

**GAWLER RIVER FLOODPLAIN MANAGEMENT AUTHORITY**

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Dear Member,

**NOTICE OF MEETING**

Notice is hereby given pursuant to Clause 6 of the Charter that a meeting for the GRFMA Board has been called for:

**Date:** Thursday 17 October 2024

**Time:** 9:45am

**Place:** Adelaide Plains Council – Council Chambers – 2A Wasleys Road, Mallala



David E Hitchcock

**EXECUTIVE OFFICER**

# **AGENDA**

## **GAWLER RIVER FLOODPLAIN MANAGEMENT AUTHORITY BOARD**

### **ORDINARY MEETING**

**9:45am Thursday 17 October 2024**

**Adelaide Plains Council  
Council Chambers – 2A Wasleys Road, Mallala**

#### **1. Meeting of the Board**

- 1.1 Welcome by the GRFMA Chairman
- 1.2 Present
- 1.3 Apologies
- 1.4 Appointment of Observers
- 1.5 Declarations of Interest

#### **2. Confirmation of Minutes**

- 2.1 GRFMA Ordinary Meeting Minutes..... Page 4
- 2.2 Actions on Previous Resolutions..... Page 12
- 2.3 Matters Arising from the Minutes

#### **3. Questions on Notice**

Nil

#### **4. Motions on Notice**

Nil

#### **5. Presentations**

- 5.1 Mr Ed Pikusa, Senior Project Manager, Flood Management, Climate Change, Flood Risk and Coast, Department for Environment and Water, will attend the 17/10/2024 GRFMA meeting to speak to item 8.1.

#### **6. Audit and Risk Committee**

Nil

#### **7. Technical Assessment Panel**

Nil

## **8. Reports**

|     |                                                     |         |
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## **9. Correspondence**

Nil

## **10. Confidential**

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## **11. Urgent Matters Without Notice**

## **12. Next Meeting**

**Date and Time:** 12 December 2024  
**Host:** City of Playford

## **13. Closure**

**Agenda Item:** 2.1  
**Committee:** Board  
**Meeting Date:** 17 October 2024  
**Title:** GRFMA Ordinary Meeting Minutes

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**Recommendation:**

**That the Minutes of the Gawler River Floodplain Management Authority Board meeting held on 15/8/2024 be confirmed as a true and accurate record of that meeting.**

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Refer to the attached minutes of the Gawler River Floodplain Management Authority Board meeting held on 15/8/2024.

# **MINUTES**

## **GAWLER RIVER FLOODPLAIN MANAGEMENT AUTHORITY BOARD**

**9:45am Thursday 15 August 2024**

**Town of Gawler – Council Chambers, Gawler Civic Centre, 89-91 Murray Street, Gawler**

### **1. Meeting of the Board**

#### **1.1 Welcome by the GRFMA Chairperson**

Mr Lino Di Lerna formally welcomed Board Members, Deputy Board Members, Observers and the Executive Officer and opened the 151st meeting of the Board.

#### **1.2 Present**

- Mr Lino Di Lerna, Independent Board Member, Chair
- Mr James Miller, Adelaide Plains Council, Board Member
- Cr Malcolm Herrmann, Adelaide Hills Council, Board Member
- Mr Ashley Curtis, Adelaide Hills Council, Board Member
- Cr Bruce Preece, The Barossa Council, Board Member
- Mr Jake McVicar, The Barossa Council, Board Member
- Cr Brian Sambell, Town of Gawler, Deputy Board Member
- Ms Whendee Young, Town of Gawler, Board Member
- Mr Richard Dodson, Light Regional Council, Board member
- Mr Greg Pattinson, City of Playford, Board Member
- Mr David Hitchcock, Executive Officer

Observer: Mr Sean Fielding, City of Playford

Minute Taker: Ms Patricia Coonan, Think Purple Solutions

#### **1.3 Apologies**

- Cr Terry-Anne Keen, Adelaide Plains Council, Board Member
- Cr Paul Koch, Town of Gawler, Board Member
- Cr Clint Marsh, City of Playford, Board Member
- Cr Michael Phillips-Ryder, Light Regional Council, Board Member

#### **1.4 Appointment of Observers**

The Board noted Sean Fielding, City of Playford, in attendance as an Observer.

#### **1.5 Declarations of Interest**

Nil

## **2. Confirmation of Minutes**

### **2.1 GRFMA Ordinary Meeting Minutes**

**GB43/24 GRFMA Ordinary Meeting Minutes**

**Moved:** Mr Greg Pattinson

**Seconded:** Mr Richard Dodson

*That the Minutes of the Gawler River Floodplain Management Authority Board meeting held on 20/6/2024 be confirmed as a true and accurate record of that meeting.*

**CARRIED UNANIMOUSLY**

### **2.2 Actions on Previous Resolutions**

The Board noted the action items.

### **2.3 Matters Arising from the Minutes**

Nil

## **3. Questions on Notice**

Nil

## **4. Motions on Notice**

Nil

## **5. Presentations**

Mr Ed Pikusa, Senior Project Manager, Flood Management, Climate Change, Flood Risk and Coast, Department for Environment and Water provided a presentation pertaining to Item 8.1: Gawler River Flood Mitigation Business Case, outlining the governance proposal.

## **6. Audit and Risk Committee**

### **6.1 Audit and Risk Committee Meeting Minutes**

**GB44/24 GRFMA Audit and Risk Committee Meeting Minutes 4/6/2024**

**Moved:** Cr Malcolm Herrmann

**Seconded:** Cr Bruce Preece

*That the GRFMA receives the minutes of the Gawler River Floodplain Management Authority Audit and Risk Committee meeting held on 6/08/2024.*

**CARRIED UNANIMOUSLY**

## 7. Technical Assessment Panel

### 7.1 Hydrology Model

**GB45/24 Hydrology Model**  
**Moved:** Mr James Miller  
**Seconded:** Ms Whendee Young

*That the GRFMA:*

- 1. Receives the report.*
- 2. Endorses appointment of HARC Services Pty Ltd to create a new hydrologic model for the Gawler River catchment.*

**CARRIED UNANIMOUSLY**

10:01am Mr Ed Pikusa arrived at the meeting.

10:04am Mr Ashley Curtis arrived at the meeting.

10:39am Mr Ed Pikusa left the meeting.

## 8. Reports

### 8.1 Gawler River Flood Mitigation Business Case

**GB46/24 Gawler River Flood Mitigation Business Case**  
**Moved:** Cr Bruce Preece  
**Seconded:** Cr Malcolm Herrmann

*That the GRFMA:*

- 1. Receives the report.*
- 2. Endorses further work to be undertaken on assessment of potential options required to provide the quality information required to be confident that the proposed Bruce Eastick North Para Flood Mitigation Dam raise (10mtr) modifications are feasible.*
- 3. Following this assessment, authorises the Chairman of the GRFMA to engage a suitably qualified contractor to undertake the Dam Structural Integrity investigations, subject to the cost of the investigations being within GRFMA's annual budget.*
- 4. Considering the prior extensive involvement of GHD Engineering in the Gawler River Flood Mitigation Dam Business Case, and GHD's knowledge, experience and expertise in dam works, authorises the Chairman of the GRFMA to negotiate exclusively with GHD Engineering.*

**CARRIED UNANIMOUSLY**

### 8.2 2024/2025 GRFMA Annual Business Plan

**GB47/24 2024/2025 GRFMA Annual Business Plan**  
**Moved:** Mr James Miller  
**Seconded:** Mr Greg Pattinson

*That pursuant to Clause 12.2 of the Charter, the GRFMA Business Plan 2024-2025 be adopted.*

**CARRIED UNANIMOUSLY**

### 8.3 2024/2025 GRFMA Annual Budget

#### GB48/24 2024/2025 GRFMA Annual Budget

**Moved:** Mr Richard Dodson

**Seconded:** Mr James Miller

*That the GRFMA resolves:*

- 1. That pursuant to Section 25 Schedule 2 Part 2 of the Local Government Act 1999, that the GRFMA Budget 2024-2025 be adopted.*
- 2. That pursuant to Clause 11.1 of the Charter that the subscriptions scheduled below be subscriptions payable for the 2024-2025 year:*

*a. The Schedule*

Part A *Flood Mitigation Works – No subscriptions.*

Part B *Capital works and Maintenance – A total of \$139,550 calculated by the percentage shares prescribed in Clause 10.1 of the Charter:*

|                         |           |
|-------------------------|-----------|
| Adelaide Plains Council | \$40,330  |
| Adelaide Hills Council  | \$2,414   |
| The Barossa Council     | \$12,099  |
| Town of Gawler          | \$24,198  |
| Light Regional Council  | \$12,099  |
| City of Playford *      | \$48,410  |
| Total                   | \$139,550 |

Part C *Operation – A total of \$277,371 calculated by even shares prescribed in Clause 11.1 of the Charter*

|                         |           |
|-------------------------|-----------|
| Adelaide Plains Council | \$46,228  |
| Adelaide Hills Council  | \$46,228  |
| The Barossa Council     | \$46,228  |
| Town of Gawler          | \$46,228  |
| Light Regional Council  | \$46,228  |
| City of Playford        | *\$46,231 |
| Total * rounding        | \$277,371 |

**CARRIED UNANIMOUSLY**

### 8.4 GRFMA Financial Report

#### GB49/24 GRFMA Financial Report

**Moved:** Cr Malcolm Herrmann

**Seconded:** Mr Greg Pattinson

*That the GRFMA:*

- 1. Receives the financial report as of 31 July 2024 showing a cash at bank balance of \$15,628.23.*
- 2. Notes internal cash lending for CAD offset is \$292,486.36.*

**CARRIED UNANIMOUSLY**

## **8.5 GRFMA Executive Officer Report**

### **GB50/24 GRFMA Executive Officer Report**

**Moved:** Ms Whendee Young

**Seconded:** Mr James Miller

*That the GRFMA:*

1. *Notes the Executive Officer report.*
2. *Receives the late report 8.5 Gawler River Stormwater Management Plan (SMP).*
3. *Records expectation that Water Technology will deliver the draft SMP document, at 80% completion, by Friday 23 August 2024.*

**CARRIED UNANIMOUSLY**

## **8.6 2023/2024 GRFMA Financial Statements and Audit Report**

### **GB51/24 2023/2024 GRFMA Financial Statements and Audit Report**

**Moved:** Cr Malcolm Herrmann

**Seconded:** Cr Bruce Preece

*That:*

1. *The audited Financial Statements for the year 2023/2024 be adopted for the purposes of Part 4 Financial Statements of the Local Government (Financial Management) Regulations 2011.*
2. *The 'Certification of Auditor Independence' be signed by the GRFMA Board Chairman.*
3. *The 'Certification of Financial Statements' be signed by the GRFMA Board Chairman and Executive Officer.*
4. *The Chief Executive Officer of each Constituent Council be requested to sign the 'Certification of Auditor Independence'.*

**CARRIED UNANIMOUSLY**

## **8.7 2023/2024 GRFMA Annual Report**

The Board discussed the Annual Report, and the following change was requested:

- Page 6: add appropriate dates to the table of Member Appointments and Retirements as required to assist in identifying changes, new Members and replacement Members.

### **GB52/24 2023/2024 GRFMA Annual Report**

**Moved:** Mr Greg Pattinson

**Seconded:** Mr Ashley Curtis

*That the GRFMA receives and adopts the 2023/2024 GRFMA Annual Report as amended.*

**CARRIED UNANIMOUSLY**

## **9. Correspondence**

The Board noted the letters received:

### **9.1 Light Regional Council - 2024/2025 Budget**

### **9.2 Adelaide Hills Council - 2024/2025 Budget and GRFMA Membership**

11:03am meeting procedures suspended for a short break.

11:27am meeting procedures resumed.

## 10. Confidential

### 10.1 Gawler River Flood Mitigation Business Case – Funding Strategy

#### **GB53/24 Gawler River Flood Mitigation Business Case – Funding Strategy**

**Moved:** Mr James Miller

**Seconded:** Cr Bruce Preece

*That:*

1. *Pursuant to Section 90(2) of the Local Government Act 1999, an Order is made that the public be excluded from attendance at the meeting.  
In order to consider in confidence agenda item 10.1. Gawler River Flood Management Business Case - Funding Strategy, pursuant to Section 90(3)(b)(i)(II) of the Local Government Act 1999 on the basis of information the disclosure of which could reasonably be expected to confer a commercial advantage on a person with whom the council is conducting, or proposing to conduct, business, or to prejudice the commercial position of the GRFMA.*
2. *This matter is confidential because the information herein provides information regarding consideration of flood mitigation infrastructure and funding of considered works.*
3. *On the basis of this information, the principle that meetings of the GRFMA should be conducted in a place open to the public has been outweighed in this instance: the Committee consider it necessary to consider this matter in confidence.*

**CARRIED UNANIMOUSLY**

### 10.1 Gawler River Flood Mitigation Business Case – Funding Strategy

Mr Lino Di Lernia provided a presentation on the GRFMA Funding Strategy.

12:01pm Cr Malcolm Herrmann left the meeting.

#### **GB54/24 Gawler River Flood Mitigation Business Case – Funding Strategy**

**Moved:** Mr Richard Dodson

**Seconded:** Mr Jake McVicar

*That:*

1. *Pursuant to Section 90(2) and Section 91(7) of the Local Government Act 1999, the GRFMA orders that the following aspects of item 10.1 Gawler River Flood Management Business Case - Funding Strategy be kept confidential in accordance with the GRFMA Boards reasons to deal with this item in confidence pursuant to Section 90(3)(b) (i) (II) of the Local Government Act 1999:*
  - *Discussion for Item 10.1*
  - *Presentation for Item 10.1*
2. *This order shall operate until reviewed and determined as part of the annual review by the Authority in accordance with Section 91(9)(a) of the Local Government Act 1999.*

**CARRIED UNANIMOUSLY**

## 11. Urgent Matters Without Notice

Nil

## 12. Next Meeting

**Date and Time:** 17 October 2024

**Host:** Adelaide Plains Council

## 13. Closure

The Chairperson thanked the members for their attendance and contributions and closed the meeting at 12:08pm.

Chair \_\_\_\_\_ Date \_\_\_\_\_

**Agenda Item:** 2.2  
**Committee:** Board  
**Meeting Date:** 17 October 2024  
**Title:** Actions on Previous Resolutions

| Number | Resolution                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                | Action                                                                                                                                                                                                                                           |
|--------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| 45/24  | <p><i>That the GRFMA:</i></p> <ol style="list-style-type: none"> <li><i>1. Receives the report.</i></li> <li><i>2. Endorses appointment of HARC Services Pty Ltd to create a new hydrologic model for the Gawler River catchment.</i></li> </ol>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                          | <ul style="list-style-type: none"> <li>• Project Incepted</li> <li>• Data Review - complete</li> <li>• Model Development - complete</li> <li>• Hydrological Model Simulations in progress</li> <li>• Project completion by 16/12/2024</li> </ul> |
| 46/24  | <p><i>That the GRFMA:</i></p> <ol style="list-style-type: none"> <li><i>1. Receives the report.</i></li> <li><i>2. Endorses further work to be undertaken on assessment of potential options required to provide the quality information required to be confident that the proposed Bruce Eastick North Para Flood Mitigation Dam raise (10mtr) modifications are feasible.</i></li> <li><i>3. Following this assessment, authorises the Chairman of the GRFMA to engage a suitably qualified contractor to undertake the Dam Structural Integrity investigations, subject to the cost of the investigations being within GRFMA's annual budget.</i></li> <li><i>4. Considering the prior extensive involvement of GHD Engineering in the Gawler River Flood Mitigation Dam Business Case, and GHD's knowledge, experience and expertise in dam works, authorises the Chairman of the GRFMA to negotiate exclusively with GHD Engineering.</i></li> </ol> | Refer Agenda item 8.1                                                                                                                                                                                                                            |
| 50/24  | <p><i>That the GRFMA:</i></p> <ol style="list-style-type: none"> <li><i>1. Notes the Executive Officer report.</i></li> <li><i>2. Receives the late report 8.5 Gawler River Stormwater Management Plan (SMP).</i></li> <li><i>3. Records expectation that Water Technology will deliver the draft SMP document, at 80% completion, by Friday 23 August 2024.</i></li> </ol>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                               | Refer Agenda item 8.4                                                                                                                                                                                                                            |

| Number | Resolution                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                         | Action    |
|--------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-----------|
| 51/24  | <p><i>That:</i></p> <ol style="list-style-type: none"> <li><i>1. The audited Financial Statements for the year 2023/2024 be adopted for the purposes of Part 4 Financial Statements of the Local Government (Financial Management) Regulations 2011.</i></li> <li><i>2. The 'Certification of Auditor Independence' be signed by the GRFMA Board Chairman.</i></li> <li><i>3. The 'Certification of Financial Statements' be signed by the GRFMA Board Chairman and Executive Officer.</i></li> <li><i>4. The Chief Executive Officer of each Constituent Council be requested to sign the 'Certification of Auditor Independence'.</i></li> </ol> | Completed |

|                      |                                                    |
|----------------------|----------------------------------------------------|
| <b>Agenda Item:</b>  | <b>8.1</b>                                         |
| <b>Committee:</b>    | <b>Board</b>                                       |
| <b>Meeting Date:</b> | <b>17 October 2024</b>                             |
| <b>Title:</b>        | <b>Gawler River Flood Mitigation Business Case</b> |

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**Recommendation:**

**That the GRFMA receives the report.**

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**Background**

The Department for Environment and Water (DEW), in partnership with the GRFMA, has facilitated development of a Gawler River Flood Management Business Case to identify a shared vision and objectives to improve flood management in the Gawler River region.

The Gawler River Flood Management initiative was included in Infrastructure SA's (ISA) Capital Intentions Statement in 2021 as a priority for business case development. Further work was undertaken in conjunction with ISA, project partners and stakeholders throughout 2021 and 2022 to provide additional information and details regarding the initiative. The work culminated in DEW completing the ISA Assurance Framework (ISAAF) Gate 1 review in May 2022 and the Business Case and Gate 2 review process on 4 December 2023.

DEW has previously advised that State Government funding to manage the Business Case will cease 30 June 2024.

The GRFMA is leading ongoing project management from 1 July 2024 to facilitate completion of identified GRFMA responsibilities within the Business Case. DEW remains a participating partner in the management process.

**Project Status**

DEW has now provided the balance funding of \$140,000 to the GRFMA to assist with completion of identified GRFMA responsibilities within the Business Case.

This funding is additional to the GRFMA 2024/2025 Budget provision of \$150,000.

This portion of the funding is now being utilised with appointment of Mr Ed Henty, Dryside Engineering, as the lead GRFMA technical resource to project manage required actions. Mr Henty previously provided the same service to DEW.

Remaining funds, including GRFMA provisions, will be utilised in progressing the Gate 2 review process recommendations, identified below.

