

Guideline

Transfer of Custodianship PROS 10/17 G3

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Table of Contents

1	Introduction	4
1.1	Public Record Office Victoria Standards	4
1.2	Purpose	4
1.3	Scope	4
2	Methodology	6
3	Planning	7
3.1	Step One: Develop Transfer Plan	7
3.2	Step Two: Identify Records	7
3.3	Step Three: Negotiation & Agreement	8
4	Implementing	11
4.1	Step One: Complete Outstanding Disposal Actions	11
4.2	Step Two: Communication	12
4.3	Step Three: Conduct Transfer	14
4.4	Step Four: Confirm Transfer	14
5	Reviewing	16
5.1	Step One: Post Implementation Review	16
5.2	Step Two: Revise Plan & Procedures	16
6	Transfer outside the Victorian Government	17
7	References	18
	Appendix 1: Checklist for Transfer of Custodianship	19
	Planning	19
	Implementing	22
	Review	25

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1 Introduction

1.1 Public Record Office Victoria Standards

Under section 12 of the *Public Records Act 1973*, ('the Act') the Keeper of Public Records ('the Keeper') is responsible for the establishment of Standards for the efficient management of public records and for assisting Victorian government agencies to apply those Standards to records under their control. Officers in charge of Victorian government agencies are responsible under section 13b of the Act for carrying out, with the advice and assistance of the Keeper, a program of efficient management of public records that is in accordance with all Standards issued by the Keeper established under section 12 of the Act.

Recordkeeping Standards issued by Public Record Office Victoria (PROV) reflect best practice methodology. This includes international Standards issued by the International Organisation for Standardisation (ISO) and Australian Standards (AS) issued by Standards Australia in addition to PROV research into current and future trends.

Under section 12 of the *Public Records Act 1973*, the Keeper of Public Records ('the Keeper') is responsible for the establishment of Standards for the efficient management of public records and for assisting Victorian government agencies to apply those Standards to records under their control.

In Victoria, a program of records management is identified as consisting of the following components:

- A recordkeeping framework;
- Recordkeeping procedures, processes and practices;
- Records management systems and structures;
- People and organisational structures; and
- Resources, including sufficient budget and facilities.

A program of records management will cover all an agency's records in all formats, media and systems, including business systems.

1.2 Purpose

The purpose of this Guideline is to facilitate implementation of requirements 26 through to 37 in the [Operations Management Specification](#). This Guideline will also explain the development of a transfer plan, defines the stages for conducting a transfer of custodianship and how a records manager should be involved in each step.

This Guideline will enable Victorian Government employees or consultants to correctly plan and execute a transfer of record custodianship when required. It provides useful and practical guidance on the management of transfer of record custodianship which adheres to best practice recordkeeping principles identified in the [Operations Management Standard](#).

1.3 Scope

This Guideline covers the steps required to plan, implement and review a transfer of record custodianship between government agencies. It covers situations such as Machinery of Government Changes (MOGC); Local Government amalgamations; site closures; transfer of records outside of the Victorian Government jurisdiction (e.g. to the Commonwealth); and transfer of responsibilities and legislative changes affecting functions of Government.

This Guideline does not cover the following topics:

- Transfer of records due to the privatisation of government functions (For information on privatisation see the [Strategic Management Standard](#));
- Transfer of permanent value records to the Public Record Office Victoria (For information on permanent record transfers see [Disposal Specification 3: Transfer of State Archives to PROV](#));
- The transfer of records into Places of Deposit (PODs);
- Storing records with an Approved Public Record Office Storage Supplier (APROSS) (For information on APROSS storage see the [Storage Standard](#)).

2 Methodology



The methodology to implement a transfer of custodianship has three distinct stages: planning, implementing and reviewing.

During the planning stage the records manager will need to develop a transfer plan, identify records to be transferred and negotiate, schedule and formalise the transfer agreement.

The first step in the implementing stage is to complete any outstanding disposal actions. This is followed by communication of scheduled transfer activities, conducting the transfer and finally confirmation from the accepting agency.

The final stage is the review where the transfer is assessed, reported on and plans and procedures are revised.

