Preparing Pupils' Cumulative Records for Digitization

Revision History

Version	Revision Date	Author	Summary of Changes
1	*Last Review: February 2020*	CIM unit	Review of procedures
2	*Last Updated: February 2020*	CIM unit	Updated name of unit
3	*Last updated: June 2023*	CIM unit	Updated the process of microfilming to digitization and new procedures.

Contents

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' 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*.

Introduction

The **Provincial Archives of New Brunswick (PANB)** has been mandated under the *Archives Act* to have the responsibility to assemble, and to make available for research, records bearing upon the history of New Brunswick. The Records Management Program ensures the regular transfer and archival retention of all non-current government records that have permanent legal and historical value. The records of individuals, churches, businesses, and associations are acquired through donation of original material, and loans for copying.

The Provincial Archives' **Digitization Unit** provides high quality imaging services to public bodies, crown corporations, and municipalities to allow for faster retrieval of information and improved access to information.

Purpose of this Publication

The purpose of this document is to provide New Brunswick public schools and school districts with instructions on how to prepare and transfer student cumulative records to the Provincial Archives' Digitization Unit for digitization.

Intended Audience

This publication is intended as a guide for school or district Records Managers/record custodians who have the responsibility of preparing student cumulative records for digitization at the Provincial Archives of New Brunswick.

1. *Which record series is included?*

The record series consists only of the Cumulative Records (Pupil) as described in the retention schedule 1992-EDN-06 – Student Cumulative Records (See Appendix A). This series is to be digitized at its final disposition.

1.2 *How long are student cumulative files to be kept in-office?*

The cumulative file is kept in-office for two years **after** the student is no longer attending school. They may then be prepared for transfer to the Provincial Archives for digitization.

1.3 *Is there a standard for arranging the files for transfer?*

It is best practice to group the files by year of graduation, transfer, or withdrawal, arranged by the student's last name in alphabetical order.

Cleary mark the student's name on the file folder using file labels. In preparation for digitization, remove all paper clips, elastics, staples, sticky notes, etc. Ensure that any folded paper is flattened. Remove any blank or unused forms.

Please note: Do NOT use scotch tape to repair paper. Scotch tape causes the paper to deteriorate making it difficult to image.

2. *Sending Files to the Provincial Archives*

According to the approved *Records Retention and Disposition Schedule 1992-EDN-06,* two years **after** students no longer attend school, their cumulative files are ready to be transferred to the Provincial Archives for digitization,

2.1 *Items needed to send records for digitization*

- The records ready for transfer
- Retention schedule 1992-EDN-06 *See Appendix A*
- Standard Records Centre storage boxes
- *Records Transfer Lists **(RTL)** See* Section 2.4 Records Transfer List
- *Records Transfer Request **(RTR)** See* Section 2.6 Records Transfer Request
- Authorized access to the online Transfer Request System.

2.2 *Packing the boxes*

Once you have identified the records that are scheduled to be sent to the Archives, you can begin to pack the files. For your convenience a Checklist for Preparing Cumulative Records for Digitization is available here on our website for download and in Appendix C

Records must be packed in standard Records Centre boxes. These are available from Grand & Toy (SKU#:BOX). Also accepted: Staples Canada Inc. Stock number STP20657. Please note that 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.

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 back of the box. One end of the box is blank so that you can write all necessary information. (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.

2.3   Assigning a Temporary Box Number

Every box must be assigned unique in-house temporary number which will be used to track the transfer of records from your school to the Archives. The recommended format to use is the acronym of the school (e.g., Harrison Trimble High School = HTHS), the year in which they were sent, then followed by underline consecutive box numbers (e.g., HTHS 2003-01, HTHS 2003-02, HTHS 2003-03, etc.) *in the order they are to be imaged (Alphabetical)*. This will also give you a running count of how many boxes you transferred in a year.

For digitization purposes please identify, as shown, on one end of the box the;

- temporary box number,
- school name,
- year(s) of records (e.g., 2003 grads/non-grads), and
- contents (e.g., A-C)

Write temporary box numbers on the upper left-hand corner of the front lid.