**Recommendations in Progress**

**Recommendation 2.2**

Gawler River Floodplain Management Authority (GRFMA) and its Constituent Councils develop a strategy to secure funding (including from both the Councils and potential co-funding from the Australian or South Australian Government) for subsequent stages of the preferred options in the Business Case.

**Action:** This is essential and requires focussed consideration. In progress, refer Confidential Report 10.1.

### Recommendation 3.2

Undertake foundational activities for the North Para Dam raising, to ensure that the work is appropriately scoped. This would include updating of the hydrologic assessment and structural investigations of the existing dam.

#### **Action:**

The hydrologic assessment project is now in progress:

- Data Review - complete
- Model Development - complete
- Hydrological Model simulations in progress
- Project completion due 16/12/2024

GRFMA Resolution 46/24 (15/8/2024)

*That the GRFMA:*

1. *Receives the report.*
2. *Endorses further work to be undertaken on assessment of potential options required to provide the quality information required to be confident that the proposed Bruce Eastick North Para Flood Mitigation Dam raise (10mtr) modifications are feasible.*
3. *Following this assessment, authorises the Chairman of the GRFMA to engage a suitably qualified contractor to undertake the Dam Structural Integrity investigations, subject to the cost of the investigations being within GRFMA's annual budget.*
4. *Considering the prior extensive involvement of GHD Engineering in the Gawler River Flood Mitigation Dam Business Case, and GHD's knowledge, experience and expertise in dam works, authorises the Chairman of the GRFMA to negotiate exclusively with GHD Engineering.*

Below is a synopsis of discussion with GHD and actions to date:

- The fee estimates for the full-length borehole / on-site drilling exceeds GRFMA's current budget allowance.
- GRFMA is looking for ways to address the comments from ISA *"more detailed investigations on the condition of the existing structure, to ensure that this is capable to accommodating the proposed upgrades."*
- Options including a material sensitivity analysis were discussed.
- GHD to contact Bardavol (contractor for North Para Dam) and submit an enquiry about seeking as-constructed information from Bardavcol
- GHD could then complete a desktop review / data gap analyses of the information to comment on the level of certainty it provides toward moving forward with the next stages for the North Para Dam upgrade and supporting the business case.
- All agreed that notwithstanding these findings, some onsite field drilling will be required to support a detailed design.
- GHD to contact Bardavcol, and request as-constructed data / reports and to then revert to GRFMA Chairman).

#### Recommendation 4.1

As part of finalising the Business Case, review project governance arrangements with attention to:

- positioning the GRFMA and its Constituent Councils to progress key actions for the flood awareness campaigns, implementation of improved planning controls and levee upgrade actions; and
- allocating appropriate governance oversight and resourcing to action required updates to the Business Case for the North Para Dam upgrade.

#### **Action:**

- DEW has been successful in obtaining Disaster Ready Grant funding to prepare a community flood awareness campaign for the Gawler River. DEW is the principal applicant with SES and GRFMA as project partners.
- Mr Ed Henty, Dryside Engineering, has been engaged as the lead GRFMA technical resource to project manage required actions.
- A GRFMA funding strategy is now being progressed by the working group – refer Confidential Item 10.1.
- Mr Ed Pikusa, Senior Project Manager, Flood Management, Climate Change, Flood Risk and Coast, Department for Environment and Water, will attend the 17/10/2024 GRFMA meeting to outline the governance proposal. Refer Agenda Item 5 Presentations.

#### Recommendation 5.3

Responsibility for completion of further analysis and investigations identified in the Business Case and this report for the dam upgrade remain with an appropriate SA Government entity working in close consultation with GRFMA and its Constituent Councils who as the owners of the upgraded asset, as well as the key beneficiaries, should remain the proponents of the project.

#### **Action:**

#### Governance

Pending action outcomes from Rec 2.2 and 4.1, GRFMA will approach the State Government with a proposal for consideration. State Government will then facilitate another Minister and Mayor roundtable meeting.

The ISA report also identified a critical requirement to: *As part of finalising the Business Case, review project governance arrangements with attention to positioning the GRFMA and its Constituent Councils to progress key actions.*

#### Recommendations Completed

#### Recommendation 3.3

Review and update of the multi-criteria Analysis to better represent standard industry practice and ensure that the options are evaluated appropriately.

**Action:** Completed

#### Recommendation 3.4

Review and update of the economic analysis related to the North Para Dam raising.

**Action:** Completed

#### **Recommendation 4.2**

Update the risk register and risk management process with a focus on implementation risks. This should include undertaking a facilitated risk workshop involving key advisors for the Business Case.

**Action:** Completed

|                      |                                                       |
|----------------------|-------------------------------------------------------|
| <b>Agenda Item:</b>  | <b>8.2</b>                                            |
| <b>Committee:</b>    | <b>GRFMA Board</b>                                    |
| <b>Meeting Date:</b> | <b>17 October 2024</b>                                |
| <b>Title:</b>        | <b>Information Asset Management Report and Manual</b> |

---

#### **Recommendation:**

#### **That the GRFMA:**

- 1. Notes the Information Asset Management Report.**
  - 2. Adopts the Information Asset Manual.**
  - 3. Requests the GRFMA Executive Officer to initiate a suitable process to ensure that Board Members, the Executive Officer, Employees and Volunteers undertake IAM awareness training, if not previously undertaken.**
- 

The GRFMA Executive Officer has been working with DoxLite consultancy to develop an Information Asset Management (IAM) Framework for improving information management (IM) efficiencies and compliance in a digital environment. Namely the Information Asset Management Framework Project.

The project consisted of a three-step approach:

Step 1 – development and authorisation of an Information Asset Management Policy in line with the SRSA Information Management Standard, appropriate to the Authority’s size, purpose and associated risks.

Step 2 – development of a Business Classification Scheme and procedures for:

- Information Classification
- Information Digitisation
- Information Disposal
- Information Technology and Security
- Using digital/electronic signatures

Step 3 – identification of digital storage and system requirements. This step looked at what the Authority requires regarding storage capacity, security and accessibility, and what software systems are required to facilitate the identified requirements such as digital storage and digital/electronic signatures.

The project has now been completed with the provision of the IAM Framework Project Report and the Information Asset Manual which incorporates the program, plan, policy and procedures.

#### **Project outputs**

Activities undertaken throughout the year have resulted in the following outputs:

1. Self-Assessment 2023 including identified priorities and maturity survey responses.
2. Certified Physical Information Asset Destruction.
3. Information Asset Management Policy (GB85/23).

4. Digital Information Asset Management and Storage Solution.
5. Information Asset Management Manual (Dra 6, Word and PDF) and Information Asset.
6. Control Register (Excel).

Summary of Recommendations with actions undertaken to date identified in italics at the relevant recommendation:

1. Utilise the IAM Self-Assessment Tool annually to measure IAM improvements and identify areas for future improvement. *Ongoing*
2. Continue with annual destruction of eligible physical information assets as needed. *Ongoing*
3. Transfer the remaining Minute Book 2014-2020 to SRSA for permanent retention. *To be actioned in programmed work*
4. At the next Policy review, replace the term 'Agency' with 'Authority' as appropriate. *Noted*
5. Review the *IAM Manual* annually to modify as necessary where implementation identifies inconsistencies, gaps or updating due to changes in SRSA requirements. *To be actioned in programmed work*
6. The Authority purchases a Microsoft 365 (M365) Business Basic Plan with ADR as an add-on to ensure data is stored in the Australia/Pacific region. The EO is either the Administrator and a User with a Board Member also a User, or a Board Member is the Administrator with the EO as a User. *M365 licence already held. Data now stored on OneDrive from 1 July 2024. Board Member administrator has been provided to GRFMA Chairman Mr Lino Di Lernia.*
7. Continue utilising DocuSign for compiling and signing PDF files. *Ongoing*
8. Board Members, the Executive Officer, Employees and Volunteers undertake IAM awareness training as part of the induction process, if not previously undertaken. SRSA online module 'An Introduction to Information Management' is used for this purpose. Course content may be modified from time to time. *EO has undertaken awareness training. Inquiry of status of Board members training to be undertaken.*
9. The Accredited FOI Officer must have undertaken related Freedom of Information training available from SRSA. The Executive Officer, when not the Accredited FOI Officer, needs to have undertaken the minimal level of FOI General Awareness training. *Accredited FOI Officers - Parliamentary debate indicates that the rationale behind the designation of an Accredited FOI Officer was to ensure that FOI determinations were made at a sufficiently senior level. To assist in achieving this outcome the Principal Officer of an agency is automatically an Accredited FOI Officer under section 4 of the Freedom of Information Act 1991 (FOI Act). Under the FOI Act, Principal Officer, in relation to an agency, means – (a) if the agency consists of a single person (including a corporation sole but not any other body corporate) – that person*

Refer attached Information Asset Management Report and Manual.

# **Gawler River Floodplain Management Authority**

**Information Asset Management Framework Project**

**July 2023 – June 2024**

**DoxLite**

**8 July 2024**



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## Acronyms

**ADR** – Advanced Data Residency – a M365 add-on for selecting the region where M365 data, including OneDrive is stored.

**Disposal** – includes destruction and transfer to another agency. All disposal actions must be authorised. Information assets must not be destroyed, sold, donated or given away without DfE IMU authorisation.

**EO** – Executive Officer of GRFMA

**GDS** – General Disposal Schedule

**GRFMA** – Gawler River Floodplain Management Authority

**IGG** – Information Governance Guideline (SRSA)

**Information Asset** - includes records and data

**IAM** – Information Asset Management

**Item** – as small as a single document or as large as an entire box or carton.

**LM** – Linear metre (storage shelf space)

**NAP** – Normal Administrative Practice for disposal of unofficial / non-business information.

**Processing** – identifying the information asset type, sentencing, listing, cleaning and boxing.

**SRSA** – State Records South Australia

## Environmental Sustainability Statement

**DoxLite's** business activities are conducted in a fully digital environment. All business documentation including quotes, invoices, reports and information asset registers are maintained in digital format. All work processes and practices are designed, and frequently reviewed, to minimise negative impacts on the environment. Practices are based on the principles of **Reduce, Reuse and Recycle**.

**Reducing** practices include:

- limiting the use of new consumables by reusing.
- minimising physical space requirements through efficient packing of physical items to reduce the quantity of containers (boxes and folders) required.

**Reusing** practices include:

- reusing consumables, including boxes, plastic sleeves, binders, folders and fasteners (metal and plastic), as many times as practical.
- using consumables made for recycled products including paper twine for tying bundles, bio-degradable packing tape, paper, folders and boxes whenever appropriate and available.

**Recycling** practices include:

- consumables that cannot be reused are appropriately recycled.
- removing plastics and other non-metal contaminants, from document destruction consignments to reduce chemical usage in the paper recycling process.



## Introduction

This report seeks to inform the Authority of the achievements resulting from the Project to develop an IAM Framework for improving information management (IM) efficiencies and compliance in a digital environment. The project outline proposed a three-step approach:

Step 1 – development and authorisation of an Information Asset Management Policy in line with the SRSA Information Management Standard, appropriate to the Authority's size, purpose and associated risks.

Step 2 – development of a Business Classification Scheme and procedures for:

- Information Classification

- Information Digitisation

- Information Disposal

- Information Technology and Security

- Using digital/electronic signatures

Step 3 – identification of digital storage and system requirements. This step looked at what the Authority requires regarding storage capacity, security and accessibility, and what software systems are required to facilitate the identified requirements such as digital storage and digital/electronic signatures.

Due to SRSA introducing the [Self-Assessment Tool](#) for measuring IAM maturity and [The Information Governance Guideline](#) with the requirement to develop and implement an IAM Program, Step 1 and 2 were adjusted to deliver a holistic *IAM Manual*. As a result, considerably more elements have been provided than originally planned. The policy and procedures are now included in the *IAM Manual* along with four other elements to support ongoing IAM in a digital environment.

Undertaking the Self-Assessment and providing a response to the SRSA IAM Maturity Survey were also additional to the original project plan and quotation.

This Report summarises activities and provides suggestions and recommendations related to implementation of the *IAM Manual* and future activities.

## Project Activities

### *Self-Assessment Tool*

The self-assessment tool was utilised to undertake an assessment of the Authority's maturity in compliance with SRSA Standards and Disposal Schedules. This created a baseline for measuring future improvement. While the baseline score was low, the development and implementation of the *IAM Manual* will see significant improvement in compliance for all IAM Principals and Behaviours within the first year.

The self-assessment tool results were utilised to respond to the SRSA Maturity Survey, submitted by the EO on 18 August 2023, well before the due date of 15 November 2023.

SRSA recommends the self-assessment be undertaken annually, as indicated in the *IAM Manual* (Draft 6) provided to the EO on 27 June 2024. SRSA will issue maturity surveys regularly with a frequency yet to be determined but likely to be every 3-5 years.

### Recommendation

1. Utilise the IAM Self-Assessment Tool annually to measure IAM improvements and identify areas for future improvement.

### *Disposal*

Annual destruction of eligible, physical information assets was undertaken in September 2023. Disposal was authorised and a certificate of destruction provided, as required under the Information Asset Disposal Procedures provided in the *IAM Manual*.

### Recommendations

2. Continue with annual destruction of eligible physical information assets as needed.
3. Transfer the remaining Minute Book 2014-2020 to SRSA for permanent retention.

### *IAM Policy*

The *IAM Policy* was developed and submitted to the EO in September 2023 and Endorsed by the GRFMA Board on 19 October 2023 as GB85/23. The *IAM Policy* is to be reviewed every three years. A copy of the policy is included in the *IAM Manual* which is to be reviewed

annually. Since endorsement, the EO has identified some instances where the term 'Agency' should be replaced with 'Authority'

#### Recommendation

4. At the next *IAM Policy* review, replace the term 'Agency' with 'Authority' as appropriate.

#### *IAM Manual*

The *Information Asset Management Manual*, based on SRSA information governance model was developed over several months and in consultation with the EO. The *Information Asset Control Register* (Excel) provides additional details on some elements of the *IAM Manual* which now incorporates the following elements:

1. Information Asset Audit
2. Value and Risk Assessment
3. Information Asset Management Plan
  - 3.1 Policy & Procedures
    - IAM Policy
    - Information Asset Business Classification, Titling and Filing Procedures
    - Information Asset Digitisation Procedures
    - Information Asset Disposal Procedures
    - Digital Signature Procedures
  - 3.2 Defined Resources, Roles and Responsibilities
  - 3.3 Access and Release Schemes
  - 3.4 Security Controls
  - 3.5 Privacy Protection and Consideration
  - 3.6 Disposal Determinations
  - 3.7 Compliant Systems
4. Education

5. Self-Assessment and Reporting

Appendix A: NAP Guidelines - Destruction of Unofficial Records

Appendix B: Business Classification Scheme

Appendix C: Risk Assessment Matrix

Appendix D: Disposal Authorisation Proforma

The *IAM Manual* needs to be reviewed annually to check that links are correct, update with any changes to SRSA requirements or include further details or elements identified from the annual self-assessment results. The first year of implementation might identify some areas for modification therefore allow 2-6 hours for the first review in October 2025. Subsequent reviews should be more routine, checking and updating of SRSA requirements, with less modification required.

### Recommendation

5. Review the *IAM Manual* annually to modify as necessary where implementation identifies inconsistencies, gaps or updating due to changes in SRSA requirements.

### Digital IAM and Storage System Requirements

The Authority, with no physical office or employees, governed remotely by a Board of Members with operational management and administration outsourced to a Contractor working part-time (.2 FTE), has unusual parameters and requirements. Software applications with dedicated information asset management capabilities such as an EDRMS (Objective, Content Manager/TRIM, MAGIQ) were quickly dismissed as too expensive and overly complex to implement given the Authority's context.

M365 Business Basic, utilising OneDrive for digital information asset management based on the policy, procedures and other elements of the *IAM Manual*, was deemed the most appropriate solution available at this time, for what is essentially a single user situation.

An account under a M365 Business Basic licence (~\$110 p.a.), utilising any or all MS Office applications and OneDrive specifically for digital IAM and storage meets the requirements of the *IAM Manual* provided. Under this licence, Advanced Data Residency (ADR) add-on should be select to ensure data storage in Australia/Pacific Region as required for some SA Gov agencies (~\$36 p.a.).

An Adobe Acrobat Pro licence for creation, manipulation, sharing and signing (DocuSign) of PDF files locally (on a PC or laptop), online and on mobile devices could also be purchased (~\$370 p.a.). An Adobe Acrobat Pro licence includes many other tools such as Redaction, Combining and Editing which are likely to be useful for operational tasks.

The Authority does not currently have any physical or digital space to store its information assets. Digital and physical information assets are handed from the outgoing to the incoming EO. To demonstrate some level of ownership, the Authority should own the M365 Business Basic licence, adding and removing Administrator and Users as the Contractor and Members change. This could be achieved by ensuring that the EO and one current Member are added, with one having Administrator rights. The Administrator then must ensure that Users and rights are removed and added as required due to EO or Member changes. The EO must be added as a User even if they are also the Administrator. It is the Administrator that can add and remove Users to the licence.

In this scenario, the EO engaged would need to have their own M365 licence, not necessarily Business Basic, to access the Office 365 applications, or the Authority pays for a more expensive plan to include the Office 365 suite of applications within the Business Basic licence. In a scenario where the EO has their own M365 licence and installs the Authority's M365 application on the same device (PC or laptop), a separate profile specifically for GRFMA may be preferable.

Utilising OneDrive in this scenario allows for digital information assets to be managed locally (on a PC or laptop) and automatically synchronised with the online version, meaning that there are effectively two instances of all data and that, with login details, M365 can be accessed from any computer with internet access. Microsoft has recently released a beta version of M365 Backup. **DoxLite** is monitoring progress and reviewing to determine costs (currently \$0.15/Gb/month) and where the additional backup data is stored, especially in instances where the ADR add-on has been purchased.

## Recommendations

6. The Authority purchases a M365 Business Basic plan with ADR as an add-on to ensure data is stored in the Australia/Pacific region. The EO is either the Administrator and a User with a Board Member also a User, or a Board Member is the Administrator with the EO as a User.
7. Continue utilizing DocuSign for compiling and signing PDF files.

## Project Outputs

Activities undertaken throughout the year have resulted in the following outputs:

1. Self-Assessment 2023 including identified priorities and maturity survey responses.
2. Certified Physical Information Asset Destruction
3. *Information Asset Management Policy* (GB85/23)
4. Digital Information Asset Management and Storage Solution (provided via email on 03/06/2024 and updated in this Report).
5. *Information Asset Management Manual* (Draft 6, Word and PDF) and *Information Asset Control Register* (Excel)

All final/latest version outputs are stored in the **DoxLite** OneDrive folder [GRFMA Share Files](#) (password protected). This folder is updated as outputs are developed. The folders or individual files can be imported into the Authority's OneDrive for storage and management.

