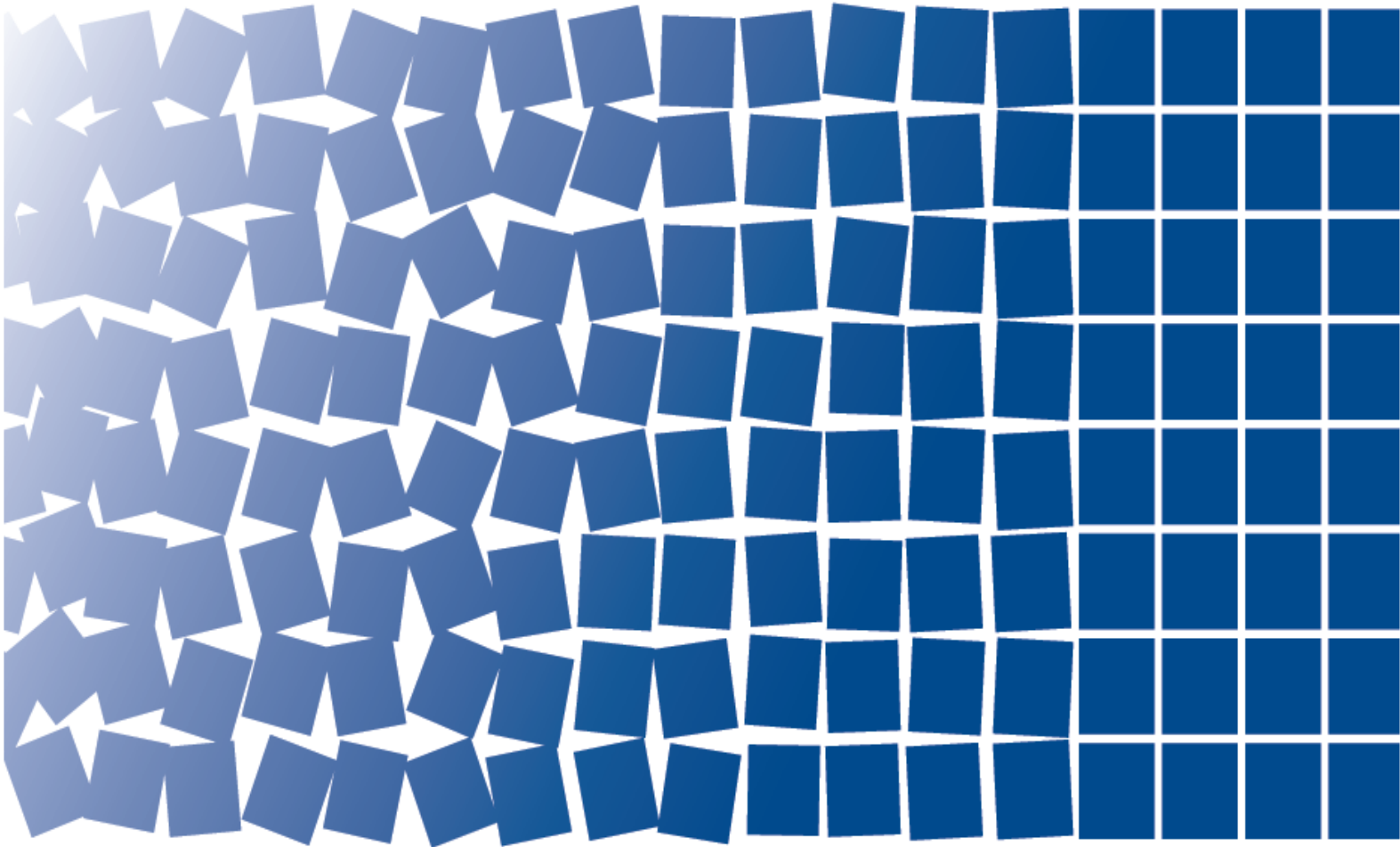


ADULT MENTAL HEALTH SERVICES OPERATIONAL RECORDS CLASSIFICATION SYSTEM



GOVERNMENT RECORDS SERVICE

**ADULT
MENTAL HEALTH
SERVICES
OPERATIONAL
RECORDS
CLASSIFICATION
SYSTEM**



**Province of
British Columbia**

**Corporate Records
Management Branch**

National Library of Canada Cataloguing in Publication Data

British Columbia. Corporate Records Management Branch.

Adult Mental Health Services operational records
classification system

Loose-leaf for updating.

"This ORCS covers records created and received since
1959"—Executive summary.

ISBN 0-7726-5006-3

1. British Columbia. Adult Mental Health Policy Division
- Public records - Handbooks, manuals, etc. 2. British
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British Columbia - Handbooks, manuals, etc. 4. Mental
health policy - British Columbia - Handbooks, manuals,
etc. 5. Classification - Public records - Handbooks,
manuals, etc. 6. Records retention - British Columbia -
Handbooks, manuals, etc. I. Title.

JL429.5.P3B74 2003

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C2003-950158-7

RECORDS RETENTION AND DISPOSITION AUTHORITY

This is a recommendation to amend the above-noted records schedule.

Title: Adult Mental Health Services Operational Records Classification System - amendment 1

Ministry of Health Services
Performance Management and Improvement Division
Mental Health and Addictions

Description and Purpose:

The purpose of this amendment is to amend primary 37100 to change secondary 37100-60 to summary reports for full retention and to add a new secondary, 37100-65 for detailed reports for destruction.

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



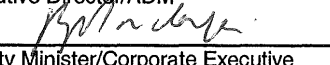
Date range: 1959 ongoing

Physical format of records: see attached schedule


Annual accumulation: n/a cubic meters

Recommended retention and disposition: scheduled in accord with attached records schedule.

THE UNDERSIGNED ENDORSE THE RECOMMENDATIONS:


Records Officer 03/08/07
Date

Executive Director/ADM 03/22/04
Date

Deputy Minister/Corporate Executive Mar 24/03
Date

THE PUBLIC DOCUMENTS COMMITTEE CONCURS:


Chair, PDC 16 Nov 03
Date

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

Jan 31, 2005
Date

APPROVED BY RESOLUTION OF THE LEGISLATIVE ASSEMBLY:

Feb 21, 2005
Date

OTHER STATUTORY APPROVALS:

Signature

Date

Signature

Date

Title:

Title:

Schedule No. 1 2 2 3 4 7

Amendment No. 1 6 9 0 2 8

CONTACT: Darlene Strandlund, Consultant, Public Relations and Education, (250) 952-1666

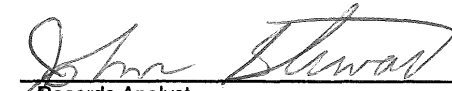
RECORDS MANAGEMENT APPRAISAL:

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

These records are created and received under the authority of *Mental Health Act* (RSBC 1996, c. 288), the *Continuing Care Programs Regulation* (BC Reg. 146/85), and subsequent legislation governing the operational responsibilities and functions of the creating agency.

Functional duplicates and microfilmed records are indicated in the attached schedule.

The retention and final disposition guidelines specified in the attached *Administrative Records Classification System* OR *Operational Records Classification System* OR ongoing records schedule amendment 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.


Records Analyst

2003/08/06
Date

ARCHIVAL APPRAISAL:

This appraisal documents the recommendation for final disposition.

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

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

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

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


Archivist

2003/08/06
Date

The undersigned endorses the appraisal recommendations:


Director, Corporate Records Management Branch

2003/08/06
Date

RECORDS RETENTION AND DISPOSITION AUTHORITY

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

Title: *Adult Mental Health Services Operational Records Classification System*

Ministry of Health Services
Adult Mental Health Policy Division

Description and Purpose:

The *Adult Mental Health Services Operational Records Classification System (ORCS)* covers all operational records created, received, and maintained by the Adult Mental Health Policy Division. It does not include records of regional health authorities, or client services files that were opened after March 31, 1997

These records document policy and program development and evaluation for the care and treatment of adults with acute and chronic mental illnesses; mental health services planning and implementation; mental health promotion and education; and mental health regional liaison. They also document treatment and case management for clients when such services were initiated before April 1, 1997. After that date this became the responsibility of regional health authorities. For further descriptive information about these records, please refer to the attached executive summary.

Date range: 1959 ongoing

Physical format of records: see attached schedule

Annual accumulation: 12.8 cubic meters

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


THE UNDERSIGNED ENDORSE THE RECOMMENDATIONS:



Records Officer

Sept 7, 2001

Date



Executive Director/ADM

Sept 11/01

Date

Deputy Minister/Corporate Executive

Date

THE PUBLIC DOCUMENTS COMMITTEE CONCURS:



Chair, PDC

2001/11/15
7 Mar 2002

Date

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

2003/05/28

Date

APPROVED BY RESOLUTION OF THE LEGISLATIVE ASSEMBLY:

2003/05/29

Date

OTHER STATUTORY APPROVALS:

Signature
Title:

Date

Signature
Title:

Date

CONTACT: Darlene Strandlund, Consultant, Public Participation and Education, (250) 2-1666

RECORDS MANAGEMENT APPRAISAL:


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

These records are created and received under the authority of the *Mental Health Act* (RSBC 1996, c. 288), the *Continuing Care Programs Regulation* (BC Reg. 146/85), and subsequent legislation governing the operational responsibilities and functions of the creating agency.

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

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

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


Records Analyst

2001/09/06
Date

ARCHIVAL APPRAISAL:

This appraisal documents the recommendation for final disposition.

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

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

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

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


Archivist

2001/09/06
Date

The undersigned endorses the appraisal recommendations:


Manager, Government Records Services

2001/08/07
Date

OPERATIONAL RECORDS CLASSIFICATION SYSTEM

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

ADULT MENTAL HEALTH SERVICES

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 Adult Mental Health Policy Division under the *Mental Health Act* (RSBC 1996, c. 288), and the *Continuing Care Programs Regulation* (BC Reg. 146/85).

These records document policy and program development and evaluation concerning the care and treatment of adults with acute and chronic mental illnesses; mental health services planning and implementation; mental health promotion and education, and mental health regional liaison. They also document the treatment and case management of mental health clients when such services were initiated before April 1, 1997. After this date, responsibility for client registration, community outreach services, emergency response services, inpatient client assessment and medication monitoring, pharmacy services, and assessment and treatment of mental health clients was transferred to health authorities.

The active and semi-active retention periods specified in the schedule meet all operational, administrative, legal, fiscal, and audit requirements. BC Archives 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 1959 when Mental Health Services became part of the new Department of Health Services and Hospital Insurance. Previous records relating to the functions documented in this *ORCS* have been appraised and scheduled under one-time records schedule(s) or under ongoing records schedule(s), and transferred to the government archives or destroyed as appropriate.

(continued on next page)

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

CY = Calendar Year
FY = Fiscal Year
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w = week m = month
y = year

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

OPERATIONAL RECORDS CLASSIFICATION SYSTEM

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

The Office of Primary Responsibility (OPR) for all primaries in Section One is the Adult Mental Health Policy Division. The OPR for records created before April 1, 1997 and held in individual mental health centers, individual mental health center pharmacies, and the Burnaby Inpatient Unit, is the Ministry of Health Services.

The summary which follows describes the basic types of records 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 fully retain policy and procedure files created by offices having primary responsibility for policy and procedure development and approval. These records have evidential values. Draft and duplicate materials which hold insufficient value to merit preservation may be purged and discarded.

- 2) Mental health client files index (history registers) (1962 – 1973) SO+2y 28y FR
(secondary 37100-80)

These records document the indexing of 1962 to 1973 adult and minor mental health client files stored on microfiche.

