

Using Records Centre Services Directives

Records Centre Client Services
Provincial Archives of New Brunswick (*Finance and Treasury Board*)

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Revision History

Version	Revision Date	Author	Summary of Changes
1	<i>Last Review: February 2020</i>	CIM unit	Review of procedures
2	<i>Last Updated: November 2021</i>	CIM unit	Updated policy AD-1508 to AD-7114
3	Last updated July 2022	Records Centre Client Services	New online system.
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Using Records Centre Services Directives

Preface

The records of government are a valuable resource and an important asset that document its business activities. Their effective management enables government to support future action and decision making, reduce costs, meet business, legal and accountability requirements, and preserve New Brunswick's documentary heritage.

The Provincial Archives' Corporate Information Management Unit is responsible for the government-wide records management program under the *Archives Act*. Provincial government organizations manage their records according to corporate standards, guidelines and policies to support the delivery of their programs and services.

The Provincial Archives of New Brunswick Corporate Information Management Unit provides central records management services and support to departments, crown corporations and agencies within the government of New Brunswick by:

- developing and authorizing retention and disposition schedules that control the period of time government records are retained as well as final disposition through the transfer to the Provincial Archives or destruction;
- developing and establishing policy, standards and guidelines;
- providing training, technical and consultative services in the development, implementation and maintenance of programs to manage recorded information in all formats;
- maintaining and administering the centralized off-site records storage program for semi-active government records;
- identifying archival and records management issues at the beginning of the information life cycle.

Departments manage recorded information by:

- applying the *Classification Plan and Retention Schedules for Common Records* for retention scheduling;
- establishing a file classification plan for operational records;
- developing and maintaining written policies and procedures;
- cooperating with the Provincial Archives to develop and apply retention and disposition schedules for all government records in all formats;
- taking advantage of the centralized records storage and retrieval services of the Provincial Archives Records Centre.

It is important to note that records must not be destroyed or removed from the control of the Government of New Brunswick, unless such action is authorized under the *Archives Act*.

Using Records Centre Services Directives

Introduction

The ***Provincial Archives of New Brunswick (PANB)*** has been mandated under the *Archives Act* to provide economical storage facilities for public records and to encourage the use of such facilities.

The ***Provincial Archives' Records Centre (Records Centre)*** maintains and administers the centralized off-site records storage program for semi-active records in paper form. While these records are being stored, they remain under the care, custody and control of the transferring body.

Purpose of this Publication

The purpose of this document is to provide clients of Records Centre with instructions on how to use Records Centre services.

Intended Audience

This publication is intended as a guide for Records Managers/record custodians who have the responsibility of preparing their organization's records for storage at the Provincial Archives' Records Centre, or for retrieving files that have been sent to the Records Centre.

1. Records Centre

1.1 Summary of Records Centre Activities

The Records Centre is an off-site storage facility that provides secure, low-cost storage for semi-active records, processes retrieval/call back requests and re-files the requests upon return to the Records Centre.

Records Centre staff travel throughout the province to pick up boxes from government organizations requesting the transfer of their semi-active and in-active records. In order to be able to transfer records the organization must meet the following criteria:

- it is a public body as defined by legislation,
- it creates public records,
- it manages its records according to modern records management principles,
- it actively applies the dispositions set out in the retention schedule for common records (CPRS),
- it has in place and adheres to operational schedules approved by the Provincial Archivist,
- it transfers its historical (archival) records to the Provincial Archives.

1.2 Records stored at the Records Centre vs. records preserved in the Archives

The Records Centre provides temporary storage for semi-active records. The records remain under the care, custody and control of the organization that sent them. Only authorized employees of the transferring body may retrieve the records from the Centre. For example, records belonging to the Department of Health can only be accessed by authorized employees of that department who are registered with the Records Centre.

The Provincial Archives provides permanent storage for records that have continuing value. When records are transferred to the Archives, the care, custody, and control is transferred as well. Government of New Brunswick organizations cannot remove them from the Archives but may consult them. At the Archives, the records are arranged and described, selected, and sometimes reformatted. In due course, the Archives make them available for use by other N.B. government organizations and the public, observing restrictions which protect privacy and confidentiality.

