

STANDARD ORCS KIT CHAPTER THREE
PRIMARY STRUCTURE AND CONTENT
INTRODUCTION

This chapter contains the following sections:

- **Formats** for the two types of primaries:
 - basic primary
 - section default primary

- **Standards** for developing primaries and all their constituent parts, organized into the following sections:
 1. General
 2. Primary numbers, titles and blocks
 - 2.1 Primary numbers
 - 2.2 Primary titles
 - 2.3 Primary blocks
 3. Scope notes
 4. Cross-reference notes
 5. Office of primary responsibility (“Unless and except statements”)
 6. Secondary numbers and titles
 - 6.1 General
 - 6.2 Reserved secondaries
 - 6.3 Subject secondaries
 - 6.4 Case file secondaries
 7. Records retention and disposition schedule (scheduling column)
 8. Qualifiers
 9. Explanatory notes
 10. Flags
 11. Section default primary

How to Use this Chapter

When you are ready to describe, classify and schedule the records to be covered by an ORCS, obtain the electronic formats for the basic primary and the section default primary from your Records Officer (who either has them or can obtain them from the Corporate Information Management (CIMB) contact). In the format documents, develop the various parts of the primary in accordance with the embedded instructions and with the detailed standards provided in this chapter. View the examples provided in clearly marked boxes throughout the chapter to see how the standards can be interpreted.

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.

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[PRIMARY TITLE IN ALL CAPS] see *Standard ORCS Kit chap. 3.2*

Records relating to [GIVE FUNCTION/PURPOSE. ADD SENTENCES/PARAGRAPHS OUTLINING THE ACTIVITIES/WORK PROCESSES THAT LEAD TO RECORDS CREATION AS WELL AS RECORDS CONTENT AND USAGE. see chap. 3.2]

Record types include: [LIST TYPES OF RECORDS, UNLESS FULLY COVERED BY INCLUDES QUALIFIERS UNDER SECONDARIES], correspondence, memoranda, and reports.

For [TOPIC/FILE see chap. 3.4], see [primary/secondary #].
 For [TOPIC/FILE], see *ARCS* [primary/secondary #].
 For a description of the [GIVE NAME OF ISO] information system overview (ISO), see ISO section.

Unless otherwise specified below, the ministry OPR ([GIVE OFFICE NAME see chap. 3.5]) will retain these records for: ??## ## 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
		- <u>non-OPR</u>	<u>SO</u>	<u>nil</u>	<u>DE</u>
-01	General		CY+1y	nil	DE
-02	<u>[GIVE SECONDARY TITLE see chap. 3.6]</u>				

PIB -20 [GIVE SECONDARY TITLE] ??## ## ??
 (includes [LIST RECORDS IF NOT COVERED BY SCOPE NOTE see chap. 3.8(f)])
 (arrange by [GIVE METHOD- see chap. 3.8(g)])
 ([GIVE PHYSICAL FORMAT QUALIFIER(s) IF NEEDED - see chap. 3.8(h)])

OPR = [GIVE IF DIFFERENT FROM PRIMARY DEFAULT OPR see chap. 3.9(g)]

(continued on next page)

A = Active	CY = Calendar Year	SO = Superseded or Obsolete
SA = Semi-active	FY = Fiscal Year	DE = Destruction
FD = Final Disposition	NA = Not Applicable	SR = Selective Retention
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

DOCUMENT PATH: YYYY/MM/DD Schedule ##### *ORCS/ACRONYM* SECT # - #

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[PRIMARY TITLE IN ALL CAPS] (continued)

- SO = when/upon **[GIVE SPECIFIC TRIGGER FOR CLOSING FILE see chap. 3.9(h)]**
- ##y = **[GIVE REASON FOR RETENTION GREATER THAN SEVEN YEARS see chap. 3.9(i)]**
- NA = **[USE FOR RECORDS RECLASSIFIED OR TRANSFERRED TO ANOTHER AGENCY. see chap. 3.9(j)]**
- SR/FR/DE = **[The archivist will supply this statement. Provide suggestions, if possible; see "Standard Archival Questions" in chap. 1.4 and chap. 3.9(k)]**
- FOI: **[USE FOR RECORDS WITH SPECIAL DISCLOSURE RESTRICTIONS see chap. 3.9(l)]**
- NOTE: **[USE IF THERE IS AN ONGOING ACCESSION NO. FOR THIS SECONDARY chap. 3.9(m)]** The OPR will store **[GIVE SECONDARY NAME]** files under ongoing RCS accession number **##-#####**.
- NOTE: **[PROVIDE ANY OTHER USEFUL INFORMATION RELATED TO THE SCOPE OF THE SECONDARY, SUCH AS HISTORY, FUNCTIONS, AND/OR VOLUME OF THE RECORDS, FILING PROCEDURES, LOCATION OF COPIES, ETC. see chap. 3.9(m)]**

Format last revised 2001/07/01

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A SA FD

[SECTION DEFAULT PRIMARY TITLE IN ALL CAPS] *see chap. 3.11*

Records not shown elsewhere in the [NAME OF SECTION] that relate generally to [GIVE FUNCTION/PURPOSE. USE PLAIN LANGUAGE AND DEFINE SPECIAL TERMINOLOGY.]

Record types include: [LIST TYPES OF RECORDS, UNLESS FULLY COVERED BY INCLUDES QUALIFIERS UNDER SECONDARIES], correspondence, memoranda, and reports.

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

For [RELEVANT TOPIC/FILE], see [primary/secondary #####].

For [RELEVANT TOPIC/FILE], see *ARCS* [primary/secondary ###].

Unless otherwise specified below, the ministry OPR ([GIVE OFFICE NAME]) will retain these records for:

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
		- <u>non-OPR</u>	<u>SO</u>	<u>nil</u>	<u>DE</u>

FR = Throughout this section, 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		CY+1y	nil	DE
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(continued on next page)

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[SECTION DEFAULT PRIMARY TITLE IN ALL CAPS] (continued)

-02 [GIVE SECONDARY TITLE]

See chap. 3.8 and 9 re. qualifiers and other notes.

NOTE: *If this is a reserved secondary, begin this note as follows: Throughout this section, secondary -## is reserved for [NAME OF SECONDARY see chap. 3.6.2 for further instructions].*

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Schedule #####

ORCS/ACRONYM SECT # - #

**PRIMARY STRUCTURE AND CONTENT
STANDARDS**

1. GENERAL

OVERVIEW

This chapter concerns the primary, which is the basic building block of the ORCS. The primary is used to classify and schedule secondaries according to function or topic. The secondary is used to designate actual records. Primaries provide contextual information which helps users understand how and why the operational records are created and used, and assists with filing and retrieval. Primaries are grouped together in primary blocks and sections.

The primary consists of several interrelated parts, each of which is explained in this chapter with its own overview and standards. This chapter also provides guidance for creating groups of related primaries (“primary blocks”) and introductory primaries (“section default primaries”).

Use the electronic formats provided by Corporate Information Management Branch to develop basic primaries and section default primaries.

NOTE: Primaries within an ORCS are not used to classify and schedule administrative records, except in very specific circumstances. These records are classified and scheduled in the *Administrative Records Classification System (ARCS)*. Inclusion of administrative records in ORCS is appropriate when the retention periods or final disposition required for these records vary from those in ARCS. This must be clearly explained in the draft ORCS

GENERAL STANDARDS

- a) Every primary consists of the following fields:

PARTS OF A PRIMARY
<ul style="list-style-type: none"> • a primary number and title • a scope note • cross-reference notes (if required) • unless and except statements regarding office of primary responsibility • secondary numbers and titles • records retention and disposition scheduling information • qualifiers and other explanatory notes (if required) • flags (PIB, PUR, VR) (if required)

- b) Structure the primary according to the primary format provided in this chapter, using the standard draft header and ten-line footer, and standard margins.

STANDARD ORCS KIT CHAPTER THREE – SECTION 1 - GENERAL

- c) Use the “short format line” for primary titles, scope notes, cross references, and other notes. Left margin: ca. 4 cm / 1.75” from edge of page. Right margin: ca. 6 cm / 2.5”.
- d) Use the “long format line” for lines of text containing scheduling information. Left margin: ca. 4 cm / 1.75” from edge of page. Right margin: ca. 2 cm / 0.75”.
- e) Provide the full term for the first use of an acronym in each primary (other than acronyms provided in the key of terms in the footer).

EXAMPLE: “Request for Proposal (RFP)”.

- f) For primaries that continue for more than one page, include the phrase “(continued on next page)” in the centre of the last line before the footer of each relevant page.
- g) Arrange primaries in alphabetical order by title, within a section or a primary block. Consult your CIMB contact if another order seems appropriate.
- h) Within a primary, arrange subject secondaries and case file secondaries respectively in alphabetical order. Make exceptions where necessary for reserved secondaries. As noted in (g), consult your CIMB contact if there is a compelling reason not to use alphabetical order.



See Chapter 2 for further instructions regarding alphabetical order, format lines and related details.

2. PRIMARY NUMBERS, TITLES, AND BLOCKS

OVERVIEW

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 and schedule all information related to the relevant subject or function, regardless of its physical format; it is the main component or basic building block of every *ORCS*. Primary numbers and titles are the headings under which specific records and record types are identified and organized. Primaries are arranged into primary blocks, which are grouped into numbered sections (Sections 1 onward, also known as “primary sections”), forming the core of the *ORCS*.

Primaries are based upon the function or activity documented in the records, rather than the particular office that happens to be producing the records at that moment. This approach makes it possible for an *ORCS* to remain current despite government reorganizations, which would not be the case if primaries were based upon office structure.

Primaries should not be based on records media, form or type, such as photographs, permits or leases. For example, if your ministry issues several types of permits, do not create a “Permit issuing” primary and collect all the permits together. Instead, keep each type of permit with the function it supports.

It is important for **primary titles** to be meaningful, descriptive, and unique. This ensures that users will find the primary they need as easily as possible, especially in the context of an electronic records management system (such as the Corporate Records Management System [CRMS]). Primary and secondary titles should be practical, not academic; meaningful, not ambiguous; and mutually exclusive. Titles should clearly reflect the functions covered by the records.

Primaries that form a logical group of related functions or subjects are assigned sequential numbers in what is called a “**primary block**”. Each block contains a general primary and two or more primaries covering functions or activities subordinate to the major function of the block.