30y = This retention period ensures that these records are retained until the expiration of the right to initiate a legal action specified under the *Limitation Act* (RSBC 1996, c. 266, s. 8(1)(c)).

FR = The government archives will fully retain the microfiche index to the mental health client files on microfiche (1962-1973) as evidence of which files were created for the communities represented for that period.

- 3) Adult mental health ministerial standards and guidelines
(secondary 36000-02) SO+1y 9y FR
(secondary 36000-30) SO+1y 2y FR

(continued on next page)

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These records document the development, review and evaluation of policies, standards and guidelines for use in the delivery, practice and provision of mental health programs.

10y = This retention period ensures that standards and guidelines are maintained for review and analysis.

FR = The government archives will fully retain adult mental health approved ministerial standards and guidelines and adult mental health standard and guideline review files for their significant evidential and informational values.

- 4) Community health councils, community health services societies, and regional health board case files CY+4y 5y FR
(secondary 36400-30)

These records document executive interaction between Adult Mental Health Policy Division and regional and community boards and societies including plans, funding, directives, audits, reporting and accountability.

10y = This retention period allows for a coherent program planning and review process.

FR = The government archives will fully retain community health councils, community health services societies, and regional health board case files records for their significant evidential and informational values.

- 5) Complaint correspondence case files SO+2y 5y FR
(secondary 36400-20)

These records document the resolution of clients' complaints and issues, related to services or to service providers that were unable to be resolved at the health authority level.

(continued on next page)

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FR = The government archives will fully retain complaint correspondence case files for their significant evidential and informational values.

These records may also be required for up to 30 years after closure of the file to provide ministry accountability in legal cases regarding treatment of clients.

- 6) Rehabilitation care support services case files SO+1y 6y FR
(secondary 36600-20)

These records document consultation between Adult Mental Health Policy Division and service providers to resolve issues regarding service providers and clients.

FR = The government archives will fully retain rehabilitation care support case files for their significant evidential and informational values.

These records may also be required for up to 30 years after closure of the file to provide ministry accountability in legal cases regarding treatment of clients.

- 7) Coroners' inquiry issue case files SO+1y 4y FR
(secondary 36500-20)

These records document inquiries from coroners regarding the outcome of investigations of high profile deaths and recommendations for action as well as responses from the Adult Mental Health Policy Division.

FR = The government will fully retain coroners' inquiry issue case files for their significant evidential and informational values.

- 8) Mental health services planning and implementation files SO+1y 4y FR
(secondary 36200-20)

These records document consultation with the public and a wide range of government and non-government agencies, and the evaluation of existing and proposed mental health programs.

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OPERATIONAL RECORDS CLASSIFICATION SYSTEM

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FR = The government archives will fully retain mental health services planning and implementation files for their significant evidential and informational values.

- 9) Psychiatric services project, program and initiatives case files SO+1y 4y FR
(secondary 36500-40)

These records document the development and implementation of projects, programs and initiatives pertaining to psychiatric services, including the requirements and accountability for such services.

FR = The government archives will fully retain all psychiatric services project, program and initiative case files for their evidential and informational values.

- 10) Rehabilitation and family support service program development files SO+1y 4y FR
(secondary 36600-30)

These records document the development of rehabilitation and family support service programs, as well as policies and standards, consultation with specialists, and the requirements for accountability.

FR = The government archives will fully retain rehabilitation and family support service program development files for their significant evidential and informational values.

- 11) Residential and housing service planning and development initiative files SO+1y 4y FR
(secondary 36700-30)

These records document the planning and development of housing service initiatives.

FR = The government archives will fully retain residential and housing service planning and development files for their significant evidential and informational values.

(continued on next page)

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- 12) Client/Patient information management system – reports SO nil FR
(secondary 37100-60)

These records document summary information on client demographics, caseloads, historical and regional trends, and occurrences of types of illnesses.

FR = The government archives will fully retain client/patient information management system reports for their significant informational values.

- 13) Mental Health Advocate annual report SO nil FR
(secondary 36300-05)

These records document an annual summary of the activities of the Mental Health Advocate. This position is appointed through Order in Council and carries out a broad range of advocacy functions on behalf of persons with mental illness.

FR = The government archives will fully retain the Mental Health Advocate annual report for its evidential and informational values.

- 14) Mental health strategic plans SO nil FR
(secondary 36200-02)

These records document the development and implementation of mental health strategic plans.

FR = The government archives will fully retain mental health strategic plans because they document government plans, initiatives, policies and guidelines for the provision of adult mental health services.

- 15) Residential and housing service case files SO+1y 29y SR
(secondary 36700-20)

These records document the residential and housing services provided to adult mental health clients through contracted residential care service agencies, associations and facilities.

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SO = when agency, association or facility contract terminated or facility closed

30y = This retention period ensures that these records are retained until the expiration of the right to initiate a legal action specified under the *Limitation Act* (RSBC 1996, c. 266, s. 8(1)(c)).

SR = The government archives will selectively retain residential and housing services case files for their evidential and informational values.

- 16) Adult mental health client and inpatient case files SO+2y 28y SR
(secondaries 37100-30 and 37400-20)

These records document the provision of outpatient mental health assessment, registration, counseling, treatment, hospital liaison, outreach, rehabilitation, residential and supported housing services to adult, including elderly, clients. The also document the inpatient treatment of patients at the Burnaby Inpatient Unit.

SO = upon 14 days of termination of service or after three months of client activity; or upon discharge from inpatient unit

30y = This retention period ensures that these records are retained until the expiration of the right to initiate a legal action specified under the *Limitation Act* (RSBC 1996, c. 266, s. 8(1)(c)).

SR = The government archives will selectively retain adult mental health client and inpatient case files for their evidential and informational values.

- 17) Mental health client case files (1962 – 1973) SO+2y 28y SR
(secondary 37100-70)

These records document the provision of outpatient mental health assessment and counseling to adults and minors seeking treatment for minor mental health problems from 1962 to 1973.

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OPERATIONAL RECORDS CLASSIFICATION SYSTEM

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30y = This retention period ensures that these records are retained until the expiration of the right to initiate a legal action specified under the *Limitation Act* (RSBC 1996, c. 266, s. 8(1)(c)).

SR = The government archives will selectively retain a small evidential sample of the microfiche of mental health client case files. These files will be retained as evidence of patient assessment and treatment within the provincial mental health system.

- 18) Mental health residential service provider files SO+1y 29y SR
(secondary 37820-30)

These records document the interaction between mental health centers and residential service providers and on services provided to clients.

SO = upon the termination of contract or agreement with service provider

30y = This retention period ensures that these records are retained until the expiration of the right to initiate a legal action specified under the *Limitation Act* (RSBC 1996, c. 266, s. 8(1)(c)).

SR = The government archives will selectively retain mental health residential service provider files for their evidential and informational values.

- 19) Rehabilitation services support case files SO+1y 29y SR
(secondary 37700-30)

These records document issues and events affecting rehabilitation service providers and services provided to clients, including communication between regional offices and headquarters in Victoria and between regional offices and service providers.

SO = upon the termination of contract or agreement with service provider

(continued on next page)

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30y = This retention period ensures that these records are retained until the expiration of the right to initiate a legal action specified under the *Limitation Act* (RSBC 1996, c. 266, s. 8(1)(c)).

SR = The government archives will selectively retain rehabilitation services support case files for their evidential and informational values.

- 20) Clinical mental health service issue, study and planning files SO+1y 4y SR
(secondary 36100-20)

These records document consultations with mental health specialists, medical authorities, government and other agencies on all issues relating to clinical mental health services that may lead to research and development of plans and initiatives for progressive clinical mental health services.

SR = The government archives will selectively retain clinical mental health service issue, study and planning files for their evidential and informational values.

- 21) Mental health advocacy issue, study or project files SO+1y 4y SR
(secondary 36300-40)

These records document mental health advocacy issues, studies or projects.

SR = The government archives will selectively retain mental health advocacy issue, study or project files for their evidential and informational values.

- 22) Adult unregistered referrals CY+2y 28y DE
(secondary 37100-40)

These records document information on individuals referred to a mental health center and who receive brief intervention or subsequent referral, but are not registered on the Client/Patient Information Management System)

(continued on next page)

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OPERATIONAL RECORDS CLASSIFICATION SYSTEM

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30y = This retention period ensures that these records retained until the expiration of the right to initiate a legal action specified under the *Limitation Act* (RSBC 1996, c. 266, s. 8(1)(c)).

- 23) Mental health outpatient appointment sheets and diaries CY+1y 29y DE
(secondary 37000-02)

These records document outpatient appointment scheduling, maintained by mental health center reception and or by a center practitioner.

30y = This retention period ensures that these records are retained until the expiration of the right to initiate a legal action specified under the *Limitation Act* (RSBC 1996, c. 266, s. 8(1)(c)).

- 24) Electronic Records SO nil DE
(secondaries 37100-50 and 37820-20)

The following electronic databases are covered by this ORCS:

The Continuing Care Information Management System (CCIMS) maintains a registry of clients receiving care from one or more continuing care services; a file of agencies, companies, and health units/authorities who provide services to continuing care clients, and a list of clients who are waiting for placement in continuing care residential services. It also provides reports to support planning, monitoring, funding and management activities by both the health authorities and Ministry of Health Services and Ministry of Health Planning, and calculates and generates payments for provider claims.

The Client/Patient Information Management System (CPIM) allows for the monitoring of mental health client caseload trends, and the tracking of specific target populations, diagnostic groups and individual clients across programs throughout the Province and over time. The system also provides online clinical output data for clinicians, and summary data required by regional staff and central office for planning and resource allocation purposes.

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OPERATIONAL RECORDS CLASSIFICATION SYSTEM

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

The Information System Overview section provides information about the electronic systems, inputs and outputs and routine back-ups. Notes under the relevant *ORCS* secondaries provide information about the classification and scheduling of the records. These records have no enduring value to government at the end of their scheduled retention periods as the information they contain is documented elsewhere.

25) All Other Records

DE

All other records are destroyed at the end of their semi-active retention periods. The retention of these records varies depending on the nature of the records and the function performed, but does not exceed seven years. The information these records contain is summarized elsewhere, or reflects policies and procedures adequately documented in 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 Ministry of Health Services and Ministry of Health Planning annual reports (*ARCS* secondary 442-20). These records have no enduring value to government at the end of their scheduled retention periods.

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ADULT MENTAL HEALTH SERVICES
OPERATIONAL RECORDS CLASSIFICATION SYSTEM

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HOW TO USE *ORCS*

For further information, call your Records Officer,
Mary McIntosh, 952-2168

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PART 1

THE OPERATIONAL RECORDS CLASSIFICATION SYSTEM (ORCS)

1.1 General Introduction

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

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

1.2 What is an ORCS?

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

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

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

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

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

What are Operational Records?

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

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

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

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

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

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

Schedule No.	Schedule Title
112907	Commission of Inquiry Records
112910	Computer System Electronic Backup Records
102903	Electronic Mail
102906	Executive Records
102908	Record Copies of Published Maps
102905	Special Media Records (including photographs, motion pictures, audio-visual materials, videotapes, etc.)
102902	Transitory Electronic Records
102901	Transitory Records
112913	Unsolicited Records
112914	Voice Mail Records
102904	Word Processing Records

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

The Purpose of ORCS

ORCS facilitates the efficient management of operational information by:

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

Responsibility for ORCS

British Columbia Archives, Information, Science and Technology Agency, is responsible for establishing standards for the development of ORCS for the operational records of public bodies covered by the *Document Disposal Act* (RSBC 1996, c.99).

