

INTERNAL AUDIT REPORT: RECORD KEEPING

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CITY OF
ADELAIDE

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1. EXECUTIVE SUMMARY

In accordance with the 2022/23 Internal Audit Plan for the City of Adelaide (CoA) an internal audit focussing on the record keeping requirements of the CoA was performed. The objective, scope, approach and findings are outlined below.

2. OBJECTIVES

The Record Keeping Audit for 2023 focused on randomly selecting teams across the organisation to be included within the audit. This review is included in the 2022-23 Internal Audit Plan to provide a level of comfort to the CoA Executive Team, the Executive Strategic Risk & Internal Audit Group (SRIA) and the CoA Audit & Risk Committee that our record keeping compliance obligations are being met. This audit was developed and facilitated in conjunction with Information Management as per the requirements in the Records Management Operating Guideline.

3. BACKGROUND

The *State Records Act 1997 (SA)* governs the obligations and responsibilities of councils in relation to the management of official records. Under this Act, the Council has an obligation to maintain official records in its custody in good order and condition.

An official record is a record made or received by the council in the conduct of its business. This means that because employees of the Council act as a representative of the Council, any record created, sent, received, forwarded or transmitted by Council employees in the performance and discharge of their functions and duties may be classified as an official record.

The Records Management Operating Guideline (Operating Guideline) applies to all areas of Council, including subsidiaries, electronic business and social media. It concerns records which are created, collected, processed, used, sentenced, stored and disposed of in the conduct of official business. It applies to all Council employees and employees of the subsidiaries. The Operating Guideline provides the framework for the Council to effectively fulfil its obligations and statutory requirements under the *State Records Act 1997 (SA)*.

Good records management is of key importance to good governance. All official records recreated or used by employees while conducting Council business are to be retained and, where appropriate, registered into the corporate Electronic Document Records Management System (EDRMS). The current EDRMS that the CoA uses is Content Manager.

4. METHODOLOGY

During June and July, discussions were held with the relevant stakeholders to understand the current practices in each area in relation to record keeping as per the Operating Guideline. Three programs/teams were reviewed independently by Annette Pianezzola, Risk and Audit Analyst. A sample of tasks were selected from each area to discuss the process of how information is recorded and where it is stored.

A desktop review was conducted, with two of the actions deemed to be satisfactory. One action has been determined with deficiencies identified and will be registered in the Promapp software system for monitoring and review. These findings are listed below:

Program / Team	Task	Satisfactory	Deficiencies Identified
Strategy, Planning & Engagement	Community consultation <ul style="list-style-type: none">Documents, email correspondence	1	

Council Governance	Agendas and Minutes of Council and Committees using ModernGov <ul style="list-style-type: none"> Agendas, minutes, reports, decisions 	1	
Park Lands Planning	Plans, Strategy and Policies <ul style="list-style-type: none"> Email correspondence, documents, spreadsheets, reports (draft and final), audit actions, community forums, engagement 		1

5. CONSULTATION

The following CoA stakeholders were involved in meetings throughout the audit:

- Lok Chiu, Team Leader Strategy, Planning & Engagement
- Simone Lavelle, Coordinator Community Engagement
- Amy Buxton, Community Engagement Support Officer
- Kathryn Goldy, Team Leader Council Governance
- Anita Inglis, Council Governance Advisor
- Jared Wilson, Team Leader Park Lands Planning
- Michelle Williams, Senior Park Lands Planner

6. SUMMARY OF FINDINGS

Ref #1 Park Lands Planning	Rating: High
Finding and Recommendation	Agreed Actions
<p>Finding: The Park Lands Planning team undertake work collaboratively across the team; therefore, a number of team members work on the same documents / projects. In consultation with the key stakeholders, the most effective and efficient way of sharing of information regarding a document / project is through the Sharepoint platform, Microsoft Teams.</p> <p>Microsoft Teams is a communication platform which offers file storage for all end users to upload and view. In developing documents/reports or working on a significant project, this platform is a useful tool in the sharing of knowledge and documents to all users of that group. The Park Lands Planning team use this platform for that particular use and all members who require access are able to upload, view and edit documents as the work undertaken is across a number of members of the team.</p> <p>For example, the Adelaide Park Lands Management Strategy. A Teams platform has been established for this strategy with a number of sub-folders to store files and documents. The sub-folders are easily identifiable by titles, who has modified it last and date of last modification.</p> <p>In review of these folders with the relevant documents / files, it has been noted that many sub-folders have not been used for some time, such as beginning of 2021. In discussion with the Senior Park Lands Planner, it was identified that some folders can be closed, and the documents can be filed, as the project has been finalised. As these are official records as per the Records Management Operating</p>	<p>Management comments:</p> <ol style="list-style-type: none"> 1. Findings of the audit will be discussed at Park Lands Planning team meeting scheduled for 17 July 2023. APLMS folders and subfolders will be reviewed and filed/closed by August 2023. 2. Folder structure will be discussed with records to ensure the document hierarchy reflects the various types of content prepared during the APLMS project. 3. Once this process is defined it should be shared to the whole organisation as teams is widely in use for collaborative work. Park Lands Planning process to be defined and issued to records for review by August 2023. 4. A gap in APLAG content manager records is identified post September 2022 due to staff changes. Content from October 2022 onwards will be reviewed and uploaded by 21 July 2023 and container number (201/01121) added to agendas for reference. Minutes and agendas will be uploaded on a monthly basis.

