



January 2018

Statutory out-of-home care - Designated Agency Paper Records Transfer to FACS

Purpose

This information sheet outlines the transfer of client paper files for children and young people in statutory out-of-home care (OOHC) from a designated agency with case management responsibility to the Government Records Repository (GRR). A designated agency is an organisation that is accredited by the NSW Children's Guardian to provide statutory OOHC services in NSW.

Refer also to *Statutory OOHC Designated Agency Digital Records Transfer Information Sheet No: 4* for further guidance on how to transfer digital/electronic records. FACS has entered into a Memorandum of Understanding (MOU) with the Government Records Repository (GRR) to facilitate appropriate management of identified State records and arrangement for the transfer of paper records.

Creation and Management of Client Files

Creation and maintenance of records relating to the provision of services to children and young people is essential to support the ongoing care, interests, rights and entitlements of the child or young person in statutory OOHC.

Designated agencies are required to have record management systems that comply with legal and administrative requirements to ensure full and accurate records can be provided for children and young people in their care.

Transfer of client paper files to FACS under section 170

Section 170 of the *Children and Young Person (Care and Protection) Act 1998* requires that each designated agency keep records relating to the placement of a child or young person in statutory OOHC for a period of seven years after ceasing to be responsible for the placement.

After the seven years, the designated agency must deliver those records to the Secretary (FACS) for ongoing management. Under the legislation, where a designated agency has transferred closed files to FACS for ongoing storage at the GRR, the relinquished records can be accessed by that same designated agency that previously supervised the child or young person.

Where a designated agency has ceased providing statutory OOHC, the relinquished records may only be accessed by an accredited designated agency.

Section 170 of the Act requires that any organisation that ceases to be a designated agency must deliver its records to the Secretary (FACS) for ongoing management. Discussion about the timeframe for the transfer of files to FACS should be in consultation with the local contract manager.



FACS will provide advice regarding the process and delivery of records and client files by the designated agency to FACS. Designated agencies planning to transfer records and client files to FACS under section 170 must first inform FACS Information and Communications Technology (ICT) - see contact details listed at the end of this information sheet. FACS will advise of the process and direct delivery of the records and client files by the organisation to FACS.

Transfer of client paper files to FACS following agency closure

A designated agency funded by FACS that ceases statutory OOHC service provision or is no longer funded by FACS must liaise with FACS to ensure that client records are maintained in keeping with legislation. Records must not be destroyed and must be delivered to FACS from where they will be sent to the GRR for secure storage.

The organisation must identify which paper files relate to clients:

- that are closed because the client no longer receives a statutory OOHC service
- that are to remain open because they receive ongoing case management support

Following the closure of a funded designated agency, records sent to FACS will become the management responsibility of FACS. Upon receipt of the paper files, FACS will process, complete an item list and update the location in Records Manager. FACS will then send the boxed documents to GRR for secure storage.

The relevant business area managing the transfer of client records will liaise with FACS ICT to transfer any open file/records to the new designated agency for ongoing management of the file. Only FACS ICT can inform the GRR about the redirecting of open client file/records to a new FACS office or other designated agency¹.

The timeframe for retrieval of paper records by the GRR to another designated agency should be within two weeks. FACS ICT should be advised as soon as possible by the local FACS office for the retrieval of any open records by the GRR. These discussions should include the need for digitising of records and the format for delivery to the new designated agency.

Transfer of client paper files for storage purposes

Where a designated agency has inactive client records, these can be transferred to FACS, which will forward these records to the GRR for secure storage. Records sent to the GRR can be retrieved by the organisations at a later stage if required, to review information and to assist with new case planning issues relating to the client (e.g. aftercare support).

¹ Note: At the time of transfer, the GRR will close the client records (including ongoing case management support) following an agency closure to keep the information intact. The new designated agency should create a new client volume/file for their records.



Preparing files for transfer

Files should be appropriately boxed and listed for transfer.

