TAHO
Tasmanian Archive + Heritage Office

Checklist: A Quick Guide to Identifying Records for Transfer during Government Administrative Change

During Government administrative change agencies need to ensure that they continue to meet their recordkeeping responsibilities under the *Archives Act 1983* and associated Guidelines. In most cases, administrative changes involve the transfer of State records (and other assets) from one agency to another. To ensure this process is completed in an accountable, auditable and transparent manner, transferring agencies have several responsibilities, including:

- identifying all State records relevant to a transferring function
- documenting the transfer of any State records by the agency
- ensuring any remaining State records belonging to a transferred function continue to be managed, accessible, useable and retained for as long as required.

This checklist provides advice on how to identify State records required to be transferred under an administrative change.

1. Before you Begin

Identify the legal instrument driving the change. Examples include:

- Administrative Arrangement Orders
- Legislation
- Regulations

This formal notice will tell you if all or part of a function is to be transferred, and may also provide instructions for the transfer of specific State records. In some cases, functions may be split and reassigned to more than one receiving agency.

2. Contact TAHO

Contact TAHO to advise of the change. TAHO may be required to provide a Transfer of Custody authority. TAHO can also assist by providing advice and appraising any unscheduled records.

3. Know what records are generated or received in the course of business

A file list or organisational chart alone should not be relied on to provide a complete picture of all the types of State records which may have been created or received in respect of a particular business function. Relevant State records located in business systems, network drives, personal filing cabinets and other locations across the agency may be unrecorded. For this reason, an analysis of all business processes related to the business function and the State records which would be expected to fall out of those business transactions should be carried out.

A business process map may already exist in the form of your agency's Business Classification Scheme (BCS) or functional Retention and Disposal Schedule. Your functional Retention and Disposal Schedule can be used to identify all records irrespective of format, organisational boundaries or whether they are under the direct control of the records management unit. If you do not have a current disposal schedule it may be necessary for you to survey your records holdings. See *Information Management Advice 61 How to review your records holdings.*

For further information on analysing your agency's functions, activities and business transactions use *Guideline 6 - Developing a Functional Records Disposal Schedule*, accessible from the TAHO website (https://www.informationstrategy.tas.gov.au/Records-Management-Principles/Pages/Numeric-List.aspx)

4. Know where your records are located

Using your business process mapping information, target relevant business areas to carry out a records survey or inventory. The survey results should indicate the format, volume, age, currency (active or inactive), and physical or electronic location of the records. Don't forget to include all regional offices. Don't forget to review the agency Information asset register as part of the survey.

Legacy records may also exist in various repositories across the organisation. The transferring and receiving agencies may come to an agreement on a 'cut-off date' - before which date records are unlikely to be relevant to ongoing business needs. By agreement, these State records can remain with the transferring agency or another responsible agency.

The agency transition team established to coordinate the administrative change should be made aware that relevant records may exist beyond the agency's central recordkeeping system, as data owners may need to be directed to liaise with the recordkeeping unit to ensure all disposal is in accordance with TAHO Guidelines. See *Information Management Advice 61 How to review your records holdings*

5. Generate a transfer list

Based on the analysis carried out in steps 1 – 3, a list of records proposed for transfer should be generated. This list can be used by the transferring agency as a checklist when records are transferred.

It can also be used by the receiving agency to check-off records that have been received.

The AOT 48 can be used to generate a transfer list. This document can be accessed from the TAHO website (https://www.informationstrategy.tas.gov.au/Publications/Pages/Forms-Templates.aspx)

For those permanent records not required by the receiving agency, arrangements can be made to transfer these records to TAHO using the AOT48 form.

6. Verify the list with business area experts

Before commencing the transfer of records, the transfer list should be checked and signed off by the relevant business unit managers/data owners to confirm that the records fall within the scope of the transferred function. Agencies are advised to consult with the agency's legal representatives to confirm that the records fall within the scope of changes described by the administrative change instrument. The transferring agency must contact TAHO to check if a Transfer of Custody authority is required.

Further Advice

For more detailed advice please contact:

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- State records Brief, Administrative change: A quick guide to identifying records for transfer, Queensland State Archives.

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