



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

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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 move away from traditional paper files to electronic methods of data storage has multiplied the potential for costly mistakes to be made. Case-studies carried out by The National Archives have shown that loss of vital information, fall in customer service levels, interruptions to business and waste of resources have been among the adverse consequences of failure to think ahead. Advance planning for possible Machinery of Government changes is essential not only to avoid these problems but also to identify positive opportunities for more efficient management of records and information.

This guidance aims to put Departments in a position to ask the right questions and to identify what they need to know in order to manage transfers effectively. It provides checklists for senior managers to ensure that all aspects are properly considered, as well as detailed action plans for those closely involved in the transfer.

The guidance will be published both on The National Archives' website and in hard copy with a limited print run. The web version will be regularly updated to reflect an ongoing dialogue with Departments about real-life experience of applying the guidance to Machinery of Government changes. We hope it will prove its worth, both in the immediate future and the longer term.

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## EXECUTIVE SUMMARY

This guidance has been produced by The National Archives under the auspices of the Knowledge Council, in consultation with Departments and taking into account a series of case-studies carried out by The National Archives. The findings of the case-studies are highlighted throughout the document.

All public bodies liable to be affected by a Machinery of Government (MoG) change should carry out advance planning so that transfer of records, information and knowledge can be effected smoothly and quickly. Organisations affected by a MoG change need to work together to achieve an effective transfer of paper and electronic records, as well as informally held information and knowledge. The exporting and importing 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.
- ❖ 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. Case-studies of recent MoG transfers between Government Departments indicate that a lack of preparedness on both sides of a transfer is common and has produced unforeseen difficulties in keeping the business running.

The consequences have included the loss of vital information and substantial additional costs. The case-studies found examples of staff unable to locate files and e-mails or having to use time-consuming processes to reconstruct the original systems. In one case, helpline staff were unable to provide correct information to users and customers because they had not been briefed on the changes.

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 and storing information underlines the importance of focusing appropriate resources and attention on the task. A wide range of information needs to be transferred between the exporting and importing 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 e-mail 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. on Freedom of Information.
- There must be a focus on effective communication with the end-user or customer.
- Opportunities for making savings 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 importing 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 Transition Team should be informed by the following key lessons (drawn from the case-studies collected by The National Archives):

- Senior management commitment to resourcing the transfer of records and information is a pre-requisite 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 prior to transfer.
- Organisations cannot be confident that they are complying with information legislation if they are unaware that records exist or hold records 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 should not be seen as simply an exchange of data but as a means of ensuring the continuity of business.
- Exporting organisations need to inform the importing body of any difficulties in transferring electronic data, so that effective migration tools can be identified.
- The authenticity and reference value of e-mails must be safeguarded by the use of appropriate transfer software between e-mail systems. If electronic tools such as databases need to be transferred, their export needs careful management to ensure they can be used within the importing 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 exporting 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 making savings and doing things differently, eg. sharing rather than transferring services
- 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.
- 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 importing 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
- Update staff directories
- Update business plans.

## 7. Task list for the importing organisation

This task list is intended as an aid for the Project Team in the importing 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 making savings and doing things differently, eg. sharing rather than transferring services
- Make adequate budgetary provision for the change
- Discuss with opposite numbers in exporting 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 exporting 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
- Update staff directories
- Update business plans.

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 cost 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 importing 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 importing 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.

Currently Department X provides document storage to Department Y under a service level agreement. This arrangement more than doubles the amount of storage which Department X is able to buy and makes it a much more significant player in the market.

## **OPTIONS FOR TRANSFER OF PAPER RECORDS**

There are a number of options for transferring the relevant records to the importing organisation:

### **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 importing organisations. Also, if any of the records for transfer are over 30 years old, the importing 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 importing organisation does not inherit a review backlog. It may also slightly reduce costs as fewer records will need to be handed over to the importing body.

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

The exporting and importing 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,<sup>1</sup> this could be used to inform the review. Please see:

[http://www.nationalarchives.gov.uk/documents/additional\\_procedures.pdf](http://www.nationalarchives.gov.uk/documents/additional_procedures.pdf) or the RM Forum [www.recordmanagers.gov.uk](http://www.recordmanagers.gov.uk) for further details. (The Forum is password controlled and if you do not already have a password you should contact [rmforum@nationalarchives.gov.uk](mailto:rmforum@nationalarchives.gov.uk))

## **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 importing 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 importing organisations should complete a transfer agreement. See template Transfer Agreement at Annex 3. This should include a list of all paper records transferred. The importing organisation should ensure that it has received all necessary paper records before signing the agreement.

