

## Information Management Advice 12 Preparing hard copy records for transfer to the Tasmanian Archive & Heritage Office (TAHO)

### Introduction

*This Advice will assist you in preparing records for transfer to the Tasmanian Archive and Heritage Office.*

*Records identified as having 'permanent' status in an authorised retention & disposal schedule should be transferred to TAHO after business use ceases.*

*Agencies may make application to TAHO for earlier transfer of particular groups of records and TAHO may also initiate an earlier transfer arrangement (for example Permanent records that are at risk or records of agencies that have been privatised).*

**Under no circumstances should Permanent records more than 25 years old be kept by the agency without written approval from the State Archivist.**

### Application to Dispose of State records

An AOT 48 is to be completed when transferring scheduled records to TAHO. The application is an Excel workbook consisting of the following worksheets:

- Instructions for completing the Application to Dispose of State Records
- Consignment Item List to be used to list the details of scheduled records to be transferred to TAHO
- Category E Access Notification to be used to list details of officers or groups who are permitted to access the records listed as having a 'Category E' access restriction in the attached Consignment Item List (see Access restrictions explanation).
- Cover sheet to be completed with agency details and a Certificate of Agency Representative who is authorised to act for the agency in matters relating to the disposal of the records described in the Consignment Item List
- Hints that may assist those not familiar with Excel functionality to complete and print the Consignment Item List
- Access guidelines to be used when determining access category recommendations

The Consignment Item List is to be completed electronically. An electronic copy should be sent to the Government Information Strategy Unit (GISU)<sup>1</sup> as an email attachment. It is important that the form is NOT modified in any way as this can cause problems with downloading the information into TAHO's business operation system.

Once the Government Recordkeeping Unit has checked the AOT48, arrangements can be made for the transfer of the records to TAHO. If the quantity of records is significant, a TAHO staff member will arrange to visit the agency to check the Consignment List against the records.

## Access restrictions

Access to State records, by both the public and government employees, may be restricted by agencies for a period of up to 25 years. Records which deal specifically with individuals where there may be a need to protect privacy may be restricted for a period of up to 75 years.

Access restrictions are determined by the agency, and indicated to TAHO when the Application to Dispose of State Records is completed. Should any restrictions be considered necessary, the following general access categories are suggested:

- Access category E - accessible only to organisational positions or groups specified by the transferring department or Authority
- Access category D - accessible only to employees of the transferring agency
- Access category B - accessible to other persons at the discretion of the State Archivist

When considering recommending access restrictions agencies should refer to *Agency determination of access restrictions (2005: Guideline 4)*.

## Preparation for transfer

All records being transferred to TAHO must be:

- arranged in original order (ie the order of accumulation as they were created, maintained and used),
- listed on an Application to Dispose of State Records (AOT 48), and
- placed in archival quality acid-free boxes or other suitable packaging.

A list of suppliers of archival boxes and other materials can be found on our website.

In order for Permanent value records to last an indefinite period of time, they must be clean, well housed, and protected from substances that may cause their degradation. Plastics are particularly problematic as many of them contain plasticisers which cause the deterioration of records, so it is important that Permanent value records are not transferred in plastic.

Below are some of the issues that you may have to address before packing for transfer:

- **Lever Arch folders.** You cannot transfer records in lever arch folders. The plastic may degrade the paper over time, also paper slides down from the ring and is damaged. Carefully remove the records from the folder. Rehouse into an appropriate housing such as an archival folder, or simply wrap with

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<sup>1</sup> [gisu@education.tas.gov.au](mailto:gisu@education.tas.gov.au)

archival tape. You will need to ensure that the title of the file is copied onto the exterior of the envelope or on a cover sheet if you tie the file with tape.

