

**Machinery of Government Changes:
Guidance on Transfer of Records, Information
and Knowledge**

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Second edition 2010
Third edition January 2011

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FOREWORD

The National Archives was asked by the Knowledge Council to produce guidance to help Departments and other public bodies with the increasingly complex task of transferring records, information and knowledge in the event of a Machinery of Government change.

The guidance document attached has been developed in close consultation with Departments. The Cabinet Office Machinery of Government changes best practice handbook refers to the need to ensure that official paper and electronic records and informally held information and knowledge are transferred to receiving departments as soon as possible.

It suggests that this should be factored into the initial planning phases of the machinery of government work, because the inability to access the information would represent considerable risks to the conduct of business. This second edition contains new information on how to manage digital continuity, ensuring that essential digital information remains usable after transfer, and on our web archiving service for government.

This guidance is for senior managers overseeing machinery of government work, and hands on practitioners responsible for carrying out the transfer. It should support you to take the actions you need to transfer and receive records, information and knowledge effectively, without impacting on business continuity and service delivery.

Oliver Morley
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in Knowledge and Information Management

EXECUTIVE SUMMARY

This guidance has been produced by The National Archives under the auspices of the Knowledge Council, in consultation with Departments.

The Cabinet Office Machinery of government changes best practice handbook states that it is critical to ensure that official paper and electronic records and informally held information and knowledge are transferred to receiving departments as soon as possible. It continues that ideally this should be factored into the initial planning phases of the machinery of government work, since inability to access the information would present considerable risks to the business.

Transferring and receiving bodies should have a clear understanding of their separate and joint roles and responsibilities, and should jointly analyse the steps needed for the transfer.

As much information should be made available to staff in both organisations as possible, at the earliest possible opportunity. Planning communication with customers and end-users to meet their need for information on the changes, must also be a priority.

Senior management have an important role to play in the transfer process. They should be informed of the action required to carry out the transfer without loss of information, interruption to business continuity or reduction in customer or end-user services provided. They should be kept informed of progress on the tasks set out in Sections 6 and 7 and should set a specific budget to meet the costs of transfer.

Key Recommendations

- ❖ Potential problems likely to affect the transfer of electronic records to an incompatible system must be identified in advance.
- ❖ Requirements for the continuity of digital information should be identified in advance to enable impact assessment, risk management, and the identification of savings and efficiencies.
- ❖ An options appraisal for the future storage of paper records should be carried out before firm decisions are taken.
- ❖ Opportunities to manage records and information more efficiently and effectively should be identified and acted upon.
- ❖ For any substantial MoG change, a joint Information Transition Team should be set up to carry out the work required.
- ❖ Each stage of the transfer should be planned and documented with all parties understanding their responsibilities.
- ❖ The Departmental Record Officers of both organisations should sign a formal transfer agreement once the transfer has been completed.
- ❖ Training in new information and other systems must be provided as appropriate for staff at all levels.
- ❖ Maximum use should be made of existing knowledge management tools such as staff directories and Intranets to ease the transition between the two organisations.

The guidance is in two parts. Part 1, which outlines the key lessons and guiding principles to be applied in transferring records, information and knowledge in the

event of a Machinery of Government change, is designed to be particularly relevant to senior management and those overseeing the change. Part 2, which contains detailed guidance, is designed for those carrying out the transfer.

PART 1 – OVERVIEW

1. What is a Machinery of Government change?

A Machinery of Government (MoG) change is a transfer of functions between Ministers, either:

- a. between Ministers in charge of Departments or other Cabinet Ministers, or
- b. between a Minister and a non-Departmental public body (NDPB).

It can affect functions carried out by the Minister's Department or a public body such as an executive agency under the Minister's control, or by other public bodies. The transfer of a function takes effect immediately unless specifically provided to the contrary.

2. Why is advance planning for information transfer important?

Advance planning for the transfer of information is critical, as the consequences of getting this wrong can be far-reaching. Failure to transfer information and knowledge effectively between Departments can make it impossible to maintain business continuity.

The consequences have included the loss of vital information and substantial additional costs. During transfer, departments can also easily lose the ability to use digital information to support business requirements. Loss of vital functionality can render information useless; a liability not an asset. The National Archives is developing guidance on maintaining the continuity of digital information through its digital continuity service: nationalarchives.gov.uk/information-management/our-services/digital-continuity.htm

Other problems may arise in the longer term. Personnel files, for example, may need to be traceable in case of occupational health or other issues emerging many years later.

The move away from traditional paper files to a complex and potentially incompatible range of electronic means of capturing, storing and using information underlines the importance of focusing appropriate resources and attention on the task. A wide range of information needs to be transferred between the transferring and receiving organisations, including:

- Paper files - relevant paper records, including personnel and index files.
- Electronic information – for example, documents held on shared drives and contacts databases, messages and attachments held on email systems, and information stored in Electronic Records Management Systems, Geographical Information Systems, case management systems and datasets, or made available via wikis or the website or Intranet.
- Relevant publications, guidance or training manuals and procedural information, whether in hard copy or electronic format.
- Knowledge held informally (held in personal folders or not written down).

All Departments and other organisations have a responsibility to draw up a business contingency plan setting out the key tasks that are required for a successful transfer of functions. This can then be put into action straightaway when a MoG change is announced.

3. What guiding principles need to be applied?

The top management board and other senior staff should apply the following guiding principles in overseeing the MoG change:

- Advance contingency planning will enable the change to be implemented swiftly.
- The process must be jointly owned and managed by both organisations.
- Both should approach the change in a spirit of openness and co-operation.
- The outcome must enable both bodies to comply fully with legislative requirements eg. Freedom of Information.
- There must be a focus on effective communication with the end-user or customer.
- Opportunities for realising savings and efficiencies or managing records in innovative ways must be seized.
- Adequate resources must be made available to ensure business continuity, especially in high-profile and customer-facing areas.

4. Who should do the work?

For any substantial MoG change, both the exporting and receiving organisations will need a Change Management Project Team to manage the change and oversee the transfer of people and functions. The two Project Teams should establish a joint MoG Information Transition Team to manage the handover of information and records in accordance with this guidance. The Information Transition Team should be represented at Project Team meetings and should include the Departmental Record Officers and other records management and knowledge management staff, as well as in-house and external IT personnel. Both organisations should make adequate budgetary provision for this work.

The Information Transition Team will take charge of identifying and arranging for the transfer of relevant paper and electronic records (see Sections 8 and 9 below). It should also ensure the carry over of the informal knowledge and information which, while more difficult to pin down, can be vital to the effective conduct of business. Maximum use should be made of existing knowledge management tools such as staff directories and Intranets to ease the transition between the two organisations (see Section 10).

5. What are the key lessons and best practice basics?

The work of the Information Transition Team should be informed by the following key lessons:

- Senior management commitment to resourcing the transfer of records and information is a prerequisite for all other actions and must be obtained as soon as the MoG change is confirmed.
- All the stakeholders must be identified and involved in the transfer process from the outset.
- A newly appointed executive team of any new organisation will immediately begin to create records and gather information. The provision of interim measures for how and where they do this should be a priority.
- Outsourced contractors cannot be expected to provide public records management skills such as assessment of the relevance or value of records and information prior to transfer.
- Organisations cannot be confident that they are complying with information legislation if they are unaware that records and information exist, or hold records and information that cannot be located.
- Transfer of records must always be accompanied by appropriate finding aids, including indexes (copy or original) and all or part of databases where these have been used.
- Transfer of electronic records and information should not be seen as simply an exchange of data but as an opportunity to ensure the continuity of digital records in line with business needs.
- Exporting organisations need to inform the receiving body of any difficulties in transferring electronic data, so that effective migration tools can be identified.
- The authenticity and reference value of emails must be safeguarded by the use of appropriate transfer software between email systems. If electronic tools such as databases need to be transferred, their export needs careful management to ensure they can be used within the receiving organisation.

BEST PRACTICE BASICS

- Clarity about responsibilities and commitments is essential.
- Transfer of records and protocols specifying action to be taken must be precisely documented.
- All decisions on the movement, disposal and destruction of records and information must be documented.
- Although staff will normally transfer with the function and hence provide a source of expertise and experience, a function statement and handover notes should be prepared to ensure continuity.
- When records are transferred, they should be accompanied by whatever has been used to identify and retrieve specified information from them, such as indexes (original or copy as applicable) or, for electronic records, copies of relevant databases used to describe and track such assets.
- Decisions must be made about where records of actions taken after a transfer of functions should be filed, if the staff being transferred with the function are still working on the premises of the transferring organisation and using its infrastructure.

PART 2 – DETAILED GUIDANCE

6. Task list for the exporting organisation

This task list is intended as an aid for the Change Management Project Team in the exporting organisation in overseeing the transfer of records. Responsibility for each task should be clearly assigned and progress formally checked and recorded at specified intervals.

- Obtain senior management commitment to resourcing the transfer of records and information at the outset
- Appoint members of joint Information Transition Team, including Records Management, Knowledge Management and Information Technology representatives
- Consider scope for realising savings and efficiencies and doing things differently, eg. sharing rather than transferring services, or anticipating digital continuity requirements
- Make adequate budgetary provision for the change
- Identify staff and functions to be transferred
- Identify paper and electronic records relating to these functions
- Identify other relevant paper and electronic information, publications, manuals etc.
- Carry out an impact assessment on digital information in the department to ensure you maintain the usability you need
- Identify location of informal knowledge crucial to the effective management of business
- Identify other records for transfer eg. personnel files
- Consult owners of processes affected by the transfer eg. personnel, FOI
- Consult Private Offices and Parliamentary Clerk on transfer of records, live PQs etc.
- Inform users and customers of the changes and new contact details.
- Undertake security risk assessment to highlight information security issues
- Carry out joint options appraisal of storage costs for paper records
- Classify records by type, use etc.
- Plan transfer of paper and electronic records with receiving organisation
- Document staff responsibilities and organisation of related records pre-transfer
- Document proposed transfers of staff, functions and records
- Keep top management team informed of progress, including the Senior Information Risk Owner or SRO for Digital Continuity
- Update staff directories
- Update business plans
- Update information risk registers

7. Task list for the receiving organisation

This task list is intended as an aid for the Project Team in the receiving organisation in overseeing the transfer of records. Responsibility for each task should be clearly assigned and progress formally checked and recorded at regular intervals.

