

STANDARD ORCS KIT CHAPTER SIX

EXECUTIVE SUMMARY

INTRODUCTION

This chapter contains the following sections:

- **Format** for the Executive Summary
- **Standards** for the Executive Summary, organized in the following sections:
 - Overview
 - Standards
 1. General Standards
 2. Contents Standards
 3. Formatting Standards
 - 3.1 Header
 - 3.2 Footer
 - 3.3 Title
 - 3.4 Format
 - 3.5 Spacing
 - 3.6 Page Continuations
 - 3.7 Pagination
 - 3.8 ORCS Approval
 4. Standards for an Amendment to Add a New Section to an Approved ORCS
- **Sample** Executive Summary

How to Use this Chapter

You will need to develop an Executive Summary to provide a high-level description of the ORCS for executive review purposes. To do this, obtain the electronic format from your Records Officer (who can obtain it from the Corporate Information Management Branch [CIMB] contact). Follow instructions contained in the format document to modify each section (see wording in all caps, highlighted in red in the electronic document) and in the standards provided in this chapter. For additional guidance, view the example provided at the end of the chapter.

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.

A SA FD

[NAME OF THE ORCS]

OPERATIONAL RECORDS CLASSIFICATION SYSTEM (ORCS)

EXECUTIVE SUMMARY

This *Operational Records Classification System (ORCS)* establishes a classification system and retention and disposition schedule for the operational records created by [NAME OF BRANCH/ PROGRAM/ MINISTRY] under the [NAME OF LEGISLATION (RSBC 1996, c. ##)], and the [LIST OTHER RELATED LEGISLATION].

These records document [SUMMARIZE FUNCTIONS AS DESCRIBED ON SECTION TITLE PAGES].

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

This *ORCS* covers records created and received since [GIVE YEAR AND REASON]. [IF FUNCTION EXISTED PREVIOUSLY:] Previous records relating to the functions documented in this *ORCS* have been appraised and scheduled under one-time records schedule(s) [AND/OR] under ongoing records schedule(s), and transferred to the government archives or destroyed as appropriate. [IF FUNCTION DID NOT PREVIOUSLY EXIST:] Prior to this time, the function(s) covered by this *ORCS* were not carried out by the BC Government.

[OPTIONAL PARAGRAPH:] The Office of Primary Responsibility (OPR) for [ALL/MOST] primaries is [NAME OF OFFICE]. The OPR for [NAME OF PRIMARY/PHRASE COVERING GROUP OF EXCEPTED PRIMARIES] is [NAME OF OFFICE]. Because responsibility for [GIVE FUNCTIONS] is shared by [NAME OF OFFICE] and [NAME OF OFFICE], these offices both hold OPR status for primaries covering these functions.

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DOCUMENT PATH:YYYY/MM/DD Schedule ##### ORCS/ACRONYM EXEC SUMMARY - #

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A SA FD

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

- 1) Policy and Procedures SO 5y FR
(secondary -00 throughout ORCS)

Throughout this ORCS, 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.

- 2) [GIVE DESCRIPTIVE HEADING OR SECONDARY TITLE] ??## ## ??
(secondaries 12121-20, 13131-20 and -30, and 14141-20)

These records document [GIVE FUNCTION/TITLE].

[GIVE REASONS FOR RETENTION (IF RECORDS ARE ACTIVE AND SEMI-ACTIVE FOR MORE THAN SEVEN YEARS) AND DISPOSITION. USE WORDING FROM SEMI-ACTIVE PERIOD EXPLANATORY NOTES AND FROM ARCHIVAL APPRAISAL STATEMENTS (IF SR, DO NOT INCLUDE SELECTION CRITERIA). USE EITHER NARRATIVE FORM OR NOTE FORM CONSISTENTLY THROUGHOUT THE EXECUTIVE SUMMARY. SEE EXAMPLES IN STANDARD ORCS KIT CHAPTER 6.]

