

## Records and Information Management Policy

### Background

The Records and Information Management Policy (the Policy), mandates that the Department of Treasury and Finance (DTF) information assets are managed based on five principles:

- The value of information is known
- Information is created and managed appropriate to risk
- Ownership of information is assigned
- Information can be relied upon
- Information is available as required

The Policy establishes a governance and compliance method for the management of official records and information within DTF. It is to be used in conjunction with the relevant departmental procedures and guidelines.

### Policy Statement

The [State Records Act 1997](#) creates a legal framework for the preservation and management of official records in the agency's possession. Legally DTF must work towards meeting these requirements and obligations.

DTF's information is a corporate asset, vital for both ongoing operations and in providing evidence of business decisions, activities and transactions.

There is an expectation that DTF will work towards meeting the requirements of the [State Records Act 1997](#) and related legislation and implement fit-for-purpose Information and Records Management (IRM) practices and systems to ensure the creation and maintenance of reliable information.

### Scope

This Policy, is applicable to all DTF information and applies to all DTF employees. It must be a condition of a contractual agreement between DTF and its contractors; volunteers; or third party vendors, to comply with DTF policies, with specific regard to DTF information assets during their tenure of engagement.

DTF information assets relevant to this Policy can include:

- Information, records and data, regardless of media and format (including and not limited to hard copy documents, electronic documents or file, email, handwritten notes, digital data and multimedia), that are received, created or maintained by DTF in the conduct of its business activities.

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- All business applications used to create, manage and store information (records management systems, databases, line of business systems, email, websites, social media applications) managed in-house and offsite.
- Where business functions or services are contracted, the Department's records and information management policy requirements, role and responsibilities should be incorporated in contracts and agreements.

### Definitions

**'Document'** is a piece of written, printed or electronic matter (including email) that provides information or evidence that serves as an official record.

**'Information'** is codified knowledge, which is transferred and stored by means of documents, records, publications, databases, tools, images, plans, sound/video recordings, etc. Information is an asset and a resource that State and Local Government agencies harness to meet their strategic, operational and legal needs.

**'Information Assets'** refer to information, data and records, in any format, where it is created or received through the conduct of government business.

**'Records'** are a special subset of 'information' deemed to have evidential, legal, administrative or historical value to an organisation and warranting special attention concerning retention, accessibility and retrieval.

**'Official' records** include information created, received, and maintained as evidence by an organisation or person (agency), in conduct/transaction of its business. Official records are identified as such because of the activity they document, not their format. Consequently official records will exist in a variety of formats.

### Legislative Framework

[State Records Act, 1997](#) and standards:

- Australian Standard on Records Management AS ISO 15489.1:2017
- [Information Management Standard](#) (June 2019)
- [Minimum Recordkeeping Metadata Requirements Standard](#) (November 2020)
- [Managing Digital Records in Systems](#) (November 2020)
- [Appraisal Standard](#) (November 2020)
- [General Disposal Schedule 30](#) v2

[Electronic Transactions Act, 2000](#)

[Evidence Act, 1929](#)

[Freedom of Information Act, 1991](#)

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[Privacy Act, 1988](#) (Commonwealth)

[Public Sector Act, 2009](#)

Premier's Digital by Default Declaration (2014)

### Policy Principles

#### THE VALUE OF INFORMATION IS KNOWN

Information is treated as an asset of the agency; its value, both current and future, is determined, understood and leveraged to improve business outcomes.

Information Management should be planned and budgeted for, particularly where changes to systems and practices have been recommended through audits or monitoring of current practices.

Business units should define what records must be made, and kept, of business processes, and document these requirements.

All employees should be inducted into DTF's information management policy and practices.

Business units should induct and train employees in specific recordkeeping procedures applicable to their unit.

#### INFORMATION IS CREATED AND MANAGED APPROPRIATE TO RISK

Agencies understand what information needs to be created and kept to support business objectives, meet compliance obligations and mitigate risk.

All business information created and received should be captured into line of business systems or the DTF records management system (Objective) for corporate records.

Under the State Records Act 1997 an agency is required to:

- create an official record in all instances where there is a need for an agency or individual to be accountable for, and/or provide evidence of, decisions made and actions taken; ensure that staff know that it is the responsibility of the staff member involved in the business transaction to create of an official record where required, and that the record provides a true and accurate account of the transaction.
- ensure that all official records of DTF are disposed of in accordance with the [State Records Act 1997](#). This requires the use of an authorised disposal schedule to determine how long records must be kept, which records may then be destroyed, and which must be transferred to State Records for

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permanent storage.

