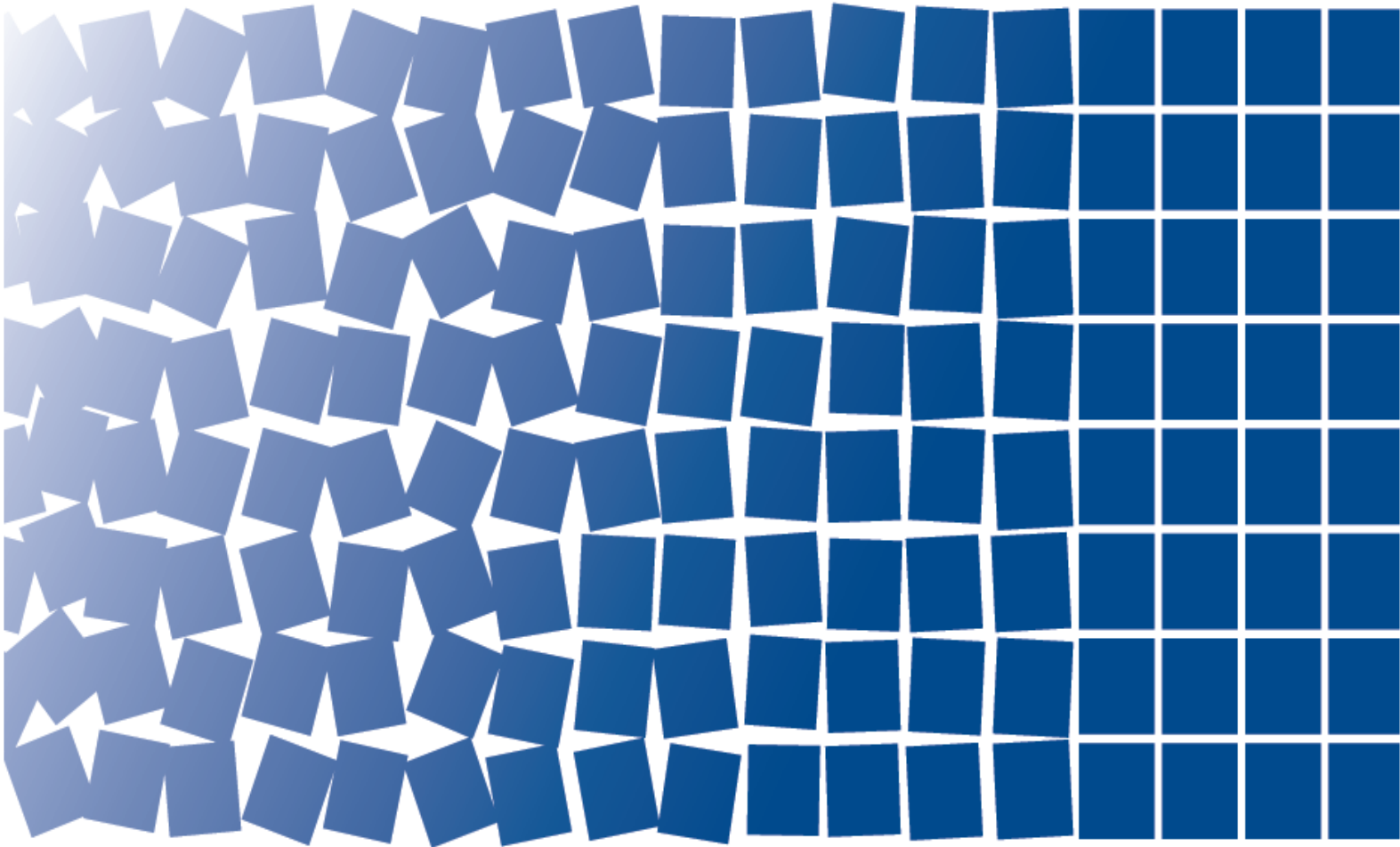


LIQUOR CONTROL AND LICENSING OPERATIONAL RECORDS CLASSIFICATION SYSTEM



GOVERNMENT RECORDS SERVICE

**LIQUOR CONTROL AND
LICENSING
OPERATIONAL
RECORDS
CLASSIFICATION
SYSTEM**



**Province of
British Columbia**

**Corporate Information
Management Branch**

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4. Classification - Public records - Handbooks, manuals,
etc. 5. Records retention - British Columbia - Handbooks,
manuals, etc. I. British Columbia. Corporate Information
Management Branch.

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RECORDS RETENTION AND DISPOSITION AUTHORITY

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

Title: *Liquor Control and Licensing Operational Records Classification System*

Ministry of Public Safety and Solicitor General
Liquor Control and Licensing Branch

Description and Purpose:

The *Liquor Control and Licensing Operational Records Classification System (ORCS)* covers all operational records created, received, and maintained by the Liquor Control and Licensing Branch.

These records document government control of liquor and liquor licensing including the licensing of liquor manufacturers and establishments for the sale of liquor, the development of policies and standards for the liquor industry, regulating and enforcing standards for licensed establishments, the monitoring of liquor advertising, the investigation of liquor infractions by manufactures and vendors of liquor, the investigation of issues and topics affecting the sale or use of liquor products, the development of special programs for responsible beverage service and enforcing compliance with the program .

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

Date range: 1921 ongoing

Physical format of records: see attached schedule

Annual accumulation: 2.08 cubic meters

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

THE UNDERSIGNED ENDORSE THE RECOMMENDATIONS:

<u><i>Teresa McKenny</i></u> Records Officer	<u>Sept 29/05</u> Date
<u><i>[Signature]</i></u> Executive Director/ADM	<u>Sept 26 05</u> Date
<u><i>[Signature]</i></u> Deputy Minister/Corporate Executive	<u>Oct 6/05</u> Date

THE PUBLIC DOCUMENTS COMMITTEE CONCURS:

<u><i>[Signature]</i></u> Chair, PDC	<u>28 Nov 2005</u> Date
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THE SELECT STANDING COMMITTEE ON PUBLIC ACCOUNTS APPROVES THE RECOMMENDATION OF THE PUBLIC DOCUMENTS COMMITTEE:

<u><i>[Signature]</i></u>	<u>Feb 8, 2006</u> Date
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APPROVED BY RESOLUTION OF THE LEGISLATIVE ASSEMBLY:

<u><i>[Signature]</i></u>	<u>March 1, 2006</u> Date
---------------------------	------------------------------

OTHER STATUTORY APPROVALS:

_____ Signature	_____ Date	_____ Signature	_____ Date
Title:		Title:	

CONTACT: Dallas bystead, Acting Branch FOI/Records Officer, telephone 250-387-9085

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 *Liquor Control and Licensing Act* (RSBC 1996, c.267) and *Regulations* (B.C. Reg. 244/2002), the *Judicial Review Procedure Act* (RSBC 1996 c.242), and subsequent legislation governing the operational responsibilities and functions of the creating agency.

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

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

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


Records Analyst

2005/09/12
Date

ARCHIVAL APPRAISAL:


This appraisal documents the recommendation for final disposition.

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

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


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

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


Archivist

2005/09/12
Date

The undersigned endorses the appraisal recommendations:


Director, Corporate Information Management Branch

2005-09-12
Date

OPERATIONAL RECORDS CLASSIFICATION SYSTEM

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

A SA FD

LIQUOR CONTROL AND LICENSING

OPERATIONAL RECORDS CLASSIFICATION SYSTEM (ORCS)

EXECUTIVE SUMMARY

This *Operational Records Classification System (ORCS)* establishes a classification system and retention and disposition schedule for the operational records created by Liquor Control and Licensing Branch (LCLB), Ministry of Public Safety and Solicitor General under the *Liquor Control and Licensing Act* (RSBC 1996, c.267) and *Regulations* (BC Reg 244/2002).

These records document the issuance, renewal, transfer and cancellation of licences for licensed establishments, liquor manufacturers or their agents, and special occasion licenses. These records also document the LCLB compliance and enforcement responsibilities including inspections, investigations or inquiries into illegal activities taking place in a licensed premise or by manufacturers. The Branch monitors and regulates the purchase and sale of liquor, the pricing of liquor products, and at one time approved liquor advertising. These records cover liquor policy development and oversight of the Responsible Beverage Service program.

The active and semi-active retention periods specified in the schedule meet all operational, administrative, legal, fiscal, and audit requirements. Corporate Records Management Branch (CRMB) 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 January, 1921. Prior to this time, the function(s) covered by this *ORCS* were not carried out by the BC Government. The Office of Primary Responsibility (OPR) for all primaries is Liquor Control and Licensing Branch, Victoria.

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

(continued on next page)

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

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

SO = Superseded or Obsolete
DE = Destruction
SR = Selective Retention
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	<u>A</u>	<u>SA</u>	<u>FD</u>
1) <u>Policy and Procedures</u> (secondary -00 throughout <i>ORCS</i>)	SO	5y	FR
<p>Throughout this <i>ORCS</i>, the government archives will fully retain all policy and procedure files created by offices having primary responsibility for policy and procedure development and approval. These records have evidential value.</p>			
2) <u>LCLB annual reports</u> (secondary 70000-02) (secondary 71000-02)	CY+1y SO	nil nil	FR FR

These records relate to reports produced for the public by the LCLB on an annual basis.

The government archives will retain one copy of all annual reports from the LCLB because the reports significantly document the Branch mandate and accomplishments for each year. The government archives will fully retain annual enforcement reports because they summarize liquor control and licensing enforcement activities and concerns for each year.

3) <u>LCLB circulars, circulars cross-reference index, bulletins and policy directives</u> (secondaries 70000-04, 70000-06 and 70000-07) (secondary 70000-05)	CY+1y CY+1y	nil 5y	FR FR
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These records document liquor licensing policy.

The government archives will fully retain all LCLB circulars and policy directives because they document instruction to branch staff on liquor licensing policy and will fully retain the LCLB circulars cross-reference index because it provides subject access to the policy circulars. LCLB bulletins will also be fully retained as they document background information in liquor control and licensing issues and the application of branch policy.

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	<u>A</u>	<u>SA</u>	<u>FD</u>
4) <u>Liquor Control Board meeting minutes</u> (secondary 70000-03)	SO	7y	FR

These records document decisions made at meetings when the organizational body was referred to as the Liquor Control Board.

The government archives will retain all Liquor Control Board meeting minutes because they significantly document the decisions of the board in licensing liquor establishments in the province, including the setting of precedents and the application of liquor control and licensing policy.

5) <u>Issue, entertainment incident, and/or illegal activity case files</u> (secondary 70100-20)	SO	5y	FR
(secondary 71600-25)	SO	nil	FR
(secondary 71800-20)	CY+1y	5y	FR

These records document incidents of significance resulting in research and evaluation which may have influence over policy.

The government archives will fully retain all issue, entertainment incident or illegal activity case files because they significantly document important issues in the control of liquor and the licensing of liquor establishments in the Province. These files include information relating to industry and public concerns, moral judgments made by government on behalf of society regarding appropriate entertainment in situations where liquor is served, and investigation of illegal activities in the distribution and sale of alcohol in the Province including illegal manufacture, smuggling and other unlicensed activities.

(continued on next page)

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	<u>A</u>	<u>SA</u>	<u>FD</u>
6) <u>Co-operation, co-ordination and compliance project case files and Responsible Beverage Service Program, HEIAC (GO2) file</u> (secondary 71300-20) (secondary 72500-02)	SO+2y SO	5y 5y	FR FR

These records relate to projects/programs that the LCLB is involved in with other regulated bodies or agencies supporting liquor licensing compliance and responsible beverage services in the Province.

The government archives will fully retain co-operation, co-ordination and compliance project case files and the HEIAC (GO2) file because they document significant projects for the control of alcohol in conjunction with the federal government, municipal governments or industry stakeholder agreements. They also document program details and relative training material.

7) <u>Licensing statistical reports</u> (secondary 70200-40)	CY+2y	nil	SR
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Licensing statistical reports provide summarized information on licensed establishments and manufacturers in the Province.

The government archives will selectively retain licensing statistical reports by retaining one copy of the "List of Licensed Establishments" booklet each year because it summarizes the licensing of liquor establishments each year.

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	<u>A</u>	<u>SA</u>	<u>FD</u>
8) <u>Licensed premises case files (active)</u> (secondary 73500-20)	SO+1y	9y	SR

The government archives will selectively retain these files as they document the licensing process and licensed establishment ownership, premise inspections, incidents contravening regulations, enforcement hearings, enforcement decisions and enforcement appeals, licence suspensions or revocations, and appeal hearings.

Because of the very large number of these files the retention of only a representative sample can be justified. The sample will be achieved by retaining every tenth box of files, plus any boxes that contain further volumes of files contained in the designated "tenth" box. (Note: For a list of records within this secondary, see Appendix A.)

9) <u>Licensed premises case files</u> (secondary 73500-25)	CY+1y	2y	DE
(secondary 73500-30)	CY+1y	5y	DE
(secondary 73500-35)	SO	nil	DE
(secondary 73500-40)	NA	nil	DE

These records contain back ground documentation and correspondence pertaining to primary 73500-20 which includes licensee ownership, licence application, licence renewal, and enforcement/compliance concerns. During the active retention period, records in secondaries 20, 25, 30 and 35 are filed within the same folder. (Note: For a list of records within these secondaries, see Appendix A.)

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	<u>A</u>	<u>SA</u>	<u>FD</u>
10) <u>Manufacturer licence case files</u> (secondary 73400-20)	SO+1y	9y	DE

These records relate to liquor manufacturer licensee ownerships, buy-sell agreements, customs excise reports, licence applications and renewal forms.

Manufacturer licence files can be destroyed because they contain only routine licensing documents whose value does not justify archival retention. These files are also sufficiently summarized in the Branch's annual reports.

