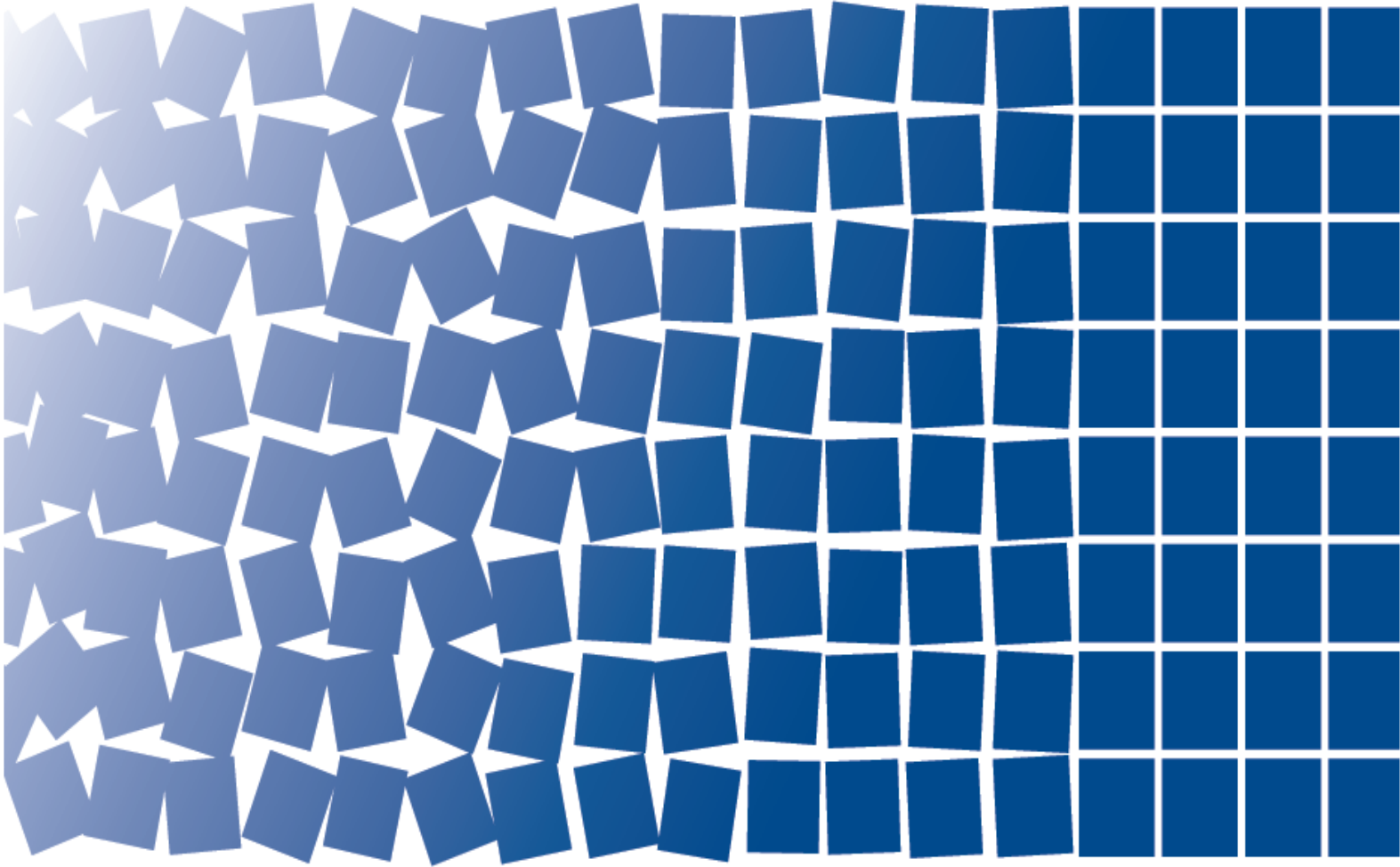


FEDERAL-PROVINCIAL RELATIONS AND RESEARCH OPERATIONAL RECORDS CLASSIFICATION SYSTEM



**PROVINCE OF BRITISH
COLUMBIA**

**INFORMATION ACCESS
OPERATIONS**



RECORDS RETENTION AND DISPOSAL AUTHORITY

This is a recommendation to: ☐ Authorize a one-time disposal of the records described below
☒ Establish an ongoing Records Retention and Disposal Schedule
☐ Amend an existing Records Schedule with Schedule No. _____

Record Series, Subject Section, Records Classification System, or Application Title:

Federal-Provincial Relations and Research Operational Records Classification System

Ministry: **Ministry of Finance and Corporate Relations**
Division: **Federal-Provincial Relations and Research Branch**
Branch:

Description and Purpose: ☐ Administrative ☒ Operational ☐ Both

The *Federal-Provincial Relations and Research Operational Records Classification System (ORCS)* covers all operational records created, received, and maintained by the Federal-Provincial Relations and Research Branch.

These records document analysis and advice on federal-provincial fiscal relations and socio-economic policy in areas involving federal-provincial planning and funding, comparative fiscal issues, and fiscal issues related to the emergence of aboriginal governments.

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

Dates: **1992/11/16 ongoing**

Physical Format of Records: **see attached schedule**

Extent: **.20 m3/year** Cubic Metres

No. of
Pieces **n/a**

Have documents been microfilmed?

☐ Yes

☒ No

Is the information in this record series recorded in any other form besides microfilm?

☒ **some**
Yes

(See Records Management Appraisal) ☐ No

Recommended Retention:

- ☐ Dispose immediately ☐ Dispose on _____ day of _____, _____
☐ Dispose in accord with attached disposal instructions.
☒ Scheduled in accord with attached Records Retention and Disposal Schedule.

Recommended Disposition:

- ☐ Destruction ☐ Full Retention by Archives ☐ Selective Retention by Archives
☒ Scheduled in accord with attached Records Retention and Disposal Schedule.

THE UNDERSIGNED ENDORSE THE RECOMMENDATIONS:

Director, Executive responsible for records

Date

3 May 95

Deputy Minister/Corporate Executive

Date

3 May 95

Minister

Date

THE PUBLIC DOCUMENTS COMMITTEE CONCURS:

Chairman PDC/Provincial Archivist

Date

MAY 18 1995

THE EXECUTIVE COUNCIL APPROVES THE RECOMMENDATION OF THE PUBLIC DOCUMENTS COMMITTEE:

O.I.C. Number

Date

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

APPROVED BY RESOLUTION OF THE LEGISLATIVE ASSEMBLY

ON

JUL 12 1995

Date

OTHER STATUTORY APPROVALS:

Signature

Date

Signature

Date

Title

Title

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

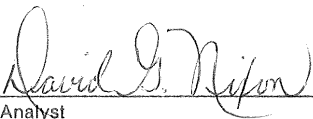
Ministry contact, title, and telephone: **Andrew Alley, Manager, 387-9009**

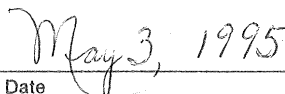
These records are created and received under the authority of the *Financial Administration Act* (SBC 1981, c. 15) and subsequent legislation governing the operational responsibilities and functions of the creating agency.

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

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

Some of the information in these records relating to fiscal policy and budgets is duplicated or summarized in executive records of the Ministry of Finance and Corporate Relations.


Records Analyst


Date

ARCHIVAL APPRAISAL:

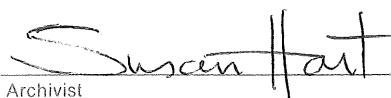
~~This appraisal documents the recommendation for final disposition.~~

The final disposition recommendations protect records considered to have archival values.


