Schedule No. **143928**

RECORDS RETENTION AND DISPOSITION AUTHORITY

Accession No. see *ORCS* "Introduction" part 2.6.1 (c)

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

Title: *Heritage Conservation Operational Records Classification System*

Community, Aboriginal and Women's Services
Community Services and Cultural Department
Heritage Branch

Description and Purpose:

The *Heritage Conservation Operational Records Classification System* (*ORCS*) covers all operational records created, received, and maintained by Heritage Conservation and some records held by the heritage sites in the province. These records document facilitating the protection and conservation of heritage property in British Columbia including funding of projects through the British Columbia Heritage Trust, funding and managing heritage properties by the provincial government, and development of heritage conservation policy.
For further descriptive information about these records, please refer to the attached executive summary.

secondary 60200-20
replaces schedule 105005

Date range: 1977 ongoing	**Physical format of records:** see attached schedule
Annual accumulation: 2.176 cubic meters	

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

THE UNDERSIGNED ENDORSE THE RECOMMENDATIONS:

B. Lacey
Records Officer — Date _July 9/03_

Executive Director/ADM — Date _July 16/03_

Deputy Minister/Corporate Executive — Date _Jul 28/03_

THE PUBLIC DOCUMENTS COMMITTEE CONCURS:

Chair, PDC — Date _19 APR 2004_

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

Date _Jan 31, 2005_

APPROVED BY RESOLUTION OF THE LEGISLATIVE ASSEMBLY:

Date _Feb 21, 2005_

OTHER STATUTORY APPROVALS:

Signature	Date	Signature	Date
Title:		Title:	

CONTACT: Linda Edgington, Manager, Finance and Operational Support, 356-1430
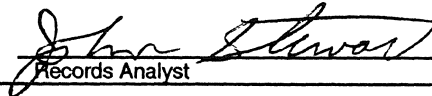
RECORDS MANAGEMENT APPRAISAL:

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

These records are created and received under the authority of the *Heritage Conservation Act* (RSBC 1996, c. 187) 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.

_____   2003/06/27
Records Analyst   Date
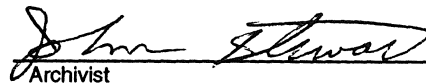
ARCHIVAL APPRAISAL:

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.

_____   2003/06/27
Archivist   Date

The undersigned endorses the appraisal recommendations:

_____   2003/06/27
Director, Corporate Records Management Branch   Date

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

<u>A</u>   <u>SA</u>   <u>FD</u>

HERITAGE CONSERVATION

OPERATIONAL RECORDS CLASSIFICATION SYSTEM (ORCS)

<u>EXECUTIVE SUMMARY</u>

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

These records document the protection and conservation of heritage property in British Columbia under the *Heritage Conservation Act* (RSBC 1996, c. 187).

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

This *ORCS* covers records created and received since 1977 when the *Heritage Conservation Act* was enacted to extend the protection of historic sites and to introduce new heritage conservation programs such as the BC Heritage Trust. Previous records relating to the functions documented in this *ORCS* have been appraised and scheduled under one-time records schedule(s) and/or under ongoing records schedule(s), and transferred to the government archives or destroyed as appropriate.

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.

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

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

		A	SA	FD
1)	**Policy and Procedures** (secondary -00 throughout *ORCS*)	SO	5y	FR

FR = Throughout this *ORCS*, the government archives will retain all policy and procedure files created by offices having primary responsibility for policy and procedure development and approval. These records have evidential value.

		A	SA	FD
2)	**Heritage Conservation Policy Development Projects** (secondary 60100-30)	SO+1y	6y	FR

These records document the development of provincial heritage conservation policy.

SO = when the project is completed, abandoned, or cancelled

7y = The seven-year retention period ensures that heritage conservation policy development projects that support legislation projects are retained for the same length of time.

FR = The government archives will fully retain heritage conservation policy development project files because they significantly document the work of the Heritage Branch related to federal/provincial issues and relations, and inter-ministerial issues and legislative projects. The Heritage Branch manages the heritage components of 21 statutes related to numerous government ministries and agencies.

		A	SA	FD
3)	**Heritage Site Case Files** (secondary 60300-20)	SO	6y	FR

These records document the history, acquisition, management, and operation of the 29 heritage sites owned by the Province.

SO = when the records are no longer required for the management and operation of the site

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

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

<u>A</u>   <u>SA</u>   <u>FD</u>

6y =   The six-year semi-active retention period ensures that records relating to agreements (e.g., rental and lease agreements) are retained for the six-year limitation period for commencing an action with respect to a contract under the *Limitation Act* (RSBC 1996, c. 266, s. 3).

FR =   The government archives will fully retain heritage site case files because they significantly document the history, as well as the provincial government's management and operation of these sites.

4) <u>Coastal/Okanagan Heritage Site Plans</u>   SO   nil   FR
        (secondary 60300-02)

These records document the grounds and buildings on heritage sites in the Coastal/Okanagan Region.

FR =   The government archives will fully retain Coastal Okanagan heritage site plans because they are the original plans of the provincial government's heritage buildings and grounds.

