

PHYSICAL RECORDS TRANSFER AND RETRIEVAL PROCEDURE

This procedure is governed by its parent policy. Questions regarding this procedure are to be directed to the identified Procedure Administrator.

Functional Category:	Operations
Parent Policy:	Records and Information Management Policy
Approval Date:	May 31, 2021
Effective Date:	May 31, 2021
Procedure Owner:	Vice President, People and Culture
Procedure Administrator:	Manager, Compliance

Overview:

The purpose of this procedure is to provide information for the NorQuest College (college) staff assigned with responsibility for managing official records, transferring official records to the Records Centre, and retrieving records from the Records Centre. It provides instructions for preparing official records for transfer to the Records Centre for semi-active storage and final disposition.

Authority to establish this procedure is derived from the [NorQuest College Board of Governors Policy No. 5](#), which delegates authority to the President and CEO to establish policies and procedures for the college's management and operation.

Procedures:

General Conditions

- All official records in the custody and control of the college shall be managed in accordance with the Records and Information Management Policy and the Records Retention and Disposition Schedule (Retention Schedule).
- Physical official records must be transferred and recalled according to this procedure.
- Executive or Divisional Head approval is required to transfer physical official records to Records Centre. Divisional Heads will sign off on records created by a department or a division. Executive Heads will sign off on official records created at the portfolio level. If necessary, Executive Heads may sign off on department or divisional official records, in lieu of a Divisional Head.
 - Approval is to be based on the approved Records Retention and Disposition Schedule as well as consideration for legal purposes, audit purposes, investigations, student appeals, active requests for access to information or other matters that may necessitate the retention of official records to deal with issues affecting the college.
 - Official records will not be destroyed without written authorization.

Box Transfer to the Records Centre

There may be several reasons why a department would want to send their paper official records, which have not met their destruction date, to the Records Centre. These include:

- the official records are only referred to on an infrequent basis (e.g. seasonally, annually)
- official records should be at least one year old at the time of transfer
- the official records will not be retrieved often
- the official records cannot be destroyed yet as they provide valuable evidence for an important business activity
- the official records are generally needed to be retained for longer than two (2) or three (3) years (see Records Retention and Disposition Schedule)
- the department or division no longer has room to store the official records

Step 1 – Preparation

Contact Compliance to ask for a current copy of the Retention Schedule, the Records Inventory, and boxes to pack up the material.

Step 2 – Retention Schedule Review

Determine whether or not there is an approved Retention Schedule that covers the official records being transferred. Consult the Retention and Disposition Schedule. Records will not be transferred without an approved Retention Schedule.

Step 3 – Records and Box Preparation

Gather official records, files, and boxes.

- Place official records in files. Name files appropriately.
- Order files according to alphabetical listing, date, or subject.
- Place files in boxes. Using the Retention Schedule, group official records from the same record series.
- All material should be boxed according to: destruction, archival selection, or permanent record status.
- Remove and destroy transitory records. Transitory records do not need to be inventoried and formally managed.
- Remove official records and files from binders, binding cases, or hanging file folders.
- Elastics or colored paper can be used to subdivide each file, and separate contents if necessary.
- Do not write on the box.
- Ensure boxes are as full as possible. Only full boxes will be transferred to the Records Centre. Boxes that are not full will need to accumulate official records until full.

Step 4 – Records Inventory Creation

Create a Records Inventory.

- Unless otherwise indicated, all fields are required.
- List each description in its designated area.
- Add all files to the Inventory in the same order as they are in the boxes.
- File titles listed on the Inventory should identically match the titles on the physical files.

- Enter dates as MM/DD/YYYY
- Use the Retention Schedule to determine the:
 - Series code (ex. SA0001)
 - Final status or disposition (Destroy, Archival Selection, Permanent)
 - Eligible disposal date

After filing and inventorying, ensure that all titles, descriptions, and codes are accurate.

Step 5 – Records Inventory Review and Authorization Request

Contact Compliance to review and approve the populated Records Inventory.

Contact Compliance with the following information:

- Date of the request
- The room and area the boxes are located in
- The number of boxes for pick up and the number of bar codes required
- The populated Records Inventory

Upon approval, Compliance will provide a Unique Bar Code for each box.

Step 6 – Authorization to Transfer

Seek approval on Records Inventory from an Executive Head or Divisional Head. The Executive Head or Divisional Head will review and sign.

Step 7 – Transfer of Material

Contact Compliance who will arrange for a pickup of material. Compliance will upload box data into the NorQuest Semi-active and Inactive Box Tracking Database.

Box Retrieval from the Records Centre

Step 1 – Complete the Records Storage Request Form

Provide Compliance with the following information on the form and include:

- Date of the request
- Your contact information
- The room the boxes need to be delivered to
- The number of boxes for pick up and their barcode numbers
- Note that the boxes are a retrieval
- Include Box Retention Code, Box Start Date, and Box End Date

Step 2 – Email the form to Compliance

Step 3 – Review records

Review official records and keep accompanying Records Inventory with the boxed material.

	<p><u>Box Return to the Records Centre</u></p> <p>After a box retrieval, official records should be returned as soon as possible. Do not file retrieved official records with active official records in the office or return them as part of a new transfer of official records.</p> <ul style="list-style-type: none"> • Contact Compliance and request a pick-up • Have the boxes with your copy of the Records Storage Request Form ready for pick up
Definitions:	<p>Division Head: means anyone who manages a division or multiple divisions. Division Head is responsible for a division(s) reporting directly to an executive and normally includes Deans and Directors but may also include an executive or senior manager.</p> <p>Executive Head: means anyone who manages a division(s) and is a member of the Executive Team.</p> <p>File: A group of records related by use or topic, typically housed in a folder (or a group of folders for a large file).</p> <p>Official Record: a complete, final, and authorized version of a record. Provides evidence of business transactions, is required by legislation, provides evidence of compliance with business requirements, and contributes to the building of NorQuest College’s memory for scientific, cultural, or historical purposes.</p> <p>Transitory Record: are records in any format that are of short-term value, with no further uses beyond their primary purpose.</p>
Related NorQuest College Information:	<ul style="list-style-type: none"> • Box Identification Label (available from Compliance) • NorQuest College Retention and Disposition Schedule • Records Storage Request Form • Records Destruction Certificate (available from Compliance) • Records and Information Management Policy • Records and Information Management Toolkit • Records Inventory and Records Inventory Guidelines
Related External Information:	<ul style="list-style-type: none"> • Freedom of Information and Protection of Privacy Act
Next Review Date:	May 2025
Revision History:	<p>April 2017: new</p> <p>December 2017: Updates to box preparation and inventory creation sections</p> <p>August 2019: Compliance Office template & reorganization update</p> <p>May 2021: update because NorQuest no longer uses offsite storage, and to distinguish between official and transitory records</p>