## Summary of Recommendations

1. Utilise the *IAM Self-Assessment Tool* annually to measure IAM improvements and identify areas for future improvement.
2. Continue with annual destruction of eligible physical information assets as needed.
3. Transfer the remaining Minute Book 2014-2020 to SRSA for permanent retention.
4. At the next Policy review, replace the term 'Agency' with 'Authority' as appropriate.
5. Review the *IAM Manual* annually to modify as necessary where implementation identifies inconsistencies, gaps or updating due to changes in SRSA requirements.
6. The Authority purchases a M365 Business Basic Plan with ADR as an add-on to ensure data is stored in the Australia/Pacific region. The EO is either the Administrator and a User with a Board Member also a User, or a Board Member is the Administrator with the EO as a User.
7. Continue utilizing DocuSign for compiling and signing PDF files.

## Conclusion

I gratefully acknowledge David Hitchcock's assistance and patience with the process of developing the *IAM Manual* and identifying the unique circumstances of the Authority and its operational management. His review and comments on several drafts were thoughtful and informative.

I look forward to a continued relationship with GRFMA as needs and requirements arise. To this end I have taken the liberty of supplying a quotation for up to 10 hours in 2024/2025 to implement some of the above recommendations, specifically Recommendations 1, 2 and 3, and responding to ad hoc enquiries related to implementation of the *IAM Manual* and related matters.

Deb Leigo

  
**Dox**Lite

08/07/2024

## Appendix A: Recordkeeping Requirements

The following information provides a brief overview of recordkeeping principles, characteristics and categories of records which will assist in understanding elements of the *IAM Manual* and implementing recommendations to improve recordkeeping practices.

### Principles

State Records SA (SRSA) [Information Management Standard](#) is based on five principles:

1. The value of information is known.
2. Information is created and managed appropriate to risk.
3. Ownership of information is assigned.
4. Information can be relied upon.
5. Information is available as required.

### Characteristics

[ISO AS 15489.1:2017](#) prescribes that authoritative records require the characteristics of:

1. Authenticity – can be proven to be what it purports to be, created or sent by the purported agent at the purported time.
2. Reliability – contents can be trusted as a full and accurate representation of the transactions, activities or facts to which they attest, and which can be depended upon in the course of subsequent transactions or activities.
3. Integrity – complete and unaltered.
4. Useability – can be located, retrieved, presented and interpreted within a reasonable and efficient timeframe.

### Categories

Generally, records fall into one of five categories:

1. Facilitative records - unofficial documents (records) including duplicates (copies), reference material (unsolicited, promotional, not produced by the Council), drafts and rough notes not intended for further use, and system printouts used to verify data. These items may be destroyed under [NAP](#) and are also covered by GDS 40v1: 92 (FACILITATIVE RECORDS).

2. Temporary short term – most financial and some administrative records, generally with a minimum retention period of 2 or 6 years.
3. Temporary long term – records related to workers compensation, policies, personnel (e.g. staff and volunteers) and hazardous materials (e.g. building maintenance, chemical use) with minimum retention periods ranging from 20, 30, 45 and 60 years.
4. Embargoed records – classes of records which must not be destroyed until an official review has been completed. Currently this applies to records of relevance to various Royal Commissions into vulnerable people including child abuse, children in care and indigenous children, due for review in 2024, and Native Title claims.
5. Permanent records – high level and critical records required for transparency, legal and historical purposes, to be preserved and maintained in perpetuity (forever, or at least hundreds of years).

### *Risk Assessment*

All SRSA disposal schedules provide a minimum retention period for each record class. In all instances records may be retained for longer periods. Minimum retention periods are prescribed in [GDS 40](#) and the Native Title disposal freeze [GDS 16](#). Retention periods can be increased where applicable to meet specific business needs and risk profiles, however:

- extensions should be justified and documented.
- legal matters, investigations and Freedom of Information applications, for example, may warrant extended retention periods.
- ‘just in case’ or risk aversion (unjustified retention) should be avoided.

### *Digital First Strategy*

SA Government has a ‘digital first’ policy ([Information Management Standard](#) page 3:

2.4 manage information assets digitally unless there are specific reasons for keeping hardcopy information assets;

Born digital information assets should be managed in their original, digital format, until such time as SRSA can accept digital transfers or the temporary items become eligible for destruction with authorisation. There is no need to print for retention and storage.

**GAWLER RIVER FLOODPLAIN MANAGEMENT AUTHORITY**

# **INFORMATION ASSET MANAGEMENT MANUAL**

**Incorporating the  
INFORMATION ASSET MANAGEMENT PROGRAM,  
PLAN, POLICY and PROCEDURES**

## GAWLER RIVER FLOODPLAIN MANAGEMENT AUTHORITY

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### 1. INFORMATION ASSET MANAGEMENT MANUAL

|                                |                                                                                                                                                            |
|--------------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------|
| <b>Strategic Reference:</b>    | Information Asset Management                                                                                                                               |
| <b>File Reference:</b>         | GRFMA, 7.0 Information Asset Management, 7.1 Manual                                                                                                        |
| <b>Responsibility:</b>         | Executive Officer                                                                                                                                          |
| <b>Applicable Legislation:</b> | State Records Act 1997,<br>Freedom of Information Act 1991,<br>Local Government Act 1999,<br>GRFMA Charter 2020                                            |
| <b>Related Policies/Codes:</b> | Access to Meetings and Documents Policy<br>Freedom of Information Statement                                                                                |
| <b>Related Procedures:</b>     | As approved by the Executive Officer and included in this Information Asset Management Manual containing the Information Asset Management Program and Plan |
| <b>External Regulations</b>    | <a href="#">Local Government Act 1999</a><br><a href="#">State Records Act 1997</a><br><a href="#">Freedom of Information Act 1991</a>                     |
| <b>Adopted:</b>                | [DD/MM/YYYY]                                                                                                                                               |
| <b>Minutes Reference:</b>      | [GB##/24]                                                                                                                                                  |
| <b>Revision Number:</b>        | 1                                                                                                                                                          |
| <b>Frequency of Review:</b>    | Annual as part of the Self-Assessment and Reporting Process                                                                                                |
| <b>Next Review Due:</b>        | October 2025                                                                                                                                               |

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## ACRONYMS AND DEFINITIONS

|                               |                                                                                                                                                                                                                     |
|-------------------------------|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| <b>Access Derivatives</b>     | Compressed copies of the <b>Digitised Hard Copy Information Asset</b> created for dissemination and access                                                                                                          |
| <b>Authority</b>              | Gawler River Floodplain Management Authority                                                                                                                                                                        |
| <b>ASP</b>                    | Approved Service Provider (as approved by SRSA)                                                                                                                                                                     |
| <b>BCS</b>                    | Business Classification Scheme is a structure for arranging and managing information assets according to their function, activity and retention period (value).                                                     |
| <b>Compromise</b>             | Includes, but not limited to, loss, misuse, interference, unauthorised access, unauthorised modification, unauthorised disclosure of <b>Information Assets</b>                                                      |
| <b>Converted</b>              | <b>Hard Copy</b> (physical) <b>Information Assets</b> that have undergone a process of change from analogue to a permanent digital format.                                                                          |
| <b>Digitised</b>              | A hard copy information asset that has undergone a scanning process, resulting in conversion to a digital format, either for access (derivative) or preservation (surrogate) representation.                        |
| <b>Disposal</b>               | The process of either permanently destroying or transferring custody or ownership of information assets.                                                                                                            |
| <b>EDRMS</b>                  | Electronic Documents Records Management System. Software applications designed specifically for the management of collated information assets and items.                                                            |
| <b>EO</b>                     | Executive Officer                                                                                                                                                                                                   |
| <b>FOI</b>                    | Freedom of Information                                                                                                                                                                                              |
| <b>GDS</b>                    | General Disposal Schedule                                                                                                                                                                                           |
| <b>Hard Copy</b>              | Physical information assets as opposed to digital. The term is used in relation to digitisation. Previously referred to as “hard copy source records”, the preferred term is “physical <b>information assets</b> ”. |
| <b>In Place</b>               | The practice of managing information assets within the software application where they are created as opposed to transferring to a dedicated <b>EDRMS</b> .                                                         |
| <b>Information Asset (IA)</b> | Includes data and records in any format, where it is created or received through the conduct of the Authority’s business. Usually applies to a series or system rather than an individual <b>Item</b> .             |

|                |                                                                                                                                                                                                                                                                                                                                                                                               |
|----------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| <b>IAM</b>     | Information Asset Management                                                                                                                                                                                                                                                                                                                                                                  |
| <b>ICT</b>     | Information and Communication Technology                                                                                                                                                                                                                                                                                                                                                      |
| <b>Item</b>    | A single <b>Information Asset</b> (physical or digital) of evidential value to the Authority. The term <b>Item</b> is used to distinguish from a series, collection or data sets managed <b>In Place</b> rather than within a dedicated <b>EDRMS</b> .                                                                                                                                        |
| <b>Master</b>  | Applied to the original or permanent version of an <b>Item</b> . Particularly used to refer to the <b>hard copy</b> source record that has been <b>digitised</b> and retained for as long as needed as digitisation process and digital storage are not fully compliant with SRSA Standards. Master versions must not be destroyed until after the minimum retention period has been reached. |
| <b>NAP</b>     | Normal administrative Practice                                                                                                                                                                                                                                                                                                                                                                |
| <b>Plan</b>    | Information Asset Management Plan                                                                                                                                                                                                                                                                                                                                                             |
| <b>Program</b> | Information Asset Management Program                                                                                                                                                                                                                                                                                                                                                          |
| <b>RADL</b>    | Records Access and Description List                                                                                                                                                                                                                                                                                                                                                           |
| <b>SRSA</b>    | State Records of South Australia                                                                                                                                                                                                                                                                                                                                                              |

## INFORMATION ASSET MANAGEMENT PROGRAM



Collectively, these elements will assist in developing a clear strategic direction for the management of information assets as well as foster a good information management culture with a view towards continuous improvement.

A Program should support broader strategic and corporate goals and objectives, carrying the same executive level commitment.

The following steps, in any order, assist to develop and implement a Program:



### **1. Information Asset Audit**

Undertake an information asset audit to identify what information assets are held. The identified information assets must be linked back to the business activities and functions.



### **2. Value and Risk Assessment**

Assess and value what information assets should be created to support an agency's business and regulatory requirements. To do this, consider legal and regulatory requirements, associated risks and business objectives.

Identify and manage risks associated with not creating information assets to support requirements. This can be achieved by undertaking a value and risk assessment.



### **3. Information Management Plan**

A Plan provides practical direction for implementing a Program. The Plan should be based on the outcomes of the information asset audit and value and risk assessment and identify information priorities.



### **4. Education**

Induct and train staff on the Program. A large part of the success of a Program relies on the commitment of staff to information management policies and procedures and an awareness of their information management responsibilities.

Educating staff in the value and management of information is key to fostering a culture of good information management.



### **5. Self-assessment and Reporting**

Continue to formally assess and review the Program using the Self- Assessment Tool (Tool). This assessment can also assist agencies to understand gaps in their Program and can be used as a first step in the review of the Program.

## 1. INFORMATION ASSET AUDIT

All the Authority's digital information assets are stored and managed within **M365** (Basic Business licence). Physical information assets are stored and managed in a **Physical** filing system. All information Assets must be handed over to the Authority or the Authority's representative at the termination of the Executive Officer's Contract.

The Executive Officer and other Contractors are likely to utilise a range of software applications (business systems) to manage activities or tasks. Examples include MYOB for financial management and Adobe DC Pro for digital signatures (DocuSign). Licences for these software applications are the responsibility of the Contractor who will ensure that all required information assets such as reports, data sets and signed documents are captured into the Authority's OneDrive for management. Outgoing Contractors must ensure that all relevant data is exported from software applications in an accessible and useable format, to be retained for as long as needed with the capability of being imported into another compatible software application.

Further details are included in the *Information Asset Control Register* sheet 'Audit' (Excel).

| Information Assets                                                                                 | BCS                           | Locations              | Owner/Administrator |
|----------------------------------------------------------------------------------------------------|-------------------------------|------------------------|---------------------|
| Board and Committee proceedings including agenda, supporting documents and minutes.                | 1.0 Board and Committees      | M365 / Physical / SRSA | GRFMA / EO          |
| Annual Reports and material produced for public information.                                       | 2.0 Publications              | M365 / SRSA            | GRFMA / EO          |
| Dam proposals, construction, inspection and maintenance including plans, maps, reports and images. | 3.0 Infrastructure Management | M365 / SRSA            | GRFMA / EO          |
| Accounting including invoices, Profit & Loss Reports, Budgets Audit Reports                        | 4.0 Finance                   | M365 / Physical        | GRFMA / EO          |
| Asset management, long-term financial and strategic management plans                               | 5.0 Strategic Management      | M365                   | GRFMA / EO          |

|                                                                                                                                                                                                             |                                  |      |            |
|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|----------------------------------|------|------------|
| Routine operational items including enquiries, drafts, planning and preparation of budgeted activities, managed in subject files.                                                                           | 6.0 Admin                        | M365 | GRFMA / EO |
| Member case files including applications, declarations and inductions                                                                                                                                       | 6.1 Member Management            | M365 | GRFMA / EO |
| IAM Manual, Control Register, Self-Assessment, SRSA survey Responses, Destruction Authorisations, Reports, SRSA Transfers (including proposals, series and consignment descriptions and transfer receipts), | 7.0 Information Asset Management | M365 | GRFMA / EO |

## 2. VALUE AND RISK ASSESMENT

Value of assets increases when the consequence of not creating, retaining and managing securely increases. Risk is measured based on the consequences of non-compliance with internal operational needs and external legislative requirements. The [Risk Assessment Matrix is included as Appendix C](#).

In addition to the requirements of the Local Government Act and GRFMA Charter, under the State Records Act 1997, Part 5, Clause 16, inadequate information asset management may be reported to the Minister and intentional unauthorised destruction or damage to information assets incur a maximum penalty of \$10,000 or 2 years imprisonment (Clause 17).

Further details are included in the *Information Asset Control Register* sheet 'Audit' (Excel).

| Information Assets                     | BCS                                    | Business Objectives                                                                                                                   | Legislative/Regulatory Requirements                                                                                   | Associated Risks with not creating and retaining                                                            | Risk Rating         |
|----------------------------------------|----------------------------------------|---------------------------------------------------------------------------------------------------------------------------------------|-----------------------------------------------------------------------------------------------------------------------|-------------------------------------------------------------------------------------------------------------|---------------------|
| <b>Board and Committee Proceedings</b> | <b>1.1</b><br><b>1.2</b><br><b>1.3</b> | Document decision making, ensuring accountability and historical reference.                                                           | Local Government Act 199, Schedule 2.<br>State Records Act 1997, Part 5                                               | Lack of accountability and documented evidence of decision making. Inadequate information asset management. | <b>Extreme Risk</b> |
| <b>Annual Reports</b>                  | <b>2.1</b>                             | Summary of activities of the past year provides public transparency, retained permanently for accountability and historical purposes. | Local Government Act 199, Chapter 8<br>Administrative and financial accountability.<br>State Records Act 1997, Part 5 | Lack of compliance and summary for historical evidence. Inadequate information asset management.            | <b>High Risk</b>    |

|                                  |                                                      |                                                                                                                           |                                                                                                                                                                                                                                                                                 |                                                                                                                                                                                                        |                     |
|----------------------------------|------------------------------------------------------|---------------------------------------------------------------------------------------------------------------------------|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|---------------------|
| <b>Other Publications</b>        | <b>2.2</b>                                           | Ad hoc presentation of information for public consumption                                                                 | <a href="#">Open Data Principle</a>                                                                                                                                                                                                                                             | Lack of proactively releasing information on activities and progress with projects.                                                                                                                    | <b>Low</b>          |
| <b>Infrastructure Management</b> | <b>3.1</b><br><b>3.2</b><br><b>3.3</b><br><b>3.4</b> | Documenting the process of construction and management of significant infrastructure requiring ongoing active management. | LGA Schedule 1A<br>Environment Protection Act<br>Native Title Act, SA 1994 / Cth 1993<br>Native Vegetation Act 1991<br>Natural Resources Management Act 2004<br>Water Resources Act 1997<br>Planning, Development and Infrastructure Act 2016<br>State Records Act 1997, Part 5 | Lack of compliance, accountability, evidence and information required for ongoing management leading to series consequences including potential loss of life. Inadequate information asset management. | <b>Extreme Risk</b> |
| <b>Finance</b>                   | <b>4.0</b>                                           | Financial accountability and management of funds for current and long-term sustainability.                                | Local Government Act 199, Chapter 8<br>Administrative and financial accountability.<br>State Records Act 1997, Part 5                                                                                                                                                           | Lack of compliance, accountability, evidence and information required for ongoing management. Inadequate information asset management.                                                                 | <b>High Risk</b>    |
| <b>Strategic Management</b>      | <b>5.1</b><br><b>5.2</b><br><b>5.3</b><br><b>5.4</b> | Planning for ongoing sustainability of fiscal assets and infrastructure.                                                  | Local Government Act 199, Chapter 8<br>Administrative and financial accountability.<br>State Records Act 1997, Part 5                                                                                                                                                           | Lack of compliance, accountability, evidence and information required for ongoing management. Inadequate information asset management.                                                                 | <b>High Risk</b>    |

|                                     |                                                                    |                                                                                                                                |                                                                                                                        |                                                                                                                                       |                  |
|-------------------------------------|--------------------------------------------------------------------|--------------------------------------------------------------------------------------------------------------------------------|------------------------------------------------------------------------------------------------------------------------|---------------------------------------------------------------------------------------------------------------------------------------|------------------|
| <b>Admin</b>                        | <b>6.0</b>                                                         | Operational planning and routine business activities                                                                           | GRFMA Charter, Chapter 10<br>State Records Act 1997, Part 5                                                            | Lack of documented activities resulting in poor operational management, lack of evidence and inadequate information asset management. | <b>High Risk</b> |
| <b>Member Management</b>            | <b>6.1</b>                                                         | Manage Member appointments, declarations and inductions.                                                                       | LGA - Chapter 5, Part 4<br>Privacy Act 1988 (Cth)<br>State Records Act 1997, Part 5                                    | Lack of accountability, compliance and evidence of activity. Inadequate information asset management.                                 | <b>High Risk</b> |
| <b>Information Asset Management</b> | <b>7.1</b><br><b>7.2</b><br><b>7.3</b><br><b>7.4</b><br><b>7.5</b> | IA Control, ensuring documented creation, classification, management and disposal according to endorsed policy and procedures. | State Records Act 1997, Part 5<br>State Records Act 1997, GDS 40<br>Libraries Act 1982<br>ISO 15489 Records Management | Lack of accountability and evidence of activity.<br>Inadequate information asset management.                                          | <b>High Risk</b> |
| <b>All information assets</b>       |                                                                    | Managing in M365 rather than system full compliance with SRSA<br><i>Managing Digital Records in Systems</i> Standard.          | State Records Act 1997, Part 5, Section 14(2)                                                                          | Compliance SRSA Standards, although ideal, is not required by Local Government Authorities                                            | <b>Low</b>       |

### **3. INFORMATION ASSET MANAGEMENT PLAN**

#### **3.1 POLICY and PROCEDURES**

##### **Information Asset Management Policy v1 (GB85/23)**

#### **1. Introduction**

It is the aim of this policy to establish the roles, responsibilities, and requirements of the Authority as a manager of government information assets, as required by:

- The State Records Act 1997.
- Approved Information Management Standards, Schedules and Guidelines as issued by State Records South Australia.
- The Local Government Act 1999.
- The Gawler River Floodplain Management Authority Charter (28/01/2020).