5) <u>Heritage Site Library and Historical Reference Materials</u>   SO   nil   SR
        (secondary 60300-04)

These records document the history of the heritage sites and surrounding areas.

SR =   The government archives will selectively retain these materials by retaining any materials that document the heritage sites and other subjects that are not already in the library and archival collections of the archives. These materials provide valuable reference material on the history of the heritage sites and related subjects.

6) *Heritage Conservation: A Community Guide*   SO   nil   FR
        (secondary 60000-03)

These records document advice on conservation practices and information on heritage legislation.

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		A	SA	FD

FR = The government archives will retain one copy of each edition of this publication because it provides advice for communities on heritage conservation and a summary of government legislation, policies and programs for heritage conservation.

7) **Archaeological Permits on Microfiche**   SO   nil   FR
       (secondary 60000-02)

These records document archaeological work authorized by the Province on public and private land in British Columbia. These records are copies of the original microfiche retained by the Archaeology and Registry Services Branch, Ministry of Sustainable Resource Management.

FR = The government archives will fully retain archaeological permits because they document the excavation of archaeological sites throughout British Columbia.

8) **BC Heritage Trust Annual Reports**   SO   nil   FR
       (secondary 60200-03)

These records document the activities and funding programs and decisions of the BC Heritage Trust.

FR = The government archives will retain one copy of each annual report. These reports describe the Trust's programs and board functions and summarize the major accomplishments for each year. They also include a financial report and list the projects funded by the Trust for the year.

9) **BC Heritage Trust Funding Project Files**   FY+2y   2y   SR
       (secondary 60200-20)

These records document funding applications submitted to the BC Heritage Trust.

5y = The five-year retention period ensures that the project has been completed satisfactorily and is no longer required for reference purposes.

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<u>A</u>   <u>SA</u>   <u>FD</u>

SR = The government archives will selectively retain funding project files by retaining all final reports from funded projects. These reports document the results and findings from all projects funded by BC Heritage Trust, and document the major heritage projects, buildings and sites in communities throughout the province.

10)   <u>Electronic Records</u>   DE

The following electronic database is covered by this *ORCS*: BC Heritage Trust Funding Database. Notes under the relevant *ORCS* secondary (60200-30) provide information about the classification and scheduling of the records. These records have no enduring value to government at the end of their scheduled retention periods.

11)   <u>All Other Records</u>   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 six years after they are superseded or obsolete. The information these records contain is summarized elsewhere, or reflects policies and procedures adequately documented in records covered by the -00 Policy and procedures secondaries. Significant issues are documented in records which will be retained under the provisions of this *ORCS*, as well as in briefing notes to the ministry executive (*ARCS* secondary 280-20) and Ministry of Community, Aboriginal and Women's Services annual reports (*ARCS* secondary 442-20). These records have no enduring value to government at the end of their scheduled retention periods.

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FD = Final Disposition | NA = Not Applicable | SR = Selective Retention
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HERITAGE CONSERVATION

OPERATIONAL RECORDS CLASSIFICATION SYSTEM

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HOW TO USE *ORCS*

For further information, call your Records Officer,
Bea Nacey, 387-9174

HOW TO USE *ORCS*

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

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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

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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.

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The Purpose of *ORCS*

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

Responsibility for *ORCS*

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

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

The BC Archives is responsible for preserving and providing access to records of enduring value to the province. The BC Archives takes care of records that are no longer needed by their creating agencies and have been appraised by an archivist for full or selective retention. In scheduling terms, these records have become inactive and have final disposition designations of full or selective retention. Records in BC Archives custody can be accessed through the 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).

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1.3   Introduction to the *Heritage Conservation ORCS*

The operational records in this *ORCS* relate to the operations and services provided by your branch in carrying out the functions for which they are responsible according to statute, mandate, or policy. These records document the protection and conservation of heritage property in British Columbia under the *Heritage Conservation Act* (RSBC 1996, c. 187.

This *ORCS* covers all operational record series created or received by your branch since 1977, when the *Heritage Conservation Act* was enacted to extend the protection of historic sites and to introduce new heritage conservation programs such as the BC Heritage Trust. 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	60000-60999	Heritage Conservation

Covers records relating to encouraging and facilitating the protection and conservation of heritage property in British Columbia under the *Heritage Conservation Act* (RSBC 1996, c. 187).

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

- First, there is a section default primary, which provides general information relating to the whole section and to records repeated in other primaries throughout the section ("reserved secondaries" - see 2.6.1).

- The section default primary is followed by all the other primaries, arranged in alphabetical order.

- Groups of related primaries, called "primary blocks", appear together, indicated by two-part titles and an initial "general" primary (for example, ""Client Group Issues - General" and "Client Group Issues - Families").

As well as the 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)
- Glossary of Terms (provides useful definitions of records management terminology used throughout the *ORCS*)
- Index (aids in classifying and finding records - see 3.6 for further discussion) (not created for this *ORCS*)

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

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.

