



Public Record Office Victoria
PROS 10/13
Disposal

Guideline

4

Transfer of State Archives: Physical

Version Number: 1.2

Issue Date: 25/11/2011

Expiry Date: 25/07/2017

Table of Contents

1. Introduction	4
1.1. Public Record Office Victoria Standards.....	4
1.2. Purpose.....	4
1.3. Scope.....	4
1.4. Definitions	5
1.5. Related Documents.....	6
2. Methodology	7
3. Planning	8
3.1. Identify Records	8
3.2. Develop Transfer Project Plan.....	10
3.3. Propose Transfer	12
3.4. Confirm Transfer Arrangements.....	13
4. Implementing	16
4.1. Preparing the Records	16
4.2. Transfer of Custody to PROV.....	18
4.3. Transfer Completion.....	18
5. Reviewing	20
5.1. Post Implementation Review	20
5.2. Revise Plan & Procedures.....	20
6. References.....	21
Appendix One: Checklist for Transfer of State Archives to PROV	22

Copyright Statement

Copyright State of Victoria through Public Record Office Victoria 2013



Except for any logos, emblems, and trade marks, this work (*Guideline 4: Transfer of State Archives: Physical*) is licensed under a Creative Commons Attribution 3.0 Australia license, to the extent that it is protected by copyright. Authorship of this work must be attributed to the Public Record Office Victoria. To view a copy of this license, visit <http://creativecommons.org/licenses/by/3.0/au/>.

Disclaimer

The State of Victoria gives no warranty that the information in this version is correct or complete, error free or contains no omissions. The State of Victoria shall not be liable for any loss howsoever caused whether due to negligence or otherwise arising from the use of this Guideline. This Guideline does not constitute, and should not be read as, a competent legal opinion. Agencies are advised to seek independent legal advice if appropriate.

Acknowledgements

The Public Record Office Victoria (PROV) would like to acknowledge the valuable contribution of members of the *Access Advisory Group* during the development of this Guideline.

Version	Version Date	Details
1.0	25/11/2011	Released
1.1	17/07/2013	Copyright changed to Creative Commons license
1.2	22/07/2014	References to Storage revised in line with Storage Standard Review

1. Introduction

1.1. Public Record Office Victoria Standards

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.

Recordkeeping Standards issued by the 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.

Heads of government agencies are responsible under section 13b of the *Public Records Act 1973* for carrying out, with the advice and assistance of the Keeper, a programme of efficient management of public records that is in accordance with all Standards issued by the Keeper.

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

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

A programme 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 the implementation of requirements contained in *Disposal Specification 3: Transfer of State Archives to Public Record Office Victoria (PROV)*. This Guideline will enable Victorian Government employees and consultants to correctly plan, implement and review a transfer of State Archives to the custody of PROV. It provides useful and practical guidance on the management of transfers which adheres to best practice recordkeeping principles identified in the *Disposal Standard*.

1.3. Scope

This Guideline covers the steps required to plan, implement and review a transfer of permanent physical records to PROV custody in order to become State Archives. It focuses on the process of completing a specific transfer project.

This Guideline does not cover the following topics:

- Developing an ongoing programme of transfer as part of strategic planning activities;
- Transfer of permanent digital records to Public Record Office Victoria custody;
- Transfer of temporary records into Places of Deposit (POD) (for further information see *PROS 11/01 Guideline 4: Places of Deposit (POD) for State Archives*);
- Storing records with an Approved Public Record Office Storage Supplier (APROSS) (For information on APROSS storage see *PROS 11/01 Guideline 1: Approved Public Record Office Storage Suppliers (APROSS)*); and
- Transfer of record custodianship between agencies (for further information see *PROS10/17 Guideline 4: Transfer of Custodianship*).

1.4. Definitions

The following terms are the major terms of relevance for this Guideline. For a full list of records management and PROV terminology, see the *Master Glossary*.

Provenance: The relationships between records and agencies or individuals that created, accumulated and/or maintained those records in the conduct of personal or corporate activities.¹

Record Series: 'A group of records which are recorded or maintained by the same agency (or agencies) and that:

- Are in the same numerical, alphabetical, chronological or other identifiable sequence; or
- Result from the same accumulation or filing process, perform the same function or may be of similar physical shape or information content.'²

Series Consignment: 'A series consignment comprises record items belonging to the one series which are deposited into the custody of PROV as part of the one physical transfer. A series consignment may consist of only part or the whole of a series.'³

¹ J Bettington et al. eds, *Keeping Archives*, 3rd edn, Australian Society of Archivists, Canberra, 2008, p. 636.