The organization of the primaries and their related secondaries form the classification system. The principles of classification require that a subject classification system be logical, hierarchical, subject- or function-based, and flexible to permit expansion.

Do not underestimate the need for future expansion of the numbering system of the *ORCS*. Leave gaps in the numbering everywhere, within blocks and between blocks.

The first primary in each section is known as the **section default primary**. Special standards which apply to these are provided in section 11 of this chapter.

STANDARDS

2.1 PRIMARY NUMBERS

2.1.1 General Standards

- a) A primary number is used to classify all records related to a function, activity, or subject, regardless of its physical format.
- b) Each primary number used in an *ORCS* must be unique.
- c) In order to meet the requirements of the EDRMS (Enterprise Document and Records Management System) it is recommended that titles not exceed 50 characters. The full title will not be viewable if it is longer than this limit.

2.1.2 Content Standards

- a) The primary number consists of five digits.
- b) Basic *ORCS* section numbering standards are as follows:
 - Ministry offices/branches are numbered from 10,000 to 79,999;¹ and
 - Crown corporations and other quasi-autonomous non-government organizations (QUANGOs) are numbered from 80,000 to 99,999.
- c) Assign primary number ranges for all *ORCS* so that each *ORCS* used by a ministry or agency has a unique set of primary numbers, if possible. (Due to organizational change it may not be possible to maintain this unique numbering policy, however the unique *ORCS* schedule numbers will reduce confusion.) The Records Officer is responsible for assigning *ORCS* number ranges.
- d) Assign *ORCS* primary numbers so that there is room for future expansion; leave gaps within and between primary blocks and sections

2.1.3 Formatting Standards

- a) The primary number is positioned at the top left corner of the primary page, immediately before the primary title.

2.2 PRIMARY TITLES

2.2.1 General Standards

- a) Each primary title used in an *ORCS* must be unique.
- b) Arrange primaries within sections and primary blocks in alphabetical order. When departing from this standard, give reasons to your CIMB contact before or at the time of presenting the *ORCS* for review. See explanation in Chapter 2.

2.2.2 Content Standards

- a) The primary title should describe the function of the records in a clear and concise manner.
- b) Avoid the use of nouns and adjectives that modify other nouns in primary titles. Do not use "closed," "open," or "current," or words which reflect a record type such as "correspondence," "documents," "reports," "approved," or "draft." These words, and

¹ Some *ORCS* developers may recall that formerly 10,000-19,000 were reserved for executive offices; this is no longer the case, as executive offices have been using *ARCS* and the Executive Records Schedule (102906) and have not made a practice of developing *ORCS*.

STANDARD ORCS KIT CHAPTER THREE – SECTION 2 – PRIMARY NUMBERS, TITLES, & BLOCKS

other similar words, are acceptable for titles at the secondary level. If you need to make an exception, ask your CIMB contact.

2.2.3 Formatting Standards

- a) The primary title is positioned on the same line as the primary number, indented one tab from it.
- b) Use the short format line for the title.
- c) All lines of a primary title are CAPITALIZED and underlined.
- d) When a title extends for more than one line, subsequent lines are single spaced and indented one tab.
- e) When a primary extends for more than one page, place the ORCS number and title at the top of each page. Primary titles on subsequent pages have the tag "(continued)" placed two spaces after the primary title. See primary format in this chapter.
- f) Leave one blank line after the primary title before starting the scope note.
- g) Do not use dashes in stand-alone primary titles (as opposed to primary titles within primary blocks). Dashes should only be used to indicate a hierarchical arrangement. If you need to make an exception, ask your CIMB contact.

2.3. PRIMARY BLOCKS

- a) If a group of primaries relate to one function or subject, group them together as one primary block with an appropriate primary block title.
- b) Every primary title in a primary block consists of two parts: the primary block title, followed by a dash and a phrase describing the specific primary function.
- c) Entitle the first primary in each primary block “[PRIMARY BLOCK TITLE] – GENERAL”.
- d) Begin the “GENERAL” primary with the sentence “Records relating to [GIVE FUNCTION] not shown elsewhere in this primary block.” See *scope notes examples box in 3.3 for an example*.
- e) Arrange the other primaries in the primary block in alphabetical order. If another order is more appropriate, discuss the matter with your CIMB contact.

EXAMPLES OF PRIMARY NUMBERS, TITLES, AND BLOCKS (AS SHOWN IN SECTION TABLE OF CONTENTS)	
PROVINCIAL EMERGENCY PROGRAM	
68600	PROVINCIAL EMERGENCY PROGRAM - GENERAL
68640	DAMS/POWER PROJECTS
68650	DANGEROUS GOODS - GENERAL
68660	- CHEMICAL/GAS SPILLS
68670	- NUCLEAR LEAKS
68680	- OIL SPILLS
68690	- PIPELINE LEAKS
68700	- SEWAGE EFFLUENT LEAKAGE
68710	DISASTER ASSISTANCE - GENERAL
68720	- EMERGENCY SOCIAL SERVICES
68730	- FINANCIAL

68750	EMERGENCY RESPONSE SERVICES - GENERAL
68760	- EMERGENCY COORDINATION CENTRE
68770	- EQUIPMENT
68780	- LINE LOAD CONTROL
68790	- TRAINING AND OPERATIONAL
68800	- VOLUNTEERS
68810 HAZARDS AND RISKS	
68825	NATURAL DISASTERS - GENERAL
68830	- AVALANCHES
68840	- DROUGHTS
68850	- EARTHQUAKES
68855	- FLOODS
68860	- HURRICANES/TORNADOES/WIND STORMS
68870	- SNOW STORMS/BLIZZARDS
68880	- TSUNAMIS
68890	- VOLCANIC EVENTS
68900	WILDFIRES - GENERAL
68910	- INTERFACE AREAS
	<i>[based on PEP ORCS]</i>
* * * * *	
ABORIGINAL AFFAIRS	
20000	ABORIGINAL AFFAIRS - GENERAL
20100	- ABORIGINAL GROUPS
20200 ABORIGINAL ECONOMIC DEVELOPMENT	
22000	ABORIGINAL NEGOTIATIONS - GENERAL
22100	- INTERIM MEASURES
22200	- SELF-GOVERNMENT
22300	- SPECIFIC CLAIMS
22400	- THIRD-PARTY CONSULTATIONS
22500	- TREATIES
22900	ABORIGINAL RIGHTS
	<i>[based on AGF ORCS]</i>

3. SCOPE NOTES

OVERVIEW

The scope note comprehensively describes the functions, uses, content, and context of creation of the records 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 “Record types include”

A scope note should be succinct without sacrificing clarity. Depending on the nature of the records described, and the number of secondaries included, a scope note may consist of a few sentences or several paragraphs. Writing good scope notes is one of the most challenging aspects of developing an *ORCS*. While there are standards for scope notes, it is recognized that every scope note must be constructed to reflect the unique functions and records it describes.

When writing a scope note, keep in mind that this will serve as a finding aid and filing aid for ministry or agency staff, for clients, and for future archival researchers. Reading the scope note should enable these *ORCS* users to comprehend the following facts:

- the purpose or function which the records serve,
- the activities or work processes that lead to the creation and use of the records,
- the links among the secondaries grouped together in one primary.

Deciding which information belongs in the scope note and which information belongs in secondary notes is important. Information relating to some or all secondaries in a primary should appear in the scope note. Information relating to only a specific secondary should appear in a note under the secondary, unless that is the only secondary in the primary (other than the reserved -00 and -01 secondaries). One key decision is whether the forms or types of records (such as applications, photographs, correspondence, memoranda, and reports) should be mentioned in the scope note (in a final paragraph beginning “Record types include ...”) or in an “(includes ...)” qualifier under the secondary note. If there is a comprehensive description of the record types in the paragraph at the end of the scope note, “(includes ...)” qualifiers should only be needed under secondaries where there might be confusion about which particular forms of records are present.

Write your scope note keeping in mind an audience that is not familiar with the records or with the jargon of the particular jurisdiction. Plain language is essential. Any special terminology used must be defined. Carefully edited prose is also extremely important. A good rule of thumb is: if you are having trouble describing the purpose and function of a particular record series without using jargon, you may not understand the records well enough. Go back and find out more about them.

CIMB strongly recommends that *ORCS* developers review a variety of *ORCS* in the CIMB *ORCS* collection for guidance in developing scope notes.

STANDARDS FOR SCOPE NOTES

STANDARD ORCS KIT CHAPTER THREE – SECTION 3 – SCOPE NOTES

3.1 General Standards

- a) The scope note describes the operational function to which the primary records relate, lists specific forms and other types of records to be classified under the primary, and provides guidelines to assist with the records classification process.

3.2 Content Standards

- a) Begin the scope note with the phrase "Records relating to ... " and then describe the function/activity for which the records are created and used.
- b) Use complete sentences and standard stylistic conventions for all sentences in the scope note (other than the first and last standard statements).
- c) Outline the activities relating to each secondary covered by the primary in the scope note, showing the context of creation for the records. It can sometimes be helpful to describe the activities as a series of steps. For a complex primary, the scope note may be several paragraphs long.
- d) Provide a final paragraph beginning with "Record types include ...", and use it to list the specific types of records that are classified under the primary. Terms commonly used are:
 - correspondence
 - reports
 - forms (optionally, form numbers may be provided)
 - photographs
 - electronic records
 - database
 - videotapes
 - maps
 - plans
 - blueprints
- e) Optionally, record types may be listed under the relevant secondary. This is the preferred option for case file series, particularly those scheduled for selective or full retention by the government archives (see examples of 'includes' qualifiers in Section 8). By listing the records with the case file title, it is clear which records are classified within that particular secondary.
- f) If the "Record types include..." paragraph does not list all types of records covered by secondaries under the primary, include the phrase "and other types of records as indicated under relevant secondaries."
- g) Optionally, use a NOTE at the end of the scope note, to provide additional information relating to the primary. For example, a retention period explanation that applies to several secondaries throughout a section may be provided following the section default primary scope note (see the last example below).
- h) Relevant legislation is comprehensively documented on the section title page, so legislation should only be mentioned in the scope note when it is useful to indicate the legal authority for the specific function or activity covered in that primary. For that reason, citations in primaries usually refer to specific sections of acts, rather than just the act. If the act has already been cited on the section title page, it is not necessary to provide the full citation, only the title and relevant section.