<p>Guidelines, these files should be transferred and retained in Council's record management system, Content Manager.</p> <p>In addition, an internal advisory group, Adelaide Park Lands Advisory Group (APLAG) has been developed to discuss all issues relating to the Adelaide Park Lands. This folder contains agendas and minutes of the minutes. As the decision-making process can be contained within these minutes, the minutes are considered an official record of Council, therefore should be retained in the Council's records management system.</p> <p>Recommendations</p> <ol style="list-style-type: none"> 1. Review all folders and sub-folders that are held with the Microsoft Teams platform to determine if they can be filed in Content Manager and closed. 2. Once a folder with the associated documents have been identified to be closed, create a Content Manager container by contacting Central Records and file the relevant documents in this container. 3. Identify a process in which on a regular basis, the Microsoft Teams platform is reviewed, and files are transferred to Content Manager. 4. Ensure that agendas and minutes from the APLAG is filed and stored in Content Manager on a regular basis. 	
<p>Position Responsible:</p>	<p>Associate Director Park Lands, Policy & Sustainability</p>
<p>Target Date:</p>	<p>Completed</p>



APPENDIX 1: RISK MATRIX OF INTERNAL AUDIT FINDINGS

The following framework for the internal audit ratings is consistent with the CoA Risk Management Operating Guidelines and the Risk Management International Standard ISO31000:2018. The descriptions have been tailored to illustrate risk to the business operations.

6.1 CoA Risk Matrix

CoA Risk Matrix		CONSEQUENCE				
		Insignificant	Minor	Moderate	Major	Catastrophic
LIKELIHOOD	Almost Certain	Medium	High	Extreme	Extreme	Extreme
	Likely	Medium	High	High	Extreme	Extreme
	Possible	Low	Medium	High	High	Extreme
	Unlikely	Low	Low	Medium	Medium	High
	Rare	Low	Low	Low	Medium	Medium

8.3 Risk & Finding Descriptions

Rating	Definition	Action	Indicative Timeframe (variations to be agreed by SRIA)
Extreme	<p>The finding represents a control weakness which could have or is having an extreme adverse impact on the business and the ability to meet objectives.</p> <ul style="list-style-type: none"> • Extreme decline in quality and customer service leading to a decrease in community's confidence in Council • Extreme breakdown in process that leads to illegal activity • Breach of legislation or contractual non-compliance that will result in litigation, prosecution and/or penalty 	<p>Finding reported to Director immediately and response plan developed with appropriate Associate Director. Implementation updates and status reporting managed through Promapp.</p>	<p>Actions managed in Promapp with a timeframe of no more than 3 months for completion.</p>
High	<p>The finding represents a control weakness which could have or is having a high adverse impact on the business and the ability to meet objectives.</p> <ul style="list-style-type: none"> • Major decline in quality and customer services leading to a decrease in community's confidence in Council • Serious breakdown in process that may lead to increased and unacceptable risk • Breach of legislation or contractual non-compliance that will result in litigation, prosecution and/or penalty 	<p>Finding reported to the appropriate Associate Director immediately and response plan developed with appropriate Manager. Managed through Promapp.</p>	<p>Actions managed in Promapp with a timeframe of no more than 6 months for completion.</p>
Medium	<p>The finding represents a control weakness which could have or is having a medium adverse impact on the business and the ability to meet objectives.</p> <ul style="list-style-type: none"> • Medium decline in quality and customer services leading to a decrease in community's confidence in Council • Medium operational breakdown in process that may lead to increased and unacceptable risk • Minor breach of legislation or contractual non-compliance that will <u>not likely</u> result in litigation, prosecution and/or penalty 	<p>Finding reported to appropriate Manager through Internal Audit Report and managed through Promapp.</p>	<p>Actions managed in Promapp with a timeframe of no more than 9 months for completion.</p>
Low	<p>The finding represents a minor control weakness which could have or is having a low/ minimal but reportable adverse impact on the business and the ability to meet process objectives.</p> <ul style="list-style-type: none"> • Minimal decline in quality and customer services • Minor breakdown in process that is not likely to affect risk • Minor breach of legislation or contractual non-compliance that will <u>not likely</u> result in litigation, prosecution and/or penalty 	<p>Finding reported to appropriate Manager through Internal Audit Report and managed through Promapp.</p>	<p>Actions managed in Promapp with a timeframe of no more than 12 months for completion.</p>