Information and records management policy

This is a mandated policy under the operational policy framework. Any edits to this policy must follow the process outlined on the creating, updating and deleting operational policies page.

Overview

The department is legally required under the State Records Act 1997 to create, capture, classify, retain, preserve, dispose of and manage documents and records for specific periods identified in approved disposal schedules. Our objective is to make sure these documents and records are accurate, complete and reliable.

This policy enables the department to meet our legal requirements and realise the benefits associated with effective documents and records management procedures.

Scope

This policy applies to all department documents and records (digital and hardcopy) received, created or maintained by the department, related to SA government and department activities.

It also applies to all department employees, contractors, consultants and external providers.

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Detail

Records management objectives

The objectives of this policy mirror those outlined in the:

- South Australian Government Information Management Strategy
- Information Management Standard.

The 5 objectives are:

Digital first

Information created digitally is managed digitally, not printed. This gives government employees and customers better access and cuts costs. Information created on paper is scanned (if needed) and the source document is destroyed in line with General Disposal Schedule 21, or other similar legislation and policies. The source document can be kept if a hard copy is legally required.

Data is shared and easily accessed

Departments share information across a connected government, and with the community, restricting sensitive information when needed.

Governed well

Information is managed as an asset. Agencies know what information they hold, where it i’s located, and what its value is to their business, the government and the community. Roles and responsibilities for managing information are identified, assigned and monitored.

Managed according to risk

Agencies understand what information is needed to operate effectively and comply with their obligations. Risks to their business of not making or keeping information are assessed. Information is destroyed when no longer needed or preserved as part of the State’s archive.

Transparency

Processes and systems are implemented to make sure records are made and kept that can be relied on as trusted and authentic evidence of decisions made and actions taken.

Records management principles

The State Records of South Australia (SRSA) Information Management Standard identifies 5 principles with associated behaviours. The principles form a comprehensive and structured records management framework to achieve compliance with the State Records Act 1997.

The 5 principles are:

- The value of information is known.
- Information is created and managed appropriate to risk.
- Ownership of information is assigned.
- Information can be relied on.

Information is available as required.

Delegations

The Chief Executive is responsible for delegating and authorising including:

- determining access for records transferred to State Records custody
- approving proposals to destroy records
- approving the transfer of temporary records to offsite storage
- approving the transfer of permanent records to State Records custody.

The Chief Executive can delegate these responsibilities to others who have the appropriate skills and knowledge, in line with principle 3 in the Information Management Standard.

Roles and responsibilities

Employees

Be responsible and accountable for your business transactions and make sure records are kept and captured into an approved record keeping system. This includes internet and intranet changes to official sites and of business transactions documented through websites.

This is in line with the requirements of the:

- Public Sector Act 2009
- Code of Ethics for the South Australian Public Sector
- Education and Children's Services Regulations 2020.

Chief Executive

Ensure accountability and make sure appropriate records are kept of business activities.

Chief Operating Officer

Make sure resources and governance mechanisms are in place to allow the department to comply with the requirements of the State Records Act 1997 and the standards and requirements issued by State Records of

South Australia and represents records management interests on the Executive Committees.

Executive directors, directors, education directors, managers and school principals (responsible for individual functions, processes or projects)

Keep appropriate records and make sure employees under their leadership are aware of individual accountability and the requirements to keep records.

Manager, Information Management and Release

Make sure corporate records, management policies, systems, procedures and practices are developed and maintained.

Ensure compliance with record keeping policies, procedures and standards, including requirements under the State Records Act 1997.

System administrators

Make sure the systems that generate records are reliable and are kept and remain accessible for as long as they're required.

Officers responsible for managing the department's internet and intranet sites

Make sure adequate records are kept of changes to official sites and of business transactions documented through websites.

Officers responsible for property and facility management

Ensure appropriate storage environment and facilities are in place for records to remain accessible and usable for as long as needed.

Make sure records are not put at risk through inappropriate storage, and that storage meets the State Records management and storage of temporary value records standard (PDF 165KB).

Definitions

adequate

Standard practice that departments must achieve to comply with the State Records Act 1997.

The process used to determine the disposal action that applies to a record by using an approved disposal schedule. It determines whether a record needs to be retained permanently or temporarily, and for how long.

classify

To systematically identify and arrange business activities and records into categories. The categories follow logically structured conventions, methods, and procedural rules represented in a classification system (AS ISO 15489.1-2002 Records Management – General (PDF 368KB)).

destroying records

Process of eliminating or deleting information including data and records, beyond any possible reconstruction. Information carrying a protective marking must be destroyed in line with the South Australian Cyber Security Framework.

disposal

The process where official records of agencies are either destroyed, retained or transferred between agencies.

disposal schedule

Identifies which records have temporary value, and the minimum time they must be kept before an agency can destroy them.

record

Includes:

- written, graphic or pictorial matter
- a disk, tape, film or other object.

It’s considered a record when the above contains information or has information that can be reproduced (with or without the aid of another object or device).

official record

A record made or received by an agency when conducting its business.

permanent record

A record that has archival value and is retained permanently in line with an approved disposal schedule. It will be available for research by the general community subject to appropriate access conditions.

temporary record

A record with no archival value that can be sentenced (determine the disposal action) for destruction.

Supporting information

Related legislation

Education and Children’s Services Act 2019 (SA)

Education and Children's Services Regulations 2020 (SA)

Electronic Communications Act 2000 (SA)

Freedom of Information Act 1991 (SA)

State Records Act 1997 (SA)

Public Sector (Data Sharing) Act 2016 (SA)

Related policies

Code of Ethics for the South Australian Public Sector

Department of the Premier and Cabinet Circular PC012 – Information Privacy Principles Instruction

Department of the Premier and Cabinet Circular PC035 – Proactive Disclosure of Regularly Requested Information

Department of the Premier and Cabinet Circular PC045 – Disclosure Logs for Non-personal Information Released through Freedom of Information

South Australian Cyber Security Framework

State Records of South Australia: Information Management Standard

State Records of South Australia: South Australian Government Information Management Strategy

State Records policies and guidelines

Record history

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Contact

Information Management

Email: 8226 1223

Phone: education.records@sa.gov.au