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

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

1.3 Introduction to the Adult Mental Health Services ORCS

The operational records in this ORCS relate to the operations and services provided by your division in carrying out the functions for which it is responsible according to statute, mandate, or policy. These records document policy and program development and evaluation concerning the care and treatment of adults and seniors with acute and chronic mental illness, as well as records relating to mental health planning and implementation projects, mental health promotion and education, and mental health regional liason. Also included are records relating to client registration, community

outreach services, emergency response services, inpatient clinical assessment and medication monitoring, pharmacy services, and assessment and treatment for adults, including seniors.

This *ORCS* covers all operational record series created or received by your division since 1968, and in the case of records created in regional offices, it covers records created up to April 1, 1997. It does not cover files closed before or after these dates. To obtain approval for disposition of such records, contact your Records Officer.

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

Section Number	Primary Numbers	Section Title
Section 1	36000-36999	Adult Mental Health Services
		Covers records relating to policy and program development and evaluation concerning the care and treatment of adults and seniors with acute and chronic mental illnesses, as specified under the <i>Mental Health Act</i> (RSBC 1996, c. 288). Mental health services for adults and seniors include clinical mental health services, psychiatric services, rehabilitation care services and residential care services. Also included are records relating to mental health planning and implementation projects, mental health promotion and education and mental health regional liaison.
Section 2	37000-37999	Treatment and Case Management Services
		Covers records relating to the treatment and case management for mental health clients as specified in the above act. This includes records relating to client registration, community outreach services, emergency response services, inpatient clinical and medication monitoring, pharmacy services, and assessment and treatment of adults. This section covers records opened prior to April 1, 1997 when responsibility for mental health treatment and case management was transferred to health authorities.
ISO	CCIMS	Continuing Care Information Management System
		Covers records relating to the support of the one or more continuing care services provided through the Ministry of Health and Ministry Responsible for Seniors and health units/authorities. It allows for the maintenance of a registry of clients receiving continuing care services; maintenance of a file of agencies, companies, and health units/authorities who provide services to continuing care clients; maintenance of a list of clients who are waiting for placement in continuing care residential services; the provision of reports to support planning, monitoring, funding and management activities

by both the health units/authorities and Ministry of Health and Ministry Responsible for Seniors; and the calculation and generation of payments for provider claims.

ISO

CPIM

Client/Patient Information Management System

Covers records relating to the support of the network of services provided by the Adult Mental Health Division, the local Mental Health Centres, and other authorized users such as some acute care hospitals, at both a management and a clinical level. It allows for the monitoring of caseload trends, and the tracking of specific target populations, diagnostic groups, and individual clients across programs throughout the Province and over time. The system also provides on-line clinical output data for clinicians, and summary data required by regional staff and central office for planning and resource allocation purposes. Interfaces are in place with Client Registry for client identification and demographics, and Pharmacare systems to establish eligibility for medication programs.

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

- First, there is a section default primary, which provides general information relating to the whole section and to records repeated in other primaries throughout the section ("reserved secondaries" - see 2.6.1).
- The section default primary is followed by all the other primaries, arranged in alphabetical order.
- Groups of related primaries, called "primary blocks", appear together, indicated by two-part titles and an initial "general" primary (for example, "Client Group Issues - General" and "Client Group Issues - Families").

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

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

This *ORCS* was reviewed by BC Archives staff, your executive, the Public Documents Committee, and the Select Standing Committee on Public Accounts (commonly called the Public Accounts Committee). It was then approved by resolution of the Legislative Assembly. That resolution established this *ORCS* as the retention and disposition schedule for the operational records of the Adult Mental Health Division. This means that this *ORCS* is a legally binding document.

PART 2

HOW TO READ A PRIMARY

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

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

- 2.1 Primary Number and Title
- 2.2 Scope Note
- 2.3 Cross References
- 2.4 Records Retention and Disposition Schedule
 - 2.4.1 Active retention period column
 - 2.4.2 Semi-active retention period column
 - 2.4.3 Final disposition column
- 2.5 Office of Primary Responsibility (OPR)
- 2.6 Secondary Number and Title
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- 2.7 Key of Terms (Abbreviations in Footer)
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 - 2.7.2 Terms used in the final disposition column
 - 2.7.3 Other terms
- 2.8 Freedom of Information and Protection of Privacy Flags
- 2.9 Explanatory Notes
 - 2.9.1 Qualifiers
 - 2.9.2 Other notes
- 2.10 Media Designations
- 2.11 Vital Records Flags

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

2.1

A

SA

FD

23120 EXTRATERRESTRIAL REGISTRATION AND TRACKING

Records relating to the registration of extraterrestrial visitors to the province. An extraterrestrial is any sentient being originating from another planet, regardless of appearance or ancestry.

2.2

Extraterrestrials are registered and tracked to ensure they do not contravene federal and provincial legislation by attempting world domination, body-snatching, or other anti-democratic activities. Registrants must provide identifying information and report regularly to the ministry liaison assigned. Includes registration forms, reference materials, photographs, videotapes, correspondence, memoranda, and reports.

2.3

For Extraterrestrial Registration System (ERS) Information System Overview (ISO), see ISO section.

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

2.4

2.5

Unless otherwise specified below, the ministry OPR (Unidentified Flying Objects Branch) will retain these records for:

CY+1y

3y

DE

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

2.6

SOnilDE

-00 Policy and procedures

- OPR

SO

5y

FR

-01 General

- non-OPRSOnilDE

-02 Complaints and inquiries

-03 Extraterrestrial reports and statistics

CY+1y

3y

FR

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

2.7

(Continued on next page)

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

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

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

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. Information and Data 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

23120 EXTRATERRESTRIAL REGISTRATION AND TRACKING (Continued)

-04 Visits by unidentified extraterrestrials SO NA NA
(includes reference materials relating to visits and visitors as yet unconfirmed and unidentified)

NA = Reclassify records to appropriate case file under secondary 23120-20 when visitor is identified.

2.8 — FOI: As these records relate to extraterrestrials who may present a threat to provincial security, access is restricted under the *Freedom of Information and Protection of Privacy Act* (RSBC 1996, c. 165, s. 15(1)(b)).

PIB -20 Extraterrestrial registrant case files SO+3y 300y SR
(includes textual records and photographs)
(arrange by registration number)

2.9 — SO = when extraterrestrial visitor leaves the province
NOTE: The OPR will store extraterrestrial registrant case files under ongoing RCS accession number 99-9111.
303y = This ensures that the file can be reopened if the extraterrestrial returns later in its lifetime.
SR = The government archives will selectively retain these records because they document the effect of extraterrestrial visitors on the province. All files relating to green extraterrestrials will be retained. All other files will be boxed separately and destroyed.

VR -30 Extraterrestrial Registration System (ERS) SO nil DE
(electronic database)

2.10 —
2.11 — SO = when the function supported by the database is no longer performed by government

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

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

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

2.1 Primary Number and Title

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

2.2 Scope Note

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

2.3 Cross References

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

2.4 Records Retention and Disposition Schedule

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

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

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

2.4.1 Active Retention Period Column

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

Active records are those that are used frequently and therefore need to be retained and maintained in the office space and equipment of the user.

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

2.4.2 Semi-active Retention Period Column

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

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

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

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

2.4.3 Final Disposition Column

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

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

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

2.5 Office of Primary Responsibility (OPR)

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

For each primary, *ORCS* distinguishes between the office 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.

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

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

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

2.6 Secondary Number and Title

Secondary numbers and titles designate specific series or groupings of records relating to the function covered by the primary. Secondary titles describe specific types of records and secondary numbers link them to the records retention and disposition schedule. The two-digit secondary number is added to the five-digit primary number to form a complete file number, for example, 23120-04.

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

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

2.6.1 Reserved Secondaries

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

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

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

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

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

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

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

2.6.2 Secondaries -02 to -19 (subject secondaries)

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

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

2.6.3 Case File Secondaries (-20 and higher)

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

registrant case files) and -30 (the Extraterrestrial Registration System) are case file secondaries.

2.6.4 Coded Series

Case file secondaries are usually subdivided through the use of codes. A code identifies the specific person, event, project, or other entity covered by the file. Codes can take the following forms: proper names; alphanumeric codes developed by BC Archives or alphanumeric codes developed by the ministry or agency using the *ORCS*. For BC Archives codes see *ARCS* Appendices A-H; ministry codes, if there are any, can be found in *ORCS* appendices I on. Consult your Records Officer if you wish to develop an appendix for your own set of codes.

In special cases, subject files may also be coded to facilitate retrieval (e.g., studies on different aspects of one interprovincial agreement). Coded subject files usually consist of many different files, each dealing with a different aspect of the same subject. Codes may take the form of names, titles, abbreviations, or other alphabetic codes.

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

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

2.7 Key of Terms (Abbreviations in Footer)

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

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

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

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

w = week

m = month

y = year

CY = Calendar Year (1 January to 31 December)

FY = Fiscal Year (1 April to 31 March)

SO = Superseded or Obsolete

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

i) Routine Records

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

The most common form of delegated disposition authority is:

<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, especially for non-OPR records. It delegates the entire responsibility for retention and disposition of the records to the ministry or agency responsible for them. Records with the above retention and disposition schedule may be destroyed when no longer required for operational purposes. In the sample primary, non-OPR policy and procedures files (secondary -00) are routine records which are designated SO.

For information on destruction services, contact your Records Officer.

ii) Specific Definition of SO

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

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

NA = Not Applicable

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

nil = no semi-active retention period

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

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

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

2.7.2 Terms Used in the Final Disposition Column

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

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

FR = Full Retention

"FR" means that a government archivist has determined that all of the records covered by a secondary have enduring value. BC Archives, also known as the government archives, preserves records designated FR in their entirety. Under the terms of full retention, the archivist responsible may destroy unnecessary duplicates, publications, waste and scrap materials, ephemera (often published material of short-term value), and other items which are not an integral part of the record series. The reasons for full

retention are explained in an "FR =" statement. In the sample primary, extraterrestrial reports and statistics (secondary -03) are FR "because they document and analyse extraterrestrial visitors to the province."

SR = Selective Retention

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

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

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

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

DE = Destruction

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

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

NA = Not Applicable

See explanation of NA in 2.7.1.

2.7.3 Other Terms

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

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

2.8 Freedom of Information and Protection of Privacy Flags

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

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

For further information about FOI issues, see 3.10.

2.9 Explanatory Notes

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

2.9.1 Qualifiers

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

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

2.9.2 Other Notes

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

- OPR =** This note provides the name of the office of primary responsibility if it is different from the primary default OPR. See discussion of OPR in section 2.5.
- SO =** This note explains when a file designated SO should be closed. See discussion of SO in section 2.7.1.
- ##y =** This note gives reasons for active and/or semi-active retention periods which are longer than seven years. In the sample primary, there is a “303y =” note under secondary -20.
- NA =** This note explains why the usual active, semi-active, or final disposition designation does not apply, usually because records have been reclassified or transferred to another agency. See discussion of NA in section 2.7.1.
- SR/FR/DE =** These notes explain why records are being selectively or fully retained, or (if not self-evident) why they are being destroyed. See discussion of these notes in section 2.7.2.
- FOI:** This note explains issues of confidentiality relating to the records. See discussion of the FOI note in section 2.8.
- NOTE:** This note provides any other useful information related to the scope of the secondary, such as history of the records, volume of the records, filing procedures, whether there is an ongoing accession number, or location of copies. In the sample primary, secondary -20 has a note specifying that when the files go offsite, they will be stored “under ongoing RCS accession number 99-9111.” For discussion of ongoing accession numbers, see section 3.8.1.

