



Government of South Australia

GPO Box 2343
Adelaide SA 5001
Tel (08) 8204 8773
Fax (08) 8204 8777 DX:467
srsaRecordsManagement@sa.gov.au
www.archives.sa.gov.au

State Records
of South Australia



Managing Records During Administrative Change

Guideline

August 2010

Version 3.1

Table of Contents

Introduction	4
Scope.....	5
Related documents	5
Structure of this guideline	5
Variation to this guideline	6
Acknowledgments.....	6
Step-by-step guide	7
Part A - When your agency is losing a function.....	7
Step 1 - Identify the official records to be transferred to the receiving agency.....	7
Key processes.....	7
Step 2 - Identify any control records that apply to the official records in Step 1	8
Key processes.....	8
Step 3 - Identify the scope of the official records to be transferred	8
Key processes.....	9
Step 4 - List the official records to be transferred	9
Key processes.....	9
Step 5 - Provide the receiving agency with details of your agency's official records in storage	10
Key processes.....	10
Step 6 - Provide the receiving agency with copies of relevant disposal schedules	11
Step 7 - Contact the receiving agency and make the official records transfer arrangements	11
Step 8 - Transfer official records no longer required to storage	11
Key processes.....	11
Step 9 - Update your control records	12
Key processes.....	12
Step 10 – Notify State Records of process conclusion.....	12
When government is losing a function to an external entity	12
Part B - When your agency is gaining a function	13
Step 1 - Contact the transferring agency and work through Steps 1 - 4 in Part A..	13
Step 2 - Arrange for any current official records that are required to be transferred	13
Key processes.....	13
Step 3 - Receive and store official records from the transferring agency.....	13
Key processes.....	13
Step 4 - Maintain official records received from the transferring agency in their original form	14
Key processes.....	14
Past inadequate practice.....	14
Step 5 - Seek information from the transferring agency concerning their official records in storage	15
Key processes.....	15

Managing Records During Administrative Change Guideline

Step 6 - Dispose of official records received in accordance with approved disposal schedules	15
Step 7 - Update your control records	15
Key processes.....	16
Step 8 – Notify State Records of process conclusion.....	16
When government is gaining a function from an external entity	16
Part C – When government is undertaking a new function	16
Step 1 – Contact State Records and work through Steps 1 - 4 in Part C.....	16
Step 2 - Arrange for a Business Classification Scheme (includes an RDS and Thesaurus) to be developed.....	17
Key processes.....	17
Step 3 – Implement recordkeeping governance	17
Key processes.....	17
Step 4 – Ongoing requirements	18
Key processes.....	18
Part D – The abolition of a function	18
Step 1 - Contact State Records and work through Steps 1 - 4 in Part D.....	18
Key processes.....	18
Step 2 - Identify any control records that apply to the official records in Step 1	19
Key processes.....	19
Step 3 – Dispose of records, including destructions, temporary storage and archiving	19
Key processes.....	20
Step 4 – Notify State Records of process conclusion.....	20
Key process.....	20
Glossary	20
Attachment	22

© 2010 Government of South Australia

This Guideline may be copied for use by South Australian Government Agencies and Local Government Authorities and for reasonable study or research purposes. No part of this Guideline may be reproduced or distributed for profit or gain or for any other purpose without the written permission of the Manager [Director] of State Records of South Australia.

Introduction

Elections or decisions of the Government of South Australian, such as ministerial portfolio reshuffles, agency/portfolio mergers, or new legislation, can result in ‘administrative changes’ to South Australian agencies. An ‘administrative change’ refers to a change in the responsibilities for the administration of government functions¹. These changes can occur as a result of:

- a function being transferred from one agency to another
- a whole agency being transferred from one portfolio to another
- the government undertaking new functions
- the abolition of a function.

When such changes occur the records relating to the function in question need to be transferred to the new agency responsible for the function. That is, the underlying principle is that records follow function. An agency, therefore, would be required to relinquish control of, and transfer custody of, official records to another agency.

Official records contain the information necessary to ensure a seamless transition of a function and to ensure that business and customer needs are met.

