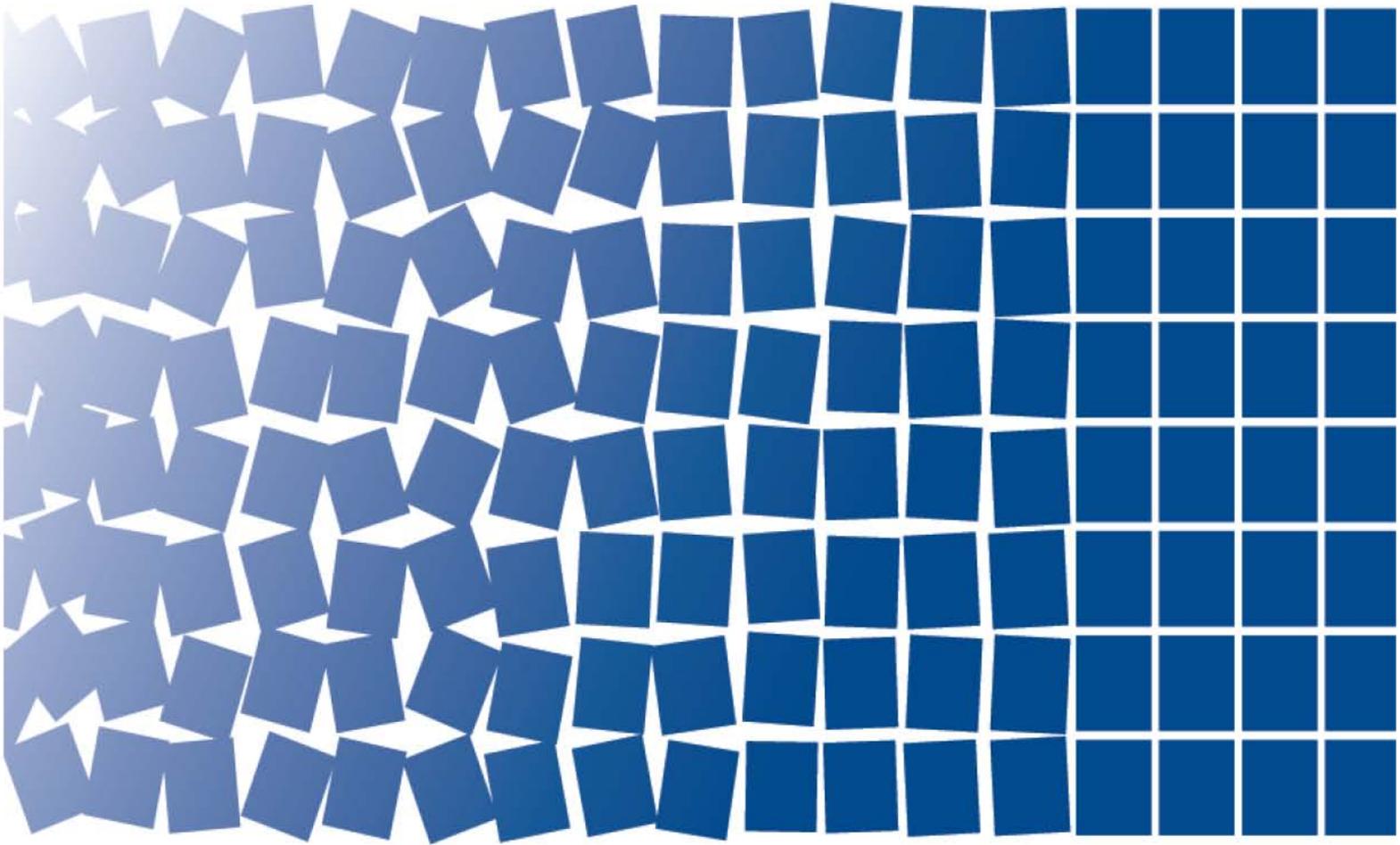


RISK MANAGEMENT OPERATIONAL RECORDS CLASSIFICATION SYSTEM



GOVERNMENT RECORDS SERVICE

**RISK MANAGEMENT
OPERATIONAL
RECORDS
CLASSIFICATION
SYSTEM**



GOVERNMENT RECORDS SERVICE

ISBN 978-0-7726-6507-2

Date: June 23, 2011

British Columbia. Records Management Operations

Risk Management operational records classification system



Schedule No. 179474

RECORDS RETENTION AND DISPOSITION AUTHORITY

Accession No.

see "How to Use ORCS" part 3.9.1

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

Title Risk Management Operational Records Classification System

Ministry of Finance
Provincial Treasury
Risk Management Branch and Government Security Office

Description and Purpose:

The Risk Management ORCS covers all operational records created, received, and maintained by Risk Management Branch and Government Security Office.

The records document the management of risk of accidental loss to which the government and other public bodies are exposed through their programs and activities. This includes records relating to: developing and implementing coordinated risk management programs; approving indemnities given by ministries and government corporations; purchasing insurance on behalf of government and designated agencies; developing and administering self-insurance programs; and investigating, defending and paying claims made by or against the government and participants in the self-insurance programs.

For more information, see attached schedule.

Date range: 1975 ongoing

Physical format of records: see attached schedule

Annual accumulation: 3 cubic meters

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

THE UNDERSIGNED ENDORSE THE RECOMMENDATIONS:

Blair Turner, Records Officer, Nov 4, 2010
Executive Director/ADM, 10/11/08
Deputy Minister/Corporate Executive, Nov 10/10

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

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

J.T., Feb 10, 2011

APPROVED BY RESOLUTION OF THE LEGISLATIVE ASSEMBLY:

J.T., May 19, 2011

OTHER STATUTORY APPROVALS:

Signature Title Date Signature Title Date

CONTACT: Blair Turner, Records Officer, 250-356-7507

RECORDS MANAGEMENT APPRAISAL:

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

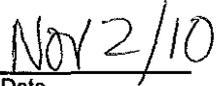
These records are created and received under the authority of the *Financial Administration Act* (RSBC 1996, c. 138, s. 30) and subsequent legislation governing the operational responsibilities and functions of the creating agency.

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

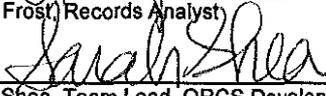
The retention and final disposition guidelines have been established in consultation with the Records Officer and staff and managers of all branches conducting operational functions in the creating agency.



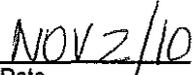
 Mahia Frost, Records Analyst



 Date



 Sarah Shea, Team Lead, ORCS Development



 Date

ARCHIVAL APPRAISAL:

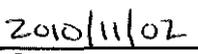
This appraisal documents the recommendation for final disposition.

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". This provides that records will be preserved in the government archives, and that unnecessary duplicates, transitory materials, and ephemera may be discarded.

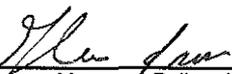


 Linda Nobrega, Archivist

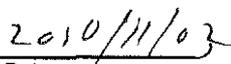


 Date

The undersigned endorses the appraisal recommendations:



 Glen Isaac, Manager, Policy, Appraisal and Storage



 Date

OPERATIONAL RECORDS CLASSIFICATION SYSTEM

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

A SA FD

RISK MANAGEMENT

OPERATIONAL RECORDS CLASSIFICATION SYSTEM (ORCS)

EXECUTIVE SUMMARY

This *Operational Records Classification System (ORCS)* establishes a classification system and retention and disposition schedule for the operational records created by the Risk Management Branch and Government Security Office, which operates as outlined in the *Core Policy and Procedures Manual*, and under the Insurance and Risk Management Account established under the *Financial Administration Act* (RSBC 1996, c. 138, s. 30).

These records document the management of risk of accidental loss to which the government and other public bodies are exposed through their programs and activities. This includes records relating to developing and implementing coordinated risk management; approving indemnities given by ministries and government corporations; purchasing insurance on behalf of government and designated agencies; developing and administering self-insured programs; and investigating, defending and paying claims made by or against the government and participants in the self-insured programs.

The active and semi-active retention periods specified in the schedule meet all operational, administrative, legal, fiscal, and audit requirements. Records Management Operations (RMO) 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 the inception of the branch. Effective January 1, 2011, it replaces Section 6 of the Provincial Treasury (PRTR) ORCS in the scheduling of active and unscheduled risk management records. Once all risk records covered by the Provincial Treasury ORCS (schedule 890168), approved June 11, 1998, have reached their final disposition period, that section of the ORCS can be cancelled. Risk management records shall be managed in this way:

1. Records sent offsite under the PRTR ORCS before January 1, 2011 remain in those accessions and are scheduled accordingly.
2. Unscheduled records (those without an approved classification), sent offsite before January 1, 2011 shall have the RISK ORCS classifications and retentions applied to them.
3. All records onsite as of January 1, 2011 shall be classified under the RISK ORCS.

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
FOI = Freedom of Information/Privacy
PIB = Personal Information Bank
OPR = Office of Primary Responsibility

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

SO = Superseded or Obsolete
DE = Destruction
SR = Selective Retention
FR = Full Retention
OD = Other Disposition
VR = Vital Records

OPERATIONAL RECORDS CLASSIFICATION SYSTEM

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

	<u>A</u>	<u>SA</u>	<u>FD</u>
<p>1) <u>Policy and Procedures</u> (secondary -00 throughout section 1)</p> <p>FR = Throughout this ORCS, the government archives will retain all policy and procedure files created by offices having primary responsibility for policy and procedure development and approval. These records have evidential value.</p>	SO	5y	FR
<p>2) <u>Risk identification reports – final reports</u> (secondary 73000-10)</p> <p>These records document the analytical work completed for the programs to identify and address risks to the program’s clients.</p> <p>FR= The government archives will fully retain risk identification reports because they document the identification and analysis of risks to develop a risk management strategy and make recommendations. The analysis includes a review of the client’s assets, business operations and information collected through interviews.</p>	SO	6y	FR
<p>3) <u>Risk publications and policies - finals</u> (secondary 72700-10)</p> <p>These records include newsletters, policies, best practices, presentations, advisories and guidelines developed by RMB for specific programs or for cross-government use.</p> <p>FR = The government archives will fully retain the risk publications and policies because they document government’s management of and planned response to government’s risks.</p>	SO	nil	FR
<p>4) <u>Risk management survey final reports</u> (secondary 72800-12)</p> <p>These records assess the status of a government body’s risk practices, and client satisfaction levels with the services provided by RMB.</p> <p>FR = The government archives will fully retain risk management survey final reports because they document client feedback on critical issues concerning program’s relevance to business risks and the service level and quality delivered by RMB.</p>	SO	nil	FR

(continued on next page)

A = Active
 SA = Semi-active
 FD = Final Disposition
 FOI = Freedom of Information/Privacy
 PIB = Personal Information Bank
 OPR = Office of Primary Responsibility

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

SO = Superseded or Obsolete
 DE = Destruction
 SR = Selective Retention
 FR = Full Retention
 OD = Other Disposition
 VR = Vital Records

OPERATIONAL RECORDS CLASSIFICATION SYSTEM

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

		<u>A</u>	<u>SA</u>	<u>FD</u>
5)	<u>Program annual reports</u> (secondary 73000-03)	SO	nil	FR

These records document the annual summary of activities for programs such as the education and health programs.

FR = The government archives will fully retain program annual reports because they document the annual activities, including the education programs, under each self-insured program.

6)	<u>Records involving minors and potentially alleging sexual abuse/misconduct</u> (secondaries 72100-25 and 72200-20)	SO	85y	DE
----	---	----	-----	----

These records document the claims and approved indemnities involving minors in which sexual abuse or misconduct has been, or may be alleged.

SO = upon expiry of indemnity. Expiration will be determined by the staff who manage indemnities because indemnities last beyond the term of a contract

SO = when the claims examiner deems the claim unresolved and inactive, or when the claim is resolved by consent dismissal order, judgement or release

85y = Because there is no limitation period for actions based on sexual assault or misconduct under the *Limitation Act* (RSBC 1996, c. 266, s. 3(4) (k) and (l)), these files will be kept for 85 years, after which time an individual is unlikely to initiate such an action.

7)	<u>Coverage wordings – liability policies</u> (secondary 72550-20)	SO+85y	nil	DE
----	---	--------	-----	----

These records document insurance coverage which carries liability potential.

SO = when the insurance is replaced by a new policy, or not renewed, or the exposure no longer exists

85y = Liability actions can arise long after the occurrence of the event and the expiry of the policy. As policies are typically written on an

(continued on next page)

A = Active
SA = Semi-active
FD = Final Disposition
FOI = Freedom of Information/Privacy
PIB = Personal Information Bank
OPR = Office of Primary Responsibility

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

SO = Superseded or Obsolete
DE = Destruction
SR = Selective Retention
FR = Full Retention
OD = Other Disposition
VR = Vital Records

OPERATIONAL RECORDS CLASSIFICATION SYSTEM

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

A SA FD

occurrence basis, the actual policy in place must be identified and found in order to trigger coverage by the insurer. For example, there is no time limit for bringing an action for sexual assault or misconduct cases, according to the *Limitation Act* (RSBC 1996, c. 266, s. 3(4)(k) and (l)), in which case the original policy is required to determine who insured the policy and the amount owed.

- 8) Records involving minors and not alleging sexual abuse/misconduct SO 28y DE
 (secondaries 72200-35 and 72200-55)

These records document the incident reports and unresolved claims involving minors in which sexual abuse/misconduct is not a factor.

SO = when the claims examiner deems the claim unresolved and inactive. If a claim is resolved by consent dismissal order, judgement or release, reclassify the file to secondary 72200-40.

