**

7.7.1   Council Officers

Synergy Soft allows each record 5 days to be actioned before it is deemed outstanding. It is also the responsibility of each officer to periodically check the Synergy Soft system for any records assigned to them that are outstanding.
(See the Synergy Soft User Manuals – Part 4, Updating My Records for detailed instructions)

Overdue Records Report

An Overdue Records Report will be run by the Records Management Department monthly. This will help provide statistics that will illustrate the extent to which the system is being used or under-utilised, the extent to which there is a need to alter information, and many other statistics which will be useful as management tools.

7.7.2   Elected Members

Synergy Soft allows each record 5 days to be actioned before it is deemed outstanding. The Records Management Department will periodically check the

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Synergy Soft system for any outstanding records and inform the appropriate Elected Member.

7.8 Retrieval of Records

Should you require details of any records registered into Synergy Soft contact the Record Management Department to provide you with this information.

However, those who have access to Synergy Soft are encouraged to utilize the system for locating and retrieving records. (See Synergy Soft User Manual – Part 3, Searching For Records)

7.9 Alteration To Records

The <u>Chief Executive Officer</u> has authorisation to certify the reliability of all official records.

No record may be altered without the express authorisation of the Chief Executive Officer and the Records Management Department.

If a record is altered or updated without authorisation, all necessary and practical attempts must be made to ensure the record is returned to its original state. Where this is impossible, a record must be created and captured describing the changes made to the original record. This record must remain with the original record.

In major instances of records being altered without approval, a report shall be submitted to the Chief Executive Officer of the unauthorised alteration.

8. PERFORMANCE INDICATORS

All official records are captured into the Corporate Information System (Synergy Soft).

Employees / Elected Members are not maintaining individual / separate files or recordkeeping systems or unmanaged electronic records.

Adequacy levels in the Adequate Records Management Standard Requirements issued by State Records of South Australia are achieved:

Outcome 1	**Records management is planned** Records management must be governed and planned in a strategic manner, incorporating the development and implementation of plans, policies and procedures.

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Outcome 4   **Records are created, captured and controlled**

Official records must be created, captured and controlled in accordance with legislative and business requirements.

Outcome 5   **Records are secure and accessible as appropriate**

Agencies must ensure that official records are protected from unauthorised or unlawful access, and that measures are in place to prevent loss, damage and destruction. This must be balanced with the need for official records to be readily accessible to authorised persons.

9.   PROCEDURE OWNER

Records Management Supervisor

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10.   AUTHORITY

Adopted by Executive Management Team: 2 October 2014

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11.   HISTORY

This version supersedes Version 4