A unique temporary box number must be applied to each box **and** to its corresponding *Records Transfer List.*

Please list as shown:
District,
School Name,
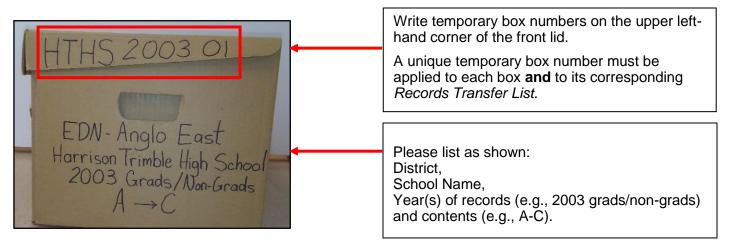Year(s) of records (e.g., 2003 grads/non-grads) and contents (e.g., A-C).

Figure 1 Standard Record Centre Box
Grand & Toy SKU#:BOX
Staples STP20657

2.4   Records Transfer List

For each box of records you prepare to transfer, you must include a list of all 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. If you can generate a list electronically, you may attach it to the transfer list with a note in the description to "*See attached list*". A copy of the list must be placed in **each** corresponding box to assist PANB staff with indexing.

Remember to keep a copy of the completed Records Transfer List in your office.

2.4.1   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 **"Cumulative Records (Pupil)"** (as per *schedule 1992-EDN-06)*

- **Department:** Enter the name of the Official Department: ***Education and Early Childhood Development***

- **Branch:** Enter the name of the school and district transferring the records.

- **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* **1992-EDN-06.**

- **Box Number (Temporary Box No.):** Enter the in-house temporary box number you have assigned to the box. See 2.3 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 <u>file folders in the box</u>:

- <u>**Description**</u>**:** A complete list of files is <u>required</u>; it is recommended that for each box, the *Record Transfer List* should contain:

  - ✓ status (graduated, transferred or dropout);

  - ✓ the last year of attendance or the range of years;

  - ✓ and last name and first name of <u>each</u> student file in the box.

- <u>**File Number:**</u> *If applicable*

- **Date of Records – From** Enter year files closed. If multiple closing years in the box, enter the earliest year of closed records here.

- **Date of Records – To:** If multiple years in the box, enter the latest year of closed records here.
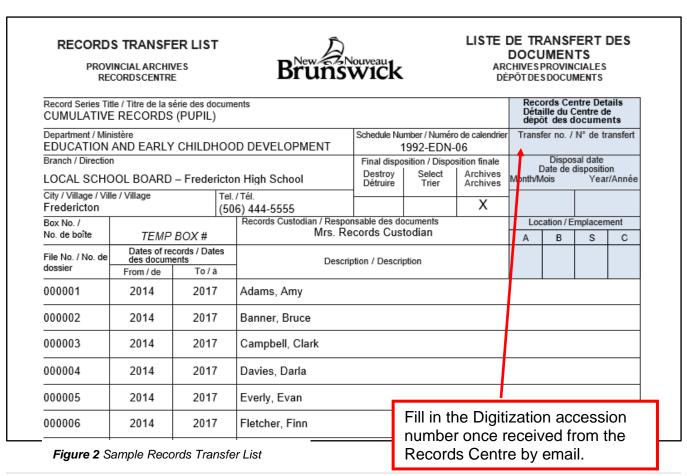
The following field is to be filled out <u>after</u> Records Centre has approved your transfer request:

- **Transfer Number:** This accession number is used to track the series of boxes in Digitization. (e.g., R2019.87).

REMEMBER:
- When the *Records Transfer List* is complete, keep a copy for your file *and* put a copy in the corresponding box on top of the files in the box.
- When the record boxes have been received in Digitization*,* you will receive a *Notification of Transfer* email stating that the transfer is complete*.* The Digitization accession number assigned to your records is available on the Records Centre Services system.

The *Records Transfer Lists* must be kept for audit and accountability purposes. Place these in a file folder or binder. The retention and final disposition that cover these records is **CPRS-1880 – Information Management** *(See [Appendix B](#)).*

Figure 2 *Sample Records Transfer List*

Forms, Checklists and Guidelines referred to in this document are available for download from the

[Corporate Information Management](#) *section of the PANB website www.archives.gnb.ca*

[Table of Contents](#)

2.5   Records Transfer Request

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

You will use the on-line *Records Centre Records Transfer System.* If you are <u>not</u> a recognized registered user, an error message will appear. If you are receiving an error message, please contact the Records Request Coordinator at records.centre@gnb.ca for assistance.

