

Managing Information Assets During Administrative Change

Guideline

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STATE RECORDS

of South Australia



Government of South Australia

State Records

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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 permanent abolition of an agency/function within Government
- » the abolition of an agency/function within Government through sale/privatisation
- » a new agency being established, or
- » Government undertaking new functions.

When such changes occur the information assets relating to the function in question must be transferred to the new agency responsible to ensure a seamless transition of a function and to ensure that business and customer needs are met.

Purpose and Scope

The Managing Information Assets During Administrative Change Guideline (Guideline) has been developed to support agencies in managing official information and records whilst undertaking administrative change. It is issued to help agencies meet their legislative requirements outlined in the *State Records Act 1997* (SR Act).

A number of standards have been issued under Section 14 of the SR Act and this Guideline, along with other advice on the State Records website, provides supporting information to assist agencies to comply with the requirements of those standards.

It is applicable to all agencies as defined in section 3(1) of the SR Act, and the information assets of those agencies.

In this Guideline, the term 'information asset' should be taken to incorporate the definition of official record as defined by section 3(1) of the Act, and includes information, data and records, in any format (whether digital or hardcopy), where it is created or received through the conduct of government business.

The guideline applies equally to both hard copy and digital information assets, systems and programs and requires agencies to look holistically at their information assets.

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".

This guideline should also be read in conjunction with the State Records information sheet, *Managing FOI through Administrative Change*.

Additionally, Ministerial Offices also need to use this guideline in conjunction with *Managing Information in Minister's Offices Guideline* and *Management of Records in a Minister's Office During Caretaker and Election Period*.

Structure of this guideline

This guideline is divided into five sections:

Sections A, B and C deal with an agency losing functions:

- » Section A – When your agency is losing a function
 - focuses on the agency transferring some of its information assets to another government agency
- » Section B – The abolition of an agency/function within Government
 - focuses on when an agency or function in Government is being abolished
- » Section C – When Government is losing a function to an external entity
 - focuses on the abolition of a function within Government either permanently or through sale/privatisation.

Sections D and E deal with an agency gaining functions:

- » Section D – When Government is undertaking a new function or a new agency is created
 - focuses on when Government undertakes a new function
- » Section E – When your agency is gaining an established function
 - focuses on the agency receiving the information assets from another agency due to a transfer of function/s.

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 Sections A, B, C, D and E.

Section A – When your agency is losing a function

Step 1 Identify the information assets 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 government (state or local) agency it is vital that you identify which information assets will be affected. This should be done in consultation with the staff of the receiving agency preferably before the administrative changes come into effect.

Information assets that will be affected can cover a range of activities and formats (hard copy and/or digital) and can relate to core operational matters (eg specific project files) or general administration (eg personnel files).

The information assets required by the receiving agency will be required for their ongoing business, however these information assets will not be changed or added to, they will remain as is and provided for reference/read only purposes. The transferring agency will then become responsible for the management of these information assets over time.

Key processes

- » Meet with key staff of the agency receiving the information assets as soon as possible after the proposed change is known and establish communication or a joint working group.
- » Ensure that any group includes records/information 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 information assets 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
 - business systems
 - client case management databases
 - project management files and systems

- maps, plans and technical drawings
 - websites (Internet, and Intranet)
 - social media platforms
 - Microsoft 365.
- » 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 Minimum Recordkeeping Metadata Requirements Standard (formerly 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.
 - » All of the above records/systems must be closed/ made read only prior to their transfer to the other agency.
 - » Create a file within your official recordkeeping system and document the transfer of information assets 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 information assets

It is possible that some of the categories of information assets 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 information assets. Without these control information assets the receiving agency will be unable to effectively use, maintain, access and dispose of the various information assets that they receive.

Key processes

- » Having identified the relevant broad categories of information assets in Step 1 the joint working group should also identify any relevant control information assets. 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 information assets (eg Information Privacy Principles, Copyright etc)
- » If staff will be moving to the new agency ask them if they have any control information assets developed at a local level.

Step 3 Identify the scope of the information assets to be transferred

Having identified the relevant information assets to be transferred it is important for your agency to determine if all of the identified information assets will be transferred. It is unlikely that the new agency, or agencies, will require all of the information assets

that your agency has generated for a transferred function such as inactive temporary records. Accordingly, an information assets migration strategy will need to be developed which details the following:

- » the information assets to be transferred
- » the records management system the information assets are currently managed in
- » the records management system the information assets 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 Information Privacy Principles, Copyright or IP.

