# Developer's Handbook

## for Operational Records Classification Systems (*ORCS*)

*alpha release, 2021-12-22*

# Contents

# Introduction & Overview



## Introduction to the Developer's Handbook

The Developer's Handbook is a manual to guide BC government staff when developing and amending operational records classification and scheduling systems (e.g. *ORCS*). The handbook supports the development of *ORCS* that meet the government-wide standards required for CRO approval under the *Information Management Act*. The RIM Glossary defines *ORCS* as follows:

> An integrated records classification and scheduling system tailored to the operational records of a specific function or program of government, in accordance with government-wide standards. *ORCS* facilitate classification, filing, retrieval and disposition; *ORCS* may also be used to identify vital records and freedom of information and privacy designations. *ORCS* is a block numeric records classification system, reflecting function and subject.

Developing and amending information schedules is a multi-stage process that involves collaboration between ministry staff, Government Records Officers (GRO) and Government Records Service (GRS) archivists. The Developer's Handbook provides guidance, templates and checklists for each stage of this process.

This handbook is published by the central agency of government responsible for records and information management standards, Government Records Service (GRS).

**The *ORCS* Standard**

Function-based information schedules are the standard for Government Information Schedules. This standard requires that:

- Every *ORCS* is divided into block-numeric classifications of Primaries (functions) and Secondaries (activities).
- Records in each Primary are related either through business transactions, common systems, common purpose or common practice.
- Records in each Secondary share the same retention and disposition.

# Introduction & Overview



## Information Management in BC Government

The Government of British Columbia creates and manages a significant amount of information, including records and data, over the course of doing business. Information management is a core component of government infrastructure and is a central pillar in upholding government transparency and accountability.

Government bodies and employees are responsible for creating and maintaining records that document decision making and government work activities. Everyone in government is responsible for ensuring that the records they create or receive in all formats and systems are managed using an appropriate recordkeeping system in accordance with government legislation, policy, and standards. These include the *Information Management Act*, the Managing Government Information Policy, and the Recorded Information Management Manual.

The Office of the Chief Information Officer (OCIO) is the central authority responsible for government information management. The OCIO's Government Records Service branch (GRS) supports the Chief Records Officer (CRO) in providing expert advice and services to help ministries meet their information obligations. GRS is responsible for appraising and scheduling government information; providing records management policy and practice advice, guidance and training; implementing and supporting BC Government's EDRMS; and managing offsite storage of government's physical records.

### The *Information Management Act* and Government Information

The *Information Management Act* (IMA) came into effect by Order in Council on May 26, 2016, and applies to all government ministries, designated government bodies, and the courts in a limited way.

The IMA requires all ministries, designated government bodies, and courts to hold, transfer, archive and dispose of information in accordance with information schedules that are approved and published by the CRO. The IMA defines government information, identifies government bodies that hold government information, and establishes their responsibilities for its management. It establishes the foundation for government's transition to digital information management and the digital archives.

# Introduction & Overview



## What is government information?

Recorded information created or received by a government body in connection with government business.

Government information:

- must be held by law;
- documents a decision respecting a course of action that directly affects a person or the operations of a government body;
- documents or supports a government body's organization, policies, procedures, transactions or operations;
- has archival value; or
- relates to matters of court administration assigned to the Attorney General or government by law.

Government information does not include constituency information held in a minister's office.

## What is a record?

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

> "Record" includes books, documents, maps, drawings, photographs, letters, vouchers, papers, and any other things 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, managed or filed by the ministries, agencies, boards, commissions and other government bodies to which the IMA applies.

# Introduction & Overview



## What are information schedules?

The Government of British Columbia manages its records by utilizing information schedules. Information schedules are tools that facilitate the organization, retrieval, storage and disposition of government records throughout their lifecycle, from creation to final disposition.

Information schedules are made up of two parts: a classification system that organizes sets of records based on their function/activity, and a retention schedule, which provides a timetable specifying how long records must be kept and when they are to be transferred to the Government Archives or destroyed.

Information schedules are government's main tool to facilitate good records management and are designed to:

- control the growth of records, ensuring the accessibility, discoverability, and usability of information over time;
- reduce storage costs (both physical and digital);
- facilitate government accountability and transparency;
- allow government to be more responsive more quickly to the public's requests for information;
- maintain evidence of and information about government business activities, transactions, and decisions; and
- ensure that government information is kept for as long it required.

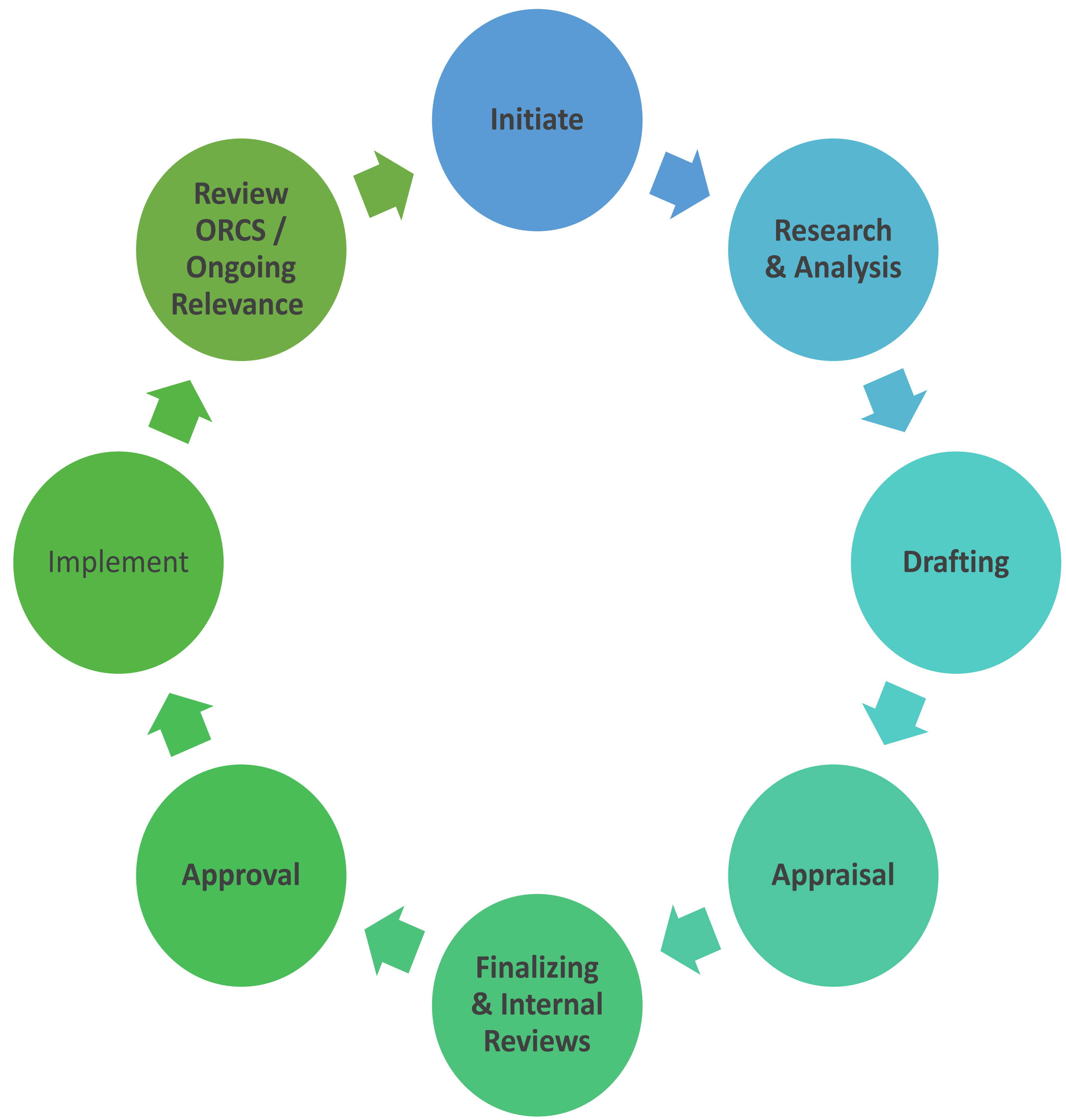
The three types of information schedules most commonly used in the Government of British Columbia are Administrative Records Classifications System (*ARCS*), Operational Records Classification System (*ORCS*), and Special Schedules. For the purpose of this handbook, the focus is on the development of *ORCS*.

*ORCS* are information schedules used to classify and schedule operational records. These are records relating to the unique operations and services provided by a program area to carry out the functions and activities that it is responsible for by statute, mandate, or policy. An *ORCS* typically contains a System Overview section, which analyses all electronic systems used within a program area, and schedules the records created, stored, and/or generated within those systems.

# Introduction & Overview



## The Information Schedule Development Lifecycle



## Developing and Amending Information Schedules

This handbook can be applied at all stages in an information schedule's lifecycle to reflect organizational change.

From the day that an *ORCS* is first approved, small inaccuracies begin to accumulate (e.g. an office name may change and some OPR statements become outdated). More significant disparities between the *ORCS* and the recordkeeping system it reflects may develop as a result of new or amended legislation, ministry reorganization or some other cause. You will need to amend your *ORCS* when it no longer accurately reflects the records that are being created, the length of time they are needed, or the final disposition that is appropriate for them.

**A key question to consider is, have the functions and activities of the offices using the *ORCS* changed? If the answer is yes, the *ORCS* needs to be reviewed to determine if the schedule needs to be amended or a new *ORCS* should be established.**

**To assist in determining if the schedule needs revisions, consider:**

- Are there records series missing from the *ORCS*? (e.g. a set of maps, an intranet web site, records of a new function)
- Has relevant legislation been enacted or updated?
- Are there secondaries not being used?
- Have electronic databases been developed or updated?
- Are records being kept in the office longer than needed, or not long enough?
- Are records being kept in offsite storage longer than needed, or not long enough?
- Are OPR (Office of Primary Responsibility) statements outdated or inaccurate?
- Do scope and content notes still accurately describe the records being created and kept?

Organizational change and information management requirements may compel one of three types of schedule development:

- Administrative amendment
- Formal amendment
- New *ORCS*

# Introduction & Overview



## 1. Administrative Amendment

This is any minor amendment/change to a schedule which does not affect the scope of coverage, alter the combined retention periods, or change final dispositions. Because administrative amendments do not reflect changes in legislation, change scope or retention periods, or otherwise impact the management of records, they follow a simplified review and approval process, which does not require public consultation or IMAC review or CRO approval. Administrative amendments are approved by the Director, Archival and Records Initiatives, or their designate.

**Administrative amendments** typically include:

- Minor wording changes
- Changes to the name of software used
- Updating naming of a branch, program or ministry
- Retention time redistribution without altering the combined retention period
- Updates to Executive Summary, Introduction, Systems Section, Index or Appendices which do not impact the scope or retention of a schedule

**Administrative Amendments** do not include:

- Changes to legislations or government policies
- Addition of new initiatives or functions
- Defunct programs

*If you are doing an administrative amendment, not all the steps in this handbook will apply.*

# Introduction & Overview



## 2. Formal Amendment

This is an amendment where a change is needed to an already existing approved schedule. When only some portions or items are being updated, a formal amendment reduces the need to recreate an entirely new information schedule. Formal amendments are required when updates will change the scope of the schedule or alter retention periods or final dispositions. Formal amendments are approved by the Chief Records Officer, and must complete the public consultation process and receive recommendation from IMAC.

**Formal amendments** may include:

- Adding or removing primaries and/or secondaries
- Modifications to total retention time
- Adding a new System Overview
- Changes to final disposition(s)
- Changes to approved archival appraisal criteria, e.g. SR criteria
- Changes to the legislation(s)

A **formal amendment** is required when:

- There is no existing schedule coverage for the information (including data and records) in question
- The current schedule is a draft rather than an approved schedule
- The records are not captured within an existing approved schedule, the *Administrative Records Classification System* or a Special Schedule
- An existing *ORCS* is superseded or obsolete in its entirety

*If you are doing a formal amendment, most of the steps in this handbook will apply.*

# Introduction & Overview



## 3. New *ORCS*

If there is a significant gap in information schedule coverage in a ministry, for example a division or branch does not have an approved *ORCS*, a new *ORCS* may be needed.

New *ORCS* can take 18 months to two years, depending on the scope and complexity of the program area records, and will undergo review by the archivist, a branch executive and a legal advisor before being submitted for public consultation and finally IMAC and Chief Records Officer approval.

**New *ORCS*** development will include:

- Developing new primaries and secondaries
- Establishing new retention and disposition schedules
- Writing system overviews
- Following a standardized *ORCS* format

**A new *ORCS*** is required when:

- A new program area is added to the organization that generates new records not covered by *ARCS*, Special Schedules or an existing *ORCS*
- An established program area has never had an approved *ORCS* and has operational records not covered by *ARCS* or Special Schedules
- A draft information schedule that has never been formalized or approved is in use

*If you are developing a new ORCS, all the steps in this handbook will apply.*

# Introduction & Overview



**What types of changes qualify as administrative amendments?**

- Active and semi-active retentions are redistributed without altering the combined retention period (e.g. FY+1y becomes CY+1y; FY+1y 6y DE becomes FY+2y 5y DE)
- Changes to wording of SR, FR and DE notes, without altering the approved final disposition
- Secondary covered by an older schedule is split into two because it covers paper and electronic records with differing retention schedules
- Existing primaries or secondaries are closed when replaced by newly developed or formally amended alternative schedule(s). The retention periods and final dispositions in the alternate schedule(s) may differ from the original schedule.
- Primary and/or secondary title changes (for clarity, or to meet character-length constraints)
- Scope notes, qualifiers, and/or explanatory notes wording changed or added (e.g. a new explanatory note identifying a new OAN)
- Changes to SR criteria (depending on the nature of the criteria)
- Existing SR secondary is split into two that are DE and FR, or SR and FR, reflecting the former SR criteria
- Systems section updates
- New appendix (e.g. list of file codes for use under a secondary)
- New *ORCS* title

For more information about information schedule amendments and development, contact your Government Records Officer.

# Introduction & Overview



## Stages in the Development Process

## *Preparation*

**Assess Readiness**

Contact your ministry's GRO to review your program area's needs.

Complete an Information Schedule Development Request and submit it to your GRO, who will present your request to the GRS Prioritization Committee on your behalf.

**Project Initiation**

Present the proposed development project plan at a kick-off meeting with stakeholders.

Obtain endorsement for the project from the project sponsor and the executive on the Project Charter.

Obtain schedule number for the *ORCS* from GRS archivist.

Decide on title and acronym and ask your GRS archivist to register the *ORCS*.

**Background Research**

Review the indented Organizational Chart (IOC) for the *ORCS* program area to help you to understand the divisional levels of the organization in order to classify and evaluate the records. If your program area does not have a current IOC available, request one from your GRO.

Review information about the records: Ongoing Accession Numbers (OANs), draft schedules, one-time schedules, and GRS reports to understand the current state of the records of your program area.

Review the statutes and regulations that are identified in the program documentation to determine if they define retention periods, restrictions, and limitations for records in the program area. Also review strategic plans, annual reports and other program documentation to familiarize yourself with the work of the organization, its statutory mandate, and its main functions.

# Introduction & Overview



## *Development*

### Fieldwork and Program Analysis

Review and analyze recordkeeping systems for the program area .

Identify subject matter experts (SMEs).

Prepare questions for SME interviews.

Interview SMEs to learn about their business functions and the types of records that are produced to support those functions.

### Schedule Drafting

Build a classification framework for the *ORCS* using the information gathered from your background research, recordkeeping system(s) analysis, and SME interviews.

Share your drafts with the SMEs for their review and feedback and make changes as required.

Share your latest drafts with your GRO and GRS archivist throughout the drafting process for review and feedback.

Keep the Project Sponsor, Client Lead, GRO, and archivist informed of your progress via status reports.

### Records Appraisal

Submit the first draft to your GRS archivist for their review of format and content standards.

Assist GRS archivist to meet with SMEs and review the records so that they can conduct the archival appraisal. Incorporate GRS archivist appraisal statements into the draft.

Consult with GRS archivist on how to prepare the *ORCS* executive summary.

Submit draft with archival appraisal statements to the GRS archivist for review.

# Introduction & Overview



## *Finalizing*

*Between each step in the review, incorporate recommended changes and, if necessary, inform prior reviewers of significant changes. Keep a good record of what was changed in the draft and why.*

**Sponsor Review**

Submit the archivist-approved draft to the Project Sponsor for review and approval.

**Legal Review**

Prepare an *ORCS* classification and retention summary report and submit it and the draft to the program area's appointed lawyer through the Legal Services Branch with the Ministry of the Attorney General. The lawyer will provide feedback regarding legal risks and/or other issues that were not captured and/or considered during development.

**GRS Review**

Submit the *ORCS* that has been approved by the Project Sponsor and Legal Services to the GRO.

Submit the GRO approved *ORCS* draft to the director of the archival team for review and feedback.

Obtain the endorsement of archivist, Project Sponsor and Director.

**Public Consultation**

Notify the Secretary for the Information Management Advisory Committee (IMAC) that the draft is approved and ready for public consultation.

Submit *ORCS* to GRO to be posted to the GRS website for public consultation.

At the end of the consultation period, a GRS designate will inform you of any comments made and whether the *ORCS* is ready to go to IMAC.

# Introduction & Overview



## *Approval*

### IMAC Preparation and Approval

Get date of IMAC meeting from GRO.

Prepare *ORCS* package for IMAC members. Submit package to IMAC Secretary two weeks prior to the meeting.

Prepare IMAC presentation.

Attend the IMAC meeting and present *ORCS*.

IMAC will either recommend to the Chief Records Officer (CRO) that the *ORCS* be approved, or they will recommend changes and/or clarifications to be made to the *ORCS* before it can move on to the CRO.

### CRO Approval

GRS designate will submit final draft of the *ORCS*, along with IMAC's recommendations, to the CRO for approval.

The CRO reviews the final draft, and will either approve the *ORCS*, or will ask that changes and/or clarifications be made to the *ORCS* before it can be approved.

Once the CRO approves, the IMAC Secretary notifies all parties of the approval, copying the GRO and archivist on the notification.

GRS archivist updates ARIS to indicate that schedule is approved.

### Publication and Project Wrap-up

Prepare the approved version of the *ORCS* and submit it to your GRS designate to be published on the GRS website.

Complete a knowledge transfer document, as well as any other documentation that may be helpful for GRS to have regarding the project. Submit these to GRO for preservation.

# Preparation and Learning Resources

Before moving further with your Information Schedule development or amendment please familiarize yourself with the GRS Learning site.

Here you will find important links and information pertaining to records management courses such as:

- IM 112: Records Management Foundations
- Records Management: Administrative Practices
- Digital Recordkeeping: Developing Organizational Excellence
- Email Organization

In addition to these courses you will also find recordings of previous webinars presented during Community of Practice Sessions. If you are interested in registering for upcoming COP sessions that information is available to you as well.

Happy Learning!

# Assess Readiness



Developer consults with GRO to assess schedule development needs.

# Requesting a New *ORCS* or Amendment

## Initiate the Request Process

Contact your Government Records Officer (GRO) to request the development of a new *ORCS* or to amend an existing *ORCS*. Requests can also emerge as a result of your ministry's ongoing engagement with your GRO as they work to support your program area's record management needs.

Your GRO will discuss the following considerations with you to determine the need for a new *ORCS* or amendment:

- the type, complexity, and volume of existing and future records;
- if the records can be scheduled under the Administrative Records Classification System (*ARCS*);
- if the records are covered by an existing *ORCS*, or if there is a draft *ORCS* created for your program area;
- if the request being made is part of a larger initiative (e.g. new program area, existing gaps, change of recordkeeping platform);
- if there are any potential barriers to development, such as resource availability and staff;
- timing of the project: are there changes coming in your program area that may affect the request for and/or implementation of the new *ORCS* or amendment?

Your GRO will consider other factors related to development, such as the types of recordkeeping systems currently being used within your program area (e.g. LAN, EDRMS), the level of executive support, and the resources available within the program area to dedicate towards this project.

# Assess Readiness



## Submit a Formal Request

If a new or an amended *ORCS* is required, complete an Information Schedule Request Form and submit it to the GRO who will present the request to the GRS Prioritization Committee on your behalf. Upon approval, a GRS archivist will be assigned to support the *ORCS* development/amendment.

***NOTE:*** *Your ministry GRO will continue to support you throughout the ORCS development/amendment process. The attached checklist will allow the program area to organise its records in preparation for initiating the request process. Download a printable version here (PDF, 3 pages):*

**ORCS or Amendment Request Checklist**

**Ministry:** _ **Client name:** _

**Division/Branch:** **Client Job Title:**

**Government Records Officer:**

1. Have you identified the records' functions that need a schedule, including type, complexity, and volume of existing and future records?
   - ☐ Yes
   - ☐ No
2. Are your records classifiable under ARCS?
   - ☐ Yes
   - ☐ No

   If yes, please specify:
3. Are your records covered by an existing ORCS?
   - ☐ Yes
   - ☐ No

   If yes, please specify:
4. Does your program area have a draft ORCS?
   - ☐ Yes
   - ☐ No

   If yes, please specify:
5. Are your records covered by an existing Special Schedule?
   - ☐ Yes
   - ☐ No

   If yes, please specify:
6. Is this a new program area for your ministry?
   - ☐ Yes
   - ☐ No

   If yes, please specify:

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## Assess Readiness



# Prioritization of *ORCS* Development Requests

The *Information Management Act* (IMA) requires ministries and designated public sector organizations to hold, transfer, archive, and dispose of information in accordance with an Information Schedule. Information Schedules must be approved and published by the Chief Records Officer unless they are court Information Schedules. After the IMA was brought into force there was increased interest from ministries to have an approved Information Schedule in place.

### GRS Prioritization Committee

In order to best respond to the increased number of requests for Information Schedules, the Government Records Service (GRS) established the GRS Prioritization Committee. The purpose of the Prioritization Committee is to process and evaluate received requests for new *ORCS* and amendments to existing *ORCS* and to ensure:

- The process for requesting a new or amended *ORCS* is clear and transparent for GRS clients;
- GRS has a documented, fair and, impartial internal process for assigning resources to *ORCS* projects;
- GRS clearly communicates the respective roles and responsibilities in an *ORCS* development project, including what services GRS will provide, and the resource commitment our clients can expect; and
- GRS is using its resources to their maximum capacity.

The Prioritization Committee is comprised of three GRS Directors and its Executive Director who meet monthly. In addition to reviewing request for Information Schedules, the Prioritization Committee has expanded to include requests for the implementation of government's standard EDRMS Content Manager software.

### How Prioritization is Determined

Your Government Records Officer (GRO) will submit the completed Information Schedule Request Form that was prepared in consultation with you to the Manager, Client Services requesting it be brought forward to the Prioritization Committee.

The Director, Information Solutions and Transformation, or their designate, will present the request to the Prioritization Committee along with their support for it to be added to the list for development.

# Assess Readiness



## Prioritization Process

The prioritization process consists of five steps:

1. Schedule need identified: Work with your ministry's GRO to refine your request and clarify needs.
2. Schedule requested: Work with your ministry's GRO to complete the Information Schedule Request Form and when complete, the GRO will submit it to the GRS.
3. GRS reviews request: Your request is reviewed and analyzed by your GRO and client service manager prior to submission to the Prioritization Committee, where they may highlight considerations such as those listed below.
4. Committee review: Your request is reviewed by the Prioritization Committee and is assigned priority based on set criteria and considerations and is then weighed against other existing requests. GRS maintains the listing of all submissions reviewed that is monitored until schedules are developed, approved, and implemented. Your GRO will advise you when your submission will be reviewed and the results of the same.
5. Developer assigned: Concluding the process, a GRS archivist is assigned based on their availability to support you over the course of your new *ORCS* or amendment development and will contact you to initiate the project.

**The following are examples of criteria considered during steps three and four of the prioritization process:**

- Legislative requirements or new legislation
- How the request fits into the ministry's broader information management initiatives
- Existing *ORCS* coverage for the ministry
- Volume of records in offsite or electronic storage
- Cost savings to the ministry
- Being developed by GRS or ministry developer
- Reputational risk to government

# Project Initiation



## Starting the *ORCS* Development Process

1. Present the proposed development project plan at a kick-off meeting with stakeholders.
   - This will be an opportunity to discuss the project charter and ensure everyone understands what is involved in the development process and their roles and responsibilities.
   - It is also an opportunity for stakeholders to ask questions of the developer and GRS representatives in attendance.
2. Obtain endorsement for the project from the project sponsor and the Executive on the Project Charter.
   - This may occur at the end of the meeting if there is consensus on the charter, or the client may want to review it outside of the meeting and send it afterward.
   - Be sure to confirm a due date for the endorsements to ensure the project is not stalled from the start while you wait for signatures.
3. Assign an appropriate title to the *ORCS* and a four-letter acronym for it.
   - The title should describe the function of the program area the *ORCS* will cover. For example, the *ORCS* used by the Income Taxation Branch is called *Income Taxation ORCS*, and the *ORCS* used by the Legal Services Branch is called *Barrister and Solicitor Services ORCS*.
   - The acronym is typically constructed out of the initials of the *ORCS* title, with the remaining letters made up of the letters following the last word of the title. For example, the *Income Taxation ORCS* is ITAX *ORCS*; *Barrister and Solicitor Services ORCS* is BSSE *ORCS*.
4. Obtain a schedule number for the *ORCS*.
   - To obtain a schedule number, contact your GRS archivist who will assign a schedule number through the Schedule Number Register and add the *ORCS* to the Archival Records Information System (ARIS) operated by GRS.
   - A schedule must be registered with a number to be considered for approval.
   - When requesting a schedule number, provide your archivist with the following information:
     - Title of the *ORCS*
     - Ministry/Branch/Division records that the *ORCS* will apply to
     - Whether it is a new schedule or an amendment to an existing schedule
     - If it is an amendment, provide the current schedule number

# Project Initiation



## What is a Kickoff Meeting?

A kickoff meeting can help to lay the groundwork for a successful *ORCS* development or amendment project. It allows for all parties involved in the development project to come together and discuss the project in person for the first time. It also provides an opportunity to discuss the project charter or other project initiation document, which defines things like roles and responsibilities of each player in the project, and develop a plan going forward, such as establishing milestones, how/when the developer will report their progress to the other players on the team, etc.

The kickoff meeting will largely depend on the scope and size of the *ORCS* development/amendment project, but should, at minimum, include the following individuals:

- Developer
- Ministry Project Lead
- Project Sponsor
- Government Records Officer
- GRS Archivist

The kickoff meeting is also a good opportunity to discuss the logistics of the project, such as arranging LAN access for the developer.

Kickoff meetings will vary from project to project. For example, a small amendment project will have fewer issues to discuss and to work out than a branch-wide schedule being developed from scratch. As a result, the developer will need to use their discretion in determining what information needs to be discussed in these meetings. For larger projects involving several subject matter experts (SMEs), the kickoff meeting provides an opportunity to discuss how the project will be communicated out to the branch.

One suggestion to bring awareness to the branch is to offer a general introduction presentation to branch staff. For many across government, *ORCS* and information schedules are unfamiliar concepts, so this meeting allows the developer a chance to introduce themselves to program area staff, to go over the purpose of the project, timelines, and what staff can expect to see over the course of the project.

View a sample presentation template for a kickoff meeting.