#### **2. Scope**

This policy applies to the Authority including its Board members, Executive Officer and employees including volunteers and contractors.

#### **3. Policy Statement**

The Authority recognises the value of managing information assets effectively, accountably, and strategically, understanding the explicit link between information assets and information technology. This approach underpins both good governance principles and business success.

The Authority will provide efficient and appropriate access to information assets and ensure they are managed and disposed of in accordance with Standards, Schedules and Guidelines approved by State Records of South Australia (SRSA), under the State Records Act 1997 (SA).

To support this intent, the Authority will provide appropriate resources and training to successfully meet its commitment to the planned management of information assets.

#### **4. Principles**

The Authority recognises and applies the following principles and behaviours:

4.1 The value of information is known. Information is treated as an asset of the Authority. Its value to enable business activities and functions, both current and future, is determined, understood and leveraged to improve business outcomes.

The Authority will:

- 4.1.1 identify and document what its information assets are, where they are stored and who is responsible for their management;
- 4.1.2 understand and document how its information assets support its business objectives, operations and compliance obligations;
- 4.1.3 ensure information assets are linked to business functions and activities;
- 4.1.4 induct and train staff in the value of information and in their information asset management responsibilities; and
- 4.1.5 foster an organisational culture that values and manages information as an asset that supports business objectives, decision making and activities.

4.2 Information assets are created and managed appropriate to risk. The Authority understands what information needs to be created and maintained to support business objectives, drive decision making and meet compliance obligations. In doing so, business risks are mitigated.

The Authority will:

- 4.2.1 analyse and document what information assets must be created and managed across the organisation applicable to the regulatory environment in which it operates;
- 4.2.2 develop and issue policy and procedures outlining how information assets will be managed;
- 4.2.3 assess the risks of not creating or managing information assets where there is a legal, evidential, or business need;
- 4.2.4 manage information assets digitally unless there are specific reasons for keeping physical formats;
- 4.2.5 design and implement systems according to relevant standards so that they support the effective management and disposal of information assets;
- 4.2.6 manage and store information assets appropriately, to ensure they remain secure and accessible for as long as need;
- 4.2.7 only dispose of information assets in accordance with current, approved disposal determinations issued by State Records;
- 4.2.8 review and audit how well its information asset management policy, procedures and practices support its business, and
- 4.2.9 monitor, report and improve staff adherence to the internal Information Asset Management Program, including policy and procedures.

4.3 Ownership of information assets is assigned. Responsibility for the governance of information assets is assigned appropriately to ensure information assets are managed for the best outcomes of the Authority, its customers and the broader community.

The Authority will:

- 4.3.1 ensure ownership of information assets are assigned;
- 4.3.2 ensure that owners are aware of their responsibilities and accountabilities for managing the information assets;
- 4.3.3 ensure responsibilities for information assets management are delegated appropriately, in writing;
- 4.3.4 ensure that roles and responsibilities relating to the ownership and management of information assets are defined in policy, procedures and the Information Asset Management Program and the Information Asset Management Plan; and
- 4.3.5 ensure that ownership and accountability for information assets is managed consistently through a governance structure.

4.4 Information assets can be relied upon. Policy, procedures, practices and systems are implemented to ensure information assets can be relied upon as trusted and authentic evidence of decisions made and actions taken.

The Authority will:

- 4.4.1 make and keep full and accurate information assets, appropriate to its business processes, regulatory environment and accountability requirements to mitigate risk;
- 4.4.2 ensure information assets are saved into systems in a timely manner, that meet relevant SRSA Standards<sup>1</sup>, the SA Protective Security Framework (SAPSF) and the SA Cyber Security Framework (SACSF), to ensure they are protected from compromise;
- 4.4.3 record relevant details (metadata) in systems so that the business context of information assets can be readily understood;
- 4.4.4 use established and existing definitions for information assets where possible, so that there is consistency across the Authority; and
- 4.4.5 implement practices and systems that ensure the quality and authenticity of information assets.

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

The Authority will:

- 4.5.1 implement information security classifications and requirements that are applicable to the sensitivity of the information in accordance with whole of government policies and administrative directions;

<sup>1</sup> Standards include *Managing Digital Records in Systems*; *Minimum Recordkeeping Metadata Standard*, *Contracting and Information Assets Standard*; and *Management and Storage of Temporary Value Information Assets Standard*.

- 4.5.2 review access restrictions on information assets and amend as sensitivity alters;
- 4.5.3 migrate digital information assets as systems, software and media are upgraded or become obsolete, to ensure they remain accessible for as long as needed;
- 4.5.4 identify requirements for retaining information assets not covered by general disposal schedules, and seek a disposal determination for these information assets;
- 4.5.5 ensure that no information asset is destroyed unless no longer needed for business purposes and in accordance with current, approved disposal determinations;
- 4.5.6 collect, use, disclose, store, and dispose of personal information in accordance with the information privacy principles;
- 4.5.7 share information assets across government as appropriate and where authorised;
- 4.5.8 proactively publish information in line with government policy; and
- 4.5.9** not sell, abandon or donate information assets to external parties where such action would result in the agency not having access to that information and without authorisation in the form of a disposal determination.

## **5. Resourcing**

With limited resources, no employees and one external consultancy, the Authority endeavors to maintain its Information Asset Management Plan by allocating resources within its budget and engaging appropriately skilled Consultants as required.

## **6. Planning**

The Authority recognises the importance of planning the management of its information assets at an agency-wide level. The Information Asset Management Program supports the Authority's broader strategic and corporate goals and objectives through the framework of policy, procedures, education, technology and the Information Asset Management Plan which provides practical direction. Integral to planning is the SRSA Information Governance Guideline and Self-Assessment Tool (Tool) used to identify gaps and review the Program.

## **7. Review**

7.1 This Policy shall be reviewed by GRFMA every three years.

7.2 Upon review, GRFMA will communicate the updated Policy to all relevant persons.

## Information Asset Business Classification, Titling and Filing Procedures

### 1. Introduction

This Procedure covers the business classification, titling and filing of temporary, long-term and permanent value information assets created, received and held by the Authority.

This Procedure ensures consistency in the description of information assets and provides a link to the Authority's business functions and activities. Consistency in classification and descriptive terminology facilitate efficient retrieval, management and disposal of information assets.

### 2. Scope

This Procedure is applicable to the descriptive classification, titling and filing of all temporary, long-term or permanent value information assets, undertaken by the Authority contractors, employees and third parties as a routine administrative process.

### 3. Background

Most of the Authority's information assets are now created and received in digital format, however ad hoc physical records, such as invoices and correspondence, may continue to be received, resulting in hybrid information asset management. Some information assets will have short-term retention periods, others may require permanent retention.

This Procedure, and the entire *IAM Manual* complies with the requirement to document IAM behaviours in relation to the *Information Asset Management Policy (GB85/23)* principles, meeting SRSA Standards to the extent where risk mitigation is maximised in relation to the resources available to the Authority and the context with which it operates.

### 4. Procedures

#### 4.1 Consistency - Apply the Business Classification Scheme, titles and file locations consistently.

Locations include email Inbox folders, MS365 One Drive digital folders, physical files and business systems such as MYOB.

Save in a digital folder or file in a physical folder, as appropriate, and title using hierarchical terminology from the general to the specific. Folder titles form the first part, or highest level of the hierarchical title. Sub-folder titles describe a more specific level with the file title providing the most specific description.

Applying the date in reverse format (yyyy.mm.dd) at the beginning of the file title will ensure items appear in chronological order. Decide on applying either date issued, date due or date paid and

consistently apply for the folder contents. Be consistent with the method of applying the date. For example:

GRFMA>Finance>Invoices 2024>2024.04.30 XYZ Services

Folders containing multiple subjects can be arranged firstly in alphabetical order then chronological order by applying the date at the end of a constantly applied descriptor. Using this titling method will display the correspondence Received immediately above the Reply (alphabetically, Received comes before Reply). For example:

GRFMA>Administration>Correspondence>DoxLite IAM Manual Received 2024.05.28

GRFMA>Administration>Correspondence>DoxLite IAM Manual Reply 2024.06.07

GRFMA>Administration>Correspondence>DoxLite MS365 Received 2024.06.03

Another example of consistent titling is applying an identifier at the start of the title then consistent descriptors that will keep the related items in order. The example below shows the two related documents required for annual information asset destruction:

 GRFMA-DA-2021-01 AuthorisedDisposal Signed  
 GRFMA-DA-2021-01 CertificateDestruction  
 GRFMA-DA-2022-01 AuthorisedDisposal Signed  
 GRFMA-DA-2022-01 CertificateDestruction  
 GRFMA-DA-2023-01 AuthorisedDisposal Signed  
 GRFMA-DA-2023-01 CertificateDestruction

- 4.2 Emails - Digital files will often be received via email which can be saved to appropriately titled Inbox Folders. No further action is required for short term, facilitative messages which can be deleted under Normal Administrative Practice (see Appendix A).

For emails that contain decisions, instructions or other official business, save the email, including any attachments in .msg format, in the appropriate MS365 OneDrive digital folder. This will allow the .msg file to be opened in the email client from which it originated (e.g. MS365 Outlook). Saving the email as a .pdf (print or export to PDF) allows the file to be opened without the email client application but means that email attachments must be saved separately.

For emails with attachments where the body of the email does not contain official business information, save the attachments in .pdf (or the appropriate file format from the list in section 7. Sustainable File Formats). The email can then be moved to the appropriate Inbox Folder for quick access.

- 4.3 Physical records may be scanned then processed as a digital record with the original physical record filed and managed as the Master version. Retaining the physical version for the minimum retention period as identified in GDS 40 (as amended) removes the need to meet the requirements of GDS 21 (as amended) which allows for the early destruction of hardcopy source records after scanning,

according to documented specifications, quality assurance and saving into a business system which has been certified as compliant with SRSA Standard *Managing Digital Records in Systems*.

## 5. Business Classification Scheme

Functions, the highest descriptive level in the Business Classification Scheme, and their relationship to GDS 40 and retention requirements are listed in the table below. Activities are included in the full Business Classification Scheme in Appendix B and in the *Information Asset Control Register*, sheet 'BCS' (Excel)

| Business Classification Scheme  | Code | GDS 40 Class  | Retention Period                                        |
|---------------------------------|------|---------------|---------------------------------------------------------|
| Board & Committee               | 1.0  | 3.1           | Permanent                                               |
| Publications                    | 2.0  | 5.3 and 100.6 | Permanent                                               |
| Dam / Infrastructure Management | 3.0  |               | Indefinite / Permanent                                  |
| Finance                         | 4.0  |               | Temporary                                               |
| Strategic Management            | 5.0  |               | Temporary when Plans are included in Board Agenda Items |
| Administration                  | 6.0  |               | Temporary                                               |
| Information Asset Management    | 7.0  |               |                                                         |

## 6. Sustainable Digital File Formats

The Authority is responsible for ensuring that information assets remain available and useable for as long as needed – at least as long as the minimum retention period. This can be achieved by ensuring that digital information assets are saved in a sustainable format and converted or migrated to new systems as technology changes. Sustainable file formats include those which are:

- widely used and supported
- identifiable and well documented
- independent of specific software, developers or vendors
- stable (rare releases of newer versions) and backwards and forwards compatible with other versions
- uncompressed or use lossless compression
- metadata friendly or have the ability to embed metadata.

Use sustainable formats when:

- creating new records and information

- converting or migrating records
- considering the file formats of any new software applications or design requirements when developing or implementing new systems
- requesting files or data sets from a cloud service provider.

[Sustainable file formats](#) include:

|                                                     |                                                     |
|-----------------------------------------------------|-----------------------------------------------------|
| Audio files                                         | .mp3 and .mp4                                       |
| CAD (Computer-aided Design)                         | .dxf                                                |
| Data Files and Databases                            | .csv and .xml                                       |
| Email – as single messages<br>including attachments | .msg and .eml                                       |
| Encapsulation                                       | .zip                                                |
| Image files                                         | .tif and .jpg                                       |
| Office (Microsoft Office Suite)                     | .docx, .xlsx, pptx,                                 |
| Text only                                           | .txt, .csv and .xml                                 |
| Video                                               | .mpg, .mp4, mjp2,                                   |
| Websites                                            | .html, .htm, .xml and .warc (for archived websites) |

## 7. Risk Assessment

This procedure applies to managing information assets in digital and physical folder structures, aligned to the BCS, rather than a software application specifically designed for IAM such as an EDRMS. Under the State Records Act 1997, Local Government Authorities are not required to comply with SRSA Standards, however compliance with disposal schedules in mandatory. Compliance with GDS 20 for the early destruction of digitised hard copy source records can only be achieved with compliance to the following:

- *Managing Digital Records in Systems Standard*
- Minimum Recordkeeping Metadata Standard

Non-compliance with the above Standards simply means that physical information assets must be retained for the minimum retention periods prescribed in GDS 40 as amended, even after scanning and saving into the M365 OneDrive digital folder structure.

Knowingly damaging, altering or disposing (destroying, selling or donating) of official records may result in a penalty of \$10,000 or imprisonment for 2 years (State Records Act 1997, Section 17(1)).

The [Risk Assessment Matrix \(Appendix C\)](#) has been utilised to determine risk ratings associated with not complying with internal and external requirements to create, retain and manage information assets. Under the State Records Act 1997, Local Government Authorities are not required to comply with Standards issued by SRSA, although doing so is ideal where practical given sufficient size and resources.

## Information Asset Digitisation Procedures

### 1. Introduction

This Procedure covers the digitisation of temporary, long-term and permanent value, hardcopy source records created, received and held by the Authority, to facilitate workflows.

This Procedure does not allow for the destruction of hardcopy source records after digitisation.

Well planned and documented digitisation processes meet all five principles of the *Information Asset Management Policy (GB85/23)*.

### 2. Scope

This Procedure is applicable to the digitisation of temporary, long-term or permanent value physical information assets, undertaken by the Authority contractors, employees and third parties as a routine administrative process. These *Procedures* do not fully comply with the requirements of GDS 21 (as amended) to allow for the early destruction of hard copy source after digitisation, as the Authority does not have the capacity to maintain digital systems fully compliant with the *SRSA Managing Records in Digital Systems Standard*.

### 3. Background

Most of the Authority's information assets are now created and received in digital format, however ad hoc hardcopy source records such as invoices and correspondence may continue to be received. Some will have short-term retention periods; others may require permanent retention.

To maximise the efficiency of workflows and access to information assets, digitising the ad hoc physical records may be desirable. Once digitised (scanned) the physical record must be retained and maintained as the Master version. The digital version is an access copy. The Master version (original hard copy) must be filed in the physical file system and retained for the minimum retention period. This process results in a hybrid filing system consisting of digital and physical items. Management, including disposal, must be applied regardless of format, therefore when the Invoices for a specified period have been authorised for destruction, this action is applied to digital and physical items.

### 4. Procedures

Follow the Digital First principle; ask suppliers to issue invoices, submit reports or correspond in digital formats and only create physical records within the Authority when there is no other reasonable option.

4.1 The following actions should be applied to ad hoc physical records received and created by the Authority.

Appraisal - All information assets must be filed according to the *Information Asset Business Classification, Titling and Filing Procedures* and sentenced according to the relevant GDS as amended, either:

- GDS 40v1 Local Councils and Local Governing Bodies and Authorities (Expiry 31/12/2029)
- GDS 16v1 Native Title Claims (ongoing)
- This process identifies the required retention period (value) of the record and its business classification.

4.2 Digital File Formats - PDF is the preferred file format for all documents. Multi-page documents need to be scanned as a multi-page PDF.

JPG is the preferred format for all access images. Images need to be scanned in full colour as a single page file. Compression is acceptable as the scanned image is the access derivative and does not replace the Master physical image.

4.3 File Titling - All digital files must be titled and saved in the appropriate location. Retaining the automatically applied file title is not acceptable for access or management of information assets. Follow the *Information Asset Business Classification, Titling and Filing Procedures* to ensure consistency, maximising efficiency of retrieval and management.

4.4 Filing the physical item – once digitised, the physical item needs to be filed in the physical file system (a box) after adding the digital file location in pencil (ink marking is not permitted on permanent value items). Due to the size and context of the Authority and the small quantity and range of information assets, unique identifiers are not allocated. Instead, the file path to the digital version is applied. For example, the file path for an invoice or correspondence might be:

GRFMA>Finance>Invoices 2024>[yyyy.mm.dd]

GRFMA>Administration>Correspondence>{yyyy.mm.dd] [ABC Sender]

4.5 Destruction - Once the information asset is eligible and authorised for destruction, all formats, digital and physical, are to be destroyed securely and permanently with a certificate of destruction obtained and saved for long term retention.

## Information Asset Disposal Procedures

### 1. Introduction

This Procedure covers the **disposal** of the Authority's information assets in accordance with the State Records Act and the Authority's *Information Asset Management Policy (GB85/23)*. Disposal includes permanent, confidential destruction of temporary records, transfer to other South Australian government agencies as required, and transfer for permanent retention to SRSA.

This Procedure ensures **disposal** programs are conducted lawfully and efficiently and ensures the permanent retention of information assets of importance to the Authority and the State. **Disposal** programs benefit business operations, reduce costs and support compliance with regulatory requirements including the *Local Government Act 1999*, the *State Records Act 1997* and *Information Privacy Principles*.

Well planned and documented **disposal** processes meet all five principles of the *Information Asset Management Policy (GB85/23)*.

### 2. Scope

This Procedure is applicable to the **disposal** of the Authority's information assets of temporary, long-term or permanent value, by staff and third parties. This procedure applies to the disposal of information assets in all formats including the permanent deletion of digital data such as electronic files and database entry records, regardless of storage location.

### 3. Background

**Disposal** programs include processes associated with implementing records destruction or transfer decisions which have been documented and authorised by the relevant, current SRSA **disposal** schedule.

