ARCHIVES AND ADMINISTRATIVE CHANGE

Some Methods and Approaches (Part 2)

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IN THE PREVIOUS part[1], we looked particularly at administrative history aspects, attempting to measure the rate of change and to show methods of recording changes as have occurred, and pointing to the increasing need for a complementary approach to agencies by function.[2] The present part will look into the effects of administrative change on records in government departments.

Principle of Functional 'Sovereignty' Over Records

As with so much else in archives theory and practice, the Dutch archivists Muller, Feith and Fruin clearly enunciate a fundamental principle of administrative change:

> When an administrative body is abolished and its rights or functions pass to another, the archival [fonds], which is the reflection of those functions or rights, goes with it. It has always been so . . .
> Experience teaches, therefore, that if the functions or rights of one administrative body pass to another, the archives accompany them. There are good reasons for this being so: the body which continues the functions of its predecessor and which exercises its rights needs for the proper performance of these activities to be acquainted with the earlier data contained in the archival [fonds]. It has the same need of the archives of the preceding body as the latter would have had if it had continued to exist.[3]

The American archivist, Margaret C. Norton has expressed the principle thus:

> It is a rule in government that *records follow functions* [*our italics*]. That is to say, when a department is abolished, merged into another department, or otherwise reorganized, its functions are generally transferred to another department, which of course must have the old records at hand to carry on the old functions.[4]

Sir Hilary Jenkinson covers much the same aspects in section 2 of his *Manual,* relating to the 'transmission of archives', in cases where 'a new Administration carries on the same functions'.[5]

If, perhaps, one may make allusion to the writings of Ernst Posner[6], one could refer to the above principle as one of 'functional sovereignty' over records, in that a department becomes responsible for the records documenting a function allocated to it.

In the Commonwealth Government, functional responsibilities are allocated through the Administrative Arrangements Order, which was described in the previous part of this article. Changes to the Administrative Arrangements Order are promulgated in the *Commonwealth Government Gazette,* and are applicable to government records, just as they are to departmental finances, organization, personnel, property, facilities, equipment and accommodation.[7] In our experience of administrative changes over the past twelve years, almost all Commonwealth departments, albeit at times with some reluctance, recognize the rule that records follow functions.

Types of Changes Affecting Records

In archives literature, analyses of the types of administrative changes affecting records appear to be very few. Apart from some brief indications in Muller, Feith and Fruin[8], Jenkinson[9] and Norton[10] in overseas writings, the main Australian references appear to be those by I. Maclean, *An Analysis of Jenkinson's 'Manual of Archive Administration' in the Light of Australian Experience*[11] and by K. A. Polden in this journal.[12] Maclean in particular refers to 'transmission on two levels', the first being of archive series as a whole from one administration to another; the second that of 'free trade' in individual files from one series to another — the phenomenon of re-registration normally met with after splitting of series between successor agencies.

In December 1972, with the assistance of Mr A. Seymour, P. J. Scott prepared a detailed analysis of the types of change noticed in the Commonwealth archives, and what follows is an elaboration of those notes.

(1) *Change of Location:* Whenever an agency removes from one location to another there is an obvious need for Archives to assist by taking all non-current records into custody and by ensuring that irregular destructions do not occur. In the Commonwealth Government, there is the added dimension of the transfer of Central Offices from Melbourne to Canberra, with the consequential need to relocate records from one archival repository to another, the so-called "inter-repository transfers". In the main, records systems have not been greatly affected by such moves, except in more recent times, when only part of an agency has been transferred to Canberra, for example, in the Defence group and the Department of Transport [III] (CA1492). Record-keeping systems may need to be split or new systems developed in such instances.

(2) *Change of Name:* If the name of an agency is changed, provided there is no change of functions, there will be little effect on its records apart from new letterhead paper, file covers and so on. An example of this type of change was the re-naming of the Department of External Affairs [II] (CA 18) to the Department of Foreign Affairs (CA 1382) on 6 November 1970. Where a change in functions occurs, see section (5) below. A change of name at the level of department of state (ministry) is recognized by the Australian Archives as resulting in a new agency, but minor variations in agency title at lower levels may not be so regarded.

(3) *Change of Department:* Where a whole agency is moved from one department of state (ministry) to another, there will be little change at the level of the agency itself, provided no functions are gained or lost. Examples of such changes would be the transfer in 1972 of the Commonwealth Archives Office (CA 602) from the Department of the Environment, Aborigines and the Arts (CA 1407) to the Department of the Special Minister of State (CA 1490) and the later transfer in 1975 of the Australian Archives (CA 1720) from the Special Minister of State to the Department of Administrative Services [II] (CA 1964), both transfers occurring without changes of function in the agency.

