

# THE BAROSSA COUNCIL

## KNOWLEDGE MANAGEMENT POLICY



<b>Strategic Plan Link:</b>	4.3 Systems	<b>First Approval Date::</b>	20/11/2012
<b>Policy Owner:</b>	Director, Corporate and Community Services	<b>Previous Approval Date(s):</b>	20/11/2012
<b>Document Control:</b>	Manager, Knowledge and Technology Services	<b>Current Approval Date:</b>	20/06/2016
<b>Document Code:</b>	TBCPOC2000	<b>Next Review Date:</b>	June 2020

<b>1.</b>	<b>Purpose</b>
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- 1.1 The State Records Act 1997 ("Act") governs the obligations and responsibilities of councils in relation to the management of Official Records. Under this Act, The Barossa Council ("Council") has an obligation to create, capture and maintain Official Records as part of its core business and enable robust maintenance of its corporate memory.
  
- 1.2 In addition to its records management obligations under the Act, Council is required to maintain adequate Official Records in order to fulfil its responsibilities under other legislation such as the Freedom of Information Act 1991, as well as contribute towards legal process such as external regulators, Independent Commission against Corruption, Royal Commissions, The Ombudsman, Courts, Auditors and other relevant Public Officers or bodies.
  
- 1.3 The purpose of this Policy is to provide principle based guidance and direction on the creation, capture and management of information in various formats. In doing so, the Policy supports the identification of a compliant framework to manage the ongoing implementation and maintenance of Council's corporate memory, ultimately ensuring that Records are preserved in a format to ensure they are usable and accessible for as long as they are legally required to be.

<b>2.</b>	<b>Scope</b>
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- 2.1 This Policy is relevant to all Elected Members, Employees, Contractors and Volunteers of Council with respect to the creation, capture and maintenance of Records in relation to their Council responsibilities, delegations and in accordance with this Policy and related processes.
  
- 2.2 Elected Members, Employees, Contractors and Volunteers are obliged to comply with this Policy and associated process under the Act, State Records Adequate Records Management Standard and the Australian Standard AS ISO 15489 in addition to any Council policies and processes which relate to records management.

<b>3. Definitions</b>	
Access	Right, opportunity, means of finding, using or retrieving information
Access Controls	The mechanism used in the Electronic Document Records Management System (EDRMS) to apply a specific privacy control to an allocated record which is replicated if the record is hard copy.
Australian Standard AS ISO 15489	AS ISO 15489 – 2002 does not replace any components or requirements of the Adequate Records Management Framework. However, State Records accepts the Standard as best practice advice within the parameters of the Adequate Records Management Framework.
Business Owner	The team/individual within Council responsible for the function and activities of the business contained within the records.
Capture	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.
Create	The making and keeping of evidence of Council's business activities.
Continuing Value	Records that contain information that is of administrative, legal, fiscal, evidential or historical value to Council.
Contractor	An employee of a labour hire company who has been assigned to Council to perform a specific role.
Destruction	Process of eliminating, destroying or deleting Records, beyond any possible reconstruction.
Digital reformatting	Process of converting a Record in a non-digital format to a digital format.
Digital Records	A Record created, and/or maintained by means of digital computer technology. Includes Records that are created digitally or have undergone conversion from non-digital formats.
Disposal	Range of processes associated with 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 receipt or ownership of Records.
Document(s)	Structured units of recorded information, published or unpublished, in hardcopy or electronic form, and managed as discrete units in information systems.
Electronic Document and Records Management System (EDRMS)	An automated system used to manage the creation, use, management and disposal of hardcopy and electronically created Documents and Records for the purposes of supporting the creation, revision and management of digital records improving an organisations workflow and providing evidence of business activities.
Email	Is a service that enables people to exchange documents or messages in electronic form. Each Employee, Contractor and Volunteers has a designated mailbox that stores messages sent by other users. You may retrieve, read and forward or re-transmit messages from your mailbox.
Employee	All full time, part time and casual employees employed by council
Official Record	Council's Official Records are any information created, received or maintained as evidence to support the business and legal obligations of Council. This incorporates hardcopy and electronic Records including emails sent or received and Social Media content. An Official Record is determined by its purpose at creation or receipt and not its place of storage. This includes electronic records stored on

