**Office of the
State Archivist**

INFORMATION AND RECORDS MANAGEMENT STANDARD

Our principles:

Value: We maximise the value of our state's information assets

Manage: We apply a risk-based approach to managing information assets

Share: We enable safe and secure sharing of information

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Tasmanian
Government

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This is a living document and we will make minor changes as needed. If you notice anything that needs updating, please let us know.

The *Information and Records Management Standard* is part of the *Tasmanian Government Information Management Framework.*

Every three years we will review, update and reissue all of our Standards to ensure they reflect current best practice. The scheduled review date is October 2023.

Document Development History

Version	Date	Comments
1	28/10/2020	Authorised release

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Purpose

This Standard describes the minimum requirements for managing information and records.

> Records are both evidence of business activity and information assets. Any set of information, regardless of its structure or form, can be managed as a record. This includes information in the form of a document, a collection of data or other types of digital or analogue information which are created, captured and managed in the course of business. AS/ISO 15489-1: 2017 *Information and documentation – Records management – Part 1: Concepts and principles.*

Adoption of this Standard ensures that you will:

- reduce business risks
- enable prompt, safe and secure sharing of information
- reduce costs and improve efficiency
- make informed decisions and deliver better public services
- operate accountably, effectively and legally
- protect the reputation of your organisation and the government
- preserve government information and contribute to Tasmania's cultural memory
- meet your requirements under the *Archives Act 1983* (Tas).

This Standard is consistent with AS/ISO 15489-1: 2017 *Information and documentation – Records management – Part 1: Concepts and principles.*

Scope

This Standard applies to all organisations defined in the *Archives Act 1983* (Tas).

Authority

This Standard is issued under Section 10A of the *Archives Act 1983* (Tas).

Implementation

When implementing this Standard, consider **value** and **risk.** In practice, this means that resource and effort should be directed to high-value, high-risk records.

The State Archivist sets the risk tolerance for Permanent records.

> Permanent records are to be transferred as State archives for addition to the Tasmanian Archives when no longer required for official purposes. Less than 5% of all records created by government are of permanent retention value. These **high-value records** are kept as the documentary heritage of the State of Tasmania.
>
> *The State Archivist's tolerance of risk to these records is low.* This means prioritising management of these records above others and consulting the Office of the State Archivist for guidance on appropriate methods for their storage, preservation and accessibility.

Your organisation sets the risk tolerance for Temporary records.

Your organisation's **high-value records** are records that your business could not function without.

Your organisation's **high-risk records** may include, but are not limited to:

- those likely to be required in legal proceedings
- highly confidential or highly classified material
- those of potential value for sharing across government in response to high priority business
- commercially sensitive information
- personal or sensitive information.

Identifying your high-value, high-risk records means that you can prioritise effort and resource to these records, over, for example, low-value, low-risk records.

We have adopted a risk-based approach based on feedback and current best practice. We recognise that this new approach is different from our previous focus on compliance, and we will support all organisations implementing this Standard. Further information and advice is provided in our Implementation tools.

We recommend that you apply a risk-based approach to records management. You should follow your organisational risk management processes.

Contact us to discuss any issues so we can address them together.

Note

Some Policies and Standards in our *Information Management Framework* are in development. Check our website for details.

Minimum Requirements

1. POLICIES AND PROCEDURES

Develop, implement and maintain authorised information and records management policies and procedures.

Monitor and evaluate policies, systems, procedures and processes, modifying as needed.

2. RESPONSIBILITIES

Ensure overall information and records management responsibilities are assigned to a senior executive in your organisation.

Assign, document and communicate recordkeeping responsibilities to all staff, and where appropriate, to board members, elected representatives, volunteers and contractors. Ensure staff with particular responsibilities, such as senior executives, are aware of these.

Your organisation retains recordkeeping responsibilities for outsourced services, activities and/or functions. Ensure this is communicated to relevant staff in your organisation and in the outsourced organisation/s, and clearly documented in outsourcing contracts or agreements.

3. CAPABILITY

Provide awareness, tools, training and professional development for managers, information and records professionals and staff to help them meet their responsibilities. Where appropriate, extend training to board members, elected representatives, volunteers and contractors.

4. APPRAISAL

Conduct and document appraisal to determine which records need to be created and/or captured and how long they need to be kept to meet:

- business needs
- legal and regulatory requirements
- community and societal expectations.

Conduct appraisal when:

- a new organisation is established
- functions or activities are gained or lost
- business needs or practices change
- regulatory requirements change
- systems are introduced or upgraded
- perceptions of risk, or community and/or societal priorities change.