However, an earlier move in 1971 of the Commonwealth Archives Office from the Department of the Vice-President of the Executive Council (CA 1402) to Environment, Aborigines and the Arts resulted in the loss of the Archives personnel function to the Australian Government Publishing Service (CA 1358) (see section (5) below).

It should be emphasized that a *whole* agency was involved in such transfers, not just part of an agency. As has already been pointed out[13], the Australian Archives has adopted the level of 'agency' for descriptive purposes, rather than 'department' or 'ministry', so as not to fragment what are obviously continuing entities, the subordinate offices, bureaux, commissions etc. attached in turn to a number of departments. If, however, the case is one of a *section* of one agency being transferred to another agency, some splitting of records is likely to occur, as well as transmission of sectional series (see section (5) below).

(4) *Change in Status or Level:* When an administrative entity is raised or reduced in status, there is normally a change of name (see section (2) above) and a gain or loss of function (see section (5) below), but there may also be the question of gain or loss of "agency status" of separate record-keeping, that is, whether that which was previously a part of an agency is now a separate agency in its own right, or whether that which was previously regarded as an agency has ceased to be a separate entity.

Examples of elevation of agencies to higher status would be the Prime Minister's Office (CA 588) in 1911 becoming the Prime Minister's Department (CA 12); the Education Division (CA 1192) becoming the Department of Education and Science (CA 1196) in 1966; and the Office of Aboriginal Affairs (CA 1396) becoming the Department of Aboriginal Affairs (CA 1476) in 1972; all with pre-existing agency status and with change of name and function.

Examples of the reverse would be the reduction of the Department of the Navy [I] (CA 13) in 1921 to the Navy Office (CA 2456); the Department of Works and Railways (CA 14) becoming the Works and Services Branch [I] (CA 740) in 1932; the Department of Information (CA 34) becoming the News and Information Bureau (CA 219) in 1950; and the Department of Tourism and Recreation (CA 1491) becoming the Tourism Division (CA 2071) in 1975; all of these, however, retaining agency status, with separate general record-keeping systems.

As a general rule, the functional divisions, branches or sections of an administrative entity do not have separate general record-keeping systems of their own—they use the central general filing system of the main entity, though they may also compile some specialized functional records. As such, the Australian Archives does not register them as separate agencies. However, when a section or branch is raised in status, it may well acquire its own separate general registry system, and if so, then it will gain agency status, as happened for example in 1964, when the *Education, Arts and Sciences Section* of the Prime Minister's Department (CA 12) became the Education Division (CA 1192) with its own general record-keeping system. An

example of the reverse—the loss of a separate registry system and loss of agency status—happened in 1977, when the Tourism Division (CA 2071) was reduced to the *Tourism Branch, Tertiary Industry Division* of the Department of Industry and Commerce (CA 1956).

(5) Change by Transfer of functions, with abolition or creation of agencies:

Where an agency gains a completely new function or an existing function is discontinued, there is very little change save to the content of the agency's records (expansion, contraction), though some new series may be commenced or some existing series closed off. However, where a function is transferred from an agency to another, and if at the same time agencies are abolished or created, then complex circumstances may arise. The types of changes depend on the number and nature of predecessor and successor agencies at the time of administrative change, and the following categories need to be considered:

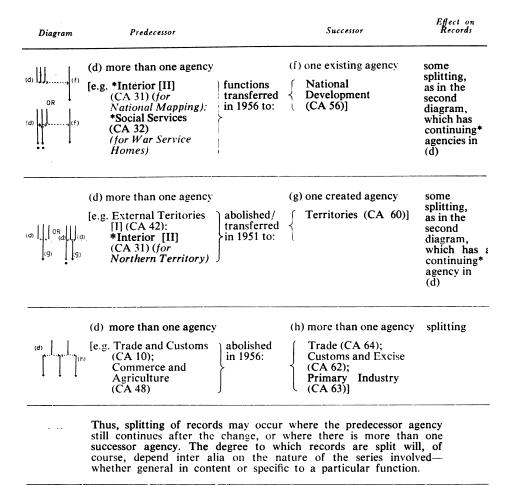| *Predecessors*	*Successors*
(a) no predecessor agency	(e) no successor agency
(b) one continuing agency	(f) one existing agency
(c) one abolished agency	(g) one created agency
(d) more than one agency	(h) more than one agency

