

## Managing records during administrative change

Most forms of administrative reorganisation within government will require amendment to the intellectual and/or physical management of records as part of the change. Machinery-of-Government changes that can affect the Territory include: the movement of functions from one Directorate or other entity to another; the introduction of new or amended legislation; or a change of government after an election.

These changes can result in:

- the transfer of a function from one ACT Government entity to another
- the transfer of a function to another government jurisdiction (e.g., from the ACT to the Commonwealth)
- transfer of a function to a non-government entity (e.g., private sector or not-for-profit organisation)
- the creation or undertaking of a new function by the ACT Government
- the abolition of a function by the ACT Government.

When such administrative changes take place, a key principle is that responsibility for records relating to the function should always remain with the business area administering the function. This means that when entities administering a function move from one part of government to another, the records, both past and current that document the function, should also move with them. As part of this process, existing Records Management Programs of both the 'losing' (relinquishing) and 'gaining' (inheriting) entities will need to be amended to reflect the changes, and be re-authorised by the responsible Principal Officer.

It is important to identify what records are required for transfer and where they are located. Records that need to be transferred between entities could potentially be in any digital or physical format and may not necessarily be captured officially in an EDRMS (e.g., Content Manager (aka TRIM) or Objective). Consider:

- registered and unregistered paper records
- electronic records captured into systems other than an EDRMS, including unstructured data and records held in common digital environments (e.g., shared drives, O365 platforms)
- databases and functional business systems
- record formats (e.g., maps and plans, photographs, microfilm)
- obsolete technologies (e.g., VHS tapes, floppy disks)
- portable storage (e.g., external hard drives, USB sticks)

### Planning for a Transfer

The process of transferring records from one entity to another should be collaboratively planned by the inheriting entity as well as the relinquishing entity. This is usually done by the Records Manager, or person with records management responsibility, for each entity

concerned. A well-considered transfer of records ensures minimal disruption and enables the inheriting entity to perform the new function quickly.

The **Transfer of Responsibilities Plan** below details the actions and responsibilities that occur in a typical transfer of function as they relate to records management. Both the relinquishing entity and the inheriting entity can use this template to address key tasks and document actions, priorities, key contacts, timelines and other relevant details for a smooth and complete transfer.

**NOTE:** Records to be relinquished to an external entity, such as another jurisdiction or to the private sector, will raise custody and ownership issues. These transfers should be managed in consultation with the Territory Records Office, noting that the Director of Territory Records will be required to approve this form of disposal before any records can be relinquished to the external entity.

### **Records required by both entities**

Some records may be identified as being necessary to both the relinquishing entity and the inheriting entity for them to continue their business. In this scenario, the records should remain with the original entity and arrangements made for appropriate access to, or copying of, the records by the inheriting entity.

### **Documenting the Transfer**

All actions, decisions and rationale for decisions taken as part of the physical and intellectual movement of records must be documented and maintained as a record within itself. A file should be created using the following classification:

RECORDS & INFORMATION MANAGEMENT – Disposal – Restructuring – Transfer of records from *<Name of relinquishing entity>* to *<name of inheriting entity>* - *<year>*

The file should incorporate all information regarding the transfer of records from one entity to the other, including all file lists and other supporting documentation.

## Administrative Arrangements Order (AAO) - Transfer of Responsibilities Plan

**R – Responsible:** Stakeholder who performs an activity or undertakes the work.

**A – Accountable:** Stakeholder who is ultimately accountable and has Yes/No/Reject.

**C – Consulted:** Stakeholder that needs to provide feedback and contribute to the activity.

**I – Informed:** Stakeholder that needs to know the decision or action.

Transfer target date:

Relinquishing entity:	Records Management contact:		Inheriting entity:			Records Management contact:				
Digital Records Support (DRS) Contact:										
Physical Records Support (PRS) Contact:										
Contacts for business areas affected:										
Other relevant contacts (e.g. coordinator for all administrative change activities):										
<p><b>Obtain details about the administrative change</b>  <i>Details of the Administrative Arrangement will be located on the ACT Legislation Register, however it is important for records managers to identify who the entity coordinating officer for managing the whole function transfer to ensure records are considered as part of the broader entity transfer planning.</i></p>										
Tasks	Relinquishing Entity	Inheriting Entity	Digital Records Support (DRS)	Physical Records Support (PRS)	Other Business area	Resources	Budget (\$)	Priority 1. Immediately 2. Within 3 months  Within 6-12 months	Deadline dates	Dependencies
Clarify functions transferring (leaving/gaining)	R	R	I	I	TRO - I	<a href="https://www.legislation.act.gov.au">https://www.legislation.act.gov.au</a>				

						<a href="#">u/a/db 62 71/</a>				
Determine date of effect of transfer	R	R	I	I	TRO - I	<a href="https://www.legislation.act.gov.au/a/db_62_71/">https://www.legislation.act.gov.au/a/db_62_71/</a>				
Determine 'practical' date of effect (usually end of month just passed)	R	R	I	I						
Identify key contacts in gaining and losing agencies, and in records services. <i>Communication at officer level is very important to successful transfers.</i>	R	R								
Identify if there is any budget allocated to the administrative change to support a transfer	R	R								
Identify any special requirements to support the change.	R	R	C	C						
<b>Identify records of the function</b> <i>Best achieved by representatives from both the relinquishing and inheriting agencies to ensure there is a shared understanding of the scope of the transfer (e.g. quantities and formats) and to provide completeness of the capture.</i>										
Identify records and business information systems (e.g., client management databases, project management systems, EDRMS, retired systems) associated with the function	R	C		C	Digital, Data & Technology Solutions (DDTS) - C					Information assets are known including legacy systems
Provide details of any records held with an external storage provider, including contractual arrangements, accounts and costs.	R	C		C, I						
Determine what control records (such as file lists or indexes) relate to the records to be transferred.	R	C								