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2.1

	A	SA	FD

23120   EXTRATERRESTRIAL REGISTRATION AND TRACKING

2.2 Records relating to the registration of extraterrestrial visitors to the province. An extraterrestrial is any sentient being originating from another planet, regardless of appearance or ancestry. Extraterrestrials are registered and tracked to ensure they do not contravene federal and provincial legislation by attempting world domination, body-snatching, or other anti-democratic activities. Registrants must provide identifying information and report regularly to the ministry liaison assigned.

Record types include registration forms, reference materials, photographs, videotapes, correspondence, memoranda, and reports.

2.3 For a description of the Extraterrestrial Registration System (ERS), see Information System Overview (ISO) section. For records relating to diplomatic etiquette and protocol used in communication with representatives of foreign governments, see *ARCS* primary 415.

2.4

	A	SA	FD
2.5 Unless otherwise specified below, the ministry OPR (Unidentified Flying Objects Branch) will retain these records for:	CY+1y	3y	DE
Except where <u>non-OPR retention periods</u> are identified below, all other ministry offices will retain these records for:	SO	nil	DE

2.6

		A	SA	FD
-00	Policy and procedures			
	- OPR	SO	5y	FR
	- <u>non-OPR</u>	SO	nil	DE
-01	General			
-02	Complaints and inquiries			
-03	Extraterrestrial reports and statistics	CY+1y	3y	FR

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

2.7

(continued on next page)

A = Active	CY = Calendar Year	SO = Superseded or Obsolete
SA = Semi-active	FY = Fiscal Year	DE = Destruction
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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   SO   NA   NA
(includes reference materials relating to visits and visitors as yet unconfirmed and unidentified)

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

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

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

`2.9`   SO =   when extraterrestrial visitor leaves the province

NOTE: The OPR will store extraterrestrial registrant case files under ongoing RCS accession number 99-9111.

303y =   This ensures that the file can be reopened if the extraterrestrial returns later in its lifetime.

SR =   The government archives will selectively retain these records because they document the effect of extraterrestrial visitors on the province. All files relating to green extraterrestrials will be retained. All other files will be boxed separately and destroyed.

VR   -30   Extraterrestrial Registration System (ERS)   SO   nil   DE
(electronic database)
`2.10`
`2.11`   SO =   when the function supported by the database is no longer performed by government

---

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

I:\heritage conservation\how to.doc: 2005/02/21   Schedule 143928   ORCS/HCON HOW TO USE - 11

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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.

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

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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.

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2.4.3 Final Disposition Column

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

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

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

2.5 Office of Primary Responsibility (OPR)

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

For each primary, *ORCS* distinguishes between the office 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 BC Archives are aware of these changes.

2.6 Secondary Number and Title

Secondary numbers and titles designate specific series or groupings of records relating to the function covered by the primary. Secondary titles describe specific types of records and secondary numbers link them to the records retention and disposition

schedule. The two-digit secondary number is added to the five-digit primary number to form a complete file number, for example, 23120-04.

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

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

2.6.1 <u>Reserved Secondaries</u>

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

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

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

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

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

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

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

2.6.2 Secondaries -02 to -19 (subject secondaries)

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

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

2.6.3 Case File Secondaries (-20 and higher)

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

2.6.4 Coded Series

Case file secondaries are usually subdivided through the use of codes. A code identifies the specific person, event, project, or other entity covered by the file. Codes can take the following forms: proper names; 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".

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2.7 Key of Terms (Abbreviations in Footer)

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

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

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

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

w = week

m = month

y = year

CY = Calendar Year (1 January to 31 December)

FY = Fiscal Year (1 April to 31 March)

SO = Superseded or Obsolete

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

i) Routine Records

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

The most common form of delegated disposition authority is:

Active	Semi-Active	Final Disposition
SO	nil	DE

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

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sample primary, <u>non-OPR</u> policy and procedures files (secondary -00) are routine records which are designated SO.

For information on destruction services, contact your Records Officer.

ii) <u>Specific Definition of SO</u>

"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.

<u>NA = Not Applicable</u>

"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.

<u>nil = no semi-active retention period</u>

"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 <u>non-OPR</u> 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.

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2.7.2 Terms Used in the Final Disposition Column

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

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

FR = Full Retention

"FR" means that a government archivist has determined that all of the records covered by a secondary have enduring value. BC Archives, also known as the government archives, preserves records designated FR in their entirety. Under the terms of full retention, the archivist responsible may destroy unnecessary duplicates, publications, waste and scrap materials, ephemera (often published material of short-term value), and other items which are not an integral part of the record series. The reasons for full retention are explained in an "FR =" statement. In the sample primary, extraterrestrial reports and statistics (secondary -03) are FR "because they document and analyse extraterrestrial visitors to the province."

SR = Selective Retention

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

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

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

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

DE = Destruction

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

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

NA = Not Applicable

See explanation of NA in 2.7.1.

2.7.3   Other Terms

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

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

2.8   Freedom of Information and Protection of Privacy Flags

All Personal Information Banks (PIB) and Public Use Records (PUR) must be flagged within BC Government records classification systems (see glossary for definitions). 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 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.