These categories may appear in different combinations and will result in either simple transmission of record series from predecessor to successor or complex splitting of records between successor agencies, as in the accompanying table:

Diagram 14	*Predecessor*	*Successor*	*Effect on Records*
(a)— (f)	(a) no predecessor agency [e.g. — new function in 1959:	(f) one existing agency Bureau of Mineral Resources (CA 218)— *petroleum search subsidy*]	extension to records system
(a)— (g)	(a) no predecessor agency [e.g. — new creation in 1973:	(g) one created agency Prices Justification Tribunal (CA 1906)]	new records system
(b)	(b) one continuing agency (e) [e.g. Bureau of Mineral Resources (CA 218) — *petroleum search subsidy function* function phased out in 1974.	(e) no successor agency —]	contraction of records system, archival deposit

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Diagram	Predecessor	Successor	*Effect on Records*
(b)— — — —(f)	**(b) one continuing agency** [e.g. Prime Minister and Cabinet (CA 1401) — *responsibility for High Commissioner's Office, London* } transferred in 1972 to:	**(f) one existing agency** { Foreign Affairs (CA 1382)]	splitting of records
(b)··········(g)	**(b) one continuing agency** [e.g. Prime Minister's (CA 12) — *Cabinet Secretariat* } transferred in 1968 to:	**(g) one created agency** { Cabinet Office (CA 1285)]	splitting
(b)·······(h)	**(b) one continuing agency** [e.g. Home Affairs [II] (CA 24) — *responsibility for Federal Capital Territory* } partly transferred in 1930 to:	**(h) more than one agency** { [Attorney-General's (CA 5); Works and Railways (CA 14); Health (CA 17)]	splitting
(c) _(e)	**(c) one abolished agency** [e.g. Royal Commissions]	**(e) no successor agency** —	closing of records system, archival deposit
(c)········(f)	**(c) one abolished agency** [e.g. Defence Production (CA 58) } abolished in 1958:	**(f) one existing agency** { Supply (CA 57)]	succession
(c) (g)	**(c) one abolished agency** [e.g. Labour & National Service (CA 40) } abolished in 1972:	**(g) one created agency** { Labour (CA1480)]	succession
(c)·······(h) (h)	**(c) one abolished agency** [e.g. Environment, Aborigines and the Arts (CA 1407) } abolished in 1972:	**(h) more than one agency** { Environment and Conservation (CA 1479); Aboriginal Affairs (CA 1476); Prime Minister and Cabinet (CA 1401); Special Minister of State (CA 1490)]	splitting

Diagram	Predecessor		Successor	Effect on Records
	(d) more than one agency		(f) one existing agency	some splitting, as in the second diagram, which has continuing* agencies in (d)
	[e.g. *Interior [II] (CA 31) (for National Mapping); *Social Services (CA 32) (for War Service Homes)	functions transferred in 1956 to:	⎰ National Development (CA 56)]	
	(d) more than one agency		(g) one created agency	some splitting, as in the second diagram, which has a continuing* agency in (d)
	[e.g. External Teritories [I] (CA 42): *Interior [II] (CA 31) (for Northern Territory)	abolished/ transferred in 1951 to:	⎰ Territories (CA 60)]	
	(d) more than one agency		(h) more than one agency	splitting
	[e.g. Trade and Customs (CA 10); Commerce and Agriculture (CA 48)	abolished in 1956:	Trade (CA 64); Customs and Excise (CA 62); Primary Industry (CA 63)]	

Thus, splitting of records may occur where the predecessor agency still continues after the change, or where there is more than one successor agency. The degree to which records are split will, of course, depend inter alia on the nature of the series involved—whether general in content or specific to a particular function.

Transmission and Splitting of Record Series

The foregoing types of changes, as Maclean has pointed out[15], may result in transmission at two levels from predecessor to successor agency—
(1) whole series (often functionally-orientated series);
(2) individual items, i.e. through splitting of a series, the items either (a) being re-registered into another series or (b) being retained under their original control number or other symbol.

Transmitted series or portions of series may either be continued by the successor agency—the phenomenon of multi-provenance series—or closed off, depending on factors such as the continuity/discontinuity of function, the availability of time, staff and resources, the range of functions in a series, the intactness of the transmitted system and its appropriateness to the new administrative arrangements.

