

Biggs, Jackie CITZ:EX

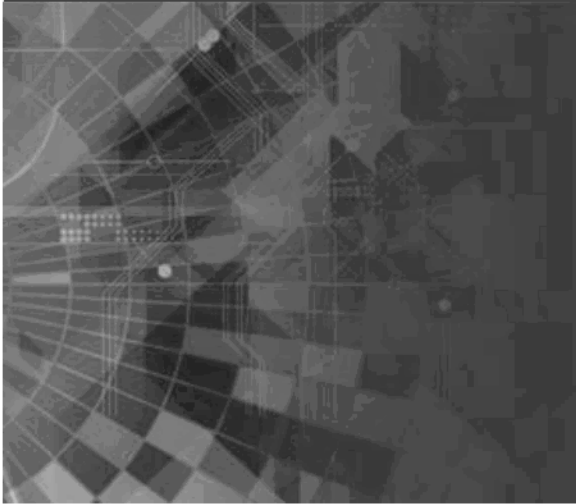
From: Biggs, Jackie CITZ:EX
Sent: April 12, 2019 10:37 AM
To: Fairbairn, Joel CITZ:EX; Hoskins, Chad CITZ:EX; Laidlaw, Susan CITZ:EX; Reed, Matt CITZ:EX; Standbridge, Mirella CITZ:EX
Cc: Thow, Taylor W CITZ:EX; Pridmore, Kerry CITZ:EX; Berglund, Lara CITZ:EX; Jacobson, Nathan CITZ:EX; McKamey, Kristy CITZ:EX; Van El, Wendy M CITZ:EX
Subject: FW: Executive Message from Kerry Pridmore: IM117 Mandatory Training

Please encourage your staff to complete the new IM117 training.

“CIRMO.....leading by example”.

J

From: Executive Update PSA:EX
Sent: April 12, 2019 10:02 AM
Subject: Executive Message from Kerry Pridmore: IM117 Mandatory Training



Kerry Pridmore
Assistant Deputy Minister
and Chief Records Officer
Ministry of Citizens' Services



IM117: Mandatory Information Management Training

The BC Public Service is committed to supporting effective information management. *Information Management: Protection of Privacy, Access to Information and Records Management (IM 117)* is an online course that equips employees with essential information management tools. It supports employees to build a strong, modern foundation for information management, which improves the citizen experience.

Newly revised with important information, the updated IM 117 is a mandatory, self-directed e-learning course to familiarize you with rules around managing the information you create and receive in the course of your work. Reflecting new Information Management Act requirements, including the recent documenting government decisions directive, the 60-minute module focuses on:

- Records management
- Proactive disclosure of information
- Duty to assist a Freedom of Information (FOI) applicant
- Proper search for records
- Privacy obligations, including what to do in the event of an information incident or privacy breach.

In addition to providing greater detail about information management topics, the updated course is developed based on employee feedback from the previous version.

Please register now

Register for this course through the Learning System.

New employees need to take the course when they join the BC Public Service. Existing employees must complete the updated course before the **July 15, 2019 deadline** (unless an extension is approved by the assistant deputy minister) and will be required to do so every two years to refresh their knowledge.

For further information or assistance, please contact:

- BC Privacy and Access Helpline
- Your ministry privacy officer

Thank you for making this a priority in your workplace, and continuing to enhance public access to government records and protect the personal and sensitive information of all British Columbians.

Sincerely,
Kerry Pridmore
Assistant Deputy Minister and Chief Records Officer
Ministry of Citizens' Services



Where ideas work

Biggs, Jackie CITZ:EX

From: Pridmore, Kerry CITZ:EX
Sent: April 10, 2019 1:57 PM
To: Laidlaw, Susan CITZ:EX
Cc: Reed, Matt CITZ:EX
Subject: Re: Question for you

Follow Up Flag: Follow up
Flag Status: Completed

Yes please

On Apr 10, 2019, at 1:52 PM, Laidlaw, Susan CITZ:EX <Susan.Laidlaw@gov.bc.ca> wrote:

Hi Kerry,
GRS can definitely help with this – do you want me to reach out to James?

Susan Laidlaw

t: 778-698-2900 c: 778-678-2097

From: Pridmore, Kerry CITZ:EX
Sent: Wednesday, April 10, 2019 1:47 PM
To: Shypitka, James M EDUC:EX <James.Shypitka@gov.bc.ca>
Cc: Reed, Matt CITZ:EX <Matt.Reed@gov.bc.ca>; Laidlaw, Susan CITZ:EX <Susan.Laidlaw@gov.bc.ca>
Subject: FW: Question for you

Hi James – thanks for the email, meant to respond much earlier.

Thanks for flagging the below – I'll chat with the team on who is best positioned to collaborate and circle back.

Kerry

From: Shypitka, James M EDUC:EX
Sent: April 6, 2019 11:40 AM
To: Pridmore, Kerry CITZ:EX <Kerry.Pridmore@gov.bc.ca>
Cc: Perkins, Gary CITZ:EX <Gary.Perkins@gov.bc.ca>
Subject: Question for you

Hi Kerry, congrats once again.

I'm working with OCIO security on a phishing video (2.5mins or less) - a simple video on phishing and how you government staff can make informed discussions before clicking on attachments or responding to falsified emails. I've included a reference to good records management in the approach and like to include the top three bullets on the benefits of good records/information management while a reference to the policy is provided.

Anyone you would suggest that could collaborate with us on that?

CITZ Security Services (Under Gary Perkins) are the ones that will pull the video together.

Below is the first draft of story board for this video –

Start with the vision of people in hoodies and black masks Phishing
Commentary
have you ever been a victim of cybercrime,

Cybercrime is on the rise, although we have technology in place to block virus we need to take extra caution
do you protect yourself at home, what steps do you take when you are at work?

Pictures of fake Health Records/ Student files/ Financial transactions (credit card payments) float by with fish hooks or nets around them.

In government we have all sorts of sensitive information that needs our utmost care and attention

We are curious by nature and often click before considering the payload that might be behind an attachment

Pause and show a click and script being run -

Once launched the order of magnitude of the virus can vary to social engineering to ransomware to complete shut down of an office, region or government.

Just following 3 simple steps can reduce becoming a victim

1. Show how emails can be searched for fake addressing or attachments at risk
 - Commentary - spoofing or fake addresses make it appear the email originated from somewhere or someone other than what it appears - do actual source, including from within your workplace.
 - Stop
 - Think
 - Before you click
2. Show the records management policy -
The 3 key points from CIRMO
 - 1
 - 2
 - 3
3. Show a picture of a superhero/MISO/crimefighter
Commentary - When in question - contact your Ministry Security Office
Show how to find your MISO
And what to provide

Each year we lose thousands of hours in lost productivity due to cyberactivity.

It's as easy as 1,2,3

1. Check the source /file (show the mouse over the name)
2. Follow solid record management practices (show the policy)
3. When in doubt call your Ministry crime fighter (show the MISO Crimefighter)

James Shypitka
Executive Director, Strategic Technology Initiatives
Services and Technology Division
Ministry of Education
Tel: 250 415-0738
Email: James.Shypitka@gov.bc.ca

Biggs, Jackie CITZ:EX

From: Fairbairn, Joel CITZ:EX
Sent: March 21, 2019 11:00 AM
To: Laidlaw, Susan CITZ:EX
Cc: Sexsmith, Melissa M CITZ:EX
Subject: RE: Some bullets ASAP

Thanks!

From: Laidlaw, Susan CITZ:EX
Sent: March 21, 2019 10:57 AM
To: Fairbairn, Joel CITZ:EX
Cc: Sexsmith, Melissa M CITZ:EX
Subject: FW: Some bullets ASAP

Joel:

DGD Bullets, as requested. Melissa has reviewed and all of her edits are incorporated.

- **What is DGD?**
 - Documenting Government Decisions (DGD) is a new requirement under the *Information Management Act* (IMA) that means that government bodies must have an appropriate system in place for creating and maintaining an adequate record of their decisions.
 - The requirement will come into force on March 31, 2019. The Chief Records Officer will issue a directive and guidelines with details on what types of decision must be documented, what information must be included, and what constitutes an “appropriate system”. These documents will be publicly available on the Internet in early April.
 - As government employees, we often make important decisions that affect people, or change the programs and services we offer and/or how we spend public funds.
 - The Chief Records Officer directive will set out a flexible framework for government bodies to ensure important government decisions are documented adequately. This directive helps ensure that people can access the information they expect about how government makes important decisions.
 - DGD requires the creation of information to support openness and transparency, facilitate effective decision making, preserve corporate memory, accountability and accurate reporting of decisions to the public.
 - DGD also contributes to overall transparency by improving Freedom of Information (FOI) responsiveness.
 - This is not a new requirement — it simply formalizes in legislation an existing good business practice. Ministries already have policies and procedures in place that require the creation of specified information.
- **What is the scope?**
 - This requirement applies to all Ministries and the 41 Bodies subject to the Information Management Act.
 - It applies to decisions of significance; for example, decisions that affect the rights and obligations of government or the people we serve, hiring decisions, and financial decisions.

- **Consideration for employees**
 - **How will it affect day to day operations?**
 - We are confident that there will be limited impact on the way employees do their work.
 - Overall, government already has policies, processes and procedures in place, as part of good government and accountable public administration, to ensure that government information is created, held, transferred, archived and disposed of in accordance with the IMA.
 - All Ministries and IMA Bodies have an appointed Champion and are in the process of conducting readiness assessments.
 - Depending on your role, you may find yourself making real-time decisions that affect people every day or you may be involved in preparing decisions notes, briefing executives, or preparing Cabinet submissions. The decisions we make depend on the services you provide and the work that you do.
 - You are responsible to know the requirements, and how the records you participate in preparing contribute to good public administration. We encourage you to become familiar with the Chief Records Officer's directive and the guidelines, which are excellent resources and provide greater detail on this important subject
 - Guidelines are available to assist ministries. The guidelines include descriptions of appropriate systems and what constitutes an adequate record.
 - **How will compliance be monitored?**
 - A key element of an appropriate system for documenting government decision is compliance monitoring.
 - The Corporate Information and Records Management Office will work with ministries to review their systems and provide recommendations to ensure compliance with the Directive.
 - The compliance reviews are based on a "maturity model", which encourages ministries to formalize processes and document their information management practices.
 - Periodically reviewing IM practices enables business operations to improve their practices, thereby enhancing operational effectiveness while reducing costs and risks.
 - A Ministry that has participated in the compliance review will be provided recommendations and a prioritized action plan to focus on key areas of risk.
 - **Can individuals be held accountable?**
 - Employees are required to do their part to ensure adequate documentation of key government decisions. Employees should routinely ask themselves: are the government records I create and maintain reliable, accurate, complete and trustworthy? Are the records retrievable, usable and accessible over time by those who need them?
 - This is not a new requirement, it is simply the first time this requirement has been formalized in law.
 - This directive does not mean that records have to be created and kept for every decision made by every employee. It does mean applying professional judgement, in the context of good public administration practices, to identify which decisions should be documented, and determine how to prepare adequate records of those decisions.
 - Employees are already required, by the Appropriate Use Policy, to handle government information in accordance with applicable policy and law. There are no new disciplinary actions or penalties related to this requirement.

From: Fairbairn, Joel CITZ:EX

Sent: Thursday, March 21, 2019 9:44 AM

To: Laidlaw, Susan CITZ:EX <Susan.Laidlaw@gov.bc.ca>

Cc: Sexsmith, Melissa M CITZ:EX <Melissa.M.Sexsmith@gov.bc.ca>

Subject: Some bullets ASAP

Susan can you put together some bullets summarizing DGD for John Davidson please and thank you. From there, he will decide how to best communicate to the union. If this helps:

- What is DGD?
- What is the scope?
- Consideration for employees
 - How will it affect day to day operations?
 - How will compliance be monitored?
 - Can individuals be held accountable?

-J

Joel Fairbairn

Acting Assistant Deputy Minister and Chief Records Officer
Corporate Information and Records Management Office
Ministry of Citizens' Services

Biggs, Jackie CITZ:EX

From: Sexsmith, Melissa M CITZ:EX
Sent: February 25, 2019 4:53 PM
To: Fairbairn, Joel CITZ:EX; Laidlaw, Susan CITZ:EX
Subject: RE: Couple of good examples needed
Attachments: Draft Qs and As - Email and Extenuating Circumstances.docx

See attached.

From: Sexsmith, Melissa M CITZ:EX
Sent: February 25, 2019 4:11 PM
To: Fairbairn, Joel CITZ:EX; Laidlaw, Susan CITZ:EX
Subject: RE: Couple of good examples needed

I can flesh out some examples for use in Estimates --- off the top of my head:

- In 2014, the WannaCry virus resulted in the email system being down for a couple of days
- The person may be using an untrusted network (e.g. internet cafe in a foreign country)
- The person may be in a hotel or office building outside of government that blocks devices from accessing their network, or from accessing certain sites
- The person could be travelling in a foreign country where our system's encryption blocks transmissions from that country of origin

From: Fairbairn, Joel CITZ:EX
Sent: February 25, 2019 1:51 PM
To: Sexsmith, Melissa M CITZ:EX; Laidlaw, Susan CITZ:EX
Subject: Couple of good examples needed

From the last estimates debate in relation to use of personal devices for conducting government business.

*S. Thomson: I wonder if I could ask the minister what she would think or consider would be those **extenuating circumstances**. What qualifies? When would that take place? How do you see that? Under what circumstances would you see that taking place?*

It's hard for me, with all the connectivity and things that we have, to imagine that you wouldn't be able to utilize your government accounts to do the work of government. Can you think of what extenuating circumstances might be that would fall into that category?

Can we come up with a couple of "bullet proof" examples for extenuating circumstances?

Thanks

-J

Joel Fairbairn
Acting Assistant Deputy Minister and Chief Records Officer
Corporate Information and Records Management Office
Ministry of Citizens' Services

Questions and Answers:
Using non-government email accounts
in extenuating circumstances

Q 1 Are government employees required to use government-issued email accounts to conduct government business?

The Appropriate Use Policy requires that all government employees use their government email account if they are conducting government business except in “extenuating circumstances”.

Q 2 What are extenuating circumstances in this case?

There are a wide diversity of jobs and functions that public servants carry out — everything from policy analysts to front counter service workers, nurses, foresters and corrections workers.

The Appropriate Use Policy is not specific about the types of extenuating circumstances that might occur, because this would be very context-specific.

Instead, each government employee is asked to use their professional judgement — if their government email account is not available — to determine whether there is an immediate need to communicate via email.

If an employee determines that it is appropriate to use a non-government email account to do government business they must:

1. Copy their government account, and
2. Delete the email from their non-government account as soon as possible (including the deleted items folder).

They are also required to take steps to ensure that the amount of confidential information that they include in an email, or may receive through a reply, is limited to the least amount necessary to deal with the extenuating circumstance.

Q 3 What are some examples of extenuating circumstances?

Some examples of extenuating circumstances are:

The email server is not functioning:

- For example, in December 2014, the government email system was shut down to stop the spread of a virus throughout government.
- All employees were without email as a result.

Web Outlook access, which is used to access email remotely, is not available.

- An employee may be out of the office and only able to access the system through Web Outlook.
- Web Outlook can be temporarily shut down during the completion of an update, or if a virus is detected.
- Web Outlook can also be unavailable to employees who are travelling and are attempting to access their email from a country that blocks the encryption that government uses.

The employee has not yet received an email account.

- When an employee is first onboarded as a government employee, it can take some time for them to be set up within the government system. There may be cases where it is necessary for an employee to send email in the intervening time.

CONFIDENTIAL

Biggs, Jackie CITZ:EX

From: Laidlaw, Susan CITZ:EX
Sent: November 16, 2018 2:19 PM
To: Curtis, David CITZ:EX
Subject: Updated EDRMS Comm from DM
Attachments: Joint EDRMS launch - with CIRMO ADM comments.docx

How's this version, David?

Susan Laidlaw

Executive Director, Government Records Service
Corporate Information and Records Management Office (CIRMO)
Ministry of Citizens' Services
t: 778-698-2900 **c:** 778-678-2097 **e:** susan.laidlaw@gov.bc.ca

Email message from: Deputy Minister Jill Kot

To: CITZ All Staff

Subject: Staff Recognition: Content Manager upgrade

Timing: November 19, 2018



Good morning/afternoon,

One of our ministry's major responsibilities is protecting the integrity of information across government. I'm pleased to let you know that Government Records Service, a team within our Corporate Information and Records Management Office, has been working quietly behind the scenes on a project that is keeping CITZ at the forefront of information management.

This team has been working for a very long time on an upgrade to the existing Enterprise Document and Records Management System (EDRMS); known to many of you as TRIM. EDRMS Content Manager is the Province's standard records management software, and is used to manage both physical and electronic records. It is the corporately-supported application providing ministries with records management functions and controls to manage digital information according to information schedules.

This major accomplishment replaces TRIM with a new system called EDRMS Content Manager. Users will find the new system easier to use, and an improved onboarding experience will be the foundation for a future mobile web interface. However, the most important thing is that this state-of-the-art technology ensures that government records and information are better managed.

This complex transition was carried out smoothly through consultations with many stakeholders across many Ministries, including our colleagues in Corporate Services' Information Management Branch, who maintained critical operations while the transition was underway. EDRMS Content Manager was successfully launched on November 12th, and uptake on training for the new system is happening at an exponential rate!

Congratulations to everyone who played a role in bringing this project to fruition. Your work and dedication will continue to help keep government information safe and secure. Well done!



Jill Kot
Deputy Minister
Citizens' Services

DECISION NOTE

Advice to Assistant Deputy Minister

DATE: May 23, 2019

CLIFF#: 111581

ISSUE: Direction is requested on how to proceed to assess options for corporate correspondence management.

BACKGROUND:

The Province receives correspondence from a variety of internal and external sources, including citizens, stakeholders, other jurisdictions; and within and among its own ministries. Correspondence comes in many forms – most commonly letters, emails and briefing notes. The nature of the correspondence often involves personal and/or confidential information.

The Province requires a secure system to track the status of correspondence from the time it is received to the time it is resolved (e.g. a response is written, or a decision is made). Without a tracking system, there is significant risk that correspondence would be misdirected, go unanswered, and that sensitive information could be inappropriately accessed and stored.