² Public Record Office Victoria (PROV) *Series identification and registration manual*, 4th edn, PROV, Melbourne, April 1992, p. 3.

³ PROV, 1992, p.3.

1.5. Related Documents

This Guideline must be read and implemented in conjunction with PROV Standards and associated documentation, including appropriate Retention and Disposal Authorities (RDAs). The Standard, Specifications and other Guidelines associated with this Guideline are detailed below:

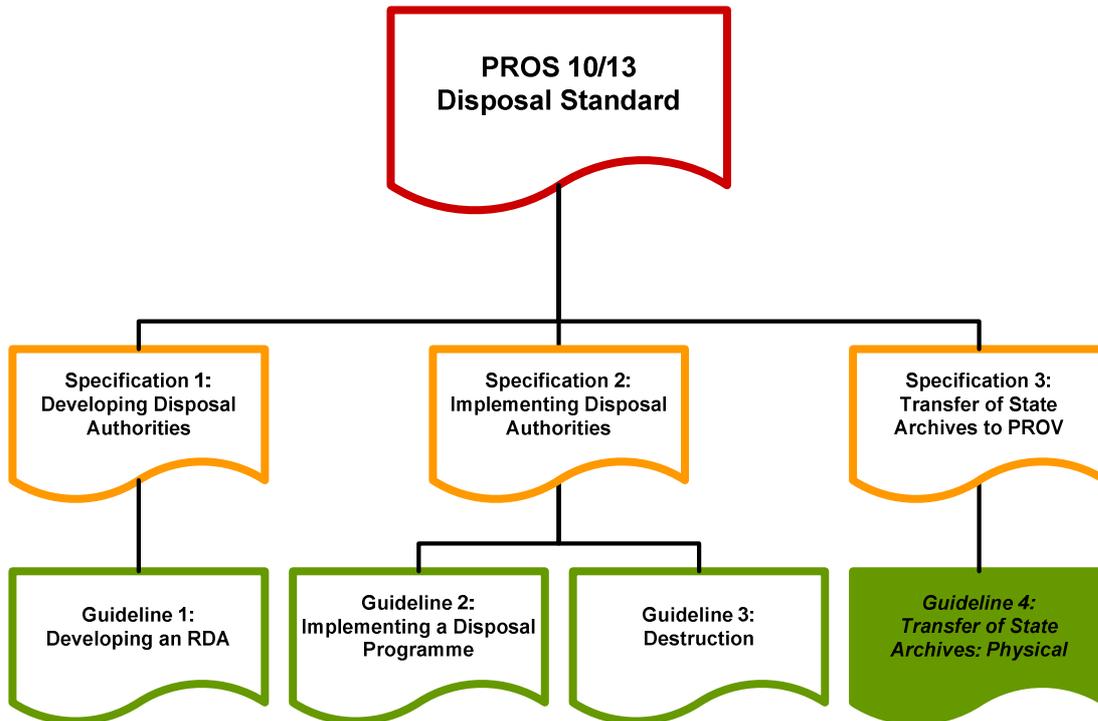
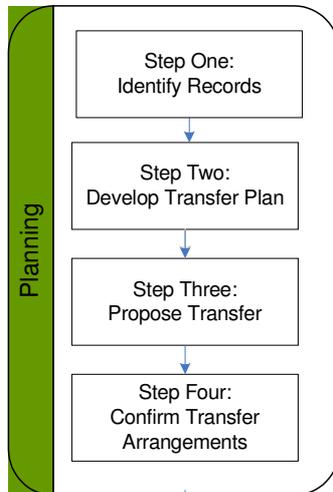


Figure 1: Relationship Diagram

2. Methodology

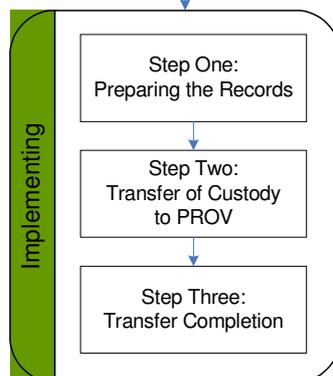


The methodology to implement a transfer of State Archives has three distinct stages: planning, implementing and reviewing.