Whole series are transferred intact to (and may be continued by) a successor in cases not involving loss or dispersal of function, or where particular series relate to a specific function. For example the series of correspondence files, 1965 + , relating to Australian Research Grants applications (CRS A1367) transferred intact as a continuing series from the Education Division (CA 1192) to the Department of Education and Science (CA 1196) in 1966 and thence to the Department of Science [I] (CA 1486) in 1972, to the Department of Science and Consumer Affairs (CA 1888) in June 1975, to the Department of Science [II] (CA 1982) in December 1975 and to the Department of Science and the Environment (CA 2749) in 1978. A similar example would be the volumes of Ministerial Determinations on applications for by-law admission of goods, 1969 +, transferred from the Department of Customs and Excise (CA 62) to the Department of Police and Customs (CA 1862) in March 1975 and thence to the Department of Business and Consumer Affairs (CA 1951) in December 1975.

Splitting of series with transmission of individual items can produce many problems—the disordered, dismembered, and dislocated filing systems; the misplaced, destroyed or re-numbered files; the chaotic and re-arranged records alluded to in the introduction to the previous part of this article. Where splitting is involved, however, one normally finds amongst the successor agencies one which inherits (and may continue) the main correspondence registry system and which, as such, we have come to designate as the *principal successor*. This is not a new concept, but one already noted by Muller, Feith and Fruin in relation to the splitting of archives:

> Two different principles are here in conflict: one of these being that archives are the remains and therefore also a continuation of certain functions and rights, so that the splitting up of the latter must also bring about the division of the former; and the other that an archival [fonds] is an organic whole which cannot be torn apart. In general this latter principle ought to prevail, and if such a case should arise today, certainly no one would wish that the archival [fonds] be broken up. *It should be deposited with one of the successors [our italics]* and made available for consultation by all.[16]

The concept of *principal successor agency*, of which more will be said below, certainly reflects what has happened in the past in the Commonwealth Government. For example, in 1916 when the first Department of External Affairs (CA 7) was abolished, the principal correspondence registry system (based on CRS A1) continued virtually unaltered into the Department of Home and Territories (CA 15), though particular files were split off and transmitted to the Prime Minister's Department (CA 12) as successor in the external relations function. It is thus quite normal for the main corespondence registry system to be continued, minus split portions, by the principal successor. Indeed, continuity of administration and government activity is often best served by the continuance of record systems.[17]

The concept of *shared series* has also evolved as a result of our experience, that is, where there are a number of successor agencies, responsibility for a particular record series is 'shared' between the successors, under the principle of functional sovereignty over records.

Such sharing may mean in some cases the splitting of a series between successors, in other cases the gianting of access to a series held by one successor for all successors, as recommended above by Muller, Feith and Fruin, and in further cases, where records are held in archival custody, the assigning of 'drawing rights' or rights of access to all successor agencies, without actual splitting of the series.

As for the split-off portions of series, various fates ensue. The most likely fate is that files will be re-registered ('top-numbered') by the successor agency into its own record-keeping system, and this is the case of transmission of items from one series to another series described by Maclean. With re-registration there is a danger that proper recording of re-registration in the original registers will not take place, and files will thus become untraceable[18]. More interesting, perhaps, are those items which are left by the successor agency under their original file numbers, and in such instances, one may distinguish a number of categories—

(1) *items left and used for reference only:*

Where transmitted records are particularly bulky or old, re-registration may not be attempted except for a few important items; the remaindei will be simply left as they were, and used as required for reference. Sometimes in the past, such records could be viewed as irrelevant by the successor agency and could be in danger of irregular destruction; for example, Home and Territories files (CRS A1) and indexes (CRS A72, A73) relating to external territories, transferred in 1928 to Prime Minister's Territories Branch (CA 822), of which indexes only portions now survive.

(2) *items re-arranged:*

Particularly where indexes are not received by the successor, items may be re-arranged to facilitate reference. For example, Trade & Customs files (CRS A425) transmitted in 1956 to the Department of Trade were re-arranged by tariff item number. Original files may thus be difficult to trace.

(3) *papers added to items:*

In cases where whole sections of a multiple number correspondence system have been split off and transmitted to a successor, or in cases of annual single number systems with specialized indexes for particulai functions which are transmitted as intact index systems, the tendency is for the split portions of series to be continued at least for a time and on some occasions to be used as the basis for the successor's registry system, having thus a life of their own[19]. Some examples may help to explain this phenomenon—

- In 1951, with the creation of the Department of Territories (CA 60), files relating to the Northern Territory (together with related indexes) were transferred to the new Department from the Department of the Interior [II] (CA 31). The last file registered by Interior relating to the Northern Territory was 1951/1616 (CRS A431). The Department of Territories continued this annual single number system for Northern Territory acitivities and made its first file registration 1951/1617 (CRS A452).

