



# Knowledge and Information Management Policy

Adopted by

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## 1 Purpose

- 1.1 The Knowledge and Information Management Policy (the Policy) outlines direct responsibilities and practices in relation to the adequate management of Council's Information assets for all persons employed or engaged by City of Prospect. The Policy also ensures continuous improvement of Knowledge and Information Management practices and compliance with relevant legislation and standards.
- 1.2 The Policy requires that all information created or received in the conduct of Council's official business functions and activities be created, captured, managed, retained and disposed of in accordance with relevant legislation and standards.
- 1.3 Adherence to the Policy will establish a complete and accurate history of Council's business activities to meet legal, social and accountability obligations. It will ensure best practice in Knowledge and Information Management, meet legislative responsibility, provide evidence required in investigations, litigation and legal prosecution. It will also provide evidence of accountability, validate and support decisions and actions and protect the interests of residents, Elected Members and staff.
- 1.4 Accurate and authentic Records are a critical corporate asset. Records provide evidence of our business practices and compliance with legislation as well as ensure accountability, transparency and risk management. They assist with decision-making and build corporate memory. Managing corporate Records is a vital process that supports the business functions and activities of Council. Records underpin our business and can be a reliable information source. Records are assets when they are managed but must be complete, contextual and maintained in accordance with the *State Records Act 1997*.

## 2 Scope

- 2.1 The Policy outlines the direct responsibilities and practices in relation to the adequate management of Council Records for all persons employed or engaged by City of Prospect including all Staff, Volunteers, Trainees, Work Experience Placements, Independent Consultants and other authorised Personnel who act on behalf of Council or who are offered access to Council's information resources.
- 2.2 The Policy supports City of Prospect's compliance with the State Records Act 1997, Adequate Records Management Standard AS ISO: 15489-2002, Freedom of Information Act 1991 and the Local Government Act 1999.
- 2.3 City of Prospect is defined as an "agency" under the *State Records Act 1997* and therefore has a responsibility for the adequate management of corporate Records. The term "agency" is defined to include Council's as well as those persons holding offices established under the Act, i.e. Mayor/ Elected Members.

### 3 Definitions

- 3.1 The definitions within the Policy have been taken from the Glossary of Records Management Terms produced by State Records of South Australia.

**Accountability** – The principle that individuals, organisations and the community are responsible for their actions and may be required to explain them to others.

**Business Activity** – Umbrella term covering all the functions, processes, activities and transactions of an organisation and its employees. Includes public administration as well as commercial business.

**Capture** – A deliberate action which results in the registration of a Record into a EDRMS.

**Classification** – 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.

**Compliance** – Ensuring that the requirements of laws, regulations, industry codes and organisational standards are met.

**Destruction** – The process of eliminating or deleting records beyond any possible reconstruction.

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

**Document(s)** – Recorded information or object which can be treated as a unit.

**Electronic Document Records Management System: EDRMS**– An automated system used to manage the creation, use, management and disposal of physical and electronically created documents and Records for the purposes of supporting the creation, revision and management of digital documents, improving an organisations work-flow and providing evidence of business activities.

**Electronic Records** – Records communicated and maintained by means of electronic equipment.

**EMT** – Council's Executive Management Team.

**Evidence** – Information that tends to prove a fact. Not limited to the legal sense of the term.

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

**Function** – The largest unit of business activity in an agency or jurisdiction. Functions represent the major responsibilities that are managed by the organisation to fulfil its goals. Functions are high-level aggregations of the agency's activities.

**General Disposal Schedule: GDS** – A systematic listing of Records created by an organisation or agency which plans the life of these Records from the time of their creation to their disposal. It is a continuing authority for implementing decisions on the value of Records specified in the schedule.

**Information Management** – Describes the measures required for the effective collection, storage, access, use and disposal of information to support agency business processes. The core of these measures is the management of the definition, ownership, sensitivity, quality and accessibility of information. These measures are addressed at appropriate stages in the strategic planning life-cycle and applied at appropriate stages in the operational life-cycle of the information itself.

**Knowledge Management** – A multi-disciplined approach to achieving organisational objectives by making best use of Knowledge. It involves the design, review and implementation of both social and technological processes to improve the application of knowledge, in the collective interests of stakeholders.

**Recordkeeping** – Making and maintaining complete, accurate and reliable evidence of business transactions in the form of Recorded information.

**Recordkeeping Systems** – Information systems which capture, maintain and provide access to Records over time. See: Electronic Document Records Management Systems or EDRMS.

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

**Records Management** – The field of management responsible for the efficient and systematic control of the creation, receipt and maintenance, use and disposal of Records including processes for capturing and maintaining evidence of and information about business activities and transactions in the form of Records.