11) <u>Preparations containing alcohol case files</u>			
(secondary 73800-03)	CY+2y	10y	DE
(secondary 73800-25)	CY+2y	10y	DE
(secondary 73800-35)	CY+2y	10y	DE
(secondary 73800-45)	CY+2y	10y	DE
(secondary 73800-55)	CY+2y	10y	DE

These records relate to the LCLB responsibilities in approving requests to sell preparations containing liquor that are prepared or sold at a place of business within the Province.

12) <u>Appeal or judicial review case files</u>			
(secondary 71500-30)	SO	nil	DE
(secondary 71800-65)	SO	nil	DE
(secondary 73100-25)	SO	nil	DE

These records relate to appeals of LCLB decisions to the Commercial Appeals Commission, Liquor Appeal Board or applications for judicial review by the BC Supreme Court.

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A SA FD

LCLB decision appeals can be destroyed because this function is sufficiently documented through selective retention of commercial appeal case files under secondary 80050-20 *Commercial Appeal Commission ORCS*, selective retention of the liquor appeal case files under secondary 80150-20 in the *Liquor Appeal Board ORCS*, selective retention of civil case files under primary 51400-20 in the *Court Services ORCS* and/or selective retention of board of commission case files under secondary 32820-40 in the *Legal Services ORCS*.

13) Electronic Records
(secondaries 70000-08 and 70250-20)

DE

The following internet web site and electronic database are covered by this *ORCS*: The Liquor Control and Licensing Branch web site is used to provide internet access to information about liquor licensing and compliance in British Columbia.

The Public One Stop Service (POSSE) database provides an electronic record of licensing and compliance activities. POSSE is the computer program that generates hard copies of liquor licences, reports summarizing inspections, enforcement actions, financial transactions and other statistics used for planning for the Branch.

The Information System Overview section provides information about the electronic system, inputs and outputs and routine back-ups. Notes under the relevant *ORCS* secondary provide classification and scheduling information. These records have no enduring value to government upon conclusion of their scheduled retention periods.

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A SA FD
DE

14) All Other Records

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 ten years. The information these records contain is summarized elsewhere, or reflects policies and procedures adequately documented in records covered by the - 00 Policy and procedures secondaries. Significant issues are documented in records which will be retained under the provisions of this *ORCS*, as well as in briefing notes to the Ministry executive (*ARCS* secondary 280-03) and Liquor Control and Licensing Branch annual reports (*ORCS* secondary 70000-02). These records have no enduring value to government at the end of their scheduled retention periods.

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LIQUOR CONTROL AND LICENSING *OPERATIONAL RECORDS CLASSIFICATION SYSTEM*

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HOW TO USE ORCS

For further information, call your Records Officer,
TERRENCE MCKENNY (250) 356-6528

OPERATIONAL RECORDS CLASSIFICATION SYSTEM

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PART 1

THE OPERATIONAL RECORDS CLASSIFICATION SYSTEM (ORCS)

1.1 General Introduction

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

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

1.2 What is an ORCS?

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

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

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

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

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

What are Operational Records?

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

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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 Corporate Records Management Branch (CRMB) 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).

OPERATIONAL RECORDS CLASSIFICATION SYSTEM

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

1.3 Introduction to the Liquor Control and Licensing ORCS

The operational records in this ORCS relate to the operations and services provided by your branch in carrying out the functions for which it is responsible according to statute, mandate, or policy. These records document the regulating and the monitoring of liquor sales in licensed establishments in British Columbia and for protecting the public from the harm that may be caused by making and selling liquor or products that contain alcohol.

This ORCS covers all operational record series created or received by your branch since 1910 to this time. 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	70000-70299	LIQUOR CONTROL AND LICENSING

Section 1 covers records relating generally to government control of liquor and liquor licensing as provided under the *Liquor Control and Licensing Act* (RSBC 1996, c. 267) and *Regulations* (BC Reg 244/2002). This includes records relating to delegation of the general manager's authority, incidents of special significance related to the use of liquor, issues and topics of interest affecting the sale or use of liquor products, liquor advertising, licensing and enforcement statistics produced for Branch use and the Public One Stop Service (POSSE) data base used for tracking information on liquor licences.

Section 2	70300-70999	ADVERTISING
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Section 2 covers records relating to the control of liquor advertising in the province as provided under the *Liquor Control and Licensing Act* (RSBC 1996, c. 267) and *Regulations* (B.C. Reg. 244/2002). This includes records relating to: print, radio and television commercials; internal and external signs; packaging and labelling; advertising for promotions; sponsorships and contests; and, advertising in licensed establishments.

OPERATIONAL RECORDS CLASSIFICATION SYSTEM

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Section 3 71000-72999 COMPLIANCE

Section 3 covers records relating to compliance and enforcement inspections, investigations and monitoring activities in regards to the manufacture, purchase and sale of liquor products as provided under the *Liquor Control and Licensing Act* (RSBC 1996, c. 267) and *Regulations* (B.C. Reg. 244/2002) and *Judicial Review Procedure Act* (RSBC 1996 c. 241). This includes records relating to: regulating the purchase and sale of liquor products by licensed establishments, liquor manufacturers and their agents; illegal sales of liquor products; the inspection of licensed premises and manufacturers to ensure compliance with the liquor licence terms and conditions; sampling of liquor products in licensed establishments; the pricing of liquor products; entertainment in licensed establishments; compliance with the Responsible Beverage Service Program by licensed establishments; regional compliance operations; enforcement hearings as well as reviewing requests from liquor manufacturers and distributors for approval to sponsor sports and cultural events.

Section 4 73000-74499 LICENSING

Section 4 covers records relating to licensing the sale of liquor products as provided under the *Liquor Control and Licensing Act* (RSBC 1996, c. 267), *Regulations* (B. C. Reg. 244/2002) and the *Judicial Review Procedure Act* (RSBC 1996 c. 241). This includes records relating to: the issue, renewal, transfer and cancellation of licences for breweries, distilleries, wineries and their agents; special occasion licences; the sale of liquor by hotels, clubs, resorts, recreational centres, aircraft, trains, motor vessels, airports, cultural centres, universities, military messes, dining establishments, cabarets, neighbourhood pubs, sports stadiums, concert halls, marine pubs, retail stores and winery lounges; grain alcohol permits; preparations containing alcohol; and Liquor Licensing Committee hearings.

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)

OPERATIONAL RECORDS CLASSIFICATION SYSTEM

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- Appendices (provide codes and other information useful for classifying and understanding the records - see 3.6 for further discussion)

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

OPERATIONAL RECORDS CLASSIFICATION SYSTEM

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PART 2

HOW TO READ A PRIMARY

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

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

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

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

2.1

23120 EXTRATERRESTRIAL REGISTRATION AND TRACKING

A SA FD

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

2.2

Extraterrestrials are registered and tracked to ensure they do not contravene federal and provincial legislation by attempting world domination, body-snatching, or other anti-democratic activities. Registrants must provide identifying information and report regularly to the ministry liaison assigned.

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

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.

2.3

2.4

2.5

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

CY+1y 3y DE

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

2.6

SO nil DE

- 00 Policy and procedures - OPR - non-OPR
-01 General
-02 Complaints and inquiries
-03 Extraterrestrial reports and statistics

SO 5y FR
SO nil DE
CY+1y 3y FR

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

2.7

(continued on next page)

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

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

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

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A SA FD

23120 EXTRATERRESTRIAL REGISTRATION AND TRACKING (continued)

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

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

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)).

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

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) (electronic database) SO nil DE

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

OPERATIONAL RECORDS CLASSIFICATION SYSTEM

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2.1 Primary Number and Title

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

2.2 Scope Note

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

2.3 Cross References

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

2.4 Records Retention and Disposition Schedule

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

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

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

2.4.1 Active Retention Period Column

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

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

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

CY+1y

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

FY+1y

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

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

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

2.4.2 Semi-active Retention Period Column

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

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

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

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

OPERATIONAL RECORDS CLASSIFICATION SYSTEM

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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 CRMB Access Services (655 Belleville Street, phone 387-1952, website <http://www.bcarchives.gov.bc.ca>). Complaints and inquiries (secondary -02) will be destroyed under the primary default schedule.

2.5 Office of Primary Responsibility (OPR)

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

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

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

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

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

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

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

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

2.6.1 Reserved Secondaries

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

There are two kinds of reserved secondaries: those reserved throughout the specific *ORCS* or a section of it, and those reserved throughout all government records schedules (in *ARCS* and every *ORCS*).

Secondaries reserved within a specific *ORCS* are given generic titles and are listed in the section default primaries. Section default primaries contain all relevant notes (qualifiers, final disposition statements, etc.) for the reserved secondaries; these notes may also appear in relevant primaries. To find out whether a secondary included in a particular primary is reserved, check the section default primary.

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.

OPERATIONAL RECORDS CLASSIFICATION SYSTEM

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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.

OPERATIONAL RECORDS CLASSIFICATION SYSTEM

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

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

2.7 Key of Terms (Abbreviations in Footer)

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

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

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

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

w = week

m = month

y = year

CY = Calendar Year (1 January to 31 December)

FY = Fiscal Year (1 April to 31 March)

SO = Superseded or Obsolete

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

i) Routine Records

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

The most common form of delegated disposition authority is:

OPERATIONAL RECORDS CLASSIFICATION SYSTEM

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

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

For information on destruction services, contact your Records Officer.

ii) Specific Definition of SO

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

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

NA = Not Applicable

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

nil = no semi-active retention period

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

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

OPERATIONAL RECORDS CLASSIFICATION SYSTEM

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Otherwise, the final disposition of such records is usually physical destruction.

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

2.7.2 Terms Used in the Final Disposition Column

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

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

FR = Full Retention

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

SR = Selective Retention

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

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

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

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

DE = Destruction

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

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

NA = Not Applicable

See explanation of NA in 2.7.1.

2.7.3 Other Terms

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

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

2.8 Freedom of Information and Protection of Privacy Flags

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

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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.

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- ##y =** This note gives reasons for active and/or semi-active retention periods which are longer than seven years. In the sample primary, there is a "303y =" note under secondary -20.
- NA =** This note explains why the usual active, semi-active, or final disposition designation does not apply, usually because records have been reclassified or transferred to another agency. See discussion of NA in section 2.7.1.
- SR/FR/DE =** These notes explain why records are being selectively or fully retained, or (if not self-evident) why they are being destroyed. See discussion of these notes in section 2.7.2.
- FOI:** This note explains issues of confidentiality relating to the records. See discussion of the FOI note in section 2.8.
- NOTE:** This note provides any other useful information related to the scope of the secondary, such as history of the records, volume of the records, filing procedures, whether there is an ongoing accession number, or location of copies. In the sample primary, secondary -20 has a note specifying that when the files go offsite, they will be stored "under ongoing RCS accession number 99-9111." For discussion of ongoing accession numbers, see section 3.9.1(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.).

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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 Vital Records Flags

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

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

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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.

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The *Document Disposal Act* establishes procedures for the approval of the records schedules and classification systems developed by CRMB, government ministries, and other government agencies. This *ORCS* was reviewed by CRMB staff, your executive, the Public Documents Committee, and the Select Standing Committee on Public Accounts (commonly called the Public Accounts Committee). It was then approved by resolution of the Legislative Assembly. That resolution established this *ORCS* as the retention and disposition schedule for the operational records of the Branch. This means that this *ORCS* is a legally binding document.

3.3 An Effective Records Management System

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

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

3.4 The Classification System

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

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

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

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

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.

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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

CRMB 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.

CRMB 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.

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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.

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

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

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

a) Alphabetic Subject Index

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

b) Broad Subject Approach

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

3.5 The File List

The file list is a listing of every file created by or currently in use within an office. An accurate file list is an essential tool, as it documents the creation and existence of

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government records. It assures the integrity and authenticity of records and may serve as legal evidence.

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

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

3.6 Other Finding Aids

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

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

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

As a further aid in the retrieval and classification of administrative and operational records, CRMB 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

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storage facilities provided by Records Centre Services, CRMB (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

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

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

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

3.8.1 File Maintenance

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

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

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

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

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

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

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

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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, CRMB 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, CRMB. 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.

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The Records Officer can provide you with information about the availability of recycling and/or destruction services. Use appropriate forms and procedures as instructed by your Records Officer and **notify your Records Officer before any destruction of records occurs.**

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

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

3.9.1 Accession Numbers

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

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

Box Number: 91-0123-01

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

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

a) One-time Accession Numbers

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

b) Ongoing Accession Numbers (OANs)

CRMB 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.

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

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

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

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

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

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

c)Ongoing Accession Numbers for Liquor Control and Licensing 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
OAN: 90-7477	73500-20	Licensed premises case files (ten year retention documents)	9y	SR
OAN: 90-7479	73500-25	Licensed premises case files (three year retention documents)	2y	DE
OAN: 90-7480	73500-30	Licensed premises case files (seven year retention documents)	5y	DE

OPERATIONAL RECORDS CLASSIFICATION SYSTEM

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

For primary 73500 document lists according to retention periods, see Appendix A.

d) Procedure for Closing Licence Premise case files

Follow instructions given in 73500-40 and refer to Appendix A.

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.
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).

OPERATIONAL RECORDS CLASSIFICATION SYSTEM

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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.

3.11 Electronic Records and the Information System Overview

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

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

OPERATIONAL RECORDS CLASSIFICATION SYSTEM

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

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

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.

OPERATIONAL RECORDS CLASSIFICATION SYSTEM

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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 CRMB 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

CRMB 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

OPERATIONAL RECORDS CLASSIFICATION SYSTEM

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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

CRMB maintains the master edition of this *ORCS* and is responsible for administering the amendment and review process. The Records Officer is responsible for advising CRMB 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 CRMB. Proposals will be jointly reviewed by CRMB 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.