Figure 1: Methodology for Transfer of Custodianship

3 Planning

This section explains how to plan for record custodianship transfers to ensure records are successfully transferred between government agencies. It provides examples of the common scenarios for transfer of custodianship. It also explains the specific requirements for transferring record custodianship to fulfil requirement 25 which states, *“Plans for record custodianship transfers have been developed, and endorsed by the senior executive responsible for recordkeeping.”*

3.1 Step One: Develop Transfer Plan

Developing a plan to prepare for a record custodianship transfer will assist agencies by providing a set of steps for records managers to follow. Plans can assist both transferring and accepting agencies to understand what’s required for a successful transfer of custodianship. Planning will ensure that all steps are carried out at the correct time and are completed satisfactorily. A plan is particularly helpful in situations where multiple transfers are occurring at the same time. The checklist provided as Appendix 1 can be used to inform the transfer plan.

If the agency is often subjected to administrative changes the development of a preparedness plan for the transfer of record custodianship is recommended. This will ensure the agency has a framework for transfers in place, and when an administrative change is announced the agency is ready to plan the specific requirements of the transfer.

Common triggers for transfers

There are a number of common transfer scenarios such as:

- New legislation resulting in structural and functional changes in agencies;
- Amalgamations of local government authorities due to boundary changes;
- The splitting of a public office or local government authority;
- Machinery of Government Changes (MOGC) due to a state government election, sector restructures, or major departmental restructures;
- Site closures and abolitions;
- Transfer of responsibility of a function or part of a function from the State to another jurisdiction (e.g. to the Commonwealth); and
- Privatisation of a government function (Note this guideline does not cover privatisation; for further information on this see the [Strategic Management Specification](#)).

For further information on writing a business case see [Strategic Management Guideline 4: Writing a Business Case](#). For further information on governance see [Strategic Management Guideline 5: Records Management Strategy](#).

3.2 Step Two: Identify Records

This section explains the importance for the transferring agency to comprehensively identify records to be transferred, prior to transfer activities commencing, using the key principle of transfer: the records should follow the function. It also explains the need to confirm identified records with key stakeholders. This will help the transferring agency fulfil requirement 27 which states, *“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”* and requirement 28 which states, *“Current records related to a function which is being transferred between Victorian government agencies must be transferred with the function to the receiving agency”*.

Conducting records surveys

For the transferring agency there is a need to identify what records are held regarding the function nominated for transfer. It may be useful to conduct a records survey to identify relevant hard copy records and digital records in shared drives, email folders and electronic systems. Conducting records surveys should establish where records are stored; what volumes are held; and establish the status of the records within the records lifecycle.

Using a functional approach

Using a Business Classification Scheme (BCS), where one has been developed using the functional analysis methodology, may assist with the identification of record holdings. As this kind of BCS is organised by function, agencies may be able to more easily select and transfer the records related to a specific function. For further information on functional analysis see [Operations Management Guideline 1: Functional Analysis](#).

Identifying inactive records

The transferring agency will need to identify all records, including those that are inactive. This will assist in the assessment of which records will be transferred and which records may need to have disposal actions implemented. Inactive records are often held in APROSS storage locations. The volume of records at an APROSS should be determined so that the accepting agency may be informed of ongoing storage costs that will become their responsibility.

Identifying records in all formats

Maps, plans, photos, films and websites are just some of the record formats that may form part of a custodianship transfer. The transferring agency will need to identify records in all formats and inform the accepting agency of any specialised management systems or equipment needed to manage or access these records.

Identify records in the custody of PROV

The transferring agency should also identify any permanent records that are in the custody of PROV. This will provide the accepting agency with a complete understanding of the records held. To ensure that the accepting agency has access to these records, the transferring agency needs to notify PROV of the change of responsibility. This will fulfil [Operations Management Specification](#) requirement 33 which states, “Where permanent records of the function have been previously transferred to PROV, the transferring agency has notified PROV of the change of responsibility for the transferred function”.

Compile report of records proposed for transfer

Compiling a comprehensive report of the records proposed for transfer is vital to ensure that the volume, complexity and impact of the transfer are understood. The report should be compiled in a logical sequence, with records grouped into their sentencing classes and the actions proposed (e.g. transfer to accepting agency, transfer to PROV, and destruction of time expired records). This report will be an essential tool during the next step of negotiation and agreement with the receiving agency. Where it is proposed to transfer records outside of the Victorian jurisdiction, this report will also be provided to the Keeper of Public Records.