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	portable storage devices, Council Servers (or externally hosted servers) and within Corporate Applications and may include hardcopy Records stored in an offsite location.
Record	Any written, graphic or pictorial matter; or a disk, tape, film or other object that contains information or from which information may be reproduced (with or without the aid of another object or device).
Retention	The period that a record must be retained under the Act.
Security	The restriction of access to a Record by using physical or electronic means such as access controls as part of the metadata in the EDRMS.
Social Media	Group term for a range of on-line communication channels, which enable content sharing and collaboration. Including but not limited to: social networking sites (e.g. Facebook, LinkedIn); microblogging sites (e.g. Twitter); blogs; podcasts; forums and discussion boards; wikis.
Supervisors	Any direct line supervisor, including Chief Executive Officer, Director, Team Manager, Line Manager, Coordinator, Supervisor who are responsible for Employees, Contractors and Volunteers(s) reporting to them.
Temporary/Transitory Record	A record that is of little or no Continuing Value to the Council and only needs to be kept for a limited or short period of time, such as a few hours or a few days.
Transfer	Deliver ownership or possession of Records to State Records Office.
Vital Record	A Document, file or Record in any form or format containing information that is essential to the operations and/or survival of the Council; necessary to recreate the Council's legal and financial position; and necessary to preserve Council's claims and rights and those of its stakeholders.

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## 4. Policy Statement

### 4.1 Policy Objectives

- 4.1.1 Council is committed to managing its Official Records in accordance with the Act. Further, Council will capture, store, maintain and dispose of such Official Records to effectively document and facilitate the transaction of its business.
- 4.1.2 This Policy affirms Council's commitment to compliant recordkeeping and underpins standardisation, retrieval and protection of information to support good governance and excellent customer service.

### 4.2 Knowledge Management Principles

- 4.2.1 Council's knowledge management practices are underpinned by the following key principles:

#### *Principle 1 - Accountability*

Council operates in an accountable and community orientated environment and the proper management of Records is central to the continuum of an authentic legacy including historical transactions which contributes to the wider community.

Council records provide evidence of the organisation and its operations and are the property of Council and not the Employee, Contractors and Volunteers who create them or to whom they are entrusted.

#### *Principle 2 – Electronic Document and Records Management*

Any electronic or hardcopy Record generated as part of Council business is an Official Record under the Act and will be maintained in good order and condition with appropriate controls to manage Capture, Access, Security, Retention and Disposal.

Electronic records may be held in either the dedicated Electronic Document and Records Management System ("EDRMS"), or a specific business system which where possible will be integrated with Councils EDRMS or meet standard recordkeeping functionality.

#### *Principle 3 – Preservation and Protection*

After creation or Capture, Official Records will not be damaged, altered or destroyed other than in accordance with the applicable State Records General Disposal Schedule and only with written authorisation from the Chief Executive Officer or delegate in consultation with the appropriate business owner.

Council acknowledges that the Security around a Record is crucial to managing appropriate Access, Destruction, alteration or Retention. In the electronic environment (EDRMS) the restriction will be implemented using Access Controls which support a tracking history around the Record.



#### 4.3 Knowledge Management Responsibilities

- 4.3.1 To ensure that Council meets its objective to manage Official Records in accordance with the Act, Elected Members, Employees, Contractors and Volunteers will ensure that Official Records created or received in the provision of service are captured in Council's EDRMS by the relevant business owner and managed effectively to ensure that the activities and functions of their respective areas contribute to the organisation's corporate memory and accountability.
- 4.3.2 All Official Records will be captured by the business owner in Council's EDRMS and the original, where it was received in hardcopy format, will be provided to Knowledge Services for retention or disposal in accordance with the relevant schedule.
- 4.3.3 Vital Records, those without which Council could not continue to operate, are irreplaceable, or would require significant resources to recreate, must be captured in Council's EDRMS. Examples of Vital Records include, but are not limited to, legal documents such as original signed agreements, licenses, leases, contracts and any other legal documents between parties; Council's Business Continuity Plan; employee details; current customer records; accounting and tax records; infrastructure plans, operational policies and procedures; and records relating to current or potential litigation.
- 4.3.4 Original hard copies of Official Records are to be retained within Knowledge Services. If there is a requirement for these records to be taken off-site for the conduct of Council business, a copy rather than the original should be used.