2.10 Media Designations

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

When records are held in several different media formats each media version must be identified and scheduled under the same *ORCS* secondary, unless the versions do not contain identical information. The media designation is expressed as a qualifier under the secondary title. Retention periods are specified for each media designation, unless the primary's default retention periods apply. In the sample primary, the Extraterrestrial Registration System (secondary -30) is identified in a qualifier as an electronic database.

Some media designations used in *ORCS* are: hardcopy, microfilm, microfiche, mylar-based, COM, COMfiche, optical disk, electronic database, electronic image, and electronic record.

A media designation is not required for a secondary covering a series which includes records of different media in the same file, for example photographs, plans, and textual records. This information is conveyed, instead, in an "(includes ...)" qualifier or in the "Includes ..." sentence of the scope note. All the records in a file are covered by the same retention schedule, regardless of media. Related information in an electronic database is subject to the same schedule; for example, in the sample primary, registration information in the ERS (secondary -30) concerning a specific extraterrestrial can be purged when the relevant extraterrestrial registrant case file (under secondary -20) becomes inactive.

2.11 Vital Records Flags

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

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

PART 3

ORCS AND AN EFFECTIVE RECORDS MANAGEMENT SYSTEM

3.1 The Purpose of ORCS

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

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

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

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

3.2 Records and Recorded Information

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

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

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

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

The *Document Disposal Act* establishes procedures for the approval of the records schedules and classification systems developed by BC Archives, government ministries, and other government agencies. This *ORCS* was reviewed by BC Archives staff, your

executive, the Public Documents Committee, and the Select Standing Committee on Public Accounts (commonly called the Public Accounts Committee). It was then approved by resolution of the Legislative Assembly. That resolution established this *ORCS* as the retention and disposition schedule for the operational records of the Pharmacare Division. This means that this *ORCS* is a legally binding document.

3.3 An Effective Records Management System

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

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

3.4 The Classification System

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

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

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

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

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

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

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

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

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

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

3.4.1 Staff Responsibilities and Procedures

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

BC Archives 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.

3.4.2 Classifying Records

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

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

than one page, only photocopy the first page and cross-reference it to the location of the complete document.

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

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

a) Alphabetic Subject Index

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

b) Broad Subject Approach

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

3.5 The File List

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

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

The file list is also a ready retrieval guide. For the frequent user, it indicates which files have been opened and quickly directs the user to the proper primary and secondary. If

a file does not appear on the current file list, a file may be opened under the appropriate primary and secondary. File lists should be regularly updated.

3.6 Other Finding Aids

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

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

The index 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 commonly used subjects or forms, the index allows rapid access into the classification system in order to determine a primary number.

As a further aid in the retrieval and classification of administrative and operational records, BC Archives has compiled lists of standard codes currently used by various ministries and agencies of the British Columbia Government. These codes are included in appendices to the *Administrative Records Classification System (ARCS)* manual. For information about using coded series, see 2.6.4.

See 2.6.4 for further information about coded series.

3.7 The Scheduling System

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

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

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

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

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

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

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

3.8 Filing and Maintenance Procedures

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

The basic activities involved in filing and maintenance are:

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

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

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

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

3.8.1 File Maintenance

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

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

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

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

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

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

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

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

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

Minimize misfiling in the following ways:

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

3.8.2 File Circulation

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

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

3.9 Boxing and Transfer Instructions

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

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

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

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

3.9.1 Accession Numbers

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

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

Box Number: 91-0123-01

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

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

a) One-time Accession Numbers

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

b) Ongoing Accession Numbers (OANs)

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

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

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

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

An ongoing accession number differs from a one-time number in that box numbers within an accession are always consecutive. For example, if box

numbers 91-0123-1 to 91-0123-10 were transferred in July 1991 and ten more boxes were ready for transfer in October 1992, the box numbers used in October 1992 would begin with the next unused number (i.e., in October 1992 numbers 91-0123-11 to 91-0123-20 would be used).

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

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

3.9.2 Transfer of Records to Off-Site Storage

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

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

a) Arranging Boxes

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

1. Do not put files covered by different retention and disposition schedules (*ARCS* - 100001 or *ORCS*) in the same box.
2. Box records scheduled for destruction (DE) separately from records scheduled for selective retention (SR) or full retention (FR).
3. Box SR records separately from FR. Contact your Records Officer if your office does not generate a sufficient volume of records to allow for full separate boxes.
4. If records have no scheduled semi-active retention period and a scheduled final disposition of SR or FR (e.g., SO, nil, SR), box them separately from all other records. Arrange the files within the box by primary and secondary number. Contact your Records Officer if your office does not generate a sufficient volume of records to allow for full separate boxes.
5. Place records of the same or similar retention periods and date ranges in the same box.

6. Whenever possible, box records of the same type together (e.g., case file series or large subject file series should be boxed together).
7. If records have different semi-active retention periods, box first by retention period and then within retention period by primary and secondary numbers.

b) Box Numbering

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

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

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

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

3.10 Freedom of Information and Protection of Privacy

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

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

3.11 Electronic Records and the Information System Overview

Information that has been created, collected, maintained and/or retained by a government ministry or agency is classified and scheduled within *ORCS*, regardless of media. 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). See the ISO section of this *ORCS*.

The Information System Overview (ISO) Section is an integral part of any *ORCS* which covers electronic records. The Information System Overview (ISO) describes an electronic database for three main purposes:

- to provide a high-level description of the information content of the database, in other words a map of the data managed by the system
- to document the records-keeping context of the database by identifying how the database and related records are classified in the *ORCS* (including inputs and outputs)
- to provide description of the technical aspects of the database (such as the hardware, software, and users)

The ISO section of the *ORCS* ensures that electronic records are properly identified, documented, and scheduled.

Electronic records are scheduled as secondaries like all other forms of records, as well as being documented in the ISO. An electronic database appears under the primary covering the function or activity to which it relates; for example, the Extraterrestrial Registration System (ERS) appears as secondary -30 in the sample primary. A database related to functions covered by an entire section of the *ORCS* will appear in the section default primary, or if it relates to the entire *ORCS*, in the *ORCS* default primary. Information in the database relating to specific entities is covered by the schedules relating to the relevant case files; for example, the registration information in the ERS concerning a specific extraterrestrial can be purged when the relevant extraterrestrial registrant case file (under secondary -20) becomes inactive.

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

3.12 Implementation of *ORCS*

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

3.13 Advisory Services

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

- project planning and coordination assistance
- file conversions
- a records management training program
- selection of filing equipment and supplies
- assistance with retrieval systems, indexes, file tracking, and active records control
- off-site storage and retrieval of semi-active records
- disposition of inactive records
- transfer of permanently valuable records to archival custody
- automation of records management functions

3.14 Amendment and Update of *ORCS*

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

Effective maintenance depends upon:

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

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

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

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

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

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

OPERATIONAL RECORDS CLASSIFICATION SYSTEM

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

A SA FD

SECTION 1

ADULT MENTAL HEALTH SERVICES

PRIMARY NUMBERS

3 6 0 0 0 - 3 6 9 9 9

Section 1 covers records relating to policy and program development and evaluation concerning the care and treatment of adults with acute and chronic mental illnesses, as specified under the *Mental Health Act* (RSBC 1996, c.288). Mental health services for adults include clinical mental health services, psychiatric services, rehabilitation care services and residential and housing services. Also included are records relating to mental health planning and implementation projects, mental health promotion and education and mental health regional liaison. Responsibility for mental health treatment and case management was regionalized throughout the Province of British Columbia effective April 1, 1997. Records relating to liaison with community health councils, community health societies and regional health boards are found in this section.

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

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

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

OPERATIONAL RECORDS CLASSIFICATION SYSTEM

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A SA FD

36000 – ADULT MENTAL HEALTH SERVICES - 36999

PRIMARY NUMBERS AND PRIMARY SUBJECTS

36000	ADULT MENTAL HEALTH SERVICES – GENERAL
36100	CLINICAL MENTAL HEALTH SERVICES
36200	MENTAL HEALTH PLANNING AND IMPLEMENTATION
36300	MENTAL HEALTH PROMOTION EDUCATION AND ADVOCACY
36400	MENTAL HEALTH REGIONAL LIAISON
36500	PSYCHIATRIC SERVICES AND ISSUES
36600	REHABILITATION AND FAMILY SUPPORT SERVICES
36700	RESIDENTIAL AND HOUSING SERVICES

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A SA FD

36000 ADULT MENTAL HEALTH SERVICES – GENERAL

Records not shown elsewhere in the adult mental health services section which relate generally to policy and program development and evaluation concerning the care and treatment of clients with acute and chronic mental illnesses as specified under the *Mental Health Act* (RSBC 1996, c. 288). This primary also relates to the development and review of standards and guidelines for use in the delivery, practice and provision of mental health programs including clinical mental health services, psychiatric services, forensic psychiatric services, rehabilitation services, and residential services. Includes reports, correspondence and memoranda.

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

For legislation development and review, see ARCS primaries 120 to 145.

For legal issues, see ARCS primary 350.

Unless otherwise specified below, the ministry OPR (Adult Mental Health Policy Division) will retain these records for:

CY+2y 2y 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

5y = This allows for coherent policy development, consistent program and performance evaluation, and ongoing consultation regarding specific issues.

(Continued on next page)

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A SA FD

36000 ADULT MENTAL HEALTH SERVICES – GENERAL (Continued)

FR = The government archives will fully retain for their evidential values all policy and procedure files created by offices having primary responsibility for policy and procedure development and approval. Draft and duplicate materials that hold no evidential values may be purged and discarded.

-01 General

-02 Adult mental health approved ministerial standards and guidelines
(arrange alphabetically by standard or guideline)

SO+1y 9y FR

SO = when new or revised standards or guidelines are issued

10y = This retention period ensures that standards and guidelines are maintained for review and analysis.

FR = The government archives will retain adult mental health approved ministerial standards and guidelines for their significant evidential and informational values. These records document policies, standards and guidelines for the provision of adult mental health services.

-03 Adult mental health standards and guidelines from other jurisdictions
(arrange alphabetically by jurisdiction then title)

SO nil DE

SO = when the records are no longer current

(Continued on next page)

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A SA FD

36000 ADULT MENTAL HEALTH SERVICES – GENERAL (Continued)

-20	Adult mental health standard and guideline development files (arrange alphabetically by standard or guideline)	SO+1y	2y	DE
	SO = when a new or revised standard or guideline has been issued			
	3y = This retention period ensures that records are maintained for consultation and review.			
-30	Adult mental health standard and guideline review files (arrange alphabetically by standard or guideline)	SO+1y	2y	FR
	SO = when the standard or guideline has been reviewed and when all issues pertaining to the review outcome have been resolved.			
	3y = This retention period ensures that records are maintained for evaluation of development process.			
	FR = The government archives will retain adult mental health standard and guideline review files for their significant evidential and informational values. These records document the review and evaluation of policies, standards and guidelines for the provision of adult mental health services.			
-40	Adult mental health reference materials	SO	nil	DE
	SO = when the records are no longer current			

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A SA FD

36100 CLINICAL MENTAL HEALTH SERVICES

Records relating to the development and review of policies, programs, and service models for clinical mental health services. This primary includes the development of protocols and service agreements with external agencies for the delivery of acute, specialized and emergency mental health services, including mental health services for the elderly. Records also relate to the provision of professional consultation services to other government agencies, health authorities, service providers, community agencies and associations regarding clinical mental health services. Includes questionnaires, surveys, reports, statistical data, correspondence and memoranda.

