

TAHO

Tasmanian Archive + Heritage Office

State Records Guideline No 3

Managing Recordkeeping Risks during Government Administrative Change

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UNDER REVIEW

I Introduction

Elections or decisions of the Tasmanian Government, such as ministerial portfolio reshuffles, agency/portfolio mergers, or new legislation, can result in administrative changes to Tasmanian Government agencies. An administrative change refers to a change in the responsibilities for the administration of government functions.¹ These changes can occur as a result of:

- the transfer of a function between Tasmanian Government agencies
- the transfer of a function to another government, either from Tasmania to another government or into Tasmania from another tier of government, e.g. the Commonwealth
- the creation of a new function
- the abolition of an existing function
- the amalgamation of agencies into a larger agency
- the closure or privatisation of an agency

When such changes occur, the records relating to the function in question need to be transferred to the new agency responsible for the function.

The underlying principle is that records follow function.

Hence, records relating to a function **MUST** be transferred with the function.

An agency is required to relinquish control of, and transfer custody of, official records to another agency. This allows the receiving agency to start managing the function effectively and with as little disruption as possible. Records contain the information necessary to ensure a seamless transition of a function and to ensure that business and customer needs are met. The records of transferred functions cover all forms of business activities, in any format (e.g. paper, electronic).

It is important to mitigate disruption to the corporate memory and the business of the government by ensuring that official records of Tasmanian Government agencies continue to be managed and available during and after administrative change. This can be achieved by:

- clearly documenting the transfer of certain official records between agencies
- clearly identifying the responsibilities of relevant staff for the transfer of official records between agencies
- disposing of official records in accordance with the requirements of the *Archives Act 1983*
- establishing a clear audit trail of movements of official records between agencies
- transferring official records between agencies to support administrative change
- notifying the Tasmanian Archive & Heritage Office (TAHO) of functional changes before they occur and reporting the outcomes of administrative change.

Administrative change carries risks to the business functions of agencies and their associated records. These risks can be managed effectively by early, collaborative planning between affected agencies and by seeking advice from TAHO.

¹ TAHO defines a function in this context as “the administrative responsibility, staff and other resources for the implementation of specific government policy and programs”.

Each of the types of administrative change and the specific recordkeeping issues to consider is addressed in detail in Information Management *Advice 63, Part 1 Management of Administrative Change Handbook* that accompanies this Guideline.

1.1 Purpose

To provide guidance for agencies on managing records at times of administrative change. The efficient management and transfer of records between agencies will ensure that functions of government can continue to be administered effectively and that the corporate memory of Tasmania is preserved.

1.2 Authority

This guideline is issued under the provisions of Section 10A of the *Archives Act 1983*. Guidelines issued by the State Archivist under this Section set standards, policy, and procedures relating to the making and keeping of State records. This section also requires all relevant authorities to take all reasonable steps to comply with these guidelines, and put them into effect.

Keyword	Interpretation
MUST	The item is mandatory.
MUST NOT	Non-use of the item is mandatory.
SHOULD	Valid reasons to deviate from the item may exist in particular circumstances, but the full implications need to be considered before choosing this course.
SHOULD NOT	Valid reasons to implement the item may exist in particular circumstances, but the full implications need to be considered before choosing this course.
RECOMMENDS RECOMMENDED	The item is encouraged or suggested.

'MUST' and 'MUST NOT' statements are highlighted in capitals throughout the Guideline. Agencies deviating from these MUST advise TAHO of the decision to waive particular requirements.

Agencies deviating from a 'SHOULD' or 'SHOULD NOT' statement MUST record:

- the reasons for the deviation,
- an assessment of the residual risk resulting from the deviation,
- the date at which the decision will be reviewed, and
- whether the deviation has management approval.

Agencies deviating from a 'RECOMMENDS' or 'RECOMMENDED' requirement are encouraged to document the reasons for doing so.