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A SA FD

SECTION 1

LIQUOR CONTROL AND LICENSING

PRIMARY NUMBERS

70000 - 70299

Section 1 covers records relating to government control of liquor and liquor licensing as provided under the *Liquor Control and Licensing Act* (RSBC 1996, c. 267) and *Regulations* (BC Reg 244/2002). This includes records relating to the delegation of the general manager's authority, incidents of special significance related to the use of liquor, issues and topics of interest affecting the sale or use of liquor products, liquor advertising, licensing and enforcement statistics produced for branch use and the Public One Stop Service (POSSE) data base used for tracking information on liquor licences.

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

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

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

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SECTION 1

70000 - LIQUOR CONTROL AND LICENSING - 70299

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70000 LIQUOR CONTROL AND LICENSING - GENERAL
70025 DELEGATION OF GENERAL MANAGER'S AUTHORITY
70100 ISSUES AND TOPICS OF INTEREST
70200 OPERATIONAL STATISTICS
70250 PUBLIC ONE STOP SERVICE (POSSE)

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		<u>A</u>	<u>SA</u>	<u>FD</u>
70000	<u>LIQUOR CONTROL AND LICENSING - GENERAL</u> (continued)			
-02	LCLB annual reports (includes branch annual reports, annual service plan reports and business plans)	CY+1y	nil	FR
	FR = The government archives will retain one copy of all annual reports from the LCLB because the reports significantly document the Branch mandate and summarizes the major accomplishments for each year.			
-03	Liquor Control Board meeting minutes	SO	7y	FR
	SO = when board is no longer active and/or file/volume has been closed for one year			
	FR = The government archives will fully retain redundant Liquor Control Board meeting minutes because they significantly document the decisions of the board in licensing liquor establishments in the province, including the setting of precedents and the application of liquor control and licensing policy.			
-04	LCLB bulletins (covers background information and reminders on existing policy)	CY+1y	nil	FR
	FR = The government archives will fully retain all LCLB bulletins because they document background information in liquor control and licensing issues and the application of branch policy.			

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		<u>A</u>	<u>SA</u>	<u>FD</u>
70000	<u>LIQUOR CONTROL AND LICENSING - GENERAL</u> (continued)			
-05	Liquor Control and Licensing Branch (LCLB) circulars (consists of all administrative, operational and policy directives, including General Manager Orders until March 1993)	CY+1y	5y	FR
	NOTE: Prior to March 1993 all administrative and operational policy directives were kept as circulars. After March 1993 all administrative policy records are classified under ARCS and all operational policy records are classified as either operational bulletins (70000-04) or policy directives (70000-07).			
	FR = The government archives will fully retain all LCLB circulars because they document policy directives to branch staff.			
-06	LCLB circulars cross-reference index	CY+1y	nil	FR
	FR = The government archives will fully retain LCLB circulars cross-reference index because it provides subject access to the policy circulars (70000-05).			
-07	LCLB policy directives (covers advice on changes to liquor licensing policy)	CY+1y	nil	FR
	FR = The government archives will fully retain liquor licensing policy directives because they document instruction to branch staff on liquor licensing policy.			

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		<u>A</u>	<u>SA</u>	<u>FD</u>
70000	<u>LIQUOR CONTROL AND LICENSING - GENERAL</u> (continued)			
-08	LCLB website	SO	nil	DE

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

NOTE: This web site provides general information about the Liquor Control and Licensing Branch as well as statistics on licensing, enforcement and compliance issues, news releases and publicly released reports.

All documents presented on the web site are classified under appropriate secondaries within this *ORCS* or in the Administrative Records Classification System (*ARCS*). Because this is a simple system, an information system overview has not been developed.

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A SA FD

70025 DELEGATION OF GENERAL MANAGER'S AUTHORITY

Records relating to the delegation of the general manager's authority under the *Liquor Control and Licensing Act* (RSBC 1996, c. 267, ss. 6(e) and (f), 7(3), 22(3) and 84(m)) and *Regulations* (B.C. Reg. 244/2002). Subject to this Act and the regulations, the general manager may delegate any or all of his or her powers, duties and functions relating to licensing or enforcement to regional managers and inspectors, police agencies, adjudicators, branch registrar and members of the liquor licensing committee.

Record types include: correspondence, reports and studies.

For records relating to the delegation of the general manager's authority for administrative purposes, see ARCS primary 265.

Unless otherwise specified below, the ministry OPR (Liquor Control and Licensing Branch, Victoria) will retain these records for:

CY+1y 2y DE

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

SO nil DE

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

-01 General

-20	Delegation of authority (arrange chronologically)		SO	10y	DE
-----	--	--	----	-----	----

SO = when delegation of authority is changed

10y = sufficient for reference purposes

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A SA FD

70100 ISSUES AND TOPICS OF INTEREST

Records relating to the research and evaluation of current issues that affect the sale or production of liquor products such as rural agency stores, unlicensed motor vessels, fishing lodges and aboriginal affairs. Records may also contain information pertaining to alcohol-related incidents of special significance or importance to liquor control and licensing (e.g., death as a result of alcohol consumption) which may have influence over policy.

Record types include: coroner's inquiries, coroner's reports, correspondence and memoranda, policy reviews, research materials and reports.

For audits and inspections, see primary 71100.
 For external polices and procedures related to this primary, see primary 70000.
 For illegal activities, see primary 71800.

Unless otherwise specified below, the ministry OPR (Liquor Control and Licensing Branch, Victoria) will retain these records for:

CY+1y 2y DE

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

SO

-00	Policy and procedures	- OPR	SO	5y	FR
		- <u>non-OPR</u>	<u>SO</u>	<u>nil</u>	<u>DE</u>
-01	General				
-20	Issue/topical interest case files (consists of aboriginal liquor licensing issues, liquor policy reviews, industry and/or public concerns) (arrange by issue or topic)		SO	5y	FR

(continued on next page)

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A SA FD

70100 ISSUES AND TOPICS OF INTEREST (continued)

SO = when issue or topic is no longer of any interest or the information becomes outdated

FR = The government archives will fully retain all issue/topical interest case files because they significantly document important issues in the control of liquor and the licensing of liquor establishments in the province, including industry and public concerns.

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		<u>A</u>	<u>SA</u>	<u>FD</u>
70200	<u>OPERATIONAL STATISTICS</u>			
	Records relating to advertising, licensing and enforcement statistics received or created by the Branch (e.g., enforcement reports, licensing reports, situation reports or fiscal year annual inspections data).			
	Record types include: correspondence, memoranda and reports.			
	For POSSE generated reports, see primary 70250. For special occasion licence reports see primary 73900.			
	Unless otherwise specified below, the ministry OPR (Liquor Control and Licensing Branch, Victoria) will retain these records for:	CY+1y	2y	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	SO	5y	FR
	- OPR			
	- <u>non-OPR</u>	<u>SO</u>	<u>nil</u>	<u>DE</u>
-01	General			
-20	Advertising statistical reports (arrange chronologically)	CY+2y	nil	DE
	NOTE: As of November 4, 1999, <i>Liquor Control and Licensing Act</i> , Section 1.1 was repealed and the Branch is no longer required to pre-approve BC based, media advertising.			

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		<u>A</u>	<u>SA</u>	<u>FD</u>
70200	<u>OPERATIONAL STATISTICS</u> (continued)			
-30	Enforcement statistical reports (arrange chronologically)	SO	nil	DE
	SO = when no longer referred to and/or the Branch library use is no longer required			
	DE = Enforcement statistical reports will be destroyed because they are sufficiently summarized in annual enforcement reports, secondary 71000-02, which are fully retained.			
-40	Licensing statistical reports (covers legal entity changes such as active and suspended licence numbers, approved licence changes including transfers and legal entity changes, new applications, new licences issued, floor plans, licence summary data, excise information, licence decisions, pending licences, inspection activities, and reports generated for external agencies (e.g., LDB licence data extract, licence summary per police detachment, or establishment summary per municipality). Also includes manufacturer reports and situation reports (SITREP)) (arrange chronologically)	CY+2y	nil	SR
	NOTE: Many statistical reports are obtained from the POSSE database.			
	SR = The government archives will selectively retain licensing statistical reports by retaining one copy of the "List of Licensed Establishments" booklet each calendar year end because it summarizes the licensing of liquor establishments each year. All other reports will be destroyed at the end of the semi-active period.			

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A SA FD

70250 PUBLIC ONE STOP SERVICE (POSSE)

Records relating to the maintenance of information related to liquor licences. The POSSE database, which replaced the STILL database, provides an electronic record of licensing and compliance activities as well as being the computer program used to generate hard copies of liquor licences, hard copy reports which document inspections, enforcement actions, financial transactions and other activities and statistical summaries used for branch planning. Some reports are also available for sale to licensees and the public.

Record types include: electronic database and hardcopy reports.

For annual enforcement reports, see secondary 71000-02.
For the POSSE information systems overview, see ISO section.

Unless otherwise specified below, the ministry OPR (Liquor Control and Licensing Branch, Victoria) will retain these records for:

CY+1y 2y DE

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

SO nil DE

-00	Policy and procedures	- OPR	SO	5y	FR
		- <u>non-OPR</u>	<u>SO</u>	<u>nil</u>	<u>DE</u>
-01	General				
-20	Public One Stop Service (electronic database)		SO	nil	DE
-30	POSSE ad hoc reports (electronic and paper) (covers customized non-standard reports produced for government, industry and public use) (arrange chronologically)		SO	nil	DE

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VR = Vital Records

OPERATIONAL RECORDS CLASSIFICATION SYSTEM

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

		<u>A</u>	<u>SA</u>	<u>FD</u>
70250	<u>PUBLIC ONE STOP SERVICE POSSE</u> (continued)			
	NOTE: The reports are generated on demand as needed and require specialized programming based on specific criteria.			
-40	POSSE compliance reports (electronic and paper) (includes listings of infractions, enforcement and inspection activities, such as liquor seizures) (arrange chronologically)	SO	nil	DE
-50	POSSE financial reports (electronic and paper) (includes revenue reports on deposits, vouchers, summary of funds received and outstanding, refunds, current account balances, write-offs, NSF charges and account summaries) (arrange chronologically)	SO	nil	DE
-70	POSSE management reports (electronic and paper) (covers reports comprised of enforcement and licensing data and used by the Branch for decision making, forecasting and performance management purposes) (arrange chronologically)	SO	nil	DE

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

SO = Superseded or Obsolete
 DE = Destruction
 SR = Selective Retention
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OPERATIONAL RECORDS CLASSIFICATION SYSTEM

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A SA FD

SECTION 2

ADVERTISING

PRIMARY NUMBERS

7 0 3 0 0 - 7 0 9 9 9

Section 2 covers records relating to the control of liquor advertising in the province as provided under the *Liquor Control and Licensing Act* (RSBC 1996, c. 267) and *Regulations* (B.C. Reg. 244/2002). This includes records relating to: print, radio and television commercials; internal and external signs; packaging and labelling; advertising for promotions; sponsorships and contests; and advertising in licensed establishments.

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SA = Semi-active
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PUR = Public Use Records
OPR = Office of Primary Responsibility

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FY = Fiscal Year
NA = Not Applicable
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FOI = Freedom of Information/Privacy
VR = Vital Records

OPERATIONAL RECORDS CLASSIFICATION SYSTEM

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A SA FD

SECTION 2

70300 - ADVERTISING - 70999

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70500 PRINT, RADIO AND TELEVISION
70600 PROMOTIONAL ADVERTISING
70700 SIGNS
70800 SPONSORSHIP ADVERTISING

A = Active
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OPERATIONAL RECORDS CLASSIFICATION SYSTEM

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A SA FD

70300 ADVERTISING - GENERAL

Records not shown elsewhere in the advertising section which relate generally to government control of liquor advertising under the *Liquor Control and Licensing Act* (RSBC 1996, c. 267) and *Regulations* (B.C. Reg. 244/2002). Until November 4, 1999, liquor manufacturers were required to submit copies of advertisements to the Liquor Control and Licensing Branch for approval prior to their use. On November 4, 1999, Section 51.1 of the *Liquor Control and Licensing Act* was repealed and the Liquor Control and Licensing Branch is no longer required to pre-approve advertising originating from British Columbia based media.

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

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

For compliance complaints and inquiries, see primary 71000.

For issues and topics of interest, see primary 70100.

Unless otherwise specified below, the ministry OPR (Liquor Control and Licensing Branch, Victoria) will retain these records for:

CY+1y 2y DE

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

SO nil DE

-00 Policy and procedures

- OPR
- non-OPR

SO 5y FR
SO nil DE

FR = Throughout this section, 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.

(continued on next page)

A = Active
SA = Semi-active
FD = Final Disposition
PIB = Personal Information Bank
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OPERATIONAL RECORDS CLASSIFICATION SYSTEM

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

A SA FD

70300 ADVERTISING - GENERAL (continued)

-01 General

-02 B.C. Association of Broadcasters (BCAB) public service messages
(includes reports from the BCAB on the frequency of airing of public service educational messages by the broadcasting industry in British Columbia)

NOTE: Under a 1982 agreement with the provincial government the broadcasting industry in British Columbia agreed to make available, free of charge, air time equal to 15% of the value of air time used on their station for the advertising of beer or wine products. This time is used to broadcast public service educational messages relating to the proper use or possible misuse of alcoholic beverages and the public understanding of the laws and regulations affecting the purchase or use of alcoholic beverages.