- #) [GIVE DESCRIPTIVE HEADING OR SECONDARY TITLE] ??## ## ??
(secondary #####-##) ??## ## ??
(secondaries #####-## and -##, and #####-##) ??## ##?? ??

[VARIATION AVAILABLE FOR USE WHERE RECORDS HAVE THE SAME FINAL DISPOSITION AND FR/SR STATEMENT, BUT DIFFERENT ACTIVE AND SEMI-ACTIVE RETENTION PERIODS.]

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A SA FD

#) Electronic Records DE

[USE THIS SECTION ONLY FOR ELECTRONIC RECORDS THAT ARE DE; SR/FR ELECTRONIC RECORDS SHOULD BE DESCRIBED USING THE GUIDELINES INCLUDED UNDER THE PREVIOUS HEADINGS.] The following electronic database(s) is(are) covered by this *ORCS*: [GIVE NAME(S)]. This *ORCS* also covers the following web site(s): [GIVE NAME(S)]. The Information System Overview section provides information about the electronic system[s], inputs and outputs and routine back-ups. Notes under the relevant *ORCS* secondary[y/ies] provide information about the classification and scheduling of the records. These records have no enduring value to government at the end of their scheduled retention periods.

#) All Other Records DE

All other records are destroyed at the end of their semi-active retention periods. The retention of these records varies depending on the nature of the records and the function performed, but does not exceed [GIVE NUMBER] years. The information these records contain is summarized elsewhere, or reflects policies and procedures adequately documented in records covered by the -00 Policy and procedures secondaries. Significant issues are documented in records which will be retained under the provisions of this *ORCS*, as well as in briefing notes to the ministry executive (*ARCS* secondary 280-03) and [GIVE NAME OF MINISTRY/AGENCY] annual reports (*ARCS* secondary 442-20). [IF SCHEDULED IN *ORCS*, LIST SECONDARY NUMBER] These records have no enduring value to government at the end of their scheduled retention periods.

REMOVE THIS LINE: Format last revised 2006/03/20

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STANDARD ORCS KIT CHAPTER SIX

EXECUTIVE SUMMARY

STANDARDS

OVERVIEW

The executive summary provides a concise, yet comprehensive, overview of the major record series, retention periods, and final disposition recommendations within an *ORCS*. It also explains the context of the records in terms of legislation, program functions, earlier records relating to the same functions, and specific offices responsible for the records. The executive summary is an aid for high-level reviewers of *ORCS*, especially members of the ministry/agency executive, the Director, Corporate Information Management Branch, and the Public Documents Committee (PDC), who must sign to indicate that they endorse the *ORCS*.

The executive summary is comprised of two parts: the Records Retention and Disposition Authority (ARS 008) form, and the executive summary narrative document. The ARS 008 is prepared separately by CIMB staff.



See Chapter 2, section 3 for further information about the ARS 008 form.

The executive summary is written in narrative form, using full sentences and standard stylistic conventions. The summary should briefly describe the major groupings of records covered by the *ORCS*, explain retention periods over seven years, and provide the reasons for final dispositions of selective or full retention. An effort should be made to combine descriptions of similar records so as to keep the summary succinct, especially for a long, complex *ORCS*.

The information provided on section title pages and in primary and secondary scope notes can be useful for the executive summary, either verbatim or in adapted form.

The executive summary is written after CIMB has completed its main review. The CIMB contact for the ministry/agency will inform the *ORCS* developer when the executive summary should be developed.

For detailed instructions, see the following standards and the executive summary format which appear in this chapter. (Note: the format is also available in electronic form.) You may wish to consult your CIMB contact if your executive summary does not appear to easily fit into the structure outlined in the standards.

STANDARDS

1. GENERAL STANDARDS

- a) Develop the Executive Summary after completing the other sections of the *ORCS* and conducting the main review stages, when notified by the CIMB contact.