3.3 Step Three: Negotiation & Agreement

This section explains how to approach negotiations to reach agreement on the scope and process required for successful record custodianship transfers. While the previous section focussed mainly on the transferring agency's preparation activities, this section explores the activities that both the transferring and accepting agencies will be involved in. This step helps fulfil [Operations Management Specification](#) requirement 26 which states, “Record custodianship transfer activities are coordinated between senior officers with recordkeeping responsibilities in each agency”.

A formal agreement should be established and signed by representatives of both agencies to define the responsibilities and parameters of the transfer.

The agreement should explicitly state:

- What records will be transferred, including the volume and format;
- What date the records will be transferred by and where the records will be transferred to;
- Resources and liaison available from both parties to complete the transfer;
- Record metadata to be transferred;
- Any associated equipment (map cabinets, light tables, etc) that relates to the records transfer;
- What disposal activities have been completed by the transferring agency, what disposal activities are underway, and when these activities are scheduled to be completed (e.g. before or shortly after the transfer is finalised);
- When the accepting agency will take ownership and responsibility for access to permanent records held at PROV and when PROV will be notified; and
- The agreed responsibilities for costs of transferring and accepting the records.

Defining costs

Both transferring and accepting agencies should detail all transfer costs in the agreement. These costs may include:

- Preparing records for transfer;
- Transporting records;
- Accepting the transferred records;
- Ongoing record storage costs; and
- Specialists required to migrate data between systems.

Preparing records for transfer is typically the responsibility of the transferring agency, whereas all costs associated with accepting the transferred records are typically the responsibility of the accepting agency. Any special arrangements and costs should be negotiated between the agencies and documented within the agreement.

Establishing specific responsibilities

Upon receipt of the report of records to be transferred the accepting agency will be in a position to understand the scope of the transfer and the preparation work completed by the transferring agency. Responsibilities for the transfer can now be established with the accepting agency. Specific contacts should be dedicated for all teams that have a role to play in the transfer process.

Negotiation of resources and staff

Written agreement regarding resources and staff assigned to complete the transfer will need to be reached. Check availability and plan for staff, movers, contractors, and consultants who are expected to participate in the transfer activities.

Scheduling activities

Negotiations should cover the scheduling of specific transfer activities. It is in everyone's interest to provide sufficient lead time to ensure that activities can be planned and successfully completed. Agreement should be reached regarding the timeframe when the transfer will be conducted and completed within. Where there are large volumes of records to be transferred, a staged approach using project management methodologies may be useful.

Prescribing service parameters

Recordkeeping services vary across agencies, so it is important for the accepting agency to understand the transferring agency's service offerings. This will help the accepting agency to manage stakeholder expectations more effectively.

Both agencies should assess the risks and impacts to business continuity, and rank them in a risk log. For further information on assessing recordkeeping risks see [Strategic Management Guideline 6: Risk and Records Management](#).

Managing inactive records held in APROSS

Where inactive records are held in an APROSS facility, the transferring agency should advise the accepting agency of the volume of holdings and the expected fees associated with the transfer. The accepting agency should agree to take responsibility for these records at the specific agreed time. The accepting agency should advise the APROSS about the custody change and when invoices should be redirected. This provides the accepting agency with the opportunity to negotiate suitable arrangements for the ongoing management of the records, directly with the APROSS concerned.

4 Implementing

This section explains how to implement the transfer plan and the records manager's role in co-ordinating the successful transfer outcome. This will include:

- Scheduling record transfer activities;
- Ensuring liaison with peers continues during the transfer;
- The allocation of resources and scheduling of staff; and
- Maintaining business as usual for services to other clients.

4.1 Step One: Complete Outstanding Disposal Actions

This section explains the requirement for transferring agencies to complete all outstanding disposal actions before transfer of custodianship occurs. It includes how inactive records nominated for transfer should be sentenced and any outstanding disposal actions implemented before custodianship transfers occur. Where there are large volumes of records that require attention, the transferring agency may need to write a business case to seek additional funding. For information about writing a business case, see [Strategic Management Guideline 4: Writing a Business Case](#). For further information about managing disposal, see [Disposal Guideline 2: Implementing a Disposal Programme](#).

Sentencing

Once the records to be transferred have been identified, the transferring agency needs to ensure that all inactive records held in any storage locations have been sentenced using a current Disposal Authority before transfer commences. This fulfils the [Operations Management Specification](#) requirement 30 which states, “*Inactive records identified for transfer must be sentenced before custodianship transfers occur*”. This also helps resolve problematic legacy records, where records have been repeatedly transferred between government agencies, by establishing the temporary or permanent status of the records and completing outstanding disposal activities.