Lawful **disposal** of information assets includes:

- a) Authorised destruction conducted confidentially and permanently
- b) Transferring custody to SRSA for permanent retention
- c) Storage at an Approved Service Provider (ASP)
- d) Transferring ownership to another SA Government agency
- e) Migrating information from one system or platform to another

Adherence to the State Records Act, Standards and the Authority's *Information Asset Management Policy* along with application of these *Procedures* ensures information assets are managed and monitored to minimise risk of loss due to:

- a) Environmental hazards (e.g. flood or fire) resulting in permanent damage or loss

- b) ICT infrastructure failure or compromise (e.g. hacking, viruses) that delete or corrupt digital information assets
- c) Use of legacy or bespoke software that is not capable of enabling comprehensive or accurate migration of data to a replacement system
- d) Storage on media that is damaged or obsolete, e.g.:
  - i. Degraded magnetic media
  - ii. Media for which hardware is no longer available
  - iii. Software that is no longer usable
- e) Staff practices not meeting the Authority's *Information Asset Management Policy* and the following procedures, resulting in:
  - i. Destruction of information due to deliberate or accidental action, lack of knowledge or unlawful **disposal** (including destruction without authorisation, abandonment, transfer to a non-government entity and selling).
  - ii. Lack of accountability trails for **disposal** decisions.
  - iii. Incomplete destruction resulting in remaining information assets being accessible and / or discoverable.
  - iv. Taking information assets offsite without authorisation or transferring them to non-government entities.

Implementation of the following procedures ensure that the **disposal** of information assets is:

1. Authorised
2. Underpinned by appraisal
3. Managed
4. Complete and secure
5. Accountable

#### 4. Procedures

The following procedures address the above criteria, through the compilation of well-documented **disposal** activities conducted in accordance with an SRSA authorised **GDS** and Standards.

##### 4.1 Disposal Program

- 5.1.1 Annual review of this *Procedure* and related documents, and whenever business changes.
- 5.1.2 Continuous sentencing as information assets are processed and entered into a system.
- 5.1.3 Annual destruction of eligible records including those stored in Cloud based software.
- 5.1.4 Routine transfer of eligible records to SRSA for permanent retention.

## 4.2 Appraisal

All information assets must be sentenced according to the relevant GDS as amended, either:

[GDS 40v1 Local Councils and Local Governing Bodies and Authorities](#) (Expiry 31/12/2029)

[GDS 21v5 Disposal of Hardcopy Source Records after Digitisation](#) (expiry 31/12/2028)

[GDS 16v1 Native Title Claims](#) (ongoing)

## 4.3 Destruction of temporary retention information assets

4.3.1 Register – Prior to authorising destruction, all items must be entered into the *Information Asset Control Register* (Excel Workbook) and sentenced according to GDS 40, 21 and 16 as amended and approved by SRSA. This process provides intellectual control by providing the following details for each item:

- a) Physical or digital location
- b) Title and description sufficient to indicate the purpose, content and context:
  - i. Function / Activity in accordance with the Business Classification Scheme
  - ii. Start and End dates, with the end date being the date of last action, completion or expiry
  - iii. Applicable GDS, class and retention period
  - iv. Action date to indicate when the item becomes eligible for review, destruction or transfer to SRSA.

4.3.2. Review - Once items are eligible for destruction, sentencing must be reviewed for any changes in business or legislative requirements including amendments to the applicable GDS, which may have occurred since sentencing.

4.3.3. Authorise - After review, a consignment list of items eligible for destruction must be created and inserted into an *Information Asset Disposal Authorisation Form*. Destruction is authorised once all required parties have reviewed the consignment list and signed the form to authorise destruction. Parties include the:

- a) Sentencer
- b) Executive Officer (EO)

4.3.4. Destroy - Secure and confidential destruction must be undertaken by a third-party provider within 60 days and a Certificate of Destruction obtained. \*Note: The same process applies to the permanent destruction of data in digital business systems.

4.3.5. Evidence - The records documenting this process, including the completed *Information Asset Disposal Authorisation Form* and *Certificate of Destruction* are to be managed and maintained according to GDS 40 minimum requirements and for as long as needed. Add the destruction Date and Destruction Certificate details to the 'Destroyed' sheet in the *Information Asset Control Register* (Excel Workbook).

#### 4.4 Transfer of Custody to SRSA

4.4.1 Register - all items must be entered into the *Information Asset Control Register* (Excel Workbook) and sentenced according to GDS 40, 21 and 16 as amended and approved by SRSA. This process provides intellectual control by providing the following details for each item:

- a) Physical location
- b) Title and description sufficient to indicate the purpose, content and context
- c) Start and end dates, with the end date being the date of last action or expiry
- d) Applicable GDS, class and retention period
- e) Action date to indicate when the item becomes eligible for destruction

4.4.2 Review - Once items are eligible for transfer, sentencing must be reviewed for any changes in business or legislative requirements including amendments to the applicable GDS, which may have occurred since sentencing.

4.4.3 Propose – Prepare and submit a Transfer Proposal in accordance with SRSA standards and guidelines. The Proposal must be authorised by the EO. If the Proposal is accepted, a Records Access and Description List (RADL) must be submitted for each series and approved by SRSA before physical transfer can be arranged.

4.4.4 Evidence - The records documenting this process, including the Transfer Proposal, RADL and Receipts, are to be managed and maintained according to GDS 40 minimum requirements and for as long as needed.

#### 4.5 Transfer to Approved Service Provider

5.5.1 Refer to SRSA guideline for [Management and Storage of Temporary Information Assets with an Approved Service Provider.](#)

4.5.1 Register - all items must be entered into the *Information Asset Control Register* (Excel Workbook) and sentenced according to GDS 16, 21 or 40, as amended and approved by SRSA. This process provides intellectual control by providing the following details for each item:

- Physical or digital location
- Title and description sufficient to indicate the purpose, content and context
- Start and end dates, with the end date being the date of last action or expiry
- Applicable GDS, class and retention period
- Action date to indicate when the item becomes eligible for destruction

4.5.2 Permanent records – SRSA must approve the transfer of permanent records that are more than 15 years old and not required for current business purposes, to storage with an ASP, as these are eligible for transfer to SRSA.

#### 4.6 Transfer of ownership

In any instance where information assets are required to be transferred from the Authority to another South Australian Government agency, the relevant SRSA Standards and Guidelines must be followed. This may include the guideline for managing records during [Administrative Change](#).

#### 4.7 Migration

The migration, conversion or transfer of information assets from their original digital context must be undertaken by such methods as required to ensure ongoing authenticity, reliability, integrity and usability. Ensuring the process is compliant with the SRSA Standard [Managing Digital Records in Systems](#) will include:

- a) Planning to ensure data and associated metadata is not lost or corrupted.
- b) Documenting to ensure knowledge of the process remains accessible for as long as needed.

## **Digital Signature Procedures**

### **1. Introduction**

This Procedure covers the digital signing of documents created or issued by the Authority.

This Procedure ensures the reliability and authenticity of information assets created and maintained in a digital environment.

### **2. Scope**

This Procedure is applicable to the signing of information assets requiring a signature as evidence of compliance, confirmation or agreement. Digital signatures are currently applied by the Chair of meetings to confirm meeting minutes and by the constituent Councils to declare independence of the external auditor.

### **3. Background**

Most of the Authority's information assets are now created and received in digital format. Applying digital signatures ensures the documents remain in digital format, reducing the need to manage and store hardcopy information assets.

DocuSign, a tool within the Adobe tool collection, is commonly used for secure digital signatures. PDF documents are uploaded to the Adobe online account where names of signers are entered. A link is then sent to the signer(s), allowing the digital signing from various and remote locations without having to print, post or scan. Only an individual's email address should be associated with the named signer as the evidential value of digital signatures relies on only the signer having access to the specified email address. Do not use generic or shared email addresses such as Office@ or Council@ as these are accessed by many users and do not specifically name the individual signing.

### **4. Procedures**

The following procedures ensure that digital information assets requiring a signature for completion are reliable and can be maintained in digital format for as long as needed.

- 4.1 Prepare, create or save a received .pdf document as a draft in appropriate folder.
- 4.2 Upload the document to DocuSign. Insert signer(s) and select options as appropriate for the document.
- 4.3 Review, checking all details are entered as required then Send for signing.
- 4.4 Once signing is completed, all signers will receive a copy of the fully signed document. Save the final, fully signed .pdf in the appropriate file location.
- 4.5 The draft document may now be deleted.

### 3.2 DEFINED RESOURCES, ROLES AND RESPONSIBILITIES

The scope of resources, roles and responsibilities of the Authority and its Executive Officer are defined in the GRFMA Charter and the Executive Officer Service Contract. Financial resources and planning are included in the Strategic Management Plan and Annual Budgets.

The Executive Officer is responsible for implementing the IAM Program and Plan as defined in this *IAM Manual*.

The GRMFA Board is responsible for ensuring adequate resources are available to allow implementation of the IAM Program and Plan. Resources also need to be allocated for:

- annual review and updating of the IAM Manual,
- utilising the Self-Assessment Tool annually,
- actioning one or more Assessment Priorities as identified from the annual Self-Assessment.

### 3.3 ACCESS AND RELEASE SCHEMES

The Authority proactively releases information to the public in accordance with the SA government [Open Data Principle](#) 1. This is achieved through publication of digital information on the GRFMA webpage and transfer of permanent value physical items to SRSA for public access.

The [GRFMA webpages](#) are hosted on the [Council of Gawler website](#). Information assets proactively released include:

- Annual Reports
- Strategic and Business Plans
- Financial Statements and Budgets
- Feasibility Reports and Project Reviews
- Meeting Proceedings and Key Outcomes
- Board Member composition
- Policies

Permanent value physical items have been transferred to the custody of SRSA for ongoing preservation and public access. The SRSA [Public Access Determinations](#) are followed to ensure items are open for public access immediately, or at least as early as possible. The following series have been transferred to SRSA and are open to public access:

- GRS18311 Minute Books, 2002-2014
- GRS18312 Publications (including Annual Reports), 2002-2018
- GRS18313 Board and Committee Proceedings, 1986-2017

### 3.4 SECURITY CONTROLS

The Authority understands the value of its information assets and therefore the need to ensure they remain secure from accidental loss and leakage (internal) or external threats such as malware<sup>2</sup> and hacking.

External threats are mitigated by ensuring:

- Quality malware protection software is installed on all computers which store the Authority's information assets either for ongoing management or for temporary use (such as Members emails and digital storage).
- All computers and software applications are password protected.
- Passwords are frequently changed and unique for each application and device.
- Two-factor authentication is applied in all instances where available.
- Digital data is stored in Australia (achieved by selecting the M365 option for Advanced Data Residency). While not explicit, this requirement is preferable and implied in the SRSA [Cloud Computing and Records Management Guideline](#). Installing the Advanced Data Residency add-on ensures that the Authority's information assets are not subject to the data privacy requirements of any other another country. SRSA advice on [Cloud Computing](#) provides additional information in relation to requirements related to compliance with the Information Privacy Principles Instruction (IPPI) (see [3.5 Privacy Protection and Considerations](#)).

Internal threats are mitigated by ensuring:

- All software applications are backed-up so that data can be restored in cases of accidental deletion. M365 provides access to previous versions and deleted data for 30 days.
- Email recipient details are carefully checked before sending, especially when attachments are included, to ensure items are sent to the correct person / email address. Data leakage occurs when sending information assets to the wrong person / email address. This issue is particularly important when sending information to parties external to the Authority.
- Passwords and two-factor authentication details are not shared, and passwords or passphrases are routinely changed.
- All application Administrator details and passwords are changed during Executive Officer handovers.

<sup>2</sup>Malware is any software intentionally designed to cause disruption to a computer, server, client, or computer network, leak private information, gain unauthorized access to information or systems, deprive access to information, or which unknowingly interferes with the user's computer security and privacy. [Wikipedia](#)

### 3.5 PRIVACY PROTECTION AND CONSIDERATIONS

Personal information' is any information about a person where that person can be identified from the information. Personal information includes details such as name, address, date of birth, financial or health status, alleged behaviours and licensing details. Photographs, video footage and sound recordings may also include personal information.

The Authority ensures [Privacy Rights](#) surrounding personal information are protected by adopting and implementing the Information Privacy Principles Instruction (IPPI) as documented in [Premier and Cabinet Circular 12 – information Privacy Principles Instruction](#).

### 3.6 DISPOSAL DETERMINATIONS

Disposal actions include destruction and transfer to SRSA or another SA government agency due to administrative change. Actions are determined in accordance with SRSA authorised disposal schedules. All items are sentenced under [GDS 40 Local Councils and Local Governing Bodies and Authorities](#), as amended, prior to review and authorisation for disposal. Sentencing and review includes applying disposal freezes as appropriate. [GDS 16 Native Title Claims](#), ongoing, must be considered when sentencing any information assets related to land acquisition or development.

The Authority does not provide care to any persons including children, aged persons, veterans or persons with disabilities, therefore the following disposal freezes are not applied as the Authority's information assets are not of relevance to:

- [GDS 32v2 Records of Relevance to the Royal Commission into Institutional Responses to Child Sexual Abuse](#) (Expiry 31/12/2024)
- [GDS 36v1 Records of Relevance in Relation to Child Abuse or Alleged Child Abuse](#) (Expiry 31/12/2024)
- [GDS 37v1 Records of Relevance to the Royal Commission into Aged Care Quality and Safety](#) (Expiry 31 /12 2025)
- [GDS 38v1 Records of Relevance in Relation to the Royal Commission into Violence, Abuse, Neglect and Exploitation of People with Disability](#) (Expiry 31 /12 2025)
- [GDS 43v1 Records of Relevance in relation to the Royal Commission into Defence and Veteran Suicide](#) (Expiry 31/12/2025)

Permanent value physical information assets are transferred to SRSA in accordance with the SRSA [Transfer Standard](#). Permanent value digital information assets must be retained and managed, ensuring they remain reliable, authentic, useable and accessible until such time as they can be transferred to a SRSA digital repository. See [Information Asset Disposal Procedures](#) for further details.

### 3.7 COMPLIANT SYSTEMS

The Authority is a micro agency. Executive Officer Services are engaged in accordance with an agreed contract for service. The Authority does not engage any employees, utilise volunteers, or require Board Members to manage information assets. Information assets created or received by Members are submitted to the Executive Officer for management. The information assets requiring management is narrow and confined by the scope of the GRFMA Charter.

Due to the unique nature of the Authority, it has not implemented an EDRMS (Electronic Document and Records Management System) with the capabilities that would enable full and certified compliance with the SRSA *Managing Digital Records in Systems Standard* and *Minimum Recordkeeping Metadata Standard*, allowing for the destruction of hard copy source records after digitisation (GDS 21).

Instead, this *Information Asset Management Manual* detailing the IAM Program and Plan, including Policy and Procedures, has been developed and implemented to ensure risk appropriate compliance with SRSA Standards. [2. Value and Risk Assessment](#) demonstrates low risks associated with 'in place' information assets management; managing information assets within the digital application where they are created and/or managed rather than capturing into a dedicated EDRMS. Information assets managed 'in place' (M365 OneDrive) are listed in section [1. Information Asset Audit](#).

## 4. EDUCATION

The Authority recognises the value of information assets, the importance of IAM and the need for awareness training as a minimum requirement. In addition, the Executive Officer must have additional FOI Officer training. IAM consultants are engaged as required for advice or to undertake tasks outside the capabilities of the EO and the scope of this *IAM Manual*.

- 4.1 Board Members, the Executive Officer, Employees and Volunteers undertake IAM awareness training as part of the induction process, if not previously undertaken. SRSA online module '[An Introduction to Information Management](#)' is used for this purpose. Course content may be modified from time to time.
- 4.2 The Accredited FOI Officer must have undertaken related [Freedom of Information](#) training available from SRSA. The Executive Officer, when not the Accredited FOI Officer, needs to have undertaken the minimal level of [FOI General Awareness](#) training. For further information go to SRSA factsheet [What is an Accredited FOI Officer?](#)
- 4.3 Familiarity with and implementation of this *IAM Manual* provides most of the information required to undertake routine, operational IAM. Ensuring this *Manual* is reviewed and updated annually will facilitate ongoing improvements to the Authority's IAM Program through implementation of the Plan, improving behaviours to align with the principles detailed in the IAM Policy.

## 5. SELF-ASSESSMENT AND REPORTING

The SRSA *Self-Assessment Tool* (Excel Workbook) is utilised to measure IAM maturity annually (July).

This Workbook includes four sheets:

- Instructions
- Detailed Assessment
- Capability Model
- Assessment Priorities

The 'Assessment Priorities' report generated from the 'Detailed Assessment' sheet is used to inform decision making for future improvements. The 'Capability Model', also generated from the 'Detailed Assessment', provides data for responding to SRSA Maturity Surveys. Surveys are likely to be issued every 3-6 years.

5.1 Create a new version of the *Self-Assessment Tool* each year.

5.2 Follow the 'Instructions' to review and update the 'Maturity and Capability Level' and 'Notes' fields on the 'Detailed Assessment' sheet.

5.3 Data automatically populates into the 'Capability Model' sheet. Ensure the Authority's details and version are updated at the top of this sheet.

5.4 Follow the instructions to generate the report on the 'Assessment Priorities' sheet.

5.5 Submit the 'Assessment Priorities' report to the Audit & Risk Committee for review.

5.6 Ensure that responses to all SRSA Surveys are submitted within the required timeframes.

## **Appendix A: NAP Guidelines - Destruction of Unofficial Records**

### **What is Normal Administrative Practice (NAP)?**

NAP is the concept applied to the routine destruction of material of a transitory, facilitative, ephemeral or non-business nature. NAP is primarily intended to permit disposal of ephemeral records that might technically be official records under the State Records Act definition but that have no ongoing value to agencies and where policies, procedures, knowledge and experience suggest that the document does not need to be saved into a business system.

Destruction is undertaken after applying the NAP test (below) to determine that no information of ongoing value to the Authority will be lost. It applies to the routine destruction of drafts, duplicates and publications, regardless of format, created or received by the Authority.

### **Authority to use NAP**

NAP is provided in the interests of efficient recordkeeping and extends to material of ephemeral and transitory value only. Destruction of the Authority's unofficial information assets according to NAP is authorised by GDS 40 amended.

### **NAP in digital media**

Recordkeeping and NAP principles apply to all formats including:

- voice mail,
- e-mail,
- facsimiles,
- word processed documents, spreadsheets, etc.

### **The NAP test**

Where the information is not duplicated in the Authority's business system, ask:

- Does the material form part of an Authority transaction?
- Does it add value to an existing record?
- Does it show how a transaction was dealt with?
- Does it show how a decision was made?
- Does it show when or where an event happened?
- Does it indicate who was involved or what advice was given?
- Is it a formal draft of a Cabinet submission, an agreement or a legal document?
- Is the material included in the current GDS 40 or relevant to a disposal freeze?