During the planning stage the agency will need to identify records to be transferred, develop a transfer plan, propose a transfer project and negotiate with PROV to confirm transfer arrangements.

The implementing stage includes listing, labelling and packing the records. This is followed by the transfer of custody (physical uplift) and by the completion of administrative tasks required to finalise the transfer.

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



Refer to Appendix 1 for a checklist detailing each stage of the process.

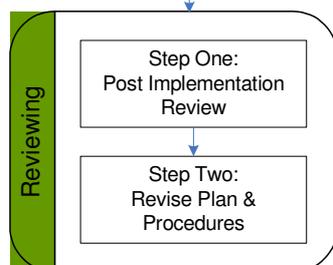


Figure 2: Methodology for transfer of State Archives

3. Planning

The process of transferring permanent records to PROV custody to become State Archives should be seen as a regular part of a routine and managed records management programme.

The benefits of planning and conducting regular transfers are extensive and tangible. A proactive approach can improve practices across the agency by establishing best practice records management through a structured regular transfer programme.

The benefits of planning for and conducting regular transfers include:

- Efficient use of resources;
- Reduced storage and maintenance costs;
- Reduced risk of loss of permanent records;
- Enhanced access to records; and
- Storage of State Archives in conditions that will allow for their long-term preservation.

This section explains how to plan for transfer, including activities that an agency can undertake prior to the consideration of a specific transfer project. It provides advice on identifying records created and maintained by the agency, the importance of a regular and systematic disposal programme and the negotiations undertaken with PROV for the submission of a transfer proposal. This step helps to fulfil *Disposal Specification 3: Transfer of State Archives to Public Record Office Victoria (PROV)* requirements 11, 12, 13 and 14.

3.1. Identify Records

It is valuable for the agency to comprehensively identify the permanent records it holds as part of the strategic transfer planning or prior to considering a specific transfer proposal.⁴ Analysis of the broader context of the agency's records and recordkeeping systems will assist in developing the scope for the transfer and completing the relevant PROV transfer documentation. It will enable related records to be identified and transferred at the same time, such as a group of indexes or registers that facilitate access to the record series proposed for transfer. All the records in a series proposed for transfer and any related permanent record series should be identified and transferred concurrently if possible.

Identifying records may include the creation of reports documenting records held by the agency (including those held in offsite storage), records surveys, and regular and systematic disposal activities. These activities will help the agency to fulfil requirement 3 of the *Transfer Specification*.

⁴ Identifying records will also help in meeting requirements of the *Capture Specification*, *Disposal Specification 1: Developing Disposal Authorities*, *Disposal Specification 2: Implementing Disposal Authorities* and the *Operations Management Specification*.

Conducting records surveys

The agency may need to identify the records held and document information about the records, where that knowledge has not already been captured. For example, the agency may have records in multiple storage areas or facilities reaching full capacity, or may need to take action on legacy records held in a storage area due for closure. For further information see *Disposal Guideline 2: Implementing a Disposal Programme*.

Conducting a records survey should establish what records are held and where they are stored, and can function as a precursor to implementing disposal activities, including transfer. It does not require each individual record to be examined or listed.

Key information includes:

- Description of records;
- Date ranges;
- Record creator or creators (provenance);
- Formats;
- Quantities; and
- Locations.

Identifying Permanent Records

Permanent records are identified using the current, authorised *Retention & Disposal Authorities* approved by the Keeper of Public Records. *PROS 07/01 General Retention & Disposal Authority for Common Administrative Functions* should be used in conjunction with other applicable general or specific *Retention & Disposal Authorities* to sentence records. *Retention & Disposal Authorities* should be implemented as part of regular and systematic disposal programme. These activities will help the agency to fulfil requirement 2 of the *Transfer Specification*.

For further information on disposal see *PROS 10/13 Disposal Standard* and its associated documents.

Determining if administrative use has concluded

Agencies are encouraged to transfer permanent records to PROV custody as soon as regular access has ceased and they are no longer required as part of the agency's current business. Identifying records for which administrative use has concluded will facilitate the identification of permanent records for transfer to PROV, records for immediate destruction and records that need to be stored and kept until they may be destroyed in accordance with an applicable disposal authority.

Examples of when administrative use has concluded include records that are not:

- Being added to or updated;
- Accessed internally on a regular basis; and
- Accessed regularly by other stakeholders.