Where large volumes of digital records are involved, automatic sentencing programmes with matching tools could be utilised. Key stakeholders with specific knowledge of the records may also be able to assist with sentencing activities.

Further information about sentencing can be found in [Disposal Guideline 2: Implementing a Disposal Programme](#).

Transfer of permanent records to State Archives

Records sentenced as permanent (using a current, authorised Disposal Authority) that are no longer required for administrative purposes should be prepared for transfer to PROV custody. This fulfils the [Operations Management Specification](#) requirement 32 which states, “*Permanent records that are no longer in administrative use are transferred to PROV by the transferring agency in consultation with the receiving agency and in accordance with the Disposal Standard*”. The transferring agency should take responsibility for arranging the transfer of permanent records to PROV.

The transfer of permanent records to PROV will most likely occur according to a different schedule to the transfer of records to the accepting agency. The transferring agency should ensure the transfer of permanent records to PROV is underway and can be completed, or at least be in progress, within the timeline of the transfer of custodianship agreement.

The transferring agency should advise the accepting agency when transfers to PROV are completed. A listing of records already in the State Archives that relate to the transferred function should also be provided the accepting agency. This ensures the agency has a complete knowledge of the records of the function over time.

Destruction of time expired temporary records

Any time expired temporary records should be destroyed by the transferring agency in consultation with the accepting agency. This fulfils [Operations Management Specification](#) requirement 31 which states, “*Temporary records that are time expired are reviewed for destruction by the transferring agency in consultation with the receiving agency and in accordance with the Disposal Standard*”. This will reduce the volume of records which need to be transferred and reduces the volume of legacy records throughout government. The transferring agency should provide copies of destruction certificates and an extract of the destruction register to the accepting agency. The destruction register (or the record metadata) should state:

- Which records have destroyed status;
- Dates when destruction occurred;
- Under which RDA the destruction was authorised;
- Who undertook the destruction activity; and
- Who approved the destruction.

Copies of the destruction certificates and/or destruction register should be provided to the accepting agency. Further information regarding record destruction can be found in [Disposal Guideline 3: Destruction](#).

During transfers of custodianship, transferring agencies may consider donating time expired temporary records to a Place of Deposit. Agreement should be reached between the transferring and accepting agency before the donation is executed. The transferring agency should update the disposal register to reflect the donation details.

Records without disposal coverage

Where there is no current Disposal Authority, appraisal of the records should be carried out. Applying for a Single Instance Disposal Authority may be required in these circumstances. Further information on this can be found in [Disposal Guideline 1: Developing an RDA](#).

Final report of records to be transferred

A final report of all records to be transferred should be provided to the accepting agency. This report should include all active and inactive records, in all formats and locations that the transferring agency intends to transfer to the accepting agency. The title, date range, disposal class, volume, format and location of each group of records should be detailed in the report.

4.2 Step Two: Communication

This section explains the importance of communicating to stakeholders the activities scheduled to complete a transfer of record custodianship. Communications should target stakeholders in both the transferring and accepting agency who will be affected by the changes. This will fulfil requirement 35 which states, “*Procedures for record custodianship transfers have been communicated to all relevant staff prior to transfer occurring for all transfer of custodianship arrangements*”.

Schedule of activities

Once confirmed, a list of key dates for the transfer should be published for everyone that will be participating in transfer activities. This may be in the form of an email, posters, intranet page or electronic calendar bookings.

Cut-over date notification

Notifications advising when records are going to be transferred are vital to a smooth transition into the accepting agency. This is especially true for stakeholders who are also moving to a new location, as it will help alleviate their concerns regarding access to current records. This notification may need to be produced in multiple forms, (flyers and

desk drops may be ideal) because one method of communication may not be suitable for all stakeholders at all times. For example email or intranet access can sometimes be limited during physical moves between buildings.