STANDARD ORCS KIT CHAPTER THREE – SECTION 3 – SCOPE NOTES

3.3 Formatting Standards

- a) Align the scope note to the same indent as the primary title.
- b) Leave one blank line between the primary title and the scope note.
- c) Use the short format line and single space the text.
- d) Use block text style, that is, leave one blank line between paragraphs instead of indenting them.
- e) **Legislation:** where relevant, using the following standard format: *ACT TITLE* (s. #/ss. # to #). It is acceptable to use this abbreviated citation here because the full citation is given on the section title page.



For more information regarding formats for citing legislation, see General Style Standards, Section 1.1.3

EXAMPLES OF SCOPE NOTES

DIVERSION – YOUTH

Records relating to the co-ordination, monitoring and funding of diversion programs for young offenders under the *Young Offender’s Act* (s. 4).

Diversion is generally called alternative measures when referring to young offenders. It is an alternative to the prosecution of an offender who has admitted responsibility for an offence. Crown counsel divert the offender to another agency or person with whom the offender will enter into an agreement to provide compensation, restitution, community work service, etc. In this way, the offender is given an opportunity to act in a responsible manner and does not receive a criminal record.

Record types include correspondence, memoranda, and press clippings.

[based on CORR ORCS]

* * * * *

GAMING ORGANIZATIONS – SITES AND FACILITIES

Records relating to gaming sites and facilities such as specific bingo halls, fairs, and exhibitions. These sites and facilities are used by a number of licensees.

Records relating to sites and facilities that are used by a single licensee (commonly known as independents) are classified in the appropriate case file under secondary 97120-20.

This primary covers records relating to approving specific facilities and sites for gaming, inspecting those locations, reviewing lease agreements, checking and reconciling financial reporting documents, and creating schedules for bingo halls. It also covers records describing approved locations and physical layouts (including numbers of tables and computer hardware in use), as well as incidents such as theft and property damage.

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

[based on BCGC ORCS]

STANDARD ORCS KIT CHAPTER THREE – SECTION 3 – SCOPE NOTES

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STANDARD ORCS KIT CHAPTER THREE – SECTION 3 – SCOPE NOTES

SAFETY CODES AND STANDARDS - GENERAL

Records relating to the development, revision, review and application of safety codes and standards not shown elsewhere in this primary block. Although international testing and approval agencies create safety codes and standards, industry, as well as all levels of government, participate in their development, revision, and review. One aspect of this participation is that the branch designate votes on proposed changes to the codes and standards.

Record types include correspondence and memoranda.

[based on SES ORCS]

* * * * *

PROVINCIAL EMERGENCY PROGRAM – GENERAL

Records not shown elsewhere in the Provincial Emergency Program section which relate generally to preparing for and responding to all human-made and natural disasters. Provincially, PEP develops long-term strategies and contingency plans with various ministries and agencies, determining who will do what in the event of an emergency or disaster which cannot be handled locally. These strategies and plans take the form of general training exercises and general emergency response plans of federal, provincial and local governments as well as those of agencies and organizations throughout British Columbia.

Record types include studies, reports, plans, memoranda, correspondence, and press clippings.

[based on PEP ORCS]

* * * * *

IMPROVEMENT DISTRICTS

Records relating to the approval and registration of improvement district bylaws and related advisory and support services, as well as the history of improvement districts from inception to dissolution.

Improvement districts were initially created under the *Water Act* (SBC 1914, c. 81) to provide water and irrigation services to their residents. Improvement districts continue to have narrowly defined areas of responsibility. There are currently 278 districts each of which is represented by an elected board of trustees. The most recent one was incorporated in 1994. It is unlikely that new ones will be introduced because regional districts (which were introduced in 1965) provide the services that were once provided by improvement districts.

The Ministry of Municipal Affairs assumed administrative responsibility for improvement districts in 1979 with the coming into force of the *Municipal Act* (RSBC 1979, c.290). From 1914 to 1979, administrative responsibility remained with the Office of the Comptroller of Water Rights, resting variously with the Ministries of Lands and Forests, Forest and Water Resources, and Environment.

STANDARD ORCS KIT CHAPTER THREE – SECTION 3 – SCOPE NOTES

The records covered by this primary document the creation and dissolution of improvement districts, the approval and registration of their bylaws, and the provision of administrative, financial and engineering advice and support.

Record types include correspondence, memoranda, bylaws, maps, letters patent, supplementary letters patent and orders in council.

[based on LG ORCS]

* * * * *

DRAFTING OF LEGISLATION

Records relating to drafting individual bills, acts, regulations, and orders in council of the Province of British Columbia. The processes of drafting legislation and orders in council are explained in detail below.

Legislative submissions to Cabinet are initiated by ministries in a cooperative process involving Legislative Counsel and Cabinet Policy and Communications Secretariat (CPCS). (This is known formally as the “request for legislation” [RFL] process.) Ministries send submissions requesting the establishment or amendment of statutes or regulations to CPCS, which registers and tracks the submissions. CPCS does not make a submission to Cabinet until Legislative Counsel has prepared and attached written comments on the feasibility of the request.

Once Cabinet approval is given to proposed legislation, and communicated to Legislative Counsel and the ministers by CPCS, the drafting stage begins. Legislative Counsel drafts the legislation in consultation with ministerial officials and relevant experts, and is responsible for setting standards for language, style and format. The length of time required for drafting depends on the complexity of the legislation, the number of unresolved policy issues and the priority of demands for drafting other legislation. The final draft is edited by the legislative editors, who are responsible for consistency of style and format.

First reading introduces a Bill into the Legislative Assembly. When the Bill is called for second reading the sponsoring minister explains the purpose of the Bill in general terms and then moves second reading. Clause by clause debate of the Bill then takes place and is known as the “Committee stage.” The Committee consists of all Members of the Legislature, any of whom may ask questions, seek clarification, and suggest amendments.

Whether or not the Bill has been amended, it moves to the third reading stage after it has passed second reading, unless it has been rejected or withdrawn during the committee stage. If the Bill has been amended a Report Bill is prepared by Legislative Counsel, with annotations (known as “redlining”) to indicate changes.

Third Reading is the final reading. A Bill which passes third reading must await formal approval (Royal Assent) by the Lieutenant Governor before it becomes law. A Bill may contain a Commencement provision (usually the last section), which affects the date on which the Bill (or portions of it) actually comes into force.

STANDARD ORCS KIT CHAPTER THREE – SECTION 3 – SCOPE NOTES

Legislative Counsel drafts some orders in council (OICs). OICs are always enacted by the Lieutenant Governor in council under the authority of a particular statute, without having first been debated in the Legislative Assembly. They provide the legal basis for the day-to-day operations of government. They involve expenditures of money, appointing individuals to boards and commissions, proclaiming special events or days, and establishing or amending regulations.

Most of the OICs drafted by the Legislative Counsel establish or amend regulations. Legislative Counsel will draft other types of OICs, but only if a ministry is having difficulty. The usual practice is for ministries to draft OICs and send them to Legislative Counsel for review and approval.

Legislative Counsel Services only retains copies of OICs it has drafted. Most of those OICs are regulations. Originals of enacted OICs are retained by Order in Council Administration, and copies are retained by individual ministries.

Record types include correspondence, memoranda, legal opinions, requests for legislation, and copies of bills, acts, regulations and orders in council.

[based on LSB ORCS]

* * * * *

PROPERTY ASSESSMENT - GENERAL

Records relating to liaison activities with agencies responsible for property assessment not shown elsewhere in this primary block.

The ministry is not responsible for property assessment, but through its administration of the home owner grant program classified under primaries 55620 and 55630, and the property assessment review panels classified under primary 55660, it is in contact with agencies such as the BC Assessment Authority and the Property Assessment Appeal Board.

The BC Assessment Authority is a Crown corporation with a mandate to provide an independent, uniform and efficient real estate valuation, classification and information system.

The Property Assessment Appeal Board hears appeals from decisions made by the property assessment review panels.

Record types include correspondence and memoranda.

NOTE: This primary block does not cover BC Assessment Authority (BCAA) and Property Assessment Appeal Board (PAAB) records. Both agencies are responsible for their own records. Furthermore, BCAA and PAAB records are not considered government records under the *Document Disposal Act*.

[based on LG ORCS]

4. CROSS-REFERENCES

OVERVIEW

Cross-references link the primary to related primaries, within both *ORCS* and *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. Cross-references can also be a useful way of indicating why a particular category of record is not covered by a particular primary (because it is covered elsewhere). Some *ORCS* developers find it useful to provide a list of relevant *ARCS* primaries in the first section default primary of an *ORCS*.

STANDARDS

4.1 Content Standards

- a) Use cross-reference notes to direct *ORCS* users to other primaries in the *ORCS*, or in *ARCS* or a related *ORCS*.
- b) Each cross reference note consists of two phrases, the first beginning "For ..." and the second beginning "see ...".
- c) Complete the "For ..." phrase by specifying a category of record.
- d) Complete the "see ..." phrase with a reference to the appropriate primary, using the term "primary" followed by the primary number. If the primary is in *ARCS* or in another *ORCS*, this should be indicated.
- e) Provide a reference to the Information System Overview (ISO) section if electronic records are included or referred to in the primary.
- f) *ARCS* references relevant to an entire section should be given in the section default primary rather than being repeated under each primary.
- g) Arrange cross-reference notes in alphabetical order.

4.2 Formatting Standards

- a) Place cross-reference notes after the scope note and before the Unless and Except notes.
- b) Leave one blank line between the scope note and the first cross-reference note.
- c) Align the cross-reference notes to the same indent as the primary title.
- d) If a cross-reference note runs longer than one line, subsequent lines are indented.
- e) If a range of primaries is given, use the word "to" between numbers instead of a dash.

EXAMPLES OF CROSS-REFERENCES
For agreements and arrangements, see <i>ARCS</i> primary 950. For approved agreements, see <i>ARCS</i> primaries 146 to 158.

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For committees, see *ARCS* primaries 200 to 206.

For co-operation and liaison, see *ARCS* primaries 232 to 250.

For municipal bylaws, see *ARCS* primary 134.

For Provincial Enhances 911 System Committee, see *ARCS* primary 200.

For the Task and Tracking System Information System Overview (ISO), see ISO section.

For training exercise and incident files related to specific types of disasters, see primaries 68640 to 68700 and 68810 to 68910.