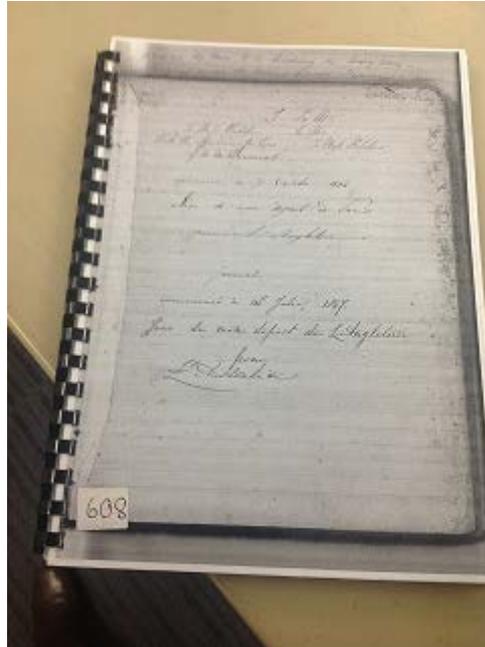


- **Plastic dividers.** You cannot transfer records with plastic dividers such as the one shown in the photo below. These dividers will degrade the paper near them over time. If Permanent value records were created using plastic dividers they will need to be removed and replaced with paper or cardboard dividers before transfer. It would be advisable to discourage the use of these dividers within your agency for Permanent records. Archival quality paper and cardboard dividers are available.



- **Plastic spiral bound records.** You cannot transfer records that have been bound into these plastic spiral bindings. (example in photograph below) The plastic degrades the paper in a very short space

of time. The spiral binding also disintegrates within a few years. For transfer, remove all the plastic and spiral binding and wrap or place in an archival folder as for lever arch folders.



- **Dirty records.** You cannot transfer dirty records. You will need to clean them before transfer to TAHO. Work on a clean flat surface. You will need to obtain a soft brush and using a very light pressure, carefully brush the item to remove loose dirt and debris.
- **Mouldy records.** We will not accept a transfer of mouldy records, as the mould can spread into our Collection. The mould will need to be dealt with before transfer.

For further guidance please see our *Advice 46 Treating records with mould*.

**If at any time you discover mouldy records please contact the Government Information Strategy Unit immediately as we can assist you with advice.**

Record items must be placed in the boxes in the order listed on the Item Consignment List. Record items should be listed in the same sequence as they are maintained within the agency, such as numerical, alphabetical, chronological, geographical or other order, or by some uniformity of type or by subject matter.

Items should be placed in boxes from front to back (the back of the box is the side where the lid is hinged). When packing files into boxes, place them spine down so they all face the same way (not top and tail) and so that lifting them does not put strain on the cover or the papers in the file. This will usually mean that the file numbers are at the top and can be easily identified.

Boxes **must not** be over packed. A space of approximately three centimetres should be left in each box to enable files to be removed and replaced without damage. Box lids **must not** be taped shut.

Other formats of records such as large volumes, maps and plans etc which do not fit in archive boxes, will need to be packaged separately. Please contact TAHO for advice on appropriate methods of packaging.

Each box or item should be numbered consecutively for each consignment. Markings on boxes should be made in pencil only on the front of the box outside the label template. The printed label is for TAHO use only.

In the case of volumes or other items which are not boxed, removable tags or labels should be used. Do not put pressure-sensitive labels directly on volumes.

Records will not be accepted by TAHO unless prior arrangements have been made for their receipt. The transport of records to the Berriedale Office will normally be the responsibility of the transferring agency.

## Further Advice

For more detailed advice, please contact:

Government Information Strategy Unit  
Tasmanian Archive and Heritage Office  
91 Murray Street  
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## 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

### Build Status

Version	Date	Author	Reason	Sections
3.0	February 2015	Christine Woods	Template	All
2.0	November 2013	Deborah Drinkell & Stephanie McDonald	Revision	All

### Amendments in this Release

Section Title	Section Number	Amendment Summary
All	All	Document imported into new template

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**Ross Latham**  
State Archivist