For adult mental health program planning and implementation, see primary 36200.

For records relating to complaints regarding a clinical treatment or the type of services available, see primary 36400.

For legislation development and review, see ARCS primaries 120 to 145.

Unless otherwise specified below, the ministry OPR (Adult Mental Health Policy Division) will retain these records for:

CY+2y 2y DE

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

SO nil DE

-00 Policy and procedures

- OPR

SO 5y FR

- non-OPR

SO nil DE

-01 General

(Continued on next page)

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A SA FD

36100 CLINICAL MENTAL HEALTH SERVICES (Continued)

- 20 Clinical mental health service issue, study and planning files SO+1y 4y SR
(covers consultations with mental health specialists, medical authorities, government and other agencies on all issues relating to clinical mental health services [i.e. chronic care, clinical guidelines, dual diagnosis, eating disorders, HIV/AIDS, issues affecting women, residential historical abuse, sexual abuse, services for aboriginals, suicide] that may lead to research and development of plans and initiatives for progressive clinical mental health services including partnerships in clinical mental health service delivery management)
(arrange alphabetically by issue, study or planning initiative)

SO = when the issue, study or planning process is resolved, completed, implemented or revised.

5y = This retention period ensures the records are retained for ongoing operational and reference requirements.

SR = The government archives will selectively retain these files for their evidential and informational values. Files will be selected by retaining files that document significant issues, studies and plans. Significant files are those that result in new programs, guidelines or plans, or result in important changes to existing plans, guidelines and programs, or that address issues that have great social or medical importance. At the time of transfer of files to semi-active storage, program staff will identify files for retention and will box them separately from files for destruction.

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36200 MENTAL HEALTH PLANNING AND IMPLEMENTATION

(Continued on next page)

SECT 1 - 8

OPERATIONAL RECORDS CLASSIFICATION SYSTEM

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A SA FD

36200 MENTAL HEALTH PLANNING AND IMPLEMENTING (Continued)

-20 Mental health services planning and implementation files SO+1y 4y FR
(covers consultations with other government agencies, health authorities, service providers, community agencies and associations, and includes evaluations of existing or proposed mental health programs and relevant research) (arrange alphabetically by project title or program area)

SO = upon submission of final report and/or final implementation of plan

5y = This retention period allows for a coherent planning process.

FR = The government archives will fully retain all mental health services planning and implementation files for their significant evidential and informational values. These records document consultation with the public and a wide range of government and non-government agencies, and the evaluation of existing or proposed mental health programs.

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A SA FD

36300 MENTAL HEALTH PROMOTION, EDUCATION AND ADVOCACY

Records relating to the promotion of good mental health for the people of British Columbia, and the establishment of partnership education and training programs to promote understanding of mental illness. Records also relate to advocacy for persons with a mental illness, as well as the promotion of good mental health practices, public education initiatives and other mental health projects. Also included in this primary are records relating to mental health training packages that are designed to assist non-government organizations, service providers, and representatives from other government agencies to gain the skills necessary to work effectively with individuals with a mental illness. Includes questionnaires, promotion and training session notes, brochures, pamphlets, journal articles, other resource material and related correspondence and memoranda.

For advertising, see ARCS primary 298.

For audio-visual production, see ARCS primary 306.

For committees, commissions, councils, see ARCS primaries 200 to 206.

For general staff training and development, see ARCS primaries 1730 to 1740.

For lectures and speeches, see ARCS primary 324.

For library services, see ARCS primaries 360 to 368.

For media releases, see ARCS primary 330.

For partnerships in clinical mental health service delivery management, see primary 36100.

For public relations projects, see ARCS primary 336.

For publication of books, brochures and pamphlets see ARCS primaries 308 to 312.

Unless otherwise specified below, the ministry OPR

(Adult Mental Health Policy Division) will retain these records for:

CY+2y 2y DE

(Continued on next page)

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A SA FD

36300 MENTAL HEALTH PROMOTION, EDUCATION AND ADVOCACY (Continued)

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

SO nil DE

-00	Policy and procedures	- OPR	SO	5y	FR
		- <u>non-OPR</u>	<u>SO</u>	<u>nil</u>	<u>DE</u>
-01	General				
-02	Mental Health Advocate				
-03	Mental Health Info Line				
-04	Mental health training institutions				
-05	Mental Health Advocate annual report		SO	nil	FR

SO = when the report is no longer required for ongoing
operational or reference requirements

FR = The government archives will fully retain the
Mental Health Advocate annual report for its
evidential and informational values. These
reports summarize activities of the mental health
advocate and the major issues and cases dealt
with during the year.

-20	Mental health promotion case files (includes correspondence and copies of contracts and covers research and consultation with other sources on mental health promotion and awareness, including Mental Health Week, National Depression Screening Day and other mental health promotional initiatives) (arrange alphabetically by name of mental health promotional project)		SO+1y	4y	DE
-----	--	--	-------	----	----

SO = when project planning completed and
implemented

(Continued on next page)

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A SA FD

36300 MENTAL HEALTH PROMOTION, EDUCATION, AND ADVOCACY (Continued)

5y = This retention period allows for a coherent approach to the development and delivery of promotional consultations, initiatives, projects and project evaluations within a specific geographical area as well as allowing time for the review of the initiative, and the development and implementation of the project.

DE = These files can be destroyed because they contain published materials and mental health promotional materials distributed by national organizations.

-30	Mental health services training packages (includes correspondence and copies of contracts) (arrange alphabetically by training subject title)	SO	2y	DE
-----	---	----	----	----

SO = when the training package is revised or discontinued

2y = This retention period allows for a coherent approach to the development and delivery of training program packages.

DE = These files can be destroyed because they do not contain curriculum development records. The ministry funds curriculum development through contractors for courses provided through non-government organizations and educational institutions.

(Continued on next page)

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A SA FD

36300 MENTAL HEALTH PROMOTION, EDUCATION, AND ADVOCACY (Continued)

NOTE: Education materials include textbooks relating to mental health issues for practitioners' reference, and guides to interpreting the *Mental Health Act*.

-40 Mental health advocacy issue, study or project files
(arrange alphabetically by issue, study or project) SO+1y 4y SR

SO = upon conclusion of the project or study or
 resolution of the issue

5y = This retention period ensures that mental health
 advocacy issue, study or project files are retained
 for ongoing operational and reference
 requirements.

SR = The government archives will selectively retain
 mental health advocacy issue, study or project
 files for their evidential and informational values.
 Selection will be limited to significant or long-term
 special projects, studies or issues. At the time of
 transfer to semi-active storage, the director or
 manager will indicate which files should be
 permanently retained at the end of their semi-
 active period. These files will be boxed
 separately from other records at the time of
 transfer.

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A SA FD

36400 MENTAL HEALTH REGIONAL LIAISON

Records relating to the transfer of authority for the provision of Mental health treatment and case management to regional agencies, including community health councils, community health services societies and regional health boards. This primary includes records relating to the ministry's responsibility in maintaining the policy, legislative and organizational framework for health services in the regions, funding the health care system, defining core programs and services to be provided, and ensuring coordination on system-wide or inter-regional issues. Records also relate to tracking and auditing the quality and accessibility of care and providing information management standards and guidelines for the collection and sharing of information. Records relating to a client's complaints regarding their case worker, clinical treatment or the services available to them, or correspondence from their friends or families will be found in this primary. Correspondence from the general public relating to mental health issues or specific clients will also be found here. Includes reports, questionnaires, surveys, statistical and planning initiative correspondence and memoranda.

NOTE: Adult mental health direct treatment services and case management were regionalized effective April 1, 1997.

For minister's referral letters (MRLs), see ARCS primary 280.
For records relating to development and implementation planning of policies, guidelines, objectives, and initiatives relating to the Mental health program, see primary 36200.
For standard and guideline development and review, see primary 36000.

Unless otherwise specified below, the ministry OPR (Adult Mental Health Policy Division) will retain these records for:

CY+2y 2y DE

(Continued on next page)

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VR = Vital Records

OPERATIONAL RECORDS CLASSIFICATION SYSTEM

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			<u>A</u>	<u>SA</u>	<u>FD</u>
36400	<u>MENTAL HEALTH REGIONAL LIAISON</u> (Continued)				
	Except where <u>non-OPR retention periods</u> are identified below, all other ministry offices will retain these records for:		<u>SO</u>	<u>nil</u>	<u>DE</u>
-00	Policy and procedures	- OPR	SO	5y	FR
		- <u>non-OPR</u>	<u>SO</u>	<u>nil</u>	<u>DE</u>
-01	General				
-20	Complaint correspondence case files (covers correspondence received from clients, client's friends and families, or the general public which relate to clinical treatment issues or social support issues) (arrange alphabetically by issue or client surname)		SO+2y	5y	FR
	SO = when the issue has been resolved, or when the client is deceased or no longer under the care of the ministry				
	7y = This retention period ensures that complaint correspondence case files are retained for ongoing operational and reference requirements.				

(Continued on next page)

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

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

SO = Superseded or Obsolete
DE = Destruction
SR = Selective Retention
FR = Full Retention
FOI = Freedom of Information/Privacy
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A SA FD

36400 MENTAL HEALTH REGIONAL LIAISON (Continued)

FR = The government archives will fully retain all complaint correspondence case files for their significant evidential and informational values. These files document the resolution of clients' complaints and issues, related to services or to service providers that could not be resolved at the health authority level. In these cases, Adult Mental Health Services acts as a mediator or may refer the complainant to another ministry, a joint ministry committee, the Ombudsman, or an external regulatory body such as the British Columbia College of Physicians and Surgeons or the Registered Nurses Association of British Columbia.

These records may also be required for up to 30 years after closure of the file to provide ministry accountability in legal cases regarding treatment of clients.

NOTE: 1. Clinical treatment issues pertain to clinical services or medications provided. Social support issues pertain to housing and income assistance.
2. A complaint correspondence case file will be arranged by client surname as a result of a high profile issue surrounding an individual client.

(Continued on next page)

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A SA FD

36400 MENTAL HEALTH REGIONAL LIAISON (Continued)

- 30 Community health councils, community health services societies, and regional health board case files (includes program priorities and regional mental health plans and related historical funding information, program directives, policies, standards and performance expectations, ministry accountability requirements, audit reports, surveys, reports, questionnaires, correspondence and memoranda) (arrange alphabetically by name of community health council, community health services society, or regional health board)
- CY+4y 5y FR

10y = This retention period allows for a coherent program planning and review process.

FR = The government archives will fully retain community health councils, community health service societies, and regional health board case files for their significant evidential and informational values. These records document executive interaction between Adult Mental Health Policy Division and regional and community boards and societies including plans, funding, directives, audits, reporting and accountability.

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A SA FD

36500 PSYCHIATRIC SERVICES AND ISSUES

Records relating to the monitoring and evaluation of the delivery of psychiatric services by the community health councils, community health services societies, and regional health boards, including clinical quality management, psychiatric care resources, and the recruitment and accessibility of qualified psychiatric staff. Records also relate to recommendations made by a coroner's inquest relating to the affect of psychiatric services on a mental health related death. This primary includes records relating to the diagnosis and treatment options for various mental illnesses, such as false memory syndrome and multiple personality disorder. Includes correspondence and memoranda, and psychiatric service proposals.