SO = upon determination that no action is required (e.g., there is no responsible party or no payment warranted)

28y = The retention period is based on the *Limitation Act* (RSBC 1996, c. 266, s. 7(3)(b)), which allows time for most actions until six years after the child reaches the age of majority (19 years). The additional three years provide for service of notice and for any extensions.

- 9) Advisory records CY+4y 10y DE
 (secondary 72800-02)

These records are service requests created by the now-defunct BC Health Care Risk Management Society (BCHCRMS). Service requests are responses to clients providing advice or issuing certificates.

15y = The retention period satisfies the branch's reference requirements and ensures records are available for a reasonable period to facilitate the provision of consistent advice.

- 10) Issue management records SO 10y DE
 (secondaries 72000-25 and 72800-25)

These records document the management of risk related issues which are both client specific as well as broad and overarching.

(continued on next page)

A = Active
 SA = Semi-active
 FD = Final Disposition
 FOI = Freedom of Information/Privacy
 PIB = Personal Information Bank
 OPR = Office of Primary Responsibility

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

SO = Superseded or Obsolete
 DE = Destruction
 SR = Selective Retention
 FR = Full Retention
 OD = Other Disposition
 VR = Vital Records

OPERATIONAL RECORDS CLASSIFICATION SYSTEM

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

A SA FD

be destroyed because they document routine financial analyses for the purpose of determining premiums and the financial health of the program.

16) Premium distribution and funding files
(secondary 72550-50)

SO 7y DE

These records document the cost of the program/policy.

SO = when the executive team of the Risk Management Branch determines readiness for file closure.

7y = The retention period covers the branch's audit and fiscal requirements

NOTE: These records are utilized by several areas of the branch, hence the need for the executive team to determine the file closure date.

17) Electronic Records

DE

The iVOS electronic system is covered by the ISO section in this ORCS. The Information System Overview section provides information about the iVOS System, including inputs and outputs and routine back-ups. Notes under the relevant secondaries provide information about the classification and scheduling of the data.

Risk management web pages are also covered by this ORCS (72000-45).

18) All Other Records

DE

All other records are destroyed at the end of their semi-active retention periods. The retention of these records varies depending on the nature of the records and the function performed, but does not exceed six years after they are superseded or obsolete. The information these records contain is summarized elsewhere. Significant issues are documented in records which will be retained under the provisions of this ORCS, as well as in briefing notes to the ministry executive (ARCS secondary 280-20) and annual reports (ARCS secondary 400-02). These records have no enduring value to government at the end of their scheduled retention periods.

A = Active
SA = Semi-active
FD = Final Disposition
FOI = Freedom of Information/Privacy
PIB = Personal Information Bank
OPR = Office of Primary Responsibility

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

SO = Superseded or Obsolete
DE = Destruction
SR = Selective Retention
FR = Full Retention
OD = Other Disposition
VR = Vital Records

OPERATIONAL RECORDS CLASSIFICATION SYSTEM

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

RISK MANAGEMENT

OPERATIONAL RECORDS CLASSIFICATION SYSTEM

TABLE OF CONTENTS

EXECUTIVE SUMMARY

TABLE OF CONTENTS

HOW TO USE *ORCS*

SECTION 1 72000 – 73999 RISK MANAGEMENT

ISO SECTION iVOS RISK MANAGEMENT INFORMATION SYSTEM

APPENDICES APPENDIX A SELF-INSURED PROGRAMS

 APPENDIX B CONCORDANCE TABLE 4

INDEX

OPERATIONAL RECORDS CLASSIFICATION SYSTEM

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

HOW TO USE ORCS

For further information, call your Records Officer,
Blair Turner, phone number 250-356-7507

OPERATIONAL RECORDS CLASSIFICATION SYSTEM

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

HOW TO USE *ORCS* TABLE OF CONTENTS

- PART 1 The Operational Records Classification System (*ORCS*)**
- 1.1 General Introduction
 - 1.2 What is an *ORCS*?
 - 1.3 Introduction to the *RISK MANAGEMENT ORCS*
- PART 2 How to Read a Primary**
- 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

(continued on next page)

OPERATIONAL RECORDS CLASSIFICATION SYSTEM

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

PART 3 *ORCS* and An Effective Records Management System

- 3.1 The Purpose of *ORCS*
- 3.2 Records and Recorded Information
- 3.3 An Effective Records Management System
- 3.4 The Classification System
 - 3.4.1 Staff Responsibilities and Procedures
 - 3.4.2 Classifying Records
 - a) Alphabetic Subject Index
 - b) Broad Subject Approach
- 3.5 The File List
- 3.6 Other Finding Aids
- 3.7 The Scheduling System
- 3.8 Filing and Maintenance Procedures
 - 3.8.1 File Maintenance
 - 3.8.2 File Circulation
- 3.9 Boxing and Transfer Instructions
 - 3.9.1 Accession Numbers
 - a) One-time Accession Numbers
 - b) Ongoing Accession Numbers (OANs)
 - 3.9.2 Transfer of Records to Off-site Storage
- 3.10 Freedom of Information and Protection of Privacy
- 3.11 Electronic Records and the Information System Overview
- 3.12 Implementation of *ORCS*
- 3.13 Advisory Services
- 3.14 Amendment and Update of *ORCS*

OPERATIONAL RECORDS CLASSIFICATION SYSTEM

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

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.

OPERATIONAL RECORDS CLASSIFICATION SYSTEM

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

What are Operational Records?

Operational records relate to the operations and services provided by a ministry or agency in carrying out the functions for which it is responsible according to statute, mandate, or policy. Operational records are distinct from administrative records and are unique to each government organization.

Operational records are created in a variety of media, including: textual records, photographs, sound recordings, motion picture films, video recordings, audio-visual materials, 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

OPERATIONAL RECORDS CLASSIFICATION SYSTEM

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

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

The Purpose of ORCS

ORCS facilitates the efficient management of operational information by:

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

Responsibility for ORCS

The Corporate Information Management Branch (CIMB) 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 CIMB at 387-1321.

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

OPERATIONAL RECORDS CLASSIFICATION SYSTEM

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

1.3 Introduction to the RISK MANAGEMENT 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 management of risk of accidental loss to which the government and other public bodies are exposed through their programs and activities. This includes records relating to developing and implementing coordinated risk management; approving indemnities given by ministries and government corporations; purchasing insurance on behalf of government and designated agencies; developing and administering self-insured programs; and investigating, defending and paying claims made by or against the government and participants in the self-insured programs.

This *ORCS* covers records created and received since 1986. Effective January 1, 2011, it replaces Section 6 of the Provincial Treasury (PRTR) *ORCS* in the scheduling of active and unscheduled risk management records. Once all risk records covered by the Provincial Treasury *ORCS* (schedule 890168), approved June 11 1998, have reached their final disposition period, that section of the *ORCS* can be cancelled. Risk management records shall be managed in this way:

1. Records sent offsite under the PRTR *ORCS* before January 1, 2011 remain in those accessions and are scheduled accordingly.
2. Unscheduled records (those without an approved classification), sent offsite before January 1, 2011 shall have the RISK *ORCS* classifications and retentions applied to them.
3. All records onsite as of January 1, 2011 shall be classified under the RISK *ORCS*.

To obtain approval for disposition of such records, contact your Records Officer.

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

Section Number	Primary Numbers	Section Title
Section 1	72000-73999	RISK MANAGEMENT
		Covers records relating to managing risks of accidental loss to which the government and other public bodies are exposed through their programs and activities
ISO	iVOS	Risk Management Information System (RMIS), commonly known as iVOS
		Covers most of RMB's business functions. It includes modules for managing claims, risk management advice, assets, building inspections, Certificates of Insurance and Certificates of Indemnities and other core business function and information.

OPERATIONAL RECORDS CLASSIFICATION SYSTEM

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

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.

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

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

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

This *ORCS* was reviewed by RMO 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

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

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 Information Management Branch reviews and approves all records retention and disposition recommendations before an ORCS is sent for legislative approval, as required in the Document Disposal Act. For information regarding this ORCS, contact your Records Officer.

2.1

A SA FD

23120 EXTRATERRESTRIAL REGISTRATION AND TRACKING

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

2.2

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

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

2.3

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

2.4

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

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 Information Management Branch reviews and approves all records retention and disposition recommendations before an ORCS is sent for legislative approval, as required in the Document Disposal Act. For information regarding this ORCS, contact your Records Officer.

A SA FD

23120 EXTRATERRESTRIAL REGISTRATION AND TRACKING (continued)

-04 Visits by unidentified extraterrestrials (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

A = Active CY = Calendar Year SO = Superseded or Obsolete
SA = Semi-active FY = Fiscal Year DE = Destruction
FD = Final Disposition NA = Not Applicable SR = Selective Retention
PIB = Personal Information Bank w = week m = month FR = Full Retention
PUR = Public Use Records y = year FOI - Freedom of Information/Privacy
OPR = Office of Primary Responsibility VR = Vital Records
I:\430-30\ufo_orcs.doc:2001/07/01 Schedule 777777 ORCS/UFOB HOW TO USE - 11

OPERATIONAL RECORDS CLASSIFICATION SYSTEM

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

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.

OPERATIONAL RECORDS CLASSIFICATION SYSTEM

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

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

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

CY+1y

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

FY+1y

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

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

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

2.4.2 Semi-active Retention Period Column

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

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

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

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

2.4.3 Final Disposition Column

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

OPERATIONAL RECORDS CLASSIFICATION SYSTEM

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

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

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

2.5 Office of Primary Responsibility (OPR)

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

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

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

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

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

2.6 Secondary Number and Title

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

OPERATIONAL RECORDS CLASSIFICATION SYSTEM

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

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

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

2.6.1 Reserved Secondaries

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

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

Secondary number -00 is always reserved for "Policy and procedures" records. These are records that document the general goals and management decisions concerning how an organization carries out its functions. They include draft and approved policy documents, working materials and correspondence, precedent-setting documents, procedural guidelines and manuals, and standards documentation.

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

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

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

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

2.6.2 Secondaries -02 to -19 (subject secondaries)

Within a primary, secondaries -02 to -19 represent files for specific subjects and other non-case file series, that is, records filed chronologically in one file folder (e.g., inquiries

OPERATIONAL RECORDS CLASSIFICATION SYSTEM

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

or reports). These are commonly referred to as subject files. In the sample primary, secondaries -03 (extraterrestrial reports and statistics) and -04 (visits by unidentified extraterrestrials) are subject secondaries.

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

2.6.3 Case File Secondaries (-20 and higher)

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

2.6.4 Coded Series

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

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

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

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

2.7 Key of Terms (Abbreviations in Footer)

OPERATIONAL RECORDS CLASSIFICATION SYSTEM

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

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

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

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

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

w = week

m = month

y = year

CY = Calendar Year (1 January to 31 December)

FY = Fiscal Year (1 April to 31 March)

SO = Superseded or Obsolete

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

i) Routine Records

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

The most common form of delegated disposition authority is:

<u>Active</u> 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.

OPERATIONAL RECORDS CLASSIFICATION SYSTEM

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

For information on destruction services, contact your Records Officer.

ii) Specific Definition of SO

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

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

NA = Not Applicable

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

nil = no semi-active retention period

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

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

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

2.7.2 Terms Used in the Final Disposition Column

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

OPERATIONAL RECORDS CLASSIFICATION SYSTEM

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

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 the BC Archives (also referred to as the government archives) for archival preservation. The final disposition of operational records with enduring value can be full retention, selective retention, or destruction, as explained below.

FR = Full Retention

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

SR = Selective Retention

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

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

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

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

DE = Destruction

The final disposition of inactive records that have no residual value or insufficient public value to justify their preservation is physical destruction. In some cases,

OPERATIONAL RECORDS CLASSIFICATION SYSTEM

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

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

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

For further information about FOI issues, see 3.10.

OPERATIONAL RECORDS CLASSIFICATION SYSTEM

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

2.9 Explanatory Notes

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

2.9.1 Qualifiers

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

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

2.9.2 Other Notes

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

- OPR =** This note provides the name of the office of primary responsibility if it is different from the primary default OPR. See discussion of OPR in section 2.5.
- SO =** This note explains when a file designated SO should be closed. See discussion of SO in section 2.7.1.
- ##y =** This note gives reasons for active and/or semi-active retention periods which are longer than seven years. In the sample primary, there is a “303y =” note under secondary -20.
- NA =** This note explains why the usual active, semi-active, or final disposition designation does not apply, usually because records have been reclassified or transferred to another agency. See discussion of NA in section 2.7.1.

OPERATIONAL RECORDS CLASSIFICATION SYSTEM

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

- 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.). Information about special media is conveyed, instead, in an “(includes)” qualifier or in the paragraph of the scope note beginning “Includes” or “Record types include”. All the records in a file are covered by the same retention schedule, regardless of media. Related information in an electronic database is subject to the same schedule; for example, in the sample primary, registration information in the ERS (secondary -30) concerning a specific extraterrestrial can be purged when the relevant extraterrestrial registrant case file (under secondary -20) becomes inactive.

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

OPERATIONAL RECORDS CLASSIFICATION SYSTEM

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

2.11 Vital Records Flags

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

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

OPERATIONAL RECORDS CLASSIFICATION SYSTEM

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

PART 3

ORCS AND AN EFFECTIVE RECORDS MANAGEMENT SYSTEM

3.1 The Purpose of ORCS

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

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

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

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

3.2 Records and Recorded Information

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

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

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

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

OPERATIONAL RECORDS CLASSIFICATION SYSTEM

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

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

3.3 An Effective Records Management System

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

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

3.4 The Classification System

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

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

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

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

OPERATIONAL RECORDS CLASSIFICATION SYSTEM

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

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

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

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

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

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

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

3.4.1 Staff Responsibilities and Procedures

CIMB 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.