**Registration** – The act of giving a Record a unique identity on its entry into a EDRMS.

## 4 Legislative Requirements

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

1. *The State Records Act 1997*
2. *Freedom of Information Act 1991*
3. *Local Government Act 1999*

4. Australian Records Management Standard AS ISO 15489-2002
5. City of Prospect Privacy Policy
6. City of Prospect Personnel and HR Documentation Policy
7. City of Prospect Elected Member Records Management Policy

## **4.2 State Records Act 1997**

- 4.2.1 The *State Records Act 1997* (the Act) was enacted to ensure best practice by government agencies in the management of their Official Records. The Act empowers State Records to act as the governing body of Records Management across all tiers of government.
- 4.2.2 All physical Records, digital data (electronic) and information created or received in the conduct of government business constitutes as an Official Record under the Act. This includes, and is not limited to, such things as emails, letters, documents created electronically, micro-fiche/ film, pictorial matter, maps, diaries or any object that contains information or from which information may be produced.
- 4.2.3 Under the 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.
- 4.2.4 Penalties can apply under the *State Records Act 1997*.

## **4.3 Freedom of Information Act 1991**

- 4.3.1 The *Freedom of Information Act 1991* (the FOI Act) defines the rights of the public to obtain access to information held by the government and to ensure that Records held by the government concerning the personal affairs of members of the public are not incomplete, incorrect, out-of-date or misleading.
- 4.3.2 The Act gives the community the ability to request to view Council's Official Records and make amendments to those that they believe have false or misleading information about them.

## **4.4 Local Government Act 1999**

- 4.4.1 The *Local Government Act 1999* assigns the overall responsibility and accountability for the proper management of Official Records to the Chief Executive Officer of the agency. All defined local government agencies under this Act have a statutory responsibility to enforce the *State Records Act 1997*.

#### **4.5 Australian Records Management Standard AS ISO 15489-2002**

- 4.5.1 The *Australian Records Management Standard AS ISO 15489-2002* acts as an overarching framework for government agencies. This standard extends to an outcome-based program that also supports the *State Records Act 1997*.
- 4.5.2 As the governing body of Records Management, State Records conducts audits of all government agencies with the results being reported in Parliament. This is to ensure agencies are meeting the standard and its outcome-based program.

#### **4.6 City of Prospect Privacy Policy**

- 4.6.1 The Council is committed to a culture that protects privacy and endeavours to protect the personal information it collects, stores, discloses and uses. Council's Privacy Policy outlines how the Council adopts a 'best practice' approach to the management of personal information.

#### **4.7 City of Prospect Personnel and HR Documentation Policy**

- 4.7.1 The *Personnel and Human Resources Documentation Policy* outlines the Records Management responsibilities and adequate management of sensitive and confidential Human Resources Documentation. It is to be read and considered in conjunction with this Policy.

#### **4.8 City of Prospect Elected Member Records Management Policy**

- 4.8.1 The *Elected Members Records Management Policy* outlines and directs the practices of Elected Members of City of Prospect in relation to the management of their records. It is to be read and considered in conjunction with this Policy.

## 5 Policy Statement

- 5.1 Effective Information Management will be practiced by all staff members and representatives of Council. Records are critical to establish corporate memory, build context, meet legislative requirements and to ensure the transparency, accountability and security of our organisation.
- 5.2 The business functions and activities of Council will be documented, recorded and managed to protect the integrity, enhance the efficiency and preserve the history of Council. Business activities include decisions made, actions taken, advice given, transactions and interaction with clients.
- 5.3 Records will be managed and maintained throughout Council in accordance with relevant legislation and the procedures associated with the Policy. The Policy and Information Management Procedure Manual applies to the Records and information held by Council, including those created and received by staff, volunteers, trainees, work experience placements, independent consultants and other authorised personnel offered access to Council's information resources. It is the responsibility of all of the parties listed to adhere to the Policy.
- 5.4 Records will be destroyed in accordance with State Records Act 1997 and the appropriate General Disposal Schedule. Deletion of records can only be conducted by Council's Information Management staff.
- 5.5 Council will ensure compliance with relevant Records Management legislation and standards and will pursue best practice in Knowledge and Information Management through continuous improvement.

## 6 Application of Policy

- 6.1 To ensure compliance with the defined legislation and standards Council must implement and manage the following Corporate responsibilities and standards:
- 6.2 The Chief Executive Officer has overarching responsibility under the provisions of the *Local Government Act 1999* for ensuring compliance with legislation in respect to all areas of Knowledge and Information Management. It is also the responsibility of the CEO to ensure:
  - 6.2.1 Timely and accurate information regarding Council's policies and programs are regularly provided to the community.
  - 6.2.2 Appropriate and prompt responses are given to specific requests for information made to Council, eg. Freedom of Information requests.

