

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 Management Policy
Approval Date:	December 5, 2017
Effective Date:	December 5, 2017
Procedure Owner:	Vice President, People
Procedure Administrator:	Manager, Compliance

Overview:

The purpose of this procedure is to provide information for the NorQuest College (college) staff assigned with responsibility for transferring official records to offsite storage and retrieving records from offsite storage. It provides instructions for preparing records for transfer offsite 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 records in the custody and control of the college shall be managed in accordance with the Records Management Policy and Retention and Disposition Schedule.
- Physical records must be transferred and recalled according to this procedure.
- Executive or Divisional Head approval is required to transfer physical records to offsite storage. Divisional Heads will sign off on records created by a department or a division. Executive Heads will sign off on records created at the portfolio level. If necessary, Executive Heads may sign off on department or divisional 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 records to deal with issues affecting the college.
 - Official records will not be destroyed without written authorization.

Box Transfer to Offsite Storage

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

- the records are only referred to on an infrequent basis (e.g. seasonally, annually)
- records should be at least one year old at the time of transfer
- the records will not be retrieved often (There is a fee for Offsite Retrievals)
- the records cannot be destroyed yet as they provide valuable evidence for an important business activity

- the 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 records

A department or division should always evaluate their situation before sending records offsite as there is a monthly cost associated for this service.

Step 1 – Preparation

Contact Records Management to ask for a current copy of the NorQuest 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 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 records, files, and boxes.

- Place records in files. Name files appropriately.
- Order files according to alphabetical listing, date, or subject.
- Place files in boxes. Using the Retention Schedule, group records from the same retention schedule and 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 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 offsite as there is a monthly cost associated with storage. Boxes that are not full will need to accumulate 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 Records Management to review and approve the populated Records Inventory.

Contact Records Management with the following information on the Offsite Storage Request form:

- Date of the request
- Your contact information
- The room and area the boxes are located in
- The number of boxes for pick up and the number of bar codes required
- Note that the boxes are a new accession
- Include Box Retention Code, Box Start Date, and Box End Date

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

- When you have entered the information about your records into the Records Inventory, print off the form and put it into the 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 Records Management, who will arrange for a pickup of material. Send completed and signed Records Inventories and Offsite Storage Request form to records management via email. Retain the copy of the records for reference and security purposes. Records Management will upload box data into the NorQuest Semi-active and Inactive Box Tracking Database. Records Management will provide written confirmation of the transfer, and will provide a scheduled retention date.

Box Retrieval from Offsite Storage

Step 1 – Complete the Offsite Storage Request Form

Provide Records Management 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 Records Management

Step 3 – Review records

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

Definitions:
Related NorQuest College Information:
Related External Information:
Next Review Date:
Revision History:

Box Return to Offsite Storage

After a box retrieval, records should be returned as soon as possible. Do not file retrieved records with active records in the office or return them as part of a new transfer of records.

- Contact Records Management and request a pick-up
- Ensure Records Inventory are inside each related box
- Have the boxes with your copy of the Offsite Storage Request Form ready for pick up

File: a group of records related by use or topic, typically housed in a folder (or a group of folders for a large file)

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’s memory for scientific, cultural, or historical purposes.

Transitory Record: are records in any format that are of short-term value, with no further uses beyond their primary purpose.

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.

Executive Head: means anyone who manages a division(s) and is a member of the Executive Committee.

- Box Identification Label (please contact Compliance for details)
- [NorQuest College Retention and Disposition Schedule](#)
- [Offsite Storage Request Form](#)
- Records Destruction Certificate (please contact Compliance for details)
- [Records Inventory & Records Inventory Guidelines](#)
- [Records Management Policy](#)
- [Records Management Toolkit](#)
- [Freedom of Information and Protection of Privacy Act](#)

March 2021

- April 2017: new
 December 2017: Updates to box preparation and inventory creation sections
 August 2019: Compliance Office template & reorganization update