- Approved archives boxes should be used
- Contents should be listed with appropriate detail to enable ongoing retrieval and access
- Files should be clean and not contaminated with dust, water or organic matter
- Archive boxes should not be over packed

Please contact the GRR on (02) 8805 5325 if you require archiving boxes. Boxes are priced at \$25 per pack (as at October 2017) of 20 standard archiving boxes.

Advice to FACS

The designated agency must inform FACS ICT of:

- the impending transfer of records to FACS
- the content listing - detailing the type of records to be delivered (e.g. client files)
- the volume, condition and packaging arrangements for the records
- the timeframe to prepare and deliver records to the GRR

On receipt of advice from the designated agency, FACS will authorise the delivery of records to the GRR.

Retrieval process

Under the MOU, a designated agency can request permission from FACS for retrieval of client records. The designated agency must complete the records retrieval form (see copy attached to this information sheet) and send it through to FACS. FACS will then request the records from the GRR. Completion of the record retrieval form involves:

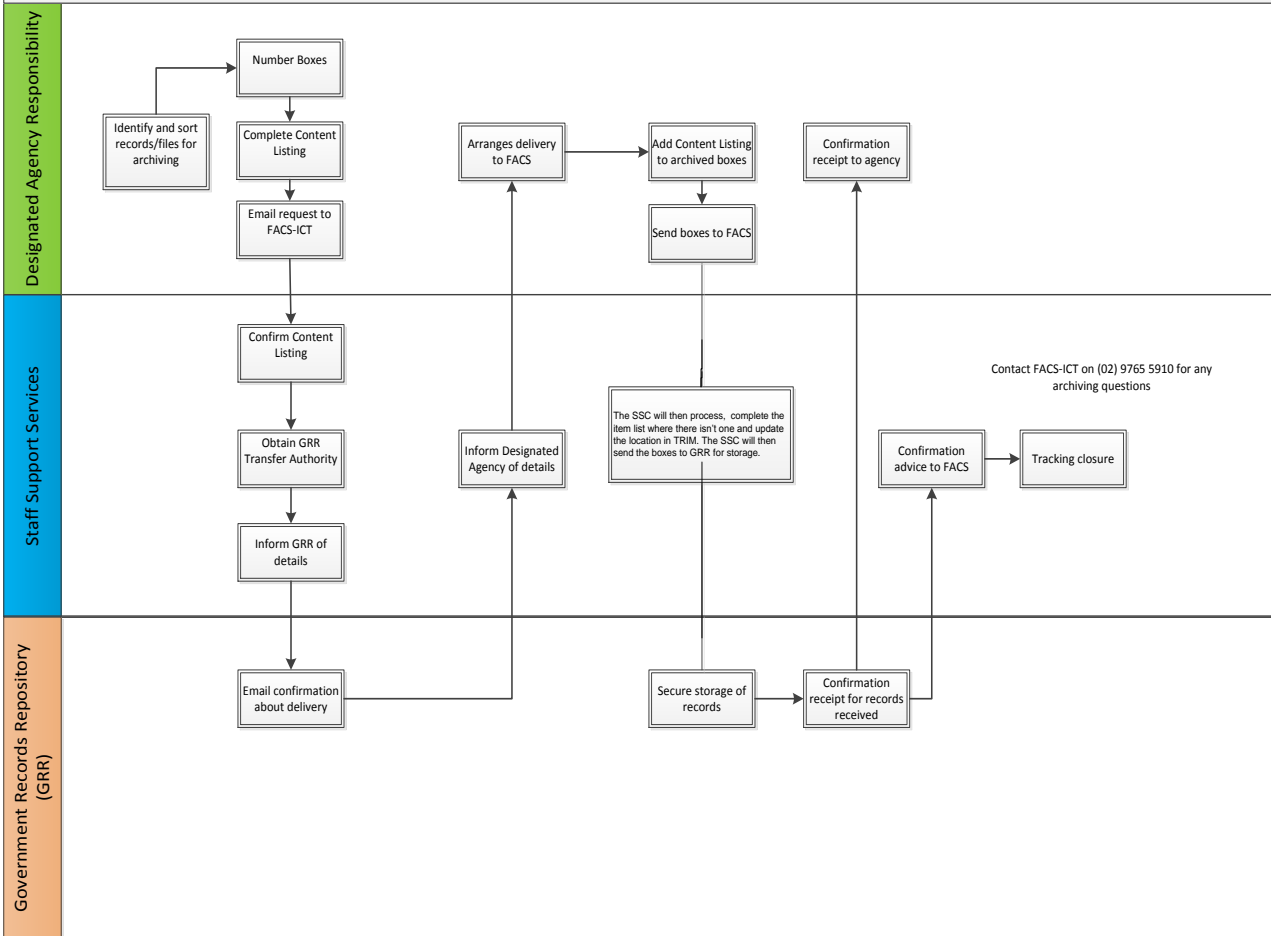
- client details (Reference number, full name of client, DOB)
- reason for the request (e.g. aftercare support)
- timeframe for delivery
- designated agency contact officer details, organisation delivery address and contact number
- signature of the delegated officer of the designated agency