Key processes

- » Determine when a particular range of the information assets will be transferred. This should include consideration of transferring the following:
 - information assets that are active on the day the function is transferred
 - information assets 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 information assets to be transferred. These will relate directly to the range of information assets to be transferred.
- » Determine which agency will keep the original control information assets and which will receive copies.
- » Both agencies should document the decisions, and the rationale for the decisions reached, for future reference.
- » Information assets required for current Freedom of Information (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 Accredited FOI Officer appointed by the receiving agency's Principal Officer should make the final determination with all information assets 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 information assets to be transferred

Once both agencies have a common understanding of the information assets that will be transferred a detailed inventory should be made of the information assets. This inventory can be prepared manually or through using the report writing facilities of applicable systems.

This inventory should include records which are not going to be archived by the transferring agency, including any relevant web pages and records held within websites. 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 information asset that is being transferred (report from system/EDRMS).
- » List information assets that are not being transferred (eg files that are missing; being sent to temporary storage; or to be/already transferred to State Records).
- » List the control information assets that are being transferred.
- » Prepare a formal acknowledgment that the information assets have been transferred for signing by an authorised representative of the receiving agency.
- » Ensure that both agencies have an inventory of the information assets, and control information assets, being transferred.
- » Document the software format in which any electronic information assets were transferred and any particular hardware systems needed to access the information assets.
- » Agree to the timeframe in which transfer is to occur by.

Step 5 Provide receiving agency with details of your agency's information assets in storage

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

It is possible that there may be information assets 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 information assets 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 information assets in its custody.

Key processes

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

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.

If there is no RDS for the information assets in question, your agency and the receivers of the information assets must 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 information assets transfer arrangements

Arrangements with the agency receiving the information assets now need to be formalised. This step is vital to ensure the orderly transfer of information assets 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 SR Act.

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

Step 8 Transfer information assets no longer required to storage

Some of your agency's information assets will not be required by the new agency or your agency. The storage of these records off site will free up valuable storage space.

Key processes

- » State Records must be notified of any potential transfer of permanent records.
- » Permanent records will be transferred to the custody of State Records in accordance with sections 19 and 20 of the SR Act and Transfer Standard.
- » Complete relevant transfer paperwork for permanent information assets 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.

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

Step 9 Update your Control Records

Having transferred any information assets to the receiving agency, to off-site storage or to the custody of State Records, it is vital to update your agency's control information assets. This will ensure that information assets 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 indexes or registers. Your agency should also ensure that any electronic indexes or registers, including any EDRMS, are updated.

Key processes

- » Update the control information assets held by your agency to indicate:
 - the information assets transferred to the receiving agency
 - the date of the transfer
 - the name and contact details of the agency to which the information assets were transferred.
- » Update the lists of information assets held off site to indicate:
 - the information assets transferred to the new agency
 - the date of the transfer
 - the name and contact details of the agency to which the information assets were transferred.

- » Seek new approvals as required from the Privacy Committee of South Australia, or other similar bodies.

Section B – The abolition of an agency/ function within Government

Step 1 Notify State Records

An agency has specific records management responsibilities and obligations under the SR Act 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 contacted the agency responsible for 'winding up' the function, the transferring agency should work through Steps 1 to 4 in Section B 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 information assets that will no longer need to be created. This can include, but is not limited to correspondence files, project files, case files, personnel files, financial records and Board and Committee files.
- » Identify any information systems, and related data, that will need be decommissioned and potentially archived. This can include, but is not limited to customer information systems, client case management databases, project files, maps, plans, technical drawings, websites and 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* (FOI Act) 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 Information assets

It is possible that some of the categories of information assets 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 information assets that exist.

Key processes

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 information assets 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 an ASP, or physically destroying records.

Key processes

- » Determine the range of the information assets and how they will be disposed of. This should include consideration of the following:
 - information assets that are active on the day the function is abolished
 - information assets 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 information assets to be archived or disposed.
- » Complete sentencing of all records according to an active and current 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 make sure the records are destroyed in a secure, confidential and environmental manner with sign off obtained from the CEO or delegate.
- » 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.
- » 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 FOI Act, 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 South Australia 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.

Section C – When government is losing a function to an external entity

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

The purpose of a TOCS is to identify information assets 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 SR Act. 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 SR Act. 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 and must be done before any information assets are transferred.

For further information regarding TOCS please contact State Records.

Section D – When government is undertaking a new function or a new agency is being created

In those instances where a new agency is established with functions that did not previously exist please contact State Records for advice.

Step 1 Notify State Records

An agency has specific records management responsibilities and obligations under the SR Act 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 new function. A copy of the Gazettal notice should also be provided.

In order to adequately manage information assets throughout their lifecycle a number of recordkeeping tools, systems, practices and resources need to be developed, procured and/or appointed.

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

A RDS should also be prepared/amended 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.