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OPERATIONAL RECORDS CLASSIFICATION SYSTEM

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

A SA FD

70450 POINT OF SALE

Records relating to the approval of point of sale liquor advertising under the *Liquor Control and Licensing Act* (RSBC 1996, c. 267, s. 51) and *Regulations* (B.C. Reg. 224/2002). Point of sale advertising refers to advertising of liquor products where liquor is sold including licensee retail stores, licensed establishments and government liquor stores.

Until November 4, 1999, liquor manufacturers were required to submit copies of manufacturer proposals for point of sale materials and advertisement samples to the Liquor Control and Licensing Branch for approval prior to their use. On November 4, 1999, Section 51.1 of the *Liquor Control and Licensing Act* was repealed and the Liquor Control and Licensing Branch is no longer required to pre-approve advertising originating from British Columbia based media.

After November 1999, advertising material provided to the Liquor Control and Licensing Branch is for informational purposes only.

Record types include: correspondence, memoranda and proposals.

Unless otherwise specified below, the ministry OPR (Liquor Control and Licensing Branch, Victoria) will retain these records for:

CY+1y 2y DE

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

SO nil DE

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

-01 General

-20	Licensed establishment point of sale advertising (arrange by brand and then by manufacturer)		CY	4y	DE
-----	---	--	----	----	----

-30	Licensee retail stores point of sale advertising (covers advertising for cold beer and wine stores) (arrange first by brand and then by manufacturer)		CY	4y	DE
-----	---	--	----	----	----

(continued on next page)

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PUR = Personal Use Record
OPR = Office of Primary Responsibility

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OPERATIONAL RECORDS CLASSIFICATION SYSTEM

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		<u>A</u>	<u>SA</u>	<u>FD</u>
70450	<u>POINT OF SALE</u> (continued)			
-50	Manufacturers/licensee theme nights (arrange chronologically and then by manufacturer)	CY	4y	DE

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OPERATIONAL RECORDS CLASSIFICATION SYSTEM

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A SA FD

70500 PRINT, RADIO AND TELEVISION

Records relating to print, radio and television liquor advertising under the *Liquor Control and Licensing Act* (RSBC 1996, c. 267, s. 51) and *Regulations* (B.C. Reg. 244/2002).

Until November 4, 1999, liquor manufacturers were required to submit copies of manufacturer proposals for point of sale materials and advertisement samples to the Liquor Control and Licensing Branch for approval prior to their use. On November 4, 1999, Section 51.1 of the *Liquor Control and Licensing Act* was repealed and the Liquor Control and Licensing Branch is no longer required to pre-approve advertising originating from British Columbia based media.

After November 1999, advertising material provided to the Liquor Control and Licensing Branch is for informational purposes only.

Record types include: correspondence, memoranda, newspaper clippings, video/audio scripts and story boards, posters, rough and finished print graphics.

Unless otherwise specified below, the ministry OPR (Liquor Control and Licensing Branch, Victoria) will retain these records for:

CY+1y 2y DE

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

SO nil DE

-00	Policy and procedures	- OPR	SO	5y	FR
		- <u>non-OPR</u>	<u>SO</u>	<u>nil</u>	<u>DE</u>
-01	General				
-04	Log of print commercials		SO	nil	DE
-05	Log of radio commercials		SO	nil	DE
-06	Log of television commercials		SO	nil	DE

SO = when the records have no further operational value

(continued on next page)

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OPERATIONAL RECORDS CLASSIFICATION SYSTEM

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		<u>A</u>	<u>SA</u>	<u>FD</u>
70500	<u>PRINT, RADIO AND TELEVISION</u> (continued)			
-20	Breweries - commercial (covers print, radio and television advertising) (arrange first by brand, then by manufacturer)	CY	4y	DE
-25	Breweries - cottage (covers print, radio and television advertising) (arrange first by brand, then by manufacturer)	CY	4y	DE
-30	Contest details case files - licensed retail stores (includes applications for approval to conduct liquor manufacturer contests, product specific contest rules, point of sale materials and Liquor Distribution Branch Image approval letter) (arrange by brand, then by manufacturer)	CY	4y	DE
-40	Cooler manufacturer (covers print, radio and television advertising) (arrange by brand, then by manufacturer)	CY	4y	DE
-50	Distillery manufacturer (covers print, radio and television advertising) (arrange by brand, then by manufacturer)	CY	4y	DE
-60	Liqueur manufacturer (covers print, radio and television advertising) (arrange by brand, then by manufacturer)	CY	4y	DE
-70	Responsible use advertising (includes advertisements promoting the responsible use or consumption of beverage alcohol) (arrange by manufacturer)	CY	4y	DE
-80	Winery/cidery manufacturer (covers print, radio and television advertising) (arrange by brand, then by manufacturer)	CY	4y	DE

(continued on next page)

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OPERATIONAL RECORDS CLASSIFICATION SYSTEM

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		<u>A</u>	<u>SA</u>	<u>FD</u>
70500	<u>PRINT, RADIO AND TELEVISION</u> (continued)			
-90	Other manufacturer advertising (arrange by brand, then by manufacturer)	CY	4y	DE

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OPERATIONAL RECORDS CLASSIFICATION SYSTEM

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A SA FD

70600 PROMOTIONAL ADVERTISING

Records relating to the approval of advertising used at promotional events in accordance with the *Liquor Control and Licensing Act* (RSBC 1996, c. 267 s.51.1). Promotional events are used by manufacturers, importers and liquor agents to acquaint the public with their products. Promotional events include wine festivals, beer festivals and theme nights or tastings.

Until November 4, 1999, liquor manufacturers were required to submit copies of advertisements to the Liquor Control and Licensing Branch for approval prior to their use. On November 4, 1999, Section 51.1 of the *Liquor Control and Licensing Act* was repealed and the Liquor Control and Licensing Branch is no longer required to pre-approve advertising originating from British Columbia based media.

After November 1999, advertising material provided to the Liquor Control and Licensing Branch is for informational purposes only.

Record types include: correspondence, memoranda and promotional materials.

For event coordination, promotions and sponsorships, see primary 71700.

Unless otherwise specified below, the ministry OPR (Liquor Control and Licensing Branch, Victoria) will retain these records for:

CY+1y 2y DE

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

SO nil DE

-00	Policy and procedures	- OPR - <u>non-OPR</u>	SO <u>SO</u>	5y <u>nil</u>	FR <u>DE</u>
-01	General				
-20	Beer festivals (arrange by name of festival)				

(continued on next page)

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OPERATIONAL RECORDS CLASSIFICATION SYSTEM

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A SA FD

70600 PROMOTIONAL ADVERTISING (continued)

- 50 Wine festivals
(arrange by name of festival)
- 60 Other promotions
(arrange chronologically)

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OPERATIONAL RECORDS CLASSIFICATION SYSTEM

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A SA FD

70700 SIGNS

Records relating to the approval of signs used in, or on the outside of the licensed establishment, which identifies the place of business, the type of entertainment, or the alcohol products that are sold as provided by the *Liquor Control and Licensing Act* (RSBC 1996, c. 267, s. 49 and 51) and *Regulations* (B.C. Reg. 244/2002, s. 58). This includes the approval of the names of companies and establishments, but does not include point of sale advertising.

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

For compliance complaints and inquiries, see primary 71000.
 For licensed establishment files, see primary 73500.
 For point of sale advertising, see primary 70450.

Unless otherwise specified below, the ministry OPR (Liquor Control and Licensing Branch, Victoria) will retain these records for:

CY+1y 2y DE

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

SO nil DE

-00	Policy and procedures	- OPR	SO	5y	FR
		- <u>non-OPR</u>	<u>SO</u>	<u>nil</u>	<u>DE</u>
-01	General				
-20	Billboard signs (arrange chronologically)		CY+2y	nil	DE
-30	Brewery signs (arrange by name of brewery)		CY+2y	nil	DE
-40	Distillery signs (arrange by name of distillery)		CY+2y	nil	DE
-50	Licensed establishment signs (arrange by name of establishment)		CY+2y	nil	DE

(continued on next page)

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OPERATIONAL RECORDS CLASSIFICATION SYSTEM

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		<u>A</u>	<u>SA</u>	<u>FD</u>
70700	<u>SIGNS</u> (continued)			
-60	Licensee retail store signs (arrange by name of store)	CY+2y	nil	DE
-70	Name approvals (includes approvals for company and establishment names) (arrange chronologically)	CY+2y	nil	DE
-80	Stadium liquor signs (arrange by name of stadium)	CY+2y	nil	DE
-90	Winery/cidery signs (arrange by name of winery or cidery)	CY+2y	nil	DE

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OPERATIONAL RECORDS CLASSIFICATION SYSTEM

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A SA FD

70800 SPONSORSHIP ADVERTISING

Records relating to the approval of sponsorship advertising as provided under the *Liquor Control and Licensing Act* (RSBC 1996, c. 267, s.51.1 and s. 54).

Until November 4, 1999, liquor manufacturers were required to submit copies of advertisements to the Liquor Control and Licensing Branch for approval prior to their use. On November 4, 1999, Section 51.1 of the *Liquor Control and Licensing Act* was repealed and the Liquor Control and Licensing Branch is no longer required to pre-approve advertising originating from British Columbia based media.

After November 1999, advertising material provided to the Liquor Control and Licensing Branch is for informational purposes only.

Record types include: advertising samples, correspondence and memoranda.

For event coordination, promotions and sponsorships, see primary 71700.

Unless otherwise specified below, the ministry OPR (Liquor Control and Licensing Branch, Victoria) will retain these records for:

CY+1y 2y DE

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

SO nil DE

-00	Policy and procedures	- OPR - <u>non-OPR</u>	SO <u>SO</u>	5y <u>nil</u>	FR <u>DE</u>
-01	General				
-20	Sponsorship advertising case files (arrange by category of event and then chronologically)		CY+2y	nil	DE

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A SA FD

SECTION 3

COMPLIANCE

PRIMARY NUMBERS

71000 - 72999

Section 3 covers records relating to compliance and enforcement inspections, investigations and monitoring activities in regards to the manufacture, purchase and sale of liquor products as provided under the *Liquor Control and Licensing Act* (RSBC 1996, c. 267) and *Regulations* (B.C. Reg. 244/2002) and *Judicial Review Procedure Act* (RSBC 1996 c. 241). This includes records relating to: regulating the purchase and sale of liquor products by licensed establishments, liquor manufacturers and their agents; illegal sales of liquor products; the inspection of licensed premises and manufacturers to ensure compliance with the liquor licence terms and conditions; sampling of liquor products in licensed establishments; the pricing of liquor products; entertainment in licensed establishments; compliance with the Responsible Beverage Service Program by licensed establishments; regional compliance operations; enforcement hearings; and reviewing requests from liquor manufacturers and distributors for approval to sponsor sports and cultural events.

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OPERATIONAL RECORDS CLASSIFICATION SYSTEM

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A SA FD

SECTION 3

71000 - COMPLIANCE - 72999

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71500 ENFORCEMENT HEARINGS
71600 ENTERTAINMENT
71700 EVENT CO-ORDINATION, PROMOTIONS AND SPONSORSHIPS
71800 ILLEGAL ACTIVITIES
72000 LICENSEE PRICING AND PURCHASING OF LIQUOR
72500 RESPONSIBLE BEVERAGE SERVICE PROGRAM
72600 SAMPLING OF LIQUOR PRODUCTS

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A SA FD

71000 COMPLIANCE - GENERAL

Records not shown elsewhere in the compliance section which relate generally to regulating the manufacture, sale or purchase of liquor in compliance with the *Liquor Control and Licensing Act* (RSBC 1996, c. 267) and *Regulations* (B.C. Reg. 244/2002). Audits and inspections are performed to assess the compliance of licensed establishments with the terms and conditions of their liquor licences. Records contain information on enforcement complaints and actions.

Record types include: correspondence, memoranda, newspaper clippings and reports.

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

For records relating to a licensed premises, see primary 73500.
 For records relating to a licensed manufacturer, see primary 73400.
 For records relating to agents, see primary 73050.

Unless otherwise specified below, the ministry OPR (Liquor Control and Licensing Branch, Victoria) will retain these records for:

CY+1y 2y DE

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

SO nil DE

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

FR = Throughout this section, 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.

-01 General

(continued on next page)

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

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

OPERATIONAL RECORDS CLASSIFICATION SYSTEM

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		<u>A</u>	<u>SA</u>	<u>FD</u>
71000	<u>COMPLIANCE - GENERAL</u> (continued)			
-02	Annual enforcement reports SO = when information is no longer used for reference purposes or policy development FR = The government archives will fully retain annual enforcement reports because they summarize liquor control and licensing enforcement activities and concerns for each year.	SO	nil	FR
-03	Annual inspection program (covers annual inspection activities in licensed premises) NOTE: Copies of inspections are placed in licensed premises file under secondary 73500-20.	CY+1y	nil	DE
-05	Compliance complaints and inquiries (covers complaints and inquiries regarding possible improper activities of agents, liquor manufacturers and importers) SO = when investigation of complaint has been completed and action taken NOTE: Original complaints and inquiries about specific licensed premises are placed on the applicable licensed premise file under primary 73500. For complaints about specific licensed manufacturers see primary 73400. For complaints about agents, see primary 73050.	SO	nil	DE
-07	Enforcement program (covers directives outlining operational processes for inspections, notices, warning letters, hearings or other enforcement activities) (arrange chronologically by year)	SO	nil	DE

(continued on next page)

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		<u>A</u>	<u>SA</u>	<u>FD</u>
71000	<u>COMPLIANCE - GENERAL</u> (continued)			
-12	Other jurisdictions - decisions and precedents (arrange by location)	SO	nil	DE

NOTE: Refers to decisions and precedents regarding liquor control compliance and enforcement established in jurisdictions outside of British Columbia.

