TAHO
Tasmanian Archive + Heritage Office

Checklist: Government Administrative Change Project Tasks

This Checklist has been developed for the Joint Information Transition Team. It includes a Task list for the transferring agency and the receiving agency. It also includes a detailed checklist for use by both agencies. It is mainly designed for the joint Information Transition Team and staff closely involved in the change project.

Task list for the Transferring Agency

This task list is intended as an aid for the Project Team in the transferring agency in overseeing the transfer of records. Responsibility for each task should be clearly assigned and progress formally checked and recorded at specified intervals.

- Obtain senior management commitment to resourcing the transfer of records and information at the outset
- Contact TAHO
- Appoint members of joint Information Transition Team, including Records Management, Knowledge Management and Information Technology representatives from both agencies. A TAHO representative can be included to provide advice.
- Consider scope for realising savings and efficiencies and doing things differently, e.g. sharing rather than transferring services, or anticipating digital continuity requirements
- Make adequate budgetary provision for the change
- Identify staff and functions to be transferred
- Identify paper and electronic records relating to these functions
- Identify other relevant paper and electronic information, publications, manuals etc.
- Carry out an impact assessment on digital information in the department to ensure you maintain the usability you need
- Identify location of informal knowledge crucial to the effective management of business
- Identify other records for transfer e.g. personnel files
- Consult owners of processes affected by the transfer e.g. personnel, RTI
- Consult Private Offices and Parliamentary Clerk on transfer of records, live PQs etc.
- Inform users and customers of the changes and new contact details.
- Undertake security risk assessment to highlight information security issues
- Carry out joint options appraisal of storage costs for paper records
- Classify records by type, use etc.
- Plan transfer of paper and electronic records with receiving agency and TAHO

- Document staff responsibilities and agency of related records pre-transfer
- Document proposed transfers of staff, functions and records
- Keep top management team informed of progress, including the Senior Information Risk Owner or SRO for Digital Continuity
- Update staff directories
- Update business plans
- Update information risk registers

Task list for the Receiving Agency

This task list is intended as an aid for the Project Team in the receiving agency in overseeing the transfer of records. Responsibility for each task should be clearly assigned and progress formally checked and recorded at regular intervals.

Detailed checklists are included at Annexes 1 and 2 for use by the Information Transition Team and staff closely involved in the change.

- Obtain senior management commitment to resourcing the transfer of records and information at the outset
- Contact TAHO
- Appoint members of joint Information Transition Team, including Records Management, Knowledge Management and Information Technology representatives
- Consider scope for realising savings and efficiencies and doing things differently, e.g. sharing rather than transferring services or implementing digital continuity requirements
- Make adequate budgetary provision for the change
- Discuss with opposite numbers in transferring agency the staff, functions, records etc. identified for transfer
- Consult owners of processes affected by the transfer e.g. personnel, RTI
- Inform users and customers of the changes and new contact details
- Note security issues arising from security risk assessment
- Carry out joint option appraisal of storage costs for paper records
- Plan transfer of paper and electronic records with transferring agency and TAHO
- Document staff responsibilities for records post-transfer
- Plan space requirements for both internal and external customer-facing information services, staff, and paper records
- Arrange for welcome and induction of incoming staff at all levels
- Brief existing staff at all levels on the changes
- Keep top management team informed of progress, including the Senior Information Risk Owner or SRO for Digital Continuity
- Update staff directories
- Update business plans

- Update information risk registers.

Detailed checklists are included for use by the Information Transition Team and staff closely involved in the change.

Detailed Checklist

For use by both agencies: mainly designed for the joint Information Transition Team and staff closely involved in the change Action

GAC- Government Administrative Change

Immediate Tasks	**Responsibility**	**Date Complete**
Obtain commitment of senior management to resourcing records and information transfer	CIO or Records Manager	
GAC Change Management Project Team appoint joint Information Transition Team including RM, KM and IT experts	Director Corporate Services in both Agencies	
Contact TAHO	Records Managers	
Ensure that Management Board is made aware of information and records management aspects of GAC change and has regard to guiding principles if required		
Make adequate budgetary provision for the required work		
List functions that are moving		
List of staff who are moving		
List of who owns processes (HR, Finance, etc.)		
Explore shared service possibilities		
Tasks to be carried out throughout the process		
Keep staff informed of changes		
Ensure that senior staff are fully briefed on the changes		
Keep top management team informed of progress		
Tasks to be carried out in the ensuing weeks/months		
Records		
Identify all records (paper and electronic) relating to the function		
Decide which records will be transferred to the receiving agency		
Determine with assistance from TAHO if a Transfer of Custody authority will be required from the State Archivist		
Identify emails to be transferred to the receiving agency		
Receiving agency to ensure that staff moving are aware of their email policy and provide training in the email system if it is different from the system they were using previously		