2. CONTENT STANDARDS

- a) Write the summary as a narrative using full sentences and standard stylistic conventions.
- b) Place the summary at the front of the *ORCS* binder, before the table of contents, but after the title page.
- c) Organize the executive summary as follows:
 - i. Begin with an introductory section as it appears in the format, as follows:
 - Replace the parts which appear in upper case (titles, agency name, legislation, an outline of functions, office of primary responsibility information if desired).
 - Cite the legislation under which the records are created, accumulated, and used, as well as the statutory or regulatory authority behind retention and disposition recommendations.
 - Summarize the functions that the records document.
 - Provide information about any previous records, if any, not covered by the *ORCS*.
 - Optionally, state the office(s) of primary responsibility for the records.
 - ii. Group descriptions of secondaries by final disposition and then by retention period, so that FR records appear first, SR records follow, and DE records are last, and within each grouping the longest retention periods appear first.
 - iii. For each heading in the executive summary, include (as shown in format):
 - number,
 - title,
 - relevant secondary number(s),
 - a brief description
 - scheduling information, and
 - reasons for retention and disposition (use wording from semi-active period explanatory notes and from archival appraisal statements).
 - iv. Present reasons for retention and disposition either in narrative form or in the note form in which they appear under the secondaries. Be consistent throughout the executive summary.
 - v. Group like secondaries together under shared headings where possible.
 - Same retention and disposition: this type of grouping may include secondaries that appear in separate sections, but that share the same or similar SR/FR appraisal statement and retention periods.
 - Same disposition, different retentions: depending on the *ORCS*, it may be possible to group together secondaries that share an SR/FR statement but have different retention periods. In these cases, indicate each schedule on the same line as the relevant secondary or secondaries.

STANDARD ORCS KIT CHAPTER SIX - STANDARDS

- vi. List electronic records that are scheduled for either SR or FR in the same manner as other records types (separate heading with secondary numbers, scheduling information etc). Describe electronic records scheduled for destruction in a standard note under the 'Electronic Records' heading.
 - vii. Include all other DE records not being retained long enough to warrant description in the executive summary (that is, for seven years or less) in one "All Other Records" grouping at the end, using standard wording (see format).
- d) Only explain retention periods in the Executive Summary if the records are kept for a combined active and semi-active period of more than seven years. This includes records for which a long SO period is anticipated.
 - e) When quoting appraisal statements for records to be selectively retained, do not include the selection criteria information, as this provides unnecessary detail. (Examples of criteria include "every tenth box", "Records Officer will select significant files in consultation with a government archivist", etc.)

3. FORMATTING STANDARDS

- a) Use draft header and ten-line footer, as indicated in the electronic format.
- b) Start page numbering at page 3 (because the ARS 008 form counts as pages 1 and 2 of the executive summary section).
- c) Use the following title headings centred at the top of the first page, starting at ca. line 5 below the header, with one space between each:
 - Name of the *ORCS* in all caps and italics;
 - "*OPERATIONAL RECORDS CLASSIFICATION SYSTEM (ORCS)*"; and
 - "EXECUTIVE SUMMARY".
- d) Each numbered section of the summary should appear as follows:
 - First line: number, title (underlined, with the initial letter of each word capitalized), scheduling information (use A/SA/FD columns)
 - Second line: indented phrase in parentheses regarding relevant secondaries; choose appropriate phrasing, as follows:
 - "(secondaries 12121-20, 13131-20 and -30)"
 - "(secondary -40 under primaries 12121 and 13131 to 14141)"
 - "(secondary -00 throughout *ORCS*)"
 - Third line: blank
 - Fourth line: begin descriptive portion in narrative form.
- e) Type "(continued on next page)" centred at the bottom of each page of the executive summary, excepting the final page, on the last line before the footer.

4. STANDARDS FOR AN AMENDMENT TO ADD A NEW SECTION TO AN APPROVED ORCS

- a) Title: add the name of the section to the title line for the name of the *ORCS*, e.g., "Legislative Counsel Section of the Legal Services ...".
- b) Footer: add "Application ##### amends" in front of "Schedule #####"
- c) Contents: begin the first sentence of the narrative as follows: "The [NAME OF THE *ORCS*] Operational Records Classification System (*ORCS*) is being amended to incorporate a new Section [GIVE NUMBER] relating to [GIVE SECTION TITLE]."