If the answer to any of these questions is YES, then the material must not be destroyed according to NAP. File the item according to IAM procedures.

## Examples of material that may be eligible for destruction under NAP

Only material or data included in the five categories outlined below may be deleted or destroyed securely and confidentially from business systems according to NAP. Disposal of any other records, physical or digital, must be undertaken in accordance with current disposal schedules.

|    | Category                                                                                                                                      | Examples                                                                                                                                                                                                                                                                                                                          | Notes                                                                                                                                                                                                                                           |
|----|-----------------------------------------------------------------------------------------------------------------------------------------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| 1. | transitory or short-term items including electronic data                                                                                      | <ul style="list-style-type: none"> <li>phone messages, notes, compliment slips,</li> <li>messages and notes, required for only a few hours or a few days,</li> <li>information received including copies of office notices and circulars.</li> </ul>                                                                              | Includes voice-mail, email and facsimiles not required for ongoing Authority business evidence.<br>Disposal of master notices, circulars and distribution records must be undertaken in accordance with a current, applicable GDS.              |
| 2. | rough working papers and/or calculations created in the preparation of official records and drafts not intended for further use or reference, | <ul style="list-style-type: none"> <li>rough notes not intended for further use,</li> <li>word processing documents and spreadsheets in electronic format after updating (excluding official version drafts of agreements, submissions and legal documents), printing, or transfer to electronic recordkeeping systems</li> </ul> | Some record classes cover the disposal of working papers. Rough working papers could be defined as pre first draft notes/calculations/outlines.<br>Disposal of official drafts must be undertaken in accordance with a current, applicable GDS. |
| 3. | duplicate copies of material retained for reference purposes only                                                                             | <ul style="list-style-type: none"> <li>Superseded or distributed copies of instructions, guidelines, standards, etc.,</li> <li>extra copies of records no longer required for reference purposes,</li> <li>copies of Authority material/records created for reference/ease of access.</li> </ul>                                  | To avoid confusion, always stamp or title as COPY to enable easy identification and NAP destruction.<br>Disposal of master records must be undertaken in accordance with a current, applicable GDS.                                             |
| 4. | published material received or collected which does not form an integral part of an Authority record                                          | <ul style="list-style-type: none"> <li>brochures, catalogues, price lists, unsolicited promotional material, etc. received from external sources,</li> <li>copies of Legislation, regulations, standards etc.,</li> <li>copies of published items kept for personal reference.</li> </ul>                                         | For records of Authority input into the development or review of legislation, regulations etc. See GDS 30v2:13.13 for retention and disposal requirements.                                                                                      |
| 5. | system printouts that are not part of regular reporting procedures and not required for ongoing use                                           | <ul style="list-style-type: none"> <li>system log reports to verify or monitor data on an ad hoc basis,</li> <li>printouts used to answer ad hoc queries,</li> <li>copies printed for proofreading.</li> </ul>                                                                                                                    | Printouts generated from routine reporting, including bona fide leave reports, must be disposed in accordance with GDS 30v2: 13.22.5                                                                                                            |

## Appendix B: Business Classification Scheme

| Business Classification Scheme                         | Code       | GDS 40 Class                                                          | Retention Period                                                                                       |
|--------------------------------------------------------|------------|-----------------------------------------------------------------------|--------------------------------------------------------------------------------------------------------|
| <b>Board and Committee</b>                             | <b>1.0</b> |                                                                       |                                                                                                        |
| Board Meetings                                         | 1.1        | 3.1                                                                   | Permanent                                                                                              |
| Audit & Risk Committee                                 | 1.2        | 3.1                                                                   | Permanent                                                                                              |
| Technical Assessment Panel                             | 1.3        | 3.1                                                                   | Permanent                                                                                              |
| <b>Publications</b>                                    | <b>2.0</b> |                                                                       |                                                                                                        |
| Annual Reports                                         | 2.1        | 5.3                                                                   | Permanent                                                                                              |
| Other Publications                                     | 2.2        | 100.6                                                                 | Permanent                                                                                              |
| <b>Infrastructure Management</b>                       | <b>3.0</b> |                                                                       |                                                                                                        |
| Inspections                                            | 3.1        | 82.7 (design / construction) and<br>82.13 (inspections / maintenance) | Indefinite - Retain 6 yrs. after asset disposal. (Permanent items captured in 1.0 Board and Committee) |
| Maintenance                                            | 3.2        |                                                                       |                                                                                                        |
| Plans                                                  | 3.3        |                                                                       |                                                                                                        |
| Reports                                                | 3.4        |                                                                       |                                                                                                        |
| <b>Finance</b>                                         | <b>4.0</b> |                                                                       |                                                                                                        |
| (Sub Folders are arranged by Year)                     |            | 6.3, 6.5, 6.7, 6.8, 6.9                                               | Temporary (6 years)                                                                                    |
| <b>Strategic Management</b>                            | <b>5.0</b> |                                                                       |                                                                                                        |
| Annual Business Plan                                   | 5.1        | 5.10 and 5.14                                                         | Temporary (6 years)                                                                                    |
| Long Term Financial Plan                               | 5.2        | 5.10 and 5.14                                                         | Temporary (6 years)                                                                                    |
| Strategic Management Plan                              | 5.3        | 5.10 and 5.14                                                         | Temporary (6 years)                                                                                    |
| Asset Management Plan                                  | 5.4        | 5.10 and 5.14                                                         | Temporary (6 years)                                                                                    |
| <b>Admin</b>                                           | <b>6.0</b> |                                                                       |                                                                                                        |
| Member Management                                      | 6.1        | 2.4                                                                   | Temporary (6 years after exit)                                                                         |
| (Subject Folders as required, arranged alphabetically) |            | Various routine administrative operations                             | Temporary (6 years)<br>(Permanent items captured in Board or Committee agendas)                        |
| <b>Information Asset Management</b>                    | <b>7.0</b> |                                                                       |                                                                                                        |
| Manual                                                 | 7.1        | 66.9                                                                  | Temporary (20 years)                                                                                   |
| Assessments                                            | 7.2        | 66.13                                                                 | Temporary (6 years)                                                                                    |
| Destruction                                            | 7.3        | 66.14                                                                 | Temporary (50 years)                                                                                   |
| Transfers                                              | 7.4        | 66.11                                                                 | Indefinite                                                                                             |
| Reports                                                | 7.5        | 104.1                                                                 | Temporary (6 yrs.)                                                                                     |

## Appendix C: Risk Assessment Matrix

The Risk Assessment Matrix identifies the risks associated with the Authority's non-compliance with internal and external requirements to create, retain and manage information assets.

The risk likelihood against the risk consequence determines the overall risk rating.

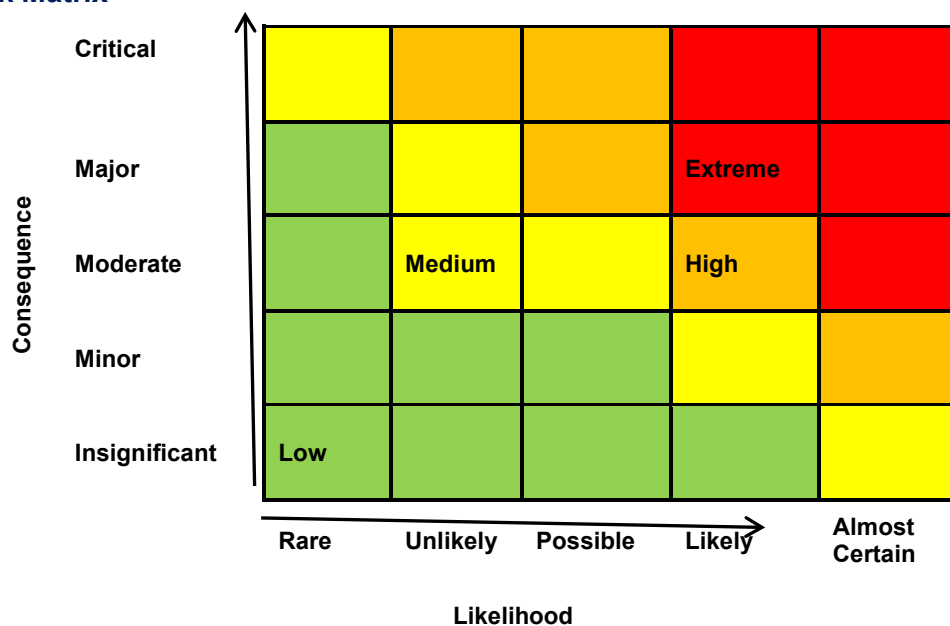
### 1. Overall Risk Rating

|                     |                                                                           |
|---------------------|---------------------------------------------------------------------------|
| <b>Extreme Risk</b> | Immediate action required along with senior management commitment         |
| <b>High Risk</b>    | Senior management attention required, and development of an action plan   |
| <b>Medium Risk</b>  | Management responsibility must be specified (i.e. accountability defined) |
| <b>Low Risk</b>     | Manage by routine procedures                                              |

### 2. Risk Likelihood

|                       |                                                                      |
|-----------------------|----------------------------------------------------------------------|
| <b>Almost certain</b> | The event is expected to occur within the next 12 months             |
| <b>Likely</b>         | The event is more likely than not to occur within the next 12 months |
| <b>Possible</b>       | The event may occur within the next 12 months                        |
| <b>Unlikely</b>       | The event is not likely to occur in the next 12 months               |
| <b>Rare</b>           | The event will only occur in exceptional circumstances               |

### 3. Risk Matrix



#### 4. Risk Consequence

|                 | Financial                                                                                                                                                                                                                           | Stakeholders                                                                                                                                                                                                                                                                                                                                      | People                                                                                                                                                                                                                                                                            | Product / Service delivery                                                                                                   | Compliance / Legal                                                                                                                                                                         |
|-----------------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|------------------------------------------------------------------------------------------------------------------------------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| <b>Critical</b> | <ul style="list-style-type: none"> <li>Financial loss greater than \$1 million (operating budget).</li> <li>Financial loss greater than \$2 million (insurance reserves).</li> </ul>                                                | <ul style="list-style-type: none"> <li>Substantial long-term damage to brand and degradation of public perception of the Authority, affecting whole business.</li> <li>Significant state-wide negative publicity, i.e. from TV and newspapers for more than one week.</li> <li>the Authority subjected to state parliamentary enquiry.</li> </ul> | <ul style="list-style-type: none"> <li>Death due to negligence.</li> <li>Inability of the Contractor to have available adequate resources (such as personnel to work, finance to provide the services)</li> <li>Dismissal of the Board and/or the EO.</li> </ul>                  | <ul style="list-style-type: none"> <li>Loss of any service delivery or business operations for more than 4 weeks.</li> </ul> | <ul style="list-style-type: none"> <li>Significant legal, regulatory or internal policy failure.</li> <li>Regulatory sanctions.</li> <li>Class action against the Authority.</li> </ul>    |
| <b>Major</b>    | <ul style="list-style-type: none"> <li>Financial loss greater than \$500k and less than \$1 million (operating budget).</li> <li>Financial loss greater than \$1 million and less than \$2 million (insurance reserves).</li> </ul> | <ul style="list-style-type: none"> <li>Long term damage to brand and degradation of public perception of the Authority, affecting whole of business.</li> <li>Significant state-wide negative publicity, i.e. from TV and newspapers for up to one week.</li> <li>Questions raised about the Authority in state parliament.</li> </ul>            | <ul style="list-style-type: none"> <li>Serious injury.</li> <li>Dangerous near miss.</li> <li>Inability of the Contractor to have available adequate resources (such as personnel to work, finance to provide the services)</li> <li>Dismissal of a Board member or EO</li> </ul> | <ul style="list-style-type: none"> <li>Loss of any service delivery or business operations for more than 5 days.</li> </ul>  | <ul style="list-style-type: none"> <li>Major legal, regulatory or internal policy failure.</li> <li>Regulatory fines.</li> <li>Multiple litigation cases against the Authority.</li> </ul> |

|                 | Financial                                                                                                                                                                                                                 | Stakeholders                                                                                                                                                                                                                                                                                                                                                                                                                | People                                                                                                                                                                                                                                                       | Product / Service delivery                                                                                      | Compliance / Legal                                                                                                                                                                                      |
|-----------------|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-----------------------------------------------------------------------------------------------------------------|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
|                 |                                                                                                                                                                                                                           | <ul style="list-style-type: none"> <li>High impact/long term issue requiring Board intervention.</li> </ul>                                                                                                                                                                                                                                                                                                                 |                                                                                                                                                                                                                                                              |                                                                                                                 |                                                                                                                                                                                                         |
| <b>Moderate</b> | <ul style="list-style-type: none"> <li>Financial loss greater than \$100k and less than \$500k (operating budget).</li> <li>Financial loss greater than \$500k and less than \$1 million (insurance reserves).</li> </ul> | <ul style="list-style-type: none"> <li>Moderate term damage to brand and degradation of public perception of the Authority, affecting key areas of the business.</li> <li>Minor state-wide negative publicity, although manageable through good public relations.</li> <li>the Authority under scrutiny from the Treasurer.</li> <li>High impact requiring Executive Officer intervention or Board notification.</li> </ul> | <ul style="list-style-type: none"> <li>Lost time due to workplace injury.</li> <li>Inability of EO services to attend the business for more than 2 weeks.</li> <li>Unexpected / unplanned resignation or dismissal of a key senior staff members.</li> </ul> | <ul style="list-style-type: none"> <li>Loss of any service delivery for greater than 3 days.</li> </ul>         | <ul style="list-style-type: none"> <li>Moderate legal, regulatory or internal policy failure.</li> <li>Regulatory investigation.</li> <li>Individual litigation taken against the Authority.</li> </ul> |
| <b>Minor</b>    | <ul style="list-style-type: none"> <li>Financial loss greater than \$10k and less than \$100k (operating budget).</li> <li>Financial loss greater than \$50k and less</li> </ul>                                          | <ul style="list-style-type: none"> <li>Short term damage to brand and degradation of public perception of the Authority, affecting key areas of the business.</li> <li>Incident requiring management intervention.</li> </ul>                                                                                                                                                                                               | <ul style="list-style-type: none"> <li>Minor workplace injury – no lost time.</li> <li>Inability of EO services to attend the business for more than 1 week.</li> </ul>                                                                                      | <ul style="list-style-type: none"> <li>Loss of any service delivery or business operations of 1 day.</li> </ul> | <ul style="list-style-type: none"> <li>Minor legal, regulatory or internal policy failure.</li> <li>Regulatory attention.</li> </ul>                                                                    |

|                                                              | Financial                                                                                                                                                          | Stakeholders                                                                                                                                                                                                       | People                                                                                                                                   | Product /<br>Service<br>delivery                                                                                       | Compliance /<br>Legal                                                                                         |
|--------------------------------------------------------------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|------------------------------------------------------------------------------------------------------------------------------------------|------------------------------------------------------------------------------------------------------------------------|---------------------------------------------------------------------------------------------------------------|
|                                                              | than \$250k<br>(insurance reserves).                                                                                                                               |                                                                                                                                                                                                                    |                                                                                                                                          |                                                                                                                        |                                                                                                               |
| <b>In<br/>si<br/>g<br/>ni<br/>fi<br/>c<br/>a<br/>n<br/>t</b> | <ul style="list-style-type: none"> <li>Financial loss less than \$10k (operating budget).</li> <li>Financial loss less than \$50k (insurance reserves).</li> </ul> | <ul style="list-style-type: none"> <li>Issue of limited impact.</li> <li>Minor brand damage and degradation of public perception of the Authority's values i.e. trust, affecting areas of the business.</li> </ul> | <ul style="list-style-type: none"> <li>Unplanned resignation or dismissal of a small number of staff members. (Nil Employees)</li> </ul> | <ul style="list-style-type: none"> <li>Loss of any service delivery or business operations less than 1 day.</li> </ul> | <ul style="list-style-type: none"> <li>Insignificant legal, regulatory or internal policy failure.</li> </ul> |

## Appendix D: Disposal Authorisation Proforma

# GRFMA

## Expired Records

### Disposal Report - Review and Authorisation

|                      |                                 |
|----------------------|---------------------------------|
| <b>Disposal Type</b> | <b>[Destruction / Transfer]</b> |
|----------------------|---------------------------------|

|                           |                                            |
|---------------------------|--------------------------------------------|
| <b>Disposal Authority</b> | <b>GDS 40v1</b>                            |
| <b>Disposal Freezes</b>   | GDS 32 Not Applicable<br>GDS 16 – Reviewed |

|                                         |                            |
|-----------------------------------------|----------------------------|
| <b>Date Authorisation Form Compiled</b> | [DD/MM/YYYY]               |
| <b>Records Date Range</b>               | [DD/MM/YYYY to DD/MM/YYYY] |
| <b>Latest Expiry Date</b>               | [DD Month YYYY]            |
| <b>Number of Listed Items</b>           | [# items]                  |
| <b>Sentenced by</b>                     | [Company, Name]            |
| <b>Sentencer Signature</b>              |                            |
| <b>Signed Date</b>                      |                            |

|                               |            |
|-------------------------------|------------|
| <b>Disposal Authorised by</b> | EO: [Name] |
| <b>Authorised Signature</b>   |            |
| <b>Authorisation Date</b>     |            |

|                                   |                      |
|-----------------------------------|----------------------|
| <b>Disposal Process</b>           | [Method - Certified] |
| <b>Disposal Authorisation No.</b> | [GRFMA-DA-YYYY]      |

| Box No. | Title / Description | Start Date | End Date | Disposal Class | Yrs | Action Date | Comments |
|---------|---------------------|------------|----------|----------------|-----|-------------|----------|
|         |                     |            |          |                |     |             |          |
|         |                     |            |          |                |     |             |          |
|         |                     |            |          |                |     |             |          |
|         |                     |            |          |                |     |             |          |

**Agenda Item:** 8.3  
**Committee:** GRFMA Board  
**Meeting Date:** 17 October 2024  
**Title:** Financial Report

---

**Recommendation:**

**That the GRFMA:**

1. **Receives the financial report as of 30 September 2024 showing a cash at bank balance of \$247,408.91.**
  2. **Notes internal cash lending for CAD offset is \$206,547.56.**
- 

**Financial Report 30/09/2024**

See attachments for the monthly reconciliations:

- ✧ Reconciliation to 30/9/2024
- ✧ Budget result to 30/9/2024
- ✧ Balance Sheet 30/9/2024

**Cash Management**

The table below provides a summary of internal borrowing currently being utilised to offset Cash Advance Debenture interest costs. Net internal lending \$206,547.56.