The purpose of this guideline is to mitigate disruption to the corporate memory and the business of the government by ensuring that official records of South Australian Government agencies continue to be managed and available during and after administrative change. This can be achieved by:

- clearly documenting the transfer of certain official records between agencies
- clearly identifying the responsibilities of relevant staff for the transfer of official records between agencies
- disposing of official records in accordance with the requirements of the *State Records Act 1997*
- establishing a clear audit trail of movements of official records between agencies
- transferring official records between agencies to support administrative change
- notifying State Records of functional changes before they occur and reporting the outcomes of administrative change.

¹ State Records defines a function in this context as “the administrative responsibility, staff and other resources for the implementation of specific government policy and programs”.

Scope

This guideline focuses on the management of official records in the four examples of administrative change listed above. By following the steps in this guideline agencies will meet their legal responsibilities under the *State Records Act 1997*. In addition, they will be able to meet their responsibilities as stated in the Adequate Records Management Framework's *Adequate Records Management Standard*, in particular Outcomes 2, 3, 4, 5 and 7.

This guideline can be applied by all agencies as defined in *Section 3* of the *State Records Act 1997*, which includes State Government agencies, Local Government authorities and Universities (see also the Glossary for further definitions). It is issued in accordance with *Section 7(g)* of the *State Records Act 1997*.

State Records advises Ministerial Offices to use this guideline in conjunction with General Disposal Schedule 18 for Ministerial Offices.

The guideline applies equally to both paper-based and digital official records, systems and programs and requires agencies to look holistically at their records management programs. The application of this guideline supports agencies in achieving 'adequacy' status for their records management practices and resources and assigns accountability for a vital element of Government administration.

Related documents

This guideline is part of an overarching Records Management Framework (the Framework) for the South Australian Government. The Framework consists of a number of standards, guidelines, policies and strategies to assist agencies meet their legislative responsibilities as defined in the *State Records Act 1997*, *Freedom of Information Act 1991* and the Information Privacy Principles Instruction issued as Premier and Cabinet Circular no 12. This guideline should also be read in conjunction with the State Records information sheet, *Managing FOI through Administrative Change*.

These documents can be found on the State Records website, www.archives.sa.gov.au.

Structure of this guideline

This guideline is divided into four parts:

- Part A focuses on the agency transferring some of its records to another agency
- Part B focuses on the agency receiving the records from another agency due to a transfer of function/s
- Part C provides guidance for when Government undertakes a new function and
- Part D examines the abolition of a function.

Some of the following steps have been clarified by the inclusion of a number of key processes.

This guideline also contains as an attachment a quick reference checklist of the required actions described in Parts A and B.

Variation to this guideline

State Records may update or alter this guideline from time to time as authorised by the Manager [Director] of State Records, in consultation with the State Records Council. All South Australian agencies will be informed of any such alterations or updates via the Across-Government Information and Records Management Strategy Group and/or the State Records website, www.archives.sa.gov.au.

Acknowledgments

State Records acknowledges the following groups in the development of Version 1 of this guideline:

- the State Records Office of Western Australia
- the National Archives of Australia
- staff of the South Australian Department of Environment and Heritage
- staff of Government Publishing SA.

In particular, State Records has made use of the following:

- *Public Records Policy: 6 - Records Management Standards for Public Records in the Amalgamation of Agencies* (State Records Office of Western Australia)
- *Archives Advice 27 - Handling Administrative Change* (National Archives of Australia, 1998).

Step-by-step guide

Part A - When your agency is losing a function

Step 1 - Identify the official records to be transferred to the receiving agency

Having become aware that a function, or in some circumstances a number of functions, is to be transferred to another agency it is vital that you identify which official records will be affected. This should be done in consultation with the staff of the receiving agency preferably before the administrative changes come into effect.

Official records that will be affected can cover a range of activities and formats (hardcopy and/or digital) and can relate to core operational matters or general administration (eg specific project files or the personnel files).

Key processes

- Meet with key staff of the agency receiving the official records as soon as possible after the proposed change is known and establish a joint working group.
- Ensure that the group includes records management staff from both agencies.
- List the function, or functions, (including activities, projects etc), that are being transferred. Also list any legislation or government policy or instruction, relating to the function being transferred.
- List the related staff being transferred.
- Identify the broad categories of official records that will be transferred. This can include, but is not limited to the following:
 - correspondence files
 - project files
 - case files
 - personnel files
 - financial records.
- Identify any information systems, and related data, that will need to be transferred. This can include, but is not limited to:
 - customer information systems
 - client case management databases
 - project management files and systems
 - maps, plans and technical drawings
 - Websites (Internet, Extranet and Intranet)
 - Electronic Document and Records Management System (EDRMS). Please note, it is imperative that the electronic records being transferred are accompanied by the mandatory metadata elements outlined within the South Australian Recordkeeping Metadata Standard (SARKMS). If the agency has not implemented a compliant EDRMS, the agency should, prior to transfer, undertake a mapping exercise of their metadata to the mandatory metadata elements described within SARKMS.

