

## **GUIDELINES FOR MANAGEMENT OF RECORDS DURING ADMINISTRATIVE CHANGE**

### **1) Terms of reference**

- a) This guideline, issued in terms of National Archives Act Chapter 25:06.

### **2) Interpretation**

- a) Predecessor institution means the institution whose records are being moved to another institution.
- b) Successor institution means the institution that is receiving records from another institution.
- c) Technical Committee means a committee established by the Records Committee and it comprise of records personnel predecessor and successor institutions and officers from the National Archives.

### **3) Scope and application**

- a. These guidelines apply to all public institutions, referred in the Archives Act Chapter 25:06 Section 6 and 7.

### **4) Purpose**

- 1) The purpose of these guidelines is to provide for an operational mechanism for closure and transfer of public records during administrative changes where;
  - a) a function has been transferred from one public institution to another,
  - b) an existing public institution has been abolished,
  - c) public institutions have been amalgamated

### **5) Responsibilities**

- a) Records remain a responsibility of the predecessor institution until such a time they are transferred to the successor institution.
- b) Predecessor institutions are responsible for ensuring closure and transfer of public records in their custody during administrative change.
- c) Having become aware of any administrative changes, the predecessor institution must notify the National Archives Director within seven (7) working days.
- d) The National Archives Director must convene the **Records Committee** referred to in National Archives Act Chapter 25:06 section 8, within seven (7) working days upon having receiving a notification from the predecessor institution.
- e) The Records committee must facilitate and co-ordinate closure, destruction and transfer of public records and information.
- f) The Records Committee must establish a technical-committee comprised of officers from National Archives and predecessor and successor institutions.
- g) The **Technical Committee** must implement records disposal and transfer procedures.

### **6) Procedures**

- 1) Where a function has been transferred;
  - a) Records relating to a function must be transferred with the function.
  - b) Earlier records may not be needed by the predecessor institution and a cut off date must be determined.
  - c) Records not needed for transfer must be disposed in accordance with approved retention and disposal schedules.
  - d) Transmittal lists of both transferred and disposed records must be created and kept by both predecessor and successor institutions.
  - e) Records management tools for both the successor and predecessor institutions must be updated.
- 2) Where there is an amalgamation;
  - a) Records of all predecessor institutions must be transferred to the successor institution
  - b) Earlier records may not be needed by the predecessor institution and a cut off date must be determined.
  - c) Records not needed for transfer must be disposed in accordance with approved retention and disposal schedules.
  - d) Transmittal lists of both transferred and disposed records must be created and kept by successor institution.
  - e) Successor institution must create new registry tools based on predecessor institutions tools.
- 3) Where there is an institution has been abolished;
  - a) All records must be closed.
  - b) All records must be disposed in accordance to approved retention and disposal schedules.
  - c) Records that are not due for destruction must be transferred to the Records Centre pending their disposal.
  - d) Transmittal lists of both transferred and disposed records must be created and kept by the Records Centre.
- 4) If there are no approved retention and disposal schedules for the concerned records, a one-off appraisal must be done.