2. Records and Records Series

2.1 What is a record?

A record is *recorded information in any format which provides evidence of a business function, activity, decision, or transaction.*

According to the *Archives Act*, a **record** may be correspondence, memoranda, forms or other papers and books; maps, plans and charts; photographs, prints and drawings; motion picture films, microfilms and video tapes; sound recordings, magnetic tapes, machine readable records such as e-mails, word processing documents, and PowerPoint presentations, etc.; and all other documentary materials regardless of physical form or characteristics.

Note: Electronic records are not included in the records accepted for semi-active storage at the Records Centre. For assistance with electronic records, please contact the Digital Preservation Unit of the Provincial Archives.

2.2 Types of Records

Common Records

Common records are records that are familiar to all government departments and agencies, and support routine functions which are usually related to the management of human resources, finances, facilities, materials, and information and technology.

The [Classification Plan and Retention Schedules for Common Records \(CPRS\)](#) is the standard used for the management of common records of the Government of New Brunswick.

Operational Records

Unlike common records, operational records are unique to each department. Operational records are generated in fulfilment of a mandate that is specific to the creating department or unit. For example, only Department of Education is responsible for school records; therefore, school records are operational records of that department and are not covered by CPRS.

Decisions on how long to maintain operational records are made on a case-by-case basis, through the development of an individual *Records Retention and Disposition Schedule*. Departments, with the assistance of the Provincial Archives, develop and update operational retention and disposition schedules.

2.3 What is not a record and should not be sent to the Records Centre?

Not all information created or received in the course of government business constitutes a record. Recorded information of temporary usefulness with no ongoing value beyond an immediate or minor transaction, or recorded information that is used only in the preparation of a record, is of short-term value and is normally not required to meet legal or fiscal obligations, or to initiate, sustain, evaluate or provide evidence of decision-making, administrative or operational activities. Such recorded information does not meet the definition of a record (*non-record*) and should not be sent to the Records Centre.

Non-records may include:

- Published or library material acquired simply for reference or background information. If your office subscribes to newspapers or magazines, or receives newsletters from other organizations or equipment catalogues, don't include them with your records.
- Drafts of correspondence, reports, calculations, research materials, rough notes, and editing or formatting notes. Drafts including items that have been used in the development or creation of an official record. Normally, once a final version of a record has been approved or has been placed into a records or information management system, drafts and working materials are no longer required.

Note: Not ALL drafts are non-records!

If drafts and working materials are needed to track the development or modification of a significant document, they should be filed along with the other records related to that program or service. Examples might include drafts or working papers created in the preparation of:

- | | |
|--|-------------------|
| ✓ Legislation (acts, regulations, orders in council) | ✓ Audit reports |
| ✓ Policies, standards, guidelines and procedures | ✓ Legal documents |

- Duplicates:
 - where nothing was added, changed or deleted;
 - that were used only for reference or convenience purposes;
 - where the official version of the document is filed in a records or information management system.

- Correspondence with little informational value. For example:
 - requests for printed material once the requests have been filled,
 - routine covering letters or courtesy slips sent or received with printed material,
 - transmittal letters, covering letters, and acknowledgements which do not add any information to the material transmitted,
 - notices of community affairs, employee meetings, holidays, staff retirement parties, etc.
- Other non-records may include:
 - copies of publications, stationery and unused forms kept for supply purposes only,
 - extra copies of records created only for convenience or reference.

For more information on non-records, see the directive [Identifying and Handling Records and Non-records](#) on the website. When in doubt, contact your departmental Records Manager.

2.4 What is a record series?

A record series is a group of similar or related records that are used and filed together as a unit. Records series can be handled as a unit when determining and applying the records' retention period and arranging for their final disposition (e.g. employee files).

2.5 What is a Retention Schedule?

A *Records Retention and Disposition Schedule* is an instrument mandated in the *Archives Act* to protect and govern the management, transfer, and or disposal of public records. It is a legal document that provides a description of a records series and explains the purpose of the records.

Records may not be destroyed or removed from the control of the province without authorization under an approved *Records Retention and Disposition Schedule*.