The Province has used the CLIFF application to track its corporate correspondence for more than 20 years. The application is used in all ministries, including all deputy ministers' offices and ministers' offices. In 2015, Government Records Service (GRS) became the business owner of the CLIFF application.

CLIFF was developed for the Province by the Aktiv Software Corporation (Aktiv), and the current contract expires on March 31, 2022. The Province currently pays \$0.150M in licensing fees to Aktiv annually. While the Province is the largest customer, CLIFF is also used by other organizations, including Elections BC, the BC Legislature, and the Province of Saskatchewan.

Originally developed solely for correspondence tracking, some ministries have expanded their use to include record-keeping. However, GRS does not endorse CLIFF as a record-keeping system as it lacks functionality to properly manage records through their lifecycle. The stated rationale for transferring business ownership to GRS in 2015 was to address the records management functionality gap. To date, no enhancements of this nature have been made. See Appendix A for a description of the CLIFF application's functionality.

The CLIFF application exists within an ecosystem of existing document and workflow management applications. The corporate standard record-keeping system is Enterprise Document and Records Management System (EDRMS) Content Manager. GRS recommends EDRMS Content Manager as the best solution for appropriate records management as it has a fully mature version, access, and retention control. It is currently at least partially in use in all ministries with approximately 5,000 active users. In addition, many ministries use the SharePoint-based eApprovals system to manage the workflow of approvals and decision making.

DISCUSSION:

s.13,s.14,s.17

OPTIONS:

s.13,s.17

s.13,s.17

RECOMMENDATION:

s.13

Approved



May 23, 2019

DECISION and SIGNATURE

DATE SIGNED

Kerry Pridmore
Assistant Deputy Minister
Chief Records Officer
Minister of Citizens' Services

Attachment(s):

Appendix A: CLIFF Overview
Appendix B: s.13,s.17

Contact: Susan Laidlaw, 778-678-2097

CHIEF RECORDS OFFICER DIRECTIVE ON DOCUMENTING GOVERNMENT DECISIONS

DIRECTIVE: CRO 01-2019

SUBJECT: **Documenting Government Decisions**

AUTHORITY: This directive is issued under section 6 of the *Information Management Act*.

APPLICATION: This directive applies to all government bodies.

EFFECTIVE DATE: March 31, 2019

Chief Records Officer

Directive to Government Bodies issued under section 6 of the *Information Management Act*

Under section 6 (1) of the *Information Management Act*, S.B.C. 2015, c. 27, I, Joel Fairbairn, Chief Records Officer, issue the following directive respecting documenting government decisions.

Creating an appropriate system

1. The head of a government body must, in ensuring that an appropriate system is in place within the government body for creating and maintaining government information that is an adequate record of that government body's decisions, take reasonable steps to ensure that the government body complies with this directive and is guided by any guidelines issued under section 6(1) of the *Information Management Act*.

Elements of an appropriate system

2. An appropriate system must include at least the following:
 - a. recorded policies and procedures and defined roles and responsibilities for creating and maintaining, in a manner consistent with this directive and any applicable enactments and provincial government policies, adequate records of decisions that the head of the government body has determined, in accordance with this directive and any guidelines issued under section 6(1) of the *Information Management Act*, are to be recorded;
 - b. appropriate recordkeeping systems that ensure the preservation and accessibility of records of decision over time;
 - c. a program for ongoing training of relevant employees of the government body respecting the creation and maintenance of adequate records of decisions;
 - d. a program for monitoring implementation by the government body of the system and of its compliance with applicable laws and government policies.

Determining which decisions are to be recorded

3. The head of a government body, in determining which decisions of that government body are to be recorded, must consider whether a record of decision would:
 - a. inform the government body or others about the evolution of the government body's programs, policies or enactments;
 - b. protect the legal or financial rights or obligations of the government body, the Crown, or any person, group of persons, government or organization that is directly and materially affected by the decision;
 - c. facilitate the government body's accountability for its decisions, including through internal or external evaluation, audit or review.

Adequate records of decisions

4. Government information is an adequate record of the government body's decision if it can reasonably be expected that someone not familiar with the circumstances in which the decision was made could be reasonably informed about the following, as applicable:
 - a. the individual who made the decision and that individual's title;
 - b. when the decision was made and when it takes effect;
 - c. any person, group of persons, government or organization reasonably likely to be directly and materially affected by the decision and, where practicable, the way in which they are reasonably likely to be affected by the decision;
 - d. the basis for and context in which the decision was made, including, as applicable, any relevant legal, policy or factual information.

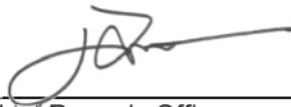
Other obligations

5. This directive does not affect any statutory or other legal obligation for a government body to create or maintain a record of decision or other government information.

This Directive is effective as of March 31, 2019. It remains in effect until rescinded or superseded.

March 21, 2019

Date



Chief Records Officer

CHIEF RECORDS OFFICER GUIDELINES ON DOCUMENTING GOVERNMENT DECISIONS

Purpose

These guidelines assist government bodies in meeting their obligations under the *Information Management Act* (IMA) related to documenting their decisions.

Government bodies must refer to these guidelines and CRO Directive 01-2019 (Directive) in considering whether their practices are sufficient to meet the obligations under the IMA. The Chief Records Officer (CRO) may provide further guidance on documenting decisions of government bodies, as necessary or appropriate.

Application

These guidelines apply to all British Columbia government ministries and any government agencies designated as “government bodies” under the IMA.¹

Other government agencies not currently covered by the IMA may use these guidelines as a best-practice tool.

These guidelines do not limit any other statutory or legal requirements respecting the creation or maintenance of records of government body decisions, or any other government information.

Why Document Government Decisions?

- Supports openness and transparency
- Facilitates effective decision making
- Preserves corporate memory
- Supports employees in doing their jobs effectively and providing high-quality services to the public
- Supports accurate reporting of decisions to stakeholders, including other government bodies and the public
- Contributes to the Province’s historical record for future generations

Background

Section 19 (1.1) of the IMA requires that government bodies have an appropriate system in place for creating and maintaining government information that is an adequate record of their decisions.²

The Directive sets out the components of an appropriate system for creating and maintaining government information, and what constitutes an adequate record. These guidelines expand on the Directive. Together, the Directive and these guidelines provide a principle-based framework that government bodies are to operationalize in a manner suitable to their respective mandates. Government bodies should ensure that they can demonstrate compliance with the IMA, the Directive and these guidelines.

¹ http://www.bclaws.ca/civix/document/id/loo102/loo102/109_2016

² Section 19 (1) of the IMA also stipulates that the head of each government body is responsible for ensuring that an appropriate system is in place within their organization for managing and securing government information. This directive does not provide information or advice about the appropriate system for managing and securing government information.

All government bodies are expected to have the appropriate combination of people, processes and technology in place to ensure that government information is created, held, transferred, archived and disposed of in accordance with the IMA. This includes adequate records of decisions.

The head of a government body must consider these guidelines and the Directive in ensuring that they have an appropriate system in place.

As part of good government and accountable public administration, government has policies, processes and procedures in place to support the appropriate creation and maintenance of government information in accordance with the IMA.

The Government Records Service (GRS) within the Corporate Information and Records Management Office (CIRMO) is available to assist government bodies in meeting their information management obligations, including those related to adequately documenting their decisions.

Getting Started

Identifying and Documenting Decisions

Step 1: Ascertain whether the decision needs to be documented under the IMA (Appendix A)

Step 2: Determine whether the current practice will result in an adequate record of the decision (Appendix B)

Ensuring an Appropriate System is in Place

Consider whether the prescribed elements of an “appropriate system” are in place within the government body (Appendix C)

Addressing Identified Gaps

If necessary, conduct a gap analysis and identify remedial actions

Identifying Decisions that Should Be Documented

Government bodies do not have to create and keep records of every decision made by every employee. Government bodies need to identify which decisions are to be documented by applying their judgement, in the context of their specific mandates and with consideration to the purpose and intent of the IMA, the Directive and these guidelines, and other obligations that may exist in law and policy respecting documenting decisions.

To help determine if a decision is required to be documented under the IMA, refer to the attached decision flowchart in Appendix A and to these guidelines.

A government body should document a decision where a record would serve one or more of the following purposes:

- Informing the government body or others about the evolution of the government body’s programs, policies or enactments;
- Protecting the legal or financial rights or obligations of the government body, the Crown, or any person, group of persons, government or organization that is directly and materially affected by the decision;
- Facilitating the government body’s accountability for its decisions, including through internal or external evaluation, audit or review.

Line of Business Decisions

In assessing which line-of-business decisions are to be adequately documented under the IMA, government bodies must bear the above purposes in mind. Government bodies also should document statutory decisions and decisions respecting a course of action that directly and materially affects a person, group of persons or organization.

Often, documenting decisions made by Senior Executive (i.e., Deputy Minister or equivalent, Assistant Deputy Minister or equivalent), members of the Executive Council, administrative tribunals or other quasi-judicial decision makers will meet the above purposes. There will, however, be circumstances where, in order to adequately document line-of-business decisions in light of the above purposes, a government body will document decisions made outside Senior Executive.

Common Corporate Decisions

Common functional areas where decisions are typically documented according to generally accepted policies and procedures include:

- Decisions related to preparing legislation;
- Decisions related to
 - strategic policies that define or change corporate direction, or
 - programs or initiatives to fulfill the government body mandate;
- Human resources (HR) decisions;
- Budget and other financial decisions; and
- Procurement decisions.

Adequate Records of Decisions

Government body employees must take reasonable steps to ensure that adequate records of decisions are created and maintained.

The Directive defines the elements of an “adequate record” of a government body’s decision. Adherence to common corporate practices will generally support alignment with requirements to adequately document decisions. Those practices are to be considered, along with the following guidance.

In general, a record of decision is adequate if it can reasonably be expected that someone not familiar with the decision could be reasonably informed about the following, as applicable:

- Who made the decision and under what authority;
- When the decision was made and, if appropriate, when it takes effect;
- Who is reasonably likely to be directly and materially affected by the decision and, where practicable, the way in which they are reasonably likely to be affected by the decision; and
- What are the basis for and context in which the decision was made, including, as applicable, any relevant legal, policy or factual information.

Contextual Information

An adequate record of any key decision must include the material contextual information that informed the decision.

This information can be in many formats and will vary significantly depending on the nature of the decision.

Contextual information may typically be found in the following formats:

- A decision briefing note
- An application form
- An entry in a case management system or a case file
- Other records (e.g., memos, letters, emails) containing advice, recommendations and/or options
- Records of verbal advice
- Treasury Board Staff and Legislative Counsel advice to Cabinet
- Legal opinions
- Appendices or attachments that could include such things as: medical information, education information, employment information, income information, or other program-specific information that supports accountability, protects the rights or obligations of affected parties, or is otherwise necessary to understand the decision

Not all of these factors will apply to every decision. For example, many decisions do not affect others, so it is not necessary to document who is reasonably likely to be affected or how. Government bodies are expected to carefully consider, in the circumstances of each case, what is required to adequately document a decision. In some cases, an adequate record of a decision may be a note in a case management system or case file; in others it may comprise copies of extensive studies.

It is also important to remember that a record is required to be “adequate”, not “perfect”.

In addition, it is not necessary for a single record to be created that contains all of the material contextual information. The amount and type of contextual information that is adequate will vary depending on the nature of the decision.

Adequate Records of Common Corporate Decisions

Statutory Decisions

Government bodies will generally have existing policies and guidance on documenting relevant statutory decisions. In general, an adequate record of a statutory decision should include a statement setting out the specific decision in the form of a directive, order, authorization or permit, confirmation of eligibility for a benefit or service, etc. Other material contextual information (such as the decision’s legal authority), and reasons for the decision, may be required.

Decisions Related to Preparing Legislation

Adequate records must be created during every step of preparing any enactment, including Bills, regulations and ministerial orders. This includes initial information gathering and analysis, developing a request for legislation, and the drafting process.

Before a government body’s policy initiative can proceed to a proposal for legislation and the drafting stage, a substantial amount of information must be gathered and assessed. Cabinet Operations provides detailed information on requirements for Cabinet decision documentation, and the Office of Legislative Counsel provides information on the preparation of drafting instructions. These requirements are to be complied with.

Decisions About Government Body Policies and Programs

Decisions that establish, change or terminate corporate direction, or programs or initiatives to fulfill the government body’s mandate, should be documented. Adequate records of decisions related to establishing, changing or terminating policies or programs must include a record of decision (e.g., any one or more of an approved decision note or a Cabinet or Treasury Board submission, as applicable).

HR Decisions

The BC Public Service Agency (BCPSA) maintains detailed guidance for ministries on documenting various HR decisions. This includes guidance on hiring, managing attendance, illness and injury, and taking disciplinary actions. Government bodies must comply with BCPSA guidance on documentation of HR-related decisions.

In the absence of similar policies, government bodies that are not subject to the *Public Service Act* may wish to use the BCPSA guidance as a model to determine what constitutes an adequate record of decisions related to HR matters.

Budgeting and Other Financial Decisions

The Core Policy and Procedures Manual (CPPM) Chapter 3: Planning, Budgeting and Reporting covers all aspects of government financial management, including documentation. Government bodies must comply with CPPM Chapter 3 in relation to documentation of financial management decisions.

Government bodies not subject to CPPM will generally have their own financial policies that address documentation. They may use CPPM Chapter 3 as a model to determine what constitutes an adequate record of decisions related to budgeting and financial decisions.

Procurement Decisions

Government bodies regularly make decisions regarding various types of procurement, including goods purchasing, contractor services and information management/information technology procurement. CPPM Chapter 6 covers all aspects of government procurement and states that ministries are responsible for “planning, managing and fully documenting the process to acquire goods, services and construction.” Government bodies must comply with CPPM Chapter 6 in relation to documentation of procurement-related decisions.

Government bodies not subject to CPPM will generally have their own procurement policies that address documentation but may also use CPPM Chapter 6 as a model to determine what constitutes an adequate record of decisions related to procurements.

Appropriate System for Creating and Maintaining Records of Decisions

The IMA requires each government body to ensure that an “appropriate system” is in place for creating and maintaining records of decisions.

The Directive defines the elements of an appropriate system for creating and maintaining government information that is an adequate record of a government body’s decisions. An appropriate system must include the components discussed below. To help determine if you have an appropriate system for creating and maintaining decisions, refer to the following guidance and to the flowchart in Appendix C.

Many aspects of an appropriate system are already addressed under the corporate information management framework, which comprises information management legislation (including the IMA, FOIPPA and their regulations), ministerial orders and ministerial or CRO directives, and, for ministries, CPPM Chapter 12: Information Management and Information Technology Management. The entirety of this information management framework should be considered when creating and administering an appropriate system consistent with the Directive and these guidelines.

What Is an “Appropriate System”?

An “appropriate system” for documenting government decisions is about more than technology. It includes policies, processes, roles, responsibilities and controls necessary to ensuring that adequate records of decision are created and maintained.

Defined Roles and Responsibilities

The CRO has a statutory mandate under the IMA to provide leadership, direction and oversight, and to promote effective information management across government bodies. GRS is the central organization responsible for records management, including developing policies, guidelines, standards and training to assist government bodies in identifying appropriate information schedules, establishing recordkeeping systems, and ensuring records are preserved and accessible as required and appropriate.

Section 19 (1.1) of the IMA stipulates that the head of each government body is responsible for ensuring that an appropriate system is in place within their organization for creating and maintaining, in accordance with applicable CRO directives or guidelines, government information that is an adequate record of that government body's decisions.

To support the overarching governance structure for an “appropriate system”, government bodies should clearly define roles and responsibilities for information management within their respective organizations. This can include designating staff to champion and promote information management within their program areas. Such staff should be at a sufficiently senior level and have relevant knowledge and skills. They should also have clear authority, and clear, committed and ongoing Senior Executive support, respecting all aspects of information management (including documentation of decisions).

However, it is also important to recognize that employees at all levels actively manage government information in the course of their daily work. Accountabilities should be clearly articulated to assist government bodies in meeting their business goals and to ensure that legal obligations are met. All program area staff should have a clear understanding of their roles and responsibilities for documenting decisions.

Some decision making is formally or informally delegated. Some examples of formal delegations of decision making include:

- delegations to government body expense authorities;
- persons delegated any of the director’s powers, duties or functions of a Minister or official under an act. (Some laws require these delegations to be in writing.)

Some responsibilities will be established more informally, such as through job descriptions, training, policies or procedures, or even through system design and workflows.

For example, a government body employee may be responsible for preparing a briefing note for decision by a Senior Executive about a significant public policy matter. They may have the delegated authority to make a decision about an individual’s eligibility for a program, service or benefit. The same employee may be entitled to make spending decisions up to a certain dollar amount, and may be accountable for making and keeping records related to HR matters for their direct reports. No matter how the accountability is delegated or assigned, the government body’s policies, procedures and training should make it apparent to each employee what their accountabilities are with respect to creating and maintaining adequate records of government decisions.

Documented Policies and Procedures

As noted earlier, a robust high-level information management framework already exists for ministries. This corporate framework comprises information management legislation such as the IMA, associated regulations, CRO directives, as well as CPPM Chapter 12. Non-ministry government bodies may use the existing corporate framework as a foundation for their own policies and procedures.

Common Types of Government Body Recordkeeping Systems

- Structured Local Area Network (LAN) with the Administrative Records Classification System (ARCS) and Operational Records Classification Systems (ORCS) applied, as appropriate
- Enterprise Document and Records Management System (EDRMS)
 - EDRMS Content Manager (formerly TRIM) is the government standard
- Line of business applications (e.g., case management systems)
- Hardcopy (paper) filing systems

Each government body knows its own lines of business best and is therefore best placed to develop organization-specific policies and procedures regarding an appropriate system for creating and maintaining information.

Government bodies create records for many different legislated, policy and operational reasons. Government bodies should consider identifying what policies, procedures, training and awareness activities, and compliance and monitoring tools are already in place with respect to documenting their decisions. This will enable them to determine if gaps exist or changes to their existing approach are needed. When changes are required, the government body is best placed to develop its own specific policies and procedures to establish and operate an appropriate system for creating and maintaining information, including adequate records of decisions.