- Obtain senior management commitment to resourcing the transfer of records and information at the outset
- Appoint members of joint Information Transition Team, including Records Management, Knowledge Management and Information Technology representatives
- Consider scope for realising savings and efficiencies and doing things differently, eg. sharing rather than transferring services or implementing digital continuity requirements
- Make adequate budgetary provision for the change
- Discuss with opposite numbers in transferring organisation the staff, functions, records etc. identified for transfer
- Consult owners of processes affected by the transfer eg. personnel, FOI
- Consult Private Offices and Parliamentary Clerk on receipt of records, live PQs etc.
- Inform users and customers of the changes and new contact details
- Note security issues arising from security risk assessment
- Carry out joint option appraisal of storage costs for paper records
- Plan transfer of paper and electronic records with transferring organisation
- Document staff responsibilities and organisation of related records post-transfer
- Plan space requirements for both internal and external customer-facing information services, staff, and paper records
- Arrange for welcome and induction of incoming staff at all levels
- Brief existing staff at all levels on the changes
- Keep top management team informed of progress, including the Senior Information Risk Owner or SRO for Digital Continuity
- Update staff directories
- Update business plans
- Update information risk registers.

Detailed checklists are included at Annexes 1 and 2 for use by the Information Transition Team and staff closely involved in the change.

8. Transfer of paper records and information

IDENTIFICATION OF RECORDS FOR TRANSFER

Once the exporting organisation's Project Team has pinpointed the functions to be transferred, the Information Transition Team members responsible for paper records will need to identify the relevant records, including:

- current records
- semi-current and non-current records
- records in onsite and offsite storage
- any registered or unregistered records not stored centrally
- vital records (a list of these should be kept with business continuity/disaster plans).

The exporting organisation should check business continuity and disaster plans to identify vital records for transfer. If an organisation is part way through reviewing or preparing records for transfer to The National Archives, this work should be completed by the exporting organisation.

OPTIONS FOR TRANSFER

The Transition Team will need to decide on the records to be transferred, in close consultation with the business unit currently responsible for the function. Not dealing properly with this aspect can lead to the build-up of backlogs of unidentified paper records in basements or offsite storage with consequent storage, space and staff resource costs, together with a potential loss of important information.

OPTIONS APPRAISAL OF STORAGE COSTS FOR PAPER RECORDS

It is important that an options appraisal of the costs of storage of paper records is carried out by both organisations jointly, as soon as the records relating to the transferred functions have been identified. The aim should be to achieve the least costly option.

The appraisal exercise should identify the costs of the current storage arrangements, which may take a number of forms:

- One or both organisations stores files on its own premises.
- Both use the same third party contractor to store files.
- They use different third party contractors.

The options appraisal should look at a range of solutions, for example:

- Moving documents to the storage used by the receiving organisation.
- Leaving documents in their existing location. The possibility of continuing with existing contracts or of the exporting body passing parts of its contract to the receiving body should be explored.
- One organisation may wish to provide a shared service to another (see Section 12).

Issues to consider include:

- Costs of removal from storage – as well as the costs of the physical move, most storage contractors impose a charge of about £1.50 for placing a box on a shelf or removing it from storage.
- Costs of indexing – removal of a file to a new location will involve updating location indexes.
- The possibility that it might be cheaper to buy bulk storage.

OPTIONS FOR TRANSFER OF PAPER RECORDS

There are a number of options for transferring the relevant records to the receiving organisation. Please note that Section 45 of the Constitutional Reform and Governance Act 2010 provides for a transition from a 30-Year Rule to a 20-Year Rule governing the point at which government records of historical significance are transferred to The National Archives, and the point at which some of the Freedom of Information Act (2000) exemptions cease to have effect.

Option 1. Transfer all paper records regardless of age or value

This is the simplest and quickest option, but depending on the amount of material to be transferred, it could have substantial cost implications for both the exporting and receiving organisations. Also, if any of the records for transfer are over 30 years old, the receiving organisation may not wish to inherit records that put it in breach of the Public Records Act.

Option 2. Transfer only files under 25 years old

In order for organisations to fulfil their statutory responsibilities under the Public Records Act to transfer files worthy of permanent preservation to The National Archives by the time they are 30 years old, a second review of paper records has traditionally taken place when records reach 25 years old. If the exporting organisation has records that are older than 25 years, it could retain these and carry out the process of selection and transfer to The National Archives. Transferring only the records under 25 years old would ensure that the receiving organisation does not inherit a review backlog. It may also slightly reduce costs as fewer records will need to be handed over to the receiving body.

Option 3. Conduct an early review and transfer only records of business value/ historical value to the receiving body

The exporting and receiving organisations could jointly carry out an early review of the paper records, taking into account business and long-term historical value, and statutory retention requirements. Existing retention/disposal schedules should also be referred to during this process. Any records that do not need to be kept may then be disposed of. This option may not be appropriate, however, if large numbers of files are to be transferred or there is only a short time to complete the transfer. It is the most resource-intensive option as staff time will be needed to carry out the review, added to the cost of disposal. However, if the volume of records to be transferred can be reduced, transfer, indexing and storage costs may be significantly lower over time.

If records are found to be of potential historical value and therefore worthy of permanent preservation at The National Archives, they should be clearly marked as such (physically on the file cover, on the records management database or as disposal instructions on an electronic records management system).

REVIEW OF RECORDS

The traditional file-by-file method of reviewing paper records can be time-consuming and is not always necessary. As part of its Appraisal Policy, The National Archives has developed alternative methods of review, which can speed up the process. If the exporting organisation has recently completed an Appraisal Report,¹ this could be used to inform the review. Please see:

nationalarchives.gov.uk/documents/additional_procedures.pdf

OTHER INFORMATION ON PAPER

Other types of information on paper that may need to be transferred include:

- Card indexes and other finding aids
- Retention/disposal information relating to records of the function
- Appraisal information, for example, selection criteria, information on past reviews
- Paper files relating to databases
- Printed guidance or manuals relevant to the function or relating to databases.

The exporting organisation should ensure that 0 files (the first file in a paper file series which contains information about that file series), prefix bibles (list of prefixes with useful information about each prefix) and any other useful information about file series is passed to the receiving organisation. If this type of information is not transferred, the process of review will be much more difficult in future. If 0 files exist they should be updated with information about the transfer of function(s) that the file series relates to.

TRANSFER AGREEMENT

In order to finalise the transfer of records the exporting and receiving organisations should complete a transfer agreement. See template Transfer Agreement at Annex 3. This should include a list of all paper records transferred. The receiving organisation should ensure that it has received all necessary paper records before signing the agreement.

¹ The Appraisal Report has been devised by The National Archives to enable Government bodies to appraise their records and make decisions about their long-term value. It is especially useful for analysis of discrete functional areas and therefore is a helpful tool in considering which records to select for The National Archives when functions are being transferred.

9. Transfer of electronic records and information

IDENTIFICATION OF ELECTRONIC RECORDS AND INFORMATION FOR TRANSFER

As with paper records, the Records Team members responsible for electronic records will need to identify the relevant records and information at the outset, including those stored on:

- an electronic records management system (ERMS)
- shared drives
- personal drives
- email systems
- CDs or other removable storage devices
- Social media sites maintained by the business unit
- Externally hosted information (with particular consideration for access, such as passwords)
- structured data

Similar decisions will need to be made about which of these should be transferred, in close consultation with the business unit. Records and information should be selected for transfer based on their business value now and over time, as well as potential historical value. It is important to be selective in retaining the records of a transferred function.

As with paper records, if the exporting organisation has recently completed an Appraisal Report, this can be used to inform the review. If records are found to be of potential historical value, and therefore worthy of permanent preservation at The National Archives, this should be indicated in disposal instructions on the ERMS.

TRANSFERRING ELECTRONIC RECORDS

As particular issues arise in planning the physical and informational transfer of electronic records, separate guidance has been prepared and can be found via the following link:

nationalarchives.gov.uk/information-management/projects-and-work/records-management-guidance.htm

(Go to **Electronic records toolkits** and click on the first bullet point:

‘Checklists for exporting and transferring electronic records data between systems’)

Export & Import Checklist

The "Export & Import Checklist", which is available via the link above, aims to highlight some of the issues that may be encountered when exporting (copying) and transferring data between different systems. Organisations may store data (i.e. a collection of information) in electronic and / or physical formats. At present, the main focus is on electronic data but while the checklist anticipates that the destination will be an ERMS, no assumptions are made regarding the nature of the source data.

The checklist covers a number of generic issues and metadata considerations. Some of the questions may seem repetitive, but this should emphasise the need to obtain comprehensive details for all aspects of the data being processed. Ideally the checklist should raise awareness and prompt users to consider a range of generic and system-specific data migration issues.

The checklist is not exhaustive. Common issues are addressed but each export and import procedure is likely to involve some level of customisation, whether in the data, the process, or both.