Identify all databases relating to the function		
Identify databases that are still required to perform the function		
Determine whether any of the databases identified are worthy of permanent preservation		
Make any necessary contractual arrangements		
Gather information on RTI/data protection issues and pass to the receiving agency		
Gather any other information relating to the databases		
Conduct formal appraisal of options for relocating paper files		
Extract relevant information from records management databases and pass to the receiving agency		
If the above is not possible then arrange for files to be re indexed		
Gather information/knowledge relating to the records (appraisal and review info, retention/disposal information, sensitivity/RTI issues, file series information)		
Compile a list of all records to be transferred		
Receiving agency to train new staff in records management systems and procedures		
Ensure that knowledge of records management staff (records review, sensitivity review, RTI contacts) is captured and transferred to the receiving agency		
Transferring agency to complete their part of the transfer agreement		
Transfer records and information to the receiving agency		
Receiving agency to check records received		
Receiving agency to complete their part of the transfer agreement		
Websites		
Conduct review of websites		
Ensure that customers are redirected to the new domain		
Arrange for links and or/navigation structures on supersites (i.e. www.tas.gov.au) to be updated		
Ensure that websites accurately reflect the new responsibilities		
Contact the TAHO Collections if you would like your site to be archived before any changes are made		
Knowledge		
Update business continuity/disaster plans and risk registers		
Identify location of informal knowledge crucial to the effective management of business		
Existing staff to compose a function statement identifying purpose, goals, collective knowledge and experience; and risk register of current and planned activities with management strategies and contingency plans		

Produce handover notes		
Ask staff to complete transfer questionnaires		
Conduct exit interviews with staff		
Maintain knowledge networks		
Devise internal communications plan		
Ensure that corporate directories are updated		
Ensure that Intranets are updated		
Make plans for the division of library collections if necessary		
Induction and welcome for new staff		
Transferring agency to inform users and customers of the changes and new contact details		
Contracts and agreements		
Notify receiving agency of rights and responsibilities involved in each contract		
Notify other contractual party		
Private Office		
Extract details of official engagements relating to the transferred function and pass to Minister taking over responsibility		
Take a copy of the Ministers official diary and pass to DPAC		
Return Cabinet documents relating to past meetings in the areas being transferred to Cabinet Office		
Destroy reference copies of submissions relating to transferred functions		
Destroy reference copies of records of Ministers" meetings and telephone conversations in which policy officials have been involved		
If the Minister is moving to the new Department purely personal material should be packed securely and sent to him/her, or destroyed if clearly ephemeral		
Take a copy of electronic data on network drives, sharpoint and transfer to DPAC for loading into TRIM		
Parliamentary Questions		
Parliamentary Branch of transferring agency pass details of live PQs to the Parliamentary Branch of the receiving agency		
Parliamentary Branch of the receiving agency enter details of live PQs into their PQ system		
Transferring Parliamentary Branch should tell policy officers who is responsible for PQs in the receiving agency and where to send their answers		
Receiving Parliamentary Branch to file answers in accordance with current practice		
Transferring agency to brief receiving agency on past and expected future PQs and		

provide staff directory details so new PQs can be allocated		
Parliamentary Branch of transferring agency to give details of the transfer of function to the Table Office in Parliament, copying the receiving agency into the notification		
Brief Parliamentary Branch of receiving agency on future Parliamentary business relating to newly acquired functions		
RTI		
Clarify responsibilities and commitments		
Transferring agency to produce handover/guidance notes including internal and third party contacts, details of past requests, exemptions and the records likely to contain exempt information, likely future request areas		
Review and update publication scheme as necessary		
Identify and transfer live RTI requests to the receiving agency		
Receiving agency should enter case details into the tracking system		
Ensure that staff are aware of the receiving agency's guidelines and pro-formas and whether draft reply should be sent to RTI Officer for clearance before despatch		
Ensure that applicant is told why reply is being sent from a different agency and ensure they know who to contact if there will be a delay in completing the public interest test		
Both agencies to develop protocols to advise and exchange information and knowledge in relation to requests for a transitional period and designate staff to liaise on this		
Transferring agency to alert receiving agency to all active complaints and appeals and provide relevant case details		
Receiving agency to deal with the complaint and consult with transferring agency		
For live and new RTI requests the transferring agency, while it still holds the records, should handle the request in consultation with the receiving agency		
For records awaiting transfer to TAHO, agree how and by whom, relevant exemptions should be identified before transfer		
Review Information Asset Registers and revise as necessary		
Security		
Identify what classified material should be transferred to the new body		
Undertake security risk assessment		
Receiving agency to upgrade information security if necessary		
Once upgrading has taken place then transfer classified material		

Further Advice

For more detailed advice please contact:

Government Information Strategy Unit,
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Acknowledgements

- Machinery of Government Changes: Guidance on Transfer of Records, Information and Knowledge, The National Archives of the United Kingdom
- Guide to Managing Records during Administrative Change in Public Offices and Local Authorities, Archives New Zealand, Recordkeeping Guide G13, December 2008

Information security Classification

This document has been security classified using the Tasmanian Government Information Security classification standard as PUBLIC and will be managed according to the requirements of the Tasmanian Government Information Security Policy.

Document Development History
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Version	Date	Author	Reason	Sections
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Amendments in this Release

Section Title	Section Number	Amendment Summary
		This is the first release of this document.

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Ross Latham
State Archivist