Scope

This Guideline applies where functions are created, abolished or transferred between agencies or governments; and where agencies are merged into larger entities or closed. Specific Advices, including the Handbook, have also been developed to encompass each of the following sections in detail:

- When a function is transferred between Tasmanian Government agencies
- When a function is transferred to another government
- When a new function is created
- When an existing function is abolished
- Amalgamation of agencies into larger agencies/entities
- When an agency is abolished or privatised

This Guideline applies equally to both paper-based and digital records, systems and programs; and requires agencies to look holistically at their records management programs. The application of this Guideline supports agencies in achieving good records management practices

2 What are the Issues and Risks?

Administrative change carries issues and risks to the function of an agency and its records. Matters to consider include:

2.1 Senior Management support

Senior management ownership and support is crucial to the success of the transfer of the records and their associated function. The transfer of functions and their records is part of wider agency change that may affect people and how they work, for example, through a change in role, or office relocation. There is a risk that the records of transferred functions are overlooked during this agency transition.

Agencies **MUST** ensure that senior managers are aware that records **MUST** be transferred with their function. TAHO **MUST** be contacted as early as possible especially if a receiving agency has not been identified. This **SHOULD** be included in the brief to senior management from the transition team.

2.2 Resources

The transfer process is often a significant, resource-intensive undertaking. In some cases, trained personnel may be required to carry out specialised work such as electronic data migration, and resourcing for storage and relocation activities may also be a consideration.

The cost of these activities can vary and may require some budget allocation. Management and technical experts from both agencies **SHOULD** be involved early on.

2.3 Transferring electronic records

Agencies SHOULD NOT underestimate the technical implications and time involved with transferring electronic records and their metadata. If the context of the records (e.g., metadata and links) is not appropriately managed upon transfer, there is a risk the agency will not be able to access or use the information and knowledge in its business operations.

Agencies MUST consult with the system(s) vendor and staff with responsibility for information technology (IT) as early as possible to identify and agree on a migration strategy. Managers with budget allocation responsibility SHOULD be involved during the process, particularly where migration costs are a consideration.

2.4 Unauthorised Disposal

Records belonging to functions undergoing administrative change are vulnerable to unlawful disposal, such as illegal destruction and loss.

If there is limited time for planning prior to the change occurring, Agencies MUST NOT dispose of any records without the authority of the State Archivist. Advise the administrative head of your agency about the records as soon as possible. Ensure staff understand the agency's policies and guidelines for information management.

Contact the Government Information Strategy Unit team with any questions on unauthorised disposal:
gisu@education.tas.gov.au

2.5 Vital records

The integrity of any vital records, that is records that are essential to the ongoing business of an agency, need to be maintained once transferred. This is so business can continue in the event of a disaster.

Agencies MUST identify these records early with the transferring agency and deal with them as a priority. Vital records transferred SHOULD be added to the receiving agency's business continuity and disaster plans, and removed from the transferring agency's plans. For further information on vital records refer to Information Management Advice 52 *Identifying and Managing Vital Records*.

2.6 Information Security

Unauthorised access to sensitive records can occur if permissions are not managed appropriately. Security provision SHOULD be proportionate to the source, nature and contents of the information and, when classified material is involved, SHOULD conform to the Tasmanian Government Information Security Policy.

Agencies MUST consider what security levels, caveats or classifications are currently in place on the records, and whether additional security measures are necessary. Agencies MUST ensure they are appropriately maintained.

Risk assessments SHOULD be undertaken to determine whether receiving agencies meet the necessary security requirements, or whether revisions or upgrades to existing ICT infrastructure, policies and procedures are required.

2.7 Contract Management

Contracts can take many forms covering activities such as copyright licences, and providing specified digital continuity requirements. They can also include accommodation, office cleaning and maintenance of computer equipment. Where a transfer of a function requires the transfer of associated contracts, there will be a mixture of responsibilities and rights that the receiving agency will need to be aware of.

In all cases, the receiving agency **MUST** be notified of the rights and responsibilities involved in each contract. The other contractual party **SHOULD** also be notified: this is often a standard clause. This is very important, especially if one of the agencies is expected to make payments to the other.

2.8 Knowledge and Information Transfer

The Transition Project Team needs to ensure that the transfer of all forms of knowledge and information is effectively managed, to provide a smooth transition from one agency to another. There **MUST** be a communications plan to ensure that the information needs of customers, end-users and external contacts are fully met. Both transferring and receiving agencies **SHOULD** ensure that risk registers covering records and information are updated following a Government administrative change.

A function statement **SHOULD** be drawn up by existing staff outlining who they are and what they do. Exit interviews and/or questionnaires **SHOULD** be given to transferring staff where necessary, with the purpose of gaining knowledge/information of records, processes and contacts of transferring staff.