# Project Initiation



## Kickoff Meeting Sample Agenda

*(approx. 45-90 min)*

| ***Presenter*** | ***Item*** | ***Duration*** |
|---|---|---|
| All | Introductions of all the participants, including their job titles and a brief description of the work they do | 5 min. |
| Project Developer | Introductory presentation on *ORCS* Development (optional)<br><br>Topics may include:<br>• What is an *ORCS*?<br>• General records management overview<br>• How records classifications are determined | 10-40 min. (as needed)<br><br>***NOTE****: A GRS Government Records Officer can assist with this portion of the presentation if desired.* |
| Project Developer | Project overview with reference to the Project Charter outlining the purpose, scope, deliverables and dependencies | 15 min. |
| Participants & Developer | Questions and discussion | 15 min. |
| Project Sponsor and ARI Representative | If there is consensus on the Charter, the Project Sponsor and ARI representative sign off on it. | 5 min. |
| Project Developer and Project Sponsor | If there is not consensus, or if the program area would like to review the Charter in detail before signing, it is suggested that the developer will provide an electronic or hard copy of the Charter to the project sponsor at the meeting for review. | 5 min.<br><br>***NOTE****: Assign a due date for changes/endorsement to ensure the project is not stalled from the beginning.* |

# Project Initiation



## What is a Project Charter?

A project charter "formally authorizes the existence of a project, and provides the project manager with the authority to apply organizational resources to the project activities." It establishes the purpose, expectations, risks and dependencies of a project and is to be supported and endorsed by all stakeholders in the project.

An *ORCS* project charter sets the parameters for the project, explaining what is in scope and out of scope. It identifies the major deliverables and risks to achieving them, as well as project dependencies and factors determining success. It also outlines roles and responsibilities of all participants in the project.

### Sections of an *ORCS* Project Charter

#### Purpose

Explain the objective of the project: Is it to develop a new information schedule for a new program area? Or to develop an information schedule for a branch that has been operating without an operational records schedule, but has unique operational records? Or is it an amendment to an existing *ORCS* to update it to accommodate new records or a new program area?

#### Background

This section explains in general what a records classification system is and how it informs an effective records management program. It also reminds clients that they are required by the *Information Management Act* (IMA) to manage their operational records and that the *ORCS* functions as a guiding policy document.

#### Major Deliverable

Define what the finished product will be (e.g. an approved amended *ORCS*; an approved new *ORCS*, etc.).

#### In Scope

Define the parameters of the project based on the current state of the records management program. In scope for all *ORCS* projects are the review, approval and publication of the schedule, and advising on its implementation.

#### Out of Scope

In this section, define related information management tasks that are beyond the scope of the schedule development phase, such as implementation of the schedule in the program area and in EDRMS, reorganizing the LAN, reviewing records systems and practices, and writing or revising policy and procedures guides.

# Project Initiation



## Risk Identification

There are common risks to *ORCS* development, and they should be identified in this section.

Look out for these common risks:

- unresponsive program area staff
- reorganization of the program area
- change of the membership involved in the project
- unforeseen operational priorities which may put the project on hold
- hindered or blocked access to records
- 'scope-creep' that stalls or slows the project because of additional changes or expectations
- missed deadlines on the part of reviewers and the project sponsor

There may be other risks unique to your program area, or some of these risks may not be a consideration for your project. Being aware of risks and advising project participants of the impact of them on the project will help keep the project on track and emphasize the importance of the contributions of all participants.

## Critical Success Factors

In this section, list the common factors that determine the success of an *ORCS* development project:

- executive support and sponsorship
- support of program area staff (subject matter experts)
- ministry lead assigned as project manager who works in liaison with the developer
- access to the records
- availability of and access to SMEs

You may also include other factors unique to your program area that will help your development project succeed.

## Project Dependencies

Describe what the project requires in order to proceed. In most cases, it will require available SMEs and reviewers, as well as established, stable functions in the program area, as the functions will largely determine the classifications in your *ORCS*.

# Project Initiation



## Roles and Responsibilities

Describe the roles and responsibilities that are integral to *ORCS* development, including:

1. Project Sponsor
   - sign off on the project charter
   - communicate to all staff about the start of the project and makes a statement supporting access to records and the dedication of staff time
   - ensure sufficient resources for the project
   - resolve issues
   - endorse the finished schedule

2. Program Area Staff, including SMEs
   - meet with schedule developer
   - explain and describe program activities, process and retention requirements and systems in use

3. *ORCS* Developer
   - initiate and lead kickoff meeting
   - create and deliver the final product
   - identify required resources to project lead (see #5)
   - plan and coordinate all project activities
   - project management
   - status reporting through regular updates to the project lead and GRO [and MRO?] ensure project deliverables conform to standard
   - facilitate approval process and arrange for publication of the approved schedule

4. Archivist
   - advising on development and standards
   - appraisal of records

# Project Initiation



5. Project Lead
   - attend kickoff meeting
   - identify SMEs and resources for *ORCS* developer
   - work with developer to manage issues, decisions, changes and problems
   - report on status, plans and issues of the *ORCS*
   - escalate major issues to project sponsor if necessary
   - prepare and distribute project communications, such as status reports, plans and issues to appropriate audiences
   - support the developer to manage timelines
   - set up interviews and meetings on behalf of the developer

6. Government Records Officer
   - advise *ORCS* developer and program area on ministry records policies and practices
   - participate in or facilitate schedule sign off, and communicate approvals to the Executive Sponsor and Project Lead
   - provide support to the ministry by attending status meetings as requested
   - provide training and guidance to the ministry as requested
   - provide the developer with resources and reports available through the GRS system applications, such as application usage reports, reports on contents of records holdings in offsite storage, volume of records, etc.
   - advise on *ORCS* implementation, LAN reorganization and identifying and applying records schedules to records in storage
   - if the program area has records stored on the government EDRMS application (Content Manager), connect with the GRS EDRMS Team to update data with new or amended schedule information
   - connect with the GRS Training Team to conduct records training for the program area on an as-needed basis (e.g. records basics, or customized branch training)

Some roles may overlap in smaller program areas, and you may have – or be – a Ministry Records Officer who also may be the developer and client lead. Or your program area may contract an out-of-house developer who will require access to government contacts and records, increasing the workload of the Project Lead.

# Project Initiation



### Project Cost

Consideration of all these components will impact the final cost of the project, and before you embark on an information schedule development project, ensure all the resources and funding are in place to see it through to a timely and successful conclusion.

### Endorsements

The Project Sponsor (Executive Lead) and the Director, Archival and Records Initiatives or their designate sign the charter.

Endorsement of the project charter signifies a commitment to information schedule development, acceptance of stated responsibilities and accountabilities, and to the implementation of the schedule when it is approved.

## Project Charter Template

ORCS Development Project Charter (Word template)

# Research and Analysis

*ARCS* and *ORCS* are integrated records classification and scheduling systems that facilitate the efficient and systematic organization, retrieval, storage, and disposition of the government's records. *ARCS* is the government standard for administrative records. *ORCS* are specific to operational records.

Administrative records support functions that are common to all offices, such as the management of facilities, property, material, finance, personnel, and information systems, as well as committee activities, agreement development, contract management, information services, and obtaining legal opinions.

Operational records, however, are unique to each government organization. They support its operations and services in carrying out the functions for which it is responsible according to statute, mandate, or policy.

Because each *ORCS* will reflect the unique functions of the program area it covers, your schedule development will begin with research and analysis into the program area and its records. This is the time to gather all the information you will later use to write your classification system and to develop function-based primaries and secondaries.

Some of this information will be available to you through existing branch resources, such as annual reports, operating plans, or intranet sites. Other information can be found in a range of reports available through GRS. Other details require more active research, including investigating the program area's past and current information holdings, interviewing subject matter experts, and assessing the systems in use for data storage.

# Research and Analysis



## What is Functional Analysis?

Functional analysis examines the business functions and activities of an organization to provide an understanding of what the organization does and how it does it. It enables the end user to better define the context of records that are created and used within an organization.

**Functions, Activities and Records**

**FUNCTIONS** are the main responsibilities of an organization and are carried out to achieve its mandate. They are a high-level look at what an organization does and why it does it. As functions are identified, note that most organizations have general administrative functions and more program-specific operational functions:

- Administrative functions are common to many organizations, such as human resource management, financial management, information technology. The Government of British Columbia schedules these functions under the Administrative Records Classification System (*ARCS*) schedule.
- Operational functions relate to the organization's specific purpose and mandate. The Government of British Columbia schedules these functions under an Operational Records Classification System (*ORCS*).

**ACTIVITIES** are the actions the organization takes to fulfill its mandate. This is what an organization does and how they do it. Several activities are usually associated with each function: e.g. 'financial management' might have activities that include 'auditing', 'budgeting and forecasting', or 'purchasing'. And each activity may consist of further sub-activities or processes: e.g. 'auditing' activity might have sub-activities that include 'audit preparation' and 'audit submission'.

**RECORDS** are the product of activities. They are created or received in the normal course of business and deliberately captured and 'fixed'. They are defined in terms of their essential purpose and value, which is to provide needed evidence of who did what, when, why and how. A records series is a group of records created, received and/or used in a business activity, and maintained together to provide evidence of that activity. For instance:

- case files
- planning/policy files
- board minutes

# Research and Analysis



**Function-based systems are:**

- mapped to an organization's business activities;
- intuitive to records creators because the systems correspond to how they do their jobs, ensuring they will be able to quickly and correctly classify their records and easily retrieve them;
- meaningful to records personnel and archivists because they embody the reason why records are created and used, i.e. they demonstrate the relationships between business activities and the evidence of those activities;
- essential for using EDRMS Content Manager as creators will classify and retrieve records, rather than records staff, so the classification system must be intuitive and correctly applied.

## Understanding Program Area Functions and Activities

Functional analysis provides the basis for classifying the records to be scheduled, and for describing the context and purpose of the records in the schedules themselves.

A high-level survey of organizational functions will provide the foundation for understanding the relationships between the records created by the organization to support its business activities.

Understanding an organization's functions and activities provides the necessary context for understanding its records and how they should be managed.

Survey organizational functions by asking questions such as:

- What is the purpose/mandate of the organization?
- What are the relevant pieces of legislation or regulations that govern its activities?
- Has the organization changed over time? If so, how has it affected the activities that are being performed?

Keep in mind that although division, branch, and program names often change, the functions and activities of government tend to remain relatively stable.

Research for information schedule development should always start with establishing context from written sources and interviews around the mission and mandate of the program area, the functions it performs, and its day-to-day activities and work processes. See 'Background Research: Context of the Records' for more information on establishing context.

## Research and Analysis



# Writing an *ORCS* using Functional Analysis

The Government of British Columbia uses functional analysis when developing and drafting information schedules, including *ORCS*.

To determine the scope of an *ORCS*, look at the diversity and complexity of the programs of your ministry or agency. GRS recommends a program-specific approach rather than writing one large, ministry wide *ORCS* that covers many programs with diverse functions. A functional approach is more efficient to design, approve and maintain, especially in the context of an ever-evolving government structure. This approach also allows for the clear identification of the Office of Primary Responsibility for record series.

The Government of British Columbia uses a block numeric records classification system as the standard for describing its recorded information resources. A block numeric records classification system is based on the assignment of blocks or groups of numbers to represent primary functions performed by a program area and secondaries to represent corresponding activities.

## *ORCS* Standard

Function-based information schedules are the standard for Government Information Schedules. This means your schedule will have the following characteristics:

- it is divided into block-numeric classifications of Primaries (functions) and Secondaries (activities);
- records in each Primary are related either through business transactions, common systems, common purpose or common practice;
- records in each Secondary share the same retention and disposition.

# Research and Analysis



## *ORCS* Structure

Function-based systems are hierarchical in structure:

- Tier 1, the TITLE of the *ORCS*, reflects the organization's overarching mandate.
- Tier 2, SECTIONS of the *ORCS*, reflect the major functional areas in the organization.
- Tier 3, PRIMARIES in the sections, reflect specific functions.
- Tier 4, SECONDARIES in the primaries, reflect the activities that produce the records.

Good function-based classifications have the following characteristics:

- They are derived from business functions and related activities.
- They are precise and unambiguous, to ensure interpretation of information is consistent.
- They are simple, to ensure they are correctly applied.

Here is an example of a function-based classification, taken from the *Barrister and Solicitor ORCS*, schedule 164437, published in 2019:

| ***Level*** | ***Page*** | ***Classification Name/No.*** | ***Description*** |
|---|---|---|---|
| 1: TITLE | p. 1 | *Barrister and Solicitor Operational Records Classification System* | This *ORCS* is used by the Attorney General, Legal Services Branch. They are responsible for providing barrister and solicitor services, including the regulation and conduct for or against the government or a ministry, and the provision of advice to the Lieutenant Governor, Cabinet, and public bodies on matters of the law. |
| 2: SECTION | p. 1-1 | 1 Barrister and Solicitor Services, Primary Numbers 29900-29999 | Providing barrister and solicitor services is the mandate of the branch. |
| 3: PRIMARY | p. 1-6 | 29910 Advice | Providing advice on legal matters in contexts other than litigation is a specific function performed by Barrister and Solicitor Services to meet their mandate. |
| 4: SECONDARY | p. 1-7 | 29910-20 Advice - general | This is an activity that is undertaken to provide general legal advice. |

## Research and Analysis



# Background Research

## Context of the Records

The materials published by ministries and organizations will provide the context for the records you are scheduling.

Context is key to classifying. It is the story of the organization and it illustrates the past and current activities that necessitated the creation of records, and the relationships between records. Understanding the activities and how they relate to each other and the program area will help you determine how to classify the records.

The following are useful sources for understanding the functions and activities of your program area:

- organizational internet and intranet websites
- organizational service plans, strategic plans and annual reports
- legislation, mandate letters and policy statements
- subject matter experts in the program area
- other program area records, such as Privacy Impact Assessments (PIAs), system manuals, and job profiles

### Internet Site

The public-facing organizational Internet site typically gives a high-level overview of the program and may highlight policies, programs, commitments, agreements and other activities that are central to the work of the organization. This is a good way to understand how the organization relates to the broader community: what other organizations it collaborates with and how it is addressing issues of public concern. Some ministries may also provide additional services through their public-facing websites, such as interactive maps, service portals and related resources.

### Intranet Site

The internal Intranet site will often describe the organizational structure in detail and provide a downloadable organizational chart ('org chart'), which will be a useful reference throughout the schedule development process. Note that org charts are frequently updated with staffing changes.

The site may also include internal service plans and reports, links to the principles, legislation and other standards that guide the work of the organization, as well as links to external activities the organization is involved in and other government organizations it collaborates with.

# Research and Analysis



## Service Plans, Strategic Plans and Annual Reports

These publications explain the purpose of the organization, its goals and accomplishments, and provide insight into strategic planning. They can also help you identify the legislation that regulates the organization and gives it the authority to do its work.

Knowing the purpose and objectives of the organization, as well as its operations, will help you isolate key functions and develop classifications.

## Legislation, Mandate Letters and Policy Statements

Understanding and interpreting legislation are important parts of classifying records. Mandates and policies are rooted in legislation and will determine the functions and activities of the organization.

It will be helpful to discuss legislation with program area staff, as they will know which legislation/sections will apply to their records. When you know the titles of the applicable legislation, search the BC Laws catalogue by title, then find the applicable section within the legislation, and study it to determine how it will affect the classification of your program area's records.

## Subject Matter Experts (SMEs)

Consult with those in the program area who are the most involved in actively fulfilling the organizational mandate (e.g. negotiators, directors, analysts) to access additional resources and background on the organization.

Note that at this stage you are not formally interviewing SMEs about the records they create; you are just collecting information to provide context for the records you will be scheduling. You will be better able to ask specific questions about the records after you have established context.

## Other Program Area Records

Other program area internal records can shed light on the functions and activities they perform, such as Privacy Impact Assessments outlining new programs or systems, manuals describing operational systems, and job profiles describing the duties performed by program area staff.

# Research and Analysis



## GRS Resources

### Current or Draft *ORCS*

When starting an *ORCS* project, it is important to determine if there are any versions of the *ORCS* that already exist, either in approved or draft form. While most approved and current *ORCS* are posted on the *ORCS* e-Library website, there are some legacy schedules such as ongoing and one-time schedules that may still be in use that are not posted to the e-library site.

Legacy *ORCS* and drafts can be a good launching pad for starting a development project, especially when the developer meets with subject matter experts – they can discuss what works in the *ORCS*, what doesn't, which sections need to be updated or revised, what records and/or systems are missing, etc.

To determine whether there is a current or draft form of the *ORCS* in the program area for which the *ORCS* is being developed, check the following sources:

- Program area LAN, Content Manager, and/or program library:
  - The best place to start is with the program area itself – ask the Project Sponsor whether there are draft(s) and/or approved schedule(s) and where they are located.
- Government Records Officer
  - Ask the Government Records Officer for any and all related client advisory files related to the *ORCS*.
- ARIS All Status Report
  - The All Status Report lists any information schedules, including ongoing and one-time schedules, associated with the ministry's boxes in off-site storage – these schedules may need to be superseded when the *ORCS* is approved and implemented.
- EDRMS Help
  - If the program area uses Content Manager, check with the EDRMS Help team for file lists and classifications that are being used.

### All Status Report

When creating or amending a program area's *ORCS*, it is important to have a thorough understanding of the types of records the program creates and manages over the course of doing business. One report that can assist with this is the All Status Report, which is generated by the Archival Records Information System (ARIS), a program utilized by Government Records Service to manage the storage and disposition of government's offsite holdings.

# Research and Analysis



The All Status Report can assist developers in determining the following:

- volume of records in boxes that may be impacted by the *ORCS* project
- terminology used by the program area when sending records offsite
- if the program area has any ongoing or one-time schedules, and if they do, the status of these schedules
- whether any of the records listed under the management units have been placed on hold or have been returned to the client – this requires further investigation into why the records were placed on hold or returned
- the types of *ARCS* classifications that the program uses, and whether the program area has been using *ARCS* to cover operational records
- if the program area has been sending boxes off-site under an *ORCS* -01 general secondary – this is typically an indication that there needs to be a more specific secondary in their *ORCS*.

To obtain a copy of the All Status Report, contact your Government Records Officer.

For more information about the All Status Report and how to read it, see the All Status Report Guide.

### Indented Organization Chart

The Indented Organization Chart (aka the “Indented Org Chart” or “IOC”) is another ARIS generated report that may be useful for *ORCS* development/amendment projects. IOCs have a similar structure to ministry organization charts, but they have a different purpose: they are used primarily to determine which organizational units are currently or have historically stored records off-site, and how the custody of those records may have changed over time. IOCs are not meant to replace ministry organization charts.

To obtain a copy of the most recent IOC, contact your Government Records Officer.

For more information about the IOC and how to read it, see the IOC Guide.

See the Developer’s Checklist: All Status Report and Indented Org Chart for more ways to use these reports.

# Fieldwork

## Interviewing Subject Matter Experts (SMEs)

After conducting research into the program area and analyzing the context of the records to identify functions and activities, developers should arrange to interview program area staff, also known as Subject Matter Experts (SMEs). SMEs play a pivotal role in the *ORCS* Development process as they are experts in the work that they do and can explain which functions generate which types of records, how the records are currently organized, and how they are used.

SMEs assist the developer in determining which records have reference and long-term value for the program area, and which records are useful or relevant only for a short time. This information will assist the developer when grouping the records into secondary classifications and will aide the archivist when they are conducting archival appraisal.

Developers should contact the project Client Lead to obtain a list of suitable SMEs who have expertise in the program area functions. Ideally, the SMEs will provide insight not only into the current state of the program area, but also insights into its history and records management culture.

When approaching the Client Lead for contact information for prospective interviewees, ask to speak with those employees who:

- have a long history with the program area and its records;
- are interested in records management and can talk about how the program area organizes and prioritises records;
- can explain their function in the program area and how it relates to other functions inside or outside the program area or ministry;
- are concerned about introducing a new information schedule and the potential impact on current business practices.

Track the interviews in an Excel spreadsheet that includes columns for the name of the SME, their contact information, the meeting date, the questions posed to them, and key points and outcomes from the meetings. Developers may need to return to the spreadsheet several times during development of the *ORCS* as new questions arise and follow-up meetings are needed.

Template for SME Interview Tracking (Excel)

# Research and Analysis



To initiate the SME interview, developers should send an email, introducing themselves if they are new to the program area, as well as explaining the work they are doing and the purpose of the meeting. Schedule the interview for 30 minutes to an hour.

**Sample Email: SME Interview Request**

Dear <name of SME>,

My name is George and I'm a Records Management Analyst developing an information schedule for the records of <name of program area>.

<name of Client Lead> advised me to contact you regarding the records of <functional area>.

Would you be able to meet to discuss the work you do, the types of records you create and how you use them, and how the work relates to the other work of the <program area/ministry>?

I'll book 30 minutes for the meeting, but I can make it an hour if you think we'll need more time.

Thank you for your consideration, [etc.]

## Standard Questions for SMEs

The following pages provide some standard questions to consider when interviewing SMEs. However, it should be noted that the questions posed to the SMEs will be context dependent; some of the questions listed below may not apply in a project, some may be too broad in scope, etc. This list is meant to be a starting point for the developer, and not an exhaustive or authoritative list; developers may adapt the questions and/or come up with their own to ask the SMEs that best suit their needs.

The questions are grouped thematically, and relate to:

1. History of the Program Area,
2. Collaborations or Overlap,
3. Evidence of Decisions and Actions,
4. Records Formats, and
5. Arrangement.

# Research and Analysis



## *1. History of the Program Area*

**Are there earlier forms of these records that documented the same function or activity?**

The form of the records can change over time, and it may be necessary to account for historical records keeping in the creating office.

*E.g. At one time, the information may have been maintained in bound ledgers, then later on in file folders, and today may be maintained in computer data files. If all three forms still exist in the creating office, they all need to be accounted for in the ORCS, not just the current form or media.*

**Were the functions that are performed by this office or agency previously performed somewhere else in the government?**

If yes, where were they performed? Identify any significant structural or program differences in the way that the previous agency performed the functions and the way they are performed now. The history of the functions related to the records will help the developer to determine the value of the records.

**Does the office or agency have custody of the records from the office or agency that previously performed the functions, or do the staff know where the records are?**

This information is useful for determining if these are the only records documenting the functions, or if related records are found elsewhere.

**What other information can you supply about the history of the records and the functions they document?**

As with other questions in this section, this kind of history is useful in determining the value of the records. It also aids in explaining the arrangement and content of the records

# Research and Analysis



## *2. Collaborations or Overlap*

**Are there any current functional links to other parts of the ministry/agency or elsewhere in government?**

The functional linkages related to the records help to determine the value of the records. The more important the linkages, the more valuable the records may be. For example:

- *This ORCS covers records created and received since 1967, when BCHMC was established. Previous records relating to the functions documented in this ORCS were created under housing programs funded by the Provincial Secretary from 1947 on. (BC Archives accessions 90-1584, 90-1589, and 90-1882)*
- *For records relating to the disposition of the University Endowment Lands through sale and lease, as well as the relationships that the University Endowment Lands Administration has with the Provincial Government beginning in 1910, refer to records of the office of the Surveyor General with the Ministry of Environment, Lands and Parks. For records regarding the relationship with the Provincial Government since 1986, see the records of the Ministry of Municipal Affairs.*

# Research and Analysis



## *3. Evidence of Decisions and Actions*

**Which records contain records of decision-making?**

If the files document decision-making, additional questions to ask are:

- What type and level of decisions?
- What is the significance and effect of the decisions?
- What groups of people, within and outside of the government, are involved in or affected by the decisions?
- What is the process in place for ensuring the decision has been documented?

Records that document decision-making are important for ensuring government accountability and for documenting government activity. If a decision affects general government operations, it is likely to be more significant than a decision that only relates to one or a few individuals.

*E.g. Briefing notes with decisions attached, or case files containing decisions made or actions taken, are likely to be valuable enough for retention in the government archives.*

**Would the records be an important resource for researchers interested in understanding how the program worked?**

The primary responsibility of the government archives is to document the functions and activities of the provincial government. Records that show how departments, agencies, or branches operate are important to achieving this aim.

*E.g. Case files that demonstrate the process by which individuals receive service from a ministry may have enough permanent value to warrant selective or full retention in the government archives.*

**Do the records covered by this secondary contain information that provides evidence of actions that may have long-term ramifications (e.g. environmental or health consequences)?**

Some records may have long-term evidential values that are different from their current primary values.

*E.g. records relating to possible claims against government, such as records of a program that regulates pesticide spraying*

# Research and Analysis



## *4. Records Formats*

**In what media do the records exist (are they paper, electronic, or microfilm; is the information duplicated in more than one medium)?**

It is necessary to schedule all forms of records and all media, and each type of media may have special conservation and retention considerations.

*E.g. A certain case file series may be in both paper and electronic format. In such a case both media need to be specifically classified, scheduled and appraised in the ORCS, and their relationship needs to be clarified within the ORCS and the Systems Overview.*

**Are there "special media" among the records in this secondary?**

"Special media" include non-textual records such as:

- photographs
- sound recordings
- motion picture films, video recordings
- pictorial records, paintings, prints
- maps, plans, blueprints, architectural drawings

Special media records need to be identified for the following reasons:

- to ensure that their special preservation and access needs can be addressed,
- to document the context (including related textual records) of the special media records, and
- to clarify that a particular special media record is to be scheduled using the *ORCS* rather than special schedule 102905-Special Media Records, 112908-Record Copies of Published Maps, or *ARCS*.

***NOTE***: *Records should be classified according to their content rather than format to retain the context of the record.*

When developing primary classifications, developers should identify special media records and specifically name them as being a component of a primary. This can be done either in the primary scope note as part of the "Includes" statement, or in an "includes" qualifier under the relevant secondary.

*E.g. "Includes textual records, architectural drawings, and photographs."*

See Appendix: Considerations for Special Media Records for more information.

# Research and Analysis



## *5. Arrangement*

**How are the records arranged (e.g. alphabetically, numerically)?**

Knowing this information will help you understand the organization of the records and how they are used. This information is particularly important for case files, as these tend to generate the highest volume of records and are most likely to be selectively retained, i.e. some records under the classification will be destroyed at the end of their lifecycle, and some will be fully retained and transferred to the government archives.

**Are records created and filed in a central office or regional offices?**

If regional offices:

a) Do all regional offices arrange or file the records in the same way?

b) Which office (central or regional) is the Office of Primary Responsibility (OPR) for the records?

Knowing who creates and files the records is an important part of understanding them well enough to determine if they are worth preserving in the government archives.

If the same series is being arranged different ways by different offices, this makes selecting and searching them more complicated.

*E.g. Records created and filed by regional offices. Office X arranges them alphabetically, Office Y arranges them chronologically.*

# Research and Analysis



## Recording Subject Matter Expert (SME) Interviews

As established, interviewing SMEs for *ORCS* development/amendment projects is an essential step as they are experts in the work that they do, and they can best explain how they use and manage the records in their program area. However, SME interviews can cover a lot of information at once. It may be useful to record the sessions so that information gathered in these interviews can be used for analysis and reference during the drafting and review process.

If you plan to record the interviews, you will need to ensure you provide a collection notice as per the *Freedom of Information and Protection of Privacy Act*. It is important to contact your Ministry Privacy Officer prior to recording interviews, and to request a collection notice.

EXAMPLE OF COLLECTION NOTICE

> This information is collected by [MINISTRY NAME] pursuant to section 26(c) of the *Freedom of Information and Protection of Privacy Act* and will be used for the purpose of developing/amending the [name of the *ORCS*]. Should you have any questions about the collection of this personal information, please contact your ministry privacy officer.
>
> Contact information:
>
> [NAME AND TITLE OF PRIVACY OFFICER], [NAME OF DIVISION/BRANCH]
> PO Box 9000 STN Prov. Govt.
> Victoria, B.C.
> V8W 9V7
> Phone: [MINISTRY PRIVACY OFFICER/CONTACT PHONE NUMBER]
> Email: [MINISTRY PRIVACY OFFICER/CONTACT EMAIL]

After receiving approval to use recording within your meetings, ask the SME(s) just prior to starting the interview if they consent to being recorded. If they do not wish for the meeting to be recorded, it is advised you do not record the interview, and continue the interview using other means of retaining information.

# Research and Analysis



## Describing Information Systems

System Overviews are a core component of *ORCS*, and provide a high-level description of functions and information content of systems used within a program area. They set out the criteria that system administrators can use to develop system purge or digital archives transfer routines for data, records, and other information that is covered by an *ORCS*, and retained in operational systems.