Key factors that influence the outcome of a data migration include:

- how data is managed in the source system
- how data is managed in the destination system
- user roles and security requirements
- validation and verification requirements
- hardware and software requirements
- legal and contractual requirements

Proper understanding of all the data issues and process requirements will increase the potential for successful export and transfer operations.

SCHEMA FOR TRANSFER OF RECORDS BETWEEN ERM SYSTEMS

The National Archives is currently working with the Cabinet Office on a Schema (the e-GMS ERM Schema (v.3)) which is intended to provide a practical means of transferring metadata relating to electronic records between commercial ERM systems. This will enable electronic records metadata created or stored in one system to be translated by an XML-based "lingua franca" into a form which another system can import. In the longer term, this should enable transfers to be carried out relatively simply, avoiding the need to use complex, customized methods. The aim is to produce a workable, basic version of the Schema by July 2007, followed by continuing development to create a fully-fledged version.

EMAIL

It is important not to overlook email when planning for a transfer of function, particularly if emails are managed within personal inboxes rather than on shared drives or on an ERMS.

The following options should be considered:

1. If staff are moving with the function, individual inboxes may be transferred from the transferring organisation's email system to the new body's system.

However, if the transferring organisation retains part of the function or other work carried out by the staff moving to the new body, any emails still required for the business of the transferring organisation will need to be copied to relevant staff before transfer of the inboxes.

If staff are using shared email folders, these should be mapped across to the receiving organisation and the transferred staff given access to them.

2. If existing staff are not moving with the function, they should identify the emails required for the continuation of business so that they can be transferred to the receiving organisation.

A clearly structured electronic filing system will be key to effective transfer of emails.

Managing email exports and imports

It cannot be emphasised too strongly that emails form an important part of the records relating to government functions. Proper attention needs to be given to their value as evidence and reference material. Some may need to be retained in the long term. Emails will lose their value to the receiving organisation if they cannot be accessed or lose their structure and attachments in the transfer process. This can easily happen if staff do not understand what can and cannot be exported from one email system to another without the use of intermediate software.

Care should therefore be taken to identify in advance the email client software applications used by the transferring and the receiving bodies, so that any transfer problems can be anticipated. In many cases both organisations will use the same software for this purpose, for example MS Outlook. In these cases, it is necessary to ensure the emails are transferred in a format which will allow them to be accessed by staff with the same level of functionality. Any existing folder structures should be replicated to ensure the same look and feel for the users. It is especially important that any attachments remain accessible upon transfer.

However, where the two organisations use different email systems, it cannot be assumed that emails can simply be transferred without loss of information and functionality. The issue here is to ensure the logical integrity of emails following their transfer so they remain accessible in the new location. Within central government a number of email software applications are used. The most common are MS Outlook, Novell GroupWise and IBM LotusMail, but CC Mail, Eudora and other applications are also in use. It is essential that agreement is reached at an early stage to determine the most appropriate format for the emails to be exported, in order to ensure the emails remain usable at the destination end in a different system.

If this is not done, there is a real danger that the copied emails will be sent in a format which is either wholly unusable or partially unusable. If, for example, a decision is made to send emails in a text format (.txt), the emails will be readable but any attachments will be lost. As many emails are used as carriers for single or multiple attachments, the adoption of such a format could result in a major information loss to the receiving organisation. It is therefore critically important that a decision to adopt a text format should be made jointly by both organisations and recorded in the form of a joint agreement. This decision should be preceded by appropriate tests, using emails both with and without attachments to confirm the functionality of the chosen format.

The receiving body should also ensure that incoming staff are trained in the use of the new email system and provided with copies of email policies, for example, use of electronic records management systems or shared drives and limits on inbox or download size.

Further guidance on the management of email can be found on The National Archives website:

nationalarchives.gov.uk/documents/information-management/managing_emails.pdf

WEBSITES

MoG changes have an inevitable impact on the communication between Department and stakeholders/citizens. Increasingly we depend upon the versatility of the Web to respond and communicate key messages and change, and the website is often the first 'asset' to migrate.

Once the decision has been taken to transfer a function to another Department, a review of the Web estate surrounding it should be conducted. It is important that the content sits within the context of the receiving Department from the moment responsibility is handed over.

Best practice should be applied to redirecting customers from the old domain, with an explanation of what has happened, and this should be kept in place for a set period of time that is made clear to the user. Active marketing will be needed to support this, from something as simple as a reverse address check to see who is linking to the url, to a full-blown marketing and awareness campaign (depending on the site). It is essential that MoG changes do not affect the customer journey or the reference community, and it is the responsibility of the transferring Department to ensure that this happens. See also COI Web Standard TG125: <http://coi.gov.uk/guidance.php?page=265> - how to manage and persist URLs through change.

No content should be removed unless the ability to redirect links is in place.

It is also essential that steps are taken to ensure that significant information is not lost during this process, particularly if it may have been used to answer Parliamentary Questions.

The National Archives and the COI have published guidance on Web Continuity, which may be accessed from here:

nationalarchives.gov.uk/recordsmanagement/web-continuity.htm

The National Archives captures snapshots of all UK central government websites three times a year (some websites are archived more frequently). This should be sufficient to capture significant documents and information from most websites. However, The National Archives can help by archiving a final copy of the website before any Machinery of Government changes are made. Contact the Web Archiving team at The National Archives at least 6 weeks before the planned change data in order that the crawling, quality assurance and publication can take place before the site changes. To see the capture schedule, organisations can check the UK Government Website Database, nationalarchives.gov.uk/gwdb/ This was developed by The National Archives and COI to track manage the web archiving and website review programmes. It is accessible to webmasters and records officers of central government departments and bodies. In order to obtain access to this, please contact: webarchive@nationalarchives.gsi.gov.uk

In the event of a general election, The National Archives will take a snapshot of all major Departmental websites and work with the departments to ensure fast archiving.

The Web teams in both transferring and receiving organisations should check that their websites are listed in the UK Government Web Archive
<http://www.nationalarchives.gov.uk/webarchive/>

Please be aware that not all content on the live website is capable of being harvested into the Web Archive. In particular content which requires user participation such as a login, or any selection filtering by the user before downloading, cannot be captured. The National Archives carries out an extensive Quality Assurance process to ensure that the harvest is as complete as possible. However if departments are relying on any particular content to be archived, they should check - **before removing the content from the live site** - that the content is in the archived website. If it is not, they should get in touch with the Web Archiving team at The National Archives.

There is a delay of some weeks between harvesting the website and its publication in the UK Government Web Archive. Therefore the final snapshot may not appear in the Web Archive until sometime after the Machinery of Government Change has taken place.

For further information and guidance see
<http://nationalarchives.gov.uk/webcontinuity>

DATABASES and DATASETS

For the purposes of this guidance, a distinction has been made between DATABASES in the sense of back office systems that have processing value, and DATASETS, structured data that has information value, and can be held in a variety of database systems

The transferring organisation should take care to identify and make a list of all databases and datasets related to the function, not forgetting databases and datasets on websites or Intranets and that datasets can include Geographical Information Systems (GIS). They should be assessed to see whether they are still required to perform the function. Particular care should be taken with datasets that are linked to from data.gov.uk <http://data.gov.uk/home>.

Databases and datasets that are still required to perform the function

For those that need to be transferred for continued use, the following steps should be taken:

1. Gather all necessary technical knowledge on, for example, software packages and computer operating systems, in consultation with those responsible for the creation, use, maintenance and support of the database. It is important to do this at an early stage in case these staff do not move with the function or decide to leave.

2. Make any necessary contractual arrangements with, for example, the software company that created the database.
3. Collate information on any FOI/Data Protection issues - for example, data provided in confidence.
4. Gather other information relating to the database - for example, paper files, electronic records, Intranet-based or printed guidance and manuals.

If the dataset is hosted on the department's website in a format that can be downloaded from the UK Government Web Archive, then follow the MoG change procedures in the Web Archiving section of this guidance. It is The National Archives' intention that all open data should eventually be hosted in this manner, where technically possible, and preserved in the UK Government Web Archive.

If the selected dataset cannot be hosted on the department's website consider whether it is worthy of permanent preservation, in conjunction with the DRO and The National Archives. If so, the receiving department should be informed. The selected dataset should be maintained in the receiving department.

The data should be transferred to the receiving department in accordance with the recommendations in the Data Handling Procedures in Government Final Report. www.cesg.gov.uk/products_services/iatp/documents/data_handling_revi.ew.pdf If a decision is taken that the information contained in a database should be transferred, but the database itself (as a software package) is no longer needed, careful management will be needed to ensure that the data is exported in a usable format. The means of extracting data must be assessed and a strategy drawn up for the merger of databases and the secure disposal or archiving of the redundant database.

Databases and datasets that are no longer required to carry out the function

If the dataset is hosted on the department's website in a format that can be downloaded from the UK Government Web Archive, then follow the MoG change procedures in the Web Archiving section of this guidance. It is The National Archives' intention that all open data should eventually be hosted in this manner, where technically possible, and preserved in the UK Government Web Archive.

If the selected dataset cannot be hosted on the department's website, consider whether it is worthy of permanent preservation in conjunction with the DRO and The National Archives.

Even if the dataset is no longer needed, it is still important to carry out steps 1, 3 and 4 above as this information will be required for databases selected for permanent preservation.

A strategy should be drawn up for the secure destruction of the redundant data.

In order to gather information on databases and datasets, the transferring organisation could carry out a survey (see Annex 4 for survey questions used by the Welsh Assembly Government).

OTHER ELECTRONIC INFORMATION

Other types of information that may need to be transferred include:

- Retention/disposal information (information may be within schedules and/or included as disposal metadata on an electronic records management system) relating to records of the function
- Appraisal information, for example, appraisal reports and series level review questionnaires
- e-Library portals including library management systems.