Refer to the flowchart below for details on the retrieval process.



Designated Agency Archiving Process – through FACS-ICT to GRR

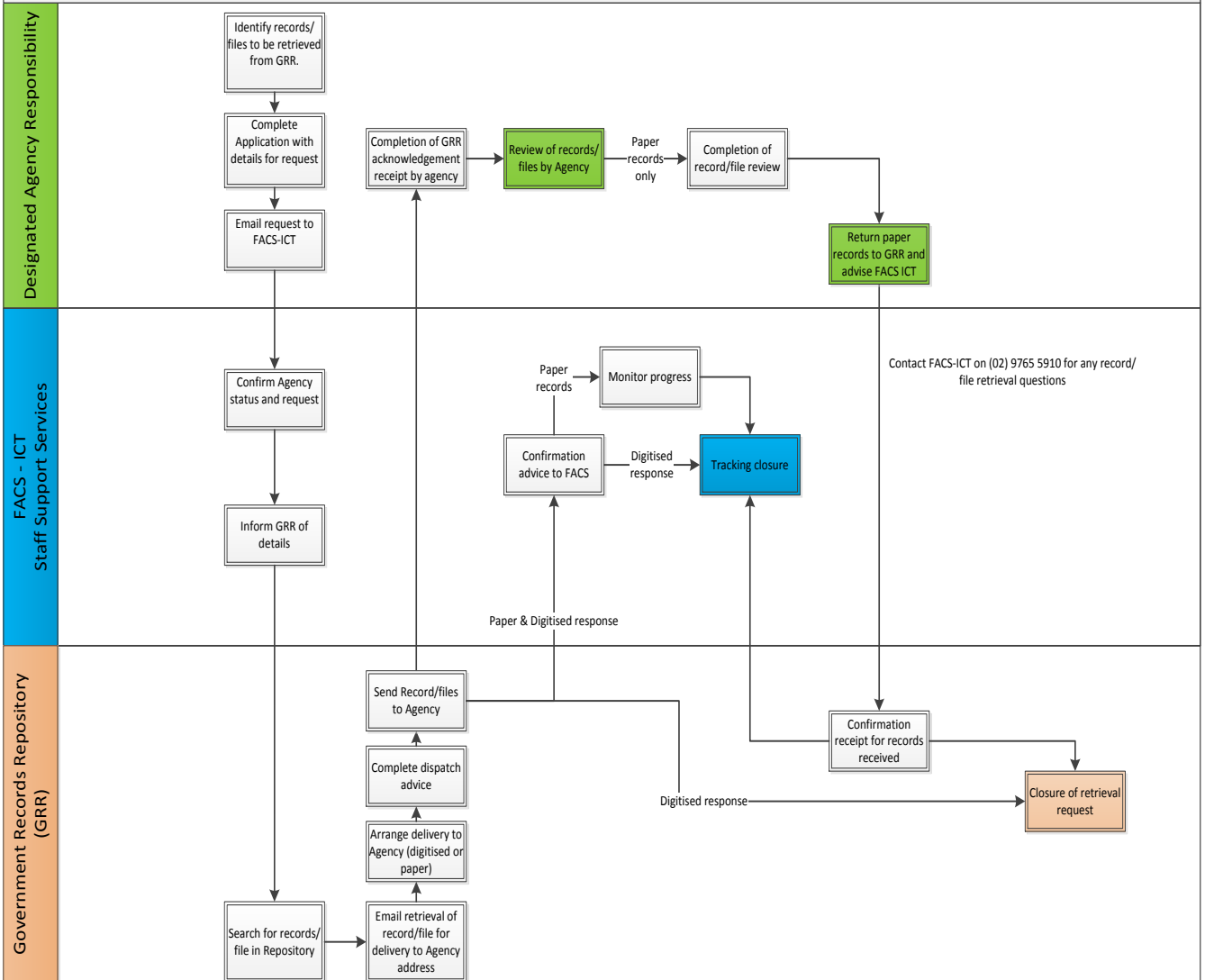
This process is to be followed for the transfer of hard copy records from Designated Agencies direct to GRR