**Information System** (RIM Glossary): *A system (involving people, machines, methods of organization, and procedures) that provides input, storage, processing, communications, output, and control functions in relation to information and data. This term is normally used to describe electronic systems, including data processing facilities, database administration, hardware, and software that contain electronic records.*

In practice this can mean anything from a database, geographical information system, dynamic websites or intranet portals.

***NOTE:** Only systems that **store** data require a system overview.*

In order to describe information systems, developers need to gather some essential information about those used by the program area.

Program area staff who use the system are a key source for determining retention period requirements, understanding linkages between paper files and data retained in the system, and for understanding historical details associated with the system.

Data architects, system administrators, business analysts and other IT specialists are another key source. They will know whether the system has the capacity to purge data and help you identify purge criteria that are automatable and implementable.

Obtain contact information for Data Architects from the program area and work with them to develop the system overview. Prior to meeting with the Data Architect, ask them to send you any relevant system documentation that will help you understand the system (e.g. system manuals, business requirement documents, etc.). Include a sample system overview from an approved *ORCS* and indicate that you will need to complete a similar overview for the system in question. This helps them to understand the type of information that you'll require.

# Research and Analysis



For each information system being researched, identify:

- System title and acronym (and any alternate names, acronyms if applicable)
- Creating Agency – which program area manages the data in the system?
- Date of System Description
- Purpose – briefly describes the system, listing the functions/business purpose that it serves within the program area
- Information Content – summarizes and provides examples of the type of data contained within the system. This will connect to the data retention plan, as shown below. Your summary should resemble the descriptions of the relevant classifications that will appear in the *ORCS*.
- Inputs – how is information entered and by whom? Is it imported from another system?
- Processes – how is information incorporated into the system and how is it used and changed in the course of carrying out the business function.?
- Outputs – what type of outputs are generated by the system, is the data exported to other systems, are data extracts made publicly available (e.g. via the BC Data Catalogue), and if so, on what timetable?
- Digital Archives Considerations – if applicable, to be determined by the archivist
- Historical notes, if necessary – predecessor systems and whether data was partially or fully migrated to the current system. Are there other historical details that may not be covered elsewhere in the system overview or in the body of the *ORCS* (e.g. paper-based processes replaced by the system) that shed light on the evolving recordkeeping practices of the program?
- Data retention plan – how long the data is to be retained before it is either destroyed or transferred to the digital archives?

This preliminary research will provide you with the material necessary to write the System Section in your *ORCS*, including developing data retention plans.

**A *data retention plan* maps data, records and other information in a system to classifications in the *ORCS* and describes, based on the retention periods indicated in those classifications, how long it is to be kept before it's eligible to be destroyed or transferred to the digital archives.**

If you need additional guidance on completing the System Section please contact GRS.

# Research and Analysis



## Sample System Overview

*(download as pdf here)*

DRAFT

In accordance with the *Information Management Act* (SBC 2015, c. 27), DO NOT DESTROY ANY RECORDS covered by this information schedule until it has been approved. For more information consult your Government Records Officer.

Sample System Overview

**DATA INNOVATION PROGRAM TASK TRACKING (DTTS)**

**SYSTEM OVERVIEW**

**Creating Agency**
Ministry of Citizens' Services
Office of the Chief Information Officer
Digital Platforms and Data Division
Data Systems and Services Branch

**Date of System Description**
April 8, 2021

**Purpose**
The Data Innovation Program Task Tracking System (DTTS) uses JIRA, a cloud based software by Atlassian. It is an agile project management and collaboration tool customized and used by staff to plan and track tasks to support operational policy development, system development, data acquisition and ingestion, and specific population level analytics projects. DTTS enables the following:

- ability to measure and report on performance levels within the team and service partners and to present those metrics in customized dashboards and search filters;
- ability to manage client relationships, track which products or services are used, and capture stakeholder interactions and decisions;
- ability to set work priorities and assign resources based on objectives and key results (OKRs);
- ability to plan and manage capacity for resources based on predictive sizing of work;
- ability to set target completion dates and track task dependencies across teams;
- enables transparency and cross collaboration with partners and service providers; and
- provides a historical snapshot of iterative collaboration on issues and documents by embedding communication within DTTS instead of person dependent email tools such as Outlook.

**Information Content**
DTTS contains information on clients, data ingestion workflows, analytics project workflows, system development activities, and policy development.

Examples of client information includes: organization names, decision contacts, business contacts, technical contacts, products used, and a history of services provided.

Examples of data ingestion information includes: data set titles, version numbers, data providers, agreement dates, transfer dates, validation dates, classification dates, linking dates,

Key to *ARCS/ORCS* Codes and Acronyms

2021-09-10 Schedule: 170472 DIAS *ORCS* SYSTEMS - 1

DRAFT

In accordance with the *Information Management Act* (SBC 2015, c. 27), DO NOT DESTROY ANY RECORDS covered by this information schedule until it has been approved. For more information consult your Government Records Officer.

sample data checks, metadata publishing dates, staff assignments, comments, and decision details. Attachments include: data validation summaries (txt file), and variable classification drafts (xlsx files).

Examples of analytics project information includes: project numbers, project names, data discussion details, data access request approvals, data provision history, onboarding materials for team members, staff assignments, target dates, and completion dates.

Also includes system and policy development related information.

**Inputs, Processes, and Outputs**
Inputs and processes:

DIP staff create a new ticket in DTTS to initiate a new project in the system and is assigned tasks and workflows throughout the project's lifecycle. The tasks are auto assigned to a ticket number, and are prioritized as low, medium, high, or critical. Sub tasks are created and assigned where workflows are complex and involve multiple steps or assignees.

Outputs:

DTTS generates automatic email notifications to stakeholders monitoring task completions, metrics related to ticket assignments and status, virtual dashboards and planning calendars, and ad-hoc customizable reports generated by staff.

**Historical Notes**
DTTS was created in 2018 and customized to support the key events and integrated program products and service workflows.

**DATA INNOVATION PROGRAM TASK TRACKING (DTTS)**

**DATA RETENTION PLAN**

| Data Description | Data Retention Period |
|---|---|
| Data management registries and tracking<br>Classification 36000-10 | Destroy when no longer required for planning, tracking, reporting, and audit purposes. |

For additional classification details, including retention rationales, click on the links above.
For descriptions of system related records (e.g. back-up data, log files, and transitory electronic data processing (EDP) records), see the System Section Primer.

END OF OVERVIEW

Key to *ARCS/ORCS* Codes and Acronyms

2021-09-10 Schedule: 170472 DIAS *ORCS* SYSTEMS - 2

## Schedule Drafting



# Schedule Drafting

## Introduction to Drafting Schedules

The Schedule Drafting section of the Developer's Handbook updates and replaces the *Standard ORCS Kit*, the procedural manual used by *ORCS* developers, both internal and external to government, when developing and amending an *ORCS*. This section provides information and instructions on drafting an *ORCS* that meets the government-wide standards required for approval by the Chief Records Officer under the *Information Management Act* (SBC 2015, c. 27).

The *ORCS* standards are embedded within the *ORCS* format templates. The most recent versions may be downloaded here (.zip file). There are templates for every component of the *ORCS*; only use the templates relevant to your project.

The format templates provide basic instruction on the type of information to be included in each component/element of the *ORCS*. Developers will update text as indicated on the templates. For more contextual information about each component of the *ORCS*, developers should consult the appropriate chapter of the Handbook.

### 2020 *ORCS* Standard

The *ORCS* standard is a set of requirements for consistency and quality that all *ORCS* must meet. These standards are embedded in common templates that developers must use, and are supported by procedures and practices that developers must follow.

The *ORCS* standard has gone through many updates since information schedules were implemented 30 years ago. The standard was last revised in 2020 and the *ORCS* templates were updated in 2020 and 2021 to reflect these changes.

When drafting or amending an *ORCS*, be mindful when consulting *ORCS* published on the *ORCS* e-library, as *ORCS* standards and templates have changed throughout the years. Ensure that you are using the latest version of the templates when writing and formatting your *ORCS*.

# Schedule Drafting



## *ORCS* at a Glance

| ***PART*** | ***RESPONSIBILITY*** | ***DEVELOPER'S HANDBOOK REFERENCE*** |
|---|---|---|
| Cover Artwork | GRS | Introduction to Drafting Schedules |
| Table of Contents | ministry/agency | Introduction to Drafting Schedules |
| Useful Information | GRS | Introduction to Drafting Schedules |
| Executive Summary | ministry/agency | Section Instructions |
| Section Overview and Table of Contents | ministry/agency | Section Instructions |
| Primary sections | ministry/agency | Section Instructions |
| Systems Overview section | ministry/agency | Section Instructions |
| Appendices | ministry/agency | *ORCS* Amendments |

The table above outlines all the parts of an *ORCS* in the order they appear in a completed *ORCS* document. The table indicates who is responsible for each part (i.e. the ministry developer, GRS) and which chapter of the Developer's Handbook provides guidance on developing or acquiring that part. See the following sections for more details on each of these parts and their content.

> ***NOTE**: Glossaries and indexes which were previously part of published ORCS are no longer included. Please refer to the Records & Information Management (RIM) Manual [Glossary of Terms](#) on the GRS website if needed.*

# Schedule Drafting



## *ORCS* Core Components

### *ORCS* Cover Artwork

Every ORCS, whether new or an amendment, contains cover artwork. Contact GRS for a copy.

### *ORCS* Table of Contents

The table of contents identifies all sections in the *ORCS*, including the appendices, for the purpose of guiding *ORCS* users to the appropriate section. It is a required part of the first draft of the *ORCS*.

### Useful Information

The Useful Information page provides a key to commonly used schedule codes and acronyms. It also provides links to additional resources dedicated to assisting end users in managing their records and information. This information may be useful to consult or point clients towards to learn more about the *ORCS* development process.

### Executive Summary

The Executive Summary provides a high-level summary of the *ORCS*. For amendments, arrange the summaries in chronological order, from the newest to the oldest.

### *ORCS* Sections

*ORCS* sections make up most of an *ORCS*. Sections contain primaries and secondaries, providing the classifications and retention schedules of records within a program area.

Arrange the sections of the *ORCS* in the following order:

- Title page and overview
- Table of Contents
- Primaries

### Systems Section

The systems section provides information about managing data and systems used within a program area.

Arrange the parts of the System Section in the following order:

- Systems Section Table of Contents
- Systems Section Primer
- System Overviews

# Schedule Drafting



### Appendices (if applicable)

Include appendices when required, e.g. Summary of Changes (also referred to as Concordance Tables, Summary of Amendments, etc.).

### Amendments

For amendments, only update the parts that were amended. Include the following parts in the *ORCS*:

- Register of Amendments (place after *ORCS* Table of Contents*)*
- Executive Summary for Amendment
- Summary of Changes (always listed as Appendix A in the Appendices sections)

For more information about these components and the formal amendment process, see *ORCS* Amendment Instructions.

## Style Guide

The purpose of this style guide is to provide general style and formatting standards covering the entire *ORCS*. Every *ORCS* consists of several parts, some of which are similar to those of any manual or published work, while others are unique to *ORCS* (e.g. primary sections and system overviews). The following sections of the Handbook will describe these components and their structure in greater detail.

### General Style Standards

The standards for general style requirements are presented in dictionary form for ease of reference and use.

| | |
|---|---|
| *Acronyms* | Do not include periods in acronyms (for example, use "BC" and "*ORCS*" rather than "B.C." and "O.R.C.S."). Provide the full name or phrase for the first usage of each acronym in a primary, system overview, or other part of the *ORCS*. |
| *Alphabetical order* | Sections, primaries, cross-references, and secondaries should be arranged in alphabetical order, as is standard reference practice. If there is a logical reason to depart from this order, discuss it with your GRS contact. |
| *Bold* | Do not use bolding, except where indicated in the formats. |

# Schedule Drafting



*Capitalization*

Use ALL CAPS only for acronyms and as indicated in the standards.

Use initial caps for job titles:

e.g. Minister; Archivist; Records Officer

Use initial caps when referring to a specific ministry or office:

e.g. Ministry of Finance = the Ministry; Income Taxation Branch = the Branch

Do not use initial caps when referring generically to offices:

e.g. "the branch", "the division", etc.

*Italics*

Use italics when referring to *ORCS*, *ARCS*, legislation, and other published materials. Do not underline these references.

*Legislation cited*

Refer to BC Laws to find the correct name and chapters. All citations must be in full.

- Title (italicized full name of the legislation; if federal legislation is cited, the word "federal" should precede the first statute cited)
- Publication acronym and date (will be RSBC, SBC, or for federal legislation, RSC or SC, followed by a year)
- Chapter number beginning with "c. "(note the space after the period), followed by the number (for federal legislation, the number may include a letter, e.g. "c. C-46")
- If referencing a particular section of the legislation, cite the section as "s. "(note the space after the period) followed by the number
- Punctuation: place all information following the title within parentheses, with the elements separated by commas
- Order: when citing a list of statutes, do so in alphabetical order, but with federal statutes grouped separately from provincial statutes

Examples:

- "... the *Financial Information Act* (RSBC 1996, c. 140), the *Gaming Control Act* (SBC 2002, c. 14), the federal *Criminal Code* (RSC 1985, c. C-46), the *Proceeds of Crime (Money Laundering) and Terrorist Financing Act* (SC 2000, c. 17) ..."
- "Proceeds of crime reports are made to the police in compliance with the *Criminal Code* (RSC 1985, c. C-46, s. 462.3-462.5), which states ...."

*Numbers*

Spell out numbers one to nine. Write out numerals for 10 and above.

# Schedule Drafting



| | |
|---|---|
| *Plain language* | Use familiar words with fewer syllables in preference to complex words. Where specialized terms (often known as jargon) must be used, define them. If one word can replace two or more, use it. |
| *Reference tools* | *Chicago Manual of Style* and *Gage Canadian Dictionary*. |
| *Singulars & plurals* | Use the singular in preference to the plural to modify words in titles (for example, "client case files" not "clients case files"), and elsewhere as appropriate. |
| *Underlining* | Do not underline, or as indicated in the formats. |

## General Formatting Standards

The following format standards are uniform throughout all or most parts of *ORCS*:

- page format
- font and pitch
- header
- footer
- pagination

Format templates for most parts of the *ORCS* can be downloaded here and are illustrated in the following sections. These format templates contain the standard headers, footers, margins, line lengths, etc.

### *Page Format*

Use letter size paper and "portrait" orientation, except Summary of Changes. Print on white paper, double-sided.

### *Font and Pitch*

Use one font for all parts of the *ORCS*. GRS recommends BC Sans, but any similar clean print style, such as Arial or Times New Roman, may also be used.

GRS recommends 11 or 12 type pitch. Use a smaller type pitch for headers and footers, preferably 10 or 11 type pitch. This allows more room on the page for text.

# Schedule Drafting



### *Headers*

There are two standard headers: one for drafts, one for an approved *ORCS*. When the *ORCS* is in draft, use the 'draft header'. Once approved, replace the draft header with the 'approved' header.

### *Footers*

There are two standard footer templates for *ORCS*. Both standards contain the following:

- link to the Key to *ARCS/ORCS* Codes and Acronyms webpage
- date of approval (for approved *ORCS*) or last revision date (for draft *ORCS*)
- schedule number
- *ORCS* acronym
- component and page (i.e. EXEC SUMMARY 1, SECT 2-13, etc.)

For draft *ORCS*, include the amendment number in the footer.

### *Pagination*

All components of an *ORCS* begin with page 1 and the part they fall under. For example, the executive summary would be listed as EXEC 1, etc.

### *ORCS Title and Acronym*

The *ORCS* title should reflect the function of the public body, not the name of the organization (e.g. it is not necessary to include 'Branch', Office, etc.). This is important as names of government bodies change frequently whereas functions typically remain stable.

Acronyms should consist of 4 letters, using the first letter of each word in the title, supplemented with letters form the last word in the title if necessary. This four-character code will be used in ARIS and the EDRMS to identify schedules.

# Schedule Drafting



**Developer consults with archivist as classifications are developed. Size and scope of project may require a series of regular meetings for review.**

# Section Instructions

## *ORCS* Primaries

### Overview

The primary is the basic building block of an *ORCS*. It describes and identifies an operational function that produces records. Primaries include context such as a legislative requirements or policy mandates that establishes government's authority and purpose for carrying out the function.

Primaries are subdivided into secondary classifications, or secondaries. Secondaries usually describe activities that the organization carries out to support the function defined in the primary. The organization of the primaries and secondaries form the classification system of an *ORCS* and other information schedules. Users of an approved *ORCS* will classify records under the appropriate primary and secondary combination, and that classification will determine the retention period and final disposition of those records.

A classification system is logical, hierarchical, and flexible to permit expansion.

*NOTE: Primaries within an ORCS are not used to classify and schedule administrative records, except in very specific circumstances. These records are classified and scheduled in ARCS. Only include administrative records in ORCS when the retention periods or final disposition required for these records vary from those in ARCS. These exceptions must be clearly explained in the ORCS.*

### General Standards for Primaries

*Grouping Records*

When designing a primary structure, less is more. Use broad, function-based classifications, avoid subject-based classifications or becoming too granular. Primaries should reflect the function or activity documented in the records, rather than the structure of the particular office that happens to be responsible at a given point in time. This approach makes it possible for an ORCS to remain robust and current despite government reorganizations, which would not be the case if the classification system was a point-in-time reflection of the organization chart.

Arrange primaries in alphabetical order. If possible, primary titles should not exceed 50 characters, particularly if the program area uses an Enterprise Document and Records Management System (EDRMS), such as Content Manager.

# Schedule Drafting



### *Plain Language*

Use plain language as much as possible, while also accounting for terms typically used by the record creators. Avoid using special terms such as jargon, acronyms, and proper or proprietary. If an acronym is necessary, spell out the term in the first instance in each primary and include the acronym in brackets, then use the acronym throughout the primary.

Use generic rather than specific terminology to refer to the records creator (e.g. the branch vs. Mineral Titles Branch), except in the Office of Primary Responsibility (OPR) statement. This is important as ministry, branch, and division names change frequently in government; using a generic title will ensure that the *ORCS* does not become outdated.

## Sections

A section is a grouping of related primaries. All *ORCS* consist of at least one section, and there is no requirement to have more than one. The choice to have more than one section in an *ORCS* will depend on the breadth of program area's functions and activities. For example, an *ORCS* covering an entire ministry may be divided into several sections to cover the different mandates and functions carried out across that ministry, whereas an *ORCS* covering a branch with one mandate will typically only ever need one section. To determine how many sections an *ORCS* requires, consult GRS.

Sections are assigned a range of five-digit primary numbers unique within the *ORCS*. Each section consists of three parts:

- a section title page
- a section table of contents
- individual primaries

### *Section Title Page*

The section title page includes the section number, title, primary range and scope note.

The section scope note introduces and summarizes the section. Start the section scope note with the phrase "Section [NUMBER] covers records relating to…" and go on to describe the function(s) and activities that are documented in the records classified in the section. Use full sentences.

If there are multiple sections, it is important to clearly distinguish the range of functions and activities covered by each section. Cite all legislation pertinent to the functions covered in the section.

# Schedule Drafting



SECTION TITLE PAGE EXAMPLES

From the *Barrister and Solicitor Services ORCS*:

SECTION 1

BARRISTER AND SOLICITOR SERVICES
PRIMARY NUMBERS
29900 – 29999

Section 1 covers records relating to barrister and solicitor services that the Attorney General provides to the Lieutenant Governor, Cabinet and public bodies in accordance with duties and powers assigned to the office in the *Attorney General Act* (RSBC 1996, c. 22).These services include the regulation and conduct of litigation for or against the government or a ministry, and the provision of advice on matters of law; they do not include legislative counsel services, such as drafting of legislation or regulations, reviewing the authority for proposed regulations and orders in council before they are enacted, or providing registry and repository services. This section furthermore covers records relating to the fulfilment of responsibilities assigned to the Attorney General under the *Escheat Act* (RSBC 1996, c. 120) and the provision of operational support, such as coordinating the appointment of outside counsel and experts, routing service of process documentation received by government, and developing and providing access to collections of research material.

From the *Youth Justice, Forensic and Specialized Intervention Services ORCS*,
an *ORCS* that contains multiple sections:

SECTION 1

COMMON SERVICES
PRIMARY NUMBERS
80000 - 80999

Section 1 covers records that pertain to youth forensic psychiatric, specialized intervention and youth justice services. This includes records relating to: accreditation planning and reporting; policy development and implementation; program planning, evaluation and research; volunteer coordination; special detention programs management; investigations of critical incidents and/or reportable circumstances; and, tracking and statistical analysis.

# Schedule Drafting



SECTION TITLE PAGE EXAMPLES, CONTINUED

*Youth Justice, Forensic and Specialized Intervention Services ORCS*, continued:

SECTION 2

YOUTH FORENSIC PSYCHIATRIC AND SPECIALIZED
INTERVENTION SERVICES
PRIMARY NUMBERS
82000 - 82999

Section 2 covers specialized intervention services (e.g. youth forensic psychiatric services, the Maples Adolescent Treatment Centre, and complex care services). Includes records relating to the provision of court-ordered and court-related assessment and treatment services to youth who are in custody or under community youth justice supervision as a result of their involvement with the criminal justice system pursuant to the federal *Criminal Code* (RSC 1985, c. C-46) and *Youth Criminal Justice Act* (SC 2002, c. 1) and the provincial *Forensic Psychiatry Act* (RSBC 1996, c. 156) and *Youth Justice Act* (SBC 2003, c. 85). This section also covers records relating to the assessment and treatment of children and youth with no criminal justice contact who have been admitted for care under the *Child, Family and Community Service Act* (RSBC 1996, c. 46), *Community Care and Assisted Living Act* (SBC 2002, c. 75) and *Mental Health Act* (RSBC 1996, c. 288). This section also covers the records of the defunct Family Court Centre, which provided independent assessments of children and families in cases of suspected child abuse and neglect which come before the Family Court, pursuant to the *Child, Family and Community Service Act* (RSBC 1996, c. 46).

SECTION 3
YOUTH JUSTICE SERVICES
PRIMARY NUMBERS
83000 – 83999

Section 3 covers records relating to youth justice services, including: the day-to-day operations of youth custody centres and youth probation services offices, the case management of youths serving their sentences in youth custody centres or in the community, the provision of health care services to youth in custody, federal funding applications and reporting, and specialized inspections of custody centres and programs pursuant to the federal *Criminal Code* (RSC 1985, c. C-46) and *Youth Criminal Justice Act* (SC 2002, c. 1) and the provincial *Correction Act* (SBC 2004, c. 46) and *Youth Justice Act* (SBC 2003, c. 85).

# Schedule Drafting



### *Section Table of Contents*

The section table of contents includes the section title and lists all primary numbers and titles in the section. List the primaries in numerical order as they appear in the section.

From the *Youth Justice, Forensic and Specialized Intervention Services ORCS*:

SECTION 1 TABLE OF CONTENTS
COMMON SERVICES
80000 – 80999

| | |
|---|---|
| 80000 | COMMON SERVICES – GENERAL |
| 80100 | CRITICAL INCIDENT AND REPORTABLE CIRCUMSTANCE INVESTIGATIONS |
| 80200 | POLICY DEVELOPMENT |
| 80300 | PROGRAM PLANNING, EVALUATION AND RESEARCH |
| 80400 | SPECIAL DETENTION PROGRAMS |

## Primaries

### *Section Default Primary*

The first primary in a section is known as the "section default primary". Each section has a default primary that covers records that:

- are common to the program area(s) covered by the section,
- do not fit anywhere else in the section, and/or
- do not warrant their own primary.

*Barrister and Solicitor Services ORCS*

SECTION 1 TABLE OF CONTENTS
BARRISTER AND SOLICITOR SERVICES
29900 – 29999

| | |
|---|---|
| 29900 | LEGAL SUPPORT SERVICES |
| 29910 | ADVICE |
| 29920 | LITIGATION |

*Section default primary is 29900 LEGAL SUPPORT SERVICES.*

# Schedule Drafting


- Introduction to Drafting Schedules
  - *ORCS* at a Glance
  - *ORCS* Core Components
  - Style Guide
- Section Instructions
  - ***ORCS Primaries***
    - Primary Components
    - Primary Examples
  - *ORCS* Secondaries
    - Secondary Components
    - Secondary Examples
  - System Overviews
  - Executive Summary
- *ORCS* Amendments
  - Administrative Amendments
  - Formal Amendments
  - Replacing an *ORCS* in its Entirety
  - Summary of Changes


From the *Youth Justice, Forensic and Specialized Intervention Services ORCS*:

SECTION 1 TABLE OF CONTENTS
COMMON SERVICES
80000 – 80999

| | |
|---|---|
| 80000 | COMMON SERVICES – GENERAL |
| 80100 | CRITICAL INCIDENT AND REPORTABLE CIRCUMSTANCE INVESTIGATIONS |
| 80200 | POLICY DEVELOPMENT |
| 80300 | PROGRAM PLANNING, EVALUATION AND RESEARCH |
| 80400 | SPECIAL DETENTION PROGRAMS |

SECTION 2 TABLE OF CONTENTS
YOUTH FORENSIC PSYCHIATRIC AND SPECIALIZED INTERVENTION SERVICES
82000 – 82999

| | |
|---|---|
| 82000 | YOUTH FORENSIC AND SPECIALIZED INTERVENTION SERVICES - GENERAL |
| 82105 | ASSESSMENT AND TREATMENT - COMPLEX CARE SERVICES |
| 82110 | ASSESSMENT AND TREATMENT - FAMILY COURT CENTRE |
| 82120 | ASSESSMENT AND TREATMENT - MAPLES ADOLESCENT TREATMENT CENTRE |
| 82130 | ASSESSMENT AND TREATMENT - YOUTH FORENSIC PSYCHIATRIC SERVICES: INPATIENTS |
| 82140 | ASSESSMENT AND TREATMENT - YOUTH FORENSIC PSYCHIATRIC SERVICES: OUTPATIENTS |
| 82200 | DAILY OPERATIONS |

SECTION 3 TABLE OF CONTENTS
YOUTH JUSTICE SERVICES
83000 – 83999

| | |
|---|---|
| 83000 | YOUTH JUSTICE SERVICES - GENERAL |
| 83100 | COMMUNITY YOUTH JUSTICE - CLIENT CASE MANAGEMENT |
| 83150 | COMMUNITY YOUTH JUSTICE - DAILY OPERATIONS |
| 83300 | FEDERAL FUNDING APPLICATIONS AND REPORTING |
| 83400 | INSPECTIONS |
| 83550 | YOUTH CUSTODY CENTRES - CLIENT CASE MANAGEMENT |
| 83570 | YOUTH CUSTODY CENTRES - DAILY OPERATIONS |
| 83600 | YOUTH CUSTODY CENTRES - HEALTH CARE SERVICES |
| 83650 | YOUTH CUSTODY CENTRES - TRUST ACCOUNT ADMINISTRATION |

*Section default primaries are 80000 COMMON SERVICES – GENERAL, 82000 YOUTH FORENSIC AND SPECIALIZED INTERVENTION SERVICES – GENERAL, and 83000 YOUTH JUSTICE SERVICES - GENERAL.*

# Schedule Drafting



*Policy Primaries*

Policies, procedures, guidelines, and standards are integral to every operational program of government and primaries dedicated to their classification and retention are included in most *ORCS*.

Historically, each primary in an *ORCS* included a -00 secondary that was reserved for final policy and procedures. There are now two options for classifying final policy and procedures: they can either be included in the section default primary as the -00 secondary, or they can be included in a dedicated policy primary. Currently, most *ORCS* are written using the former option; however, those program areas that focus on developing and maintaining policies and procedures for a branch or division may warrant a separate dedicated primary. A corresponding secondary to cover policy and procedure development records must also be included in any primary with a -00 secondary.

If you are unclear which option to use, consult GRS. For more information on policy secondaries, see the *ORCS* Secondaries Chapter of the Developer's Handbook.

