

Knowledge Management Policy



1. Document control

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Document Owner:	Director, Corporate Services, Strategy and Innovation	Document Author:	Manager Information Services and Technology
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2. Statement of Intent

- 2.1. The purpose of this Policy is to outline the responsibilities and practices of Council's Information Assets, as a defined agency under the *State Records Act 1997* (the Act), as well as for all persons employed or engaged by The Barossa Council (Council). The Policy ensures continuous improvement in information and records management practices, and compliance with relevant legislation and standards.
- 2.2. This Policy requires that all information and records created and required to be retained by Council in conducting Council business should be captured, managed, retained and disposed of in accordance with relevant legislation and standards.
- 2.3. This Policy promotes legislative compliance, good practice, the transfer, retention and sharing of information and knowledge and establishes a complete and accurate history of Council's activities.

3. Policy Statement

- 3.1. Council is defined as an agency under the Act and therefore has a responsibility for the adequate management of corporate records and information. The Policy supports Council's compliance with the Act, Adequate Records Management Standards AS ISO 15489.1-2002, *Freedom of Information Act 1991* and the *Local Government Act 1999*.
- 3.2. Information and records are assets when they are managed and must be complete, contextual, and maintained in accordance with the Act. Council will ensure compliance with relevant records management legislation and standards and will pursue best practice in information management through continuous improvement. Council uses an Electronic Document and Records Management System (EDRMS) as the corporate information and records management system.
- 3.3. An Official Record is information created, sent, or received by Council in the conduct of its business. Any person acting as a representative of Council, any record created, sent, received, forwarded, or transmitted by Council Employees and/or Elected Members in the undertaking and discharge of their functions and duties may be classified as Official Records. Information captured as a record can include physical and electronic correspondence (not limited to email), social media, text messages, visual assets such as photo or video, audio recordings and file notes of conversations.

3.4. Knowledge Management Principles

Principle 1 - Accountability

- 3.4.1. As prescribed by Section 99 of the *Local Government Act 1999* the Chief Executive Officer (CEO) is required to ensure that records are properly created and maintained. It is important that the value of information is known and acknowledged by all Council Employees and that ownership is assigned and accepted. It is central to the record management principles that corporate information can be relied upon, ensuring an authentic legacy, including historical transactions for the wider community.
- 3.4.2. Council's records management obligations extend to all records generated by any person engaged by Council to undertake core functions of Council or on its behalf. All records created must link to business functions and activities and remain the property of Council and not the Council Employee who created them, or to whom they are entrusted.

Principle 2 – Appropriate Management and Risk

- 3.4.3. Any electronic or hardcopy document generated in the process 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. Vital and confidential records will be stored in a secured environment whether they are in hardcopy or electronic form.
- 3.4.4. Council Employees are responsible for the safe custody of all files and documents (internally generated or from a third-party) that are allocated to them. Records must not be stored at home or left in cars unattended as they could be lost, damaged or stolen. 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.
- 3.4.5. Electronic records may be held in either the dedicated EDRMS, or a specific business system which, where possible and considered appropriate and efficient, will be integrated with Council's EDRMS and meet standard recordkeeping functionality.

Principle 3 – Preservation, Protection and Lawful Destruction

- 3.4.6. 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 then, only with written authorisation from the CEO or delegate, in consultation with the appropriate business owner.
 - 3.4.7. Only records that have been identified as non-official, and of no continuing value to Council such as transitory or temporary records, or records that are personal or private in nature can be destroyed by individuals. Unauthorised or illegal destruction carries penalties of a maximum \$10,000 fine or up to two years imprisonment, which may be placed on an individual.
- 3.5. All Official Records will be captured in Council's EDRMS by either the business owner, or Information Services Officers. Where the document was received in hardcopy format it will be provided to the Information Services and Technology (IST) Team for retention and/or disposal in accordance with the relevant schedule.
 - 3.6. Original hard copies of Official Records are to be retained within the IST Team. 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 will be provided for use.
 - 3.7. Knowledge Management and Generative Artificial Intelligence (GenAI or AI)
 - 3.7.1. GenAI has become a highly accessible and rapidly growing technology that can impact Information Management and recordkeeping responsibilities. The content generated by AI systems (including the prompts or instructions used to retrieve it), may need to be treated as Official Records, especially if influencing how a decision was made or having an impact on how Council conducts business.