- Create a file within your official recordkeeping system and document the transfer of official records to the receiving agency and the consultation process undertaken of the joint working group's activities.

Step 2 - Identify any control records that apply to the official records in Step 1

It is possible that some of the categories of official records that are identified in Step 1 may be controlled or managed through other records. This second set of records is known as control records.

It is essential that your agency identify any of these control records. Without these control records the receiving agency will be unable to effectively use, maintain, access and dispose of the various official records that they receive.

Key processes

- Having identified the relevant broad categories of official records in Step 1 the joint working group should also identify any relevant control records. These can include:
 - registers of files
 - indices of files
 - guides to the use and structure of the filing system
 - thesauri for records systems
 - spreadsheet listings of records developed by work teams
 - EDRMS metadata.
- Identify any approvals to use or disclose particular Records (eg IPPs, Copyright etc)
- If staff will be moving to the new agency ask them if they have any control records developed at a local level.

Step 3 - Identify the scope of the official records to be transferred

Having identified the relevant official records to be transferred it is important for your agency to determine if all of the identified records will be transferred. It is unlikely that the new agency, or agencies, will want to receive all of the official records that your agency has generated for a transferred function (eg inactive temporary records). Accordingly, a records migration strategy will need to be developed which details the following:

- the records to be transferred
- the records management system the records are currently managed in
- the records management system the records will be managed in, if different
- how the transfer process will take place (eg automated, manual, etc)
- who is responsible to govern this process in each agency
- those who will actually undertake the transfer process (eg migration of records may be outsourced to an EDRMS provider)
- a plan which details the actions and milestones and responsibilities for each applicable action
- which agencies are funding particular actions (eg boxing of hardcopy records, couriers, developing migration utilities, etc).
- any new approvals that may be required under IPPs, Copyright or IP.

Key processes

- Determine when a particular range of the official records will be transferred. This should include consideration of transferring the following:
 - official records that are active on the day the function is transferred
 - official records from a limited period prior to the transfer of the function, eg one month prior, six months prior, etc
 - case files or project files that relate to the particular clients or projects whose management is being transferred.
- Determine the range of relevant control records to be transferred. These will relate directly to the range of official records to be transferred.
- Determine which agency will keep the original control records and which will receive copies.
- Both agencies should document the decisions, and the rationale for the decisions reached, for future reference.
- Records required for current FOI requests or internal reviews should be retained by the agency with current custody of the records until processing is complete as it may be more practical (subject to the receiving agency agreeing). However, once processed, the new Accredited FOI Officer appointed by the receiving agency's Principal Officer should make the final determination with all records transferred at that time. Any internal reviews must be carried out by the receiving agency in the event that they become subject to external review. Please refer to the FOI Information Sheet, *Managing FOI through Administrative Change* for further information.

Step 4 - List the official records to be transferred

Once both agencies have a common understanding of the official records that will be transferred a detailed inventory should be made of the records. This inventory can be prepared manually or through using the report writing facilities of applicable systems. This inventory should include relevant web pages and records held within websites, which are not going to be archived by the transferring agency. Migration utilities may need to be written by EDRMS providers to enable efficient and effective uploading of record profiles, metadata and audit trails.

Key processes

- List each individual official record that is being transferred (report from EDRMS).
- List official records that are not being transferred (eg files that are missing; being sent to temporary storage; or permanently archived).
- List the control records, original or copies that are being transferred.
- Prepare a formal acknowledgment that the official records have been transferred for signing by an authorised representative of the receiving agency.
- Ensure that both agencies have an inventory of the official records, and control records, being transferred.
- Document the software format in which any electronic records were transferred and any particular hardware systems needed to access the records.
- Agree to the timeframe in which transfer is to occur by.

Step 5 - Provide the receiving agency with details of your agency's official records in storage

It is important that the receiving agency is, or agencies are, advised about official records of your agency that are held off site. This usually applies to older records that are either held in storage by an external service provider as temporary records, or as permanent value records in the custody of State Records. In the case of electronic records it would assist the new agency, or agencies, in their risk management planning to know if any back-ups of the official records are also held off site.