To access the system, click the link below.

https://rc-ddd.gnb.ca/Login

<u>Your username is your e-mail address.</u> When your account is first authorized, you will receive an email with a temporary password. You will be prompted to change your password the next time you log in. If you forget your password, you can request a password reset. (Figure 3)

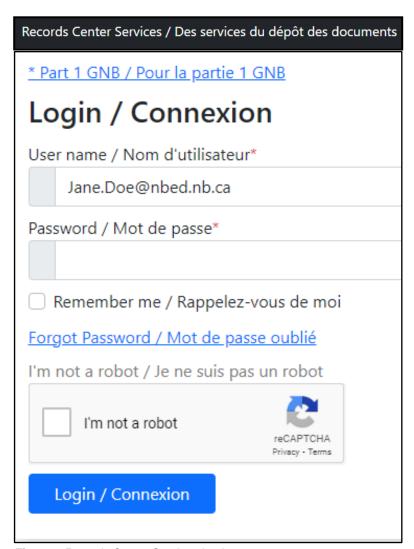**Figure 3** *Records Centre Services Login*

Forms, Checklists and Guidelines referred to in this document are available for download from the

Corporate Information Management section of the PANB website www.archives.gnb.ca

Table of Contents

2.5.1 Creating a new records transfer request

After logging in, the system will take you to your personalized Records Centre Services homepage. Your name will be shown on the top right. The dropdown arrow provides links to My Profile and the user guide, as well as the log out option. (Figure 4)

The homepage provides the following functions:

- **My Requests/My Transfers** – Displays details for current and past requests and transfers.

- **New Request/New Transfer** – Create new requests and transfers (top of screen).
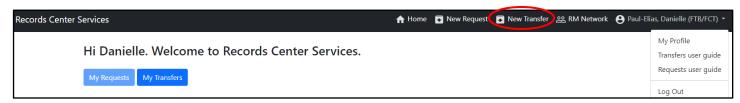
- **My Profile** – Manage your contact information

Figure 4 *Records Centre Services Homepage*

To create a new Transfer, select *New Transfer* from the menu at the top of the homepage. (Figure 4).

Step 1
The contact information will default to your *My Profile* settings. Information may be edited here if the contact information and address for the pickup is different. Include information that will assist Records Centre staff to find your office or the room where boxes are held for pick up.

If contact information is correct/complete, go to the bottom of the page and select the *Step 2 Add Boxes.* (Figure 5)

Figure 5 *Create New Transfer: confirm contact information*

Step 2

Complete the Transfer Request:
If you leave the page without completing and sending the transfer, the system will auto save your details as a draft to complete later.

Edit Transfer

Transfered by Paul-Elias, Danielle

Transfer number **2023-0173**

Step 2 of 2: Items for this Transfer.

Contact Information   ⌄

If you have any questions please contact your Department's Records Manager:
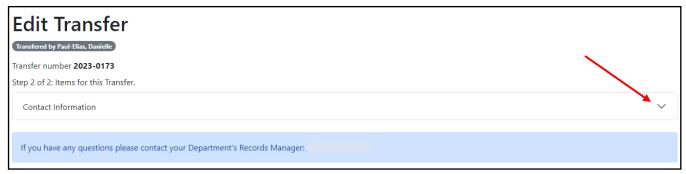
Figure 6 Records Transfer Details contact information field

When you hover over each field you will see an information text box.

Fill out the following fields (Figure 7):
- **Contact Information**
  Check contact information by hitting the down arrow in the *Contact Information* field.
  Remember this auto populates from your Profile details. (Figure 6)

- **Schedule Number**
  Enter the Records Retention and Disposition Schedule number **1992-EDN-06**

- **Series Title**
  This field will auto complete to CUMULATIVE RECORDS (PUPIL)

- **Boxes**
  Enter the number of boxes for this entry.

- **Temporary Box Numbers**
  Assign a unique number to every box. (For a detailed explanation, see section 2.3 Assigning a Temporary Box Number)

- **Secondary and/or Tertiary numbers**
  This is not applicable.

- **Active period**
  Choose from the drop-down list "Until Case Closed". On the Retention Schedule it states, "as long as pupil attends school", this is another way to define the active period. *The appropriate description of the trigger or event which indicates when the records cease to be current and can begin their "in office after active" or "semi-active" phase.*

- **In-office after active**
  Based on the Records Retention and Disposition Schedule (1992-EDN-06), this is 2 years.