Appropriate Recordkeeping Systems

Government information must be created and maintained in accordance with corporate records management policy and standards. This applies to the creation and maintenance of adequate records of decisions.

An appropriate recordkeeping system should:

- contain logical, organized naming conventions that can be followed by all staff;
- ensure the preservation and accessibility of records over time;
- protect against accidental or unauthorized access, alteration, copying, movement or deletion;
- minimize duplicate storage of records; and
- permit the retention requirements of information schedules to be applied accurately and efficiently.

Information schedules describe and classify government information and specify how long information must be kept. They are approved by the CRO under the IMA³ and set out the final disposition of a record (i.e., whether it will ultimately be transferred, archived or destroyed). By law, if no information schedule applies, the information must be held until the CRO approves an information schedule or the information's transfer, archiving, or disposal. If a government body does not have an approved information schedule, it should document internal policies and procedures for ensuring information is retained as appropriate in light of the nature and content of the information.

Training and Awareness

All employees need to have a clear understanding of their responsibilities related to creating and maintaining government information, including records of decisions. At a minimum, ministries must ensure employees take mandatory information management training (e.g., IM 117: Protection of Privacy, Access to Information and Records Management). CIRMO has also prepared materials for all government bodies to support them in complying with their obligations respecting creating and maintaining government information that is an adequate record of government body decisions. There may be also be government body or sector-specific training appropriate to some roles and responsibilities. This includes the appendices to this directive, training, and more.

³ Any "record schedule" approved by the Legislative Assembly under the *Document Disposal Act* between 1936 and 2016 is continued under the IMA.

Compliance Monitoring

Government bodies should proactively monitor and assess their activities, practices and processes to ensure that they are meeting expectations respecting the creation and maintenance of government information. This includes the creation and maintenance of adequate records of decision. This will help ensure their organizational needs are met and that the government body is compliant with the Directive, these guidelines, and applicable policy and law.

CIRMO's Information Management Practice Review Program works with ministries to facilitate self-assessments of their information management practices, including the obligations in the IMA respecting documenting government decisions. CIRMO will also conduct practice reviews to assess the maturity of the information practices implemented by ministries to foster the continuous improvement of those practices. Other public bodies subject to the IMA may wish to use this tool to monitor and assess their own activities.

Contact Information

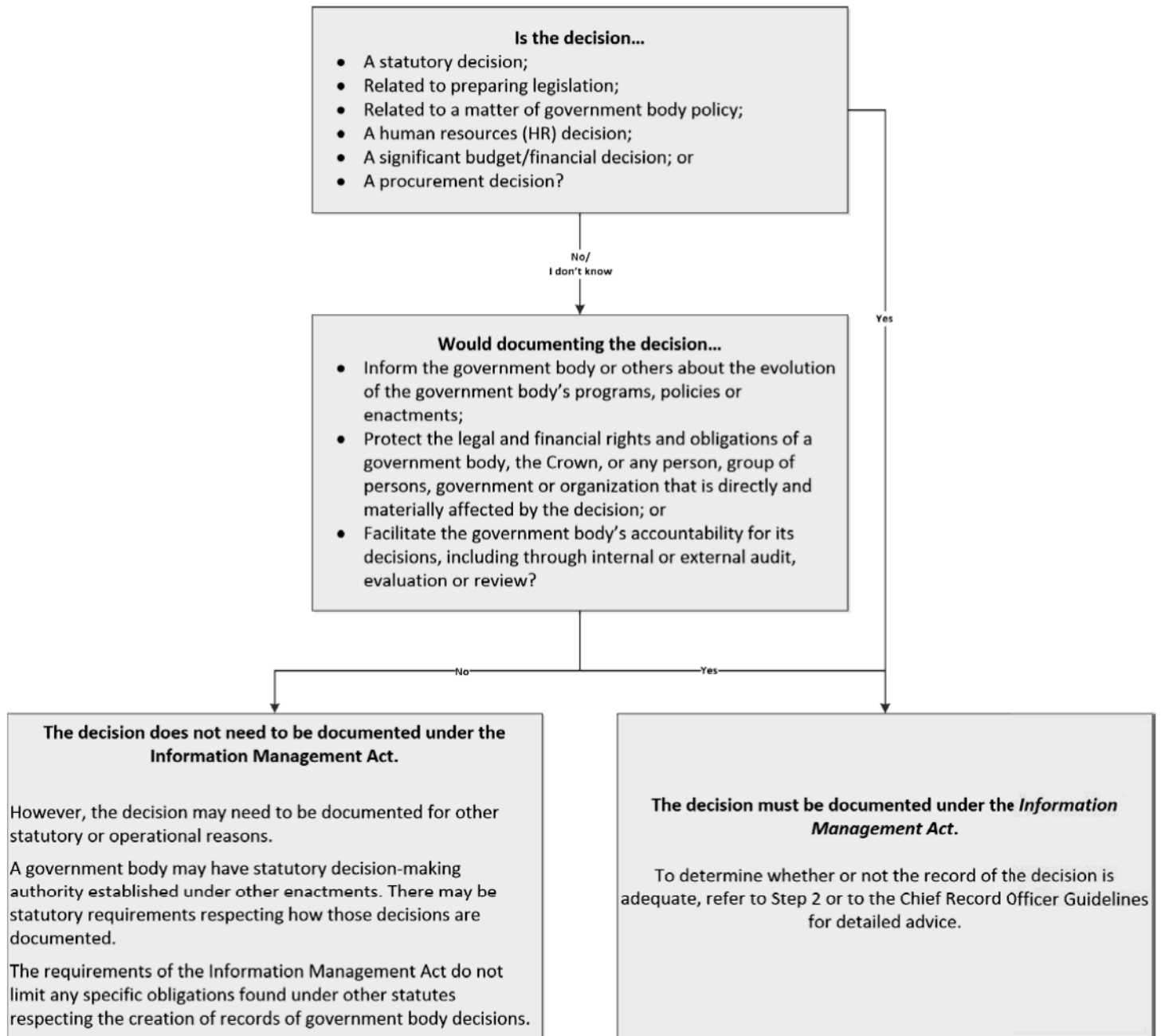
Government Records Service

Corporate Information and Records Management Office
Ministry of Citizens' Services

Email: GRS@gov.bc.ca

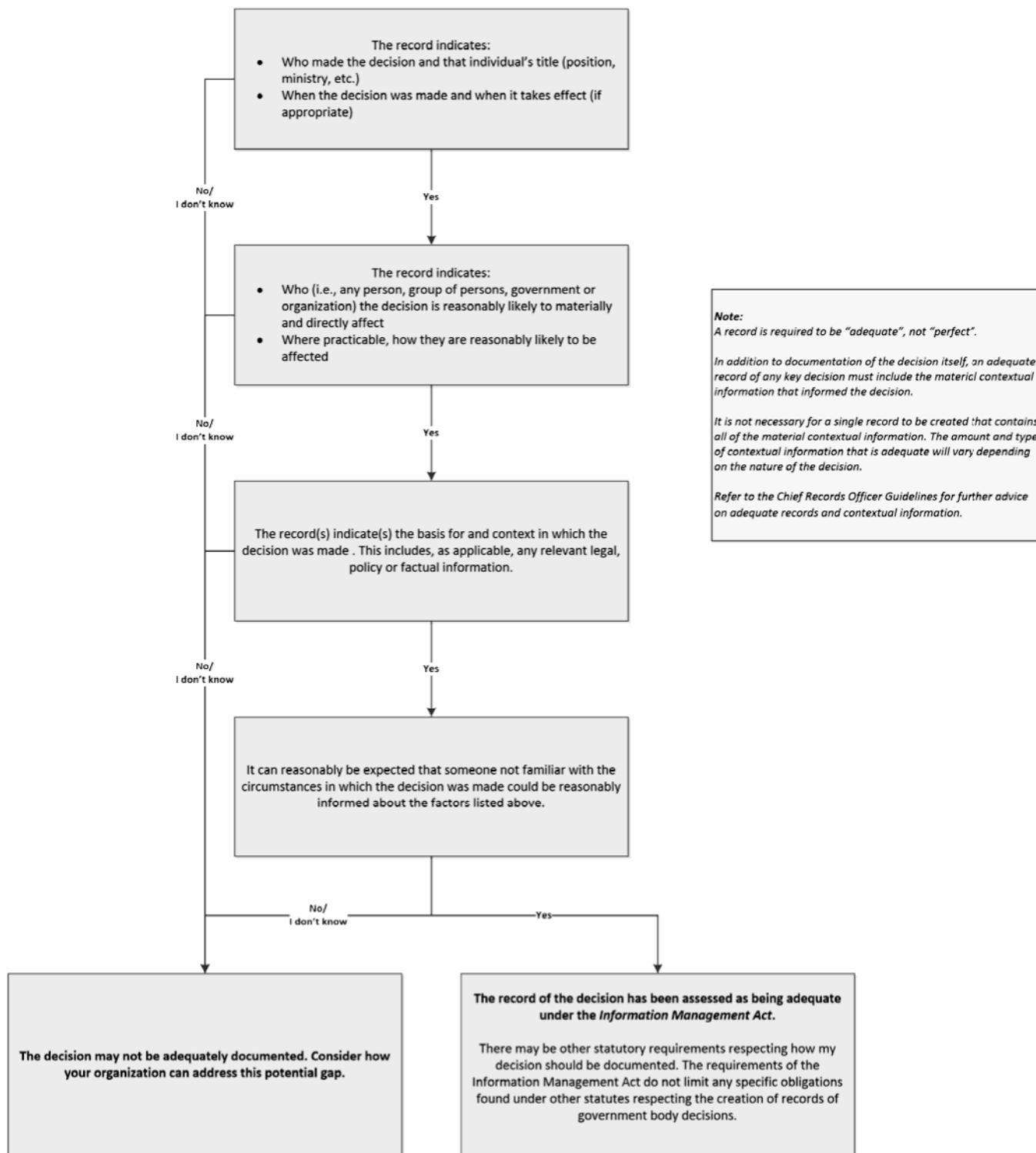
Identifying and Documenting Decisions

STEP 1: Does a Decision Need to Be Documented Under the *Information Management Act*?



Identifying and Documenting Decisions

STEP 2: Is the Record of a Decision Adequate Under the *Information Management Act*?



Page 3



Appendix D: Additional Resources

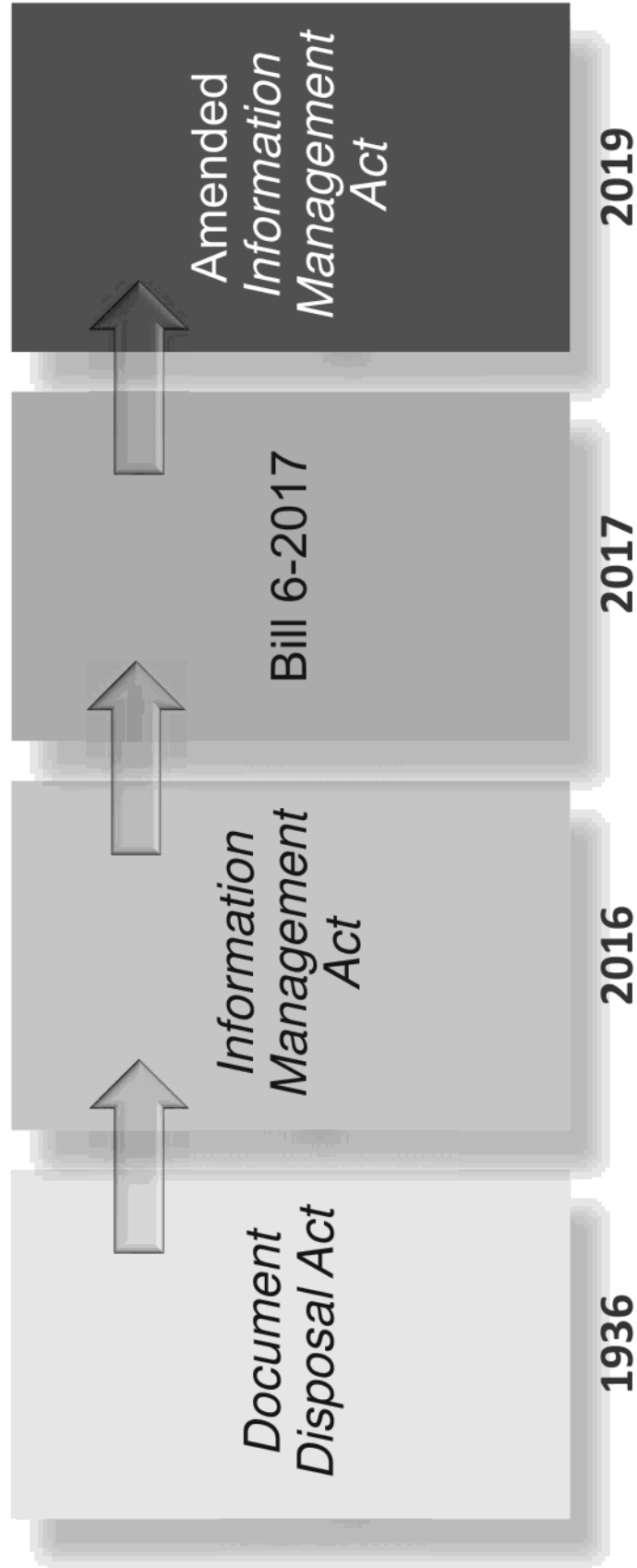
- **Core Policy and Procedures Manual (CPPM)** combines government-wide financial policy, management policy and financial administration procedures into a single online resource: <https://www2.gov.bc.ca/gov/content/governments/policies-for-government/core-policy>
- **The Recorded Information Management Manual (RIMM)** provides supporting policy for government records management practices: <https://www2.gov.bc.ca/gov/content/governments/services-for-government/policies-procedures/government-records>
- **Appropriate Use Policy** establishes the policy requirements that all government employees must follow when accessing and managing government information and using information technology resources: https://www2.gov.bc.ca/assets/gov/british-columbians-our-governments/services-policies-for-government/policies-procedures/appropriate-use-policy/appropriate_use_policy.pdf
- **IM 117: Protection of Privacy, Access to Information and Records Management** is a mandatory online course for all government employees available through the BC Public Service Learning Centre.
- **ARCS and ORCS User Guide 2015 (Version 3.0)**: https://www2.gov.bc.ca/assets/gov/british-columbians-our-governments/services-policies-for-government/information-management-technology/records-management/pdfs/arcs_orcs_user_guide.pdf
- **ARCS**: <https://www2.gov.bc.ca/gov/content/governments/services-for-government/information-management-technology/records-management/information-schedules/arcs>
- **ORCS**: <https://www2.gov.bc.ca/gov/content/governments/services-for-government/information-management-technology/records-management/information-schedules/orcs>
- **Information Schedules**: <https://www2.gov.bc.ca/gov/content/governments/services-for-government/information-management-technology/records-management/information-schedules>
- **A Guide to Legislation and the Legislative Process in British Columbia – Part 1: The Legislative Process**: https://www.crownpub.bc.ca/Content/documents/1-LegislativeProcess_August2013.pdf
- **Hiring Documentation (BC Public Service Agency)**: <https://www2.gov.bc.ca/gov/content/careers-myhr/hiring-managers/process/documentation>
- **Records Management and the FOIPPA (BC Bid)**: <https://www2.gov.bc.ca/gov/content/governments/services-for-government/bc-bid-resources/reference-resources/records-management>
- **Contract Documentation Checklist (BC Bid)**: https://www2.gov.bc.ca/assets/gov/government/services-for-government-and-broader-public-sector/buy-goods-services-and-construction/how-to-buy-services/contract_documentation_checklist.docx

Documenting Government Decisions

January 10, 2019

Assistant Deputy Ministers on Corporate Services and Transformation
Presentation

Modernizing Information Management



Bill 6-2017

- ⇒ Received **Royal Assent** in March 2017
- ⇒ Expected to come into force, via Order in Council, on **March 31, 2019**
- ⇒ Applies to all government bodies as defined by the *Information Management Act* (ministries and 41 entities) and imposes specific responsibilities on the heads of these government bodies
- ⇒ Includes a requirement to **Document Government Decisions**
- ⇒ *Will **not** bring into force the requirement to digitize non-digital information*

CONFIDENTIAL

What is Currently Required?

Core Policy contains a requirement to create records of decision.

