# ANNEX D

## Parks Department - Records Management Services

## INSTRUCTIONS AND GUIDANCE NOTES

TRANSFERRING RECORDS TO THE GOVERNMENT RECORDS CENTRE

# TRANSFERRING RECORDS

This overview should provide information in completing the requirements to transfer records to Government's records centre.

Please allow up to two (2) weeks for collection once a transfer has been approved.

Step One – Contact Records Management Services (RMS)

1. E-mail Nicole Simons at nsimons@gov.bm and Amanda Blakeney at apblakeney@gov.bm.

   *Note 1: An accession number will be issued for each transfer of records (unless other arrangements have been made with RMS). Issuance of an accession number does not indicate priority for records storage.*

Step Two – Prepare Documentation

2. Complete the following records management forms (RMF):

   a. Records Transfer Authorization (RMF-1)
   b. Records Transfer Form – Box List (RMF-2); and/or
   c. Records Transfer Form – File List (RMF-3).

3. E-mail completed RMF-2 and RMF-3 documentation to Nicole Simons and Amanda Blakeney for review:

   a. All documentation will be reviewed and approved prior to scheduling of transfer arrangements.
   b. Please rename forms to indicate agency name and accession number (e.g. RecordsManagementServicesAccession12345)

   *Note 2: Forms will be returned to agencies if they are incomplete or need to be corrected. After amendment, forms will have to be resent for additional review.*

Step Three – Prepare Boxes

4. Pack records in **sturdy** boxes:

   a. Organize files in boxes according to records series or retention and disposition requirements.
   b. Remove all hanging folders, binders, and plastic storage sleeves and folders.
   c. Do not overfill boxes: boxes should weigh between 17 – 23 pounds.

   The following table provides an idea of box approximate weight when filled with reams of legal size (8 ½ x 14) or letter size (8 ½ x 11) paper:

| Reams of Paper | Approximate Weight | Weight Rating |
|---|---|---|
| **3 reams (8 ½ x 11)** | **17 lbs.** | **Ideal** |
| 2 reams (8 ½ x 14) + 1 ream (8 ½ x 11) | 20 lbs. | Acceptable |
| Approximately 4 reams (8 ½ x 11) | 21 | Acceptable |
| 3 reams (8 ½ x 14) | 22 lbs. | Acceptable |
| **3 reams (8 ½ x 11) + 1 ream (8 ½ x 14)** | **23 lbs.** | **Maximum** |
| 3 1/3 reams (8 ½ x 11) + 1 ream (8 ½ x 14) | 25 lbs. | Restricted |
| 2 reams (8 ½ x 14) + 2 reams (8 ½ x 11) | 25 lbs. | Restricted |
| 4 reams (8 ½ x 14) | 28 lbs. | Restricted |

d. If the RMF-3 is completed, place file list(s) in the corresponding box(es).

*Note 3: Records transferred and accompanied by RMF-3 must be individually housed and labelled and individual documents, especially those relating to individuals, should not be dropped into boxes. If records have been removed from a binder or plastic enclosure, they must be placed in a folder, envelope, or some other type of paper-based enclosure.*

*Note 4: Ideally, records scheduled for permanent retention or transfer to the archives should be stored in archival quality boxes (e.g. Hollinger boxes).*

*Note 5: Boxes can be purchased from RMS (use RMF-8 Request for Storage Boxes) or Guardian. We* ***strongly discourage*** *the use Banker's Boxes. Boxes that fall apart while in storage will need to be replaced and the agency will be held responsible for covering the cost of replacement boxes.*

*Note 6: Boxes should not contain personal items or other non-record materials (e.g. telephone books; empty journals, pads, or notebooks; reference materials with no correlation to records, such as Approved Estimates of Revenue and Expenditure for the Year).*

5. Label each box with a sequential number and the assigned accession number:

   a. For example, if an agency is transferring 10 boxes, each box will have a number from 1 to 10; each of these numbers will be followed by "— accession number" in the following manner: 1 – 12345, 2 – 12345, 3 – 12345, etc.
   b. Boxes can be identified by using an adhesive label (printed or handwritten) or using a black, blue, or red medium to thick Sharpie (or similar permanent marker).
   c. The sequential box and accession numbers should be placed on the left side of the shortest side box of approximately 5 ½ to 7 inches from the top edge of the box of the box and approximately 1 – 2½ inches from the bottom edge of the box.