CIMB also recommends that the staff member responsible for opening, logging, and distributing incoming mail classify all incoming mail before it is distributed to the addressee. If that individual is unable to classify an individual item, he or she should refer it to the recipient for a primary and secondary number. Each staff member is encouraged to organize working papers according to *ORCS*.

One individual within each filing area should have overall responsibility for the central filing system, ensuring that filing procedures, file lists, and finding aids are accurately maintained. He or she will liaise with the staff member responsible for procuring records

OPERATIONAL RECORDS CLASSIFICATION SYSTEM

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

equipment and supplies. This individual will also check classifications assigned by others and, in the event of amendments, will update the mail logs, file lists, etc.

3.4.2 Classifying Records

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

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

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

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

a) Alphabetic Subject Index

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

b) Broad Subject Approach

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

OPERATIONAL RECORDS CLASSIFICATION SYSTEM

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

3.5 The File List

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

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

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

3.6 Other Finding Aids

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

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

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

As a further aid in the retrieval and classification of administrative and operational records, *CIMB* 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.

OPERATIONAL RECORDS CLASSIFICATION SYSTEM

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

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

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

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

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

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

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

3.8 Filing and Maintenance Procedures

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

The basic activities involved in filing and maintenance are:

- mail management
- sorting
- registration
- classification
- indexing and cross-reference
- location control
- filing

OPERATIONAL RECORDS CLASSIFICATION SYSTEM

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

- charge-out
- distribution
- recall and search
- re-filing
- physical maintenance
- purging
- retention and disposition

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

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

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

3.8.1 File Maintenance

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

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

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

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

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

OPERATIONAL RECORDS CLASSIFICATION SYSTEM

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

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

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

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

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

Minimize misfiling in the following ways:

- keep file labels legible and simple
- maintain 8-10 cm/3-4 inches of free space on each file shelf or drawer
- place papers in folders so they do not go beyond the scoring on the folder or cover the file label
- write the correct file number or heading on each document or underline it if it appears in the text

3.8.2 File Circulation

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

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

OPERATIONAL RECORDS CLASSIFICATION SYSTEM

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

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, CIMB. Each office should document instructions and procedures for the regular boxing and transfer of records to off-site storage. (For further discussion of records scheduling, refer to 2.4 and 2.7.)

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

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

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

3.9.1 Accession Numbers

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

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

Box Number: 91-0123-01

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

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

OPERATIONAL RECORDS CLASSIFICATION SYSTEM

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

a) 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)

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

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

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

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

An ongoing accession number differs from a one-time number in that box numbers within an accession are always consecutive. For example, if box numbers 91-0123-01 to 91-0123-10 were transferred in July 1991 and ten more boxes were ready for transfer in October 1992, the box numbers used in October 1992 would begin with the next unused number (i.e., in October 1992 numbers 91-0123-11 to 91-0123-20 would be used).

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

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

3.9.2 Transfer of Records to Off-Site Storage

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

- if the combined active and semi-active retention period needs changing,

OPERATIONAL RECORDS CLASSIFICATION SYSTEM

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

- 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).
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

OPERATIONAL RECORDS CLASSIFICATION SYSTEM

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

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:

- 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

OPERATIONAL RECORDS CLASSIFICATION SYSTEM

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

specific extraterrestrial can be purged when the relevant extraterrestrial registrant case file (under secondary -20) becomes inactive.

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

3.12 Implementation of ORCS

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

CIMB 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

OPERATIONAL RECORDS CLASSIFICATION SYSTEM

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

- disposition of inactive records
- transfer of permanently valuable records to archival custody
- automation of records management functions

3.14 Amendment and Update of ORCS

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

Effective maintenance depends upon:

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

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

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

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

OPERATIONAL RECORDS CLASSIFICATION SYSTEM

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

A SA FD

SECTION 1

RISK MANAGEMENT

PRIMARY NUMBERS

7 2 0 0 0 - 7 3 9 9 9

Section 1 covers records relating to managing risks of accidental loss to which the government and other public bodies are exposed through their programs and activities. This program operates under the Insurance and Risk Management Account established under the *Financial Administration Act* (RSBC 1996, c. 138, s. 30). This includes records relating to: developing and implementing coordinated risk management programs for ministries, government corporations and designated agencies; approving indemnities given by ministries and government corporations; purchasing insurance on behalf of government and designated agencies; developing and administering self-insured programs; and investigating, defending and paying claims made by or against the government and participants in the self-insured programs.

A = Active
SA = Semi-active
FD = Final Disposition
FOI = Freedom of Information/Privacy
PIB = Personal Information Bank
OPR = Office of Primary Responsibility

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

SO = Superseded or Obsolete
DE = Destruction
SR = Selective Retention
FR = Full Retention
OD = Other Disposition

OPERATIONAL RECORDS CLASSIFICATION SYSTEM

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

A SA FD

SECTION 1

72000 - RISK MANAGEMENT - 73999

TABLE OF CONTENTS

72000	RISK MANAGEMENT – GENERAL
72100	INDEMNITY MANAGEMENT
72200	CLAIMS MANAGEMENT
72550	INSURANCE AND UNDERWRITING
72700	POLICY DEVELOPMENT AND DELIVERY
72800	CLIENT RELATIONS
72900	SECURITY ASSESSMENT AND ANALYSIS
73000	PROGRAM DELIVERY

A = Active
SA = Semi-active
FD = Final Disposition
FOI = Freedom of Information/Privacy
PIB = Personal Information Bank
OPR = Office of Primary Responsibility

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

SO = Superseded or Obsolete
DE = Destruction
SR = Selective Retention
FR = Full Retention
OD = Other Disposition

OPERATIONAL RECORDS CLASSIFICATION SYSTEM

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

A SA FD

72100 INDEMNITY MANAGEMENT

Records relating to the review and approval of indemnities given by ministries and government corporations, including colleges, universities, institutes and health authorities, under the *Financial Administration Act* (RSBC 1996, c. 138, s. 72(3)) and the *Guarantees and Indemnities Regulation* (Reg. 258/87). Indemnities protect the recipient of the indemnity against loss in a given situation. The amount of compensation for the loss is not usually limited.

Ministries and government corporations send copies of contracts that contain indemnity clauses to the Risk Management Branch (RMB) for approval. If approved, the branch sends a formal approval of the indemnity by letter or memorandum to the ministry or corporation, and then enters summary information from the contract into iVOS. If not approved, the branch notifies the ministry or corporation by telephone, e-mail, letter or memorandum.

This primary also includes copies of certain indemnities that were given by the government by order-in-council (OIC). Those OICs indemnify the self-insured programs provided by the branch.

Record types include correspondence, copies of signed contracts and agreements, service requests, working notes and other types of records as indicated under relevant secondaries.

NOTE: The classifications in this primary apply to all records of this function, regardless of media, and include records held in iVOS.

For claims arising from indemnities, see primary 72200.
For a description of iVOS, see the iVOS Information System Overview (ISO) in the ISO section.

Unless otherwise specified below, the ministry OPR (Risk Management Branch and Government Security Office (RMB)) will retain these records for:

FY+2y nil DE

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

SO nil DE

-00	Policy and procedures (includes indemnity approval process)	- OPR	SO	5y	FR
		- non-OPR	<u>SO</u>	<u>nil</u>	<u>DE</u>

-01	General		SO	nil	DE
-----	---------	--	----	-----	----

(continued on next page)

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

OPERATIONAL RECORDS CLASSIFICATION SYSTEM

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

		<u>A</u>	<u>SA</u>	<u>FD</u>
72100	<u>INDEMNITY MANAGEMENT</u> (continued)			
-02	Approved indemnities - self-insured programs (includes copies of OIC indemnity approvals) (compilation file)	SO	nil	DE
	SO = when self-insured programs are replaced or cancelled			
	NOTE: Originals of self-insured program indemnities are classified under secondary 72550-02 (creation of self-insured program files).			
-20	Approved indemnities (includes copies of signed contracts and approval letters and descriptions of the program or activity) (arrange by indemnity number)	SO+2y	7y	DE
	SO = upon expiry of indemnity. Expiration will be determined by the staff who manage indemnities because indemnities last beyond the term of a contract			
	9y = The retention period is based on the six-year limitation period for initiating legal action under the <i>Limitation Act</i> (RSBC 1996, c. 266, s. 3(5)). The additional three years provide for service of notice and any extensions.			
-25	Approved indemnities – involving minors (includes copies of signed contracts and approval letters, and descriptions of the program or activity) (arrange by indemnity number)	SO	85y	DE
	SO = upon expiry of indemnity. Expiration will be determined by the staff who manage indemnities because indemnities last beyond the term of a contract			
	85y = Because there is no limitation period for actions based on sexual assault or misconduct under the <i>Limitation Act</i> (RSBC 1996, c. 266, s. 3(4) (k) and (l)), these files will be kept for 85 years, after which time an individual is unlikely to initiate such an action.			

(continued on next page)

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

OPERATIONAL RECORDS CLASSIFICATION SYSTEM

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

		<u>A</u>	<u>SA</u>	<u>FD</u>
72100	<u>INDEMNITY MANAGEMENT</u> (continued)			
-35	Blanket approval for indemnities in standard contracts (arrange by indemnity number)	SO	nil	DE
	SO = when program or activity is cancelled or replaced			
	NOTE: Blanket indemnities grant authority for the client to enter into the same agreements with various entities without getting approval for each agreement, provided the wording RMB has approved remains unchanged.			
-40	Cancelled indemnities (includes indemnities cancelled or never finalized by the requesting ministry) (arrange by indemnity number)	FY+2y	nil	DE
-45	Government bodies exempted from the approval process case files (includes justifications and rationale) (arrange by government body)	SO	nil	DE
	SO = when government body ceases to exist			
-50	Indemnity reports (includes annual reports summarizing all indemnities recorded by the branch for the preceding fiscal year in accordance with the <i>Financial Administration Act</i> (RSBC 1996, c. 138, s. 72(8)) (arrange chronologically)	FY+2y	nil	DE
	DE = The Indemnity reports may be destroyed because they are fully retained under secondary 31300-02 in the Office of the Comptroller General ORCS, schedule 180968			
	NOTE: The annual reports are submitted to the Office of the Comptroller General to be included in their report to the Legislative Assembly.			
-60	Not approved indemnities (covers indemnities not approved by the branch) (arrange chronologically)	FY+2y	nil	DE

A = Active
 SA = Semi-active
 FD = Final Disposition
 FOI = Freedom of Information/Privacy
 PIB = Personal Information Bank
 OPR = Office of Primary Responsibility

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

SO = Superseded or Obsolete
 DE = Destruction
 SR = Selective Retention
 FR = Full Retention
 OD = Other Disposition

OPERATIONAL RECORDS CLASSIFICATION SYSTEM

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

A SA FD

72200 CLAIMS MANAGEMENT

Records relating to investigating, defending and paying claims made by or against the government and/or designated public bodies. This includes: claims initiated by the public for personal injury or property damage caused by government and self-insured program participants; claims initiated by government employees for loss or damage to their assets during a government initiated move; and claims from government employees for deductible costs associated with damages to personal vehicles or personal property while conducting government business.

Claims are received by the branch via the internet directly into iVOS. In addition, they may be reported via a completed incident report, memorandum, telephone call, or by copy of a court document. A claim file is created if the incident requires action (e.g., investigation, payment, or legal action). If the incident does not require action (e.g., there is no responsible party or no payment warranted), the incident reports are retained in abeyance until the expiry of the limitation periods for initiating legal action.

Incident reports and claim files are entered and managed in iVOS.

Record types include correspondence, memoranda, general incident or loss reports (FIN 597), vehicle accident reports (RISK 001), medical records, medical legal opinions, photographs, expert reports (e.g., engineers, lawyers, and insurance adjusters), court documents and copies of invoices.

NOTE: The classifications in this primary apply to all records of this function, regardless of media, and include records held in iVOS.

For a description of iVOS, see the Information System Overview (ISO) in the ISO section.

For indemnities, see primary 72100.

For ministry incident and loss analysis reports, see secondary 72900-10.

Unless otherwise specified below, the ministry OPR (Risk Management Branch and Government Security Office (RMB)) will retain these records for:

FY+2y nil DE

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

SO nil DE

-00 Policy and procedures

- OPR SO 5y FR

- non-OPR SO nil DE

(continued on next page)

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

OPERATIONAL RECORDS CLASSIFICATION SYSTEM

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

		<u>A</u>	<u>SA</u>	<u>FD</u>
72200	<u>CLAIMS MANAGEMENT</u> (continued)			
-01	General	SO	nil	DE
-20	Claims alleging sexual abuse/misconduct (arrange by claim code)	SO	85y	DE
	SO = when the claims examiner deems the claim unresolved and inactive, or when the claim is resolved by consent dismissal order, judgement or release			
	85y = Because there is no limitation period for actions based on sexual assault or misconduct under the <i>Limitation Act</i> (RSBC 1996, c. 266, s. 3(4) (k) and (l)), these files will be kept for 85 years, after which time an individual is unlikely to initiate such an action. The resolved claims are retained to prove resolution.			
-35	Claims involving minors and not alleging sexual abuse/misconduct - unresolved (arrange by claim code)	SO	28y	DE
	SO = when the claims examiner deems the claim unresolved and inactive. If a claim is resolved by consent dismissal order, judgement or release, reclassify the file to secondary 72200-40			
	28y = The retention period is based on the <i>Limitation Act</i> (RSBC 1996, c. 266, s. 7(3)(b)), which allows time for most actions until six years after the child reaches the age of majority (19 years). The additional three years provide for service of notice and for any extensions.			
	NOTE: This classification also applies to unresolved claims involving incapable adults, whose files have the same retention requirements under the <i>Limitation Act</i> .			