80% of statutes of British Columbia contain an authority related to creating a record

The Chief Records Officer

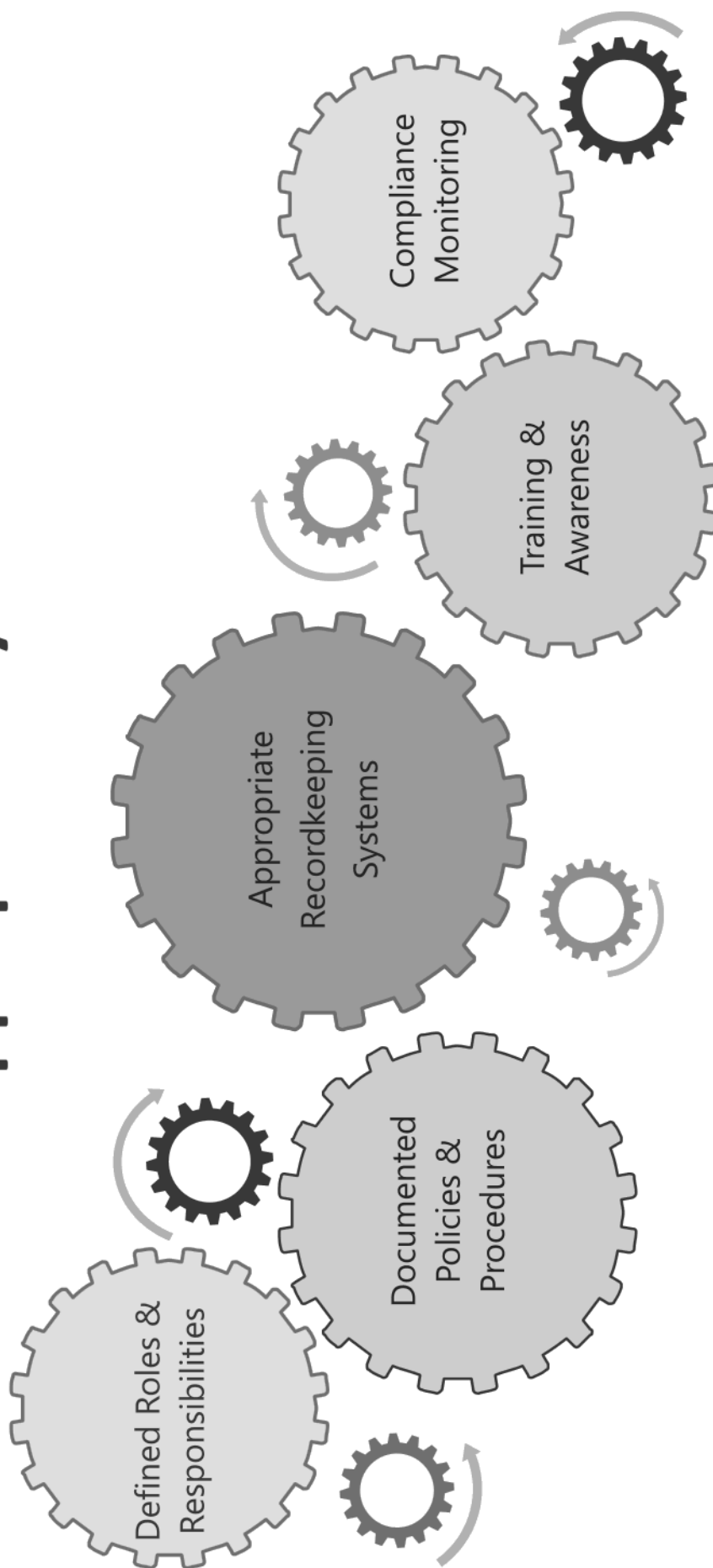
- ⇒ The *Information Management Act* established the role of a Chief Records Officer to:
 - ⇒ promote effective information management across government;
 - ⇒ approve information retention schedules; and
 - ⇒ manage the Digital Archives

New Information Management Act Requirements

The head of a government body is responsible for ensuring that **an appropriate system is in place** within the government body **for creating and maintaining government information that is an adequate record of that government body's decisions.**

Furthermore, the head is responsible for ensuring that this is done in accordance with applicable directives and guidelines issued by the Chief Records Officer.

Appropriate System



What does it mean to “Document Government Decisions”?



Documenting Government Decisions uses the following considerations:

1. Evolution of government programs
2. Protection of legal or financial rights or obligations
3. Facilitation of accountability

What is an Adequate Record?

It can be reasonably expected that someone not familiar with the decision could determine:

- ⇒ who made the decision;
- ⇒ when the decision was made (and took effect);
- ⇒ who is likely to be affected by the decision; and
- ⇒ what is the basis and context in which the decision was made.

How Will This Affect Ministries?

Either because they are required by law, regulation, policy, professional practice, or operational necessity, **ministry employees already document many of their key decisions:**

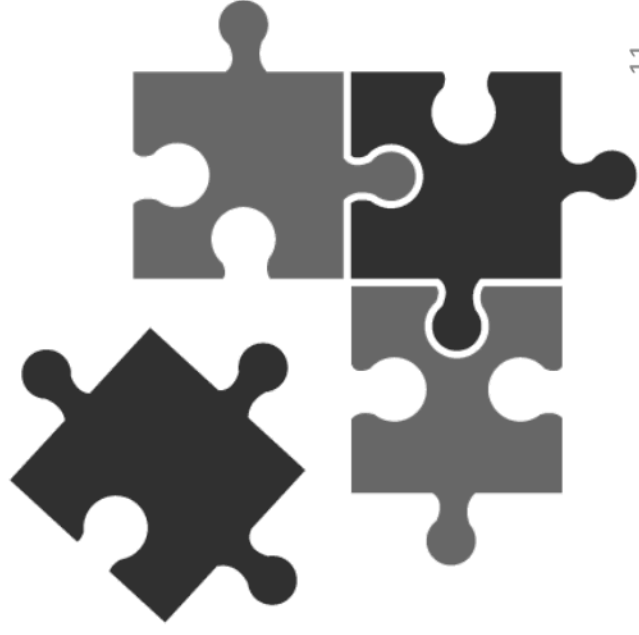
- ⇒ *Treasury Board Submissions*
- ⇒ *Recruitment Decisions*
- ⇒ *Cabinet Submissions*
- ⇒ *Correspondence Tracking (including Cliff)*
- ⇒ *Procurement Processes*
- ⇒ *Financial decisions*

.....and Line of Business Decision Systems and Processes



The Role of Ministry Champion

- ⇒ Identified ministry executive lead and point of contact.
- ⇒ Participate in corporate knowledge sessions and workshops.
- ⇒ Support the Deputy Minister in meeting their obligations for Documenting Government Decisions within the ministry.



Preparing for Implementation



Readiness Assessment

Identify what policies and procedures are already in place to support key decisions.



Address any Gaps

Update policies to address any gaps as necessary.



Tools & Support

The Chief Records Officer will issue and provide further guidance, policies and tools to assist ministries.

Formalizes an operational requirement, which should reflect current good business practice.

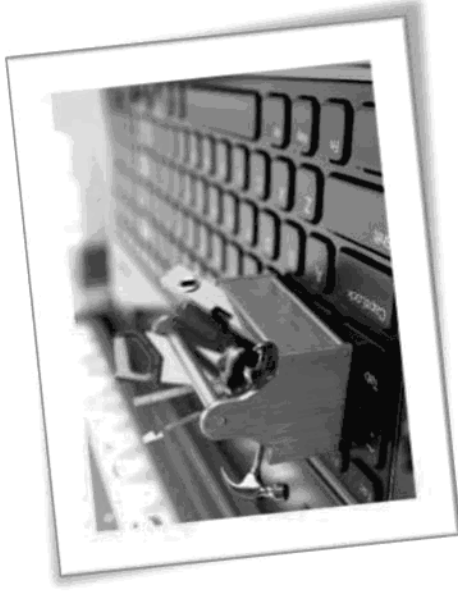
CIRMO is Here to Help

☒ Directive

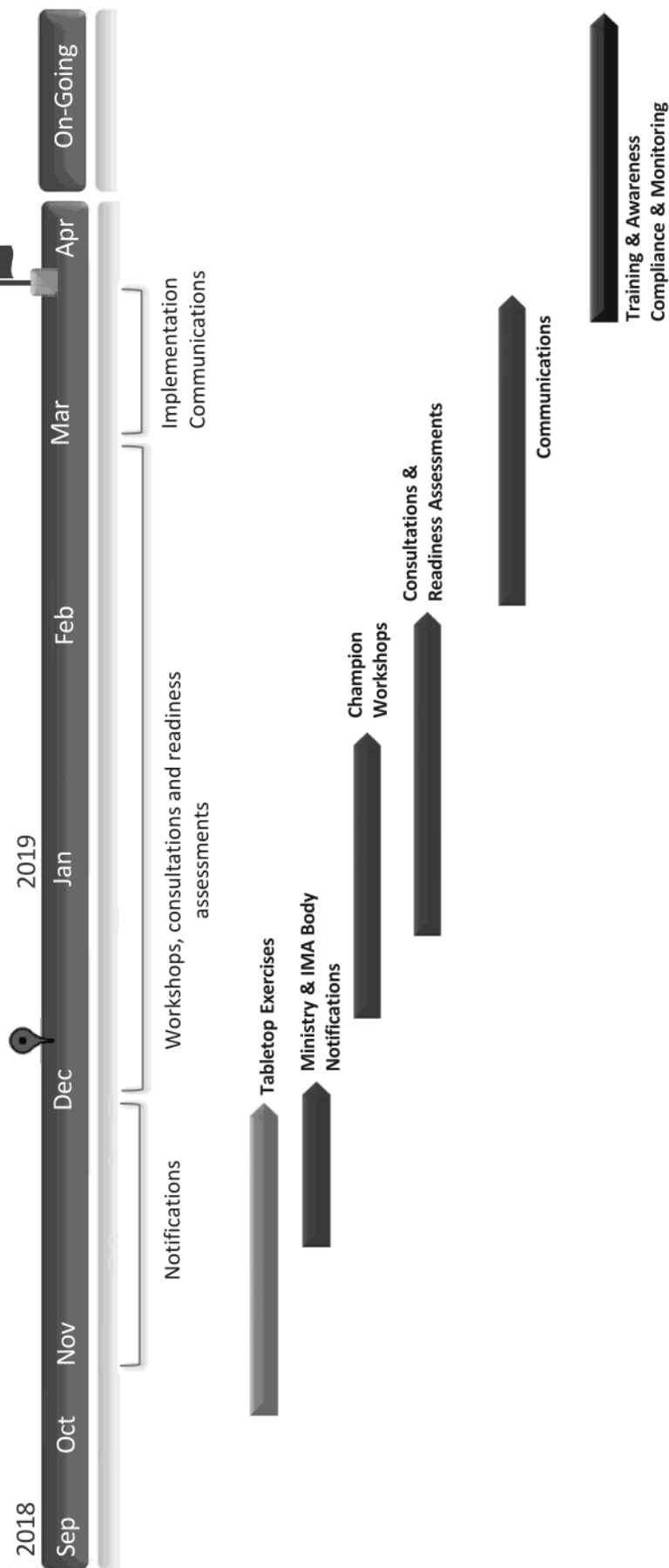
☒ Guidelines

☒ Champion Toolkit – Job Aids

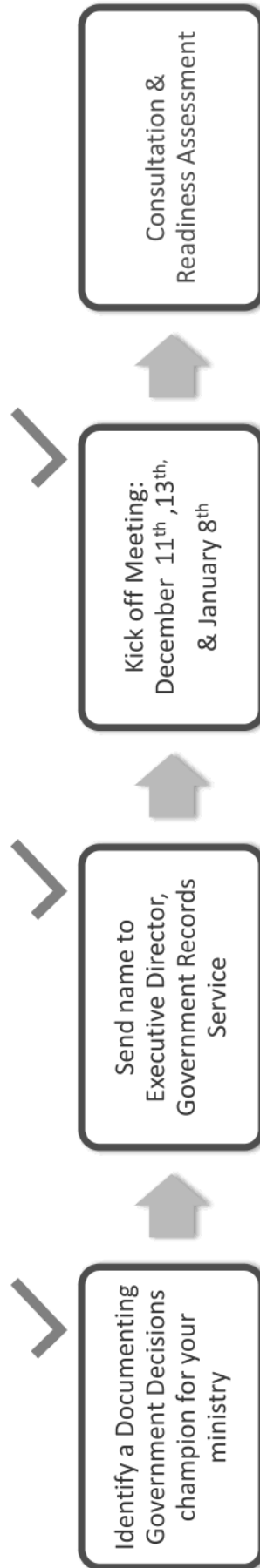
- ✓ Flowchart Decision Tool
- ✓ Gap Analysis Spreadsheet
- ✓ New and updated training materials
- ✓ Readiness Assessment Clinics
- ✓ Communication templates
- ✓ Facilitators Guide & Presentation deck



Timeline



Next Steps



Questions

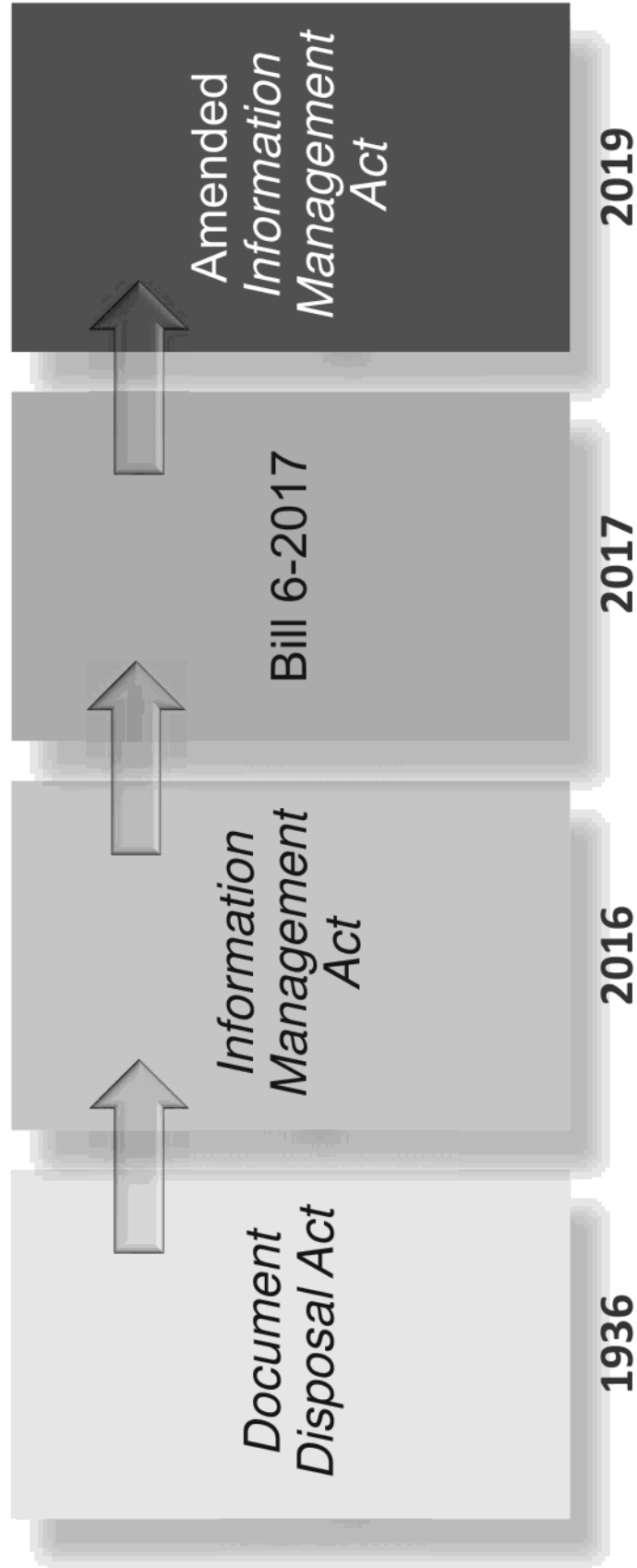
For further information, contact: Susan.Laidlaw@gov.bc.ca

Documenting Government Decisions

December 7, 2018

Deputy Ministers' Committee Presentation

Modernizing Information Management



Bill 6-2017

- ⇒ Received **Royal Assent** in March 2017
- ⇒ Expected to come into force, via Order in Council, on **March 31, 2019**
- ⇒ Applies to all government bodies as defined by the Information Management Act (ministries and 41 entities) and imposes specific responsibilities on the heads of these government bodies
- ⇒ Includes a requirement to **Document Government Decisions**
- ⇒ *Will **not** bring into force the requirement to digitize non-digital information*

CONFIDENTIAL

What is Currently Required?

Core Policy contains a requirement to create records of decision.

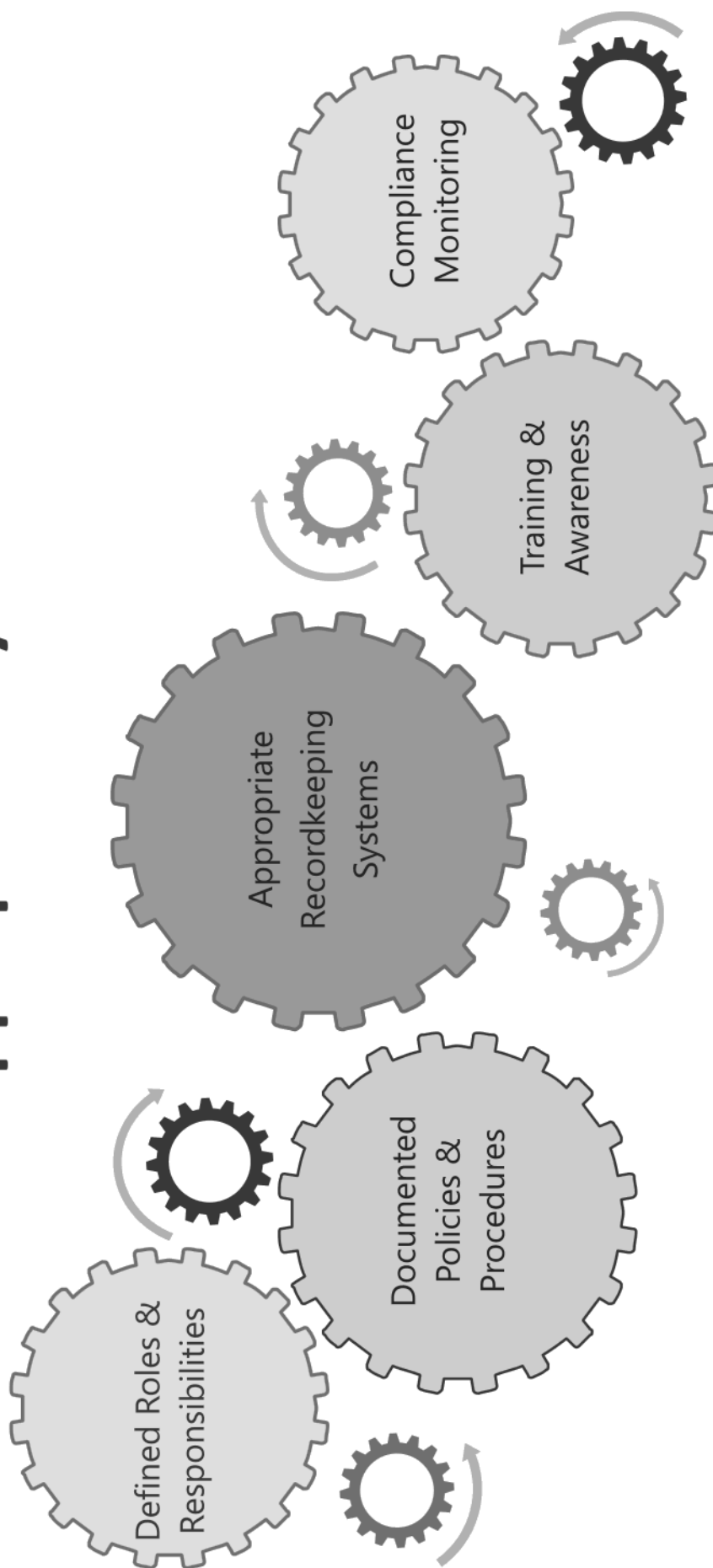
80% of the 500 statutes of British Columbia
contain an authority related to creating a record

New Information Management Act Requirements

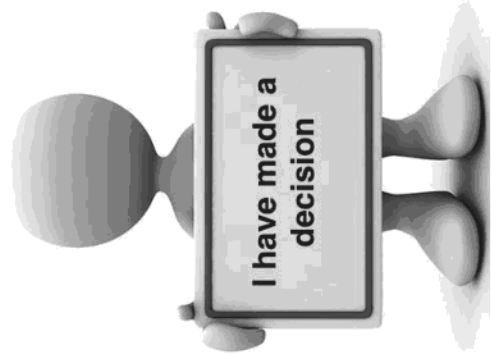
The head of a government body is responsible for ensuring that **an appropriate system is in place** within the government body **for creating and maintaining government information that is an adequate record of that government body's decisions.**

Furthermore, the head is responsible for ensuring that this is done in accordance with applicable directives and guidelines issued by the Chief Records Officer.