*Note 7: It is not necessary to write any other information on the box and it is preferable boxes contain as little identifying information as possible.*

6. Contact RMS once boxes have been packed and RMS will schedule a time to inspect prepared boxes at the agency's office to ensure they have been prepared correctly for transfer. If the boxes are not prepared correctly, RMS will have to make additional site visits to review the boxes until they have been prepared correctly.

Step Four – Transfer Boxes to the Government Records Centre

7. RMS will schedule a transfer date for the collection or delivery of records.

8. Complete RMF-1:

   a. Write or type the "Scheduled Transfer Date"(item #14); and
   b. Complete or amend "Number of Boxes for Transfer" (item #7)

c. Ensure the head of department has signed the form and that the cost centre and object code have been provided.

*Note 8: If RMF-1 is incomplete, the records will not be collected or accepted.*

9. On date of collection or delivery, give completed RMF-1 and RMF-2 documents to RMS officer(s). Any RMF-3 documents should be placed in relevant boxes.

   *Note 9: RMS can only transfer about 20 – 25 boxes at a time. If a large number of boxes need to be stored, the agency may have to make arrangements with a moving or trucking company.*

   *Note 10: If an agency is transferring a single box (one [1] box) documented at file folder level, on date of collection, give completed RMF-1 and a copy of RMF-3 documents to collecting RMS officers. A copy of the RMF-3 should also be in the box.*

For questions or additional information, contact the Records Management Services (RMS) at 295-5151 ext. 3367 or ext. 3368.

# COMPLETING BOX LISTS (RMF-2) AND FILE LISTS (RMF-3)

The following information should assist agencies in the completion of RMF-2 and RMF-3.

| FIELD NAME(S) | RMF-2 | RMF-3 |
|---|---|---|
| | *Applies to Number(s)* | |
| **SHEET __ OF __**<br>Indicate the number of documents completed for the transfer.<br><br>*Note 1: Sheet information is located in the top right section of each sheet.* | — | — |
| **Department/Office/Section/Unit; Contact Name; Title; Phone Number and Extension; E-mail**<br>Indicate contact details for the individual responsible for creating or managing the records.<br><br>*Note 2: The contact for the records may not necessarily be the individual completing the transfer documentation (e.g. an office administrator or manger may complete the documentation but a technical officer creates and uses the records). Please provide the name of the individual who can provide the most information about the creation, function, and relevance of the records.*<br><br>*Note 3: If responsibility for the records is being transferred from one agency to another, please provide the contact information for the individual responsible at the agency to which the records will be transferred.* | 1 - 5 | 1 - 5 |
| **Accession Number**<br>Indicate the accession number assigned to the agency for the records transfer.<br><br>*Note 4: This number is issued by Records Management Services (RMS). Please contact Nicole Simons nsimons@gov.bm / Ext. 3368 or Amanda Blakeney apblakeney@gov.bm / Ext. 3367 for assistance.* | 6 | 6 |
| **RMF-3 Attached**<br>Indicate (by selecting "No" or "Yes") whether file list transfer forms completed for the transfer.<br>If an agency checks "Yes," the agency should mark the check box in the RMF-3 column next to the description to indicate the box or boxes that are documented at file level.<br><br>*Note 5: The use of file lists supports audit and tracking and facilitates disposition to meet legislated recordkeeping requirements (e.g. privacy requirements). Further, while established procedures are executed to safeguard agency records, Libraries and Archives will not accept responsibility and shall not be held responsible for any losses arising from or in respect of transferred record items that are not documented at file level.*<br><br>*Note 6: If an agency is transferring more than one (1) box, and the transfer includes boxes that will be documented at file level, all boxes must be listed on RMF-2.* | 7 | — |
| **Box Number**<br>Indicate the sequentially assigned box number(s) for the box(es) to be transferred.<br><br>*Note 7: Agencies must sequentially number the boxes to be transferred. For example, if an agency is transferring 10 boxes, each boxes will have a number from 1 – 10. Write/label the number of the box on the right side of the front of the box approximately 5 ½ to 7 inches from the top of the box and approximately 1 – 2½ inches from the box edge.* | 8 | 7a |
| **Single Box Transfer**<br>Indicate (by selecting "No" or "Yes") whether transfer covers a single box only.<br><br>*Note 8: If an agency is transferring a single box, that transferring only one (1) box, and wants to document the transfer at file level, the agency is not required to complete RMF-2.* | — | 7b |
| **Records Series Title; Classification**<br>Indicate the series name and classification code/number for the records.<br><br>*Note 9: This information would be found on approved records retention and classification schedules for the agency. If an agency does not have an approved schedule or classification system, these fields may be left blank.* | — | 8, 9 |