• In 1928, when the Territories Branch (CA 822) was formed in the Prime Minister's Department it took over several classes of files from the Department's multiple number system (CRS A458). These files, retaining their original numbering, became the nucleus of a new classified system (CRS A518) for the Territories Branch, which, over the years, created additional classifications utilising the gaps in the numbering, particularly following its elevation as a separate Department of External Territories [I] (CA 42) in 1941.

The archival treatment of such split portions of series will be discussed in the next part of this article.

Machinery for Implementing Changes—Involvement of the Australian Archives

... There is the need for time. The politician is always anxious to be able to issue public announcements and to make it appear that he is being active and effective. The Minister wants to get things done. His time perspective is the next election or even shorter. But the public servant has the difficult task of organizing the delivery of services to the public . . . He needs time to draw up guidelines for staff: possibly to arrange finance and additional staff . . . If a technique could be developed that would permit announcement in principle, thus giving the political system the needed public exposure, while leaving open options about administrative solutions, the end result could be far more effective administrative arrangements.

It is important that politicians understand how complicated it is to make major changes, and that they expect the administrative anomalies which inevitably follow. . . . It is important to remember that major administrative changes take a very long time, measured in years, with two years being the minimum and a period of perhaps 15 years being needed in some cases before the final outworkings are apparent.

—P. H. Bailey[20]

In the Australian public service system as it exists at present there is no special machinery for the implementation of decisions to re-distribute functions among departments. It needs to be borne in mind however, that rarely, if ever, had the public service been subject to upheavals experienced during and since December 1972.

—R. Van Munster[21]

These statements, the one made by a Commissioner of the recent Royal Commission on Australian Government Administration and the other made in a paper prepared for the Royal Commission, apply also to the effects of changes on record-keeping systems.

In the past, at times of change, departmental registry officers were forced to fend as best they could with all consequential transmissions of records. In these circumstances, it is indeed surprising that changes were implemented to the extent they were—filing systems were often split (or re-split) right back to 1901[22], re-registration or re-indexing projects were accomplished on a vast scale[23], and new registry systems were established quickly and efficiently. But the dislocations to original filing systems became increasingly severe, and the problem or re-registration (i.e. the need to record the new top-number in the original register) was not dealt with.

Australian Archives' involvement in administrative changes during the Second World War and beyond was largely confined to accepting

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custody of records of abolished war-time agencies. In 1956, with the abolition of the Departments of Trade and Customs (CA 10) and Commerce and Agriculture (CA 48), some attempt was made by Mr I. Maclean and Mr R. Gordon to monitor what was happening and to offer advice to the successor agencies, Customs and Excise (CA 62), Trade (CA 64), Primary Industry (CA 63). In particular, advice on records management was given to the new departments of Trade and Primary Industry. The Archives Division acted as an intermediary for these departments which had interests in the same records, and was able to sort out a number of problems. Quantities of records from the former Department of Commerce and Agriculture were transferred to archival custody and made accessible there to the new departments, rather than an attempt being made to split them. This involvement by Archives broke new ground[24]. Similar attention was given in 1963 to the new departments of Housing (CA 65) and Trade and Industry (CA 66).

Further active involvement may be dated from 1966, with the creation of the Department of Education and Science (CA 1196). Just prior to the change, a survey was made by P. J. Scott and Miss M. I. Wheeler of records in the Education Division of the Prime Minister's Department, which became the nucleus of the new Department. This survey resulted in the issue of a registration and disposal schedule for the Division, issued the day before the Department was created. In 1968 came the abolition of the Department of Territories (CA 60), with consequential splitting of records between its successors, the Department of External Territories [II] (CA 1284) and the Department of the Interior [II] (CA 31). Inter-departmental consultation was fostered with meetings at Archives to determine practical arrangements for Territories records, as well as formal advice in writing to the departments from Archives, thus making such arrangements a conscious and deliberate process of records management.[25]