Appropriate System



What does it mean to “Document Government Decisions”?



- ⇒ A positive obligation to create records to support public accountability
- ⇒ Requires the creation of information to support accountability, transparency, and accurate reporting of decisions
- ⇒ Does not require records of *every* action or decision
- ⇒ Considerations:
 1. **Evolution of government programs**
 2. **Protection of legal or financial rights or obligations**
 3. **Facilitation of accountability**

How Will This Affect Ministries?

Either because they are required by law, regulation, policy, professional practice, or operational necessity, **ministry employees already document many of their key decisions:**

- ⇒ *Treasury Board Submissions*
- ⇒ *Recruitment Decisions*
- ⇒ *Cabinet Submissions*
- ⇒ *Correspondence Tracking (including Cliff)*
- ⇒ *Procurement Processes*
- ⇒ *Financial decisions*

.....and Line of Business Decision Systems and Processes



Preparing for Implementation



Readiness Assessment

Identify what policies and procedures are already in place to support key decisions.



Address any Gaps

Update policies to address any gaps as necessary.



Tools & Support

The Chief Records Officer will issue and provide further guidance, policies and tools to assist ministries.

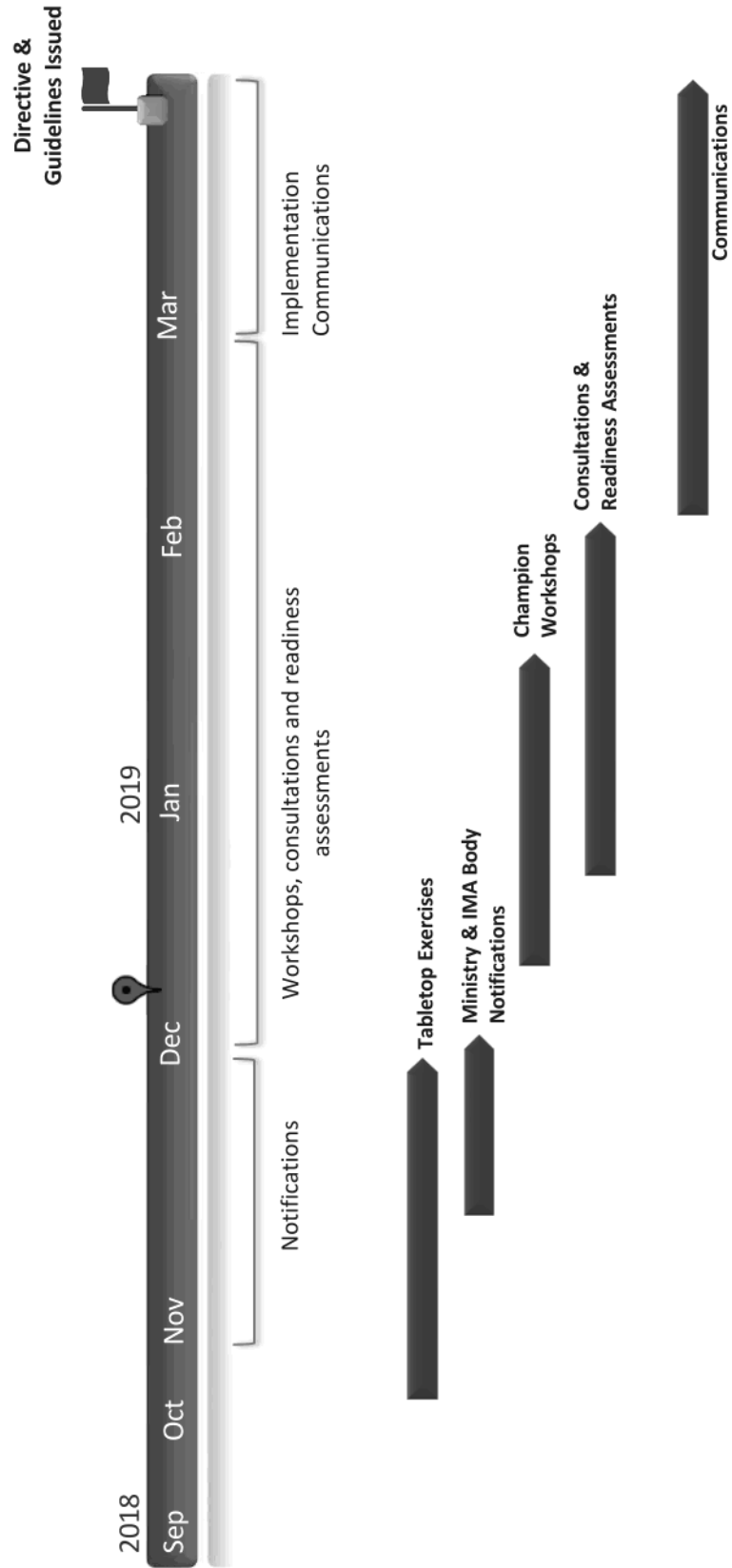
Formalizes an operational requirement, which should reflect current good business practice.

We are Here to Help

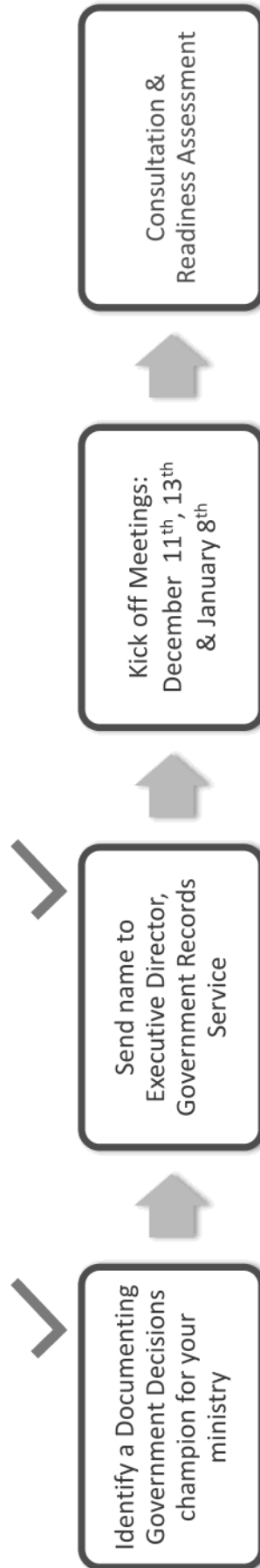
- ☑ Chief Records Officer Directive & Guidelines
- ☑ Job aids and materials:
 - ✓ Frequently Asked Questions (FAQs)
 - ✓ Flowchart Decision Tool
 - ✓ New and updated training materials
- ☑ Employee Training sessions
- ☑ Planning workshops with identified ministry champions



Timeline



Next Steps



Questions

For further information, contact: Susan.Laidlaw@gov.bc.ca

Documenting Government Decisions - Animation Voiceover Script

Estimated 4:55 minutes in duration:

We are dedicated public service employees who value good public administration.

[1] “As government employees, we often make important decisions that affect people, or change the programs and services we offer and/or how we spend public funds. The Chief Records Officer has issued a directive under the *Information Management Act* that sets out a flexible framework for government bodies to ensure important government decisions are documented adequately. This directive helps ensure that people can access the information they expect about how government makes important decisions.”

[Opening Visual] Why do we document government decisions?

[2] “Documenting government decisions is an important part of good public administration. It supports effective operations and facilitates good decision-making. Documenting government decisions also fosters greater openness and transparency by ensuring that adequate records are in place so that people have access to information of interest to them. It also contributes to the preservation of corporate memory, and, ultimately, to creating a rich historical record of government decisions for future generations.”

[Opening Visual] How will this impact me?

[3] Depending on your role, you may find yourself making real-time decisions that affect people every day or you may be involved in preparing decisions notes, briefing executives, or preparing Cabinet submissions. The decisions we make depend on the services we provide and the work that we do.

You are responsible to know the requirements, and how the records you participate in preparing contribute to good public administration. We encourage you to become familiar with the Chief Records Officer’s directive and the guidelines, which are excellent resources and provide greater detail on this important subject.

[Opening Visual] What decisions must be documented?

[4] “This directive does not mean that records have to be created and kept for every decision made by every employee. It does mean applying professional judgement, in the context of good public administration practices, to identify which decisions should be documented, and determine how to prepare adequate records of those decisions. It’s about accountability and transparency. You should consider whether creating a record would be needed to

- * inform someone about the evolution of a program, policy or enactment;
- * protect the legal or financial rights or obligations of anyone that is directly and materially affected by the decision; or
- * facilitate accountability the decision, including through internal or external evaluation, audit or review.

These are the types of decisions that government bodies should document to meet the requirements of the *Information Management Act*. It is important to remember that there are other government

decisions that do not meet these criteria, but the records may still be needed for other reasons, such as business purposes or to meet legislated requirements under other laws. These requirements do not apply to or change those decisions.

[Opening Visual] What is an adequate record of a decision?

[5] “An adequate record of a decision under the *Information Management Act* is one that helps a future reader feel that they are reasonably informed about the context for the decision. A person should be able to find out:

- * who made the decision and under what authority;
- * when the decision was made and, if appropriate, when it takes effect;
- * who is likely to be affected by the decision and how they are affected; and
- * what the basis was and context in which the decision was made, including any relevant legal, policy or factual information.

The record of decision should be proportionate to the impact and importance of the decision. The contextual information of some decisions will be supported by a one-page form, while other decisions may be supported by thousands of pages of analysis and advice. The key factor to consider is whether a reasonable person can understand the decision. It is also important to remember that the threshold for a record is to be “adequate”, not “perfect”.

[7] “You now have a greater awareness of the impacts of this new directive, why we document our decisions, which decisions we document, and the appropriate system that should be in place to support these outcomes.

[8] “For more information, we encourage you to consult the directive and guidelines. Thanks for watching!”

@Work

<https://www.gov.bc.ca/news/2019/0401/documenting-decisions>

<https://www.gov.bc.ca/groups/records-management-community/blogs/2018/0309/our-new-chief-records-officer>

<https://www.gov.bc.ca/news/2019/0412/im-117-mandatory-training>



A Practitioner's Guide to the Information Management Act

Frequently Asked Questions about the Act

Introduction

The *Information Management Act* (IMA) came into force by Order in Council on May 10, 2016. On that date, the IMA replaced the 1936 *Document Disposal Act* (DDA) as government's primary information management law.

The IMA maintains the status of records schedules approved under the DDA, while:

- Modernizing information management practices;
- Streamlining approval processes;
- Establishing a Chief Records Officer (CRO); and
- Establishing the foundation for government's transition to digital information management and archiving.

The IMA was amended on March 31, 2019. Those amendments enhanced the powers of the CRO and added a requirement for the head of a government body to ensure that an appropriate system is in place within the government body for creating and maintaining government information that is an adequate record of that government body's decisions.

Purpose and Coverage of the IMA

1. What does the IMA do?

The IMA modernizes and streamlines information management across government by:

- Transitioning government to the digital storage and management of information;

- Establishing digital archives and requiring the archiving of information in digital form (subject to reasonable exceptions);
- Establishing a Chief Records Officer to approve information schedules, manage the digital archives, and promote effective information management across government; and
- Establishing an obligation to ensure that an appropriate system is in place to create adequate records of government decisions, and to manage and secure all government information from creation to disposal or archiving.

In short, the IMA provides a legislative framework for modern, digital information practices, which will increase worker productivity, reduce costs for taxpayers, enable timelier services for the people of British Columbia, and improve access to information.

2. What does the IMA cover?

The IMA applies to “government information” and “court information” (see [“Courts and Court Information”](#)).

Government information is information that is created or received by a government body in connection with government business. It includes information that:

- 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 the office of a minister.

3. Who is covered by the IMA?

The IMA applies to the following bodies:

- All ministries;
- Courts, in a limited way (see [“Courts and Court Information”](#)); and
- Government agencies designated as a “government body” by regulation (see [“What government agencies are designated ‘government bodies’?”](#)).

4. What government agencies are designated “government bodies”?

A government agency is defined in the IMA as an association, board, commission, corporation or other body that meets one or more of the following criteria:

- (a) The body is an agent of the government,
- (b) The body is a corporation with issued voting shares and the government owns, directly or indirectly, more than 50% of the issued voting shares of the corporation, or
- (c) A majority of the members of the body or of its board of directors or board of management are one or both of the following:
 - (i) appointed by the Lieutenant Governor in Council, by a minister or by an Act;
 - (ii) ministers or public officers acting as ministers or public officers.

While the definition of government agency in the IMA is broad, not all agencies that meet this definition will be designated “government bodies” and subject to the Act.

Currently, only those agencies that meet both of the following criteria have been designated “government bodies”:

1. The agency meets the definition of “government agency” in the IMA; and
2. The agency has records that were governed by a records retention schedule approved under the DDA.

These criteria ensure appropriate continuity of records retention schedules established under the DDA while government transitions to more modern and digital information practices.

In the future, government may add additional government agencies to the coverage of the IMA by regulation, after appropriate consultation and review.

A complete list of the agencies currently designated as “government bodies” and covered by the IMA is attached as **Appendix A**.

Information Schedules

5. What is an information schedule?

An information schedule specifies how long specified information must be retained and what its final disposition will be. Most information is eventually disposed of after a specified period of time; however, some information is designated for archiving (permanent preservation) or transfer to another entity outside of government.

An information schedule can only be approved by the CRO, and once approved, the IMA requires the CRO to publish the schedule (see [“Role and Mandate of the Chief Records Officer”](#)).

Another type of information schedule is a “court information schedule”. These schedules govern the appropriate retention and disposal of court information and are approved by the Deputy Attorney General and the Chief Judge or Justice of a court (see [“Courts and Court Information”](#)).

6. What happens to existing records schedules that were approved under the DDA?

Section 24 of the IMA maintains the status of records schedules that were approved under the DDA, by deeming them to be information schedules or court information schedules approved under the IMA. As such, records schedules approved under the DDA continue to apply to the information they cover unless they are replaced with an information schedule or court information schedule under the IMA.

One of the benefits of the IMA for ministries and government bodies is that they are able to take advantage of new streamlined approval processes should they need to update old record schedules or have new ones created.

7. How can my organization get a new or revised information schedule under the IMA?

For information on how to obtain a new or updated information schedule, government bodies should contact their [records officer or broader public sector client relations specialist](#) in the Government Records Service at 250-387-3387.

Role and Mandate of the Chief Records Officer

8. What is the CRO's mandate under the IMA?

Section 3 of the IMA sets out the CRO's mandate. It includes:

- Promoting the preservation of valuable government information for current and future use;
- Approving information schedules that govern the holding, transferring, archiving and disposal of government information;
- Managing the digital archives and promoting its availability to the public;
- Promoting effective information management by government bodies; and
- Examining, evaluating and reporting on the management of government information and making recommendations considered advisable.

9. What are the powers and responsibilities of the CRO under the IMA?

The CRO has a number of powers and responsibilities in the IMA. Specifically, the CRO:

- May approve information schedules governing the retention of government information (Section 4);
- Must publish approved information schedules (Section 5);
- May issue directives and guidelines relating to a matter under the Act (Section 6);
- May access information held by a government body, including personal information, and may require from an officer or employee of a government body information and explanations necessary for the CRO to carry out their mandate (Section 8);
- Must provide an annual report to the Minister (Section 8.1);
- May provide an exemption to the requirement to digitize information (Section 9);
- May, in cases where no information schedule applies, approve the transfer, archiving or disposal of government information and publish the approval (Section 11);
- Must manage, secure and preserve the digital archives (Section 12);
- May provide an exemption to the requirement to digitize information before it is archived (Section 13);
- May approve the transfer of government information recorded in non-digital form to the museum archives of government (Section 14); and
- May certify records held in the digital archives as a true copy for the purpose of admitting them into evidence (Section 15).

10. Has the CRO issued any directives under section 6 of the IMA?

The CRO has issued two directives:

Directive [CRO 01-2017](#) is a directive to all government bodies respecting the archiving of government information. The directive has two parts:

1. It requires government bodies to continue to hold any digital information that is scheduled to be archived until such time as the digital archives, established under section 12 of the IMA, are operational.
2. It also provides a time-limited exemption from the requirement to digitize information before it is archived and permits the transfer of this non-digital information to the Royal BC Museum.

When the digital archives is ready to receive information, the CRO will consult with government bodies and provide further direction on timing, permitted formats and other requirements.

Directive CRO 01-2019 is a directive to all government bodies respecting the “appropriate system” for creating and maintaining an “adequate record” of a government body’s decisions.

Specifically, this directive prescribes the elements of an “appropriate system” for documenting government decisions and sets out the types of records that constitute an “adequate record” of a government body's decisions.

Responsibilities of the Head of a Government Body

11. Who is the head of a government body?

For government ministries, the head is the Minister. In practice, and as authorized by the *Interpretation Act*, actions of a minister or other named official can be carried out by ministry officials of experience and competence, “for and on behalf of” the Minister. Typically, accountability for the responsibilities of a minister as the “head” of a government body is assigned to the Deputy Minister.

For other government bodies, the head is the individual designated as the head of the government body by regulation. A complete list of the agencies designated as “government bodies” and their heads is attached as **Appendix A**.

12. What are the responsibilities of the head of a government body?

Section 19 of the IMA sets out the responsibilities the head of a government body has under the IMA.