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<sup>1</sup> 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.

During one large-scale merger it was discovered that finding aids for approximately 30,000 physical folders could not be located. In addition these files required both their first and second review. The newly formed organisation had to carry the cost of this exercise.

## 9. Transfer of electronic records and information

### IDENTIFICATION OF ELECTRONIC RECORDS FOR TRANSFER

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

- an electronic records management system (ERMS)
- shared drives
- personal drives
- e-mail systems
- CDs or other removable storage devices.

Similar decisions will need to be made about which of these should be transferred, in close consultation with the business unit. Records should be selected for transfer based on their business and 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.

Following the transfer of the operational part of a function to another body, policy staff retained copies of so many of the operational records that the overload on the ERMS led to a marked downturn in performance. Responsibilities for answering FOI enquiries were unclear because of the extent of duplication between the operational and policy arms.

### 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 links:

<http://www.nationalarchives.gov.uk/electronicrecords/advice/default.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 links 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 or 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.

The exporting organisation did not consider what format the records would be exported in. As a result all of the records were renamed with a unique identifier. Staff were provided with a csv file and a look up chart so as to be able to recreate the original structure of the records and folders. However, this made every stage in the process more time-consuming and less efficient.

Staff in another organisation faced the same problem but were not supplied with any metadata or a look-up table. They had to go through over 3000 electronic files and manually rename them. Because the folder structure had been lost, they could not recreate the original folder hierarchy or structure and now have the files in one "flat list" in a single folder. This is even more problematic because the transfer involved the joining of two separate parts of the unit, only one of which had been able to retain its original file structure from a shared drive, so the organisation cannot unify its records - which was part of the reason for the transfer.

## **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.

### **E-MAIL**

It is important not to overlook e-mail when planning for a transfer of function, particularly if e-mails 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 exporting organisation's e-mail system to the new body's system.

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

If staff are using shared e-mail folders, these should be mapped across to the importing organisation and the transferred staff given access to them.

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

A clearly structured electronic filing system will be key to effective transfer of e-mails.

### **Managing e-mail exports and imports**

It cannot be emphasised too strongly that e-mails 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. E-mails will lose their value to the importing 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 e-mail system to another without the use of intermediate software.

Care should therefore be taken to identify in advance the e-mail client software applications used by the exporting and the importing 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 e-mails 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 e-mail systems, it cannot be assumed that e-mails can simply be transferred without loss of information and functionality. The issue here is to ensure the logical integrity of e-mails following their transfer so they remain accessible in the new location. Within central government a number of e-mail 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 e-mails to be exported, in order to ensure the e-mails remain usable at the destination end in a different system.

If this is not done, there is a real danger that the copied e-mails will be sent in a format which is either wholly unusable or partially unusable. If, for example, a decision is made to send e-mails in a text format (.txt), the e-mails will be readable but any attachments will be lost. As many e-mails are used as carriers for single or multiple attachments, the adoption of such a format could result in a major information loss to the importing 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 e-mails both with and without attachments to confirm the functionality of the chosen format.

The importing body should also ensure that incoming staff are trained in the use of the new e-mail system and provided with copies of e-mail 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 e-mail can be found on The National Archives website:

[http://www.nationalarchives.gov.uk/documents/managing\\_e-mails.pdf](http://www.nationalarchives.gov.uk/documents/managing_e-mails.pdf)

Following a MoG change e-mails were renamed and exported in a format that was inaccessible outside the ERMS environment. So the e-mails could only be read as text files and all the attachments were lost.

## **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. In light of website rationalisation and convergence, the estate should be small, and will eventually only be a section of the Departmental corporate site. Regardless of its size or position in the meantime, it is important that the content sits within the context of the importing 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 exporting Department to ensure that this happens.

If content is linked to from any of the supersites – Directgov or businesslink.gov.uk – then the respective editorial teams should be informed and the necessary changes made to the links, and references to ownership of that function. The news service on Directgov is a key way for Government to inform citizens about such changes.