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A SA FD

71100 AUDITS AND INSPECTIONS

Records relating to audits and inspections of licensees, including licensed premises and manufacturers, in order to assess compliance with the terms and conditions of liquor licence. Audits and inspections may include the participation of other agencies such as the Liquor Distribution Branch and local area police.

Record types include: correspondence, copies of buy-sell agreements, memoranda, police licensed premise check forms, inspector licensed premise check forms (PLPC/ILPC) and reports.

For records relating to a specific licensed establishment, see primary 73500.

For records relating to a specific manufacturer, see primary 73400.

Unless otherwise specified below, the ministry OPR (Liquor Control and Licensing Branch, Victoria) will retain these records for:

CY+1y 2y DE

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

SO nil DE

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

-01 General

-20	Audit and inspection case files - licensed premises (electronic and paper) (arrange by year, then by licensed premise)		SO	nil	DE
-----	--	--	----	-----	----

SO = when no longer required for compliance or enforcement reference

-30	Audit and inspection case files - manufacturers (arrange by year and then by manufacturer name)		CY+1y	nil	DE
-----	--	--	-------	-----	----

(continued on next page)

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		<u>A</u>	<u>SA</u>	<u>FD</u>
71100	<u>AUDITS AND INSPECTIONS</u> (continued)			
-40	Inducement reference case files (covers activities of manufacturers to influence licensees of liquor establishments in the selection of liquor products sold in their licensed premises) (arrange chronologically and then by name of manufacturer)	CY+1y	nil	DE

NOTE: These records contain copies of material that is retained either on the licensed premise file under primary 73500 or on the manufacturer file under primary 73400.

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OPERATIONAL RECORDS CLASSIFICATION SYSTEM

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A SA FD

71300 CO-OPERATION, CO-ORDINATION AND COMPLIANCE PROJECTS

Records relating to compliance projects involving co-operation and co-ordination with either federal, provincial or municipal governments, local area police and in some cases liquor manufacturers, containing strategies and initiatives on liquor production, sales and consumption in British Columbia. The Liquor Control and Licensing Branch co-ordinates and monitors compliance activities in municipalities throughout the province. This involves consultation with municipal regulatory authorities on issues surrounding the purchase and sale of liquor through licensed premises. A government appointed task force may sometimes be created to address a specific issue.

Record types include: correspondence, interim and final reports, and protocol agreements.

For event co-ordination, promotions and sponsorships, see primary 71700.
For issues and topics of interest, see primary 70100.

Unless otherwise specified below, the ministry OPR (Liquor Control and Licensing Branch, Victoria) will retain these records for:

CY+1y 2y DE

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

SO nil DE

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

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

-20	Co-operation, co-ordination and compliance project case files		SO+2y	5y	FR
-----	---	--	-------	----	----

(consists of Federal/Provincial, Municipal/Provincial, or liquor industry stakeholder projects)
(arrange by project group or task force, then by project)

SO = upon project or agreement completion

(continued on next page)

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FD = Final Disposition	NA = Not Applicable	SR = Selective Retention
PIB = Personal Information Bank	w = week m = month	FR = Full Retention
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OPERATIONAL RECORDS CLASSIFICATION SYSTEM

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A SA FD

71300 CO-OPERATION, CO-ORDINATION AND COMPLIANCE
 PROJECTS (continued)

FR = The government archives will fully retain co-operation, co-ordination and compliance project case files because they document significant projects for the control of alcohol in conjunction with the federal and municipal governments.

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A SA FD

71500 ENFORCEMENT HEARINGS

Records relating to compliance division enforcement hearings conducted by a delegate of the general manager as provided under the *Liquor Control and Licensing Act* (RSBC 1996, c.267, s. 20). Appeals of enforcement decisions prior to May 30, 2002, were considered by the Liquor Appeal Board. To dispute an enforcement decision after May 30, 2002, an application must be made for judicial review to the British Columbia Supreme Court.

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

For applications for a licensed premise, see primary 73100.
For liquor seizures, see primary 71800.

Unless otherwise specified below, the ministry OPR (Liquor Control and Licensing Branch, Victoria) will retain these records for:

CY+1y 2y DE

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

SO nil DE

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

-01 General

-05	Enforcement hearing decisions (includes decision letters) (arrange chronologically)		SO	nil	DE
-----	---	--	----	-----	----

NOTE: This is a convenience file kept for reference purposes only.

-06	Enforcement hearing log (electronic and paper)		SO	nil	DE
-----	---	--	----	-----	----

(continued on next page)

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OPERATIONAL RECORDS CLASSIFICATION SYSTEM

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		<u>A</u>	<u>SA</u>	<u>FD</u>
71500	<u>ENFORCEMENT HEARINGS</u> (continued)			
-07	Enforcement hearing notification letters (electronic and paper) (consists of letters notifying licensee or their counsel of the hearing and the reasons for the hearing)	SO	nil	DE
-20	Enforcement hearing exhibit case files (consists of documents used during a hearing, e.g., cassette tapes, videos, booklets, sales receipts, sales tapes, staff shift lists and written statements.) (arranged alpha-numerically by case number)	SO	nil	DE
SO =	when all appeals have expired and/or the use of the Branch library is no longer required			
-30	Appeals of enforcement decisions (covers records relating to appeals or judicial reviews pertaining to actions taken by the general manager against a licensee under s. 20 of the <i>Liquor Control and Licensing Act</i>). (arrange chronologically, then by name of complainant)	SO	nil	DE

NOTE: These records relate to either appeals to the Liquor Appeal Board or applications for judicial review by the British Columbia Supreme Court as provided under the *Liquor Control and Licensing Act* (RSBC 1996, c.267, ss. 20, 30 and 31) and *Regulations* (B.C. Reg. 608/76) and the *Judicial Review Procedure Act* (RSBC 1996, c. 241).

(continued on next page)

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A SA FD

71500 ENFORCEMENT HEARINGS (continued)

The *Liquor Control and Licensing Act* provisions respecting the Liquor Appeal Board have been repealed. As of May 30, 2002, disputes on Liquor Control and Licensing Branch decisions relating to liquor licence applications and enforcement matters are heard by way of application for judicial review in the Supreme Court of British Columbia. The *Judicial Review Procedure Act* governs an application for judicial review and sets out the powers of the court.

NOTE: These records are retained in the Branch library for reference purposes.

SO = when all appeal periods have expired and/or the use of the Branch library is no longer required

DE = Appeals of enforcement decisions can be destroyed because this function is sufficiently documented through selective retention of liquor appeal case files under secondary 80150-20 in the *Liquor Appeal Board ORCS*, selective retention of Board of Commission files under secondary 32820-40 in the *Legal Services ORCS*, and selective retention of civil case files under primary 51400-20 in the *Court Services ORCS*.

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A SA FD

71600 ENTERTAINMENT

Records relating to the inspection, monitoring and approval of various types of entertainment (e.g., draws, contests and tournaments, exotic dancers, gambling, lap dancing, lottery tickets, tele-theatre wagering, movie videos, etc.) permitted in licensed premises pursuant to the *Liquor Control and Licensing Act* (RSBC 1996, c.267, s. 50) and *Regulations* (BC Reg. 244/2002).

Record types include: correspondence, memoranda and newspaper clippings.

For related activities in other jurisdictions outside British Columbia, see primary 71000.

Unless otherwise specified below, the ministry OPR (Liquor Control and Licensing Branch, Victoria) will retain these records for:

CY+1y 2y DE

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

SO nil DE

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

-01 General

-20	Entertainment case files (arrange by entertainment type)		SO	nil	DE
-----	---	--	----	-----	----

SO = when the information is no longer current or is no longer considered to be an operational or policy issue.

-25	Entertainment incident case files (covers incidents specific to a violation of the <i>Liquor Control Licensing Act</i> or Branch policy) (arrange by type of entertainment)		SO	nil	FR
-----	---	--	----	-----	----

SO = when the information is no longer current or is no longer considered to be an operational or policy issue

(continued on next page)

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A SA FD

71600 ENTERTAINMENT (continued)

FR = The government archives will fully retain entertainment incident case files because they significantly document moral judgments made by government on behalf of society regarding appropriate entertainment in situations where liquor is served.

NOTE: Original information related to incidents in licensed premises is filed in the licensed premises case file secondary 73500-20.

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A SA FD

71700 EVENT CO-ORDINATION, PROMOTIONS AND SPONSORSHIPS

Records relating to the consideration and approval of consumption and sale of liquor products at special events sponsored by liquor product distributors or manufacturers in accordance with the *Liquor Control and Licensing Act* (RSBC 1996, c.267, ss. 54 and 53 (2)).

Records contain information relating to the approval by the general manager of requests from manufacturers or distributors of liquor seeking approval to sponsor events, activities or organizations (e.g., sports events or competitions and cultural contests like the Penticton Peach Festival, the Molson Indy and the Grey Cup).

Manufacturers, importers and liquor agents use promotions to acquaint the public with their products. Promotions can be wine festivals, beer festivals, trade and convention functions and other promotional events having specific dates, times and locations. Prior to December 2, 2003, consumer tastings and theme night events were to be pre-reported to Liquor Control and Licensing Branch. After December 2, 2003 these pre-reporting requirements have been eliminated.

Record types include: correspondence, memoranda, newspaper clippings and reports.

For special occasion licences, see primary 73900.

Unless otherwise specified below, the ministry OPR (Liquor Control and Licensing Branch, Victoria) will retain these records for:

CY+1y 2y DE

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

SO nil DE

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

SO 5y FR
SO nil DE

(continued on next page)

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		<u>A</u>	<u>SA</u>	<u>FD</u>
71700	<u>EVENT CO-ORDINATION, PROMOTIONS AND SPONSORSHIPS</u> (continued)			
-20	Event co-ordination case files (arrange by event) (consists of consular, community and promotional events)	SO	nil	DE
-30	Sponsorship approval case files (arrange by event)	SO	nil	DE

SO = when the information is no longer required for operational purposes.

NOTE: When the promotional event is being held at a licensed premise, classify records under primary 73500.

NOTE: When the promotional event is approved by way of a special occasion licence, classify records under primary 73900.

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A SA FD

71800 ILLEGAL ACTIVITIES

Records relating to conducting enforcement investigations and inquiries into illegal activities, taking place in a licensed premises or by manufacturers or their agents, pertaining to the illegal manufacture, sale, purchase or smuggling of illicit liquor in the province.

Enforcement actions (e.g., liquor seizures) may be carried out by the Branch or other law enforcement agency on behalf of the Branch in accordance with the *Liquor Control and Licensing Act* (RSBC 1996, c. 267) and *Regulations* (BC Reg. 244/2002).

For audits and inspections, see primary 71100.
For issues and topics of interests, see primary 70100.

Record types include: correspondence, memoranda, reports, photographs, news clippings and legal documents.

Unless otherwise specified below, the ministry OPR (Liquor Control and Licensing Branch, Victoria) will retain these records for:

CY+1y 2y DE

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

SO nil DE

-00	Policy and procedures	- OPR	<u>SO</u>	5y	<u>FR</u>
		- <u>non-OPR</u>	<u>SO</u>	<u>nil</u>	<u>DE</u>
-01	General				
-05	Identification in licensed establishments		CY+1y	5y	DE
-20	Illegal activities case files (consists of illicit liquor and/or smuggling investigations) (arrange by illegal activity)		CY+1y	5y	FR

(continued on next page)

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A SA FD

71800 ILLEGAL ACTIVITIES (continued)

FR = The government archives will fully retain all illegal activities case files because they significantly document the investigation of illegal activities in the distribution and sale of alcohol in the Province including illegal manufacture, smuggling and other unlicensed activities.

NOTE: Records containing information related to illegal activities involving a licensed premise or manufacturer are all copies of material that is kept either in the licensed premise file under primary 73500 or in the manufacturer file under primary 73400.

NOTE: Illicit liquor definition: liquor that has been smuggled from other provinces, the United States or other international locations; liquor that has not been purchased, sold or kept in compliance with *Liquor Control and Licensing Act* and *Regulations* as well as the terms and conditions of the licence; adulterated or watered down liquor; sale of personal use or illegally manufactured liquor including sale of U-brew, U-vin products, home distilled or home fermented liquor; and use of medicinal, confectionary, culinary, or other concoctions containing alcohol but not intended for consumption (e.g., Chinese cooking wines, mouthwashes and aftershave lotions).

PIB	-60	Seized liquor case files (arrange chronologically, then by applicant surname)	CY+2y	nil	DE
-----	-----	--	-------	-----	----

NOTE: Refers to liquor seizures as defined under *Liquor Control and Licensing Act* (RSBC 1996, c. 267, ss. 67, 68, 70, 71 and 72). Should liquor seizure be appealed or go for judicial review re-classify file to 71800-65.

(continued on next page)

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			<u>A</u>	<u>SA</u>	<u>FD</u>
71800	<u>ILLEGAL ACTIVITIES</u> (continued)				
PIB	-65	Seized liquor appeal case files (arrange alpha-numerically by case number)	SO	nil	DE

NOTE: Provides for applications for the return of liquor that was seized after being deemed as liquor unlawfully possessed or kept as defined under *Liquor Control and Licensing Act* (RSBC 1996, c.267, ss. 69, 70(2) and 72).

NOTE: These records relate to either appeals to the Liquor Appeal Board or judicial reviews to the Supreme Court of British Columbia as provided under the *Liquor Control and Licensing Act* (RSBC 1996, c.267) and *Regulations* (B.C. Reg. 608/76) and the *Judicial Review Procedure Act* (c. 241).