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

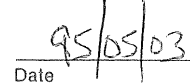
Record series or groups of records which will be retained in part are indicated by "Selective Retention." Selective retention means a sampling, a percentage or statistical sample, or a selection based on recognized archival techniques. For the meaning of selective retention with respect to a specific record series, see the attached schedule.

The definitions of both selective and full retention provide that unnecessary duplicates, transitory materials, and ephemera may be discarded.


Archivist


Date

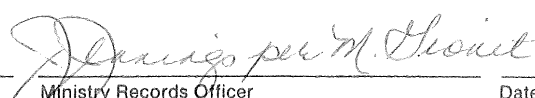

Manager, Appraisal & Acquisition Section


Date

The undersigned endorse the appraisals and recommendations:

Deputy Provincial Archivist

Date


Ministry Records Officer

Date


May 31/95

OPERATIONAL RECORDS CLASSIFICATION SYSTEM

This records schedule is approved in accordance with the Document Disposal Act (RSBC 1979, c. 95). It constitutes authority for retention and disposition of the records described herein provided ORCS has been implemented according to standards approved by the British Columbia Archives and Records Service. For assistance in implementing ORCS, contact your records officer.

A SA FD

Federal-Provincial Relations and Research

Operational Records Classification System

EXECUTIVE SUMMARY

This *Operational Records Classification System (ORCS)* establishes a classification system and retention and disposition schedule for the operational records created by Federal-Provincial Relations and Research Branch. The active and semi-active retention periods specified in the schedule meet all operational, administrative, legal, fiscal, and audit requirements. The British Columbia Archives and Records Service has reviewed the final disposition to ensure that records having residual values to government or historical values are preserved.

The authority for the Federal-Provincial Relations and Research Branch is established by the *Financial Administration Act* (SBC 1981, c. 15).

The Office of Primary Responsibility (OPR) for all primaries is Federal-Provincial Relations and Research Branch.

The summary which follows describes the basic types of records and identifies their retention periods and final dispositions. Please consult this manual for further information.

This *Operational Records Classification System* consists of one section covering records relating to analysis and advice on federal-provincial fiscal relations, socio-economic policy in areas involving federal-provincial planning and/or funding, comparative fiscal issues involving Canadian provinces, territories and the federal government and fiscal issues related to the emergence of aboriginal governments.

(Continued on next page)

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

OPERATIONAL RECORDS CLASSIFICATION SYSTEM

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	<u>A</u>	<u>SA</u>	<u>FD</u>
1. Case files documenting aboriginal cost sharing issues, such as the settlement of aboriginal land claims, third party compensation, treaty negotiations, etc., will be fully retained by the British Columbia Archives and Records Service for their evidential and historical value. Each case file will be retained for three years from completion of negotiations and/or until issues have been resolved and records are no longer required for research purposes. Draft and duplicate materials which hold no evidential or other value may be purged and discarded.	SO	3y	FR
2. Federal-provincial transfer arrangements are generally negotiated for renewal every five years and may include relevant records from the beginning of the previous period. Case files documenting federal-provincial transfer arrangements, such as Established Programs Financing for health and education, federal-provincial equalization payments, etc., will be retained for ten years after the fiscal year of their creation or receipt in order to ensure effective management of the branch's operational functions. These records are then destroyed as they have no further primary or residual value for administrative or operational purposes.	FY+5y	5y	DE
3. All records not otherwise assigned a specific retention schedule will be destroyed five years after the fiscal year of their creation or receipt. Policy statements, procedural protocols, and guidelines and agreements relating to federal-provincial relations and research will be classified under secondary -00 Policy and procedures in the relevant primary classifications.	FY+2y	3y	DE

(Continued on next page)

A = Active	CY = Calendar Year	DE = Destruction
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OPERATIONAL RECORDS CLASSIFICATION SYSTEM

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	<u>A</u>	<u>SA</u>	<u>FD</u>
4. Case files relating to the roles and responsibilities of federal and provincial jurisdictions with regard to the realignment of socio-economic and fiscal roles, including constitutional reforms, will be destroyed three years after issues have been resolved or when records are no longer required for research purposes.	SO	3y	DE
5. OPR Policy and procedure files are retained for five years after becoming superseded or obsolete. Final disposition is full retention by BCARS.	SO	5y	FR

A = Active	CY = Calendar Year	DE = Destruction	
SA = Semi-active	FY = Fiscal Year	SR = Selective Retention by BCARS	
FD = Final Disposition	NA = Not Applicable	FR = Full Retention by BCARS	
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FEDERAL-PROVINCIAL RELATIONS AND RESEARCH

OPERATIONAL RECORDS CLASSIFICATION SYSTEM

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INTRODUCTION

For further information, call your Records Officer,
Malinda Gionet, 356-8076

British Columbia Archives and Records Service

OPERATIONAL RECORDS CLASSIFICATION SYSTEM

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PART 1 THE OPERATIONAL RECORDS CLASSIFICATION SYSTEM (ORCS)

1.1 Introduction

An *Operational Records Classification System (ORCS)* is a tool to facilitate the organization, retrieval, storage, and disposition of operational records throughout their life cycle, from creation to final disposition. Operational records relate to the operations and services provided by your branch in carrying out the functions for which it is responsible according to statute, mandate, or policy. For example, your branch is responsible for operational records relating to federal-provincial transfer arrangements, comparative fiscal analysis and trade and economic policy fiscal relations with the federal and other provincial / territorial jurisdictions.

Administrative records are common to all units of government and are usually distinct from operational records. Administrative records support housekeeping functions such as the management of facilities, property, materiel, finances, personnel, and information systems. Administrative records also relate to common management processes, including committees, agreements, contracts, information services, legal opinions, and other similar functions. Although these records are considered administrative, they may have considerable operational impact.

The British Columbia Archives and Records Service has developed a standard government-wide classification system for all administrative records of the Government of British Columbia. It is known as the *Administrative Records Classification System (ARCS)*. ARCS provides common headings for classification of common records across government.

Each ORCS is tailored to fit the specific operational records of a unit of government. This ORCS covers all operational record series created or received by your branch since 16 November 1992. It does not include older record series to which additions are no longer being made. To obtain approval for disposition of such records, submit via your Records Officer one records services application (form ARS 118) for each record series.

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

1.2 Purpose of ORCS

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

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

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

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

The structure and organization of ORCS is described in detail in the "How To Use ORCS" section. All technical terms used here and elsewhere are defined for your convenience in the glossary which is located at the back of the "How To Use ORCS" section.

The primary purposes of ORCS:

- ORCS is a tool for executive control of recorded information.
- ORCS provides a legal basis on which the integrity, authenticity, impartiality, and completeness of operational records may be established.
- ORCS is a key element of an agency's vital records program.
- ORCS is a retrieval device to aid effective management of resources.
- ORCS is a filing and records classification system for information resources.

- ORCS is a management plan for the retention and disposition of records.
- ORCS is a framework for the audit and review of operational functions.

1.3 Records and Recorded Information

The *Document Disposal Act* (RSBC 1979, c. 95; SBC 1983, c. 20) establishes approval requirements for the retention and disposition of records and recorded information. An ORCS is approved under the provisions of the *Document Disposal Act* and describes types of operational records and specifies their retention periods.

The *Document Disposal Act* uses the term "record" as defined in the *Interpretation Act* (RSBC 1979, c. 206, s. 29). Record is defined broadly to include all recorded information regardless of physical format:

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

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

The *Document Disposal Act* establishes procedures for the approval of the records schedules and classification systems developed by the Archives and Records Service and government ministries. This ORCS was reviewed by the Records Scheduling and Description Section of the Archives and Records Service, your ministry executive, the Public Documents Committee, and the Select Standing Committee on Public Accounts (commonly called the Public Accounts Committee). It was then approved by resolution of the Legislative Assembly. That resolution established this ORCS as the retention and disposition schedule for the operational records of the Federal-Provincial Relations and Research Branch.