For training and development for PEP staff, see *ARCS* primaries 1730 to 1735.

For workers compensation claims related to individual volunteers, see primary 68800.

[based on PEP ORCS]

EXAMPLES OF CROSS-REFERENCES TO ISOs

For Task and Tracking System Information System Overview (ISO), see ISO section.

[based on PEP ORCS]

For a description of MDS, see secondary 54040-35 and the information system overview.

[based on LG ORCS]

(Also see standards and examples in chapter 4 (Electronic Records), section 2.2.2(j).)

5. OFFICE OF PRIMARY RESPONSIBILITY

("Unless and Except statements")

OVERVIEW

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 a ministry or agency (known as the "unless and except statements").

For each primary, an *ORCS* must distinguish between the office having primary responsibility within a ministry or agency for a category of records (OPR) and all other offices which hold copies of the same records (non-OPR).

The OPR is the branch that has been designated the holder of the official record for the ministry. The title of the branch should match the title that has been entered in ARIS (Archives and Records Information System) which is maintained by CIMB. Contact CIMB to obtain a current indented organization chart (ARS 472 report). The OPR maintains the official or master record in order to satisfy long-term operational, financial, legal, audit, and other requirements of the ministry or agency. The standard statement designating the OPR reads "Unless otherwise specified below, the ministry/agency/corporate OPR [GIVE OFFICE NAME] will retain these records for:" followed by the default schedule for the primary in the scheduling column. The default schedule is ideally standardized throughout a section, is as brief as possible, and has a final disposition designation of "DE".

It is unusual to have more than one OPR for a record series. In some cases, the records relate to an operational activity performed by field or regional offices, which are therefore responsible for maintaining the official master record of the activity. For example, each regional Crown counsel office is responsible for prosecuting cases in their regions. Each one of these offices is the OPR for their own prosecution files.

OPR statements should name the offices specifically and clearly. Ambiguous OPR statements such as "offices responsible for ministry-wide function" are not acceptable because they do not adequately ensure that the "master" or "official" record will be retained for the OPR retention period. Furthermore, non-OPR offices are likely to mistakenly think that the OPR statement applies to their records, and schedule them accordingly. The results are confusion, poor records management, unnecessary legal and freedom of information/protection of privacy (FOI) liabilities, and unnecessary records storage expenses.

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 and read "Except where non-OPR retention periods are identified below, all other ministry officers will retain these records for:" followed by "SO nil DE" in the scheduling column.

The default retention and disposition schedule provided next to the unless and except statements is intended to cover all records in the primary that do not have special scheduling requirements; typically, this schedule applies to the subject secondaries (-02

STANDARD ORCS KIT CHAPTER THREE – SECTION 5 – OFFICE OF PRIMARY RESPONSIBILITY

to -19). Most of the records in a primary, and most of the primaries in a section, should conform to the same schedule. This makes boxing, transfer and disposition of records considerably easier for the offices using the *ORCS*.

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.

STANDARDS

5.1 General Standards

- a) Each primary must have "Unless" and "Except" statements.
- b) Use the "Unless" statement to identify the "Office of Primary Responsibility" (OPR) for all of the records covered by the section or primary.
- c) Use the "Except" statement to identify the retention and disposition of records created by other offices.

5.2 Content Standards

- a) If possible, establish a standard "default" retention period for all OPR and non-OPR records within an *ORCS*, or if necessary, within each section of an *ORCS*. The default retention period should apply to most of the records in a section. When the standards default schedule does not work for a particular primary, choose a different default retention period for that primary.
- b) Identify the OPR for each primary in its "Unless" statement, using the same name for the office that is used on the Indented Organizational Chart distributed by CIMB (form ARS 472).
- c) If there is more than one OPR, identify both or all relevant offices in the OPR statement. If the OPRs are regional, district, or field offices, refer to them as a generic group rather than naming each. CIMB strongly recommends that only one OPR be identified if at all possible. If you need to make an exception, ask your CIMB contact. It may be necessary to explain the circumstances necessitating multiple OPRs in the scope note.

EXAMPLE OF SCOPE NOTE FOR A PRIMARY WITH TWO OPRs

Primary: 24900 DEVELOPMENT PROGRAMS – PARTNERS IN PROGRESS

OPR: Financial Development Programs Branch or Regional Co-ordinator

Scope note explanation: Partners applications may be initiated in the regions or through the Financial Development Programs Branch in Victoria. Regional co-ordinators in the three zones (North Central, Southern Interior, and South Coastal) may make recommendations for Partners in Development and Partners in Action applications at lower funding levels.

[based on AGF ORCS]

- d) Identify the default retention period and final disposition for other ministry (non-OPR) offices for each primary in its "Except" statement. The standard non-OPR default

STANDARD ORCS KIT CHAPTER THREE – SECTION 5 – OFFICE OF PRIMARY RESPONSIBILITY

retention schedule is SO nil DE. If necessary, the active period can be different from SO (for example, “CY+2y” in the *AGF ORCS* example given below).

- e) The non-OPR retention can never be longer than the OPR retention; this means that the non-OPR SO period is automatically defined as shorter than the OPR active period.
- f) For a secondary requiring a different OPR designation from the rest of the primary, provide an OPR statement under that secondary. For detailed instructions on developing this note (and an example of one), see the explanatory notes section (9.1(f)).

5.3 Formatting Standards

- a) Place “Unless” and “Except” statements after cross-reference notes when these are present; otherwise place them immediately after the scope note.
- b) Leave one blank line after the scope note (or after the cross-reference note) before starting the Unless and Except statements.
- c) Align the statements to the same indent as the primary title.
- d) Use the short format line and single-space the statements.
- e) Underline each non-OPR retention period.

EXAMPLES OF OPR STATEMENTS			
	<u>A</u>	<u>SA</u>	<u>FD</u>
Unless otherwise specified below, the ministry OPR (Safety Engineering Services field offices) will retain these records for:	CY+2y	nil	DE
Except where <u>non-OPR retention periods</u> are identified below, all other ministry offices will retain these records for: <i>[based on SES ORCS]</i>	<u>SO</u>	<u>nil</u>	<u>DE</u>
Unless otherwise specified below, the ministry OPR (Provincial Emergency Program headquarters) will retain these records for:	CY+2y	4y	DE
Except where <u>non-OPR retention periods</u> are identified below, all other ministry offices will retain these records for: <i>[based on PEP ORCS]</i>	<u>SO</u>	<u>nil</u>	<u>DE</u>
Unless otherwise specified below, the ministry OPR (Aquaculture and Commercial Fisheries Branch) will retain these records for:	CY+2y	7y	DE
Except where <u>non-OPR retention periods</u> are identified below, all other ministry offices will retain these records for: <i>[based on AGF ORCS]</i>	<u>CY+2y</u>	<u>nil</u>	<u>DE</u>

6. SECONDARY NUMBERS AND TITLES

6.1 GENERAL

OVERVIEW

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.

Three types of secondaries exist within *ORCS*: reserved secondaries, subject secondaries, and case file secondaries. In this section, standards for each type of secondary will follow the general standards which apply to all secondaries.

STANDARDS

6.1.1 General Standards

- a) Every *ORCS* primary must have at least two secondaries. These are the reserved secondaries for policy and procedure files (-00) and for general files (-01).
- b) Arrange secondaries in alphabetical order within the subject secondaries grouping (-02 to -19) and the case file secondaries grouping (-20 and higher). If there is a compelling reason for an alternate arrangement, discuss this with your CIMB contact.
- c) In order to meet the requirements of the EDRMS (Enterprise Document and Records Management System) it is recommended that titles not exceed 50 characters. The full title will not be viewable if it is longer than this limit.

6.1.2 Content Standards

- a) Use concise, clear and unambiguous prose for secondary titles. Wherever possible, use plain language and avoid jargon.
- b) Provide sufficient information in a secondary title so that, when it stands alone, the reader is able to relate it to the records it covers and distinguish it from other secondaries.
- c) Provide a unique title for every secondary, other than reserved secondaries.
- d) Use singular rather than plural nouns to describe the records, unless the records in one file actually relate to more than one entity.
- e) For titles that end with “case files”, “projects”, or some other plural noun, modifying terms should take singular rather than plural form (e.g., “patient case files” not “patients case files”). This avoids the implication that one file relates to more than one project or case.
- f) If the records covered by a secondary are commonly known by an alternate name, this can either be included as part of the title or provided as a qualifier beginning “also known as”. Be consistent with this choice throughout the *ORCS*.

EXAMPLES OF SECONDARIES WITH ALTERNATE NAMES

<p>Notifications of change of liberties and/or breach of disposition orders (“onerous reports”) <i>[based on FPS ORCS]</i></p> <p>Nomination papers (form 321) <i>[based on ELEC ORCS]</i></p> <p>Regional district security issuing bylaw approval case files (also known as “41 files”) <i>[based on LG ORCS]</i></p>
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- g) If the secondary covers records similar to those covered by a related secondary, distinguished only by physical format and a different schedule (for example, one secondary may cover paper files and the other, microfilm of those files), the appropriate physical format term should be added to the title (see list under 8(h)i), following a dash.

EXAMPLES OF RELATED SECONDARIES WITH DIFFERENT PHYSICAL FORMATS			
Home owner grant claim investigation case files – paper	FY+1y	5y	DE
Home owner grant claim investigation case files – electronic	CY+6y	nil	DE
<i>[based on LG ORCS]</i>			

- h) When using an acronym in a secondary title, also provide the full term unless this makes the title unwieldy. The archivist reviewing the ORCS may require that SR/FR secondaries always include the full terms, to aid future access.

6.1.3 Formatting Standards

- a) Each secondary consists of:
 - a leading hyphen;
 - a two-digit secondary number; and
 - a brief descriptive title.
- b) Align the secondary number hyphen to the same indent as the primary title.
- c) Place the secondary title at the second indent.
- d) Use the short format line, unless entering information in the scheduling column. When using the long format line, do not allow the title to extend into the scheduling column.
- e) If a secondary title requires more than one line, indent subsequent lines, and include the scheduling information across from the second (or last) line of the title.
- f) Use initial capitalization only for the first word and any proper names.

