

TRANSFERRING RECORDS

Introduction

When the records of an organisation or individual have been accepted for inclusion in UMA, the following policy will help guide them to identify records of permanent value, list them and then transfer them to the repository.

- Records to transfer
- Records not to transfer
- Some exceptions
- Transferring records to UMA
- Records management advice
- Contact details for Records Management Consultants

Please make contact with archives staff before sending records, as you will need to select those for transfer and complete transfer paperwork in advance.

Transferring Records

Records to transfer

In general, organisations should preserve records of their policy and decision making bodies, and records shedding light on major issues and the way they were dealt with. For financial records, annual and semi-annual financial statements are the most important to keep. Operational records, those unique to the industry, need separate appraisal.

Please read **Records Management Advice** and consult UMA staff for details of disposal and retention schedules which may help you decide what to keep and transfer.

Records not to transfer

Types of records not to transfer include:

- Records of short term value which can legally be destroyed after 5-10 years, such as low-level financial records (chequebooks, bank statements, receipt books, membership application forms)
- Administrative files of no long-term value, such as those relating to hiring vehicles, subscribing to journals and so on
- Duplicates, such as extra copies of official conference papers, circulars, chronological copies of outward letters which are duplicated in files
- Unsorted bundles of loose papers and unidentified files: these should be assessed and identified by the organisation to see if they are worth keeping before dispatch
- Unassessed industrial or other files: these cannot be accepted if they have not been evaluated for permanent value by the organization

Our Opening
hours are:
Mon to Fri
9:30am-5:30pm
Wed
9:30am-7:30pm

Please contact us
on:

T: 8344 6848
F 9347 8627
[http://
www.lib.unimelb
.edu.au/
collections/
archives](http://www.lib.unimelb.edu.au/collections/archives)

Transferring Records Cont.

Some exceptions

- If very little remains of the early records of an organisation, UMA will consider keeping any records if they are the only evidence available.
- UMA aims to keep one 'record set' of publications by organisations whose records we hold and catalogue these into our reference library.

Transferring records to UMA

Transfers should be authorised by a senior officer within the transferring organisation in conjunction with a responsible records officer. These guidelines will help the responsible records officer to transfer the records:

- Listing the records of organisations
- Listing the records of individuals
- Packing and transfer

Guidelines for Preparing Records for Transfer

Listing the records of organisations

UMA requires that records are sent with at least a package or box list prepared by the donor. The following information should be included on the list:

- The name of the organisation which *created* the records. If possible, also note the department or person within the organisation who was responsible for the records (e.g., industrial officer, company secretariat, personnel department).
- If the records clearly predate a recent administrative change, the name will be that of the original body, e.g., records created by the Printing and Kindred Industries Union, now the Amalgamated Manufacturing Workers Union, would still be named the PKIU records.
- Where there is no clear distinction between the old and new names within files or records use the current name of the organisation.
- Give each series or group of records a title, eg., 'minute books', 'administrative files', 'client files', then list the title and date range of each file or volume.
- Files should be listed in the order in which they were kept in the office, eg, alphabetically by subject, by classification number or so on.
- Where there was a well defined classification scheme or index of the files used within the office, include both a paper and electronic copy with the files where possible.
- Send a copy of the list and the index to UMA and wait for us to confirm when we will accept the records.

Listing the records of individuals

The records of individuals are only rarely as well organised by their creators as the records of organisations. Therefore:

Note first the name of the person who *created* the records.

- If possible, give each series or type of record a title, eg., 'personal correspondence', 'research papers', 'student correspondence', then list the title and date range of each file.
- If this is not possible, just list the title and date range of each file or volume as it is placed into a box. Number boxes from 1 to x and record the number of the box against the file title on the list.

Guidelines for Preparing Records for Transfer Cont.

- Files should be listed in the order in which they were kept by the creator, eg, alphabetically by subject. Where there was a well defined classification scheme or index of the files, include a paper and electronic copy with the files if possible.
- Where there is no remaining discernable order within the files, list them as they are packed into boxes as described above.
- Send a copy of the list to UMA and wait for us to confirm when we will accept the records.

Packing and transfer

- For smaller collections UMA will be able to provide suitable boxes in which records will be transferred.
- Larger collections can be transferred in cartons provided by the donor.
- Only the name of the creator of the records and the box number should be written on boxes in pencil. All other information should be written on paper or a word processed document.
- Smaller collections can be picked up by Archive staff within the metropolitan area for no cost.
- Larger or remote collections must be couriered or delivered to UMA at the donor's expense.
- Boxes must not be overfilled or create a lifting hazard.
- Discuss all unusual formats (eg. filing or plan cabinets) with Archives staff before arranging transfer.

Records Management Advice

Records Management Advice

Advice on the retention and disposal of records can be obtained from UMA staff and from the following sources.

The *Trade Union Records Disposal Guide and Schedule* is a guide to appraising trade union records. It was published in 1998 by the University of Melbourne Archives and the Noel Butlin Archives Centre in conjunction with Trade Unions. It is available from both institutions in paper or electronic form.

Advice on electronic records is available from the *National Archives of Australia* at

<http://www.naa.gov.au/records-management/secure-and-store/index.aspx>

The NAA provides advice on the management of electronic records including their preservation and migration, managing email, and appraising records for disposal and permanent retention.

Guides for the disposal and retention of common administrative records are available on the web sites of most state government archives.

For NAA see:

<http://www.naa.gov.au/records-management/keep-destroy-transfer/authorities/GDAs/index.aspx> and

<http://www.naa.gov.au/records-management/keep-destroy-transfer/NAP/index.aspx>

In Victoria see <http://www.prov.vic.gov.au/records/dispschl.asp>

These schedules are easily adapted to cover administrative records in non-government organisations.

Contact Details

In Victoria there are many businesses which can offer records management support and advice, as well as providing professional project or permanent staff. UMA does not recommend any business in particular, nor are we responsible for their performance. Nevertheless, the following three are available as a starting point:

Enterprise Knowledge Pty Ltd

Ste 5/ 1016 Doncaster Rd
Doncaster East 3109
Ph. (03) 9842 0999

The One Umbrella

Lvl 9/ 50 Queen St Melbourne 3000
Ph. (03) 8319 7899
www.oneumbrella.com.au

Records Solutions Pty Ltd

6 Wallace Sq Melton 3337
Ph. (03) 9747 3077
Mobile Service: 0418 317 455