POLICY PRIMARY EXAMPLES

Policy and procedures classified in the section default primary,
from the *Data Integration and Analytic Services ORCS*:

**36000 DATA INTEGRATION AND ANALYTIC SERVICES - GENERAL**

Records not shown elsewhere in this schedule that relate generally to acquiring, ingesting, and maintaining data within a secure environment, and providing data to users to conduct analytical and statistical analysis.

This primary also includes records relating to the development of operational policies, including procedures, standards, guidelines, recommended practices, and directives for use within the branch and in government, as well as for use by external clients such as service providers.

For committees, see *ARCS* secondary 200-20.
For executive briefing notes, see *ARCS* secondary 280-20.
For metadata sets published to the BC Data Catalogue, see *ARCS* secondary 312-02.
For program internet website, see *ARCS* secondary 340-30.
For program planning, see *ARCS* secondary 400-20.
For reference material/topical files, see *ARCS* secondary 358-20.
For system descriptions, see the System Section.

The ministry OPR is the Data Systems and Services Branch unless otherwise noted below. See specific secondaries for OPR retention schedules.

# Schedule Drafting



POLICY PRIMARY EXAMPLES

Policy and procedures classified in the section default primary, from the *Data Integration and Analytic Services ORCS,* continued:

| | | A | SA | FD |
|---|---|---|---|---|
| **36000** | **DATA INTEGRATION AND ANALYTIC SERVICES - GENERAL** | **A** | **SA** | **FD** |
| | All non-OPR offices will retain these records for: | SO | nil | DE |
| **-00** | **Policy and procedures - final** | SO | 5y | FR |

(covers final/approved policies, procedures, standards, manuals, methodologies, and guidelines pertaining to the functions and activities documented in this *ORCS* developed for use by the program area and/or by clients and stakeholders)

(arrange by policy component and then by policy title and version)

RETENTION STATEMENT

Transfer to the government archives five years after the policy is replaced or becomes irrelevant.

SO: when the policy is replaced or becomes irrelevant

FR: The government archives will fully retain final versions of operational policy documentation because these records provide significant evidence of the governance of the functions and programs covered by this schedule.

| | | A | SA | FD |
|---|---|---|---|---|
| **-20** | **Policy and procedures development case files** | SO+5y | nil | DE |

(covers the development of policies, procedures, standards, manuals, methodologies, and guidelines pertaining to the functions and activities documented in this *ORCS*)

(includes briefing notes, correspondence, drafts and working materials)

(arrange by policy component and then by policy title and version)

RETENTION STATEMENT

Destroy five years after the policy is approved and distributed or is abandoned.

SO: when the policy is approved and distributed or is abandoned

DE: Policy development files may be destroyed because final policies are fully retained under secondary 36000-00.

# Schedule Drafting



## POLICY PRIMARY EXAMPLES

A dedicated policy primary from the *Youth Justice, Forensic and Specialized Intervention Services ORCS*:

**80200 POLICY DEVELOPMENT**

Records relating to the development of operational policies, including procedures, standards, guidelines, manuals, and recommended practices and directives for use by staff and contracted service providers delivering services described in this *ORCS*. This primary also covers records relating to policy interpretation and exemption activities.

For brochures, pamphlets and handouts prepared for the public, see secondary 80300-10.
For legislation development, see *ARCS* secondary 140-20.
For memorandums of understanding and agreements, see applicable *ARCS* secondaries in primary 146.
For Orders-in-Council, see *ARCS* primary 146.
For policy from external sources, see *ARCS* primary 195.
For policy registration and tracking, see secondary 80300-15.
For program planning, evaluation and research, see primary 80300.
For reference material/topical files, see *ARCS* secondary 358-20.
For training and development records, see *ARCS* primary 1735.

The ministry OPR is the office responsible for maintaining the policy or procedure unless otherwise noted below. See specific secondaries for OPR retention schedules.

| **80200 POLICY DEVELOPMENT** | **A** | **SA** | **FD** |
|---|---|---|---|
| All non-OPR offices will retain these records for: | SO | nil | DE |
| **-00 Policy - final** | SO | 5y | FR |

(covers final/approved policies, procedures, standards, directives, manuals and guidelines pertaining to the functions and activities documented in this *ORCS*; clinical and practice advisories; policy interpretation and exemption files; and form and worksheet templates (see note below))
(arrange by policy name)

SO: when the policy is replaced or becomes irrelevant or in the case of policy interpretation and exemption files, when the policy exemption expires or is no longer required for operational or reference purposes

FR: The government archives will fully retain final versions of operational policy documentation because they provide significant evidence of the governance of the functions and programs described in this *ORCS*. Policy interpretation and exemption files provide contextual support to the approved policies and have evidential and information value because they document how policy was interpreted and how exemptions to policies were approved on a case specific basis.

# Schedule Drafting



POLICY PRIMARY EXAMPLES

A dedicated policy primary from the *Youth Justice, Forensic and Specialized Intervention Services ORCS*, continued:

NOTE: A copy of all approved standard forms/worksheets should be classified under this secondary unless the form/worksheet is already included as part of a separate manual or handbook. This includes all of the case management forms used throughout branch, and includes blank worksheets and resources that are used for behaviour management purposes (e.g. learning and sharing expectations with youth receiving services from the branch (e.g. separate confinement expectations forms, time-out packages, bullying worksheets, and anger worksheets)

NOTE: Examples of youth justice policies include: *Youth Custody Operations Manual, Community Youth Justice Operations Manual, Sentence Calculation Handbook, Standards and Policies for Outdoor and Wilderness Activities (SPOWA), Health Care Services Manual, Trust Accounts Manual, Teach, Reach and Inspire (TRI) Model Youth Handbook, Youth Custody Services Exposure Prevention and Management Manual, Youth Custody Centres Emergency Contingency Plans Manual*, orientation packages, and the now superseded *Offender Guidebook*.

NOTE: Examples of specialized intervention policies include: *Youth Forensics Psychiatric Services Policy and Procedures Manual, Maples Policy Manual, Youth Sexual Offence Treatment Program Standards and Guidelines, YFPS -Standards and Guidelines for the Assessment, Treatment and Management of Youth Who Have Sexually Offended, Violent Offender Treatment Program Standards and Guidelines*, the *Violent Offender Treatment Program Resource Manual*, and the *Not Criminally Responsible on Account of Mental Disorder (NCRMD) Case Management Manual*.

**-20** **Policy development files** SO+5y nil DE

(includes correspondence, drafts and working materials)

(arrange by policy name)

SO: when the policy is approved and distributed or development is abandoned

DE: Policy development files may be destroyed because final policies are fully retained under secondary 80200-00.

# Schedule Drafting



*Primary Blocks*

Many *ORCS* published prior to the implementation of the 2020 *ORCS* standard contain primary blocks. These blocks were typically used to group primaries within a section according to a perceived common relationship and are assigned sequential numbers.

Each block contains a general primary and two or more primaries. The primaries within a primary block have two-part titles with the block title separated by a dash from the specific title (e.g. 68650 DANGEROUS GOODS - GENERAL, 68660 - CHEMICAL/GAS SPILLS). Classification numbers in a primary block are also listed closely together, usually in groups of 10 (e.g. 68650, 68660, 68670, 68680, etc.).

Primary blocks are rarely used today, as they are overly granular and frequently require amendment. Primary blocks also go against the current standard of using broader, function-based primaries in an *ORCS*. Primary blocks are most likely to be encountered when amending an *ORCS*. Consult with GRS if you are amending an *ORCS* that contains primary blocks.

# Schedule Drafting



## Primary Components

Primaries are made up of the following components:

- Primary Number
- Primary Title
- Scope Note
- Cross References (if required)
- Office of Primary Responsibility statement
- Secondaries

### Primary Number

Each primary covering a functional grouping of records is assigned a unique five-digit primary number within the *ORCS*. Use primary numbers within the range of 10000 and 99999. If possible, avoid numbers already in use in other *ORCS* within the same ministry. This may not always be possible due to organizational change, but unique primary numbers will help reduce confusion to end users.

Leave gaps within and between primary number ranges so that there is room for future expansion.

Examples of primary ranges:

- *Barrister and Solicitor Services ORCS*: 29900 – 29999
- *Data Integration and Analytical Services ORCS*: 36000 – 36200
- *Property Taxation ORCS*: 45000 – 46999

### Primary Titles

Use practical, descriptive, and unique titles that clearly describe the functions covered by the primary and are distinguishable from other primaries.

Avoid using nouns and adjectives that modify other nouns in primary titles. Use active verbs whenever possible. Write primary titles in upper case.

Examples of primary titles:

- *Barrister and Solicitor Services ORCS* - LEGAL SUPPORT SERVICES
- *Office of the Premier and Executive Council ORCS* - CABINET DELIBERATIONS
- *Conservation Officer Services ORCS* - COMPLIANCE AND ENFORCEMENT
- *Local Government Services ORCS* - BYLAW ADVICE AND APPROVALS

# Schedule Drafting



## Scope Note

Scope notes describe the operational functions to which the records relate, and the activities leading to records creation. It is a high-level description of the purpose, uses, content and context of the records classified within a primary, and shows the relationship among the records within the primary. When writing a scope note, keep in mind that this will serve as a finding aid for ministry or agency staff, for clients, and for future researchers. A scope note may consist of a few sentences or several paragraphs, depending on the nature of the records being described and the number of secondaries included in the primary. However, try not to be too detailed or specific in the scope note. Begin scope notes with the phrase "Records relating to…" and then describe the function for which the records are created and used. Outline the activities relating to each secondary covered by the primary, showing the context for the creation of the records.

Deciding which information belongs in a scope note and which information belongs in secondary notes is important. Information relating to some or all secondaries should appear in the scope note, while information relating only to a specific secondary should appear under the secondary.

Relevant legislation is documented on the section title page and does not always need to be repeated in the scope note; only include reference to it if it is useful to indicate the legal authority for the specific function or activity covered in that primary.

Use an explanatory note at the end of a scope note to provide additional information relating to the primary. For example, a retention period explanation that applies to several secondaries within a primary may be provided in a note.

Scope Note from *Data Integration and Analytical Services ORCS*:
36100 DATA ACQUISITION AND INGESTION primary:

Records relating to identifying, acquiring, and classifying data; de-identifying data elements; and ingesting and maintaining data sets in a secure analytics environment for use in approved analytic projects. There are four activities associated with these functions, including:

- identifying data to acquire;
- developing information sharing and service level agreements for acquiring and ingesting data;
- ingesting data which includes records relating to transferring copies of the metadata and data sets, classifying and de-identifying metadata elements, and notifying data providers that de-identification and metadata classification has been completed;
- and on-going maintenance, correction and/or expansion of data sets as required.

# Schedule Drafting



Scope Note from *Barrister and Solicitor Services ORCS*: 29900 LEGAL SUPPORT SERVICES primary:

Records relating to the process of advising government and ministries on legal matters in contexts other than litigation. The advice can relate to anything that government and ministries do or could be held accountable for. Some examples of the kinds of advice that may be requested or offered are as follows:

- interpretation of statutory and regulatory requirements, case law considerations, constitutional issues, and other matters of law with respect to current and proposed policies, programs, and events;
- identification and interpretation of legal issues that arise in relation to aboriginal and treaty rights recognized in the *Constitution Act*, 1982;
- direction on how to meet and enforce legal requirements with respect to activities that have a significant contractual component, such as service contracts and other kinds of agreements, real property acquisition and disposal, debt collection, and financing;
- translation of client operational needs and desired outcomes into requests for legislation and regulations.

Also included as advice is support and representation provided to government and ministries when they appear before tribunals, boards, and other bodies that carry out functions similar to a court, as well as support provided to inquests and inquiries carried out under the *Coroners Act* (SBC 2007, c. 15), the *Public Inquiry Act* (SBC 2007, c. 9), and preceding legislation.

NOTE: For direction on classifying administrative and operational records relating to the appointment of outside counsel or experts, see secondary 29900-20 and secondary 29900-25.

NOTE: Records classified under this primary are scheduled for destruction because legal advice is one input to the client's overall decision-making process. The most comprehensive record and best evidence of how a significant issue arose, the factors that were considered, the decisions that resulted, and the impact of those decisions, is with the client.

NOTE: Several secondaries in this primary require the responsible lawyer to determine that certain conditions have been met before the retention period can be calculated. The responsible lawyer may sometimes determine that those conditions have not been met even after work ceases on the request, thereby leaving the records active. To ensure that such records are eventually closed and scheduled for final disposition, the OPR will need to retain its capacity to do the following: to capture information about each case of providing advice, including the name of the responsible lawyer and the matter that was addressed; to match the case to the records associated with it; to identify the lawyer currently responsible for those records even after years have passed; and, to track long-active records and prompt the responsible lawyer, at set intervals, to determine once again if the conditions have been met.

# Schedule Drafting



## Cross References

Cross references link a primary to related primaries and secondaries, both in the *ORCS* and in *ARCS*. This information can be used to indicate when associated records should be classified elsewhere.

Each cross-reference consists of two phrases, the first one beginning with "For…" and the second one beginning with "see…". Complete the "For" phrase by specifying a category of record and the "see" phrase with a reference to the appropriate primary or secondary number.

For example:

> "For brochures, pamphlets and handouts prepared for the public, see secondary 80300-10.
> For legislation development, see *ARCS* secondary 140-20.
> For memorandums of understanding and agreements, see applicable *ARCS* secondaries in primary 146.
> For Orders-in-Council, see *ARCS* primary 146.
> For policy from external sources, see *ARCS* primary 195.
> For policy registration and tracking, see secondary 80300-15.
> For program planning, evaluation and research, see primary 80300.
> For reference material/topical files, see *ARCS* secondary 358-20.
> For training and development records, see *ARCS* primary 1735."

Arrange cross-references in alphabetical order, ignoring articles such as "the".

*ARCS* references relevant to an entire section should be listed in the section default primary.

# Schedule Drafting



## Office of Primary Responsibility Statements

After the Cross-reference section, identify the branch, division, or program area responsible for holding the official copy of the records covered under the *ORCS*. This is referred to the Office of Primary Responsibility (OPR). The OPR maintains the official records to satisfy operational, financial, legal, audit and other requirements of a ministry or agency. All other offices that hold copies of the same records are considered non-OPR and the retention and disposition schedule for their records is SO nil DE.

OPR statements should identify the office clearly and specifically to avoid ambiguity. Poorly written OPR statements may lead to confusion, poor records management, unnecessary legal and freedom of information and privacy (FOI) liabilities and unnecessary records storage expenses.

OPR STATEMENTS, EXAMPLES

From *Youth Justice, Forensic and Specialized Intervention Services ORCS*:

> "The ministry OPR is Specialized Intervention and Youth Justice Branch unless otherwise noted below. See specific secondaries for OPR retention schedules."

From *Information and Privacy ORCS*:

> "The ministry OPR is the Privacy, Compliance and Training Branch unless otherwise noted below. See specific secondaries for OPR retention schedules."

# Schedule Drafting



## Primary Examples

*NOTE: For brevity, only the secondary title and retention periods have been included in the examples on following pages. For more information and to see sample secondaries, see Secondaries chapter of the Handbook.*

From *Data Integration and Analytic Services ORCS:*

**36100 DATA ACQUISITION AND INGESTION**

Records relating to identifying, acquiring, and classifying data; de-identifying data elements; and ingesting and maintaining data sets in a secure analytics environment for use in approved analytic projects. There are four activities associated with these functions, including:

- identifying data to acquire;
- developing information sharing and service level agreements for acquiring and ingesting data;
- ingesting data which includes records relating to transferring copies of the metadata and data sets, classifying and de-identifying metadata elements, and notifying data providers that de-identification and metadata classification has been completed; and
- on-going maintenance, correction and/or expansion of data sets as required.

For final policies and procedures, see secondary 36000-00.

For program planning, see *ARCS* secondary 400-20.

For reference material/topical files, see *ARCS* secondary 358-20.

For system descriptions, see the System Section.

The ministry OPR is the Data Systems and Services Branch unless otherwise noted below. See specific secondaries for OPR retention schedules.

| **36100 DATA ACQUISITION AND INGESTION** | | **A** | **SA** | **FD** |
|---|---|---|---|---|
| All non-OPR offices will retain these records for: | | SO | nil | DE |
| **-01** | **General** | CY+1y | nil | DE |
| **-20** | **Data provider agreements** | SO+7y | nil | DE |
| **-30** | **Metadata and data files** | SO | nil | DE |

END OF PRIMARY

# Schedule Drafting



From *BC Statistical Services ORCS:*

**47200 STATISTICAL ANALYSIS AND DISTRIBUTION**

Records relating to the accumulation, analysis, interpretation, compilation, and reporting of statistical information. Operating under the direction of the *Statistics Act* (RSBC 1996, c. 439), BC Stats produces and interprets statistical information pertaining to all facets of life in British Columbia, including the demographic, social and economic conditions of the province and its population; provides clients in the public and private sectors with timely and reliable statistical information and analytical services; and assists government ministries with their statistical activities (e.g. collecting, compiling, analysing and distributing statistical information).

This primary includes records relating to the collection of data and analysis related to measures of business and economic activity (including Gross Domestic Product [GDP]) and for performing economic impact assessments; the development of indicators on labour and social conditions within B.C.; and the production of population and demographic estimates for B.C. communities which includes monitoring and reporting on demographic trends in B.C.

Records types include: development files comprising spreadsheets, workspaces, databases, presentations, draft reports, and other records created in the analytical process; correspondence connected to project development or requests; and data, both raw and clean. Raw input data is gathered from a number of sources including Statistics Canada, ministry clients, private sector clients, and other government agencies. Although the subject matter of the analyses varies markedly, the records and objective are largely the same.

For operational policy, see secondary 47100-00.

For project tracking logs, see *ARCS* secondary 100-05.

For reference material/topical files, see *ARCS* secondary 358-20.

For system descriptions see the System Section.

The ministry OPR is BC Stats unless otherwise noted below. See specific secondaries for OPR retention schedules.

| | | | A | SA | FD |
|---|---|---|---|---|---|
| | **47200** | **STATISTICAL ANALYSIS AND DISTRIBUTION** | **A** | **SA** | **FD** |
| | | All non-OPR offices will retain these records for: | SO | nil | DE |
| | **-01** | **General** | CY+1y | nil | DE |
| | **-20** | **Queries related to the census** | CY+5y | nil | DE |
| PIB | **-30** | **Requests for statistical data or analysis** | CY+2y | nil | DE |
| | **-40** | **Statistical analysis data** | SO | nil | DE |
| | **-50** | **Statistical analysis project development files** | SO | nil | DE |
| | **-60** | **Statistical analysis publications and final reports** | SO | nil | SR |

END OF PRIMARY

# Schedule Drafting



From *Revenue Services ORCS:*

**40200 COLLECTIONS**

Records relating to the early-stage and late-stage collection of amounts owed to the Province from certain non-tax programs. Early-stage collection includes the collection of non-past due accounts (billing), whereas late-stage collection refers to escalated collection activity of past-due accounts (overdue debt). This primary covers records relating to the collection of both billing (early-stage) and overdue debt (late-stage collection) amounts.

Client ministries transfer data of financial obligations or delinquent debts to the Ministry of Finance's Receivables Management Office (RMO) for administration and management in the Revenue Management System (RMS). Collection activities include receiving financial obligation information from client ministries, sending invoices (bill presentment) and/or dunning correspondence, managing financial activity on the account (e.g. posting of interest, payments, fees, adjustments, etc.) as applicable, and managing the account file. Additional activity on past due accounts includes increased interaction with debtors, the assignment of accounts to Canada Revenue Agency set-off program, the initiation of legal actions such as bank and wage demands, and the transfer to private collection agencies (PCAs) for collections and reporting to credit reporting agencies.

This primary includes records relating to the processing and approval of applications which authorize the withdrawal of funds against a client's account with banks or financial institutions, in accordance with the rules of the Canadian Payments Association. This includes pre-authorization debit plan (PAD) applications. Applications are currently received either through paper forms, digital recordings, or online (see Billing and Payment Services in the System Section). All information recorded on a PAD form or recording is entered into RMS, where the system tracks the activity and history of each application. Record types include: application forms and recordings, void cheques or authorizing documentation from bank/financial institution, and correspondence.

This primary also covers correspondence sent and received to account holders including documents such as Power of Attorney, Law Office or Notary letters; and correspondence related to an individual's ability to pay, including financial reports which may include copies of documentation verifying income and expenses.

For bank deposits, including copies of cheques that are not duplicated in an end system (currently Ambulance and Bus Pass programs) see *ARCS* secondary 985-03.

For collection case file data created or maintained by a sub-contracted collection agency, see secondary 40300-30.

For information technology development projects, see *ARCS* secondary 6450- 20.

For library/reference materials, see *ARCS* secondary 358-20.

For ministry/agency planning and performance files, see *ARCS* secondary 400- 20.

For operational policy, see secondary 40000-00.

For records relating to municipal and rural property tax deferment provided under the *Land Tax Deferment Act* (RSBC 1996, c. 249), including property tax deferment images and data, see *Property Taxation ORCS* (schedule 890168, primary 45760).

For remittance processing, see *ARCS* primary 935.

For system descriptions, see the System Section.

The ministry OPR is Receivables Management Office unless otherwise noted below. See specific secondaries for OPR retention schedules.

# Schedule Drafting



From *Revenue Services ORCS,* continued:

| | | | A | SA | FD |
|---|---|---|---|---|---|
| | **40200** | **COLLECTIONS** | **A** | **SA** | **FD** |
| | | All non-OPR offices will retain these records for: | SO | nil | DE |
| | **-01** | **General** | CY+1y | nil | DE |
| | **-05** | **Payment method applications and authorizations** | SO | 7y | DE |
| | **-10** | **Payment method applications - audio recordings** | SO | 7y | DE |
| | **-15** | **Collection audio recordings** | SO | 3m | DE |
| | **-20** | **Collection case files** | SO | 7y | DE |
| | **-25** | **Ambulance billing and collection data** | SO | 10y | DE |
| | **-30** | **Batched collection correspondence** | SO | 7y | DE |
| | **-40** | **Billing and Payment Services (BPS) Portal data** | SO | nil | DE |
| PIB | **-50** | **Collection and Loan Administration Support System (CLASS) legacy data** | SO | nil | DE |
| PIB | **-60** | **Data warehouse data** | SO | nil | DE |
| | **-70** | **Invoice images** | FY | 6y | DE |
| | **-80** | **Remittance coupons** | SO | 3y | DE |

END OF PRIMARY

# Schedule Drafting



**Developer consults with archivist as classifications are developed. Size and scope of project may require a series of regular meetings for review.**

## *ORCS* Secondaries

### Overview

Secondaries are groupings of records within a primary that typically describe the activities that an organization carries out to support the function described in the primary. Secondaries can also sometimes describe record types rather than activities; for example, there may be one secondary for policy development and another for final policies if the final disposition of final policies is different. While users classify records under the applicable primary and secondary combination, the retention period and final disposition of those records are described and set out in the secondary.

### General Standards for Secondaries

Arrange secondaries in alphabetical order within the non-case file secondaries grouping (-02 to -19) and the case file secondaries grouping (-20 and higher). If possible, secondary titles should not exceed 50 characters, particularly if the program area uses an EDRMS such as Content Manager.

Use concise, clear, and unambiguous prose for secondary titles. Wherever possible, use plain language and avoid jargon and acronyms. Provide sufficient information in a secondary title so that, when it stands alone, the reader can relate it to the records it covers and distinguish it from other secondaries.

Ensure there are gaps in numbering to allow for additional secondaries to be added during future amendments (e.g. -20, -30, -40).

## Types of Secondaries

### *Reserved Secondaries*

Reserved secondaries are those typically included under every primary in an *ORCS*.

Secondary number -00 is always reserved for final policy and procedures. This classification is used for records covering policies and procedures governing operational functions. They also cover records that set precedents, reflect management decisions and usage, and/or document general goals and acceptable procedures relating to the operations of the creating ministry or agency.

In the past, the -00 secondary appeared in each primary in an *ORCS*. However, the current practice is to only use one -00 secondary in the section default primary, provided that the *ORCS* does not need an entire primary to cover policy and procedure activity. A corresponding secondary to cover policy and procedure development records must also be included in any primary with a -00 secondary. Consult with GRS if amending a legacy *ORCS* that has a -00 secondary in each primary.

Secondary number -01 is reserved for "general" records that cannot be classified under the other secondaries within the primary. The general classification is also used for miscellaneous records that relate to the primary but do not document decisions and actions, and do not relate to activities covered by specific classifications.

The standard retention period for the -01 secondary is CY+1y/nil/DE. The active period can vary, but the semi-active period should always be "nil". The general secondary classification is intended for records with insufficient value to warrant semi-active storage.

The first general secondary within a section includes a standard note; do not repeat the note in subsequent primaries within the section.

# Schedule Drafting



RESERVED SECONDARIES EXAMPLE

From *Data Integration and Analytic Services ORCS*:

| | | | A | SA | FD |
|---|---|---|---|---|---|
| **36000** | **DATA INTEGRATION AND ANALYTIC SERVICES - GENERAL** | | | | |
| | All non-OPR offices will retain these records for: | | SO | nil | DE |
| | **-00** | **Policy and procedures - final** | SO | 5y | FR |

(covers final/approved policies, procedures, standards, manuals, methodologies, and guidelines pertaining to the functions and activities documented in this *ORCS* developed for use by the program area and/or by clients and stakeholders)

(arrange by policy component and then by policy title and version)

RETENTION STATEMENT

Transfer to the government archives five years after the policy is replaced or becomes irrelevant.

SO: when the policy is replaced or becomes irrelevant

FR: The government archives will fully retain final versions of operational policy documentation because these records provide significant evidence of the governance of the functions and programs covered by this schedule.

| | | A | SA | FD |
|---|---|---|---|---|
| **-01** | **General** | CY+1y | nil | DE |

RETENTION STATEMENT

Destroy at the end of the second calendar year.

NOTE: Throughout this section, this secondary covers miscellaneous records that relate to the primary but do not document decisions and actions, and do not relate to topics that warrant specific classifications.

| | | A | SA | FD |
|---|---|---|---|---|
| **-20** | **Policy and procedures development case files** | SO+5y | nil | DE |

(covers the development of policies, procedures, standards, manuals, methodologies, and guidelines pertaining to the functions and activities documented in this *ORCS*)

(includes briefing notes, correspondence, drafts and working materials)

(arrange by policy component and then by policy title and version)

RETENTION STATEMENT

Destroy five years after the policy is approved and distributed or is abandoned.

SO: when the policy is approved and distributed or is abandoned

DE: Policy development files may be destroyed because final policies are fully retained under secondary 36000-00.

# Schedule Drafting



### *Case File and Non-Case file Secondary Ranges*

Case file secondaries (-20 and higher) cover records pertaining to a specific, time-limited entity, such as a person, event, project, transaction, product, or organization, and is part of a series of similar files. Case file records typically meet the following criteria:

- document a single type, or series, of repetitive transaction(s) within a business process relating continuously to a particular item, object, entity, person, event, or thing,
- contain replicated documentation in standardized formats and structures, and/or
- document transactions that have a definite beginning and an end within the same case file regardless of the size of the file or number of records within the file.

Any records not meeting the definition outlined above are classified as non-case file secondaries. Use numbers -02 to -19. Examples of non-case files includes record such as batches, registries, reports, and publications.

Provide case file secondaries with an "arrange by" qualifier if appropriate; always do so for records with a final disposition of selective or full retention. Case file secondaries should also contain an "includes" qualifier.