The web teams in both organisations will need to work together to ensure that their websites accurately reflect the new responsibilities. This will need to be done over time given the complex nature of modern websites, and appropriate resources will be required. 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 can help by archiving a copy of the website before any changes are made. If you would like your site to be archived, please contact the Digital Preservation Department at the National Archives.

## **DATABASES**

The exporting organisation should take care to identify and make a list of all databases related to the function, not forgetting databases on websites or Intranets and that databases can include Geographical Information Systems (GIS). They should be assessed to see whether they are still required to perform the function.

### **Databases that are still required to perform the function**

For databases 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.

5. Consider whether the database is worthy of permanent preservation (see below) and if it is, arrange for a snapshot of the database as it stands at the time of transfer to be archived.

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 disposal or archiving of the redundant database.

### **Databases that are no longer required to carry out the function**

Even if the database 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.

In addition:

Determine whether the database is worthy of permanent preservation, in conjunction with the DRO and The National Archives. General guidance on selecting databases is currently out to consultation. To identify databases that relate to individuals, the following form should be used:

[http://www.nationalarchives.gov.uk/contact/form/appraisal\\_form.htm](http://www.nationalarchives.gov.uk/contact/form/appraisal_form.htm)

Arrange for transfer of the database and accompanying information.

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

### **Records management databases**

Many organisations use electronic systems to manage their paper records. Ideally, information on the records to be transferred should be extracted from the system and passed to the importing organisation. If this is not possible, the records may need to be re-indexed by either internal staff or an outside contractor. Employing an outside contractor to re-index a large number of files can be expensive, as the cost is generally between £1.50 - £3.00 per file (the price will usually be calculated on the number of keystrokes and fields used). If an outside contractor is used, it is extremely important to specify exactly how the files should be indexed to ensure that records can be located in the future.

Following a transfer of functions between Departments, poorly indexed paper files from 3 locations were re-located and re-indexed by the importing Department - a major exercise taking 6-9 months at a cost of around £200,000. Some files went missing at this time because staff from the exporting Department continued returning files to the old registry rather than the new one.

## **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 exporting organisation should generate export reports from the database and provide them to the importing organisation with the exported electronic records. These reports should also indicate where errors may have occurred, thus enabling the exporting organisation to take remedial action.

The importing 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 exporting 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 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, helplines 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 importing organisation's business continuity and disaster plans and removed from the exporting organisation's plans.

## **THE EXPORTING ORGANISATION**

A major change of function will have a significant impact on the exporting 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 exporting 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 TNA. 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 e-mails and continual maintenance and development of content. It may be necessary to give transferring staff access to both the exporting and importing organisations' Intranets.

## THE IMPORTING ORGANISATION

The importing 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 e-mail 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 helplines

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 importing services need to be identified in advance.

Following a merger of two organisations, enquiry staff came to work on Monday morning to find a new sign with an unfamiliar acronym outside their building. They had not received any information or training about the new body and had to man the helpline without knowing even the name of the new organisation, where their contacts had gone or how responsibilities had changed. They also experienced further problems in merging their practice of answering all enquiries promptly with the other organisation's reliance on Voice-mail as a filter.

## **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 importing organisation.

- Identify books, pamphlets, journals and reports to be transferred.
- Consider journal subscriptions and standing orders in the light of new organisation's requirements eg. 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 importing organisation needs to be aware of. Contracts can take many forms covering activities such as copyright licences and publishing agreements as well as accommodation, office cleaning and maintenance of computer equipment. In all cases, the importing 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 importing 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 recent 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.