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FOI:	This note explains issues of confidentiality relating to the records. See discussion of the FOI note in section 2.8.
NOTE:	This note provides any other useful information related to the scope of the secondary, such as history of the records, volume of the records, filing procedures, whether there is an ongoing accession number, or location of copies. In the sample primary, secondary -20 has a note specifying that when the files go offsite, they will be stored "under ongoing RCS accession number 99-9111." For discussion of ongoing accession numbers, see section 3.9.1(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.

2.11   <u>Vital Records Flags</u>

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

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

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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.

The *Document Disposal Act* establishes procedures for the approval of the records schedules and classification systems developed by BC Archives, government ministries,

and other government agencies. This *ORCS* was reviewed by BC Archives staff, your executive, the Public Documents Committee, and the Select Standing Committee on Public Accounts (commonly called the Public Accounts Committee). It was then approved by resolution of the Legislative Assembly. That resolution established this *ORCS* as the retention and disposition schedule for the operational records of the Heritage 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.

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

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

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

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

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

3.4.2   Classifying Records

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

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

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

When classifying the document, use the alphabetic subject index (not created for this *ORCS)* 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 (not created for this *ORCS*)

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

b)   Broad Subject Approach

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

3.5   The File List

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

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

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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 (not created for this *ORCS*) contains an alphabetical listing of primary and secondary subjects, frequently used terms, organizations, form titles or numbers, etc. This index is the main access point by which the user may quickly locate a subject and the appropriate primary. For commonly used subjects or forms, the index allows rapid access into the classification system in order to determine a primary number.

As a further aid in the retrieval and classification of administrative and operational records, BC Archives 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.

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

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

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

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

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

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

3.8   Filing and Maintenance Procedures

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

The basic activities involved in filing and maintenance are:
- mail management
- sorting
- registration
- classification
- indexing and cross-reference
- location control
- filing
- charge-out
- distribution
- recall and search
- re-filing
- physical maintenance
- purging
- retention and disposition

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

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

To effectively implement and maintain *ORCS*, offices should develop and document records management procedures. Filing and maintenance procedures are classified in

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ARCS 423-00. Your Records Officer can help to develop appropriate procedures for your office.

3.8.1 File Maintenance

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

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

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

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

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

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

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

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

Where possible, sheets should be fastened in the file folder. When this is not possible or for ease in culling files at the end of the year, BC Archives recommends attaching documents to a file back sheet. The file back should be labelled with the fiscal or

calendar year and classification number. Use a closed file notice for each file back when the file is closed and mark on it the method and date of final disposition (e.g., "for DE on 1 April 1999"; "for SR on 1 January 2010"; "for FR on 1 April 2001").

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

3.8.2 File Circulation

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

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

3.9 Boxing and Transfer Instructions

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

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

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

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

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3.9.1 Accession Numbers

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

For the purposes of illustration, we will use 91-0123 as an example of an accession number. No office should use it to prepare records for transfer!
Box Number: 91-0123-01

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

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

a)   One-time Accession Numbers

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

b)   Ongoing Accession Numbers (OANs)

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

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

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

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

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

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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.

c)   Ongoing Accession Numbers for Heritage Branch

In this *ORCS*, ongoing accession numbers have been established for the following categories of OPR records. The accession numbers are based upon semi-active retention periods and final disposition recommendations. The Records Officer is responsible for maintaining and updating the list of ongoing accession numbers relating to this *ORCS*.

OAN	Primary and Secondary No.	Primary and/or Secondary Title	SA	FD
91-0402	60200-20	BC Heritage Trust funding project files	2y	SR

For further information about ongoing accession numbers and lists of the numbers, contact your Records Officer.

3.9.2 Transfer of Records to Off-Site Storage

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

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

a)   Arranging Boxes

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

1. Do not put files covered by different retention and disposition schedules (*ARCS* - 100001 or *ORCS*) in the same box.

2. Box records scheduled for destruction (DE) separately from records scheduled for selective retention (SR) or full retention (FR).

3. Box SR records separately from FR records. Contact your Records Officer if your office does not generate a sufficient volume of records to allow for full separate boxes.

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4. If records have no scheduled semi-active retention period and a scheduled final disposition of SR or FR (e.g., SO, nil, SR), box them separately from all other records. Arrange the files within the box by primary and secondary number. Contact your Records Officer if your office does not generate a sufficient volume of records to allow for full separate boxes.

5. Place records of the same or similar retention periods and date ranges in the same box.

6. Whenever possible, box records of the same type together (e.g., case file series or large subject file series should be boxed together).

7. If records have different semi-active retention periods, box first by retention period and then within retention period by primary and secondary numbers.

b) Box Numbering

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

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

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

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

3.10 Freedom of Information and Protection of Privacy

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

To determine whether your records are outside the scope of the legislation, whether your records contain personal or confidential material, and what procedures for information disclosure exist within your ministry or agency, contact your 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.

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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).

