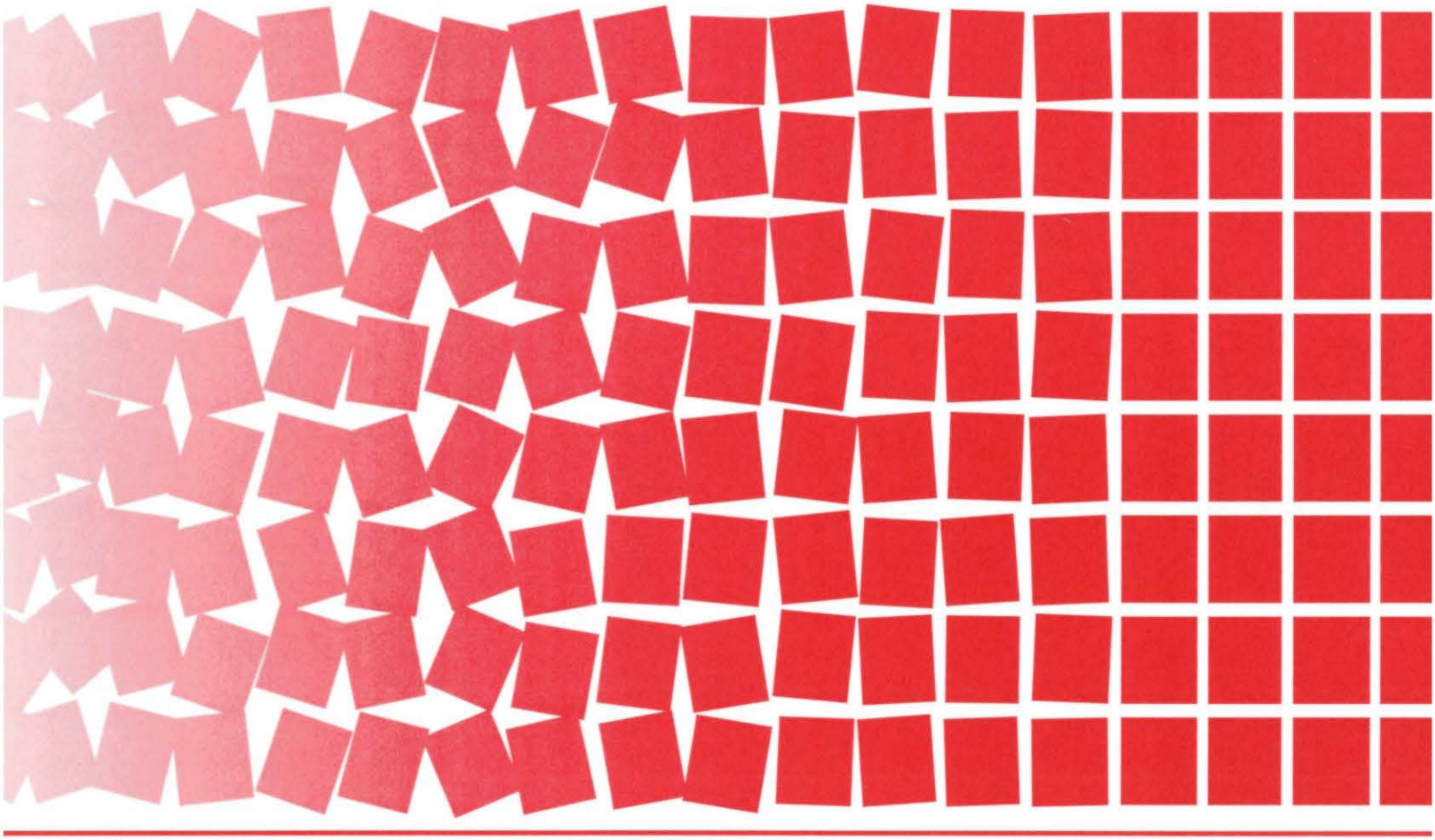
PAYROLL SERVICES

OPERATIONAL RECORDS CLASSIFICATION SYSTEM



BRITISH COLUMBIA

CORPORATE INFORMATION
MANAGEMENT BRANCH

PAYROLL

SERVICES

OPERATIONAL

RECORDS

CLASSIFICATION

SYSTEM

Corporate Information
Management Branch

Library and Archives Canada Cataloguing in Publication Data
British Columbia. Corporate Information Management Branch.
Payroll Services operational records classification system

These records document the administration and delivery of BC government payroll and HRMS services. Cf. Executive summary.
ISBN 978-0-7726-5904-0

1. British Columbia. Payroll Services - Public records - Handbooks, manuals, etc. 2. British Columbia - Officials and employees - Salaries, etc. - Public records - Handbooks, manuals, etc. 3. Administrative agencies - British Columbia - Personnel management - Handbooks, manuals, etc. 4. Records retention - British Columbia - Handbooks, manuals, etc. 5. Classification - Public records - Handbooks, manuals, etc. I. Title.

JL429.5.P37B74 2008 352.4'7238709711 C2008-960007-X

ORCS REGISTER OF FORMAL AND ADMINISTRATIVE AMENDMENTS

This register lists all changes made to the *Payroll Services ORCS* and approved by either the Legislature (formal amendments) or the Public Documents Committee (PDC) Secretary (administrative amendments). Each amendment is uniquely identified as follows:

- **Formal amendments**: Schedule application number assigned to the amendment and used during the review and approval process conducted by the relevant ministry/agency, Records Management Operations (RMO), PDC, the Public Accounts Committee, and the Legislature; e.g., 123456.
- **Administrative amendments**: ADAM plus a registration number issued by Records Management Operations (RMO); e.g., ADministrative AMendment number thirty-eight is ADAM 38.

For administrative amendments policy and guidelines, see Recorded Information Management (RIM) policy entitled "Administrative Amendment of Approved Records Schedules" (CORP006) and *Standard ORCS Kit* chapter 3, section 3.3.

For more information about the changes listed here, see the relevant section, primary, and/or secondary; the *ORCS* may also have an appendix that provides a more detailed summary of changes.

Unique identifier (ADAM # or Schedule #)	**Date Approved**	**Section/ Primary/ Secondary**	**Changes**
ADAM 052	2014/11/04	Secondary 63560-13	Revised the note to remove reference to missing 1988 T4 book.
			.

Records Management Operations

Schedule number: 190091

Registration number: ADAM 052

ADMINISTRATIVE AMENDMENT APPROVAL FORM (ARS 636)

DESCRIPTION

Upon approval of this administrative amendment, a note in secondary 63560-13 will be revised to reflect that the 1988 T4 book was found. The note, under 63560-13 Payroll Operations – Payroll Accounting, currently reads:

> NOTE: These books contain the T4 information of provincial government employees from 1960 to 1987, and from 1989 to 1995. The 1988 book is missing. In 1996, T4 books were replaced by CHIPS and the T4 amendment supporting files classified under secondary -12.

The proposed amendment will eliminate the reference to the missing 1988 T4 book, which has since been found. If approved, the note will read:

> NOTE: These books contain the T4 information of provincial government employees from 1960 to 1995. In 1996, T4 books were replaced by CHIPS and the T4 amendment supporting files classified under secondary -12.

See attached amended pages from the *Payroll Services ORCS*, and memo from the Records Officer authorizing these changes.

REVIEW AND APPROVAL SIGNATURES

Records Management Operations (RMO) approves the schedule change as an administrative amendment.

1. Prepared by:
2014/11/04
Maxwell Otte, Archivist, GRS YYYY/MM/DD

3. Approved by:
2014/11/04
Glen Isaac, Manager, GRS YYYY/MM/DD

2. Approved by:
2014/11/04
Lynne Tibbitt, Secretary
Public Documents Committee YYYY/MM/DD

Effective date: 20 / /
(if different than approved date) YYYY/MM/DD

approver initials

BRITISH COLUMBIA

Schedule No. 190091

RECORDS RETENTION AND DISPOSITION AUTHORITY

Accession No. see "How to Use ORCS" part 3.9.1

This is a recommendation to authorize an operational records classification and scheduling system.

Title: *Payroll Services Operational Records Classification System*

Labour and Citizens' Services
Shared Services BC
Common Information Technology and Payroll Services
Provincial HR Management Systems Partnership
Payroll Services

Description and Purpose:

The *Payroll Services Operational Records Classification System* (*ORCS*) covers all operational records created, received, and maintained by the Payroll Services office.

These records document the administration and delivery of BC Government payroll and HRMS services.

For further descriptive information about these records, please refer to the attached executive summary.

Date range: 1960 ongoing	**Physical format of records: see attached schedule**
Annual accumulation: 11.4 cubic meters	

Recommended retention and disposition: scheduled in accord with attached *ORCS*.

THE UNDERSIGNED ENDORSE THE RECOMMENDATIONS:

J. B. Turner — June 19/2006
Records Officer — Date

Executive Director/ADM — Date

Deputy Minister/Corporate Executive — Date

THE PUBLIC DOCUMENTS COMMITTEE CONCURS:

S. Mitchell — 19 JAN 2007
Chair, PDC — Date

THE SELECT STANDING COMMITTEE ON PUBLIC ACCOUNTS APPROVES THE RECOMMENDATION OF THE PUBLIC DOCUMENTS COMMITTEE:

April 4 2007
Date

APPROVED BY RESOLUTION OF THE LEGISLATIVE ASSEMBLY:

Nov 22 2007
Date

OTHER STATUTORY APPROVALS:

Signature — Date — Signature — Date
Title: — Title:

Schedule No. 190091

CONTACT: Lisa Woods, Executive Assistant, Provincial HRMS Partnership Branch, telephone (250) 356-8751

RECORDS MANAGEMENT APPRAISAL:

This appraisal documents the recommendation for active and semi-active retention periods.

These records are created and received under the authority of the *Employment Standards Act* (RSBC 1996, c.113), the *Public Service Act* (RSBC 1996, ch.385), the Collective Agreements between the BC Government and the BC Public Service, the terms and conditions that govern excluded employees of the Public Service, and subsequent legislation governing the operational responsibilities and functions of the creating agency.

Functional duplicates and microfilmed records are indicated under appropriate classification headings.

The retention and final disposition guidelines specified in the attached *Operational Records Classification System* meet the creating agency's information requirements, ensure fiscal and audit control, protect government's legal rights and liabilities, and provide for effective management of the agency's operational functions. Upon expiry of the active and semi-active retention periods, the records covered by this recommendation will no longer be of any primary value to government.

The retention and final disposition guidelines have been established in consultation with the Records Officer and staff and managers of all branches conducting operational functions in the creating agency.

Records Analyst — Date: 2006/03/07

ARCHIVAL APPRAISAL:

This appraisal documents the recommendation for final disposition.

The final disposition recommendations protect records considered to have significant evidential and historical values. The specific reasons for retaining certain records are stated within the *ORCS*, as well as in the Executive Summary.

Record series or groups of records which will be retained in their entirety are indicated by "Full Retention."

Record series or groups of records which will be retained in part are indicated by "Selective Retention." Selective retention means that portions of the record series will be retained by means of recognized archival selection criteria. For the meaning of selective retention with respect to a specific record series, see the attached schedule.

The definitions of both selective and full retention provide that records will be preserved in the government archives, and that unnecessary duplicates, transitory materials, and ephemera may be discarded.

Archivist — Date: 2006/03/07

The undersigned endorses the appraisal recommendations:

Director, Corporate Records Management Branch — Date: 2006/03/08

This records schedule is approved in accordance with the *Document Disposal Act* (RSBC 1996, c. 99). It constitutes authority for retention and disposition of the records described herein provided *ORCS* has been implemented according to standards approved by Corporate Information Management Branch. For assistance in implementing *ORCS*, contact your Records Officer.

A SA FD

PAYROLL SERVICES

OPERATIONAL RECORDS CLASSIFICATION SYSTEM (ORCS)

EXECUTIVE SUMMARY

This *Operational Records Classification System (ORCS)* establishes a classification system and retention and disposition schedule for the operational records created by the Provincial Human Resource Management System (HRMS) Partnership Branch and by the payroll/HRMS service provider on its behalf.

These records document the administration and delivery of BC Government payroll and HRMS services.

The active and semi-active retention periods specified in the schedule meet all operational, administrative, legal, fiscal, and audit requirements. Corporate Information Management Branch (CIMB) has reviewed the final dispositions to ensure that records having enduring evidential and historical values are preserved.

This *ORCS* covers payroll/HRMS records that were created and received since 1960, which corresponds to the T4 books covered by this *ORCS*. Other records relating to the functions documented in this *ORCS* have been disposed of under the *Administrative Records Classification System* (*ARCS*) and appraised and scheduled under one-time records schedule(s) and/or under ongoing records schedule(s), and transferred to the government archives or destroyed as appropriate.

The following summary describes the types of records covered by this *ORCS* and identifies their retention periods and final dispositions. In this summary, record types are linked to the *ORCS* by primary and secondary numbers. Please consult the *ORCS* manual for further information.

(continued on next page)

A = Active
SA = Semi-active
FD = Final Disposition
PIB = Personal Information Bank
PUR = Public Use Records
OPR = Office of Primary Responsibility
CY = Calendar Year
FY = Fiscal Year
NA = Not Applicable
w = week m = month
y = year
SO = Superseded or Obsolete
DE = Destruction
SR = Selective Retention
FR = Full Retention
FOI = Freedom of Information/Privacy
VR = Vital Records

This records schedule is approved in accordance with the *Document Disposal Act* (RSBC 1996, c. 99). It constitutes authority for retention and disposition of the records described herein provided *ORCS* has been implemented according to standards approved by Corporate Information Management Branch. For assistance in implementing *ORCS*, contact your Records Officer.

		A	SA	FD
1)	Policy and Procedures (secondary -00 throughout *ORCS*)	SO	5y	FR

FR = Throughout this *ORCS*, the government archives will fully retain policy and procedure files created by offices having primary responsibility for policy and procedures development and approval. These records have evidential value.

2)	Master Service Agreement Records			
	(secondaries 63360-02, -04, -05, and -06)	SO	7y	FR
	(secondaries 63360-03 and -07)	SO	7y	DE

These records document the service provider's compliance with the payroll/HRMS Master Service Agreement.

SO = when contract expires or is terminated, upon conclusion of all extensions to the contract, and upon completion of any litigation

7y = The seven-year retention period is based on the six-year limitation period for commencing an action with respect to a contract under the *Limitation Act* (RSBC 1996, c. 266, s. 3).

FR = The government archives will fully retain the Master Service Agreement and amendments and related plans, reports, surveys and legal advice because they document the provincial government's partnership with a private company in the delivery of payroll and human resource management system services, including planning directions, service levels, customer satisfaction, and issues and risks affecting the agreement.

3)	Payroll and HRMS Performance Records			
	(secondary 63380-03)	SO	7y	FR
	(secondary 63380-04)	SO	7y	DE

These records document payroll and HRMS performance levels.

SO = upon production of the benchmark report, and when no longer required for reference purposes

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		A	SA	FD

7y = The seven-year retention period is sufficient for review and analysis, and is consistent with the retention period for other records in this primary block.

FR = The government archives will fully retain payroll and human resource management system (HRMS) performance benchmark reports because they measure the performance of and show improvements to payroll and HRMS administration over time.

4)	Payroll/HRMS Client Agreement Files (secondaries 63320-30 and -40)	SO	7y	DE

These records document the negotiation of agreements with existing and new payroll/HRMS clients.

SO = upon termination of agreement and completion of any litigation, or when agreement for services unlikely to result

7y = The seven-year retention period ensures that agreements are retained for the six-year limitation period for commencing an action with respect to a contract under the *Limitation Act* (RSBC 1996, c. 266, s. 3).

5)	Employee Pay, Time, and Leave Records (paper and electronic records) (secondary 63580-20)	SO	7y	DE
	(secondaries 63580-30 and -40)	SO+7y	nil	DE

These records document the BC Government's biweekly payroll, as well as employee work schedule and leave information.