EXAMPLES OF SECONDARY NUMBERS AND TITLES	
-10	Wild marine plant species reports
-20	Wild marine plant species biology
-30	Wild marine plant species management
-40	Wild marine plant species research projects

-50	Wild marine plant species technology transfer activities <i>[based on AGF ORCS]</i>
-03	Alternative transportation (ATP) reports and studies
-04	Grant project funding inquiries
-06	Grant project summary status reports
-20	Alternative transportation (ATP) project case files <i>[based on BCTFA ORCS]</i>
-02	Immunization contra-indications
-03	Immunization of school children
-04	Immunization status in British Columbia
-05	Immunization techniques
-20	Release of emergency biological products case files <i>[based on CDCS ORCS]</i>

Note: See 6.4 for further examples of case files.

6.2. RESERVED SECONDARIES

OVERVIEW

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

There are two kinds of reserved secondaries: those reserved throughout the specific ORCS or a section of it, and those reserved throughout all government records schedules (in ARCS and every ORCS). Secondaries -00 and -01 are reserved throughout all ORCS, special schedules, and 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. The general file is intended for documents of a general nature that do not reflect actions or decisions of the creating office. It is important to ensure that secondaries are available for all records that do reflect actions and decisions, so that important documents will not be placed in the general file. Thus the application of inappropriate retention and disposition schedules can be avoided.

Reserved secondaries should be developed for record series that are repeated in most or all primaries in a primary block or primary section. Common reserved secondaries include “Inquiries” and “Reports and statistics.” Reserved secondaries should accurately reflect actual records; do not automatically include them in primaries where they are unlikely to be used. Take particular care when assigning reserved case file secondaries, as these often are used differently enough to justify considerable variations in titles, qualifiers, and other notes.

Secondaries reserved within a specific ORCS are given generic titles and are listed in the section default primaries. All relevant notes (qualifiers, final disposition statements, etc.) for the reserved secondaries should be provided in the section default primaries. Optionally, these notes may also appear in relevant primaries.

STANDARDS FOR RESERVED SECONDARIES

- a) Include reserved secondaries –00 Policy and procedures and –01 General in every primary.
- b) Schedule all –00 Policy and procedures files “SO/5y/FR”.
- c) Schedule all –01 General files “CY+1y/nil/DE”, or provide a similarly brief schedule for them. While the active period may vary, the semi-active period should always be “nil”. Avoid using the default schedule for general files. General files are not usually valuable enough to warrant the semi-active storage period required in a default schedule. If an alternate approach seems necessary, discuss it with your CIMB contact.
- d) After assigning a secondary number to a reserved secondary, use that number exclusively for that secondary throughout the relevant section or primary block.
- e) Use generic titles for reserved secondaries. Note that additional wording may be requested by the archivist for titles of secondaries that are SR or FR (to aid access when the records are transferred to the government archives).
- f) If appropriate, use the same schedule for every instance of a reserved secondary.
- g) Optionally, each reserved secondary that is used in an ORCS section may appear in the section default primary, as well as in other relevant primaries. Be consistent.
- h) If reserved secondaries appear in the section default primary, provide all qualifiers and explanatory notes that apply to the reserved secondary in the section default primary. Optionally, also include them with other appearances of the reserved secondary.
- i) If reserved secondaries do not appear in the section default primary, all applicable qualifiers and explanatory notes must be provided with each usage of a secondary.

EXAMPLES OF RESERVED SECONDARIES	
-02	Complaints and inquiries
-03	Legal issues
-04	Other jurisdictions
-05	Statistics
<i>[based on CORR ORCS]</i>	
-20	Client/target groups housing issues case files (includes related reports and studies) (arrange alphabetically by subject)
<i>[based on BCHMC ORCS]</i>	

-02	Procedural analysis (includes working materials and drafts of forms, legislation, and manuals used in method and procedural analysis)
	SO = when analysis is completed, records are reclassified under the appropriate <i>ARCS</i> primary
	NA = records are reclassified under <i>ARCS</i>
-10	Complaints
	SO = when no longer required for reference or informational purposes
	DE = Secondary -10 is reserved for petitions and correspondence resulting from organized letter-writing campaigns. These records have no archival value.
	<i>[based on section default primary in CSB ORCS]</i>

6.3. SECONDARIES -02 TO -19 (SUBJECT SECONDARIES)

OVERVIEW

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 included in the *ORCS How To Use* section, secondaries –03 (Extraterrestrial reports and statistics) and –04 (Visits by unidentified extraterrestrial) 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. If a subject file is coded, indicate this in an arrange qualifier (for more information on arrange qualifiers, see 8.(g)).

STANDARDS FOR SUBJECT SECONDARIES

- a) Use secondary numbers between -02 and -19 to classify subject files and other non-case files.
- b) If a subject secondary requires coding, provide an arrange qualifier for it.²
EXAMPLE: Extraterrestrial issue files
(arrange by name of issue)
- c) Optionally, leave gaps in numbering to allow for other secondaries to be added in future.
- d) Do not leave blank lines between subject secondaries unless there is a break in the numbering sequence, or there are notes or qualifiers following a secondary.

² Previous editions of the *Standard ORCS Kit* indicated that files requiring coding could be classified as case files. However, not all such files fit the definition of case files. See section 6.4 for more information about case files.

EXAMPLES OF SUBJECT SECONDARIES	
-02	BC long service medal (provincial) (includes applications)
-03	BC long service miniature medal (provincial)
-04	Fire commissioner’s certificate of commendation
-05	Fire services exemplary fire service (federal) medal (includes copy of application sent to federal government)
-06	Local assistant to the fire commissioner plaque and register (provincial)
-07	Medal of bravery (federal/provincial) <i>[based on OFC ORCS]</i>
-02	Building maintenance profile book
-03	PRHC group home maintenance
-11	Waste management <i>[based on BCHMC ORCS]</i>
-02	BC Association of Broadcasters (BCAB)
-05	Liquor advertising complaints – non-product specific
-06	Liquor advertising complaints – product specific
-07	Liquor industry and public consultation <i>[based on LCL ORCS]</i>

6.4. CASE FILE SECONDARIES (-20 and higher)

OVERVIEW

A case file series consists 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, or organization. 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.).

When classified in *ORCS*, electronic systems are classified as case files, because they usually contain information organized according to cases.

STANDARDS FOR CASE FILE SECONDARIES

- a) Use secondary numbers –20 and higher to classify case files (see definition above).
- b) Leave two spaces between the text of the last subject secondary and the first case file secondary. Leave one space between each case file secondary.
- c) Leave gaps in numbering to allow for other secondaries to be added in future. Preferably use numbers in multiples of 10 (-20, -30, -40 etc.) or, if there are too many secondaries, use multiples of 5 (-20, -25, -30 etc.).
- d) Use the term “case files” in the secondary title if this helps clarify the nature of the records, or if most other case files in the ORCS use this term in the title.
- e) Provide case file secondaries with an “arrange by” qualifier if appropriate; always do so for records to be selectively or fully retained for the government archives (see 8.(g)).
- f) Case file secondaries should also be provided with an “includes” qualifier.



To determine which additional information to provide for a secondary, see standards for qualifiers (section 8) and explanatory notes (section 9).

EXAMPLES OF CASE FILE SECONDARIES	
-30	Relocation hearing case files (includes notices of relocation; notices of hearing; submissions by those who might be affected by the relocation; business plans; marketing studies; written reasons for decision; and signed formal decisions) (arrange by name of party requesting the hearing) <i>[based on BCGC ORCS]</i>
-30	Editing of acts case files (includes copies of working notes) (arrange by statute name and draft number)
-40	Editing of regulations case files (includes copies of editing suggestions) (arrange first by regulation name, then by draft number)
-60	Request for legislation case files – not approved (includes request forms, legal opinions, correspondence and background material) (arrange first by year, then by statute name) <i>[based on LSB ORCS]</i>

7. RECORDS RETENTION AND DISPOSITION SCHEDULE (scheduling column)

OVERVIEW

Every ORCS primary contains a records retention and disposition schedule that covers the life cycle of the records. The schedule indicates how long records should be retained in active storage space, when they should be transferred to semi-active (offsite) storage, when they should be disposed of, and what their final disposition will be. This information is shown in three columns which correspond with the active (A), semi-active (SA), and inactive or final disposition (FD) phases of the life cycle of the record. The purposes of the schedule are to:

- identify records of permanent value,
- protect the operational, audit, legal and fiscal values of records, and
- ensure efficient and cost-effective use of government office and storage space.

For detailed explanations of the three scheduling phases, see section 2.4 of the *How to Use ORCS* chapter. Also see the key of terms used in the scheduling column, which is provided in the standard footer for ORCS primary pages.

Drafting a records schedule is one of the major challenges of ORCS development. Ideally, the active and semi-active phases should be as short as possible, in order to minimize the costs of managing and storing records. However, certain key records are required for longer periods of time for legal, fiscal or other purposes; other records are needed until some specific event has occurred (e.g., the signing of an agreement or the closure of a facility).

To determine active and semi-active retention periods, use the following basic checklist:

- Interview staff who create and use the records, to discover their operational requirements for the records during each phase.
- Review legislation and regulations governing the records, to determine if there are requirements to keep certain records for specific time periods (e.g., *the Limitation Act*, *the Freedom of Information and Protection of Privacy Act*, and any legislation specific to the operational function). Also review policy and procedures related to the records (e.g., decision appeal periods, audit requirements, and other time limits for re-activating files).
- Check related ORCS covering similar records, to see what retention periods have already been approved and the rationale behind them (this is often explained in the SO and #y note field). There may also be relevant ARCS schedules, (e.g., for financial documentation). Even if a decision is made to vary the retention in the ORCS being drafted, it is important that related schedules have been reviewed, and a considered decision made. During the review process, the ORCS developer must be able to explain the reasoning behind each retention schedule. For any retention period over seven years, the rationale must be documented in the ORCS.
- Determine the appropriate division between the active and semi-active phases of the life-cycle for the records. Generally, records are considered active if there is more than one reference or retrieval per month., and/or if material is still being added to the file. As noted earlier, these decisions should be made in

consultation with the various levels of staff who have responsibility for the records.

- **CIMB strongly recommends that legal counsel be consulted to review the final active and semi-active retention schedules.**

Determining final dispositions is another major challenge of *ORCS* development. Ideally, most government records are destroyed, with the government archives preserving only 3 to 5%. It is the responsibility of a CIMB archivist to identify records for preservation and to develop final disposition statements, based on input from the *ORCS* developer, the Records Officer, and ministry/agency staff. In the interim before the archivist reviews the *ORCS*, *ORCS* developers are requested to suggest final dispositions wherever possible, and to provide final disposition notes with information that can assist the archivist to appraise the records. In your own words, indicate why you think the records should be preserved or destroyed.