Case file secondary from *Education Data Reporting and Analytics ORCS:*

**-30** **Forecasting and evaluation projects** SO nil DE

(covers the analysis and interpretation of data to guide ministry strategic directions and recommend course correction, also focusing on the development of predictive analysis and forecasting)

(includes correspondence, queries, report templates and development, and final products)

(arrange by project number)

SO: the project file is closed when a minimum of 7 years has passed since project completion, and when informational and trend analysis value has expired

Case file secondary from *Youth Justice, Forensic and Specialized Intervention Services ORCS*:

PIB **-20** **Special detention program health care files** SO 71y DE

(includes health care records, such as clinical notes, initial health assessments, prescriptions, copies of medical clearance and related records received upon admission to the custody centre (e.g. radiology results, electrocardiogram results, medication records, release of information authorizations) and correspondence)

(arrange by family or individual name)

SO: for files pertaining to a family unit with minors or files involving an unaccompanied minor, when youngest family member or minor reaches the age of majority (19 years); for all other cases, when released

# Schedule Drafting



Non-case file secondary from *Climate Change Strategy ORCS:*

**-02 Climate change strategy awareness final products** CY nil FR
(covers publications)
(includes toolkits, brochures, displays used at events, videos, and webinars)
(arrange by product name and year)

FR: The government archives will fully retain Climate change strategy awareness final products because they provide evidence of the methods used by the Climate Action Secretariat to engage with the public and special interest groups. The records document significant climate change issues, programs, and the history and interpretation of relevant legislation and regulations.

Non-case file secondary from *Victim Services and Crime Prevention ORCS*:

**-10 Civil forfeiture grants** SO 7y DE
(includes the annual priority stream recommendations, posted grant criteria, applications for grants, documentation on the scoring and evaluation of applications, the recommendation package, documentation on the final selection of grant recipients, and charts, correspondence and other records documenting grant recipients' progress and outcomes)

SO: when grant is paid out, withdrawn, or cancelled; for summary records, when last grant made in the annual cycle that the summary refers to is paid out, withdrawn, or cancelled

7y: The retention period ensures that these records are retained for the same length of time as records of the associated financial management actions, thus ensuring that their context is preserved; for records of the financial management of grants, see *ARCS* primary 1150.

## Secondary Components

Secondaries contain the following components:

- Secondary Numbers
- Secondary Titles
- Qualifiers
- Active, semi-active, and final disposition codes
- Retention Statements
- Retention Definitions (e.g. SO statement, FR statement) and other explanatory notes
- PIB flags (if required)

# Schedule Drafting



## Secondary Numbers

Secondary classifications are formed by pairing the five-digit primary number with a two-digit secondary number. Combined with the information schedule number, it forms a unique classification number for the records it describes.

From *Information and Privacy ORCS*:

| | | A | SA | FD |
|---|---|---|---|---|
| **30100** | **INFORMATION AND PRIVACY ADVISORY SERVICES** | | | |
| | All non-OPR offices will retain these records for: | SO | nil | DE |
| **-01** | **General** | CY+2y | nil | DE |
| **-04** | **Foreign demands for disclosure** | CY+2y | nil | DE |
| | (includes reports, demands, responses, and briefing notes to the minister) | | | |
| | (arrange by year, then by reporting public body) | | | |

DE: These records have been appraised for destruction because records of significant findings and the resulting actions are adequately documented in executive records covered by special schedule 102906 (Executive Records), which are selectively retained.

In the example above, **Primary 30100** Information and Privacy Advisory Services **+ Secondary -04** Foreign demands for disclosure = **Classification: 30100-04 Foreign demands for disclosure**

## Secondary Titles

Provide a meaningful title that adequately describes the content and purpose of the records covered by the secondary so that when it stands alone, the reader can relate the title to the records it covers and distinguish it from other secondaries. For example, the secondary title 'Wild marine plant species reports' clearly describes the types of reports covered under the secondary. For case files, the title may indicate the type of client receiving the service (e.g. 'Inpatient client files').

If the records covered by a secondary are commonly known by an alternate name, this can either be included as part of the title or provided as a qualifier beginning with "also known as". Be consistent with this choice throughout the *ORCS*.

End titles with a term that describes the type of record (e.g. "case files", "requests and responses", "registers", "reports"). Use the term "case files" in the secondary title if this helps to clarify the nature of the records or if most of the other cases files in the *ORCS* use this term in the title.

# Schedule Drafting



Use singular rather than plural nouns to describe the records in titles unless the records in one file relate to more than one entity. For titles that end with "case files", "projects", or some other plural noun, modifying terms should take singular rather than plural form (e.g. "patient case files" not "patients case files"). This avoids the implication that one file relates to more than one project or case.

If several secondaries have similar titles, you may distinguish them using a dash and other identifying terms (e.g. -30 Advice – aboriginal and treaty rights and -40 Advice – contracts and non-treaty agreements).

Only capitalize the first word in the title of the secondary unless the title contains a proper noun. Arrange secondaries alphabetically by title, within their respective group of non-case files (-02 to -19) and case files (-20 to -99). If there is a good reason for an alternative arrangement, consult with GRS.

Examples of secondary titles:

- Abandoned records from contractors
- Actuarial certification case files
- Data analysis and reporting – ad hoc projects
- Financial transactions and budget case files
- Special detention program health case files
- Teacher education program review case files

### Qualifiers

Qualifiers are secondary notes provided directly beneath the secondary title to help users identify the appropriate classification for their records.

Qualifiers are ideally brief; lengthy explanations should be reserved for explanatory notes. A good indicator of when to use an explanatory note is when the note would be more comprehensible in the form of one or more complete sentences. This is a matter of judgement, as qualifiers are the best place for the most crucial information about a secondary as they are closer to the secondary title. As a result, lengthy qualifiers may sometimes be necessary.

Not all secondaries will require all qualifiers; as it will depend on the records being classified and described. At minimum, a secondary should include a "covers" or "includes" qualifier.

Qualifiers are listed within parentheses. They typically do not use complete sentences or use capitalization. Qualifiers are written in active voice ("arrange by" … not "arranged by").

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List qualifiers in the following order: "covers", "includes", "arrange by" and then any other qualifier such as "also known as", as necessary. If you have a logical reason for altering this order or the terms used, contact GRS.

*Types of Qualifiers*

**Covers**: Use this qualifier to give information about the activity and scope of the records (e.g. covers advice that does not clearly meet the criteria for classification under any other secondary in this primary). The "covers" qualifier typically uses verbs.

**Includes**: Use this qualifier to list all known types of records that commonly appear in the secondary (e.g. correspondence, drafts, reports). Always provide this qualifier for case file and SR/FR secondaries, unless the "covers" note is sufficient to describe the records.

**Arrange by**: Use this qualifier to detail how the records are arranged (i.e. codes, numbers, subjects, or names). Always provide this qualifier for case files and for SR/FR secondaries, unless the arrangement is obvious from the title.

Avoid using descriptors such as "numerically", "chronologically" or "alphabetically" unless they are not obvious.

Provide two- or three-step arrangement notes where necessary (e.g. "arrange by year, then by issue").

**Also known as**: Use this qualifier where a title uses a special term, or a name that may be unfamiliar to the end user.

**Other**: Use qualifiers beginning with other verbs as appropriate (e.g. "does not cover"), if needed.

Legacy *ORCS* may include format qualifiers, such as identifying whether the records were physical or digital, and the format type (i.e. microfilm, electronic records, floppy disk). This qualifier is no longer used and should not be included in the qualifier section; if there is a need to identify the record format, include it in a note, as well as an explanation as to why the information is important for the end user to know.

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QUALIFIERS EXAMPLES

From *Education Data Reporting and Analytics ORCS*:

**-45** **Research agreements** SO+7y nil DE

(covers the development, management and monitoring of research agreements with academic institutions and researchers)

(includes agreement and supporting documentation, associated projects, amendments, correspondence)

(arrange by year agreement negotiation is started, then by project number)

From *Riverview Hospital Patient Assessment and Treatment ORCS*:

**-10** **Riverview Hospital admission, discharge and transfer (ADT) data** SO nil FR

(covers data in two closed systems that were used to track the admission, discharge and transfer of Riverview patients)

From *Youth Justice, Forensic and Specialized Intervention Services ORCS*:

**-30** **Research project working files and data** SO nil DE

(covers program development, evaluation and review activities undertaken as a formal research project, as well as clinical and behavioural research projects)

(includes research/project applications, proposals and approvals, terms of reference, survey templates and drafts, consent forms, completed surveys and questionnaires, coding forms, instructions, subject lists, copies of client case file documentation, data files (e.g. data files created using Statistical Package for the Social Sciences (SPSS) software), draft reports, and correspondence)

(arrange by project name)

# Schedule Drafting



## Active, Semi-Active, and Final Disposition Codes

The lifecycle of records covered in each secondary is indicated using three columns labelled **A** (active), **SA** (semi-active), and **FD** (final disposition). These columns list the retention schedule of the records and are described as follows:

**A** The active column indicates the length of time records are retained in the active phase of its lifecycle. Active records tend to be frequently used or accessed for reference purposes, and when in physical format, tend to be maintained in the creating office.

Entries in the active column use the designations SO, FY or CY and, when applicable, have an additional time period indicated in weeks, months, or years (e.g. CY+1y).

**SA** Semi-active records are those only referenced occasionally, and/or are required to be kept by the creating office for administrative, operational, fiscal, audit, or legal purposes. When in paper format, these records tend to be maintained in off-site storage.

Entries in the semi-active period are typically represented by a certain time period (e.g. 10y) or as "nil" if there is no semi-active period required.

**FD** The final disposition column determines what happens to the records once they reach the end of their lifecycle. Records in secondaries that GRS archivists have appraised for full retention will be transferred to the government archives; all other records will be destroyed.

Entries in the final disposition column are Full Retention (FR), Selective Retention (SR), or Destruction (DE).

Records that are scheduled for FR are transferred to the government archives once they have reached the end of their lifecycle. SR denotes that only a subset of records will be fully retained and transferred to the government archives. Records scheduled as DE are destroyed at the end of their lifecycle.

# Schedule Drafting



Example from *Data Integration and Analytical Services ORCS*:

| | | | A | SA | FD |
|---|---|---|---|---|---|
| **36000** | **DATA INTEGRATION AND ANALYTIC SERVICES - GENERAL** | | **A** | **SA** | **FD** |
| | All non-OPR offices will retain these records for: | | SO | nil | DE |
| | **-00** | **Policy and procedures - final** | SO | 5y | FR |
| | **-01** | **General** | CY+1y | nil | DE |
| | **-10** | **Data management registries and tracking** | SO | nil | DE |
| | **-20** | **Policy and procedures development case files** | SO+5y | nil | DE |
| | **-30** | **User guides, guidelines, and work aids** | SO | 5y | DE |

Schedule column entries are composed of numbers and the following acronyms:

- Calendar year (CY) (active column)
- Fiscal year (FY) (active column)
- Close trigger to move records from active to semi-active/final disposition phase (SO) (active column)
- +number of weeks, months, years (w, m, y) (active and semi-active columns)
- nil (no amount of time) (semi-active column)
- Not applicable (NA) (active, semi-active, or final disposition columns) (not current practice to use NA – consult with GRS)
- FR, SR, or DE (final disposition)

For more information about final disposition and archival appraisal, please see the Records Appraisal section of the Handbook.

# Schedule Drafting



## Retention Statements

Retention statements are required in all secondaries. A retention statement describes in plain language when records are to be destroyed or transferred to the government archives. Complete the retention statements after the records have been formally appraised.

The standard formula for construction of a retention statement is **final disposition + the combined active/semi-active periods + close trigger**. If a secondary includes a superseded/obsolete (SO) close trigger, the retention statement should mirror the SO trigger as closely as possible.

When calculating the total retention period for a retention statement, ensure that any CY/FY periods are counted as 1 year. For example, "CY+1y/5y/DE" would be written in the retention statement as "Destroy at the end of the seventh calendar year" as CY+1y is considered two years, and the semi active period is 5 years (2+5=7).

For secondaries with an SO designation, calculate from the time the record/file is closed. In other words, do not add a number to the total when making your calculation. For example, for SO+1y/5y/DE, the final total is "6y" (1+5 = 6).

If the final disposition is SR, discuss statement phrasing with your archivist.

Retention statements do not explain the rationale for a particular retention period or for a final disposition decision; this is documented in retention definition notes.

RETENTION STATEMENT EXAMPLES

From *Data Integration and Analytic Services ORCS*:

| | | | | |
|---|---|---|---|---|
| **36000** | **DATA INTEGRATION AND ANALYTIC SERVICES – GENERAL** | **A** | **SA** | **FD** |
| **-30** | **User guides, guidelines, and work aids** | SO | 5y | DE |
| | RETENTION STATEMENT<br>Destroy five years after the guideline, user guide or work aid is superseded and replaced by a new version, or when no longer required. | | | |
| | SO: when superseded and replaced by a new version, or when no longer required | | | |

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From *Income Taxation ORCS*:

**43510 INCOME TAX – PERSONAL AND CORPORATE TAX CREDIT PROGRAMS** **A** **SA** **FD**

**-25** **Tax credit program audit files** FY+1y 5y DE

RETENTION STATEMENT

Destroy at the end of the seventh fiscal year.

DE: The seven-year retention period provides sufficient time for an audit to be completed, and is based on the seven-year review period under the federal *Income Tax Act*.

From *Barrister and Solicitor Services ORCS*:

**29910 ADVICE** **A** **SA** **FD**

**-40** **Advice – contract and non-treaty agreements** SO 10y DE

RETENTION STATEMENT

Destroy contracts and agreements that are not finalized 10 years after the responsible lawyer determines that the process has been abandoned; for those that are finalized, destroy 10 years after the responsible lawyer determines that both of the following conditions have been met:

- the main terms of the contract or agreement have either expired or been fulfilled or terminated, or are likely to have expired or been fulfilled or terminated, based on the information available to the responsible lawyer; and,
- government is unlikely to need the records to provide consistent advice, to protect itself from liability, to fulfil obligations that may extend beyond the contract term, or to enforce claims that may extend beyond the contract term, such as those indicated in non-expiring clauses.

SO: For contracts and agreements that are not finalized, destroy 10 years after the responsible lawyer determines that the process has been abandoned; for those that are finalized, destroy 10 years after the responsible lawyer determines that both of the following conditions have been met:

- the main terms of the contract or agreement have either expired or been fulfilled or terminated, or are likely to have expired or been fulfilled or terminated, based on the information available to the responsible lawyer; and,
- government is unlikely to need the records to provide consistent advice, to protect itself from liability, to fulfil obligations that may extend beyond the contract term, or to enforce claims that may extend beyond the contract term, such as those indicated in non-expiring clauses.

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## Retention Definitions and other Explanatory Notes

Retention definitions and other explanatory notes provide significant information about the records and provisions governing their creation, processing, accessing, and disposition. They appear under the retention statement and in the following order, reflecting the internal order of the secondary:

OPR: Provide an Office of Primary Responsibility explanatory note where this differs from the default OPR indicated in the primary.

SO: Define SO criteria, if applicable. This is typically referred to as the 'trigger' because it defines when a file is closed (e.g. when an investigation is closed, a project is completed, or a license has expired).

SO retention definitions are written as sentence fragments (no capital letters at the beginning of the sentence and no end punctuation) and typically begin with "when" or "upon".

##y: Provide retention definitions for secondaries with a combined active and semi-active period of seven years or greater. Be specific; explain operational, reference, fiscal and legal requirements. If appropriate, also provide this note for secondaries with shorter retention periods.

FR: Full Retention indicates that government archivists have determined that the records will be transferred to the government archives. A rationale is always required for FR retention definitions.

SR: Selective Retention indicates that government archivists have determined that a subset of records will be transferred to the government archives. SR retention definition notes provide clear and specific selection criteria to the end user so they can determine which records within a secondary will be selected for full retention and be transferred to the government archives and which records will be destroyed.

DE: Destruction indicates that government archivists have determined that the records do not have sufficient value to justify their preservation and that the records will be destroyed at the end of their lifecycle. These rationales can help clarify why records that appear to be significant will not be transferred to archives, when this is not explained in other retention definition notes. For example, it may explain that these

# Schedule Drafting



apparently significant records are copies and can be scheduled for destruction because the originals are preserved under another classification.

NOTE: Provide an explanatory note(s) if any additional information is needed to facilitate the classification of the records, e.g. to anticipate interpretative ambiguities and/or to direct the user to the correct secondary.

Each NOTE should relate to a separate topic. If needed, provide multiple NOTEs for one secondary.

## PIB Flags

According to the *Freedom of Information and Protection of Privacy Act*, a personal information bank (PIB) is a "collection of personal information that is organized or retrievable by the name of an individual or by an identifying number, symbol or other particular assigned to an individual". If the records covered by a secondary meet this definition, add a PIB flag.

From *Youth Justice, Forensic and Specialized Intervention Services ORCS*:

| | | | | | |
|---|---|---|---|---|---|
| **80000** | **COMMON SERVICES – GENERAL** | | **A** | **SA** | **FD** |
| PIB | **-40** | **Volunteer files** | SO+2y | 8y | DE |

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## Secondary Examples

From *Data Integration and Analytic Services ORCS:*

| | | | A | SA | FD |
|---|---|---|---|---|---|
| **36100** | **DATA ACQUISITION AND INGESTION** | | | | |
| | **-20** | **Data provider agreements** | SO+7Y | nil | DE |

(covers the development, approval, and monitoring of agreements between data providers and the Data Innovation Program to acquire, share, use and manage program data)

(includes correspondence, briefings, analyses, agreements and supporting documents, amendments, worksheets, and records documenting the monitoring and management of agreements)

(arrange by data provider and then by data set)

RETENTION STATEMENT

Destroy seven years after the agreement and its renewals have expired, are superseded, or are terminated.

SO: when the agreement and renewals have expired, are superseded, or are terminated

7y: The retention period is consistent with the government standard for the retention of agreements and contracts, and provides a reference period for staff in negotiating subsequent agreements.

NOTE: Letters of Commitment agreements are used when data is shared between ministries and agencies within the Government of British Columbia. Information sharing agreements are used when data is shared between a government ministry and an external organization.

From *Office of the Premier and Executive Council ORCS*:

| | | | A | SA | FD |
|---|---|---|---|---|---|
| **10400** | **CABINET COMMITTEE DELIBERATIONS** | | | | |
| | **-20** | **Cabinet committee meeting case files** | CY+1y | 13y | FR |

(includes agendas, minutes, and records of decision)

(arrange by committee, then by date of meeting)

15y: The default retention period ensures that records of the deliberations of Cabinet are retained until such time as the records no longer qualify as exceptions until such time as the records no longer qualify as exceptions under the *Freedom of Information and Protection of Privacy Act* (RSBC 1996, c. 165, s. 12).

FR: The government archives will fully retain Cabinet committees deliberations - general, Cabinet committees tracking, and Cabinet committees administration records; and Cabinet committees meeting case files because they document the establishment, organization, deliberations, and meetings of Cabinet committees. Cabinet committees provide advice to Cabinet on key public policy recommendations and plans. These records have significant evidential, historical, legal and informational value.

NOTE: This secondary includes microfilm of the Cabinet Committee on Planning and Priorities files (1976 to 1983), stored off-site under accession 95-2523. Not all of the contents of the corresponding physical files have been microfilmed. Microfilming has since been discontinued.

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From *Teacher Regulation ORCS*:

**38020 TEACHER CERTIFICATION AND CONDUCT REVIEW** — **A** | **SA** | **FD**

PIB **-20** **Current, former, and prospective certificate holders** — SO | 80y | SR

(covers records created, collected, or received in the course of carrying out the activities described in this primary with respect to a specific applicant or certificate holder)

(arrange by individual's unique identifying number; if number is not known, arrange by individual's name)

SO: when the individual's certificate or letter of permission was last cancelled or relinquished if no certificate or letter of permission has ever been issued to the individual, then calculate retention from the date the file was last closed as rejected or abandoned; if neither of these is known and the records concern a review or action that concluded prior to the creation of the College of Teachers, then calculate retention from January 1st, 1988

80y: The 80-year retention period is based on the life expectancy of the youngest student that a certificate holder could potentially teach, and is intended to allow the student their full lifetime to hold the office of primary responsibility accountable for carrying out its duties under legislation.

SR: The government archives will fully retain the following:

- records of findings and decisions made at, or in preparation for, a disciplinary and professional conduct hearing that was carried out under the authority of the *Teachers Act* (SBC 2011, c. 19) or the former *Teaching Profession Act* (RSBC 1996, c. 449), as these records show how standards were applied in cases where their interpretation relative to events was contested;
- the ministry's primary copy of each final consent resolution agreement, as these provide summary evidence of how standards were applied over time;
- records that predate the establishment of the Department of Education in 1921, because they document activities that may not be documented elsewhere in the policy and executive records of a government body.

NOTE: Copies of records from, or prepared for, Cabinet-level deliberations aimed at determining whether to suspend or cancel for cause an individual's teaching certificate should be scheduled as part of that individual's case file under this secondary: such deliberations no longer take place, but would have been carried out from 1988 to 1993 under section 37 of the *Teaching Profession Act* (RSBC 1996, c. 449) for certificate holders who were not members of the college; prior to 1988, they would have been carried out in regard to any certificate holder under provisions of the *School Act* (RSBC 1996, c. 412). Similarly, copies of records of formal appeals, to the minister, of decisions to suspend, cancel or refuse to grant a certificate to an individual to teach in independent schools, which were carried out prior to 2012 under provisions of the *Independent School Act* (RSBC 1996, c. 216), should be scheduled as part of that individual's case file under this secondary.

# Schedule Drafting



**Developer consults with GRS/archivist in developing the System Overviews.**

## System Overviews

The Systems Section assists users in applying classifications from an information schedule to digital records and data in a system.

Like their physical, hard copy counterparts, digital records and data can only be destroyed or transferred to the digital archives in accordance with an information schedule. Data in systems and the records that flow into and out of them meet the definition of a record in the *Interpretation Act* (RSBC 1996, c. 238, s.29), and therefore are subject to the *Information Management Act* (SBC 2015, c. 27), and the *Freedom of Information and Protection of Privacy Act* (RSBC 1996, c. 165).

*NOTE: Under FOIPPA, an analytical tool known as the Privacy Impact Assessment (PIA) is completed for each new government system. You may find information within these PIAs to be useful when developing the Systems Section.*

Systems are an integral part of the recordkeeping system structures for organizations that use them, but their relationship with records, and with one another, can be complex. Systems may be complex with linked or related systems, or they could be a simple Access database used to track one activity within a program area; regardless of the complexity, if the system generates and stores data, it will likely require a systems overview. To determine whether a system requires an overview, consult your government records officer or archivist

System overviews are an important tool used by data administrators and provide guidance that can be used by the administrators to develop system purge or digital archives transfer routines for the data, records, and other information retained in their operational systems and covered by the *ORCS*.

The System Overview is not meant to replace or duplicate the detailed technical documentation maintained by offices responsible for developing and maintaining the system itself.

### *ARCS* and Other Schedules Applied to Systems

System overviews are not required for systems that contain purely administrative data, or systems that do not store records or data within the system itself. The following examples could be covered under other schedules, such as *ARCS* or a special schedule, or do not require an overview:

- Simple government program area websites,
- Microsoft Office applications such as SharePoint sites, excel spreadsheets, etc.,
- Backup data and system logs,
- Software that is used for processing purposes, but does store data.

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## Systems Section Components

The Systems section is organized in the following order:

- Systems Section Table of Contents
- Systems Section Primer
- System Overview(s)

### *Table of Contents*

The Systems Section Table of Contents is an alphabetized list of systems covered by a system overview in the *ORCS.*

Rules for the Systems Section Table of Contents:

1. List all operational systems covered by a system overview, in alphabetical order. If there is a predecessor system mentioned in a historical note, include the predecessor system name in the Table of Contents.
2. Provide acronyms in addition to the full system name, where used and appropriate (i.e. if the acronyms exist, are used by the system owner or would be useful).
3. Provide page numbers.

SAMPLE SYSTEMS SECTION TABLE OF CONTENTS

*DATA INTEGRATION AND ANALYTIC SERVICES*

*OPERATIONAL RECORDS CLASSIFICATION SYSTEM* (*ORCS*)

SYSTEMS SECTION TABLE OF CONTENTS

| *SECTION AND TITLE* | *PAGE NO.* |
|---|---|
| SYSTEMS SECTION PRIMER | 2 |
| DATA INNOVATION PROGRAM TASK TRACKING (DTTS) | 4 |
| METADATA CURATOR | 7 |

# Schedule Drafting



### *Systems Section Primer*

The Systems Section Primer, part of the templates zip file, is intended to provide system administrators with more information regarding system overviews, including frequently asked questions about systems and data.

### *System Overview(s)*

System Overview(s) are composed of the following elements:

- System Title
- Creating Agency
- Date of System Description
- Purpose
- Information Content
- Inputs, Processes, and Outputs
- Digital Archives Consideration
- Historical Note
- Data Retention Plan

### System Title

Give the system title and acronym, if applicable. The title should meaningfully describe the function of the system in plain language. Capitalize the title of the *ORCS*.

For related and linked systems (i.e. two or more systems serving related functions and/or linked through a common higher-level system), developers may want to create an overarching system title and then create a separate element listing each system covered by the System Overview. For example:

**YOUTH JUSTICE**

**SYSTEMS OVERVIEW**

**Creating Agency**
Ministry of Children and Family Development (MCFD), Youth Justice
Ministry of Public Safety and Solicitor General (PSSG), BC Corrections

**SYSTEM TITLES**
This system overview pertains to three databases used by youth justice staff for client case management, incident reporting, program evaluation, and analytical and statistical reporting: Corrections Network System (CORNET), Integrated Corrections Offender Network (ICON) Portal and the Youth Justice Data Warehouse.

# Schedule Drafting



## Creating Agency

Provide the name of the office with operational responsibility for creating the data held in the system. If there is just one creating agency, list from the highest level to the lowest on their own individual line (e.g. Ministry, Division, Branch). If there are multiple creating agencies, follow the convention in the example above. Whenever possible, provide the relevant ministry name and intervening names in the hierarchy, consistent with the most updated version of the Indented Organizational Chart. If the creating agency name appears more than once in the overview, include an acronym and use it in subsequent references.

> ***NOTE***: *In most cases, the name of the creating agency is different from the Information Management Office responsible for the development and ongoing technical maintenance of the system.*

## Date of System Description

This date reflects the date that the developer completed the system overview and got final approval and sign off from the program area's SME. It typically does not correspond with the final approval date of the *ORCS*.

## Purpose

Give a concise description of the function(s) served by the system and provides context for the Information Content element. Include information such as:

- system type (e.g. Oracle database, Access database, web-based application, etc.),
- main business purpose the system serves, and
- how the system supports the program area in performing their operational functions.

## Information Content

Summarize the information content of the system, briefly outlining or listing the major data elements and the nature of the data found within it. Provide examples of types of data and records contained within the system. It is not necessary to list every field in the database.

Examples of data elements include:

- transactional data
- tracking data
- data pulled from other systems
- notes
- documents
- attachments

# Schedule Drafting



## Inputs, Processes, and Outputs

This element describes the high-level processes and how carrying out that process causes information to be entered, changed, or processed, and output from the system. Focus on describing data creation close triggers. For example, if the system manages client case information, indicate how the business activity causes the case to be opened and closed. Close triggers are particularly important for determining purge and Digital Archives transfer criteria. If some of the data in the system is required for ongoing program management, evaluation or tracking purposes consider what the impact of deleting a specific case will be.

Provide the description as either one narrative or subdivide it into inputs, processes, and outputs.

> *Inputs:* describe who uses the system (i.e. staff, contracted service providers), the tools used to add information to the system (e.g. keyed in by staff, uploaded from another system), and what triggers data creation.
>
> *Processes:* describe at a high level the integrated set of activities through which the system transforms input data into the desired outputs. Data close triggers can also be described here.
>
> *Outputs:* describe at a high level the types of reports and other outputs generated by the system, whether the data is uploaded to other databases, and whether data extracts are made publicly available (i.e. via the BC Data Catalogue), and if so, on what timetable.

If describing more than one system, describe the inputs, processes, and outputs for each system, if they differ.

## Digital Archives Considerations

This element lists any specific considerations relating to the transfer of the data to the Digital Archives.

If no data is being transferred to the Digital Archives, or there are no special considerations, this section can be omitted.

## Historical Note

If necessary, for clarification and understanding, provide information about predecessor system(s) and whether data was partially or fully migrated to the current system. Include other historical details that may not be covered elsewhere in the systems section or in the body of the *ORCS*, such as when the system replaced manual processes.