Some categories of records or data have special retention and disposition requirements and may be handled by developing special records schedules. These schedules can be standardized for all ministries, and can cover both administrative and operational records. They can be used effectively to dispose of routine records and ephemeral material, can be adjusted to meet the retention problems posed by changing technologies, and can protect the long-term values of executive records.

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

- Transitory Records
- Transitory Electronic Records
- Electronic Mail
- Word Processing Records
- Special Media Records (including photographs, motion pictures, audio-visual materials, videotapes, etc.)
- Executive Records
- Commission of Inquiry Records
- Record Copies of Published Maps

See the special schedules section of the *ARCS* manual for a description of these records and the records retention and disposition schedules covering them.

PART 2 AN EFFECTIVE RECORDS MANAGEMENT SYSTEM

2.1 Introduction

This part outlines the major features of a records management system and describes the tools needed for effective filing operations.

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

- The Classification/Scheduling System
- The File List
- Finding Aids (indexes and cross-reference guides)
- Filing and Maintenance Procedures
- Boxing and Transfer Instructions.

2.2 The Classification System

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

For the frequent user, searching for a place to file a commonly used record, *ORCS* verifies classification. For both the experienced and the inexperienced user faced with a new subject or form, *ORCS* indicates the appropriate primary location for the record. For all users, *ORCS* provides a catalogue of general subject headings for retrieval and access.

The classification system is the basis for other finding aids, such as file lists and indexes. *ORCS* indicates all of the operational records which **might** exist in an office. The file list documents those files which have actually been opened.

2.2.1 Staff Responsibilities and Procedures

The Archives and Records Service recommends that each staff member be responsible for classifying documents which he or she creates. This includes recording the complete primary and secondary number on the top right hand corner of the document before it is typed, photocopied, or distributed. Over time, your correspondents will begin to quote your file number on return mail and less incoming mail will require classification.

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

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

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

2.2.2 Classifying Records

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

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

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

Use either the alphabetic subject index or the broad subject approach, or a combination of the two, to decide upon a number. Remember that the number reflects the subject of the document and not necessarily the sender or recipient.

a) Alphabetic Subject Index

To use the index, think of various subject terms which describe the record. Look under that term or synonyms in the index. Locate a number, and then refer to that primary block in the classification system to ensure that the number is the best possible one. Reading the primary scope notes will clarify whether or not a document should be classified in a given primary. If the appropriate classification was difficult to locate, consideration should be given to updating the index. For a discussion of the index, see part 2.4 of this introduction.

b) Broad Subject Approach

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

c) Policy and Procedures Files

Within each primary, the standardized secondary -00 is reserved as a policy and procedures file. This secondary is used for records that reflect usages, regulations, precedents and other material which in some way document management decisions on the subject matter of the primary.

Policy and procedures files contain records relating to the plans, decisions, and actions embracing the general goals and acceptable procedures of the creating 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 inquiries regarding policy.

d) General Files

Within each primary, the standardized secondary -01 is reserved as a general file. Records which meet one or more of the following criteria may be filed in the general file:

- The record does not fall within any of the existing secondaries, but does fall within the primary.
- The record deals with two or more subjects in the primary. In this situation, you could be more precise and file the original or a photocopy of the record in each specific file.

- There is no existing classification number for the document. The general number is used until the subject is significant enough to warrant creating a new primary or secondary number and title.

In cases where the retention period for secondary -01 is shorter than that of the specific subject or case file secondary, and/or the records are scheduled for selective or full retention by the Archives and Records Service, a separate file **must** be opened.

2.3 The File List

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

The file list is vital to ORCS and is a primary tool for the retrieval, control, and maintenance of records. The *Administrative Records Classification System (ARCS)* specifies that file lists will be maintained and classified under ARCS 423 "Records Management - File Control". ARCS 423-03 classifies current lists and ARCS 423-04 classifies superseded lists. Please note that these file lists cover both operational and administrative files and that superseded lists are selectively retained by the Archives and Records Service.

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

2.4 Other Finding Aids

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

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

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

As a further aid in the retrieval and classification of operational records, the Archives and Records Service has compiled lists of standard codes currently used by various ministries and agencies of the British Columbia Government.

These codes are included in appendices A, B, C and G. Appendix G also describes one method that might be used to create standardized file codes (see also "How to use *ORCS*", part 2.4).

APPENDIX A	BRITISH COLUMBIA MINISTRY CODES
APPENDIX B	PROVINCIAL AND TERRITORIAL NUMBERS
APPENDIX C	FEDERAL AGENCY CODES
APPENDIX G	STANDARD CODING SYSTEM

2.5 Filing and Maintenance Procedures

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

The basic functions or activities of filing and maintenance are:

- Mail Management
- Sorting
- Registration
- Classification
- Indexing and Cross-reference
- Location Control
- Filing
- Charge-out
- Distribution
- Recall and Search
- Refiling
- Physical Maintenance
- Purging
- Retention and Disposition.

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

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

To effectively implement and maintain *ORCS*, offices should develop and document procedures to cover those functions which they require. Filing and maintenance procedures are classified in *ARCS* 423-02. Your Records Officer can help to develop appropriate procedures for your office.

2.5.1 File Maintenance

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

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

The Archives and Records Service supports Project ELF (Eliminate Legal-size Files) and recommends the use of letter size file folders, paper and filing equipment wherever possible. The purpose of ELF is to reduce government costs by eliminating the necessity of having both legal and letter size papers for records and correspondence. Contact your Records Officer for further information about this important initiative.

The file folder label is prepared with the primary and secondary number on the left and the title on the right. It is not necessary to type the full title in all cases. Type the portions of the title which make the label meaningful. Common sense is used to prepare labels which are concise, yet distinguish files adequately. The actual file sequence and physical location within the office will be dictated by access requirements and indicated on the file list.

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

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

Monitor the files for bulk and when the paper thickness exceeds the scoring on the bottom of the folder, close the full folder and start a new one labelled volume 2, 3, 4, etc. Place a coloured paper as the top document in order to indicate that a file is closed. Indicate on that coloured sheet the date range and where future information will be filed. Related volumes are stored together while they are active, and older ones are placed in semi-active storage when their use becomes infrequent. If multi-volume sets are frequently opened under a single classification, this may indicate the need to create new, more specific classifications.

Where possible, sheets should be fastened in the file folder. When this is not possible or for ease in culling files at the end of the year, the Archives and Records Service recommends attaching documents to a file back sheet. The file back should be labelled with the fiscal or calendar year and classification number. Use a closed file notice for each file back when the file is closed and mark on it the method and date of final disposition (e.g., "for DE on 1 April 1991"; "for SR on 1 April 1992"; "for FR on 1 April 1990").

Minimize misfiles in the following ways:

1. Keep file labels legible and simple.
2. Maintain 3-4 inches of free space on each file shelf or drawer.
3. Place papers in folders so they do not go beyond the scoring on the folder or cover the file label.
4. Write correct file number or heading on each document or underline it if it appears in the text.

2.5.2 File Circulation

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

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

2.6 Boxing and Transfer Instructions

The records schedules contained in *ORCS* specify the active, semi-active, and inactive phases of the life cycle of the record and provide for the efficient and systematic transfer of semi-active and inactive records to the off-site storage facilities provided by the Archives and Records Service. Each office should document instructions and procedures for the regular boxing and transfer of records to off-site storage. For a discussion of records schedules, please see parts 2.9 and 2.10 of "How To Use *ORCS*" which follows this introduction.

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

To identify records suitable for boxing, review the *ORCS* schedules annually and determine what operational records have become semi-active or inactive during the past year. Contact your Records Officer to report that you have semi-active or inactive scheduled operational

records which are ready for transfer. Your Records Officer will then request off-site storage and retrieval services from Records Centre Services, Archives and Records Service.