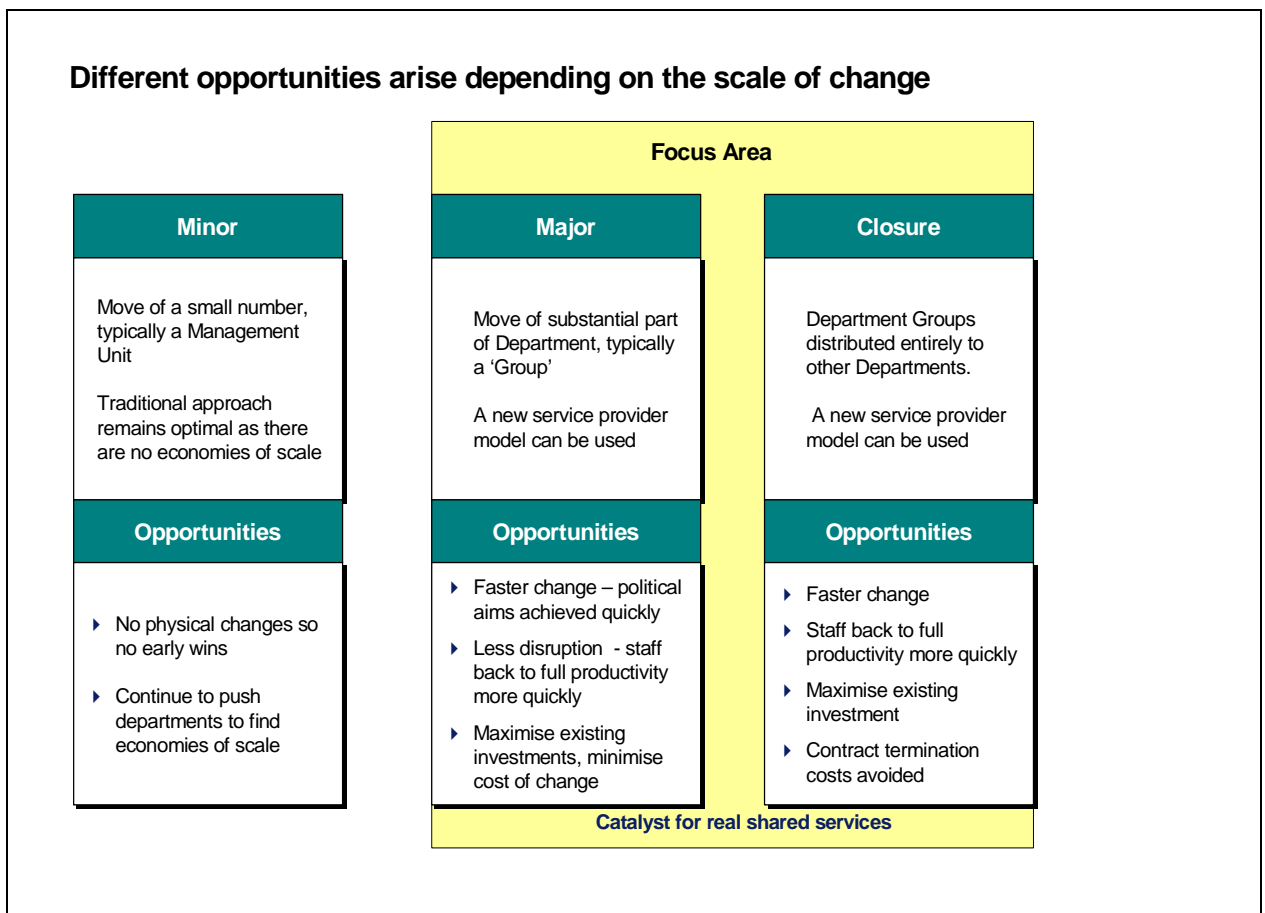
An alternative model is to explore the shared services options available in all significant moves of major units. These include:

- 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<sup>2</sup> ([http://www.Cabinetoffice.gov.uk/publicationscheme/documents/word/private\\_office\\_guidance.doc](http://www.Cabinetoffice.gov.uk/publicationscheme/documents/word/private_office_guidance.doc) ).

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

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<sup>2</sup> This guidance is currently being revised.

who is moving to the importing 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 exporting 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 importing organisation for sign-off by Ministers and forwarding to Parliament.

The following steps should be taken:

- Parliamentary Branch of the exporting Department should pass details of all live PQs to the Parliamentary Branch of the importing Department – for each PQ the text, MP, UIN and name and contact details of the official dealing with it
- The importing Parliamentary Branch should enter details of live PQs in its PQ system

- The exporting Parliamentary Branch should tell policy officers who is responsible for PQs in the importing Department and where to send their answers
- Replies should be filed by the importing Parliamentary Branch in accordance with its current practice
- The exporting Parliamentary Branch should brief the importing Branch on past and expected future PQs and provide staff directory details so that the importing Department can allocate new PQs
- The exporting Parliamentary Branch should give details of the transfer of functions to the Table Office in Parliament, copying the importing Department into the notification.