For a detailed explanation of the archivist's role and a list of standard archival questions asked, see the discussions of the *ORCS* development process and archival appraisal in Chapter 1, sections 3 and 4.

STANDARDS FOR SCHEDULING COLUMN ENTRIES

- a) Place schedule column information on the same line as the secondary title or physical format qualifier it relates to, at the appropriate indents under the A, SA, and FD column headings provided in the header.
- b) Schedule column entries are left justified.
- c) Entries must be provided in all three columns of the schedule for each departure from the default schedule, even if only one column entry is different. (For example, if the default OPR schedule is SO/2y/DE and the secondary schedule is SO/2y/SR, all three columns beside the secondary title must have entries even though the active and semi-active column entries will be the same as the default.)
- d) Schedule column entries are composed of numbers and the following acronyms (see the standard *ORCS* primary footer page for their meanings):
 - In the A (active) column: CY, FY, NA, w, m, y, SO
 - In the SA (semi-active) column: NA, w, m, y, nil
 - In the FD (final disposition) column: NA, DE, SR, FR (note: no numbers appear in this column)
- e) If the active column contains a #y designation, it should also contain indication of whether it is CY (January 1 – December 31), FY (April 1 – March 31) or SO (file closure trigger specified in the SO note or when file is superseded or obsolete). This enables the office to consistently close files at specified times. If it does not contain “CY” or “FY”, there must be a #y/m/w explanatory note explaining the trigger for closing the file.
- f) Use the **FY** or **CY** codes for records to be kept for a fiscal or calendar year, respectively.
- g) Use the **w**, **m** or **y** codes for records to be kept a specific number of weeks, months or years respectively.
- h) Use the **SO** retention period only in the active column.
- i) Provide an SO explanatory note if the secondary is a case file, or if a specific trigger for file closure can be identified. For standards and examples, see section 9(g).

STANDARD ORCS KIT CHAPTER THREE – SECTION 7 – RETENTION & DISPOSITION SCHEDULE

- j) Provide explanatory notes for primaries/secondaries with combined active and semi-active periods longer than seven years. Optionally, provide explanations for shorter periods as well. For standards and examples, see section 9.



NOTE: See Sections 5 and 6 for standards for non-OPR and reserved secondary schedules respectively. For detailed standards for the contents of explanatory notes (including notes on final disposition), see section 9.

EXAMPLES OF RETENTION AND DISPOSITION SCHEDULES				
		<u>A</u>	<u>SA</u>	<u>FD</u>
-20	Approved water and sewer grant application case files	FY+4y	4y	DE
	9y = The nine-year combined active and semi-active retention period is based on the total six-year term of the program. The additional three years satisfies the federal government's audit requirements.			
-30	Not approved water and sewer grant application case files	FY+2y	nil	DE
	<i>[based on LG ORCS]</i>			
	* * * * *			
-25	Completed examinations for certification	2m	nil	DE
	2m = based on the 30-day period for challenging the examination			
-35	Record cards for power engineers (PW 301)	SO+3y	nil	DE
	SO = when entered onto the Safety Engineering System, and when data entry is verified			
-40	Safety Engineering System (electronic database)	SO	nil	DE
	SO = when no longer used as an index to relevant case files; and when no longer used for reference purposes			
	<i>[based on SES ORCS]</i>			
	<i>Note: All notes and qualifiers other than SO and “#y/m/w” explanatory notes have been excluded from these examples. Also, the SES examples have been artificially assembled from different primaries throughout the SES ORCS.</i>			

8. QUALIFIERS

OVERVIEW

Qualifiers are secondary notes located directly under the secondary title, which provide information intended to help users organize and access records, and file specific documents. Qualifiers also help users know what to expect when they actually view the files covered by the secondary. This information can be about the forms or media of records, their content, their arrangement, or anything necessary to aid understanding of the records.

Qualifiers are ideally brief; lengthy explanations should be reserved for explanatory notes. A good indicator of the need to use an explanatory note is when the note would be more comprehensible in the form of one or more complete sentences. This is a matter of judgement, as the qualifier is the best place for the most crucial information about a secondary, because it is so close to the secondary title. As a result, lengthy qualifiers may sometimes be necessary.

The three main types of qualifiers are as follows:

- “Includes” qualifier: this lists types of records covered by the secondary, serving the same function as the “Record types include ...” paragraph in the scope note.
- “Arrange” qualifier: this gives the method of arrangement.
- Physical format qualifier: this identifies the physical format(s) of the records

Where appropriate, other qualifiers can also be used; see 8 (i) for examples.

For a primary with several case file secondaries, the use of “**includes**” **qualifiers** is highly recommended, as these are very helpful for identifying where to file different types of records.

Case file secondaries should always have “**arrange by**” **qualifiers**, to ensure consistency of filing and ease of retrieval over time and throughout different offices.

A **physical format qualifier**³ is required whenever the records covered by a secondary predominantly consist of records in physical formats other than text on paper. Some physical format designations used in *ORCS* are: microfilm, microfiche, optical disk, electronic database, and electronic records. If different versions of the same records exist (for examples, on paper and microfilm or on paper and in an electronic form), a qualifier is needed for each version. If there is any variation in the schedule between the different media types, a separate secondary should be included (to allow each schedule to be entered in an electronic records management system).

The physical format qualifier 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 “Record types include ...” paragraph of the scope note. All the records in a file are covered by the same retention schedule, regardless of media.

All government records, regardless of physical format, must be classified under either an *ARCS* or an *ORCS* secondary number. The *Interpretation Act* (RSBC 1996, c. 238) defines records to include all recorded information regardless of physical format.

³ The physical format qualifier was called a “media qualifier” in earlier editions of the *ORCS Kit*.

STANDARDS FOR QUALIFIERS

- a) Place qualifiers immediately below the secondary title, at the third indent, that is, in several spaces from the secondary title.
- b) Enclose all qualifiers in round brackets ().
- c) Do not use complete sentences or capitalization for qualifiers. Use a note instead of a qualifier if a more detailed explanation is required.
- d) Write qualifiers in the active voice (“arrange by ...” not “arranged by ...”).
- e) The recommended order for qualifiers is:
 - “includes”
 - “arrange”
 - other qualifiers (beginning “covers”, “consists of”, etc.)
 - physical format qualifiers

If there is a logical reason for altering this order or the terms used, do so but be consistent.

- f) Use an **“includes” qualifier** to list types of records covered by a secondary, using it in the same way as the “Record types include ...” paragraph in the scope note.
 - i. List ALL types of records covered by a secondary in an “includes” qualifier.
 - ii. If appropriate, give form numbers in an “includes” qualifier.
 - iii. Do not use the “includes” qualifier to describe content of records unless the content is clearly linked to record type, as in the charitable access to gaming revenue case files example below.
 - iv. CIMB highly recommends providing an “includes” qualifier for all case file secondaries.

EXAMPLES OF “INCLUDES” QUALIFIERS
Acquisition authority files (includes Records Services Application forms [ARS 118] and Records Retention and Disposal Authority forms [ARS 008]) <i>[based on BCARS ORCS]</i>
ALDA projects - approved (includes applications, financial statements and tax returns, contractor estimates, working plans, property assessments, land titles, loan application review forms, financial analysis worksheets, correspondence, and invoice forms) <i>[based on AGF ORCS]</i>
Board of examiner appointments (includes orders in council appointing board members) <i>[based on LG ORCS]</i>
Charitable access to gaming revenue case files (includes application forms; recommendation sheets signed by Commission staff; copies of licences with attached letters explaining the conditions of the licences and, in the case of bingo

STANDARD ORCS KIT CHAPTER THREE – SECTION 8 – QUALIFIERS

licences, bingo hall schedules; organization’s annual financial statements; organization’s budgets including projected income and expenses; certificates of incorporation; constitution and bylaws; lists of board of directors showing names, positions, addresses, telephone numbers and occupations; documentary evidence of charitable programs and services; annual decisions and written reasons [if applicable]; and investigation notes and inspection reports)
[based on BCGC ORCS]

- g) Use an **“arrange” qualifier** to give information on arrangement using codes, numbers, subjects, or names, so that staff can easily file and retrieve records.
 - i. CIMB recommends that an “arrange” qualifier should be provided for case files, as this ensures consistent filing. “Arrange” qualifiers are required for all case files designated FR or SR, as the government archives will need this information for those files. Also provide “arrange” qualifiers for subject files where appropriate.
 - ii. If arrangement requires two steps, use format “arrange by ..., then by ...”. If arrangement requires three or more steps, add “and” before the last item. (See Municipal regulatory bylaw approval case files example below.)
 - iii. In an "arrange" qualifier, avoid using the phrases "numerically by" or "alphabetically by". That information should be understood by the fact that numbers/codes or names/subjects respectively are referenced. For example, instead of "(arrange numerically by the municipality number, then numerically by the bylaw code)" say "(arrange by municipality code, then by bylaw code)". In certain cases, descriptors such as “numerically”, “chronologically” or “alphabetically” are useful and appropriate.

EXAMPLES OF “ARRANGE” QUALIFIERS
Aboriginal groups (arrange by name of band, council, or organization) <i>[based on AGF ORCS]</i>
Adoption applications (batched) (arrange by child profile [e.g., newborn, special needs, etc.], then by month) <i>[based on CFAM ORCS]</i>
Administrative hearing statistical reports (generated by the administrative hearing database) (arrange chronologically)
Charitable access to gaming revenue case files (arrange by accession numbers assigned to each applicant by GAMES) <i>[based on BCGC ORCS]</i>
Federal budget and fiscal plans case files (arrange by year of budget, then by name of budget issue) <i>[based on FPRR ORCS]</i>

Municipal regulatory bylaw approval case files
(arrange by municipal classification, then by municipal code,
and then by activity code)

Regional district service area maps
(arrange by regional district, then by sequential number)
[based on LG ORCS]

- h) Use a **physical format qualifier** if the records covered by a secondary predominantly consist of textual records in physical formats other than text on paper. Please note that the physical format qualifier is not used for the purpose of designating records in “special media” (sound recordings, audio-visual materials, maps, photographs, etc.).
- i. Possible designations for physical format qualifiers include:
 - paper
 - microfiche
 - microfilm
 - computer output microfiche
 - computer output microfilm
 - database
 - electronic records
 - optical disk

Check with your CIMB contact if you would like to use alternate designations.
 - ii. If there is more than one physical format qualifier for a secondary, and they have different schedules, each physical format should be scheduled in a separate secondary. If they share the same schedule, they can be listed together.⁴ For example, if the paper and the electronic records have the same active, semi-active retention and the same final disposition, then they can be covered under a single secondary. If they have different schedules, they must be covered under separate secondaries.
 - iii. Do not use physical format qualifiers to distinguish two similar secondaries; instead, designate the media in the secondary titles (see 6.1.2(g)).
 - iv. Do not use the physical format qualifier to designate “special media” records (sound recordings, audio-visual materials, maps, photographs, etc.); convey this information in an “includes” qualifier instead.
 - v. The recommended order for physical format qualifiers is:
 - paper
 - microform (microfilm etc.)
 - electronic records (electronic database etc.)

