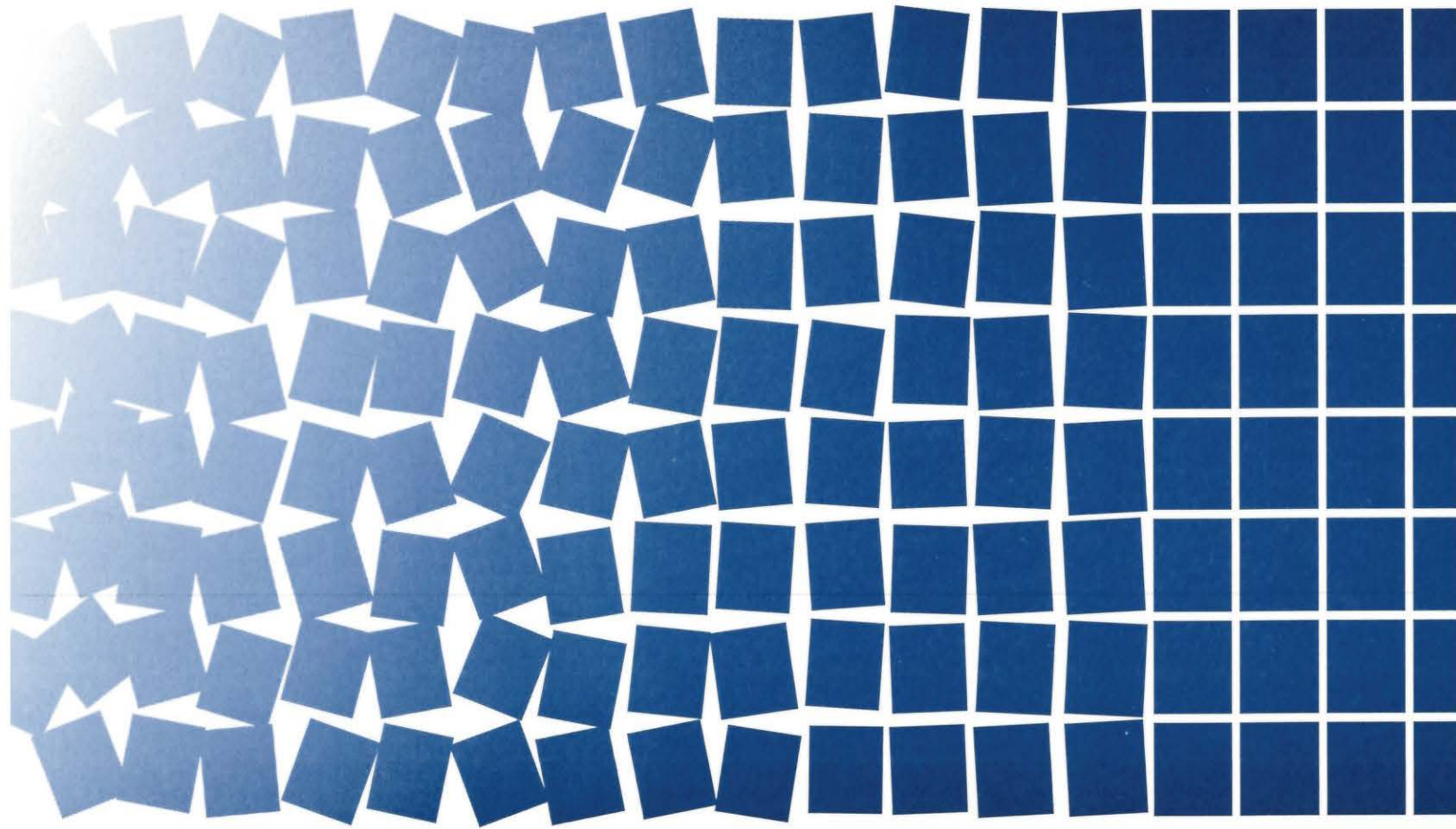


EMPLOYMENT STANDARDS OPERATIONAL RECORDS CLASSIFICATION SYSTEM



**INFORMATION ACCESS
OPERATIONS**

EMPLOYMENT STANDARDS OPERATIONAL RECORDS CLASSIFICATION SYSTEM



**Province of
British Columbia**

**Information Access
Operations**

ISBN 978-0-7726-6504-1

Date: June 23, 2011

British Columbia. Records Management Operations

Employment Standards operational records classification system



Schedule No. 112971

see "How to Use ORCS" part 3.9.1

RECORDS RETENTION AND DISPOSITION AUTHORITY

Accession No.

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

Title Employment Standards

Ministry of Labour
Employment Standards and Industrial Relations
Employment Standards Branch

Description and Purpose:

The Employment Standards Operational Records Classification System (ORCS) covers all operational records created, received, and maintained by Employment Standards Branch. This ORCS does not cover the Employment Standards Tribunal.

The records document the administration of the Employment Standards Act (RSBC 1996, c. 113) and the Employment Standards Regulation (BC Reg. 396/95). This includes records relating to: investigation and resolution of complaints; issuance of child employment permits; licensing of employment agencies, talent agencies, and farm labour contractors; inspections; registration of domestic workers; administration of polls for trade union certification and decertification, pursuant to the Labour Relations Code (RSBC 1996, c. 244); disbursement of trust funds; and the issuance of variances to provisions stipulated in the Act.

For more information, see attached schedule.

Date range: 1894

Physical format of records: see attached schedule

Annual accumulation: 2.35 cubic meters

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

THE UNDERSIGNED ENDORSE THE RECOMMENDATIONS:

Records Officer 2010/11/08
Executive Director/ADM DIRECTOR Nov 9/10
Deputy Minister/Corporate Executive ADM Nov 10/10

THE PUBLIC DOCUMENTS COMMITTEE CONCURS:
Chair, PDC 16 Dec 2010

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

J.T. Feb. 10, 2011

APPROVED BY RESOLUTION OF THE LEGISLATIVE ASSEMBLY:

J.T. May 19, 2011

OTHER STATUTORY APPROVALS:

Signature Date Signature Date
Title: Title:

CONTACT: Mary McIntosh, Records Officer, (250) 387-9811

RECORDS MANAGEMENT APPRAISAL:

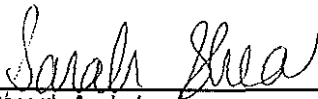
This appraisal documents the recommendation for active and semi-active retention periods.

These records are created and received under the authority of the *Employment Standards Act* (RSBC 1996, c. 113), the *Employment Standards Regulation* (BC Reg. 396/95) and the *Labour Relations Code* (RSBC 1996, c. 244) 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

2010-10-28
 Date


 Team Lead, ORCS Development

2010-10-28
 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

2010-10-27
 Date

The undersigned endorses the appraisal recommendations:


 Manager, Policy, Appraisal and Storage

2010-11-08
 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 government policy and procedures. For assistance, contact your Records Officer.

A SA FD

EMPLOYMENT STANDARDS

OPERATIONAL RECORDS CLASSIFICATION SYSTEM (ORCS)

EXECUTIVE SUMMARY

This *Operational Records Classification System (ORCS)* establishes a classification system and retention and disposition schedule for the operational records created by the Employment Standards Branch.

These records document the administration of the *Employment Standards Act* (RSBC 1996, c. 113) and the *Employment Standards Regulation* (BC Reg. 396/95). The Act sets out the minimum standards of wages and working conditions that apply in most workplaces in British Columbia. This includes records relating to: investigation and resolution of complaints; issuance of child employment permits; licensing of employment agencies, talent agencies, and farm labour contractors; inspections; registration of domestic workers; administration of polls for trade union certification and decertification, pursuant to the *Labour Relations Code* (RSBC 1996, c. 244); disbursement of trust funds; and the issuance of variances to provisions stipulated in the Act.