| Field Name(s) | RMF-2 | RMF-3 |
|---|---|---|
| | *Applies to Number(s)* | |
| **GRC Box #**<br>This field will be completed by RMS.<br><br>*Note 10: Box numbers will be automatically generated by the database used to assist in records storage management. These numbers will correspond to each sequentially numbered box transferred and should be used when requesting records.* | 9 | — |
| **Description**<br>Indicate a description of the records (box contents or file folder titles).<br><br>*Note 11: Descriptions should assist agencies in retrieving records from storage and will assist when documentation is sent from RMS for the disposition of the records after retention requirements are met. Remember the following advice Keep descriptions short but meaningful, Information that will assist the agency in retrieving a box from storage should be entered in this field.* | 10 | 10 |
| **Trigger Date**<br>Indicate the date from which the retention period for the records must be calculated.<br><br>The trigger date is the date an event occurs to start the calculation for the total time period records must be kept to meet recordkeeping requirements (business, legal, audit, financial, etc.).<br><br>An event could be (but is not limited to):<br><br>• the date records were created/opened<br>• the date the records were closed<br>• the date a client was discharged<br>• the date a committee, board, or tribunal made a decision<br>• the date of approval<br>• the date of termination or separation<br>• the date the calendar year or fiscal year ended<br>• the date of receipt<br>• the date of project completion<br>• the date of notification or issuance<br>• the date of write off, sale, final payment, or expiration<br>• the date a contract was terminated<br><br>The trigger date will be determined by business needs and may be stipulated in legislation or standards.<br><br>*Note 12 – For Active Files: If files are still active, indicate the date file volumes are closed or transferred to storage. This date may not be entered into our system but will be used if a “From Date” is required.*<br><br>*An active record, or current record, is a record (file) an agency uses with sufficient frequency. An active record relating to a client, case, or subject may be large and require an agency to create multiple file volumes (e.g. UFO sightings vol. I, UFO sighting vol. II, etc.). Earlier volumes of the file may not be used as frequently even though all volumes may be or are required to meets business needs. Closed volumes of active files may be sent to storage but the agency must indicate files are active by selecting the disposition outcome reclassify (“R”) for item 15 DISP. The trigger date for active files will have to be added or amended when the agency has finished using all volumes of the record.*<br><br>*Note 13: Agencies should supply a complete date using the MMDDYYYY format, which complies with the current system used. If an agency only supplies a month and year (for example, May 2019 or 05/2019) the last day of the month indicated will be used.* | 11 | 11 |
| **RTN**<br>Indicate the retention (RTN) period for the records.<br><br>The retention period is the number of years records are needed or must be kept after the “Trigger Date” to ensure all business, fiscal, legal, audit, and other recordkeeping requirements are met. For example, if the records are needed for ten (10) years after they are closed, then the retention period is 10 years. If the “Trigger Date” is March 31, 2019, and records must be kept for 10 years, recordkeeping requirements will end on April 1, 2029. | 12 | 12 |

| **FIELD NAME(S)** | **RMF-2** | **RMF-3** |
|---|---|---|
| | ***Applies to Number(s)*** | |
| **C**<br>Indicate the relevant condition (C) for calculating retention periods.<br><br>This could include a calculation based on the<br>• CY for calendar year<br>• FY for fiscal year<br><br>*Note 14: Section 22 of Financial Instructions indicates records must be retained in accordance with the fiscal year.* | 13 | 13 |
| **DISP**<br>Indicate what the agency thinks should happen to the records after records have met retention requirements.<br><br>Suggested final outcome or disposition (DISP) for the records include:<br><br>• DE for destroy<br>• FR for Full Retention<br>• P for permanent<br>• R for Reclassify (for active files)<br>• SR for review and selective retention of specific records. | 14 | 14 |