Unless otherwise specified below, the ministry OPR (Adult Mental Health Policy Division) will retain these records for:

CY+2y 2y DE

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

SO nil DE

-00	Policy and procedures	- OPR	SO	5y	FR
		- <u>non-OPR</u>	<u>SO</u>	<u>nil</u>	<u>DE</u>

-01 General

-02 Psychiatric resource recruitment and staffing ratios

-20 Coroners' inquiry issues
 (includes recommendations resulting from a coroner's inquiry)
 (arrange alphabetically by issue)

SO+1y 4y FR

SO = when the records are no longer required for current operational and reference requirements

(Continued on next page)

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A SA FD

36500 PSYCHIATRIC SERVICES AND ISSUES (Continued)

5y = This retention period ensures that coroners' inquiry issues are retained for ongoing operational and reference requirements.

FR = The government archives will fully retain coroners' inquiry issues for their significant evidential and informational values. These records document inquiries from coroners regarding the outcome of investigations of high profile deaths and recommendations for action as well as responses from Adult Mental Health Policy Division.

-30	Psychiatric services issues (covers records relating to all aspects of psychiatric disorders, such as false memory syndrome and multiple personality disorder.) (arrange alphabetically by psychiatric service issue)	SO+1y	4y	DE
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SO = when records are no longer current or valid

5y = This retention period allows for a consistent planning process.

DE = These records can be destroyed as they contain only reference materials on various mental health issues and conditions. They do not document activities or research by ministry staff.

(Continued on next page)

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A SA FD

36500 PSYCHIATRIC SERVICES AND ISSUES (Continued)

-40 Psychiatric services project, program and initiatives case files SO+1y 4y FR
(covers records relating to development and implementation of projects, programs, and initiatives such as tele mental health)
(arrange alphabetically by project, program or initiative)

SO = upon completion of the project, implementation of the program or initiative

5y = This retention period allows for a consistent planning and review process.

FR = The government archives will fully retain all mental health psychiatric services project, program and initiative case files for their evidential and informational values. These records document development, requirements and accountability for psychiatric services.

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A SA FD

36600 REHABILITATION AND FAMILY SUPPORT SERVICES

Records relating to the development and review of policies and programs for the provision of community rehabilitation, outreach, and support services to adults with chronic mental illness. Services include club model programs, life-skills training, work centre programs, supported work programs, education and recreation programs, therapeutic volunteer placement and pre-vocational assessment. Support services provided to family and friends who support a mental health client on a daily basis are covered by this primary. Records also relate to the provision of direction, expert advice, and consultation services to government agencies, service providers, and community agencies and associations regarding mental health rehabilitation services. Includes surveys, questionnaires, statistical and planning initiative reports, correspondence and memoranda.

For records relating to contract management, see ARCS primaries 1060 to 1080.

For records relating to non-rehabilitation residential and housing services, see primary 36700.

For minister's referral letters (MRLs), see ARCS primary 280.

Unless otherwise specified below, the ministry OPR (Adult Mental Health Policy Division) will retain these records for:

CY+2y 2y DE

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

SO nil DE

-00	Policy and procedures	- OPR	SO	5y	FR
		- <u>non-OPR</u>	<u>SO</u>	<u>nil</u>	<u>DE</u>
-01	General				

(Continued on next page)

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A SA FD

36600 REHABILITATION AND FAMILY SUPPORT SERVICES

(Continued)

- 30 Rehabilitation and family support service program development files SO+1y 4y FR
(includes program directives, policies, standards and performance expectations, ministry accountability requirements, questionnaires, statistics, case studies, correspondence, memoranda and records relating to consultation with rehabilitation specialists)
(arrange alphabetically by name of rehabilitation or family support program)
- SO = upon submission of final report and/or implementation of program
- 5y = This retention period allows for a coherent program planning and review process.
- FR = The government archives will fully retain rehabilitation and family support service program development files for their significant evidential and informational values. These records document the development of rehabilitation and family support service programs, as well as policies and standards, consultation with specialists, and the requirements for accountability.

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A SA FD

36700 RESIDENTIAL AND HOUSING SERVICES

Records relating to the development and review of policies and programs for the provision and management of community residential and housing services provided by provincial and private facilities. Residential and housing services include semi-independent living housing units, licensed residential care facilities, B.C. Housing Management Commission subsidized housing units, family care homes, short-stay facilities, group home residences, emergency and crisis housing. Records also relate to issues relating to security at forensic facilities, building/facility replacement, agency service issues (e.g. staffing levels and management of the facility), and issues pertaining to residential/historical abuse in a facility, mandatory sterilization, and the use of specific drugs. Includes surveys, questionnaires, statistical and planning initiative reports, correspondence and memoranda.

For records relating to capital planning and capital funding building projects, see Facility Design and Construction ORCS primaries 50000 to 50800.

For records relating to community rehabilitation, outreach, and support services, see primary 36600

For records relating to contracts, see ARCS 1060 to 1080.

NOTE: All homes providing care for three or more persons are subject to the provisions of the *Community Care Facility Act* (RSBC 1996, c. 60). Homes providing care for one or two persons are identified as family care homes.

NOTE: Crisis care refers to housing an individual for short term assessment and treatment.

(Continued on next page)

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A SA FD

36700 RESIDENTIAL AND HOUSING SERVICES (Continued)

Unless otherwise specified below, the ministry OPR
(Adult Mental Health Policy Division) will retain these records for: CY+2y 2y DE

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

-00	Policy and procedures	- OPR	<u>SO</u>	<u>nil</u>	<u>DE</u>
		- <u>non-OPR</u>	<u>SO</u>	<u>5y</u>	<u>FR</u>
-01	General		<u>SO</u>	<u>nil</u>	<u>DE</u>
-02	Residential services associations				

-20	Residential and housing service case files (includes residential care service agencies, associations and facilities assessments, historical information, caseload and bed utilization, facility monitoring, reports, questionnaires, correspondence and memoranda) (arrange alphabetically by name of residential and housing service agency, association or facility)		SO+1y	29y	SR
-----	--	--	-------	-----	----

SO = when agency, association or facility contract
terminated or facility closed

30y = This retention period ensures that residential and
housing service case files are retained until the
expiration of the right to initiate a legal action
specified under the *Limitation Act* (RSBC
1996, c. 266, s. 8(1)(c)).

(Continued on next page)

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A SA FD

36700 RESIDENTIAL AND HOUSING SERVICES (Continued)

SR = The government archives will selectively retain residential and housing services case files for their evidential and informational values. This will be done by retaining every fifth box of files. This will ensure that a random selection of files is retained covering all types of service providers and issues.

-30	Residential and housing service planning and development initiative files (includes program directives, policies, standards and performance expectations, ministry accountability requirements, questionnaires, statistics, progress reports, case studies, correspondence and memoranda) (arrange alphabetically by name of residential and housing service initiative)	SO+1y 4y FR
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SO = upon submission of final report and/or final implementation of initiative

5y = This retention period allows for a coherent planning process.

FR = The government archives will fully retain residential and housing service planning and development initiative files for their significant evidential and informational values. These records document development, requirements and accountability for residential and housing services.

NOTE: Residential and housing service initiatives include the Housing Outreach Program (HOP) for low risk mentally disordered offenders.

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A SA FD

SECTION 2

TREATMENT AND CASE MANAGEMENT SERVICES

PRIMARY NUMBERS

3 7 0 0 0 - 3 7 9 9 9

Section 2 covers records relating to the treatment and case management of mental health clients as specified under the *Mental Health Act* (RSBC 1996, c. 288). This includes records relating to: client registration, community outreach services, emergency response services, inpatient clinical assessment and medication monitoring, pharmacy services, and assessment and treatment of adults. This section covers records opened prior to April 1, 1997 when responsibility for mental health treatment and case management was transferred to health authorities. These records remain in the legal custody of the Ministry of Health and Ministry Responsible for Seniors and will be transferred through the Ministry Records Officer. Health Authorities have legal custody of records created after March 31, 1997.

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A SA FD

37000 - TREATMENT AND CASE MANAGEMENT SERVICES - 37999

PRIMARY NUMBERS AND PRIMARY SUBJECTS

37000	TREATMENT AND CASE MANAGEMENT SERVICES - GENERAL
37100	CLIENT CASE MANAGEMENT
37300	EMERGENCY RESPONSE SERVICES
37400	INPATIENT CLINICAL ASSESSMENT AND MEDICATION MONITORING
37500	MENTAL HEALTH PHARMACY SERVICES
37700	REHABILITATION SERVICES
37800	RESIDENTIAL SERVICES - GENERAL
37820	- PROVIDER AGREEMENTS AND PAYMENT AUTHORIZATION
37840	- SUBSIDIZED HOUSING ASSESSMENT

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A SA FD

37000 TREATMENT AND CASE MANAGEMENT SERVICES - GENERAL

Records not shown elsewhere in the treatment and case management services section which relate generally to the provision of treatment and case management for mental health clients. This includes the arrangement for placement of clients into residential care, and the provision of client assessment and treatment services. Includes reports, statistics, correspondence and memoranda.

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

For clinical mental health services planning and development, see primary 36100.

For client registration, see primary 37100.

For psychiatric services and issues, see primary 36500.

For rehabilitation care services program development, see primary 36600.

For residential care services planning and development initiative files, see primary 36700.

Unless otherwise specified below, the ministry OPR (individual mental health centers) will retain these records for:

CY+1y 2y DE

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

SO nil DE

-00 Policy and procedures

- OPR

SO 5y FR

- non-OPR

SO nil DE

(continued on next page)

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A SA FD

37000 TREATMENT AND CASE MANAGEMENT SERVICES - GENERAL (continued)

FR = The government archives will fully retain for their evidential values 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 values may be purged and discarded.

-01 General

4y = This ensures the primary operational requirements of the creating agency are met.

-02 Mental health outpatient appointment sheets and diaries

CY+1y 29y DE

30y = This ensures that mental health outpatient appointment sheets and diaries are retained until the expiration of the right to initiate a legal action specified under the *Limitation Act* (RSBC 1996, c. 266, s. 8(1)(c)).

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A SA FD

37100 CLIENT CASE MANAGEMENT

Records relating to the provision of outpatient mental health assessment, registration, counselling, treatment, hospital liaison, outreach, rehabilitation, residential and supported housing services to adult, including elderly, clients. Includes clinical case files, client reference cards, reports, correspondence and memoranda.

Unless otherwise specified below, the ministry OPR (individual mental health centers) will retain these records for:

CY+1y 2y 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
-00 Policy and procedures - non-OPR

SO 5y FR
SO nil DE

-01 General
-02 Alzheimer's disease
-03 Community geriatric teams
-04 Mental health referral/intake logs
-05 Waitlist management

CY+2y nil DE

PIB -20 Adult mental health client index cards
(arrange alphabetically by client surname)

SO NA NA

SO = when client file is transferred to storage

NA = Place the client index card within the corresponding client file when the file is placed in offsite storage.

(continued on next page)

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A SA FD

37100 CLIENT CASE MANAGEMENT (continued)

PIB -30 Adult mental health client case files SO+2y 28y SR

(paper files)
(includes intake referral forms, demographic data, caution alerts, incident reports, consultation reports, laboratory reports, medication record sheets, referral for free medication (HLTH 3497), pharmacy order forms, prescriptions, release of information authorizations, assessment reports, treatment plans, progress notes, termination summaries, client registrations, telephone messages, correspondence and memoranda)
(arrange alphabetically by client surname)

SO = upon 14 days of termination of service or after three months of client inactivity.

30y = This retention ensures that adult mental health client case files are retained until the expiration of the right to initiate a legal action specified under the *Limitation Act* (RSBC 1996, c. 266, s. 8(1)(c)).