They include:

- Ensuring that an appropriate system is in place within the government body to create, maintain, manage and secure government information;
- Responding to requests for information from the CRO respecting the government body’s management of government information; and

- Ensuring that no government information held by the government body is disposed of, except as permitted by an information schedule or with the approval of the CRO.

In addition, the head of a government body must take reasonable steps to ensure that the government body complies with:

- Directives and guidelines issued by the CRO;
- The requirement to hold, transfer, archive and dispose of government information in accordance with information schedules; and
- Requirements to digitize information (once those requirements come into effect).

13. What is meant by an “appropriate system”?

Section 19 (1) of the IMA requires the head of a government body to ensure that an “appropriate system” is in place within the government body to manage and secure government information.

Section 19 (1.1) of the IMA further requires the head of a government body to ensure that an “appropriate system” is in place within the government body to ensure that adequate records of that government body’s decisions are created and maintained.

The features of an “appropriate system” for creating and maintaining adequate records of government decisions are set out in Directive 01-2019, with significant flexibility for government bodies to determine what constitutes an appropriate system.

An “appropriate system” is not only about technology. It also includes policies, processes, roles, responsibilities and the controls necessary to ensure the appropriate management of information throughout its lifecycle.

Government bodies need to ensure that they have the appropriate combination of people, processes and technology in place to ensure that government information is held, transferred, archived and disposed of in accordance with the IMA.

Digitizing Government Information

14. Do I have to digitize all my records?

The IMA does not currently require the digitization of any records.

While there could be a number of reasons that a ministry may wish to digitize its physical records (e.g., to save space by reducing need for physical storage or to provide ready access to digitized records by making it easier to search and retrieve information), it is not a legal or policy requirement that they do so.

The “digitization” requirements in section 9 of the IMA are not yet in force. When they are in force, they will be prospective only, meaning that they will apply only to records created after that future date.

Ministries will not be required to digitize legacy records created before that date, with only one exception. The one type of “legacy” records that may be required to be digitized is analog-format information that is eligible for archiving in the digital archives after September 30, 2019 (see [“Do I have to digitize analog-format archival materials and send them to the digital archives?”](#)).

15. What records will I be required to digitize in the future?

Section 9 of the IMA requires that all government bodies store their information digitally unless they receive an exemption from the CRO. This requirement is not currently in force.

When section 9 comes into effect, the requirement will be prospective and will only apply to information created or received after that date.

It is expected that the CRO will exempt general categories of information from the requirement (e.g., transitory information) and also provide for agency-specific exemptions on a case-by-case basis.

Transitioning to digital information management is no small task. In recognition of this, government has committed to conducting further consultations and establishing reasonable exemptions before this requirement comes into effect. This will include consulting on any technical requirements and on the types of information that should be exempted from the requirement to digitize.

16. Do I have to digitize analog-format archival materials and send them to the digital archives?

Section 13 of the Act is currently in force, which requires all information in non-digital form to be digitized before it is archived. However, Directive 01-2017 exempts all government information in non-digital form that is scheduled to be archived under an information schedule and eligible for archiving on or before September 30, 2019.

Ministry Records Officers can answer questions about what records are scheduled for archiving and whether they will be eligible for archiving in the digital archives after September 30, 2019.

Documenting Government Decisions

17. How do I know if I need to document a decision?

Government bodies do not have to create and keep records of every decision made by every employee. Government bodies need to identify which decisions are to be documented by applying their judgement, in the context of their specific mandates and with consideration to the purpose and intent of the IMA, Directive 01-2019 any guidelines issued by the CRO, and other obligations that may exist in relevant law and policy respecting documenting decisions. To help determine if a decision is required to be documented under the IMA, refer to the CRO guidelines.

A government body should document a decision where a record would serve one or more of the following purposes:

- Informing the government body or others about the evolution of the government body's programs, policies or enactments;
- Protecting the legal or financial rights or obligations of the government body, the Crown, or any person, group of persons, government or organization that is directly and materially affected by the decision;
- Facilitating the government body's accountability for its decisions, including through internal or external evaluation, audit or review.

Section 19 (1.1) of the IMA requires that government bodies have an appropriate system in place for creating and maintaining, in accordance with directives and guidelines issued by CRO, government information that is an adequate record of their decisions.

Directive 01-2019 sets out the components of an appropriate system and what constitutes an adequate record. The Guidelines expand on the Directive and provide operational examples. Together, the Directive and Guidelines provide a flexible, principle-based framework that government bodies can operationalize in a manner suitable to their respective mandates.

Government bodies should review their operations to ensure that they can demonstrate compliance with the IMA, the Directive and the Guidelines.

18. What new requirements do I have to follow to document decisions?

Most government bodies should not need to significantly change their operations as they are already documenting their key decisions.

One of the objectives of Chapter 12 of the Core Policy and Procedures Manual is to ensure ministries "create and retain a full and accurate record documenting decisions and actions" (Part III: Managing Information) and other corporate policies and procedures provide specific direction on documentation. In addition, about 80% of BC's statutes contain some kind of authority for creating records. Many more program-specific policies and procedures also set out documentation requirements.

A robust high-level information management framework already exists for government bodies. This corporate framework comprises information management legislation such as the IMA, the *Freedom of Information and Protection of Privacy Act* (FOIPPA), their associated regulations, ministerial orders and ministerial or CRO directives and numerous policies.

19. What is meant by an “adequate record” of a government body decision?

What constitutes an adequate record will vary depending on the circumstance. In general, a government body will need to assure itself that the policies and practices it has in place are sufficient to require the appropriate creation of records that do at least one of the following:

- Support public accountability and access to information about important decisions;
- Protect the legal and financial rights and obligations of government and those directly affected by a government body’s decisions;
- Account for the evolution of the government body’s organization, policies and programs; or
- Ensure the government body can be held accountable through an audit or review that is reasonably expected to occur related to those decisions.

Section 19 1.1 of the IMA requires the creation of adequate records. This requirement has been designed to be broad enough to be flexibly applied across the wide range of ministry practices and needs, while ensuring that government bodies are creating the records to support transparency, access and accountability. Most government bodies already have policies and processes in place for creating and maintaining adequate records of decisions. As such, adherence to common corporate practices will generally ensure alignment with documenting government decisions requirements.

In general, a record of decision is adequate if it can reasonably be expected that someone not familiar with the decision could be reasonably informed about the following, as applicable:

- Who made the decision and under what authority;
- When the decision was made and, if appropriate, when it takes effect;
- Who is reasonably likely to be directly and materially affected by the decision and, where practicable, the way in which they are reasonably likely to be affected by the decision; and
- What are the basis for and context in which the decision was made, including, as applicable, any relevant legal, policy or factual information.

Not all of these factors will apply to every decision. For example, many decisions do not affect others, so it is not necessary to document who is reasonably likely to be affected or how. Government bodies are expected to carefully consider, in the circumstances of each case, what is required to adequately document a decision.

In some cases, an adequate record of a decision may be a note in a case management system or case file; in others it may comprise copies of extensive studies. It is also important to remember that a record is required to be “adequate”, not “perfect”. In addition, it is not necessary for a single record to be created that contains all of the material contextual information. The amount and type of contextual information that is adequate will vary depending on the nature of the decision.

Digital Archives

20. How does the IMA impact the archiving of information?

Section 12 of the IMA establishes the digital archives as government's primary archives going forward. While the museum archives (Royal BC Museum) will continue to operate, it will start to receive less and less archival information as information is created, stored and eventually archived digitally.

Section 14 of the IMA requires digital information of archival value to be transferred to the digital archives. In addition, section 13 of the IMA requires non-digital information to be digitized before it is archived, unless the CRO exempts the information from the digitization requirement.

Non-digital information that is ready to be archived is currently exempted from the digitization requirement and approved for transfer to the museum archives. Once the digital archives is operational and ready to receive material, non-digital information will need to be digitized and transferred to the digital archives, subject to limited exemptions. Exempted categories of records will continue to be archived with the Royal BC Museum.

21. What is the digital archives?

The Digital Archives preserves and makes accessible digital records (government information in digital form) that have been appraised as having permanent value to government and society. It is an organizational and technological infrastructure that will ensure the authenticity and accessibility of archival holdings over time by preventing obsolescence and deterioration.

Courts and Court Information

22. What courts are covered by the IMA?

The IMA applies, in a limited manner, to the British Columbia Court of Appeal, Supreme Court and Provincial Court. These courts were covered by the DDA and continue to be covered by the IMA in a manner that preserves their independence from government.

23. What is “court information”?

The IMA recognizes three types of court-related information:

1. “Court information”, or information related to court proceedings, which is held by a court and is covered by the Act in a limited way (sections 16.1 to 16.3 set out the rules that apply to the management and retention of “court information”).
2. “Court administration information”, which is managed by the Ministry of Attorney General and is considered “government information” for the purposes of the Act. “Government information” is subject to all the requirements of the Act.
3. “Judicial administration records”, which are records that relate to a judge, master, or justice of the peace, and are entirely excluded from the coverage of the Act to preserve the independence of the judiciary (this is consistent with how these records are treated under the FOIPPA).

24. How are courts and court information covered by the IMA?

Part 5 of the IMA specifies how the Act applies to Courts and court information.

Court information must be held, transferred, archived and disposed of in accordance with a “court information schedule”. However, it is the Deputy Attorney General and the Chief Judge or Justice of a court that have the authority to approve court information schedules, not the CRO. The Deputy Attorney General is also responsible for publishing court information schedules.

In addition, court information and judicial administration records that have archival value may be transferred to the digital archives or the museum archives.

No other requirements in the IMA apply to courts, court information or judicial administration records.

This approach recognizes the independence of courts from the executive arm of government and preserves the important role of the Deputy Attorney General in approving information schedules that govern the retention and disposition of court information.

Contact Information

For further information, please contact GRS@gov.bc.ca.

Appendix A: Government Bodies under the IMA

Government Body	Title of Head
1. Agricultural Land Commission	Chair
2. Board of Examiners for Local Government	Inspector of Municipalities
3. British Columbia Arts Council	Chair
4. British Columbia Emergency Health Services Authority	Chair of the Board of Directors
5. British Columbia Housing Management Commission	Chair
6. British Columbia Innovation Council	Chair
7. British Columbia Lottery Corporation	Chair of the Board of Directors
8. British Columbia Pavilion Corporation	Chair of the Board of Directors
9. British Columbia Securities Commission	Chair
10. British Columbia Transit Corporation	Chair of the Board of Directors
11. British Columbia Transportation Financing Authority	Chair of the Board of Directors
12. Building Code Appeal Board	Attorney General
13. Columbia Power Corporation	Chair of the Board of Directors
14. Community Care and Assisted Living Appeal Board	Chair
15. Community Living BC	Chair of the Board
16. Credit Union Deposit Insurance Corporation	Chief Executive Officer
17. Destination BC Corporation	Chair
18. Environmental Appeal Board	Chair
19. Financial Institutions Commission	Chair
20. Financial Services Tribunal	Chair
21. First Peoples' Heritage, Language and Culture Council	Chair
22. Forensic Psychiatric Services Commission	Chair of the Board
23. Forest Appeals Commission	Chair
24. Forest Practices Board	Chair
25. Forestry Innovation Investment Ltd.	Chair of the Board
26. Health Professions Review Board	Chair
27. Hospital Appeal Board	Chair
28. Industry Training Appeal Board	Chair
29. Justice Institute of British Columbia	Chief Executive Officer
30. Knowledge Network Corporation	Chief Executive Officer
31. Medical Services Commission	Chair
32. Office of the Registrar of Mortgage Brokers	Registrar of Mortgage Brokers
33. Office of the Superintendent of Financial Institutions	Superintendent of Financial Institutions
34. Office of the Superintendent of Pensions	Superintendent of Pensions
35. Office of the Superintendent of Real Estate	Superintendent of Real Estate
36. Oil and Gas Appeal Tribunal	Chair
37. Oil and Gas Commission	Commissioner
38. Patient Care Quality Review boards (Each board)	Chair
39. Provincial Health Services Authority	Chief Executive Officer
40. Royal British Columbia Museum	Chair of the Board of Directors
41. Transportation Investment Corporation	Chair of the Board of Directors

2019 Decision Note

Joel Fairbairn, A/Assistant Deputy Minister and Chief Records Officer

Date: February 1, 2019

Ref: 111135

Issue: Need to confirm the procedure for approving minor "administrative" amendments to information schedules.

Recommendation / Next Steps (if any):

s.13

Background / Facts:

- Information schedules occasionally require minor updates or changes when, for example, there is organizational change or changes to record-keeping procedures.
- There are six categories of administrative amendment, which are established in [RIM 201B](#). They are: minor wording changes; retention time redistribution; classifications (secondaries) moved, divided or merged; records schedule divided; redundant classifications removed; and ancillary sections of Operational Records Classification Systems amended.
- These changes do not substantially alter the scope of the schedule or the retention periods and as such, they do not seem to warrant the level of review and scrutiny that new information schedules or major amendments require.
- Prior to the enactment of the *Information Management Act*, minor changes, known as "administrative amendments" were submitted for approval to the manager responsible for scheduling and appraisal and the Secretary of the Public Documents Committee.
- The current process is to present administrative amendments to the CRO for their approval.

Analysis:

s.13

Other Options:

s.13

Approved / Not Approved

Final approver to specify if the recommendation has been approved or one of the other options or simply not approved.



Joel Fairbairn, A/Assistant Deputy Minister and
Chief Records Officer

Feb 1, 2019
Date

Contact: Susan Laidlaw, Executive Director, Government Records Service 778-698-2900

2019 Decision Note

Joel Fairbairn, A/Assistant Deputy Minister and Chief Records Officer

Date: February 1, 2019

Ref: 111135

Issue: Need to confirm the procedure for approving minor "administrative" amendments to information schedules.

Recommendation / Next Steps (if any):

- Delegate to the Executive Director, Government Records Service (the Executive Director), the approval of administrative amendments to information schedules. The Executive Director may further delegate this authority, at their discretion.
- Minor amendments to existing schedules will be brought to the Executive Director for approval, and the Chief Records Officer (CRO) will be informed of the amendments that are approved.
- This approach allows for a streamlined and efficient process to make minor corrections or changes to information schedules.
- This approach does not allow the CRO to exercise their discretion over all amendments to information schedules.
- If approved, Government Records Service staff will update the existing policy and procedure documents and prepare for approval the required amendments that have been identified.

Background / Facts:

- Information schedules occasionally require minor updates or changes when, for example, there is organizational change or changes to record-keeping procedures.
- There are six categories of administrative amendment, which are established in [RIM 201B](#). They are: minor wording changes; retention time redistribution; classifications (secondaries) moved, divided or merged; records schedule divided; redundant classifications removed; and ancillary sections of Operational Records Classification Systems amended.
- These changes do not substantially alter the scope of the schedule or the retention periods and as such, they do not seem to warrant the level of review and scrutiny that new information schedules or major amendments require.
- Prior to the enactment of the *Information Management Act*, minor changes, known as "administrative amendments" were submitted for approval to the manager responsible for scheduling and appraisal and the Secretary of the Public Documents Committee.
- The current process is to present administrative amendments to the CRO for their approval.

Analysis:

- There is an opportunity to adjust and streamline the current approach.
- The proposed amendments, by definition, will not substantively alter the intent of the information schedule that was approved by the CRO (or by the Legislative Assembly for those disposition authorities approved under the *Document Disposal Act*).
- As the manager responsible for the Government Records Service, the Executive Director, is well-placed to provide the necessary oversight and approval of administrative amendments.

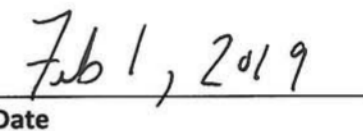
Other Options:

1. Status quo. Administrative amendments are submitted to the CRO for approval. This option allows the CRO to exercise their discretion over information schedules. It may also become tedious and burdensome given the minor nature of the proposed changes.

Approved / Not Approved

Final approver to specify if the recommendation has been approved or one of the other options or simply not approved.


Joel Fairbairn, A/Assistant Deputy Minister and
Chief Records Officer


Date

Contact: Susan Laidlaw, Executive Director, Government Records Service 778-698-2900

INFORMATION SCHEDULE APPROVAL

Title: *BC Pavilion Corporation Operational Records Classification System (ORCS)*

British Columbia Pavilion Corporation

Scope of Schedule:

These records document marketing, selling, planning, executing, and managing events at the Vancouver Convention Centre (VCC) and BC Place as well as records relating to the maintenance of the facilities and management of the land around the facilities. BC Pavilion Corporation's mandate is established under a government mandate letter issued annually by the Minister for Transportation and Infrastructure and Minister responsible for B.C. Pavilion Corporation.

For more information, see the attached schedule.

Earliest date of records covered by this schedule: 1981

The government body endorses this schedule and its implementation.

Endorsement on file

President and CEO, BC Pavilion Corporation
Name: Ken Cretney

2017-02-14

Date

The Information Management Advisory Committee recommends this schedule for approval.

Susan Laidlaw

Susan Laidlaw, Chair

2017/10/16

Date

APPROVED BY THE CHIEF RECORDS OFFICER:

David Curtis

David Curtis

2018/01/22

Date

The attached 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 recordkeeping practices.

Archivist: Linda Nobrega

Endorsed by Senior Director, Government Records Service.

Endorsement on file

Name: Alexander Wright
Date: 2017-02-14

INFORMATION SCHEDULE APPROVAL

Title: *BC Pavilion Corporation Operational Records Classification System (ORCS)*

British Columbia Pavilion Corporation

Scope of Schedule:

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Endorsed by Senior Director, Government Records Service.

Endorsement on file

Name: Alexander Wright

Date: 2017-02-14

INFORMATION SCHEDULE APPROVAL RATIONALE

Date: January 22, 2018

Background

Schedule:

BC Pavilion Corporation ORCS, schedule 144009

Program Area:

British Columbia Pavilion Corporation

Scope of Schedule:

These records document marketing, selling, planning, executing, and managing events at the Vancouver Convention Centre (VCC) and BC Place as well as records relating to the maintenance of the facilities and management of the land around the facilities. BC Pavilion Corporation's mandate is established under a government mandate letter issued annually by the Minister for Transportation and Infrastructure and Minister responsible for B.C. Pavilion Corporation.