Identify records which should be kept permanently as State archives. Most State archives have one or more of the following characteristics. They may:

- document the authority and structure of Tasmanian Government
- provide evidence of functions and programs of Government and impact on the people of Tasmania
- provide evidence of accountability of Government
- establish the rights and entitlements of individuals or groups
- contribute to knowledge or understanding of Tasmanian history, society and culture
- document environmental management and change, and any impact on community health and wellbeing
- have historical, aesthetic or artistic value, be in a novel format or be otherwise rare or unique.

Document appraisal in authorised Disposal Schedules and Information Asset Registers.

5. INFORMATION AND RECORDS

Create and/or capture records regardless of format. This includes digital records in email systems, websites, social media, cloud-based applications, mobile technologies and business systems, and hardcopy records.

Ensure records are accurate, provide evidence of business, and meet legislative and regulatory requirements and stakeholder expectations.

6. INFORMATION AND RECORDS SYSTEMS

Design/select and implement information systems that are fit for purpose. Ensure systems support the creation, capture, retrieval and management of records.

Ensure systems protect records from unauthorised access, change, loss or destruction, including theft or disaster.

Plan for, document and manage migration, conversion, decommissioning and/or digitisation processes.

7. CLASSIFICATION AND METADATA

Create metadata about records when they are created and/or captured. Maintain persistent linkages between records and their metadata, and manage metadata in the same way you manage records. Ensure records' metadata complies with industry standards.

Develop and implement classification and/or metadata schemas that provide context and structure to unstructured information. (For example, business classification schemes, information security classification.) Use tools and/or schemas that suit your business so you can identify, find, retrieve, provide access to, manage, protect, share, retain and dispose of records.

8. ACCESS TO INFORMATION AND RECORDS

8.1 ACCESS TO RECORDS IN YOUR CUSTODY

Manage access to records in accordance with:

- legislative, regulatory and contractual requirements, including the *Personal Information Protection Act 2004* (Tas)*, Right to Information Act 2009* (Tas), *Archives Act 1983* (Tas), and where appropriate, the *Privacy Act 1988* (Cwlth)
- relevant policies and standards in the *Tasmanian Government Information Management Framework*
- organisational security policies.

Ensure systems, the records in them, and their metadata remain accessible for as long as required. This may involve:

- regular monitoring and review
- copying, converting or migrating records into different formats
- system upgrades or migration
- disaster preparedness plans.

Ensure access is assigned and maintained according to organisational roles and functions.

Ensure contracts contain access and audit provisions, including retrieval, handling and return of records where functions have been outsourced, or if records are stored in the cloud.

Manage access to records during restructure, government administrative change, privatisation, outsourcing or other business change.

Monitor access to, and movement of records, and report any information security and/or cybersecurity breaches. This includes all records in your custody, including those that are in transit, on portable devices, outsourced, stored commercially or in the cloud.

Follow your organisational information security and/or cybersecurity procedures when reporting breaches.

Report unauthorised custody or possession of State records (Section 12 *Archives Act 1983* (Tas)), unauthorised disclosure of information in State archives (s15), unauthorised destruction or disposal of records, transfers of ownership or custody, damage or alteration of State records (s20) to the Office of the State Archivist.

Tasmanian Government organisations listed in Schedule 1 of the *State Service Act 2000* (Tas) should report cybersecurity breaches to the Tasmanian Government Chief Information Officer.

Report suspected criminal activity to Tasmania Police.

While not a statutory requirement, it is good practice to also report:

- misconduct by officers of public authorities to the Integrity Commission
- breaches of personal information principles to Ombudsman Tasmania.

Organisations subject to the *Privacy Act 1988* (Cwlth) are also required to comply with the Notifiable Data Breaches (NBD) scheme. Organisations are required to notify individuals likely to be at risk of serious harm by a data breach, and report the breach to the Office of the Australian Information Commissioner (OAIC).

8.2 GOVERNMENT ACCESS TO STATE ARCHIVES

Treat State archives on short term loan with care. Ensure access restrictions (*Archives Act 1983* (Tas) (s15)) are observed. Return State archives in the same condition. Altering or adding to records that have been transferred to State archives is prohibited under the Act (s21) without approval from the State Archivist.

9. DISPOSAL

9.1 DISPOSAL SCHEDULES

Develop and/or apply authorised Disposal Schedules.

Retain records and metadata for the period specified in authorised Disposal Schedules.