SO = upon retirement, resignation, or employment termination from the BC public service

7y = The seven-year retention period ensures that an employee's pay, work schedule, and leave information are retained for two years after employment termination required under the *Employment Standards Act* (RSBC 1996, c. 113, s. 28 [2]). It also ensures that the records are retained for the five years allowed for purchasing pensionable service and are available to taxation authorities which have the right under the *Income Tax Act* (RSC 1985, c. I-5, ss.

(continued on next page)

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		A	SA	FD
	230(4) and 231.1) to investigate income tax returns filed for the previous six years.			
6)	Employee Benefit Files (secondary 63520-20) (electronic records)	SO+7y	nil	DE

These records document employee enrollment in optional benefit programs (e.g., Medical Services Plan [MSP], Extended Health, Dental, Deferred Salary Leave, and Benefit Continuation While on Leave without Pay), as well as information on life insurance claims and beneficiaries.

SO = upon termination of eligibility for coverage

7y = The seven-year retention period is based on the six-year limitation period for commencing an action with respect to a contract under the *Limitation Act* (RSBC 1996, c. 266, s. 3).

7)	Group Life Claim Files			
	(secondary 63520-30)	SO	7y	DE
	(secondary 63520-35)	SO	NA	NA

These records document life insurance claims that are paid out and not disputed or appealed. (Group Life claim files that are disputed and appealed are sent to the carrier for resolution. The digitized images of those files are classified under the relevant employee benefit file [see number 6 above]).

SO = when scanned and paid out, or when scanned and reclassified under secondary -35

7y = The seven-year retention period is based on the six-year limitation period for commencing an action with respect to a contract under the *Limitation Act* (RSBC 1996, c. 266, s. 3).

8)	Overtime, Shift, Standby (OSS) forms (secondary 63580-03)	CY+1y	6y	DE

These records document Professional Employee Association members' annual allocations of their premiums to their base pay (i.e., cash, time off, or a combination of both).

(continued on next page)

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		A	SA	FD

8y = The eight-year retention period ensures that an employee's pay records are available to taxation authorities which have the right under the *Income Tax Act* (RSC 1985, c. I-5, ss. 230(4) and 231.1) to investigate income tax returns filed for the previous six years.

9)	TOL Not Signed Off (NSO) Reports (secondary 63580-05)	CY+1y	6y	DE

These records document employees' additions to their base pay that are approved by their expense authorities after the pay period.

8y = The eight-year retention period ensures that an employee's pay records are available to taxation authorities which have the right under the *Income Tax Act* (RSC 1985, c. I-5, ss. 230(4) and 231.1) to investigate income tax returns filed for the previous six years.

10)	Records of Employment (ROEs) Forms (secondary 63580-04) (electronic records)	CY+7y	nil	DE

These records document the employment history of terminated employees in the ROE format required by the federal government for processing employment insurance claims.

8y = The eight-year retention period ensures that ROE serial numbers are retained for the six years required by the federal government agency responsible for employment insurance (currently Human Resources and Skills Development) and is consistent with the retention period for other payroll records covered by this primary.

11)	Payroll Accounting Records			
	(secondaries 63560-02, -05, -06, -11, -12, and -13)	CY+1y	6y	DE
	(secondaries 63560-08, -09, -20, and -30)	FY+1y	6y	DE

These records document the balancing and reconciliation of the BC Government's payroll.

(continued on next page)

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	A	SA	FD

8y = The eight-year default retention period is based on the six-year assessment period under the *Income Tax Act* (RSC 1985, c. I-5, s. 230[4]) and is consistent with the retention period for other payroll records in this primary block.

12) Electronic Records — DE

The following electronic databases are covered by this *ORCS*: Corporate Human Resource Information and Payroll System (CHIPS), Foxpro Benefit Information System (Foxpro), and Time On Line (TOL). The Information System Overview section provides information about the electronic systems, inputs and outputs and routine back-ups. Notes under the relevant *ORCS* secondaries provide information about the classification and scheduling of the records. These records have no enduring value to government at the end of their scheduled retention period.

13) All Other Records — DE

All other records are destroyed at the end of their semi-active retention periods. The retention of these records varies depending on the nature of the records and the function performed, but does not exceed seven years after they are superseded or obsolete. The information these records contain is summarized elsewhere, or reflects policies and procedures adequately documented in records covered by the -00 Policy and procedures secondaries. Significant issues are documented in records which will be retained under the provisions of this *ORCS,* as well as in briefing notes to the ministry executive (*ARCS* secondary 280-20) and annual reports (*ARCS* secondary 442-20). These records have no enduring value to government at the end of their scheduled retention periods.

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PAYROLL SERVICES

OPERATIONAL RECORDS CLASSIFICATION SYSTEM

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HOW TO USE *ORCS*

For further information, call your Records Officer,
Blair Turner, 387-2887

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PART 1

THE *OPERATIONAL RECORDS CLASSIFICATION SYSTEM* (*ORCS*)

1.1 General Introduction

The purpose of this chapter of the *ORCS* Manual is to explain the nature, purpose, and usage of the *ORCS*. This chapter is a training tool which should be read by anybody attempting to classify, file, retrieve, or dispose of records covered by the *ORCS*. It is also a reference tool which can help users understand how to implement the *ORCS* and interpret specific parts of it.

This chapter is organized into three parts. Part One gives an overview of *ORCS* in general and an introduction to this *ORCS* in particular. Part Two explains how to read a primary, the basic building block of the *ORCS*. Part Three gives detailed background information on the records management system used by the BC Government, and procedures for using the *ORCS* as part of this system.

1.2 What is an *ORCS*?

ORCS is a combined records classification and scheduling system that facilitates the efficient and systematic organization, retrieval, storage, and destruction or permanent retention of the government's operational records.

A standard classification system such as *ORCS* is the cornerstone of an effective records management program. Each *ORCS* is tailored to fit the specific operational records relating to a function or program of government.

ORCS is also a records scheduling system. A records schedule is a timetable that governs the life span of a record from creation, through active use within an office and retention in off-site storage, to destruction or transfer to the government archives.

The records schedules incorporated into *ORCS* ensure that all operational records are retained for sufficient periods of time to meet the legal, operational, audit, fiscal or other requirements of government. A records schedule identifies those records that have enduring values and provides for their transfer to the government archives. Records schedules also provide for the timely destruction of routine operational records when they are no longer required to support the government's operational functions.

An integral part of the *ORCS* is the Information System Overview (ISO) Section, which ensures that electronic records are properly identified and scheduled. For further explanation of the ISO, see 3.11.

What are Operational Records?

Operational records relate to the operations and services provided by a ministry or agency in carrying out the functions for which it is responsible according to statute, mandate, or

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policy. Operational records are distinct from administrative records and are unique to each government organization.

Operational records are created in a variety of media, including: textual records, photographs, sound recordings, motion picture films, video recordings, audio-visual materials, paintings, prints, maps, plans, blueprints, architectural drawings, and other sound, film, video, photographic, and cartographic materials. Records exist in a number of different physical formats, such as paper, microfilm, and electronic records.

Records documenting administrative functions that are common to all government offices are classified in the government-wide *Administrative Records Classification System* (*ARCS*). Administrative records document and support functions such as the management of finances, personnel, facilities, property, or information systems. They also document common management processes, including committees, agreements, contract management, public information services, information and privacy, records management, postal services, legal opinions and other similar functions. Although these records are considered administrative, they may have considerable operational importance. For example, a committee may make decisions which affect ministry or agency policy. The *ARCS* manual is available in hardcopy from your Records Officer, or online at http://www.bcarchives.gov.bc.ca/ARCS/index.htm

Some categories of records or data have special retention and disposition requirements and are handled by special records schedules. These schedules are standardized for all ministries and agencies, and cover both administrative and operational records. They can be used effectively to dispose of records not covered by *ARCS* and *ORCS*.

The following categories of special records schedules are provided in the *ARCS* manual:

Schedule No.	**Schedule Title**
112907	Commission of Inquiry Records
112910	Computer System Electronic Backup Records
102903	Electronic Mail
102906	Executive Records
102908	Record Copies of Published Maps
102905	Special Media Records (photographs, motion pictures etc.)
102902	Transitory Electronic Records
102901	Transitory Records
112913	Unsolicited Records
112914	Voice Mail Records
102904	Word Processing Records
112916	Year 2000 (Y2K) Project Documentation and Test Data Records

See the special schedules section of the *ARCS* manual for a description of these records and the records retention and disposition schedules covering them. For further guidance on applying these schedules, contact your Records Officer.

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The Purpose of *ORCS*

ORCS facilitates the efficient management of operational information by:

- providing a tool for executive control of recorded information;
- ensuring that needed information can be accessed quickly and accurately;
- ensuring that records are available to protect the fiscal, legal, operational, audit and other liabilities of government for required periods of time;
- providing for the timely destruction of routine operational records that are no longer required and ensuring that records of enduring value are retained by the government archives;
- providing a framework for the audit and review of operational functions;
- providing a legal basis on which the integrity, authenticity, and completeness of operational records may be established; and
- ensuring that electronic records are appropriately documented and scheduled, in relevant primaries and/or in the Information System Overview (ISO).

Responsibility for *ORCS*

The Corporate Information Management Branch (CIMB) is responsible for establishing standards for the development of *ORCS* for the operational records of public bodies covered by the *Document Disposal Act* (RSBC 1996, c.99).

Each ministry, government agency, and Crown corporation has a designated person responsible for implementing and coordinating records management procedures. This records officer, usually known as the Ministry Records Officer or Corporate Records Officer, should be contacted for further information whenever necessary. If you cannot determine who your records officer is, call CIMB at 387-1321.

The BC Archives is responsible for preserving and providing access to records of enduring value to the province. The BC Archives takes care of records that are no longer needed by their creating agencies and have been appraised by an archivist for full or selective retention. In scheduling terms, these records have become inactive and have final disposition designations of full or selective retention. Records in BC Archives custody can be accessed through the BC Archives Reference Room, located at 655 Belleville Street, Victoria, or through the BC Archives website at http://www.bcarchives.gov.bc.ca. Access is subject to provisions of the *Freedom of Information and Protection of Privacy Act* (RSBC 1996, c. 165).

This records schedule is approved in accordance with the *Document Disposal Act* (RSBC 1996, c. 99). It constitutes authority for retention and disposition of the records described herein provided *ORCS* has been implemented according to standards approved by Corporate Information Management Branch. For assistance in implementing *ORCS*, contact your Records Officer.

1.3 Introduction to the *Payroll Services ORCS*

The operational records in this *ORCS* relate to the operations and services provided your branch in carrying out the functions for which it is responsible according to statute, mandate, or policy. These records document the administration and delivery of BC Government payroll and human resource management system (HRMS) services.

This *ORCS* covers all operational record series created or received by your branch since 1960. It does not cover files closed before that date. To obtain approval for disposition of such records, contact your Records Officer.

ORCS are divided into two types of sections: one or more numbered sections covering broad groupings of primary subjects corresponding to major operational functions and program activities; and an Information System Overview Section, which identifies and describes electronic records. This *ORCS* includes the following sections:

Section Number	Primary Numbers	Section Title
Section 1	63000-63999	Payroll Services

Covers records relating to BC Government payroll and human resource management system (HRMS) services. This includes records relating to: payroll production, benefit program enrollment, customer service, payroll accounting, Master Service Agreement compliance, performance benchmarks, and service expansion.

ISO	CHIPS	Corporate Human Resource Information and Payroll System

Covers the BC Government's bi-weekly payroll, employee work history and training, and position information.

ISO	Foxpro	Foxpro benefit information system

Covers employee enrollment and coverage in optional benefit programs (e.g., Medical Services Plan [MSP], Extended Health, Dental, Deferred Salary Leave, and Benefit Continuation While on Leave without Pay), as well as information on Group Life beneficiary designations and life insurance claims.

ISO	TOL	Time On Line

Covers employees' regular work schedules and exceptions to their schedules (i.e., overtime and/or leave taken) during biweekly pay periods.

Within each section, primaries are presented in numerical order and grouped as follows:

- First, there is a section default primary, which provides general information relating to the whole section and to records repeated in other primaries throughout the section ("reserved secondaries" - see 2.6.1).

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- The section default primary is followed by all the other primaries, arranged in alphabetical order.

- Groups of related primaries, called “primary blocks”, appear together, indicated by two-part titles and an initial “general” primary (for example, “”Client Group Issues - General” and “Client Group Issues - Families”).

As well as the sections consisting of primaries and the ISO section, the *ORCS* has several other parts:

- Executive Summary (provides a high-level overview of the *ORCS*)
- Table of Contents
- How to Use *ORCS* (this section)
- Index (aids in classifying and finding records - see 3.6 for further discussion)

This *ORCS* was reviewed by Corporate Information Management Branch staff, your executive, the Public Documents Committee, and the Select Standing Committee on Public Accounts (commonly called the Public Accounts Committee). It was then approved by resolution of the Legislative Assembly. That resolution established this *ORCS* as the retention and disposition schedule for the operational records of the Provincial Human Resource Management System (HRMS) Partnership Branch. This means that this *ORCS* is a legally binding document, i.e., it has statutory authority.

This records schedule is approved in accordance with the *Document Disposal Act* (RSBC 1996, c. 99). It constitutes authority for retention and disposition of the records described herein provided *ORCS* has been implemented according to standards approved by Corporate Information Management Branch. For assistance in implementing *ORCS*, contact your Records Officer.

PART 2

HOW TO READ A PRIMARY

Although the structure of this *Operational Records Classification System* has been described earlier in this section, you will need to know more about its basic building block, the primary, in order to apply the *ORCS* schedule effectively.

The following is a sample primary in which each element is annotated with a number. The pages following the sample primary explain the elements, as listed below.

2.1 Primary Number and Title

2.2 Scope Note

2.3 Cross References

2.4 Records Retention and Disposition Schedule
- 2.4.1 Active retention period column
- 2.4.2 Semi-active retention period column
- 2.4.3 Final disposition column

2.5 Office of Primary Responsibility (OPR)

2.6 Secondary Number and Title
- 2.6.1 Reserved secondaries
- 2.6.2 Secondaries -02 to -19 (subject secondaries)
- 2.6.3 Case file secondaries (-20 and higher)
- 2.6.4 Coded series

2.7 Key of Terms (Abbreviations in Footer)
- 2.7.1 Terms used in the active and semi-active disposition columns
- 2.7.2 Terms used in the final disposition column
- 2.7.3 Other terms

2.8 Freedom of Information and Protection of Privacy Flags

2.9 Explanatory Notes
- 2.9.1 Qualifiers
- 2.9.2 Other notes

2.10 Physical Format Designations

2.11 Vital Records Flags

This draft records schedule has NOT been approved under the provisions of the *Document Disposal Act* (RSBC 1996, c. 99) and DOES NOT constitute authority for disposition. Corporate Information Management Branch reviews and approves all records retention and disposition recommendations before an *ORCS* is sent for legislative approval, as required in the *Document Disposal Act*. For information regarding this *ORCS*, contact your Records Officer.

2.1

		A	SA	FD
23120	EXTRATERRESTRIAL REGISTRATION AND TRACKING			

Records relating to the registration of extraterrestrial visitors to the province. An extraterrestrial is any sentient being originating from another planet, regardless of appearance or ancestry. Extraterrestrials are registered and tracked to ensure they do not contravene federal and provincial legislation by attempting world domination, body-snatching, or other anti-democratic activities. Registrants must provide identifying information and report regularly to the ministry liaison assigned.

2.2

Record types include registration forms, reference materials, photographs, videotapes, correspondence, memoranda, and reports.

For a description of the Extraterrestrial Registration System (ERS), see Information System Overview (ISO) section.

2.3

For records relating to diplomatic etiquette and protocol used in communication with representatives of foreign governments, see *ARCS* primary 415.

2.4

2.5 Unless otherwise specified below, the ministry OPR (Unidentified Flying Objects Branch) will retain these records for: CY+1y | 3y | DE

Except where non-OPR retention periods are identified below, all other ministry offices will retain these records for: SO | nil | DE

2.6

-00	Policy and procedures	- OPR	SO	5y	FR
		- non-OPR	SO	nil	DE
-01	General				
-02	Complaints and inquiries				
-03	Extraterrestrial reports and statistics		CY+1y	3y	FR

FR = The government archives will fully retain these records because they document and analyse extraterrestrial visitors to the province.