The active and semi-active retention periods specified in the schedule meet all operational, administrative, legal, fiscal, and audit requirements. Records Management Operations 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 1894. Between 1894 and 1917, employment standards in the province were administered by the Provincial Secretary and the Attorney General. In 1917, the Department of Labour was established. In 1966, the Labour Standards Branch was established and assumed responsibilities for the administration of those acts previously administered by the department. In 1981, the *Employment Standards Act* (SBC 1980, c.10) came into force, consolidating past legislation, and the branch name was changed to the Employment Standards Branch. Other records relating to the functions documented in the *ORCS* have been appraised and scheduled under one-time records schedule(s) and/or under ongoing records schedule(s), and transferred to the government archives or destroyed as appropriate.

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

(continued on next page)

A = Active	CY = Calendar Year	SO = Superseded or Obsolete
SA = Semi-active	FY = Fiscal Year	DE = Destruction
FD = Final Disposition	NA = Not Applicable	SR = Selective Retention
FOI = Freedom of Information/Privacy	w = week m = month	FR = Full Retention
PIB = Personal Information Bank	y = year	OD = Other Disposition
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 government policy and procedures. For assistance, contact your Records Officer.

	<u>A</u>	<u>SA</u>	<u>FD</u>
1) <u>Policy and procedures</u> (secondary -00 throughout ORCS, with the exception of 72000-00)	SO	5y	FR
<p>Throughout this ORCS, the government archives will fully retain all policy and procedure files created by offices having primary responsibility for policy and procedure development and approval. These records have evidential value.</p>			
2) <u>Skills development and fair wage investigation case files</u> (secondary 72100-60)	SO	10y	FR
<p>These records document the investigation of non-compliance with fair wage legislation. This function is no longer performed by the branch.</p> <p>SO = when investigation is complete, appeals have concluded, and all appeal periods have expired</p> <p>10y = The retention period is based on the 10-year limitation period for commencing an action with respect to a local judgment for the payment of money, or the return of personal property, under the <i>Limitation Act</i> (RSBC 1996, c. 266, s. 3).</p> <p>FR = The government archives will fully retain Skills development and fair wage investigation case files because they document the investigation of non-compliance with fair wage legislation, which was enacted in 1993 and rescinded in 2001. The <i>Skills Development and Fair Wage Act</i> (RSBC 1996, c. 427) required that all privately contracted work on public construction be done by certified trades' people who receive a minimum standard of pay based on prevailing union rates. The records have evidential, informational, and historical value.</p>			
3) <u>Collective agreement dispute resolution, Human rights investigation, and Labour relations investigation case files</u> (secondaries 72100-30, -40, and -50)	SO	7y	FR
<p>These records document functions previously performed by the Employment Standards Branch on behalf of the Labour Relations Board or the BC Council of Human Rights (currently called the BC Human Rights Tribunal). Due to legislative changes, these functions are no longer performed by the branch.</p>			

(continued on next page)

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OPERATIONAL RECORDS CLASSIFICATION SYSTEM

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A SA FD

SO = when complaint is withdrawn or settled and report is submitted

7y = The retention period meets the reference requirements of the branch and ensures the records are available for a sufficient period for consultation purposes with either the Labour Relations Board or the BC Council of Human Rights.

FR = The government archives will fully retain Collective agreement dispute resolution case files because they document the involvement of government Industrial Relations Officers who, prior to 2002 under section 87(1) of the *Labour Relations Code* (RSBC 1996, c. 244), were appointed by the Collective Agreement Arbitration Bureau to serve as settlement officers in the resolution of mid-contract disputes between employers and trade unions.

The government archives will fully retain Human rights investigation case files because they document the involvement of government Industrial Relations Officers who, between 1984 and 1996 under the authority of the former *Human Rights Act* (RSBC 1979, c. 52), investigated employment-related human rights complaints submitted to the BC Council of Human Rights.

The government archives will fully retain Labour relations investigation case files because they document the involvement of government Industrial Relations Officers who, prior to 2002 and in accordance with the *Labour Relation Code* (RSBC 1996, c. 244), investigated labour relations complaints brought to the Labour Relations Board.

These records have evidential, informational, and historical value.

4) Employment standards reports - annual CY nil FR
 (secondary 72000-04)

These records include the Monthly Performance Indicators Report, Allegation Summary Report, Contraventions (Top 10 Industry Sectors) Report, and the EST Statistical Report. In order to interpret the reports, a listing of the codes used in the reports is also included in this secondary.

(continued on next page)

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OPERATIONAL RECORDS CLASSIFICATION SYSTEM

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A SA FD

FR = The government archives will fully retain Employment standards reports - annual because they provide a summary of the number and types of *Employment Standards Act* contravention complaints that are brought to and the determinations that are subsequently issued by the Employment Standards Branch. These records have evidential and informational value.

- 5) Employment standards fact sheets and guidelines SO nil FR
(secondary 72000-02)

These records cover a collection of fact sheets and guidelines pertaining to all of the services performed by the Employment Standards Branch, such as registration of domestic workers and issuance of permits and licences.

FR = The government archives will fully retain Employment standards fact sheets and guidelines because they document the services provided by the Employment Standards Branch and one of the ways the branch informs the public of their rights and obligations under the *Employment Standards Act* (RSBC 1996, c. 113) and *Employment Standards Regulation* (BC Reg. 396/95). The records have evidential value.

- 6) Permitting and licensing lists SO nil FR
(secondary 72200-05)

These records document the farm labour contractors, employment agencies and talent agencies that have been authorized to operate in British Columbia.

SO = when lists are updated and no longer required for reference purposes

FR = The government archives will fully retain Permitting and licensing lists because they document the farm labour contractors, employment agencies and talent agencies that have been authorized to operate in British Columbia. The records have evidential, informational, and historical value.

(continued on next page)

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	<u>A</u>	<u>SA</u>	<u>FD</u>
7) <u>Standard Operating Procedures and Interpretation Guidelines Manual</u> (secondary 72000-00)	SO	5y	SR

These records document the branch's standard operating procedures and their interpretation of employment standards legislation and general law.

SR = The Employment Standards Branch will transfer a copy of extant earlier printed versions of the *Standard Operating Procedures (SOPs)* and the *Interpretation Guidelines Manual*. Staff will transfer a complete copy of the manuals to the archives when the *ORCS* is approved. After that, staff will transfer a copy of the manual every five years.

The government archives will fully retain all other policy and procedure files throughout this section created by offices having primary responsibility for policy and procedure development and approval. These records have evidential value.

8) <u>Employment standards complaint case files</u> (secondary 72100-20)	SO	10y	DE
-----------------------------------------------------------------------------	----	-----	----

These records document the investigation and resolution of complaints of alleged contraventions of the *Employment Standards Act* (RSBC 1996, c. 113).

SO = when the complaint is withdrawn, abandoned, settled, or a determination is issued, and appeals and appeal periods have expired; and if payment is not received, when all judicial actions relating to the complaint or the director's actions are concluded

10y = The retention period is based on the 10-year limitation period for commencing an action with respect to a local judgment for the payment of money, or the return of personal property, under the *Limitation Act* (RSBC 1996, c. 266, s. 3) and meets the reference needs of the branch.

(continued on next page)

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OPERATIONAL RECORDS CLASSIFICATION SYSTEM

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A SA FD

- 9) Farm labour contractor audit and inspection case files SO+1y 9y DE
 (secondary 72200-25)

These records document routine audit inspections undertaken independently of complaints and applications for permits, licences or registrations.

SO = when all assignments opened in a given calendar year for a given farm are closed

10y = The retention period is based on the 10-year limitation period for commencing an action with respect to a local judgment for the payment of money, or the return of personal property, under the *Limitation Act* (RSBC 1996, c. 266, s. 3).

- 10) Trust disbursement case files SO+5y 5y DE
 (secondary 72400-20)

These records document the receipt and disbursement of trust funds according to the *Employment Standards Act* (RSBC 1996, c. 113, s. 19 and 99).