This will help to fulfil requirement 1 of the *Transfer Specification*, which states, "In accordance with the Public Records Act 1973, agencies will transfer permanent records to PROV as State Archives once they no longer require ready access to them to support the agency's current business (permanent records should be a maximum of 25 years of age

when held in agency custody but transfer can be proposed to PROV earlier).” It will also assist in fulfilling requirements 4 and 5 of the *Transfer Specification*.

Identifying related records in the custody of PROV

When planning a transfer it is important to identify any related permanent records that are already in the custody of PROV. This can be done via the [PROV online catalogue](#). PROV can also provide advice about whether it holds records related to those that have been surveyed or considered for transfer. This will help provide the agency with an understanding of context for the records being transferred. It will also assist in identifying whether records form a subsequent consignment of an existing record series or constitute a new record series. This in turn will help agencies to complete PROV documentation (*PRO 21A Proposal to Transfer Permanent Records* and *PRO 21B Series Reports*). For example, PROV has a simplified *PRO 21B Series Report* form for documenting records that form a subsequent consignment of an existing record series. For more details on these forms see *Section 3.3 Propose Transfer*.

3.2. Develop Transfer Project Plan

Individual transfers can vary widely in scope and complexity, which will determine timelines and resources required. They may comprise routine annual transfers or be part of a larger project that may take several years to complete and require significant resourcing. Developing a transfer plan will help ensure transfer projects are appropriately resourced and allocated realistic timeframes for completion.

Agencies are advised to establish contact with PROV early in the planning process to discuss the scope of the transfer project and to establish mutually agreeable timeframes.

The extent of interaction with PROV will depend on the following factors:

- Complexity of the transfer project;
- The records proposed for transfer (records may form part of an existing series or may comprise new series); and
- Level of prior experience and knowledge of the transfer process within the agency.

The checklist provided in Appendix One outlines a linear model of how a transfer may proceed. It is important to note that while transfer can be presented as a sequential process, each transfer does have unique requirements and issues to consider. Some steps may run in parallel with others or may occur at different stages in the process to those documented in this guideline.

Key Responsibilities

The transfer process involves discussion and collaboration between the agency and PROV to achieve a successful outcome. Both parties have a number of key responsibilities as part of this process.

PROV responsibilities include:

- Providing guidance to the agency throughout the transfer process;
- Providing advice to the agency on the identification of record series;
- Explaining the requirements of PROV for listing records on the Records Description List (RDL) template;

- Providing labels and advice on packing and labelling of records to meet PROV requirements;
- Registering the records series in PROV's archival management system and allocating Victorian Public Records Series (VPRS) numbers to the records;
- Explaining access categories as defined in the *Public Records Act 1973* and providing advice on access arrangements (including relevant precedents);
- Preparing and providing access authorities for signature;
- Providing advice on the content of agency briefings to the agency's Minister for closed access authorities; and
- Scheduling the date on which the records are to be received by PROV.

Agency responsibilities include:

- Engaging a service provider if required;
- Identifying series, provenance, and describing records;
- Providing information on the content of records and access to subject matter experts to facilitate negotiation of access arrangements;
- Preparing and submitting transfer documentation (PRO 21A, 21B and 21C forms);
- Arranging for the signing of access authorities (including the preparation of agency Ministerial briefings for closed access authorities);
- Creating records description lists;
- Labelling and packing records;
- Staff and project management (particularly for larger projects); and
- Engaging a carrier to deliver and shelve records at PROV.

Allocate Budget & Resources

During the development of the transfer project plan, the agency should determine what human and financial resources are required to undertake the project based on the scale and complexity of the tasks required. For example, a plan to transfer multiple records series will require resourcing for the series identification and documentation tasks and, depending on the quantity of records involved, the boxing and listing tasks; however, a transfer project comprising one or two large series will require considerably more resourcing for boxing and listing tasks. Each transfer project is unique and the resourcing required and the potential timeframes are not always possible to estimate until the scope is confirmed.

There are two key options to consider when determining who is going to complete the transfer project. One option is to use agency staff. The other is to engage a service provider to complete the transfer on the agency's behalf. The agency should consider the particular skills required for the project. For example, archival skills are needed for the series identification and documentation tasks and clerical skills for the packing and listing tasks. If a contractor is used, a person within the agency should be assigned to oversee the project. Once resource requirements are understood, people and funds will need to be allocated to the project.