(continued on next page)

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

OPERATIONAL RECORDS CLASSIFICATION SYSTEM

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

	<u>A</u>	<u>SA</u>	<u>FD</u>
72200 <u>CLAIMS MANAGEMENT</u> (continued)			
-50 Incident reports involving adults (includes general incident and loss reports (FIN 597) involving adults only, hospital liability claim reporting forms involving adults only, university and college incident reports involving adults only, and vehicle accident reports (RISK involving adults only) (arrange first by type of report, then chronologically, except for hospital incident reports which are arranged alphabetically by name of hospital)	SO	6y	DE

SO = upon determination that no action is required (e.g., there is no responsible party or no payment warranted)

6y = The retention period is based on the two-year limitation period for initiating legal action under the *Limitation Act* (RSBC 1996, c.266, s. 3(2)), with additional years providing for service of notice and extensions.

NOTE: Incident reports involving adults are held as an electronic record in iVOS; most of them being directly inputted from the reporting body. Any paper copies received of incident reports are entered into iVOS, as it holds the official record. Once data has been verified, the paper copy may be destroyed under the Transitory Electronic Data Processing (EDP) Records Schedule, schedule 102902. Any paper copies not entered into iVOS will be managed according to this secondary's retention.

-55 Incident reports involving minors (includes general incident and loss reports (FIN 597) involving minors, hospital liability claim reporting forms involving minors, universities and colleges incident reports involving minors, school incident reports and vehicle accident reports (RISK 001) involving minors) (arrange first by type of report, then chronologically, except for hospital incident reports which are arranged alphabetically by name of hospital)	SO	28y	DE
---	----	-----	----

SO = upon determination that no action is required (e.g., there

(continued on next page)

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

OPERATIONAL RECORDS CLASSIFICATION SYSTEM

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

A SA FD

72200 CLAIMS MANAGEMENT (continued)

is no responsible party or no payment warranted)

28y = The retention period is based on the *Limitation Act* (RSBC 1996, c. 266, s. 7(3)(b)), which allows times for most actions until six years after the child reaches the age of majority (19 years), with additional years providing for service of notice and extensions.

NOTE: This classification also applies to incident reports involving incapable adults, whose files have the same retention requirements under the *Limitation Act*.

NOTE: Incident reports involving minors are held as an electronic record in iVOS; most of them being directly inputted from the reporting body. Any paper copies received of incident reports are entered into iVOS, as it holds the official record. Once data has been verified, the paper copy may be destroyed under the Transitory Electronic Data Processing (EDP) Records Schedule, schedule 102902. Any paper copies not entered into iVOS will be managed according to this secondary's retention.

A = Active
SA = Semi-active
FD = Final Disposition
FOI = Freedom of Information/Privacy
PIB = Personal Information Bank
OPR = Office of Primary Responsibility

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

SO = Superseded or Obsolete
DE = Destruction
SR = Selective Retention
FR = Full Retention
OD = Other Disposition

OPERATIONAL RECORDS CLASSIFICATION SYSTEM

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

A SA FD

72550 INSURANCE AND UNDERWRITING

Records relating to providing insurance coverage to ministries, government corporations, public bodies and others. The issuance and management of insurance and coverage wordings is performed by:

- Creating, amending and maintaining coverage wordings for self-insured programs
- Purchasing commercial insurance for RMB clients when appropriate
- Setting risk pool premium levies and allocation for RMB self insured program clients
- Maintaining underwriting and corporate data

The insurance policies covered in this primary are both self-insured and commercial insurance policies.

This primary also contains calculations and financial statements relating to the Insurance and Risk Management Account (IRMA), and premiums, fees and fundings. Established under the *Financial Administration Act* (RSBC 1996, c. 138, s. 30), IRMA is the account used by the branch to fund risk management on behalf of government.

Record types include correspondence, memoranda, working notes, coverage wordings, certificates of coverage, invoices, financial statements, and other types of records as indicated under relevant secondaries.

NOTE: The classifications in this primary apply to all records of this function, regardless of media, and include records held in iVOS.

For broad or overarching issues, see secondary 72000-25.

For conferences, seminars and workshops hosted by the branch, see primary 72700.

For Master Insurance Program (MIP) weekly coverage reports, see secondary 73000-04.

For program or client-specific issues, see secondary 72800-25.

For reference material, see secondary 72000-35.

For self insured program management files, see primary 73000.

Unless otherwise specified below, the ministry OPR (Risk Management Branch and Government Security Office (RMB)) will retain these records for:

FY+2y nil DE

(continued on next page)

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

OPERATIONAL RECORDS CLASSIFICATION SYSTEM

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

	<u>A</u>	<u>SA</u>	<u>FD</u>
72550 <u>INSURANCE AND UNDERWRITING</u> (continued)			
Except where non-OPR retention periods are identified below, all other ministry offices will retain these records for:	SO	nil	DE
-00 Policy and procedures	SO	5y	FR
	SO	<u>nil</u>	<u>DE</u>
-01 General	SO	nil	DE
-02 Creation of self-insured program files (includes Treasury Board approvals (i.e., the indemnity) to initiate the program, and relevant documents outlining the initiation of the program)	SO	9y	DE

SO = when program is replaced or cancelled

9y = The retention period is based on the six-year limitation period for initiating a lawsuit under the *Limitation Act* (RSBC 1996, c. 266, s. 3(5)). The additional three years provide for service of notice and any extensions.

NOTE: Only a complete end to the program will constitute replacement or cancellation. Alterations, such as combining the program with another, or changing its name, will not render the program superseded or obsolete.

-20 Coverage wordings – liability policies (includes background material, underwriting details and certificates granting coverage) (arrange by policy number)	SO+85y	nil	DE
---	--------	-----	----

SO = when the insurance is replaced by a new policy, or not renewed, or the exposure no longer exists

85y = Liability actions can arise long after the occurrence of the event and the expiry of the policy. As policies are typically written on an occurrence basis, the actual policy in place must be identified and found in order to trigger coverage by the insurer. For example, there is no time limit for bringing an action for sexual assault or misconduct cases, according to the *Limitation Act* (RSBC 1996, c. 266, s. 3(4)(k) and (l)),

(continued on next page)

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

OPERATIONAL RECORDS CLASSIFICATION SYSTEM

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

A SA FD

72550 INSURANCE AND UNDERWRITING (continued)

4y = The retention period is based on the *Insurance Act* (RSBC 1996, c. 226, s. 22(1)) which provides one year for initiating a legal action after the expiry of the policy. The additional three years provide for service of notice and any extensions.

-50	Premium distribution and funding files (covers the cost of the program/policy, premium fees, funding information, rationale for charges, fee distribution, calculations and financial statements) (arrange by program or client)	SO	7y	DE
-----	--	----	----	----

OPR = Risk Management and Government Security Office

SO = when the executive team of the Risk Management Branch determines readiness for file closure.

7y = The retention period covers the branch's audit and fiscal requirements.

NOTE: These records are utilized by several areas of the branch, hence the need for the executive team to determine the file closure date.

-60	Underwriting details (includes broker and operating agreements, property listings and values and analysis of liability) (arrange by program, then by type of coverage)	SO	nil	DE
-----	--	----	-----	----

SO = when the director responsible for underwriting and analysis determines records are no longer of value

NOTE: Underwriting details specific to coverage wordings will be filed with the wordings under secondaries 72550-20 and 72550-30.

A = Active
SA = Semi-active
FD = Final Disposition
FOI = Freedom of Information/Privacy
PIB = Personal Information Bank
OPR = Office of Primary Responsibility

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

SO = Superseded or Obsolete
DE = Destruction
SR = Selective Retention
FR = Full Retention
OD = Other Disposition

OPERATIONAL RECORDS CLASSIFICATION SYSTEM

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

A SA FD

72700 POLICY DEVELOPMENT AND DELIVERY

Records related to the development of policy and advisory and recommended practices materials relating to all aspects of risk management.

RMB develops, collects and disseminates information on risk management issues for the benefit of government bodies. This information is distributed through corporate policy, guidelines, bulletins, fact sheets, the At Risk newsletter, and web-sites. Risk management issues include subjects such as insurance, indemnities, the claims process, earthquake preparedness, security, Enterprise Risk Management (ERM), and contract management.

This primary also includes standards and guidelines, regarding risk topics, created by government ministries and agencies to provide clients with information and direction on security and risk for particular circumstances. These are not created by RMB, but RMB reviews and approves cross-government standards and guidelines, and is a clearinghouse for them.

This primary also includes the development of material for the *Core Policy and Procedures Manual*, published by the Office of the Comptroller General.

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

For security risk management, see primary 72900.

Unless otherwise specified below, the ministry OPR (Risk Management Branch and Government Security Office (RMB)) will retain these records for:

FY+2y nil DE

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

SO nil DE

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

(continued on next page)

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

OPERATIONAL RECORDS CLASSIFICATION SYSTEM

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

		<u>A</u>	<u>SA</u>	<u>FD</u>
72700	<u>POLICY DEVELOPMENT AND DELIVERY</u> (continued)			
-03	Core policy development materials	SO	nil	DE
	SO = when the relevant sections of the <i>Core Policy and Procedures Manual</i> are substantially revised and the next policy development cycle is complete			
-10	Risk publications and policies – finals (covers At Risk newsletter, policies, best practices, bulletins, program manuals, presentations, advisories and guidelines developed for specific programs or for cross-government use)	SO	nil	FR
	SO = when superseded by new publications			
	FR = The government archives will fully retain the risk publications and policies because they document government's management of and planned response to government's risks.			
-20	Education session files (includes event organizing material, if applicable, and development of presentations)	SO	nil	DE
	NOTE: This secondary is for conferences, seminars and workshops that the branch hosts or presents at. For records relating to events which branch staff attend, see ARCS primary 220.			
	NOTE: Finals of presentations developed for conferences and workshops should be classified under secondary 72700-10.			
	NOTE: Program-related education sessions are closed after approval by the program's consultant.			

(continued on next page)

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

OPERATIONAL RECORDS CLASSIFICATION SYSTEM

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

		<u>A</u>	<u>SA</u>	<u>FD</u>
72700	<u>POLICY DEVELOPMENT AND DELIVERY</u> (continued)			
-35	Risk publication and policy development files (arrange by publication or policy)	SO	5y	DE
	SO = when publication is published or policy approved			
	DE = Risk publication and policy development files may be destroyed because final publications are filed under secondary 72700-10.			
-45	Standards and guidelines review files (arrange by ministry, then by standard or guideline)	SO	nil	DE
	NOTE: Final versions of these standards and guidelines are held by the ministry or agency which publishes them.			

A = Active
SA = Semi-active
FD = Final Disposition
FOI = Freedom of Information/Privacy
PIB = Personal Information Bank
OPR = Office of Primary Responsibility

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

SO = Superseded or Obsolete
DE = Destruction
SR = Selective Retention
FR = Full Retention
OD = Other Disposition

OPERATIONAL RECORDS CLASSIFICATION SYSTEM

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

A SA FD

72800 CLIENT RELATIONS

Records relating to providing risk management information and advice, aiding clients in establishing risk management strategies, as well as developing effective loss control and reporting systems for their individual operations.

This includes projects where the Risk Management Branch (RMB) may assess risk, conduct contract negotiation and analysis, and/or provide indemnities and insurance. These projects can range in scope from P3 projects to policy analysis and advice.

Also includes surveys: satisfaction surveys, conducted on an ad hoc basis, and risk management surveys, which are used to assess the status of a government body's risk practices. These assist in identifying risks and implementing risk management programs.

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

- For broad or overarching issues see secondary 72000-25.
- For conferences, seminars and workshops hosted by the branch, see secondary 72700-20.
- For contracts, see ARCS 1070.
- For *Core Policy and Procedures Manual* development, see secondary 72700-03.
- For a description of iVOS, see the Information System Overview (ISO) in the ISO section.
- For policies developed by RMB, see primary 72700.
- For program and client-specific issues, see secondary 72800-25.
- For publications, see primary 72700.
- For reference copies of Risk Management Branch's contracts, see secondary 72000-40.
- For security risk management, see primary 72900.
- For staff training, see ARCS 1735.

Unless otherwise specified below, the ministry OPR (Risk Management Branch and Government Security Office (RMB)) will retain these records for:

FY+2y nil DE

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

SO nil DE

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

(continued on next page)

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

OPERATIONAL RECORDS CLASSIFICATION SYSTEM

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

		<u>A</u>	<u>SA</u>	<u>FD</u>
72800	<u>CLIENT RELATIONS</u> (continued)			
-01	General	SO	nil	DE
-02	Advisory records - paper (covers printed service requests from HEAT and BCHCRMS, including copies of certificates and correspondence)	CY+4y	10y	DE
	15y = The retention period satisfies the branch's reference requirements and ensures records are available for a reasonable period to facilitate the provision of consistent advice.			
	NOTE: This secondary includes service requests created by the now-defunct BC Health Care Risk Management Society (BCHCRMS), whose responsibilities were transferred to the Risk Management Branch December 31, 2002. BCHCRMS service requests are stored offsite under ongoing accession 90-7470.			
-03	Advisory records - electronic (covers general advisory material created in response to service requests by clients, which isn't related to specific issues, indemnities or certificates)	SO	nil	DE
	SO = when reference value has expired			
	NOTE: This secondary applies to advisory records held in HEAT and iVOS.			
	NOTE: Service requests relating to indemnities or certificates will be classified under the appropriate secondary within primaries 72100 or 72550.			
-05	Contact lists			
-12	Risk management survey final reports (includes final report, and one copy of the corresponding questionnaire)	SO	nil	FR
	FR = The government archives will fully retain risk management survey final reports because they document client feedback on critical issues concerning program's relevance to business risks and the service level and quality delivered by RMB.			