SO = when final trust disbursement is released; when bond funds are returned; and when unclaimed wages are claimed; and in all cases, if unclaimed, when funds are sent to the B.C. Unclaimed Property Society

10y = The retention period is based on the 10-year limitation period for commencing an action with respect to a trustee under the *Limitation Act* (RSBC 1996, c. 266, s. 3).

- 11) Employment standards issue case files SO 7y DE
 (secondary 72000-30)

These records document issues management consultation and resolution.

SO = when issue is resolved and when no longer required for reference purposes

7y = The retention period provides sufficient time for issues management consultation and resolution.

(continued on next page)

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OPERATIONAL RECORDS CLASSIFICATION SYSTEM

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A SA FD

12) Electronic records

The following electronic databases are covered by this ORCS: CASE System, Case Tracking System, Farm Labour Contractor Tracking System, and the Talent Agencies Tracking System. The Information System Overview section provides information about the CASE System and the Case Tracking System, including inputs and outputs and routine back-ups. Notes under the relevant secondaries provide information about the classification and scheduling of the data. These records have no enduring value to government at the end of their scheduled retention periods.

Because the Farm Labour Contractor Tracking System and the Talent Agencies Tracking System are simple systems, information system overviews have not been developed. Notes under the relevant secondaries provide information about the classification and scheduling of the data. These records have no enduring value to government at the end of their scheduled retention periods.

13) All Other Records

DE

All other records are destroyed at the end of their semi-active retention periods. The retention of these records varies depending on the nature of the records and the function performed, but does not exceed seven years. The information these records contain is summarized elsewhere, or reflects policies and procedures adequately documented in records covered by the -00 Policy and procedures secondaries, fact sheets and guidelines (72000-02), reports and statistics (72000-04) and lists (72200-05). 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 and ministry annual reports. These records have no enduring value to government at the end of their scheduled retention periods.

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EMPLOYMENT STANDARDS

OPERATIONAL RECORDS CLASSIFICATION SYSTEM

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HOW TO USE *ORCS*

For further information, contact your Records Officer.

OPERATIONAL RECORDS CLASSIFICATION SYSTEM

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OPERATIONAL RECORDS CLASSIFICATION SYSTEM

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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

OPERATIONAL RECORDS CLASSIFICATION SYSTEM

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

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

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

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

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

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

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

The Purpose of *ORCS*

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 government policy and procedures. For assistance, contact your Records Officer.

ORCS facilitates the efficient management of operational information by:

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

Responsibility for *ORCS*

Information Access Operations (IAO) 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, contact IAO.

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

OPERATIONAL RECORDS CLASSIFICATION SYSTEM

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1.3 Introduction to the Office of the Employment Standards *ORCS*

The operational records in this *ORCS* relate to the operations and services provided by your branch in carrying out the functions for which it is responsible according to statute, mandate, or policy. These records document the administration of the *Employment Standards Act* (RSBC 1996, c. 113) and the *Employment Standards Regulation* (BC Reg. 396/95). The Act sets out the minimum standards of wages and working conditions that apply in most workplaces in British Columbia. This includes records relating to: investigation and resolution of complaints; issuance of child employment permits; licensing of employment agencies, talent agencies, and farm labour contractors; inspections; registration of domestic workers; administration of polls for trade union certification and decertification, pursuant to the *Labour Relations Code* (RSBC 1996, c. 244); disbursement of trust funds; and the issuance of variances to provisions stipulated in the Act.

This *ORCS* covers all operational record series created or received by your branch since 1894. It does not cover files closed before that date. To obtain approval for disposition of such records, contact your Records Officer.

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

Section Number	Primary Numbers	Section Title
Section 1	72000 - 72999	EMPLOYMENT STANDARDS
		Covers records relating to the administration of the <i>Employment Standards Act</i> (RSBC 1996, c. 113) and the <i>Employment Standards Regulation</i> (BC Reg. 396/95). The Act sets out the minimum standards of wages and working conditions that apply in most workplaces in British Columbia. This includes records relating to: investigation and resolution of complaints; issuance of child employment permits; licensing of employment agencies, talent agencies, and farm labour contractors; inspections; registration of domestic workers; administration of polls for trade union certification and decertification, pursuant to the <i>Labour Relations Code</i> (RSBC 1996, c. 244); disbursement of trust funds; and the issuance of variances to provisions stipulated in the Act.
ISO	CASE	CASE System
		Covers the tracking of branch assignments, including applications, complaints, permits, licences, due diligence searches, and variances.
ISO	CTS	Case Tracking System
		Covers the tracking of branch assignments, including applications, complaints, permits, licences, due diligence searches, and variances.

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

OPERATIONAL RECORDS CLASSIFICATION SYSTEM

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- 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.

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

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

Past *ORCS* also included a glossary section, providing useful definitions of records management terminology used throughout the *ORCS*, but this is no longer part of *ORCS*. Instead, it has a separate existence as the Recorded Information Management (RIM) Glossary, available on the IAO web site.

This *ORCS* was reviewed by IAO 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 branch. This means that this *ORCS* is a legally binding document, i.e., it has statutory authority.

OPERATIONAL RECORDS CLASSIFICATION SYSTEM

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PART 2

HOW TO READ A PRIMARY

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

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

- 2.1 Primary Number and Title
- 2.2 Scope Note
- 2.3 Cross References
- 2.4 Records Retention and Disposition Schedule
 - 2.4.1 Active retention period column
 - 2.4.2 Semi-active retention period column
 - 2.4.3 Final disposition column
- 2.5 Office of Primary Responsibility (OPR)
- 2.6 Secondary Number and Title
 - 2.6.1 Reserved secondaries
 - 2.6.2 Secondaries -02 to -19 (subject secondaries)
 - 2.6.3 Case file secondaries (-20 and higher)
 - 2.6.4 Coded series
- 2.7 Key of Terms (Abbreviations in Footer)
 - 2.7.1 Terms used in the active and semi-active disposition columns
 - 2.7.2 Terms used in the final disposition column
 - 2.7.3 Other terms
- 2.8 Freedom of Information and Protection of Privacy Flags
- 2.9 Explanatory Notes
 - 2.9.1 Qualifiers
 - 2.9.2 Other notes
- 2.10 Physical Format Designations
- 2.11 Vital Records Flags

OPERATIONAL RECORDS CLASSIFICATION SYSTEM

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			<u>A</u>	<u>SA</u>	<u>FD</u>
23120	<u>EXTRATERRESTRIAL REGISTRATION AND TRACKING</u>	(continued)			
-04	Visits by unidentified extraterrestrials (includes reference materials relating to visits and visitors as yet unconfirmed and unidentified)		SO	NA	NA
	NA = Reclassify records to appropriate case file under secondary 23120-20 when visitor is identified.				
	FOI: As extraterrestrials may present a threat to provincial security, access to these records is restricted under the <i>Freedom of Information and Protection of Privacy Act</i> (RSBC 1996, c. 165, s. 15(1)(b)).				
PIB	-20 Extraterrestrial registrant case files (arrange by registration number) (includes textual records and photographs)		SO+3y	300y	SR
	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) (electronic database)		SO	nil	DE
	SO = when the function supported by the database is no longer performed by government				

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
I:\430-30\ufo_orcs.doc:2001/07/01	Schedule 777777	ORCS/UFOB HOW TO USE - 11

OPERATIONAL RECORDS CLASSIFICATION SYSTEM

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2.1 Primary Number and Title

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

2.2 Scope Note

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

2.3 Cross References

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

2.4 Records Retention and Disposition Schedule

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

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

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

2.4.1 Active Retention Period Column

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

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

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

CY+1y

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

FY+1y

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

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

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

2.4.2 Semi-active Retention Period Column

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

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

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

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

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.