Management Approval

Before commencing a transfer project it may need to be endorsed by senior executives or a governance group. A business case detailing the transfer may need to be presented that should cover:

- The business need that the transfer will meet;
- The options to best address the transfer;
- Analysis of the benefits and costs of the options;
- Recommendations regarding the preferred option and schedule;
- Risk identification and mitigation strategy; and an
- Implementation strategy.

The business case should also advise on what the transfer project will achieve, when reports will be provided and their relevance to senior management or the governance group. It should also outline the expected role and support required from senior management or the governance group for the project's success. 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*.

Secondary Storage

An agency may need to consider seeking approval from PROV to store permanent records in secondary storage temporarily. For example, a storage space may need to be vacated and it may not be possible to schedule the transfer of records to PROV custody in time to meet the deadline. In such situations an agency can submit form *PRO 42: Request for Approval of Transfer Plan* to PROV. This form is used to request approval from PROV to store permanent records at an Approved Public Record Office Storage Supplier (APROSS) prior to transfer to PROV custody. In giving approval, PROV expects the agency to prepare the records for transfer to PROV custody within an agreed timeframe. This will fulfil requirement 4 of *Storage Specification 1: Agency Records Storage*.

3.3. Propose Transfer

When the records have been identified for transfer and the agency has an understanding of the resources and likely timeframes required to complete the project, a formal transfer proposal can be submitted to PROV using form *PRO 21A: Proposal to Transfer*. This form must be signed by a designated responsible officer before submission to PROV in hard copy. This will help the agency meet requirement 6 of the *Transfer Specification*.

Information captured on a PRO 21A form includes confirmation that:

- The records have been sentenced using a current RDA and are of permanent value;
- The records are no longer required by the agency for administrative purposes;
- The agency is prepared to allocate appropriate resources to complete the transfer; and
- Enables high-level description of the records (including date range, format and quantity).

Once PROV has received this form the agency will be contacted to discuss the transfer proposal. Points of discussion may include timeframes and scheduling and should occur before proceeding with further transfer documentation.

The next step is to complete form *PRO 21B: Series Report*, available on the PROV website, and submit it to PROV in electronic format. Each series requires a separate form. The form is available in two versions: one for a new series and one for a subsequent consignment of an existing series. This form is used to describe a series of records proposed for transfer and the content provides the basis for registration of record series in the PROV archival catalogue.

Information captured on a PRO 21B form includes:

- What the records are called (Series title);
- Details of prior transfers of the same or related records;
- The purpose and content of the records;
- Details of the agency or agencies that created the records (provenance);
- The date range of the records (series and contents);
- How the records are arranged; and
- Whether the records are to be open or closed to the public once transferred.

3.4. Confirm Transfer Arrangements

This section explains the final arrangements that need to be made between the agency and PROV before the transfer can proceed to implementation. It includes confirming scope, negotiation of access arrangements and confirmation of processing and listing requirements.

Scope

Discussions with PROV on scope may include:

- What records will be transferred as part of this project;
- The order in which records will be transferred; and
- Clarification of agency and PROV obligations.

Access Arrangements

Access arrangements are negotiated between the agency responsible for the records and PROV. The access status of records should be assessed or agreed as soon as possible in the transfer process as this decision may determine how the records are processed. For example, if some records in a series are appropriate for immediate release while others should be withheld from inspection for a period, the records will need to be processed as two or more series consignments. PROV can provide guidance on access decisions based on the *Public Records Act 1973* and any relevant precedents.

Records transferred to PROV are open to public inspection unless specific action is taken to close them under the *Public Records Act 1973*. The authorisation to close records is given at Ministerial level and should be finalised before the records are transferred.⁵

When access arrangements have been agreed PROV will provide the agency with one or more access authorities containing the Victorian Public Record Series (VPRS) number, consignment number and series title for each of the consignments transferred. Closed access authorities will also contain details on the grounds for closure and closure periods.

Agencies are responsible for ensuring access authorities are signed by the senior officer or the relevant Minister where appropriate. Where records are nominated for closure, PROV will provide guidance to assist the agency in preparing a brief for their Minister.

For further information on the access arrangements for records to be transferred into PROV Custody see the *Access Standard* and *Access Specification 2*.

Further information about the closure of public records under the provisions of the Act can be found in:

- *Fact Sheet 1: Closure of Records under Section 9 of the Public Records Act 1973*,
- *Fact Sheet 2: Closure of Records under Section 10 of the Public Records Act 1973*,
- *Fact Sheet 3: Closure of Records under Section 10AA of the Public Records Act 1973*.

