

Knowledge Management Process – Elected Members

1. Document control

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2. Purpose

- 2.1. To provide Elected Members with guidelines to compliantly maintain Official Council Records according to Councils obligations under the *State Records Act 1997* and other relevant legislation.

3. Scope

- 3.1. Incoming Mail
- 3.2. Electronic Records
- 3.3. Timing of Records Capture
- 3.4. Security of Records
- 3.5. Confidential Records
- 3.6. Destruction of Records
- 3.7. Identification of Frequently Used Records

4. Process

4.1. Incoming Mail (Hardcopy)

- 4.1.1. All mail received through Australia Post by Council that is addressed to Elected Members, except that which is marked private and/or confidential, will be opened by Information Services Officers, date stamped and distributed to the Executive Support Officer so it can be registered as appropriate in the Electronic Document and Records Management System (EDRMS). The electronic version is then forwarded to the relevant Elected Member via email. Any document scanned and registered to the EDRMS will have the document number written in red pen on the top right-hand corner of the hard-copy document, which will then be placed in the 'Scanned Documents' tray in the records area.
- 4.1.2. If mail happens to be received by Elected Members at their own address that relates to Council business/matters, it should be sent to the Executive Support Officer for registering into the EDRMS. Copies of responses made by Elected Members should also be provided for appropriate action.

4.2. **Electronic Records**

- 4.2.1. Any electronic records created or received by Elected Members should be forwarded via email to the Executive Support Officer for registering into the EDRMS as appropriate.

4.3. **Timing of Records Capture**

- 4.3.1. Elected Members should forward all Official Records received from a person or organisation external to Council to the Executive Support Officer, for action within the required timeframe (5 days). Any Official Records created by an Elected Member and which are forwarded (not cc'd) to a member of staff for action or information will be registered by that Employee.

4.4. **Security of Records**

- 4.4.1. In order to ensure the physical security of records in Councils care and control, Elected Members are responsible for the safe custody of all records in their care and control until transferred to the Records Registry.

4.5. **Confidential Records**

- 4.5.1. If an Elected Member believes that an Official Record is of a highly sensitive or confidential nature, they should arrange with the Chief Executive Officer (CEO) to apply necessary access restrictions to that record within the EDRMS.

4.6. **Destruction of Records**

- 4.6.1. Official Records must only be disposed of by Information Services Officers in accordance with the relevant State Records General Disposal Schedule (GDS), in line with Council's Knowledge Management Policy and Business Process.

4.7. **Identification of Frequently Used Records**

- 4.7.1. The guidelines at Appendix 1 relate to frequent groups of records which Elected Members may create, send, receive or forward. This is not an exhaustive list, it is simply provided to assist in assessing whether information in any format constitutes an Official Record under the *State Records Act 1997*.

5. **Responsibilities**

5.1. **Chief Executive Officer**

- 5.1.1. The role of CEO of the Council, as prescribed by section 99 (1) (g) of the *Local Government Act 1999*, includes ensuring that Official Records required under any legislation are properly kept and maintained.

5.2. **Information Services and Technology Team**

- 5.2.1. Responsibility for the EDRMS is assigned to the Information Services function, under the supervision of the Manager Information Services and Technology, the Director, Corporate Services, Strategy and Innovation and the CEO.
- 5.2.2. The role of the Manager Information Services and Technology and the team is to provide a strategic focus for recordkeeping throughout the Council and responsibility for:
- ensuring that Official Records are managed in accordance with the *State Records Act 1997*;
 - establishing records management policies and processes for the Council as a whole;
 - establishing corporate standards for recordkeeping and records management;
 - measuring performance of Council business units against these standards;
 - developing corporate knowledge and electronic records management strategies;

- working with other managers of information resources to develop coherent information architecture across Council;
- working with other accountability stakeholders, including Freedom of Information officers and executive management staff, to ensure recordkeeping systems support organisational and public accountability; and
- providing Elected Members appropriate training and tools to allow them to meet their records management responsibilities.

5.3. **Elected Members**

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

- provide the Executive Support Officer with Official Records that support the course of conducting business activities so they can be registered into the EDRMS and advise the appropriate security restrictions as required;
- understanding why, how and where records are kept within Council;
- not losing, misplacing or destroying Official Records without authority; and
- being aware of and complying with records management processes.

5.4. **Training**

5.4.1. Elected Members receive initial mandatory training during their induction, during mid-term refresher training and upon request.

5.4.2. There is no specific requirement for additional training in relation to this process.

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

Related Policies

- Knowledge Management Policy
- Induction Policy
- Social Media Policy
- Request for Service Policy
- Elected Member Behavioural Management Policy and Process
- Risk Management Policy
- Artificial Intelligence Policy

7. Definitions

The Act	<i>State Records Act 1997</i>
Continuing Value	records that contain information that is of administrative, legal, fiscal, evidential or historical value to Council.
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
Council	The Barossa Council, including its Elected Members, in its entirety as an organisation.
Council Business	includes but is not limited to the provision of services, delivery of programs, development of policies, making of decisions, and performance of Council functions.
Disposed of	(i) destroy or abandon the record; (ii) carry out an act or process as a result of which it is no longer possible or reasonably practicable to reproduce the whole or a part of the information contained in the record; or (iii) transfer or deliver ownership or possession of or sell the record, or purport to do so; but does not include transferring or delivering the record to State Records of South Australia or between Council and another agency.
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.
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.
General Disposal Schedule	the General Disposal Schedule advises how long local Council records need to be kept. This is regulated by the <i>State Records Act 1997</i> .
Official Record	this includes records made or received by an Elected member in the conduct of the business of their position or office.