It is possible that there may be official records in storage, either at State Records or an approved service provider (ASP) that are the joint responsibility of more than one agency. In these circumstances the responsible agencies should work in tandem to resolve the issues below. This is not an ideal situation in the long term. Responsibility for records should reside with the agency that has ongoing responsibility for the related function. State Records should be consulted and advised of which agency will have enduring responsibility for the files in its custody.

Key processes

- Inform State Records of the transfer of responsibility for permanent official records of your agency.
- List and provide the series numbers of relevant permanent records held by State Records.
- Copy the consignment lists or record description lists (RDLs) of any relevant permanent records held by State Records.
- Provide details of the public access determinations applying to official records held by State Records.
- Provide details of the ASP who hold temporary records on behalf of your agency.
- List the series of temporary records held by an ASP.
- Copy the consignment lists for temporary records held by the ASP.
- Provide details of your customer number provided by the ASP - subject to agreement by the provider.
- Provide details of any relevant contact details for your account manager with the ASP - subject to agreement by the provider.
- Inform the ASP of the transfer of responsibility for temporary official records of your agency in their custody.
- Resolve who will fund transfer and storage costs for temporary records held by the ASP.
- Ensure that your agency and the receiving agency have copies of the detailed lists of series and consignments of official records in storage that are being transferred.
- Provide copies of any relevant back-ups of electronic records being transferred.

Step 6 - Provide the receiving agency with copies of relevant disposal schedules

Your agency should provide the receiving agency with copies of any Records Disposal Schedules (RDS), or relevant sections, that apply to the official records being transferred. This will ensure that they are aware of the retention requirements for the official records. This is important as unfamiliarity with records on the part of the receiving agency, or agencies, could lead to illegal disposal.

Your agency's RDS, if one exists, should then be amended to have regard for the loss of this particular business function from your agency.

Details of the relevant disposal schedules can be acquired from State Records.

Should there be no RDS for the official records in question then your agency and the receivers of the records should negotiate the preparation of such a disposal schedule. These negotiations should include considerations of agency resources and any fees that may be involved in the development and approval of the disposal schedule.

Contact State Records for advice regarding the preparation of a RDS if it has been determined that your agency is responsible for the preparation of such a Schedule.

Step 7 - Contact the receiving agency and make the official records transfer arrangements

Arrangements with the agency receiving the records now need to be formalised. This step is vital to ensure the orderly transfer of official records between agencies. Failure to make these arrangements may result in records getting lost or accidentally destroyed, thus resulting in illegal disposal which would be considered a breach of the *State Records Act 1997*.

As part of this step both parties should assign responsibility to appropriate officers for the records transfer process.

Step 8 - Transfer official records no longer required to storage

Some of your agency's official records will not be required by the new agency or yourselves. The storage of these records off site will free up valuable storage space and will ensure that your agency is meeting its requirements stipulated in the *Adequate Records Management Standard*.

Key processes

- State Records must be notified of any potential transfer of permanent records.
- Complete relevant transfer paperwork for permanent records in accordance with State Records' requirements.
- Transfer temporary records off site to an ASP in accordance with State Records' Standard and Guideline for temporary records storage with an ASP (available from the State Records website, <http://www.archives.sa.gov.au>).
- Permanent records will be transferred to the custody of State Records in accordance with sections 19 and 20 of the *State Records Act 1997*.

For a discussion of access arrangements refer to Step 5 above.

Step 9 - Update your control records

Having transferred any official records to the receiving agency, to off-site storage or to the custody of State Records, it is vital to update your agency's control records. This will ensure that records do not become lost or unaccounted for during the administrative change process.

This update can take the form of an annotation to any hard copy indices or registers. Your agency should also ensure that any electronic indices or registers, including any EDRMS, are updated.

Key processes

- Update the control records held by your agency to indicate:
 - the official records transferred to the receiving agency
 - the date of the transfer
 - the name and contact details of the agency to which the official records were transferred.
- Update the lists of official records held off site to indicate:
 - the official records transferred to the new agency
 - the date of the transfer
 - the name and contact details of the agency to which the official records were transferred.
- Seek new approvals as required from the Privacy Committee of South Australia, or other similar bodies.