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

2.6.1 Accession Numbers

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

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

Box Number: 91-0123-1

91-0123 = the accession number issued by Records Centre Services
-1 = the first consecutive box number in accession 91-0123

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

a) One-time Accession Numbers

A one-time accession number is used by a single office for a one-time transfer of records to the Archives and Records Service.

For further information about one-time accession numbers, contact your Records Officer.

b) Ongoing Accession Numbers

The Archives and Records Service may establish ongoing accession numbers for categories of administrative or operational records which can be transferred to off-site storage or archival custody year after year. The purpose of an ongoing accession number is to group together the same type of records and facilitate transfer of those records. The ongoing accession number for a category of records must only be used for future transfers of the same type of records.

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

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

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

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

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

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

2.6.2 Transfer of Semi-Active Records to Off-site Storage

The Archives and Records Service provides off-site storage for all records which have a scheduled semi-active retention period. If a records schedule does not provide for semi-active storage for a record series which, in your opinion, requires it, contact your Records Officer to propose that the schedule be amended.

You should organize semi-active records for transfer as follows:

1. Box semi-active records scheduled for DE (Destruction) separately from semi-active records scheduled for SR (Selective Retention) or FR (Full Retention) by the Archives and Records Service (see "How to Use ORCS," part 2.10.3, for definitions).
2. Box records of the same type together if possible. For example, case file series or large subject file series should be boxed together.
3. If records have different semi-active retention periods, box first by retention period and then within retention periods by primary and secondary numbers.
4. Arrange boxes by the length of the semi-active retention period, placing boxes with the longest retention period at the beginning of the accession.

For records which do not have a scheduled semi-active retention period, but which have a scheduled final disposition of selective or full retention by the Archives and Records Service, see Part 2.6.3 regarding the transfer of inactive records to off-site storage.

2.6.3 Transfer of Inactive Records to Off-site Storage

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

Boxing and delivery instructions will vary depending upon the final disposition, age, volume, and location of the records. The Archives and Records Service will in some instances contact you to discuss the records or to arrange to see them prior to boxing.

You should organize inactive records for transfer as follows:

1. Box inactive records scheduled for SR (Selective Retention) or FR (Full Retention) separately from all other records.
2. Box records in primary and secondary number order.

2.7 Freedom of Information and Protection of Privacy

The purpose of the *Freedom of Information and Protection of Privacy Act* (SBC 1992, c. 61) is to ensure that the public has the right to access government records and to protect personal information about an individual from unauthorized collection, use or disclosure. That legislation affects the design, development, retention scheduling, and implementation stages of all operational and administrative records classification systems.

For information about whether your records are exempt under the legislation, how your agency plans to disclose information under this legislation, or how to determine if your records contain personal or confidential material, please contact your agency's Records Officer or Manager/Director of Information and Privacy. If you have questions specific to file operations or procedures, please contact your Records Officer.

2.8 Information System Overview

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

HOW TO USE ORCS

For further information, call your Records Officer,
Malinda Gionet, 356-8076

British Columbia Archives and Records Service

OPERATIONAL RECORDS CLASSIFICATION SYSTEM

PART 1: The Organization of an *Operational Records Classification System*

- 1.1 Classification System
 - 1.1.1 Information System Overview
- 1.2 Implementation of *ORCS*
- 1.3 Review and Evaluation
 - 1.3.1 Operational Reviews
- 1.4 Advisory Services
- 1.5 Amendment and Update of *ORCS*

PART 2: The Structure of an *ORCS*

- 2.1 Primary Number and Title
- 2.2 Scope Note
- 2.3 Secondary Number and Title
 - 2.3.1 Reserved Secondary Numbers
 - 2.3.2 Subject Secondary Numbers
 - 2.3.3 Case File Secondary Numbers
- 2.4 Coded Series
 - 2.4.1 Coded Case File Series
 - 2.4.2 Coded Subject File Series
- 2.5 Interim Secondary Number and Title
- 2.6 Freedom of Information and Protection of Privacy Flags
- 2.7 Explanatory Notes
- 2.8 Levels of Responsibility
- 2.9 Records Retention and Disposition Schedule Format
 - 2.9.1 Active Retention Period Column
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 - 2.9.3 Final Disposition Column
- 2.10 How to Read the Records Schedule
 - 2.10.1 Abbreviations Used in the Active Retention Period Column
 - 2.10.2 Abbreviations Used in the Semi-active Retention Period Column
 - 2.10.3 Abbreviations Used in the Final Disposition Column
- 2.11 Media Designations
- 2.12 Vital Records Flags

PART 1 THE ORGANIZATION OF AN ORCS

1.1 A Classification System

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

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

<u>Section Number</u>	<u>Primary Numbers Allotted to Section</u>	<u>Section Title</u>
Section 1	43000 - 43499	FEDERAL-PROVINCIAL RELATIONS AND RESEARCH

Covers records relating to analysis and advice on federal-provincial fiscal relations, socio-economic policy in areas involving federal-provincial planning and/or funding, comparative fiscal issues involving Canadian provinces, territories and the federal government and fiscal issues related to the emergence of aboriginal governments. This includes issues relating to changes in federal transfer programs, equalization payments, the negotiation of new cost-sharing agreements, the fiscal and economic effects of federal policies and of federal and provincial/ territorial budgets, changes in socio-economic policy such as the integration of the income security and taxation systems and the fiscal impact of potential constitutional change.

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

Primary subjects are usually arranged in an alphabetical sequence, except for the first primary within a section or primary block. The first primary is the general primary and contains records of a general nature relevant to the entire section or primary block, as well as individual general subjects which do not justify being assigned a separate primary. The numerical arrangement of the section or primary block is sufficient to permit expansion and amendment.

A primary may contain a variety of types of records or files, such as policy and procedures, general and routine files, subject files, and case files. Each type is designated by a subnumber called a **secondary number**.

Secondary numbers signify subdivisions subordinate to the major function of the primary subject and describe and delineate specific types or series of records. When a greater detail of files is required for any sub-subject, the subordinate files may be coded.

A secondary may contain records created in various media, such as paper, microfilm, microfiche, magnetic media, and optical disk. In addition, Personal Information Banks (PIB), Public Use Records (PUR) and Vital Records (VR) are identified, classified and scheduled at the secondary or record series level.

1.1.1 Information System Overview

Information that has been created, collected, maintained and/or retained by a government agency must be classified and scheduled within *ORCS*, regardless of media. Input records, computer generated reports, and the electronic records themselves, are integrated into *ORCS* and retention periods and final dispositions are assigned. The additional technical information required for the scheduling of electronic records is documented using the standard format for the Information System Overview (ISO) and Information System Overview for an Application (ISOA).

Information to be included within an ISO/ISOA includes the purpose of the system or application, sources of information for the system, output reports, hardware and software specifications, system milestones, etc.

1.2 Implementation of *ORCS*

One of the chief features of *ORCS* is the integration of the records classification system with the records retention and disposition schedule. As a result, use of *ORCS* as a records retention and disposition schedule depends upon systematic implementation and effective maintenance of the classification system, in accordance with standards established by the Archives and Records Service and the agency responsible for the records.

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

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

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

1. Executive support.
2. A records management policy.
3. An implementation and training plan.

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

1.3 Review and Evaluation

Before a ministry, agency, or Crown corporation can be granted the ongoing authority to use the schedules in *ORCS* for the disposition of government records, a review and evaluation of records management systems and operations may be required to provide assurance to senior management and Treasury Board that records management policies and standards are being applied effectively.

An evaluation would include a review of the agency's records management systems, operations, and facilities for compliance with both internal and government-wide policies and standards.