#### 4.4 Handling of Records

- 4.4.1 Elected Members, Employees, Contractors and Volunteers must not intentionally damage, alter, dispose of or remove Official Records of the Council without authorisation to do so. Council Employees, Contractors and Volunteers are required to handle Official Records with care and respect in a sensible manner to avoid damage and with a view to prolonging their life span.
- 4.4.2 Elected Members, Employees, Contractors and Volunteers must ensure that Official Records in any format, including electronic documents and electronic messages, which they personally receive or send are captured into the Council's record keeping system. Official Records must be readily accessible to meet business and accountability requirements.
- 4.4.3 Elected Members, Employees, Contractors and Volunteers should be made aware of their obligations to maintain Official Records through induction, training and contract management processes. Where a Worker is not equipped to meet their obligations, Official Records are to be forwarded to a representative of the nominated business owner within the Council.
- 4.4.4 Electronic records are to be captured and maintained as functioning records by preserving their structure, context and content. In order to maintain their value as evidence, electronic records cannot be altered or manipulated for as long as they are retained.

## 4.5 Records Security

4.5.1 Official Records in all formats should be stored securely to prevent unauthorised Access, Destruction, alteration or removal.

4.5.2 Elected Members, Employees, Contractors and Volunteers are responsible for the security and custody of all files and documents that are allocated to them.

Sensitive or confidential information which is in hard copy should be placed in a secure storage area when not in use. File storage units should be locked overnight wherever possible to prevent unauthorised access. Amongst other risk management considerations, this reduces the possibility of damage by water or fire in the event of a disaster. When the action has been completed the file/documents should be returned to the Knowledge Services area for storage.

4.5.3 The authority to access either the hard copy or electronic copy of a record is determined by the security provisions requested by the business owner. In practice, the same restrictions when accessing confidential records in electronic format (i.e. as applied to EDRMS containers) must also be applied to the corresponding hard copy record when this is held in hard copy format or reproduced from the electronic version in any other format.

4.5.4 Vital records should be stored in protective or fire resistant conditions with suitable Access conditions. Original hardcopy records should not generally be removed from the office, where a hardcopy document is required a copy of the original should be used and care should be taken to ensure the information contained within the document is managed appropriately.

## 5. Supporting Process

- Knowledge Management Process - Staff
- Work Health and Safety Document Development Process
- Knowledge Management for Elected Members Process

## Related Policies and Codes

- Induction Policy
- Social Media Policy
- Request for Service Policy
- Code of Conduct for Employees
- Code of Conduct for Volunteers
- Code of Conduct for Elected Members
- Risk Management Policy

## 7. Legislation and References

- State Records Act 1997
- Freedom of Information Act 1991
- Local Government Act 1999

- Electronic Transactions Act 2000
- Adequate Records Management Standard V3
- Australian Standard AS ISO 15489
- General Disposal Schedule 20 Edition 5 for Local Government
- General Disposal Schedule 21 – Digitised Records

<b>8.</b>	<b>Review</b>
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8.1 This Policy shall be reviewed by [[the Council / Policy Owner]] in consultation with the relevant stakeholders, within four years or more frequently if legislation or Council needs change.

<b>9.</b>	<b>Further Information</b>
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9.1 This Policy is available on Council's website at [www.barossa.sa.gov.au](http://www.barossa.sa.gov.au). It can also be viewed electronically at Council's Principal Office at 43-51 Tanunda Road, Nuriootpa and all Council branches, during ordinary business hours. A copy of this Policy can be obtained at those venues upon payment of a fixed fee.

Any complaint in relation to this Policy or its application should be forwarded in writing addressed to the Chief Executive Officer, PO Box 867, Nuriootpa SA 5355.

SIGNED: .....  .....

Mayor / ~~CEO~~ under delegation  
(delete which is not applicable)

DATED: 21 / 6 / 2016

**10. Policy Version History**

Version No:	Approval Date:	Description of Change:
1.0	20/11/2012	New Policy, 20 November 2012
2.0	20/06/2016	Policy review, update and change of name to Knowledge Management Policy

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