In 1971, for the first time, the Commonwealth Archives Office became actively involved, through its registrar services, in the establishment of a new registry system for a newly-created department. This is not the occasion to give a resumé of the Commonwealth Public Service Board's scheme of 'departmental registrars' to have responsibility for records management in agencies.[26] Suffice it to say that in 1968, it was agreed in principle that a 'pool' of registrar positions would be established within the then Commonwealth Archives Office to provide records management advice to smaller government agencies, and in February 1970, Mr A. P. Skerman took up duty in our Victorian office. As part of his programme of second-ment to various agencies, Mr Skerman was called upon to assist newly created departments in the establishment of registry filing systems. This was done in the Department of Environment, Aborigines and the Arts (CA 1407) in 1971 and again in 1974 in the Department of the Special Minister of State (CA 1490). An obvious urgent need was met in this way, and one may well suggest that a more regular involvement by the Archives Registrar, with registry support staff,

at times of administrative change could produce overall benefits, where the agencies involved do not have records managers on their staff.

The vast increase in the tempo of administrative change from December 1972, as documented in the previous part of this article, with its consequential workload,[27] highlighted the need for systematic arrangements based on the foregoing developments. Procedural notes were urgently drawn up as guidelines for Archives staff in their discussions with departments. Increasing reliance was also placed on the *Administrative History Chronicle* to give advanced warning of likely changes and on the comparison tables of administrative arrangements orders to detail the frequent functional changes between departments.[28] The increasing discontinuity and instability of departments—reaching almost a state of *permanent impermanence*[29] or the 'future shock' of *transient ad-hocracy*[30]—has meant in a number of cases that earlier changes to records systems were barely effected before a further change occurred.[31] In such circumstances, the desirability of having decentralized registries or functional series for the component functional parts or divisions of a department is obvious. Equally, traditional manual systems have shown themselves more amenable to change than certain central computerized operations.

Because of the large number of administrative changes in these years, we were not always able to follow through in detail the resultant changes to records. However, a recent example of close co-operation between Archives and departments (and also an example of the application of micro-film technology to administrative change) was the split in December 1976 of the Treasury [I] (CA 11) into two departments, Treasury [II] (CA 2141) and Finance (CA 2140), both of which were regarded as equal successors. Before the split was effected,[32] arrangements were discussed at a meeting of Treasury and Archives staff, represented by Miss M. I. Wheeler and Mr C. D. Smith. The old Treasury files series from 1901 (CRS A571) was closed off, and two new series were created, one for each of the new departments and each with its own control records, registers and indexes. All files of the former Treasury series over five years old were transferred to Archives, but the more recent portion of the file series was split, files less than five years old being allocated to the relevant successor departments, which have continued to add papers to them. The file registers were noted accordingly. No individual file was split, but simply copied if required by both successors. The registers and index cards (about 85,000 cards) were then microfiched, one set of the fiches being provided for each new department and the originals being transferred to Archives.

Our objectives in such involvement may be seen as two-fold.[33] For departmental efficiency, we need to ensure orderly transfers of records between agencies with the least possible disruption to official business; for archival efficiency, we need to ensure orderly transfers of records between agencies the least possible disruption to official business; record-keeping systems involved, i.e. as far as possible, the splitting of records should be avoided or the consequences of such splitting

lessened. For archival purposes, we also need to have a detailed account of the 'migration' of records.

During the changeover period there needs to be discussion and close liaison between the Australian Archives and departmental staff. Where there are a number of successor agencies, it is essential to determine, as quickly as possible which agency will be 'principal successor', and as such will either continue the main registry filing system or will be responsible for servicing it. Records need to be considered period by period, and where possible the Australian Archives becomes responsible for *all* records of an abolished agency, at least up to a certain year. In some instances, the Australian Archives may be 'neutral ground' where series shared between a number of successors can be deposited.

Our general guidelines for departments are that—

Registry Files

- files more than five years old[34] should remain in, or be transferred to, archival custody, where they will be available for consultation or loan by the appropriate successor agency/agencies as and when required.

- splitting should be confined to records less than five years old, required for current action. In such instances, the principal successor has especial responsibility to record in the original registers re-registration or top-numbering of files by other successors, just as the other successors on their part have the responsibility to inform the principal successor and Archives of any changes. Lists of files transferred to various successor agencies need to be compiled.

File Registers:

- registers more than fifteen years old should remain in, or be transferred to, archival custody where they will be available for consultation by the successor agency/agencies. The Australian Archives will record any top-numberings in this period.

- registers less than fifteen years old should not be split, but should remain with the principal of the successor agencies, which will supply information to the other successor agencies as required and record top-numberings. Where necessary the registers can be copied for the other successor agencies. (Where Archives inventories of items exist for files of this period, copies of the inventory can also be provided).