Discussion

Standard Appraisal Considerations:

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

Specific Appraisal Considerations:

This information schedule covers the core functional areas of the BC Pavilion Corporation (PavCo), the Crown corporation that manages the BC Trade and Convention Centre and BC Place. The ORCS covers the organization's core functions of managing the two facilities as well as marketing, selling and producing events at these venues.

Records of permanent archival value to the province are described in the following list:

- **Board of Director records** document the governance of PavCo. The government archives will fully retain Board resolutions because they document formal approvals and consent given by the Directors who have been appointed by the Provincial Government to manage and lead PavCo.
- **Marketing and communications records** document developing and planning specific or broad marketing strategies or campaigns in order to promote PavCo's venues. The government

archives will fully retain the external communications and media releases because they succinctly document the activities, projects and improvements at PavCo venues.

- **And last, final policies and procedures** provide significant evidence of the governance of the functions described in this ORCS.

The remaining records covered by this ORCS will be retained until their operational, reference, and legal values have expired.

Public Consultation:

The schedule was posted for public consultation for a period of three weeks from September 1 - 22, 2017. No comments were received.

Information Management Advisory Committee (IMAC) Recommendation:

Prior to presentation to the Information Management Advisory Committee (IMAC), this schedule was approved by the program area. This approval indicates the program area's commitment to implementing the information schedule.

The schedule was reviewed by IMAC with a program area representative, the ORCS Developer, and the GRS Archivist present.

A question arose regarding the length of time event planning and production files were retained and the ORCS Developer assured that the length was sufficient.

On October 13, 2017, IMAC recommended the British Columbia Pavilion Corporation information schedule for approval.

Chief Records Officer (CRO) Questions and Considerations:

The CRO identified two typographical errors in the information schedule approval rationale document. These have been corrected.

Recommendation

See the *Information Schedule Approval* form for the official Chief Records Officer's decision with respect to this schedule.

INFORMATION SCHEDULE APPROVAL RATIONALE

Date: January 22, 2018

Background

Schedule:

BC Pavilion Corporation ORCS, schedule 144009

Program Area:

British Columbia Pavilion Corporation

Scope of Schedule:

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Recommendation

See the *Information Schedule Approval* form for the official Chief Records Officer's decision with respect to this schedule.

INFORMATION SCHEDULE APPROVAL RATIONALE

Date: November 8, 2018

Background

Schedule:

BC Services Card Program, schedule 144823

Program Area:

Ministry of Citizens' Services

Technology Solutions/Provincial Identity Information Management Program

Scope of Schedule:

The BC Services Card Program Operational Records Classification System (ORCS) establishes a classification system and retention and disposition schedule for the operational records created by the Identity Information Management Program. The schedule covers records relating to developing and issuing a secure credential for BC residents to replace the Ministry of Health's CareCard. The Ministry of Citizens' Services holds authority under the *Freedom of Information and Protection of Privacy Act* (RSBC 1996, c. 165, s. 69.2) for issuing the BC Services Card, except for the combination card which is co-issued with the Insurance Corporation of BC under the authority of the *Motor Vehicle Act* (RSBC 1996, c. 318., s. 25). The Medical and Health Care Services Regulation (Reg. 53/2014) provides a complete description of the three types of BC Services Cards issued.

Records cover policy and program development files, identity management and authentication services data, and onboarding and business development files.

Standard Appraisal Considerations:

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

Specific Appraisal Considerations:

The BC Services Card Program ORCS covers the operational records created by the BC Services Card Program, part of the Identity Information Management Program of the Ministry of Citizens' Services. The purpose of the BC Services Card Program was to develop and issue a secure identification card for BC residents to replace the Ministry of Health's Care Card used for provincial health insurance.

The BC Services Card Program ORCS was created since the program area lacked a records schedule and there was a requirement from the Office of the Information and Privacy Commissioner to establish data retention guidelines, particularly for card usage data, in order to launch the next phase of the project: using the cards to log in to access additional government programs and services.

The schedule was completed in early 2015 but the program area was required to wait for the Minister of Citizens' Services' direction to the Provincial Identity Information Services Provider (PIISP). The direction was provided in late April 2018.

Key highlights of the ORCS are as follows:

- Secondary Credential usage data that logs every time a credential (e.g., a card or chip) is used, a passcode is entered, or when Identity Assurance Services is accessed, provides identity data to a relying service. Current ministerial direction (see above) states that the information recorded about what relying service was accessed is not to be retained for longer than 30 days unless the information is necessary for a privacy, security, or fraud investigation.
- Records appraised for transfer to the government archives include final policy files as these records provide significant evidence of the governance of the program's functions and activities.
- Records appraised for selective retention include program planning files, with final versions of the BC Services Card and Identity Assurance Services service descriptions and overviews being retained to document government's approach to providing citizens with secure access to government services through one identity card. Remaining program planning files will be destroyed.

Public Consultation:

The schedule was posted for public consultation for a period of three weeks from August 9, 2018 to August 30, 2018. No comments were received.

Information Management Advisory Committee Recommendation:

Prior to presentation to the Information Management Advisory Committee (IMAC), this schedule was approved by the program area. This approval indicates the program area's commitment to implementing the information schedule.

The schedule was reviewed by IMAC with program area representatives and the Government Record Services Archivist/ORCS Developer present.

A Committee member asked whether there were any issues with retaining Credential Usage Data for only 30 days as many investigations are likely to begin after that period. The ORCS Developer and program representatives advised that this reflects a request from the Office of the Information and Privacy Commissioner to ensure the data cannot be used for citizen profiling. Information relating to how a program was used (this data only shows what programs were used) is retained in the program and is where information useful for investigations is found. The Committee also asked whether any non-government bodies use the cards for authentication purposes that the ORCS Developer and Ministry representatives confirmed but added there are currently no non-government bodies doing this and noted their participation will be governed by a service agreement or contract and after privacy and security assessments.

Committee members asked why the recommended retention schedule of two years is shorter than the standard five years. The ORCS Developer advised in this context two years is sufficient for their client's operations and the clients are comfortable with this recommended schedule.

The Committee asked the ORCS Developer why the recommended retention for Credential management data was expressed in months (SO+90m) instead of as seven-and-a-half years. The response was that

this is a requirement of the computer system currently used by Government Record Services (that system is planned to be replaced this will take some time to do so).

Chief Records Officer (CRO) Questions and Considerations:

The CRO had no further questions regarding this schedule.

Recommendation

See the *Information Schedule Approval* form for the official Chief Records Officer's decision with respect to this schedule.

INFORMATION SCHEDULE APPROVAL RATIONALE

Date: November 8, 2018

Background

Schedule:

BC Services Card Program, schedule 144823

Program Area:

Ministry of Citizens' Services

Technology Solutions/Provincial Identity Information Management Program

Scope of Schedule:

The BC Services Card Program Operational Records Classification System (ORCS) establishes a classification system and retention and disposition schedule for the operational records created by the Identity Information Management Program. The schedule covers records relating to developing and issuing a secure credential for BC residents to replace the Ministry of Health's CareCard. The Ministry of Citizens' Services holds authority under the *Freedom of Information and Protection of Privacy Act* (RSBC 1996, c. 165, s. 69.2) for issuing the BC Services Card, except for the combination card which is co-issued with the Insurance Corporation of BC under the authority of the *Motor Vehicle Act* (RSBC 1996, c. 318., s. 25). The Medical and Health Care Services Regulation (Reg. 53/2014) provides a complete description of the three types of BC Services Cards issued.

Records cover policy and program development files, identity management and authentication services data, and onboarding and business development files.

Standard Appraisal Considerations:

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

Specific Appraisal Considerations:

The BC Services Card Program ORCS covers the operational records created by the BC Services Card Program, part of the Identity Information Management Program of the Ministry of Citizens' Services. The purpose of the BC Services Card Program was to develop and issue a secure identification card for BC residents to replace the Ministry of Health's Care Card used for provincial health insurance.

The BC Services Card Program ORCS was created since the program area lacked a records schedule and there was a requirement from the Office of the Information and Privacy Commissioner to establish data retention guidelines, particularly for card usage data, in order to launch the next phase of the project: using the cards to log in to access additional government programs and services.

The schedule was completed in early 2015 but the program area was required to wait for the Minister of Citizens' Services' direction to the Provincial Identity Information Services Provider (PIISP). The direction was provided in late April 2018.

Key highlights of the ORCS are as follows:

- Secondary Credential usage data that logs every time a credential (e.g., a card or chip) is used, a passcode is entered, or when Identity Assurance Services is accessed, provides identity data to a relying service. Current ministerial direction (see above) states that the information recorded about what relying service was accessed is not to be retained for longer than 30 days unless the information is necessary for a privacy, security, or fraud investigation.
- Records appraised for transfer to the government archives include final policy files as these records provide significant evidence of the governance of the program's functions and activities.
- Records appraised for selective retention include program planning files, with final versions of the BC Services Card and Identity Assurance Services service descriptions and overviews being retained to document government's approach to providing citizens with secure access to government services through one identity card. Remaining program planning files will be destroyed.

Public Consultation:

The schedule was posted for public consultation for a period of three weeks from August 9, 2018 to August 30, 2018. No comments were received.

Information Management Advisory Committee Recommendation:

Prior to presentation to the Information Management Advisory Committee (IMAC), this schedule was approved by the program area. This approval indicates the program area's commitment to implementing the information schedule.

The schedule was reviewed by IMAC with program area representatives and the Government Record Services Archivist/ORCS Developer present.

A Committee member asked whether there were any issues with retaining Credential Usage Data for only 30 days as many investigations are likely to begin after that period. The ORCS Developer and program representatives advised that this reflects a request from the Office of the Information and Privacy Commissioner to ensure the data cannot be used for citizen profiling. Information relating to how a program was used (this data only shows what programs were used) is retained in the program and is where information useful for investigations is found. The Committee also asked whether any non-government bodies use the cards for authentication purposes that the ORCS Developer and Ministry representatives confirmed but added there are currently no non-government bodies doing this and noted their participation will be governed by a service agreement or contract and after privacy and security assessments.

Committee members asked why the recommended retention schedule of two years is shorter than the standard five years. The ORCS Developer advised in this context two years is sufficient for their client's operations and the clients are comfortable with this recommended schedule.

The Committee asked the ORCS Developer why the recommended retention for Credential management data was expressed in months (50+90m) instead of as seven-and-a-half years. The response was that

this is a requirement of the computer system currently used by Government Record Services (that system is planned to be replaced this will take some time to do so).

Chief Records Officer (CRO) Questions and Considerations:

The CRO had no further questions regarding this schedule.

Recommendation

See the *Information Schedule Approval* form for the official Chief Records Officer's decision with respect to this schedule.

INFORMATION SCHEDULE APPROVAL

Title: *BC Services Card Program Operational Records Classification System (ORCS)*

Ministry of Citizens' Services

Technology Solutions/Provincial Identity Information Management (IDIM) Program

Scope of Schedule:

The *BC Services Card Program ORCS* establishes a classification system and retention and disposition schedule for the operational records created by the IDIM Program. The schedule covers records relating to developing and issuing a secure credential for BC residents to replace the Ministry of Health's CareCard. CITZ holds authority under the *Freedom of Information and Protection of Privacy Act* (RSBC 1996, c. 165, s. 69.2) for issuing the BC Services Card, except for the combo card which is co-issued with the Insurance Corporation of BC under the authority of the *Motor Vehicle Act* (RSBC 1996, c. 318., s. 25). The *Medical and Health Care Services Regulation* (Reg. 53/2014) provides a complete description of the three types of BC Services Cards issued.

Records cover policy and program development files, identity management and authentication services data, and onboarding and business development files.

The retention periods specified in this schedule meet all operational, fiscal, legal, and audit requirements.

For more information, see the attached schedule.

Earliest date of records covered by this schedule: 2010

The government body endorses this schedule and its implementation.

See signed authorization authority

Assistant Deputy Minister, Office of the Chief Information Officer

May 19, 2015

Date

Name: Ian Bailey

The Information Management Advisory Committee recommends this schedule for approval.



Susan Laidlaw, Chair

Sep 19, 2018

Date

APPROVED BY THE CHIEF RECORDS OFFICER:



David Curtis

Nov 8, 2018

Date

The attached 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 recordkeeping practices.

Schedule Developer: Sarah Jensen

Endorsed by Government Records Service.



Alexander Wright, Chief Archivist

Date

July 26, 2018

INFORMATION SCHEDULE APPROVAL

Title: *BC Services Card Program Operational Records Classification System (ORCS)*

Ministry of Citizens' Services

Technology Solutions/Provincial Identity Information Management (IDIM) Program

Scope of Schedule:

The *BC Services Card Program ORCS* establishes a classification system and retention and disposition schedule for the operational records created by the IDIM Program. The schedule covers records relating to developing and issuing a secure credential for BC residents to replace the Ministry of Health's CareCard. CITZ holds authority under the *Freedom of Information and Protection of Privacy Act* (RSBC 1996, c. 165, s. 69.2) for issuing the BC Services Card, except for the combo card which is co-issued with the Insurance Corporation of BC under the authority of the *Motor Vehicle Act* (RSBC 1996, c. 318., s. 25). The *Medical and Health Care Services Regulation* (Reg. 53/2014) provides a complete description of the three types of BC Services Cards issued.

Records cover policy and program development files, identity management and authentication services data, and onboarding and business development files.

The retention periods specified in this schedule meet all operational, fiscal, legal, and audit requirements.

For more information, see the attached schedule.

Earliest date of records covered by this schedule: 2010

The government body endorses this schedule and its implementation.

See signed authorization authority

Assistant Deputy Minister, Office of the Chief Information Officer

May 19, 2015

Date

Name: Ian Bailey

The Information Management Advisory Committee recommends this schedule for approval.



Susan Laidlaw, Chair

Sep 19, 2018

Date

APPROVED BY THE CHIEF RECORDS OFFICER:



David Curtis

Nov 8, 2018

Date

The attached 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 recordkeeping practices.

Schedule Developer: Sarah Jensen

Endorsed by Government Records Service.



Alexander Wright, Chief Archivist

Date

July 26, 2018

INFORMATION SCHEDULE APPROVAL RATIONALE

Date: April 24, 2018

Background

Schedule:

Cultural Services ORCS, schedule 143933, amendment 144037

Program Area:

Ministry of Tourism, Art and Culture
Arts, Culture and Sports Division
Arts and Cultural Development

Scope of Schedule:

This amendment to the Operational Records Classification System (ORCS) reflects minor business process change and new activities by Arts and Cultural Development since the original schedule was approved in 2003. Key changes include: the introduction of new records series, changes to how grant programs are administered, re-appraisal of arts and culture funding case files from destruction to selective retention, and updating format and wording to meet current ORCS standards and practices.

Discussion

Standard Appraisal Considerations:

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

Specific Appraisal Considerations:

This is the first amendment for the ORCS which was originally approved in 2003. The ORCS covers the functions of funding assistance to the arts and the administration of the provincial government's art collection.

The amendment was developed in consultation with branch staff covering a range of roles and levels of experience. Background research into previous appraisals, and both current and superseded file lists was also undertaken. Previous records now held by BC Archives were also reviewed. The amendment covers new record series related to the branch's functions and updates to the format and structure of the ORCS (e.g., eliminating policy and procedures secondary in all but the general primary).

There was a reappraisal: Arts and culture funding case files (80100-20, page 7) were reappraised from Destruction (DE) to Selective Retention (SR). The original rationale for destruction was that case files

could be destroyed because significant applications are summarized in the meeting records and annual report. The revised rationale (change to SR – retain successful applications): “The government archives will selectively retain arts and culture funding case files. Successful applications will be retained because they document a core function of the branch and possess considerable historical and informational value in the area of the development of British Columbia’s arts sector. Unsuccessful applications may be destroyed.” This change was made because summary information was inadequate – these are incredibly rich files that show what in the arts sector is being funded by the government. This schedule meets draft Government Records Service (GRS) appraisal policy criteria (information that tells the story of British Columbia).

This schedule does not include a concordance table as an appendix (as many other amendments do). This is because minimal reclassification is occurring and it was deemed unnecessary.

Public Consultation:

The schedule was posted for public consultation for a period of three weeks from December 19, 2017 – January 9, 2018. No comments were received.

Information Management Advisory Committee (IMAC) Recommendation:

Prior to presentation to the Information Management Advisory Committee (IMAC), this schedule was approved by the program area. This approval indicates the program area’s commitment to implementing the information schedule.

The schedule was reviewed by IMAC with a program area representative and the GRS ORCS Developer present.

A question arose around whether retention periods were sufficient for audit purposes. The Committee determined the periods were sufficient for financial audits. A question arose around volume of Full Retention (FR) files. The ORCS Developer informed there were a few boxes per year.

On February 22, 2018, IMAC recommended the Cultural Services information schedule for approval.

Chief Records Officer (CRO) Questions and Considerations:

Upon review, the CRO sought additional information on the retention of BC Arts Collection Storage Facilities Files (Secondary 80200-06). The CRO inquired if the secondary is specific to the contract/procurement process in identifying the business requirements or does it extend to assessments of the facility after procurement and operationalization (e.g. compliance with the contract under the “reports” reference). If the latter - does the material need to be held longer in the event of non-compliance and potential legal action etc.?

Government Records Service responded that the scope of the amendment covered only the first two primaries, and therefore did not extend to an update of primary 80200. However, a cross-reference to Administrative Records Classification System (ARCS) primary 1070 was added under the 80200-06

secondary for clarification. As ARCS 1070 covers final contracts, including contract monitoring, the records relating to procurement and monitoring are covered there and not under this ORCS.

Recommendation

See the *Information Schedule Approval* form for the official Chief Records Officer's decision with respect to this schedule.

INFORMATION SCHEDULE APPROVAL RATIONALE

Date: April 24, 2018

Background

Schedule:

Cultural Services ORCS, schedule 143933, amendment 144037

Program Area:

Ministry of Tourism, Art and Culture
Arts, Culture and Sports Division
Arts and Cultural Development

Scope of Schedule:

This amendment to the Operational Records Classification System (ORCS) reflects minor business process change and new activities by Arts and Cultural Development since the original schedule was approved in 2003. Key changes include: the introduction of new records series, changes to how grant programs are administered, re-appraisal of arts and culture funding case files from destruction to selective retention, and updating format and wording to meet current ORCS standards and practices.