Determine Personnel records for transfer	R	C							When Staff move	ASAP when staff move
Determine what records are unregistered	R	C								
Determine what records are unsentenced	R	C								
Create an inventory of the records included as part of the transfer - this can be prepared manually or by generating reports out of an appropriate system (e.g. EDRMS). A copy of the inventories should be provided to the inheriting entity.	R	C, I								
Identify quantity of records and formats to be transferred and to where	R	R	I	I						
<p><b>Registering, Sentencing and disposal of records</b>  <i>Registering records and sentencing all unsentenced records before transfer is best practice to ensure that only records that are still required under a records disposal schedule are transferred to the new entity.</i>  <i>Both the relinquishing and inheriting entity will need to come to a common understanding on what the expectation is for unsentenced records prior to transfer</i></p> <p>For sentencing and disposal see <a href="#">Retain – Overview of records disposal and destruction</a> and <a href="#">Assess – Sentencing of records</a>.</p>										
Register unregistered records prior to transfer where applicable	R	C	I	I						
Determine position and actions regarding sentencing unsentenced records	R	R		C						
Dispose of sentenced records due for destruction	R, A	C		C	TRO – C Business owners of records due for destruction - A					TRO endorsement

**Physical Records Arrangements**

*Physical records should wherever possible be retained in their original context upon receipt i.e. file covers not changed, control symbols/numbers not to be altered or top numbered, and titles should remain the same as received. If necessary, the receiving entity can identify records that can be closed and create new files with intellectual links (relationships) to the inherited records within the control system(s).*

<p>Provide details of any records held with an approved storage provider (include contractual arrangements, costs, location).</p>	R	C		I, C							<p>There may be additional costs in uplifting and Business as usual activities such as file lodgements and retrievals – Quantities need to be ascertained to assist in determining this storing physical records</p>
<p>Identify physical storage requirements on premise</p> <ul style="list-style-type: none"> <li>• <i>Are there any active physical files?</i></li> <li>• <i>Ascertain usage (immediate, foreseeable future, infrequent).</i></li> <li>• <i>Are there inactive physical file that can be placed in offsite storage?</i></li> <li>• <i>Organise storage facilities where applicable</i></li> </ul>	R	R			<p><b>Function al Business Owners - C</b></p>						<p>On prem storage facilities may attract additional costs</p>
<p>Organise movement of physical records on premise (where applicable)</p>	R	R									<p>Dependent on when staff are moving</p>

Update arrangements with storage provider/s holding identified inherited physical records	R	R		R				Within 3 months		
Update control records indicating the new custodial area and the date of transfer – no other original metadata should be altered, including details of the original creator of the records. <u>Care must be taken to retain all provenance metadata.</u>	R	R		R						Will require arranging this with storage providers where applicable and should be done on day post transfer date.
Advise PRS of date of transfer so billing of any storage of physical records is transferred to the inheriting entity	R	C		C				As soon as transfer date is known		Billing change is dependent on transfer occurring on time
<p><b>Digital Records Arrangements</b>  <i>Digital records in an EDRMS should be retained in their original context upon receipt i.e. control symbols/numbers not to be altered or top numbered, and titles should remain the same as received. If necessary, the receiving agency can identify records that can be closed and create new files with intellectual links (relationships) to the inherited records within the control system(s).</i></p> <p><i>Business Systems identified as systems of record should also transfer with function. Information Asset Registers in the RMPs of both agencies should reflect the change.</i></p>										
Identify systems of record used and version/s	R	R			DDTS - C					
Ascertain whether any EDRMS issues e.g. moving from WhoG Objective to WhoG TRIM or standalone instance requiring transfer to WhoG EDRMS	R	R	C							Dependent on type of systems identified
Map incoming metadata	C	R	R							
Note previous controlling entity and date of transfer	C	R	R							

Prepare Assignees and locations on EDRMS for receiving entity	C	R	R							
Update control records indicating the new custodial area and the date of transfer – no other original metadata should be altered, including details of the original creator of the records. <u>Care must be taken to retain all provenance metadata.</u>	C	R	R							
Determine how to integrate transferred records into the existing filing systems of the receiving entity without losing historical information such as the records' original order and metadata. For EDRMS users, this may involve creating a new Record Type (Content Manager/TRIM) or Object (Objective).	C	R	R							
Engage DRS to administer changes in WhoG TRIM or Objective, where applicable	R	R	C							
<p><b>Records Management Program (RMP)</b>  <i>Both the relinquishing and inheriting entity will need to update their entity RMP to reflect the administrative change (e.g. RDS update)</i></p>										
Revise the entity Records Management Program to reflect losing/ gaining of the function.	R	R						Within 3 months		
Forward the amended Records Management Program, signed by the responsible Principal Officer to the TRO.	R	R						Within 3 months		



**Review completeness of transfer to ensure all records following the identified functions are transferred into inheriting agencies custody.**

*Both the relinquishing and inheriting entity should account for all the records that have been transferred, where they came from and where they were moved.*

Use the inventories supplied by the relinquishing entity to review the completeness of the transfer of all records in all formats stated.	C	R						As soon as possible after transfer		
Organise a file census on receipt of physical records to confirm items identified have been transferred	C	R						Immediately after transfer		
Document outcome of transfer e.g., summary of what was transferred, where it came from and where it went, anything of note for future reference.	R	R						Once transfer review is complete		



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#### [CONTACT US](#)

Territory Records Office | [www.territoryrecords.act.gov.au](http://www.territoryrecords.act.gov.au) | [TRO@act.gov.au](mailto:TRO@act.gov.au)