Processing and Listing Requirements

When the scope of the project has been confirmed and access arrangements agreed, the agency will need to discuss and negotiate the processing and listing requirements with PROV. PROV has specific requirements for listing, labelling and boxing. Proper processing enables the long-term preservation and subsequent easy identification and retrieval of records for use by the responsible agency and public researchers. Agency resources may also impact decisions made on packing and listing, therefore it is important that an agreement is reached and requirements confirmed before proceeding to the Implementation stage.

Items of discussion may include:

- The physical order in which records are to be arranged and listed;
- The level of detail required in the listing;
- Advice on archival supplies (for example, boxes to be used); and
- Conservation requirements.

Refer to Section 4 for more details on processing and listing.

⁵ Ministerial agreement is required to close records under sections 9, 10(1) and 10(AA) of the *Public Records Act 1973*.

Final Confirmation

The agency should seek PROV endorsement before proceeding with the Implementation stage, to avoid potential delays to the transfer. This will confirm that all required documentation has been completed and that both PROV and the agency have met all requirements of the planning stage. It will also help the agency fulfil requirement 8 of the *Transfer Specification*.

For further confirmation that all Planning steps have been completed, see *Appendix One: Checklist for Transfer of State Archives to PROV*.

4. Implementing

This section explains how to implement a specific transfer project and the agency's role in co-ordinating a successful transfer outcome. This will include:

- Finalising access documentation;
- Completing processing and listing activities;
- Scheduling and conducting the transfer of custody; and
- Completing administrative tasks and communicating transfer details to stakeholders.

4.1. Preparing the Records

Preparing records for transfer includes:

- Listing records in the Records Description List (RDL) template supplied by PROV;
- Boxing the records in approved PROV storage units (based on advice and guidance provided by PROV);
- Labelling units with PROV supplied labels; and
- Identifying records requiring conservation or special attention (mould-affected records, records in fragile condition).

This step will help the agency fulfil requirement 16 of the *Transfer Specification*.

Listing the records

Records must be listed in a PROV Records Description List (RDL) template to enable the data to be imported into the [archival control system](#) (database) at PROV. This will subsequently enable the item lists to be accessible through the PROV online catalogue. An RDL is a customised Excel template supplied by PROV. A separate list is required for each consignment.

The following information will assist in the production of accurate and correctly structured lists:

- Instructions on how to complete an RDL are included in the first workbook of the template;
- Changes should not be made to the structure of the template (for example, deleting columns) as this will affect the import process. Columns that are not required may be hidden;
- Data describing the content of the records provides the keyword terms or identifiers that users will search on to locate records through the catalogue. Accurate and appropriately detailed listing will therefore make it easier for agencies and researchers to locate records of interest. PROV will advise on the recordkeeping data to be captured on the list.
- Record Descriptions Lists provide the data that users will browse when using the online catalogue. Record descriptions should contain enough detail to enable a user to make a preliminary assessment of whether that record is relevant to their enquiry.

A sample RDL with approximately five to ten records listed should be sent to PROV to ensure it is being completed correctly. PROV will then provide advice as required for completing the RDL. Completed RDL's should be emailed to PROV. Copies should be kept for the agency's reference and as evidence of what records have been transferred. This helps the agency to meet requirement 7 of the *Transfer Specification*.

Packing

Records being transferred in boxes or other storage containers must be packed appropriately to ensure they are not in danger of long-term physical damage and to ensure that they can be easily removed from and returned to the container without physical damage. Boxes must not be over-packed. General guidelines apply to packing common records such as files. However specific advice should be obtained from PROV before preparation starts to avoid having to reprocess the records. Information on the purchase of archival materials and details of suppliers is located on the [PROV website](#).

General guidelines for packing files are as follows:

- Files should be packed in sequential (file number) order;
- Files should be placed in boxes from front to back (the back of the box is where the lid is hinged);
- Boxes should be packed so that file numbers are visible on opening (spines of files at bottom of box);
- All elastic bands and metal clips should be removed;
- Arrangement of files should be alternated when they are bulky at the file pin end and thinner at the base
- Boxes should not be over-packed. Approximately five cm of space should be left so that files can be removed and replaced without damage;
- Boxes should not be under-packed, as files can bend and lose shape;
- Box lids should not be taped shut; and
- Records containing mould or insects should be treated before transfer. Contact PROV for further advice.

