RMU Information Sheet 5

<table>
<thead>
<tr>
<th>Subject</th>
<th>Unscheduled Records</th>
</tr>
</thead>
<tbody>
<tr>
<td>TRIM Reference</td>
<td>INT10/6596[V2]</td>
</tr>
<tr>
<td>Commencement Date</td>
<td>1 November 2010</td>
</tr>
<tr>
<td>Last Modified</td>
<td>28 September 2015</td>
</tr>
</tbody>
</table>

Under the [Archives Act 1983](https://www.utas.edu.au/it/records), the University may not dispose of records without the written approval of the State Archivist. Records that fall within a disposal class listed in an approved [disposal schedule](https://www.utas.edu.au/it/records) can meet this requirement by following the associated disposal action, but not all records will be covered by a disposal schedule. Records that do not fit into any of the disposal classes listed in the schedules applicable to the University are known as unscheduled records.

Please resist the temptation to try and ‘squeeze’ records into a disposal class that would require a strained reading of the class description, and remember that you cannot use a function or activity if none of the disposal classes listed for that heading is applicable. If you are unsure whether a record belongs under a disposal class, it probably doesn’t.

Double-check the function and activity descriptions for alternative options, check the classes listed for the same activity under a different function, and try searching the index or searching the PDF for keywords (Ctrl-F). The Records Management Unit will also be happy to provide you with advice and suggestions. If you still can’t find a suitable disposal class, then the record must be treated as an unscheduled record and disposed of via an [Application to Dispose of State Records](https://www.utas.edu.au/it/records).

Completing an Application to Dispose of State Records

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

**Instructions**

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

**Hints**

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

**Access Guidelines**

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

The cover sheet has a number of fields that need to be completed, including contact details and an overall description of the records that are the subject of the application. You will need to have the head of the business unit/school complete the Certificate of Agency Representative section and email the application to the Tasmanian Archive & Heritage Office (TAHO) at TAHOCollections@education.tas.gov.au in Excel format. Note that the form must be emailed from the certifying officer’s email account in order to establish the authenticity of the request.

Consignment Item List

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

The specific groupings are left to the business unit responsible for the records, as they are usually better placed to determine a logical arrangement for those records than the Records Management Unit. However, groupings should not be overly broad (e.g. a single entry described only as “general correspondence 2000-2010” is too broad), and the descriptions used should be meaningful and detailed enough for the Tasmanian Archive and Heritage Office to assess the value of the records and for future researchers to be able to easily locate records. Records should generally be grouped by year, and should ideally be arranged in groupings that resemble the kind of arrangement used in disposal classes.

Each group of unscheduled records must be appraised to determine their long term value, and how long they need to be kept to meet business needs, accountability requirements and community expectations. This includes assessing whether the records possess sufficient potential research value to warrant transfer to the TAHO as permanent records. Document your appraisal decisions and the rationale behind them for inclusion in the submission. For more information, see TAHO Advice 2: All about Appraisal.

Each group of records should be listed on a separate row in a logical and identifiable sequence (e.g. chronological, alphabetical etc.), using the arrangement they were originally kept in at the business unit if known. Do not leave any empty rows between entries. Enter or select the appropriate data for each field/column, referring to the field definitions given in the Instructions worksheet for guidance.

Category E Access Notification

This section is only used if you wish to transfer records to the TAHO for permanent retention and wish to restrict access to the records to specific positions or groups within the University. If you wish to destroy the unscheduled records, you may leave this sheet blank.

If you believe the records have permanent value and wish to transfer the records to the State Archives with less stringent restrictions, this is indicated by selecting the appropriate access category on the consignment list: you should leave this sheet blank. Note that you can request access be restricted to University employees without completing this sheet.

If you believe that the records have permanent value and that access should be restricted even within the University, list the positions and/or groups you wish to restrict access to here, along with a description of their functional responsibilities (to allow for future restructuring). Please contact the Records Management Unit to discuss the request, as we will need to explain the rationale behind the request when submitting the application. See the Access Guidelines worksheet and TAHO Guideline 4: Agency Determination of Access Restrictions for details of some of the issues to consider.
Destroying unscheduled records

If you wish to destroy any or all of the records listed in the Application to Dispose of State Records, you will need to complete the TAHO's Destruction Authority checklist and submit it along with the Application. If approved, the TAHO will issue you with a Destruction Authority for the records - you must not destroy the records until you have received this. Records should be destroyed using a secure and confidential process appropriate to the record format. You do not need to list records authorised for destruction under a Destruction Authority in a Register of Records Destroyed.

Further information

For more information, please visit our website at http://www.utas.edu.au/it(records). If you need help, please contact the Records Management Unit at RMU.Staff@utas.edu.au.

Related documents

- Application to Dispose of State Records form (TAHO)
- Destruction Authority checklist for unscheduled records (TAHO)
- TAHO Guideline 2: Retention and Disposal of State Records (TAHO)
- TAHO Guideline 4: Agency Determination of Access Restrictions (TAHO)
- TAHO Advice 2: All about Appraisal (TAHO)
- Recordkeeping Advice 10: Disposal of Unscheduled Records (TAHO)
- RMU Information Sheet 4: Disposal Schedules (UTAS)