## Schedule Drafting



### Data Retention Plan

The purpose of the data retention plan is to provide system administrators with purge or Digital Archives transfer guidance. It is made up of three parts, presented in table form:

- *Data Description:* Describe the type of data captured by the system. Developers can use the secondary title listed within the body of the *ORCS* if it adequately describes the data. If not, create a title here that would be meaningful to the system administrators.
  - If secondary title within the body of the *ORCS* only refers to data, then use the same title in the Data Retention Plan section (e.g. bus pass case data). If the secondary title doesn't explicitly refer to data and covers both paper files and data (e.g. bus pass files), then change the secondary title to something more suitable (e.g. bus pass data).
- *Secondary Number*: List the secondary number that the data is classified under (e.g. 36100-10).
- *Data Retention Period:* Provide a data retention statement, either using the retention statement associated with the secondary, or a modified statement that more clearly defines when the data is to be destroyed or transferred to the Digital Archives and when this is to be done.

***NOTE*:** *The data retention plan may list multiple secondaries. For example, when a system contains specific case data required for a short period and other data that is required for long-term reporting, program evaluation, and statistical analysis.*

# Schedule Drafting



SYSTEM OVERVIEW EXAMPLE

**Metadata Curator**

**SYSTEM OVERVIEW**

**Creating Agency**

Ministry of Citizens' Services
Office of the Chief Information Officer
Digital Platforms and Data Division
Data Systems and Services Branch

**Date of System Description**

April 8, 2021

**Purpose**

Metadata Curator is a web-based data administration tool. The purpose of this tool is to improve the quality and efficiency of the data upload and metadata management processes for data ingestion. The first phase of the application is focused on enhancing the data upload process.

Metadata Curator enables the following:

- ability to infer metadata on data providers' computers prior to encryption;
- ability to encrypt in data providers' environments prior to transfer;
- ability for data providers to transfer encrypted data to DIP through a secure gateway;
- ability to edit metadata via a web interface and denote metadata version;
- ability to have multiple individuals in a data provider team to transfer data and view team uploads;
- provide user access based on IDIR authentication;
- ability for data providers and staff curating metadata to add comments about the data files and fields prior to transfer and throughout the ingestion process; and
- ability to capture communication, insights, and decisions via the system instead of emails

**Information Content**

Metadata Curator contains information on the following:

- data provider information such as name, job title, contact information;
- audit trail of who uploaded data and when and who edits a metadata record so that data providers can see what was previously uploaded; and
- data set title, edition title, edition type, project specific editions, associated projects provided specific editions of data and metadata

# Schedule Drafting



SYSTEM OVERVIEW EXAMPLE, CONTINUED

**Inputs, Processes, and Outputs**

Inputs and processes

Metadata Curator is used by data providers and staff curating metadata during the data ingestion process. Data is imported and uploaded directly by data providers using a secure pass through ingestion system to import metadata and data sets. Metadata Curator prepares the data by encrypting data extracts, validating uploads, filtering metadata for de-identification and/or linking to other metadata and data sets. Data upload summaries are generated during the data preparation stage so that data providers can validate what is being uploaded prior to transfer and the summaries are kept for future reference.

Outputs

Metadata is published to the BC Data Catalogue and shared to the Metadata Libraries. It also creates data summary reports.

**Historical Note**

Metadata Curator MVP was developed by DIP in 2020 to replace existing manual processes. The first phase of the application is focused on enhancing the data upload process. Phase two development includes adding workflow associated with review or editing metadata and recording variable classification decisions and revisions.

**Metadata Curator**

**DATA RETENTION PLAN**

| Data Description | Data Retention Period |
|---|---|
| Data management registries and tracking<br><br>Classification 36000-10 | Destroy when no longer required for planning, tracking, reporting, and audit purposes. |

For additional classification details, including retention rationales, click on the links above.

For descriptions of system related records (e.g. back-up data, log files, and transitory electronic data processing (EDP) records), see the System Section Primer.

END OF OVERVIEW

# Schedule Drafting



**Developer consults with GRS/archivist in completing the Executive Summary.**

## Executive Summary

### Overview

The executive summary provides a concise, yet comprehensive overview of the major record series, retention periods, and final disposition recommendations within an *ORCS*. It explains the context of the records in terms of legislation, program functions, and the offices/program areas responsible for the records. The executive summary is an aid for high-level reviewers of *ORCS*, especially members of the ministry/agency executive, the Director of Archival and Records Initiatives (ARI) in the Government Records Service (GRS), and Information Management Advisory Committee.

The executive summary provides contextual information to assist in the implementation of the new *ORCS*/amendment by listing effective dates, indicating which records are covered (e.g. onsite or offsite), and if the *ORCS* supersedes other existing schedules. The executive summary also documents the endorsement of the *ORCS*.

There are three types of Executive Summaries, based on the type of *ORCS* project being summarized: new *ORCS*, formal amendment, and administrative amendment.

### Writing an Executive Summary

Write the executive summary after GRS has completed the appraisal and standards review. Use a narrative style, with full sentences; following the standard stylistic conventions listed in the Style Guide section.

The executive summary is composed of the following elements, each described below:

- Creating Agency
- Scope
- Date Range of Records
- Amendment Change Summary
- Notes of Application
- Standard Appraisal Considerations
- Specific Appraisal Considerations
- Summary List of Classifications

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## Elements of an Executive Summary

*Creating Agency (all summaries)*

List the creating agency from the highest level to the lowest (e.g. Ministry, Division, Branch). Whenever possible, provide the relevant ministry name and intervening names in the hierarchy, consistent with the most updated version of the Indented Organizational Chart.

*Scope (all summaries)*

Indicate relevant information, such as program area names, legislation, office of prime responsibility, etc. Also cite all legislation under which the records are created, accumulated, and used, as well as the statutory or regulatory authority behind retention and disposition recommendations.

For new *ORCS*, summarize the functions covered by the *ORCS*. For amendments, explain the reasons for the amendment and describe any new functions now covered by the *ORCS*.

*Date Range of Records (new ORCS and formal amendments only)*

For new *ORCS*, list the date range of the records.

For formal amendments, only list the date range if the amendment results in a change to the date range of the records *ORCS*.

*Amendment Change Summary (formal and administrative amendments only)*

Give a brief description of the amendment (1 or 2 lines maximum).

For example:

> *"Primary block covering teacher certification (12718 to 12740 inclusive) discontinued. Functions/activities now covered in Teacher Regulation ORCS."*
>
> *"Addition of Section 4 Legislative Counsel Services."*

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*Notes of Application (all summaries)*

Provide contextual information to assist end users in implementing the new *ORCS*/amendment. For formal amendments, if applicable, indicate effective dates of the amendment (i.e. is it retroactive or effective upon approval). Also indicate which records the amendment applies to.

For example:

> *"This ORCS amendment is retroactive and applies to all records, regardless of location (onsite and in off-site storage) and media, which are in the custody and control of the ministry."*

Indicate whether the new *ORCS*/amendment supersedes other schedules, such as ongoing schedules.

> ***NOTE:*** *These are considerations that should be considered throughout the ORCS/amendment project – don't wait until the last minute to figure this out as it can have substantial implications on the scope of the ORCS/amendment project.*

*Standard Appraisal Considerations (new ORCS and formal amendment only)*

Provides a brief description of standard appraisal considerations. This element is boilerplate and included in Executive Summary templates. Do not make any changes to the wording.

*Specific Appraisal Considerations (new ORCS and formal amendment only)*

For new *ORCS*, in bullet form, summarize the groups of records that have a final disposition of full retention (FR) or selective retention (SR). Provide retention rationale details for selected records with a final disposition of destruction (DE) (e.g. those with significant, precedent-setting, or unusual retention periods).

For formal amendments, in bullet form, summarize the groups of records that have a final disposition of FR or SR that are either new as part of the amendment or previously had a different final disposition. In paragraph form, provide retention rationale details for selected new secondaries with a final disposition of destruction (DE) (e.g. those with significant, precedent-setting, or unusual retention periods). Also summarize any significant reductions or increases in retention periods or significant change in final disposition (e.g. records that were previously fully retained but are now to be destroyed or an increase in retention period from 7 years to 90 years).

Example of the type of information to include:

> *"The combined active and semi-active period for all youth client files and related data ensures that the records are retained for 90 years from the date of birth. This retention period is based on a standard 90-year life expectancy*

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*calculation. This allows the client their full lifetime to hold the ministry accountable in the carrying out of its legislated duties. It also provides a reasonable period for the legal value of these records to be extinguished, given that there is no limitation period for initiating legal action relating to certain types of events that may happen during an individual's childhood (e.g. a claim relating to misconduct of a sexual nature) under the Limitation Act (SBC 2012, c. 13). The retention period also provides a substantial period to support research projects."*

### *Summary List of Classifications (new and formal amendments only)*

List in table form all classifications, classification titles, and retentions to provide a high-level view of the new or amended classifications in the *ORCS*.

For formal amendments, only list new classifications and classifications where the SO (superseded or obsolete) trigger or the total retention period has changed.

SUMMARY LIST OF CLASSIFICATIONS EXAMPLE

**SUMMARY LIST OF CLASSIFICATIONS**

SECTION 1 - DATA INTEGRATION AND ANALYTIC SERVICES

| Classification | Classification Title | Retention |
|---|---|---|
| 36000 | DATA INTEGRATION AND ANALYTIC SERVICES - GENERAL | |
| 36000-00 | Policy and procedures - final | SO 5y FR |
| 36000-01 | General | CY+1y nil DE |
| 36000-10 | Data management registries and tracking | SO nil DE |
| 36000-20 | Policy and procedures development case files | SO+5y nil DE |
| 36000-30 | User guides, guidelines, and work aids | SO 5y DE |
| 36100 | DATA ACQUISITION AND INGESTION | |
| 36100-01 | General | CY+1y nil DE |
| 36100-20 | Data provider agreements | SO+7y nil DE |
| 36100-30 | Metadata and data files | SO nil DE |
| 36200 | ANALYTICS PROJECT APPROVAL | |
| 36200-01 | General | CY+1y nil DE |
| 36200-20 | Analytics project agreements | SO+7y nil DE |
| 36200-30 | Analytics project data preparation and support files | SO+7y nil DE |

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EXECUTIVE SUMMARY EXAMPLE (FORMAL *ORCS* AMENDMENT)

*OFFICE OF THE COMPTROLLER GENERAL*
*Operational Records Classification System (ORCS)*
**EXECUTIVE SUMMARY FOR AMENDMENT 6**

**Creating Agency**
Ministry Finance
Office of the Comptroller General
Corporate Accounting Services

**Amendment Change Summary**
Changes to primary 27300 and related system overviews.

**Scope**
The purpose of this amendment is to update the retention periods for supplier-related records and data to reflect current business processes. This amendment covers the following four changes to primary 27300.

1. It modifies the SO criteria (i.e. the defined event that triggers the inactivation or closure of a file) in secondary 27300-60 Supplier case file data to reflect four unique supplier types.
2. It increases the retention period for secondary 27300-05 Purged suppliers list. This change increases the retention of the records from five to seven years, which is consistent with other secondaries in primary 27300.
3. It updates the language used throughout primary 27300 and in the associated Information System Overviews (ISOs) so that is consistent with, Supplier case file data 27300-60, reflects current business processes, and adheres to current ORCS development standards.
4. References to the *Limitation Act* replaced with the *Financial Administration Act* throughout the primary.

**Standard Appraisal Considerations**
The active and semi-active retention periods specified in the schedule meet all operational, administrative, legal, fiscal, and audit requirements. The final dispositions have been reviewed to ensure that records having enduring evidential and informational values are preserved.

**SUMMARY LIST OF AMENDED CLASSIFICATIONS**

PRIMARY 27300 - CORPORATE ACCOUNTING SYSTEM SUPPORT - DATA MANAGEMENT

| Classification | Classification Title | Retention |
|---|---|---|
| 27300 | CORPORATE ACCOUNTING SYSTEM SUPPORT - DATA MANAGEMENT | |
| 27300-05 | Purged suppliers list | FY+6y nil DE |
| 27300-60 | Supplier case file data | SO nil DE |

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EXECUTIVE SUMMARY EXAMPLE (FORMAL *ORCS* AMENDMENT), CONTINUED

**Endorsements**

This schedule was developed in consultation with staff and managers who conduct the operational functions in the creating agency. It has also been reviewed by appropriate Government Records Service staff to ensure it meets scheduling and appraisal standards, and reflects sound record keeping practices.

Schedule Number: 880967

Amendment Number: 170480

Schedule Developer: Archivist, 2021–07–19

Endorsed by Government Records Service: 2021–07–21

The government body endorses this schedule and its implementation: Executive Director, Office of the Comptroller General, Financial Management Branch, 2021–07–21

The Information Management Advisory Committee recommends this schedule for approval: 2021–10–07

Approved by the Chief Records Officer: 2021–10–21

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## *ORCS* Amendments

### Overview

The purpose of this chapter is to provide guidance for amending an information schedule. An amendment constitutes any change, from the addition of a cross reference, to the addition of a new primary or secondary, to a complete rewrite of an information schedule.

Like a vehicle, an information schedule requires regular maintenance to ensure that it is still in proper working order. From the day that it is first approved, small inaccuracies begin to accumulate (e.g. an office name may change resulting in outdated OPR statements). An *ORCS* needs to be amended when it no longer accurately reflects the records that are being created and managed, or when the durations that records must be retained, or their final dispositions are no longer appropriate.

Amendments are categorized as follows:

| Amendment Type | Description |
|---|---|
| *Minor change* | Minor changes that do not require either an administrative or formal amendment, such as correcting spelling/editorial errors. Contact your Government Records Officer (GRO) if minor changes are required to an *ORCS*. |
| *Administrative amendment* | Apply an administrative amendment when a change(s) made to an *ORCS* does not materially alter the scope of the records covered or their retentions. |
| *Formal amendment* | Apply a formal amendment when:<br>• a schedule no longer accurately reflects the records that are being created (i.e. changes are needed to add or remove categories of records covered)<br>• records need to be retained for a shorter or longer period of time than scheduled and/or final dispositions need to change |
| *Replacement of the ORCS* | Where appropriate, an *ORCS* may be deemed obsolete and replaced rather than undergoing a formal amendment. |

Government Records Service (GRS) recommends that each *ORCS* be thoroughly reviewed periodically to ensure that it reflects current operational records and to identify any needed updates.

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**Developer consults with GRO in determining type of amendment being sought (i.e. formal or administrative).**

Program areas wishing to amend their *ORCS* should speak with their GRO to determine which type of amendment is best suited to their needs before initiating an *ORCS* amendment project. For more information to assist in determining what type of *ORCS* amendment is required, see the *Developing and Amending Information Schedules Section.*

## Amendment Best Practices

When drafting a formal or administrative amendment to an approved *ORCS*, complete the following:

1. Request an amendment number from your GRS Government Records Officer (GRO) prior to beginning the amendment project. Your GRO will work with the Director, Archival and Records Initiatives team. This number is used in drafts and in approval documentation, and, if the program area utilizes it, it should also be used in EDRMS titling conventions. The amendment number is also used by GRS for tracking purposes.
2. Until the amendment is approved, use red font to indicate changes and edits made to the *ORCS*.
3. Ensure all components of the *ORCS* directly affected by the amendment are updated. For example, if a secondary is removed, remove all references to that secondary throughout the *ORCS*.
4. Use the "last revised" date in the footer of altered sections and parts of the *ORCS* to track dates of changes.
5. Ensure that the Register of Amendments and Summary of Changes documentation is included in the amendment package that is submitted to GRS.
6. Internally, GRS will submit the amendment for approval. It will be sent to the GRS Director of Archival and Records Initiatives (ARI) (for administrative amendments) or to the Information Management Advisory Committee and the Chief Records Officer (for formal amendments).

## Register of Amendments

The Register of Amendments provides a concise summary of all approved *ORCS* amendment(s), whether formal or administrative. The document lists the original schedule approval date, and contains the following information in table format:

- *Original schedule approval date:* The date the *ORCS* was first approved.
- *Amendment Number*: List the application number provided to you from GRS
- *Amendment Type*: Indicate whether the amendment is a formal or administrative.
- *Date Approved*: Enter the date that the Chief Records Officer approved the amendment.
- *Section/Primary/Secondary:* List the parts of the *ORCS* that were amended.
- *Changes:* Summarize the amendment made to the *ORCS*.

The Register of Amendments is placed after the *ORCS* Table of Contents and before Useful Information.

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REGISTER OF AMENDMENTS EXAMPLE

## *ORCS* REGISTER OF AMENDMENTS

This register lists all approved changes made to the *Information Technology Services ORCS*, in ascending order (i.e. the most recent changes appear first).

For more information about the changes listed here, see the relevant section, primary, and/or secondary; the *ORCS* may also have an appendix that provides a more detailed summary of changes.

**Original schedule approval date: 2002/02/21**

| Amendment Number | Amendment Type | Date Approved | Section/ Primary/ Secondary | Changes |
|---|---|---|---|---|
| 195726 | Administrative | 2021-09-10 | 92100-03 | Removed 'drafts' from the qualifier. |
| 170463 | Formal | 2020-12-08 | Section 1/ 92100 - 03<br><br>Section 2/ 94000 | Title of secondary 92100-03 changed to include additional record types<br><br>Secondaries in 93600 were merged with those of 94000<br><br>See Appendix A: Summary of Changes for details. |
| 144005 | Formal | 2014-04-10 | Section 3 / 95300 / various secondaries | The section covering security operations was changed to reflect new and updated procedures, particularly in relation to investigations into security incidents. Activity descriptions and other secondary statements were added, revised, or expanded to clarify what records they cover and what the retention triggers are. For several secondaries, retention periods were adjusted and final disposition was changed from SR to DE. |

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**Administrative Amendments are a delegated approval from the CRO to the Director, Archival Initiatives, GRS.**

## Administrative Amendments

Administrative amendments are non-substantive changes made to an approved information schedule that are nevertheless significant enough to warrant review and approval by GRS. Administrative amendments require fewer approvals than a formal amendment and can be signed off by the GRS Director of ARI, or their designate.

Follow standards and guidelines provided in this and other relevant chapters of the *Developer's Handbook*. Examples of administrative amendments include:

### *Wording Changes*

Minor changes to the wording of primary and secondary titles and notes that:

- do not alter the scope of information holdings covered by the relevant primary or secondary,
- do not alter the final disposition for the records (DE, SR, FR), or
- do not constitute a substantive change to the appraisal or selection criteria previously authorized by the Chief Records Officer or the Information Management Advisory Committee.

### *Re-distribution of Retention Times*

Re-distribution of retention time is acceptable if the total combined active and semi-active retention period remains the same (e.g. if CY+2y 5y DE is amended to CY+1y 6y DE).

### *Classifications (secondaries) Moved, Divided, or Merged*

Changes to alter or re-arrange secondaries while leaving the contents, overall retention periods, or final disposition of records unchanged. The general goal is to simplify and clarify; secondaries that reflect similar functions/activities and have the same retention periods can be merged, while others that are complex can be divided.

Examples include:

- one SR secondary is divided into two new ones that are DE and FR, reflecting the former SR criteria
- one secondary with multiple retention schedules (as used to be permitted) is split into two or more, each with its own schedule (e.g. paper records kept for CY+2y nil DE under one secondary, and the electronic records kept for SO+1y 5y SR under a separate secondary)
- changes that move one or more secondaries to a different primary, or
- merging secondaries covering homogeneous files.

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**Formal amendments undergo the same review process as new *ORCS*, including IMAC review and CRO approval.**

*Changes to ancillary sections of ORCS*

Administrative amendments include changes made to ancillary sections of the *ORCS* such as the executive summary, table of contents, system overviews, and appendices, provided they do not alter the scope or final disposition of any records covered by the *ORCS*.

### Administrative Amendment Request and Approval Procedures

The procedure for requesting and approving an administrative amendment includes:

1. Once the need for an administrative amendment is identified, the GRO will submit the request to the Director of ARI or their designate on the client's behalf.
2. Create an updated version of the relevant portion of the *ORCS* for the amendment package. The package must include:
   - An Executive Summary for Administrative Amendments, that summarizes the proposed changes made to the *ORCS*.
   - Annotated parts of the *ORCS* impacted by the amendment showing changes (e.g. red font). The footer of amended pages should show a "last revised" date to keep track of changes made.
   - If required, a Summary of Changes outlining the changes made to the *ORCS*.
   - Any other accompanying documentation that will assist reviewers in understanding the changes and the need for them.
3. Submit the administrative amendment to the Director of ARI for review.
4. Director of ARI approves the amendment and emails the endorsement to client, copying the GRO and archivist.

## Formal Amendments

Formal amendments require the same development, review, and approval process as new *ORCS*. Consult previous chapters of the *ORCS* Development Handbook as a reference tool for formal amendment projects, as the process to complete a formal amendment is an abbreviated version of the approval process for a new *ORCS* project. This includes:

- getting started: receiving executive support, submitting a proposal to the Prioritization Committee, reviewing legislation, doing research and analysis, etc.
- drafting the ORCS and program area review
- GRS review and archival appraisal
- review by the Information Management Advisory Committee and approval by the Chief Records Officer

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## Examples of Formal Amendments

The following types of changes may require formal amendments:

- altering the scope of records covered by the *ORCS*
- altering the final disposition of the secondaries
- making substantive changes to the appraisal or selection criteria for specific secondaries
- altering the combined active and semi-active periods for the records,
- adding new primaries and secondaries or removing existing ones,
- replacing, closing or removing primaries and/or secondaries
- adding or removing a system overview

## Replacing, Closing, or Removing Classifications

When amending an *ORCS*, developers may replace, close, or remove a primary and/or a secondary in order to better reflect the functions and activities of a program. However, this can cause significant impacts to records currently or previously scheduled under these classifications. To determine when to apply what action, see below:

### *Replacing classifications*

Developers may replace a primary or secondary with one or more classifications. The effective date of the amendment will determine whether replaced primaries and secondaries can continue to be used. Typically, existing records classified under replaced secondaries must be re-classified to alternate secondaries that are current in the approved version of the *ORCS*. This includes records already in off-site storage, but not any records that are no longer in the legal custody of the organization; exceptions to this convention must be described in the Executive Summary and made explicit otherwise there may be confusion during the implementation of the amendment.

Remove replaced classifications from the main body of the *ORCS*. Their previous existence need only be acknowledged in the Summary of Changes table, unless it is deemed useful to also reference them in explanatory notes under relevant primaries.

### *Closing classifications*

Closed primaries and secondaries remain effective for scheduling purposes, but only when applied to records already classified under that primary or secondary before the date the classification was closed. End users will not be able to apply the classification to new or existing files after the closed date has passed.

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*Removing Primaries and Secondaries*

If an existing primary or secondary is no longer relevant to the *ORCS* because a function or activity is no longer carried out by an organization, or the classification no longer accurately reflects that function or activity, developers may decide to remove the classification. Until all records covered by a closed classification have been destroyed or transferred to the government archives, the classification cannot be removed.

Removing classifications can seriously impact an *ORCS* and the records that may already be scheduled under that classification number. As such, developers should ask themselves if the existing classification can be closed but maintained intact until no longer needed, or if it should be removed.

To determine whether a classification should be removed, closed, or replaced, consult the archivist assigned to support you.

### Formal Request and Approval Procedures

Adhere to standards and guidelines provided in previous chapters of the Developer's Handbook when requesting and making formal amendments to an *ORCS*. Standards specific to formal amendments include:

1. Prepare an Executive Summary for a Formal Amendment as part of the amendment package. Follow the standards for executive summaries (Executive Summary Tab)
2. Include a Summary of Changes, which is essential to show the relationship between old and new versions of the *ORCS*.

Formal amendments follow the same approval process as a new *ORCS* project. See the Approval Process section and follow approval procedures listed in that chapter.

## Replacing an *ORCS* in its Entirety

*ORCS* have been in use since the late 1980s. When amending very old *ORCS* consider the following:

- Have the mandate and functions of a program area changed significantly?
- Do users feel that most of their records are not covered under the existing *ORCS*?
- Does the *ORCS* use subject based classifications instead of functional ones?

If it is determined that an *ORCS* is outdated and cannot be salvaged through an extensive formal amendment, an *ORCS* may be replaced in its entirety complete with a new schedule number. However, this is typically a "last resort" option due to the implications of replacing a classification system if it is already established and used within a program area. Introducing a new *ORCS* will significantly disrupt workflows used in these areas. Replacing an *ORCS* is also a large and complex undertaking that requires a developer with an advanced level

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of knowledge and experience in developing and amending *ORCS*.

Writing a replacement *ORCS* should follow the standards and instructions of developing a new *ORCS*, though developers will need to include a Summary of Changes document to link the old to the new *ORCS*.

The new *ORCS* may replace the old *ORCS*, requiring all records still in ministry/agency legal custody to be reclassified to the new *ORCS*. Alternatively, the existing *ORCS* may be closed allowing existing files to retain their classifications, but requires all records created and received after a designated cut-off date be classified in the new *ORCS*. The new *ORCS* would run concurrently with the closed *ORCS*, allowing records classified in accordance with the old *ORCS* to go for disposition. When all records covered by the old *ORCS* have gone for disposition, the old *ORCS* can be cancelled.

### Cancelling an *ORCS* that has been Replaced

When one *ORCS* is replaced by another, the original *ORCS* does not require an amendment to indicate its cancelled status. The Chief Records Officer implicitly approves the cancellation when they approve the new *ORCS*. Within the ministry/agency, ensure that all copies of the old *ORCS* are removed from circulation.

### Procedure for Replacing an *ORCS*

1. Discuss the issue with GRS before determining this course of action.
2. Submit a submission to the Prioritization Committee for approval.
3. Once approved by the Prioritization Committee, submit a request to GRS to obtain a new schedule number for the new *ORCS*.
4. Develop and submit the draft *ORCS* in accordance with procedures and standards outlined in relevant chapters of the Developer's Handbook. Include a Summary of Changes as an appendix to the initial draft of the *ORCS* (see form at the end of this chapter).
5. In the executive summary for the new *ORCS*, indicate whether the previous *ORCS* was closed or replaced, and provide its title, schedule number, and date of approval. If the previous *ORCS* was closed, indicate effective dates of the new *ORCS*.

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## Summary of Changes

The Summary of Changes is a guide for the transition between old and new versions of an amended *ORCS*.

The general principle for what to record in the body of the *ORCS* vs. the Summary of Changes is that the body of the *ORCS* is the main authority for records in existence today, not the entirety of every change that has occurred. The Summary of Changes is the place to document key changes in order to facilitate implementation. It is also used by the EDRMS team to update Content Manager and CRMS, if the program area utilizes these systems.

*NOTE: Previously, the Summary of Changes was referred to as a "Concordance Table" or "Summary of Amendments".*

A Summary of Changes document includes four columns, as shown below:

| Primary/Secondary | Title | Type of Change | New Retention [A/SA/FD] |
|---|---|---|---|

For *ORCS* with more than one amendment, update the original Summary of Changes with the new changes and add a fifth column for the amendment approval date. A ZIP file with the current Summary of Changes format is available here.

### Types of Changes

The following is a list of the types of changes that can occur in an amendment, each with instructions about how to document it in the body of the *ORCS* and/or the Summary of Changes. It also outlines possible implementation implications.