Subject Indexes:

- subject indexes more than fifteen years old should remain in, or be transferred to, archival custody where they will be available for consultation by the successor agency/agencies.

- subject indexes less than fifteen years old should not be split, but where there is more than one successor agency should be held by the principal successor agency and copied for the other successor agency/agencies.[35]

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Name Indexes:

- name indexes more than fifteen years old should remain in, or be transferred to, archival custody where they will be available for consultation by the successor agency/agencies.

- names indexes less than fifteen years old should not be split but where there is more than one successor agency should be held by the principal successor agency which will supply information to the other successor agencies as required.

Accounts and Staff Records:

- these should be treated similarly to registry records.

Other Non-Registry Records:

- these should be treated similarly to registry records but since they are in general more closely related to particular functions, cases of splitting are generally rarer.

It is perhaps a little premature to assess the degree of success of our involvement, particularly in the administrative changes since December 1972. At the very least, however, the implementation of administrative changes has been raised to a deliberate aspect of records management. More care is being taken in departmental registries to document the transmission of records from agency to agency and to record subsequent top-numberings. Moreover, the splitting of record series (and consequent dislocation of filing systems) has been greatly reduced. What we cannot hope to reduce are more insidious effects of permanent impermanence on the quality of record-making in departments. The tempo of administrative change in the Commonwealth Government continues unabated—in 1978 the Fraser Administration made a total of nine changes to departments of state, thus increasing the annual average rate of change for the period 1976 - 1978 from 7.0 to 7.7.[36]

This article will be concluded in a subsequent issue and will review the effects of administrative changes on the management and treatment of archives.

NOTES AND REFERENCES

1. See *Archives and Manuscripts,* Vol. 7 No. 3 (Aug. 1978), pp. 115-127.
2. This will also involve the *classification* of agencies [fonds] by industry/ activity/function (see entry 4 on agency registration sheet, Figure 3 of previous part), of which more will need to be said on a future occasion. For an indication of a possible functional index to agencies in the Queensland State Archives, see *Archives and Manuscripts* Vol. 6 No. 5 (Nov. 1975) p. 152. The question of a functional/subject index to archives themselves will be dealt with in our next part. For a discussion of the wider question of classification of fonds, both by structure and by function, see the French *Manuel d' archivistique* (1970), pp. 187-195.
3. Muller Feith and Fruin, *Manual for the Arrangement and Description of Archives* (trans. Leavitt), section 5, pp. 23-24. The translation of fonds as archival 'collection' is perhaps to be avoided.
4. T. W. Mitchell (ed.), *Norton on Archives* (1975), p. 110.
5. Sir Hilary Jenkinson, *A Manual of Archive Administration,* (1965 re-issue), p. 32.

6. See his article, 'Effects Changes of Sovereignty on Archives' in *American Archivist,* Vol. V No. 3, pp. 141-155 (July 1942), reprinted in *Archives and the Public Interest—Selected Essays by Ernst Posner* (Washington, 1967) pp. 168-181. The wider question of changes in government sovereignty in Australia is worthy of a separate study.

7. For a more detailed discussion, see Royal Commission on Australian Government Administration, *Appendix,* Vol. 1, pp. 409-419.

8. Muller, Feith and Fruin, *op. cit.,* sections 5, 10, pp. 22-25, 36-38.

9. Sir Hilary Jenkinson, *op. cit.,* pp. 32-37.

10. T. W. Mitchell, *op. cit.,* pp. 91-92.

11. A. E. J. Hollaender (ed.), *Essays in Memory of Sir Hilary Jenkinson* (Society of Archivists, Chichester, 1962), pp. 133-136.

12. K. A. Polden, 'Preserving the Principle of Provenance' in *Archives and Manuscripts,* Vol. 4 No. 4 (May 1971), pp. 12-15.

13. P. J. Scott, 'Facing the Reality of Administrative Change' in *Journal of the Society of Archivists,* Vol. 5 No. 2 (October 1974), p. 97.

14. The diagrams use the conventions of our agencies analysis charts, described in the previous part, pp. 125-126.

15. A. E. J. Hollaender, *op. cit.,* p. 135.

16. Muller, Feith and Fruin, *op. cit.,* section 11, p. 39.

17. See P. J. Scott, *op. cit.* (1974) p. 98. For a differing view, which may be described as 'cut-off interventionist', see Polden, *op. cit.,* p. 15.

