

CITY OF WINNIPEG ARCHIVES & RECORDS CONTROL

Transferring Archival Records to Archives and Records Control

1 > Getting Started

Note: If your department has a designated departmental records coordinator, consult him or her before preparing your transfer. Departmental records coordinators are responsible for coordinating all transfers of records from their departments.

Before preparing records for transfer, ensure that you have the necessary supplies:

- **Records Management By-law 86/2010 [pdf]**. This by-law provides the legal authority to dispose of City records.
- **Records Box Transfer List [pdf]**
- A sufficient supply of standard labeled records storage boxes. These can be obtained from Stores Branch, Public Works Department (986-2139).

Note: Consult with Archives & Records Control before transferring oversized, fragile or other records that require special packaging or handling.

2 > Preparing Records for Transfer

- **Assign Records Classifications and retention periods**
Records must be grouped and transferred together by their records classification. To determine the records classification, consult the **Records Classification Schedules** attached to the Records Management By-law. All records transferred to Archives & Records Control must be assigned a **Record Classification** and **retention period** from either **Schedule B (Standard Administrative Records)** or **Schedule C (Departmental Records)** of the By-Law. If you are uncertain about which Record Classification to use, consult your departmental records coordinator or **Archives & Records Control [email]**.
- Cull duplicate documents and non-record material, such as blank forms, from the files.
- Replace torn and damaged file folders
- Ensure that all files are properly labeled. Replace labels that are illegible or starting to peel off.
- If possible, remove fasteners such as paper clips, staples, straight pins and rubber bands. They can cause physical or chemical damage to records.
- Records stored in binders must be removed and placed in labeled file folders before they are boxed.

3 > Boxing Records for Transfer

Each box transferred to Archives & Records Control should only contain records with the same **Records Classification**. All boxes **must be properly packed and labeled** or they will be sent back to the transferring department.

- Do not pack boxes too tightly.
- Do not over pack boxes. The top flaps must be able to close snugly and there should be no bulges on the top or sides.
- Boxes should be sealed on both the top and bottom with a single line of tape. Keep the label area on the box free of tape.
- Use **only** black permanent marker for recording information on boxes. Write all the required information in the spaces provided on the front panel of each box. See **Sample Records Box Label [pdf]**.

4 > Preparing a File List

- Prepare a detailed and complete list of the files or contents in each box. If you wish, you can use the **Transfer List Attachment [pdf]** form for this purpose. Archival records will not be accepted for transfer without an accompanying file list.

5 > Filling Out the Records Box Transfer List

- A **Records Box Transfer List [pdf]** must be filled out for each separate transfer. (All the records in an archival transfer must have the **same classification**.) See **sample of a complete Records Box Transfer List [pdf]** .

Complete the designated fields on the list as indicated below.

HEADER FIELDS

- **DEPARTMENT** – The official name of your Department or Office. **Do not abbreviate.**
e.g. “Planning Property & Development”, *not* “PP & D”; “CAO Secretariat”, *not* “CAO”
- **DIVISION/BRANCH/OFFICE** – The division, branch or office of your department that is transferring the records.
- **RECORD SCHEDULE CLASSIFICATION NO.** – Enter the number of the record classification from *By-law No. 86/2010* that you are using to schedule the records.
- **RECORD SCHEDULE CLASSIFICATION NAME** – Enter the name of the record classification from *By-law No. 86/2010* that you are using to schedule the records.
- **RESTRICTED RETRIEVALS?** – Check “Yes” if access to these records is restricted within your department to a particular position or positions. If you check “Yes”, you must then list the position or positions in the space provided. All retrieval requests for these records will have to include authorization from the designated position(s). Check “No” if there are no access restrictions within your department

- **RETENTION & DISPOSITION** – In the space beside “**Schedule**” enter the letter (either “B” or “C”) of the Records Schedule that contains the classification you are using. Leave the box beside “**years**” blank since this space is only used when temporary records are being transferred.
- **DISPOSAL ACTION** – Tick the “Archival” box.
- **DISPOSAL REVIEW DATE** – The disposal review date for archival records is arrived at through negotiations between Archives & Records Control and the transferring department.

BOX/CONTENT FIELDS

- **TEMPORARY BOX NO.** – This is the number that you assign to each box (or other unit) to be shipped. The number is marked on the box label and entered on the Transfer List in this field. Enter each box number on a separate line of the list so that corresponding location numbers can be recorded by Archives & Records Control staff.
Note: In order to avoid confusion, boxes sent together that are scheduled under the same classification must be numbered consecutively. Do not use duplicate or partial numbers (e.g. 14.1, 14.2, etc.) Do not use alphanumeric numbers or codes.
- **DATES (YEARS)** – For each numbered box, enter the earliest and latest years of the records in the “FROM” and “TO” fields
- **BOX CONTENTS** – For archival records, it is sufficient to attach your prepared file lists to the transfer list and write “See attached file list” in the first space under “Box Contents”. For your information, you may wish to enter in the **range** of records in each box.
e.g. *First and last file titles (Allied Manufacturing – Zenith Distributors)*
A range of the alphabet (A-F) for case files
A range of file numbers (100.0 – 165.15)

VERIFICATION FIELDS

- **TRANSFERRING OFFICER signature and contact information** – The transferring officer (the person responsible for preparing the records and the Transfer Lists) must complete this field to indicate that the information provided is accurate and to provide contact information for the use of the Departmental Records Coordinator and Archives & Records Control.
- **AUTHORIZED BY signature and contact information** – Every records transfer must be authorized by the manager in charge of the records. The authorizing manager must sign here and indicate his or her position within the department.

When the transfer lists have been filled out, submit a copy of each Transfer List and attached File List to Archives & Records Control for approval. This can be done either electronically, by fax, or by inter-office mail. Archives & Records Control will examine each transfer list to ensure that it has been properly filled out and that the records have been correctly scheduled under the By-law. You will be notified if any corrections to the lists have to be made.

When you receive notice that the transfer has been approved, send the original signed lists by inter-office mail to Archives & Records Control at 380 William Avenue. Archives & Records Control will assign each transfer a unique number for tracking and identification purposes.

6> Shipping Records to Archives & Records Control

- Once the transfer has been approved, Archives & Records Control will arrange for a courier. On the day of the pickup, make sure that the reception staff is informed and able to properly direct the couriers. Confirm that all the boxes indicated on the transfer lists are ready for shipment and that they are all properly labeled. The couriers will only take boxes that appear on the approved Transfer Lists and that are properly boxed and labeled.
- After the transfer has been completed, you will be sent copies of the Transfer Lists with the assigned transfer number and the new Records Centre locations added. Retain these copies for your reference.