Step 10 – Notify State Records of process conclusion

In order to complete the entire Part A cycle, the receiving agency's Principal Officer is required to notify the Director, State Records, stating:

- the functions transferred
- the quantity and formats of records transferred
- the date the transfer process concluded, and
- the reason/s if the change process took longer than 90 days to complete.

When government is losing a function to an external entity

When an agency is losing a function to an external entity, the agency must have in place a Transfer of Ownership and Custody Schedule (TOCS).

The purpose of a TOCS is to identify records which will be transferred to either the ownership or temporary custody (to facilitate access for business purposes) of an entity that is not an 'agency' as defined by the *State Records Act 1997*. The entity may be a private organisation receiving the records as part of a sale, privatisation or contractual arrangement. The entity may also be a government body of another jurisdiction (eg a Commonwealth, Territory or other State Government department) to which certain functions and activities and associated records are being transferred (eg as a result of administrative or legislative

change, a COAG agreement, etc). A TOCS complements and is supplementary to the relevant General Disposal Schedule (GDS) and RDS of the transferring agency.

A TOCS constitutes a 'disposal' as defined by the *State Records Act 1997*. Therefore the action of transferring records will require a determination by the Director of State Records and the approval of the State Records Council. The TOCS represents this approval.

For further information regarding TOCS please contact State Records.

Part B - When your agency is gaining a function

Step 1 - Contact the transferring agency and work through Steps 1 - 4 in Part A

Once your agency becomes aware that an administrative change is going to occur contact should be made with the transferring agency as soon as possible. Having made contact both agencies should jointly work through steps 1 to 4 in Part A of this guideline.

Step 2 - Arrange for any current official records that are required to be transferred

It is probable that your agency will identify some official records of the transferring agency that are required for immediate use to ensure continuity of the business function.

It is important that the process of transferring these records is orderly and planned. Failure to do so may result in the loss of official records required to perform your new functions.

Key processes

- Nominate an officer with responsibility for liaison between the two agencies. This officer can also sit on the joint working group (see Part A - Step 1 – first Key Process).
- Ensure that your agency clearly identifies the official records with the transferring agency that will be required to enable you to perform your new function.

Step 3 - Receive and store official records from the transferring agency

At this stage it is important for your agency to plan where the official records received from the transferring agency will be stored. This will depend on whether the records in question will be:

- required for immediate use
- required for use in the foreseeable future
- accessed and used infrequently.

It is likely that rarely accessed official records (eg records held off-site) would not be physically transferred, however, responsibility for the management of these records will be transferred to your agency.

Key processes

- Specify the location and time for the transfer of official records.
- Ensure the official records received from the transferring agency are clearly identified and checked off against a list of what is to be received.

- Plan for appropriate storage of official records identified for immediate and short-term use.
- Records that are identified for infrequent use should be stored off-site, to ensure the most effective use of the available storage space within your agency. This may involve the use of storage facilities already owned and used by your agency or the use of an ASP.
- Sign and return the formal acknowledgment from the transferring agency that official records have been transferred, and retain a copy.
- Verify that appropriate approvals have been sought for use and disclosure of personal information and other information protected by copyright, IP, confidentiality, etc.

Step 4 - Maintain official records received from the transferring agency in their original form

It is vital that your agency does not integrate official records received from the transferring agency into your existing record systems. If this happens your agency will lose contextual information about the transferred records. It will also hamper the effective tracking of the records. Therefore all records (files) transferred need to be ‘closed’ and new files created which are referenced to the transferred records (‘migrated’ files).

Key processes

- Do not combine official records received from the transferring agency into the filing systems or collections of current records of your agency.
- If required, only place copies of official records received into your agency’s recordkeeping systems.
- Do not re-title or re-number official records received from the transferring agency.
- Do not re-arrange the order of the official records received from the transferring agency.
- Ensure that the official records received from the transferring agency are clearly marked as ‘migrated’ or ‘transferred’ in the control records of your agency.
- If your agency is using an EDRMS ensure that the system records the receipt and storage location of the migrated records.

Past inadequate practice

State Records recognises that there may have been instances in the past where official records have been re-titled, re-numbered and physically combined with records of your agency. In such instances it is vital that your agency establishes a clear record of the link between the original record title and reference number and the new record title and reference number. Failure to do so will make it impossible to retrieve records using their original title or number.

