

# RECORDED INFORMATION MANAGEMENT MANUAL

Government Records Service	RIM Number: RIM 502
Province of British Columbia	Approval Date: 2015/03/10
<b>Policy: RECORDS TRANSFER TO THE GOVERNMENT ARCHIVES</b>	
<b>AUTHORITY</b>	
From <i>Core Policy and Procedures Manual, 12.3.3 Part III</i>	
General: Records deemed to have enduring value will be preserved in the government archives.	
(c) Storage and Disposition of Government Records: Government records scheduled for archival retention must be maintained in a manner that preserves their integrity and authenticity up to and throughout transfer to the government archives.	
Security Classification: PUBLIC	

## 1. SCOPE

This policy establishes the requirements for transferring government records to the government **archives** when they become eligible under approved **records schedules**.

### 1.1 Authority

- [Document Disposal Act](#) (RSBC 1996, c. 99)
- [Core Policy and Procedures Manual \(CPPM\), c.12](#)
- [Museum Act \(SBC 2003, c. 12\)](#)

### 1.2 Applicability

Ministries, agencies, boards, commissions, and Crown corporations covered by the *Document Disposal Act*.

## 2. POLICY

**Government records** that have been scheduled for transfer to the government archives must, after they have become **inactive**, be transferred securely and with appropriate documentation.

Records become inactive when their scheduled active and semi-active retention periods have expired, and they have reached the final phase of the records **life cycle**, referred to in records schedules as "**Final Disposition**" (FD). Records scheduled for "**Full Retention**" (FR), are immediately eligible for transfer to the archives. Records scheduled for "**Selective Retention**"

(SR) must typically undergo **archival selection** before any transfer can occur. Archival selection involves identifying records that warrant archival preservation, and those that do not; the former will be transferred to the government archives in accordance with this policy, and the latter will be destroyed in accordance with RIM 501 *Records Destruction*.

In order to maintain security, confidentiality, and **integrity** of the records, their transfer to the archives must be managed, authorized and documented appropriately, and must be administered by Government Records Service (GRS).

Records must be transferred with adequate documentation to enable development of archival access tools.

The *Museum Act* (s.4) authorizes the [Royal British Columbia Museum](#) to hold and manage the archives of government, including preserving and providing access to them.

## 2.1 Conditions for Archival Transfer

Records transfer to the government archives must only occur under the following conditions:

- 2.1.1. The records are covered by **approved records schedules**. A documented, approved archival **appraisal** is necessary before transfer can occur, and this requires an approved records schedule (i.e., *Administrative Records Classification System (ARCS)*, program-specific *Operational Records Classification Systems (ORCS)*, government-wide **Special Schedules**, or another **ongoing or one-time records schedule**).
- 2.1.2. The records are scheduled for “FR” (**full retention**) or, if they are scheduled for “SR” (**selective retention**), the archival selection process has been completed and signed off by an authorized archivist.
- 2.1.3. The records are **inactive** and are not required for a current or upcoming litigation or other special purpose. (For records in storage, the last opportunity to confirm this is when GRS notifies the ministry/agency of the records transfer to the government archives, 60 days in advance of the intended date.)
- 2.1.4. In order for GRS to manage the transfer, records must first be located in storage space managed by GRS. Records that are in the ministry/agency office, on a computer server, or in other space **not** managed by GRS cannot be transferred to the government archives until they have been moved to GRS-managed space<sup>1</sup>.
- 2.1.5. The records have appropriate accompanying **documentation** (including **metadata**) that meets the following requirements:

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<sup>1</sup> Physical records need to be in an approved offsite records storage facility (see RIM 422 *Preparation of Records for Offsite Storage*). To enable transfer of digital records, a digital archives is in the planning stages.