| GRFMA and AND INTERNAL LENDING FROM 1 July 2024 |                  |                  |                        |                    |                 |         |            |
|-------------------------------------------------|------------------|------------------|------------------------|--------------------|-----------------|---------|------------|
| Date                                            | Dam capital Resv | Internal lending | Withdraw internal lend | Capital Repayments | Interests pymts | Balance |            |
| 30/06/2024                                      |                  | \$ 42,262.00     |                        |                    |                 | \$      | 451,589.00 |
| 30/06/2024                                      | \$ 55,939.00     |                  |                        |                    |                 |         |            |
| 30/06/2024                                      |                  |                  |                        |                    |                 | \$      | 353,388.00 |
| 8/07/2024                                       |                  | \$ 200,000.00    |                        |                    |                 | \$      | 153,388.00 |
| 30/07/2024                                      |                  |                  |                        |                    | \$ 5,714.44     | \$      | 159,102.44 |
| actually \$451,589                              |                  |                  |                        |                    |                 |         |            |
| 030/08/2024                                     |                  |                  | \$ 30,000.00           |                    |                 | \$      | 189,102.44 |
| 30/09/2024                                      |                  |                  | \$ 20,000.00           |                    |                 | \$      | 209,102.44 |
|                                                 |                  |                  |                        |                    |                 |         |            |
| Current Balance                                 |                  |                  |                        | \$ 189,102.44      |                 |         |            |
| Internal lending                                |                  | \$ 212,262.00    | Net of two             |                    |                 |         |            |
| Less interest                                   |                  | \$ 5,714.44      |                        | \$ 206,547.56      |                 |         |            |
| Dam Capital Reserve                             | \$ 55,939.00     |                  |                        | \$ 55,939.00       |                 |         |            |
|                                                 |                  |                  |                        |                    |                 |         |            |
| Actual CAD liability                            |                  |                  |                        | \$ 451,589.00      |                 |         |            |

**Balance Sheet**

As of September 2024

ABN: 12 925 534 861

|                                           |                  |                 |
|-------------------------------------------|------------------|-----------------|
|                                           |                  |                 |
| <b>Assets</b>                             |                  |                 |
| Current Assets                            |                  |                 |
| Bank Accounts                             |                  |                 |
| Bank SA Account                           | \$245,773.51     |                 |
| LGFA Investment Account                   | \$1,635.40       |                 |
| Total Bank Accounts                       |                  | \$247,408.91    |
| Other Current Assets                      |                  |                 |
| Trade Debtors                             | \$36,018.00      |                 |
| Total Other Current Assets                |                  | \$36,018.00     |
| Total Current Assets                      |                  | \$283,426.91    |
| Non-Current Assets                        |                  |                 |
| Infrastructure                            | \$52,883,174.00  |                 |
| Accum. Depr. Infrastructure               | -\$11,237,674.60 |                 |
| Land                                      | \$477,000.00     |                 |
| Access Roads                              | \$84,000.00      |                 |
| Accumulated Dep Access Rd                 | -\$33,600.00     |                 |
| Repairs / Renewals                        | \$591,879.00     |                 |
| Accumulated Depreciation Repairs/Renewals | -\$157,835.00    |                 |
| Total Non-Current Assets                  |                  | \$42,606,943.40 |
| Total Assets                              |                  | \$42,890,370.31 |
| <b>Liabilities</b>                        |                  |                 |
| Current Liabilities                       |                  |                 |
| GST Liabilities                           |                  |                 |
| GST Collected                             | \$37,198.86      |                 |
| GST Paid                                  | -\$3,886.50      |                 |
| Total GST Liabilities                     |                  | \$33,312.36     |
| Other Current Liabilities                 |                  |                 |
| Accrued Expense                           | \$31,965.46      |                 |
| Cash Advance Debenture                    | \$209,102.36     |                 |
| Total Other Current Liabilities           |                  | \$241,067.82    |
| Total Current Liabilities                 |                  | \$274,380.18    |
| Total Liabilities                         |                  | \$274,380.18    |
| Net Assets                                |                  | \$42,615,990.13 |
| <b>Equity</b>                             |                  |                 |
| Accumulated Surplus                       |                  | \$15,974,461.00 |
| Asset Revaluation Reserves                |                  | \$30,364,320.11 |
| Retained Earnings                         |                  | -\$4,035,117.07 |
| Current Year Surplus/Deficit              |                  | \$312,326.09    |
| Total Equity                              |                  | \$42,615,990.13 |

This report includes Year-End Adjustments.

**Reconciliation Report**

| ID No. | Date Memo/Payee | Deposit | Withdrawal |
|--------|-----------------|---------|------------|
|--------|-----------------|---------|------------|

**Account:** 1-1110 Bank SA Account  
**Date Of Bank Statement:** 30/09/2024  
**Last Reconciled:** 31/08/2024  
**Last Reconciled Balance:** \$24,817.15

**Cleared Cheques**

|          |            |                                            |        |                    |
|----------|------------|--------------------------------------------|--------|--------------------|
| EFT      | 2/09/2024  | HARC                                       |        | \$18,016.13        |
| EFT      | 2/09/2024  | Leishman Associates                        |        | \$1,200.00         |
| EFT      | 2/09/2024  | Business Risk Assurance Strategy Solutions |        | \$650.00           |
| EFT      | 2/09/2024  | CETPAR Pty Ltd                             |        | \$2,382.60         |
| EFT      | 2/09/2024  | Light Regional Council                     |        | \$8.69             |
| EFT      | 2/09/2024  | LUVROK Pty Ltd                             |        | \$7,094.12         |
| EFT      | 2/09/2024  | Revenue SA                                 |        | \$126.20           |
| SC300924 | 30/09/2024 | Safe deposit fee                           |        | \$5.00             |
| GJ000188 | 30/09/2024 | MYOB subs Sept                             |        | \$68.00            |
|          |            |                                            | Total: | \$0.00 \$29,550.74 |

**Cleared Deposits**

|          |            |                                              |             |                     |
|----------|------------|----------------------------------------------|-------------|---------------------|
| GJ000189 | 2/09/2024  | Redraw internal lend from CAD                | \$20,000.00 |                     |
| CR000204 | 3/09/2024  | Payment; Adelaide Hills Council              | \$26,753.10 |                     |
| CR000203 | 11/09/2024 | Payment; The Barossa Council                 | \$32,079.85 |                     |
| CR000202 | 26/09/2024 | Payment; Town of Gawler                      | \$38,734.30 |                     |
| CR000199 | 27/09/2024 | Payment; City of Playford                    | \$52,053.10 |                     |
| CR000200 | 27/09/2024 | Payment; Adelaide Plains Council             | \$47,606.90 |                     |
| CR000201 | 27/09/2024 | Payment; Light Regional Council              | \$32,079.85 |                     |
| GJ000190 | 30/09/2024 | Adjustment failed transaction . To be repaid | \$1,200.00  |                     |
|          |            |                                              | Total:      | \$250,507.10 \$0.00 |

**Reconciliation:**

|                                     |  |              |
|-------------------------------------|--|--------------|
| AccountRight Balance On 30/09/2024: |  | \$245,773.51 |
| Add: Outstanding Cheques:           |  | \$0.00       |
| SubTotal:                           |  | \$245,773.51 |
| Deduct: Outstanding Deposits:       |  | \$0.00       |
| Expected Balance On Statement:      |  | \$245,773.51 |

# Transaction History Report

| Please advise any error or unauthorised transaction promptly to the bank |                                                                    | Account name<br>Account number<br>BSB<br>Currency<br>Opening balance<br>Transaction period from | GAWLER RIVER FLOODPLAIN MANAGEMENT<br>010 0101 248 140<br>105-010<br>AUD<br>24,817.15CR<br><br>01/09/2024 to 30/09/2024 |            |              |
|--------------------------------------------------------------------------|--------------------------------------------------------------------|-------------------------------------------------------------------------------------------------|-------------------------------------------------------------------------------------------------------------------------|------------|--------------|
| Date                                                                     | Description                                                        | Serial number                                                                                   | Debit                                                                                                                   | Credit     | Balance      |
| 02/09/2024                                                               | OSKO DEPOSIT 02SEP14:11<br>30021 LOCAL GOVERNMENT FINANCE AUTHORIT |                                                                                                 |                                                                                                                         | 20,000.00  | 44,817.15CR  |
| 03/09/2024                                                               | Bank<br>AdelHillsCouncil                                           |                                                                                                 |                                                                                                                         | 26,753.10  | 71,570.25CR  |
| 05/09/2024                                                               | GRFMA<br>ANCOLD inv 24271,2                                        |                                                                                                 |                                                                                                                         | 1,200.00   | 72,770.25CR  |
| 05/09/2024                                                               | TFR WDL BPAY INTERNET 05SEP10:10<br>9992090 LIGHT REGIONAL         |                                                                                                 | 8.69                                                                                                                    |            | 72,761.56CR  |
| 05/09/2024                                                               | TFR WDL BPAY INTERNET 05SEP10:10<br>5068866911 REVSA - ESL         |                                                                                                 | 126.20                                                                                                                  |            | 72,635.36CR  |
| 05/09/2024                                                               | INTERNET WITHDRAWAL 05SEP10:10<br>GRFMA AuditRisk Aug24            |                                                                                                 | 650.00                                                                                                                  |            | 71,985.36CR  |
| 05/09/2024                                                               | INTERNET WITHDRAWAL 05SEP10:10<br>ANCOLD inv 24271,24272           |                                                                                                 | 1,200.00                                                                                                                |            | 70,785.36CR  |
| 05/09/2024                                                               | INTERNET WITHDRAWAL 05SEP10:10<br>GRFMA Chair Aug24                |                                                                                                 | 2,382.60                                                                                                                |            | 68,402.76CR  |
| 05/09/2024                                                               | INTERNET WITHDRAWAL 05SEP10:10<br>GRFMA EO Aug 24                  |                                                                                                 | 7,094.12                                                                                                                |            | 61,308.64CR  |
| 05/09/2024                                                               | INTERNET WITHDRAWAL 05SEP10:10<br>Hydrology inv 6.1                |                                                                                                 | 18,016.13                                                                                                               |            | 43,292.51CR  |
| 11/09/2024                                                               | The Barossa Coun<br>100555                                         |                                                                                                 |                                                                                                                         | 32,079.85  | 75,372.36CR  |
| 20/09/2024                                                               | SAFE DEPOSIT FEE (INC GST)                                         |                                                                                                 | 5.00                                                                                                                    |            | 75,367.36CR  |
| 23/09/2024                                                               | MYOB Australia<br>MYOB 1-90907930676                               |                                                                                                 | 68.00                                                                                                                   |            | 75,299.36CR  |
| 25/09/2024                                                               | Town of Gawler<br>TOWN OF GAWLER                                   |                                                                                                 |                                                                                                                         | 38,734.30  | 114,033.66CR |
| 26/09/2024                                                               | LIGHT REGIONAL C<br>2407                                           |                                                                                                 |                                                                                                                         | 32,079.85  | 146,113.51CR |
| 27/09/2024                                                               | Adelaide Plains<br>Adelaide Plains Co                              |                                                                                                 |                                                                                                                         | 47,606.90  | 193,720.41CR |
| 27/09/2024                                                               | City of Playford<br>CITY OF PLAYFORD                               |                                                                                                 |                                                                                                                         | 52,053.10  | 245,773.51CR |
|                                                                          | TOTAL                                                              |                                                                                                 | 29,550.74                                                                                                               | 250,507.10 | 245,773.51CR |

## Local Government Finance Authority of SA

Consolidated Loans and Investments as at close of business 30/09/2024

### Debenture Loans

| Counterparty | Deal | Deb. No. | Orig. Principal | Rate | Instalment Date | Instalment | Principal | Interest | Current Principal |
|--------------|------|----------|-----------------|------|-----------------|------------|-----------|----------|-------------------|
|--------------|------|----------|-----------------|------|-----------------|------------|-----------|----------|-------------------|

### Cash Advance Debentures

| Counterparty                           | Deal  | Instrument                | Maturity Date | Facility End Date | Rate  | Current Principal    | Limit               | Available Balance   |
|----------------------------------------|-------|---------------------------|---------------|-------------------|-------|----------------------|---------------------|---------------------|
| Gawler River General CA 1 Cash Advance | 60459 | Council Loan-CAD Variable | 01/10/2024    | 15/12/2031        | 6.15% | -\$209,102.36        | \$700,000.00        | \$490,897.64        |
| <b>Totals</b>                          |       |                           |               |                   |       | <b>-\$209,102.36</b> | <b>\$700,000.00</b> | <b>\$490,897.64</b> |

### Council Deposits

| Counterparty         | Deal  | Instrument               | Maturity Date | Rate  | Balance           |
|----------------------|-------|--------------------------|---------------|-------|-------------------|
| Gawler River General | 62666 | Council Dep - 24HR Mthly | 01/10/2024    | 4.65% | \$1,635.40        |
| <b>Totals</b>        |       |                          |               |       | <b>\$1,635.40</b> |

### Summary as at close of business 30/09/2024

| Entity                                      | Amount               |
|---------------------------------------------|----------------------|
| Cash Advance Debentures                     | -\$209,102.36        |
| CAD Limit Available                         | \$490,897.64         |
| Council Deposits                            | \$1,635.40           |
| <b>Net Position</b>                         | <b>-\$207,466.96</b> |
| Weighted Average Interest Rate % (Deposits) | 4.65%                |
| Weighted Average Interest Rate % (Loans)    | 6.15%                |

## Transaction Statement from 01/09/2024 to 30/09/2024 inclusive

### Council Deposits

| Deal                                                         | Action Date | Transaction         | Interest Rate | Amount        | Balance    |
|--------------------------------------------------------------|-------------|---------------------|---------------|---------------|------------|
| <b>Gawler River General</b>                                  |             |                     |               |               |            |
| Council Dep - 24HR Mthly - 62666                             |             |                     |               |               |            |
|                                                              | 01/09/2024  | Opening Balance     | 4.65%         |               | \$1,628.93 |
| 62666                                                        | 02/09/2024  | Capitalise Interest | 4.65%         | \$6.47        | \$1,635.40 |
|                                                              | 30/09/2024  | Closing Balance     | 4.65%         |               | \$1,635.40 |
| <b>Accrued Interest for Selected Period</b>                  |             |                     |               | <b>\$6.30</b> |            |
| <b>Unpaid Accrued Interest for Interest Period</b>           |             |                     |               | <b>\$6.30</b> |            |
| <b>Gawler River General Total for Selected Period</b>        |             |                     |               | <b>\$6.30</b> |            |
| <b>Gawler River General Total Unpaid for Interest Period</b> |             |                     |               | <b>\$6.30</b> |            |

### Summary

| Council                    | Accrued Interest | Unpaid Accrued Interest |
|----------------------------|------------------|-------------------------|
| Gawler River General Total | \$6.30           | \$6.30                  |
| <b>Grand Total</b>         | <b>\$6.30</b>    | <b>\$6.30</b>           |

Reconciliation Report

| ID No.                              | Date Memo/Payee |                         | Deposit    | Withdrawal |
|-------------------------------------|-----------------|-------------------------|------------|------------|
|                                     |                 |                         |            |            |
| Account:                            | 1-1130          | LGFA Investment Account |            |            |
| Date Of Bank Statement:             | 30/09/2024      |                         |            |            |
| Last Reconciled:                    | 31/08/2024      |                         |            |            |
| Last Reconciled Balance:            | \$1,628.93      |                         |            |            |
|                                     |                 |                         |            |            |
| Cleared Deposits                    |                 |                         |            |            |
| IE300924                            | 30/09/2024      | Interest LGFA           | \$6.47     |            |
| Total:                              |                 |                         | \$6.47     | \$0.00     |
| Reconciliation:                     |                 |                         |            |            |
| AccountRight Balance On 30/09/2024: |                 |                         | \$1,635.40 |            |
| Add: Outstanding Cheques:           |                 |                         | \$0.00     |            |
| SubTotal:                           |                 |                         | \$1,635.40 |            |
| Deduct: Outstanding Deposits:       |                 |                         | \$0.00     |            |
| Expected Balance On Statement:      |                 |                         | \$1,635.40 |            |

**Profit & Loss [Budget Analysis]**

July 2024 To June 2025

ABN: 12 925 534 861

|                                     | Selected Period | Budgeted    | \$ Difference |
|-------------------------------------|-----------------|-------------|---------------|
| <b>Income</b>                       |                 |             |               |
| Admin of GRFMA                      |                 |             |               |
| Member Subscriptions                | \$138,686       | \$277,373   | -\$138,687    |
| Interest LGFA                       | \$13            | \$824       | -\$811        |
| Total Admin of GRFMA                | \$138,699       | \$278,197   | -\$139,498    |
| Operations Flood Mit Scheme         |                 |             |               |
| Council Subscriptions               | \$69,775        | \$139,550   | -\$69,775     |
| State Grant                         | \$146,000       | \$146,000   | \$0           |
| Total Operations Flood Mit Scheme   | \$215,775       | \$285,550   | -\$69,775     |
| Total Income                        | \$354,474       | \$563,747   | -\$209,273    |
| Gross Profit                        | \$354,474       | \$563,747   | -\$209,273    |
| <b>Expenses</b>                     |                 |             |               |
| Admin of GRFMA                      |                 |             |               |
| Executive Officer Contract          | \$17,095        | \$58,800    | -\$41,705     |
| Adv, printing, stationery post      | \$0             | \$1,300     | -\$1,300      |
| Travelling Expenses                 | \$1,091         | \$4,200     | -\$3,109      |
| Insurance PL & PI                   | \$5,162         | \$9,600     | -\$4,438      |
| Audit Committee                     | \$650           | \$2,600     | -\$1,950      |
| Audit Fees                          | \$0             | \$6,175     | -\$6,175      |
| Bank Fees                           | \$14            | \$120       | -\$106        |
| Honorary - Chairperson              | \$5,215         | \$14,400    | -\$9,185      |
| Other                               | \$4,844         | \$10,800    | -\$5,956      |
| Total Admin of GRFMA                | \$34,071        | \$107,995   | -\$73,924     |
| GRFM Business Case                  |                 |             |               |
| Consultancies                       | \$11,198        | \$20,000    | -\$8,802      |
| Business Case                       | \$16,378        | \$290,000   | -\$273,622    |
| Total GRFM Business Case            | \$27,577        | \$310,000   | -\$282,424    |
| Maint Flood Mitigation Scheme       |                 |             |               |
| BENPFM Dam repairs                  | \$410           | \$69,550    | -\$69,140     |
| Rates & Levies                      | \$135           | \$200       | -\$65         |
| Total Maint Flood Mitigation Scheme | \$544           | \$69,750    | -\$69,206     |
| Depreciation                        |                 |             |               |
| Depreciation                        | \$0             | \$706,098   | -\$706,098    |
| Total Expenses                      | \$62,192        | \$1,193,843 | -\$1,131,651  |
| Operating Profit                    | \$292,282       | -\$630,096  | \$922,378     |
| Total Other Income                  | \$0             | \$0         | \$0           |
| Other Expenses                      |                 |             |               |
| Interest Expense                    | \$0             | \$70,000    | -\$70,000     |
| Total Other Expenses                | \$0             | \$70,000    | -\$70,000     |
| Net Profit/(Loss)                   | \$292,282       | -\$700,096  | \$992,378     |

|                      |                                 |
|----------------------|---------------------------------|
| <b>Agenda Item:</b>  | <b>8.4</b>                      |
| <b>Committee:</b>    | <b>GRFMA Board</b>              |
| <b>Meeting Date:</b> | <b>17 October 2024</b>          |
| <b>Title:</b>        | <b>Executive Officer Report</b> |

---

**Recommendation:**

**That the GRFMA:**

- 1. Receives the report.**
  - 2. Requests the GRFMA Executive Officer to facilitate documented agreement between the Town of Gawler and the GRFMA that facilitates hosting of GRFMA webpage content by the Town of Gawler.**
- 

On 28/06/2023 the GRFMA engaged LUVROK Pty Ltd to undertake GRFMA Executive Officer services, in accordance with the agreed contract for service, for the term 1 July 2023 to 31 December 2025.