3 Specific Requirements

3.1 When a function is transferred between Government agencies

The transferring agency **MUST** identify all records associated with the function. In a transfer, the responsibilities of each agency **SHOULD** be agreed upon and documented in a formal agreement. The transferring agency **MUST** list the records to be transferred. The transferring agency **MUST** provide a copy of the list to the receiving agency, and also retain a copy for their own records.

Records of the function maintained in secondary storage **SHOULD** be included in the review of management arrangements. If the records are required by the receiving agency, control **SHOULD** be transferred to the receiving agency. Where secondary storage is commercially managed, there **SHOULD** be an existing formal contract between the transferring agency and the provider. Even when the records remain with the provider, responsibility for managing the contract **MUST** be transferred to the receiving agency.

The transferring agency **MUST** consult with TAHO to determine whether TAHO's authorisation for the transfer of records is required. The transferring agency **MUST** dispose of records no longer required for business using the relevant current Retention and Disposal Schedules.

The transferring and receiving agencies **SHOULD** agree and document arrangements for access – both between themselves, and access by the public. The receiving agency **SHOULD** make sure all records being transferred, regardless of age, have had any access restrictions predetermined. The transferring agency **SHOULD** advise the receiving agency on the content of the records to help determine appropriate access restrictions.

The receiving Agency **MUST** check records received against the transfer list provided prior to signing the formal acknowledgement document. A copy of the acknowledgement document **SHOULD** be retained by both agencies for their records.

Having transferred records, agencies **MUST** update associated control records. The transferring agency **SHOULD** provide the receiving agency with copies of any functional Retention and Disposal Schedules which relate to the records being transferred. When functions move from one agency to another, TAHO **SHOULD** be notified, as the receiving agency may need the approval of TAHO to use a pre-existing Disposal Schedule. Where no functional Retention and Disposal Schedule exists, the receiving agency **MUST** develop a Schedule with the assistance of TAHO prior to any disposal of records taking place. See Information Management Advice 65, Part 1 *Management of Records during Administrative Change Handbook – Section 1 When a Function is transferred between Agencies (page 1)*.

3.2 When a function is transferred to another government

Ownership of State records **MUST NOT** be transferred from the Tasmanian government to another government without the authorisation of TAHO.

See Information Management Advice 63, Part 1 *Management of Records during Administrative Change Handbook – Section 2 When a Function is transferred to another government*

3.3 When a new function is created

When a new function is created, the responsible agency **SHOULD** update records management tools to reflect this.

See Information Management Advice 63, Part 1 *Management of Records during Administrative Change Handbook – Section 3 When a new Function is created*.

3.4 When agencies are amalgamated into a new entity

When agencies are to be amalgamated into larger entities, related recordkeeping implications **MUST** be considered. In order to manage these effectively, agencies **SHOULD** form a steering group from across the agencies to be merged. The steering group **SHOULD** report to relevant high level committees established to oversee all aspects of the amalgamation. Decisions of the steering group **SHOULD** be documented and signed off by appropriate high level committees of the merging agencies.

Detailed work plans **SHOULD** be developed for the work required to ensure a smooth transition, and effectively amalgamate information and recordkeeping processes, and related systems and controls. Once the initial transition has been completed, authorised staff **SHOULD** undertake planning for the ongoing management of the records management program of the successor authority.

If agencies are to be amalgamated, and functions continued as part of a new organisation, records **MUST** be forwarded to the successor authority. The successor authority **MUST** make arrangements to transfer permanent records to TAHO that are not required for the ongoing business of the successor authority.

Before the records are transferred to TAHO they **MUST** be listed on the Application to Dispose of State Records (AOT 48), and prepared in accordance with *Information Management Advice 12 Preparing Records for transfer*.

If permanent records more than 25 years old are required for the ongoing business of the new entity, an application for exemption for transfer **MUST** be made to the State Archivist.

Any records authorised for destruction in a current records Disposal Schedule, or those that are due for destruction following appraisal by TAHO, **MUST** be destroyed in accordance with TAHO Advice 9 *Disposal of scheduled records* or TAHO Advice 10 *Disposal of unscheduled records, as applicable*.

See *Information Management Advice 63, Part 1 Management of Records during Administrative Change Handbook – Section 4 How to Manage Records when Agencies Amalgamate*.