- 6.3 CEO, Directors, Managers and Team Leaders are responsible for ensuring:
- 6.3.1 Council is meeting its requirements in accordance with relevant Records Management legislation and standards including, but not limited to, the *State Records Act 1997* and *Adequate Records Management Standard AS ISO 15489-2002*.
  - 6.3.2 Official Records are created in all appropriate circumstances immediately after an event, decision, agreement or business action or as soon as practicable. The creation of Official Records must be monitored by the organisation and corrective action taken where appropriate.
  - 6.3.3 Official Records are captured into the EDRMS, upon creation, receipt or as soon as practicable. The capture of Official Records must be monitored by the organisation and corrective action taken where appropriate.
  - 6.3.4 Official Records are only disposed of in accordance with the provisions of the *State Records Act 1997* by authorised Council Information Management Staff. Routine sentencing and disposal programs must be followed strictly in accordance with GDS 20 and GDS 21. This is to ensure there is no illegal destruction of Records. The illegal destruction of Records carries penalties under the *State Records Act 1997*. If prosecuted penalties will apply to the staff member involved.
  - 6.3.5 Access to, and the security of, Official Records is managed in all formats and routinely monitored. Access determinations for all official Records are developed by the organisation in accordance with legislation and guidelines. Security standards are created and implemented into the corporate EDRMS.
  - 6.3.6 Official Records are able to be found upon demand or with minimal extra effort. The ability to locate Records is monitored and audited. The application of standard classification systems for uniquely identifying Records is monitored across the agency.
  - 6.3.7 Council implements measures to ensure the reliability of their official Records as evidence of the business. This includes implementing audit trails and version control to monitor unauthorised access or alteration to all official Records within the corporate EDRMS.
  - 6.3.8 Records Management responsibilities are assigned to all staff at an individual level.
  - 6.3.9 Elected Members are aware of their Records Management responsibilities, they undertake these responsibilities as apart of their role, receive appropriate Knowledge and Information Management training and education and that corrective measures are taken where appropriate.
  - 6.3.10 Staff are aware of their Records Management responsibilities, that they adhere to Knowledge and Information Management Policies and Procedures, receive appropriate training and education and that corrective measures are taken where appropriate.

- 6.3.11 Quality Knowledge and Information Management and EDRMS training including Induction training is delivered by an authorised and appropriately qualified Information Management staff member or consultant.
- 6.3.12 Records Management responsibilities forms a core component of the Position Descriptions of staff and is a measurable responsibility of all staff in performance reviews.
- 6.3.13 Records Management responsibilities are included in contracts, agreements, volunteers information sheets, and will be considered in Shared Services arrangements.
- 6.3.14 Integration with Council's EDRMS and Knowledge and Information requirements are considered in the acquisition of all Council Software and the implementation of administrative procedures.
- 6.3.15 Decisions in relation to Knowledge and Information Management and Records Management systems are made with the appropriate consultation with the Manager Knowledge and Information to ensure expert and qualified advice.
- 6.3.16 Information Management is adequately resourced and educated to meet the service levels of the organisation in accordance with the Records Management Resourcing Benchmarks and Classification Equity Guideline and the *Adequate Records Management Standard AS ISO:15489-2002*.
- 6.3.17 Support for Knowledge and Information Management as a fundamental business activity of Council by undertaking continuous development and promotion of Records Management. Knowledge and Information Management shall be managed and planned for in a strategic and corporate manner. A corporate strategy for Knowledge and Information Management or business plan is implemented and applies to all official Records of all formats. This includes a disaster recovery plan for the management of vital and critical Records.
- 6.3.18 Records Management systems are appropriately developed, supported, maintained, planned for in the future and that service, upgrades and maintenance are undertaken where necessary including engaging resources to do so where appropriate. A compliant EDRMS is implemented and maintained and other business systems integrated appropriately.
- 6.3.19 Staff have access to the knowledge and tools that support Council's Records Management policy and procedures.
- 6.3.20 All claims of misconduct or breaches of this Policy are treated as critical and responded to within a reasonable timeframe to ensure any investigation is supported by IT, for example, information is retrievable from backup tapes.

- 6.3.21 Staff, contractors and volunteers have a responsibility to manage the records of Council in accordance with their position description and the State Records Act 1997. Breaches by staff will be dealt with as part of a performance review.

The State Records Act 1997 Section 17, prescribes that the intentional illegal destruction, damage, alteration or removal of official records could incur penalties of \$10,000 or 2 years imprisonment to the individual responsible. Under the Act further penalties may be applied.