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

3.12 Implementation of *ORCS*

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

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

The eight requirements for implementation and maintenance of *ORCS* are:
1. Executive support.
2. A records management policy.
3. An implementation and training plan.
4. Designated responsibilities for implementation and maintenance of *ORCS*.
5. 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

BC Archives provides limited advisory services to assist records officers with the implementation and maintenance of *ORCS*. Your Records Officer is available to help you establish efficient filing procedures and effective records administration. Other services which may be provided by your Records Officer are as follows:
- project planning and coordination assistance
- file conversions
- a records management training program

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

3.14   Amendment and Update of *ORCS*

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

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

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

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

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

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

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

- A bullet indicates a change at the primary or secondary level which has been approved by the Legislative Assembly.

<u>A</u>   <u>SA</u>   <u>FD</u>

S E C T I O N 1

H E R I T A G E C O N S E R V A T I O N

P R I M A R Y N U M B E R S

6 0 0 0 0 - 6 0 9 9 9

Section 1 covers records relating to encouraging and facilitating the protection and conservation of heritage property in British Columbia under the *Heritage Conservation Act* (RSBC 1996, c. 187). This includes records relating to: funding available through the British Columbia Heritage Trust, heritage sites owned by the provincial government, and heritage conservation policy.

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

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<u>A</u>   <u>SA</u>   <u>FD</u>

SECTION 1

60000 - HERITAGE CONSERVATION - 60999

TABLE OF CONTENTS

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
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		A	SA	FD

60000   <u>HERITAGE CONSERVATION - GENERAL</u>

Records not shown elsewhere in the heritage conservation section which relate generally to encouraging and facilitating the protection and conservation of heritage property in British Columbia. The provincial government's heritage conservation program is described in the web site classified under secondary -04.

Record types include correspondence, permits, publication, and web site.

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

	A	SA	FD
Unless otherwise specified below, the ministry OPR (Heritage Branch, headquarters) will retain these records for:	CY+2y	nil	DE
Except where <u>non-OPR retention periods</u> are identified below, all other ministry offices will retain these records for:	<u>SO</u>	<u>nil</u>	<u>DE</u>

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

FR = The government archives will retain all policy and procedure files created by offices having primary responsibility for policy and procedure development and approval. These records have evidential value.

		A	SA	FD
-01	General			
-02	Archaeological permits on microfiche	SO	nil	FR

FR = The government archives will fully retain archaeological permits because they document the excavation of archaeological sites throughout British Columbia.

NOTE: This secondary provides for the retention and disposition of a copy of archaeological permits on microfiche retained by the Heritage Branch. The originals are in the custody of the Archaeology and Registry Services Branch, Ministry of Sustainable Resource Management.

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		A	SA	FD

60000   HERITAGE CONSERVATION - GENERAL (continued)

		A	SA	FD
-03	*Heritage Conservation: A Community Guide*	SO	nil	FR

    FR =   The government archives will retain one copy of each edition of this publication because it provides advice for communities on heritage conservation and a summary of government legislation, policies and programs for heritage conservation. A copy of the 1994 edition published in paper form will be transferred to the archives. As well, later editions published in electronic format will be printed each year and transferred to the archives along with other records for full retention.

		A	SA	FD
-04	Heritage conservation web site	SO	nil	DE

    SO =   when the web site is altered, updated, redesigned or closed

    DE =   As the web site is updated, superseded/obsolete versions of documents on it may be destroyed in accordance with approved retention schedules. When the web site is closed, it can be destroyed after relevant schedules have elapsed and/or the documents have been classified elsewhere.

    NOTE: This web site (www.mcaws.gov.bc.ca/heritage_branch) provides general information about the services provided by the Heritage Branch, including contact information, publications, and links to related web sites. Because this is a simple web site, an information system overview for a web site has not been developed.

    NOTE: All documents presented on this web site are classified under appropriate secondaries within this *ORCS* or in *ARCS*.

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		<u>A</u>	<u>SA</u>	<u>FD</u>

60100   HERITAGE CONSERVATION - POLICY DEVELOPMENT

Records relating to providing advice and information to the minister, local governments, and other clients on legislation and conservation practices in order to enable effective conservation of heritage property by the provincial government and communities. This includes researching and providing advice on specific properties identified by communities as having heritage value or character.

Record types include correspondence, issue papers, copies of briefing notes, and other types of records as indicated under relevant secondaries.

For executive briefing notes, see *ARCS* secondary 280-20.
For legal opinions, see *ARCS* secondary 350-25.
For legislation projects, see *ARCS* secondary 135-40.
For minister's correspondence, see *ARCS* secondary 280-30.

			A	SA	FD
Unless otherwise specified below, the ministry OPR (Heritage Branch, headquarters) will retain these records for:			CY+2y	nil	DE
Except where <u>non-OPR retention periods</u> are identified below, all other ministry offices will retain these records for:			<u>SO</u>	<u>nil</u>	<u>DE</u>
-00	Policy and procedures	- OPR	SO	5y	FR
		- <u>non-OPR</u>	<u>SO</u>	<u>nil</u>	<u>DE</u>
-01	General				
-02	Monitoring the *Heritage Conservation Act* (includes correspondence, copies of legal opinions, and copies of judicial decisions)		SO	nil	DE

NOTE: This secondary covers correspondence critical of the provincial government's heritage conservation legislation, as well as legal interpretations of the legislation and judicial decisions that may affect it. Projects related to possible changes to the legislation are classified under secondary -30.