3.5 When an existing function is abolished

When an agency ceases to carry out a function, the agency **MUST** still retain and continue to manage the records until they are due for disposal. The agency **SHOULD** amend records management tools to ensure no new records are created, and to indicate the functions and terms of control records that are no longer in use.

See *Information Management Advice 63, Part 1 Management of Records during Administrative Change Handbook – Section 3 When an Existing Function is abolished*.

3.6 When an agency is abolished or privatised

If the agency is to be abolished the relevant authority **MUST** arrange for all the agency's permanent value records to be forwarded to TAHO. The agency responsible for managing the closure **MUST** take responsibility for retaining any long term and short term temporary records that are not yet due for destruction.

If the agency is to be privatised, the succeeding private entity **MUST** be consulted as to those records they require for their own business purposes:

- If they are permanent a Transfer of Custody authority **MUST** be obtained from the State Archivist before they are transferred. Once no longer required by the private entity these records **MUST** be returned to TAHO
- If they are temporary a Transfer of Ownership authority **MUST** be obtained from the State Archivist before they are transferred.

Before permanent records are transferred to TAHO they **MUST** be listed on the Application to Dispose of State Records (AOT 48), and prepared in accordance with *Information Management Advice 12 Preparing Records for transfer*.

Any records authorised for destruction in a current records Retention and Disposal Schedule, or those that are due for destruction following appraisal by TAHO, **MUST** be destroyed in accordance with TAHO Advice 9 *Disposal of scheduled records* or TAHO Advice 10 *Disposal of unscheduled records, as applicable*.

See *Information Management Advice 65 What to do if your agency is closed or Privatised and 'Privatisation of government business: recordkeeping issues (2005: Guideline 14)* if your agency is being privatised.

4 Agency Responsibilities

Custodianship of all records affected by administrative changes **MUST** be planned and successfully transferred between government agencies to ensure the ongoing administration of functions. Agency senior executive are responsible for:

- Plans for record custodianship transfers have been developed, and endorsed by the senior executive responsible for recordkeeping.
- Record custodianship transfer activities are coordinated between senior officers with recordkeeping responsibilities in each agency.
- When functions are transferred between agencies due to amalgamations, structural, functional, or administrative changes (also known as machinery of government changes), all records of that function are identified and documented.
- Current records related to a function which is being transferred between Tasmanian government agencies **MUST** be transferred with the function to the receiving agency.
- Records being transferred between agencies must be transferred with their metadata and in an accessible format.
- Inactive records identified for transfer **MUST** be sentenced before custodianship transfers occur. Where there is no current Retention and Disposal Schedule, appraisal of the records must be carried out and disposal authorisation obtained from the State Archivist.
- Temporary records that are time expired are reviewed for destruction.
- Permanent records that are no longer in administrative use are transferred to TAHO by the transferring agency in consultation with the receiving agency and in accordance with the Disposal Guideline, if they are over 25 years old or the agency is being abolished or privatised.
- Senior officers responsible for recordkeeping have negotiated to set specific responsibilities, define costs, schedule activities, prescribe service parameters and ensure business continuity for record custodianship transfers.
- Procedures for record custodianship transfers have been communicated to all relevant staff prior to transfer occurring for all transfer of custodianship arrangements.
- Record custodianship transfers are confirmed in writing once the records have been successfully incorporated into the agency's recordkeeping systems and copies of digital records are not destroyed until this confirmation is received.
- The custodianship of permanent records **MUST** not be transferred outside the Tasmanian jurisdiction, without a transfer of custody agreement and the custodianship of temporary records may only be transferred outside the Tasmanian jurisdiction with the approval of the State Archivist.

5 Definitions

The terms agency, transferring agency and receiving agency are used interchangeably throughout this guide when describing roles and responsibilities. Where a matter relates specifically to an agency or a local authority, those terms are used in preference.

Private entity - An individual or agency not employed, owned, or operated by the State sector.

Local government authorities. These include:

- local government councils
- council-controlled agencies

Agency - This is a blanket term that includes all government departments and local authorities as defined in the *Archives Act 1983*.

Receiving Agency - The agency or local government authority that receives an existing function that has been transferred from another agency.

Transferring Agency - The agency or local authority which transfers a function to another agency.