SO = when all appeal periods have expired and/or the use of the Branch library is no longer required

DE = The records in secondaries - 60 and - 65 can be destroyed because these activities are sufficiently documented in liquor appeal case files (secondary 80150-20 in the Liquor Appeal Board ORCS, schedule 116358) which are selectively retained; British Columbia Supreme Court civil case files (selectively retained under secondary 51400 in the Court Services ORCS, schedule 100152); and in opinions and advice covered by primary 32780 in the Legal Services ORCS, schedule 105050.

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A SA FD

72000 LICENSEE PRICING AND PURCHASING OF LIQUOR

Records relating to regulating and monitoring liquor pricing and liquor purchases in or by licensed premises or other licensee as provided under the *Liquor Control and Licensing Act* (RSBC 1996, c.267, ss.12, 14 and 38) and *Regulations* (BC Reg. 244/2002). Licensed premises may provide off-sales, bartender and delivery services.

Record types include: correspondence, memoranda and reports.

Unless otherwise specified below, the ministry OPR (Liquor Control and Licensing Branch, Victoria) will retain these records for:

CY+1y 2y DE

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

SO nil DE

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

-01	General		CY+1y	2y	DE
-----	---------	--	-------	----	----

- 02 Bartender services
- 03 Delivery services
- 04 Draft beer quotas in stadiums
- 05 Licensee pricing
- 06 Liquor dispensing methods
- 10 Off-sales
- 11 Over-the-counter purchases
 (covers purchases made by licensees from Liquor
 Distribution Branch stores without the requisite
 Form 60)

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OPERATIONAL RECORDS CLASSIFICATION SYSTEM

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A SA FD

72500 RESPONSIBLE BEVERAGE SERVICE PROGRAM

Records relating to the development and implementation of training programs under the Responsible Beverage Service (RBS) program. The *Liquor Control and Licensing Act* (RSBC 1996, c.267, s. 13) and *Regulations* require that training programs be completed by individuals who will have responsibility for controlling the sale of liquor in a licensed premise.

Responsibility for delivery of the RBS program was delegated to the Hospitality Industry Education Advisory Committee (HIEAC), a non-profit, industry association, in 1989. In 2003 HIEAC's name changed to GO2.

When a liquor licence has been issued, the LCLB sends notices to licensees requesting details of the individuals who hold the required RBS certificate. When LCLB receives the certificate list the information is input into POSSE.

Record types include: applications, correspondence, certificate examinations, publications, memoranda, notices and other record types as indicated under relevant secondaries.

Unless otherwise specified below, the ministry OPR (Liquor Control and Licensing Branch, Victoria) will retain these records for:

CY+1y 2y DE

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

SO nil DE

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

(continued on next page)

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		<u>A</u>	<u>SA</u>	<u>FD</u>
72500	<u>RESONSIBLE BEVERAGE SERVICE PROGRAM</u> (continued)			
-02	HEIAC (GO2) (includes agreements, correspondence and/or final training material)	SO	5y	FR
	SO = upon completion of agreement			
	FR = The government archives will fully retain these records because they document the agreement between the branch and the industry council to deliver a significant program to encourage responsible consumption of alcohol. They also document the details of the program and the training material			
-03	Notice to licensees (electronic and paper) (covers notices from licensees stating that they and employees have completed the Serving it Right: RBS program)	SO	nil	DE
-06	RBS Program development	SO	5y	DE
	SO = until reference no longer required			
	DE = The RBS Program development files can be destroyed because the program is sufficiently described in other branch and ministry records such as branch brochures, annual reports, and executive records.			

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A SA FD

72600 SAMPLING OF LIQUOR PRODUCTS

Records related to the sampling of liquor products by inspectors as provided under the *Liquor Control and Licensing Act* (RSBC 1996, c.267, ss. 73 and 75). Sampling is conducted by inspectors to ensure the content and quantity of liquor products being sold, purchased, possessed, given, taken, supplied or kept is lawful. Records document methods of sampling, sampling devices and laboratory tests.

Record types include: correspondence, memoranda, reports and laboratory results.

For event co-ordination, promotions and sponsorships see primary, 71700.

For enforcement hearings, see primary 71500.

For liquor seizures, see primary 71800.

Unless otherwise specified below, the ministry OPR (Liquor Control and Licensing Branch, Victoria) will retain these records for:

CY+1y 2y DE

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

SO nil DE

-00	Policy and procedures	- OPR	SO	5y	FR
		- <u>non-OPR</u>	<u>SO</u>	<u>nil</u>	<u>DE</u>
-01	General				
-04	Laboratory tests				
-05	Log of exhibits				
-10	Sampling methods				
-20	Liquor sampling case files (arrange by licensed establishment name)		CY+2y	4y	DE

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A SA FD

SECTION 4

LICENSING

PRIMARY NUMBERS

73000 - 74499

Section 4 covers records relating to licensing the sale of liquor products as provided under the *Liquor Control and Licensing Act* (RSBC 1996, c. 267), *Regulations* (B. C. Reg. 244/2002) and the *Judicial Review Procedure Act* (RSBC 1996, 11 c. 241). This includes records relating to: the issue, renewal, transfer and cancellation of licences for breweries, distilleries, wineries and their agents; special occasion licences; the sale of liquor by hotels, clubs, resorts, recreational centres, aircraft, trains, motor vessels, airports, cultural centres, universities, military messes, dining establishments, cabarets, neighbourhood pubs, sports stadiums, concert halls, marine pubs, retail stores and winery lounges; grain alcohol permits; preparations containing alcohol; and Liquor Licensing Committee hearings.

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A SA FD

SECTION 4

73000 - LICENSING - 74499

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73200 APPLICATIONS FOR A MANUFACTURER'S LICENCE
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73500 LICENSED PREMISES
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A SA FD

73050 AGENTS

Records relating to licensing independent agents to represent liquor manufacturers, liquor importers and other importers in the purchase or sale of liquor pursuant to the *Liquor Control and Licensing Act* (RSBC 1996, c.267, s. 52). Liquor manufacturers may also hold an agent's licence and hire sales representatives.

Record types include: correspondence, memoranda, applications, copies of licences, buy-sell agreements, certificate of incorporations, provincial registrations, registrar applications, birth certificates, criminal records checks, reports and other types of records as indicated under relevant secondaries.

For manufacturers licence see primary 73400.

Unless otherwise specified below, the ministry OPR (Liquor Control and Licensing Branch, Victoria) will retain these records for:

CY+1y 2y DE

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

SO nil DE

00	Policy and procedures	- OPR - <u>non-OPR</u>	SO <u>SO</u>	5y <u>nil</u>	FR <u>DE</u>
-01	General				
-02	Agent registration (includes approval letters, applications, and permits)		SO	nil	DE

SO = when new cards are issued

-20	Agent case files (arrange by agent)		CY+1y	nil	DE
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A SA FD

73100 APPLICATIONS FOR A LICENSED PREMISE

Records relating to approval of applications for a licensed premise as provided under the *Liquor Control and Licensing Act* (RSBC 1996, c.267, ss. 11 and 15) and *Regulations* (ss. 10 and 12). Prior to the licensing approval of food primary, liquor primary as well as other categories of licences, the general manager is required to consider the views of residents of the local area (as specified by the general manager). The views of those residents may be expressed in the form of letters of public response, a petition, a referendum, a local area government resolution, or a combination of all of the above.

Records also contain information relating to the Liquor Control and Licensing Committee (LLC) hearings. LLC hearings are held to consider applications for: a new liquor licence, changes to an existing licence, an exercise of discretion in licensing policy or any action against a licensee by the general manager as provided under the *Liquor Control and Licensing Act* (RSBC 1996, c.267, s. 20). The Committee is a panel of three government employees consisting of: the general manager or designate as chair of the Committee and two other members appointed by the general manager. Liquor Licensing Committee decisions are subject to appeal. After May 2002, those who wish to dispute a LLC decision must apply for judicial review to the Supreme Court of BC.

Record types include: affidavits, agendas, community assessments, correspondence, exhibits, memoranda, minutes, petitions, reports, resolutions, site and voting documents, maps and other types of records as indicated under relevant secondaries.

Unless otherwise specified below, the ministry OPR (Liquor Control and Licensing Branch, Victoria) will retain these records for:

CY+1y 2y DE

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

SO nil DE

-00	Policy and procedures	- OPR	SO	5y	FR
		- <u>non-OPR</u>	<u>SO</u>	<u>nil</u>	<u>DE</u>
-01	General				
-02	Audio cassette tapes of LLC hearings		SO	5y	DE

(continued on next page)

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		<u>A</u>	<u>SA</u>	<u>FD</u>
73100	<u>APPLICATIONS FOR A LICENSED PREMISE</u> (continued)			
-03	LLC agendas	SO	nil	DE
-04	LLC index	SO	nil	DE
-05	LLC decision letters (arrange chronologically, then by licence category and application status)	SO	nil	DE
	SO = when no longer required for reference purposes and after all appeals have expired			
	NOTE: This is a chronological reference file containing convenience copies of committee decision letters sent to the applicants. Branch copies of decision letters are located in corresponding applicant files.			
-06	LLC exhibit log	CY+2y	5y	DE
-20	Application for licensed premises case files - pending (arrange food-primary licence applications by establishment name and all other licence applications by location)	SO	NA	NA
	SO = when application is approved or terminated			
	NA = if the application is approved, a licensed premise file is created which includes the original application for a licence. The file is reclassified under secondary 73500-20. If an application is terminated, the file is reclassified to secondary 73100-40			
	NOTE: For explanation of food-primary licences, liquor primary and other licence categories, see primary 73500.			
-25	Licensing decision appeals or judicial reviews (includes agendas, decision letters, appeal hearing and reasons for judgements) (arrange chronologically, then by name of complainant)	SO	nil	DE

(continued on next page)

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A SA FD

73100 APPLICATIONS FOR A LICENSED PREMISE (continued)

NOTE = These records relate to appeals made either with the Commercial Appeals Commission, the Liquor Appeal Board or by application for judicial review made to the Supreme Court of BC.

SO = when all appeal periods have expired or the use of the Branch library is no longer required

DE = Licensing decision appeals or judicial reviews can be destroyed because this function is sufficiently documented through selective retention of commercial appeal case files under secondary 80050-20 in the *Commercial Appeal Commission ORCS*, selective retention of the liquor appeal case files under secondary 80150-20 in the *Liquor Appeal Board ORCS*, selective retention of civil case files under primary 51400-20 in the *Court Services ORCS* and selective retention of board of commission case files under secondary 32820-40 in the *Legal Services ORCS*.

-40	Licensed premise applications - terminated (arrange by applicant)	CY+2y	4y	DE
-----	--	-------	----	----

-45	LLC exhibit case files (includes architectural models submitted by the applicant) (arrange by applicant)	SO	nil	DE
-----	--	----	-----	----

SO = upon licensing decision, the exhibit is returned to applicant

DE = if applicant does not want exhibit back

(continued on next page)

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		<u>A</u>	<u>SA</u>	<u>FD</u>
73100	<u>APPLICATIONS FOR A LICENSED PREMISE</u> (continued)			
-50	Public response case files (includes letters from individuals and/or petitions) (arrange by applicant)	SO	5y	DE
-60	Local government resolutions (arrange by applicant)	SO	5y	DE
SO = when the application is approved or terminated				
NOTE: Applications that have been refused by the Branch or withdrawn by the applicant are referred to as terminated.				
DE = Local government resolutions can be destroyed because they do not document significant activities. Any resolutions related to specific licence applications will be found in licensed premise case files, which will be selectively retained under secondary 73500-20.				
-70	Referenda (includes any voting documents received by branch) (arrange by applicant)	SO	5y	DE
SO = upon completion of the referendum				

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A SA FD

73200 APPLICATION FOR A MANUFACTURER'S LICENCE

Records relating to licensing manufacturers of beer, wine and spirits pursuant to the *Liquor Control and Licensing Act* (RSBC 1996, c.267, ss. 12, 15, 55, 56, 57 and 58) and *Regulations* (BC Reg. 244/2002). Manufacturers must be licensed to produce distilled spirits, wine, beer or cider. The licence is valid for one year.

Record types include: applications, correspondence, memoranda and reports.

For applications for a licensed premise, see primary 73100.
For records relating to a specific licensed premise, see primary 73500.

Unless otherwise specified below, the ministry OPR (Liquor Control and Licensing Branch, Victoria) will retain these records for:

CY+1y 2y DE

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

SO nil DE

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

-01 General

-20	Manufacturer's licence applications - pending (arrange by manufacturer)		SO	NA	NA
-----	--	--	----	----	----

SO = when application is approved, refused or withdrawn

NA = if the application is approved, a file is created which includes the original application for a licence and the file is reclassified under secondary 73400-20. If refused or withdrawn, the file is reclassified under secondary 73200-30

-30	Manufacturer's licence applications - refused, withdrawn or terminated (arrange by location then by applicant)		CY+2y	4y	DE
-----	---	--	-------	----	----

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		<u>A</u>	<u>SA</u>	<u>FD</u>
73400	<u>LICENSED MANUFACTURERS</u>			
	Records relating to licensed manufacturers of beer, wine and spirits pursuant to the <i>Liquor Control and Licensing Act</i> (RSBC 1996, c.267, ss. 12, 15, 55, 56, 57 and 58). Manufacturers must be licensed to produce distilled spirits, wine, beer or cider.			
	Record types include: buy-sell agreement copies, correspondence, licences, memoranda, applications, renewal forms and excise reports.			
	Unless otherwise specified below, the ministry OPR (Liquor Control and Licensing Branch, Victoria) will retain these records for:	CY+1y	2y	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	SO	5y	FR
	- OPR	<u>SO</u>	<u>nil</u>	<u>DE</u>
	- <u>non-OPR</u>			
-01	General			
-02	Brewery	CY+2y	2y	DE
-03	Cidery	CY+2y	2y	DE
-04	Distillery	CY+2y	2y	DE
-15	Winery	CY+2y	2y	DE
-20	Manufacturer licence case files - active (arrange by manufacturer name)	SO+1y	9y	DE
	SO = when the current licence has expired or been cancelled and is not renewed			
	10y = sufficient for reference purposes			
	DE = Manufacturer licence files can be destroyed because they contain only routine licensing documents whose value does not justify archival retention. These files are also sufficiently summarized in the Branch's annual reports.			