PROV can provide specific advice on the processing of other record types, including: volumes, bundles, tubes, magnetic tape or film reels, maps or plans, index cards, glass plate or film negatives, microform and other non-standard items.

Labelling

Completed Records Description Lists will identify the numbers of units in each consignment. Labels supplied by PROV for units are generated specifically for an individual transfer project, showing the VPRS number, consignment number and unit numbers. PROV can provide advice on where to place the label on the box or storage container.

Quality Checking

Boxes should be checked regularly during packing and prior to the transfer of custody to ensure that the content matches the Records Description List. Accurate listing and packing will ensure that records can be located by users and provides evidence of records transferred to PROV custody. Checking will also help ensure that all records have been

processed and that nothing has been missed. This will help agencies to comply with requirement 16 of the *Transfer Specification*.

4.2. Transfer of Custody to PROV

When records have been listed, packed and labelled, Record Description Lists have been approved by PROV and all signed access authorities returned to PROV, form *PRO 21C: Notification - Records Are Ready for Uplift* should be completed by the agency and submitted to PROV.

Form PRO 21C signals that the records are ready for uplift to PROV and confirms that all boxes have been:

- Labelled;
- Packed to PROV specifications; and
- Quality checked to ensure the content matches the Records Description List.

PROV will then contact the agency to schedule a date and time for physical uplift. PROV can also provide information on requirements for the delivery of records and assistance in locating a suitable carrier or delivery service.

PROV requirements for delivery of records are as follows:

- A mutually convenient delivery date and time has been arranged with PROV staff;
- The agency or carrier is responsible for delivering the records to the agreed repository address and placing them in sequential order on allocated shelving;
- Records are transported in a fully enclosed vehicle (trucks, utilities or trailers with trays and tarpaulins are not acceptable);
- Boxes can be stacked up to 5 tiers high, provided they are on pallets;
- Records are secured in the vehicle so that boxes or items do not move around, losing their sequence or emptying their contents. (Repair or conservation of records damaged in transit will be charged to the agency); and
- Vehicles are kept secure for the duration of the delivery process to ensure records are not lost or stolen.

The agency should address security methods in clauses contained in contracts it establishes with carriers and in internal policies and procedures relating to the secure transfer of records. This will help the agency comply with requirement 15 of the *Transfer Specification*.

4.3. Transfer Completion

Following the transfer of custody, PROV will need to complete a number of internal administrative tasks before the records can be made available for access through the online catalogue. PROV will formally notify the agency staff member responsible for the transfer when this has been done. Agencies requiring access to their records during the interim period can make special arrangements with PROV by contacting the Collection Management team.

Agencies should communicate the completion of the transfer project to internal and external stakeholders once advised by PROV. Those needing to access the records will then be aware of their availability and of the processes required to retrieve them.

Retrieval of records after transfer to PROV

Once records are transferred into PROV custody, they remain available to the agency responsible. Records can be searched for and ordered through the [PROV website](#).

Records on open access can be ordered by registering a public user account through the [PROV website](#). Agency users will need to register a Government user account to be able to order closed records that their agency is responsible for. This is a two-part process. The first part of the registration process is done through the [PROV website](#). The second part requires the agency's records manager or other senior manager to send authorisation indicating that the officer has approval to create a Government user account.

For further information on creating user accounts and ordering and collecting records see the following PROVguides on the [PROV website](#):

- [PROVguide 19: Registering and Maintaining a Public User Account](#);
- [PROVguide 12: Registering and Maintaining a Government User Account](#);
- [PROVguide 21: Ordering Records](#); and
- [PROVguide 4: Ordering and Collecting Public Records – Government Access](#).

5. Reviewing

Once the transfer is complete, the agency may wish to reflect on its internal procedures. What aspects of the transfer worked well? 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. For further information on continuous improvement, refer to *Operations Management Guideline 6: Continuous Improvement*.

5.1. Post Implementation Review

The post implementation review should occur shortly after the transfer has been completed. Review the transfer plan, reports and the agreement, and interview key staff involved in the transfer to build a complete picture of how well the transfer was conducted. This will provide an 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 should be provided to the relevant governance or steering committee. The report should cover:

- Why the plan was established;
- What the final agreement with PROV covered (for example, scope, timelines);
- 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 arrangements should be documented, highlighted and tabled for a response within this report.