(continued on next page)

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

OPERATIONAL RECORDS CLASSIFICATION SYSTEM

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

		<u>A</u>	<u>SA</u>	<u>FD</u>
72800	<u>CLIENT RELATIONS</u> (continued)			
-25	Issue files - client (includes analysis, consultation and advisory material) (arrange by client, then by issue)	SO	10y	DE
	SO = when issues or files are no longer topical. For self-insured program client issue files, consult the director of the program before closing the files			
	10y = The retention period meets the operational needs of RMB because issues that have not re-emerged within 10 years are unlikely to do so.			
	NOTE: For broad or overarching issues that aren't specific to one client or program, see secondary 72000-25.			
	NOTE: For general advisory material in response to service requests by clients, and not related to specific issues, see secondaries 72800-02 and -03.			
-35	Risk assessment case files (covers records relating to identifying risks, including recommendations for minimizing risks) (includes context papers, and risk registries) (arrange by client)	SO+2y	nil	DE
	SO = when assessment is updated			
-40	Risk management project case files (covers risk management services for projects, which can range from construction projects to policy development to activity assessments) (includes copies of contracts, assessments, notes, correspondence and memoranda) (arrange by client, then by project)	SO	9y	DE
	SO = when the project is completed, cancelled, paused, or abandoned; and when no longer required for reference purposes, as determined by the program consultant			
	9y = The retention period is based on the six-year			

(continued on next page)

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

OPERATIONAL RECORDS CLASSIFICATION SYSTEM

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

A SA FD

72800 CLIENT RELATIONS (continued)

limitation period for initiating a lawsuit under the *Limitation Act* (RSBC 1996, c. 266, s. 3(5)). The additional three years provide for service of notice and any extensions.

NOTE: Original indemnities and coverage wordings are filed in their respective classifications. See primary 72100 for indemnities, and primary 72550 for insurance files.

-60	Risk management surveys (includes survey development and questionnaires) (covers risk, security, and satisfaction surveys) (arrange by survey, then, if necessary, by client)	SO	nil	DE
-----	--	----	-----	----

NOTE: Final survey reports and one copy of the corresponding questionnaire will be fully retained under secondary 72800-12 (Risk management survey final reports).

A = Active
SA = Semi-active
FD = Final Disposition
FOI = Freedom of Information/Privacy
PIB = Personal Information Bank
OPR = Office of Primary Responsibility

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

SO = Superseded or Obsolete
DE = Destruction
SR = Selective Retention
FR = Full Retention
OD = Other Disposition

OPERATIONAL RECORDS CLASSIFICATION SYSTEM

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

A SA FD

72900 SECURITY ASSESSMENT AND ANALYSIS

Records relating to government security awareness, assessment, and response planning. Risk Management Branch and Government Security Office's (RMB) security function covers information, personnel, physical and information technology security.

This primary covers advice and assistance given to clients in creating and implementing their own security risk response procedures and contingency plans to ensure the continued delivery of services.

It also includes incident investigations and inspection reviews, which are conducted in order to provide further information about a client's security exposures; and threat assessments, conducted on an as needed basis, usually in response to an incident.

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

NOTE: The classifications in this primary apply to all records of this function, regardless of media, and include records held in iVOS.

NOTE: Protective intelligence reference materials should be classified under secondary 72000-35.

For conferences, seminars and symposia hosted by the branch, see secondary 72700-20.

For client files, see secondary 72800-25.

For bulletins released by RMB, see primary 72700.

For final copies of presentations, see primary 72700.

For individual incident and loss reports, see primary 72200.

For oaths, see ARCS secondary 350-04.

For other agencies' security standards and guidelines, see secondary 72000-35.

For policy development and delivery records, see primary 72700.

For security reference material, see secondary 72000-35.

For risk management surveys, see primary 72800.

Unless otherwise specified below, the ministry OPR (Risk Management Branch and Government Security Office (RMB)) will retain these records for:

FY+2y nil DE

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

SO nil DE

(continued on next page)

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

OPERATIONAL RECORDS CLASSIFICATION SYSTEM

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

			<u>A</u>	<u>SA</u>	<u>FD</u>
72900	<u>SECURITY ASSESSMENT AND ANALYSIS</u> (continued)				
-00	Policy and procedures	- OPR	SO	5y	FR
		- non-OPR	<u>SO</u>	<u>nil</u>	<u>DE</u>
-01	General		SO	nil	DE
-03	BC Threat Advisory Alerts				
	NOTE: These are advisories from the Provincial Emergency Program (PEP) that RMB distributes to agencies, provincial ministries and government corporations.				
-04	Bulletins – other agencies'		SO	nil	DE
-10	Ministry incident and loss analysis reports (arrange by report month)		SO	nil	DE
	SO = when no longer required				
	NOTE: This secondary covers iVOS statistical reports listing the incidents and losses reported by ministries on the General Incident and Loss Reports (GILR's) (FIN 597).				
-25	Enterprise security project case files (covers risk assessment development and audits, program implementation, contingency planning and other projects) (arrange by project)		SO	10y	DE
	SO = when the project is completed, cancelled, paused, or abandoned; and when no longer required for reference purposes				
	10y = This retention period provides sufficient time for the reference value of these files to be extinguished.				
-40	Security assessment and inspection case files (covers site reviews and investigations) (arrange by client)		SO	6y	DE
	SO = when review is complete				

(continued on next page)

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

OPERATIONAL RECORDS CLASSIFICATION SYSTEM

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

			<u>A</u>	<u>SA</u>	<u>FD</u>
72900	<u>SECURITY ASSESSMENT AND ANALYSIS</u> (continued)				
PIB	-50	Threat assessment case files (covers targeted threat of violence management process assessments) (includes notes, relevant reports, and assessment) (arrange by surname, then by assessment date)	SO	10y	DE
		SO = assessments regarding a government employee will remain open for the duration of the employee's employment with the government; assessments regarding citizens will remain open for at least 10 years from completion of the assessment			
		10y = The retention period ensures the records will be available for a sufficient period to document risk to the government and it's employees.			

A = Active
SA = Semi-active
FD = Final Disposition
FOI = Freedom of Information/Privacy
PIB = Personal Information Bank
OPR = Office of Primary Responsibility

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

SO = Superseded or Obsolete
DE = Destruction
SR = Selective Retention
FR = Full Retention
OD = Other Disposition

OPERATIONAL RECORDS CLASSIFICATION SYSTEM

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

A SA FD

73000 PROGRAM DELIVERY

Records relating to the development and management of insurance programs; primarily self-insured programs. Self-insured programs are designed and administered by the Risk Management Branch for public sector entities such as hospitals, health care agencies, the public education system and service providers to the social program ministries.

The self-insured programs coordinate and consolidate the insurance requirements of those entities, rather than purchasing insurance coverage, thus substantially reducing government's insurance costs.

These records document the management and operations of the individual programs.

Record types include correspondence, memoranda, agreements, meeting minutes, reports, education session information, invoices and other types of records as indicated under relevant secondaries.

NOTE: The classifications in this primary apply to all records of this function, regardless of media, and include records held in iVOS.

NOTE: Refer to Appendix A for detailed descriptions of the self-insured programs covered under this primary as of the date of publication.

For broad or overarching issues, see secondary 72000-25.

For certificates, see primary 72550.

For coverage wordings, see primary 72550.

For creation of self-insured programs, see secondary 72550-02.

For education sessions, conferences, seminars and workshops hosted by the branch, see secondary 72700-20.

For general advisory files, also called service requests, see secondaries 72800-02 and 03.

For premium distribution and fees, see secondary 72550-50.

For program and client-specific issues, see secondary 72800-25.

For reference material, see secondary 72000-35.

For risk management branch publications, see primary 72700.

For risk management projects, see 72800-40.

For satisfaction surveys, see secondary 72800-60.

For underwriting details, see secondary 72550-60.

(continued on next page)

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

OPERATIONAL RECORDS CLASSIFICATION SYSTEM

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

	<u>A</u>	<u>SA</u>	<u>FD</u>
73000 <u>PROGRAM DELIVERY</u> (continued)			
Unless otherwise specified below, the ministry OPR (Risk Management Branch and Government Security Office (RMB)) will retain these records for:	FY+2y	nil	DE
-00 Policy and procedures	SO	6y	FR
	- OPR		
	- non-OPR	<u>SO</u>	<u>DE</u>
-01 General	<u>SO</u>	<u>nil</u>	<u>DE</u>
-03 Program annual reports (arrange by program)	SO	nil	FR
SO = when the program is replaced or cancelled; and when no longer required for reference			
FR = The government archives will fully retain program annual reports because they document the annual activities, including the education programs, under each self-insured program.			
-04 Program delivery – administration (includes records such as contact lists, Master Insurance Program (MIP) weekly coverage reports, general correspondence) (arrange by program)	SO	nil	DE
SO = when the program director determines records are no longer of value			
-07 Program delivery - core records (includes records such as tracking spreadsheets, management plans etc.) (covers records unique to a program and required for the duration of RMB's management of the program) (arrange by program)	SO	nil	DE
SO = when the program is replaced or cancelled; and when no longer required for reference			
NOTE: Underwriting details are classified under secondary 72550-60.			

(continued on next page)

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

OPERATIONAL RECORDS CLASSIFICATION SYSTEM

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

		<u>A</u>	<u>SA</u>	<u>FD</u>
73000	<u>PROGRAM DELIVERY</u> (continued)			
-10	Risk identification reports – final reports	SO	6y	FR
	FR = The government archives will fully retain risk identification reports because they document the identification and analysis of risks to develop a risk management strategy and make recommendations. The analysis includes a review of the client’s assets, business operations and information collected through interviews.			
	NOTE: Development and supporting material for risk identification reports will be classified under 73000-50.			
-20	Program reports (includes analytical, one time and status reports) (arrange by program)	SO	nil	DE
	SO = when the program is replaced or cancelled; and when no longer required for reference			
	NOTE: This secondary does not cover auto-generated system reports, which will be classified in ARCS.			
-30	Program client files (includes tombstone information on program clients, such as institutions, participants and facility lists, client profiles and workplans, “property files”, denial of coverage) (arrange by program, then by client)	SO	6y	DE
	SO = when the program is replaced or cancelled; and when no longer required for reference			
	NOTE: For client issues see secondary 72800-25.			
	NOTE: For secondaries where the Superseded or Obsolete (SO) interpretation is “when the program is replaced or cancelled” it is important to note that only a complete end to the program will constitute replacement or cancellation. Alterations, such as combining the program with another, or changing its name, will not render the program superseded or obsolete.			

(continued on next page)

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

OPERATIONAL RECORDS CLASSIFICATION SYSTEM

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

	<u>A</u>	<u>SA</u>	<u>FD</u>
73000 <u>PROGRAM DELIVERY</u> (continued)			
-50 Program risk identification and loss prevention case files (covers identification of risks involving the programs; i.e., loss prevention, risk identification and loss control within agencies, comprehensive reports, updates, plans and correspondence, school facility and playground inspection reports, inspection files including photographs and general descriptions, recommendation of repairs and mitigations) (arrange by program, then by facility)	SO	6y	DE

SO = after the completion of three inspection cycles, which range from annual, to every five years

NOTE: Final versions of risk identification reports will be classified in 73000-10 (Risk identification reports – finals).

A = Active
SA = Semi-active
FD = Final Disposition
FOI = Freedom of Information/Privacy
PIB = Personal Information Bank
OPR = Office of Primary Responsibility

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

SO = Superseded or Obsolete
DE = Destruction
SR = Selective Retention
FR = Full Retention
OD = Other Disposition

OPERATIONAL RECORDS CLASSIFICATION SYSTEM

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

INFORMATION SYSTEM OVERVIEW SECTION

TABLE OF CONTENTS

ISO TITLE

Risk Management Information System (RMIS),
commonly known as iVOS

iVOS

OPERATIONAL RECORDS CLASSIFICATION SYSTEM

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

INFORMATION SYSTEM OVERVIEW

Name of Creating Agency

Ministry of Finance
Provincial Treasury
Risk Management Branch and Government Security Office (RMB)

System Title

The Risk Management Information System (RMIS), commonly known as iVOS

Purpose

iVOS is a 3-Tier product that supports most of RMB's business functions. It includes modules for managing claims, risk management advice, assets, building inspections, Certificates of Insurance and Certificates of Indemnities to the provincial public sector including crown corporations, public education, post secondary, health and core government entities.

Information Content

iVOS contains incident, claim, indemnity, service request, asset and inspection information, which includes correspondence, diaries, notes, reports and payment information for both self-insured and commercially insured policies.

It will also contain indemnity and certificates migrated from the HEAT system.

Inputs, Processes, and Outputs

Inputs

- University, college and school staff, health authorities and ministry staff access iVOS via the internet to enter incident reports or service requests.
- The contracted company which conducts property inspections inputs property and liability survey results, course of construction results, photographs of facilities and recommendations of assessors.
- RMB claim examiners manage incidents, entering pertinent information including notes, e-mails, diaries, reserves and outcomes.
- RMB claim consultants input risk management advice given, notes, e-mails, diaries and outcomes.