3.7.2. Official Records in relation to AI are required to be captured and managed to provide evidence of decisions made and events that have occurred. Properly managing these records will ensure compliance and help to identify:

- If AI technology was used to influence a decision, take an action or generate the content;
- If the content produced through AI technologies is accurate and relevant;
- What the agency has done to mitigate any negative impacts;
- The outputs and decisions AI generate are explainable, auditable and transparent.

4. Scope

4.1. This Policy applies to all Council Employees and Elected Members, including (but not limited to) staff, volunteers, trainees, work experience placements, independent consultants, contractors, legal advisors and all other authorised personnel who undertake actions on behalf of Council with respect to the creation, capture and maintenance of records.

5. Responsibilities

Chief Executive Officer

5.1. The role of the CEO, as prescribed by Section 99 of the *Local Government Act 1999*, includes ensuring that records required under any legislation are properly kept and maintained.

Information Services and Technology Team

5.2. Responsibility for Council's Knowledge Management Policy, processes and EDRMS systems is assigned to the Information Services function of IST, under the supervision of the Director, Corporate Services, Strategy and Innovation and the CEO. The role of Information Services Officers is to provide a strategic focus for recordkeeping through the Council and:

- 5.2.1. providing support and governance to ensure that Official Records are managed in accordance with the Act;
- 5.2.2. establishing records management policies and processes for the Council as a whole;
- 5.2.3. establishing corporate standards and strategies for recordkeeping, records management, and disposal;
- 5.2.4. measure performance of Council business units against these standards;
- 5.2.5. working with other accountable stakeholders, including executive and management leadership groups to ensure Council's EDRMS supports organisational and public accountability;
- 5.2.6. providing Council Employees and Elected Members with advice, assistance and appropriate training to allow them to meet their records management responsibilities; and
- 5.2.7. undertake relevant audits and risk assessments on information management practices and locations providing recommendations to support ongoing compliance, preservation and access to information.

Council Employees

5.3. All Council Employees are required to maintain records within their own duties and functions that relate to Council business. The recordkeeping obligations of Council Employees include:

- 5.3.1. Capturing records that support the course of conducting business activities into the EDRMS;

- 5.3.2. Understanding why, how and where records are kept within Council;
- 5.3.3. Not losing or misplacing records, or destroying Council records without authority;
- 5.3.4. Being aware of and complying with records management processes.
- 5.4. Council Employees who do not comply with this Policy may be subject to disciplinary action under the relevant behavioural codes or policies, and/or subject to criminal or civil proceedings. Council Employees must report breaches of this Policy to the Manager Information Services and Technology.

Consultants, Contractors and Volunteers

- 5.5. Council Employees as detailed above, includes all persons employed by the Council such as volunteers, trainees, work experience placements, independent consultants, contractors, legal advisors and other authorised personnel providing or undertaking core functions on behalf of the Council. Council's records management obligations extend to records generated by any person within this definition, or who has been engaged by Council to undertake core functions of the Council on its behalf.