2.7

(continued on next page)

A = Active
SA = Semi-active
FD = Final Disposition
PIB = Personal Information Bank
PUR = Public Use Records
OPR = Office of Primary Responsibility

CY = Calendar Year
FY = Fiscal Year
NA = Not Applicable
w = week m = month
y = year

SO = Superseded or Obsolete
DE = Destruction
SR = Selective Retention
FR = Full Retention
FOI - Freedom of Information/Privacy
VR = Vital Records

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			A	SA	FD
23120		EXTRATERRESTRIAL REGISTRATION AND TRACKING (continued)			
	-04	Visits by unidentified extraterrestrials (includes reference materials relating to visits and visitors as yet unconfirmed and unidentified) NA = Reclassify records to appropriate case file under secondary 23120-20 when visitor is identified. 2.8 FOI: As extraterrestrials may present a threat to provincial security, access to these records is restricted under the *Freedom of Information and Protection of Privacy Act* (RSBC 1996, c. 165, s. 15(1)(b)).	SO	NA	NA
PIB	-20	Extraterrestrial registrant case files (arrange by registration number) (includes textual records and photographs) 2.9 SO = when extraterrestrial visitor leaves the province NOTE: The OPR will store extraterrestrial registrant case files under ongoing RCS accession number 99-9111. 303y = This ensures that the file can be reopened if the extraterrestrial returns later in its lifetime. SR = The government archives will selectively retain these records because they document the effect of extraterrestrial visitors on the province. All files relating to green extraterrestrials will be retained. All other files will be boxed separately and destroyed.	SO+3y	300y	SR
VR	-30	Extraterrestrial Registration System (ERS) (electronic database) 2.10 2.11 SO = when the function supported by the database is no longer performed by government	SO	nil	DE

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SA = Semi-active
FD = Final Disposition
PIB = Personal Information Bank
PUR = Public Use Records
OPR = Office of Primary Responsibility

CY = Calendar Year
FY = Fiscal Year
NA = Not Applicable
w = week m = month
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2.1 Primary Number and Title

Each heading covering a functional or subject grouping of records is allocated a unique five-digit primary number and title within *ORCS*. This primary is used to classify all information related to the relevant subject or function, regardless of its physical format.

2.2 Scope Note

The scope note describes the functions, uses and content of the records that are to be classified within a primary records classification. A scope note indicates the operational function to which the records relate and outlines the activities and/or work processes leading to records creation. It will also give a general statement about the record types (memos, forms, reports, etc.) and media (photographs, video recordings, etc.) covered, in a paragraph beginning “Includes” or “Record types include”. If this paragraph does not appear to be comprehensive, the information should appear in “includes” qualifiers under the relevant secondaries.

2.3 Cross References

Cross references link the primary to related primaries, both within the *ORCS* and in *ARCS*. This information can be used to help determine whether records should be classified in a different place, and to ensure that related records can be viewed together. If electronic records are included or referred to in the primary, a reference for the Information System Overview (ISO) section will be included.

2.4 Records Retention and Disposition Schedule

Every *ORCS* includes a record retention and disposition schedule that indicates how long records should be retained in active storage space, when they should be transferred to semi-active storage, when they should be disposed of, and what their final disposition will be.

Scheduling information for each record series is indicated in the three columns to the right of the classification system information. These columns are headed A (Active), SA (Semi-active), and FD (Final Disposition). They correspond with the active, semi-active, and inactive phases of the life cycle of the record. The abbreviations used in each column are explained in 2.7, " Key of Terms."

For further information regarding the scheduling system used in *ORCS*, see 3.7.

2.4.1 Active Retention Period Column

The active (A) column indicates the length of time a record should be retained in the active phase of its life cycle.

Active records are used frequently and therefore are retained and maintained in the office space and equipment of the user.

Entries in the active column often use the designations of "CY" or "FY', with an additional time period indicated. The following are examples of how to apply and interpret the active retention period using "CY" and "FY".

CY+1y
Maintain all records created or received within the calendar year (1 January to 31 December) together until the end of the calendar year. Then retain them for an additional calendar year.

FY+1y
Maintain all records created or received within the fiscal year (1 April to 31 March) together until the end of the fiscal year. Then retain them for an additional fiscal year. When required by financial administration policy and procedures, place financial records relating to the prior fiscal year, but created or received after March 31, on the file for the prior fiscal year.

For information about Superseded or Obsolete (SO) and other terms and abbreviations used in the active retention period column, see 2.7.1. For file maintenance guidelines see 3.8.1.

In the sample primary, extraterrestrial reports and statistics (secondary -03) are active for the calendar year (CY) of their receipt or creation, plus one more year.

2.4.2 Semi-active Retention Period Column

The semi-active (SA) column indicates the length of time a record will be retained in the semi-active phase of its life cycle.

Semi-active records are those that are used only occasionally and therefore need not be maintained in the expensive office space and equipment of the ministry or agency responsible for them. Semi-active records still retain administrative, operational, fiscal, audit, or legal value for the ministry or agency which created the records. Storage of semi-active records in economical, off-site facilities until all values have lapsed results in significant savings.

In the sample primary, extraterrestrial reports and statistics (secondary -03) are semi-active for three years. This means they will be transferred to off-site storage until no longer needed, or in other words until the semi-active period is over. If required, these records may be retrieved from off-site storage during their semi-active phase.

For boxing and transfer instructions for semi-active records, see 3.9.

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2.4.3 Final Disposition Column

The final disposition (FD) column ensures that records with enduring value to the Province are preserved and those that have no enduring value are destroyed.

Records are eligible for final disposition when they become inactive, that is, when their active and semi-active retention periods have lapsed.

In the sample primary, extraterrestrial reports and statistics (secondary -03) are fully retained when they become inactive. This means they will enter the custody of the government archives and can only be accessed through the BC Archives Access Services (655 Belleville Street, phone 387-1952, website http://www.bcarchives.gov.bc.ca). Complaints and inquiries (secondary -02) will be destroyed under the primary default schedule.

2.5 Office of Primary Responsibility (OPR)

The retention and disposition requirements for records that are duplicated in central service or headquarters branches and field offices normally differ. In recognition of these differing requirements, every *ORCS* primary contains two statements regarding the levels of responsibility for records within an ministry or agency (known as the “unless and except statements”).

For each primary, *ORCS* distinguishes between the office having primary responsibility for a category of records (OPR) and all other offices which hold copies of the same records (non-OPRs). The OPR is the office that has been designated the holder of the official record for the ministry. The OPR maintains the official or master record in order to satisfy long-term operational, financial, legal, audit, and other requirements. All other offices holding duplicate copies are non-OPR offices and maintain their copies for a shorter retention period. All non-OPR retention periods and final dispositions are underscored.

In the sample primary, the Unidentified Flying Objects Branch is the OPR. All offices holding records covered by this primary are non-OPR.

For secondaries that have retention or disposition requirements different from the default retention and disposition values established for the primary, the OPR and/or non-OPR retention periods are listed in the columns to the right of the records classification.

Offices that have primary responsibility for the retention and disposition of records classified in each primary are responsible for retaining those records as the OPR. The Records Officer is responsible for tracking changes to OPRs as reorganizations occur, and for ensuring that OPRs and Corporate Information Management Branch are aware of these changes.

2.6 Secondary Number and Title

Secondary numbers and titles designate specific series or groupings of records relating to the function covered by the primary. Secondary titles describe specific types of records and secondary numbers link them to the records retention and disposition

schedule. The two-digit secondary number is added to the five-digit primary number to form a complete file number, for example, 23120-04.

All offices must use the same secondary number to refer to the same series or grouping of records. Standardization ensures continuity and consistency in retention and disposition of operational records.

Three types of secondaries exist within *ORCS*: reserved secondaries, subject secondaries, and case file secondaries.

2.6.1 Reserved Secondaries

Reserved secondaries are secondary numbers used to cover records series which are repeated in several primaries.

Secondaries -00 and -01 are reserved throughout all *ORCS* and in *ARCS*.

Secondary number -00 is always reserved for "Policy and procedures" records. These files are used for records concerning operational functions, policies, procedures, regulations, and records which set precedents, reflect management decisions and usage, or document general goals and acceptable procedures of the creating ministry or agency. They include correspondence and other records relating to draft and approved policies on a specific subject including actual policy statements, interpretations of policy, development and discussion of policy, and policy decisions.

Secondary number -01 is always reserved for “general” records that cannot be classified in the specified subject or case file secondaries. Within each primary, the standardized secondary -01 is reserved as a general file. Records which meet one or more of the following criteria may be filed in the general file:

- The document does not relate to any of the existing secondaries, but does fall within the primary.
- There is no existing classification number for the document. The general number is used TEMPORARILY, until the subject is significant enough to warrant creating a new primary or secondary number and title. If you need to use the general secondary in this way, contact your Records Officer and see 3.14, regarding amendment and update of *ORCS*.
- The document contains information of a general nature and does not reflect actions or decisions of the creating office.

Note when filing anything under secondary -01 that its retention period may be shorter than that of the related subject or case file secondary, and/or the related secondaries may be scheduled for selective or full retention for the government archives. If this is the case, it is imperative that the file be reclassified before disposition.

If a document relates to two or more secondaries, you should be more precise and file the original or a photocopy of the record in each specific file. It is not appropriate to file such documents under “General” because this will cause access and scheduling problems.

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2.6.2 Secondaries -02 to -19 (subject secondaries)

Within a primary, secondaries -02 to -19 represent files for specific subjects and other non-case file series, that is, records filed chronologically in one file folder (e.g., inquiries or reports). These are commonly referred to as subject files. In the sample primary, secondaries -03 (extraterrestrial reports and statistics) and -04 (visits by unidentified extraterrestrials) are subject secondaries.

While the files covered by most subject secondaries can be organized chronologically, some need to be broken down into files covering different aspects of the same subject, different types of report, or some other organization. In these cases, subject secondaries may be coded. For an explanation of coded series, see 2.6.4.

2.6.3 Case File Secondaries (-20 and higher)

Case file series consist of many different files relating to a common function or activity. Each case file contains records pertaining to a specific time-limited entity, such as a person, event, project, transaction, product, organization, etc. The component records within each file in a case file series are generally consistent; that is, a file may contain a variety of documents (such as forms, correspondence, reports, and photographs), but this variety will be consistent with other files in the same series (for example, the same form may appear in every file). Case file series are assigned secondary numbers -20 and higher (-30, -40, -50, etc.). In the sample primary, secondaries -20 (extraterrestrial registrant case files) and -30 (the Extraterrestrial Registration System) are case file secondaries.

2.6.4 Coded Series

Case file secondaries are usually subdivided through the use of codes. A code identifies the specific person, event, project, or other entity covered by the file. Codes can take the following forms: proper names; acronyms, or alphanumeric codes developed within government. Consult your Records Officer if you wish to develop an appendix for your own set of codes.

In special cases, subject files may also be coded to facilitate retrieval (e.g., studies on different aspects of one interprovincial agreement). Coded subject files usually consist of many different files, each dealing with a different aspect of the same subject.

In references to coded files, an oblique (/) separates the identifying code from the secondary number.

In the sample primary, secondary -20 is indicated to be a coded case file series with a qualifier “(arrange by registration number)”. A reference to one of these files might read “23120-20/000326”.

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2.7 Key of Terms (Abbreviations in Footer)

The key at the bottom of each *ORCS* page indicates the abbreviations used. An explanation of how to read and interpret the records schedule and the possible abbreviations for each of the three columns follows below.

2.7.1 Terms Used in the Active and Semi-Active Retention Period Columns

The purposes of the Active (A) column and the Semi-Active (SA) column are explained in 2.4.1 and 2.4.2 respectively.

The following abbreviations are used, in combination with numbers, to indicate how long records will be kept in the office or offsite:

w = week

m = month

y = year

CY = Calendar Year (1 January to 31 December)

FY = Fiscal Year (1 April to 31 March)

SO = Superseded or Obsolete

"SO" identifies records that must be retained as long as they are useful and for which an active retention period cannot be predetermined because retention is dependent upon the occurrence of some event. This retention category is used in *ORCS* in the following different ways:

i) Routine Records

"SO" is commonly used to indicate the active retention period for routine records which are useful only for reference or informational purposes and which usually have no legal, fiscal, or audit values. In those cases, "SO" is not defined by a specific event or action. Rather, it is used to delegate to the creating offices the authority to decide when the records have no further value and are ready for storage or disposition.

The most common form of delegated disposition authority is:

Active	Semi-Active	Final Disposition
SO	nil	DE

This retention category is used throughout *ORCS* to streamline the disposition of records with short-term retention value, especially for non-OPR records. It delegates the entire responsibility for retention and disposition of the records to the ministry or agency responsible for them. Records with the above retention and disposition schedule may be

destroyed when no longer required for operational purposes. In the sample primary, non-OPR policy and procedures files (secondary -00) are routine records which are designated SO.

For information on destruction services, contact your Records Officer.

ii) Specific Definition of SO

"SO" is also used to identify the active retention period for records that must be retained until a case is closed or some other specified event occurs. In those cases, it is not possible to predetermine the length of time a file may be open and required for active use, and "SO" is defined in terms of some specific action, event, or the completion of a procedure.

In the sample primary, extraterrestrial registrant case files (secondary -20) are active for SO+3y, with SO defined as “when extraterrestrial visitor leaves the province”. This means that the OPR will retain each file in active storage space for three years after the relevant visitor has left, after which the records will be transferred to off-site storage.

NA = Not Applicable

“NA” is used for records that, for some reason, are not covered by the secondary at the specified stage of their life. This is usually because the records are reclassified at the semi-active or inactive period, with some files moving to a different secondary from others, so they can be scheduled appropriately. The reasons for the “NA” designation may be stated in a “NA =” note, or in an “SO =” note or some other note under the secondary, as appropriate. In the sample primary, visits by unidentified extraterrestrials files (secondary -04) have a semi-active and final disposition of “NA” because files are reclassified to secondary -20 when the visitor is identified.

nil = no semi-active retention period

"Nil" is used in the semi-active column to identify records with no semi-active retention period.

Many types of government records remain active as long as they serve an operational function. When their usefulness for that function ceases, they have no semi-active retention period. If they have any residual operational, legal, fiscal, or other values, *ORCS* may specify in the final disposition column that they are to be transferred to the government archives. Otherwise, the final disposition of such records is usually physical destruction.

In the sample primary, the semi-active period for records in non-OPR offices is designated as nil. This means that as there is no semi-active period, the records are ready for destruction (as designated in the final disposition column) upon expiry of the active period.

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2.7.2 Terms Used in the Final Disposition Column

The purpose of the final disposition column (FD) is explained in 2.4.3.

Some government records contain information or data that has long-term value to the agency responsible for them, the government generally, and/or to the public. These records are part of the documentary heritage of the Province of British Columbia and are transferred to the custody of BC Archives for archival preservation. The final disposition of operational records with enduring value can be full retention, selective retention, or destruction, as explained below.

FR = Full Retention

"FR" means that a government archivist has determined that all of the records covered by a secondary have enduring value. BC Archives, also known as the government archives, preserves records designated FR in their entirety. Under the terms of full retention, the archivist responsible may destroy unnecessary duplicates, publications, waste and scrap materials, ephemera (often published material of short-term value), and other items which are not an integral part of the record series. The reasons for full retention are explained in an “FR =” statement. In the sample primary, extraterrestrial reports and statistics (secondary -03) are FR “because they document and analyse extraterrestrial visitors to the province.”

SR = Selective Retention

"SR" means that a government archivist has determined that a portion of these records have enduring value and should be retained. BC Archives, also known as the government archives, preserves a selection of the records designated SR, following explicit criteria. The reasons and criteria for selective retention are explained in an “SR =” statement. In the sample primary, extraterrestrial registrant case files (secondary -20) are SR “because they document extraterrestrial visitors to the province” and the selection criteria is to retain “all files relating to green extraterrestrials.”