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

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

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

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

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

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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 are records that document the general goals and management decisions concerning how an organization carries out its functions. They include draft and approved policy documents, working materials and correspondence, precedent-setting documents, procedural guidelines and manuals, and standards documentation.

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, 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,

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secondaries -03 (extraterrestrial reports and statistics) and -04 (visits by unidentified extraterrestrials) are subject secondaries.

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

2.6.3 Case File Secondaries (-20 and higher)

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

2.6.4 Coded Series

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

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

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

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

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.

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

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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

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transferred to the custody of the BC Archives (also referred to as the government 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. 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. 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 IAO archivist. 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

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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 RIM Glossary for definitions). The flags are placed in the left-hand column, next to the relevant secondary. In the sample primary, the extraterrestrial registrant case files secondary (-20) is flagged as a PIB.

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

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

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essentially function as scope and content notes for specific secondaries. The two types of explanatory notes are qualifiers and other notes.

2.9.1 Qualifiers

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

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

2.9.2 Other Notes

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

- OPR =** This note provides the name of the office of primary responsibility if it is different from the primary default OPR. See discussion of OPR in section 2.5.
- SO =** This note explains when a file designated SO should be closed. See discussion of SO in section 2.7.1.
- ##y =** This note gives reasons for active and/or semi-active retention periods which are longer than seven years. In the sample primary, there is a “303y =” note under secondary -20.
- NA =** This note explains why the usual active, semi-active, or final disposition designation does not apply, usually because records have been reclassified or transferred to another agency. See discussion of NA in section 2.7.1.
- SR/FR/DE =** These notes explain why records are being selectively or fully retained, or (if not self-evident) why they are being destroyed. See discussion of these notes in section 2.7.2.
- FOI:** This note explains issues of confidentiality relating to the records. See discussion of the FOI note in section 2.8.

OPERATIONAL RECORDS CLASSIFICATION SYSTEM

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

2.10 Physical Format Designations

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

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

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

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

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

OPERATIONAL RECORDS CLASSIFICATION SYSTEM

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2.11 Vital Records Flags

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

IAO 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.

OPERATIONAL RECORDS CLASSIFICATION SYSTEM

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PART 3

ORCS AND AN EFFECTIVE RECORDS MANAGEMENT SYSTEM

3.1 The Purpose of ORCS

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

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

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

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

3.2 Records and Recorded Information

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

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

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

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

OPERATIONAL RECORDS CLASSIFICATION SYSTEM

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The *Document Disposal Act* establishes procedures for the approval of the records schedules and classification systems developed by IAO, government ministries, and other government agencies. This *ORCS* was reviewed by IAO 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 branch. This means that this *ORCS* is a legally binding document.

3.3 An Effective Records Management System

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

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

3.4 The Classification System

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

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

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

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

OPERATIONAL RECORDS CLASSIFICATION SYSTEM

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

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

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

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

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

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

3.4.1 Staff Responsibilities and Procedures

IAO 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.

IAO 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

OPERATIONAL RECORDS CLASSIFICATION SYSTEM

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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.

IAO 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.

OPERATIONAL RECORDS CLASSIFICATION SYSTEM

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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. 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, IAO provides *ARCS Online* web site links to lists of standard codes compiled by various ministries and agencies of the British Columbia Government. For information about using coded series, see 2.6.4. For guidance in developing codes, see *ARCS Appendix A*.

3.7 The Scheduling System

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

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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, IAO (see section 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

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- 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 under *ARCS* secondary 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.

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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, IAO 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 8-10 cm/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.

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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, IAO. 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.

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b) Ongoing Accession Numbers (OANs)

IAO 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 91-0123-01 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 the combined active and semi-active retention period needs changing,
- 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.

OPERATIONAL RECORDS CLASSIFICATION SYSTEM

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a) Arranging Boxes

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

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

b) Box Numbering

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

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

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

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

OPERATIONAL RECORDS CLASSIFICATION SYSTEM

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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 Director/Manager of Information and Privacy. If you have questions specific to file operations or procedures, contact your Records Officer. For information about FOI notes in the *ORCS*, see 2.8.

3.11 Electronic Records and the Information System Overview

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

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

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

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

OPERATIONAL RECORDS CLASSIFICATION SYSTEM

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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 (MRO) or Corporate Records Officer (CRO), should be contacted for further information whenever necessary. If you cannot determine who your Records Officer is, contact IAO.

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

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

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

3.13 Advisory Services

IAO 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

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- 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

IAO maintains the master edition of this *ORCS* and is responsible for administering the amendment and review process. The Records Officer is responsible for advising IAO 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 IAO. Proposals will be jointly reviewed by IAO. While awaiting formal approval, "interim secondaries" may be established. These must be different from any existing secondary numbers and titles. Include records covered by interim secondaries in file lists, and highlight them on the Records Officer's copy of each file list. Once interim secondaries are approved, they will be included in future editions of the *ORCS*.

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

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

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A SA FD

SECTION 1

EMPLOYMENT STANDARDS

PRIMARY NUMBERS

72000 - 72999

Section 1 covers records relating to the administration of the *Employment Standards Act* (RSBC 1996, c. 113) and the *Employment Standards Regulation* (BC Reg. 396/95). The Act sets out the minimum standards of wages and working conditions that apply in most workplaces in British Columbia. This includes records relating to: investigation and resolution of complaints; issuance of child employment permits; licensing of employment agencies, talent agencies, and farm labour contractors; inspections; registration of domestic workers; administration of polls for trade union certification and decertification, pursuant to *the Labour Relations Code* (RSBC 1996, c. 244); disbursement of trust funds; and the issuance of variances to provisions stipulated in the Act.

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A SA FD

SECTION 1

72000 - EMPLOYMENT STANDARDS - 72999

TABLE OF CONTENTS

72000 EMPLOYMENT STANDARDS – GENERAL
72100 COMPLAINTS AND INVESTIGATIONS
72200 PERMITTING AND LICENSING
72300 TRADE UNION CERTIFICATION
72400 TRUST DISBURSEMENTS
72500 VARIANCE ISSUANCE

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A SA FD

72000 EMPLOYMENT STANDARDS – GENERAL

Records not shown elsewhere in the employment standards section that relate generally to the administration of employment standards under the *Employment Standards Act* (RSBC 1996, c. 113) and the *Employment Standards Regulation* (BC Reg. 396/95).

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

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

For the CASE Information System Overview (ISO), see the ISO section.

For the Case Tracking System ISO, see the ISO section.

For ministry/agency planning and performance, including branch and program planning, as well as administrative projects, see ARCS primary 400.

For public education sessions, see ARCS primary 1735.

For websites maintained by the branch, see ARCS primary 340.

Unless otherwise specified below, the ministry OPR (Employment Standards Branch) will retain these records for:

CY+1y nil DE

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

SO nil DE

-00 Policy and procedures

- OPR

SO 5y SR

- non-OPR

SO nil DE

SR = The government archives will selectively retain employment standards policy and procedures.

The Employment Standards Branch will transfer a copy of extant earlier printed versions of the *Standard Operating Procedures (SOPs)* and the *Interpretation Guidelines Manual*. Staff will transfer a complete copy of the manuals to the archives when the ORCS is approved. After that, staff will transfer a copy of the manual every five years.

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A SA FD

72000 EMPLOYMENT STANDARDS – GENERAL (continued)

The government archives will fully retain all other policy and procedure files throughout this section created by offices having primary responsibility for policy and procedure development and approval. These records have evidential value.

NOTE: This secondary includes the *Standard Operating Procedures (SOPs)* and the *Interpretation Guidelines Manual*.

-01	General			
-02	Employment standards fact sheets and guidelines	SO	nil	FR

FR = The government archives will fully retain Employment standards fact sheets and guidelines because they document the services provided by the Employment Standards Branch and one of the ways the branch informs the public of their rights and obligations under the *Employment Standards Act* (RSBC 1996, c. 113) and *Employment Standards Regulation* (BC Reg. 396/95). The records have evidential value.