- ensure that records, including data in business systems, must be covered by either the General Disposal Schedule (GDS) for common administrative records, or by an agency specific Records Disposal Schedule (RDS). The retention periods in these schedules take into account all business, legal and government requirements for the information.

### OWNERSHIP OF INFORMATION IS ASSIGNED

Responsibility for the governance of information is assigned appropriately in order to ensure information is managed for the best outcomes of the agency, its customers and broader community.

### INFORMATION CAN BE RELIED UPON

Policies, practices and systems are implemented that ensure information can be relied upon as trusted and authentic evidence of decisions made and actions taken.

### INFORMATION IS AVAILABLE AS REQUIRED

Information is accessible for as long as needed and is shared appropriately (subject to access, security, and privacy rules) within a protected and trusted environment.

The accessibility of information is critical to the functions of DTF; it enables staff members to make decisions, decide on directions and provide advice based on the most up to date and comprehensive data and experience available.

Access restrictions should only be in place where there is a business need or when restricted access is required by legislation. It should not be imposed unnecessarily, but should protect:

- Individual staff, or client privacy
- Sensitive material such as security classified material

The information classification assigned to documents will be inline with the [South Australian Information Classification System](#) which was introduced 1 December 2019.

### TRAINING

All employees are required to complete the Records Management Module 1 Training available through OurDevelopment. Employees should be inducted and trained in IRM procedures applicable to their branch to enable information to be managed appropriately. Branch's can contact the Records and Information Management team for further information or to arrange Objective training.

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### Roles and Responsibilities

Information management underpins and supports the delivery of core business. All employees have a responsibility to ensure that reliable and useable information is created and managed, and kept for as long as it is needed for business, legislative requirement, accountability and historical purposes.

Responsibilities include:

#### Chief Executive (Under Treasurer)

Section 13 of the [State Records Act 1997](#) requires the Chief Executive of an agency to ensure that the official records of the agency are documented and preserved in line with legislative requirements. These requirements ensure that appropriate government standards are upheld and that integrity of records and the interest of workers and stakeholders are protected.

#### Branch Heads and Senior Managers

Are responsible for ensuring:

- Staff within their branch/section adhere to DTF's records and information management policies and procedures and have access to the knowledge and tools that support these;
- Staff receive records and information management training relevant to their roles and responsibilities;
- Line of business systems meet recordkeeping requirements;
- Advice is sought from the DTF Information Management team, prior to the development, or purchase of, recordkeeping tools;
- Where required, development and maintenance of Records Disposal Schedules for their business unit is undertaken;
- Digital and physical records are retained for required periods, and disposed of according to authorised processes;
- As the CE's delegate, ensure that approval is sought/given for destruction of records in their business units; and
- Whole of Department initiatives are complied with.

### Records and Information Management Services

Under the leadership of the delegated senior executive (Director, Information & Technology), the DTF Information Management team is responsible for overseeing the management of information across DTF consistent with the requirements described in this policy. This includes:

- Providing training, advice and general support to staff,
- Developing and implementing strategies to enable sound information

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management practices,

- Monitoring compliance with information management strategy, policy and procedures,
- Advising Executive Management of any risks associated with non-compliance,
- Coordinating the transfer of permanent records to State Records,
- Coordinating the transfer of temporary records to offsite storage,
- Coordinating sentencing and destruction of temporary physical records held in offsite storage, and provision of advice on in-house sentencing and destruction for business units, and
- Facilitating reporting on information management on behalf of DTF.

**Employees** (including contractors, consultants and providers of outsourced DTF services)

All staff are responsible for the creation and management of information as defined by this policy and its related legislation, including:

- Adhering to DTF's records management policies, procedures and practices,
- Creating records that adequately capture business undertaken, including decisions made and actions taken,
- Protecting and caring for records in their possession,
- Not removing, destroying or deleting records without authority to do so,
- Ensuring all corporate records form part of DTF's record holdings, and
- Ensuring all activity carried out on records is recorded and maintained.



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### Related documents

AS/AZS ISO 15489.1:2017  
Corporate Governance Policy  
Freedom of Information Procedure  
DTF Information Asset Classification Procedure  
Business Continuity Management Policy