- **Semi-active**
  Based on the Records Retention and Disposition Schedule (1992-EDN-06), this is 0 years.

- **Dates of records**
Enter the date of the earliest file and the date of the latest file in this transfer. For this retention schedule, please indicate the month and year the file closed (e.g., 2003-09(September) to 2003-06 (June)).

- **Final disposition date**
Calculate and enter the disposal date for the records (month and year). The records will be ready for imaging 2 years after the latest date. (e.g., ready for disposition 2005-07 (records closed June 2003))

- **Final disposition**
Choose from the drop-down list the final disposition "imaging".

- **Add**
To finalize this transfer item, select the *Add* button. This will attach it to the transfer. To restart and clear the form select the *Reset* button.

  A condensed version of the item details will move to below the form and the form will clear for the next item.

  You can have multiple transfer items in one transfer. This makes tracking your transfer easier. If the series of records have different final disposition dates, a detail will need to be created for each group.
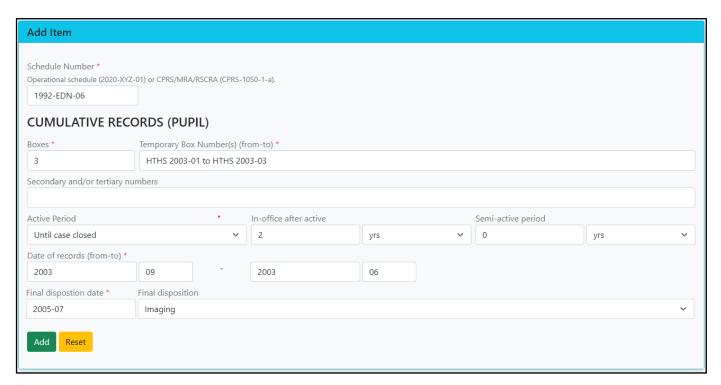
Add Item

Schedule Number *
Operational schedule (2020-XYZ-01) or CPRS/MRA/RSCRA (CPRS-1050-1-a).

1992-EDN-06

CUMULATIVE RECORDS (PUPIL)

Boxes *   Temporary Box Number(s) (from-to) *

3   HTHS 2003-01 to HTHS 2003-03

Secondary and/or tertiary numbers

Active Period   *   In-office after active   Semi-active period

Until case closed   ∨   2   yrs   ∨   0   yrs   ∨

Date of records (from-to) *

2003   09   -   2003   06

Final dispostion date *   Final disposition

2005-07   Imaging   ∨

[Add] [Reset]

Figure 7 Records Transfer Details example for 1992-EDN-06

➢ **Populate item based on previous**

After the first item is added, the option to request another item based on the details will appear at the top of the form. ([Figure 8](#))

If transferring more than one group of records from the same records series but different dates, chose this option. Selecting this option will auto fill the fields with the details of the previous item except for the temporary box numbers, dates of records, and final disposition date.
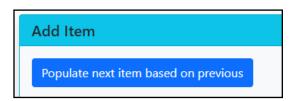

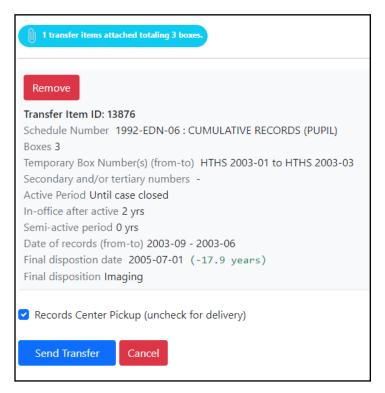*Figure 8 Populate next item based on previous*

Figure 9 Records Transfer Details condensed version

- **Records Centre Pickup** (uncheck for delivery)
  The default setting is for Records Centre to pick up the boxes. If you would prefer to deliver the records, uncheck this box. Either way, Records Centre staff will contact you to arrange a time. It is advised that the Records Centre Staff pick up the boxes for you.

- **Send Transfer**
  To complete the Transfer request, hit *Send Transfer*. If you exit without sending, the system will automatically save incomplete transfer requests as a draft.