- **Identifies the office(s)** that created and used the records over time, and the ministries or agencies they were part of (i.e., **provenance**<sup>2</sup>),
- **identifies specific files** and/or other aggregations of records (i.e., file list that complies with RIM 422B *Specifications for File Lists*, or equivalent documentation), and
- **provides search capabilities** for future users that approximate those available within the office that created and used the records (e.g., spreadsheets generated from a database used to track case files and enable searches by name, registration number, date, etc.)

2.1.6. A review has taken place to ensure that there are no ongoing business needs, relevant litigation, or searches under the *Freedom of Information and Protection of Privacy Act* (RSBC 1996, c. 165) that should delay records transfer (known as a **hold on disposition**).

### 3. ROLES AND RESPONSIBILITIES

#### 3.1. Government Records Service (GRS)

GRS administers the selection, transfer and documentation of government records that are scheduled for selective retention (SR) or full retention (FR) by the government archives. This includes:

- Establishing archival transfer policy,
- Liaising with the Royal BC Museum,
- Ensuring that records are transferred only if all required archival selection work has been completed,
- Ensuring that records are properly documented before being transferred, and
- Administering the transfer process, including notifications of pending transfers and ministry/agency requests to defer transfer (i.e., “holds”).

#### 3.2. Ministries and Agencies

Ministries and agencies are responsible for:

- Ensuring that both physical and **digital records** scheduled for full or selective retention in the government archives are maintained and documented in a manner that ensures they remain secure and accessible, while retaining their integrity,
- Sending records scheduled for transfer to the government archives to storage managed by GRS, when or before they become inactive, to enable GRS to administer transfer of **legal custody** to the archives, and

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<sup>2</sup> GRS routinely gathers this information from ministries and agencies, inputs it into the ARIS database, and uses it to produce indented organization charts (ARS472) and to track ownership of records in offsite storage.

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- Complying with this policy and other relevant RIM policies and specifications.

RELATED POLICIES AND SPECIFICATIONS
<p>Policies and specifications that closely relate to this policy include:</p> <p style="margin-left: 20px;">RIM 423 <i>Provision of Offsite Records Storage Services</i></p> <p style="margin-left: 20px;">RIM 203 <i>Archival Appraisal of Government Records</i> <span style="color: red;">Draft</span></p> <p style="margin-left: 40px;">RIM 203A <i>Specifications for Archival Selection</i> <span style="color: red;">Draft</span></p>
RELATED GUIDES – see RM Guides and Online Training Modules
n/a

Revision History
First approved: 2015/03/10 Revised: n/a
<p>This supersedes the following policies:</p> <ul style="list-style-type: none"> <li>2-03 <i>Authority to Apply Records Schedules</i> (partially)</li> <li>2-04 <i>Disposition of Government Records</i> (partially)</li> <li>5-06-18 <i>Transfer of Records to Archival Custody</i></li> <li>IM/IT Supplement 2007 (<i>policy supplement to CPPM formerly posted by IM/IT Governance Branch of the Office of the Government CIO</i>):               <ul style="list-style-type: none"> <li>12.3.3 III (c) iii. Preserving Records until Final Disposition</li> </ul> </li> </ul>

Index and Glossary Terms – see <a href="#">RIM Glossary</a> for definitions of terms that appear in bold blue text (for the first usage of each term in the policy, as well as below)		
<b>Appraisal</b>	<b>Holds on disposition</b>	<b>Ongoing records schedule</b>
<b>Archival selection</b>	<b>Inactive records</b>	<b>ORCS</b>
<b>Archives</b>	<b>Indented Organizational Chart</b>	<b>Provenance</b>
<b>ARCS</b>	<b>Integrity</b>	<b>Records schedule</b>
<b>Digital records</b>	<b>Legal custody</b>	<b>Records storage facility</b>
<b>Final disposition</b>	<b>Life cycle</b>	<b>Selective retention</b>
<b>Full retention</b>	<b>Metadata</b>	<b>Special Schedule</b>
<b>Government records</b>	<b>One-time records schedule</b>	