A record of these links can be made in a physical control record, such as a consignment list or file register. They can also be accommodated by the inclusion of this data as an extra field in any spreadsheets or file listings that may be in existence. In addition most EDRMS’ will have the ability to establish and maintain these sorts of links.

The practice of retitling, renumbering or combining of records must not occur.

Step 5 - Seek information from the transferring agency concerning their official records in storage

It is quite possible that your agency may require access to and use of older official records relating to the transferred function that has remained in off-site storage. It is therefore essential that your agency receive information from the transferring agency concerning the storage of these official records. These records may be permanent records held by State Records or temporary records held by an ASP.

Key processes

- Negotiate which permanent or temporary records in off-site storage of the transferring agency are required to complement the current records that you are receiving. This will include consideration of:
 - the range of current records that are received (refer to Part A Step 3)
 - the age of any projects that are being transferred
 - the status of any projects or initiatives that are being transferred.
- Place the lists of series and consignment lists received from the transferring agency on a file created and stored in your agency's official recordkeeping system. (Note: the receiving agency should use the series already established, as it does not change just because the agency has changed.)
- Determine the access arrangements to official records held in storage with the transferring agency and their storage provider.
- Ensure that your agency resolves the process and costs for the retrieval of official records of the transferring agency held in storage with the storage provider and the transferring agency.

Step 6 - Dispose of official records received in accordance with approved disposal schedules

Official records, including those transferred from the former agency, can only be disposed of in accordance with approved disposal schedules. The schedules may take the form of operational Record Disposal Schedules (RDS) specific to the official records of the agency, or General Disposal Schedules (GDS) that apply to various agencies. If available the transferring agency will give your agency copies of a disposal schedule related to the function that was transferred to your agency.

Should no disposal schedule exist for the official records then one will need to be prepared and approved before any disposal can occur. Your agency should ensure that when the records are being transferred that agreement has been reached between the agencies concerning any cost sharing for the development of disposal schedules.

Your agency should contact State Records for advice concerning the development of a disposal schedule and the transfer of permanent records.

Step 7 - Update your control records

Once the transfer of official records is completed, your agency should ensure that your control records are updated.

Key processes

- Register the official records received from the transferring agency as ‘migrated’ or ‘transferred’ in your control records and create a new file, which references the respective ‘migrated’ file.
- Identify the date of transfer of the official records in your control records.
- Identify the agency from which the official records were received on your control records.
- Place a copy of the signed acknowledgment of transfer of official records in the file held in your official recordkeeping system that documents the transfer process due to administrative change.

Step 8 – Notify State Records of process conclusion

In order to complete the entire Part A and B cycle, the receiving agency’s Principal Officer is required to notify the Director, State Records, stating:

- the functions transferred
- the quantity and formats of records transferred
- the date the transfer process concluded, and
- the reason/s if the change process took longer than 90 days to complete.

When government is gaining a function from an external entity

It is recognised that there might be an occasion when an agency may temporarily gain a function, for example from a community group whilst in the process of finding a charitable body to take it over. In these instances the agency must have a transition agreement in place, which outlines and lists the records obtained from the external entity that now belong to the agency.

When the agency is ready to divest itself of the function to an external entity the agency must ensure that a Transfer of Ownership and Custody Schedule (TOCS) is in place. Please refer to Part A ‘When government is losing a function to an external entity’.

Should the agency retain the function, the agency should manage the records as normal.

For further information regarding TOCS please contact State Records.

Part C – When government is undertaking a new function

Step 1 – Contact State Records and work through Steps 1 - 4 in Part C

An agency has specific records management responsibilities and obligations under the *State Records Act 1997* for all its designated functions.

The authorising body that proclaimed the establishment of a new Government function/s (eg Cabinet, an agency, etc) should notify, in writing, the Director, State Records about the ‘function’ to ascertain whether an identical/similar function exists elsewhere in South Australian Government. A copy of the Gazettal notice should also be provided.

In the first instance the agency responsible for the new function should work through Steps 1 to 4 in Part C of this guideline.

Step 2 - Arrange for a Business Classification Scheme (includes an RDS and Thesaurus) to be developed

In order to adequately manage records throughout their lifecycle a number of recordkeeping tools, systems, practices and resources need to be developed, procured and/or appointed. A Business Classification Scheme needs to be created by the agency administering the new function to determine how official records associated with this function will be classified and managed.