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A SA FD

73500 LICENSED PREMISES

Records relating to licensing premises for selling liquor as provided under the *Liquor Control and Licensing Act* (RSBC 1996, c. 267) and *Regulations* (B.C. Reg. 244/2002). Licences are valid until cancelled by the Branch or licensee. Licensed premises are licensed under the following categories:

Food-Primary The Liquor Control and Licensing Branch (LCLB) issues food primary licences to businesses (restaurants) where the primary purpose is to serve food.

Liquor-Primary The Branch issues liquor primary licences to businesses such as, hotels, cabarets, resorts, recreational centres, aircraft, trains, licensee retail stores (commonly referred to as cold beer and wine stores), marine pubs, motor vessels, airports, municipally and provincially owned cultural centres, neighbourhood pubs, restoration public houses, sports stadiums, concert halls, universities, and military messes.

Winery lounges located at licensed wineries.

Ubrew/Uvin licences cover establishments that provide goods, facilities or services to persons producing or manufacturing wine, beer or cider in the establishment for their own consumption or consumption at no charge to others.

Record types include: buy-sell agreement copies, correspondence, memoranda, applications, licences and renewal forms.

For records relating to licence applications that have been submitted for approval, see primaries 73100 and 73200.

For records relating to enforcement hearings regarding licensed premises, see primary 71500.

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		<u>A</u>	<u>SA</u>	<u>FD</u>
73500	<u>LICENSED PREMISES</u> (continued)			
	Unless otherwise specified below, the ministry OPR (Liquor Control and Licensing Branch, Victoria) will retain these records for:	CY+1y	2y	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	SO	5y	FR
	- OPR	<u>SO</u>	<u>nil</u>	<u>DE</u>
	- <u>non-OPR</u>			
-01	General			
-02	Amendments - permanent (covers amendments that permanently change the terms or conditions of an existing licence)	SO	NA	NA
	SO = when application is approved or denied			
	NA = when amendment process is completed, all relevant documents are reclassified to secondary 73500-20			
-03	Amendments - temporary (covers amendments that temporarily change the terms and conditions of an existing licence)	SO	NA	NA
	SO = when application is approved or denied			
	NA = when amendment process is completed, all relevant documents are reclassified to secondary 73500-20			
-09	Licence cancellation notices	SO+1y	nil	DE
	SO = when cancellation becomes effective			
	NOTE: This is a convenience file created for reference purposes only. A copy of the cancellation notice is retained under secondary 73500-20 on the appropriate licensed premise file.			

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		<u>A</u>	<u>SA</u>	<u>FD</u>
73500	<u>LICENSED PREMISES</u> (continued)			
-10	Licence late renewal notices	SO+1y	nil	DE
	SO = when the licence renewal notice has been received and approved			
-20	Licensed premises case files (active) (arrange by name of establishment and then by type of licence)	SO+1y	9y	SR
	SO = when the active licence for the establishment is not renewed or is cancelled			
	10y = sufficient for reference purposes			
	SR = The government archives will selectively retain these files as they document the licensing process, inspection of premises, incidents contravening regulations, the revocation of licenses, appeal hearings, and ownership of licensed establishments. The files document the application and development of licensing policy and regulations as well as the changes to drinking establishments in the Province.			
	Because of the very large number of these files the retention of only a representative sample can be justified. The sample will be achieved by retaining every tenth box of files, plus any boxes that contain further volumes of files contained in the designated "tenth" box.			
	NOTE: For a list of records with long-term value of ten years, see Appendix A. These records will be transferred to off-site storage under on-going accession number 90-7477.			

(continued on next page)

A = Active	CY = Calendar Year	SO = Superseded or Obsolete
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PIB = Personal Information Bank	w = week m = month	FR = Full Retention
PUR = Personal Use Record	y = year	FOI = Freedom of Information/Privacy
OPR = Office of Primary Responsibility		VR = Vital Records

OPERATIONAL RECORDS CLASSIFICATION SYSTEM

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		<u>A</u>	<u>SA</u>	<u>FD</u>
73500	<u>LICENSED PREMISES</u> (continued)			
-25	Licensed premises case files (three year retention documents) (arrange by establishment name and then by type of licence)	CY+1y	2y	DE
	NOTE: For a list of records with short-term, three year retention value, see Appendix A. These records will be transferred to off-site storage under on-going accession number 90-7479.			
-30	Licensed premises case files (seven year retention documents) (arrange by name of establishment and then by type of licence)	CY+1y	5y	DE
	NOTE: For a list of records with the seven year retention value, see Appendix A. These records will be transferred to off-site storage under on-going accession number 90-7480.			
-35	Licensed premises case files (immediate destruction documents) (arrange by name of establishment and then by type of licence)	SO	nil	DE
	SO = when no longer required for reference purposes			
	NOTE: For a list of records with the retention period of immediate destruction when no longer required for reference purposes, see Appendix A.			
-40	Licensed premises case files (documents for destruction at file closure) (arrange by name of establishment and then by type of licence)	NA	nil	DE
	NA = upon cancellation of licence, staff will remove documents no longer required for operational purposes from the 73500-20 file			

(continued on next page)

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A SA FD

73500 LICENSED PREMISES (continued)

NOTE: For a list of records culled from the 73500-20 file at closure, see Appendix A. The remaining records on 73500-20 will then go to off-site storage.

NOTE: During the active retention period records in secondaries 20, 25, 30 and 35 are filed within the same file folder.

NOTE: A licensed premise file may contain any or all of the following documents: the original application created under primary 73100-20; liquor licence; renewal application forms; annual inspection forms; corporate documents containing financial information including share sheets (which indicate shares held by the principles of the licensed premises) and licensing fees; Social Services Tax number; Responsible Beverage Service Program information sheets; police reports; inspectors reports and meeting notices; information related to enforcement activities and hearings; warning letters; floor plans; photographs; Certificates of Incorporation; ownership titles; facility and management leases; criminal record searches; enforcement issues summary sheets; licensing summary sheets; general correspondence; memoranda; Designated Driver Program endorsement; Liquor Licensing Committee hearing agenda, indexes, decision letters, and records of decision; General Manager's Orders; and temporary and permanent amendments.

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		<u>A</u>	<u>SA</u>	<u>FD</u>
73700	<u>PERMITS TO PURCHASE PURE GRAIN ALCOHOL</u>			
	Records relating to the issuance of permits for purchasing and using pure grain alcohol in a mechanical or manufacturing business, a scientific pursuit or in a manner not contrary to public interest pursuant to the <i>Liquor Control and Licensing Act</i> (RSBC 1996, c.267, ss. 8 and 9).			
	Record types include: applications, memorandum, correspondence and copies of permits.			
	Unless otherwise specified below, the ministry OPR (Liquor Control and Licensing Branch, Victoria) will retain these records for:	CY+1y	2y	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	SO	5y	FR
	- OPR			
	- <u>non-OPR</u>	<u>SO</u>	<u>nil</u>	<u>DE</u>
-01	General			
-20	Pure grain alcohol permit case files (arrange by name, then chronologically)	CY+1y	nil	DE

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A SA FD

73800 PREPARATIONS CONTAINING ALCOHOL

Records relating to the approval for sale of preparations containing liquor that are prepared or sold at a place of business within the province as provided under the *Liquor Control and Licensing Act* (RSBC 1996, c.267, s. 62). Medicinal, toilet, confectionery, culinary and cleaning preparations containing more than one per cent alcohol by volume are reviewed to ensure that they are either sold in appropriate outlets or contain sufficient other ingredients to prevent their use as alcoholic beverages. The review can include laboratory analysis to establish the exact contents of each preparation.

Record types include: applications, memoranda, correspondence and laboratory reports.

Unless otherwise specified below, the ministry OPR (Liquor Control and Licensing Branch, Victoria) will retain these records for:

CY+1y 2y DE

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

SO nil DE

-00	Policy and procedure	- OPR	SO	5y	FR
		- <u>non-OPR</u>	<u>SO</u>	<u>nil</u>	<u>DE</u>
-01	General				
-02	Preparation exemptions		SO	10y	DE
	SO = when exemption is rescinded				
-03	Refusals for product labels		CY+2y	10y	DE
-20	Culinary, toilet, confectionery, cleaning and disinfecting preparations - exempted (arrange by name of importer or producer)		SO	10y	DE
	SO = when exemption is rescinded				
-25	Culinary, toilet, confectionery, cleaning and disinfecting preparations - refused (arrange by name of importer or producer)		CY+2y	10y	DE

(continued on next page)

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		<u>A</u>	<u>SA</u>	<u>FD</u>
73800	<u>PREPARATIONS CONTAINING ALCOHOL</u> (continued)			
-30	Non-potable medicinal preparations - exempted (arrange by name of importer or producer)	SO	10y	DE
	SO = when exemption is rescinded			
-35	Non-potable medicinal preparations - refused (arrange by name of importer or producer)	CY+2y	10y	DE
-40	Potable medicinal preparations - exempted (arrange by name of importer or producer)	SO	10y	DE
	SO = when exemption is rescinded			
-45	Potable medicinal preparations - refused (arrange by name of importer or producer)	CY+2y	10y	DE
-50	Salted culinary preparations - exempted (arrange by name of importer or producer)	SO	10y	DE
	SO = when exemption is rescinded			
-55	Salted culinary preparations - refused (arrange by name of importer or producer)	CY+2y	10y	DE

10y = The ten year semi-active period is sufficient for reference purposes. The Branch may be required to demonstrate that products have been previously exempted or refused.

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A SA FD

73900 SPECIAL OCCASION LICENCES

Records relating to applications for an exercise of discretion in the granting of special occasion licences (SOL) issued under the *Liquor Control and Licensing Act* (RSBC 1996, c.267, s. 7) and *Regulations* (B.C. Reg. 244/2002). The general manager authorizes Liquor Distribution Branch (LDB) store managers or other officers to issue special occasion licence permits for selling or serving liquor for special occasions. Copies of the special occasion licence permits are retained by the LDB.

Special occasion licences are issued for public functions (e.g., beer gardens at fairs), private group functions (e.g., sports club dance and office parties) and private family functions (e.g., birthday parties, weddings and anniversaries) where liquor is being sold.

If applicants want a special occasion licence for a purpose other than what is in accordance with this Act and regulations, then they must apply to the general manager for an exercise of discretion in order to have an exemption in policy granted.

Record types include: applications, correspondence, memoranda and reports.

Unless otherwise specified below, the ministry OPR (Liquor Control and Licensing Branch, Victoria) will retain these records for:

CY+1y 2y DE

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

SO nil DE

-00	Policy and procedures	- OPR	SO	5y	FR
		- <u>non-OPR</u>	<u>SO</u>	<u>nil</u>	<u>DE</u>
-01	General				
-02	Alerts on refusals to approve a SOL (includes advisories sent to LDB and local area police instructing not to sell or approve permit for a specific place or group)		CY+1y	nil	DE
-05	SOL notifications		CY+1y	nil	DE

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		<u>A</u>	<u>SA</u>	<u>FD</u>
73900	<u>SPECIAL OCCASION LICENCES</u> (continued)			
-10	Special occasion licence reports (includes statistical reports compiled by the Liquor Distribution Branch and sent to the branch for reference purposes)	CY+1y	nil	DE
-20	Special occasion licence requests for discretion (includes exercise of discretion application forms, letters, permits, revenue reports and any other related material) (arrange by location, then chronologically)	CY+2y	nil	DE
	NOTE: If revenue reports are not received, then request for discretion file must be reclassified under 73900-60.			
-60	SOL issues (covers complaints on events, input from local government or police, refusal of discretion and contentious issues) (arrange chronologically)	CY+2y	4y	DE

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INFORMATION SYSTEM OVERVIEW SECTION

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ISO TITLE

PUBLIC ONE STOP
SERVICE

POSSE

OPERATIONAL RECORDS CLASSIFICATION SYSTEM

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

INFORMATION SYSTEM OVERVIEW

Name of Creating Agency

Ministry of Public Safety and Solicitor General
Liquor Control and Licensing Branch

System Title

Public One Stop Service (POSSE)

Purpose

The purpose of the system is to:

- record and track inspections, complaints, contraventions, enforcement hearing notices, decisions and appeals;
- record and track licence applications, change requests, transfers, internal/external transfer of shares, floor plans, legal entities, structural changes, designated smoking rooms, occupant load limits, cooking wine approvals and grain alcohol permit requests;
- monitoring licensing and penalty fees;
- collect and report of information relating to licensee liquor purchases from LDB; and,
- search for information relating to liquor licensing.

Information Content

The POSSE database contains and manages licensing and compliance activities. This system generates hard copies of liquor licences, reports documenting inspections, enforcement actions, waivers, penalties, financial transactions, and statistical summaries used for branch planning.

Inputs, Processes, and Outputs

The user signs onto the system and selects a program area (e.g., Compliance and Enforcement, Licensing, or Management Services). Depending on access level, data is inputted, processed and outputted as follows:

Tracking - The system is regularly searched for information to support many aspects of Liquor Control and Licensing Branch's mandate and is used to monitor compliance, licensing fees and penalty fees.