SR statements often include instructions requiring staff to box selected records separately from those to be destroyed. They may also require staff to help identify records to be retained under the selection criteria specified; this may involve consultation with the Records Officer and with an archivist from BC Archives. The instructions for extraterrestrial registrant case files require that after records to be retained are identified, they are to be boxed separately from records to be destroyed.

Do not destroy records scheduled for selective or full retention. For instructions on how to box and transfer archival records to off-site storage, see 3.9.

Most government records serve no further purpose to government or to the public once they become inactive. The final disposition of such records is:

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DE = Destruction

The final disposition of inactive records that have no residual value or insufficient public value to justify their preservation is physical destruction. In some cases, especially in section default primaries, the destruction is justified with a "DE =" note.

Some government records are reclassified in a new primary and/or secondary at the end of their active or semi-active retention period or are alienated from government, either through sale, gift, or loan at the time of their final disposition. The final disposition of such records is:

NA = Not Applicable

See explanation of NA in 2.7.1.

2.7.3 Other Terms

The purpose of the other terms which appear in the key of terms is explained in other sections; see references below:

FOI =	**Freedom of Information/Privacy**	see 2.8
OPR =	**Office of Primary Responsibility**	see 2.5
PIB =	**Personal Information Bank**	see 2.8
PUR =	**Public Use Record**	see 2.8
VR =	**Vital Record**	see 2.11

2.8 Freedom of Information and Protection of Privacy Flags

All Personal Information Banks (PIB) and Public Use Records (PUR) must be flagged within BC Government records classification systems (see glossary for definitions). The flags are placed in the left-hand column, next to the relevant secondary. In the sample primary, the extraterrestrial registrant case files secondary (-20) is flagged as a PIB.

In certain instances, a more specific justification as to why the information contained in a record series is restricted, in whole or in part, from public disclosure is required for inclusion in the records classification system. In those cases, a special form of explanatory note ("FOI =") is used to explain the access restrictions for the secondary and to point to the section of the *Freedom of Information and Protection of Privacy Act* (RSBC 1996, c. 165) that allows for the exemption. In the sample primary, the visits by unidentified extraterrestrials secondary (-04) has an FOI note which quotes section 15 (1)(b) of the Act to justify restricting access.

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For further information about FOI issues, see 3.10.

2.9 Explanatory Notes

Explanatory notes are used in the *ORCS* to provide information critical to understanding the records, to explain office procedures and practice, and to summarize provisions governing the creation, processing, accessing, and disposition of documents. They essentially function as scope and content notes for specific secondaries. The two types of explanatory notes are qualifiers and other notes.

2.9.1 Qualifiers

Qualifiers provide information that will help users know what to expect when they actually view the files covered by a secondary. They are provided directly under the relevant secondary title, indented and placed in curved brackets. They are presented below in the order in which they appear below a secondary:

- "Includes" qualifier: this lists types or forms of records covered by the secondary. If there is no includes qualifier, see the "Includes …" sentence in the scope note for this information. In the sample primary, the visits by unidentified extraterrestrials secondary (-04) "includes reference materials relating to visits and visitors as yet unconfirmed and unidentified."
- "Arrange" qualifier: this gives the method of arrangement. In the sample primary, the extraterrestrial registrant case files secondary (-20) instructs records creators to "arrange by registration number."
- Physical format qualifiers: see 2.10 for an explanation of this qualifier.

2.9.2 Other Notes

Other notes provide information to assist with applying schedules to the records; they also assist with comprehending the nature of the records and providing access to them. They are presented below in the order in which they may appear below a secondary.

OPR = This note provides the name of the office of primary responsibility if it is different from the primary default OPR. See discussion of OPR in section 2.5.

SO = This note explains when a file designated SO should be closed. See discussion of SO in section 2.7.1.

##y = This note gives reasons for active and/or semi-active retention periods which are longer than seven years. In the sample primary, there is a "303y =" note under secondary -20.

NA = This note explains why the usual active, semi-active, or final disposition designation does not apply, usually because records have been reclassified or transferred to another agency. See discussion of NA in section 2.7.1.

SR/FR/DE = These notes explain why records are being selectively or fully retained, or (if not self-evident) why they are being destroyed. See discussion of these notes in section 2.7.2.

FOI: This note explains issues of confidentiality relating to the records. See discussion of the FOI note in section 2.8.

NOTE: This note provides any other useful information related to the scope of the secondary, such as history of the records, volume of the records, filing procedures, whether there is an ongoing accession number, or location of copies. In the sample primary, secondary -20 has a note specifying that when the files go offsite, they will be stored "under ongoing RCS accession number 99-9111." For discussion of ongoing accession numbers, see section 3.9.1(b).

2.10 Physical Format Designations

All government records, regardless of physical format, must be classified under either an *ARCS* or an *ORCS* secondary number. Different physical format versions are all part of a single record series if the information content remains the same, with only the physical format varying. For example, there may be a paper (or "hardcopy") version and a microfilm version of the same series.

When records are held in several different physical formats each version is identified and scheduled under the same *ORCS* secondary, unless the versions do not contain identical information or retention schedules vary. In those cases, the physical formats have separate secondaries, with the format identified in the secondary title rather than in a qualifier. The physical format designation is expressed as a qualifier under the secondary title. Retention periods are specified for each physical format designation, unless the primary's default retention periods apply. In the sample primary, the Extraterrestrial Registration System (secondary -30) is identified in a qualifier as an electronic database.

Some physical format designations used in *ARCS* and *ORCS* are: paper, microfiche, microfilm, computer output microfiche (COMfiche), computer output microfilm (COM), electronic database, electronic records, and optical disk.

A physical format designation is not used for the purpose of designating records in "special media" (sound recordings, audio-visual materials, maps, photographs, etc.). Information about special media is conveyed, instead, in an "(includes)" qualifier or in the paragraph of the scope note beginning "Includes" or "Record types include". All the records in a file are covered by the same retention schedule, regardless of media. Related information in an electronic database is subject to the same schedule; for example, in the sample primary, registration information in the ERS (secondary -30) concerning a specific extraterrestrial can be purged when the relevant extraterrestrial registrant case file (under secondary -20) becomes inactive.

NOTE: ORCS approved prior to 2000 may contain secondaries with physical format qualifiers with different retention schedules.

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2.11 Vital Records Flags

Vital records are those containing information essential to the functioning of government during and after a disaster, and essential for preserving the rights of citizens (see glossary for more detailed definition).

Corporate Information Management Branch recommends that the vital records (VR) of a ministry or agency be flagged within a records classification system. The flag is placed in the left-hand column, directly in front of the secondary that it qualifies. In the sample primary, the Extraterrestrial Registration System (secondary -30) is flagged as a vital record.

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PART 3

ORCS AND AN EFFECTIVE RECORDS MANAGEMENT SYSTEM

3.1 The Purpose of *ORCS*

ORCS is a standard classification system for operational records. It is a system for the identification and management of operational records regardless of physical format (paper files, microfilm, optical disk, etc.) or media (maps, photographs, videotapes, etc.). It helps you find the information you need, when you need it, at the least possible cost. *ORCS* also provides a framework to manage the retention and disposition of records. With *ORCS* you can identify and preserve the essential and dispose of the valueless in a timely fashion.

ORCS integrates three vital records management concepts into one comprehensive management plan for your operational records. *ORCS* is organized to serve as a retrieval aid, a records classification system, and a records retention and disposition schedule.

A records schedule is a timetable describing and governing the lifespan of a record from the date of its creation through the period of its active and semi-active use, to the date of its disposition, either by destruction, transfer to the custodianship of the government archives, or removal from the control of the Government of British Columbia.

The records schedules incorporated into *ORCS* identify records of permanent value; protect the operational, audit, legal, and fiscal values of all records; and permit the routine, cost-effective disposition of inactive records.

3.2 Records and Recorded Information

The *Document Disposal Act* (RSBC 1996, c.99) establishes approval requirements for the retention and disposition of records and recorded information. An *ORCS* is approved under the provisions of the *Document Disposal Act* and describes types of operational records and specifies their retention periods.

The *Document Disposal Act* uses the term "record" as defined in the *Interpretation Act* (RSBC 1996, c. 238, s. 29). Record is defined broadly to include all recorded information regardless of physical format or media:

> "Record" includes books, documents, maps, drawings, photographs, letters, vouchers, papers and any other thing on which information is recorded or stored by any means whether graphic, electronic, mechanical or otherwise.

This definition applies to all recorded information created, kept, used, or filed by the ministries, commissions, boards, and other institutions of the Executive Government of British Columbia to which the *Document Disposal Act* applies.

The *Document Disposal Act* establishes procedures for the approval of the records schedules and classification systems developed by Corporate Information Management Branch (CIMB), government ministries, and other government agencies. This *ORCS* was reviewed by CIMB staff, your executive, the Public Documents Committee, and the Select Standing Committee on Public Accounts (commonly called the Public Accounts Committee). It was then approved by resolution of the Legislative Assembly. That resolution established this *ORCS* as the retention and disposition schedule for the operational records of the Provincial HRMS Partnership Branch. This means that this *ORCS* is a legally binding document.

3.3 An Effective Records Management System

An effective records management system has five essential elements to aid retrieval and maintenance:

- the classification and scheduling system
- the file list
- finding aids (indexes and cross-reference guides)
- filing and maintenance procedures
- boxing and transfer instructions

3.4 The Classification System

A standard classification system such as *ORCS* is the cornerstone of an effective records management system. The classification gives an indication of what records are created and used by the ministry or agency and how the records are placed within a records system. The sections, primaries, scope notes, and secondaries of *ORCS* not only indicate standard classification and filing categories, but also aid access and guide retrieval.

ORCS is organized to facilitate records classification, retrieval, retention, and disposition. It is a block numeric records classification system based upon the federal government's model for the development of classification systems.

ORCS is a classification system based upon function and subject. Each functional or subject grouping of records is assigned a unique five-digit number which is called a primary number and is the system's main building block. This number is used to classify all information related to a subject or function, regardless of physical format.

Primaries which form a logical group of related subjects or functions are assigned sequential numbers in what is called a primary block. Each block contains primary subjects subordinate to the major function of the block.

Primaries are arranged in alphabetical order by title, except for the first primary within a section or primary block. The first primary is the general or “section default” primary and contains records of a general nature relevant to the entire section or primary block. The numerical arrangement of the section or primary block is sufficient to permit expansion and amendment.

A primary may cover a variety of types of records or files, such as policy and procedures, general and routine files, subject files, and case files. Each type is designated by a secondary number. Secondary numbers describe and delineate specific types or series of records. When a greater detail of files is required for any subject, the subordinate files may be coded.

A secondary may cover records created in various physical formats (such as paper, microfilm, microfiche, and optical disk) and media (such as maps, photographs, videotapes). Records in different physical formats may contain the same information but be scheduled differently (for example, the paper and microfilm versions of the same file). Records in different media often contain different information but are filed and scheduled together (for example, textual records and photographs concerning the same building).

A secondary may be flagged for special access and preservation considerations, as a Personal Information Bank (PIB), Public Use Record (PUR), or a Vital Record (VR); see explanations of these terms in 2.8 and 2.11.

For a detailed analysis of primaries and secondaries, see Part 2, “How to Read a Primary.”

The classification system is the basis for other finding aids, such as file lists and indexes. *ORCS* describes all of the operational records which might exist in an office responsible for the functions covered by the *ORCS*. The file list documents those files that have actually been opened. See 3.5 and 3.6 for discussions of file lists and other finding aids.

3.4.1 Staff Responsibilities and Procedures

Corporate Information Management Branch (CIMB) recommends that each staff member be responsible for classifying documents which he or she creates. This includes recording the complete primary and secondary number on the top right hand corner of the document before it is printed, photocopied, filed, or distributed. Over time, your correspondents will begin to quote your file number on return mail and less incoming mail will require classification.

CIMB also recommends that the staff member responsible for opening, logging, and distributing incoming mail classify all incoming mail before it is distributed to the addressee. If that individual is unable to classify an individual item, he or she should refer it to the recipient for a primary and secondary number.

Each staff member is encouraged to organize working papers according to *ORCS*.

One individual within each filing area should have overall responsibility for the central filing system, ensuring that filing procedures, file lists, and finding aids are accurately maintained. He or she will liaise with the staff member responsible for procuring records equipment and supplies. This individual will also check classifications assigned by others and, in the event of amendments, will update the mail logs, file lists, etc.

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3.4.2 Classifying Records

It is important to be consistent in assigning primary and secondary numbers, as filing and retrieval is dependent upon the classification number assigned to a document.

Corporate Information Management Branch recommends that a memo deal with only one subject. Occasionally, it may be necessary to photocopy a document which deals with more than one subject, place it on two or more files and cross-reference it appropriately. If the document has more than one page, only photocopy the first page and cross-reference it to the location of the complete document.

Records are classified based upon how they will be referenced and retrieved. In order to select a classification number, first read and understand the document. The subject is not always obvious. When the document deals with more than one subject and you are having difficulty classifying it, think about where someone other than yourself would look first for the information.

When classifying the document, use the alphabetic subject index and/or the broad subject approach to find the appropriate secondary. Remember that the secondary relates to the subject and purpose of the document and not necessarily the sender or recipient.

a) Alphabetic Subject Index

To use the index, think of various subject terms which describe the record. Look under that term or synonyms in the index. Locate a number, and then refer to that primary block in the classification system to ensure that the number is the best possible one. Reading the primary scope notes will clarify whether or not a document should be classified in a given primary. Often the cross-references listed below the scope note will lead to a more appropriate primary. If the appropriate classification proves difficult to locate, you may want to contact your Records Officer and suggest an update to the index. For a discussion of the index, see 2.4.

b) Broad Subject Approach

When it is difficult to describe a document in subject terms, decide under which of the main primary headings the record is most likely to fall. Turn to the list of primaries for the most relevant *ORCS* section, pick one or more primaries which might be applicable and then browse through those primaries, reading scope notes and reviewing secondary numbers and titles. Choose the most appropriate primary and secondary and classify the document accordingly.

3.5 The File List

The file list is a listing of every file created by or currently in use within an office. An accurate file list is an essential tool, as it documents the creation and existence of government records. It assures the integrity and authenticity of records and may serve as legal evidence.

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The file list is vital to *ORCS* and is a primary tool for the retrieval, control, and maintenance of records. The *Administrative Records Classification System* (*ARCS*) specifies that file lists will be maintained and classified under *ARCS* 423 "Records Management - File Control". *ARCS* 423-03 classifies current lists covering both operational and administrative files.

The file list is also a ready retrieval guide. For the frequent user, it indicates which files have been opened and quickly directs the user to the proper primary and secondary. If a file does not appear on the current file list, a file may be opened under the appropriate primary and secondary. File lists should be regularly updated.

3.6 Other Finding Aids

A wide variety of finding aids may be created and used to facilitate retrieval and classification of operational records. These include subject and keyword indexes, automated retrieval systems, file tracking systems, and lists of case file codes and corresponding titles.

Offices may also develop indexes to meet special needs, including subject cross-reference indexes, automated keyword indexes, proper name indexes, geographic location indexes, etc. The indexes themselves are classified in *ARCS* 423-05. Please note that they are selectively retained by the government archives.

The index contains an alphabetical listing of primary and secondary subjects, frequently used terms, organizations, form titles or numbers, etc. This index is the main access point by which the user may quickly locate a subject and the appropriate primary. For commonly used subjects or forms, the index allows rapid access into the classification system in order to determine a primary number.

As a further aid in the retrieval and classification of administrative and operational records, Corporate Information Management Branch provides *ARCS Online* web site links to lists of standard codes compiled by various ministries and agencies of the British Columbia Government. For information about using coded series, see 2.6.4. For guidance in developing codes, see *ARCS* Appendix A.

3.7 The Scheduling System

An essential element of *ORCS* is the retention and disposition schedule. This schedule is based on the concept that records have a three-stage life cycle.

During the “active” stage, records are needed for frequent reference and updates. At this stage, therefore, records are maintained and stored in the offices of the ministry or agency responsible for the records.

During the “semi-active” stage, records are needed for occasional reference and/or for legal, fiscal, or audit purposes. At this stage records are transferred to the off-site storage facilities provided by Records Centre Services, Corporate Information Management Branch (see 3.9 for boxing and transfer instructions).