TRANSFER AGREEMENT

As with paper records, an inventory listing the electronic records (folders or groups of records rather than individual documents) proposed for transfer should be included with the transfer agreement (see Annex 3 for template). The transferring organisation should generate export reports from the database and provide them to the receiving organisation with the exported electronic records. These reports should also indicate where errors may have occurred, thus enabling the transferring organisation to take remedial action.

The receiving organisation should ensure that it has received all necessary electronic records (folders, parts, records and associated metadata) and that they are accessible and readable before signing the agreement. Once both parties are satisfied that the transfer has been successful, the transferring organisation may carry out destruction of all exported folders, parts and records if there is no further business requirement for these.

10. Knowledge and information resource transfer

The Change Management Project Team needs to ensure that the transfer of all forms of knowledge and information is effectively managed to provide a smooth transition from one organisation to another. This should include disseminating information about the changes widely within both organisations as well as informing groups of staff with a particular need to be kept closely in touch with developments. These groups, which should be identified at the outset, will include:

- The staff at all levels whose work is closely affected by the transfer of functions
- Private Offices, Parliamentary and Ministerial Correspondence Units
- Enquiry services, call centres, help lines and libraries
- Major suppliers eg. Suppliers of EDRMS systems, library management systems, paper records storage suppliers.

There must be a communications plan to ensure that the information needs of customers, end-users and external contacts are fully met – otherwise a serious reduction in service quality can result.

Each of the organisations involved in a transfer will have its own role to play, but a co-ordinated approach by the whole Project Team will be key to a successful transfer of functions. If knowledge champions or officers have been appointed within the organisations, they should also be fully involved in ensuring business continuity across the transition. Both organisations should ensure that risk registers covering records and information are updated following a MoG change. Also, vital records transferred should be added to the receiving organisation's business continuity and disaster plans and removed from the transferring organisation's plans.

THE TRANSFERRING ORGANISATION

A major change of function will have a significant impact on the transferring organisation, and even a minor transfer will mean some upheaval for the staff immediately involved. Once the MoG transfer has been announced, they will probably be required to move to a new location and learn how to use new systems and methods in a short time. They will become part of another organisation with a different mission and different goals. Some jobs may be substantially changed or abolished. There will also be a wider effect. The organisation will experience 'knowledge walking out of the door' in relation to customers, processes or records. Knowledge networks may need to be rebuilt to enable remaining staff to function effectively.

The transferring organisation has a responsibility to ensure that all the information required for a smooth transition is identified and prepared for transfer. This includes capturing knowledge which is not written down or held in a formal way either electronically or on paper. Staff rely on each other as information resources. They share knowledge of relevant developments or key contacts which is constantly updated and related to other information without necessarily being recorded in any way. In carrying out the process of records review, staff will also have acquired knowledge of the history of the function and of which records are likely to be selected for permanent preservation at The National Archives. It is important to consider how to prevent the loss of all this vital information and knowledge following a MoG change, especially if some staff are not moving with the function.

Useful Tools

Concise electronic or paper documents outlining the existing function and working methods will be essential to ensure business continuity:

- **A function statement** should be drawn up by the existing staff which explains who they are and what they do. It should cover:
 - Purpose
 - Goals
 - Recent achievements
 - Introduction of collective knowledge/expertise
 - Risk register for current and planned activities with management strategies and contingency plans.

Handover notes will also be important in transferring previously unwritten or informal knowledge about the way business is conducted, key contacts etc., especially if some staff are not moving with the work.

Exit interviews and/or questionnaires should be given to transferring staff where necessary with the purpose of gaining knowledge/information of records, processes and contacts of transferring staff (see Annex 5 for suggested questions).

Risk register for current and planned activities with management strategies and contingency plans.

Maximum use should be made of existing knowledge management tools such as corporate directories and Intranets to ensure that all those affected are fully informed of the changes. Information is increasingly portable and not sharing the same physical space need no longer be a barrier to knowledge sharing. The availability of resources should be investigated for setting up social media tools (such as Wikis, blogs, instant messaging, podcasts, social bookmarking, knowledge networks) and maintaining existing knowledge networks.

- **Corporate directories** should continue to include transferred staff for an appropriate time with a link to their new details.
- **The Intranet** is not just a portal for static information. It can also act as an effective communications and knowledge management tool resulting in reduction of emails and continual maintenance and development of content. It may be necessary to give transferring staff access to both the transferring and receiving organisations' Intranets.

THE RECEIVING ORGANISATION

The receiving organisation will need to provide accommodation, equipment and training for incoming staff, and inform existing staff of the new arrangements. When staff are moving with the function, it is important that they receive full training in the new organisation's records management systems and procedures.

- **A communications plan** should be devised to keep staff informed of changes. This could include:
 - a launch session
 - briefing on the MoG change
 - publication of the function statement
 - welcome packs for new colleagues.
 - a welcome email introducing key figures in the organisation, explaining aims and objectives and advertising corporate services.
 - induction for all new staff (including senior staff).
- **Corporate directories** should be updated from or before the date of transfer. Wiki technology can be used to enable staff to update their own information.

Enquiry services and help lines

It is important to ensure that any users or customers of a function being transferred are given full information early on, and receive an uninterrupted service as far as

possible. Priority must be given before the transfer to preparing a full brief for staff operating an enquiry service or a helpline to enable them to give authoritative and accurate information. Other resources should include lists of new contacts and telephone numbers, subject lists and a glossary of terms. Differences in working practices between the transferring and the receiving services need to be identified in advance.

LIBRARIES

The library service may be responsible for wider knowledge management activities including intranets, websites, knowledge networks and enquiry or directory services for the public and internal customers. The majority of libraries provide enquiry services for significant electronic information resources as well as hard copy collections.

If library collections need to be divided following MoG changes, enquiry responsibilities and subject areas to be transferred will need to be agreed at the beginning of the process, together with a transitional Service Level Agreement for enquiry services. These agreements should be used to inform subsequent collection transfer decisions.

The library services transfer plan should include the following action points:

- Plan how customers will be kept informed of changes.
- Identify collections, both electronic and hard copy, to be transferred.
- Plan for catalogue record transfer and reclassification if necessary.
- Plan for merging of common subject collections including consideration of disposal or cancellation of duplicate holdings.
- Follow agreed withdrawal procedures for weeding and disposal of items.
- Review collection and retention policies for continuing relevance, including long-term preservation of significant unique collections and items.

For electronic resources:

- Consider the current subscription periods and renegotiation of licence agreements based on requirements of new body eg. number of staff, subject coverage, access to 'paid for' historical content, Intranet/internet security settings.

For hard copy resources:

- Negotiate and plan for physical transfer of stock including space in receiving organisation.
- Identify books, pamphlets, journals and reports to be transferred.
- Consider journal subscriptions and standing orders in the light of new organisation's requirements e.g. current subscription periods, number of staff, subject coverage.

11. Contracts

Under a typical contract there will be a mixture of responsibilities and rights that the receiving organisation needs to be aware of. Contracts can take many forms covering activities such as copyright licences and providing specified digital

continuity requirements. They can also include accommodation, office cleaning and maintenance of computer equipment. In all cases, the receiving organisation must be notified of the rights and responsibilities involved in each contract. The other contractual party should also be notified: this is often a standard clause. This is very important, especially if one of the organisations is expected to make payments to the other.

12. Shared services

MoG changes may result in transfers of functional units of any size from one organisation to another, along with its information resources and IT systems. These moves raise significant cost issues for the receiving organisation. The cost of a typical move would include:

- Physical move costs (files, library books etc).
- Cost of staff time involved in managing and implementing moves.
- Costs of sorting and separating files, books and electronic records.
- Cataloguing costs – for books and files.
- Cost of transferring electronic data. In some cases, this work has been carried out by the IT services contractor at significant cost.
- Cost of renegotiating licences for electronic resources.
- Cost of reconfiguring existing corporate IT systems to reflect the change.
- Cost of provision of interim access to information – for example, provision of laptops – during the changeover period.

An alternative model is to explore the shared services options available in all significant moves of major units. These include:

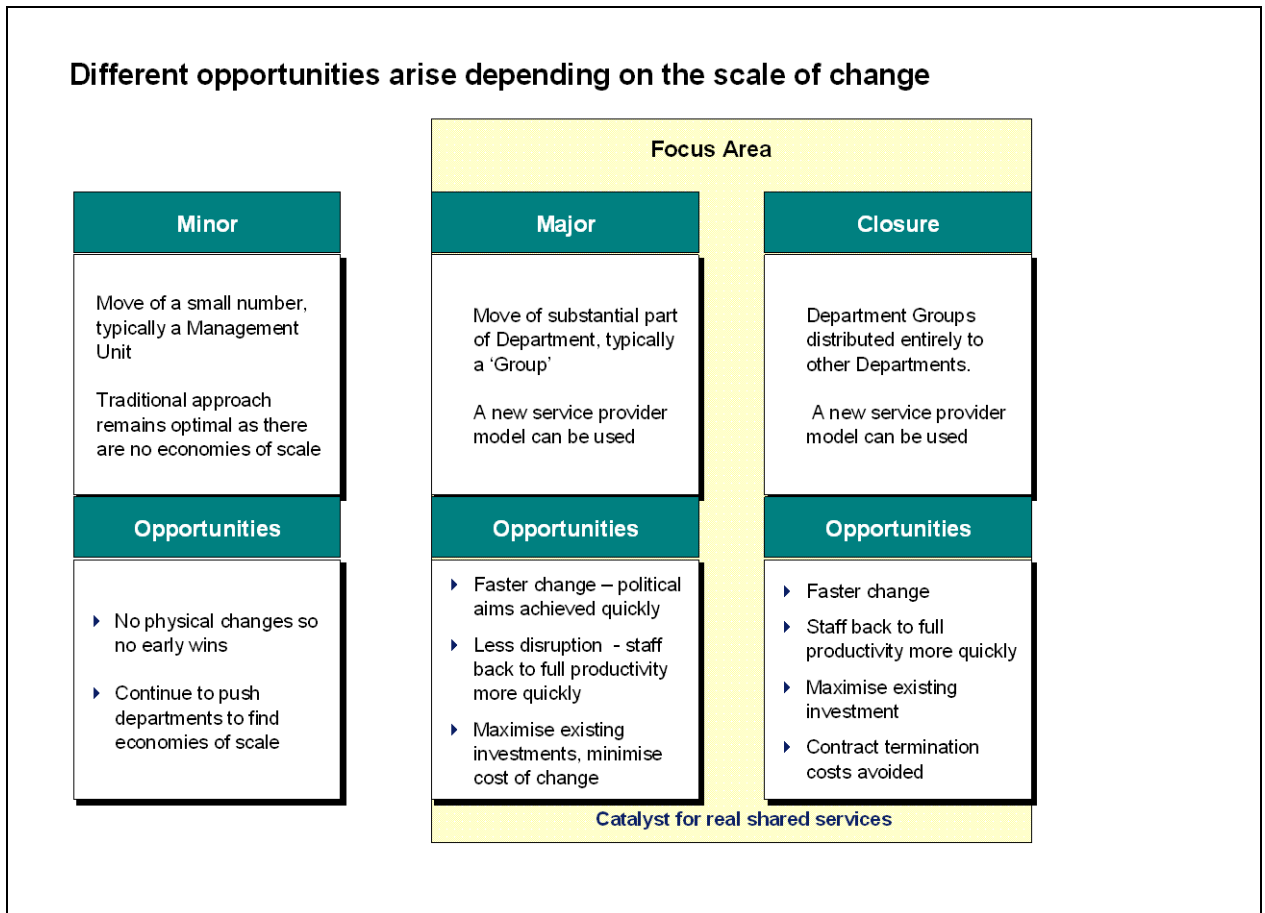
- Large units of staff remain in existing accommodation, thus eliminating the need for removal costs and consequent disruption.
- Information, including paper files, electronic records and library resources is retained and provided as a service to the new Department.
- Generic IT desktop and infrastructure services remain unchanged – provided as a service from one organisation to another. HR and Finance systems would still need to be re-configured.

Modern technologies are robust and resilient, and they may enable a new approach, the development of a shared infrastructure across organisations. The development of a shared infrastructure approach would have the following benefits:

- A faster transition to the new organisation with less change to implement.
- More resources available to be used to deliver the organisation's objectives.
- Cash savings by avoiding early contract termination charges.

There are a number of drawbacks to this approach. First, some investment will be required. There may be difficulties with existing contracts for service delivery, which may restrict the scope for sharing services. New ICT interfaces will have to be developed to link the infrastructures across organisations. There may be some legal

restrictions on data sharing. Full co-operation between organisations is essential if this is to be achieved. Agreement on common services standards is also essential if savings are to be maximised.



There are examples of shared services which have worked successfully: The National Archives can provide advice on contacts.

Before it is decided that information and records services should be transferred between organisations, the possibility of a shared service should be explored. There should be an economic analysis of the costs of transferring records, information and access to services (both hard-copy and electronic), as compared with one organisation providing a service to another. This should cover:

- Physical storage of paper records (see section 8)
- Electronic records (see section 9)
- Library services and collections, both hard-copy and electronic (see section 10)

The study should include:

- Statutory issues (does more than one piece of legislation apply to this record?)
- Legal issues (data sharing)
- Contractual issues (is a shared contract legally possible?)

- Technical issues (is a shared infrastructure or shared access to files possible?)
- Physical costs of moving files and books (including catalogue changes)
- Costs of continuing to use existing storage accommodation
- Costs of migrating electronic information
- Cost of providing a shared service
- Opportunity costs caused by delays and disruptions to services

A third option is a half-way house between an immediate transfer and a full shared service. That is to allow the change to be implemented in slow time. In practice, many areas which are transferred are quite self-sufficient and can be allowed to run on existing knowledge infrastructures for a time. In the first instance, resources should be devoted to handling the information and knowledge issues of key staff. In this scenario, full access to the new corporate infrastructure and full transfer of records and electronic information would be provided to the following areas while the rest would run on existing infrastructures until an appropriate time:

- Ministers and Private Office staff
- Senior posts
- Policy areas
- FoI, Data Protection and Parliamentary teams and Ministerial Correspondence Units.

13. Private Office and Parliamentary issues

PRIVATE OFFICES

This section assumes that records are managed in accordance with Cabinet Office guidance to Private Offices (nationalarchives.gov.uk/documents/information-management/popapersguidance2009.pdf).

Documents produced by Ministers in the course of their official ministerial responsibilities are public records and are subject to Crown copyright protection. It is important therefore that any such documents should not be retained by a Minister who is moving to the receiving Department. Private Office staff will need to arrange for the immediate handover of records and information relating to the functions being transferred to another Minister or organisation. A handover session should be arranged to brief the new Private Secretary. Care should be taken to extract any personal material relating to the Minister (such as private diary engagements or financial records, for example of mobile phone calls) before official material is transferred or destroyed.

The following steps should be taken:

Ministers' diaries and notebooks

- Official engagements relating to a transferred function should be extracted from Ministers' diaries so that details can be passed to the Minister taking over responsibility for that function.

Cabinet papers

- Cabinet documents relating to past meetings in the areas being transferred should be returned to the Cabinet Office.

Official submissions and records

- Copies of submissions relating to transferred functions can be destroyed.
- Copies of records of Ministers' meetings and telephone conversations in which policy officials have been involved can also be destroyed.
- Records of meetings and telephone calls that did not involve policy officials should be filed on a diary file or attached to the diary entry and passed to the DRO in the transferring organisation.

Personal material

- If the Minister is moving to the new Department, any purely personal material should be packed securely and sent to him/her, or if clearly ephemeral in nature, destroyed.
- Information held electronically should be deleted unless the Minister requires a copy.

PARLIAMENTARY QUESTIONS

Live PQs become the responsibility of the new Minister straight after the announcement of the MoG change, unless a later date is specified. On the assumption that staff will move with functions, answers to these PQs will be prepared by the same officers as before but sent to the Parliamentary Branch of the receiving organisation for sign-off by Ministers and forwarding to Parliament.

The following steps should be taken:

- Parliamentary Branch of the transferring Department should pass details of all live PQs to the Parliamentary Branch of the receiving Department – for each PQ the text, MP, UIN and name and contact details of the official dealing with it
- The receiving Parliamentary Branch should enter details of live PQs in its PQ system
- The transferring Parliamentary Branch should tell policy officers who is responsible for PQs in the receiving Department and where to send their answers
- Replies should be filed by the receiving Parliamentary Branch in accordance with its current practice
- The transferring Parliamentary Branch should brief the receiving Branch on past and expected future PQs and provide staff directory details so that the receiving Department can allocate new PQs
- The transferring Parliamentary Branch should give details of the transfer of functions to the Table Office in Parliament, copying the receiving Department into the notification

OTHER PARLIAMENTARY BUSINESS

The receiving Parliamentary Branch will need briefing about future Parliamentary business relating to newly acquired functions. Handover notes should include details of the following:

- Legislation going through Parliament
- Select committee and other committee inquiries
- All notified business in the House of Commons
- Relevant timetabled debates and debates scheduled but not on Order Papers
- Forthcoming Parliamentary business already announced
- Scheduled written Ministerial statements
- Other developments pending but not yet announced.

14. Freedom of Information and Environmental Information Regulations issues

For Freedom of Information (FOI) purposes, once a function has been transferred, records still held by the transferring organisation are considered to be held on behalf of the receiving organisation. Responsibility for compliance rests with the receiving organisation, which will need information about access issues surrounding series of records – what FOI exemptions have been applied and what complaints have been made to the Information Commissioner.

The position with the Environmental Information Regulations (EIR) is slightly different in that the organisation holding the records is responsible for compliance. Arrangements must be made to involve the Department with the policy lead – the receiving organisation – in any decisions to disclose or withhold information until the records have been transferred to it.

Particular issues arise in respect of records originating from third party organisations, for example international bodies, or where policy issues concern a number of Departments or agencies. The organisation handling the request will need to ensure that all necessary consultations take place in the event of an FOI or EIR request. The transferring organisation will need to share information about contacts whom they consult about these issues.

Some things will be essential whatever happens to the records:

- Responsibilities must be clearly defined so that staff in both organisations must know what action they will be expected to take in any of the circumstances set out below.
- Handover or guidance notes prepared by the transferring body should include:
 - Staff directory details indicating who is responsible for particular functions
 - Contact points for help during the transition period and, if applicable, subsequently

- An alert to when and for which records third parties might need to be consulted about disclosure decisions, with contact details
- Details of previous requests that seem relevant, of exemptions and of the records likely to contain exempt information
- Guidance on likely future request areas

FOI PUBLICATION SCHEMES

The transfer of functions may necessitate revision of the Publication Scheme of either organisation. Schemes should be reviewed and revised as necessary.