A Records Disposal Schedule should also be prepared to ensure records are accurately sentenced for archiving and disposal purposes. An amended or new RDS will need to be approved by the State Records Council. A Thesaurus is also required to enable active records generated as a result of establishing the new function to be managed adequately in the agency's EDRMS.

It is vital that records for the new function are not created according to an existing Business Classification Scheme, as the records would be at risk of illegal disposal.

Key processes

- Nominate an officer with responsibility for establishing adequate governance and delegation to administer records associated with the new function (eg agency's Records Manager) in order that all recordkeeping tools, systems, practices and resources are established prior to records being created for the new function.

Step 3 – Implement recordkeeping governance

The nominated Records Manager will need to procure and implement a range of recordkeeping tools and potential resources to administer records created for the new function. It is likely that one or more business cases will need to be developed seeking funding for these requirements unless the responsible agency has received sufficient funding to establish the required administrative support for the new function.

In the case where your agency has already established a records management system, processes and disposal schedules, the new function will need to be incorporated and any necessary approvals sought.

Key processes

The Records Manager should ensure the following is undertaken before records are created for the new function:

- update all recordkeeping policies and procedures
- update all recordkeeping systems (eg upload RDS and Thesaurus into EDRMS)
- update all recordkeeping registers and programs (eg Records Disposal Program, Vital Records Register, Information Systems Register, etc)
- appoint and/or assign Records Management practitioner/s at an operational level to administer records created as a result of new function

- induct staff supporting the new function in recordkeeping fundamentals using State Records ERNI on-line Induction course (if not already undertaken)
- seek appropriate approvals for collection, use and disclosure of personal information.

Step 4 – Ongoing requirements

It is vital, at a strategic level, for auditing purposes that the Records Manager or agency's Information and Records Management Strategist (if the role exists) update the recordkeeping 'adequacy' baseline for the agency to reflect the establishment of the new function. From an operational level, it is important that existing file folders within the agency are not used to store records created for the new function. Where there are synergies between functions these should be reflected in file folder links within the EDRMS.

Key processes

- Check and update where necessary each of the evidentiary elements for all of the 11 Outcomes listed in the *Assessment and Audit Standard* to ensure any changes in status are reflected.
- Ensure processes are in place preventing file folders from other functions in the agency being used to manage records generated for the new function.

Part D – The abolition of a function

Step 1 - Contact State Records and work through Steps 1 - 4 in Part D

An agency has specific records management responsibilities and obligations under the *State Records Act 1997* for all its designated functions. The authorising body that has responsibility for the abolishment of a Government function (eg Cabinet, an agency, etc) should notify, in writing, the Director, State Records stating how the process will be managed (from a Records Management perspective) and the projected timeline to conclude the process. A copy of the Gazettal notice showing how the function has been abolished should also be provided.

Having made contact the agency responsible for 'winding up' the function should work through Steps 1 to 4 in Part D of this guideline.

Key processes

- Ensure the decommissioning of recordkeeping tools, systems practices and resources associated with the 'abolished' function are centrally coordinated.
- List the function/s or parts of the agency that are being abolished. Also list any Acts or regulations pertaining to the function/s, which are being abolished.
- List the related staff being transferred or redeployed (eg if they are not part of an existing shared services arrangement).
- Identify the broad categories of official records that will no longer need to be created. This can include, but is not limited to the following:
 - correspondence files
 - project files
 - case files
 - personnel files

- financial records
- Board or committee files.
- Identify any information systems, and related data, that will need to be decommissioned and potentially archived. This can include, but is not limited to:
 - customer information systems
 - client case management databases
 - project files
 - maps, plans and technical drawings
 - web sites
 - EDRMS.
- Prepare a file within your official recordkeeping system documenting the abolition of the function/s.
- The agency should also consider if section 8 on the *Freedom of Information Act 1991* applies. For further information refer to the FOI Information Sheet, *Managing FOI through Administrative Change*.

Step 2 - Identify any control records that apply to the official records in Step 1

It is possible that some of the categories of official records that are identified in Step 1 above may be controlled or managed through other records. This second set of records is known as control records.

It is essential that your agency identify any of these control records. Without these control records the agency that previously administered records or the agency taking responsibility for the records, associated with the abolished function, will be unable to effectively use, maintain, access and dispose of the various official records that exist.