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When records retrieval ceases, and records no longer have any operational, administrative, legal, fiscal, audit, or other primary values, the records become "inactive," and are ready for final disposition. Based on archival appraisal decisions, the final disposition may be to destroy the records, or to fully or selectively retain them for the government archives.

By retaining records for the retention periods specified in the records schedule, creating offices comply with statutory, regulatory, and policy requirements to maintain certain types of information and data. By disposing of records as specified in the records schedule, creating offices ensure that records of enduring value are preserved for the province, in accordance with Legislature-approved *ORCS*.

The three stages of the records schedule are expressed in three columns on the right-hand side of the primary page, beside the relevant classification information (primary numbers, titles, and notes). These columns are labelled "A" for active, "SA" for semi-active, and "FD" for final disposition. Appropriate numbers and abbreviations appear in these columns beside the relevant secondaries, indicating what should be done with the records during each stage of the schedule. Notes below the secondaries give any needed explanation and instructions about implementing the schedule.

For further information on the records retention and disposition schedule as it appears in a primary, refer to section 2.4.

3.8 Filing and Maintenance Procedures

Filing and maintenance procedures are essential to the use and maintenance of any record-keeping system. They are vital to records control. They establish rules for consistency of classification and control of location and access. They provide a set of regular operations for identifying records, incorporating them into the classification system, controlling their use, and disposing of them when no longer required.

The basic activities involved in filing and maintenance are:

- mail management
- sorting
- registration
- classification
- indexing and cross-reference
- location control
- filing
- charge-out
- distribution
- recall and search
- re-filing
- physical maintenance
- purging
- retention and disposition

Requirements for records retrieval, control, and maintenance vary from office to office, and filing and maintenance procedures should reflect these needs. There are a variety of methods and systems which can provide effective operations for these basic functions. Contact your Records Officer for advice.

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Use of *ORCS* does not dictate a specific set of procedures for registration, indexing, location, charge-out, etc. Rather, *ORCS* is flexible so that it can fit into a wide variety of record-keeping environments.

To effectively implement and maintain *ORCS*, offices should develop and document records management procedures. Filing and maintenance procedures are classified in *ARCS* 423-00. Your Records Officer can help to develop appropriate procedures for your office.

3.8.1 File Maintenance

An *ORCS* covers many types of operational records stored in various physical formats. The ministry or agency responsible for the records has special needs and requirements for its filing system. Each ministry or agency must establish standards for maintaining their files. The following system of file maintenance works well.

When incoming mail and other records have been classified, they are filed in folders labelled with the complete primary and secondary number and corresponding title.

Government has standardized the use of letter size file folders, paper and filing equipment wherever possible. The purpose of ending the use of legal size files is to reduce government costs by eliminating the necessity of having both legal and letter size papers for records and correspondence. Contact your Records Officer for further information about this important choice.

File folder labels are increasingly generated by records management databases, however it will sometimes be necessary to generate a label manually. Prepare the file folder label with the primary and secondary number on the left and the title on the right. It is not necessary to type the full title in all cases. Type the portions of the title which make the label meaningful. Common sense is used to prepare labels which are concise, yet distinguish files adequately.

The actual file sequence and physical location within the office will be dictated by access requirements and indicated on the file list.

Prepare documents for filing by checking that the primary and secondary number is indicated, paper clips are removed, and duplicate copies of no further value are discarded. Documents should be filed in chronological order with the oldest on the bottom.

In the case of flimsy paper, such as teletype documents and facsimile documents not produced on bond paper FAX machines, photocopy the information onto bond paper prior to filing and discard the flimsy copy. Flimsy paper facsimile documents rapidly deteriorate and the information they contain is lost when this procedure is not followed.

Monitor the files for bulk and when the paper thickness exceeds the scoring on the bottom of the folder, close the full folder and start a new one labelled volume 2, 3, 4, etc. Place a coloured paper as the top document in order to indicate that a file is closed. Indicate on that coloured sheet the date range and where future information will be filed. Related volumes are stored together while they are active, and older ones are placed in

semi-active storage when their active retention period expires. If multi-volume sets are frequently opened under a single classification, this may indicate the need to create new, more specific classifications.

Where possible, sheets should be fastened in the file folder. When this is not possible or for ease in culling files at the end of the year, Corporate Information Management Branch recommends attaching documents to a file back sheet. The file back should be labelled with the fiscal or calendar year and classification number. Use a closed file notice for each file back when the file is closed and mark on it the method and date of final disposition (e.g., "for DE on 1 April 1999"; "for SR on 1 January 2010"; "for FR on 1 April 2001").

Minimize misfiling in the following ways:

- keep file labels legible and simple
- maintain 3-4 inches of free space on each file shelf or drawer
- place papers in folders so they do not go beyond the scoring on the folder or cover the file label
- write the correct file number or heading on each document or underline it if it appears in the text

3.8.2 File Circulation

To avoid loss of files, especially when numerous staff refer to the same records, use circulation or "out" cards when removing a folder from the cabinet. Write the borrower's initials on the out card. Only remove papers for photocopying and return the papers to their original location in the file. Return files promptly after use.

When photocopies are made for use as working papers, mark them clearly as a "copy" with a stamp which uses a colour of ink other than black.

3.9 Boxing and Transfer Instructions

The records schedules contained in *ORCS* specify the active, semi-active, and inactive phases of the life cycle of the record and provide for the efficient and systematic transfer of semi-active and inactive records to the off-site storage facilities provided by Records Centre Services, Corporate Information Management Branch. Each office should document instructions and procedures for the regular boxing and transfer of records to off-site storage. (For further discussion of records scheduling, refer to 2.4 and 2.7.)

In some cases the records schedule will provide for the immediate destruction of records when they are no longer active. In this case, contact your Records Officer. The Records Officer can provide you with information about the availability of recycling and/or destruction services. Use appropriate forms and procedures as instructed by your Records Officer and **notify your Records Officer before any destruction of records occurs**.

To identify records suitable for boxing, review the files against the *ORCS* schedules annually and determine what operational records have become semi-active or inactive during the past year. If your office uses an automated database to track files, it may be possible to generate this list automatically. When the list is ready and records are boxed, contact your Records Officer to report that you have semi-active or inactive scheduled operational records which are ready for transfer. Your Records Officer will then request off-site storage and retrieval services from Records Centre Services.

If accumulations of active records produce space problems in office areas before the annual review, contact your Records Officer.

3.9.1 Accession Numbers

Records Centre Services issues and tracks all accession numbers. An accession number is a number identifying a group of records to be transferred, and is used to label, transfer and store records. Each box within an accession is given a unique box number by adding sequential numbers, beginning with number one, to the accession number. The full number must appear on the label of each box.

For the purposes of illustration, we will use 91-0123 as an example of an accession number. No office should use it to prepare records for transfer!

Box Number: 91-0123-01

91-0123 = the accession number issued by Records Centre Services
-01 = the first consecutive box number in accession 91-0123

There are two types of accession numbers: one-time and ongoing.

a) One-time Accession Numbers

A one-time accession number is used by a single office for a one-time transfer of records to Records Centre Services. For further information about one-time accession numbers, contact your Records Officer.

b) Ongoing Accession Numbers (OANs)

Corporate Information Management Branch may establish ongoing accession numbers for categories of administrative or operational records which can be transferred to off-site storage or archival custody year after year. The purpose of an OAN is to group together the same type of records from the same office, and facilitate transfer of those records. The OAN for a category of records must only be used for future transfers of the same type of records.

The "NOTE" format indicated below is used in *ORCS* to annotate secondary numbers and titles to which an OAN applies.

NOTE: The OPR will store [SECONDARY TITLE] under
ongoing RCS accession number 91-0123.

If 91-0123 were a real OAN, the office to which it was issued would use it for a specific record series or category of records. Accession number 91-0123 is reserved for use by the same office for the same record series until box number 9999 is reached. Then, please ask your Records Officer to obtain a new OAN from Records Centre Services.

An ongoing accession number differs from a one-time number in that box numbers within an accession are always consecutive. For example, if box numbers 91-0123-1 to 91-0123-10 were transferred in July 1991 and ten more boxes were ready for transfer in October 1992, the box numbers used in October 1992 would begin with the next unused number (i.e., in October 1992 numbers 91-0123-11 to 91-0123-20 would be used).

The OAN uniquely identifies the transferring office and the category of records which may be transferred as part of the accession.

If several offices are responsible for transferring records of the same type to semi-active storage or archival custody, each office will be assigned its own OAN. Other special arrangements may be made in consultation with your Records Officer and Records Centre Services.

c) Ongoing Accession Numbers for TELUS Sourcing Solutions-BC on behalf of Provincial HRMS Partnership Branch

In this *ORCS*, ongoing accession numbers have been extablished for the following categories of OPR records. The accession numbers are based upon semi-active retention periods and final disposition recommendations. The Records Officer is responsible for maintaining and updating the list of ongoing accession numbers relating to this *ORCS*.

OAN	Primary and Secondary No.	Primary and/or Secondary Title	SA	FD
90-7475	63580-20	Terminated employee pay files	7y	DE

For further information about ongoing accession numbers and lists of the numbers, contact your Records Officer.

3.9.2 Transfer of Records to Off-Site Storage

Records Centre Services manages off-site storage for all records having a scheduled semi-active retention period, and for all inactive records scheduled for selective or full retention. Contact your Records Officer if you have concerns about the following:

- if a records schedule does not provide for semi-active storage for a record series which, in your opinion, requires it
- if a records schedule does not provide for the archival retention of a record series which does, in your opinion, have evidential or historical value, or
- if you require off-site storage for active records.

a) Arranging Boxes

Organize records for transfer as follows: (These guidelines are based on the *ARS 517 "Authority to Apply Approved Schedule" Standards and Orientation Guide)*.

1. Do not put files covered by different retention and disposition schedules (*ARCS* - 100001 or *ORCS*) in the same box.

2. Box records scheduled for destruction (DE) separately from records scheduled for selective retention (SR) or full retention (FR).

3. Box SR records separately from FR records. Contact your Records Officer if your office does not generate a sufficient volume of records to allow for full separate boxes.

4. If records have no scheduled semi-active retention period and a scheduled final disposition of SR or FR (e.g., SO, nil, SR), box them separately from all other records. Arrange the files within the box by primary and secondary number. Contact your Records Officer if your office does not generate a sufficient volume of records to allow for full separate boxes.

5. Place records of the same or similar retention periods and date ranges in the same box.
6. Whenever possible, box records of the same type together (e.g., case file series or large subject file series should be boxed together).

7. If records have different semi-active retention periods, box first by retention period and then within retention period by primary and secondary numbers.

b) Box Numbering

Arrange and number boxes that have similar classifications, date ranges, retention periods and final dispositions consecutively according to the date range of the records (e.g., accounts payable, fiscal year 1994/95 in boxes 1 & 2; accounts payable, fiscal year 1995/96 in boxes 3 & 4; accounts payable, fiscal year 1996/97 in boxes 5 & 6).

c) Boxes With Varied Classifications, Retention Periods And Date Ranges

Please consult with your Records Officer when records within a box have varying classifications, retention periods and date ranges.

Records Centre Services provides off-site storage for all inactive records scheduled for selective or full retention. If a records schedule does not provide for the archival retention of a record series which does, in your opinion, have historical, archival, or other residual values, contact your Records Officer to propose that the schedule be amended.

3.10 Freedom of Information and Protection of Privacy

The purpose of the *Freedom of Information and Protection of Privacy Ac*t (RSBC 1996, c. 165) is to ensure that the public has the right to access government records and to protect personal information about an individual from unauthorized collection, use or disclosure by public bodies. That legislation affects the design, development, retention scheduling, and implementation stages of all operational and administrative records classification systems.

To determine whether your records are outside the scope of the legislation, whether your records contain personal or confidential material, and what procedures for information disclosure exist within your ministry or agency, contact your Director/Manager of Information and Privacy. If you have questions specific to file operations or procedures, contact your Records Officer. For information about FOI notes in the *ORCS*, see 2.8.

3.11 Electronic Records and the Information System Overview

Information that has been created, collected, maintained and/or retained by a government ministry or agency is classified and scheduled within *ORCS*, regardless of media or physical format. The additional technical information required for the scheduling of electronic records is documented using the standard format for the Information System Overview (ISO) and Information System Overview for an Subsystem (ISOS). See the ISO section of this *ORCS*.

The Information System Overview (ISO) serves three main purposes:

- to provide a high-level description of the function and information content of the system, in other words a map of the data managed by the system and the major stages through which it flows while being processed;
- to document the records-keeping context of the system by identifying how the system and related records are classified in the *ORCS;*
- it may be used to schedule the electronic system by indicating when its active life ends and what the final disposition will be.

Electronic records (that is, the records created and maintained on an electronic system) are scheduled as secondaries like all other forms of records, as well as being documented in the ISO. An electronic system may be scheduled in the Information System Overview Section, and also may be included under the primary covering the function or activity to which it relates; for example, the Extraterrestrial Registration System (ERS) appears as secondary -30 in the sample primary. A system related to functions covered by an entire section of the *ORCS* will appear in the section default

primary, or if it relates to the entire *ORCS*, in the *ORCS* default primary. Information in the database relating to specific entities is covered by the schedules relating to the relevant case files; for example, the registration information in the ERS concerning a specific extraterrestrial can be purged when the relevant extraterrestrial registrant case file (under secondary -20) becomes inactive.

Electronic mail (or "e-mail") should be classified and filed under the secondaries covering the relevant functions and activities. For further information on e-mail, see special schedule 102903 in the *ARCS* manual.

3.12 Implementation of *ORCS*

Each ministry, government agency and Crown corporation has a designated officer responsible for implementing and coordinating records management procedures. This records officer, often called the Ministry Records Officer (or MRO) or Corporate Records Officer (CRO), should be contacted for further information whenever necessary. If you cannot determine who your Records Officer is, call Corporate Information Management Branch at 387-1321.

The Records Officer plans and coordinates the implementation of *ORCS*.

The eight requirements for implementation and maintenance of *ORCS* are:

1. Executive support.
2. A records management policy.
3. An implementation and training plan.
4. Designated responsibilities for implementation and maintenance of *ORCS*.
5. Designated offices of primary responsibility for types of operational records requiring multiple levels of retention.
6. Training in *ORCS* and general records management for support staff in a training program established by your Records Officer.
7. Established procedures for the storage and retrieval of semi-active records and disposition of inactive records.
8. Established maintenance, review, and update procedures under the administration of the Records Officer.

3.13 Advisory Services

Corporate Information Management Branch provides limited advisory services to assist records officers with the implementation and maintenance of *ORCS*. Your Records Officer is available to help you establish efficient filing procedures and effective records administration. Other services which may be provided by your Records Officer are as follows:

- project planning and coordination assistance
- file conversions
- a records management training program
- selection of filing equipment and supplies

- assistance with retrieval systems, indexes, file tracking, and active records control
- off-site storage and retrieval of semi-active records
- disposition of inactive records
- transfer of permanently valuable records to archival custody
- automation of records management functions

3.14 Amendment and Update of *ORCS*

Maintenance of *ORCS*, including the use of primaries and secondaries, is a joint responsibility of the records holder and the Records Officer.

Effective maintenance depends upon:

- trained records staff
- documented policies and procedures
- coordination and review by the Records Officer
- designated responsibilities for:
  - records classification
  - maintenance of indexes and file lists
  - other record and file operations

Corporate Information Management Branch (CIMB) maintains the master edition of this *ORCS* and is responsible for administering the amendment and review process. The Records Officer is responsible for advising CIMB of proposed amendments. Amendments take effect upon the approval of the Legislative Assembly. Distribution of amendment pages and implementation of amendments is a responsibility of the ministry or agency.

Filing instructions and explanations of changes accompany the distributed amendments. After updating the *ORCS*, insert the instructions behind the Register of Amendments, located at the front of the *ORCS* manual. Date and sign the Register of Amendments.