LIVE FOI REQUESTS i.e. requests received before the transfer of functions but not yet completed

Live requests become the responsibility of the receiving organisation. Some co-ordination between transferring and receiving organisations will be needed unless both have completely decentralised the handling of FOI requests. The transferring organisation should:

- Provide details of live requests, including who is handling them, to the FOI officer of the receiving organisation.

The receiving organisation should:

- Enter the case details in its FOI tracking system
- Make sure policy officers handling requests are made aware of their new organisation's guidelines, procedures and pro forma, and in particular whether draft replies must be sent to the FOI officer for clearance before despatch
- Ensure that the applicant is told why the reply is being sent from a different organisation
- If there will be a delay in completing the public interest test, ensure the applicant knows who to contact for updates.
- If Ministers' interests are engaged, follow Ministry of Justice Clearing House guidance (see www.justice.gov.uk/guidance/foi-procedural-referring.htm)

Both organisations should:

- Develop protocols to advise and exchange information and knowledge in relation to requests for a transitional period, designating staff to liaise on this.

NEW FOI REQUESTS i.e. those received after the transfer of functions

These requests are the responsibility of the receiving organisation. The FOI Officer of the receiving organisation will need details of policy staff so that requests can be allocated appropriately or advice sought on allocation. Policy staff must be made aware of the guidelines, procedures and pro forma they are expected to use.

If any records have remained with the transferring organisation, protocols will be needed to provide for:

- Advice as to the likely whereabouts of records relevant to the new FOI request

- Searches of the records for relevance to new FOI requests by staff of the transferring organisation or provision of access to them to staff of the receiving organisation

CURRENT FOI COMPLAINTS (ICO) AND APPEALS (INFORMATION TRIBUNAL)

Complaints to the Information Commissioner's Office (ICO) should be handled by the receiving organisation, even though it was not the body that handled the original request.

The transferring organisation should:

- Alert the receiving organisation to all active complaints and appeals and provide relevant paperwork
- Provide details of the original case, including copies of correspondence and of the information provided or refused
- Explain to ICO that it has transferred responsibility for the complaint because of the transfer of function
- Provide advice on request

The receiving organisation should:

- Deal with the complaint
- Consult the transferring organisation
- If Ministers' interests are involved, follow Ministry of Justice Clearing House guidance (see www.justice.gov.uk/guidance/foi-procedural-referring.htm)

With appeals to the Information Tribunal, the appeal is against ICO, not the body involved in the original requests. An organisation can apply to be joined with ICO if necessary and the receiving organisation should consider whether the issues are such that it should apply to be joined. Details of the original request and the ICO complaint will be required from the transferring organisation.

PAST FOI REQUESTS, COMPLAINTS AND APPEALS

Information about past requests, and what was and was not considered disclosable, will be needed by the receiving organisation if similar requests are likely to be received. The transferring organisation should provide details of what has been disclosed or refused previously, and what exemptions have been used.

LIVE AND NEW EIR REQUESTS

The organisation holding the records is responsible for compliance. Until the records have been transferred the transferring organisation should complete all necessary action but should consult the receiving organisation to ensure that disclosure decisions take account of its policy concerns.

While it continues to hold the records the transferring organisation should:

- Consult the receiving organisation about disclosure or non-disclosure of information
- If Ministers' interests are engaged, follow Ministry of Justice Clearing House guidance (see www.justice.gov.uk/guidance/foi-procedural-referring.htm)

The receiving organisation should:

- Provide the Department's views on disclosure or non-disclosure within statutory deadlines

If the records are transferred before action is complete, the transferring organisation should:

- Provide details of live requests to the FOI officer (or the EIR officer if different) of the receiving organisation
- Provide advice on the likely whereabouts of relevant records

The receiving organisation should:

- Enter the case details in its tracking system
- Make sure policy officers handling requests are made aware of their new organisation's guidelines, procedures and pro forma, and in particular whether draft replies must be sent to the FOI/EIR officer for clearance before despatch
- Ensure that the applicant is told why the reply is being sent from a different organisation

CURRENT EIR COMPLAINTS (ICO) AND APPEALS (INFORMATION TRIBUNAL)

Complaints and appeals should be handled by the body holding the records, even if it is not the body that handled the original request.

While it continues to hold the records the transferring organisation should:

- Consult the receiving organisation about disclosure or non-disclosure of information
- If Ministers' interests are engaged, follow Ministry of Justice Clearing House guidance (see www.justice.gov.uk/guidance/foi-procedural-referring.htm)

The receiving organisation should:

- Provide the Department's views on disclosure or non-disclosure within statutory deadlines
- If it believes significant issues are involved in an appeal to the Information Tribunal, consider applying to be joined with ICO

If the records are transferred before action is complete, the transferring organisation should:

- Inform ICO that responsibility for compliance has been transferred
- Provide details of the case to the receiving organisation

The receiving organisation should:

- Respond to ICO or the Information Tribunal as necessary
- If it believes significant issues are involved in an appeal to the Information Tribunal, consider applying to be joined with ICO

RECORDS TRANSFERRED TO AND HELD BY THE NATIONAL ARCHIVES

When a request for information relates to information in a record not yet open, FOIA s 66 and EIR Reg. 17 require consultation of the organisation about the application of exemptions. If an exemption applies and it is a qualified exemption, the organisation takes responsibility for the public interest decision. The organisation currently responsible for the function – the receiving organisation - is the 'responsible organisation' for FOI purposes and will therefore be consulted about exemptions and undertake the public interest test.

RECORDS TO BE TRANSFERRED TO THE NATIONAL ARCHIVES

When a function has been transferred but non-current records have remained with or under the control of the transferring organisation, the two organisations will need to agree which of them should review the records and prepare them for transfer. If the organisation holding the records undertakes this, the receiving organisation should be consulted about access status on transfer so that current policy interests can be considered.

15. Data Protection Act and Re-use Regulations

DATA PROTECTION

Transfer of functions may require revision of either organisation's notification of personal data to ICO so current notifications should be checked with this in mind. When a function has been transferred but the records have not, the transferring organisation becomes the data processor and the receiving organisation becomes the data controller. Data processor duties and obligations should be specified in an agreement on storage and should cover secure storage under Principle 7 etc. Protocols should cover action required of the data processor in response to subject access requests.

RE-USE OF PUBLIC SECTOR INFORMATION REGULATIONS

Licensing re-use

The Controller of Her Majesty's Stationery Office (HMSO) at The National Archives manages Crown copyright and Crown database rights. The Controller has authorised some departments to manage the licensing and re-use of Crown copyright and database right material they produce (under an official 'delegation of authority' agreement). Departments with a delegation of authority are regulated by The National Archives under the Information Fair Trader Scheme (IFTS).

A transferring department that has previously exercised a delegation of authority should review past licensing and notify The National Archives and the receiving department of any key licenses relating to material being transferred. The receiving department may require its own delegation of authority from the Controller and details of any copyright licences that have been issued in respect of material for which it has policy responsibility.

Please see relevant guidance on The National Archives website at www.nationalarchives.gov.uk/information-management/legislation/directive-and-regulations.htm

Complaints under the Re-use Regulations

The National Archives investigates complaints and appeals under the Re-use of Public Sector Information Regulations 2005. Live complaints or appeals under the RE-Use of Public Sector Information Regulations will become the responsibility of the receiving department.

The transferring organisation should:

- Alert the receiving organisation to all active complaints and appeals and provide relevant paperwork;
- If it is a complaint to The National Archives or an appeal to the Advisory Panel on Public Sector Information (APPSI), notify the applicable body of the transfer of functions and which organisation is now responsible for responding to the complaint;
- Inform the complainant or appellant.

The receiving organisation should:

- Respond to the complaint or appeal.

16. Security issues

16. Security issues

One of the priorities in any move of records and other information following a transfer of functions is information security. Security provision should be proportionate to the source, nature and contents of the information and, when classified material is involved, should conform to the HMG Security Policy Framework (SPF). Any transferring organisation that holds classified material should satisfy itself that the receiving organisation has the necessary accreditation, infrastructure, procedures and policies in place, i.e. the capacity to hold the material and the organisational culture to treat it appropriately.

The first step is to identify what classified material should be transferred to the successor body. The second step is to undertake a risk assessment to determine whether the receiving organisation meets the necessary security requirements or if existing ICT infrastructure, policies and procedures will need to be revised or upgraded. This should be done by or under the auspices of the DSOs concerned and guidance on accreditation and the implementation of information assurance (IA) and risk management should be sought from CESG, who are the UK's National Technical Authority for IA.

Only when the necessary upgrading has taken place (the third step) should the material be moved. The method of transit and the security measures employed to protect the information during the move should conform to the SPF and relevant CESG IA Standards and Good Practice Guides.