Communicate to stakeholders their responsibilities for records

Prior to commencing transfers, both affected agencies should communicate what is happening with records to all stakeholders affected by the change. There is great value in communicating responsibilities and providing clear information about the availability of records. It is useful for stakeholders to know when they are expected to participate, what they might be asked to take responsibility for and when they might be affected by any change to their access to records. Addressing concerns will also reduce assumptions and resolve fears that may otherwise lead to lack of confidence in the leadership of the change. A big challenge for the accepting agency is to build strong working relationships with new stakeholders and minimise any potential stakeholder dissatisfaction about the transfer effort. The agency should be mindful that stakeholders may need to access and use current records while the transfer is taking place.

- Communication should cover:
- How records will be dealt with;
- What deadlines are in place;
- The records that are the responsibility of the records team;
- In what circumstances the records are considered the responsibility of an individual; and
- Explain what is expected to happen with the transfer generally.

An example of a communication about hardcopy records undergoing a transfer process:

The transferring agency requests all hardcopy records be returned to a central location by a specific date, so that a pack-up and records census can commence.

This request may state that any hardcopy records held by individual staff after the specific date, will be subject to the records census and will be allocated to that individual in the recordkeeping system.

During the transfer, particularly if it involves a move to another physical location, the records are the responsibility of that individual staff member.

The communication should also state individual responsibilities for ensuring these records are updated once the transfer is completed. This communication could include a checklist that can be ticked off, as the responsibilities are completed.

The communication should give the expected dates for when the records will be available for use in the accepting agency, once the transfer has been completed.

An example of a communication about digital records undergoing a transfer process:

The agency requests all digital documents be checked into the recordkeeping system on a specific date.

This communication should explain that any digital records checked-out of systems onto USB memory sticks or other portable media, will be the responsibility of the individual staff member and they must take responsibility for backup copies, version control and all maintenance of the records in question.

The communication should also state individual responsibilities for ensuring these records are updated once the transfer is completed. This communication could include a checklist that can be ticked off, as the responsibilities are completed.

The communication should give the expected dates for when the records will be available for use, once the transfer has been completed.

Contact list

Having a current list of key contacts in the transferring agency and the accepting agency will be useful to all participants. This may be a simple list containing names, responsibilities, phone numbers, email addresses and important dates. Another list that may be useful to the records manager may include IT contacts, consultants, directors, managers and all others who are key contacts and stakeholders in the transfer.

4.3 Step Three: Conduct Transfer

This section details some issues to consider when conducting a record custodianship transfer. All records identified as current for the function need to be transferred with the function to the accepting agency to comply with requirement 28 of the [Operations Management Specification](#). The transferring agency, should have completed (or be in the process of completing) disposal of all time expired records to comply with requirement 31. The transferring agency should also have transferred (or be in the process of transferring) any permanent records to PROV, to comply with requirement 32. The accepting agency should be aware that once they accept the custodianship of records they will become responsible for their retention and disposal in accordance with the [Disposal Standard](#).

Working to the agreement

The agreement established during the planning stage will provide clarity for all participants and a good framework to ensure that the transfer occurs smoothly. Building a strong relationship between key staff in each agency before and during the transfer will make it easier to resolve any issues with the agreement if they arise.

Confirmation of resources and staff

Confirming the availability of staff, movers, contractors, and consultants who are expected to participate, should occur before transfer commences. This will allow for contingency plans to be implemented if required.

Scheduling

The confirmed schedule should be used to ensure that all activities are conducted on time. When deadlines for transfer are not met, both agencies should renegotiate new deadlines in a fair and equitable manner. If negotiation fails to resolve problems and ultimately finalise the transfer, the responsible officer should document all efforts to resolve the situation and prepare a brief which outlines the best course of action. The responsible officer may choose to escalate the matter to the governance group, senior executive or the head of agency seeking help to resolve the transfer.

Recording transfers

To maintain the provenance of transferred records, the custodianship transfer should be recorded in the agency's recordkeeping system. It should be noted in the record's metadata that the transfer activity occurred and the date of the activity. For example: "Transfer of custodianship from Agency A to Agency B occurred on 01-JAN-2011".

Maintaining business continuity

When conducting the transfer ensure that activities are completed promptly to minimise any disruptions to the operations of the agency.

4.4 Step Four: Confirm Transfer

This section explains the process of finalising record custodianship transfers. It outlines the quality control checks that should be performed by accepting agencies to confirm that records have been successfully transferred. This will help an agency to fulfil requirement 36 which states, "*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.*"

Metadata quality checks

It is important for the accepting agency to establish that metadata and digital records have been successfully transferred and that these records are readable, useable, and complete. The report provided by the transferring agency can be used to confirm that metadata imported into the accepting agency's database, matches the metadata

provided by the transferring agency. Seek advice from IT specialists working on the transfer project to develop an agency specific quality check.