Further Advice

For more detailed advice, please contact:

Government Information Strategy Unit
Tasmanian Archive and Heritage Office
91 Murray Street
HOBART TASMANIA 7000
Telephone: 03 6165 5581
Email: gisu@education.tas.gov.au

Acknowledgements

This Guideline is a part of a toolkit of advice that includes:

- Information Management Advice 63, Part 1 Management of Records during Administrative Change Handbook
- Information Management Advice 63, Part 2 Government Administrative Change Advice for Senior Management
- Information Management Advice 64 Transfer of Electronic Records
- Information Management Advice 65 What to do if your Agency is Closed or Privatised
- Information Management Advice 62 Help we are moving!
- For guidance on the recordkeeping issues associated with the outsourcing of government functions see *Outsourcing of government business: recordkeeping issues* (2013: Guideline 10)
- For guidance on the recordkeeping issues associated with the privatisation of agencies or functions see *Privatisation of government business: recordkeeping issues* (2005: Guideline 14)
- *Recordkeeping in Brief 23 – managing record in administrative change*, State Records New South Wales
- *Managing Records through Administrative Change*. State Records of South Australia, Government of South Australia, Draft v1.3. February 2002
- *Recordkeeping Guide 13, Guide to Managing Records during Administrative Change in Agencies and Local Authorities*, Archives New Zealand, December 2008
- *Handling Administrative Change. Archives Advice 27*, National Archives of Australia, Rev. June 2002.
- *Developing a Functions Thesaurus: Guidelines for Commonwealth Agencies*, National Archives of Australia 2000
- *Disposition of records following administrative change*, Council of Federal, State and Territory Archives Policy Statement 5. July 1999
- *Recordkeeping In Brief 29 - Privatising Public Offices: What about the records?* State Records New South Wales
- *Operations Management*, PROS 10/17, Public Record Office Victoria

Attachment I – Checklists of Actions and Expected Outputs

I.	Functions Transferring between Tasmanian Government		
I.1	Joint working group established	<input type="checkbox"/> Yes	<input type="checkbox"/> No
I.2	Records relating to the transferring function identified: <ul style="list-style-type: none"> • control records • legislation or policy • related business systems • transferring staff • files • vital records • IP and copyright concerns • RTI cases • Legacy records • Records in secondary storage (including contractual arrangements) 	<input type="checkbox"/> Yes	<input type="checkbox"/> No
I.3	Management arrangements determined between agencies (transferring and receiving). Formal agreement of decisions documented and endorsed by authorised representatives of each agency (transferring and receiving).	<input type="checkbox"/> Yes	<input type="checkbox"/> No
I.4	TAHO authorisation sought and confirmation received whether transfer of custody authority is required	<input type="checkbox"/> Yes	<input type="checkbox"/> No
I.5	Information security requirements assessed, and receiving agency assessed for adequacy	<input type="checkbox"/> Yes	<input type="checkbox"/> No
I.6	Records not required for business identified and either <ul style="list-style-type: none"> • Transferred to secondary storage (temporary) • Transferred to TAHO • Destroyed (with State Archivist authorisation) 	<input type="checkbox"/> Yes	<input type="checkbox"/> No
I.7	Access arrangements determined – <ul style="list-style-type: none"> • Between agencies • Public 	<input type="checkbox"/> Yes	<input type="checkbox"/> No
I.8	Physical transfer managed, records inventoried and signed off by receiving agency. TAHO notified of transfer completion	<input type="checkbox"/> Yes	<input type="checkbox"/> No

I.9	<p>Records management tools amended:</p> <ul style="list-style-type: none"> • BCS • Disposal Schedule • Thesauri • Disaster Management/Business Continuity plan 	<input type="checkbox"/> Yes	<input type="checkbox"/> No
I.10	<p>Review and update tools with respect to the transferring function and associated records, e.g.:</p> <ul style="list-style-type: none"> • Vital records register • Risk register • Information Asset register updated and business owner/s identified 	<input type="checkbox"/> Yes	<input type="checkbox"/> No

Typical outputs:

- Joint working group member list/terms of reference
- Records transfer listing
- Formal management agreement document detailing transfer arrangements and considerations
- TAHO transfer of custody documentation (where applicable)
- Information Security risk assessment
- Communications plan
- Function statement outlining staff responsibilities and tasks
- Exit interview documentation
- AOT48 submission for transfer to TAHO (where applicable)
- Record of subsequent transfers to secondary storage
- Updated Register of Records destroyed
- Documented access arrangements
- Signed formal acknowledgement of receipt of transferred records
- Updated control records
- Updated agency risk registers
- Application to TAHO for issue of Destruction Authority for unscheduled records (if appropriate)
- TAHO authorisation issued for destruction of unscheduled records
- TAHO formal transfer documentation issued

2. New Function Created			
2.1.	Analysis undertaken of functional requirements for integration into Business Classification Scheme	<input type="checkbox"/> Yes	<input type="checkbox"/> No
2.2.	Review and integrate thesaurus terms for function/s into agency thesaurus	<input type="checkbox"/> Yes	<input type="checkbox"/> No
2.3.	Source examples of functional Retention and Disposal Schedules that relate to the records, from other jurisdictions (if available).	<input type="checkbox"/> Yes	<input type="checkbox"/> No
2.4.	Where no functional Retention and Disposal Schedule exists, develop with the assistance of TAHO a Schedule and submit this for approval to TAHO prior to any disposal of records taking place. (note: Schedule DA2157 may be used for common administrative records by State bodies, and Schedule DA2200 by Local Government).	<input type="checkbox"/> Yes	<input type="checkbox"/> No
2.5	Review and update tools with respect to the new function and associated records, eg: <ul style="list-style-type: none"> • Vital records register • Risk register • Information Asset register updated and business owner/s identified • Disaster Management/Business Continuity plan 	<input type="checkbox"/> Yes	<input type="checkbox"/> No

Typical outputs:

- Analysis undertaken of new function to inform agency BCS structure
- Updated agency BCS
- Updated agency thesaurus
- Development of Retention and Disposal Schedule for records associated with new function (where no RD&S exists)
- TAHO authorisation of RD&S for use, and formal publication
- Updated agency risk registers
- Updated Disaster Management/Business Continuity plan

3. Amalgamated authorities			
3.1.	Steering group established	<input type="checkbox"/> Yes	<input type="checkbox"/> No
3.2	Comprehensive inventories documented of all business, communication, information, recordkeeping and other systems from all agencies involved in the amalgamation.	<input type="checkbox"/> Yes	<input type="checkbox"/> No
3.3	Transition plan developed, and sign off obtained from amalgamation oversight committee.	<input type="checkbox"/> Yes	<input type="checkbox"/> No
3.4	Detailed work plans developed	<input type="checkbox"/> Yes	<input type="checkbox"/> No
3.5	Records management systems and controls determined and developed, including plan for Records Management program for new entity.	<input type="checkbox"/> Yes	<input type="checkbox"/> No
3.6	Records are appraised in consultation with TAHO, to identify: <ul style="list-style-type: none"> • Scheduled records that are due for destruction • Unscheduled records that require formal Destruction Authority • permanent records to be transferred to TAHO • records older than 25 years required for ongoing business. 	<input type="checkbox"/> Yes	<input type="checkbox"/> No
3.7.	Records required for ongoing business are forwarded to the receiving agency. Request for exemption from transfer to TAHO made by the transferring agency for those permanent records over 25 years required by the receiving agency.	<input type="checkbox"/> Yes	<input type="checkbox"/> No
3.8.	Permanent records not required for ongoing business listed and AOT48 submission made to TAHO for transfer	<input type="checkbox"/> Yes	<input type="checkbox"/> No
3.9	Unscheduled records that are deemed temporary are listed and an application made to TAHO for a formal Destruction Authority	<input type="checkbox"/> Yes	<input type="checkbox"/> No

Typical outputs:

- Steering group member list/terms of reference
- Comprehensive record inventory listing including systems
- Transition plan including documented decisions
- Communications plan
- Change management plan
- Work plans
- Training plan
- AOT48 submission for transfer to TAHO (where applicable)
- Record of subsequent transfers to secondary storage
- Updated Register of Records Destroyed (including destruction certificate as appropriate)
- Development (or integration) of control records and registers
 - BCS
 - Thesaurus
 - agency risk registers
 - vital records
- Disaster Management/Business continuity plan
- Application to TAHO for issue of Destruction Authority for unscheduled records (if appropriate)
- TAHO authorisation issued for destruction of unscheduled records
- Updated Register of Records Destroyed (and destruction certificate where applicable)
- AOT48 submission for transfer to TAHO of permanent records (where applicable)
- TAHO formal transfer documentation issued
- Exemption application to TAHO for transfer of records over 25 years old required for ongoing business of receiving agency
- Exemption authorised by State Archivist