9.2 TRANSFERRING RECORDS DUE TO GOVERNMENT ADMINISTRATIVE CHANGE

Formally transfer custody and/or ownership of records to organisations that have taken responsibility for the function through restructure, government administrative change, privatisation, outsourcing or other business change.

Notify the State Archivist of any proposed transfer. Seek permission for transfer of custody and/or ownership if this is not included in the enabling legislation and/or contract. Ensure continuing retention and disposal of coverage of records.

If required, seek legal advice about the enabling legislation and/or contract to clarify rights and responsibilities and whether records are clearly identified as assets or Crown material.

Plan, manage and document the transfer with minimum disruption to business continuity and service delivery. Ensure that records are transferred in an agreed and compatible format so they are accessible. Transfer:

- records and their metadata
- all associated control records (such as indexes and registers)
- responsibility for managing contracts related to records (commercial secondary storage, digital continuity etc.)
- documents about previous transfers of permanent records to the Tasmanian Archives.

9.3 PERMANENT RECORDS

9.3.1 Permanent records kept in your custody

If you need to keep permanent records in your custody beyond the time specified in the *Archives Act 1983* (Tas), seek permission from the State Archivist.

9.3.2 Transferring permanent records to the Tasmanian Archives

Transfer permanent records to the Tasmanian Archives when they are no longer required for official purposes.

Specify any access conditions in Transfer and Access Agreements before you transfer records to the Tasmanian Archives. Unless you specify otherwise, records in the Archives are open by default.

9.4 TEMPORARY RECORDS

Destroy temporary records in accordance with authorised Disposal Schedules.

Destroy temporary records in a way that is authorised, timely, documented, secure and appropriate to the format/medium.

9.5 SOURCE RECORDS

Seek approval from the State Archivist to destroy permanent source records that have been copied, converted or migrated from one format to another.

Temporary source records that have been copied, converted or migrated from one format to another may be destroyed in accordance with *Disposal Schedule for Source Records* (DA 2159) after you have met our digitisation requirements.

Destroy source records in a way that is authorised, timely, documented, secure and appropriate to the format/medium.

9.6 UNSCHEDULED RECORDS

If records are not included in authorised Disposal Schedules, or were created before 1960, seek advice from the Office of the State Archivist as you may need to:

- undertake appraisal
- seek authorisation from the State Archivist before destroying any records
- transfer records to the Tasmanian Archives.

Destroy unscheduled records and metadata in a way that is authorised, timely, documented, secure and appropriate to the format/medium.

9.7 SUSPENSION OF SCHEDULED DESTRUCTION

Suspend scheduled destruction of records where they may be used in current or future legal action, investigations or inquiries. This includes:

- native title claims
- applications in progress under the *Personal Information Protection Act 2004* (Tas) *or Right to Information Act 2009* (Tas)
- Royal Commission freezes.

(See relevant Disposal Schedules for more information.)

9.8 RECORDS AFFECTED BY DISASTER

Seek advice from the Office of the State Archivist and complete an Incident Report if records have been damaged, lost or partially lost because of:

- natural events or disasters (such as bushfires, floods, earthquakes, vermin)
- structural or building failure (faulty sprinklers, heating or air conditioning, burst pipes, roof leaks)
- industrial accidents (gas leaks, chemical spills, fire)
- technological disaster (equipment failure, viruses)
- criminal activity (vandalism, theft, arson, terrorism) or
- other circumstance.

9.9 DESTRUCTION METHODS

Destroy records in a way that is authorised, timely, documented, secure and appropriate to the format/medium.

Acknowledgements

International Organization for Standardization (2017) AS/ISO 15489-1: 2017 *Information and documentation - Records management – Part 1: Concepts and principles.* Geneva: ISO.

National Archives of Australia (NAA) (2017) Information Management Standard – Australian Government, NAA, accessed 3 August 2020. [The link targets a landing page, not a PDF].

We thank the archives and records authorities that have influenced this Standard:

- Archives New Zealand
- National Archives of Australia
- Northern Territory Archives Service
- Public Records Office of Victoria
- Queensland State Archives
- State Archives & Records New South Wales
- State Records of South Australia
- State Records Office of Western Australia
- Territory Records Office, Australian Capital Territory

More Information

TASMANIAN GOVERNMENT

Department of Premier and Cabinet. Tasmanian Government Chief Information Officer

Integrity Commission

Office of the State Archivist

Ombudsman Tasmania

AUSTRALIAN GOVERNMENT

Office of the Australian Information Commissioner (OAIC)

LEGISLATION

Federal Register of Legislation

Tasmanian Legislation