A *Records Retention and Disposition Schedule* specifies the length of time a record series must be kept in the office (**active**), how long it must be stored off-site at the Provincial Archives Records Centre (**semi-active**), and how the records will be handled at the end of their life (**final disposition**). Disposition of all government records must be in accordance with an approved *Retention and Disposition Schedule*. *Retention and Disposition Schedules* are drafted and agreed to jointly by the records-creating department or agency and the Provincial Archives. This joint effort ensures that records are stored in a cost-effective manner for as long as they are required for business purposes, and that records of archival value are identified and preserved. The Provincial Archivist has the authority to give final approval for all *Schedules*.

3. Sending Files to the Records Centre

When records have reached the end of their active period in office, they are ready to be transferred to the Records Centre or to the Provincial Archives, according to an approved *Records Retention and Disposition Schedule*.

3.1 Items needed to send records for storage

- the records scheduled for transfer
- an approved retention schedule
- storage boxes
- *Records Transfer Lists (RTL)* See [Section 3.4](#)
- *Records Transfer Request (RTR)* See [Section 3.6](#)

3.2 Packing the boxes

Once you have identified the records that are scheduled to be sent to the Records Centre or Archives, you can begin to pack the files. For your convenience a [Checklist for Preparing Boxes for Transfer](#) is available on our website.

Records must be packed in standard Records Centre boxes. These are available from Staples Canada Inc., stock number STP20657. (also accepted: Grand & Toy SKU#: BOX) Records Centre staff reserve the right to refuse boxes that are improperly packed. This includes not only records in boxes other than the accepted standard but also boxes that are over packed, under packed, damaged or not labelled clearly.

For **operational** records, please put only one record series in each box. **Common (CPRS)** records may be packed with more than one series per box but **all the records in each box must have the same final disposition and the same disposal date.**

Pack the files so that labels can be easily read when the box is opened. Legal sized folders should be packed across the long side with labels facing away from the hinge of the box. Place letter sized folders across the short side of the box, with labels facing the front of the box. The front of the box has the label "Aisle, Bay, Shelf, Box" printed on it (see Figure 1).

Do not pile extra files on top of the upright folders. Leave enough room so that files can be removed and replaced easily (about 3 cm. or the width of two fingers). Arrange files in their correct filing order, either alphabetical or numerical, as they were when the files were in use.

3.3 Assigning a Temporary Box Number

Every box must be assigned an in-house temporary number which will be used to track the transfer of records from your department to the Records Centre. The recommended format to use is the year in which they were sent, followed by consecutive box numbers (e.g. 2011-01 to 2011-02). This will also give you a running count of how many boxes you transferred in a year.

For security reasons please do not write anything other than your temporary box number on the box. **Do not identify your organization or the contents anywhere on the outside of the box.**

The space titled "Aisle/Bay/Shelf/Box" is where the Records Centre staff will record the unique location identifier. This four-part number will serve as the box's address in the Records Centre. Please leave this area blank (see Figure 1 below).

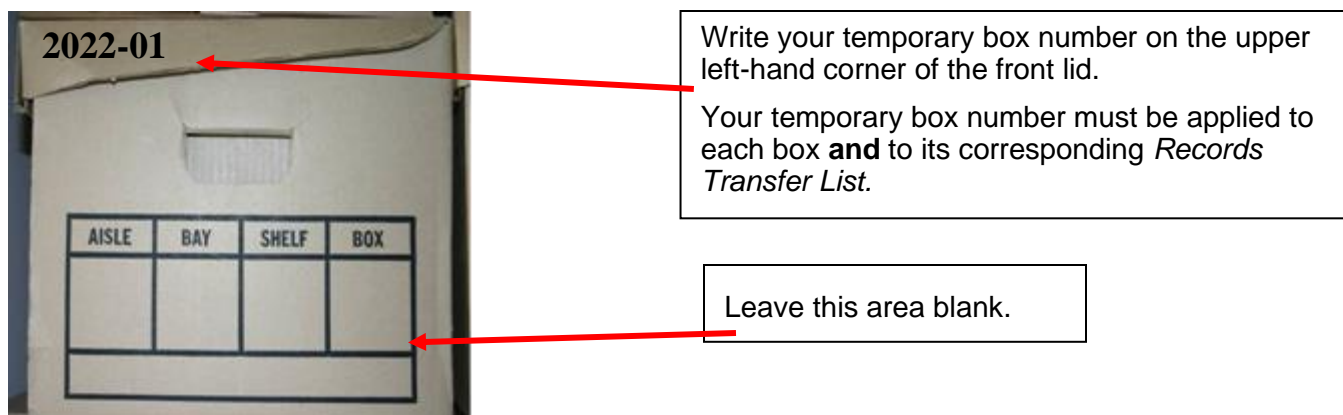


Figure 1 Standard Record Centre Box (Staples Canada Inc., stock number STP20657)