	Council's Official Records are any information created, received or maintained as evidence to support the business and legal obligations of Council, be it generated by a Council Employee or a third party acting on Council's behalf. 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). 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.
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.
Records Registry	the physical location of the hardcopy records maintained by Information Services Officers. This includes the compactus and storeroom.

8. Version History

This Process will be reviewed by the Document 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 Change/s
1	2016	New Process, May 2016
2	2026	Transferred to corporate template Minor formatting and review Added all relevant Legislation and References Added definition of Elected Members and removed and refined Definitions table as per the Definitions glossary

9. Further Information

This Process 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 Process can be obtained upon payment of a fixed fee.

Feedback regarding this Process 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.

10. Appendix 1 – Identification of Frequently Used Records

10.1. Diaries and Calendars

- 10.1.1. Diaries and calendars record appointments and messages, some of which may be a reminder of a routine nature, but others may be of significance to the conduct of Council business.
- 10.1.2. To ensure that all Official Records are captured, Elected Members' diaries and calendars should be forwarded to the Records Registry at the end of each year.

10.2. Drafts

- 10.2.1. A draft record is the preliminary form of any writing in electronic or physical format which includes outlines of speeches, reports, correspondence, file notes, calculations or earlier versions.
- 10.2.2. Drafts which document significant decisions, reasons and actions or significant information that is not contained in the final form have continuing value and are to be registered into the EDRMS - eg:
 - drafts relating to the formulation of policy /processes, where the draft provides evidence of processes involved or contains significantly more information than the final version; or
 - drafts of legal documents (contracts, tenders etc).

10.3. Duplicates

- 10.3.1. Duplicates are exact copies of records where the original copy is contained within the EDRMS. They are of no continuing value and may be destroyed when reference to them ceases where they are:
 - issued to a Council member by Council for information purposes only;
 - internal or external publications issued or received for information purposes (eg annual reports, brochures, trade journals, price lists).
- 10.3.2. Duplicates received by an Elected Member from outside Council that are relevant to Council business have continuing value and are to be incorporated into the EDRMS.

10.4. Messages

- 10.4.1. Messages may be sent or received via a range of methods, such as telephone and voice mail, email, post it notes or loose paper. Messages will have only temporary value if they are:
 - routine or simple administrative instructions, such as edit corrections, distribution lists for informational purposes, file creation requests, and social invitations and messages;
 - information only messages, duplicates or working copies/memos;
 - private messages or comments between officers which provide no evidence of Council business;
 - original messages that have been transferred to the EDRMS.
- 10.4.2. Messages of continuing value to be registered into the EDRMS include those which:
 - contain information relating to the business activities of Council such as directives, proposals, recommendations, definitions or interpretations from an Elected Member to another party or vice versa; and
 - messages that are part of an actual business transaction itself, or have policy/process implications, or are otherwise identified as being significant to the conduct of Council's business, including:
 - approval for a particular course of action;

- formal communications between internal officers or external agencies;
- final versions of reports;
- policy documents and statements; or
- formal minutes of Council Committees.

10.5. **Working Papers**

- 10.5.1. Working papers are documents and background notes used to complete other documents. (Those final documents become an Official Record and should be captured into the EDRMS).
- 10.5.2. Working papers that do not relate to significant decisions or actions, where the final document has been captured into the EDRMS have no continuing value and may be destroyed when reference to them ceases.
- 10.5.3. Working papers which document significant decisions, reasons and actions (even if that information is not contained in the final document) have continuing value and should be captured into the EDRMS.

10.6. **Telephone and Other Verbal Communications**

- 10.6.1. Elected Members may have telephone or other face-to-face conversations on a variety of matters. Some conversations may involve matters of significance to the conduct of Council business. These conversations should be documented in an appropriate format (for example, a file note) and forwarded to Council for appropriate action.
- 10.6.2. Other conversations may only be basic or routine in nature, such as the issuing or receiving of basic instructions or information and need not be documented at all.
- 10.6.3. Documentation of conversations which has no continuing value and may be destroyed when reference to them ceases are those which:
 - involve the exchange of routine or simple administrative instructions or information or that do not relate to Council business; or
 - are original notes of significant conversations that have been transferred into appropriate formats for incorporation into the EDRMS.
- 10.6.4. Conversations which will have continuing value and should be documented in an appropriate format and captured into Council's EDRMS are those which:
 - relate to the business functions of Council involving the issuing of directives, proposals, recommendations, definitions or interpretations from Elected Members to another party or vice versa or that are part of an actual business transaction itself; and
 - have policy/process implications or otherwise identified as being significant to the conduct of Council business.

10.7. **Social Media**

- 10.7.1. Only postings of continuing value will need to be documented in an appropriate format (for example, a file note) and saved into the EDRMS. Subject to Council's Social Media Policy and Process.

10.8. **Lobbying**

- 10.8.1. Lobbying is the activity of members of the community attempting to influence the Council through representations of Elected Members and may include one or more Elected Members lobbying other Elected Members.
- 10.8.2. Records, such as correspondence or petitions relating to lobbying matters, regardless of whether the lobbying itself is of Council or community interest, have continuing value and should be captured into Council's EDRMS.

10.9. Election Material

- 10.9.1. Election materials or records created or received by an Elected Member in regard to electioneering **are private records of the Elected Member**, and do not need to be captured into Council's EDRMS.
- 10.9.2. Any records created or received by Council that relate to the preparation of elections have continuing value and are to be captured into the EDRMS. Such records include public notification, nominations, how to vote cards, arrangements, requests, e.g. postal votes, declaration of eligibility, and polling stations.