## **OTHER PARLIAMENTARY BUSINESS**

The importing 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 exporting organisation are considered to be held on behalf of the importing organisation. Responsibility for compliance rests with the importing 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 importing 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 exporting 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 exporting 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 ie. requests received before the transfer of functions but not yet completed**

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

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

The importing 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 DCA Clearing House guidance (see <http://www.FOI.gov.uk/practitioner/clearinghouse.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 ie. those received after the transfer of functions**

These requests are the responsibility of the importing organisation. The FOI Officer of the importing 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 exporting 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 exporting organisation or provision of access to them to staff of the importing organisation.

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

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

The exporting organisation should:

- alert the importing 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 importing organisation should:

- deal with the complaint
- consult the exporting organisation
- if Ministers' interests are involved, follow Ministry of Justice Clearing House guidance (see <http://www.FOI.gov.uk/practitioner/clearinghouse.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 importing 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 exporting organisation.

## **PAST FOI REQUESTS, COMPLAINTS AND APPEALS**

Information about past requests, and what was and was not considered disclosable, will be needed by the importing organisation if similar requests are likely to be received. The exporting 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 exporting organisation should complete all necessary action but should consult the importing organisation to ensure that disclosure decisions take account of its policy concerns.

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

- consult the importing organisation about disclosure or non-disclosure of information
- If Ministers' interests are engaged, follow Ministry of Justice Clearing House guidance (see <http://www.FOI.gov.uk/practitioner/clearinghouse.htm>).

The importing 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 exporting organisation should:

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

The importing 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 exporting organisation should:

- Consult the importing organisation about disclosure or non-disclosure of information
- If Ministers' interests are engaged, follow Ministry of Justice Clearing House guidance (see <http://www.FOI.gov.uk/practitioner/clearinghouse.htm>).

The importing 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 exporting organisation should:

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

The importing 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 importing 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 exporting 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 importing 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 exporting organisation becomes the data processor and the importing 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 importing organisation will need to know whether information being acquired has already been licensed for re-use under the Re-use Regulations or the Information Fair Trader Scheme. Licensing is managed by the Office of Public Sector Information/Her Majesty's Stationery Office (OPSI), but the exporting organisation itself may have been able to license re-use of the material it produces under delegation of authority from the Controller of HMSO. The exporting organisation should review past licensing and notify the importing organisation of any licences relating to information being transferred. It should also notify the Office

of Public Sector Information<sup>3</sup> so that the delegation of authority can be amended or cancelled. OPSI will also be able to advise on the status of the licences. Please see the OPSI website at <http://www.opsi.gov.uk/advice/psi-regulations/index.htm> for its guidance.

### **INFORMATION ASSET REGISTERS**

The transfer of functions may require revision of the Information Asset Register of either body. They should be reviewed and revised as necessary.

### **COMPLAINTS UNDER THE PSI REGULATIONS**

Live complaints or appeals under the Re-use Regulations or the Information Fair Trader Scheme will become the responsibility of the importing organisation even though it was not the body that handled the original request.

The exporting organisation should:

- alert the importing organisation to all active complaints and appeals and provide relevant paperwork.
- if it is a complaint to the Office of Public Sector Information 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 importing organisation should:

- respond to the complaint or appeal.

## **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 Protective Security Manual. Any exporting organisation that holds classified material should satisfy itself that the importing organisation has the necessary infrastructure, procedures and policies in place, ie. 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 security risk assessment to determine whether information security in the importing organisation needs upgrading - upgrading of the existing IT infrastructure, provision of secure storage or revision of procedures, for example. This should be done by or under the auspices of the DSOs concerned.

Only when the necessary upgrading has taken place (the third step) should the material be moved. All handling during the move should conform to the Protective Security Manual and best risk management practice.

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<sup>3</sup> OPSI's postal address is: Office of Public Sector Information, St Clements House, 2-16 Colegate, Norwich NR3 1BQ.

# Appendices

## Appendix 1 Future work

The following major areas of future work are planned or already in hand:

- Review of Private Office Records Guidance: **Cabinet Office and Knowledge Council**
- Review of guidance on capturing web information: **Knowledge Council**
- Development of the Integrated Public Sector Vocabulary (IPSV): **Cabinet Office**
- Review of code of practice issued under s 46 of the Freedom of Information Act, 2000: **The National Archives**
- Further development of Schema for ERMS (e-GMS ERM Schema (v.3)): **The National Archives**
- Guidance on a MoG transfer of functions which results in the move of public records to a non-public record body: **The National Archives**.