NOTE: This secondary covers a collection of fact sheets and guidelines pertaining to all of the services performed by the Employment Standards Branch, such as the registration of domestic workers and issuance of permits and licences. Fact sheets are also prepared to respond to frequently asked questions by employers and employees (e.g., statutory holiday pay and minimum wage pay).

-03	Employment standards reference materials	SO	nil	DE
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NOTE: This secondary covers a collection of reference materials, such as newspaper clippings and articles, collected for reference purposes only and does not include records generated by the Employment Standards Branch.

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		<u>A</u>	<u>SA</u>	<u>FD</u>
72000	<u>EMPLOYMENT STANDARDS – GENERAL</u> (continued)			
-04	Employment standards reports – annual	CY	nil	FR
	FR = The government archives will fully retain Employment standards reports - annual because they provide a summary of the number and types of <i>Employment Standards Act</i> contravention complaints that are brought to and the determinations that are subsequently issued by the Employment Standards Branch. These records have evidential and informational value.			
	NOTE: This secondary covers the Monthly Performance Indicators Report, Allegation Summary Report, Contraventions (Top 10 Industry Sectors) Report, and the EST Statistical Report. In order to interpret the reports, a listing of the codes used in the reports is also included in this secondary.			
-05	Employment standards reports – other	SO	nil	DE
	SO = when no longer required for reference purposes			
-07	Information Line inquiries (arrange chronologically by week) (covers incoming correspondence and responses and telephone conversation notes)	CY	nil	DE
	NOTE: This secondary covers inquiries, received primarily from employers and employees, for assistance resolving questions relating to their rights and responsibilities under the legislation.			

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A SA FD

72100 COMPLAINTS AND INVESTIGATIONS

Records relating to the investigation and resolution of complaints of alleged contraventions of the *Employment Standards Act* (RSBC 1996, c. 113).

Complaints must be in writing and can be faxed, mailed, dropped off in person or submitted online. Complaints are resolved through a process that includes investigation, education, mediation, adjudication hearings, determinations, and appeals. They are tracked in the Case Tracking System.

Complaints can be resolved by parties signing a settlement agreement or by the issuance of a written decision called a determination, both of which can result in monies being owed to the complainant or in the imposition of penalties. Settlement agreements and determinations, if not honoured, can be filed in the Supreme Court and enforced as a judgment of the Court. Determinations can be appealed to the Employment Standards Tribunal.

This primary also includes four closed secondaries that reflect functions previously performed by the Employment Standards Branch either on their own or on behalf of the Labour Relations Board or the BC Council of Human Rights (currently called the BC Human Rights Tribunal). Due to legislative changes, these functions are no longer performed.

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

For the Case Tracking System Information System Overview (ISO), see the ISO Section.

For related trust disbursement records, see secondary 72400-20.

Unless otherwise specified below, the ministry OPR (Employment Standards Branch) will retain these records for:

CY+1y nil DE

(continued on next page)

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			<u>A</u>	<u>SA</u>	<u>FD</u>
72100	<u>COMPLAINTS AND INVESTIGATIONS</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>	nil	<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				
-02	Director's copy of appeals to the Employment Standards Tribunal		CY	nil	DE
	DE = Upon authorization of the records officer, Director's copy of appeals to the Employment Standards Tribunal will be destroyed. Annual statistical summaries of complaints, investigations, and appeals to the Tribunal are fully retained under secondary 72000-04.				
	NOTE: Complainants are entitled to appeal a determination to the Employment Standards Tribunal and are required to copy the Director, Employment Standards Branch, on all such appeals.				
-20	Employment standards complaint case files (includes complaint and information form, supporting documentation to the complaint, investigation records, mediation records, settlement agreements, adjudication hearing records, determinations, supporting documentation to the determinations, appeal records, court documents and copies of payment) (arrange by employer number and/or name)		SO	10y	DE
	SO = when the complaint is withdrawn, abandoned, settled, or a determination is issued, and appeals and appeal periods have expired; and if payment is not received, when all judicial actions relating to the complaint or the director's actions are concluded (continued on next page)				

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A SA FD

72100 COMPLAINTS AND INVESTIGATIONS (continued)

10y = The retention period is based on the 10-year limitation period for commencing an action with respect to a local judgment for the payment of money, or the return of personal property, under the *Limitation Act* (RSBC 1996, c. 266, s. 3) and meets the reference needs of the branch.

DE = Upon authorization of the records officer, Employment standards complaint case files will be destroyed. Annual statistical summaries of complaints and investigations are fully retained under secondary 72000-04.

-30	Collective agreement dispute resolution case files (closed November 1, 2002 – do not create new files in this secondary) (includes application for appointment of settlement officer, copies of collective agreements, settlement notes, settlement agreements, and correspondence) (arrange by employer name)	SO	7y	FR
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SO = when complaint is withdrawn or settled and report is submitted

7y = The retention period meets the reference requirements of the branch and ensures the records are available for a sufficient period for consultation purposes with the Collective Agreement Arbitration Bureau (CAAB) of the Labour Relations Board.

(continued on next page)

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A SA FD

72100 COMPLAINTS AND INVESTIGATIONS (continued)

FR = The government archives will fully retain Collective agreement dispute resolution case files because they document the involvement of government Industrial Relations Officers who, prior to 2002 under section 87(1) of the *Labour Relations Code* (RSBC 1996, c. 244), were appointed by the Collective Agreement Arbitration Bureau to serve as settlement officers in the resolution of mid-contract disputes between employers and trade unions. The records have evidential, informational, and historical value.

-40	Human rights investigation case files (closed January 1, 1996 – do not create new files in this secondary) (includes notice of assignment, copy of complaint information form, copy of particulars of allegation, copy of complainant’s and respondent’s letter, original correspondence from complainant and respondent, registrar of companies search, withdrawal forms, investigation notes, investigation report, and correspondence) (arrange by employer name)	SO	7y	FR
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SO = when complaint is withdrawn or settled and report is submitted

7y = The retention period meets the reference requirements of the branch and ensures the records are available for a sufficient period for consultation purposes with the BC Council of Human Rights.

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A SA FD

72100 COMPLAINTS AND INVESTIGATIONS (continued)

FR = The government archives will fully retain Human rights investigation case files because they document the involvement of government Industrial Relations Officers who, between 1984 and 1996 under the authority of the former *Human Rights Act* (RSBC 1979, c. 52), investigated employment-related human rights complaints submitted to the BC Council of Human Rights. The records have evidential, informational, and historical value.

-50 Labour relations investigation case files SO 7y FR
(closed May 1, 2002 – do not create new files in this secondary)
(includes copies of referrals from the Labour Relations Board, investigation notes, investigation reports, and correspondence)
(arrange by employer name)

SO = when complaint is withdrawn or settled and report is submitted

7y = The retention period meets the reference requirements of the branch and ensures the records are available for a sufficient period for consultation purposes with the Labour Relations Board.

FR = The government archives will fully retain Labour relations investigation case files because they document the involvement of government Industrial Relations Officers who, prior to 2002 and in accordance with the *Labour Relation Code* (RSBC 1996, c. 244), investigated labour relations complaints brought to the Labour Relations Board. The records have evidential, informational, and historical value.

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A SA FD

72100 COMPLAINTS AND INVESTIGATIONS (continued)

-60 Skills development and fair wage investigation case files SO 10y FR
(closed October 1, 2001 – do not create new files
in this secondary)
(includes project report forms and supporting
documents, site visit report forms, investigation
status report forms, site closure forms, demand for
employer’s records, audit records, determinations,
compliance orders, violation tickets, appeal
records, court documents, and copies of payment)
(arrange by construction project)

SO = when investigation is complete, appeals have
concluded, and all appeal periods have expired

10y = The retention period is based on the 10-year
limitation period for commencing an action with
respect to a local judgment for the payment of
money, or the return of personal property, under
the *Limitation Act* (RSBC 1996, c. 266, s. 3).