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# RECORDS TRANSFER – BOX LIST



**1. Department/Office/Section/Unit** Department of Aeronautics and Space

| | |
|---|---|
| **2. Contact Name** Michael Burnham | **3. Title** Science Specialist |
| **4. Phone Number and Extension** 295-5151 Ext. 6789 | **5. E-mail** mburnham@gov.bm |
| **6. Accession Number** 195199 | **7. RMF-3 Attached*** ☐ No ☒ Yes |

*** NOTE**: *Libraries and Archives will not accept responsibility and shall not be held responsible for any losses arising from or in respect of transferred record items that are not documented at file level.*

| 8. Box # | 9. GRC Box # | 10. Description | RMF-3 | 11. Trigger Date | 12. RTN | 13. C | 14. DISP |
|---|---|---|---|---|---|---|---|
| 1 | | 2017 – 2018 Payments – Vendors "A" – "F" | ☐ | 3/31/2018 | 6 | FY | DE |
| 2 | | Budget and Estimates 2018 – 2019 | ☐ | 3/31/2018 | 6 | CY | DE |
| 3 | | Consultation on Kepler-452b Settlement 2010 - 2015 | ☒ | 9/30/2015 | 10 | CY | SR |
| 4 | | Consultation on Kepler-452b Settlement 2010 - 2015 | ☒ | 9/30/2015 | 10 | CY | SR |
| 5 | | Extraterrestrial Registration and Tracking 2009 | ☒ | 12/31/2009 | 75 | CY | SR |
| 6 | | 2017 – 2018 Payments – Vendors "G" – "Z" | ☐ | 3/31/2018 | 6 | FY | DE |
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|---|---|
| **Boxes Processed By** | **Date Processing Completed** |

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# RECORDS TRANSFER FORM – FILE LIST



**GRC Box Number**

**1. Department/Office/Section/Unit** Department of Aeronautics and Space

| | |
|---|---|
| **2. Contact Name** Michael Burnham | **3. Title** Science Specialist |

| | | |
|---|---|---|
| **4. Phone Number and Extension** 295-5151 Ext. 6789 | **5. E-mail** mburnham@gov.bm | **6. Accession Number** 195199 |

| | | | |
|---|---|---|---|
| **7a. Box Number** 3 | **7b. Single Box Transfer** ☒ No ☐ Yes | **8. Records Series Title** Consultation Case Files | **9. Classification** 158-005 |

| Item # | 10. Description | 11. Trigger Date | 12. RTN | 13. C | 14. DISP |
|---|---|---|---|---|---|
| 1. | Town Hall Transcripts – St. George's ( 1/2013 and 1/2014) & Sandy's (03/2013 and 03/2014) | 9/30/2015 | 10 | CY | FR |
| 2. | Town Hall Transcript – Hamilton (6/2012, 5/2013, 5/2014) | 9/30/2015 | 10 | CY | FR |
| 3. | General planning and administration file | 9/30/2015 | 10 | CY | DE |
| 4. | National survey returns 2014 | 9/30/2015 | 10 | CY | DE |
| 5. | Kepler-452b Settlement Committee Minutes 2010 - 2012 | 9/30/2015 | 10 | CY | FR |
| 6. | Kepler-452b Settlement Committee Minutes 2013 - 2014 | 9/30/2015 | 10 | CY | FR |
| 7. | Kepler-452b Settlement Committee Minutes 2014 - 2015 | 9/30/2015 | 10 | CY | FR |
| 8. | Committee Final Report and Recommendations | 9/30/2015 | 10 | CY | FR |
| 9. | Consultation documents (publications for general public; private sector; elementary, middle, and high schools) | 9/30/2015 | 10 | CY | FR |
| 10. | Committee correspondence – administrative | 9/30/2015 | 10 | CY | DE |
| 11. | Committee correspondence – policy development | 9/30/2015 | 10 | CY | FR |
| 12. | Submissions – technical reports [relevant] | 9/30/2015 | 10 | CY | FR |
| 13. | Submissions – technical reports [not related to consultation] | 9/30/2015 | 10 | CY | DE |

| | |
|---|---|
| **Box Contents Processed By** | **Date Processing Completed** |