  Note: After 30 minutes of inactivity, your login session will time out. If you leave the page you were on, it will take you to a new login. This is for both internal and external clients. Choose the appropriate link to log back in and continue. Any transfer left undone will be automatically saved as a draft.

- **Cancel**
  To cancel the entire transfer before sending it, use the *Cancel* button.

  To only cancel one Transfer item, select the *Remove* button above the Transfer Item. ([Figure 9](#))

2.6 Getting records to Records Centre

Among the information requested in connection with a transfer request, there is the following question: "How will the boxes be transferred to the Records Centre?" You will have two choices. See [Section 2.5.1, Creating a New Transfer Request](#).

Boxes are being picked up by Records Centre staff

If you choose the default setting for *Records Centre to pick up the boxes*, please adhere to the following. These procedures will allow RC staff to pick-up your boxes in a much more efficient and timely manner with the least amount of disruption to you.

Please note that Records Centre reserves the right to defer pick up until issues are resolved.

When RC staff arrive to pick up your boxes:

- They should be grouped together (by detail, see [figure 7](#)) with the temporary box numbers visible.
- Make sure all boxes listed in your request are accounted for.
- Do **not** repeat temporary box numbers. There should not be 2 boxes with the same temporary box number.
- A completed transfer list should be inside each box. **Be sure to file one for your own reference!**
- The temporary box number on the outside of box should match the temporary box number listed on the transfer list inside the box.
- The information required is listed on the end of the box.
- If issues do arise, a contact person within the public body is expected to provide assistance to Records Centre staff.

<u>Boxes are being delivered to Records Centre</u>

If you choose the alternate setting "*Delivered to Records Centre"*, you will be contacted by Records Centre staff to arrange a mutually convenient delivery date. Please note that the sender bears the cost of shipment.

3.   *Requesting files from Provincial Archives*

3.1   *Contacting the Provincial Archives*

Occasionally you may have requests for transcripts of students' files that have been transferred to the digitization section of PANB. Please follow your school district's procedures.

4.   *Additional Assistance*

For questions about transferring student cumulative files to Provincial Archives and any information in this guide*,* please contact the Records Centre: records.centre@gnb.ca.

Records Retention and Disposition Schedule
Calendrier de conservation et de déclassement des documents
(Archives Act 5(1)(b) / Loi sur les archives 5(1)(b))
Provincial Archives of New Brunswick / Archives provinciales du Nouveau-Brunswick

Schedule Number/N° du calendrier: 1992-EDN-06

1. Record Series Title/Titre de la série de document

CUMULATIVE RECORDS (PUPIL)

2. Department *(as defined in the Archives Act)*
Ministère *(selon la définition que donne la Loi sur les Archives)*

EDUCATION

LOCAL SCHOOL BOARDS

**3. Replaces Schedule(s)/
Calendrier(s) remplacé(s)**

1982-EDN-06

4. Inclusive dates/Dates inclusives

to present

**5. Electronic Indexing System/
Système d'indexation électronique**

**6. Arrangement of Records/
Système de classement**

Alphabetical

7. Record Series Description and Purpose/ Description et l'utilité de la série de documents

Consists of a preprinted 3-part folder containing records of marks, personal data, personal traits, family data, extra curricular activities, standardized test data (mental or aptitude) on each pupil in attendance at school. Often includes photo of student at various ages.

Records are microfilmed after transfer to Archives. Microfilm is available to districts upon requests.

To provide a record of achievement for each pupil while attending school in New Brunswick from grade one to graduation or withdrawal from school.

Records Retention and Final Disposition / Calendrier de conservation et déclassement final

8. Active Period Means/Période active signifie: As long as pupil attends school

9. Retention Periods (in years) / Périodes de conservation (n° d'années)

Medium/Format	Active Plus/ Actif plus	Semi-Active/ Semi-Actif	Final Disposition/ Déclassement final
Paper	2	N/A	Destroy
Microfilm Master			Transfer to Archives for preservation

10. Qualifying Factors/Facteurs justifiant la conservation:

Records are microfilmed after transfer to Archives. Microfilm is available to districts upon requests.

APPENDIX B – CPRS-1880 Information Management

1880 INFORMATION MANAGEMENT	ACCESS, PRIVACY, AND INFORMATION MANAGEMENT	CPRS 2023

Description:

Documents the management of the organization's records and information resources. Includes activities relating to the creation, capture, classification, management, protection, retrieval, and disposition of records, as well as the development, implementation, and maintenance of records management strategies and programs.