SR = The government archives will selectively retain adult mental health client case files for their evidential and informational values. These files will be selected by retaining one box of files per year from each of the following district mental health centers: Salmon Arm, White Rock/South Surrey, Duncan, Quesnel and Cranbrook. The boxes will be selected in such a manner that, over time, the full alphabetical range of client surnames are represented from each of five mental health centers.

(electronic files) SO nil DE

SO = when information is no longer required

(continued on next page)

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A SA FD

37100 CLIENT CASE MANAGEMENT (continued)

NOTE: The paper files contain the most comprehensive version of this record series.

PIB	-40	Adult unregistered referrals (includes information on individuals referred to a mental health centre but not registered on the Client/Patient Information Management System) (arrange alphabetically in chronological batches)	CY+2y	28y	DE
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30y = This retention period ensures that adult unregistered referrals are retained until the expiration of the right to initiate a legal action specified under the *Limitation Act* (RSBC 1996, c. 266, s. 8(1)(c)).

NOTE: If client is registered on the Client/Patient Information Management System, a coded case file is opened under either secondary -30 or -40.

PIB	-50	Client/Patient Information Management System (CPIM) (electronic database)	SO	nil	DE
-----	-----	--	----	-----	----

SO = when the function supported by the database is no longer performed by government

NOTE: For information on the Client/Patient Information Management System see the Information System Overview.

	-60	Client/Patient information management system – summary reports (includes regular and ad hoc statistical reports generated from the Client/Patient Information Management System that summarize regional or provincial statistics and trends, but do not include reports detailing individual client names/identifiers)	SO	nil	FR
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(continued on next page)

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

OPERATIONAL RECORDS CLASSIFICATION SYSTEM

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

A SA FD

37100 CLIENT CASE MANAGEMENT (continued)

SO = when report is no longer current

FR = The government archives will fully retain client/patient information management system summary reports for their significant informational values. These records provide summary information on client demographics, caseloads, historical and regional trends, and occurrences of types of illnesses. One copy of each report produced will be retained from the office that created that report.

-65	Client/Patient information management system – detailed reports (includes regular and ad hoc statistical reports generated from the Client/Patient Information Management System that document information on individual mental health clients)	SO	nil	DE
-----	--	----	-----	----

SO = when report is no longer current

-70	Mental health client case files (1962 – 1973) (microfiche) (includes demographic data, personal and family history, nursing reports, other practitioner notes, medication sheets and prescriptions for adult and minor clients)	SO+2y	28y	SR
-----	---	-------	-----	----

SO = upon 14 days of termination of service or after three months of client inactivity.

30y = This retention ensures that mental health client case files are retained until the expiration of the right to initiate a legal action specified under the *Limitation Act* (RSBC 1996, c. 266, s. 8(1)(c)).

(continued on next page)

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

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37100 CLIENT CASE MANAGEMENT (continued)

FR = The government archives will fully retain the microfiche index to the mental health client files on microfiche (1962-1973) as evidence of which files were created for the communities represented for that period. This index will also be submitted by the ministry, and retained by the archives, instead of submitting the paper file list when records are transferred to offsite storage.

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

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NOTE: Paper records relating to the referral and assessment of clients for residential care services are filed in secondary -30.

SECT 2 - 10

OPERATIONAL RECORDS CLASSIFICATION SYSTEM

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A SA FD

37300 EMERGENCY RESPONSE SERVICES

Records relating to the provision of emergency response services for persons who experience a mental health crisis, the referral of such persons to the appropriate care agency, and the liaising of Mental Health Services with hospital emergency services and police to obtain services for adults who are at risk of hospitalization or who are in hospital. This primary also includes the monitoring and operation of adult short term assessment and treatment programs which provide medical counselling and problem solving assistance to adults experiencing urgent mental health problems. Includes reports, statistics, correspondence and memoranda.

For emergency response assessment and referral of individual clients see primary 37100.

Unless otherwise specified below, the ministry OPR (individual mental health centers) will retain these records for:

CY+1y 2y DE

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

SO nil DE

-00	Policy and procedures	- OPR	SO	5y	FR
		- <u>non-OPR</u>	<u>SO</u>	<u>nil</u>	<u>DE</u>
-01	General				
-02	After hours emergency services				
-03	Eating disorders				
-04	Inter-agency emergency response liaison				
-05	Mentally disordered offenders				
-06	Panic disorders				
-07	Residential historical abuse				
-08	Suicide follow-up and prevention				
-09	Women and violence				

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

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

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

OPERATIONAL RECORDS CLASSIFICATION SYSTEM

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

A SA FD

37400 INPATIENT SERVICES - CLINICAL ASSESSMENT AND MEDICATION MONITORING

Records relating to the provision of clinical assessment and medication monitoring to mental health clients in ministry-operated inpatient units. Includes nursing charts and medication monitoring information.

For residential care facilities, see primary 36700.

Unless otherwise specified below, the ministry OPR (Burnaby Inpatient Unit) will retain these records for:

CY+1y 2y 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
-01 General - non-OPR

SO 5y FR
SO nil DE

-02 Tertiary hospital care

PIB -20 Adult mental health inpatient case files
(arrange alphabetically by patient surname)

SO+2y 28y SR

SO = upon discharge from inpatient unit

30y = This ensures that adult mental health inpatient case files are retained until the expiration of the right to initiate a legal action specified under the *Limitation Act* (RSBC 1996, c. 266, s. 8(1)(c)).

SR = The government archives will selectively retain adult mental health inpatient case files for their evidential and informational values by retaining every tenth box of files. These records document the treatment of inpatients at the Burnaby Inpatient Unit.

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

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

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

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SECT 2 - 13

OPERATIONAL RECORDS CLASSIFICATION SYSTEM

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A SA FD

37500 MENTAL HEALTH PHARMACY SERVICES (continued)

NOTE: This primary is related to records created and received by mental health pharmacies operated by mental health centres. In some areas, pharmacy services are contracted out, in which case these records would belong to the contractor. In both cases, however, copies of the prescription and the Referral for Free Medication are found in the client file maintained at the Mental Health Centre.

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

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DE = Destruction
SR = Selective Retention
FR = Full Retention
FOI = Freedom of Information/Privacy
VR = Vital Records

OPERATIONAL RECORDS CLASSIFICATION SYSTEM

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

A SA FD

37700 REHABILITATION SERVICES

Records relating to the management of rehabilitation programs. This includes club model programs, life-skills training, work centre programs, supported work programs, education and recreation programs, therapeutic volunteer placement and pre-vocational assessment services. Includes reports, statistics, correspondence and memoranda.

For individual clients receiving rehabilitation services, see primary 37100.

For contract or agreement management, see ARCS primary 1080.

For rehabilitation services program development, see primary 36600.

Unless otherwise specified below, the ministry OPR (individual mental health centers) will retain these records for:

CY+1y 2y DE

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

SO nil DE

-00	Policy and procedures	- OPR	SO	5y	FR
		- <u>non-OPR</u>	<u>SO</u>	<u>nil</u>	<u>DE</u>

-01	General				
-----	---------	--	--	--	--

-20	Rehabilitation services regional project case files (arrange alphabetically by project or program name)		SO+1y	5y	DE
-----	--	--	-------	----	----

SO = when project is completed

DE = These records can be destroyed since final reports and surveys will be retained from headquarters and executive records. The remainder of records in these files consists of rough notes and drafts of reports.

(continued on next page)

A = Active
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PUR = Public Use Records
OPR = Office of Primary Responsibility

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w = week m = month
y = year

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DE = Destruction
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OPERATIONAL RECORDS CLASSIFICATION SYSTEM

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A SA FD

37700 REHABILITATION SERVICES (continued)

-30 Rehabilitation services support case files SO+1y 29y SR
(includes correspondence with service providers
and others about issues or events concerning the
service provider and clients)
(arrange alphabetically by name of service
provider)

SO = when the contract or agreement with service
provider is terminated

30y = This ensures that rehabilitation services support
case files are retained until the expiration of the
right to initiate a legal action specified under the
Limitation Act (RSBC 1996, c. 266, s. 8(1)(c)).

SR = The government archives will selectively retain
rehabilitation services support case files for their
evidential and informational values. These files
document communication between regional
offices and headquarters in Victoria, and between
regional offices and services providers. They
document issues and events affecting service
providers and services provided to clients. The
files will be selected by retaining two boxes of
files per year, on a rotational basis, from one of
the following five regional health centers: Salmon
Arm, White Rock/South Surrey, Duncan, Quesnel
and Cranbrook.

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

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OPERATIONAL RECORDS CLASSIFICATION SYSTEM

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A SA FD

37800 RESIDENTIAL SERVICES - GENERAL

Records relating to the management of community residential services provided by privately operated facilities, not shown elsewhere in this primary block. Includes surveys, reports, questionnaires, statistics, correspondence and memoranda.

NOTE: Community residential facilities include semi-independent living, residential care facilities, family care homes, short stay facilities, and crisis homes. All homes providing care for three or more persons are subject to the *Community Care Facilities Act* (RSBC 1996, c. 60).

For individual client referral and assessment, see primary 37100.
For mental health promotion and education, see primary 36300.
For promotion of the family care home program, see primary 37100.

For residential care services planning and development initiatives, see primary 36700.

For residential service provider payment authorizations, see primary 37820.

Unless otherwise specified below, the ministry OPR (individual mental health centers) will retain these records for:

CY+1y 2y DE

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

SO nil DE

-00 Policy and procedures

- OPR

SO 5y FR

- non-OPR

SO nil DE

-01 General

A = Active
SA = Semi-active
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OPR = Office of Primary Responsibility

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w = week m = month
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DE = Destruction
SR = Selective Retention
FR = Full Retention
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OPERATIONAL RECORDS CLASSIFICATION SYSTEM

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

A SA FD

37820 RESIDENTIAL SERVICES - PROVIDER AGREEMENTS AND PAYMENT AUTHORIZATION

Records relating to the negotiation of residential service agreements with service providers and the processing of service provider agreements. This primary also includes the authorization of the payment of mental health residential service providers, and the monitoring of their operations. Includes statistical and financial reports, proposals, applications, residential client referrals, claims histories, client waiting lists and profiles, as well as service provider client lists, waiting lists, and payments details.

NOTE: Mental Health Services uses the Continuing Care Information Management System (CCIMS) for monitoring residential client care and the payment of service providers.

For individual client assessments see primary 37100.

For database administration, see ARCS primary 6640.

For service provider contract and agreement management, see ARCS primary 1080.

Unless otherwise specified below, the ministry OPR (individual mental health centers) will retain these records for:

CY+1y 2y DE

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

SO nil DE

-00 Policy and procedures

- OPR

SO 5y FR

- non-OPR

SO nil DE

-01 General

-02 Facility activity reports

SO+1m nil DE

SO = when the next month's report is processed, or
 when adjustment of payment is complete

(continued on next page)

A = Active

SA = Semi-active

FD = Final Disposition

PIB = Personal Information Bank

PUR = Public Use Records

OPR = Office of Primary Responsibility

CY = Calendar Year

FY = Fiscal Year

NA = Not Applicable

w = week m = month

y = year

SO = Superseded or Obsolete

DE = Destruction

SR = Selective Retention

FR = Full Retention

FOI = Freedom of Information/Privacy

VR = Vital Records

OPERATIONAL RECORDS CLASSIFICATION SYSTEM

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

A SA FD

37820 RESIDENTIAL SERVICES - PROVIDER AGREEMENTS AND PAYMENT AUTHORIZATION (continued)

-03 Provider payment analysis reports - bi-weekly
(includes reports printed from CCIMS) FY+1y nil DE

-04 Provider payment analysis reports - year end
(includes reports printed from CCIMS) FY+7y nil DE

8y = This ensures that records are available for
analysis and financial planning.