Processes

iVOS is accessed via the internet by users from schools, health authorities, universities, colleges and provincial ministry staff. Incident information and requests for advice are logged in by these users. Once the reports are completed and saved, a workflow process is triggered, and the system routes the "event report" immediately to the claims/client services manager, who will assign the incident/service request to an examiner/consultant.

iVOS has several communication tools used in the incident/service request/inspections process; including e-mail, an events diary to track and log progress and a correspondence generation tool to draft form letters. A payment management function interfaces with the

OPERATIONAL RECORDS CLASSIFICATION SYSTEM

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

Corporate Accounting System (CAS). Incidents/service requests/inspections are searchable by file number, date, name, status and other criteria.

Outputs

iVOS outputs consist of:

- Payment transactions (interfaced to CAS)
- Certificates of Insurance and Certificates of Indemnity
- A variety of adhoc reports which can be generated by specific criteria, or to identify trends and provide benchmarking.
- Scheduled monthly/quarterly reports, which are e-mailed to clients.

Technical Maintenance

At the time of publication of this ORCS, iVOS has no purge capability, and the records will remain in the system until functionality is established to apply the retentions, or the data is migrated to a new system.

For retention and disposition schedules, see relevant primaries, which are listed in the classification section below. Also see the system scheduling and disposition section at the end of this ISO.

Classification

Electronic System

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

Electronic records

Schedule No.	Secondary No.	Secondary Title
100001	ARCS 440-20	Reports and statistics (not covered elsewhere)
100001	ARCS 925-20	Accounts payable files
100001	ARCS 935-20	Accounts receivable files
179474	72100-20	Approved indemnities
179474	72100-25	Approved indemnities – involving minors
179474	72100-35	Blanket approval for indemnities in standard contracts
179474	72100-40	Cancelled indemnities
179474	72100-60	Not approved indemnities
179474	72200-20	Claim files alleging sexual abuse
179474	72200-35	Claim files involving minors and not alleging sexual abuse/misconduct- unresolved
179474	72200-40	Claim files – personal injury
179474	72200-42	Claim files – property
179474	72200-50	Incident reports involving adults

OPERATIONAL RECORDS CLASSIFICATION SYSTEM

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

179474	72200-55	Incident reports involving minors
179474	72550-20	Coverage wordings – liability policies
179474	72550-30	Coverage wordings – policies not including liability
179474	72550-40	Certificates providing evidence of coverage
179474	72550-45	Course of construction certificates
179474	72800-05	Contact lists
179474	72800-03	Advisory records - electronic
179474	72100-02	Approved indemnities - self-insurance programs
179474	73000-50	Program risk identification and loss prevention case files

Inputs

Schedule No.	Secondary No.	Secondary Title
179474	72200-50	Incident reports involving adults
179474	72200-55	Incident reports involving minors
179474	72550-20	Coverage wordings – liability policies
179474	72550-30	Coverage wordings – policies not including liability
179474	72100-02	Approved indemnities - self-insurance programs
179474	73000-50	Program risk identification and loss prevention case files

Outputs

Schedule No.	Secondary No.	Secondary Title
100001	ARCS 440-20	Reports and statistics (not covered elsewhere)
100001	ARCS 925-20	Accounts payable files
100001	ARCS 935-20	Accounts receivable files
179474	72100-20	Approved indemnities
179474	72100-25	Approved indemnities – involving minors
179474	72100-35	Blanket approval for indemnities in standard contracts
179474	72550-20	Coverage wordings – liability policies
179474	72550-30	Coverage wordings – policies not including liability
179474	72550-40	Certificates providing evidence of coverage
179474	72550-45	Course of construction certificates
179474	72900-10	Ministry incident and loss analysis reports

OPERATIONAL RECORDS CLASSIFICATION SYSTEM

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

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 all data has been migrated to a new system performing the same function, or 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.

OPERATIONAL RECORDS CLASSIFICATION SYSTEM

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

A SA FD

APPENDICES

TABLE OF CONTENTS

<u>APPENDIX CODE</u>	<u>APPENDIX TITLE</u>
APPENDIX A	SELF-INSURED PROGRAMS
APPENDIX B	CONCORDANCE TABLE

A = Active
SA = Semi-active
FD = Final Disposition
FOI = Freedom of Information/Privacy
PIB = Personal Information Bank
OPR = Office of Primary Responsibility

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

SO = Superseded or Obsolete
DE = Destruction
SR = Selective Retention
FR = Full Retention
OD = Other Disposition

OPERATIONAL RECORDS CLASSIFICATION SYSTEM

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

A SA FD

APPENDIX A

SELF-INSURED PROGRAMS

Following is a brief description of the self-insured programs managed by this ORCS at the time of publication (see primary 73000).

Appointees Indemnity Program (AIP)

Records relating to the development of the Appointees Indemnity Program (AIP). AIP provides liability coverage for appointees to provincial government agencies, boards and commissions.

NOTE: This ORCS only covers records relating to the creation of the program. The participants' coverage files are maintained by the ministry responsible for the agency, board or commission.

Building Envelope Program (BEP)

Records relating to the management of the Building Envelope Program (BEP). BEP was a limited duration program created to assess building envelope problems, to indemnify clients against remediation costs and to pursue recovery from responsible parties. The Building Envelope is those parts of a building that separate inside, conditioned space from unconditioned or outside space, and includes windows, doors, walls, roofs and foundations.

The Risk Management Branch and Government Security Office (RMB) also governed the building remediation, managed investigations and determined funding eligibility.

BEP claims were resolved through the normal claims process. Claims were tracked through iVOS, but BEP claims were also entered in a spreadsheet arranged by the iVOS claim number. The BEP spreadsheet contained supplemental claim information and tracked the litigation, construction and remediation benchmarks.

Clients included schools, institutes, health care facilities or any other party insured by government.

The BEP program was closed April 2009.

(continued on next page)

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

OPERATIONAL RECORDS CLASSIFICATION SYSTEM

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

A SA FD

Business Continuity Management Program (BCMP)

Records relating to the management of the Business Continuity Management Program (BCMP). BCMP is a government-wide program involving planning, developing, promoting, implementing and monitoring the business continuity activities of provincial public sector organizations (reference Core Policy and Procedures Manual Chapter 16). These organizations develop Business Continuity Plans that ensure essential government services and processes continue to function or are brought back into service as quickly as possible in the event of an emergency or disaster; and that damage is mitigated.

RMB provides expertise and leadership with respect to business continuity planning, communications, education and training. The branch coordinates semi-annual reporting to Deputy Minister's Council, Ministry Executive and Public Accounts on the status of Business Continuity Management Programs across government.

BCMP has comprehensive guidelines supporting the Enterprise Risk Management Policy along with a complement of templates, samples and forms. These guidelines are the backbone of the program and will be continuously updated and new or improved supporting documentation provided to Risk Management's clients to assist with their BCMP. Ministry BCP provides the foundation for the Government Business Continuity Plan.

BCMP may have special projects to address particular areas of concerns or new trends in the industry. For example, a ministry executive presentation on setting up a Ministry Operations Centre, or Cross Government Functional Exercise Program, or Establishment of the Level of Excellence Program for BCMP.

BCMP clients are ministries, crowns, and other public sector organizations.

The management of BCMP was transferred to Emergency Management BC in March 2007.

Directors Indemnity Protection Program (DIPP)

Records relating to the development of the Directors Indemnity Protection Program (DIPP). DIPP provides liability coverage for the directors of provincial government corporations who are appointed by the minister or Lieutenant Governor in Council.

Records document the creation of the program, Treasury Board approvals initiating the program and the corporations covered by the program.

(continued on next page)

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

OPERATIONAL RECORDS CLASSIFICATION SYSTEM

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

A SA FD

Executive Protection Program (EPP)

Records relating to the operation of the Executive Protection Program (EPP). The EPP is a voluntary program created to prevent and reduce the potential for injury or harm to senior government executives, their families and co-workers arising from criminal acts, abnormal behavior and workplace violence.

A crisis management plan is maintained in order to keep contact information current and to coordinate responses to new or emerging security risks.

Liaison with other agencies, such as the Royal Canadian Mounted Police and other law enforcement agencies, is maintained to alert them to potential security risks, and to coordinate contingency plans. Incident files are kept to track threats, assaults, and any potential security breaches related to the EPP.

Health Care Protection Program (HCPP)

The Health Care Protection Program (HCPP) replaces the Hospital Protection Program. The Hospital Protection Program provided only liability coverage to hospitals, whereas the Healthcare Protection Program provides property, crime, and liability coverage to all regional health care organizations including hospitals.

The branch administers the program by providing the coverage, reviewing the cost and operation/delivery of the program, charging premiums, providing advice to health care organizations and handling all claims.

In addition, information from the incident reports and the claim files are entered onto Ivos for statistical and loss control purposes.

Historical Education Litigation Program (HELP)

Records relating to the development of the Historical Education Litigation Program (HELP).

HELP administers claims for sexual assault/abuse in a school environment where the incident occurred prior to the inception of the Schools Protection Program in 1986.

Records are associated with investigating, defending and paying claims made by or against the government and/or designated schools.

Information from the incident reports and the claim files are entered onto iVOS for statistical and loss control purposes.

(continued on next page)

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

OPERATIONAL RECORDS CLASSIFICATION SYSTEM

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

A SA FD

Master Insurance Program (MIP)

Records relating to the development and administration of the Master Insurance Program (MIP), which began in 1987.

MIP provides liability coverage to contractors who deliver programs on behalf of the social program ministries. Programs include day care, transition houses and alcohol and drug counseling and rehabilitation.

The branch administers MIP by negotiating contracts with an insurer to front the program and an insurance broker to operate the program (i.e., issuing certificates of insurance and insurance policies to contractors who qualify for coverage), reviewing the participants list received from the broker to ensure that the contractors qualify for coverage, monitoring the performance of the broker, reviewing the cost of the program, negotiating funding for the program with the ministries, and handling all claims.

Claims, coverages and indemnities are tracked through iVOS (for an overview of iVOS, see the Information System Overview).

Midwives Protection Program (MPP)

Records relating to the development and administration of the Midwives Protection Program (MPP), which began January 31, 2001. The MPP is a self-insured program provided by the province in order to deliver malpractice coverage to midwives who are licensed and in good standing with the Midwives Association of British Columbia and the College of Midwives of British Columbia.

Claims, coverages and indemnities are tracked through iVOS (for an overview of iVOS, see the Information System Overview).

Nominees Indemnity Program (NIP)

Records relating to the administration of the Nominees Indemnity Program (NIP). NIP provides liability coverage for non-public servants nominated to represent government on the boards of private corporations.

Records document the creation of NIP, as well as the individuals covered by the program.

Claims, coverages and indemnities are tracked through iVOS (for an overview of iVOS, see the Information System Overview).

(continued on next page)

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

OPERATIONAL RECORDS CLASSIFICATION SYSTEM

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

A SA FD

Schools Protection Program (SPP)

Records relating to the development and administration of the Schools Protection Program (SPP).

SPP provides liability, property and crime coverage to schools.

The branch administers and delivers SPP by: contracting with a service provider to deliver portions of the program (e.g., issuing certificates of insurance and insurance policies and inspecting school facilities and playgrounds); monitoring the performance of the service provider; reviewing the cost of the program; negotiating funding for the program with the appropriate ministries; delivering education programs, providing risk management advice and handling claims.

In addition, information from the claim files are entered onto the iVOS database for statistical and loss control purposes. For information on iVOS, see the Information System Overview.

Transportation Financing Protection Program (TFPP)

Records relating to the development and administration of the Transportation Financing Protection Program (TFPP).

Includes records relating to the development of the transportation financing protection program, premiums, Treasury Board approvals [i.e., the indemnity], correspondence, memoranda and invoices.

University, College and Institute Protection Program (UCIPP)

Records relating to the development and administration of the University, College and Institute Protection Program (UCIPP).

UCIPP provides liability, property and crime coverage to schools, colleges, institutes and some universities.

The branch administers and delivers UCIPP by contracting with a service provider to deliver portions of the program (e.g., issuing certificates of insurance and insurance policies and inspecting institute facilities and grounds), monitoring the performance of the service provider, reviewing the cost of the program, negotiating funding for the program with the appropriate ministries, delivering education programs, providing risk management advice and handling claims.

A = Active
SA = Semi-active
FD = Final Disposition
FOI = Freedom of Information/Privacy
PIB = Personal Information Bank
OPR = Office of Primary Responsibility

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

SO = Superseded or Obsolete
DE = Destruction
SR = Selective Retention
FR = Full Retention
OD = Other Disposition

Appendix B: Risk Management records - Concordance table

This table identifies the relationships between original (old) classifications from the Risk Management Section of the Provincial Treasury ORCS (Schedule 890168) to the new classification structure in the Risk Management ORCS (Schedule 179474).

It is intended as a general guide for transition between the two ORCS. It makes some assumptions about the contents of the old files, and also assumes proper usage of the old classifications. While effort has been made to ensure the accuracy of this reference, it is still recommended that you check the contents of every file before converting it to ensure you use the correct new classifications.

The new Risk Management ORCS is effective January 01st, 2010, and its classifications and retentions are to be applied to all onsite records, and any draft operational records sent offsite while waiting for this ORCS to be developed.