Mr David Hitchcock is identified as the key person providing the services pursuant to agreed terms. The contract provides:

**Services** means the services described in Item 10 of Schedule 1 or such other services as may be agreed in writing by the Principal and the Contractor from time to time.

**Item 10 Schedule 1** In accordance with the requirements of GRFMA EO Key Performance Indicators 1 July 2023. The Contractor will report to the Board of the Principal and provide a written report at every Board meeting.

A work management program has been established, to identify and measure actions and resources required to deliver the services required.

The work management program reports on Annual Business Plan achievements and GRFMA Strategic Plan priorities year 1 and year 2 which is a work in progress.

Schedule of meetings attended by EO for July/September 2024:

| <b>Entity</b>                  | <b>GRFMA Executive Officer</b> |
|--------------------------------|--------------------------------|
| SMP project management meeting | 2                              |
| Business Case                  | 3                              |
| GRFMA management/operations    | 2                              |
| GRFMA meetings                 |                                |
| Meeting Councils               | 3                              |

Schedule of meetings attended by GRFMA Chairperson for July/ September 2024:

| <b>Entity</b>    | <b>GRFMA Chairperson</b> |
|------------------|--------------------------|
| GRFMA Meetings   | 2                        |
| Business Case    | 2                        |
| SMP              |                          |
| Meeting councils | 4                        |

## Stormwater Management Plan (SMP) – Gawler River

GRFMA resolution 50/24:

*That the GRFMA:*

- 1. Notes the Executive Officer report.*
- 2. Receives the late report 8.5 Gawler River Stormwater Management Plan (SMP).*

*Records expectation that Water Technology will deliver the draft SMP document, at 80% completion, by Friday 23 August 2024.*

The draft SMP document was delivered by Water Technology on 23 August 2024.

The GRFMA Executive Officer and Mr Shaun Fielding, City of Playford, subsequently worked with Water Technology to further refine the document in preparation of discussion with Ms Belinda Skilton, General Manager, SA Stormwater Management Authority.

Following the discussion with Ms Skilton it was agreed the next steps toward completion and approval of the final document will include.

- Provision of the draft SMP document to staff representatives of SMA, Green Adelaide (GA) and Northern and York Landscape Board (N&YLB) for review and assessment that the document now includes information previously requested.
- Following any amendment from relevant comments, a meeting of the SMP Working Group, consisting of GRFMA, SMA, GA, N&YLB, to be held to obtain agreement to commence public consultation.
- Consultation will be directed to communities along the Gawler River precincts of Gawler, Light, Playford and Adelaide Plains Councils. Constituent Councils will be provided a copy of this document for information and any comment. Note GRFMA is the principal proponent of the SMP.
- Following public consultation the SMP document, as amended, will be provided to the GRFMA for endorsement with subsequent provision to GA and N&YLB seeking approval of the plan.
- Once the above approvals have been confirmed the document will then be provided to the SMA Board seeking final approval.

## Revegetation North Para Kingsford

### *GRFMA Executive Officer work requirement - actively pursue grant funding*

Successful application has been made to the Grassroots Grants 2024 funding program administered by the Northern and Yorke Landscape Board.

The Grassroots Grants program supports individuals, volunteers, community groups, schools, and other entities by funding local projects that enhance and sustain the region's natural environments

Northern and Yorke Landscape Board funding of \$29,332 (inc GST) is to be received over a three-year period to 2027.

The GRFMA contribution is to be \$12,000 over the same period. This is equivalent to the current annual revegetation budget allocation of \$4,000.

The total program is \$41,332.

### Project description

The GRFMA owns and manages the Bruce Eastick North Para Flood Mitigation Dam. The land associated with the Dam is approximately 23 HA in area. Previously agricultural land it is now open unstocked pasture. The area associated with the North Para water flow has remnant large gums.

The Authority has an aim of revegetating the land area back to native revegetation and to restore the natural river and surrounds. There are sections of permanent water. The land is strategically located amongst other open agricultural enterprises and eventual complete revegetation will afford a regional biodiversity keystone for the area. Some revegetation work has been undertaken previously with limited success. Experience has shown after planting care and watering is required to establish viable plants.

This project seeks to implement a three-year rolling program to complement recent works undertaken with a successful Bite Size grant program.

The area identified for the program has been selected to ensure that it will not be impacted by any future works should the current Dam be increased in height or otherwise upgraded.

The program proposes to plant approximately 1000 plants each year on a selected area of land

The Authority does not have any employees The GRFMA Executive Officer (also a contractor) will be engaged in the planting program and ongoing management.

With a longer-term view, when the land area is eventually restored via ongoing programs there will be good options and opportunities for community involvement and promotion in the areas of water quality and biodiversity management.

| <b>Project Activities</b>                                                     | <b>Start Date</b> | <b>End Date</b> |
|-------------------------------------------------------------------------------|-------------------|-----------------|
| Weed control - Selective weed control throughout the identified planting area | 01/03/2025        | 30/06/2027      |
| Collection, Planting, and watering of tube stock                              | 31/05/2025        | 30/06/2025      |
| Watering and Reveg management of tube stock                                   | 01/07/2025        | 30/06/2027      |
| Collection, Planting, and watering of tube stock                              | 31/05/2026        | 30/06/2026      |
| Collection, Planting, and watering of tube stock                              | 31/05/2027        | 30/06/2027      |

### Cyber Protection Insurance

The GRFMA Audit and Risk Committee has recently requested that provision of cyber protection insurance be investigated.

Application for relevant insurance was made to Local Government Risk Services (LGRS), JLT Risk Solutions. LGRS have requested further information regarding, how the GRFMA website is managed and by whom: and ownership of the computer/s utilised by GRFMA.

The GRFMA website is hosted by Town of Gawler however there does not appear to be any record of formal documentation regarding the agreement.

The Town of Gawler advises internet security is managed by a platform called Squiz.

Squiz employs a range of measures across different layers of the Squiz Cloud network and infrastructure to ensure client website and its data are protected by several types of defence without reliance on any single mechanism.

The GRFMA Executive Officer has responded to LGRS with the required information and is now awaiting a return response.

Notwithstanding the above queries by LGRS, it is recommended that necessary actions be undertaken to facilitate formal agreement to provide hosting of GRFMA webpage content by the Town of Gawler.

#### Greater Adelaide Regional Plan (GARP)

Following request by the Gawler River Flood Mitigation Business Case Funding Advocacy Working Group, GRFMA Chairman, Mr Lino Di Lernia sought out of session approval from GRFMA Board members of a proposal to engage planning consultant, URPS, to assist the GRFMA make a submission to the State Government on the then soon-to-be-released Greater Adelaide Regional Plan (GARP).

Cost of the URPS work to facilitate the submission is \$7,660 ex GST.

The proposal is to submit a submission to the draft GARP with objective to highlight how improved Gawler River Flood Management mitigation works will assist the State and Commonwealth achieve a range of benefits including:

- Increase the supply of land available for affordable housing across northern Adelaide.
- Provide greater protection to horticulture activities.
- Aid in delivering a range of State Government strategic directions.

By email of 11 September 2024, Mr Di Lernia advised the GRFMA Executive Officer that out of session Board approval had been obtained. Eight affirmative responses received.

URPS have now been engaged to facilitate the submission. Refer to confidential report 10.1 for further information on the structure of the proposed submission.

## GRFMA work requirements

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### EO Service requirements

| Name                                                                                                              | Status          | Date       |
|-------------------------------------------------------------------------------------------------------------------|-----------------|------------|
| Maintain the business office of the Authority                                                                     | Done            | 2024-08-06 |
| Prepare Agendas & Minutes Attend meetings                                                                         | Done            | 2024-06-07 |
| Attend the minute actions as required                                                                             | Done            | 2024-06-21 |
| Management of the GRFMA strategic management documents                                                            | In progress     | 2024-08-06 |
| Subitems                                                                                                          | Status          | Date       |
|                                                                                                                   | Working on it   |            |
|                                                                                                                   | Working on it   |            |
|                                                                                                                   | Working on it   |            |
| Prepare the Draft Annual Report.                                                                                  | Done            | 2024-06-28 |
| Prepare the Draft Annual Business Plan, Budgets and reports                                                       | Done            | 2024-06-28 |
| liaise with constituent councils, Green Adelaide, Northern Yorke Landscape Board, Stormwater Management Authority | Done            | 2024-10-07 |
| Engage with relevant federal and state ministers/MPs & CEOs                                                       | In progress     | 2024-10-03 |
| Actively pursue grant funding                                                                                     | Done            | 2024-05-31 |
| Proactively promote the works and activities of the Authority.                                                    | To be scheduled |            |
| Report annually on progress with implementation of the SMP .                                                      | In progress     | 2024-08-06 |
| Develop and implement a schedule of flood mitigation infrastructure works for the SMP                             | In progress     | 2024-08-06 |
| 2024-05-31 to 2024-10-07                                                                                          |                 |            |

### Meeting agenda process

| Name                                                           | Status | Date       |
|----------------------------------------------------------------|--------|------------|
| Draft Agenda reports                                           | Done   | 2024-06-13 |
| Forward drafts to Admin to format and compile                  | Done   | 2024-06-13 |
| Send Agenda to Board, Councils Town of Gawler webpage          | Done   | 2024-06-14 |
| Draft minutes , KOS send to Admin to format                    | Done   | 2024-06-21 |
| Send minutes and KS to Board, Councils, Town of Gawler webpage | Done   | 2024-06-21 |
| Action minute resolutions and directions                       | Done   | 2024-06-21 |
| 2024-06-13 to 2024-06-21                                       |        |            |

### Strategic Plan Priority Actions

| Name                                                                                                                                                                                                                                             | Status      | Date       |
|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-------------|------------|
| Work to facilitate delivery of the objectives of the Gawler River Stormwater Management Plan                                                                                                                                                     | In progress |            |
| Review, with Constituent Councils and stakeholders, design standards for infrastructure works including costs and benefits                                                                                                                       | In progress |            |
| In conjunction with the Constituent Councils, develop and implement a schedule of flood mitigation infrastructure works for the Gawler River referencing the Gawler River Stormwater Management Plan                                             | In progress |            |
| Working with the Constituent Councils, develop a framework to clearly articulate the respective roles and responsibilities of the Authority and the Councils and suitable partnering arrangements to maintain a low-cost base for the Authority. | Done        | 2024-10-07 |
| Continue to advocate for improved governance and funding arrangements for flood avoidance, resilience, and mitigation in South Australia                                                                                                         | In progress |            |
| Assist the Constituent Councils in communicating with general communities and specific interest groups in relation to flood mitigation for the Gawler River                                                                                      | In progress |            |
| 2024-10-07                                                                                                                                                                                                                                       |             |            |

### GRFMA Projects

| Name                                                   | Status      | Date       |
|--------------------------------------------------------|-------------|------------|
| Deliver Stormwater Management Plan                     | In progress | 2024-07-01 |
| Engage with DEW with Business Case completion          | In progress | 2024-07-01 |
| Market Test and appointment GRFMA Chairperson position | Done        | 2024-05-01 |
| Transition EO services to corporate status             | Done        | 2023-06-30 |
| Deliver quarterly GFMA Audit Committee meetings        | Done        | 2024-07-31 |
| Subitems                                               | Status      | Date       |
|                                                        | Done        | 2022-08-09 |
|                                                        | Done        | 2023-12-12 |
|                                                        | Done        | 2023-03-09 |

Prepare and finalise 23/24 Financial Statements

|                          |            |
|--------------------------|------------|
| Done                     | 2023-06-06 |
| Done                     | 2024-08-08 |
| 2023-06-30 to 2024-08-08 |            |

## Maintenance and Operations

| Name                                                                                        | Status        | Date                     |
|---------------------------------------------------------------------------------------------|---------------|--------------------------|
| Delivery of scheduled maintenance at Dam as per Maintenance Cost Analysis 2023-2032.        | Done          | 2024-04-30               |
| Subitems                                                                                    | Status        | Date                     |
|                                                                                             | Working on it | 2023-08-02               |
|                                                                                             |               | 2023-08-03               |
|                                                                                             |               | 2023-08-03               |
|                                                                                             |               | 2023-08-03               |
|                                                                                             |               | 2023-08-03               |
|                                                                                             |               | 2023-08-03               |
|                                                                                             | Working on it | 2023-09-06               |
|                                                                                             | Working on it | 2023-09-06               |
|                                                                                             | Done          | 2023-07-01               |
| Scheduled inspections and environmental management of land associated with the Dam location | In progress   | 2024-04-01               |
| Revaluation of the Bruce Eastick North Para Flood Mitigation Dam ( 5 year program           | Done          | 2024-02-01               |
| Continuation of the revegetation program                                                    | Done          | 2024-06-01               |
| Implementation of an Information Management Framework for a digital environment             | Done          | 2024-06-26               |
|                                                                                             |               | 2024-02-01 to 2024-06-26 |

|                      |                                                                       |
|----------------------|-----------------------------------------------------------------------|
| <b>Agenda Item:</b>  | <b>10.1</b>                                                           |
| <b>Committee:</b>    | <b>Board</b>                                                          |
| <b>Meeting Date:</b> | <b>17 October 2024</b>                                                |
| <b>Title:</b>        | <b>Gawler River Flood Mitigation Business Case – Funding Strategy</b> |

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**Recommendation:**

**That:**

1. Pursuant to Section 90(2) of the Local Government Act 1999, an Order is made that the public be excluded from attendance at the meeting.

In order to consider in confidence agenda item 10.1 Gawler River Flood Management Business Case – Funding Strategy, pursuant to Section 90(3)(b)(i)(II) of the Local Government Act 1999 on the basis of information the disclosure of which could reasonably be expected to confer a commercial advantage on a person with whom the council is conducting, or proposing to conduct, business, or to prejudice the commercial position of the GRFMA.

2. This matter is confidential because the information herein provides information regarding consideration of flood mitigation infrastructure and funding of considered works.
3. On the basis of this information, the principle that meetings of the GRFMA should be conducted in a place open to the public has been outweighed in this instance: the Committee consider it necessary to consider this matter in confidence.

**Recommendation:**

1. Pursuant to Section 90(2) and Section 91(7) of the Local Government Act 1999, the GRFMA orders that the following aspects of item 10.1 Gawler River Flood Management Business Case - Funding Strategy be kept confidential in accordance with the GRFMA Board's reasons to deal with this item in confidence pursuant to Section 90(3)(b) (i) (II) of the Local Government Act 1999:
    - Minutes for Item 10.1.
    - Report for Item 10.1.
  2. This order shall operate until reviewed and determined as part of the annual review by the Authority in accordance with Section 91(9)(a) of the Local Government Act 1999.
- 

In December 2023, the GRFMA Board established a Funding Advocacy Group to progress the issues identified arising from the Infrastructure SA's review of the Business Case. Please refer to the confidential agenda item for further information.

|                      |                                                     |
|----------------------|-----------------------------------------------------|
| <b>Agenda Item:</b>  | <b>10.2</b>                                         |
| <b>Committee:</b>    | <b>Board</b>                                        |
| <b>Meeting Date:</b> | <b>17 October 2024</b>                              |
| <b>Title:</b>        | <b>Review of the Register of Confidential Items</b> |

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**Recommendation:**

**That:**

1. Pursuant to Section 90(2) of the Local Government Act 1999, the meeting orders that the public be excluded from attendance at this part of the meeting relating to Item 10.2 Review of the Register of Confidential Items, excepting the following persons:

- Executive Officer; and
- Observers

to enable the meeting to consider in confidence agenda Item 10.2 on the basis that the meeting considers it necessary and appropriate to act in a meeting closed to the public (excepting the persons listed above) pursuant to Sections 90(3)(a)(b)(d)(e)(i)(k) of the Local Government Act 1999 in order to receive, discuss or consider in confidence the information or matter relating to Item 10.2:

- (a) information the disclosure of which would involve the unreasonable disclosure of information concerning the personal affairs of any person (living or dead)
- (b) information the disclosure of which — (i) could reasonably be expected to confer a commercial advantage on a person with whom the council is conducting, or proposing to conduct, business, or to prejudice the commercial position of the council; and (ii) would, on balance, be contrary to the public interest
- (d) commercial information of a confidential nature (not being a trade secret) the disclosure of which — (i) could reasonably be expected to prejudice the commercial position of the person who supplied the information, or to confer a commercial advantage on a third party; and (ii) would, on balance, be contrary to the public interest Ordinary Council Meeting Agenda 28 September 2021
- (e) matters affecting the security of the council, members or employees of the council, or council property; or the safety of any person
- (i) information relating to actual litigation, or litigation that the council or council committee believes on reasonable grounds will take place, involving the council or an employee of the council
- (k) tenders for the supply of goods, the provision of services or the carrying out of works

2. Accordingly, on this basis, the principle that meetings of the GRFMA Board should be conducted in a place open to the public has been outweighed by the need to keep the information or matter confidential.
- 

The Local Government Act 1999 (the Act) specifies circumstances in which the GRFMA can order the public to be excluded from a meeting so it can receive, discuss or consider matters in confidence. Minutes, reports and documents from items considered in confidence can also be ordered to remain confidential under section 91(7) of the Act.

The GRFMA maintains a register that details items that are currently held under confidentiality orders and the conditions under which they are kept. Section 91(9)(a) of the Act requires confidentiality orders operating for a period exceeding 12 months to be reviewed at least once in every year. The last review was considered at the Ordinary Meeting of the GRFMA Board held on 19 October 2023.

A review of the Register of Confidential Items has been undertaken.