RMU Information Sheet 6

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<td>Commencement Date</td>
<td>1 November 2010</td>
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Permanent records

Permanent records are records that have long-term value as archives. Records are retained permanently if they:

- provide evidence and information about the University’s policies and actions
- provide evidence and information about the University’s interactions with its students
- document the rights and obligations of University staff and students
- contain evidence and information about activities of interest to stakeholders
- have significant potential research value

The status of records as temporary or permanent is identified in the disposal schedules published by the Archives Office of Tasmania. To determine whether a record is a permanent record, determine the record’s disposal class (if none applies, see Information Sheet 5 – Unscheduled Records) and check the status listed in the disposal action column.

Permanent records must be retained for 25 years (from their creation date), after which they must be transferred to the Archives Office of Tasmania unless an extension of time has been approved by the State Archivist. The Archives Office of Tasmania will not currently accept any records less than 25 years old due to storage issues.

Preparing records for transfer

To transfer permanent records to the Archives Office, you will need to list the records on an Application to Dispose of State Records and prepare them for transfer by packing them in acid free folders in Type 1 (17x25x38cm) archival boxes (contact the Records Management Unit at RMU.Staff@utas.edu.au for help).

- List records in the order in which they were maintained when they were active, whether that is chronological, alphabetical or some other arrangement.
- Items should be placed in boxes from front to back, in the order they were listed.
- Files should be placed spine down and all facing the same way.
- Do not over-pack boxes: leave at least a five cm gap.

Number the front of each box consecutively in pencil, outside the label template.
For more information, see [State Recordkeeping Advice 12 – Preparing records for transfer to the Archives Office](www.utas.edu.au/governance-legal/records).

### Completing an Application to Dispose of State Records

The Application to Dispose of State Records (sometimes referred to as an AOT48 form) takes the form of an Excel spreadsheet. It is important to note that the spreadsheet is composed of six separate worksheets, as you will need to complete at least two of the worksheets and will almost certainly need to consult the Instruction worksheet when filling in the form. The different worksheets can be accessed via the tabs at the bottom of the screen.

#### Instructions

The instructions worksheet explains the meaning of the fields, codes and abbreviations used in the rest of the form, and how to use them correctly.

#### Hints

The hints worksheet is intended to help users who are less experienced in using Excel by providing hints and tips on how to use some of Excel's functions to make completing and printing the form easier.

#### Access Guidelines

This section provides guidelines for completing the Category E Access Notification worksheet, including a list of issues and considerations to take into account when deciding whether to request access restrictions for records transferred to the Archives Office.

#### Cover Sheet

The cover sheet has a number of fields that need to be completed, including contact details and an overall description of the records that are the subject of the application. Most of this information can be filled in by the Records Management Unit, but you will need to have the head of the business unit/school certify the completed form before it can be submitted. Note that a signature is not required, as authentication is provided by requiring the certifying officer to forward the completed form to the Archives Office from their email address.

#### Consignment Item List

The Consignment Item List is the main worksheet used in the form, being the section where you list the records you are applying to transfer. You do not need to list every individual record separately, but may list a single entry for each group of records of the same type, e.g. Course XYZ dissertations 2001, etc.

The specific groupings are left to the business unit responsible for the records, as they are usually better placed to determine a logical arrangement for those records than the Records Management Unit. However, groupings should not be overly broad (e.g. a single entry described only as “general correspondence 2000-2010” is too broad), and the descriptions used should be meaningful and detailed enough for the Archives Office to assess the value of the records and for future researchers to be able to easily locate records. Records should generally be grouped by year, and should ideally be arranged in groupings that resemble the kind of arrangement used in disposal classes.
Each group of records should be listed on a separate row in the order in which they were maintained when they were active, whether that is chronological, alphabetical or some other arrangement. Do not leave any empty rows between entries. Enter or select the appropriate data for each field/column, referring to the field definitions given in the Instructions worksheet for guidance.

**Category E Access Notification**

This section is only used if you wish to restrict access to the records to specific positions or groups *within the University*. If you wish to transfer the records to the State Archives with less stringent restrictions, this is indicated by selecting the appropriate access category on the consignment list: *you should leave this sheet blank*. Note that you can request access be restricted to University employees (category D) without completing this sheet.

If you believe that access should be restricted even within the University, list the positions and/or groups you wish to restrict access to here, along with a description of their functional responsibilities (to allow for future restructuring). Please contact the Records Management Unit to discuss the request, as we will need to explain the rationale behind the request when submitting the application.

See the Access Guidelines worksheet and State Records Guideline No. 4 – Agency Determination of Access Restrictions for details of some of the issues to consider.

**Further information**

For more information, please visit our website at [www.utas.edu.au/governance-legal/records](http://www.utas.edu.au/governance-legal/records)

If you need help, please contact the Records Management Unit at RMU.Staff@utas.edu.au.

**Related documents**

**Archives Office of Tasmania**

- Application to Dispose of State Records form
- State Records Guideline No. 2 – Retention and Disposal of State Records
- State Records Guideline No. 4 – Agency Determination of Access Restrictions
- Recordkeeping Advice No. 12 – Preparing records for transfer to the Archives Office
- Disposal Schedules

**University of Tasmania**

- Records Management Guidelines
- RMU Information Sheet 4 – Disposal Schedules