#### *1. New primary/secondary classification added*

Summary of Changes provides re-classification instructions and indicates changes required for EDRMS metadata.

| What appears in body of *ORCS* | Wording in *Type of Change* column of the Summary of Changes | Wording in *New Retention* column in the Summary of Changes |
|---|---|---|
| New classification appears in body of *ORCS* | "New"<br>If the new classification replaces another classification(s), add "Replaces [classification number and title]"<br>*Remember: Always add a row for the corresponding classification that is being replaced. Enter "Replaced – re-classify to [classification number and title]"* | "[A]/[SA]/[FD]" |

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### *2. Primary/secondary title changed*

Summary of Changes highlights key changes to assist in implementation, including updating EDRMS and LAN metadata.

| What appears in body of *ORCS* | Wording in *Type of Change* column of the Summary of Changes | Wording in *New Retention* column in the Summary of Changes |
|---|---|---|
| Changed title appears in body of *ORCS* | "Title changed to [new title]" | |

### *3. Retention period and/or final disposition changed*

Summary of Changes highlights key changes to assist in implementation, including updating EDRMS and LAN metadata.

| What appears in body of *ORCS* | Wording in *Type of Change* column of the Summary of Changes | Wording in *New Retention* column in the Summary of Changes |
|---|---|---|
| New retention period and/or final disposition appears in amended *ORCS* | | "Retention changed from [A]/[SA]/[FD] to [A]/[SA]/[FD]"<br>AND/OR<br>"SO definition changed from [old SO definition] to [new SO definition]" |

### *4. Classification is replaced by a new/other classification*

This can occur when an old number(s) is merged with or replaced by a new or another number(s). Essentially this means that a retention authority is being replaced by another authority. Depending on the effective date of the amendment, this may involve arranging for the new retention/final disposition to be applied to records that were transferred to offsite storage and are awaiting final disposition.

EDRMS metadata must be updated, and the replaced classification locked down. Records must be reclassified. If the relationship between the replaced and replacing classifications is not 1:1, reclassification may require a file review.

Summary of Changes provides re-classification instructions and indicates changes required for EDRMS metadata.

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| What appears in body of *ORCS* | Wording in Type of Change column of the Summary of Changes | Wording in New Retention column in the Summary of Changes |
|---|---|---|
| Classification does not appear in the amended *ORCS* | "Replaced - reclassify to [number and title of the classification that replaces it]"<br>*Remember: Always add a corresponding row for the classification that replaces the old classification. Enter "Replaces – [classification number and title]"* | If retention/final disposition changes because of being replaced, add appropriate wording:<br>"Retention [reduced/changed/increased] from [A]/[SA]/[FD] to [A]/[SA]/[FD]"<br>For example:<br>"Retention reduced from CY+1y/3y/DE to CY+2y/DE"<br>"Retention changed from CY+1y/3y/DE to SO/5y/DE"<br>"Retention increased from CY+1y/nil/DE to CY/5y/DE"<br>If SO definition is changed because of being replaced, add appropriate wording;<br>"SO definition changed from [old SO definition] to [new SO definition]" |

### *5. Classification removed*

A classification may be removed and have no replacement classification if there is no evidence that the classification was ever used. That is, there are no records with this classification onsite, in offsite storage, on the LAN, or in an EDRMS, and the program area/subject matter experts have no knowledge of the records in question.

A classification also may be removed if the records creator no longer carries out this function/activity and all records covered by the removed classification have gone for final disposition (destruction or full retention).

Upon approval of the amendment, this classification will no longer constitute an authority for the retention and disposition of records. Therefore, if records are found after the approval of the amendment that are or should have been classified under the removed classification, their disposal will require the approval of a new information schedule or an amendment of the current *ORCS*.

Upon approval of the amendment, EDRMS metadata for this classification must be locked down and not

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visible to users. The Summary of Changes and the EDRMS metadata serve as a record that the classification was formerly a part of the *ORCS*.

| What appears in body of *ORCS* | Wording in *Type of Change* column of the Summary of Changes | Wording in *New Retention* column in the Summary of Changes |
|---|---|---|
| The removed classification does not appear in the amended *ORCS* | "Removed - classification never used" or<br><br>"Removed - classification no longer required" | |

*6. Removal of a secondary for a system or database*

Older *ORCS* may include a secondary for a system or a database. *ORCS* format and content standards no longer require the system/database to be scheduled. Instead, the data stored in the system/database are covered by secondaries and contextual information about the system is captured in the system overview.

There are few implications related to the removal of a secondary for a system/database. Occasionally, clients have mistakenly applied these classifications to system documentation. System documentation should be classified under the applicable secondaries in *ARCS*.

Upon approval of the amendment, EDRMS metadata for this classification must be locked down and not visible to users. The Summary of Changes and the EDRMS metadata serve as a record that the classification was formerly a part of the *ORCS*.

| What appears in body of *ORCS* | Wording in *Type of Change* column of the Summary of Changes | Wording in *New Retention* column in the Summary of Changes |
|---|---|---|
| The removed classification does not appear in the amended *ORCS* | "Removed - classification redundant. Classify the data on the system under secondary [XXXXX-XX]. For more information about the system, see the Systems Section." | |

*7. Classification closed*

This is usually when a particular function or activity has been discontinued, and therefore, no more records covered by the classification will be created or received. However, there may be existing active and/or semi-active records with this classification, for which the approved retention period has yet to expire. For this reason, the authority for the disposition of the records needs to remain in effect.

EDRMS metadata must be updated to include the closed qualifier and if necessary, an explanatory note for

## Schedule Drafting



the closed classification or the addition of metadata for the new legacy classification. If creating a legacy classification, affected records must be reclassified to the legacy classification.

| What appears in body of *ORCS* | Wording in *Type of Change* column of the Summary of Changes | Wording in *New Retention* column in the Summary of Changes |
|---|---|---|
| Option 1:<br><br>If the closed classification is a secondary, show in *ORCS* as 'closed' by adding a qualifier to the existing secondary: "(closed secondary)"<br><br>Add an explanatory note explaining when and why the secondary became closed and indicating that it must not be used to classify newly created/received records.<br><br>If the entire primary is closed, add closed qualifiers to each secondary and primary explanatory note to explain when and why the primary closed | "Secondary closed".<br><br>If, upon a subsequent amendment, it can be determined that all the records under the closed classification(s) have been destroyed/transferred to the archives, then remove the applicable classifications from the body of the *ORCS* and follow the instructions for removal of a classification. | N/A |
| Option 2:<br><br>Create a new classification for legacy files in the *ORCS*. | Add an entry to the Summary of Changes for this replaced secondary. Enter "Replaced – re-classify to [classification number and title of the new classification for the legacy records]".<br><br>Add another entry in the Summary of Changes for the new classification and enter "Replaces [number(s) and title(s) of replaced classification(s)] in the Wording in Type of Change column. | If retention/final disposition changes as a result, add appropriate wording:<br><br>"Retention [reduced/changed/increased] from [A]/[SA]/[FD] to [A]/[SA]/[FD]"<br><br>For example:<br><br>"Retention reduced from CY+1y/3y/DE to CY+2y/DE"<br><br>"Retention changed from CY+1y/3y/DE to SO/5y/DE"<br><br>"Retention increased from CY+1y/nil/DE to CY/5y/DE"<br><br>If SO definition is changed because of being replaced, add appropriate wording:<br><br>"SO definition changed from [old SO definition] to [new SO definition]" |

# Schedule Drafting



### *8. Previously unscheduled defunct records*

This is when the amendment covers existing, never-scheduled records for programs or functions that are no longer running or operating.

EDRMS must be updated accordingly, and previously unclassified/unscheduled records must be classified and scheduled. If there is a draft classification in use in the EDRMS, then it must be locked down and the records managed in accordance with the new classification or the Records of Defunct Programs schedule.

| What appears in body of *ORCS* | Wording in *Type of Change* column of the Summary of Changes | Wording in *New Retention* column in the Summary of Changes |
|---|---|---|
| Option 1. Create a new secondary to cover the defunct records. Add a closed qualifier and an explanatory note indicating when and why the program or function ceased running or operating. | "New" | |
| Option 2: If there are multiple types of defunct classifications consider creating a new legacy records classification. Discuss the options with your GRS contact. | "New" | |
| Option 3: Apply to use the "Records of Defunct Programs" schedule (158691) | N/A | N/A |

### *9. Replace the Entire ORCS*

Sometimes the changes required to the existing *ORCS* are so extensive that it makes more sense to replace the *ORCS* with an entirely new *ORCS*. In this case, a Summary of Changes should be prepared that provides all the details regarding the removed, replaced, closed classifications. The Summary of Changes that accompanies the new *ORCS* should not include new classifications.

As with an *ORCS* amendment, some records will need to be re-classified and the EDRMS updated with the new *ORCS* metadata.

## Records Appraisal



**Developer provides archivist with final draft classifications for archival appraisal (assignment of final dispositions).**

# Records Appraisal

## About Archival Appraisal

**Archival appraisal** is the process of determining the final disposition of records. Records having enduring value to government and society are appraised for full retention. Upon reaching final disposition, such records will be transferred to the digital archives (when established) and/or the government archives, where they will be preserved for long-term accessibility.

Archival appraisal focuses on the information content of the records and the context of their creation. It takes into consideration their value for current administrative, operational, legal and fiscal use, as well as long-term evidential and informational values. These criteria are further detailed in CIRMO Policy: Archival Appraisal of Government Information. (See also RIM Manual Glossary of Terms for definitions of values.)

The Managing Government Information Policy (MGIP) requires that “Archival appraisal of government information must be undertaken by CRO delegates, in accordance with CRO policy and processes.” (MGIP 2.4) Government archivists are currently charged with this responsibility, and will make the final appraisal decisions regarding dispositions for newly developed schedules.

As an *ORCS* developer, you should consider final dispositions and retention periods while developing your primaries and secondaries. The government archivist will take your recommendations into consideration while completing their appraisal of the records being scheduled.

Factors taken into consideration during appraisal include: relationships to other records; physical format and media; arrangement; date range; accessibility; and volume of records.

The central question of archival appraisal is: Which records should be kept in order to provide the best evidence of the structure, history, and major actions and decisions of the functions and programs concerned?

## The *ORCS* Appraisal Process

When a GRS archivist reviews an *ORCS* under development for the purpose of archival appraisal, they will meet with the *ORCS* developer and/or Records Officer, and possibly relevant program staff, to discuss and ask questions. The expertise of the Records Officer, the *ORCS* developer, and program staff is invaluable for the appraisal process. Additionally, the archivist will often need to view a sampling of the records under consideration for archival retention.

During these discussions, recommendations may be made to enhance relevant portions of the *ORCS* to ensure records to be retained will be adequately documented and described.

As defined in CIRMO Policy: Archival Appraisal of Government Information:

- GRS archivists are typically responsible for conducting archival appraisal and supporting the CRO in ensuring archival appraisal decisions allow for the preservation of valuable government information.
- The Director responsible for the GRS appraisal function is responsible for reviewing and endorsing appraisal recommendations.
- Information Management Advisory Committee is responsible for reviewing and endorsing information schedules, including the appraisal recommendations they contain.
- The Chief Records Officer is responsible for final approval of information schedules.

## Standard Archival Appraisal Questions

### Purpose of the Questions

The standard questions relating to final disposition may be similar to questions that have come up in the course of developing the *ORCS*. GRS recommends using the appraisal questions to inform your *ORCS* development research as this may simplify and expedite the appraisal process.

However, in the context of appraisal, the archivist's focus is not on identifying program area functions to develop classifications, but rather on identifying records of permanent value to BC and its citizens.

This list of standard questions is provided as an aid to enable the developer to contribute to appraisal by:

- obtaining the information necessary for the archivist to determine the final disposition of records, and
- supplying information about the records that will assist in the development of practical selection criteria for records designated for selective retention.

The answers to some of the questions may require research by the *ORCS* developer. Not all the questions will

# Records Appraisal



apply to all types of records.

Many of these standard questions may already have been addressed by the *ORCS* developer through scope notes, primary and secondary titles, and in other notes under specific secondaries. For questions that are not resolved in scope notes or require more detailed responses, create a separate document for the additional information and provide it, along with the draft *ORCS*, to the archivist. Alternatively, answers can be provided verbally at meetings with the archivist.

## How To Use These Questions

As a developer, you will need to supply a **suggested** final disposition for each secondary in the *ORCS*. The final disposition choices are:

- destruction (DE),
- selective retention in the government archives (SR), or
- full retention in the government archives (FR).

You are NOT required to supply formal statements explaining the reasons for destruction or retention, or the selection criteria for SR records. The government archivist will provide these statements and criteria during the *ORCS* review process.

However, you should provide an informal note explaining in your own words the reasons why you and the program staff think the records are important enough to justify full or selective retention in the government archives. Where appropriate, you may also supply reasons you recommend destruction, and criteria for selection. The archival appraisal questions provided here are used to help determine the value of the records and can be helpful for preparing these informal notes.

You are not required to answer every question in writing for every secondary. During the archival review stage in the *ORCS* review process you should be prepared to answer the questions in this chapter that are relevant to each secondary.

# Records Appraisal



## Sample Appraisal Questions

The standard questions are first presented as a checklist of questions for easy reference.

### *Functions and Contents*

1. What function or activity do the records covered by this secondary document?
2. Are there earlier forms of these records that may have documented the same function or activity?
3. What information is in the records covered by this secondary?
4. What is the information used for?

### *Context and History of the Program Area*

5. Were the functions that are performed by this office or agency previously performed somewhere else in the government?
6. Does the office or agency have custody of the records from the office or agency that previously performed the functions, or does the staff know where the records are?
7. What other information can you supply about the history of the records and the functions they document?
8. Are there any current functional links to other parts of the ministry/agency or elsewhere in government?

### *Evidence of Decisions and Actions*

9. Do the files covered by this secondary contain a record of decision-making? If so, which decisions?
10. Would the records be an important resource for researchers interested in understanding how the program worked?
11. Do the records covered by this secondary contain information that provides evidence of actions that may have long-term ramifications?

### *Information Duplicated/Summarized Elsewhere*

12. Is the information in the records covered by this secondary duplicated or summarized in other files, annual reports, or other summary documents?
13. Is the information in this series duplicated or related to information in electronic form (including database)?

### *File Type, Media, Arrangement*

14. Is this a non-case file or a case file series?
15. In what media do the records exist?
16. Are there "special media" among the records in this secondary?
17. How are the records arranged?

# Records Appraisal



18. Are records created and filed in a central office or regional offices?
19. What is the volume of the records series?

*Appeals*

20. Do the records covered by this secondary document decisions or other processes related to appeal functions?

*ARCS Links*

21. Are there other records filed under *ARCS* that are vital to understanding the operational activities documented in these records?

***NOTE****:* *Many of these questions were already discussed in the Research and Analysis: Fieldwork section, in the context of Interviewing SMEs. For the remaining questions, more detailed explanations are provided below.*

## Questions specific to records appraisal

*Functions and Contents*

**1. What function or activity do the records covered by this secondary document?**

The importance of the function or activity can affect the final disposition of the records. Records of more important functions are more likely to be retained in the government archives.

> *E.g. It may not be worth retaining a program's client registration records, but the case files that document how the program is delivered to the clients may be valuable enough to selectively retain. The annual statistical reports on the performance of the program, summarizing participation demographics, may be important enough to justify full retention in the government archives.*

**3. What information is in the records covered by this secondary? (This means information of all kinds and in all types of documents, including forms. Please note the titles and numbers of any ministry forms in the record series.)**

Do the records contain information on clients, services provided (if so, what services), policy and standards, etc.? If the records are reports, on what do they report, for what purpose, and to whom? If they are computer reports, what data do the reports contain? If the records contain correspondence, who is the correspondence from, who is it to, and what purpose does it serve? Please note the titles and numbers of any ministry forms in the record series and what information is collected on each form.

> *E.g. a particular case file series may contain personal information on clients, such as name, residence, place and date of birth, ID number, and/or details on service provided.*

# Records Appraisal



**4. What is the information used for?**

*E.g. reference (explain why information is needed), claim substantiation (describe what types of claims are being substantiated), service delivery (describe what service is being delivered).*

### *Information Duplicated / Summarized Elsewhere*

**12. Is the information in the records covered by this secondary duplicated or summarized in other files, annual reports, or other summary documents?**

If the information is available elsewhere at a sufficient level of detail, it is probably not necessary to retain the series under consideration, or a small selection might be appropriate.

*E.g. "Statistical summaries of this information are filed under secondary 89999-02."*

**13. Is the information in this series duplicated or related to information in electronic form (including database)?**

It is useful to know if the information is documented elsewhere, particularly if it is partially or fully duplicated in a database, where the information can be manipulated in various ways.

*E.g. "Some information from these files is duplicated on the CMS database (names, registration numbers, and date of last payment received)."*

### *File Type, Media, Arrangement*

**14. Is this a non-case file or a case file series?**

- **Non-case files** (should be secondaries 02 –19): files maintained in a single folder or a few volumes, providing general information on specific subjects or documenting a function (e.g. inquiries and reports arranged chronologically).
- **Case files** (should be secondaries -20 on): a series of many files relating to a common function, each of which contains records pertaining to a specific time-related entity, such as a person, event, project, transaction, product, or organization.

# Records Appraisal



**19. What is the volume of the records series (secondary)?**

This information is useful in determining what proportion of records might be retained if selective retention is being considered.

> *E.g. 50 boxes of files created per year. Possible appraisal: selective retention by retaining one box of these records per year.*

### *Appeals*

**20. Do the records covered by this secondary document decisions or other processes related to appeal functions?**

*This includes appeal processes of any kind, including quasi-judicial appeals.* Because successful appeals of government decisions potentially generate adjustments to related policy or procedure, appeals records often have enduring value. Therefore it is useful to identify the appeal function and related functions and records, especially if the record title does not mention or infer the appeal function.

> *E.g. A typical description reads: "…These hearings are quasi-judicial so may be subject to an application for judicial review pursuant to the Judicial Review Procedure Act. In addition to being subject to judicial review the decision of a regional manager may be appealed to the Director, Fish, Wildlife and Habitat Protection Branch by the person affected by the decision if he/she is aggrieved. Similarly, a decision by the Director may be appealed to the Environmental Appeal Board."*

### *ARCS Links*

**21. Are there other records filed under *ARCS* that are vital to understanding the operational activities documented in these records? If so, what are the specific links with *ARCS* records?**

Knowing the final disposition of related records in *ARCS* can help to determine whether it is necessary to retain certain records covered by an *ORCS*.

> *E.g. Minutes of the committee that makes the decisions documented in this series are filed in ARCS 200-20. Possible appraisal: FR the series because it documents the decisions made by the committee, as ARCS 200-20 files are SR and therefore will not be fully retained.*

## Finalizing Schedule



**Developer works with GRS archivist to ensure PDF review binder is formatted within established standards.**

# Finalizing Schedule

## Arrangement

For purposes of review, the developer will collate the various component documents of their schedule drafting into one PDF document or 'binder'. PDF binders include the following *ORCS* sections. All templates referred to in this table may be downloaded here (.zip file):

| Section | Template | Action |
|---|---|---|
| Cover page artwork | *[not in folder]* | GRS Archivist will add the title of the *ORCS* to the GRS-approved Cover Page. |
| Register of amendments<br><br>[*for Amendment only*] | *[not in folder]* | GRS Archivist will update this register when the amendment is approved by the CRO. |
| Amendment Review Guidelines<br><br>[*for review packages only*] | *[not in folder]* | If presenting an amendment, the GRS Archivist will add this section. The template includes generic instructions for reviewers. Update the highlighted sections. Amended sections are identified by red text, and new sections by 'NEW' in black text. |
| Table of Contents for the *ORCS* review binder | 02 ORCS Table of Contents | Detail the contents of the review binder.<br><br>Amended sections will be in red text. New sections will be in black text, identified with 'NEW' in all caps. |
| Useful Information | 03 Useful Information | Insert PDF file of Useful Information. |
| Executive Summary | 01a Executive Summary for a New ORCS<br><br>OR<br><br>01b Executive Summary for Amendment | Provide an overview of the changes to the *ORCS* or the rationale for developing a new *ORCS*, the records affected and how the *ORCS* should be applied. |
| Section title page | 04 Section Title Page | Add a brief overview to the contents of the section. This is not a scope note, just a summary of the functions and activities covered. |
| Section Table of Contents | 05 Section Table of Contents | Prepare a table of contents for the forthcoming section. |

# Finalizing Schedule

- ***Arrangement***
- Build PDF Binder for Reviews

| Section | Template | Action |
|---|---|---|
| Section Default Primary | 06 Section Default Primary | Use this to add primary to your *ORCS*.<br>Fold it into the section body. |
| Policy Primary (optional) | 07 Policy Primary | This may be added to classify organizational policy information.<br>Add it to beginning of the *ORCS*. |
| Section body | 08 Basic Primary | You will have drafted your *ORCS* using this template.<br>Update the red text in the footer to reflect the current date, *ORCS* number, acronym and section number. |
| Systems Section | 09 System Section Table of Contents | Insert the draft system section table of contents, which also includes the System Section Primer. |
| System Overview | 10 System Overview | All the draft system overviews can share a footer, and can therefore be saved as one document.<br>Update the footer to reflect the current date, *ORCS* number, acronym and 'System Section'. |
| Appendix A: Summary of Changes | 11 Appendix A Summary of Changes | For an amendment, complete the Summary of Changes table, documenting the amended and new classifications.<br>Add the title of the *ORCS* in the header, update the footers, and remove the other red text in the template. |

# Build PDF binder for reviews

*NOTE: This section covers instructions for both new ORCS and amendments. Acrobat Pro or equivalent PDF-authoring software is required to build the binder.*

## Convert to PDF and Re-name the Files

- Convert each Word document to a PDF and save them. When naming the PDF, number it according to its placement in the binder, so each PDF displays in the correct order in the folder, e.g.:

  01 Cover page.pdf
  02 Amendment Review Guidelines.pdf
  03 ToC.pdf
  04 Useful Information.pdf
  05 Executive summary.pdf
  06 Section title page.pdf
  07 Section 1 ToC.pdf
  08 Section 1.pdf
  09 System Section ToC.pdf
  10 System Overview <system name>.pdf
  11 Summary of Changes.pdf

- Select all the PDFs. Right click and select 'Combine Files in Acrobat'.

- Acrobat will assemble the files into one PDF binder.

# Finalizing Schedule

- Arrangement
- ***Build PDF Binder for Reviews***

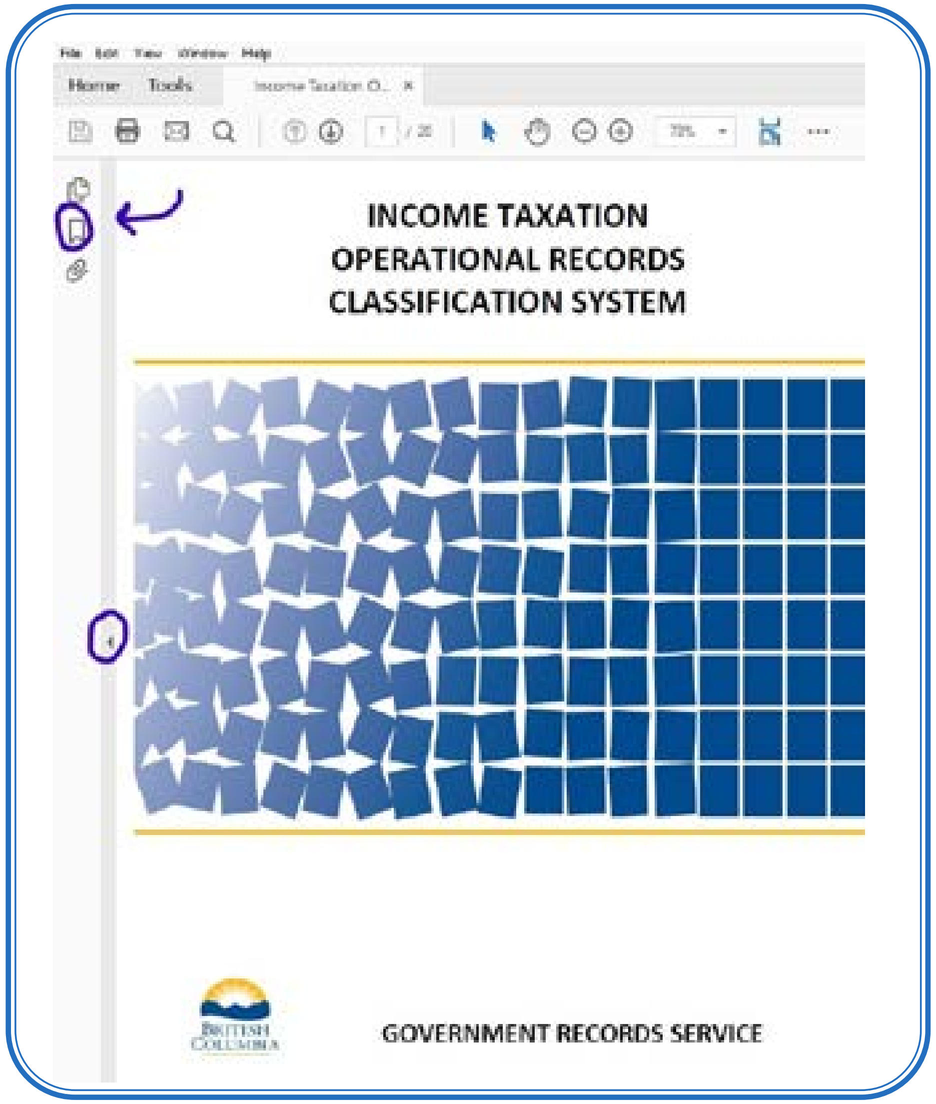
## Add Bookmarks to PDF

Open the PDF binder to add bookmarks for each section.

Bookmarks are found in the left-hand menu of the file and are represented by the ribbon icon. If you cannot see the menu, click on the arrow half-way down the page to open it.

Bookmarks are auto-populated according to the file names of the files comprising the binder. Delete or modify the names as necessary for clarity.

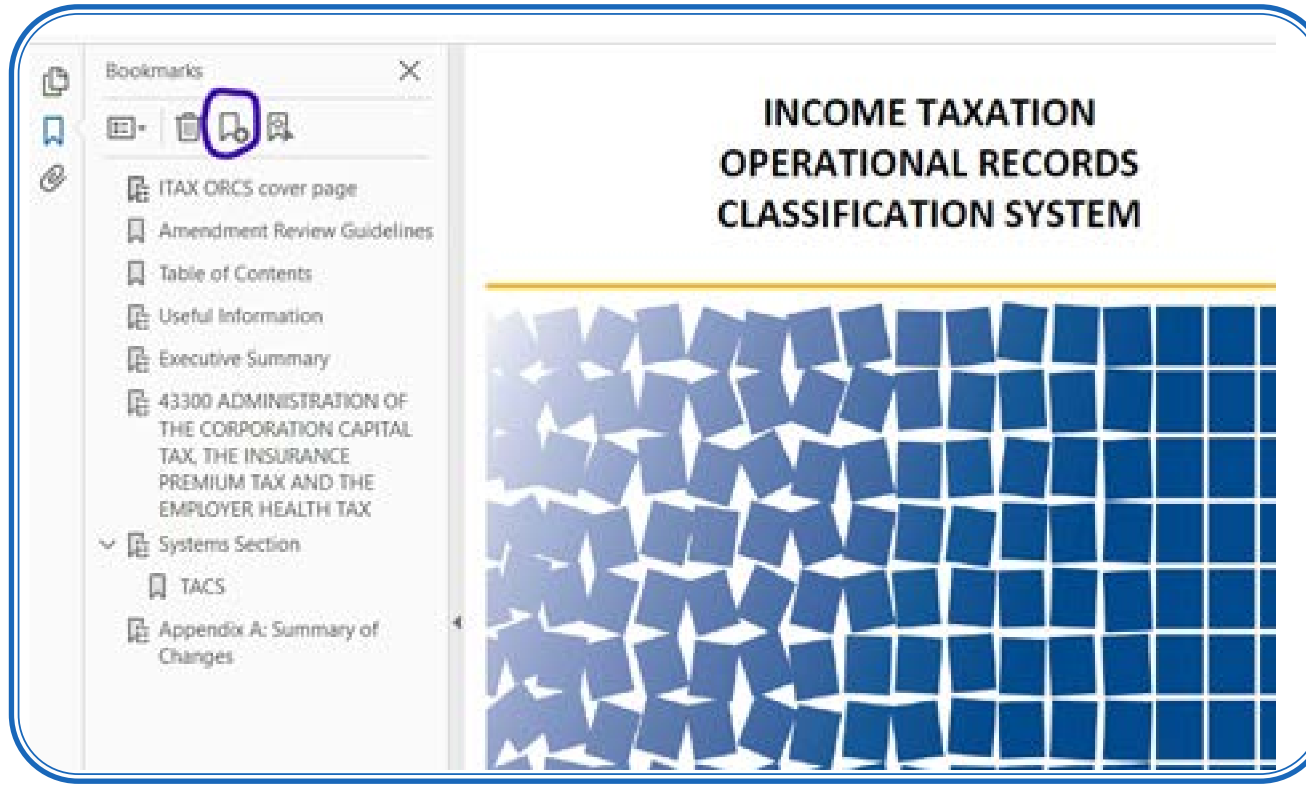
Click on the ribbon icon to open the Bookmarks menu.