Old ORCS #	Old Secondary Title	New ORCS #	New Secondary Title	New Retention	Notes (including original retention)
	All secondaries involving minors				Retention has been updated from 25 years to 28 years, per limitation act interpretation.
	All secondaries with original 75y retentions				Retentions have been updated to 85 years to reflect current life expectancy rates.
72000-01	Risk Management – General	72000-01	Risk Management – general	SO nil DE	No significant changes
72100-01	Approval of Indemnities – general	72100-01	Approval of Indemnities – general	SO nil DE	No significant changes
72100-02	Indemnities for self-insurance programs approved by order-in-council	72100-02	Approved indemnities – self insured programs	SO nil DE	Only title and descriptor changes
72100-20	Approved indemnities	72100-20	Approved indemnities	SO+2y 7y DE	Old retention was fiscal year based, for 9 years. New retention based on expiry of indemnity.
72100-35	Blanket approval for indemnities in standard contracts	72100-35	Blanket approval for indemnities in standard contracts	SO nil DE	No significant changes
72100-40	Cancelled indemnities	72100-40	Cancelled indemnities	FY+2y nil DE	No significant changes
72100-45	Government bodies exempted from the approval process	72100-45	Government bodies exempted from the approval process case files	SO nil DE	No significant changes

A = Active
SA = Semi-active (off-site storage)
FD = Final Disposition

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

SO = Superseded or Obsolete
DE = Destruction
SR = Selective Retention
FR = Full Retention

Appendix B: Risk Management records - Concordance table

Old ORCS #	Old Secondary Title	New ORCS #	New Secondary Title	New Retention	Notes (including original retention)
72100-50	Indemnity reports	72100-50	Indemnity reports	FY+2y nil DE	Old retention was SO nil DE
72100-60	Not approved indemnities	72100-60	Not approved indemnities	FY+2y nil DE	No significant changes
72200-01	Claims management – general	72200-01	Claims management – general	SO nil DE	Old retention was FY+2y nil DE
72200-20	Claim case files alleging sexual abuse	72200-20	Claims alleging sexual abuse/misconduct	SO 85y DE	Old retention was SO 75y DE; adjusted to current life expectancy
72200-30	Claim case files involving minors and not alleging sexual abuse	72200-35	Claims involving minors and not alleging sexual abuse/misconduct – unresolved	SO 28y DE	Old retention was SO NA NA, and required reclassifying of all files. Now only claims that are resolved are reclassified, and all of these types of files are under one classification from the beginning.
72200-35	Claim case files involving minors and not alleging sexual abuse – unresolved	72000-35	Claims involving minors and not alleging sexual abuse/misconduct – unresolved	SO 28y DE	Old retention was NA 25y DE. Old structure required any unresolved cases to be reclassified to this classification.
72200-40	Claim case files – all other	72200-40 72200-42	Claims – personal injury Claims – property	SO 6y DE SO 2y DE	Personal injury includes resolved minor's claims (see 72200-30 and 35)
72200-45	Settled claim releases	72200	Filed with the claims.		The practice outlined in this secondary was never adopted by the branch, and a file not created. All signed releases etc are filed within the claim file.
72200-50	Incident reports involving adults	72200-50	Incident reports involving adults	SO 6y DE	No significant changes.
72200-55	Incident reports involving minors	72200-55	Incident reports involving minors	SO 28y DE	No significant changes.
72200-60	Ministry incident and loss reports	72900-10	Ministry incident and loss analysis reports	SO nil DE	No significant changes.
72500-01	Insurance – general	72550-01	Insurance and underwriting – general	SO nil DE	No significant changes.
72500-02	AIDS (disease)	72000-35	Risk management reference	SO nil DE	Original retention: FY+2y nil DE

A = Active
SA = Semi-active (off-site storage)
FD = Final Disposition

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

SO = Superseded or Obsolete
DE = Destruction
SR = Selective Retention
FR = Full Retention

Appendix B: Risk Management records - Concordance table

Old ORCS #	Old Secondary Title	New ORCS #	New Secondary Title	New Retention	Notes (including original retention)
			materials		
72500-03	Automobile insurance	72000-35 72550-50 72550-60	Risk management reference materials Premium distribution and funding files Underwriting details	SO nil DE SO 7y DE SO nil DE	Original retention: FY+2y nil DE
72500-04	Environmental issues affecting insurance	72000-25 72000-35	Issues management case files Risk management reference materials	SO 10y DE SO nil DE	Original retention: SO nil DE
72500-05	Insurance and Risk Management Account calculations	72550-50	Premium distribution and funding files	SO 7y DE	Original retention: SO nil DE
72500-06	Insuring government employee moves	72000-35	Risk management reference materials	SO nil DE	Original retention: FY+2y nil DE
72500-07	Liability coverage issues	72000-25 72000-35	Issues management case files Risk management reference materials	SO 10y DE SO nil DE	Original retention: SO nil DE
72500-08	List of insurance adjusters	72800-05	Contact lists	FY+2y nil DE	No significant changes.
72500-09	Loss of government employee's personal possessions	72200-40	Claims – personal injury	SO 6y DE	Original retention: FY+2y nil DE
72500-10	Professional errors and omissions	72000-35	Risk management reference materials	SO nil DE	Original retention: FY+2y nil DE
72500-11	Standard insurance wordings	72000-35	Risk management reference materials	SO nil DE	Original retention: SO nil DE NOTE: actual coverage wordings for RMB policies, both purchased and self-insured, are classified in primary 72550.
72500-12	Workers compensation coverage	72000-35	Risk management reference materials	SO nil DE	Original retention: FY+2y nil DE
72500-20	Insurance brokers	72550-60	Underwriting details	SO nil DE	Original retention: FY+2y nil DE
72500-30	Insurance provided by other	72000-35	Risk management reference	SO nil DE	Original retention: FY+2y nil DE

A = Active
SA = Semi-active (off-site storage)
FD = Final Disposition

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

SO = Superseded or Obsolete
DE = Destruction
SR = Selective Retention
FR = Full Retention

Appendix B: Risk Management records - Concordance table

Old ORCS #	Old Secondary Title	New ORCS #	New Secondary Title	New Retention	Notes (including original retention)
	jurisdictions		materials		
72500-40	Public/private partnerships involving risk/insurance requirements	72550-20 72550-30 72800-40	Coverage wordings – liability policies Coverage wordings - policies not including liability Risk management project files	SO+85y nil DE SO 4y DE SO 9y DE	Original retention: SO nil SR Have this highlighted to Linda if she wants the P3 projects separated for FR. The actual policies are all held under the policy secondaries – project material in the project case files.
72550-01	Insurance – Policies	72550-01	Insurance and underwriting general	SO nil DE	Original retention: FY+2y nil DE
72550-20	Liability insurance policies	72550-20	Coverage wordings – liability policies	SO+85y nil DE	No significant changes.
72550-30	Other insurance policies that do not include liability	72550-30	Coverage wordings – policies not including liability	SO 4y DE	No significant changes.
72800-01	Risk management clients – general	72800-01	Client relations – general	SO nil DE	No significant changes.
72800-02	Disaster recovery planning	72800-25 72000-35 72700-35	Issues files – client Risk management reference materials Risk publication and policy development files	SO 10y DE SO nil DE So 5y DE	If actual planning files If informational material about disaster planning. If material developed for distribution to clients.
72800-03	Earthquake preparedness	72800-25 72000-35 72700-35	Issues files – client Risk management reference files Risk publication and policy development files	SO 10y DE SO nil DE SO 5y DE	If it's actual planning files. If informational material about earthquakes. If it's material developed for distribution to clients.
72800-04	Loss prevention guidelines	72700-35 72000-35	Risk publication and policy development files Risk management reference files	SO 5y DE SO nil DE	Original retention: Fy+2y nil DE
72800-20	Business continuation plans				These were plans received from ministries, and that RMB held

A = Active
SA = Semi-active (off-site storage)
FD = Final Disposition

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

SO = Superseded or Obsolete
DE = Destruction
SR = Selective Retention
FR = Full Retention

Appendix B: Risk Management records - Concordance table

Old ORCS #	Old Secondary Title	New ORCS #	New Secondary Title	New Retention	Notes (including original retention)
					basically as custodians. RMB does not perform this function anymore.
72800-30	Risk management client issues case files	72800-25	Issues files – client	SO 10y DE	Original retention same.
72800-35	Risk identification files	72800-35	Risk assessment case files	SO+2y nil DE	Original retention same.
73000-01	Self-insurance programs - general	73000-01	Program delivery – general	SO nil DE	Original retention: FY+2y nil DE
73000-20	Self-insurance program reports - cumulative	73000-04	Program delivery – administration	SO nil DE	Original retention same.
73000-25	Self-insurance program reports - snapshot	73000-04	Program delivery – administration	SO nil DE	Original retention same.
		73000-03	Program annual reports	SO nil DE	Annual snapshot reports to be classified in 73000-03.
73010-02	Creation of AIP	72550-02	Creation of self insured program files	SO 9y DE	Original retention: SO nil DE
73020-01	General file	73000-01	Program delivery – general	SO nil DE	Original retention: FY+2y nil DE
73020-02	Creation of DIPP	72550-02	Creation of self insured program files	SO 9y DE	Original retention: SO nil DE
73020-20	DIPP participant coverage files	72550-20	Coverage wordings – liability policies	SO+85y nil DE	Original retention: SO 6y DE (SO equalled end of program)
73030-02	Advice to HCPP service providers	72800-25	Issues files – client	SO 10y DE	Original retention: SO nil DE (SO equalled end of program)
73030-03	Affiliation agreement with the University of BC (UBC) Medical School (relates to the extent to which the program covers UBC students)	72550-60	Underwriting details	SO nil DE	Original retention: SO 75y DE New SO = when the director responsible for underwriting and analysis determines records are no longer of value
73030-04	Contentious health care insurance issues	75800-25	Issues files – client	SO 10y DE	If the issue is with one client
		72000-25	Issues management case files	SO 10y DE	If the issue pertains to a broader range or is not client-specific

A = Active
 SA = Semi-active (off-site storage)
 FD = Final Disposition

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

SO = Superseded or Obsolete
 DE = Destruction
 SR = Selective Retention
 FR = Full Retention

Appendix B: Risk Management records - Concordance table

Old ORCS #	Old Secondary Title	New ORCS #	New Secondary Title	New Retention	Notes (including original retention)
73030-05	Creation of HCPP	72550-02	Creation of self insured program files	SO 9y DE	Original retention: SO nil DE
73030-06	Drug trial pro forma agreement (relates to hospital's liability for testing drugs on humans)	72550-60	Underwriting details	SO nil DE	Original retention: SO 75y DE New SO = when the director responsible for underwriting and analysis determines records are no longer of value
73030-07	Funding for hospital losses (records of premiums and rationale for charges)	72550-50	Premium distribution and funding files	SO 7y DE	
73030-08	Generic coverage for health care directors and officers	72550-60	Underwriting details	SO nil DE	Original retention: SO 75y DE New SO = when the director responsible for underwriting and analysis determines records are no longer of value
73030-09	Health care claim coding system (translates codes used by BCHRMS for claims)	72550-60	Risk management reference materials	SO nil DE	Original retention: SO 6y DE
73030-10	Health care claim management agreement (sets out the branch's claims management responsibilities under the program)	72550-60	Underwriting details	SO nil DE	Original retention: SO 6y DE
73030-11	Health care comprehensive liability agreement (actual wording on the coverage)	72550-20	Coverage wordings – liability policies	SO+85y nil DE	Original retention: SO 75y DE
73030-12	Health care crime coverage agreement	72550-20	Coverage wordings – liability policies	SO+85y nil DE	Original retention: SO 75y DE
73030-13	Health care property coverage agreement	72550-30	Coverage wordings – policies not including liability	SO 4y DE	Original retention: SO 6y DE

A = Active
SA = Semi-active (off-site storage)
FD = Final Disposition

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

SO = Superseded or Obsolete
DE = Destruction
SR = Selective Retention
FR = Full Retention

Appendix B: Risk Management records - Concordance table

Old ORCS #	Old Secondary Title	New ORCS #	New Secondary Title	New Retention	Notes (including original retention)
73030-14	HCPP indemnity (Treasury Board approval to initiate the program)	72550-02	Creation of self insured program files	SO 9y DE	Original retention: SO nil DE
73030-15	Hospital Protection Program operating and claims administration agreements (agreement with insurance broker)	72550-60	Underwriting details	SO nil DE	Original retention: SO nil DE
73030-16	List of health care institutions	73000-07	Program delivery – core records	SO nil DE	Original retention same.
73030-17	Loss prevention and control within health care agencies	72000-25	Issues management case files	SO 10y DE	
73030-18	Obstetrical case review	73000-07	Program delivery – core records	SO nil DE	Original retention: SO nil DE
73030-19	Physician’s coverage	72550-30	Coverage wordings – policies not including liability	SO 4y DE	Original retention: SO nil DE
73030-20	HCPP program reports - cumulative	73000-04	Program delivery – administration	SO nil DE	Original retention same.
73030-25	HCPP program reports - snapshot	73000-04	Program delivery – administration	SO nil DE	Original retention same.
		73000-03	Program annual reports	SO nil DE	Annual snapshot reports to be classified in 73000-03.
73030-30	Requests for proposals for health care service providers	73000-04	Program delivery – administration	SO nil DE	Original retention same.
73050-02	Creation of MIP	72550-02	Creation of self insured program files	SO 9y DE	Original retention: SO nil DE
73050-03	MIP coverage agreement	72550-20	Coverage wordings – liability policies	SO+85y nil DE	Original retention: SO 75y DE
73050-04	MIP indemnity (Treasury Board approval to initiate the program)	72550-02	Creation of self insured program files	SO 9y DE	Original retention: SO nil DE
73050-05	MIP premium / fee distribution	72550-50	Premium distribution and funding files	SO 7y DE	Original retention: SO nil DE
73050-20	MIP agreements for broker services	72550-60	Underwriting details	SO nil DE	Original retention: SO nil DE