3.4 Records Transfer List

For each box of records you prepare to transfer, you must include a list of the contents of the box. For your convenience, an electronic [Records Transfer List](#) form is available on the Provincial Archives of New Brunswick's (PANB) website. A copy of the list must be placed in **each** corresponding box to assist Records Centre staff with file retrieval.

Remember to keep a copy of the completed *Records Transfer List* in your office. It is your responsibility to know what records are in your boxes.

3.5 Completing the Records Transfer List form

See [Figure 2](#) for a sample of the *Records Transfer List* form.

Complete the fields as follows:

- **Record Series Title:** Enter the name of the group of records or the records series title found on the approved *Records Retention and Disposition Schedule*
 - for **Operational** records:
 - copy the Records Series Title exactly as it appears on the *Records Retention and Disposition Schedule*,
 - remember that only one (1) series of operational records can be sent in each box (e.g. Divorce Court Case files).
 - for **Common** records:
 - if all the files in the box belong to one CPRS record series enter "CPRS" followed by the primary number and a brief descriptive phrase based on the primary subject (e.g. CPRS-1165: Payroll Processing: time sheets),
 - if the files are from different CPRS records series, enter "CPRS" as the record series title and quote all the pertinent numbers.
- **Department:** Enter the official name of the department/agency transferring the records (e.g. Office of the Comptroller). Department is defined as a government department, agency, board, commission, corporation, council, secretariat, etc.
- **Branch:** Enter the name of the branch transferring the records (e.g. Forest Management) and/or the name of the regional/district office (e.g. Kingsclear Nursery).
- **City/Village:** Enter the name of the city/village where the records are presently located.
- **Telephone Number:** Enter the telephone number for the records custodian, who is identified on the form.
- **Schedule Number:** Enter the *Records Retention and Disposition Schedule* number associated with the specific record series (e.g. 2002-SNB-01, CPRS-1055). Contact your departmental Records Manager in the event you do not have the *Records Retention and Disposition Schedule* number.

Note: Only one **Operational** *Records Retention and Disposition Schedule* per list.

- -for **Operational** records, enter the schedule number found at the top of the *Records Retention and Disposition Schedule* (e.g. 2008-SPS-01).

- -for **Common** records scheduled according to the *Classification Plan and Retention Schedules for Common Records* (CPRS), enter "CPRS" and the appropriate primary file number or numbers (e.g. CPRS-0710).
 - **Box Number (Temporary Box No.):** Enter the in-house temporary box number you have assigned to the box. See [3.3 Assigning a Temporary Box Number](#).
 - **Records Custodian:** Enter the departmental contact name of the person responsible for the records.
-

The following fields must be based on the arrangement of the file folders in the box:

- **File Number:** Enter the number given to each file.

If you are sending **Common** records and your file number differs from CPRS, enter your number after the file title. Make sure the equivalent CPRS number is entered in "File Number" above.

- **Date of Records – From:** Enter the date in which the file was opened (i.e. the earliest date in the file).
- **Date of Records – To:** Enter the date on which the file was closed (i.e. the latest date in the file). For fiscal/continuous/superseded/obsolete records, please indicate the *month and year the file closed (e.g. 2001-Mar. 2003).

***Please note that calculations relating to the final disposition of the records will be based on this date.**

Note: Calculation of the date of final disposition is based on the dates of the records, not the date that they leave your office. For example, if the most recent date of the records is 1998 and the "Total Years" is 6, it is assumed that the records ceased to be current in December of 1998 and that they must be kept for 6 additional years, thus, the disposal date will be January 2005. If the records are kept by calendar year, then "January" will be the month of disposal; if the records are kept by fiscal year, then "April" will be the month of disposal.