Current records

Conducting a records census (or location audit) is a good way to confirm the current hard copy records have been successfully received. It will also identify any records that should have been transferred that have remained at the old location (with the transferring agency) and will provide an opportunity for these records to be found and transferred across.

Inactive records

Randomly select a sample of boxes from the holdings at the secondary storage facility for checking. Retrieve the boxes and compare the records within the boxes against the metadata registered in the system. Such checks will confirm the data imports have been successful and that box contents have been accurately recorded.

The agency may consider negotiating with the APROSS to complete a census or location audit of inactive records transferred. This may be useful to confirm large volumes and provide clarity around the invoices associated with the management of these records.

Digital records

Tests should also be run on a sample of digital records. Tests will ensure the records:

- Can be viewed successfully;
- Are searchable and useable;
- Match their metadata; and
- Have not become corrupted during the transfer.

Confirmation in writing by the accepting agency

Once the current records of the function have been successfully transferred and incorporated into the accepting agency's recordkeeping systems, the accepting agency should send written confirmation to the transferring agency. The transferring agency should only destroy their copy of digital records that have been transferred after this confirmation has been received.

Confirmation of completed disposal activities

The accepting agency should acknowledge they have received evidence of all completed disposal activities. This includes destruction certificates for time expired records and evidence of transfer of permanent records to PROV.

Confirmation of new deadlines

When transfer or disposal activities are still in progress after the agreed timelines, both the accepting and transferring agency should meet and confirm new deadlines for completion. The accepting agency should document all changed deadlines to ensure the activities are completed in a reasonable time frame.

5 Reviewing

Once the transfer is complete, the participating agencies may wish to reflect on what aspects of the transfer worked well and what could be done differently to improve future transfers. The agency's plan should be reviewed to identify opportunities for improvement. Conducting a review and revising plans based on lessons learned will contribute to the continuous improvement of recordkeeping in the agency.

5.1 Step One: Post Implementation Review

The post implementation review should occur shortly after the transfer has been completed. Review the transfer plan, reports, schedule, and agreement, and interview key staff involved in the transfer to build a complete picture of how well the transfer was conducted. This will provide the opportunity to reflect on achievements and challenges, where risks have been minimised, and what could be altered to work more smoothly.

A report on the outcomes of the transfer of custodianship should be provided to the relevant governance or steering committee. The report should cover:

- Why the plan was established;
- What the final agreement covered;
- The costs that were incurred;
- What activities were planned;
- What actually occurred; and
- How and when the outcomes were achieved.

Recommendations regarding how to improve future transfers and the plan should also be included in the report. Requests for support to resolve any outstanding transfer of custodianship arrangements should be documented, highlighted and tabled for a response within this report.

5.2 Step Two: Revise Plan & Procedures

Once the report and its recommendations have been considered there may be a need for some revisions to the agency's plan and/or transfer procedures. Changes should be drafted promptly and submitted to the relevant position or group for approval.

6 Transfer outside the Victorian Government

This section explains Requirement 37 in the [Operations Management Specification](#) which states, “*The custodianship of records can only be transferred outside the Victorian jurisdiction with the approval of the Keeper of Public Records*”.

All records that are nominated for transfer outside the Victorian jurisdiction must be sentenced by the transferring agency using a current Retention and Disposal Authority (RDA) to determine if they are permanent or temporary records. For records that do not have a relevant disposal class, form PRO 20A Request for Appraisal will need to be completed and submitted to PROV. For further information on RDAs, see the [Disposal Standard](#). Records may only be transferred outside Victorian jurisdiction with the approval of the Keeper of Public Records.

Temporary loan arrangements for records can be made between agencies if required. This is not a transfer of custodianship as the loaned records are still owned by the lending agency. Where loan arrangements are made, the loaning agency should ensure the records on loan are:

- Tracked to ensure the current location of the record is always known;
- Checked regularly to ensure preservation of the record is assured; and
- Returned to the Victorian government agency within an agreed timeframe.