6. Legislation and References

Legislation

- *State Records Act 1997*
- *Freedom of Information Act 1991*
- *Local Government Act 1999*
- *Electronic Transactions Act 2000*
- Adequate Records Management Standard Version 3
- Australian Standard AS ISO 15489
- General Disposal Schedule 40 v1 for Local Councils and Local Governing Bodies and Authorities in South Australia
- General Disposal Schedule 41 for Burial and Cremation Records
- General Disposal Schedule 21 for disposal of hardcopy source records after digitisation
- General Disposal Schedule 48 for COVID-19 related records
- General Disposal Schedule 47 for Records of relevance to allegations of Child Abuse matters
- General Disposal Schedule 16 for Records of relevance in relation to Native Title
- General Disposal Schedule 45 for Identity Verification Documents

Supporting Documents

- Knowledge Management Business Process
- Source Record Digitisation and Disposal Process
- Official Record Disposal Process (Destruction)
- Official Record Approval Process Checklist and Destruction Report Form
- Knowledge Management Process - Elected Members

Related Policies

- Induction Policy
- Social Media Policy
- Request for Service Policy
- Code of Conduct for Volunteers
- Elected Member Behavioural Management Policy and Process
- Risk Management Policy
- Artificial Intelligence Policy

7. Definitions

Access	right, opportunity, means of finding, using or retrieving information.
Access Controls	the mechanism used in the EDRMS to apply a specific privacy control to an allocated record which is replicated if the record is hardcopy.
Australian Standard AS ISO 15489	AS ISO 15489 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.
Continuing Value	records that contain information that is of administrative, legal, fiscal, evidential or historical value to Council.
Continuous Improvement	means the process of enhancing systems to achieve improvements in overall related performance, in line with the organisation's policies. The process need not take place in all areas simultaneously.
Contractor	is an independent person, business or organisation that enters into a contract with Council to deliver services or undertake work on behalf of Council.
Create	the making and keeping of evidence of Council's business activities.
Destruction	process of eliminating, destroying or deleting records, beyond any possible reconstruction.
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.
Elected Member	the principal member or a Councillor of the Council.
Electronic Document and Records Management System	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 organisation's 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 volunteer 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	a person employed by the organisation on an ongoing or fixed term full-time or part-time basis or employed on a casual basis.
Official Record	Council's Official Records are any information created, received or maintained as evidence to support the business and legal obligations of Council, and includes information created, received or maintained by Contractors. 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 portable storage devices, Council Servers (or externally hosted servers) and within Corporate Applications and may include hardcopy records stored in an offsite location. Official Records can be 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).
Record	the Australian Standard ISO 15489 defines a record as: "Information created, received, and maintained as evidence and information by an organisation or person, in pursuance of legal obligations or in the transactions of business". Irrespective of media or format.
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 online communication platforms that enable interaction, content sharing, and collaboration. These platforms include but are not limited to: • Social networking sites (e.g. Facebook, Google+ and LinkedIn) • Microblogging sites (e.g. Twitter) • Blogs • Podcasts and video podcast • Photo sharing sites (e.g. Flickr, Instagram and Pinterest) Forums and discussion boards.
Transfer	deliver ownership or possession of records to State Records of South Australia.
Transitory/Temporary Record	a record that is of little or no Continuing Value to the Council and needs only to be kept for a limited or short period of time, such as a few hours or a few days.

8. Version History

This Policy will be reviewed by the Policy Author in consultation with the relevant stakeholders, within four years or more frequently if legislation or Council's need changes.

Version No.	Date.	Summary of Changes
1	20/11/2012	New Policy
2	20/06/2016	Policy review, update and change of name to Knowledge Management Policy
3	20/07/2021	General review
1 (new doc no)	18/02/2022	Update to improve compliance with State Records guidelines
2	21/02/2023	Reviewed in line with State Records Strategy and best practice
3	02/12/2025	General Policy review and update to position titles in line with restructure
4	10/04/2026	Transferred to new corporate template Removed and refined definitions table as per the definition's glossary Added a section about Artificial Intelligence (3.7)

9. Further Information

This Policy is available on Council's website at www.barossa.sa.gov.au. It can also be viewed electronically at Council's principal office at 43-51 Tanunda Road, Nuriootpa during ordinary business hours. A printed copy of this Policy can be obtained upon payment of a fixed fee.

Feedback regarding this Policy or its application can be made to the Customer Service Team on 8563 8444 or barossa@barossa.sa.gov.au in first instance, who will refer you to the most appropriate officer.