Designated Agency Retrieving Files from GRR – through FACS-ICT

This process is to be followed for the retrieval of records/files from the GRR by Designated Agencies





Costs (as at October 2017)

<p>Standard Requests</p>	<p>\$96.66 for the search and retrieval of any archived records from GRR.</p> <p>Plus:</p> <p>Scan-on-demand - \$9.225 p/file + \$0.1025 per page (for documents up to A3)</p> <p>(Whole files delivered within 7 hours – business hours only) \$3.5875 per page (documents larger than A3 size)</p>
<p>High Priority</p>	<p>\$96.66 for the search and retrieval of any archived records from GRR.</p> <p>Plus:</p> <p>Scan-on-demand \$15.375 (per file) + \$0.15375 per page (up to and including A3 size)</p> <p>(available for download within 3 working hours) \$3.5875 per page (documents larger than A3 size)</p>
<p>Urgent</p>	<p>\$96.66 for the search and retrieval of any archived records from GRR.</p> <p>Plus:</p> <p>Scan-on-demand \$20.50 + \$0.25525 per page (for documents up to and including A3 size)</p> <p>(available for download within 1 working hour) \$3.5875 per page (documents larger than A3 size)</p>



REQUEST FOR RETRIEVAL OF RECORDS

**FOR URGENT REQUESTS PLEASE CONTACT THE RECORDS MANAGEMENT UNIT ON
(02) 9765 4063**

Organisations Name

Requesting Officers Surname **Given
Name**

Contact Number

Address for Delivery

Suburb

RECORD DETAILS

Unique Identifying Number

Record Title

Comments

CHIEF INFORMATION OFFICER OR DELEGATES DETAILS

Surname **Given
Name**

Contact Number

Office Location

RETRIEVAL INFORMATION - FACS TO COMPLETE

GRR Transaction **Shelf
Location**

Date Requested **Date
Received**

Date Received **Date
Finalised**



Key records resources

- [Children and Young Persons \(Care and Protection\) Act 1998](#)
- [NSW State Records recordkeeping advice](#)
- [Office of the Children’s Guardian \(OCG\)](#)
- [Charter of rights for children and young people in out-of-home care in New South Wales](#)
- [Ombudsman NSW – Child Protection Keeping Records fact sheet](#)
- [NSW Government Information Classification, Labelling and Handling Guidelines July 2015](#)

Other related Information Sheets for designated agencies

- Statutory out-of-home care - Designated Agency Recordkeeping Information Sheet No: 1
- Statutory out-of-home care - Designated Agency Digital Records Transfer to FACS Information Sheet No: 3
- Statutory out-of-home care - Designated Agency Digital Systems Recordkeeping Information Sheet No: 4
- Statutory out-of-home care - Designated Agency Recordkeeping FAQ’s Information Sheet No: 5

Further advice

For further information about the record transfer or retrieval process or to discuss the management of designated agency client records, please contact your FACS Contract Manager.

For technical and logistical support with records please contact:

FACS Staff Support Centre

Ph: (02) 9377 6000

Email - NGORecordsManagement@facs.nsw.gov.au