Calculation Tables are available to assist you in calculating final disposition dates. See the *Provincial Archives of New Brunswick* website in Tools [Corporate Information Management Unit](#).

- **Description:** Enter the title used to identify the file/record (e.g. "Smith, John", "A – M", or "1 – 20").
-

The following fields must be filled out after Records Centre has approved your transfer request:

- **Transfer Number:** This number is used to track the series of boxes in the Records Centre. The numbers run based on fiscal year (e.g. 2011A0187).
- **Disposition Date and Final Disposition:** Once the calculated disposition date has been approved by Records Centre, you must enter the disposition date and final disposition information, and mark the final disposition of the records (i.e. whether the records are to be transferred, selected or destroyed).
- **Location (do not complete this field until action is complete):** Once the boxes have been picked up, Records Centre staff will assign a unique location number to each box. A report linking the transfer number, the temporary box number, and the location will be sent to you (see section

3.6 Records Transfer Request

Once records are properly boxed and transfer lists are completed, you will need to send a *Records Transfer Request*.

If you are a registered client of the Records Centre, you may use on-line Records Centre Records Transfer System. To access the system, click the appropriate links

- For GNB Intranet users: <https://archives-intra.gnb.ca/rc-ddd>
- For Extranet users: <https://rc-ddd.gnb.ca/Login>

You will then be taken to your personalized *Records Centre Services* homepage. To create a new Transfer, select *New Transfer* from the menu at the top of the homepage.

You will be required to enter the following information:

1. Name and phone number of the contact person for pick up or delivery
2. Physical address where boxes are to be picked up
3. Schedule number, including secondary/tertiary numbers (if applicable)
4. Number of boxes
5. Temporary box numbers
6. Active period
7. In-office after active period
8. Semi-active period
9. Dates of records
10. Final disposition date
11. Final disposition
12. Whether the boxes be picked by Records Centre or delivered

Note: Details for items 6 to 8, and 11 are found on the Records Retention and Disposition Schedules.

A user guide is available on the home page of the system.

If you have any difficulty using the link, or if you are not a registered client, contact your Records Manager or send an e-mail to records centre@gnb.ca

Once a request for transfer has been received, you will receive an e-mail notification. Another will be sent once your request for transfer has been verified and approved..

Note: If changes were made, a note to this effect will be included in your e-mail. You can see details of the changes by going to your online account and viewing the request details ,.

Any questions about the changes should be directed to records centre@gnb.ca

Records Centre staff will coordinate the transfer of the records. The records custodian/sender will be contacted two days before the scheduled pick-up date.

Once a transfer is complete, you can access the **box location information** by viewing your account history..

4. Recalling files from the Records Centre

4.1 Contacting the Records Centre

Occasionally you may need to reference files or boxes of files that have been transferred to the Records Centre. If you are a registered client of the Records Centre, you may use on-line Records Centre Records Transfer System. To access the system, click the appropriate links

- For GNB Intranet users: <https://archives-intra.gnb.ca/rc-ddd>
- For Extranet users: <https://rc-ddd.gnb.ca/Login>

After logging in, the system will take you to your personalized *Records Centre Services* homepage. To create a new Request, select New Request from the menu at the top of the page.

You will be required to enter the following information:

- your name
- your department/organization and branch
- the address or location of your office
- your phone number
- whether the request is for a file or a box
- the location number of the box(es) (this information can be found on your *Records Transfer List and Notification of Transfer and Box Location Report*)
- the date and name and/or number of the file/files
- how you would like to receive them (delivered or will you have them picked up?)

A user guide is available on the home page of the system.

If you have any difficulty using the link, or if you are not a registered client, contact your Records Manager or send an e-mail to recordscentre@gnb.ca

4.2 Delivery of files from Records Centre to your organization

Files are sent out by intergovernmental mail. Multiple boxes must be picked up. You must use a courier service at your expense or have your staff pick up the material from the Centre in person (Identification may be requested).

4.3 Returning files to the Records Centre

You are responsible for returning the files to the Records Centre. Return files as promptly as possible and return **only** the files you were sent. Do not add new records for interfiling as it may be impossible to fit additional material into existing boxes. If additional records are sent to be added to a box, they will be returned to the sender for inclusion in a later transfer.