1.3.1 Operational Reviews

Operational reviews will be conducted at intervals of not more than five years, as authorized by the agency's senior management. Review and evaluation teams will comprise appropriate representatives of one or several of:

- Ministry or agency staff (e.g., internal auditors);
- The Office of the Comptroller General;
- The Archives and Records Service; or
- Private sector agencies under contract to the Archives and Records Service.

1.4 Advisory Services

The Archives and Records Service provides limited advisory services to assist records officers with the implementation and maintenance of *ORCS*. Your records officer is available to help you establish efficient filing procedures and effective records administration. Other services that may be provided by your records officer are:

- Project planning and coordination assistance
- File conversions
- A records management training program
- Selection of equipment and supplies
- Assistance with retrieval systems, indexes, file tracking, and active records control
- Off-site storage and retrieval of semi-active records
- Disposition of inactive records
- Transfer of permanently valuable records to archival custodianship
- Automation of records management functions.

1.5 Amendment and Update of *ORCS*

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

Effective maintenance is dependent upon:

- Trained records staff
- Documented policies and procedures
- Coordination and review by the Records Officer
- Designated responsibilities for
 - records classification
 - maintenance of indexes and file lists
 - other record and file operations.

The Archives and Records Service maintains the master edition of this *ORCS* and is responsible for administering the amendment and review process. The Records Officer is responsible for advising the Archives and Records Service of proposed amendments. Distribution of amendment pages is a responsibility of the agency. Amendments will be effective upon the approval of the Legislative Assembly. The agency responsible for the records will implement amendments within one year of legislative approval.

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

Offices should refer proposals for new primaries and secondaries or other suggested changes to their Records Officer, who will in turn refer them to the Archives and Records Service. Proposals will be jointly reviewed by the Archives and Records Service and the Records Officer.

Changes in the status of primaries, secondaries, and scope notes will be highlighted in two ways:

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

PART 2 THE STRUCTURE OF AN ORCS

Although the structure of this *Operational Records Classification System* has been described in the "Introduction", you will need to know more about it in order to apply the *ORCS* schedule effectively.

Here is a sample primary to illustrate the structure of *ORCS*. The pages which follow this example explain each of the numbered items:

- 2.1 Primary Number and Title
- 2.2 Scope Note
- 2.3 Secondary Number and Title
- 2.4 Coded Series
- 2.5 Interim Secondary Number and Title
- 2.6 Freedom of Information and Protection of Privacy Flags
- 2.7 Explanatory Notes
- 2.8 Levels of Responsibility
- 2.9 Records Retention and Disposition Schedule Format
- 2.10 Records Schedule Key
- 2.11 Media Designations
- 2.12 Vital Records Flags.

SAMPLE PRIMARY TO ILLUSTRATE ORCS

OPERATIONAL RECORDS CLASSIFICATION SYSTEM

This records schedule is approved in accordance with the Document Disposal Act (RSBC 1979, c. 95) It constitutes authority for retention and disposition of the records described herein provided ORCS has been implemented according to standards approved by the British Columbia Archives and Records Service. For assistance in implementing ORCS, contact your records officer.

A SA FD

2.1

43200 FEDERAL-PROVINCIAL TRANSFER ARRANGEMENTS

- 2.2 Records relating to analysis, advice and recommendations concerning the fiscal effects of reforms in the federal-provincial major transfer programs including alternate revenue sources. Records regarding the affordability, adequacy and sustainability of Established Programs Financing for health and education, federal-provincial equalization payments, offloading of fiscal responsibilities to the provinces, and transfer payments for labour market training, income security, child care and other social assistance programs are included in this primary.

- 2.7 NOTE: Records in this primary relate to transfer arrangements from government to government (i.e., from the federal government to the provincial governments).

For records relating to transfer of funds from government to individuals, see primary 43360.

- 2.8 Unless otherwise specified below, the ministry OPR (Federal-Provincial Relations and Research Branch) will retain these records for:

2.9

FY+2y 3y 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
- non-OPR

SO 5y FR
SO nil DE

- 2.3 -01 General

2.10

(Continued on next page)

2.10

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

OPERATIONAL RECORDS CLASSIFICATION SYSTEM

This records schedule is approved in accordance with the Document Disposal Act (RSBC 1979, c. 95). It constitutes authority for retention and disposition of the records described herein provided ORCS has been implemented according to standards approved by the British Columbia Archives and Records Service. For assistance in implementing ORCS, contact your records officer.

A SA FD

43200 FEDERAL-PROVINCIAL TRANSFER ARRANGEMENTS
(Continued)

2.4	-20	Transfer program case files (includes correspondence, memoranda, topical studies and research information) (arrange alphabetically by name of transfer program)	FY+5y	5y	DE
-----	-----	---	-------	----	----

11y = The combined active and semi-active retention period of fiscal year plus 10 years meets the creating agency's information and referral requirements and provides effective management of the agency's operational functions. Federal-provincial transfer arrangements are generally negotiated for renewal every five years and may include relevant records from the beginning of the previous period.

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

2.1 Primary Number and Title

Each operational subject title is allocated a unique five-digit primary number and title within *ORCS*. A primary number is used to classify all information related to a subject or function, regardless of its physical formats.

2.2 Scope Note

The scope note describes the functions, uses and content of the records which are to be classified within a primary records classification. A scope note indicates the administrative or operational function to which the records relate and should give a general statement about the record types (memos, forms, reports, etc.) and media (photographs, video recordings, etc.) covered.

A scope note may also contain information about the method(s) of records arrangement or organization, finding aids and indexes, records usage, information sources, records which are specifically excluded from the primary classification and filed elsewhere, and sources in which the information is reported in summary form. Freedom of information and privacy legislation considerations may be included.

2.3 Secondary Number and Title

Secondary numbers and titles designate subdivisions of the primary subject. The two-digit secondary number is added to the five-digit primary number to form a complete file number. Secondary numbers and titles describe specific types of records and link them to the records retention and disposition schedule.

To ensure proper use and maintenance of the records schedules, secondaries within a given primary in this *ORCS* are standardized. All offices should use the same number to refer to the same record. Standardization ensures continuity and consistency in retention and disposition of operational records.

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

2.3.1 Reserved Secondary Numbers

Two secondaries have been reserved throughout all *ORCS* and the *Administrative Records Classification System (ARCS)*. Secondary number -00 is always reserved for "Policy and procedures" which reflect operational functions, policies, procedures, regulations, and precedent or which reflect management decisions and usage. Secondary number -01 is always reserved for general records which cannot be classified in the specified subject or case file secondaries. For further discussion, see the introduction.

2.3.2 Subject Secondary Numbers

Within a primary, subject secondaries represent files for specific subjects. A subject file usually brings together records and information on one topic in order to facilitate information retrieval.

2.3.3 Case File Secondary Numbers

Case file series are usually assigned secondary numbers -20 and above (-30, -40, -50, etc.). Case file series consist of many different files relating to a common function, each of which contains records pertaining to a specific time-limited entity, such as a person, event, project, transaction, product, organization, etc. The component records within each file in a case file series are generally standardized. (See part 2.4 for additional information on subdivisions.)

2.4 Coded Series

Reserved, subject, and case file secondaries may be subdivided through the use of codes.

2.4.1 Coded Case File Series

When a case file secondary (e.g., client files, mineral claim files, property files) is coded, the result is a coded case file series.

Case file series are sometimes arranged by the full name or title of the case (person, event, project, transaction, product, organization, etc.), but are, for the purposes of abbreviation and identification, more commonly arranged by numeric or alphabetical codes (abbreviations) which correspond to the entities to which the files relate. An oblique (/) separates the identifying code from the secondary number.