Outputs - Licence application summaries, site reports, food primary licences, liquor primary licences, inspection reports, staff reports, licensee retail store licences, licensee retail store manual reports, manufacturer's licences, manufacturer manual reports,

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Ubrew/Uvin manual reports, Ubrew/Uvin licences, permits, floor plans, compliance history checks, final inspection sheets, no enforcement action reports (NEAR), enforcement amend reports (EAR), proceed with enforcement action (NOEA), enforcement hearing briefs, decisions, waiver notices and penalty letters.

Reports - Statistics and data are collected from the system using Infomaker or SQL/Developer. Once the report is generated, data can be printed or exported to Excel, Word, Acrobat or Access. These reports are used for management and operational purposes and for providing statistics.

Technical Maintenance

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

The electronic system is routinely backed up in accordance with ministry policy, as prescribed in the CORE policy manual chapter 12, and in special schedule 112910 in the ARCS manual.

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

Classification

Electronic System

Secondary No.	Secondary Title
70250-20	Public One Stop Service

Electronic Records

Secondary No.	Secondary Title
70250-30	POSSE ad hoc reports
70250-40	POSSE compliance reports
70250-50	POSSE financial reports
70250-70	POSSE management reports

Inputs

Secondary No.	Secondary Title
71100-20	Audit and inspection case files - licensed premises
71100-30	Audit and inspection case files -manufacturers

OPERATIONAL RECORDS CLASSIFICATION SYSTEM

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71100-40	Inducement reference case files
71500-05	Enforcement hearing decisions
71500-07	Enforcement hearing notification letters
71500-30	Appeals of enforcement decisions
72500-03	Notice to licensees
73050-20	Agent case files
73100-20	Application for licensed premises case files - pending
73100-25	Licensing decision appeals or judicial reviews
73200-20	Manufacturer's licence applications - pending
73400-20	Manufacturer licence case files - active
73500-20	Licensed premises case files (active)

Outputs

Secondary No.	Secondary Title
70200-40	Licensing statistical reports
70250-30	POSSE ad hoc reports
70250-40	POSSE compliance reports
70250-50	POSSE financial reports
70250-70	POSSE management reports
73500-20	Licensed premises case files (licence only)

Other Related Records

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

System Scheduling and Disposition

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

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SUBJECT HEADINGS

PRIMARY NUMBERS

LIQUOR CONTROL AND LICENSING
OPERATIONAL RECORDS CLASSIFICATION SYSTEM (ORCS)
I N D E X

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

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

This index contains an alphabetical listing of:

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

Cross-references:

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

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

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SUBJECT HEADINGS

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(See also COMPLIANCE)

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SUBJECT HEADINGS

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<u>SUBJECT HEADINGS</u>	<u>PRIMARY NUMBERS</u>
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LOCAL GOVERNMENT RESOLUTIONS	73100
- M -	
MANUFACTURER	
-application for manufacturer's licence	73200
-licences	73400
- N -	
NOTICE TO LICENSEES	
(See RESPONSIBLE BEVERAGE SERVICE PROGRAM)	
- O -	
OFF-SALES	72000
OPERATIONAL STATISTICS	
-advertising	70200
-enforcement	70200
-licensing	70200
OVER THE COUNTER PURCHASES	72000
- P -	
PERMITS	
-pure grain alcohol	73700

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OPERATIONAL RECORDS CLASSIFICATION SYSTEM

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<u>SUBJECT HEADINGS</u>	<u>PRIMARY NUMBERS</u>
POINT OF SALE -advertising	70450
POLICY (See secondary -00 under appropriate subject primary)	
POSSE (See PUBLIC ONE STOP SERVICE)	70250
PREMISES (See LICENSED PREMISES)	73500
PREPARATIONS CONTAINING ALCOHOL	73800
PRICING AND PURCHASING OF LIQUOR	72000
PRINT -advertising case files	70500
PROCEDURES (See secondary -00 under appropriate subject primary)	
PRODUCT -advertising case files	70500
PROMOTIONAL ADVERTISING	70600
PUBLIC CONCERNS (See ISSUES AND TOPICS OF INTEREST)	70100
PUBLIC ONE STOP SERVICE	70250
PUBLIC RESPONSE	73100
PURE GRAIN ALCOHOL (See PERMITS TO PURCHASE PURE GRAIN ALCOHOL)	73700

- Q -

- R -

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<u>SUBJECT HEADINGS</u>	<u>PRIMARY NUMBERS</u>
RADIO	
-advertising case files	70500
REFERENDA	73100
RESPONSIBLE BEVERAGE SERVICE PROGRAM (RBS)	72500
-HEIAC (GO2)	72500
-Notice to licensees	72500
-RBS Program development	72500
- S -	
SAMPLING OF LIQUOR PRODUCTS	72600
-laboratory tests	72600
-log of exhibits	72600
-liquor sampling case files	72600
-sampling methods	72600
SEIZED LIQUOR	71800
SPECIAL EVENTS	71700
SPECIAL OCCASION LICENCES	73900
SIGNS	70700
SPONSORSHIP ADVERTISING	70800
SPONSORSHIP APPROVALS (See EVENT COORDINATION AND SPONSORSHIPS)	
STATISTICAL REPORTS	
-advertising	70200
-annual enforcement reports	71000
-enforcement	70200
-licensing	70200
-LCLB annual reports	70000

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<u>SUBJECT HEADINGS</u>	<u>PRIMARY NUMBERS</u>
	- T -
TELEVISION -advertising	70500
	- U -
UBREW/UVIN LICENCE	73500
	- V -
	- W -
WEBSITE - LIQUOR CONTROL AND LICENSING BRANCH	70000
WINERY	73400
WINERY LOUNGE LICENCE	73500
	- X -
	- Y -
	- Z -

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APPENDICES

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	73500 - 25 THREE YEAR
	73500 - 30 SEVEN YEAR
	73500 - 35 IMMEDIATE DESTRUCTION
	73500 - 40 CULLED AT CLOSURE FOR DESTRUCTION

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APPENDIX A 73500-20 Licence Premise Case files - Active Document List

SO+1y 9y SR

- Application forms - initial licence application form for a new licence:
 - Liquor Primary/Liquor Primary Club - LCLB001
 - Food Primary - LCLB001b
 - Ubrew/Uvin - LCB016
- Accompanying documents requested of applicant and required by LCLB for licensing decisions:
 - business plan or prospectus
 - buy-sell agreement - LCLB037
 - bylaw approval (fire)
 - captain's accreditation (MV only)
 - certification of interest
 - document check list - Post 2002 as this form is part of application
 - compliance history summary request form
 - consent for disclosure of criminal record information form RCMP form 3584)
 - floor plans - certificate of incorporation, share sheets
 - correspondence between LCLB and applicant (or their representative)
 - downhill ski operators - person capacity increases
 - large scale floor plans - 1 copy each of most recent separate area plan
 - floor plans - red-lined, reduced to 8.5" x 11" (aka validated) (keep all)
 - personal identification, e.g., driver's licence, passport, citizenship, etc. - current owners only
 - inspection interview sheet (aka final inspection form)
 - kitchen equipment list (most recent and food primary only)
 - letter of intent (liquor primary and liquor club primary only)
 - food primary menus only
 - motor vessels moorage information (current moorage only)

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APPENDIX A

73500-20 Licence Premise Case files - Active Document List

SO+1y 9y SR

- incomplete application notice of receipt
- local government occupant load letter
- personal history summary and consent for criminal record search
- photographs - exterior and interior - all
- proof of valid interest
- RBS - notice to all licensees LCLB018 (includes RBS #'s on reverse)
- registration and safety certificates
- request for return of criminal record LCLB008
- local government or first nations' resolutions
- letter to applicant re. signage restrictions
- menus
- signage sketch
- Ubrew/Uvin terms and conditions interview report (aka final report) LCLB017
Liquor Licensing Committee (LLC):
- panel's record of decision
- decision letter
- second stage letter, preliminary considerations of the location and the applicant
- documents (letter, to determine if two applications are competing
- preliminary site application/pre-clearance application (PSA/PCA) correspondence relating to extensions
- PSA/PCA correspondence relating to local government input
- preliminary site application decision letters
- pre-clearance approval (PCA) decision letters
- PSA/PCA inspector's reports (aka staff reports) assignment of establishment or manufacturers' licence in support of an application to transfer (all classes) LCLB003 as well as permanent change form, if required

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APPENDIX A 73500-20 Licence Premise Case files - Active Document List

SO+1y 9y SR

- permanent change to a liquor licence:
 - internal share transfer signed minutes/resolutions, updated registrar of members, updated registrar of directors or executive
 - external share transfer documents, same as above with the addition of updated certificate of incorporation, memo of authorized capital and resolutions
 - change of directors or officers, updated notice of directors and/or list of executive officers
 - person name change, name change certificate, marriage certificate, etc.
 - licensee name change (corporation, partnership or society) including updated certificate of incorporation, partnership registration documentation or other relative legal document
 - addition of receiver or executor - copy of assignment of executor or court order appointing receiver
 - food-primary entertainment endorsement, hours change or terms and conditions - letter of intent for type of entertainment, etc.
- third party operator or resident manager form LCLB012b
 - corporate or society documents
 - updated lease information
 - food primary relocation LCLB096
 - liquor primary relocation LCLB095
 - LRS relocation LCLB092
 - winery, distillery & brewery relocation LCLB017a
 - additional documents same as new licence and/or structural change
- additional permanent change forms
 - designated food optional area application
 - application for permanent change to a liquor licence/allow minors (ski hills) - local government approval

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APPENDIX A

73500-20 Licence Premise Case files - Active Document List

SO+1y 9y SR

- winery licence application for endorsement e.g., adding a winery lounge or picnic area
- liquor primary/liquor club primary and winery endorsement structural change forms LCOB12a
 - Structural change application - Food Primary, Manufacturer & LRS licences LCLB012c
 - Structural change - designated smoking room (DSR) construction details form
- fact sheets, guidelines, sample forms and letters
 - confirmation and review of public notification process
 - dormant licence report
 - licensee ownership summary sheets (record of licence changes)
 - notice of intent to classify as dormant
 - summary of licensing actions form (notes to file)
- licences and renewal notices
 - liquor licences - all classes (no duplicates)
 - renewal notices - all classes (no duplicates), signed copies only
 - renewal - late notices - all classes, along with envelope showing delivery date
 - final notice of expiry - liquor licence (all classes), along with envelope showing delivery date
- compliance and enforcement section
 - administrative inspection form for licensed premises
 - administrative inspection - Ubrew/Uvin
 - compliance meeting
 - contravention notice
 - enforcement action recommended (EAR)
 - hearing decisions
 - illicit liquor inspection notice
 - inspection record - dining establishment, inspector's notes
 - no enforcement action recommended (NEAR)
 - notice of enforcement action (NOEA)
 - Ubrew/Uvin contravention notice

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APPENDIX A

73500-25 Licence Premise Case files - Three Year Document List

CY+1y 2y DE

- fingerprint request/confirmation notice
- notice of intent newspaper clippings for approved licence applications
- notice of intent site photographs for approved licence applications
- Liquor Licensing Committee (LLC) agendas
- written decision routing slips
- BC licence winery applicant production reports
- U-Brew/Uvin production reports

OPERATIONAL RECORDS CLASSIFICATION SYSTEM

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APPENDIX A 73500-30 Licence Premise Case files - Seven Year Document List

CY+1y 5y DE

- zoning information
- LLC Exhibit log
- temporary change forms:
 - temporary licence suspension request - food primary (FP) and other, LCLB022
 - temporary licence suspension request - liquor primary (LP) and other LCLB022
 - temporary change to a liquor licence, LCLB023
 - temporary change to a food primary, liquor primary and other liquor licence application, LCLB013

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APPENDIX A 73500-35 Licence Premise Case files Immediate Destruction Document List

SO nil DE

- document checklists prior to 2002
- licence fee schedules (LCLB010 & LCLB011)
- city or location maps (once licence is issued)
- occupant load certificate (once on floor plans)
- other plans:
 - site elevations, renderings, electrical or plumbing/heating
- standard insert letter - What is “Serving it Right, the Responsible Beverage Service Program”, and the “Who needs Consent to a Criminal Search,” brochure
LCLBINF004
- liquor Licensing Committee (LLC) hearing notification letter - once hearing is over
- LLC guidelines
- duplicate transfer application forms:
 - licence ownership transfers, external share transfers, internal share transfers, legal entity changes along with other similar transitory documents
- fact sheets, guidelines, sample forms and letters:
 - downhill ski operators pilot project - minors fact sheet, downhill ski operators - person capacity increases (PCI)/fact sheet, letter of intent guidelines for liquor primary (LP) and liquor primary club, sample lawyer letter, sample local government resolutions, statutory declaration sample letter, Ubrew/Uvin - Notice to customers
- special occasion licence - liquor price schedule
- licences - duplicates of fax cover sheets and fax copies
- inspection guidelines - class B dining establishment

OPERATIONAL RECORDS CLASSIFICATION SYSTEM

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APPENDIX A 73500-40 Licence Premise Case files Culled at Closure for Destruction Document List

NA nil DE

- compliance history summary request form
- consent for disclosure of criminal record information form
- RCMP form 3584
- personal identification, e.g., driver's licence, passport, citizenship, etc. - current owners only
- kitchen equipment list - most recent and food primary only
- moorage information - motor vessels - current moorage only
- personal history summary and consent for criminal record search
- photographs - exterior and interior - most current only
- RBS - notice to all licensees LCLB018 (includes RBS #'s on reverse)
- request for return of criminal record LCLB008
- local government resolutions, first nations signage or letter to applicant regarding signage restrictions
- signage sketch
- panel's record of decision
- preliminary site application/pre-clearance application (PSA/PCA) correspondence relating to extensions
- second stage letter, preliminary considerations of the location and the applicant
- envelopes
- see also, appendices cull list for 73500-35