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## For the Record April 2015

### For The **RECORD**

Managing records in the New South Wales public sector

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## NSW Government Information Asset Register

The Office of Finance and Services has launched the [NSW Government Information Asset Register](#) (IAR) as part of the Data Custodianships initiative of the [NSW Government ICT Strategy](#). Records managers are encouraged to register for an account to begin sharing and finding core-value information assets and datasets. Visit <http://data.nsw.gov.au/iar/> to register.

The IAR is a password-protected online platform for NSW Government employees that facilitates the sharing of core-value information assets among agencies. The IAR is not a repository of datasets; it is a "catalogue" of information assets that may be too sensitive for public release, but could be shared between NSW Government agencies. Each entry contains metadata including accessibility and contact details to find out more about the information asset.

Information assets on the IAR include datasets, databases, systems and platforms (information processing infrastructure). The IAR is designed to reduce duplication of effort, to increase the reuse of data sources and systems, and to raise awareness and use of authoritative sources of information by facilitating sharing across agencies and clusters.

All NSW Government agencies are encouraged to access and use the IAR. You can request a user login and search for, and upload metadata on behalf of your agency. Visit <http://data.nsw.gov.au/iar/> to register or contact administrators via email at [daadmin@records.nsw.gov.au](mailto:daadmin@records.nsw.gov.au) or [datansw@finance.nsw.gov.au](mailto:datansw@finance.nsw.gov.au) for more information.

## Administrative Change – records and information considerations when changing service provider

From time to time NSW public offices will change or exit service arrangement with providers of records management services. This is likely to be the case in the changes foreshadowed by the recent NSW Government Administrative Arrangements Orders. As a result of agencies moving clusters or departmental arrangements, some will also be leaving current service provider arrangements and entering new arrangements within a different cluster or department.

It is critically important at such times for both the agency and the service provider to have a clear and agreed plan about how the records (whether in digital or paper format) held by the service provider are to be managed through the transition.

In the case of digital records the transition will include moving data from one system to another. Before migrating data it is important to have undertaken an appropriate risk assessment as this will inform the migration planning and testing processes used.

In relation to digital records it is important that planning and transition processes include :

- Correct identification of what records and information (including metadata) are to be migrated from one service environment to another
- Testing to ensure that all records and information (including appropriate metadata) have been successfully migrated to target system (of new provider)
- Rectification processes to be used if there are issues with quality or success of the migration
- Confirmation that the records and information (and metadata) that is need for on going business, accountability and legal purposes have been migrated
- Documented, appropriate timeframes for the service provider to hold the source records after successful migration before deletion of data occurs. The *General authority: Source records that have been migrated (GA33)* provides requirements for retention timeframes (i.e following their successful migration, source records must be kept for at least six months and in some cases the period may be longer, depending on the organisational risk assessment)

### Further information

For further information see-

- General authority: Source records that have been migrated (GA33)*. This provides for the authorised disposal of State records which have been used as the input or source records for successful migration operations.
- Guidance on [Effectively manage the migration of your digital records](#)
- Guidance on [Using shared services for records and information management](#)

## Disposal authorities and administrative change

During the recent administrative changes, your agency may have been amalgamated with another agency or acquired functions from another agency. In these cases State Records should be notified as permission may be required to use the functional authority applying to that agency or function.

## Reviewing functional retention and disposal authorities

If your functional disposal authority is in need of review, please contact us for advice before initiating any review or redrafting processes, including engaging consultants, so that we can discuss requirements, options and preferred approaches to managing the process, including timing. Please call 02 8257 2900 or email [govrec@records.nsw.gov.au](mailto:govrec@records.nsw.gov.au)

## Wet records

Disasters and unfortunate incidents can strike with little warning, so having quick access to information to help in the recovery action and a plan for how to react before the event occurs is essential. State Records has information on our website that will help you to be prepared, including:

- [Conservation Tip No. 6: Dealing with wet records](#). This advice outlines the salvage and handling of wet records.
- Our advice page on [disaster management](#) contains information on dealing with large and small scale disasters, including protocols for insurance assessors, a recovery checklist and what to do if records that have not yet met their minimum retention periods are damaged or lost.