4. Function Abolished			
4.1.	Records of abolished function identified and sentenced against applicable Retention and Disposal Schedules. Scheduled records destroyed and added to Register of Records Destroyed.	<input type="checkbox"/> Yes	<input type="checkbox"/> No
4.2.	Unscheduled records deemed to be temporary listed and an application made to TAHO for formal Destruction Authority	<input type="checkbox"/> Yes	<input type="checkbox"/> No
	Temporary records are sentenced and listed on and register of records destroyed and stored until they are time expired by the agency	<input type="checkbox"/> Yes	<input type="checkbox"/> No
4.3.	Permanent records listed and AOT48 submission made to TAHO for transfer	<input type="checkbox"/> Yes	<input type="checkbox"/> No
4.4.	Review and update tools with respect to the abolished function and associated records, eg: <ul style="list-style-type: none"> • Vital records register • Risk register • Information Asset register updated and business owner/s identified • Disaster Management/Business Continuity plan 	<input type="checkbox"/> Yes	<input type="checkbox"/> No
4.5	Records management tools amended: <ul style="list-style-type: none"> • BCS • Disposal schedule (approval from TAHO required) • Thesauri 	<input type="checkbox"/> Yes	<input type="checkbox"/> No

Typical outputs:	
<ul style="list-style-type: none"> • Updated agency BCS • Updated agency thesaurus • Updated agency risk registers • Updated Retention & Disposal Schedule (TAHO authorised) • Updated Disaster Management/Business Continuity plan • Application to TAHO for issue of Destruction Authority for unscheduled records (if appropriate) • TAHO authorisation issued for destruction of unscheduled records • Updated Register of Records destroyed • AOT48 submission for transfer to State Archives (where applicable) • TAHO formal transfer documentation issued 	

5. Abolished or privatised authorities			
5.1	The State Archivist is notified of the abolition or privatisation of the organisation.	<input type="checkbox"/> Yes	<input type="checkbox"/> No
5.2.	A list of the organisation's records is sent to the State Archivist, and to the Records Manager of the parent agency (or the central agency managing closure).	<input type="checkbox"/> Yes	<input type="checkbox"/> No
5.3	Records are appraised in consultation with TAHO and the succeeding private entity (if applicable), to identify: <ul style="list-style-type: none"> • Scheduled records that are due for destruction • temporary records not due for destruction • unscheduled records deemed to be temporary requiring Destruction Authority • permanent records to be transferred to TAHO • permanent records required by the succeeding private entity for business continuity purposes 	<input type="checkbox"/> Yes	<input type="checkbox"/> No
5.4	Scheduled records due for destruction are destroyed before the organisation is abolished.	<input type="checkbox"/> Yes	<input type="checkbox"/> No
5.5	Unscheduled records deemed to be temporary listed and an application made to TAHO for formal Destruction Authority (Note: if there is a succeeding private entity, this MUST be done with their consultation)	<input type="checkbox"/> Yes	<input type="checkbox"/> No

5.6	Records not due for destruction and/or of continuing business use are sentenced, listed and transferred to parent or central agency managing closure, until due for destruction. If required by a succeeding private entity, a Transfer of Ownership authority is required from the State Archivist	<input type="checkbox"/> Yes	<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> No
5.7	Permanent records listed and AOT48 submission made to TAHO for transfer	<input type="checkbox"/> Yes	<input type="checkbox"/> No
5.8	Permanent records required by a succeeding private entity require a Transfer of Custody authority from the State Archivist (Note: once the private entity no longer has a business purpose for these records they MUST be returned to TAHO.)	<input type="checkbox"/> Yes	<input type="checkbox"/> No

Typical outputs:	
<ul style="list-style-type: none"> • Copy of the inventoried and copy submitted to State Archivist • Application to TAHO for issue of Destruction Authority for unscheduled records (if appropriate) • TAHO authorisation issued for destruction of unscheduled records • AOT48 submission for transfer to TAHO (where applicable) • TAHO formal transfer documentation issued • Arrangements for residual records to be sentenced, listed, and boxed for storage. • Arrangements made with central agency for transfer and ongoing storage until disposal. • Transfer of Custody and Transfer of Ownership authorities sought from the State Archivist 	

Attachment 2 – Checklists of Actions and Expected Outputs for Agency Senior Executives

Additional information see Advice 63, Part 2 Government Administrative Change Advice for Senior Management.