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				A	SA	FD

60100   HERITAGE CONSERVATION - POLICY DEVELOPMENT (continued)

				A	SA	FD
-20	Community heritage files (includes correspondence, plans, drawings, photographs, brochures, news clippings, and working papers) (arrange by a coding system based on the regional district and historic place [e.g., community or property])			SO	2y	DE

SO =   when no longer required for research or to provide advice to communities about conservation practices and the administration of heritage legislation

2y =   The two-year semi-active retention period ensures that these records will not be of any further use.

DE =   These files will be destroyed because significant community heritage activities are documented in the BC Heritage Trust funding project files (60200-20), which are selectively retained by the government archives.

				A	SA	FD
-30	Heritage conservation policy development projects (arrange by project)			SO+1y	6y	FR

SO =   when the project is completed, abandoned, or cancelled

7y =   The seven-year retention period ensures that heritage conservation policy development projects that support legislation projects are retained for the same length of time.

FR =   The government archives will fully retain heritage conservation policy development project files because they significantly document the work of the Heritage Branch related to federal/provincial issues and relations, and inter-ministerial issues and legislative projects. The Heritage Branch manages the heritage components of 21 statutes related to numerous government ministries and agencies.

NOTE: The anticipated volume is two to three standard boxes per year.

(continued on next page)

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PIB =	Personal Information Bank	w = week m = month	FR =	Full Retention
PUR =	Public Use Records	y = year	FOI =	Freedom of Information/Privacy
OPR =	Office of Primary Responsibility		VR =	Vital Records

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<u>A</u>   <u>SA</u>   <u>FD</u>

60100   <u>HERITAGE CONSERVATION - POLICY DEVELOPMENT</u> (continued)

> NOTE: Heritage conservation legislation project files are
> classified under *ARCS* secondary 140-20.

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<u>A</u>   <u>SA</u>   <u>FD</u>

60200   <u>BRITISH COLUMBIA HERITAGE TRUST FUNDING</u>

Records relating to grants and scholarships available through British Columbia Heritage Trust from 1978 to 2003.

The grants and scholarships were awarded for one-year terms.

Grants were available to registered non-profit societies, local governments, First Nations bands, and post-secondary institutions for community heritage initiatives (e.g., historic building conservation, historic site conservation, artifact conservation, archaeology, interpretive projects, research, and strategic and management plans).

Scholarships were available to BC university students in both undergraduate and graduate degree programs; student prizes were available to BC high school graduates who were continuing on to post-secondary institutions; and study grants were available to professionals or volunteers from local government, non-profit organizations, or First Nation band councils to participate in workshops, symposia, or academic/professional courses in the conservation of historic places.

Program staff reviewed the grant, scholarship and student prize applications according to established eligibility criteria and made recommendations for the approval of the BC Heritage Trust Board or designate.

A case file was created for each applicant upon receipt of an application or letter requesting funding, unless the applicant was clearly not eligible for funding. Ineligible applicants were notified in writing. Those records are classified under secondary -02.

Recipients were required to sign Terms of Award documents which specified the amounts and terms of their funding, their obligations, reporting requirements, deliverables, and payment schedules.

Record types include correspondence, annual reports, applications and supporting documentation, proposals, copies of signed Terms of Award documents, and interim and final reports.

For the BC Heritage Trust Board meetings, see *ARCS* secondary
200-20.

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			<u>A</u>	<u>SA</u>	<u>FD</u>
60200	**BRITISH COLUMBIA HERITAGE TRUST FUNDING** (continued)				
	Unless otherwise specified below, the ministry OPR (Heritage Branch) will retain these records for:		FY+2y	nil	DE
	Except where <u>non-OPR retention periods</u> are identified below, all other ministry offices will retain these records for:		<u>SO</u>	<u>nil</u>	<u>DE</u>
-00	Policy and procedures	- OPR	SO	5y	FR
		- <u>non-OPR</u>	<u>SO</u>	<u>nil</u>	<u>DE</u>
-01	General				
-02	Ineligible requests for BC Heritage Trust funding (includes applications and correspondence)				
-03	BC Heritage Trust annual reports		SO	nil	FR

FR = The government archives will retain one copy of each annual report. These reports describe the Trust's programs and board functions and summarize the major accomplishments for each year. They also include a financial report and list the projects funded by the Trust for the year.

		<u>A</u>	<u>SA</u>	<u>FD</u>
-20	BC Heritage Trust funding project files (arrange by fiscal year, then sequential number)	FY+2y	2y	SR

5y = The five-year retention period ensures that the project has been completed satisfactorily and is no longer required for reference purposes.

SR = The government archives will selectively retain funding project files by retaining all final reports from funded projects. These reports document the results and findings from all projects funded by BC Heritage Trust, and document the major heritage projects, buildings and sites in communities throughout the province.

see 94-6431

containing some of these.

NOTE: The OPR will store BC Heritage Trust funding project files under ongoing RCS accession number 91-0402.

NOTE: This secondary replaces approved ongoing records schedule 105005.