FR = The government archives will fully retain Skills
development and fair wage investigation case files
because they document the investigation of non-
compliance with fair wage legislation, which was
enacted in 1993 and rescinded in 2001. The *Skills
Development and Fair Wage Act* (RSBC 1996, c.
427) required that all privately contracted work on
public construction be done by certified trades’
people who receive a minimum standard of pay
based on prevailing union rates. The records have
evidential, informational, and historical value.

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			<u>A</u>	<u>SA</u>	<u>FD</u>
72200	<u>PERMITTING AND LICENSING</u> (continued)				
PIB	-02	Domestic worker registration data (covers registration data stored in the CASE System and the Case Tracking System) (electronic records)	SO	nil	DE
		SO = when no longer required for the maintenance of a registry of domestic workers in British Columbia			
		NOTE: This secondary is not for filing. It is used to schedule the data within the systems.			
	-03	Domestic worker registration forms and confirmation letters (arrange chronologically by week)	CY+6m	nil	DE
	-04	Due diligence searches (includes request for search, authorization to release information, and search response letter) (arrange chronologically by week)	CY+6m	nil	DE
		NOTE: The retention period ensures the records are available for a sufficient period in the event of a search error, or to respond to questions pertaining to the search.			
	-05	Permitting and licensing lists (includes farm labour contractor lists, employment agency lists and talent agency lists published on the Employment Standards website)	SO	nil	FR
		SO = when lists are updated and no longer required for reference purposes			
		FR = The government archives will fully retain Permitting and licensing lists because they document the farm labour contractors, employment agencies and talent agencies that have been authorized to operate in British Columbia. The records have evidential, informational, and historical value.			

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		<u>A</u>	<u>SA</u>	<u>FD</u>
72200	<u>PERMITTING AND LICENSING</u> (continued)			
-20	Child employment permit case files (includes applications, declaration of parent or guardian, supporting documents, investigation documents, and permits) (arrange by employer number)	SO	3y	DE
	SO = when child reaches the age of majority			
	3y = The retention period ensures that records are retained for the two-year limitation period for commencing an action with respect to an injury to person or property under the <i>Limitation Act</i> (RSBC 1996, c. 266, s. 3). An additional year is allowed for serving notice on all parties.			
	DE = Upon authorization of the records officer, Child employment permit case files will be destroyed. Government policies regarding the employment of young people are fully retained under secondaries 72000-00 and 72000-02.			
	NOTE: Child employment permits do not have set validation periods and will vary by permit. Renewals are opened as a new file.			
-25	Farm labour contractor audit and inspection case files (includes demand for employer records, copies of time sheets, payroll records, Farm Labour Contractor Payroll Audit Form/Checklist, determinations, demand notices, and copies of payment) (arrange by calendar year, then by employer name)	SO+1y	9y	DE
	SO = when all assignments opened in a given calendar year for a given farm are closed			

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A SA FD

72200 PERMITTING AND LICENSING (continued)

10y = The retention period is based on the 10-year limitation period for commencing an action with respect to a local judgment for the payment of money, or the return of personal property, under the *Limitation Act* (RSBC 1996, c. 266, s. 3).

DE = Upon authorization of the records officer, Farm labour contractor audit and inspection case files will be destroyed. Lists of licensed farm labour contractors and government policies regarding the licensing of farm labour contractors are fully retained under secondaries 72000-00, 72000-02, and 72200-05.

NOTE: This secondary covers audits and inspections performed each calendar year for each licensed farm labour contractor. An audit or inspection can result in penalties for contraventions of the *Employment Standards Act*, licence suspension or cancellation.

NOTE: Associated licence files are classified under secondary -40.

-30	Farm labour contractor tracking data (covers data stored in the Farm Labour Contractor Tracking System) (electronic records)	SO	nil	DE
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SO = when farm labour contractor is no longer licensed

NOTE: This secondary is not for filing. It is used to schedule the data within the system.

-35	Farm Labour Contractor Tracking System (electronic database)	SO	nil	DE
-----	-----------------------------------------------------------------	----	-----	----

SO = when the functions supported by the database are no longer performed by government
(continued on next page)

A = Active
SA = Semi-active
FD = Final Disposition
FOI = Freedom of Information/Privacy
PIB = Personal Information Bank
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
OD = Other Disposition
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 government policy and procedures. For assistance, contact your Records Officer.

A SA FD

72200 PERMITTING AND LICENSING (continued)

DE = This electronic system can only be destroyed when the approved retention schedules covering the information on it has elapsed, or when the information has been made accessible elsewhere.

NOTE: This in-house database, created in MS Access, tracks licensed farm labour contractors, including contractor name, address, crops farmed, phone number and number of bonded employees. It is used for publishing a list of licensed contractors to the Employment Standards Branch internet site. All of the data within the database are also retained in the Case Tracking System. Because this is a simple system, an information system overview has not been developed.

NOTE: This secondary is not for filing. It is used to classify the system itself.

-40	Licence case files (includes applications, application for licence – officer’s checklist, investigation documents, interview notes with applicant, workflow sheets, supporting documentation to the licence, examinations, copies of payment, determinations and appeals) (arrange by employer number and/or name)	SO+1y 2y DE
-----	--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------	-------------------

SO = when licence application is withdrawn, denied, or approved; and if approved, upon expiration or revocation of licence; and upon conclusion of all appeals and the expiration of all appeal periods

3y = The retention ensures the licences are available for the duration of a licence, and for a reasonable period should the licensee apply to renew the licence.

(continued on next page)

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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 government policy and procedures. For assistance, contact your Records Officer.

A SA FD

72200 PERMITTING AND LICENSING (continued)

DE = Upon authorization of the records officer, Licence case files will be destroyed. Lists of licensed farm labour contractors and talent agencies, and government policies regarding the licensing of farm labour contractors, and talent and employment agencies are fully retained under secondaries 72000-00, 72000-02, and 72200-05.

NOTE: Licences are valid for either one or three years. Renewals are opened as a new file or a new file back.

-45 Talent agencies tracking data SO nil DE
 (covers data stored in the Talent Agencies Tracking System)
 (electronic records)

SO = when talent agency is no longer licensed

NOTE: This secondary is not for filing. It is used to schedule the data within the system.

-50 Talent Agencies Tracking System SO nil DE
 (electronic database)

SO = when the functions supported by the database are no longer performed by government

DE = This electronic system can only be destroyed when the approved retention schedules covering the information on it has elapsed, or when the information has been made accessible elsewhere.

NOTE: This in-house database created in MS Access tracks the status of licensed talent agencies, including agency name, licence number and licence expiration date. All of the data within the database is also retained in the Case Tracking System. Because this is a simple system, an information system overview has not been developed.

(continued on next page)

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OPERATIONAL RECORDS CLASSIFICATION SYSTEM

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A SA FD

72200 PERMITTING AND LICENSING (continued)

NOTE: This secondary is not for filing. It is used to schedule the system itself.

A = Active
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OPERATIONAL RECORDS CLASSIFICATION SYSTEM

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		<u>A</u>	<u>SA</u>	<u>FD</u>
72300	<u>TRADE UNION CERTIFICATION</u> (continued)			
-20	Union certification, decertification and final offer case files (includes applications, investigation reports, audit records, original completed ballots, original return of poll, tentative voter list, original appointment of scrutineer, copies of application for certification and decertification received from the board, copies of signed membership cards, copies of notice of hearings, reports, notice of polls, board orders, and company searches) (arrange by employer number/and or name)	SO	nil	DE
	SO = if no vote conducted, one year after investigation report is submitted to the board; or one year after vote is counted; or, if vote has not been counted, when the board recommends destruction			
	DE = Upon authorization of the records officer, Union certification, decertification and final offer case files will be destroyed. Government policies regarding the investigation for union certification and decertification by Industrial Relations Officers are fully retained under secondaries 72000-00 and 72000-02.			