The Knowledge Council, established in February 2007, will have four broad strands of work:

- To ensure that vital government information is appropriately captured, described, managed and preserved.
- To ensure that this information, once captured, can be used to support effective data and information sharing across government as well as knowledge creation for policy, and is also valued as an asset and reused effectively.
- To nurture a cross-government culture which recognises the value of Information and Knowledge Management.
- To support this through the creation of a strong professional capability in Information and Knowledge Management across government.

## **Appendix 2      References and further guidance**

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

General guidance on Private Office records is at:

<http://www.nationalarchives.gov.uk/documents/popapersguidance-full.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: <http://www.FOI.gov.uk/reference/statCodesOfPractice.htm>

Management of electronic records:

<http://www.nationalarchives.gov.uk/electronicrecords/advice/default.htm>

<http://www.nationalarchives.gov.uk/electronicrecords/advice/guidelines.htm>

Retention and disposal:

<http://www.nationalarchives.gov.uk/recordsmanagement/advice/schedules.htm>

Appraisal and selection:

<http://www.nationalarchives.gov.uk/recordsmanagement/selection/default.htm>

A range of detailed guidance on copyright:

<http://www.opsi.gov.uk/advice/crown-copyright/copyright-guidance/index.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
<b>Immediate tasks</b>	
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	
<b>Tasks to be carried out throughout the process</b>	
Keep staff informed of changes	
Ensure that senior staff are fully briefed on the changes	
Keep top management team informed of progress	
<b>Tasks to be carried out in the ensuing weeks/months</b>	
<b>Records</b>	
Identify all records (paper and electronic) relating to the function	
Decide which records will be transferred to the importing organisation	
Identify e-mails to be transferred to the importing organisation	
Importing organisation to ensure that staff moving are aware of their e-mail policy and provide training in the e-mail 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 importing 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 importing 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	
Importing 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 importing organisation	
Make arrangements re requisitioning rights for records already transferred to TNA	
Exporting organisation to complete their part of the transfer agreement	
Transfer records and information to the importing organisation	
Importing organisation to check records received	
Importing organisation to complete their part of the transfer agreement	
<b>Websites</b>	
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 Digital Preservation Department at National Archives if you would like your site to be archived before any changes are made	
<b>Knowledge</b>	
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	
<b>Exporting organisation to inform users and customers of the changes and new contact details</b>	
<b>Contracts</b>	
Notify importing organisation of rights and responsibilities involved in each contract	
Notify other contractual party	
<b>Private Office</b>	

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 exporting 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	
<b>Parliamentary Questions</b>	
Parliamentary Branch of exporting organisation pass details of live PQs to the Parliamentary Branch of the importing organisation	
Parliamentary Branch of the importing organisation enter details of live PQs into their PQ system	
Exporting Parliamentary Branch should tell policy officers who is responsible for PQs in the importing organisation and where to send their answers	
Importing Parliamentary Branch to file answers in accordance with current practice	
Exporting organisation to brief importing organisation on past and expected future PQs and provide staff directory details so new PQs can be allocated	
Parliamentary Branch of exporting organisation to give details of the transfer of function to the Table Office in Parliament, copying the importing organisation into the notification	
Brief Parliamentary Branch of importing organisation on future Parliamentary business relating to newly acquired functions	
<b>FOI, EIR, data protection and reuse</b>	
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	
Importing organisation should enter case details into the tracking system	
Ensure that staff are aware of the importing 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	
Exporting organisation to alert importing organisation to all active complaints and appeals and provide relevant case details	
Inform ICO that responsibility for the complaint has been transferred to the importing organisation	
Importing organisation to deal with the complaint and consult with exporting organisation	
For live and new EIR requests the exporting organisation, while it still holds the records, should handle the request in consultation with the importing organisation	
EIR complaints and appeals should be handled by the body holding the records	
For records awaiting transfer to TNA, agree how and by whom, relevant exemptions should be identified before transfer	
For records already transferred to TNA, 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 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 IFTS or Re-use Regulations	
<b>Security</b>	
Identify what classified material should be transferred to the new body	
Undertake security risk assessment	
Importing 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 ?
<b>1</b>	<b>Make contact with...</b>	
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 e-mail 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	
<b>2</b>	<b>Set up</b>	
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><b>At the end of the MOG this folder should contain, as a minimum, the following documents</b></p> <ul style="list-style-type: none"> <li>• Electronic copy of Transfer Agreement</li> <li>• Scanned signed version of the Transfer Agreement</li> <li>• Copy of instructions accompanying CDs</li> <li>• Confirmation of any continued access to Matrix (from RZ)</li> <li>• GIM confirmation of files for transfer</li> <li>• GIM confirmation of functions transferring</li> <li>• Confirmation that paper files dispatched from CFS have been received</li> <li>• Confirmation that CDs containing exported material have been received,</li> <li>• Copy of notice sent to DTI staff that file series will be transferred and should not be used</li> <li>• Completed copy of this checklist and/or RMS MOG Action Plan</li> </ul>	
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.	