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			A	SA	FD

60200   BRITISH COLUMBIA HERITAGE TRUST FUNDING (continued)

These files contain approved and not approved applications. Until 2002, there were approximately 200 grant applications received each year, and approximately 140 of those were funded. In addition, approximately 10 student prizes, five scholarships, and five study grants were awarded each year. The volume since the inception of the program in 1978 is approximately six standard boxes per year.

PIB	-30	BC Heritage Trust funding data (also known as the grant log database) (electronic records)	SO	nil	DE

SO = when no longer required for analysis

NOTE: These records date back to the inception of BC Heritage Trust funding in 1978. Records since 1985 are more detailed than earlier records, but all entries contain the file number, name of applicant, brief description of the project, its location, and the amount of funding received. Reports are generated on an ad hoc basis and are classified under the relevant *ORCS* or *ARCS* secondary.

NOTE: Because these records are created on a Microsoft Access database, an information system overview has not been created.

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	A	SA	FD

60250   HERITAGE BRANCH FUNDING

Records relating to funding available through the branch to encourage and facilitate heritage conservation in BC communities. Funding is currently provided through the federal government's Historic Places Initiative (HPI) and four provincial Community Heritage Planning Programs: Strategic Planning Program, Implementation Planning Program, Community Heritage Registers Program, and Conservation and Feasibility Planning Program.

Community Heritage Planning Program funding supports the development of community heritage registers, and the preparation of community heritage strategic plans, implementation plans, and conservation and feasibility plans. Funding is provided under the terms of contribution agreements, and is available to local governments, and depending on the program, First Nations bands, post-secondary institutions, school districts, registered non-profit societies, provincial crown corporations, and regional health authorities.

Proposals for Community Heritage Planning Program funding may be submitted at any time, but an approved project must be completed by the government's year-end (March 31) of the same fiscal year in which the project was approved. Program staff review the proposals according to established eligibility criteria outlined in the program guidelines classified under secondary 60250-02, and notify all applicants by letter of their decision.

HPI funding is provided under the terms of contribution agreements to local governments for the development of local community heritage registers according to national documentation standards.

Record types include correspondence, proposals, copies of signed agreements, financial plans, interim and final expenditure statements and reports, and deliverables (e.g., copies of strategic plans, conservation and feasibility plans, implementation plans, and council or board resolutions officially adopting a community heritage register).

	A	SA	FD
Unless otherwise specified below, the ministry OPR (Heritage Branch) will retain these records for:	FY+2y	nil	DE

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
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			A	SA	FD

60250   HERITAGE BRANCH FUNDING (continued)

			A	SA	FD
	Except where <u>non-OPR retention periods</u> 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>	SO	nil	DE
-01	General				
-02	Heritage Branch funding guidelines		SO	nil	FR

> FR =   The government archives will fully retain Heritage Branch funding guidelines because they provide a concise description of the funding programs available through the branch.

			A	SA	FD
-20	Community heritage planning funding project files (arrange by fiscal year, then sequential number)		SO+1y	6y	SR

> SO =   upon expiry or termination of the contract

> 7y =   The seven-year retention period is based on the six-year limitation period for commencing an action with respect to a contract under the *Limitation Act* (RSBC 1996, c. 266, s. 3).

> SR =   The government archives will selectively retain community heritage planning funding project files by retaining all final reports and deliverables. Those records document the results of all funded projects, as well as heritage conservation plans and activities in BC communities.

			A	SA	FD
-30	Heritage Branch funding tracking data (electronic records)		SO	nil	DE

> SO =   when no longer required for analysis

(continued on next page)

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		A	SA	FD

60250   HERITAGE BRANCH FUNDING (continued)

> NOTE: These records date from the inception of branch funding programs in 2003. All entries contain the file number, name of applicant, brief description of the project, its location, and the amount of funding received. Reports are generated on an ad hoc basis and are classified under the relevant *ORCS* or *ARCS* secondary.

> NOTE: Because these records are created on a Microsoft Access database, an information system overview has not been created.

-40   Historic Places Initiative (HPI) funding project files   SO+1y   6y   SR
(arrange by fiscal year, then sequential number)

> SO =   upon expiry or termination of the contract

> 7y =   The seven-year retention period is based on the six-year limitation period for commencing an action with respect to a contract under the *Limitation Act* (RSBC 1996, c. 266, s. 3).

> SR =   The government archives will selectively retain Historic Places Initiative funding project files by retaining all final reports and deliverables. Those records document the development of community heritage registers by local governments in BC.

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<u>A</u>   <u>SA</u>   <u>FD</u>

60300   HERITAGE SITES

Records relating to 29 heritage sites situated throughout British Columbia and owned by the provincial government. Many of the sites have been developed to enable visitors to experience a variety of different methods of interpreting BC history (e.g., restored original buildings and grounds, period exhibits, and interpretation programs). The principal sites include Barkerville Historic Town, Cottonwood House, Craigflower Manor and Schoolhouse, Emily Carr House, Fort Steele Heritage Town, Keremeos Grist Mill and Gardens, Haig-Brown House, Historic Hat Creek Ranch, Kilby Store and Farm, Point Ellice House, Historic Yale, and the Xá:ytem Longhouse.