A = Active
 SA = Semi-active (off-site storage)
 FD = Final Disposition

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

SO = Superseded or Obsolete
 DE = Destruction
 SR = Selective Retention
 FR = Full Retention

Appendix B: Risk Management records - Concordance table

Old ORCS #	Old Secondary Title	New ORCS #	New Secondary Title	New Retention	Notes (including original retention)
73050-25	MIP agreements with insurer	72550-60	Underwriting details	SO nil DE	Original retention: SO 75y DE
73050-30	MIP participants list	73000-30	Program client files	SO 6y DE	12m nil DE
73050-40	MIP program reports - cumulative	73000-04	Program delivery – administration	SO nil DE	Original retention same.
73050-45	MIP program reports - snapshot	73000-04	Program delivery – administration	SO nil DE	Original retention same.
		73000-03	Program annual reports	SO nil DE	Annual snapshot reports to be classified in 73000-03.
73060-02	Creation of NIP	72550-02	Creation of self insured program files	SO 9y DE	Original retention: SO nil DE
73060-20	NIP participant coverage files (documents liability coverage)	72550-20	Coverage wordings – liability policies	SO+85y nil DE	Original retention: SO 75y DE
73070-02	Property values – detailed listing (annual list showing the replacement cost of each facility)	72550-60	Underwriting details	SO nil DE	Original retention: FY+2y nil DE
73070-03	Property values – totals (annual list showing the total replacement cost of facilities – for actuarial studies)	72550-60	Underwriting details	SO nil DE	Original retention: SO nil DE
73070-04	School facility and playground inspection reporting	73000-20	Program reports	SO nil DE	Original retention: SO nil DE
73070-05	SUCIPP audit checklists (sample of each year's checklist)	73000-07	Program delivery – core records	SO nil DE	Original retention: SO nil DE
73070-06	SUCIPP audit programs (includes correspondence and memoranda concerning changes to the checklist)	73000-04	Program delivery – administration	SO nil DE	Original retention: FY+2y nil DE
73070-07	SUCIPP audit reports	73000-20	Program reports	SO nil DE	Original retention: SO nil DE
73070-08	SUCIPP indemnity (Treasury Board approval to initiate	72550-02	Creation of self insured program files	SO 9y DE	Original retention: SO nil DE

A = Active
 SA = Semi-active (off-site storage)
 FD = Final Disposition

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

SO = Superseded or Obsolete
 DE = Destruction
 SR = Selective Retention
 FR = Full Retention

Appendix B: Risk Management records - Concordance table

Old ORCS #	Old Secondary Title	New ORCS #	New Secondary Title	New Retention	Notes (including original retention)
	the program)				
73070-09	SUCIPP premium distribution and funding (includes copies of annual invoices sent to school districts, colleges, institutes and universities)	72550-50	Premium distribution and funding files	SO 7y DE	Original retention: SO nil DE
73070-10	SUCIPP satisfaction surveys	72800-60	Risk management surveys	SO nil DE	Original retention: SO nil DE
73070-11	SUCIPP satisfaction survey reports	72800-12	Risk management surveys final reports	SO nil FR ?	Original retention: SO nil DE
73070-20	Certificates of insurance (copies of certificates issued by service provider; sent to the branch for review)	72550-40	Certificates providing evidence of coverage	SO nil DE	Original retention: CY+1y nil DE New SO = expiry of policy year
73070-30	Requests for proposals for a SUCIPP service provider, including the accepted proposal	72000-40	Risk management branch RFP and contract reference files	SO nil DE	Original retention: SO nil DE (original contract file goes into ARCS 1070)
73070-40	Responses to requests for proposals for a SUCIPP service provider	ARCS 1070			Or 73000-04 Program Delivery - administration
73070-50	School inspection files	73000-50	Program risk identification and loss prevention case files	SO 6y DE	Original retention: SO+2y nil SR SO = when a school facility is closed SR = IDMB will retain those records that best document the architectural history and physical setting of each school. All other records will be destroyed. New SO = after the completion of three inspection cycles, which

A = Active
SA = Semi-active (off-site storage)
FD = Final Disposition

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

SO = Superseded or Obsolete
DE = Destruction
SR = Selective Retention
FR = Full Retention

Appendix B: Risk Management records - Concordance table

Old ORCS #	Old Secondary Title	New ORCS #	New Secondary Title	New Retention	Notes (including original retention)
					range from annual to every five years. DE =records don't contain the architectural history that was originally supposed
73070-60	SUCIPP agreements	72550-20	Coverage wordings – liability policies	SO+85y nil DE	Original retention: SO nil DE
73070-70	SUCIPP program reports - cumulative	73000-04	Program delivery – administration	SO nil DE	Original retention same.
73070-75	SUCIPP program reports - snapshot	73000-04	Program delivery – administration	SO nil DE	Original retention same.
		73000-03	Program annual reports	SO nil DE	Annual snapshot reports to be classified in 73000-03.
73070-70	SUCIPP reports - cumulative/snapshot	SO nil DE			
73070-80	SUCIPP service provider quarterly reports (quarterly reports received from SUCIPP service provider; used to monitor compliance with the agreement)	73000-20	Program reports	SO nil DE	Original retention: SO nil DE
73080-02	Creation of the Transportation Financing Protection Program (includes premiums, as well as Treasury Board approvals (i.e., the indemnity) to initiate the program)	72550-02	Creation of self insured program files	SO 9y DE	Original retention: SO nil DE

A = Active
SA = Semi-active (off-site storage)
FD = Final Disposition

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

SO = Superseded or Obsolete
DE = Destruction
SR = Selective Retention
FR = Full Retention

OPERATIONAL RECORDS CLASSIFICATION SYSTEM

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

SUBJECT HEADINGS

PRIMARY NUMBERS

RISK MANAGEMENT

OPERATIONAL RECORDS CLASSIFICATION SYSTEM (ORCS)

INDEX

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

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

This index contains an alphabetical listing of:

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

Cross-references:

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

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

(continued on next page)

OPERATIONAL RECORDS CLASSIFICATION SYSTEM

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

<u>SUBJECT HEADINGS</u>	<u>PRIMARY NUMBERS</u>
- A -	
ACTUARIAL REPORTS	72550
ADVISORY RECORDS	72800
ANNUAL REPORTS – PROGRAMS	73000
APPROVED INDEMNITIES	72100
<i>AT RISK NEWSLETTER</i>	72700
AUTOMATED LOSS CONTROL PROGRAM (ALCP) SYSTEM	72000
ASSESSMENTS	
- risk	72900
- security	72900
- threat	72900
- B -	
BEST PRACTICES	72700
BCHCRMS PAPER RECORDS	72800
BC THREAT ADVISORY ALERTS	72900
BLANKET APPROVAL FOR INDEMNITIES IN STANDARD CONTRACTS	72100
BROKER AGREEMENTS	72550
BULLETINS	
- other agencies' security bulletins	72900
- risk management	72700
- security	72700
- C -	
CANCELLED INDEMNITIES	72100
CERTIFICATES	
- course of construction	72550
- granting coverage	72550
- providing evidence of coverage	72550
CLAIMS	
- alleging sexual abuse/misconduct	72200

(continued on next page)

OPERATIONAL RECORDS CLASSIFICATION SYSTEM

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

<u>SUBJECT HEADINGS</u>	<u>PRIMARY NUMBERS</u>
- involving minors (and not alleging sexual abuse/misconduct)	72200
- personal injury	72200
- property	72200
CLIENT ISSUES	72800
CLIENT RELATIONS	72800
CONTACT LISTS	
- various branch contact lists	72800
- self-insured programs	73000
CONTINGENCY PLANNING	72900
COURSE OF CONSTRUCTION CERTIFICATES	72550
CORE POLICY DEVELOPMENT	72700
CORPORATE POLICY	72700
COVERAGE CERTIFICATES	72550
COVERAGE WORDINGS	
- liability policies	72550
- policies not including liability	72550
CREATION OF SELF-INSURED PROGRAMS	72550
- D -	
- E -	
EDUCATION SESSIONS	72700
ENTERPRISE RISK MANAGEMENT (ERM)	72700
ENTERPRISE SECURITY PROJECTS	72900
EXEMPTED GOVERNMENT BODIES (FROM INDEMNITY PROCESS)	72100
- F -	
FACILITY	
- inspection reports	73000
- lists	73000
FEE DISTRIBUTION	72550

(continued on next page)

OPERATIONAL RECORDS CLASSIFICATION SYSTEM

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

<u>SUBJECT HEADINGS</u>	<u>PRIMARY NUMBERS</u>
- G -	
<i>GENERAL INCIDENT AND LOSS REPORTS</i> (FIN 597)	
- individual GILR reports	72200
- summary analysis reports by ministry	72900
GUIDELINES	
- internal	72700
- other agencies, i.e. security standards and guidelines	72000
- H -	
HEAT SERVICE REQUEST SYSTEM	72000
- I -	
INCIDENT REPORTS	
- involving adults	72200
- involving minors	72200
INCIDENT AND LOSS ANALYSIS REPORTS	72900
INDEMNITIES	
- approved	72100
- blanket approval for indemnities in standard contracts	72100
- cancelled	72100
- exempted government bodies	72100
- involving minors	72100
- not approved	72100
- self-insured programs	72100
INDEMNITY REPORTS	72100
INSPECTIONS	
- facility	73000
- playgrounds	73000
- schools	73000
- security	72900
INSURANCE	72550
INVESTIGATIONS – SECURITY	72900
ISSUE MANAGEMENT	
- broad or overarching issues	72000
- client specific issues	72800

(continued on next page)

OPERATIONAL RECORDS CLASSIFICATION SYSTEM

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

<u>SUBJECT HEADINGS</u>	<u>PRIMARY NUMBERS</u>
iVOS	ISO section
- J -	
- K -	
- L -	
LIABILITY POLICY COVERAGE WORDINGS	72550
- M -	
MASTER INSURANCE PROGRAM (MIP) WEEKLY COVERAGE REPORTS	73000
MINORS	
- approved indemnities involving minors	72100
- claims alleging sexual abuse/misconduct	72200
- claims involving minors (and not alleging sexual abuse/misconduct)	72200
- incident reports involving minors	72200
- N -	
NOT APPROVED INDEMNITIES	72100
- O -	
OATHS	ARCS 350-04
- P -	
PERSONAL INJURY CLAIMS	72200
POLICY DEVELOPMENT	72700
POLICIES (INSURANCE)	
- liability	72550
- not including liability	72550
PREMIUM DISTRIBUTION AND FUNDING	72550
PREMIUM FEES	72550
PROGRAM MANUALS	72700

(continued on next page)

OPERATIONAL RECORDS CLASSIFICATION SYSTEM

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

<u>SUBJECT HEADINGS</u>	<u>PRIMARY NUMBERS</u>
PROJECTS – RISK MANAGEMENT	72800
PROPERTY	
- claims	72200
- values	72550
- listings (for self insured programs)	72550
PROTECTIVE INTELLIGENCE REFERENCE MATERIAL	72000
PRESENTATIONS	72700
PUBLICATIONS	72700
	- Q -
	- R -
REFERENCE MATERIAL	72000
RISK	
- assessments	72800
- management projects	72800
- registries	72800
RFP AND CONTRACT REFERENCE COPIES	72000
	- S -
SCHOOL INSPECTION REPORTS	73000
SECURITY	
- assessments	72900
- awareness	72900
- bulletins (published by Risk Management Branch)	72700
- bulletins (other agencies')	72900
- inspections	72900
- investigations	72900
- surveys	72900
SEISMIC MITIGATION PROGRAM	72000
SELF-INSURED PROGRAMS	73000
- administration	73000
- annual reports	73000
- client files	73000

(continued on next page)

OPERATIONAL RECORDS CLASSIFICATION SYSTEM

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

<u>SUBJECT HEADINGS</u>	<u>PRIMARY NUMBERS</u>
- core records	73000
- creation of program	72550
- detailed listing of self-insured programs	APPENDIX A
- facility lists	73000
- management plans	73000
- participants lists	73000
- reports	73000
- risk identification and loss prevention	73000
- tracking spreadsheets	73000
- workplans	73000
 SEMINARS – PRESENTED BY BRANCH	 72700
 SERVICE REQUESTS	
 SEXUAL ABUSE / MISCONDUCT CLAIMS	 72200
 SITE REVIEWS	 72900
 STANDARDS AND GUIDELINES	
- review of other agencies'	72700
- published by Risk Management Branch	72700
 STRATEGIES – RISK MANAGEMENT	 72800
 SURVEYS	
- risk	72800
- satisfaction	72800
- security	72800
 SYSTEMS	
- Automated Loss Control Program (ALCP)	72000
- HEAT	72000
- iVOS	ISO section
 - T -	
 THREAT ASSESSMENTS	 72900
 TRAINING – CONDUCTED BY BRANCH	 72700
 TREASURY BOARD APPROVALS OF SELF-INSURED PROGRAMS	 72550
 - U -	
 UNDERWRITING DETAILS	 72550

(continued on next page)

OPERATIONAL RECORDS CLASSIFICATION SYSTEM

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

<u>SUBJECT HEADINGS</u>	<u>PRIMARY NUMBERS</u>
	- V -
	- W -
WEB PAGES	72000
WORKSHOPS - PRESENTED BY BRANCH	72700
	- X -
	- Y -
	- Z -