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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 government policy and procedures. For assistance, contact your Records Officer.

A SA FD

72400 TRUST DISBURSEMENTS

Records relating to the receipt and disbursement of trust funds according to the *Employment Standards Act* (RSBC 1996, c. 113, s. 19 and 99).

Funds are held in trust for persons named in a determination, a settlement agreement, or an order of the tribunal. Funds may also be held in trust when received voluntarily from the employer. Unclaimed wages are also held and disbursed pursuant to section 19 of the Act.

This primary also includes records related to bond monies received from talent agencies and farm labour contractors in accordance with section 100 of the Act.

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

For cash/cheque deposit logs, see *ARCS* 985-04.

For related complaint and investigation case files, see secondary 72100-20.

For trust fund management documents, see *ARCS* primary 1130.

Unless otherwise specified below, the ministry OPR (Employment Standards Branch) will retain these records for:

FY+1y nil DE

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

SO nil DE

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

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

-20	Trust disbursement case files		SO+5y	5y	DE
-----	-------------------------------	--	-------	----	----

(includes copies of cheques, funds received/trust disbursement approval form, demand notices, certificates of judgment, post reports, trust disbursement batch listing, and calculations)
(arrange numerically; then by the fiscal year of final disbursement)

(continued on next page)

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y = year

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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 government policy and procedures. For assistance, contact your Records Officer.

A SA FD

72400 TRUST DISBURSEMENTS (continued)

SO = when final trust disbursement is released; when bond funds are returned; and when unclaimed wages are claimed; and in all cases, if unclaimed, when funds are sent to the B.C. Unclaimed Property Society

10y = The retention period is based on the 10-year limitation period for commencing an action with respect to a trustee under the *Limitation Act* (RSBC 1996, c. 266, s. 3).

DE = Upon authorization of the records officer, Trust disbursement case files will be destroyed. Government policies regarding the receipt and disbursement of trust funds are fully retained under secondaries 72000-00 and 72000-02.

NOTE: Unclaimed funds are sent to the B.C. Unclaimed Property Society in accordance with the *Unclaimed Property Act* (SBC 1999, c. 48).

NOTE: Field offices will also retain some original trust disbursement records in the related complaint file. Older trust disbursement files may also contain copies of complaint records found within the related complaint file.

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OPERATIONAL RECORDS CLASSIFICATION SYSTEM

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A SA FD

72500 VARIANCE ISSUANCE

Records relating to the review of joint applications from employers and employees for variances to provisions stipulated in the *Employment Standards Act* (RSBC 1996, c. 113, s. 72). Variances are issued in the form of a determination, and cover provisions such as pay days, special clothing, minimum daily hours, maximum hours of work, and hours free from work.

Record types include applications, supporting documentation to the application, investigation documents, and determinations.

Unless otherwise specified below, the ministry OPR (Employment Standards Branch) will retain these records for:

CY+1y nil DE

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

SO nil DE

-00	Policy and procedures	- OPR	SO	5y	FR
		- <u>non-OPR</u>	<u>SO</u>	<u>nil</u>	<u>DE</u>
-01	General				
-02	Variance notifications (arrange chronologically)		SO	nil	DE

SO = when no longer required for reference purposes

-20	Variance case files (arrange by employer number/and or name)		SO+1y	2y	DE
-----	-----------------------------------------------------------------	--	-------	----	----

SO = when application is withdrawn, denied, or approved; and if approved, upon expiration or revocation of variance; and upon conclusion of all appeals and the expiration of all appeal periods

(continued on next page)

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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 government policy and procedures. For assistance, contact your Records Officer.

A SA FD

72500 VARIANCE ISSUANCE (continued)

3y = The retention ensures that records are available for the duration of the variance, and for a reasonable period should the employer apply for a renewal of the variance. It also ensures that records are available for the six-month time limit for filing a complaint that may pertain to the time period in which the variance was in effect.

DE = Upon authorization of the records officer, Variance case files will be destroyed. Government policies regarding the issuing of variances are fully retained under secondaries 72000-00 and 72000-02.

NOTE: Variances are issued for varying time periods but initial variances will typically be approved for up to two years.

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SR = Selective Retention
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OPERATIONAL RECORDS CLASSIFICATION SYSTEM

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INFORMATION SYSTEM OVERVIEW SECTION

TABLE OF CONTENTS

ISO TITLE

CASE System	CASE
Case Tracking System	CTS

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 government policy and procedures. For assistance, contact your Records Officer.

INFORMATION SYSTEM OVERVIEW

Name of Creating Agency

Ministry of Labour
Employment Standards Branch

System Title

CASE System (CASE)

Purpose

The purpose of CASE is to track the status of all Employment Standards Branch assignments. An assignment is the Employment Standards Branch term used for tracking the processing of applications, including complaints, permits, licences, due diligence searches, and variances.

CASE maintains files of employers for purposes of indentifying repeat offenders and for employees to reduce redundancy and enable searching of a variety of criteria. It also produces a variety of reports for operations and management.

NOTE: A project is underway to replace CASE with a new system, entitled the Case Tracking System (CTS). A separate Information System Overview has been prepared for CTS.

Information Content

CASE contains the following employer information: demographic information; industry group and type; variance/licence history; payment transaction history; domestic workers or home workers history; assignment history; summary of documents issued to the employer; and employer notes.

For employees, CASE contains the following information: demographic information; assignment history; summary of documents issued to the employee; and employee disbursement history.

Information maintained for each assignment includes start date, end date, outcome, officer in conduct, decision date, document type and number, penalty amounts, money received, and money disbursed.

CASE contains information from the late 1980s to the present. CASE is written in Powerhouse, which will not be supported beyond 2010.

Inputs, Processes, and Outputs

Inputs/Processes

CASE inputs consist of information obtained from the various physical files maintained by the branch, including the permit, licence, variance, trust disbursement, trade union certification, and complaint and investigation case files.

Administrative staff use the client-based component of CASE to input information. Employment Standards Officers use the web-based component, e-CASE, which is primarily read-only. e-CASE enables authorized users to search all employee and employer information that is tracked by CASE.

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 government policy and procedures. For assistance, contact your Records Officer.

Outputs

CASE outputs consist of several standardized forms, automatic letters, notifications, and reports.

Technical Maintenance

Electronic records are maintained on the system until their retention schedule is completed. In most cases, this parallels the schedule of related paper records. The electronic records are then purged from the system. Any exceptions to this purge routine are noted under specific secondaries.

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

Classification

Electronic System

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

Electronic Records

Secondary No.	Secondary Title
72000-20	Employment standards assignments tracking data
72200-02	Domestic worker registration data

Inputs

Secondary No.	Secondary Title
72100-20	Employment standards complaint case files
72100-30	Collective agreement dispute resolution case files
72100-40	Human rights investigation case files
72100-50	Labour relations investigation case files
72100-60	Skills development and fair wage investigation case files
72200-04	Due diligence searches
72200-20	Child employment permit case files
72200-25	Farm labour contractor audit and inspection case files
72200-40	Licence case files
72300-20	Union certification, decertification and final offer case files
72400-20	Trust disbursement case files
72500-20	Variance case files

Outputs

Secondary No.	Secondary Title
72100-20	Employment standards complaint case files
72100-30	Collective agreement dispute resolution case files
72100-40	Human rights investigation case files
72100-50	Labour relations investigation case files
72100-60	Skills development and fair wage investigation case files
72200-03	Domestic worker registration forms and confirmation letters
72200-04	Due diligence searches
72200-20	Child employment permit case files
72200-25	Farm labour contractor audit and inspection case files

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 government policy and procedures. For assistance, contact your Records Officer.