## Feedback on implementing the new Standard on Records Management

We are interested to hear how people may have used the standard to support the implementation or assessment of digital systems and the transformation of digital processes. One of the major changes we made with the new Standard on Records Management was to emphasize a range of responsibilities so that the obligations on executives and business unit managers were more explicitly stated. Simultaneously, we shifted some of the more detailed requirements into guidance, as we felt that the digital environments in which they were implemented were extremely varied and changing rapidly. Detailed advice needs to be flexible and able to be updated outside of the standard review cycle.

if you would like to provide some feedback there is an [online form on the FutureProof blog](#).

## Recent FutureProof blog posts

Recent blogs on the FutureProof blog include:

- [a discussion on enterprise search technologies](#)
- [Metadata enables users to find records and information](#)

## Updated eLearning Modules

State Records offers a range of free online training modules on records and information management and recordkeeping in the NSW public sector. The modules are available from our Training Resource Centre at <http://elearning.records.nsw.gov.au>

We have recently revised and updated the following eLearning modules to incorporate the new Standard on records management:

- Role of the Senior Responsible Officer*: The Senior Responsible Officer (SRO) is the person in an organisation who has been assigned strategic responsibility and oversight of records and information management. This module explains in detail what a SRO is, what is expected of them and why the role is important. It also provides guidance to assist the SRO to perform their role.
- Framework for records and information management in NSW*: This module assists records managers and staff in records and information management roles understand the legislative, policy and business frameworks for records and information management in the NSW public sector.
- Recordkeeping Concepts*: This module assists staff in records and information management roles, who are new to records and information management, to understand key records management concepts. These concepts provide an essential foundation for managing records in the NSW public sector.
- Digital Recordkeeping Concepts*: This module assists managers and staff in records and information management roles understand digital recordkeeping concepts. These concepts provide an essential foundation for managing digital records in the NSW public sector

## Podcasts from the Records Managers Forum

[Podcasts from the March Records Managers Forum](#) are now available. These include:

- Sonya Sherman on *Recent developments in the NSW Government ICT Strategy and IM Framework*
- Geoff Hinchcliffe on *Strategic development at State Records NSW* (pdf of slides)
- Catherine Robinson on *Implementing the new Standard on Records Management*
- Richard Lehane on *Updates on the Digital State Archive, OpenGov NSW and Data NSW*

## Training in May and June

**Managing Recordkeeping Risk in Business Systems**: This free workshop is designed to assist NSW public sector personnel involved in projects to identify and mitigate risks to digital business information residing in business systems. Knowledge gained in the workshop can also assist public offices to work towards compliance with the Standard on records management.

- 12 May: Western Sydney Records Centre (Kingswood)
- 23 June: Queens Square (Macquarie Street, Sydney)

**Retention and Disposal of Public Health Sector Records**: This course is designed for public health organisations and provides participants with information on how to use a retention and disposal authority, with particular emphasis on using General Retention and Disposal Authorities 17 and 21. Participants learn about implementing disposal, including records storage and destruction, and transfer of archives.

- 28 May: Queens Square (Macquarie Street, Sydney)

**Records Management Fundamentals**: This course covers the fundamental principles and practices of records management. It provides participants with a basic understanding of the activities involved in managing paper and digital records.

- 17-18 June: Queens Square (Macquarie Street, Sydney)

**Managing Digital Records: An Overview**: This revised training course provides participants with an understanding of some of the challenges and opportunities for digital recordkeeping within emerging information environments.

Through the use of case studies, this course focuses on providing an understanding of the frameworks, systems, approaches and evolving tools which impact today on digital information management.

- 19 June: Queens Square (Macquarie Street, Sydney)

## Disposal authorities approved

State Records recently approved disposal authorities for the Sydney Harbour Foreshore Authority and the Office of the Childrens Guardian.

Copies of our retention and disposal authorities are available from the [Retention and Disposal Authorities](#) page on our website.