Negotiation

Following step three (negotiation and agreement) of the planning stage, records nominated for transfer outside the Victorian government jurisdiction require special negotiation and agreement. The report prepared during step two needs to be provided to the Keeper for review and approval. This report should define records that are being nominated for transfer and permanent records which are proposed for transfer to PROV.

Negotiation and agreement between agencies can commence once approval for the transfer has been granted by the Keeper. The negotiations and agreements need to abide by the transfer decisions approved by the Keeper.

Conducting the transfer

The agency that is conducting a transfer outside the Victorian jurisdiction should complete the following actions:

- Sentence all records that are nominated for transfer outside the Victorian jurisdiction;
- Applications to the Keeper of Public Records for records to be transferred out of the Victorian jurisdiction (including a list of all records nominated for transfer);
- Transfer approved records to the accepting agency;
- Maintain a register of transferred records;
- Confirm with accepting agency the receipt of all records;
- Confirm all disposal activities are completed by providing the accepting agency with copies of disposal certificates and extracts from the disposal register; and
- Advise the Keeper when records have been transferred to the accepting agency.

7 References

Archives New Zealand 2008, *Guide to Managing Records during Administrative Change in Public Offices and Local Authorities*, Archives New Zealand, Wellington & Auckland New Zealand, viewed 15 December 2015, <<http://archives.govt.nz/g13-guide-managing-records-during-administrative-change-public-offices-and-local-authorities>>.

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Legislation

Crimes (Document Destruction) Act, 2006 (Vic)

Evidence Act, 2008 (Vic)

Information Privacy Act, 2000 (Vic)

Public Records Act, 1973 (Vic)

All current Victorian legislation is available at <http://www.legislation.vic.gov.au/>

Standards

Standards Australia 2002, *AS ISO 15489 Australian standard on records management*, Standards Australia, Sydney.

Other Resources

For more information about the transfer of record custodianship, please contact:

Government Services
Public Record Office Victoria
Ph: (03) 9348 5600
Fax: (03) 9348 5656
Email: standards@prov.vic.gov.au
Web: www.prov.vic.gov.au

Appendix 1: Checklist for Transfer of Custodianship

Planning

Question	Yes	No	Unsure	Comments
Plan:				
Has a transfer plan been developed and drafted?				
Has a template been developed that can be used as a checklist during a transfer of custodianship?				
Do the plan and the checklist cover the management of records in all formats?				
Are the plan and the checklist comprehensive and make sense to all who may need to use them?				
Could a trial run of the plan and the checklist be completed to uncover any gaps?				
Has the accepting agency drafted test scripts to check migrated metadata on transferred records?				
Has the transferring agency scoped the work required to complete a transfer of custodianship?				
Has the accepting agency scoped the work required to accept a transfer of record custodianship?				
Has a budget for the transfer work been allocated?				
Does a business case need to be written to secure funds to complete a transfer of custodianship?				

Identify:				
Has the transferring agency identified and listed all records (both paper-based and digital) of the function to be transferred?				
Has the transferring agency identified the disposal sentence of all records?				
Has the transferring agency identified records that may require disposal activities before the transfer occurs?				
Have time expired records been nominated for destruction?				
Have permanent records, no longer required for business, been nominated for transfer to PROV?				
Have permanent records held at PROV been identified?				
Has the final report of records to be transferred been compiled by the transferring agency?				
Has recordkeeping system metadata criteria been mapped and matched between recordkeeping systems of the respective agencies?				
Negotiation:				
Have both agencies negotiated to reach agreement in principle, for the transfer of records?				
Have both agencies negotiated their respective responsibilities?				
Have both agencies negotiated resources and any specialist services required?				

Has the schedule been drafted and discussed for dates for transfers to occur?				
Has recordkeeping system metadata criteria been discussed and confirmed?				
Have both agencies negotiated interim arrangements for managing records while transfer occurs?				
Has business continuity for recordkeeping been discussed, planned for and negotiated between both agencies?				
Agreement:				
Do both agencies accept the final report of records to be transferred?				
Do both agencies agree on volume and format of the records to be transferred?				
Does the accepting agency agree to accept responsibility for all records defined by the function that are active and inactive, as documented in the final record report?				
Have both agencies agreed on the responsibility for accounts for records storage and maintenance charges provided by 3 rd party secondary storage service providers?				
Has agreement been reached about dates for transfers to occur?				
Have both agencies agreed to arrangements for managing records while transfer occurs?				
Have all associated costs of the records transfer of custodianship been reviewed, negotiated and agreed upon?				
Has the agreement for business continuity for recordkeeping been documented and confirmed?				
Are resources and liaison available in both agencies for the transfer to occur on the dates specified?				