Offices should refer proposals for new primaries and secondaries or other suggested changes to their Records Officer, who will in turn refer them to CIMB. Proposals will be jointly reviewed by CIMB staff and the Records Officer. While awaiting formal approval, "interim secondaries" may be established. These must be different from any existing secondary numbers and titles. Include records covered by interim secondaries in file lists, and highlight them on the Records Officer's copy of each file list. Once interim secondaries are approved, they will be included in future editions of the *ORCS*.

Changes in the status of primaries, secondaries, and scope notes will be highlighted on the far left of each relevant primary page, in two ways:

|| Double vertical bars indicate a proposed change at the primary or secondary level or to a scope or explanatory note. Proposed changes may be used for classification purposes, but require the approval of the Legislative Assembly before they may be used for records disposition actions.

- A bullet indicates a change at the primary or secondary level which has been approved by the Legislative Assembly.

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A	SA	FD

S E C T I O N 1

P A Y R O L L S E R V I C E S

P R I M A R Y N U M B E R S

6 3 0 0 0 - 6 3 9 9 9

Section 1 covers records relating to BC Government payroll and human resource management system (HRMS) services. This includes records relating to: payroll production, benefit program enrollment, customer service, payroll accounting, Master Service Agreement compliance, performance benchmarks, and service expansion.

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	A	SA	FD

SECTION 1

63000 - PAYROLL SERVICES - 63999

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A = Active
SA = Semi-active
FD = Final Disposition
PIB = Personal Information Bank
PUR = Public Use Records
OPR = Office of Primary Responsibility
CY = Calendar Year
FY = Fiscal Year
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y = year
SO = Superseded or Obsolete
DE = Destruction
SR = Selective Retention
FR = Full Retention
FOI = Freedom of Information/Privacy
VR = Vital Records

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	A	SA	FD

63000 PAYROLL SERVICES - GENERAL

Records not shown elsewhere in the payroll services section which relate generally to payroll and human resource management system (HRMS) services. Those services are described on the web pages classified under secondary -02.

In 2003, payroll services were transferred from government ministries and agencies to a new central government agency. Since November 2004, payroll delivery and HRMS application development and maintenance functions have been provided on behalf of the central agency (Provincial HRMS Partnership Branch) by the private sector (TELUS Sourcing Solutions-BC [TSS-BC]) under long-term contractual arrangements. Provincial HRMS Partnership Branch retains control and ownership of the payroll and system application records and monitors payroll service levels and other performance expectations for the term of the contract. In addition, in partnership with TSS-BC, the branch undertakes projects to improve payroll business processes and service delivery, as well as to expand payroll services to BC public sector organizations.

Record types include correspondence and web pages.

NOTE: Only records that cannot be classified in a more specific primary or secondary may be classified under this primary.

For application development projects, see *ARCS* primary 6450.
For application management, see *ARCS* primary 6820.
For business process projects, see primary 63300.
For payroll processing, see primary 63580.
For expanding payroll services, see primary 63320.

Unless otherwise specified below, the ministry OPR (Provincial HRMS Partnership Branch) will retain these records for:	CY+1y	nil	DE
Except where non-OPR retention periods are identified below, all other ministry offices will retain these records for:	SO	nil	DE

(continued on next page)

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			A	SA	FD
63000	PAYROLL SERVICES - GENERAL (continued)				
-00	Policy and procedures	- OPR	SO	5y	FR
		- non-OPR	SO	nil	DE

FR = The government archives will retain all policy and procedure files created by offices having primary responsibility for policy and procedure development and approval. These records have evidential value.

-01	General			
-02	Payroll services web pages	SO	nil	DE

SO = when the web pages are altered, updated, redesigned or closed

DE = As the web pages are updated, superseded/obsolete versions of documents on them may be destroyed in accordance with approved retention schedules. When the web pages are closed, they can be destroyed after relevant schedules have elapsed and/or the documents have been classified elsewhere.

NOTE: Payroll services are accessed at http://www.solutionsbcshared services.gov.bc.ca/pay/ and http://www.bcpublicservice.ca/benefits/. The web pages provide general information about the government's payroll services and benefits programs, including contact information and links to payroll computer applications, manuals, and information available on the government's intranet web site at https://icw.eview.gov.bc.ca/. Because the web pages are on simple web sites, an information system overview for a web site has not been developed.

NOTE: All documents presented on these web pages are classified under appropriate secondaries within this *ORCS* or in *ARCS.*

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			A	SA	FD
63300	PAYROLL/HRMS ADMINISTRATION - GENERAL				
	Records relating to the administration of payroll and human resource management system (HRMS) delivery not shown elsewhere in this primary block.				
	This primary covers payroll and HRMS projects designed to improve payroll business processes and service delivery.				
	Record types include correspondence and other types of records as indicated under relevant secondaries.				
	Unless otherwise specified below, the ministry OPR (Provincial HRMS Partnership Branch) will retain these records for:		CY+1y	nil	DE
	Except where non-OPR retention periods are identified below, all other ministry offices will retain these records for:		SO	nil	DE
-00	Policy and procedures	- OPR	SO	5y	FR
		- non-OPR	SO	nil	DE
-01	General				
-20	Payroll/HRMS business process project files (electronic records) (includes correspondence, discussion papers, reports, and flowcharts) (arrange by project)		SO+7y	nil	DE
	SO = when project is completed, closed, or cancelled				
	7y = The seven-year retention period provides sufficient time to ensure the files are no longer required, and is consistent with the retention period for other payroll administration records in this primary block.				
	NOTE: This secondary covers the streamlining of payroll and related HRMS processes that pertain to new, existing, terminated, and retiring employees.				

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			A	SA	FD
63320	PAYROLL/HRMS ADMINSTRATION - CLIENTS				
	Records relating to existing and new payroll and human resource management system (HRMS) clients. This involves negotiating annual service level agreements, resolving problems, and cultivating effective working relationships with existing provincial government clients; and expanding payroll and HRMS services to new public sector clients, including the rental of software licences (e.g., PeopleSoft licences). Record types include correspondence, presentation slides, pricing models, and agreements.				
	Unless otherwise specified below, the ministry OPR (Provincial HRMS Partnership Branch) will retain these records for:		CY+1y	nil	DE
	Except where non-OPR retention periods are identified below, all other ministry offices will retain these records for:		SO	nil	DE
	-00 Policy and procedures	- OPR	SO	5y	FR
		- non-OPR	SO	nil	DE
	-01 General				
	-20 Payroll/HRMS client relations files (arrange by client) NOTE: These records document the day-to-day relationship with existing provincial government clients, including the resolution of problems.		SO	nil	DE
	-30 Payroll/HRMS new client files (arrange by client, and then if required, by agreed upon service [e.g., PeopleSoft licence, payroll services, or HRMS]) SO = upon termination of agreement and completion of any litigation, or when agreement for services unlikely to result		SO	7y	DE

(continued on next page)

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		A	SA	FD
63320	PAYROLL/HRMS ADMINISTRATION - CLIENTS (continued)			
	7y = The seven-year retention period ensures that agreements are retained for the six-year limitation period for commencing an action with respect to a contract under the *Limitation Act* (RSBC 1996, c. 266, s. 3).			
	NOTE: These records document presentations to potential clients and agreements negotiated with new clients.			
-40	Payroll/HRMS service level agreement files (arrange by client)	SO	7y	DE
	SO = upon termination of agreement			
	7y = The seven-year retention period is based on the six-year limitation period for commencing an action with respect to a contract under the *Limitation Act* (RSBC 1996, c. 266, s. 3).			
	NOTE: Service level agreements outline the payroll and HRMS services and costs agreed upon by ministry clients.			

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			A	SA	FD
63360	PAYROLL/HRMS ADMINISTRATION - MSA				
	Records relating to the service provider's compliance with the payroll and human resource management system (HRMS) Master Service Agreement (MSA) and other performance expectations.				
	The branch has overall governance responsibilities for the MSA. It is responsible for administering the agreement, monitoring service levels, managing the relationship with the service provider, and resolving any issues that arise. It is supported by committees (e.g., the Joint Executive Committee, Joint Operations Committee, Payroll Client Committee) and various working groups.				
	This primary covers monthly service level reports submitted by the service provider, changes to the agreement, reports and surveys on service levels and customer satisfaction, as well as service delivery plans.				
	Record types include correspondence, agreement and amendments, reports, surveys, plans, and spreadsheets.				
	For all other contracts, see *ARCS* secondary 1080-20. For committees and working groups, see *ARCS* secondary 204-20. For invoices from the service provider, see *ARCS* secondary 925-20. For the MSA tendering process, see *ARCS* secondary 1080-20.				
	Unless otherwise specified below, the ministry OPR (Provincial HRMS Partnership Branch) will retain these records for:		SO	7y	FR
	Except where non-OPR retention periods are identified below, all other ministry offices will retain these records for:		SO	nil	DE
-00	Policy and procedures	- OPR	SO	5y	FR
		- non-OPR	SO	nil	DE
-01	General		CY+1y	nil	DE
-02	Master Service Agreement and amendments				
	NOTE: This secondary includes the original agreement, as well as changes requested by the service provider or the government over the life of the agreement.				
-03	Master Service Agreement confidentiality covenants		SO	7y	DE

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		A	SA	FD
63360	PAYROLL/HRMS ADMINISTRATION - MSA (continued)			
	SO = upon expiry or termination of the MSA (including extensions)			
	NOTE: This secondary covers agreements signed annually by employees of the service provider promising to comply with the privacy obligations of the Master Service Agreement.			
	-04 Master Service Agreement legal advice files			
	-05 Payroll and HRMS delivery plans			
	NOTE: Examples of plans covered by this secondary are service plans, annual operating plans, sales and marketing plans, rolling strategic plans, go to market plans, remediation plans, and the repatriation plan. Copies may also be classified in the appropriate committee file under *ARCS* secondary 204-20.			
	-06 Payroll and HRMS delivery reports and surveys			
	NOTE: These reports and surveys summarize service levels, customer satisfaction, and issues and risks affecting the agreement.			
	-07 Reconciliation and tracking of MSA costs/credits (electronic records)	SO	7y	DE
	NOTE: This secondary covers spreadsheets and other records that explain the credits, expenses and other costs incurred by the service provider and branch that affect the fixed price agreement.			
	SO = when contract expires or is terminated, upon conclusion of all extensions to the contract, and upon completion of any litigation			
	7y = The seven-year default retention period is based on the six-year limitation period for commencing an action with respect to a contract under the *Limitation Act* (RSBC 1996, c. 266, s. 3).			

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	A	SA	FD

63360 PAYROLL/HRMS ADMINISTRATION - MSA (continued)

FR = The government archives will fully retain the Master Service Agreement and amendments and related plans, reports, surveys and legal advice because they document the provincial government's partnership with a private company in the delivery of payroll and human resource management system services, including planning directions, service levels, customer satisfaction, and issues and risks affecting the agreement.

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			A	SA	FD
63380	PAYROLL/HRMS ADMINISTRATION - PERFORMANCE				
	Records relating to establishing levels of performance for the administration of payroll and human resource management system (HRMS) services. This involves establishing baselines by comparing external benchmarks and identifying organizational goals and the means and results needed to achieve those goals.				
	Record types include correspondence, reports, and other types of records as indicated under relevant secondaries.				
	For performance relating to the Master Service Agreement, see secondary 63360-06.				
	Unless otherwise specified below, the ministry OPR (Provincial HRMS Partnership Branch) will retain these records for:		CY+1y	nil	DE
	Except where non-OPR retention periods are identified below, all other ministry offices will retain these records for:		SO	nil	DE
-00	Policy and procedures	- OPR	SO	5y	FR
		- non-OPR	SO	nil	DE
-01	General				
-02	Payroll and HRMS best practices research materials (includes papers, articles, and reports)		SO	nil	DE
-03	Payroll and HRMS performance benchmark reports		SO	7y	FR

SO = when no longer required for reference purposes

7y = The seven-year retention period is sufficient for review and analysis, and is consistent with the retention period for other records in this primary block.

FR = The government archives will fully retain payroll and human resource management system (HRMS) performance benchmark reports because they measure the performance of and show improvements to payroll and HRMS administration over time.

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		A	SA	FD
63380	PAYROLL/HRMS ADMINISTRATION - PERFORMANCE (continued)			
	These reports document the performance of payroll and HRMS services delivered by provincial government employees and service providers.			
-04	Payroll and HRMS performance management files	SO	7y	DE

SO = upon production of the benchmark report, and when no longer required for reference purposes

7y = The seven-year retention period is sufficient for review and analysis, and is consistent with the retention period for other records in this primary block.

NOTE: This secondary covers the research and development work that results in reports classified under secondary -03.

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			A	SA	FD
63500	PAYROLL OPERATIONS - GENERAL				
	Records relating to the management of the provincial government's payroll not shown elsewhere in this primary block.				
	This primary covers the Payroll Administration Manual (PAM), which assists staff in processing the government's payroll, as well as pay period and year-end reviews of the accuracy of payroll information on the Corporate Human Resource Information and Payroll System (CHIPS).				
	Record types include correspondence, reports, and manuals.				
	NOTE: Although government payroll operations are performed by the private sector, the records belong to the government. This primary block provides for the classification, as well as the retention and disposition of government records that are maintained by the service provider while providing payroll services on behalf of the provincial government.				
	For the CHIPS Information System Overview (ISO), see the ISO section.				
	Unless otherwise specified below, the ministry OPR (TELUS Sourcing Solutions-BC on behalf of Provincial HRMS Partnership Branch) will retain these records for:		CY+1y	nil	DE
	Except where non-OPR retention periods are identified below, all other ministry offices will retain these records for:		SO	nil	DE
-00	Policy and procedures	- OPR	SO	5y	FR
		- non-OPR	SO	nil	DE
-01	General				
-02	Calendar year-end payroll review reports (arrange chronologically by calendar year)		CY+3y	nil	DE
	NOTE: These reports are generated at calendar year end to check for errors or problems that may affect T4 production.				

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		A	SA	FD
63500	PAYROLL OPERATIONS - GENERAL (continued)			
-03	Fiscal year-end payroll review reports (arrange chronologically by fiscal year) NOTE: These reports are generated at fiscal year-end to check and confirm account coding with ministries, apportion pay when the fiscal year-end pay period splits into the new fiscal year, and test for Public Accounts reporting.	FY+3y	nil	DE
-04	Pay run review reports (arrange chronologically by pay period) NOTE: These reports are generated just before each pay run in order to check for errors and anomalies. They include the printed version of the gross pay over $25,000 report, which is also classified under secondary 63560-07.	CY+2y	nil	DE
-05	Payroll Administration Manual (PAM) (electronic records) DE = This manual may be destroyed because it merely documents technical procedures for performing routine payroll transactions. It is not a policy manual. Electronic versions of PAM may be destroyed after each update.	SO	nil	DE

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			A	SA	FD

63520 PAYROLL OPERATIONS - BENEFIT SERVICES

Records relating to the provision of enrollment services to eligible BC Government employees in optional benefit programs (e.g., Medical Services Plan [MSP], Extended Health, Dental, Deferred Salary Leave, and Benefit Continuation While on Leave without Pay), as well as the maintenance of Group Life beneficiary designation forms and administration of life insurance claims.

Upon receipt and approval of relevant forms (including change and termination forms), staff key the information directly to the appropriate carriers' computer systems, as well as to the employees' benefit file on the branch's benefit information system (known by the name of the software, Foxpro). Staff also key information related to taxable benefits (e.g., MSP) to employees' pay files on the Corporate Human Resource Information and Payroll System (CHIPS).

Forms are then scanned to Foxpro and destroyed, except Group Life Beneficiary Designation forms.

Record types include correspondence, forms, and reports.

For benefit program administration, see the *Public Service Management ORCS.*
For the CHIPS Information System Overview (ISO), see the ISO section.
For the Foxpro benefit information system ISO, see the ISO section.