⁴ Previous editions of the *Standard ORCS Kit* permitted the inclusion of records with different physical format qualifiers (then referred to as media qualifiers) under the same secondary, even if they had different schedules. This is no longer practical because not all automated records management systems accommodate more than one schedule per secondary.

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EXAMPLES OF PHYSICAL FORMAT QUALIFIERS				
<i>[with the same schedule:]</i>				
-40	Local government minister’s approval register (paper and electronic records)	SO	nil	FR
<i>[with different schedules:]</i>				
-30	Home owner grant claim investigation case files – paper	FY+1y	5y	DE
-35	Home owner grant claim investigation case files – electronic records	CY+6y	nil	DE
<i>[based on LG ORCS]</i>				

- i) Use **other qualifiers** as appropriate to give information about the content of the records or about particular issues concerning them. Ensure that each qualifier deals with a separate issue or concept, and be consistent with other qualifiers used in the ORCS. Where appropriate, these may be placed before “arrange” and “includes” qualifiers.

EXAMPLES OF OTHER QUALIFIERS	
Municipal administration advice and approval case files (consists of coded files numbered “00” to “19” which document how municipal councils operate and other municipal administrative procedures)	
Municipal bylaw complaint case files (covers general letters of complaint [sometimes with photographs] about municipal practices and services)	
Regional district security issuing bylaw approval case files (also known as “41” files)	<i>[based on LG ORCS]</i>
Return of candidate’s election expenses (form 323)	<i>[based on ELEC ORCS]</i>

9. EXPLANATORY NOTES (other than qualifiers)

OVERVIEW

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. While their purpose overlaps with that of qualifiers, explanatory notes tend to be more lengthy and descriptive, and to provide information that is not strictly required in order to file and retrieve records. Explanatory notes flagged as “NOTE:” can be especially useful vehicles for providing information for *ORCS* reviewers within the ministry and at CIMB.

Explanatory notes appear following several different flags. The flags that relate to scheduling appear with an equals mark. They explain the reasons for the relevant scheduling designations, and where necessary, provide criteria for following the schedule (for example, how to know when a file is superseded, or how to identify files selected for retention). They are as follows:

- OPR** = The “OPR” (office of primary responsibility) note is used for records which are the primary responsibility of a different office than that for other records in the primary. See *standard 9(g)*
- SO** = The “SO” (superseded or obsolete) note is used to define the end of the active retention period for records designated “SO”. These records must be retained as long as they are useful, but active retention period cannot be predetermined because retention is dependent upon the occurrence of some event. While routine records do not require SO notes, case file and appropriate subject file secondaries do, so as to identify the trigger for ending the active period. This trigger is usually when a case is completed or closed, or some other specified action or event occurs. See *standard 9(h)*
- ##y** = The “##y” note is required for secondaries with a combined active and semi-active period greater than seven years. This note explains the rationale for the long retention. See *standard 9(i)*
- NA** = The “NA” (not applicable) note is used to explain the reason why records are not covered by the secondary schedule at the active, semi-active, and/or final disposition stage of their life. They may have been reclassified or forwarded to another jurisdiction. See *standard 9(j)*
- FR/SR/DE** = These notes explain why records are being selectively or fully retained (SR or FR), or (if not self-evident) why they are being destroyed (DE). These notes are ultimately developed by a CIMB archivist. However, the *ORCS* developer is requested, where possible, to provide SR/FR disposition recommendations, and where appropriate, DE recommendations as well. See *standard 9(k)*

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The explanatory note flags which provide additional information on a range of topics appear with a colon, as follows:

FOI: This note explains issues of confidentiality relating to the records, addressed in terms of the *Freedom of Information and Protection of Privacy Act (FOIPPA)* (RSBC 1996, c. 165). See *standard 9(l)*

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, location of copies, or whether there is an ongoing accession number (OAN). An OAN is assigned if warranted by the high volume of records covered by a secondary. See *standard 9(m)*

STANDARDS FOR EXPLANATORY NOTES

- a) Provide an explanatory note under the secondary it relates to, and align it with the same indent as the secondary title (the second indent).
- b) If the note applies to all secondaries in the primary sharing the same designation (for example, FR), provide it at the end of the primary (after the final secondary entry), and align it with the indent for the secondary numbers. The wording of the note should indicate that it applies to all relevant secondaries.
- c) Optionally, if the note applies to two or more consecutive secondaries, provide it after the last applicable secondary, aligned with the indent for secondary numbers. Indicate in the text of the note that it applies to those specific secondaries. This practice is not recommended for consecutive secondaries with many other notes and qualifiers (usually case file secondaries). Where other notes do appear, the note applying to multiple secondaries is provided after these notes.

EXAMPLE OF NOTE APPLIED TO CONSECUTIVE SECONDARIES

-07	Strategic planning	SO+1y	5y	DE
-08	Business planning	SO+1y	5y	DE
-09	Mission statements	SO+1y	5y	FR

FR = The government archives will fully retain mission statements because they document the functions and goals of government organizations. DRAFT

7y = The combined active and semi-active period for secondaries
-07 to -09 is consistent with the retention period for program planning and implementation case files.

[based on ARCS]

- d) An explanatory note designated “NOTE” may also be provided immediately following the primary scope note, if the supplementary information it contains relates to the primary as a whole.

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- e) If there are multiple notes under a secondary, provide them in the following standard order:
- OPR =
 - SO =
 - ##y =
 - NA =
 - FR/SR/DE =
 - FOI:
 - NOTE: (including OAN notes, which used to appear after SO notes)
- f) Use incomplete sentences (without an initial capital or final period) for explanatory notes unless it is necessary to use more than one sentence. Usually “OPR”, “SO”, “##y”, and “NA” notes are incomplete sentences, and “FR/SR/DE”, “FOI”, and “NOTE” notes are complete sentences.
- g) Use an “**OPR**” **note** when the office of primary responsibility is different from the primary default OPR. Place the note under the appropriate secondary or, if it relates to more than one secondary, optionally place it under the “Unless” statement.

EXAMPLES OF “OPR” NOTES
<p>-20 Project modernization and improvement plans</p> <p>OPR = regional offices <i>[based on BCHMC ORCS]</i></p>
<p>-08 Poll Books</p> <p>OPR = Co-ordinator’s Offices <i>[based on ELEC ORCS]</i></p>
<p>45325 <u>CHILD RESOURCES – RESIDENTIAL AND NON-RESIDENTIAL</u></p> <p><i>(scope note omitted)</i></p> <p>Unless otherwise specified below, the ministry OPR (district office responsible for child care resources) will retain these records for:</p> <p>NOTE: The OPR for all policy and procedure files and subject files is Regional Support Division, Victoria. The office through which the client last receives services determines the OPR for client case files and intake records.</p> <p><i>[based on CFAM ORCS]</i></p>

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- h) Use the **“SO” note** if a specific trigger can be identified (when it is possible to be more specific than “when no longer needed for reference purposes/decision making”).
 - i. Use an “SO” note for all relevant case file secondaries and for appropriate subject secondaries.
 - ii. Begin the “SO” note with “when” or “upon” (unless using complete sentences).
 - iii. Do not use an “SO” note for routine files.
- i) Provide a **“##y” note** for any secondary with a combined active and semi-active period greater than seven years.
 - i. In the note, explain the rationale for the long retention. Optionally, provide it for shorter periods as well.
 - ii. If the note relates to a significant number of secondaries, place the explanation after the scope note in the section default primary, worded as follows:

NOTE: Throughout this section, the retention period of [##] years is based on [GIVE EXPLANATION] unless otherwise specified.
 - iii. Make ## y notes as specific as possible. As appropriate, explain the operational requirements, the legislation justifying legal requirements, or the audit cycle justifying audit requirements.

EXAMPLES OF “SO” and “y” NOTES			
Safety Engineering System (electronic database)	SO	nil	DE
SO = when no longer used as an index to the case files classified under primaries 30800 to 30880 and secondaries 32080-20 and 32180-20; and when no longer used for reference purposes <i>[based on SES ORCS]</i>			
Boiler and pressure vessel accident case files	SO	21y	SR
SO = upon completion of investigation or, in the case of a death, the completion of the coroner’s inquest			
21y = The 21 year semi-active retention period ensures that accidents involving children are retained until the child reaches the age of majority (19 years). The additional two years is based on the two-year limitation period under the <i>Limitation Act</i> (RSBC 1996, c. 266, s. 3(2)).			

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Review board hearing case files	SO+5y 15y FR
<p>SO = when hearing is concluded and all appeal periods have expired and, if applicable, upon conclusion of all appeals</p> <p>20y = based on the need to refer back to earlier similar fact patterns when making a decision <i>[based on SES ORCS]</i></p>	

- j) Provide an **“NA” note** for any secondary with this designation in one or more stages of the retention and disposition schedule. In the note, explain why the usual schedule does not apply.

EXAMPLE OF “NA” NOTE			
-30	Improvement district case files	CY+2y	NA NA
<p>NA = when the improvement district is dissolved and related volumes are returned to the branch, the file is reclassified under secondary –35 <i>[based on LG ORCS]</i></p>			

- k) Optionally, provide a **final disposition note** for secondaries designated “SR” or “FR”, and if appropriate, for secondaries designated “DE” as well.
- i. Provide information about why the records should be fully or selectively retained, or destroyed.
 - ii. Use informal wording, as the final form of this note will ultimately be developed by a CIMB archivist.
 - iii. If recommending selective retention, suggest practical approaches to identifying significant or representative files.