# Finalizing Schedule

- Arrangement
- ***Build PDF Binder for Reviews***

Go to the page you want to bookmark. In this example, we have selected the Cover Page.

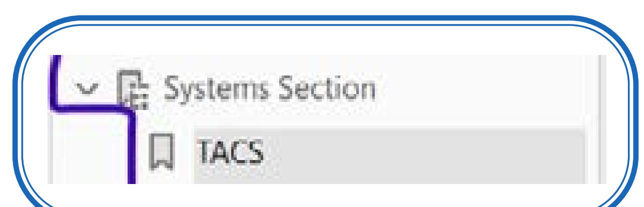



In the Bookmarks menu, select the 'ribbon +' icon to add a new bookmark to the PDF. A textbox will open up in the panel. Add the name of the bookmark. In this example it is 'ITAX ORCS cover page.'

Alternatively, you can click on the existing name of the bookmark and edit it. Just make sure that the bookmark links to the correct section of the binder.

To delete a bookmark, right-click on the bookmark in the panel and select delete.

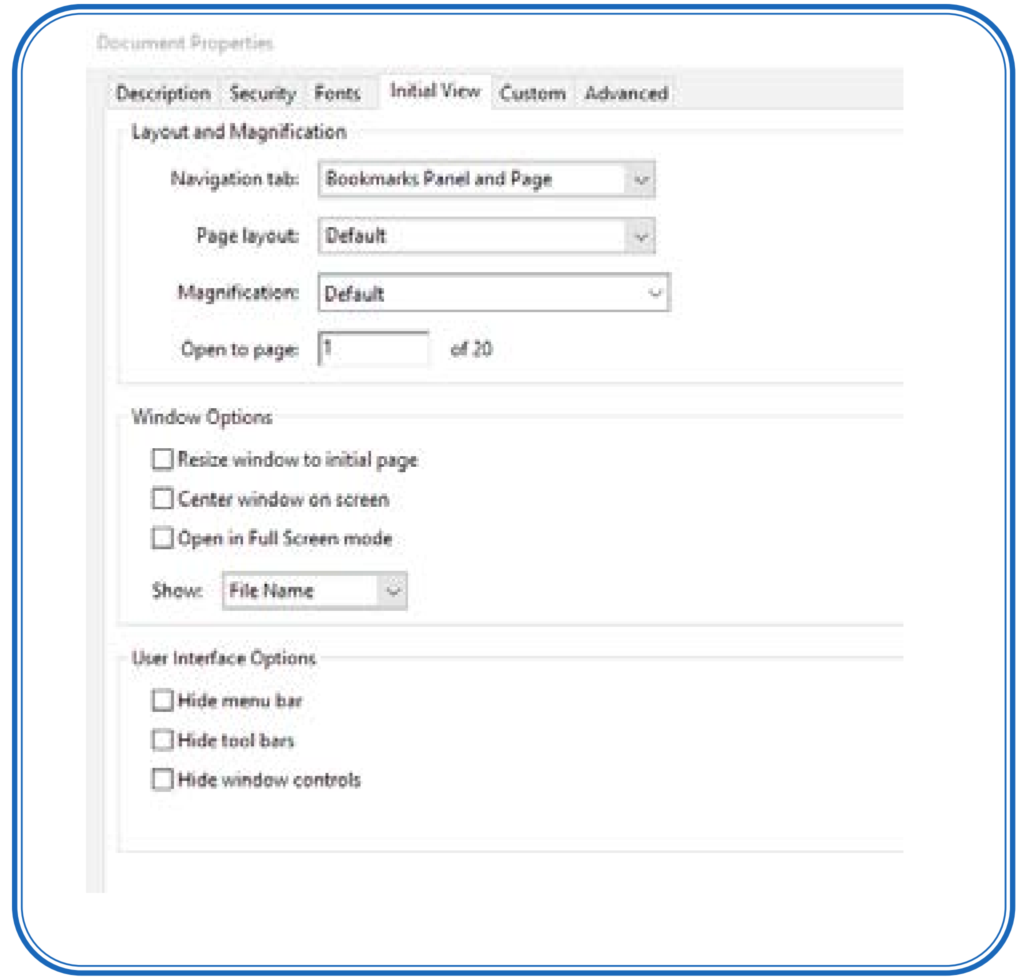
Nest subsections of the binder by selecting the name of the section to be nested, holding down the select button on the mouse and moving the text to the indented position in the menu.



# Finalizing Schedule

- Arrangement
- ***Build PDF Binder for Reviews***

Add a bookmark for each section of the *ORCS* review binder. To ensure the bookmarks menu opens when the file is opened, go to the top menu and select > File > Properties > Layout and Magnification > Navigation tab: Bookmarks Panel and Page.



# Approval Process

## Information Schedule Review Process

1. Ministry Program Area
   *SMEs, program head, legal review*
2. Central Agency
   *Standards review, GRS endorsement*
3. Public Consultation
4. IMAC Review and endorsement
5. Chief Records Officer approval

# Approval Process



## *ORCS* Review Process

### *Ministry Program Area*

1. Distribute the *ORCS* PDF binder for review ('review binder') to the project sponsor and SMEs that you consulted as part of the research phase, and set an appropriate deadline for them to complete their review (usually two to four weeks, depending on the scope of the amendment/*ORCS*).
2. Incorporate recommended changes. You may need to consult with GRS about the changes to ensure they meet archival standards, especially if they relate to retention and disposition of the records.

### *Peer / Archivist*

1. After the program area recommendations have been incorporated, send the review binder to the GRS archivist who will review the suitability of the records groupings, classification titles, and ensure the *ORCS* meets GRS archival and recordkeeping standards.
2. Incorporate the recommended changes, advising the project sponsor of archivist's recommendations.

### *ARI Director / GRO*

1. Once the archivist's recommendations have been incorporated, send the review binder to the ARI Director and Government Records Officer who will review it for clarity, plain language, general GRS standards and consider if it is practical to implement.
2. Incorporate the recommended changes. Consult with the GRS archivist if there are any questions or concerns.
3. At this stage, the GRO will initiate implementation of the schedule (see next section).

### *Legal*

1. As with the previous reviews, after the recommendations are incorporated, prepare the *ORCS* for review by legal council. See Preparing for an *ORCS* Legal Review (pdf) for guidance. They will review the *ORCS* for legislative alignment and address any other legal aspects of the schedule, such as the impact of the *Limitation Act* on certain records series and legal issues around privacy, retention periods and legal claims.
2. Incorporate the recommended changes, advising the program area of the changes and legal rationale for them.

*NOTE: A legal review may not be required for administrative amendments; or if there are no major changes to retentions and dispositions of the records; or the scope of the amendment is not impacted by legislation.*

### *Final Sign-Off (Sponsor, Developer, Archivist, ARI Director)*

1. Re-distribute the final *ORCS* to the Program Area Sponsor, GRS Archivist and the Director of ARI for their final sign-off endorsing the schedule.
2. Add your name to the Executive Summary on the 'Schedule Developer' line.

# Approval Process

- *ORCS* Review Process
- ***Implementation Planning***
- Public Consultation and IMAC Submission
- Chief Records Officer Approval and Endorsements
- Publication

## Implementation Planning

Whilst the schedule is still in development, the GRO will open an ***ORCS* implementation project folder** in the EDRMS and provide the link to the developer and the GRS archivist.

As part of the development process, the developer will create and maintain an interview list (see the Fieldwork section) and a Knowledge Transfer Document (Word template). File these in the ORCS implementation project folder and update them accordingly. The developer may add other reports and resources as needed.

Deliver the draft schedule for review to the GRO as part of the review process. The GRO will review a series of reports on the current state of the program area records to coordinate implementation of the schedule.

When the *ORCS* is added to the IMAC agenda for approval, the developer will arrange a Knowledge Transfer Meeting with the GRO, and if possible, representatives from Records Centre Services (RCS) and the EDRMS team.

During the meeting, the developer will highlight key information they gathered during the ORCS development process that will impact implementation, and walk everyone through the ORCS and, in for amendments, the Summary of Changes. Any specific considerations should be highlighted and documented in the Knowledge Transfer Document. The developer will also provide the interview list from their earlier research to help the GRO identify appropriate contacts at the program area when implementing the schedule.

The GRO will then begin planning for implementation by preparing an implementation project charter, a draft implementation plan, which they will review with the developer, and communication and resource documents. As part of planning, the GRO may follow up with the developer for clarification or to address concerns.

The GRO will meet with the schedule implementation sponsor and may invite the developer to join.

Once the *ORCS* has gone through the approval process and has been signed off by the CRO, the implementation can proceed.

# Approval Process

- *ORCS* Review Process
- Implementation Planning
- ***Public Consultation and IMAC Submission***
- Chief Records Officer Approval and Endorsements
- Publication

**Information Management Advisory Committee (IMAC) Process**

The Information Management Advisory Committee (IMAC) is a committee established to advise government's Chief Records Officer (CRO) in relation to approval of information schedules pursuant to the *Information Management Act* (IMA). The committee meets bi-monthly and is chaired by the Executive Director of the Government Records Service (GRS) and consists of members from across government including the Comptroller General, Legal Services Branch, CEO or designate from the Royal BC Museum, Risk Management Branch, and any others named by the CRO.

IMAC requests a minimum of two weeks prior to the meeting for any agenda items and supporting materials to be provided to the IMAC secretariat or their designate. When supplying the materials please also include the names of the developer and archivist who completed the appraisal, as well as the program area expert who will be joining the meeting as part of the presentation of the schedule. The two weeks requested is to ensure sufficient time for IMAC members to review the agenda and draft schedules prior to the meeting. If guidance is needed for preparing for the presentation to IMAC, it should be requested from GRS at this same time.

When presenting the schedule to IMAC it is best to be prepared for questions from the Committee as to the program background, how it will be implemented, and about records retention. It will be determined in the meeting following the presentation whether or not IMAC decides to recommend it be forwarded to the Chief Records Officer for approval. If not recommended, IMAC will indicate the reasons with the expectation that items will be remedied and brought forward to a future IMAC meeting.

**IMAC Meeting Timeline Guide**

6 weeks before IMAC: Schedules are posted for public consultation.

3 weeks before: Feedback from public consultation is reviewed and schedule revised as needed

2 weeks before: Schedules and agenda are provided to IMAC members

.

# Approval Process



## Public Consultation and IMAC Submission

Once the review package has been reviewed and endorsed by GRS and the program area, update the endorsements section in the Executive Summary to reflect the approvals. Notify the GRS Archivist of your intent to present at the next IMAC meeting and they will notify the IMAC Secretariat who will then plan the meeting, send invitations, and prepare the agenda. It is best to do this right after the review stage is completed and just before the schedule is posted for public consultation.

Submit the final, approved draft of the *ORCS* to GRS to be posted online for public consultation. Information schedules are posted for public consultation here, and will be available for comments from the public for 21 days. At the end of the consultation period, the Secretariat will notify the developer of any comments submitted by the public. Incorporate changes as appropriate and necessary. Consult with GRS about significant changes.

Towards the end of public consultation, confirm with the GRS Archivist that the *ORCS* will be presented at the next IMAC meeting. The GRS Archivist will confirm the date with the IMAC Secretariat.

Submit the final approved draft, as well as any other relevant information, to the IMAC Secretariat.

> *NOTE: The IMAC Secretariat is typically the Director of Archival and Records Initiatives – consult your GRO to obtain contact information for the Secretariat.*

SAMPLE EMAIL: INTENT TO PRESENT AT IMAC

> Dear [name of Secretariat],
>
> May I tentatively book a slot on the next IMAC agenda in [month]? I intend to present an amendment to the [title/ ORCS/ schedule number].
>
> [Indicate how much time will be needed for the presentation; typically, shorter or less complicated schedules are given 10 min; longer or more complex are typically given 15-20 min.]
>
> Attending the meeting along with myself will be [name(s) of ministry representative(s)].
>
> Thank you,
>
> [Developer Name]

# Approval Process



The Secretariat will add the Developer and ministry representatives to the invitation for the IMAC meeting. Typically, the project lead and one or more subject matter experts attend. Although they are not expected to contribute to the presentation, they are available to answer any questions about the program area and its workflows.

The Secretariat will send out a 'Hold' invite to block off the time in your calendar. Once the time, date and attendees are confirmed, they will send out a formal invitation.

## Preparing the IMAC Presentation

The IMAC presentation should present a broad overview of the *ORCS*, summarizing the new or amended classifications and retention periods. For new *ORCS*, include the rationale for the development of it. For amendments, explain significant changes made to the *ORCS* and the reasons for them. Usually, the main content of the Executive Summary can serve as the basis for the presentation text. If possible, write the presentation when development is concluded so all the information and explanations are fresh in your mind.

Begin the presentation by Introducing yourself and the ministry representatives in attendance, including their job titles. Also provide a few sentences about the ministry and the work it does. This information can be found on the ministry website, and if it is appropriate, repurpose it for your presentation.

The presentation should be about 10 to 20 minutes long, depending on the size and substance of the amendment/new *ORCS*.

## IMAC Meeting and Presentation

Presentations are typically conducted either in person or over MS Teams with the committee members joining from their respective program areas. The following government agencies/ministries are represented at the meeting:

- Executive Director of Government Records Service, who also serves as the Chair of IMAC
- Director of Archival and Records Initiatives, IMAC Secretariat
- Comptroller General or senior-level delegate
- Senior Counsel, Legal Services Branch
- Head of Archives or senior-level delegate, Royal British Columbia Museum
- Executive Director or senior-level delegate, Risk Management Branch
- Other delegates that the Chief Records Officer (CRO) may select, including a minute taker from GRS

# Approval Process



Present the *ORCS* and then ask if there are any questions. If you or a program area representative cannot immediately answer a question, reply that you will look into it and respond by email. In these cases, your responses can be sent to either the Secretariat or to the whole Committee.

At the conclusion of the meeting, or shortly thereafter, the Committee will recommend the *ORCS* for CRO approval, and the Secretariat will forward the *ORCS* and the meeting minutes to the CRO for their approval and endorsement. If there were questions that required follow up, the matter maybe brought forward to the next meeting before a determination of a recommendation can be made.

## Chief Records Officer Approval and Endorsements

Once the committee agrees to recommend the *ORCS*/schedule, the Chair of IMAC will provide the CRO with the materials, inform them of the committee's decision and request the CRO's approval.

The CRO's approval is sent to the IMAC Chair via e-approvals. GRS will notify the developer when the *ORCS* is approved and can be distributed/published and implemented.

Once this is received, update the Executive Summary to reflect the Committee and CRO approvals and build the PDF binder of the entire *ORCS* for publication.

## Publication

An *ORCS* is ready to be published following the approval of the Chief Records Officer (CRO), or, in the case of an administrative amendment, after the approval of the Director of Archives and Records Initiatives (ARI). Unless otherwise noted, developers are responsible for the tasks outlined below.

**GRS publishes final binder on behalf of ministry.**

### Notify GRS to Update Tracking Information

Email the following information to GRS so that they can update the schedule tracking information in ARIS:

- date the *ORCS* was endorsed by the Director of ARI
- dates the *ORCS* was sent to and received from the Project Sponsor for endorsement
- dates the *ORCS* was posted to and removed from the public consultation website
- date the *ORCS* was presented to IMAC
- date that the *ORCS* was approved by the CRO

# Approval Process



## Prepare Publication Version of the *ORCS*

As of winter 2021, the approved version of the *ORCS* is published in pdf format regardless if it was drafted using Word or CIVIX.

Ensure that the publication version includes any changes that resulted from, or where identified during the CRO review stage.

In the draft document you used to prepare the review binder for the review and approval stage, remove the draft date and insert the approval date in the date field in the footer and in the CRO Approval date line in the Executive Summary of the *ORCS*. Make sure you are using the APPROVED headers and footers in the *ORCS* and not the DRAFT version; contact GRS if you don't have the APPROVED header and footer templates.

If the approved *ORCS* was an amendment, make the following changes to the draft document:

- change all red font to black
- complete the Register of Amendments to reflect the CRO approval date and summarize the changes made in this amendment

If the amendment has several executive summaries, discuss with your archivist whether previous summaries should be included in the publication version. Depending on the scope and scale of the amendment, it may be confusing to list several executive summaries. However, past summaries can provide context to how the *ORCS* has changed over time so they may be useful to keep in the new version of the *ORCS*.

Once the changes have been complete, combine all required components of the *ORCS* into a single pdf publication copy. See the Build PDF Binder for Reviews chapter for a refresher on how to complete this, if needed.

Submit the approved binder to GRS for a final review. This review is for editorial and quality control purposes: no changes will be made to the classification structure or retention periods in this review.

# Approval Process

- *ORCS* Review Process
- Implementation Planning
- Public Consultation and IMAC Submission
- Chief Records Officer Approval and Endorsements
- ***Publication***

## Filing Publication Version of the *ORCS*

Once the publication version of the *ORCS* has been prepared and approved by GRS, it is ready to be filed in government's EDRMS, Content Manager.

Create a folder in EDRMS, classified under ARCS-00432-00. Use the following naming conventions:

- For a new *ORCS* – Approved: [Name of ORCS] ORCS, Schedule [Number]

  *e.g. Approved: Youth Justice, Forensic and Specialized Intervention Services ORCS, Schedule 144823*

- For an amended *ORCS* – Approved: [Name of ORCS] ORCS, Schedule [Number] – Amendment [Number], Application [Number]

  *e.g. Approved: Office of the Comptroller General ORCS, Schedule 180968 – Amendment 6, Application 170480*

File the final versions of the following into the 432-00 folder:

- Word documents for each component of the *ORCS* (i.e. Executive Summary, Section 1, System Overview, etc.)
- Combined PDF file of the *ORCS*
- If applicable, the CIVIX xml file
- All email approvals and endorsements

If you do not have access to Content Manager, email copies of these records to your archivist so they can file them in the EDRMS on your behalf.

## Publishing *ORCS* to the *ORCS* e-Library

Once the *ORCS* has been checked and approved by GRS, it will be ready to be published on the government's e-Library website. Your assigned archivist will do this on your behalf; they will cc you on all communications to the web master.

To make this process run smoothly, provide the following information to your archivist:

- Full name of the *ORCS*
- Schedule number
- Ministry or Agency
- CRO approval date
- Amendment number (if applicable)

# Approval Process



Once the *ORCS* is published to the e-Library, notify the Project Sponsor, cc'ing your GRO and archivist. Advise your Sponsor to remove and, if desired, replace any old paper versions of the old *ORCS* with the new version in any reference libraries on site. Direct any questions that the program area may have about the implementation of the *ORCS* to their GRO.

**Sample Email**

Hello <xxxx>,

Your *ORCS* has now been published: <include html link>. If they haven't already, your Government Records Officer, <xxxx>, will be in touch regarding implementation planning for your *ORCS*.

Please replace any paper versions of the *ORCS* you may have in your office with the newest version.

Cheers,

<xxxx>

## Implementation and Review



# Implementation and Review

## Pre-Implementation Phase

While development is within the Review/Consultation phase it is advisable to determine how implementation will occur. At this point, advise the program area that the schedule will soon be going for approval and confirm who will be leading implementation, so they can be contacted to provide notices to those involved and to provide them with time to begin preparing for the implementation. The Government Records Officer will be notified via the CRO approval notification letter.

The implementation phase includes the Implementation Lead from within the ministry, your Government Records Officer, and ministry or program records and program staff.

The Implementation project activities include:

- identifying key individuals, tasks, and timelines
- gathering Subject Matter Experts from across the business area to introduce the new schedule to staff
- identifying the roles and responsibilities of the program area and of the Government Records Officer
- developing communications and training plan
- incorporating a 6-month post-implementation review to examine how effectively the schedule has been implemented, to address any items or concerns raised by the implementation team, and to determine if there are portions of the schedule which need to be readdressed through a future amendment.

For resources on *ORCS* Implementation contact GRS who can provide you with guides, templates, and other supporting materials. GRS will be working on developing an *ORCS* Implementation Handbook next year and, once completed, this resource will be available for ministries.

# Implementation and Review



## Knowledge Transfer Meeting

Once the information schedule is approved by the Chief Records Officer, preliminary work on implementing the schedule should already be primed and underway. As the Schedule Developer, you will need to conduct a knowledge transfer meeting to convey important information to the Implementation Team Lead and assist the project team who will be involved in putting the approved schedule into operation for the program area. The meeting should be led by the Schedule Developer and should provide for the sharing of the explicit and tacit information learned by the Schedule Developer in establishing the schedule.

Generally the agenda covers the following items:

- Overview of the approved Schedule,
- The Concordance Table and Program area history,
- Program area approaches to business delivery,
- Rationales for *ORCS* design choices,
- Unique records or unusual business practices, and
- Future records risks including current solutions to mitigate those risks.

In addition, any notable, specific considerations should be highlighted and recorded. Supplemental information, such as reports, pictures, videos, documents, emails, summaries, or samples can also be included as appendices to the Knowledge Transfer document or shared directly during the meeting.

The Knowledge Transfer meeting is in essence a handoff to the Implementation Lead, as well as an information session for those individuals who will be key members of the implementation team. It is suggested for this meeting that the following individuals be in attendance:

- The Schedule Developer
- GRS archivist who completed the appraisal of the records
- GRS Government Records Officer or Analyst
- Schedule Implementation Lead
- Executive Sponsor or Champion
- A subject matter expert from the program area
- Ministry records contact
- Administrative staff who may be supporting the project
- Those who support or are directly impacted by the implementation.

# Implementation and Review



The knowledge transfer meeting is meant to be a collaborative and informative meeting and open discussions are encouraged. It is important to remember this hand off meeting will provide easy and rapid knowledge access to the implementation team and aid in the implementation of the schedule.

Though the Schedule Developer may not form part of the Implementation Project, it is recommended they be available for future follow-up meetings, or to answer questions during the implementation project.

## Project Close-Out

Before finalizing the schedule development project, one additional event is recommended: the project close-out meeting. Depending on the size and scope of the project you may decide to incorporate this into the knowledge transfer meeting or instead have a dedicated session.

The Project Close-Out has two purposes. The first is to provide time to reflect upon the project and celebrate the accomplishments achieved and take note of events and issues that did not work as well. The second is to ensure all documentation has been collected and completed. This includes:

- Project completion review and sign-off;
- Ensuring that all deliverables have been met and completed;
- Gathering all project documentation, project charter and plan, e.g.
  - Control documents (correspondence, meeting notes, status reports, contract files, signification issues),
  - Technical documents and checklists,
  - Reports, evaluations and lessons learned,
  - Any procurement documentation, contractual obligations, associated paperwork; and
- Completion of a project wrap-up form and/or lessons learned form.

Documenting these discussions as a group provides excellent feedback for all involved including the executive and Government Records Service. This feedback can then be brought forward for future schedule development projects.

# Implementation and Review



## Implementing the Approved Schedule

The next phase in an organized records program is to incorporate the approved schedule into the program area, which sets them up for immediate success and furthers the momentum started with the information schedule. An implementation typically consists of four main stages: a readiness evaluation, an approval process, a training and integration phase, and a project closeout.

The Schedule Developer's involvement in the implementation of the approved schedule may vary in functionality from light and sporadic assistance (such as attending the Knowledge Transfer meeting at the beginning of the project) to full involvement. As the developer, you may be asked to become a participant on the implementation team. This could be as a subject matter expert, or a consultant, or even the Implementation Lead. For this reason, it is important to be aware of what is involved in Schedule Implementation by referring to the *ORCS* Implementation Toolkit.

At the start of the implementation phase, it is important for the Implementation Lead to establish a project charter and gather the various team members whose roles and expertise will help plan and execute the Schedule Implementation project. The Lead is supported by their Records Officer Team in GRS and, depending on the size of the project or program area, may also have ministry records management specialists, ministry subject matter experts, and local administrative staff as part of the implementation team. Once the project is underway, the focus of the team is to ensure the program area is trained on records management principles and their information schedules in addition to providing support in applying the information schedule(s) to existing records. The Implementation project is considered finalized when the training is completed, and the program area is working independently to manage their records.

Performing a project closeout ensures all deliverables from the project charter have been completed and reported out to the program area executive. However, it should be noted the Implementation Lead also conducts a follow-up review somewhere between three and nine months after the schedule implementation has been completed.

At the end of the implementation project, the *ORCS* schedule will have been integrated into the program area as a routine part of their business processes: a useable tool that supports the business functionality and sets retention periods (lifecycles) for all operational records in any format (e.g. paper, electronic, databases and systems). The ongoing records maintenance within the program area will facilitate good decision-making, support the daily operations of the program and general responsiveness to information queries, provide a fulsome record of business activities, and preserve government records of vital and historical significance.

## Appendices and Resources



# Appendices and Resources

## Acronyms and Abbreviations

| | |
|---|---|
| ARCS | Administrative Records Classification System |
| ARI | Archival and Records Initiatives |
| ARIS | Archival Records Information System |
| CIRMO | Corporate Information & Records Management Office |
| COP | Community of Practice |
| CRO | Chief Records Officer |
| CY | Calendar year |
| DE | Destruction |
| EDRMS | Enterprise Document and Records Management System |
| FD | Final disposition |
| FOIPPA | *Freedom of Information and Protection of Privacy Act* |
| FR | Full retention |
| FY | Fiscal year |
| GRO | Government Records Officer |
| GRS | Government Records Service |
| IMA | *Information Management Act* |
| IMAC | Information Management Advisory Committee |
| IOC | Indented Organizational Chart |

# Appendices and Resources



| | |
|---|---|
| LAN | Local Area Network (i.e. shared drives) |
| MGIP | Managing Government Information Policy |
| MRO | Ministry Records Officer |
| OAN | Ongoing Accession Number |
| OCIO | Office of the Chief Information Officer |
| OPR | Office of Primary Responsibility |
| ORCS | Operational Records Classification System |
| PIA | Privacy Impact Assessment |
| PIB | Personal Information Bank |
| RCS | Records Centre Services |
| RIM | Records and Information Management |
| SA | Semi-Active |
| SME | Subject matter expert |
| SO | Superseded or obsolete |
| SR | Selective retention |

# Appendices and Resources



## Linked Documents

DH001 - *ORCS* or Amendment Request Checklist (PDF)

DH002 - Kickoff Meeting Sample Presentation (PPT)

DH003 - All Status Report Guide (PDF)

DH004 - IOC Guide (PDF)

DH005 - *ORCS* Interview Template (XLS)

DH006 - System Overview Sample (PDF)

DH007 - Developer's Checklist: All Status Report and IOC (PDF)

DH008 - *ORCS* at a Glance Template (DOC)

DH009 - Preparing for an *ORCS* Legal Review (PDF)

DH010 - *ORCS* Knowledge Transfer Report Template (DOC)

DH011 - Considerations for Special Media Records (PDF)

DH012 - Roles and Responsibilities (XLS)

Information Schedule Request Form (DOC)

*ORCS* Development Project Charter (DOC)

# Appendices and Resources



## Web Resources

Information Schedules @ gov.bc.ca

Information Schedules - Public Consultation page

*ORCS* 2020 Standard - Format Templates (.zip file)

*ORCS* Library

# Appendices and Resources



## FAQs (for future expansion)

As the Developer's Handbook is used and applied to schedule development by GRS and ministry clients, frequently asked questions and related guidance will be added to this appendix...