Appendix 1 References and further guidance

In addition to references given throughout the text above, see the following:

General guidance on Private Office records is at:

nationalarchives.gov.uk/documents/information-management/popapersguidance2009.pdf

Guidance on good records management practice is set out in the code of practice on records management issued under section 46 of the Freedom of Information Act 2000, which is at: www.justice.gov.uk/guidance/foi-guidance-codes-practice.htm

Management of electronic records:

nationalarchives.gov.uk/electronicrecords/advice/default.htm

nationalarchives.gov.uk/electronicrecords/advice/guidelines.htm

Retention and disposal:

nationalarchives.gov.uk/recordsmanagement/advice/schedules.htm

Appraisal and selection:

nationalarchives.gov.uk/recordsmanagement/selection/default.htm

A range of detailed guidance on copyright:

nationalarchives.gov.uk/legal/copyright.htm

Guidance on Digital Continuity:

nationalarchives.gov.uk/information-management/our-services/digital-continuity.htm

Annexes

Annex 1 Detailed Checklist

For use by both organisations: mainly designed for the joint Information Transition Team and staff closely involved in the change

Action	Done
Immediate tasks	
Obtain commitment of senior management to resourcing records and information transfer	
MoG Change Management Project Team appoint joint Information Transition Team including RM, KM and IT experts	
Ensure that Management Board is made aware of information and records management aspects of MoG change and has regard to guiding principles	
Make adequate budgetary provision for the required work	
List functions are moving	
List of staff who are moving	
List of who owns processes (HR, Finance, etc)	
Explore shared service possibilities	
Tasks to be carried out throughout the process	
Keep staff informed of changes	
Ensure that senior staff are fully briefed on the changes	
Keep top management team informed of progress	
Tasks to be carried out in the ensuing weeks/months	
Records	
Identify all records (paper and electronic) relating to the function	
Decide which records will be transferred to the receiving organisation	
Identify emails to be transferred to the receiving organisation	
Receiving organisation to ensure that staff moving are aware of their email policy and provide training in the email system if it is different from the system they were using previously	
Identify all databases relating to the function	
Identify databases that are still required to perform the function	
Determine whether any of the databases identified are worthy of permanent preservation	
Make any necessary contractual arrangements	
Gather information on FOI/data protection issues and pass to the receiving organisation	
Gather any other information relating to the databases	
Conduct formal economic appraisal of options for relocating	

paper files	
Extract relevant information from records management databases and pass to the receiving organisation	
If the above is not possible then arrange for files to be re indexed	
Gather information/knowledge relating to the records (appraisal and review info, retention/disposal information, sensitivity/FOI issues, file series information)	
Compile a list of all records to be transferred	
Receiving organisation to train new staff in records management systems and procedures	
Ensure that knowledge of records management staff (records review, sensitivity review, FOI contacts) is captured and transferred to the receiving organisation	
Make arrangements re requisitioning rights for records already transferred to The National Archives	
Transferring organisation to complete their part of the transfer agreement	
Transfer records and information to the receiving organisation	
Receiving organisation to check records received	
Receiving organisation to complete their part of the transfer agreement	
Websites	
Conduct review of websites	
Ensure that customers are redirected to the new domain	
Arrange for links on supersites (i.e. DirectGov) to be updated	
Ensure that websites accurately reflect the new responsibilities	
Contact the Web Archiving at The National Archives if you would like your site to be archived before any changes are made	
Knowledge	
Update business continuity/disaster plans and risk registers	
Identify location of informal knowledge crucial to the effective management of business	
Compose a function statement	
Produce handover notes	
Ask staff to complete transfer questionnaires	
Conduct exit interviews with staff	
Maintain knowledge networks	
Devise internal communications plan	
Ensure that corporate directories are updated	
Ensure that Intranets are updated	
Make plans for the division of library collections if necessary	
Induction and welcome for new staff	
Transferring organisation to inform users and customers of the changes and new contact details	
Contracts	
Notify receiving organisation of rights and responsibilities involved in each contract	
Notify other contractual party	
Private Office	

Extract details of official engagements relating to the transferred function and pass to Minister taking over responsibility	
Return Cabinet documents relating to past meetings in the areas being transferred to Cabinet Office	
Destroy copies of submissions relating to transferred functions	
Destroy copies of records of Ministers' meetings and telephone conversations in which policy officials have been involved	
Records of meetings and telephone calls that did not involve policy officials should be filed on a diary file or attached to the diary entry and passed to the DRO in the transferring organisation	
If the Minister is moving to the new Department purely personal material should be packed securely and sent to him/her or destroyed if clearly ephemeral	
Delete information held electronically unless the Minister requires a copy	
Parliamentary Questions	
Parliamentary Branch of transferring organisation pass details of live PQs to the Parliamentary Branch of the receiving organisation	
Parliamentary Branch of the receiving organisation enter details of live PQs into their PQ system	
Transferring Parliamentary Branch should tell policy officers who is responsible for PQs in the receiving organisation and where to send their answers	
Receiving Parliamentary Branch to file answers in accordance with current practice	
Transferring organisation to brief receiving organisation on past and expected future PQs and provide staff directory details so new PQs can be allocated	
Parliamentary Branch of transferring organisation to give details of the transfer of function to the Table Office in Parliament, copying the receiving organisation into the notification	
Brief Parliamentary Branch of receiving organisation on future Parliamentary business relating to newly acquired functions	
FOI, EIR, data protection and reuse	
Clarify responsibilities and commitments	
Transferring organisation to produce handover/guidance notes including internal and third party contacts, details of past requests, exemptions and the records likely to contain exempt information, likely future request areas	
Review and update publication scheme as necessary	
Identify and transfer live FOI/EIR requests to the receiving organisation	
Receiving organisation should enter case details into the tracking system	
Ensure that staff are aware of the receiving organisations guidelines and pro formas and whether draft reply should be sent to FOI Officer for clearance before despatch	
Ensure that applicant is told why reply is being sent from a different organisation and ensure they know who to contact if	

there will be a delay in completing the public interest test	
Both organisations to develop protocols to advise and exchange information and knowledge in relation to requests for a transitional period and designate staff to liaise on this	
Transferring organisation to alert receiving organisation to all active complaints and appeals and provide relevant case details	
Inform ICO that responsibility for the complaint has been transferred to the receiving organisation	
Receiving organisation to deal with the complaint and consult with transferring organisation	
For live and new EIR requests the transferring organisation, while it still holds the records, should handle the request in consultation with the receiving organisation	
EIR complaints and appeals should be handled by the body holding the records	
For records awaiting transfer to The National Archives, agree how and by whom, relevant exemptions should be identified before transfer	
For records already transferred to The National Archives, make arrangements regarding FOI Act s66 consultation	
Review and revise notifications of personal data to ICO as necessary	
If information has been licensed for re-use under Information Fair Trader Scheme (IFTS) or Re-use Regulations then review past licensing and notify receiving organisation	
Review Information Asset Registers and revise as necessary	
Deal with live complaints or appeals under Information Fair Trader Scheme (IFTS) or Re-use Regulations	
Security	
Identify what classified material should be transferred to the new body	
Undertake security risk assessment	
Receiving organisation to upgrade information security if necessary	
Once upgrading has taken place then transfer classified material	

Annex 2 Guidance Issued by DTI

Machinery of Government Changes (MoGs) Current Records Unit Project Manager's Checklist

	Action	Done ?
1	Make contact with...	
1.1	Group Information Manager (GIM)	
1.2	Receiving DRO and/or nominated DRO representative You may request that the DTI DRO makes initial contact with the receiving DRO and informs him/her about your role	
1.3	Responsible Information Manager (assigned by GIM)	
1.4	IWS Business Partner for transferring unit Remind GIM that export of P and G drives and Outlook folders are handled by IWS Business Partner	
1.5	Send an email to the RMS Management contact list informing them of the transfer	
1.6	These are the only people CRU should deal with directly. Other staff may be involved in the transfer but CRU's primary contact is the GIM	
2	Set up	
2.1	Create a Matrix folder for the transfer in 01.02.03.02 with the title "Machinery of government change (MOG) – transfer of unit X to organisation Y – year month"	
2.2	Send a pointer to the Matrix folder to the GIM, IM and RMS and CRU staff that this folder will be used to record details of the transfer	
2.3	<p>At the end of the MOG this folder should contain, as a minimum, the following documents</p> <ul style="list-style-type: none"> • Electronic copy of Transfer Agreement • Scanned signed version of the Transfer Agreement • Copy of instructions accompanying CDs • Confirmation of any continued access to Matrix (from RZ) • GIM confirmation of files for transfer • GIM confirmation of functions transferring • Confirmation that paper files dispatched from CFS have been received • Confirmation that CDs containing exported material have been received, • Copy of notice sent to DTI staff that file series will be transferred and should not be used • Completed copy of this checklist and/or RMS MOG Action Plan 	
2.4	Receiving DRO to provide details regarding their EDRM system or lack thereof	
2.5	Inform GIM, IM and receiving DRO about known issues with the export process. You may wish to show them an example of how the exported data might look and explain how it works	

3	Dates	
3.1	Establish official transfer date The official transfer date is the date at which staff cease to be DTI employees.	
3.2	Establish date that export of Matrix files will begin	
3.3	Remind GIM/IM that staff should not add or amend documents for export after transferring begins	
3.4	Advise GIM that folders and documents for export should be closed and finalised by an IM Agree a deadline for this to be done The decision not to do this has attendant risks that users will add to the system post-export and their changes will not be captured	
3.5	Agree a date for CRU to close all transferring series and themes	
3.6	Establish target date for completing the transfer This gives all concerned something to aim at and prevents the transfer process dragging on	
4	Staff for transfer	
4.1	GIM to confirm which functions are transferring and to where	
4.2	GIM to confirm which individual accounts are affected	
4.3	Inform GIM that staff must delete or check in all documents held in Top Drawer as export process does not cover this	
4.5	If there are any issues over staff retaining access to Matrix beyond the official date of transfer, refer these to Rosemary Zolynski (RMP)	
4.6	Remind GIM that they should complete bulk changes forms for ESC to deactivate accounts for transferring staff	
5	Paper and Electronic Matrix Files	
5.1	GIM to provide list of Matrix series and themes for transfer	
5.2	Run Matrix search for relevant file series and themes to cross check against list from GIM/IM	
5.3	Provide GIM/IM details of any further series/themes you believe should be transferred	
5.4	GIM/IM to provide details of new owners for any relevant series/themes that will not be transferred	
5.5	Draw up final list of Matrix series/themes/folders for transfer This list must be approved by the GIM who should be reminded that without this the RFQ/export process cannot begin	
5.6	Request details of electronic file volumes and document numbers from AMS	
5.7	Decide if RFQ is required for export IF <20, 000 documents CRU exports using .csv process IF >20,000 documents complete RFQ using template X IF >50 folders CRU exports using HTML (html is only suitable where data will not be uploaded to another EDRMS and should be discussed with receiving DRO first)	
5.8	Obtain list of paper files on Matrix and request a CFS check	
5.9	ISO/IM to confirm whereabouts of paper Matrix files not in CFS. If paper files are to be transferred directly from offices,	

