

Information Management Advice 65 What to do if your Agency is Closed or Privatised

This Advice provides a plan for the actions you must take to manage information if your agency is dissolved. It complements State Records Guideline No. 3 Managing Recordkeeping Risk during Administrative Change. This Guideline provides more detailed guidance on how to transfer information, whether you are transferring to TAHO, another government, another agency, or to a private body.

Further guidance on other key implementation challenges is currently being developed by TAHO.

Who is this guidance for?

This guidance is primarily aimed at agency Records Managers/Officers or the equivalent role in your agency. It may also be useful for CIO, Directors of IT, Senior Information Risk Owners, change or project managers (anyone within your agency responsible for managing information risk, or managing change).

What to do if your Agency is closed

If a decision has been made to close your agency, your information needs to be properly disposed of or transferred to your controlling agency, and you need to build this into your planning at the earliest stages. If you are the Records Manager/Officer for the agency being dissolved, get in touch with your controlling agency's Records Manager and TAHO as soon as you can, to discuss the future management of, and access to, your records.

Bear in mind the impact of loss of expertise when an agency is dissolved, and take early decisions on the disposal of records and the sensitivity of selected records while such expertise is still available.

The joint information transition team

The first action you need to take is to establish a joint information transition team including staff from the transferring agency, the controlling agency and the successor organisation (if possible).

Include expertise from information management, information technology, information audit and change management. This will help you to ensure that information is protected, and usable after transition. Your joint information transition team is responsible for information management before, during and after the transition program.

Action plan

Action	Responsibility	Evidence of completion
<p>Get in touch as soon as you hear you may be being closed</p> <ul style="list-style-type: none"> Contact the agency Records Manager in the controlling agency Contact TAHO Contact the successor organisation (if there is one) 	<ul style="list-style-type: none"> Manager Corporate Services or agency Records Officer 	<ul style="list-style-type: none"> Contact made
<p>Set up an Information Transition Team</p> <ul style="list-style-type: none"> Include expertise from a range of disciplines Include people from the controlling agency and the successor organisation (if there is one) 	<ul style="list-style-type: none"> Manager Corporate Services in the controlling agency 	<ul style="list-style-type: none"> Team established and Terms of reference agreed Controlling agency commits to team remaining in place after closure, until all actions are completed and responsibility transferred to the controlling agency's Records Manager
<p>Carry out a comprehensive information survey</p> <ul style="list-style-type: none"> Document your records, their business and operational use, and the technology that supports them; legal requirements and 	<ul style="list-style-type: none"> Records Manager (transferring agency). 	<ul style="list-style-type: none"> Information survey documented record series identified prior to closure

<p>intellectual property rights for each record. Perform a sensitivity review (see below). See Information Management Advice 61 How to review your records holdings for more advice.</p> <ul style="list-style-type: none"> • Share the results with the Records Manager of your controlling agency. 		
<p>Review your records</p> <ul style="list-style-type: none"> • Identify records for permanent preservation and transfer them to TAHO, if not required by a successor organisation for ongoing business • Identify temporary records required by a successor organisation and arrange approval from TAHO for their transfer (if applicable). • Identify temporary records not yet due for destruction and not required by a successor organisation and arrange approval with TAHO for their transfer to the central agency managing the closure (Department of Treasury and Finance, or Department of Premier and Cabinet). • Identify and dispose of short term value records that are due for destruction not required by a successor organisation. 	<ul style="list-style-type: none"> • Agency Records Manager identifies and reviews records • Agency Records Manager transfers records to TAHO, and to controlling agency as required • Transition team is responsible for ensuring transferred records are still usable as required • Agency Records Manager disposes temporary records 	<ul style="list-style-type: none"> • Transfer of Custody or Transfer of Ownership authorities obtained from TAHO as required • Sensitivity review completed prior to closure • Records with permanent value transferred to TAHO , if not required by a successor organisation for their ongoing business needs • Records with business use transferred to the controlling agency prior to closure • Records transferred in a way that ensures that they are still usable as required • Temporary records disposed of appropriately prior to closure

<p>Arrange access to records</p> <ul style="list-style-type: none"> Review sensitivity of records (for personal information and information security classified information X-in-confidence and above) Ensure the controlling agency has the authority to retrieve and provide access to records once they are transferred to TAHO 	<ul style="list-style-type: none"> Agency Records Manager reviews sensitivity Agency Records Manager agrees access with TAHO 	<ul style="list-style-type: none"> Sensitivity review completed prior to closure Agency or controlling agency and TAHO agree access to closed records prior to Agency closure
<p>Preserve publicly available material</p> <ul style="list-style-type: none"> Ensure websites are captured 	<ul style="list-style-type: none"> Agency Records Manager informs TAHO and LINC Tasmania web archiving team of the need to capture website no later than six weeks prior to Agency closure 	<ul style="list-style-type: none"> Website captured by LINC Tasmania
<ul style="list-style-type: none"> Archive datasets as part of your website capture, or transfer them to your controlling agency Investigate any planned updates to datasets. If they are yet to be published, ensure they are posted to your website before the date of the final website capture. Document the technical dependencies, and make arrangements for transfer of technology, licences and documentation if needed. Collect and transfer information on how the data was captured, processed and arranged. 	<ul style="list-style-type: none"> Agency Records Manager informs TAHO collections of need to capture dataset(s) no later than six weeks prior to closure Agency Records Manager transfers unpublished datasets and supporting technology, licences and documentation. 	<ul style="list-style-type: none"> Datasets captured as part of the website capture. Unpublished Datasets transferred to the controlling agency prior to closure
<ul style="list-style-type: none"> Identify documents made available for public inspection, agree whether they are still required, and make them available through appropriate sources. 	<ul style="list-style-type: none"> Agency Records Manager and controlling agency agree on documents required after closure 	<ul style="list-style-type: none"> Documents previously available for public inspection made available through appropriate sources after closure

Further Advice

For more detailed advice, please contact:

Government Information Strategy Unit
Tasmanian Archive and Heritage Office
91 Murray Street
HOBART TASMANIA 7000
Telephone: 03 6165 5581
Email gisu@education.tas.gov.au

Acknowledgements

This Advice is largely based on:

- What to do with records if your Agency is being dissolved, The National Archives of the UK

Information security Classification

This document has been security classified using the Tasmanian Government Information Security classification standard as PUBLIC and will be managed according to the requirements of the Tasmanian Government Information Security Policy.

Document Development History

Build Status

Version	Date	Author	Reason	Sections
1.0	July 2014	Allegra Huxtable	Initial Release	All

Amendments in this Release

Section Title	Section Number	Amendment Summary
		This is the first release of this document.

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Ross Latham
State Archivist