2.4.2 Coded Subject File Series

When a reserved or subject secondary is coded, the result is a coded subject file series. Although case files are the most common example of coded series, codes may also be used to arrange subject secondaries where coding will facilitate retrieval (e.g., studies on different aspects of one interprovincial agreement).

Coding is used to subdivide a secondary subject file when all sub-subjects require the same active and semi-active retention periods and when the number of sub-subjects is likely to be large or when the topics or names covered by sub-subjects will vary over time. As a result, coded subject file series usually consist of many different files, each dealing with a different aspect of the same subject. The records within a coded subject series usually vary from file to file.

Subject files are often arranged by the full name or title of the sub-subject, but are sometimes arranged by alphabetical codes (abbreviations) which correspond to the sub-subjects to which the files relate. An oblique (/) separates the identifying code from the secondary number.

2.5 Interim Secondary Number and Title

When a secondary title not included in *ORCS* is required, an office may open a file under an interim secondary title by placing the asterisk symbol " *" in front of the temporary number.

To obtain interim secondary numbers, contact your Records Officer immediately. In turn, your Records Officer will refer interim secondary numbers to the Archives and Records Service for scheduling. Those which are approved will be included in *ORCS* when your manual is updated (see part 1.5 for further information regarding the amendment and review process).

2.6 Freedom of Information and Protection of Privacy Flags

The Archives and Records Service requires that all Personal Information Banks (PIB) and Public Use Records (PUR) be flagged within a records classification system. The flags are placed in the left-hand column, directly in front of the secondary that they qualify.

PIB	-20	SECONDARY TITLE	SO	2y	DE
PIB/ PUR	-45	SECONDARY TITLE (arrange by address)	CY+1y	nil	SR

In certain instances, a more specific justification as to why the information contained in a record series is restricted from public disclosure is required for inclusion in the records classification system. In those cases, a special form of explanatory note is used to explain the access restrictions for the secondary and to point to the section of the *Freedom of Information and Protection of Privacy Act* (SBC 1992, c. 61) that allows for the exemption.

-20	SECONDARY TITLE	3y	5y	SR
-----	-----------------	----	----	----

FOI: As these records DO WHAT?, access is restricted under section ?? of the *Freedom of Information and Protection of Privacy Act* (SBC 1992, c. 61).

If you have any questions on procedures for information disclosure, or if your records contain personal information or confidential material as defined in the legislation, please contact either your agency's Records Officer or Manager/Director of Information and Privacy.

2.7 Explanatory Notes

Explanatory notes may be used in ORCS to refer to the internal structure of ORCS or to provide information critical to understanding the system. Notes may also be used to explain office procedures and practice or to summarize statutory provisions governing the creation, processing, access to, or disposition of documents.

In the example provided in Part 2 - The Structure of an ORCS, primary 43200 - Federal-Provincial Transfer Arrangements, the explanatory note defines what type of transfer arrangements are covered by this primary subject, i.e. from government to government. In primary 43360 - Fiscal Relations - Tax and Social Transfers, the explanatory note defines the transfers as being from governments to individuals.

2.8 Levels of Responsibility

The retention and disposition requirements for records which are duplicated in central service or headquarters branches and field offices often differ. In recognition of these differing requirements, ORCS contains two statements regarding the levels of responsibility for records within an agency.

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

For secondaries which have retention or disposition requirements different from the general 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.

The Records Officer will ensure that the office or offices which have primary responsibility for the retention and disposition of records classified in each primary are designated and notified that they are to retain those records as the OPR. The Records Officer will on an ongoing basis notify the Archives and Records Service of changes to the OPR.

The office of primary responsibility (OPR) for all primaries, is Federal-Provincial Relations and Research Branch.

2.9 Records Retention and Disposition Schedule Format

Schedule information for each record series is indicated in the three columns to the right of the classification system. These columns are headed A (Active), SA (Semi-active), and FD (Final Disposition). They correspond with the active, semi-active, and inactive phases of the life cycle of the record. The abbreviations used in each column are explained in part 2.10, "How to Read the Records Schedule."

2.9.1 Active Retention Period Column

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

Active records are records which are referred to and required constantly for current use in the conduct of business and which need to be retained and maintained in the office space and equipment of the user.

If retrieval and reference access is more than one reference per linear foot (30 cm) per month, the records are active. Active records are maintained and stored in the offices of the agency responsible for the records.

2.9.2 Semi-active Retention Period Column

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

Semi-active records are records which are not required constantly for current use and need not be maintained in the expensive office space and equipment of the agency responsible for them. Semi-active records still retain administrative, operational, fiscal, audit, or legal value. Storage of semi-active records in economical, off-site facilities until all values have lapsed results in considerable savings.

If retrieval and reference access is less than one reference per linear foot (30 cm) per month, the records are semi-active and should be transferred to the off-site storage facilities provided by Records Centre Services, Archives and Records Service. For boxing and transfer instructions, see "Introduction," part 2.6.

The active and semi-active retention periods ensure that records are kept as long as required to meet any operational, administrative, legal, fiscal, audit, or other primary values which the records may hold. By retaining records for the retention periods specified in the records schedule, creating offices will comply with statutory, regulatory, and policy requirements to maintain certain types of information and data.

2.9.3 Final Disposition Column

The final disposition (FD) column ensures that records with residual values are preserved and those which have no residual values are destroyed.

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

2.10 How to Read the Records Schedule

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

For each primary number, general retention and disposition values are assigned for OPR and non-OPR offices. The following format is used:

	A	SA	FD
43200 <u>FEDERAL-PROVINCIAL TRANSFER ARRANGEMENTS</u>			

Unless otherwise specified below, the ministry OPR
(Federal Provincial Relations and Research Branch)
will retain these records for:

FY+2y 3y DE

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

SO nil DE

The OPR and non-OPR retention and disposition apply to all records included in the primary except where specific retention and disposition values are assigned for a secondary. For instance, in the example below, the retention and disposition schedule for secondary -20 is:

	A	SA	FD
43200 <u>FEDERAL-PROVINCIAL TRANSFER ARRANGEMENTS</u>			

-20	Transfer program case files	- OPR	FY+5y	5y	DE
		- <u>non-OPR</u>	<u>SO</u>	<u>nil</u>	<u>DE</u>

The general retention and disposition values do not apply because retention information is specified for the secondary. The OPR will retain these records in active office space for five years after the fiscal year of their creation or receipt. The records will then be transferred to the off-site storage facilities provided by Records Centre Services, Archives and Records Service.

All other offices are non-OPR offices and will retain these records in active office space for a period of time until the records are superseded or are considered to be obsolete. The records will then be destroyed.

The key at the bottom of each *ORCS* page indicates the abbreviations used. The pages which follow explain how to read and interpret the records schedule and the possible abbreviations for each of the three columns.

2.10.1 Abbreviations Used in the Active Retention Period Column

w = week

m = month

y = year

CY = Calendar Year = 1 January to 31 December

FY = Fiscal Year = 1 April to 31 March

SO = Superseded or Obsolete

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

i) Routine Records

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

The most common form of delegated disposition authority is:

<u>Active</u>	<u>Semi-Active</u>	<u>Final Disposition</u>
SO	nil	DE

This retention category is used throughout *ORCS* to streamline the disposition of records with short-term retention value. It delegates the entire responsibility for retention and disposition of the records to the agency responsible for them. Records which have the above retention and disposition schedule may be destroyed when no longer required for operational purposes.