4.4 Consulting records at the Records Centre

Records may also be consulted or used at the Centre. You must e-mail in advance so that the material will be ready when the researcher arrives. Written authorization to view records, and identification, is required.

4.5 Who has access to records stored at the Records Centre?

Only the department/organization which produced and owns the records can recall/withdraw them from the Records Centre. Individuals picking up records or using them at the Centre must have proper identification. (The records of another department/organization may only be viewed with proper authorization.)

Do not send clients or members of the public to the Records Centre without making prior arrangements (4.4)

5. Final Disposition

5.1 What happens to records after their stay in the Records Centre?

When records have reached the end of their scheduled stay in the Centre, they are disposed of as stipulated in the approved *Records Retention and Disposition Schedule*. This is referred to as the records' "final disposition" (FD).

5.2 What is Final Disposition?

Final disposition is the last stage of the records management process, and is determined at the time a records retention schedule is created. The final disposition of a records series is indicated in the *Records Retention and Disposition Schedule*. Records series will be assigned one of three possible final dispositions; records may be sent to the Archives for selective or complete retention, or they will be destroyed.

5.3 The Disposition Notice

When records stored at the *Records Centre* have reached their final disposition date, a *Disposition Notice* (see [Figure 4](#)) will be sent to the appropriate Records Manager/records custodian. The Records Manager/records custodian will reply indicating whether or not to go ahead with the destruction. If a response to the *Disposition Notice* is not received by the deadline indicated on the *Disposition Notice*, the records will be destroyed. To avoid confusion, update your transfer lists to indicate the date that the records were destroyed or moved to the Archives

NOTIFICATION OF DISPOSITION / AVIS DE DÉCLASSEMENT

To / À

Jane Smith

Department / Ministère Finance and Treasury Board / Finances et Conseil du Trésor

In accordance with <i>Records Retention Schedule</i> number <u>RSCRA-0750</u> , the following records are eligible for disposal.	Conformément au <i>calendrier de conservation et de déclassement</i> numéro <u>RSCRA-0750</u> , les documents suivants doivent être éliminés.
Transfer number / Numéro de transfert	2022A0020
Office of origin / Bureau d'origine	Fredericton
Contact for Office of Origin / Contact pour le bureau d'origine	Jane Smith
Records Series Title / Titre de la série des documents	Banking / Opérations bancaires
Date of Records / Dates des documents	2020 - 2020
Number of boxes / Numéro de boîtes	1
Note: Unless otherwise notified, Records Centre will action this notice on or after <u>2022-06-14</u> .	Nota: {Unless otherwise notified, Records Centre will action this notice on or after} <u>2022-06-14</u> .
Please update all departmental copies of <i>Records Transfer Lists</i> to indicate that disposal has taken place and delete any corresponding electronic records.	Prière de mettre vos <i>listes de transfert des documents</i> à jour afin d'indiquer que le déclassement a été effectué et éliminer tous les fichiers électroniques correspondants.
Reply to this message and indicate whether or not disposition should proceed. If disposition should not occur please explain why. Questions? Contact records.centre@gnb.ca	Veillez répondre à ce message et indiquez si vous voulez ou ne voulez pas procéder avec l'élimination des documents. Si l'élimination des documents ne devrait pas procéder, s'il vous plaît indiquer pourquoi. Questions? Contactez records.centre@gnb.ca
Temporary Box Number / Numéro temporaire de la boîte	Location / Emplacement
200	12-12-2-5
1 boxes / boîtes	

Figure 4: Sample Disposition Notice

6. Additional Assistance

Your departmental Records Manager is the primary contact for questions or concerns regarding records management. They are the records expert for departments and public bodies, and can respond to questions about specific records series and retention schedules specific to your area.

For questions about records storage and retrieval, or records transfer to PANB, contact the Records Centre: records.centre@gnb.ca.

The PANB *Corporate Information Management Unit* provides advice and assistance to all government organizations in the management of their information resources. This includes providing practical tools and information for everyday use to help Records Managers/records custodians with their information management activities. Visit the **Corporate Information Management Unit** on the *Provincial Archives of New Brunswick* website <http://archives.gnb.ca> . There you will find forms, standards and publications, FAQ's, checklists, calculation tables, bulletins and fact sheets geared to assist you in practicing effective records and information management.