STANDARD ORCS KIT CHAPTER SIX – SAMPLE EXECUTIVE SUMMARY

DRAFT

For Discussion Purposes Only

DRAFT

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A

SA

FD

LIBRARY SERVICES

OPERATIONAL RECORDS CLASSIFICATION SYSTEM (ORCS)

EXECUTIVE SUMMARY

This *Operational Records Classification System (ORCS)* establishes a classification system and retention and disposition schedule for the operational records created by **Library Services Branch** under the *Library Act (RSBC 1996, c. 265##)*.

These records document **consultation and cooperation with library-related organizations; leadership, support and the provision of consulting services to public libraries; and the funding of library services and the development and delivery of programs and services to public libraries, as well as to individual members of the public.**

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

This *ORCS* covers records created and received **since 1926**. Previous records relating to the functions documented in this *ORCS* have been appraised and scheduled under one-time records schedule(s), and transferred to the government archives or destroyed as appropriate.

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

(continued on next page)

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	<u>A</u>	<u>SA</u>	<u>FD</u>
1) <u>Policy and Procedures</u> (secondary -00 throughout <i>ORCS</i>)	SO	5y	FR

FR = Throughout this *ORCS*, 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.

2) <u>Community Issues/Standards Case Files</u> (secondary 21800-20)	SO	nil	FR
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These records document **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.

FR = The government archives will fully retain community issues/standards case files because they document government handling of significant library services issues, related to societal concerns.

3) <u>Annual Public Library and Interlibrary Loan Statistical Reports</u> (secondaries 21820-02 and -03)	SO	nil	FR
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These records document **annual interlibrary loan activity, as well as other programs and services provided each year by public libraries**.

FR = The government archives will fully retain *British Columbia Public Libraries Statistics* because this provides a summary report of library programs and services in the province.

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	<u>A</u>	<u>SA</u>	<u>FD</u>
4) <u>Library Program and Service Case Files</u> (secondary 21820-20)	SO	8y	SR

These records document the provision of library programs and services to public libraries, as well as to individual members of the public.

SO = when program or service is no longer offered, or when no longer required for reference purposes

8y = After a lapse of eight years the records are of no use in the development of similar programs or services.

SR = The government archives will selectively retain library program and service case files because they document the development of government programs. All files covered by this secondary will be retained, except for those concerning operating grants, which are adequately documented in policy and procedure files.

5) <u>Library-Related Organization Case Files</u> (secondary 21850-20)	SO	8y	SR
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These records document involvement with, and in some cases, provision of funding to, library-related organizations.

8y = This retention period ensures that the financial statements and annual reports received from funded agencies are retained for the seven years required for income tax records.

SR = The government archives will selectively retain library-related organization case files because they document government participation in the library community at the provincial, national, and international levels. Files reflecting significant participation by government in library-related organizations, will be retained.

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	<u>A</u>	<u>SA</u>	<u>FD</u>
6) <u>Public Library Case Files</u> (secondaries 21900-20, -30, -40, and -50)	SO	8y	SR

These records document leadership, support and the provision of consulting services to public libraries. This includes records relating to: the distribution of library grants to library boards; participation in board meetings; establishment of reading centres; negotiation of service agreements with public libraries; and assistance with the planning and coordination of public library services to communities.

SO = in the case of core documents, when the public library closes; and in the case of supporting documents, when no longer required for reference purposes

8y = This retention period ensures that board membership lists are retained for the maximum eight-year consecutive term board members may serve under the *Library Act*. It also ensures that financial statements are retained for the seven years required for income tax records.

SR = The government archives will selectively retain public library case files. These records document the history of community libraries in British Columbia, and their relationship with government. A selection of files representing different types of public libraries serving a variety of communities will be retained.

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