Examples:

File plans, submissions for schedule approvals, draft records schedules, approved retention schedules, media conversion plans, records management related project development files, records transfer lists, vital records list, disposition notices and authorizations, scanning records project charter, records imaging (digitization), copies of microfilming procedures, microfilm ID sheets, reports of records destroyed in-house, central registry requests, records centre requests, inventories, and microfilm identification sheets.

If you are the Office of Primary Responsibility for this function, see associated Operational Retention and Disposition Schedule(s).

For emergency planning and disaster recovery, see primary 0235.
For records relating to committees, see primary 0185.
For records relating to imaging and systems hardware, see primary 1610.
For records relating to information management software, see primary 1610.
For records relating to security classification information, see primary 1755.
For records relating to web classification, see primary 0395.

Active:	SO (until updated or no longer of administrative use) + 1y
Semi-Active:	0y
Digital Records:	SO+1y
Final Disposition:	SR

Retention Rationale:	Retention based on anticipated business need.
Filing Notes:	- by activity
	- by classification
	- by project
	- by retention and disposition schedule number
	- by transfer number
	- other

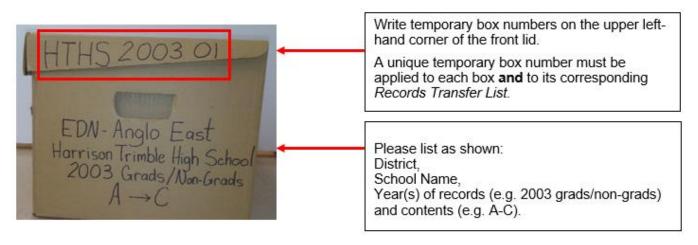## *APPENDIX C – CHECKLIST FOR PREPARING PUPILS' CUMULATIVE RECORDS FOR DIGITIZATION*

____ 1. Necessary supplies have been acquired:

  ✓ Records Centre storage boxes available from Grand & Toy stock # SKU#:BOX or Staples (#STP20657)
  ✓ *Electronic Records Transfer List (RTL) form*
  ✓ *Link to online Records Centre Transfer Request System*

  *Detailed instructions for completing the **RTL** form are included in the directives for Preparing Pupils' Cumulative Records.*

____ 2. Records have been prepared for digitization:

  ✓ Refer to the *Records Retention and Disposition Schedule* **Cumulative Records (Pupil) 1992-EDN-06** for details on what should be included for digitization. For a copy of the *Records Retention and Disposition Schedule* see Appendix A in the directives for *Preparing Pupils' Cumulative Records*.
  ✓ Arrange the group of files by year of graduation, transfer, or withdrawal, followed by student last and first name in alphabetical order.
  ✓ Clearly mark the student's name on the file folders using file labels.
  ✓ Remove all paper clips, elastics, staples, sticky notes, etc.
  ✓ Flatten any folded paper.
  ✓ **DO NOT** use scotch tape to repair paper.
  ✓ Remove any blank or unused forms.

Write temporary box numbers on the upper left-hand corner of the front lid.

A unique temporary box number must be applied to each box **and** to its corresponding *Records Transfer List*.

Please list as shown:
District,
School Name,
Year(s) of records (e.g. 2003 grads/non-grads)
and contents (e.g. A-C).

____ 3. The boxes have been packed:

  ✓ Write a temporary box number on the outside of each box in the sequence the material must be filmed (e.g.: HTHS 2003-01, HTHS 2003-02, HTHS 2003-03, etc.).
  ✓ Complete one *RTL* form per box. **A complete list of files is required.**

_____ 4. <u>Boxes have been sent for digitization</u>:

  ✓ Boxes can either be picked up or shipped.

  ✓ A ***Records Transfer <u>Request</u>*** must be submitted via the online Records Transfer Request System

  ✓ Once the ***Request for Transfer*** has been received and processed, Record Centre staff will notify the records custodian/sender of approval of pick-up and/or shipment. Please note that the sender bears the cost of shipment.

Note: This checklist and detailed instructions on sending Student Cumulative records to the Records Centre are available under *Your IM Strategy* tab on the Corporate Information Management section of the PANB website:
https://archives.gnb.ca/CIM/Default/en-CA