Unless otherwise specified below, the ministry OPR (TELUS Sourcing Solutions-BC on behalf of Provincial HRMS Partnership Branch) will retain these records for:			CY+1y	nil	DE
Except where non-OPR retention periods are identified below, all other ministry offices will retain these records for:			SO	nil	DE
-00	Policy and procedures	- OPR	SO	5y	FR
		- non-OPR	SO	nil	DE
-01	General				
-02	Benefit enrollment forms		SO	nil	DE

SO = when scanned and digitized images have been verified for quality and backup has taken place

(continued on next page)

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			A	SA	FD
63520		PAYROLL OPERATIONS - BENEFIT SERVICES (continued)			
		NOTE: The digitized images of these forms are on the relevant electronic employee benefit file classified under secondary -20.			
	-03	Benefit inquiries - general (electronic records)	SO	nil	DE
		NOTE: These are routine inquiries. Employee-specific benefit inquiries are on the relevant electronic employee benefit file classified under secondary -20.			
PIB	-04	Group Life Beneficiary Designation forms (arrange by social insurance number [SIN])	SO	nil	DE
		SO = when scanned and upon termination of eligibility for coverage			
		NOTE: The digitized images of these forms are on the relevant electronic employee benefit file classified under secondary -20. The Group Life carrier requires the original signed paper forms in order to payout life insurance claims. After scanning, the forms are sent to a records storage centre for filing and maintenance. When an employee dies all of the designation forms they submitted are removed and sent to the carrier.			
PIB	-05	Group Life claim summary sheets (arrange by year, then employee surname)	SO	nil	DE
		SO = when no longer required for reference purposes			
		NOTE: These summary sheets are the original claim file cover sheets. They are used as a quick and convenient reference. Copies of the cover sheets are filed on the claim files under secondary -30.			
	-06	Group Life reports (arrange chronologically, then by agency)	CY+1y	3y	DE

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			A	SA	FD
63520		PAYROLL OPERATIONS - BENEFIT SERVICES (continued)			
		5y = The five-year retention period provides sufficient information to resolve discrepancies.			
		NOTE: These cumulative reports are received monthly from client agencies (e.g., BC Ferries, BC Investment Management Corporation, and Tourism BC). They list employees who are on Group Life. Staff refer to these reports to resolve discrepancies and to process life insurance claims.			
PIB	-07	PBC transfer lists (PBC = Pacific Blue Cross) (arrange chronologically, then by employee number)			
		NOTE: These reports are generated by CHIPS. They list employees whose employment status has changed from auxiliary to permanent. Copies are sent to PBC (the extended health carrier) to update their records.			
PIB	-20	Employee benefit files (currently on Foxpro) (electronic data and electronic images)	SO+7y	nil	DE
		SO = upon termination of eligibility for coverage			
		7y = The seven-year retention period is based on the six-year limitation period for commencing an action with respect to a contract under the *Limitation Act* (RSBC 1996, c. 266, s. 3).			
		NOTE: These files include digitized images of Group Life Beneficiary cards dating from 1970 and digitized images of all other benefit forms and related correspondence since 1996. Prior to 1996, employee benefit records were retained by the relevant carrier.			
PIB	-30	Group Life claim files (arrange by SIN)	SO	7y	DE

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			A	SA	FD
63520		PAYROLL OPERATIONS - BENEFIT SERVICES (continued)			
		SO = when scanned and paid out, or when scanned and reclassified under secondary -35 7y = The seven-year retention period is based on the six-year limitation period for commencing an action with respect to a contract under the *Limitation Act* (RSBC 1996, c. 266, s. 3). NOTE: The digitized images of these records are retained under secondary -20			
PIB	-35	Group Life claim files - appealed or disputed (arrange by SIN) SO = when scanned NA = The paper file is sent to the Group Life carrier because it is responsible for handling claim appeals and disputes. NOTE: The digitized images of these records are retained under secondary -20.	SO	NA	NA

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PIB =	Personal Information Bank	w =	week m = month	FR =	Full Retention
PUR =	Public Use Records	y =	year	FOI =	Freedom of Information/Privacy
OPR =	Office of Primary Responsibility			VR =	Vital Records

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			A	SA	FD
63540	PAYROLL OPERATIONS - CUSTOMER SERVICES				
	Records relating to the primary point of contact for payroll customers.				
	This involves responding to payroll inquiries or problems and if required escalating them to payroll staff, establishing and administering Corporate Human Resource Information and Payroll System (CHIPS) and Time On Line (TOL) access and security profiles, and providing CHIPS and TOL application support, including marking CHIPS web-based training quizzes and issuing certificates.				
	Record types include correspondence, forms, reports, and quizzes.				
	For the CHIPS Information System Overview (ISO), see the ISO section. For the TOL ISO, see the ISO section.				
	Unless otherwise specified below, the ministry OPR (TELUS Sourcing Solutions-BC on behalf of Provincial HRMS Partnership Branch) will retain these records for:		CY+1y	nil	DE
	Except where non-OPR retention periods are identified below, all other ministry offices will retain these records for:		SO	nil	DE
-00	Policy and procedures	- OPR	SO	5y	FR
		- non-OPR	SO	nil	DE
-01	General				
-02	CHIPS and TOL access security reports (electronic records)				
	NOTE: This secondary includes CHIPS and TOL generated weekly reports listing active users, terminated employees who erroneously still have system access, and users who inadvertently have more than one internal directory (IDIR) identification (ID).				
-03	CHIPS global access applications (arrange by position)		SO+1y	nil	DE
	SO = when employee transfers to another ministry or upon employment termination from the BC public service				

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		A	SA	FD
63540	PAYROLL OPERATIONS - CUSTOMER SERVICES (continued)			
	NOTE: These applications are signed off by ministry senior financial officers and approved via electronic mail by Provincial HRMS Partnership Branch.			
-04	CHIPS web-based training (electronic records) (arrange chronologically)	3m	nil	DE
	NOTE: The completion of this course is recorded on the employee's student training record in CHIPS.			
-05	Payroll customer inquiries and problems (electronic records) (arrange chronologically)	SO+1y	nil	DE
	SO = when answered and/or resolved			
-06	TOL employee information forms (electronic records)			
	NOTE: These forms are used to establish and modify employee access and security profiles in TOL.			

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			A	SA	FD

63560 PAYROLL OPERATIONS - PAYROLL ACCOUNTING

Records relating to payroll accounting.

Payroll accounting involves balancing payroll information on the Corporate Human Resource Information and Payroll System (CHIPS) against the Corporate Accounting System (CAS) general ledger (GL) interface; issuing lost cheque and rejected direct deposit replacements; reviewing and confirming salary payments over $25,000; processing, reconciling and collecting salary overpayments; processing T4 amendments; reconciling and verifying income tax deductions and remittances; balancing pension contributions recorded on CHIPS against the Integrated Pension Administration System (IPAS) interface; reconciling pension segment reports; and accounting for payroll receivables recovered from client agencies.

Record types include correspondence, forms, notices, worksheets, reports, and other types of records as indicated under relevant secondaries.

For the CAS Information System Overview (ISO), see the *Office of the Comptroller General ORCS.*
For the Cheque Management System (CMS) ISO, see the *Provincial Treasury ORCS.*
For the CHIPS ISO, see the ISO section.
For IPAS, see the records of the British Columbia Pension Corporation.

Unless otherwise specified below, the ministry OPR (TELUS Sourcing Solutions-BC on behalf of Provincial HRMS Partnership Branch) will retain these records for:			CY+1y	6y	DE
Except where non-OPR retention periods are identified below, all other ministry offices will retain these records for:			SO	nil	DE
-00	Policy and procedures	- OPR	SO	5y	FR
		- non-OPR	SO	nil	DE
-01	General		CY+1y	nil	DE
-02	Biweekly payroll balancing reports (includes reports [e.g., bi-weekly on/off cycle pay run reports, bi-weekly on/off cycle general ledger interface/CHIPS reports, and daily off-cycle pay run reports])				

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			A	SA	FD
63560		PAYROLL OPERATIONS - PAYROLL ACCOUNTING (continued)			
PIB	-03	Cheque/direct deposit replacement log (electronic spreadsheet) (arrange by employee surname) NOTE: The log provides a quick and convenient reference for verifying that a cheque or direct deposit has been replaced. This information is also documented in the Cheque Management System covered by the *Provincial Treasury ORCS.*	SO	nil	DE
	-04	Cheque stop payment/replacement files (includes correspondence, Cheque Enquiry/Stop Payment/Replacement forms (FIN 358), cancelled cheques, and signed bonds of indemnity) (arrange chronologically) 3y = The three-year retention period provides sufficient time to respond to inquiries. NOTE: These records are also retained under primary 65520 in the *Provincial Treasury ORCS.* Provincial Treasury is the office of record for cheques issued by the Comptroller General.	CY+2y	nil	DE
	-05	CHIPS reversal working files (includes correspondence and reports) (arrange chronologically by pay period) NOTE: This secondary covers the reconciliation of payroll reversals on CHIPS that result from the recall of direct deposits. This information is duplicated under primary 65560 in the *Provincial Treasury ORCS.*			
PIB	-06	CRA account reconciliation and required documents (CRA = Canada Revenue Agency) (includes correspondence, statements, reports, journal vouchers, and cheque requisitions) (arrange by calendar year, then by employee surname)			

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		A	SA	FD
63560	PAYROLL OPERATIONS - PAYROLL ACCOUNTING (continued)			
	NOTE: This secondary covers the reconciliation and verification of employee earnings and deductions reported to CRA, including the reconciliation of Pensionable Insurable Earnings Reports (PIERs) received from CRA. It also includes the issuance of CRA-required documentation for employees (e.g., statements of earnings and Short Term Illness and Injury Plan [STIIP] reimbursement letters).			
-07	Gross pay over $25,000 review and confirmation (electronic records) (includes correspondence and reports)	CY	nil	DE
	NOTE: These CHIPS reports are run twice daily (i.e., after each payroll calculation) in order to verify that salary payments over $25,000 are accurate. Pay accounting staff review the reports and receive confirmations from pay supervisors that the payments are correct. Paper copies of this report are filed with the biweekly pay run documents classified under secondary 63500-04.			
-08	Payroll bank account reconciliations	FY+1y	6y	DE
	OPR = Provincial Human Resource Management System (HRMS) Partnership Branch			
-09	Payroll receivable bank deposits (includes copies of cheques, working papers, and journal vouchers)	FY+1y	6y	DE
	OPR = Provincial HRMS Partnership Branch			
	NOTE: This secondary covers the bank deposit and reconciliation of cheques received from clients and employees (e.g., salary overpayments).			

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			A	SA	FD
63560		PAYROLL OPERATIONS - PAYROLL ACCOUNTING (continued)			
	-10	Pension contribution/segment report reconciliation (paper and electronic records) (includes correspondence, reports, and adjustment records) (arrange chronologically by pay period) 3y = The three-year retention period provides sufficient time to respond to inquiries. NOTE: This secondary covers the biweekly reconciliation of pension contributions on CHIPS against the IPAS interface, as well as the preparation of segment reports for the BC Pension Corporation at calendar year-end and fiscal year-end, and the reconciliation of those reports against variance reports received from the Pension Corp.	CY+2y	nil	DE
	-11	Salary overpayment accounts receivable (STOB 1290) (STOB = Standard Object) (includes correspondence, bank deposit lists, and reports) (arrange chronologically) NOTE: This secondary covers the reconciliation of salary overpayments recorded as accounts receivable (STOB 1290) in the general ledger. NOTE: Records documenting the collection of salary overpayments from employees are classified on the employee's pay file under secondary 63580-20. The bank deposit of overpayment cheques is classified under secondary -09.			
PIB	-12	T4 amendment supporting files (1996 to present) (includes correspondence, payroll accounting worksheets [PAWS], T4 amendment working sheets, journal vouchers, and reports) (arrange by calendar year, then by employee surname)			

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			A	SA	FD
63560		PAYROLL OPERATIONS - PAYROLL ACCOUNTING (continued)			
PIB	-13	T4 books from 1960 to 1995 (arrange by calendar year, then by employee surname) NOTE: These books contain the T4 information of provincial government employees from 1960 to 1995. In 1996, T4 books were replaced by CHIPS and the T4 amendment supporting files classified under secondary -12.			
	-20	Payroll cost recovery files (arrange by client) OPR = Provincial HRMS Partnership Branch NOTE: This secondary covers the recovery of costs from Crown corporation and other government agency clients for payroll services provided on their behalf.	FY+1y	6y	DE
	-30	Payroll deduction remittance/reconciliation files (arrange by remittance group) OPR = Provincial HRMS Partnership Branch NOTE: This secondary covers the preparation, remittance, and general ledger reconciliation of payroll-related deductions (e.g., pension, union contributions and taxes) sent to the appropriate authorities or carriers.	FY+1y	6y	DE
	8y =	The eight-year default retention period is based on the six-year assessment period under the *Income Tax Act* (RSC 1985, c. I-5, s. 230[4]) and is consistent with the retention period for other payroll records in this primary block.			

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			A	SA	FD
63580	PAYROLL OPERATIONS - PAYROLL PROCESSING				
	Records relating to processing the provincial government's payroll. This includes establishing and modifying employee work schedules and pay rules in the automated time and leave reporting system, Time On Line (TOL); modifying payroll information on the Corporate Human Resource Information and Payroll System (CHIPS) as required by incoming documents (e.g., manual timesheets and leave forms and employee data action [EDA] notices); monitoring long term leave (e.g., deferred salary, parental, and educational); and resolving payroll problems. Record types include correspondence, forms, timesheets, checklists, calculation worksheets, direct deposit authorizations, voided cheques, records of employment, and reports. For the administration of wage garnishments and bankruptcy notices, see the records of the Legal Encumbrances Section of the Ministry of Finance. For the CHIPS Information System Overview (ISO), see the ISO section. For the TOL ISO, see the ISO section.				
	Unless otherwise specified below, the ministry OPR (TELUS Sourcing Solutions-BC on behalf of Provincial HRMS Partnership Branch) will retain these records for:		CY+1y	nil	DE
	Except where non-OPR retention periods are identified below, all other ministry offices will retain these records for:		SO	nil	DE
	-00 Policy and procedures	- OPR	SO	5y	FR
		- non-OPR	SO	nil	DE
	-01 General				
	-02 Canada Payroll Saving Program forms NOTE: This record series covers paper forms received from employees wishing to contribute to the Canada Payroll Savings Program through automatic payroll deductions, or wish to cancel their contribution. The forms are keyed to CHIPS.				

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			A	SA	FD
63580		PAYROLL OPERATIONS - PAYROLL PROCESSING (continued)			
PIB	-03	Overtime, shift, standby (OSS) forms (arrange by calendar year, then by employee surname) 8y = The eight-year retention period ensures that an employee's pay records are available to taxation authorities which have the right under the *Income Tax Act* (RSC 1985, c. I-5, ss. 230(4) and 231.1) to investigate income tax returns filed for the previous six years. NOTE: OSS forms are submitted annually by Professional Employee Association members who are entitled to a premium added to their basic salary for overtime, shiftwork, and standby. The forms indicate how they wish to allocate their premiums (i.e., cash, time off, or a combination of both) and contain their signatures. The forms are keyed to CHIPS.	CY+1y	6y	DE
PIB	-04	Records of employment (ROE) forms (electronic records) 8y = The eight-year retention period ensures that ROE serial numbers are retained for the six years required by the federal government agency responsible for employment insurance (currently Human Resources and Skills Development) and is consistent with the retention period for other payroll records covered by this primary. NOTE: ROEs are numbered with pre-printed serial numbers. They are currently created using software received from the federal government that enables laser printing of the forms.	CY+7y	nil	DE
	-05	TOL Not Signed Off (NSO) reports 8y = The eight-year retention period ensures that an employee's pay records are available to taxation authorities which have the right under the *Income Tax*	CY+1y	6y	DE

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			A	SA	FD

63580 PAYROLL OPERATIONS - PAYROLL PROCESSING (continued)

Act (RSC 1985, c. I-5, ss. 230(4) and 231.1) to investigate income tax returns filed for the previous six years.

NOTE: This record series covers NSO reports that have been approved and signed off by authorized expense authorities. NSO reports list the names of employees and their additions to their base pay. They are generated by TOL and sent to authorized ministry expense authorities who failed to approve their employees' "adds-to-pay" prior to the pay run.