Action	Expected Output
<p>Plans for record custodianship transfers have been developed, and endorsed by the senior executive responsible for recordkeeping.</p>	<ul style="list-style-type: none"> • Documented proposals for transfer plan and procedures. • Copy of the initial approval sought by executive with responsibility for recordkeeping within the agency. • Approval for transfer plans and procedures by executive with responsibility for transfer of custodianship delegation (e.g. steering committee, governance group, senior executive or head of agency). • Signed copy of all transfer plans and procedures.
<p>Record custodianship transfer activities are coordinated between senior officers with recordkeeping responsibilities in each agency.</p>	<ul style="list-style-type: none"> • Schedule of recordkeeping transfer activities that has been distributed and agreed to by both agencies. • Advance notification of dates via Intranet advice and email communication to all staff affected by change. • Schedule of records management staff who will participate in transfer activities. • Contact list with details of who to call from transferring or accepting agency. Signed copy of all of the scheduling documents.
<p>When functions are transferred between agencies due to amalgamations, structural, functional, or administrative changes (also known as government administrative changes), all records of that function are identified and documented.</p>	<ul style="list-style-type: none"> • Reports on all records of the function, including inactive records held offsite, that are identified as belonging to a function that is being transferred. • Confirmation email or memo from the appropriate executive or delegate and internal stakeholders that identification of records is complete and accurate. • Reports listing records identified for transfer.

<p>Current records related to a function which is being transferred between Tasmanian government agencies MUST be transferred with the function to the receiving agency.</p>	<ul style="list-style-type: none"> • Search results and reports defining current records of the function. Reports listing records transferred.
<p>Records being transferred between agencies MUST be transferred with their metadata and in an accessible format.</p>	<ul style="list-style-type: none"> • Metadata extracts for records transferred. Signed agreement between agencies.
<p>Inactive records identified for transfer MUST be sentenced before custodianship transfers occur.</p>	<ul style="list-style-type: none"> • Report documenting the sentencing activities completed, which has been provided to the receiving agency.
<p>Temporary records that are time expired are reviewed for destruction by the transferring agency accordance with the Retention and Disposal Schedule.</p>	<ul style="list-style-type: none"> • Destruction certificates which demonstrate that temporary records eligible for destruction have been destroyed. • Report documenting the destruction activities completed, which has been provided to the receiving agency.
<p>Permanent records that are no longer in administrative use are transferred to TAHO by the transferring agency.</p>	<ul style="list-style-type: none"> • Transfer documentation for permanent records that are transferred to TAHO. • Report documenting the transfer activities complete.
<p>Senior officers responsible for recordkeeping have negotiated to set specific responsibilities, define costs, schedule activities, prescribe service parameters and ensure business continuity for record custodianship transfers.</p>	<ul style="list-style-type: none"> • Documentation about meetings held and minuted to discuss responsibilities, costs, timeframes and all service parameters. Signed agreement between agencies.
<p>Procedures for record custodianship transfers have been communicated to all relevant staff prior to transfer occurring for all transfer of custodianship arrangements.</p>	<ul style="list-style-type: none"> • Transfer plan and procedure. • Communication plan. • Schedule of transfer activities. • Checklist of staff obligations. • Contact lists with details of who to call for help in the current agency and who to call in the new agency.

<p>Record custodianship transfers are confirmed in writing once the records have been successfully incorporated into the agency's recordkeeping systems and copies of digital records are not destroyed until this confirmation is received.</p>	<ul style="list-style-type: none"> • Correspondence from receiving agency confirming transfer.
<p>The custodianship of permanent records MUST not be transferred outside the Tasmanian jurisdiction, without transfer of custody documentation and the custodianship of temporary records may only be transferred outside the Tasmanian jurisdiction with the approval of the State Archivist.</p>	<ul style="list-style-type: none"> • Applications to the State Archivist for temporary records to be transferred out of the Tasmanian jurisdiction (including a list of all records nominated for transfer). • Correspondence regarding approval from the State Archivist. Register of transferred records.