NOTE: The final bi-weekly report will have the year's total
statistics.

-05 Waiting lists and referrals

-20 Continuing Care Information Management System (CCIMS)
(electronic database) SO nil DE

SO = when the function supported by the database is
no longer performed by the government

NOTE: For information on the Continuing Care
Information Management System see the
Information System Overview.

-30 Mental health residential service provider files
(paper records) SO+1y 29y SR
(includes reports, correspondence and
memoranda with service providers, or about
issues and events concerning service providers
and their clients)

SO = upon the termination of contract or agreement
with service provider

(continued on next page)

A = Active
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FD = Final Disposition
PIB = Personal Information Bank
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OPERATIONAL RECORDS CLASSIFICATION SYSTEM

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A SA FD

37820 RESIDENTIAL SERVICES - PROVIDER AGREEMENTS AND PAYMENT AUTHORIZATION (continued)

30y = This ensures that mental health residential service provider files are retained until the expiration of the right to initiate a legal action specified under the *Limitation Act* (RSBC 1996, c. 266, s. 8(1)(c)).

SR = The government archives will selectively retain mental health residential service provider files for their evidential and informational values. These files contain information on the interaction between mental health centers and rehabilitation service providers and on services provided to clients. The files will be selected by retaining two boxes of files per year, on a rotational basis, from one of the following five regional health centers: Salmon Arm, White Rock/South Surrey, Duncan, Quesnel and Cranbrook.

(electronic records)
(includes information about service providers who have an agreement with mental health centres to provide residential services to mental health clients, and about the payment of these service providers)

SO nil DE

SO = when the function supported by the database is no longer performed by government

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
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OPERATIONAL RECORDS CLASSIFICATION SYSTEM

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A SA FD

37840 RESIDENTIAL SERVICES - SUBSIDIZED HOUSING ASSESSMENT

Records relating to the assessment by psychiatric nurses of tenants in B.C. Housing Management Commission (BCHMC) subsidized housing units. This also includes the assessment of prospective tenants for their suitability for placement in BCHMC subsidized housing units, and to the provision of referral and liaison for ongoing clinical treatment, community support and follow-up services. Includes client checklists, reports, correspondence and memoranda.

NOTE: Assessment of individual clients are classified in primary 37100.

Unless otherwise specified below, the ministry OPR (individual mental health centers) will retain these records for:

CY+1y 2y DE

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

SO nil DE

-00	Policy and procedures	- OPR	SO	5y	FR
		- <u>non-OPR</u>	<u>SO</u>	<u>nil</u>	<u>DE</u>
-01	General				

-20	BCHMC client assessment month-end reports (includes monthly statistics on housing/admissions and mental health consultations) (arrange alphabetically by BCHMC region, then chronologically)		FY+2y	nil	DE
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PIB = Personal Information Bank
PUR = Public Use Records
OPR = Office of Primary Responsibility

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FY = Fiscal Year
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FOI = Freedom of Information/Privacy
VR = Vital Records

INFORMATION SYSTEM OVERVIEW

ISO

CCIMS
CPIM

CONTINUING CARE INFORMATION MANAGEMENT SYSTEM
CLIENT/PATIENT INFORMATION MANAGEMENT SYSTEM

OPERATIONAL RECORDS CLASSIFICATION SYSTEM

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INFORMATION SYSTEM OVERVIEW

Name of Creating Agency

Ministry of Health and Ministry Responsible for Seniors

System Title

Continuing Care Information Management System (CCIMS)

Purpose

The purpose of CCIMS is to maintain a registry of clients receiving care from one or more continuing care services; to maintain a file of agencies, companies, and health units/authorities who provide services to continuing care clients; to maintain a list of clients who are waiting for placement in continuing care residential services; to provide reports to support planning, monitoring, funding and management activities by both the health authorities and Ministry of Health and Ministry Responsible for Seniors; and to calculate and generate payments for provider claims.

Information Content

CCIMS contains information pertaining to Continuing Care long term care clients in the form of client profiles. This includes client identification information, such as name, birth date, gender, and Personal Health Number; contact information such as address and the name of a contact person; financial information including the calculation to determine the client's portion of the cost; assessment information about the client's required care level and the services that are approved to provide that care, and information about current open services and waitlistings. The system also contains information regarding the agencies and companies that provide service and care to continuing care clients; clients' daily rates and calculated payments to non-grant facilities.

Inputs, Processes, and Outputs

INPUTS

Inputs consist of the Application and Assessment Form (HLTH 1.1 - 1.5), Financial Profile and Calculations (HLTH 1.6), a Service Authorization Action Memo (HLTH 3), Narrative Progress Notes (HLTH 1A), and the Provider Service Claim Form (HLTH 9). These input documents are classified in the ongoing records schedule 102902, 2.1 Transitory Input Records, a) Input Source Documents.

PROCESSES

Client profile information is added to and maintained on the CCIMS from individual health authority Mental Health Centres using the information from the application and assessment forms (as outlined above) that are completed by frontline practitioners as part of the client assessment process. Care requirements are re-evaluated periodically, and if changes in care are necessary these changes are entered into CCIMS. Once a client has been entered onto

OPERATIONAL RECORDS CLASSIFICATION SYSTEM

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CCIMS and an assessment has been recorded, the services that have been authorized for the client and recorded on Service Authorization Action Memo form are entered in the database. A start date for service or a change to service provided to the client is entered at this time.

While the health unit/authority is responsible for providing Ministry of Health and Ministry Responsible for Seniors with any information on service providers (LTC – 5 form), only ministry staff can enter a new provider into CCIMS. Any changes to provider information, including amendments to provider organization or services; deletions; an update to provider rates or other financial information, and manual adjustments are made through the Provider Description Form (LTC 13). The health unit/authority can make most of these changes directly through CCIMS screens; any information that cannot be corrected at this level is done at the ministry level.

Data entry is on-line from the Mental Health Centres, and is immediately reflected in the database and available for inquiry or reporting.

Technology Integration, Procurement and Support, a section within the Ministry of Health and Ministry Responsible for Seniors, is responsible for providing help-desk support to CCIMS users across the province. This support includes administering system access, resolving data entry and other user problems, ensuring the accuracy and completeness of inputted data, and filling requests for standard and customized system reports.

The responsibility for the administration of both adult mental health and continuing care services was decentralized throughout the province of British Columbia effective April 1, 1997. At this time the mental health centres were incorporated into the provincial health authorities. They continue, however, to use the CCIMS as described above.

OUTPUTS

Output documents of CCIMS are the periodic reports (daily, monthly, quarterly or annual) generated for case management and statistical analysis.

CCIMS output is classified in *MHEA ORCS*, section 2:

37820-02 to -05.

Technical Maintenance

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

The electronic system is routinely backed up in accordance with ministry policy, as prescribed in GMOP 8.1.4 and in special schedule 112910 in the *ARCS* manual.

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

OPERATIONAL RECORDS CLASSIFICATION SYSTEM

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Classification

Electronic System

Secondary No.	Secondary Title
37820-20	Continuing Care Information Management System (CCIMS)

Electronic Records

Secondary No.	Secondary Title
37100-20	Residential care client referral and assessment case files
37820-30	Mental health residential service provider files

Outputs

Secondary No.	Secondary Title
37820-02	Facility Activity Reports
37820-03	Provider Payment Analysis Reports – Bi-weekly
37820-04	Provider Payment Analysis Reports – Year End
37820-05	Waiting lists and referrals

Other Related Records

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

OPERATIONAL RECORDS CLASSIFICATION SYSTEM

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INFORMATION SYSTEM OVERVIEW

Name of Creating Agency

Ministry of Health and Ministry Responsible for Seniors, Adult Mental Health Policy and Mental Health Plan Implementation

System Title

Client/Patient Information Management System (CPIM)

Purpose

The purpose of CPIM is to support the network of services provided by the Adult Mental Health Division, the local Mental Health Centres, the Vancouver Mental Health Services Society, the B.C. Mental Health Society, and other authorized users such as some acute care hospitals, at both a management and a clinical level. CPIM allows for the monitoring of caseload trends, and the tracking of specific target populations, diagnostic groups, and individual clients across programs throughout the Province and over time. The system also provides on-line clinical output data for clinicians, and summary data required by regional staff and central office for planning and resource allocation purposes. Interfaces are in place with Client Registry for client identification and demographics, and Pharmacare systems to establish eligibility for medication programs.

Information Content

CPIM includes client attributes and care episode attributes. Client attributes are: name, aliases, gender, birth date, marital status, personal health number, employment status, living situations, and address information provided through CPIM-Client Registry interface. Care episode attributes are: service provider location and type of location, date file opened, date of last contact, name of case manager, name and type of clinician, client mental health status, complicating factors, referral source, services received, Diagnostic and Statistical Manual of Mental Disorders (DSM)-IV coding, dual diagnosis, and caution alerts.

Inputs, Processes, and Outputs

INPUTS

Inputs consist of the Client Registration and Termination form (HLTH 3579), the Service Utilization Record (HLTH 3573), the Group/Family Counselling Records (HLTH 3574), and the Change of Data form. These input documents are classified in the ongoing records schedule 102902, 2.1 Transitory Input Records, a) Input Source Documents.

PROCESSES

Client care episode data and service is added to or updated on the CPIM from individual Mental Health Centres using the Client Registration and Termination form, the Service Utilization Record, the Group/Family Counselling Record or the Change of Data form.

OPERATIONAL RECORDS CLASSIFICATION SYSTEM

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

Data entry is on-line from the Mental Health Centres, and is immediately reflected in the database and available for inquiry or reporting.

Technology Integration, Procurement and Support, a section within the Ministry of Health and Ministry Responsible for Seniors, is responsible for providing help-desk support to CPIM users across the province. This support includes administering system access, resolving data entry and other user problems, ensuring the accuracy and completeness of inputted data, and filling requests for standard and customized system reports.

The responsibility for the administration of adult mental health services was decentralized throughout the province of British Columbia effective April 1, 1997. At this time the mental health centres were incorporated into the provincial health authorities. They continue, however, to use the CPIM as described above.

OUTPUTS

Output documents of CPIM are the periodic ad hoc reports (daily, monthly, quarterly or annual) generated for case management and statistical analysis.

CPIM output is classified in *MHEA ORCS*, section 2:

37100-60 Client/Patient Information Management System - reports

Technical Maintenance

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

The electronic system is routinely backed up in accordance with ministry policy, as prescribed in GMOP 8.1.4 and in special schedule 112910 in the *ARCS* manual.

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

Classification

Electronic System

Secondary No.	Secondary Title
37100-50	Client/Patient Information Management (CPIM) System

Electronic Records

Secondary No.	Secondary Title
37100-30	Adult mental health client case files

OPERATIONAL RECORDS CLASSIFICATION SYSTEM

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Outputs

Secondary No.	Secondary Title
37100-60	Client/Patient Information Management (CPIM) System - reports

Other Related Records

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

Adult Mental Health Services

*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 that 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.

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- protocol development	36100
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ALZHEIMER'S DISEASE	37100
APPOINTMENT SHEETS	37000
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- inpatient clients	37400
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BEST PRACTICES	36200
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CCIMS (See CONTINUING CARE INFORMATION MANAGEMENT SERVICES)	
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