The provincial government purchased the first site (Helmcken House) in 1939, and has managed and operated these sites with the help of seasonal contractors since then. The files contain information on the site's history, acquisition, artifact collection, programming, restoration, maintenance, and repair.

With the devolution of the management and operation of these sites to non-profit organizations and the private sector in 2004, records relevant to the ongoing management and operation of the sites will be provided to contracted site operators for the duration of their contracts. Upon expiry or termination of the contracts, the records will be returned to the Province.

Record types include correspondence, forms, lists, photographs, drawings, catalogues, scripts, audiotapes, videotapes, CD-ROMS, brochures, newspaper and journal articles, plans, and reports.

For contracts, see *ARCS* secondary 1070-20.

Unless otherwise specified below, the ministry OPR (Heritage Branch, regional offices) will retain these records for: CY+2y   nil   DE

Except where <u>non-OPR retention periods</u> are identified below, all other ministry offices will retain these records for: <u>SO</u>   <u>nil</u>   <u>DE</u>

			A	SA	FD
-00	Policy and procedures	- OPR	SO	5y	FR
		- <u>non-OPR</u>	SO	nil	DE
-01	General				
-02	Coastal/Okanagan heritage site plans		SO	nil	FR

OPR = Heritage Branch, headquarters

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			<u>A</u>	<u>SA</u>	<u>FD</u>

60300   <u>HERITAGE SITES</u> (continued)

      FR =   The government archives will fully retain Coastal Okanagan heritage site plans because they are the original plans of the provincial government's heritage buildings and grounds.

			A	SA	FD
-03	Coastal/Okanagan visitor daily attendance sheets		FY+1y	nil	DE

      OPR = Heritage Branch, headquarters

      2y =   The two-year retention period ensures that anomalies with the data on the Point of Sale System have been caught.

      NOTE: These sheets are received from heritage sites in the Central/Okanagan Region, and the information is keyed to an automated cash register (currently the Point of Sale System). The other two regions (i.e., Northern Interior and Southern Interior Regions) enter attendance and revenue information directly to the Point of Sale System.

      NOTE: The data on the Point of Sale System is covered by *ARCS* primary 935.

			A	SA	FD
-04	Heritage site library and historical reference materials		SO	nil	SR

      SR =   The government archives will selectively retain these materials by retaining any materials that document the heritage sites and other subjects that are not already in the library and archival collections of the archives. These materials provide valuable reference material on the history of the heritage sites and related subjects.

			A	SA	FD
-05	Heritage site visitor statistical reports (includes spreadsheets)		SO	nil	DE

      OPR = Heritage Branch, headquarters

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	A	SA	FD

60300   <u>HERITAGE SITES</u> (continued)

> NOTE: These are annual cumulative reports printed from an Excel spreadsheet. They document visitor attendance and revenue for each year and heritage site since 1996. The original data is downloaded to Excel from the Point of Sale System, and then manipulated.

		A	SA	FD
-20	Heritage site case files (arrange first by region, then site, and then by subject)	SO	6y	FR

> SO = when the records are no longer required for the management and operation of the site

> 6y = The six-year semi-active retention period ensures that records relating to agreements (e.g., rental and lease agreements) are retained for the six-year limitation period for commencing an action with respect to a contract under the *Limitation Act* (RSBC 1996, c. 266, s. 3).

> FR = The government archives will fully retain heritage site case files because they significantly document the history, as well as the provincial government's management and operation of these sites.

> NOTE: These records document the history and acquisition of each site (including legal descriptions of the properties and lease and rental agreements); the overall planning, development and management of each site; the acquisition of the artifact collection at each site; events and activities held at each site; the day-to-day operation of each site, including the maintenance of grounds, repair of buildings, and installation of signs; security systems used at the sites; the conservation and restoration of each site; site capital projects (e.g., painting, reroofing, and structural upgrades), as well as new construction on the site, which may involve renovations; and research on the original buildings, furnishings, gardens, and residents.

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FD =	Final Disposition	NA =	Not Applicable
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PUR =	Public Use Records	y =	year
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			<u>A</u>	<u>SA</u>	<u>FD</u>
60300	**HERITAGE SITES** (continued)				
	-27	Heritage site use agreement files (also known as park use permits) (arrange by region, then site)	SO	6y	DE

SO = upon expiry or termination of the agreement

6y = The six-year semi-active retention period is based on the six-year limitation period for commencing an action with respect to a contract under the *Limitation Act* (RSBC 1996, c. 266, s. 3).

NOTE: These are standard agreements that allow organizations to provide interpretive and public programs and services, including tours, theatres, stores, and restaurants.

	-29	Heritage site visitor services files (arrange by region, then site)	SO	nil	DE

SO = when daily attendance and revenue figures are sent to headquarters, and in the case of projects, when completed, abandoned, or cancelled and no longer required for reference purposes

NOTE: These records document visitor projects (e.g., heritage passport promotion project). In the Coastal/Okanagan Region, they also document daily site attendance and revenue sheets, copies of which are sent to headquarters and classified under secondary -03.

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