Key processes

- Having identified the relevant broad categories of official records in Step 1 above, the responsible officer should identify any relevant control records. These can include:
 - registers of files
 - indices of files
 - guides to the use and structure of the filing system
 - thesauri for records systems
 - spreadsheet listings of records developed by work teams
 - EDRMS metadata.
- Check if staff have any control records developed at a local level.

Step 3 – Dispose of records, including destructions, temporary storage and archiving

Having identified the relevant official records affected by the abolition of the function, it is important for your agency to determine how the identified records will be disposed of. This may include archiving of permanent records (ie transferring to State Records), transferring temporary records to off site storage, or physically destroying records.

Key processes

- Determine the range of the official records and how they will be disposed of. This should include consideration of the following:
 - official records that are active on the day the function is abolished
 - official records from a limited period prior to the abolition of the function, eg one month prior, six months prior, etc
 - case files or project files that relate to the particular clients or projects whose management is no longer required.
- Determine the range of relevant control records to be decommissioned or archived. These will relate directly to the range of official records to be archived or disposed.
- Complete sentencing of all records according to an active RDS/GDS, associated with the abolished function. If an RDS does not exist, one will need to be created and approved by the State Records Council before any records disposal is undertaken.
- Once it is determined which records can be destroyed the agency will need to complete an *Intention To Destroy Records Report* and forward it to State Records for approval.
- Records that are temporary but are not yet due for destruction should be stored with an ASP. The ASP will be required to be paid a storage fee for these records until the date they can be destroyed. An Intention to Destroy Records Report for these records should be forwarded to State Records for approval; the approved document will be forwarded to the ASP authorising record destruction on particular dates in the future.
- Make adjustments to ASP payment arrangements to ensure appropriate financial governance for temporary record holdings.
- Subject to necessary approvals, arrange transfer of all records sentenced as permanent to State Records custody.
- Decommission or archive all associated recordkeeping tools, systems, registers, etc.
- If required seek to have the Minister administering the *Freedom of Information Act 1991*, designate, in accordance with section 8(2) an agency to be responsible for access to the records under FOI.
- Notify the Privacy Committee of South Australia if any exemptions were granted from the Information Privacy Principles and whether they are still required.

Step 4 – Notify State Records of process conclusion

Once the previous steps have been completed the agency overseeing the abolition of a function/s in government must notify the Director, State Records that this process has concluded.

Key process

- Write to the Director, State Records notifying him/her that the process has concluded. File a copy of the letter in function ‘abolition’ file.

Glossary

State Records has developed a comprehensive glossary based upon a number of sources. Where a definition exists within current legislation, such as the *State Records Act 1997*, it

will take primacy. If no definition is available within legislation, the primary source is Australian Standard AS ISO 15489 Records Management.

This glossary is available on the State Records website, www.archives.sa.gov.au.

Attachment

Managing records through administrative change – quick reference checklist

When your agency is losing a function:

Step 1	Identify the records to be transferred between agencies
Step 2	Identify any control records that apply to the records in Step 1
Step 3	Identify the scope of the records being transferred
Step 4	List the records to be transferred
Step 5	Provide the new agency, or agencies, with details of your agency's records in off-site storage
Step 6	Provide the new agency, or agencies, with copies of the relevant disposal schedules
Step 7	Contact the new agency, or agencies, and make the record transfer arrangements for current records
Step 8	Transfer records no longer required for off-site storage
Step 9	Update your control records
Step 10	Notify State Records of process conclusion

When your agency is gaining a function:

Step 1	Contact the transferring agency and discuss your record transfer requirements
Step 2	Arrange for any current records that are required to be transferred
Step 3	Receive and store records from the transferring agency
Step 4	Maintain records received from the transferring agency
Step 5	Ask for information from the transferring agency concerning their records in off-site storage
Step 6	Dispose of records received in accordance with approved and current disposal schedules
Step 7	Update your control records
Step 8	Notify State Records of process conclusion

When Government is undertaking a new function:

Step 1	Contact State Records
Step 2	Arrange for a business classification scheme
Step 3	Implement recordkeeping governance
Step 4	Ongoing requirements

The abolition of an agency function:

Step 1	Contact State Records
Step 2	Identify any control records that apply to the official records
Step 3	Dispose of records, including destruction, temporary storage and archiving
Step 4	Notify State Records of process conclusion