- 6.3.22 Action on Trim reports is undertaken by staff and signed off by the relevant Director, Manager or Team Leader.

6.4 The Manager Knowledge and Information is responsible for ensuring:

- 6.4.1 Any organisational non-compliance with State Records legislation will be reported to the Director of State Records where appropriate.
- 6.4.2 Information Management is adequately resourced to appropriately support the service needs of Council.
- 6.4.3 Reporting on the creation, capture and disposal of Council Records as well as the quality of naming conventions and filing, is undertaken and provided to EMT and the Leadership Team.
- 6.4.4 Strategic planning and future development of Knowledge and Information Management is undertaken by Council.

6.5 Information Management Team is responsible for ensuring:

- 6.5.1 The provision of expert advice to Council on Records Management legislation, procedures, actions and issues including providing quality assistance, service and advice to Council staff in relation to use of Council's EDRMS.
- 6.5.2 Efficient and accurate dissemination and registration of incoming Council Records.
- 6.5.3 Issues related to Knowledge and Information Management procedures, practices or Council's EDRMS are efficiently and accurately resolved.
- 6.5.4 Quality Knowledge and Information Management and EDRMS training is available and delivered to all Council staff as necessary.
- 6.5.5 Council's programs, systems, procedures, policies, EDRMS and strategies will be managed, monitored and maintained in accordance with relevant legislation, standards and strategies.

- 6.5.6 Appropriate decisions are made on Knowledge and Information Management matters such as capture, classification, access, storage and disposal in accordance with relevant legislation and standards as well as GDS 20, GDS 21 including the destruction of digitised Source Records.
  - 6.5.7 Routine disposal programs are implemented and followed in accordance with relevant legislation and standards as well as GDS 20 and GDS 21 including the destruction of digitised Source Records.
  - 6.5.8 No illegal destruction of Records occurs. The Information Management team are the only staff members within the City of Prospect with the authority to delete documents (Official Records or otherwise) from the corporate EDRMS.
  - 6.5.9 The appropriate Version and Revision control is implemented into the EDRMS and undertaken by staff where necessary. No illegal alteration of Records in any format occurs.
  - 6.5.10 Council's programs, systems, procedures, policies, EDRMS and strategies will be managed, monitored and maintained in accordance with relevant legislation, standards and strategies.
- 6.6 Staff and persons acting in an official capacity on behalf of Council including (but not limited to) Volunteers, Temporary staff and Contractors are responsible for ensuring:
- 6.6.1 They understand that Records created within the conduct of their role at City of Prospect are the property of Council and therefore must be managed and cared for in accordance with the Policy, associated policies and relevant procedures.
  - 6.6.2 The appropriate creation of official Records in all appropriate circumstances immediately, or as soon as practicable, after an event, decision, agreement or business action. The creation of official Records will be monitored by the organisation through reporting mechanisms and corrective action taken where necessary.
  - 6.6.3 Capture of official Records into the Corporate EDRMS, upon creation, receipt or as soon as practicable. The capture of official Records will be monitored by the organisation through reporting mechanisms and corrective action taken where necessary.
  - 6.6.4 There is no illegal or unauthorised destruction of official Records. Records are only to be disposed of in accordance with the provisions of the *State Records Act 1997* by authorised Information Management Staff. The illegal destruction of Records carries penalties under the *State Records Act 1997*. If prosecuted penalties will apply to the individual involved.
  - 6.6.5 There is no deliberate access to Records that do not directly relate to the activities and responsibilities of their role at Council. Security standards will be created and implemented into the corporate EDRMS.

- 6.6.6 Official Records are stored and maintained within the corporate EDRMS to ensure they are able to be found upon demand or with minimal extra effort.
- 6.6.7 Staff are not to maintain Official Records within “Personal Recordkeeping Systems” including (but not limited to) retaining information on USBs, Desktops, in Personal Drives, on iPads, Laptops, Disks, personal email accounts.
- 6.6.8 Attendance as required at Records Management or EDRMS training which will be delivered by an authorised and appropriately qualified Information Management staff member or consultant.
- 6.6.9 Compliance with Knowledge and Information Procedures including taking action on Trim reports.
- 6.6.10 Hardcopy Records and Files are to only be loaned to staff to support the duties of their role at Council whilst on Council premises. Staff are not authorised to take Hardcopy Records and Files including Source and Legacy Files offsite without prior approval from Information Management staff. The accidental loss of Hardcopy Records and Files will be treated as destruction of assets. Refer 6.3.21.

## **7 Review**

The Policy will be reviewed in line with the Corporate Governance Framework, or as required by legislation.

## **8 Further Information**

For further information about the Policy contact:

Director Corporate Services or Manager Knowledge and Information

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