Step 2 Implement recordkeeping governance

The nominated Records Manager will need to procure and implement a range of recordkeeping tools and potential resources to administer information assets 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 information assets are created for the new agency/function:

- » create or update all recordkeeping policies and procedures
- » create or update all recordkeeping systems (eg upload RDS and Thesaurus into EDRMS)
- » create or update all recordkeeping registers and programs (eg Records Disposal Program, Vital Records Register, Information Systems Register, etc)
- » induct staff supporting the new agency/function in recordkeeping fundamentals using State Records Information Management Training
- » seek appropriate approvals for collection, use and disclosure of personal information.

Section – E When your agency is gaining an established function

Step 1 Contact the transferring agency

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 Section A of this guideline.

Step 2 Arrange for any current information assets that are required to be transferred

It is probable that your agency will identify some information assets 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 information assets is orderly and planned. Failure to do so may result in the loss of information assets required to perform your new functions.

Key processes

- » Nominate an officer with responsibility for liaison between the two agencies.
- » Ensure that your agency clearly identifies the information assets with the transferring agency that will be required to enable you to perform your new function.

Step 3 Receive and store information assets from the transferring agency

At this stage it is important for your agency to plan where the information assets received from the transferring agency will be stored. This will depend on whether the information assets 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 information assets (eg information assets 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 information assets.
- » Ensure the information assets 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 information assets identified for immediate and short-term use.
- » Information assets that are identified for infrequent use should be stored off-site. This may involve the use of storage facilities already owned and used by your agency or the use of an ASP.
- » There should be formal acknowledgment in writing from the transferring agency that information assets 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 information assets received from the transferring agency in their original form

It is vital that your agency does not integrate information assets received from the transferring agency into your existing information assets systems. If this happens your agency will lose contextual information about the transferred information assets. It will also hamper the effective tracking of the information assets. Therefore, all information assets transferred need to be 'closed' or made read only and new information assets created. These closed/read only information assets are referred to as the transferred/migrated records

Key processes

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

Past inadequate practice

State Records recognises that there may have been instances in the past where information assets 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 may 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 information assets in storage

It is quite possible that your agency may require access to and use of older information assets 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 information assets. These information assets may be permanent records held by State Records or temporary records held by an ASP.

Key processes

- » Negotiate which permanent or temporary information assets 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 information assets that are received (refer to Section 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.
- » Determine the access arrangements to information assets held in storage with the transferring agency and their storage provider.
- » Ensure that your agency resolves the process and costs for the retrieval of information assets of the transferring agency held in storage with the storage provider and the transferring agency.

Step 6 Dispose of information assets received in accordance with approved disposal schedules

Information assets, 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 RDS specific to the information assets of the agency, or GDS that apply to various agencies. If available, the transferring agency will give your agency copies of the RDS' related to the function that was transferred to your agency.

Should no disposal schedule exist for the information assets then one will need to be prepared and approved before any disposal can occur. Your agency should ensure that when the information assets 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 information assets.

Step 7 Update your control information assets

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

Key processes

- » Identify the agency from which the information assets were received on your control information assets.
- » Identify the date of transfer of the information assets in your control information assets.
- » Register the information assets received from the transferring agency as 'migrated' or 'transferred' in your control records and create a new file, which references the respective 'migrated' file.
- » Place a copy of the signed acknowledgment of transfer of information assets 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

The receiving agency's Principal Officer is required to notify the Director, State Records, stating:

- » the functions transferred
- » the quantity and formats of information assets transferred
- » the date the transfer process concluded.

Quick Reference Checklists

Section A – When your agency is losing a function

Actions to implement

- | | |
|---------------|---|
| 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 with details of your agency's records in off-site storage |
| Step 6 | Provide the new agency with copies of the relevant disposal schedules |
| Step 7 | Contact the new agency and make the records transfer arrangements for current records |
| Step 8 | Transfer records no longer required for off-site storage |
| Step 9 | Update your control records |

Section B – The abolition of an agency/function within Government

Actions to implement

- | | |
|---------------|--|
| Step 1 | Notify State Records |
| Step 2 | Identify any control records that apply to the information assets |
| Step 3 | Dispose of records, including destruction, temporary storage and archiving |
| Step 4 | Notify State Records of South Australia of process conclusion |

Section C – When Government is losing a function to an external entity

Actions to implement

- | | |
|---------------|---|
| Step 1 | Notify State Records |
| Step 2 | Identify the records to be transferred |
| Step 3 | Seek approval from State Records Council |
| Step 4 | Transfer records to external entity as per the TOCS |

Section D – When Government is undertaking a new function

Actions to implement

- | | |
|---------------|------------------------------------|
| Step 1 | Notify State Records |
| Step 2 | Implement recordkeeping governance |

Section E – When your agency is gaining an established function

Actions to implement

- | | |
|---------------|---|
| 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 South Australia of process conclusion |

Date approved	Approved by	Date for review	Version
05/04/2022	Manager, Information Governance	05/04/2025	4

Need further assistance?

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