For information on destruction services, contact your Records Officer.

ii) Specific Definition of SO

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

For instance, in the example below, the retention and disposition schedule for secondary -20 is:

			<u>A</u>	<u>SA</u>	<u>FD</u>
43100	<u>ABORIGINAL ISSUES COST SHARING</u>				
-20	Aboriginal issues cost sharing case files	- OPR	SO	3y	FR
		- non-OPR	<u>SO</u>	<u>nil</u>	<u>DE</u>

SO = when negotiations are complete and/or when issues have been resolved and no longer required for research purposes

The OPR will retain case files relating to all aspects of aboriginal issues cost sharing, including emergence of aboriginal governments, settlement of land claims, treaty negotiations, etc., in active office space until such time as the negotiations have been satisfactorily concluded or until the records are no longer required on-site for research purposes. The records will then be transferred to off-site storage.

2.10.2 Abbreviations Used in the Semi-active Retention Period Column

m = month

y = year

nil = no semi-active retention period

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

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

2.10.3 Abbreviations Used in the Final Disposition Column

Some government records contain information or data that has long-term value to the agency responsible for them, the government generally, or to the public. These records are part of the documentary heritage of the Province of British Columbia and are transferred to the custodianship of the Archives and Records Service for archival preservation. The final disposition of operational records which have enduring value can be:

FR = Full Retention by the British Columbia Archives and Records Service

"FR" means that the Records Scheduling and Description Section, Archives and Records Service, has determined that all of the records in a secondary have enduring value. The Archives and Records Service preserves in its entirety and in an accessible format the recorded information contained in such records. Under the terms of full retention, the archivist responsible may destroy unnecessary duplicates, publications, waste and scrap materials, ephemera (often published material of short-term value), and other items which are not an integral part of the record series.

SR = Selective Retention by the British Columbia Archives and Records Service

"SR" means that the Records Scheduling and Description Section, Archives and Records Service, has determined that a portion of these records have enduring value and should be retained. The archivist responsible selectively retains portions of the record series by means of a percentage, statistical, or random sample, or by other recognized archival selection criteria.

Do not destroy records scheduled for selective or full retention. For instructions on how to box and transfer archival records to off-site storage, see "Introduction," part 2.6.

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

DE = Destruction

The final disposition of inactive records which have no residual value or insufficient public value to justify their preservation is physical destruction.

2.11 Media Designations

All government records, regardless of physical media, must be classified under either an *ARCS* or *ORCS* secondary number. The information content of different media versions of a single record series remains the same, only the physical format for the record series changes.

When records are held in several different media formats each media version must be identified and scheduled under the same *ORCS* secondary. The one exception to this rule is when a microfilmed record series is refilmed. It is assumed in these instances, that the two microfilm versions are not identical, therefore the earliest version of the microfilm will be scheduled for destruction upon completion of refilming. The microfilm version which is to be destroyed is scheduled separately under its own secondary.

2.12 Vital Records Flags

The Archives and Records Service recommends that the vital records (VR) of an agency be flagged within a records classification system. The flag is placed in the left-hand column, directly in front of the secondary that it qualifies.

VR	-20	SECONDARY TITLE	??	??	??
PIB/ PUR/VR	-45	SECONDARY TITLE	??	??	??

OPERATIONAL RECORDS CLASSIFICATION SYSTEM

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A SA FD

SECTION 1

FEDERAL-PROVINCIAL RELATIONS AND RESEARCH

PRIMARY NUMBERS

43000 - 43499

This section covers records relating to analysis and advice on federal-provincial fiscal relations, socio-economic policy in areas involving federal-provincial planning and/or funding, comparative fiscal issues involving Canadian provinces, territories and the federal government and fiscal issues related to the emergence of aboriginal governments. This includes issues relating to changes in federal transfer programs, equalization payments, the negotiation of new cost-sharing agreements, the fiscal and economic effects of federal policies and of federal and provincial / territorial budgets, changes in socio-economic policy such as the integration of the income security and taxation systems and the fiscal impact of potential constitutional change.

A = Active	CY = Calendar Year
SA = Semi-active	FY = Fiscal Year
FD = Final Disposition	NA = Not Applicable
PIB = Personal Information Bank	w = week m = month
PUR = Public Use Records	y = year
OPR = Office of Primary Responsibility	

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

OPERATIONAL RECORDS CLASSIFICATION SYSTEM

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A SA FD

43000 - FEDERAL-PROVINCIAL RELATIONS AND RESEARCH - 43499

PRIMARY NUMBERS AND PRIMARY SUBJECTS

43000 FEDERAL-PROVINCIAL RELATIONS AND RESEARCH - GENERAL

43100 ABORIGINAL ISSUES COST SHARING

43200 FEDERAL-PROVINCIAL TRANSFER ARRANGEMENTS

43300 FISCAL RELATIONS - GENERAL

43320 - COMPARATIVE FISCAL ANALYSIS

43340 - ROLES AND RESPONSIBILITIES

43360 - TAX AND SOCIAL TRANSFERS

43380 - TRADE AND ECONOMIC POLICY

A = Active

SA = Semi-active

FD = Final Disposition

PIB = Personal Information Bank

PUR = Public Use Records

OPR = Office of Primary Responsibility

CY = Calendar Year

FY = Fiscal Year

NA = Not Applicable

w = week m = month

y = year

SO = Superseded or Obsolete

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A SA FD

43000 FEDERAL-PROVINCIAL RELATIONS AND RESEARCH - GENERAL (Continued)

- FR = BCARS will fully retain for their evidential value all policy and procedure files created by offices having primary responsibility for policy and procedure development and approval. Draft and duplicate materials which hold no evidential value may be purged and discarded.
- DE = Records have no further primary or residual value for administrative or operational functions of the creating agency and do not contribute to the historical and cultural continuity of the province. Policy statements, procedural protocols and guidelines and agreements relating to federal-provincial fiscal roles and responsibilities will be classified under secondary -00 Policy and procedures. All other records are considered transitory and may be destroyed.
- FOI: Contact your ministry's Manager of Information and Privacy for advice on the disclosure of information contained in these records.

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SA = Semi-active
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PIB = Personal Information Bank
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A SA FD

43100 ABORIGINAL ISSUES COST SHARING (Continued)

SO = when negotiations are complete and/or when issues have been resolved and no longer required for research purposes

FR = BCARS will fully retain for their evidential and historical value all aboriginal issues cost sharing case files. Draft and duplicate materials which hold no evidential value may be purged and discarded.

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A SA FD

43200 FEDERAL-PROVINCIAL TRANSFER ARRANGEMENTS

(Continued)

-20 Transfer program case files FY+5y 5y DE
 (includes correspondence, memoranda,
 topical studies and research information)
 (arrange alphabetically by name of
 transfer program)

11y = The combined active and semi-active retention period of fiscal year plus 10 years meets the creating agency's information and referral requirements and provides effective management of the agency's operational functions. Federal-provincial transfer arrangements are generally negotiated for renewal every five years and may include relevant records from the beginning of the previous period.

A = Active

SA = Semi-active

FD = Final Disposition

PIB = Personal Information Bank

PUR = Public Use Records

OPR = Office of Primary Responsibility

CY = Calendar Year

FY = Fiscal Year

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y = year

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SO	5y	FR
<u>SO</u>	<u>nil</u>	<u>DE</u>

ORCS/FPRR SECT 1 - 1

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43320 FISCAL RELATIONS - COMPARATIVE FISCAL ANALYSIS

-20 Federal budget and fiscal plans case files
(includes financial impact assessments,
topical studies and research information)
(arrange first chronologically by year of
budget, then alphabetically by name of
budget issue)

(Continued on next page)

VR = Vital Records

OPERATIONAL RECORDS CLASSIFICATION SYSTEM

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A SA FD

43320 FISCAL RELATIONS - COMPARATIVE FISCAL ANALYSIS

(Continued)

- 30 Provincial budget and fiscal plans case files
(includes correspondence, memoranda,
topical studies and research information)
(arrange first chronologically by year of
budget, then alphabetically by name of
province)
- 40 International budget and fiscal plans case files
(includes correspondence, memoranda,
topical studies and research information)
(arrange first chronologically by year of
budget, then alphabetically by name of
international jurisdiction)

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SO = when negotiations are complete and/or when issues have been resolved and no longer required for research purposes

SO = Superseded or Obsolete
DE = Destruction
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43360 FISCAL RELATIONS - TAX AND SOCIAL TRANSFERS

-20 Tax and social transfer case files
(includes correspondence, memoranda
financial impact assessments, topical
studies and research information)
(arrange alphabetically by name of
tax or social transfer program)

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

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A SA FD

CLIENT INFORMATION:

LEVEL 1: British Columbia

LEVEL 2: Ministry of Finance and Corporate Relations

LEVEL 3: Federal-Provincial Relations and Research Branch

LEVEL 4:

LEVEL 5

DOCUMENT INFORMATION

This draft ORCS document was created by David G. Nixon.

