

## **FILE TRANSFER**

To facilitate later implementation of records retention schedules, semi-current records being boxed for transfer to and storage at a records centre should be separated by disposal date and action as specified in the approved records retention schedule covering the specific files to be boxed.

The following procedure is recommended for boxing records to send to the records centre:

- The records should first be divided into two groups based on their approved final disposition: (i) those with a final disposal of destruction and (ii) those with a final disposal of transfer to Archives in some form.
- Next records in the two groups should be sorted into categories by disposal dates as follows:
  - records for disposal within one to three years;
  - records for disposal within four to seven years; and
  - records for disposal after more than seven years.

The result of the sorting may be as many as six different groups of records. Within each group, records should still be arranged according to their original method of organisation (e.g. by file number).

An example will serve to illustrate the methodology for sorting and boxing semi-current records to be transferred for storage to a records centre. Suppose we have a group of semi-current subject files consisting of information about other organisations, committee minutes, agendas and papers, bank account records, and personnel files. In our hypothetical example, each group of files relating to a similar subject is covered by its own records retention schedule specifying the files' retention period and disposal action as follows:

- Files relating to other organisations are to be kept for the current calendar year plus an additional three years and then destroyed.
- Files containing government committee minutes, agendas and papers are to be kept for the current calendar year plus an additional five years and then transferred to Archives.

- Files containing bank account records are to be kept for the current fiscal year plus an additional six years and then destroyed.
- Personnel files are to be kept until termination of employment plus an additional ten years and then transferred to Archives for selective retention.

Following the recommended methodology, we would first separate the files into two groups based on their final disposal action as follows:

- those that are for destruction, that is:
  - the files relating to other organisations;
  - the files containing bank account records; and
- those that are for transfer to Archives in some form, that is:
  - the files containing committee minutes, agendas and papers; and
  - the personnel files.

Next, we would further sort the files in each of the two groups according to the duration of their retention periods. Since both types of files for destruction are to be kept for between four and seven years, the files would not be further sub-divided. However, the files for transfer to Archives would be sub-divided into two groups:

- those with a retention period of between four and seven years, that is, the committee minutes, papers and agendas; and
- those with a retention period of more than seven years, that is, the personnel files.

After the records have been sorted, they should be packed by category into standard-sized records centre storage boxes.

Although more time-consuming to sort records prior to packing for transfer to a records centre, pre-sorted records will contribute to more efficient records centre operations. When records are pre-sorted, entire boxes can be sent for destruction or to Archives at one time, thus releasing space in the records centre for an incoming box. When records are not pre-sorted, a box may contain records with a mix of short- and long-term retention periods. Even after all of the files with short-term retention periods have been disposed, the box may contain a single file

with a long-term retention period and therefore have to be retained until the retention period for this single file has been met before the space occupied by the box can be made available for incoming records. Moreover, when records with different final disposals are intermixed, there is a greater risk of accidental destruction of valuable records.

Generally, standard record centre storage boxes are one cubic foot (30cm) in size. In addition, they may be pre-printed with spaces to record essential information about their contents. Regardless of whether the records centre storage box is pre-printed, the following information should be recorded on the exterior of the box to facilitate the continued management of the records once they have been transferred to the record centre:

## APPENDIX P

### Completed Records Centre Box

UNIVERSITY OF THE WEST INDIES MONA CAMPUS RECORDS CENTRE.		
ACC. NO.	DISP AUTH. NO.	BOX NO.
<i>95.2</i>	<i>M95-1</i>	<i>1</i>
CONTENTS. <i>Committee Files, 1965-1992</i>		
DISP. DATE	FINAL DISP.	R.C. NO.
<i>1998</i>	<i>Archives</i>	<i>1-4-3</i>

- the name of the transferring agency (e.g. Ministry of Lands and Labour, Housing Agency, Central Registry);
- the records retention schedule number covering the records in the box;
- the final disposal date of the records in the box (this should be calculated on the basis of the record with the longest retention period in the box);
- the disposal action to be taken once the records in the box have met their retention period (e.g. destruction or transfer to Archives);
- the box number, which for each group of records to be transferred is usually a consecutive number from one onwards.

To ensure that control is maintained over semi-current records as they are being transferred to the records centre and during their period of storage, the transferring agency should prepare a listing of the records being transferred. Normally, the records are listed on a form that accompanies all records being transferred to the records centre. A records transfer form should be completed for each group of records being transferred to the records centre. This document may take many forms but generally includes the following information:

- records series title;
- transfer date;
- inclusive date of records;
- destruction date;
- media types;
- name of transferring agency;
- records retention schedule number;
- box contents description; and
- box number.

At least one copy of this form should be retained by the transferring agency as a record of what it has transferred to the records centre. Usually, two copies of the

## REQUEST FOR RECORDS TRANSFER OR DISPOSAL

<b>Ministry:</b>		<b>Department:</b>		<b>Action Requested</b> <input type="checkbox"/> Transfer to RC <input type="checkbox"/> Destruction <input type="checkbox"/> Archives <input type="checkbox"/> Full <input type="checkbox"/> SR <input type="checkbox"/> Specimens <input type="checkbox"/> Samples	
<b>Section:</b>		<b>Office:</b>			
<b>Location:</b>		<b>Contact Name &amp; No.:</b>			
<b>Records Series Title:</b>					
<b>Volume:</b>		<b>Outside Dates:</b>			
<b>RRDA#:</b>		<b>Item No:</b>			
<b>Signature of Records Liaison Officer:</b> _____					
Box #:	Description:	Start Date:	End Date:	RC /Archives Acc #	RC/Archives Location:
<b>Destruction Certificate</b>					
<p>I hereby certify that I have this date destroyed the records listed on this form and that I further certify that only items authorized for destruction under an approved RRDA were destroyed.</p>					
<p><b>Destroyed by:</b> _____ <b>Date of Destruction:</b> _____</p>					

RM2 30/10/97

form are sent with the records to the records centre. After the record centre staff assign an accession control number and storage location codes to the records, they

should record this information on the records transfer form, retain one copy of the form for their files and return a copy to the transferring agency. The transferring agency then should replace its original copy of the form with the copy containing the records centre's accession control number and storage location code information. The transferring agency's numerical file index should also be updated with the records centre accession control number and storage location code information so that, should any of the records be requested by an action officer, they can be easily retrieved from the records centre.