EXAMPLES OF “SR” NOTES IN EARLY DRAFTS OF ORCS
<p>SR = Library program and service case files should be selectively retained in order to document the history of public library programs and services. Operating grant files are routine but the other files are valuable.</p> <p>SR = Library-related organization case files should be selectively retained because of their value in documenting public library issues of provincial and national concern. Selection could be based on the level of participation by the branch in each organization.</p>

SR = Some records from municipal library case files should be kept – the board membership lists, financial statements, budgets, bylaws and agreements. The other records in these files do not seem valuable.

[based on LS ORCS]

SR = Case files in this section of the ORCS probably do not contain records of historical value, except perhaps those relating to actual programs (e.g., the Primary Care Demonstration Project, a 2-year federal/provincial initiative), which describe attempts to improve provision of medical services to residents of the province. However, even those files contain a mixture of dreck and good stuff, requiring labour-intensive culling by the archivist.

SR = Strategic development and planning – alternative payments files contain mainly subject/reference materials. Some overlap/cross-over with initiatives for rural and primary health care provision (which may incorporate alternative payments strategies). Contact: Jane Doe, Secretary, or Kathryn Lai, Director, Strategic Programs Branch, to review records.

[based on MSP ORCS]



For more details about the information archivists require for these statements, see Chapter 1, section 4, “Standard Archival Questions”.

For examples of archivist’s wording for appraisal notes, see sample executive summaries in Chapter 6.

- l) Optionally, provide an **“FOI” note** for a secondary containing records with special public disclosure restrictions under *FO/PPA*. The note must refer to the section of the *Act* which justifies the access restriction. Seek advice from your Director/Manager of Information and Privacy (DMIP) regarding the need for and wording of this note.

EXAMPLES OF “FOI” NOTES

FOI: Contact the ministry’s Director of Information and Privacy for advice on the disclosure of information contained in these records.

[based on CFAM ORCS]

FOI: Keep the surveillance recordings for no longer than the operational requirements of the public body. Use recordings in rotation and erase all previous recordings prior to reuse. Public bodies must securely dispose of old recordings.

[based on ARCS]

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- m) Provide a **“NOTE” note** for a secondary which has an ongoing accession number (OAN) or for any secondary where additional information related to its scope can be useful.
- i. Use more than one “NOTE” if necessary to provide information on different topics. Do not combine information about different topics in one NOTE unless the topics are closely linked.
 - ii. Use a “NOTE” to indicate the ongoing accession number (OAN) under which records are to be transferred off-site, if there is one. Use the following standard wording: “NOTE: The OPR will store [SECONDARY TITLE] under ongoing RCS accession number [##-####].” If multiple offices use the secondary, there may be two or more OANs. OANs are assigned by CIMB to facilitate regular transfers of specified record series. Contact CIMB if you need to establish an OAN.
 - iii. Use a “NOTE” to convey information about the scope of the secondary, explaining the information content and context of the records. Some topics a NOTE might cover are: the history, functions, and/or volume of the records, filing procedures, the location of copies (perhaps held in the library), or why certain records are included in the ORCS even though there is an ARCS classification available for them.
 - iv. Use a “NOTE” under the scope note if appropriate.

EXAMPLE OF OAN “NOTE”

Housing project financial case files

NOTE: The OPR will store housing project financial case files under on-going RCS accession number 91-3817.

[based on BCHMC ORCS]

EXAMPLES OF “NOTES” PROVIDING ADDITIONAL INFORMATION

-50 Federated library system case files

NOTE: Core documents are kept together on separate filebacks. They are retained onsite until the system is dissolved.

NOTE: The *Library Act* (ss. 49 and 59) provides for the creation and continuation of federated public library systems. Each system is composed of two or more library boards that participate in the cooperative provision of library services. Systems are managed by a corporate board.

[based on LS ORCS]

-20 Commissioned appraisers information file

NOTE: This file may not be copied by the commissioned appraiser.

-30 Caucus negotiations

NOTE: The caucus groups consist of representatives of government agencies and do not include aboriginals. The main participants are: Ministry of Forests; Ministry of Environment, Lands and Parks; Ministry of Transportation and Highways; and Ministry of Aboriginal Affairs. There are four caucus groups representing the northern interior, southern interior, southern BC, and Vancouver Island.

-40 Marketing information case files

NOTE: All departments contribute to marketing files, which are held centrally and maintained by the branch responsible for pricing.

[based on BCBC ORCS]

-20 PROPHILE system

NOTE: After year-end data is backed up, a new subdirectory for upcoming year's data is created. For more information on the PROPHILE system, see the Information System Overview Section.

-30 Toxic agent and environmental contaminant subject files

NOTE: Codes may be used to identify subject files as needed.

[based on HPS ORCS]

10. FLAGS

OVERVIEW

Flags are acronyms placed to the left of the relevant secondary, indicating that the records covered by the secondary have a special status. There are three kinds of flags, as follows:

- PIB** Personal Information Bank: a collection of personal information retrievable by the name or identifier of an individual.
- PUR** Public Use Records: records created and organized with the expectation of access by the public (possibly involving user fees).
- VR** Vital Records: records essential to government in order to conduct emergency operations during and following a disaster; to resume/continue operations, including legal, financial and functional responsibilities; and to preserve the rights and obligations of individuals, corporate bodies and other governments with respect to the Government of British Columbia. See *GMOP* 8.3.2.16 for policy on vital records programs.

To identify PIBs and PURS, contact your DMIP. Vital records can be identified in the process of developing the *ORCS*, or by contacting the Records Officer.

STANDARDS

- a) Place flags in the left-hand column, aligned with the primary number, next to the relevant secondary number.
- b) PIB and PUR flags are required for all records which have been identified under *FOIPPA* and related policies as PIBs and PURs.
- c) VR flags are optional but recommended.

EXAMPLES OF FLAGS		
PUR	-03	BCHMC building specifications and standards
PIB	-40	Accepted applications for tenant support services case files
PIB	-50	Submitted applications for tenant support services
<i>[based on BCHMC ORCS]</i>		
VR	-00	Policy and procedures
PIB	-02	Family and child services inquiries
VR	-03	Service delivery standards
<i>[based on CFAM ORCS]</i>		

11. SECTION DEFAULT PRIMARY

OVERVIEW

The first primary in each *ORCS* section is referred to as the “section default primary”. The purpose of this primary is to provide general information useful to understanding the section as a whole and secondaries that relate to the entire section.

It is often practical to base the primary default scope note wording on the summary from the section title page.

The section default primary may not contain many secondaries, besides the standard reserved secondaries. Optionally, reserved secondaries which appear throughout the section may also be included. Any other secondaries contained in this primary should cover records that relate to the functions of the section generally, rather than to one particular primary. It is sometimes also appropriate to include secondaries that do not warrant individual primaries.

Cross-references and explanatory notes may also be provided to explain matters general to the section. Certain standard phrases and statements appear in all section default primaries.

See the format provided in this chapter to be used in developing section default primaries.

STANDARDS

- a) Give the section default primary the same title as the section, followed by a dash and the qualifier “GENERAL”.
- b) Begin the primary with the sentence “Records not shown elsewhere in this section which relate generally to [GIVE FUNCTION OF THE SECTION].”
- c) Provide the standard “NOTE” following the scope note, as shown on the format.
- d) Optionally, provide cross-references which relate to the entire section, especially *ARCS* references. See example in the cross-references section (section 4).
- e) Include the reserved secondaries -00 and -01 in the primary.
- f) Use the standard FR statement for the -00 Policy and procedures secondary, as shown on the format. This statement appears immediately following the -00 secondary.
- g) Optionally, include in the primary any other reserved secondaries which appear throughout the section. See section 6.2 for further instructions regarding reserved secondaries.
- h) Include in the primary any secondaries that relate generally to the section and not to any specific primary within it (which are not significant enough to warrant their own primaries).

EXAMPLES OF SECTION DEFAULT PRIMARIES

21800 LIBRARY SERVICES – GENERAL

Records not shown elsewhere in the library services section which relate generally to services provided to public libraries under the *Library Services Act* (RSBC 1996, c. 264).

This primary includes records relating to community standards and issues that affect public libraries. Examples include censorship and book banning, film and video classification and the use of public library meeting rooms by special interest groups.

Record types include: correspondence, memoranda and reports.

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

Unless otherwise specified below, the ministry OPR (Library Services Branch, Victoria) will retain these records for: CY+2y 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
		<u>-non-OPR</u>	<u>SO</u>	<u>nil</u>	<u>DE</u>

FR = Throughout this section, the government archives will fully retain all policy and procedure files created by offices having primary responsibility for policy and procedure development and approval. These records have evidential value. Draft and duplicate materials which hold insufficient evidential value to merit preservation may be purged and discarded.

-01 General

-20 Community issues/standards case files SO nil FR

[based on LS ORCS]

33000 RAILWAY AND AERIAL TRAMWAY SAFETY - GENERAL

Records not shown elsewhere in the railway and aerial tramway safety section which relate generally to public and employee safety on the province’s railways and aerial tramways under the *Railway Act* (RSBC 1996, c. 395)

Record types include: correspondence and memoranda.

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

Unless otherwise specified below, the ministry OPR (Engineering and Inspection Branch, Victoria) will retain these records for: CY+2y 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
		<u>-non-OPR</u>	<u>SO</u>	<u>nil</u>	<u>DE</u>

FR = Throughout this section, the government archives will fully retain all policy and procedure files created by offices having primary responsibility for policy and procedure development and approval. These records have evidential value. Draft and duplicate materials which hold insufficient evidential value to merit preservation may be purged and discarded.

- 01 General
- 02 Railway and aerial tramway file coding system

3y = satisfies operational, legal, fiscal and audit requirements

DE = Throughout this section, records lacking sufficient evidential and historical value to warrant retention will be destroyed. The information these records contain is summarized or duplicated elsewhere, or reflects polices and procedures adequately documented in –00 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 280-30) and in Ministry of Municipal Affairs annual reports (*ARCS* secondary 442-20).⁵

[based on SES ORCS]

⁵ This DE explanation is an example of what may be stated in a standard default primary. This information is also provided in the Executive Summary format under the “All Other Records heading”.