Is special expertise or consultant knowledge required and agreed to by both agencies?				
Have arrangements to source the specialists (above) been agreed upon by both agencies?				
Has recordkeeping system metadata criteria been established and agreed upon?				
Have the arrangements been made to provide digital records and all metadata used to manage current and inactive digital records of the transferred business?				
Does the accepting agency agree with the nominated records for disposal and approve the disposal activities that are to be carried out by the transferring agency?				
Has the transferring agency agreed to commence and complete all disposal activities?				
Has the transferring agency agreed to provide advice on completion of disposal activities to the accepting agency? E.g.: Copies of destruction certificates, disposal register or documentation of transfer of permanent records to the state archive.				
Has the arrangement been made for transport of hard copy records relating to the transferred function?				
Has the transfer of associated equipment, pertaining to the records been agreed upon?				
Has a formal agreement been documented and agreed to by both agencies to define the transfer arrangements?				

Implementing

Question	Yes	No	Unsure	Comments
Complete disposal activities:				
Has the transferring agency identified and sentenced all records?				

<i>Question</i>	<i>Yes</i>	<i>No</i>	<i>Unsure</i>	<i>Comments</i>
Has the agency arranged for the destruction of time expired records no longer required for business?				
Has the agency received destruction certificates?				
Has the agency arranged to transfer permanent records to PROV?				
Has the transfer of permanent records to PROV been completed?				
Has the agency completed all disposal activities?				
Where all disposal activities have been completed:				
Has the agency provided disposal certificates and disposal registers for time expired records?				
Has the transferring agency provided copies of transfer documentation for records in archival custodianship relating to transferred function, including in progress transfer of permanent records to PROV?				
Communication:				
Has a schedule of the record transfer activities been created and communicated to all stakeholders involved?				
Has a contact list has been constructed and distributed?				
Have staff obligations and requirements been communicated to all stakeholders?				
Have cut over dates for transfer of records, recordkeeping systems and recordkeeping services been communicated to stakeholders?				
Conduct Transfer & Confirm:				

Question	Yes	No	Unsure	Comments
Has the scheduled transfer date occurred?				
Has the scheduled transfer date been delayed or deferred?				
Has the transfer of recordkeeping system metadata occurred?				
Has the transfer of digital records occurred?				
Has the transfer of hard copy records occurred?				
Have the storage charges provided by third party service providers been transferred at the correct time to the agency?				
Has the transfer of associated equipment, pertaining to the records occurred?				
Has the accepting agency conducted metadata quality checks?				
Has the accepting agency conducted a record census to confirm all hardcopy records have been transferred?				
Has the accepting agency conducted spot checks on records held in secondary storage to ensure these holdings have been correctly transferred; and that metadata on boxes, files and locations has been migrated correctly and adequately?				
Does the accepting agency confirm that hardcopy records have successfully been transferred?				
Does the accepting agency confirm that digital records have been transferred, maintaining usability and integrity?				
Does the accepting agency confirm that all metadata for records being transferred				

Question	Yes	No	Unsure	Comments
is correct?				
Has the transferring agency formally advised PROV on the custodianship change, ownership and access arrangements for permanent records held as state archives so that access arrangements can be updated?				
Has the accepting agency confirmed in writing to the transferring agency when the terms of the agreement between both agencies have been met?				
Do both agencies agree that the terms of the transfer of records custodianship agreement have been met?				
Have both agencies updated systems that control records to reflect the movement of records?				
Has the Keeper been advised of access arrangements for permanent records in the collection?				
Has the APROSS been advised about the new arrangements for inactive records held in their custody?				

Review

Question	Yes	No	Unsure	Comments
Where interim arrangements for managing records were required, were the arrangements adequate?				
Were business continuity plans for recordkeeping executed by either agency and were these adequate?				
Was the transfer plan workable when implemented?				
Was the transfer agreement adequate and reasonable?				

<i>Question</i>	<i>Yes</i>	<i>No</i>	<i>Unsure</i>	<i>Comments</i>
Has the report to the steering or governance group been prepared to provide insights into the transfer?				
Have the plan and templates been revised to incorporate lessons learnt?				