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Title: fprrors: section 1
Operator: ORCS
Author: dgn
Comments: 12760-20/FPRRORCS

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SUBJECT HEADINGS

PRIMARY NUMBERS

Federal-Provincial Relations and Research Branch

Operational Records Classification System (ORCS)

I N D E X

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

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

This index contains an alphabetical listing of:

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

Cross-references:

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

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

SUBJECT HEADINGS**PRIMARY NUMBERS**

- A -

ABORIGINAL ISSUES COST SHARING

43100

- aboriginal land claims

43100

- emergence of aboriginal governments

43100

- third party compensation

43100

- treaty negotiations

43100

ABORIGINAL LAND CLAIMS

(See ABORIGINAL ISSUES COST SHARING)

- B -

BUDGETS

(See FISCAL RELATIONS - COMPARATIVE FISCAL ANALYSIS)

- C -

CHILD CARE

(See FEDERAL-PROVINCIAL TRANSFER ARRANGEMENTS)

CHILD TAX CREDITS

(See FISCAL RELATIONS - TAX AND SOCIAL TRANSFERS)

COMPARATIVE FISCAL ANALYSIS

43320

- debt management

43320

- deficit elimination

43320

- federal budget and fiscal plans

43320

- international budget and fiscal plans

43320

- provincial budget and fiscal plans

43320

CONSTITUTIONAL REFORMS

(See FISCAL RELATIONS - ROLES AND RESPONSIBILITIES)

- D -

DEBT MANAGEMENT

(See FISCAL RELATIONS - COMPARATIVE FISCAL ANALYSIS)

DEFICIT ELIMINATION

(See FISCAL RELATIONS - COMPARATIVE FISCAL ANALYSIS)

- E -

EFFECTS OF FISCAL REALIGNMENT

(See FISCAL RELATIONS - ROLES AND RESPONSIBILITIES)

SUBJECT HEADINGS**PRIMARY NUMBERS**

EMERGENCE OF ABORIGINAL GOVERNMENTS
(See ABORIGINAL ISSUES COST SHARING)

EQUALIZATION PAYMENTS
(See FEDERAL-PROVINCIAL TRANSFER ARRANGEMENTS)

ESTABLISHED PROGRAMS FINANCING
(See FEDERAL-PROVINCIAL TRANSFER ARRANGEMENTS)

- F -

FEDERAL BUDGET AND FISCAL PLANS
(See FISCAL RELATIONS - COMPARATIVE FISCAL ANALYSIS)

FEDERAL-PROVINCIAL RELATIONS AND RESEARCH - GENERAL 43000

FEDERAL-PROVINCIAL TRANSFER ARRANGEMENTS 43200

- for child care 43200
- for equalization payments 43200
- for Established Programs Financing 43200
- for income security 43200
- for labour market training 43200
- for major transfer programs 43200
- offloading of fiscal responsibilities 43200

FISCAL RELATIONS

- GENERAL 43300
- COMPARATIVE FISCAL ANALYSIS 43320
- ROLES AND RESPONSIBILITIES 43340
- TAX AND SOCIAL TRANSFERS 43360
- TRADE AND ECONOMIC POLICY 43380

FISCAL PLANS
(See FISCAL RELATIONS - COMPARATIVE FISCAL ANALYSIS)

FREE TRADE NEGOTIATIONS
(See FISCAL RELATIONS - TRADE AND ECONOMIC POLICY)

SUBJECT HEADINGS

PRIMARY NUMBERS

- G -

- H -

- I -

INCOME ASSISTANCE

(See FISCAL RELATIONS - TAX AND SOCIAL TRANSFERS)

INCOME SECURITY

(See FEDERAL-PROVINCIAL TRANSFER ARRANGEMENTS)

(See also FISCAL RELATIONS - TAX AND SOCIAL TRANSFERS)

INTERNATIONAL BUDGET AND FISCAL PLANS

(See FISCAL RELATIONS - COMPARATIVE FISCAL ANALYSIS)

INTERPROVINCIAL TRADE BARRIERS

(See FISCAL RELATIONS - TRADE AND ECONOMIC POLICY)

- J -

- K -

- L -

LABOUR MARKET TRAINING

(See FEDERAL-PROVINCIAL TRANSFER ARRANGEMENTS)

- M -

MAJOR TRANSFER PROGRAMS

(See FEDERAL-PROVINCIAL TRANSFER ARRANGEMENTS)

- N -

SUBJECT HEADINGS**PRIMARY NUMBERS**

- O -

OFFLOADING OF FISCAL RESPONSIBILITIES

(See FEDERAL-PROVINCIAL TRANSFER ARRANGEMENTS)

(See also FISCAL RELATIONS - COMPARATIVE FISCAL ANALYSIS)

OLD AGE SECURITY

(See FISCAL RELATIONS - TAX AND SOCIAL TRANSFERS)

- P -

PROVINCIAL BUDGET AND FISCAL PLANS

(See FISCAL RELATIONS - COMPARATIVE FISCAL ANALYSIS)

- Q -

- R -

ROLES AND RESPONSIBILITIES

- constitutional reforms

43340

- effects of fiscal realignment

43340

- social and economic union

43340

- socio-economic effects of fiscal realignment

43340

- S -

SALES TAX AGREEMENTS

(See FISCAL RELATIONS - TAX AND SOCIAL TRANSFERS)

SOCIAL AND ECONOMIC UNION

(See FISCAL RELATIONS - ROLES AND RESPONSIBILITIES)

SOCIO-ECONOMIC EFFECTS OF FISCAL REALIGNMENT

(See FISCAL RELATIONS - ROLES AND RESPONSIBILITIES)

SUBJECT HEADINGS**PRIMARY NUMBERS**

- T -

TAX AND SOCIAL TRANSFERS

- child tax credits	43360
- income assistance	43360
- income security	43360
- old age security	43360
- sales tax agreements	43360
- tax collection agreements	43360
- taxation systems integration	43360
- unemployment insurance	43360

TAX COLLECTION AGREEMENTS

(See FISCAL RELATIONS - TAX AND SOCIAL TRANSFERS)

TAXATION SYSTEMS INTEGRATION

(See FISCAL RELATIONS - TAX AND SOCIAL TRANSFERS)

THIRD PARTY COMPENSATION

(See ABORIGINAL ISSUES COST SHARING)

TRADE AND ECONOMIC POLICY

- free trade negotiations	43380
- inter-provincial trade barriers	43380

TRANSFER ARRANGEMENTS

(See FEDERAL-PROVINCIAL TRANSFER ARRANGEMENTS)

43200

TREATY NEGOTIATIONS

(See ABORIGINAL ISSUES COST SHARING)

- U -

UNEMPLOYMENT INSURANCE

(See FISCAL RELATIONS - TAX AND SOCIAL TRANSFERS)

- V -

- W -

SUBJECT HEADINGS

PRIMARY NUMBERS

- X -

- Y -

- Z -