<b>3</b>	<b>Dates</b>	
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 exporting begins	
3.4	Advise GIM that folders and documents for export should be closed and finalised by an IM <b>Agree a deadline for this to be done</b> 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	
<b>4</b>	<b>Staff for transfer</b>	
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	
<b>5</b>	<b>Paper and Electronic Matrix Files</b>	
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 <u>will not</u> 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	
<b>5.1 0</b>	Advise GIM/IM that paper files in offices should be returned to CFS where possible	
<b>5.1 1</b>	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	
<b>6</b>	<b>Pre-Matrix Paper Files</b>	
<b>6.1</b>	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	
<b>6.2</b>	IM to investigate any relevant prefixes	
<b>6.3</b>	Request that any docket books or pre-Matrix paper files located in the MU are sent to CFS	
<b>6.4</b>	Draw up final list of pre-Matrix files for transfer, including any files located in the second review area of CFS	
<b>7</b>	<b>Advanced First Review</b>	
<b>7.1</b>	Check pre-Matrix series and old DRMS series for files nearing their First Review	
<b>7.2</b>	Inform Head of Record Review of series concerned and request that s/he considers arranging an advanced First Review	
<b>7.3</b>	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	
<b>8</b>	<b>Special File Types</b>	
<b>8.1</b>	Request a search of the secret file store to identify any relevant material	
<b>8.2</b>	Request a search of vital records store to identify any relevant material	
<b>8.3</b>	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.	
<b>8.4</b>	GIM to confirm any special records for transfer, in writing/e-mail	
<b>8.5</b>	Receiving DRO to provide details of where such records should be sent	
<b>8.6</b>	Organise transfer of records from TNT and establish who will pay for cost.	
<b>9</b>	<b>Dispatch of paper files</b>	
<b>9.1</b>	Receiving DRO to provide details of named contact to whom files are to be sent	
<b>9.2</b>	Provide CFS and CFS Manager with full list of paper files for transfer (exclude any known to be in the MU)	
<b>9.3</b>	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 (currently Cajie Furtado) with a list of file series that have been transferred.	
<b>10</b>	<b>Accounts and Record Plan Amendments</b>	
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 <u>not transferred</u> , 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	
	<b>Dispatch CDs</b>	
	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	
	<b>Transfer Agreement</b>	
	Prepare the transfer agreement using the template located at D06/xxxxx As a minimum the agreement should contain <ul style="list-style-type: none"> <li>• details of file series and themes transferred</li> <li>• details of content of CDs and dates dispatched</li> <li>• details of any special file types transferred</li> </ul>	

	<ul style="list-style-type: none"> <li>• details of any missing paper files</li> <li>• details of any corrupt or broken records that could not be exported</li> </ul>	
	<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

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#### Transfer of

NAME OF EXPORTING ORGANISATION

#### Records And Electronic Databases to the

NAME OF IMPORTING ORGANISATION

#### on DATE

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All records and databases detailed in the attached annexes are to be transferred from **NAME OF EXPORTING ORGANISATION** to the **NAME OF IMPORTING 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 EXPORTING ORGANISATION DRO:

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

**Name:**

**Position:**

**Signature:**

**Date:**

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#### NAME OF IMPORTING ORGANISATION DRO (or equivalent):

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

**Name:**

**Position:**

**Signature:**

**Date:**

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- 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 exporting 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 importing organisation.

## **Annex 4**

### **Welsh Assembly Government Database Survey Questions**

#### **Section 1 - Contact Details**

- 1.1 Questionnaire Completed By (name)
- 1.2 Phone & extension no./ e-mail
- 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?