PIB	-20	Employee pay files (arrange by employee surname)	SO	7y	DE

SO = upon retirement, resignation, or employment termination from the BC public service

7y = The seven-year retention period ensures that employee pay, work schedule, and leave information that is not captured on TOL and CHIPS is retained for two years after employment termination required under the *Employment Standards Act* (RSBC 1996, c. 113, s. 28).

It also ensures that the records are retained for the five years allowed for purchasing pensionable service and are available to taxation authorities which have the right under the *Income Tax Act* (RSC 1985, c. I-5, ss. 230(4) and 231.1) to investigate income tax returns filed for the previous six years.

NOTE: The OPR will store terminated employee pay files under ongoing RCS accession number 90-7475.

NOTE: Effective April 1, 2007, employees may only purchase pension non-contributory service that occurred within the previous five years. Employees cannot purchase non-contributory service after their employment has terminated or they have retired.

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			A	SA	FD
63580		PAYROLL OPERATIONS - PAYROLL PROCESSING (continued)			
		NOTE: Although the payroll information on TOL and CHIPS satisfies most of the records requirements of the *Employment Standards Ac*t (s. 28), some of the leave and time information required under (s. 28 [d], [i] and [j]) is only recorded on paper timesheets and leave forms. Therefore, paper time and leave records that are not duplicated on TOL and CHIPS must be retained for seven years after employment termination.			
		NOTE: These records consist of hire/rehire/recall employee data action (EDA) notices or equivalent, reclassification EDAs or equivalent, order in counsel appointment documentation, personal tax credit returns (TD1 and TD1BC), name change documentation, direct deposit forms, Canada Revenue Agency tax reduction at source authorization letters, timesheets, leave forms, temporary appointment EDAs or equivalent, temporary reclassification EDAs or equivalent, pension termination notices, checklists, salary adjustment worksheets (SAWs) and collection records.			
		NOTE: This record series also covers the collection of salary overpayments from current and terminated employees. First level collections (e.g., letters requesting the reimbursement of overpayments) are performed by payroll accounting staff. Failure to collect an overpayment after the issuance of a second letter results in the transfer of further collection activity to the government's collections agency. Payroll staff are notified when collection activity is concluded (i.e., the overpayment is paid or written-off).			
PIB	-30	Employee time and leave reporting data (covers TOL work schedule and leave data) (electronic records)	SO+7y	nil	DE
		SO = upon retirement, resignation, or employment termination from the BC public service			

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			A	SA	FD
63580		PAYROLL OPERATIONS - PAYROLL PROCESSING (continued)			
		7y = The seven-year retention period ensures that an employee's work schedule and leave information are retained for two years after employment termination required under the *Employment Standards Act* (RSBC 1996, c. 113, s. 28 [2]) and are available to taxation authorities which have the right under the *Income Tax Act* (RSC 1985, c. I-5, ss. 230(4) and 231.1) to investigate income tax returns filed for the previous six years.			
		NOTE: Although the payroll information on CHIPS satisfies most of the records requirements of the *Employment Standards Ac*t (s. 28), only TOL contains the detailed time and leave information required under (s. 28 [d], [i] and [j]). As long as that is the case, TOL data must be retained for seven years after employment termination.			
PIB	-40	Payroll data (covers payroll data on CHIPS) (electronic records) (arrange by employee surname)	SO+7y	nil	DE
		SO = upon retirement, resignation, or employment termination from the BC public service			
		7y = The seven-year retention period ensures that an employee's pay information is retained for two years after employment termination required under the *Employment Standards Act* (RSBC 1996, c. 113, s. 28[2]). It also ensures that the records are retained for the five years allowed for purchasing pensionable service and are available to taxation authorities which have the right under the *Income Tax Act* (RSC 1985, c. I-5, ss. 230(4) and 231.1) to investigate income tax returns filed for the previous six years.			
		NOTE: The payroll data dates from 1996. Pre-1996 payroll information is covered by secondary -20.			

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INFORMATION SYSTEM OVERVIEW SECTION

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ISO TITLE	
Corporate Human Resource Information and Payroll System	CHIPS
Foxpro Benefit Information System	FOXPRO
Time On Line	TOL

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INFORMATION SYSTEM OVERVIEW

Name of Creating Agency

Ministry of Labour and Citizens' Services
Provincial Human Resource Management System (HRMS) Partnership Branch

System Title

Corporate Human Resource Information and Payroll System (CHIPS)

Purpose

The purpose of CHIPS is to produce the BC Government's bi-weekly payroll, track the employment history and training of government employees, and provide position information.

Information Content

CHIPS contains employee attendance, pay, expenses, taxable benefits, employment history, training, and position information.

Inputs, Processes, and Outputs

Inputs

CHIPS inputs consist of employment, payroll, leave, taxable benefit, and training information entered from personnel, payroll, and benefit files; position information entered from position history files and generic job files; updates entered by employees to their own personal information; biweekly time and leave reporting data loaded from Time On Line (TOL); Chart of Accounts information loaded from the Corporate Accounting System (CAS); and wage garnishee and bankruptcy information entered by Ministry of Finance, Legal Encumbrances staff.

Processes

CHIPS maintains pay, employment history and training information on BC public employees, interfaces with TOL to produce the biweekly payroll, tracks positions, and allows employees to update their own personal information as well as view and print reports concerning their leave, benefits and pay.

CHIPS also interfaces with CAS, Workforce Adjustment Tracking System (WFAS), Disability Data Management Application (DDMA), the Integrated Pension Administration System (IPAS), Electronic Funds Transfer (EFT) system, Cheque Management System (CMS), and computer systems used by BC Mail Plus, Pacific Blue Cross, Medical Services Plan, Alberta Blue Cross, BC Government Employees' Union, Professional Employees' Association, BC Statistics, Statistics Canada, Bank of Canada, and Workers' Compensation Board.

Outputs

CHIPS outputs consist of reports and loads to external databases.

Technical Maintenance

Electronic records are maintained on the system until their retention schedule is completed. (This usually parallels the schedule for related paper records.) The electronic records are then purged from the system. Any exceptions to this purge routine are noted under specific secondaries.

The electronic system is routinely backed up in accordance with ministry policy and with special schedule 112910 in the *ARCS* manual.

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For retention and disposition schedules, see relevant primaries, which are listed in the classification section below.

Classification

Electronic System

The electronic system is not classified in the *ORCS*. The classifications for the electronic records it generates are listed below. The system schedule is provided under "System Scheduling and Disposition".

Electronic Records

Schedule No.	Secondary No.	Secondary Title
181080 (PSPM)	57360-02	CHIPS position information
181080 (PSPM)	57240-30	Employee work history data
181080 (PSPM)	57820-50	Employee training records
190091 (PAYR)	63580-40	Payroll data

Inputs

Schedule No.	Secondary No.	Secondary Title
100001 (ARCS)	1735-30	Training session attendance files
181080 (PSPM)	57360-40	Generic job files
181080 (PSPM)	57360-50	Position history files
181080 (PSPM)	57240-20	Employee personnel files
190091 (PAYR)	63520-20	Employee benefit files
190091 (PAYR)	63540-04	CHIPS web-based training
190091 (PAYR)	63560-04	Cheque stop payment/replacement files
190091 (PAYR)	63560-05	CHIPS reversal working files
190091 (PAYR)	63560-12	T4 amendment supporting files (1996 to present)
190091 (PAYR)	63580-02	Canada Payroll Saving Program forms
190091 (PAYR)	63580-03	Overtime, shift, standby (OSS) forms
190091 (PAYR)	63580-05	TOL Not Signed Off (NSO) reports
190091 (PAYR)	63580-20	Employee pay files
190091 (PAYR)	63580-30	Employee time and leave reporting data

Outputs

Schedule No.	Secondary No.	Secondary Title
181080 (PSPM)	57240-20	Employee personnel files
190091 (PAYR)	63500-02	Calendar year-end payroll review reports
190091 (PAYR)	63500-03	Fiscal year-end payroll review reports
190091 (PAYR)	63500-04	Pay run review reports
190091 (PAYR)	63520-07	PBC transfer lists
190091 (PAYR)	63540-02	CHIPS and TOL access security reports
190091 (PAYR)	63560-02	Biweekly payroll balancing reports
190091 (PAYR)	63560-05	CHIPS reversal working files
190091 (PAYR)	63560-07	Gross pay over $25,000 review and confirmation
190091 (PAYR)	63560-10	Pension contribution/segment report reconciliation
190091 (PAYR)	63560-11	Salary overpayment accounts receivable (STOB 1290)
190091 (PAYR)	63560-30	Payroll deduction remittance/reconciliation files
190091 (PAYR)	63580-20	Employee pay files

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Other Related Records

- For transitory electronic data processing (EDP) records, see special schedule 102902 in the *ARCS* manual.
- For computer system backup records, see special schedule 112910 in *ARCS.*
- For administrative records relating to the system, see *ARCS* section 6 and other relevant primaries.
- For CAS, see the *Office of the Comptroller General ORCS*
- For CMS, see the *Provincial Treasury ORCS.*
- For DDMA, see the *Public Service Personnel Management ORCS.*
- For EFT, see the *Provincial Treasury ORCS.*
- For IPAS, see the records of the British Columbia Pension Corporation.
- For TOL, see the TOL Information System Overview.
- For WFAS, see the *Public Service Personnel Management ORCS.*

System Scheduling and Disposition

The system will be destroyed when all data has been migrated to a new system performing the same function, or when the function it supports is no longer performed by the provincial government, and when the approved retention schedules covering the information on it have elapsed, or the information has been preserved elsewhere.

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INFORMATION SYSTEM OVERVIEW

Name of Creating Agency

Ministry of Labour and Citizens' Services
Provincial Human Resource Management System (HRMS) Partnership Branch

System Title

Foxpro benefit information system (Foxpro)

Purpose

The purpose of Foxpro is to provide information on employee enrollment and coverage in optional benefit programs (e.g., Medical Services Plan [MSP], Extended Health, Dental, Deferred Salary Leave, and Benefit Continuation While on Leave without Pay), as well as to provide information on Group Life beneficiary designations and life insurance claims.

Information Content

Foxpro contains the names of employees, their social insurance numbers, positions, ministries or agencies in which they are employed, addresses, dates of employment, benefits enrolled in and coverage, and names and contact information of beneficiaries.

Inputs, Processes, and Outputs

Inputs

Foxpro inputs consist of scanned documents and information entered by staff from inquiries, correspondence, and forms.

Processes

Foxpro provides information on employees' enrollment and coverage in optional benefit programs, and assists staff in administering Group Life claims and monitoring the suspension or continuation of coverage for employees on leave and the payment of premiums by employees wishing to continue benefits while on leave.

Outputs

Foxpro outputs consist of reports classified in the *Public Service Management ORCS.*

Technical Maintenance

Electronic records are maintained on the system until their retention schedule is completed. (This usually parallels the schedule for related paper records.) The electronic records are then purged from the system. Any exceptions to this purge routine are noted under specific secondaries.

The electronic system is routinely backed up in accordance with ministry policy and with special schedule 112910 in the *ARCS* manual.

For retention and disposition schedules, see relevant primaries, which are listed in the classification section below.

Classification

Electronic System

The electronic system is not classified in the *ORCS*. The classifications for the electronic records it generates are listed below. The system schedule is provided under "System Scheduling and Disposition".

This records schedule is approved in accordance with the *Document Disposal Act* (RSBC 1996, c. 99). It constitutes authority for retention and disposition of the records described herein provided *ORCS* has been implemented according to standards approved by Corporate Information Management Branch. For assistance in implementing *ORCS*, contact your Records Officer.

Electronic Records

Secondary No.	Secondary Title
63520-20	Employee benefit files

Inputs

Secondary No.	Secondary Title
63520-02	Benefit enrollment forms
63520-04	Group Life Beneficiary Designation forms
63520-30	Group life claim files

Outputs

Schedule No.	Secondary No.	Secondary Title
181080 (PSPM)	57400-20	Benefit administration files

Other Related Records

- For transitory electronic data processing (EDP) records, see special schedule 102902 in the *ARCS* manual.
- For computer system backup records, see special schedule 112910 in *ARCS.*
- For administrative records relating to the system, see *ARCS* section 6 and other relevant primaries.
- For CHIPS, see the CHIPS Information System Overview.

System Scheduling and Disposition

The system will be destroyed when all data has been migrated to a new system performing the same function, or when the function it supports is no longer performed by the provincial government, and when the approved retention schedules covering the information on it have elapsed, or the information has been preserved elsewhere.

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INFORMATION SYSTEM OVERVIEW

Name of Creating Agency

Ministry of Labour and Citizens' Services
Provincial Human Resource Management System (HRMS) Partnership Branch

System Title

Time On Line (TOL)

Purpose

The purpose of TOL is to schedule employees' regular hours of work and for employees to report and their expense authorities to approve their attendance during each pay period.

Information Content

TOL contains the regular work schedules of employees of participating BC Government ministries and agencies and exceptions to their schedules (i.e., overtime and/or leave taken) during biweekly pay periods.

Inputs, Processes, and Outputs

Inputs

TOL inputs consist of employees' regular working hours and security profiles, which are entered by payroll staff; time exceptions entered by employees, their timekeepers, or payroll staff; and electronic signatures of authorized leave and overtime approvers.

Processes

TOL loads approved attendance records to the Corporate Human Resource Information and Payroll System (CHIPS) and produces reports on time exceptions that were not signed off by authorized approvers.

Outputs

TOL outputs consist of reports.

Technical Maintenance

Electronic records are maintained on the system until their retention schedule is completed. (This usually parallels the schedule for related paper records.) The electronic records are then purged from the system. Any exceptions to this purge routine are noted under specific secondaries.

The electronic system is routinely backed up in accordance with ministry policy and with special schedule 112910 in the *ARCS* manual.

For retention and disposition schedules, see relevant primaries, which are listed in the classification section below.

Classification

Electronic System

The electronic system is not classified in the *ORCS*. The classifications for the electronic records it generates are listed below. The system schedule is provided under "System Scheduling and Disposition".

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Electronic Records

Secondary No.	Secondary Title
63580-30	Employee time and leave reporting data

Inputs

Secondary No.	Secondary Title
63540-06	TOL employee information forms

Outputs

Secondary No.	Secondary Title
63540-02	CHIPS and TOL access security reports
63580-05	TOL Not Signed Off (NSO) reports

Other Related Records

- For transitory electronic data processing (EDP) records, see special schedule 102902 in the *ARCS* manual.
- For computer system backup records, see special schedule 112910 in *ARCS.*
- For administrative records relating to the system, see *ARCS* section 6 and other relevant primaries.
- For CHIPS, see the CHIPS Information System Overview.

System Scheduling and Disposition

The system will be destroyed when all data has been migrated to a new system performing the same function, or when the function it supports is no longer performed by the provincial government, and when the approved retention schedules covering the information on it have elapsed, or the information has been preserved elsewhere.

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SUBJECT HEADINGS PRIMARY NUMBERS

PAYROLL SERVICES

OPERATIONAL RECORDS CLASSIFICATION SYSTEM (*ORCS*)

INDEX

This index provides an alphabetical guide to *ORCS* subject headings and relevant primary number(s). It should enable the user to locate the primary number(s) in which documents relating to a specific subject or function may be classified. It should also aid the user in retrieving, by subject, documents which have been classified and filed.

Employees responsible for records classification should use this index as a means of access to the contents of *ORCS*. Once they have located what appear to be relevant index entries for a given subject, they should refer to the primary or primaries listed in order to determine which is the correct classification and also to determine the correct secondary. Often, the primary scope notes will clarify whether or not a document should be classified in a given primary. Primary scope notes should be read carefully as they delineate a primary's subject and content.

This index contains an alphabetical listing of:

a) all keywords which appear in primary titles;
b) all keywords which appear in secondary titles;
c) keywords which appear in primary scope notes;
d) common synonyms for indexed keywords; and
e) common abbreviations.

Cross-references:

"See" references indicate that the subject heading sought is indexed under an alternate entry (a more appropriate keyword, a full or official name, etc.).

"See also" references are used when additional information can be found in another entry.

(continued on next page)

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SUBJECT HEADINGS	PRIMARY NUMBERS
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SUBJECT HEADINGS	PRIMARY NUMBERS
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