5.2. 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. References

Archives New Zealand (ANZ) 2006, *Fact Sheet: Transfer Process*, ANZ, Wellington & Auckland, New Zealand, viewed 28 July 2011, <<http://archives.govt.nz/sites/default/files/f3.pdf>>.

Public Record Office Victoria (PROV) 1997, *Documentation & transfer of permanent records to Public Record Office Victoria*, PROV, North Melbourne.

Public Record Office Victoria (PROV) 1997, *Transferring Physical Records to PROV*, PROV, North Melbourne.

Queensland State Archives (QSA) , *Transferring Public Records to Queensland State Archives*, QSA, Brisbane, Queensland, viewed 29 July 2011, <<http://www.archives.qld.gov.au/downloads/GuideTransferDisposalPublicRecords.pdf>>.

State Records Authority New South Wales (SRANSW) 2004, *Transferring custody of records as State Archives*, SRANSW, Sydney, New South Wales, viewed 28 July 2011, <<http://www.records.nsw.gov.au/recordkeeping/government-recordkeeping-manual/rules/procedures/files/Transferring%20custody%20of%20records.pdf>>.

Legislation

Evidence Act 2008 (Vic)

Freedom of Information Act 1982 (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 15489.1 Australian standard on records management*, part 1: General, Standards Australia, Sydney.

Public Record Office Victoria (PROV) 1997, *PROS 97/004 Specification 2 Transfer of records to the Public Record Office Victoria*, PROV, North Melbourne.

Other Resources

For more information about the transfer of State Archives to PROV, please contact:

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

Appendix One: Checklist for Transfer of State Archives to PROV

Planning

Question	Yes	No	Unsure	Comments
Identify records:				
Does the transferring agency currently have knowledge about its records documented to put together a transfer proposal?				
Would it be beneficial to undertake a records survey?				
Have the records been sentenced as permanent using a current and authorised retention and disposal authority?				
Have records no longer required for administrative purposes been identified?				
Has contact been made with PROV to discuss scope, resourcing and potential timeframes?				
Is a visit required from PROV to view records and provide further advice?				
Proposal:				
Has form <i>PRO 21A - Proposal to Transfer Permanent Records</i> been submitted to PROV?				
Have forms <i>PRO 21B – Series Reports</i> been submitted to PROV?				

Question	Yes	No	Unsure	Comments
Confirmation:				
Has the scope of the transfer project been confirmed with PROV?				
Has a transfer plan been developed and approved by senior management?				
Will a secondary storage provider be needed to house records prior their transfer to PROV? If so, submit <i>PRO 42: Request for Approval of Transfer Plan</i> to PROV)				
Have access arrangements been negotiated and agreed with PROV and access authorities provided to the agency by PROV?				
Have processing and listing requirements been confirmed with PROV?				
Does a business case need to be written to secure funds to complete the transfer?				

Implementing

Question	Yes	No	Unsure	Comments
Transfer documentation:				
Have series and consignment numbers been obtained from PROV?				
Has an access authority been obtained from PROV and submitted for signing?				
Preparing the records:				
Has a Records Description List (RDL) template been received from PROV?				

Question	Yes	No	Unsure	Comments
Is further advice required from PROV prior to listing records?				
Have completed RDL templates been submitted to PROV?				
Have unit labels been received from PROV?				
Have labels been correctly applied to units?				
For records other than standard files, has advice been sought from PROV on packing requirements?				
Have all listing, labelling and packing activities been completed and quality checked?				
Transfer of Custody:				
Has <i>PRO 21C: Records Are Ready for Uplift</i> been submitted to PROV?				
Have signed access authorities been returned to PROV?				
Has the agency been contacted by PROV to schedule arrangements for physical uplift?				
Has the agency arranged a carrier or delivery service and provided instructions on requirements for the delivery and shelving of the records?				
Have records been delivered and shelved in accordance with PROV requirements?				
Transfer Completion:				
Has the agency been notified by PROV that the transfer has been approved and that records are available through the online catalogue?				
Has the agency established an authorised agency user account (if required)?				

<i>Question</i>	<i>Yes</i>	<i>No</i>	<i>Unsure</i>	<i>Comments</i>
Has the agency communicated the transfer of custody to internal and external stakeholders?				

Reviewing

<i>Question</i>	<i>Yes</i>	<i>No</i>	<i>Unsure</i>	<i>Comments</i>
Was the transfer plan workable when implemented?				
Was the transfer agreement adequate and reasonable?				
Has the transfer plan been revised to incorporate lessons learnt?				