	the GIM must provide a full list of these files	
5.1 0	Advise GIM/IM that paper files in offices should be returned to CFS where possible	
5.1 1	Note any missing paper files and instruct IM to follow the RMS procedure for missing files (D06/88478) Any missing paper files should be noted on the Transfer Agreement	
6	Pre-Matrix Paper Files	
6.1	Access the RMS File Series Information Spreadsheet (D05/1028020) and search by subject or MU for any pre-Matrix prefixes relating to the transferring function	
6.2	IM to investigate any relevant prefixes	
6.3	Request that any docket books or pre-Matrix paper files located in the MU are sent to CFS	
6.4	Draw up final list of pre-Matrix files for transfer, including any files located in the second review area of CFS	
7	Advanced First Review	
7.1	Check pre-Matrix series and old DRMS series for files nearing their First Review	
7.2	Inform Head of Record Review of series concerned and request that s/he considers arranging an advanced First Review	
7.3	Inform GIM of advanced First Review and advise that they may want to provide the reviewer with a liaison in the MU to assist them	
8	Special File Types	
8.1	Request a search of the secret file store to identify any relevant material	
8.2	Request a search of vital records store to identify any relevant material	
8.3	Provide TNT account manager with the old registry number for the unit and request any files at TNT be identified. Locating the old registry details can be difficult, old docket books may show it as may the RMS prefix folder.	
8.4	GIM to confirm any special records for transfer, in writing/email	
8.5	Receiving DRO to provide details of where such records should be sent	
8.6	Organise transfer of records from TNT and establish who will pay for cost.	
9	Dispatch of paper files	
9.1	Receiving DRO to provide details of named contact to whom files are to be sent	
9.2	Provide CFS and CFS Manager with full list of paper files for transfer (exclude any known to be in the MU)	
9.3	Establish whether receiving organisation is served by the IDS service IF YES – provide CFS with address for dispatch and request that they send Matrix and pre-Matrix paper files and docket books by IDS Paper Matrix files should be scanned out and their location	

	amended to RMS: Outward MOG transfer IF NO – refer the receiving DRO to the Storage Manager to arrange transfer	
9.4	Contact the receiving person and provide them with details of the paper files and docket books that have been sent. Request that they contact you confirming that the files have arrived	
9.5	Provide the RMS File Series Information Spreadsheet manager with a list of file series that have been transferred	
10	Accounts and Record Plan Amendments	
10.1	On agreed date, close transferring Matrix series and themes Inform RMP that this has been done and why	
10.2	On date of transfer downgrade user accounts to Inquiry Access only This may not be necessary if GIM has already requested deactivation	
10.3	Amend locations on related files not transferred , to units indicated by the GIM at 5.4	
10.4	Add a note to all exported Matrix files saying <i>“this record was transferred to Dept.X as part of the Machinery of Government change involving unit Y”</i>	
10.5	Amend current, home and owner locations of files being transferred, both paper and electronic to RMS: Outward MOG transfer	
10.6	Tidy up the Matrix Location Structure Remove any defunct units and replace them with their parent unit	
	Dispatch CDs	
	Prepare an instruction sheet for CDs The sheet should be appropriate to the download method used and should contain details of what the CDs contain and how to find material. It may also contain details of any material missing from the download such as corrupt files	
	Receiving DRO to provide details of a named person to whom the CDs will be dispatched, this will usually be the DRO themselves but may be an IT person	
	A copy of the CD(s) should be kept at CRU in the locked filing drawers	
	Dispatch the CDs in a box with 3 copies of the instruction sheet Use IDS Signature Service (red form taped on left hand side to front of parcel), the signed collection slip should be retained for records	
	Transfer Agreement	
	Prepare the transfer agreement using the template located at D06/xxxxx As a minimum the agreement should contain <ul style="list-style-type: none"> • details of file series and themes transferred • details of content of CDs and dates dispatched • details of any special file types transferred 	

	<ul style="list-style-type: none"> • details of any missing paper files • details of any corrupt or broken records that could not be exported 	
	<p>Print 2 copies of the agreement for DTI DRO to sign Dispatch both copies to the receiving DRO and request one copy be returned to DTI DRO</p>	
	<p>Send electronic copy of transfer agreement to Scott Lindsay (for prefix folder) and Mark Doxsey (for updating File Series Information Spreadsheet)</p>	
	<p>Inform all concerned that this concludes the transfer of records for this MOG</p>	

Annex 3 Transfer Agreement Template

Transfer Agreement

Transfer of

NAME OF TRANSFERRING ORGANISATION

Records And Electronic Databases to the

NAME OF RECEIVING ORGANISATION

on DATE

All records and databases detailed in the attached annexes are to be transferred from **NAME OF TRANSFERRING ORGANISATION** to the **NAME OF RECEIVING ORGANISATION** to facilitate the transfer of **NAME OF FUNCTION** to this body.

Paper records transferred: See annex A

Electronic records transferred: See annex B

Electronic databases transferred: See annex C

NAME OF TRANSFERRING ORGANISATION DRO:

I confirm that records listed in annexes A-C have been transferred to the receiving Department

Name:

Position:

Signature:

Date:

NAME OF RECEIVING ORGANISATION DRO (or equivalent):

I confirm that I have received the records listed in annexes A-C

Name:

Position:

Signature:

Date:

- Annexes:**
- A Series of paper records to be transferred
 -
 - B Electronic records to be transferred
 -
 - C Electronic databases to be transferred
 -
 - D Details of missing paper files and of any electronic records that could not be transferred
 -
 - E Procedure for completing the transfer agreement
 -

Annex A

List of paper records to be transferred

Annex B

List of electronic records to be transferred (folders or groups of records rather than individual documents)

Annex C

List of databases to be transferred

Annex D

List of missing paper files and any electronic records that could not be transferred

Annex E

Procedures for completing the transfer agreement

1. The transferring Department should complete the form and on transferring the records sign, date and send the form to the receiving Department
2. The receiving Department should carry out a check of the records it has received before finally signing and dating the transfer agreement
3. The receiving Department should keep the completed form and pass a copy to the transferring Department

The transferring organisation should also ensure that:

- information relating to the handling of records, for example, protective markings on classified material or personal data notified to the ICO

AND

- retention/disposal information, appraisal information, FOI issues, card indexes and other finding aids, 0 files, prefix bibles, information relating to databases, printed guidance or manuals relevant to the function or to databases, paper files relating to databases are also passed to the receiving organisation.

Annex 4

Welsh Assembly Government Database Survey Questions

Section 1 - Contact Details

- 1.1 Questionnaire Completed By (name)
- 1.2 Phone & extension no./ email
- 1.3 Assembly Sponsored Public Body?
- 1.4 Organisation
- 1.5 Unit / Team
- 1.6 Location (city/town, building, floor, room, work area)

Section 2 - Database / Application Description

- 2.1 Database / System / Application Name
- 2.2 What are the primary purpose(s) of this database / application?
- 2.3 Do the records contain personal information relating to living people?
- 2.4 Do the records contain information relating to property?
- 2.5 If property related information is held. Please state the principal sources used for property references.
- 2.6 Please provide further information here if necessary.
- 2.7 Do the records contain information relating to places?
- 2.8 Is any kind of positional information held in the data?
- 2.9 Please provide further information here if necessary.
- 2.10 What other sort(s) of data, is held?

Section 3 - Data Organisation

- 3.1 In which year was the oldest information added to the database?
- 3.2 If the database is closed what was the year when the last record was added?
- 3.3 What principal references / keys are used to identify data in the database / application?
- 3.4 Please describe the conventions / formats of these references.

Section 4 - Storage Details

- 4.1 What is the format of the database?
- 4.2 What is the location of the data when in active use?
- 4.3 Volume (in MB, Megabytes) of data in this location if known.
- 4.4 Please state how many years data is held in this location if known.
- 4.5 What is the location of data when inactive (if appropriate)?
- 4.6 Volume (in MB) of data in this location if known.
- 4.7 Please state how many years data is held in this location if known.
- 4.8 What is the location of data when archived (if appropriate)?
- 4.9 Volume (in MB) of data in this location if known.
- 4.10 Please state how many years data is held in this location if known.
- 4.11 Are there any security measures in place to limit access to the database / application?
- 4.12 Is the data backed up?
- 4.13 Where are the backups made?

Section 5 - Access and Retention

- 5.1 Who can have access to look at these records if needed?
- 5.2 Who can have access to update / change these records if needed?
- 5.3 How long overall (in years) do you retain this information for?
- 5.4 What is the reason for this retention (if known)?
- 5.5 Is this information subject to Data Protection legislation?
- 5.6 Is this information disclosable under the Freedom Of Information act?
- 5.7 If not disclosable, then please explain why.

Section 6 - Other Comments

- 6.1 Thank you for taking the time to complete this questionnaire. Please add any other information that you feel would be of value to this study.

Annex 5

Knowledge transfer questionnaire

What key skills do you have that enable you to do your job?

What are the key resources you need to do your job?

Is there anything that would help you function more effectively?

If your job didn't exist what would happen?

Who are your key contacts internally/externally?

Who are your customers internally/externally?

What service do you provide to them?