18. For example, Home and Territories registers (CRS A69) simply show files transferred 'to Prime Minister's', following the transfer of external territories to the Prime Minister's Department in 1928. The files are difficult to locate when re-registered in Prime Minister's Territories Branch multiple number system (CRS A518).

19. Miss T. M. Exley, when Senior Archivist, Victoria, first brought this phenomenon to attention.

20. P. H. Bailey, Commissioner, Royal Commission on Australian Government Administration, *The Political Factor in Administrative Change,* paper for Royal Institute of Public Administration, 1975 Annual Conference of Australian Regional Groups, pp. 11, 18, 19. Reduced text printed in *Australian Journal of Public Administration,* Vol. XXXV No. 1, March 1976, pp. 81-2, 86, 89 (footnote 41).

21. R. Van Munster, *Changes in Administrative Arrangements and their Implementation,* in Royal Commission on Australian Government Administration, *Appendix,* Vol. 1 (1974), in particular p. 419).

22. For example, the splitting of records relating to immigration from the Department of the Interior [II] (CA 31) to the Department of Immigration (CA 51) in 1945 and records relating to the Northern Territory from the Department of the Interior to the Department of Territories (CA 60) in 1951. The splitting was not done consistently, and some relevant records on each occasion were left behind in Interior.

23. In 1932, with the abolition of the Department of Transport [I] (CA 26) and the transfer of functions to the Department of the Interior [I] (CA 27), all Transport files were top-numbered into the Interior filing system (CRS A1).

24. Information from Mr R. Gordon, now living in retirement in Canberra.

25. I. Maclean in his article, 'Trends in Organizing Modern Public Records' in *Archives and Manuscripts,* Vol. 1 No. 3 (Dec. 1956) p. 2 has alluded to increased planning and organization in records work as a change from record keeping to records management. It should also be mentioned that the main official text on records management, the *Handbook for Departmental Registrars* (1962), while it has a chapter (no. 15) dealing with re-organization of the registry, is largely silent on the wider question of administrative changes.

26. For an earlier account, see I. Maclean, 'Australian Experience in Record and Archives Management' in *American Archivist,* Vol. XXII (1959), pp. 395-397. See also Training Section, Commonwealth Public Service Board, *Handbook for Departmental Registrars* (1962).

27. See also comments by R. Van Munster, *op. cit.,* pp. 422-423.

28. See *Archives and Manuscripts,* Vol. 7, No. 3, pp. 119-122.
29. See G. Rattray Taylor, *Rethink* (London, Secker & Warburg, 1972), pp. 244-246.
30. See A. Toffler, *Future Shock* (London, Pan Books, 1971), chapter 7, pp. 119-143.
31. An example would be the amalgamation in March 1975 of customs and police services to form the Department of Police and Customs. Integration of appropriate records systems from Customs and Attorney-General's was barely proceeding when in December 1975 the department was split, principally between the Department of Business and Consumer Affairs (Customs Bureau) and the Department of Administrative Services [II] (Commonwealth Police).
32. This is also an interesting case in that the decision to split the Treasury was announced on 18 November 1976, and the administrative arrangements order effecting the split was made on 7 December following P. H. Bailey's suggestion about the need for time appears to have been heeded.
33. This section is based on the procedural notes prepared in 1972 by P. J. Scott, consolidated in 1974 by Ms J. Caldwell as part of a Task Force project.
34. The Australian Archives, both in its administrative role of providing bulk storage for recent records and in its historical role of preserving archives of permanent value, encourages early deposit of records by departments. Most files are now transferred to archival custody by the time they are five years old. Records in archival custody need not be split, but "drawing rights" can be assigned to the successor agencies.
35. There have been some recent instances where subject indexes have been split, particularly in cases where portions of an index related to a specific function.
36. The Commonwealth Public Service Board has pointed to the costs and disruption which can be incurred as a result of changes to the administrative machinery of government. In its annual report for 1978, the Board quotes from the Prime Minister's Sir Robert Garran Memorial Oration in November 1977: 'I do not believe in changing the machinery of government for the sake of trying to give an impression of new and grand initiatives. Constant re-organization is disruptive to the departments and often costly. The Public Service can only give of its best when it is not faced with continuing upheaval in its organisation.' (Public Service Board, *Annual Report* 1978, p. 3). See also *Australian Journal of Public Administration* Vol. XXXVII No. 1 (March 1978), p. 6.