72200-40	Licence case files
72300-20	Union certification, decertification and final offer case files
72400-20	Trust disbursement case files
72500-20	Variance case files

Other Related Records

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

System Scheduling and Disposition

The system will be destroyed when the function it supports is no longer performed, and when the approved retention schedules covering the information on it have elapsed, or the information has been preserved elsewhere.

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 government policy and procedures. For assistance, contact your Records Officer.

INFORMATION SYSTEM OVERVIEW

Name of Creating Agency

Ministry of Labour
Employment Standards Branch

System Title

Case Tracking System (CTS)

Purpose

The purpose of CTS is to track the status of all Employment Standards Branch assignments. An assignment is the Employment Standards Branch term used for tracking the processing of applications, including complaints, permits, licences, due diligence searches, and variances.

CTS maintains files of employers for purposes of indentifying repeat offenders and for employees to reduce redundancy and enable searching of a variety of criteria. It also contains a library of form templates and produces a variety of reports for operations and management.

CTS operates on the Microsoft SQL Server 2008 Platform and utilizes the ASP.NET Software language.

Information Content

CTS contains the following employer information: demographic information; industry group and type; variance/licence history; payment transaction history; domestic workers or home workers history; assignment history; summary of documents issued to the employer; and employer notes.

For employees, CTS contains the following information: demographic information; assignment history; summary of documents issued to the employee; and employee disbursement history.

Information maintained for each assignment includes start date, end date, outcome, officer in conduct, decision date, document type and number, penalty amounts, money received, and money disbursed.

CTS contains historical data migrated from CASE, the former Case Tracking System used by the Employment Standards Branch. Only a portion of CASE data will be migrated to CTS, the remainder will be transferred to off-line storage.

Inputs, Processes, and Outputs

Inputs

CTS inputs consist of information captured from online complaint forms and information manually input from the various physical files, including complaints, investigations, permits, licences, variances, due diligence searches, trust disbursements, and the domestic registry.

Processes

CTS produces bring forward notifications of expiry dates, or time limitations, in certain circumstances; it records activities of an assignment; records determination information regarding moneys owed to employees, interest owed and penalties. It also captures results of appeals.

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 government policy and procedures. For assistance, contact your Records Officer.

Outputs

CTS outputs consist of several standardized forms, automatic letters, notifications, and reports. CTS does not interface with the Corporate Accounting system (CAS). CAS inputs are performed manually.

Technical Maintenance

Electronic records are maintained on the system until their retention schedule is completed. In most cases, this parallels the schedule of related paper records. The electronic records are then purged from the system. Any exceptions to this purge routine are noted under specific secondaries.

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

Classification

Electronic System

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

Electronic Records

Secondary No.	Secondary Title
72000-20	Employment standards assignments tracking data
72200-02	Domestic worker registration data

Inputs

Secondary No.	Secondary Title
72100-20	Employment standards complaint case files
72100-30	Collective agreement dispute resolution case files
72100-40	Human rights investigation case files
72100-50	Labour relations investigation case files
72100-60	Skills development and fair wage investigation case files
72200-04	Due diligence searches
72200-20	Child employment permit case files
72200-25	Farm labour contractor audit and inspection case files
72200-40	Licence case files
72300-20	Union certification, decertification and final offer case files
72400-20	Trust disbursement case files
72500-20	Variance case files

Outputs

Secondary No.	Secondary Title
72100-20	Employment standards complaint case files
72100-30	Collective agreement dispute resolution case files
72100-40	Human rights investigation case files
72100-50	Labour relations investigation case files
72100-60	Skills development and fair wage investigation case files
72200-03	Domestic worker registration forms and confirmation letters
72200-04	Due diligence searches
72200-20	Child employment permit case files

OPERATIONAL RECORDS CLASSIFICATION SYSTEM

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72200-25	Farm labour contractor audit and inspection case files
72200-40	Licence case files
72300-20	Union certification, decertification and final offer case files
72400-20	Trust disbursement case files
72500-20	Variance case files

Other Related Records

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

System Scheduling and Disposition

The system will be destroyed when the function it supports is no longer performed, and when the approved retention schedules covering the information on it have elapsed, or the information has been preserved elsewhere.

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 government policy and procedures. For assistance, contact your Records Officer.

SUBJECT HEADINGS

PRIMARY NUMBERS

EMPLOYMENT STANDARDS

OPERATIONAL RECORDS CLASSIFICATION SYSTEM (ORCS)

INDEX

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

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

This index contains an alphabetical listing of:

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

Cross-references:

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

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

(continued on next page)

OPERATIONAL RECORDS CLASSIFICATION SYSTEM

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SUBJECT HEADINGS

PRIMARY NUMBERS

- A -

ASSIGNMENTS	
- tracking	72000
ADJUDICATION	72100
ANNUAL	
- reports (SEE REPORTS)	
APPEALS	
- relating to complaints	72100
- relating to investigations	72100
- relating to licences	72200
- relating to permits	72200
- relating to variances	72500

- B -

BALLOTS	72300
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- C -

CASE SYSTEM	ISO Section
- assignments tracking data	72000
- domestic worker registration data	72200
CASE TRACKING SYSTEM	ISO Section
- assignments tracking data	72000
- domestic worker registration data	72200
CERTIFICATION	
- of trade unions	72300
CHILDREN	
- issuance of employment permits	72200
COLLECTIVE AGREEMENTS	
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DECERTIFICATION	
- of trade unions	72300

OPERATIONAL RECORDS CLASSIFICATION SYSTEM

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<u>SUBJECT HEADINGS</u>	<u>PRIMARY NUMBERS</u>
DOMESTIC WORKERS - registration	72200
DUE DILLIGENCE SEARCHES	72200
- E -	
EMPLOYMENT AGENCIES - licensing of	72200
- F -	
FACT SHEETS	72000
FARM LABOUR CONTRACTOR TRACKING SYSTEM - data	72200 72200
FARM LABOUR CONTRACTORS - audits and inspections of	72200
- licensing of	72200
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- G -	
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- H -	
- I -	
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- J -	
- K -	

OPERATIONAL RECORDS CLASSIFICATION SYSTEM

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<u>SUBJECT HEADINGS</u>	<u>PRIMARY NUMBERS</u>
	- L -
LABOUR RELATIONS - investigations	72100
LICENCES - issuance of	72200
	- M -
MEDIATION	72100
MONIES - bond	72400
	- N -
	- O -
	- P -
PERMITS - issuance of	72200
POLICY - guidelines	72000
- <i>Interpretation Guidelines Manual</i>	72000
- <i>Standards Operating Procedures (SOPs)</i>	72000
	- Q -
	- R -
REFERENCE MATERIALS	72000
REPORTS	72000
	- S -
SETTLEMENT AGREEMENTS	72100
SKILLS DEVELOPMENT AND FAIR WAGE - investigations	72100

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 government policy and procedures. For assistance, contact your Records Officer.

SUBJECT HEADINGS

PRIMARY NUMBERS

STATISTICS	72000
SUPREME COURT JUDGEMENTS	
- relating to complaints	72100
- relating to farm labour audits/inspections	72200
- relating to skill development and fair wage investigations	72100
SYSTEMS	
- CASE	ISO Section
- Case Tracking	ISO Section
- Farm Labour Contractor Tracking	72200
- Talent Agencies Tracking	72200
	- T -
TALENT AGENCIES	
- licensing of	72200
TALENT AGENCIES TRACKING SYSTEM	72200
- data	72200
TRADE UNIONS	
- certification of	72300
- decertification of	72300
- final offer votes	72300
TRUST FUNDS	
- disbursement of	72400
	- U -
	- V -
VARIANCES	
- issuance of	72500
VOTES	72300
	- W -
WAGES	
- unclaimed	72400

- X -

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SUBJECT HEADINGS

PRIMARY NUMBERS

- Y -

- Z -