Discussion

Standard Appraisal Considerations:

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

Specific Appraisal Considerations:

This is the first amendment for the ORCS which was originally approved in 2003. The ORCS covers the functions of funding assistance to the arts and the administration of the provincial government's art collection.

The amendment was developed in consultation with branch staff covering a range of roles and levels of experience. Background research into previous appraisals, and both current and superseded file lists was also undertaken. Previous records now held by BC Archives were also reviewed. The amendment covers new record series related to the branch's functions and updates to the format and structure of the ORCS (e.g., eliminating policy and procedures secondary in all but the general primary).

There was a reappraisal: Arts and culture funding case files (80100-20, page 7) were reappraised from Destruction (DE) to Selective Retention (SR). The original rationale for destruction was that case files

could be destroyed because significant applications are summarized in the meeting records and annual report. The revised rationale (change to SR – retain successful applications): “The government archives will selectively retain arts and culture funding case files. Successful applications will be retained because they document a core function of the branch and possess considerable historical and informational value in the area of the development of British Columbia’s arts sector. Unsuccessful applications may be destroyed.” This change was made because summary information was inadequate – these are incredibly rich files that show what in the arts sector is being funded by the government. This schedule meets draft Government Records Service (GRS) appraisal policy criteria (information that tells the story of British Columbia).

This schedule does not include a concordance table as an appendix (as many other amendments do). This is because minimal reclassification is occurring and it was deemed unnecessary.

Public Consultation:

The schedule was posted for public consultation for a period of three weeks from December 19, 2017 – January 9, 2018. No comments were received.

Information Management Advisory Committee (IMAC) Recommendation:

Prior to presentation to the Information Management Advisory Committee (IMAC), this schedule was approved by the program area. This approval indicates the program area’s commitment to implementing the information schedule.

The schedule was reviewed by IMAC with a program area representative and the GRS ORCS Developer present.

A question arose around whether retention periods were sufficient for audit purposes. The Committee determined the periods were sufficient for financial audits. A question arose around volume of Full Retention (FR) files. The ORCS Developer informed there were a few boxes per year.

On February 22, 2018, IMAC recommended the Cultural Services information schedule for approval.

Chief Records Officer (CRO) Questions and Considerations:

Upon review, the CRO sought additional information on the retention of BC Arts Collection Storage Facilities Files (Secondary 80200-06). The CRO inquired if the secondary is specific to the contract/procurement process in identifying the business requirements or does it extend to assessments of the facility after procurement and operationalization (e.g. compliance with the contract under the “reports” reference). If the latter - does the material need to be held longer in the event of non-compliance and potential legal action etc.?

Government Records Service responded that the scope of the amendment covered only the first two primaries, and therefore did not extend to an update of primary 80200. However, a cross-reference to Administrative Records Classification System (ARCS) primary 1070 was added under the 80200-06

secondary for clarification. As ARCS 1070 covers final contracts, including contract monitoring, the records relating to procurement and monitoring are covered there and not under this ORCS.

Recommendation

See the *Information Schedule Approval* form for the official Chief Records Officer's decision with respect to this schedule.



INFORMATION SCHEDULE APPROVAL

Title: *Cultural Services Operational Records Classification System (ORCS) – Amendment 1*

Ministry of Tourism, Art, and Culture
Arts, Culture and Sports Division
Arts and Cultural Development

Scope of Schedule:

This amendment to the ORCS reflects minor business process changes and new activities by Arts and Cultural Development since the original schedule was approved in 2003. Key changes include: the introduction of new records series, changes to how grant programs are administered, re-appraisal of arts and culture funding case files from destruction to selective retention, and updating format and wording to meet current ORCS standards and practices.

The retention periods specified in this schedule meet all operational, fiscal, legal, and audit requirements.

For more information, see the attached schedule.

Earliest date of records covered by this schedule: 1974

The government body endorses this schedule and its implementation.

Signed endorsement on file

Gillian Wood, Executive Director, Arts and Cultural Development 2017-12-05
Date

The Information Management Advisory Committee recommends this schedule for approval.

Susan Laidlaw 06 Apr 2018
Susan Laidlaw, Chair Date

APPROVED BY THE CHIEF RECORDS OFFICER:

David Curtis May 22/18
Date

The attached 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 recordkeeping practices.

Schedule Developer: Maxwell Otte

Endorsed by Government Records Service.

Alexander Wright
Alexander Wright, Chief Archivist
Date

Dec. 18, 2017

INFORMATION SCHEDULE APPROVAL RATIONALE

Date: January 22, 2018

Background

Schedule:

Education Data Reporting and Analytics ORCS, schedule 195780

Program Area:

Ministry of Education

Governance and Analytics

Analysis and Reporting

Scope of Schedule:

This schedule covers records relating to the use of data and research to assist the ministry in decision making, program delivery and evaluation. This includes: the production of standard annual reports on student achievement and demographics, and ad hoc reports in response to requests from the ministry, other government organizations, and the public; forecasting and program evaluation; the administration of the Satisfaction Survey, which gathers responses from students, parents/guardians, and school staff on achievement, human and social development, and safety and demographics; and the sharing and release of data to academic researchers through research agreements.

This schedule also covers records relating to the coordination, reporting and analysis of the CommunityLINK (Learning Includes Nutrition and Knowledge) program, which provides funding to support the academic achievement and social functioning of vulnerable students.

Discussion

Standard Appraisal Considerations:

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

Specific Appraisal Considerations:

This information schedule covers the Data Reporting and Analytics branch in the Ministry of Education. This office provides information and analytical support to the ministry, government and education sector through the use of data and research to support program and strategic planning, data enabled decision making, and performance evaluation of the kindergarten to grade 12 education system. This is their first records schedule, and covers records created since 1999.

There were two themes in this project. Because the clients had never had a records schedule, the first challenge was simply defining the categories of records and projects they conduct, when they had just stored every record in one large stream. While this may sound simple, it was actually an analytical process that the entire team participated in through “workshops.”

The other theme was around the media of the records. Historically, the standard reports, which document key information and statistics on the K-12 education program, have been in the format of pdfs loaded on the website. They are now creating datasets to allow the citizens of the province to be more interactive with the data. The schedule is media neutral, but we worked in consultation with the program area on wording that accurately represented the records (such as data releases, data products). An interesting note for this schedule is that there are no physical records associated with this ORCS, and you will see that the retentions are built to reflect that.

There are two categories of records which will be fully retained for the government archives: their policy and procedures, and the standard reports, research reports and other special products.

Public Consultation:

The schedule was posted for public consultation for a period of three weeks from September 1 - 22, 2017. No comments were received.

Information Management Advisory Committee (IMAC) Recommendation:

Prior to presentation to the Information Management Advisory Committee (IMAC), this schedule was approved by the program area. This approval indicates the program area’s commitment to implementing the information schedule.

The schedule was reviewed by IMAC with two program area representatives and the GRS ORCS Developer present.

A question arose regarding the retention period for the master insurance program. The ORCS Developer assured that the program dealt with copies not originals. A question arose regarding personal information, but all such identifiers are cleaned for publication or are transitory.

On October 13, 2017, IMAC recommended the Education Data Reporting and Analytics information schedule for approval.

Chief Records Officer (CRO) Questions and Considerations:

The CRO sought clarification that the personal identifiers discussed at the IMAC meeting that are deemed transitory are not retained in the system beyond the required time to produce reports.

The CRO also sought confirmation that under 15000-20 “Data analysis and reporting – ad hoc reports” that Ministry program areas retain responsibility for retaining final copies of reports they produce.

Recommendation

See the *Information Schedule Approval* form for the official Chief Records Officer's decision with respect to this schedule.

INFORMATION SCHEDULE APPROVAL RATIONALE

Date: January 22, 2018

Background

Schedule:

Education Data Reporting and Analytics ORCS, schedule 195780

Program Area:

Ministry of Education

Governance and Analytics

Analysis and Reporting

Scope of Schedule:

This schedule covers records relating to the use of data and research to assist the ministry in decision making, program delivery and evaluation. This includes: the production of standard annual reports on student achievement and demographics, and ad hoc reports in response to requests from the ministry, other government organizations, and the public; forecasting and program evaluation; the administration of the Satisfaction Survey, which gathers responses from students, parents/guardians, and school staff on achievement, human and social development, and safety and demographics; and the sharing and release of data to academic researchers through research agreements.

This schedule also covers records relating to the coordination, reporting and analysis of the CommunityLINK (Learning Includes Nutrition and Knowledge) program, which provides funding to support the academic achievement and social functioning of vulnerable students.

Discussion

Standard Appraisal Considerations:

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

Specific Appraisal Considerations:

This information schedule covers the Data Reporting and Analytics branch in the Ministry of Education. This office provides information and analytical support to the ministry, government and education sector through the use of data and research to support program and strategic planning, data enabled decision making, and performance evaluation of the kindergarten to grade 12 education system. This is their first records schedule, and covers records created since 1999.

There were two themes in this project. Because the clients had never had a records schedule, the first challenge was simply defining the categories of records and projects they conduct, when they had just stored every record in one large stream. While this may sound simple, it was actually an analytical process that the entire team participated in through “workshops.”

The other theme was around the media of the records. Historically, the standard reports, which document key information and statistics on the K-12 education program, have been in the format of pdfs loaded on the website. They are now creating datasets to allow the citizens of the province to be more interactive with the data. The schedule is media neutral, but we worked in consultation with the program area on wording that accurately represented the records (such as data releases, data products). An interesting note for this schedule is that there are no physical records associated with this ORCS, and you will see that the retentions are built to reflect that.

There are two categories of records which will be fully retained for the government archives: their policy and procedures, and the standard reports, research reports and other special products.

Public Consultation:

The schedule was posted for public consultation for a period of three weeks from September 1 - 22, 2017. No comments were received.

Information Management Advisory Committee (IMAC) Recommendation:

Prior to presentation to the Information Management Advisory Committee (IMAC), this schedule was approved by the program area. This approval indicates the program area’s commitment to implementing the information schedule.

The schedule was reviewed by IMAC with two program area representatives and the GRS ORCS Developer present.

A question arose regarding the retention period for the master insurance program. The ORCS Developer assured that the program dealt with copies not originals. A question arose regarding personal information, but all such identifiers are cleaned for publication or are transitory.

On October 13, 2017, IMAC recommended the Education Data Reporting and Analytics information schedule for approval.

Chief Records Officer (CRO) Questions and Considerations:

The CRO sought clarification that the personal identifiers discussed at the IMAC meeting that are deemed transitory are not retained in the system beyond the required time to produce reports.

The CRO also sought confirmation that under 15000-20 “Data analysis and reporting – ad hoc reports” that Ministry program areas retain responsibility for retaining final copies of reports they produce.

Recommendation

See the *Information Schedule Approval* form for the official Chief Records Officer's decision with respect to this schedule.

INFORMATION SCHEDULE APPROVAL

Title: *Education Data Reporting and Analytics Operational Records Classification System (ORCS)*

Ministry of Education
Governance and Analytics
Analysis and Reporting

Scope of Schedule:

This schedule covers records relating to the use of data and research to assist the ministry in decision making, program delivery and evaluation. This includes: the production of standard annual reports on student achievement and demographics, and ad hoc reports in response to requests from the ministry, other government organizations, and the public; forecasting and program evaluation; the administration of the Satisfaction Survey, which gathers responses from students, parents/guardians, and school staff on achievement, human and social development, and safety and demographics; and the sharing and release of data to academic researchers through research agreements.

This schedule also covers records relating to the coordination, reporting and analysis of the CommunityLINK (Learning Includes Nutrition and Knowledge) program, which provides funding to support the academic achievement and social functioning of vulnerable students.

The retention periods specified in this schedule meet all operational, fiscal, legal, and audit requirements. For more information, see the attached schedule.

Earliest date of records covered by this schedule: 1999

The government body endorses this schedule and its implementation.

Endorsement on file

2017/04/18

Executive Director, Education Analytics
Name: Darlene Therrien

Date

The Information Management Advisory Committee recommends this schedule for approval.



2017/10/16

Susan Laidlaw, Chair

Date

APPROVED BY THE CHIEF RECORDS OFFICER:


2018/01/22

Name: David Curtis

Date

The attached 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 recordkeeping practices.

Schedule Developer: Mahia Frost
Archivist: Joni Mitchell

Endorsed by Government Records Service

Endorsement on file

Name: Alex Wright
Date 2017-03-20

INFORMATION SCHEDULE APPROVAL

Title: *Education Data Reporting and Analytics Operational Records Classification System (ORCS)*

Ministry of Education
Governance and Analytics
Analysis and Reporting

Scope of Schedule:

This schedule covers records relating to the use of data and research to assist the ministry in decision making, program delivery and evaluation. This includes: the production of standard annual reports on student achievement and demographics, and ad hoc reports in response to requests from the ministry, other government organizations, and the public; forecasting and program evaluation; the administration of the Satisfaction Survey, which gathers responses from students, parents/guardians, and school staff on achievement, human and social development, and safety and demographics; and the sharing and release of data to academic researchers through research agreements.

This schedule also covers records relating to the coordination, reporting and analysis of the CommunityLINK (Learning Includes Nutrition and Knowledge) program, which provides funding to support the academic achievement and social functioning of vulnerable students.

The retention periods specified in this schedule meet all operational, fiscal, legal, and audit requirements. For more information, see the attached schedule.

Earliest date of records covered by this schedule: 1999

The government body endorses this schedule and its implementation.

Endorsement on file

2017/04/18

Executive Director, Education Analytics
Name: Darlene Therrien

Date

The Information Management Advisory Committee recommends this schedule for approval.

Susan Laidlaw

2017/10/16

Susan Laidlaw, Chair

Date

APPROVED BY THE CHIEF RECORDS OFFICER:

David Curtis

2018/01/22

Name: David Curtis

Date

The attached 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 recordkeeping practices.

Schedule Developer: Mahia Frost
Archivist: Joni Mitchell

Endorsed by Government Records Service

Endorsement on file

Name: Alex Wright
Date 2017-03-20

INFORMATION SCHEDULE APPROVAL RATIONALE

Date: June 1, 2018 (prior to CRO review)

Background

Schedule:

Environmental Protection ORCS, schedule 144020

Program Area:

Ministry of Environment and Climate Change Strategy
Environment Protection Division

Scope of Schedule:

The Environmental Protection Operational Records Classification System (ORCS) is a classification system and information schedule for operational records created and received by the Environmental Protection Division pursuant to the *Environmental Management Act* (SBC 2003, c. 53), the *Integrated Pest Management Act* (SBC 2003, c. 58), the *Transport of Dangerous Goods Act* (RSBC 1996, c. 458), and a variety of regulations.

The responsibilities of the division include: developing internal and external policy, procedures, standards, guidelines, recommended practices and directives; authorizing potentially environmentally hazardous or harmful activities; managing the environmental emergency program; developing exams used to approve licences and certificates for pesticide use and transportation of hazardous waste; monitoring and remediating contaminated sites in British Columbia; researching and reporting on air and water quality; and monitoring and tracking the transportation of hazardous waste.

Discussion

Standard Appraisal Considerations:

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

Specific Appraisal Considerations:

This is to be the first approved ORCS for the Environmental Protection program since their inception over 30 years ago. This division of the Ministry of Environment and Climate Change Strategy has a mandate to protect and enhance the quality of British Columbia's water, land, and air in a way that contributes to healthy communities and a sustainable environment.

They meet these goals through science-based policies and laws. They also use standards and codes of practice, carry out monitoring to make sure standards are met, and publicly report on the monitoring

results. The records of these policies, standards and reports are fully retained for the government archives.

Because this will be their first approved ORCS, considerations were made for their legacy practices of managing records, as well as their future practices, which use electronic filing systems. Care was taken in the schedule to assist in these transitions, and while some areas had implemented an old draft ORCS, we have endeavoured to build a structure that can be easily applied to all of their records.

Due to the nature of their work, there are several streams of records selected for retention by the government archives:

- Policies, procedures, manuals, standards, monitoring reports;
- Selected authorizations and all unauthorized site files;
- Emergency declarations;
- Contaminated sites files;
- Operational briefing and decision notes;
- Spill tracking sheets;
- Activity reports, which document the activities of the organization;
- Versions of exams for pesticide use and application, as well as the transportation of hazardous waste;
- Situation reports;
- Spill files (which are called site incident report files); and
- Some of the core records relating to government's involvement with the Society of Contaminated Site Approved Professionals.

Public Consultation:

The schedule was posted for public consultation for a period of three weeks from April 17 - May 8, 2018. No comments were received.

Information Management Advisory Committee (IMAC) Recommendation:

Prior to presentation to the Information Management Advisory Committee (IMAC), this schedule was approved by the program area. This approval indicates the program area's commitment to implementing the information schedule.

The schedule was reviewed by IMAC with program area representatives and the GRS Archivist and ORCS Developer present.

A question arose regarding contaminated site files and their retention. The ORCS Developer informed that they are being actively retained for a long period, as legislatively required, and are then fully retained.

A question arose around the volume of Full Retention (FR) records due to the amount of Secondaries with FR for final disposition. The Archivist reported that the volume is difficult to estimate, but that there is a substantial volume of records, which includes legacy records.

A question arose regarding consistency of the notebooks Secondary between schedules, such as with the Conservation Officer Services. The ORCS Developer informed that there is consistency.

A question arose around the precision of 31 years in several of the Secondaries. The ORCS Developer informed that 31 years aligned with a management plan and also meets operational requirements.

A question arose around having a policy Primary and final policy in a Secondary under this Primary. The ORCS Developer informed that, though policy is often put under a General Primary, here policy is a robust function and the records should be maintained together for this reason.

On May 24, 2018, subject to a minor correction (i.e., the definition of an acronym will be moved to match the first appearance of the acronym), IMAC recommended the Environmental Protection information schedule for approval.

Chief Records Officer (CRO) Questions and Considerations:

<<Pending CRO review>>

Recommendation

See the *Information Schedule Approval* form for the official Chief Records Officer's decision with respect to this schedule.

INFORMATION SCHEDULE APPROVAL RATIONALE

Date: June 1, 2018 (prior to CRO review)

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INFORMATION SCHEDULE APPROVAL

Title: *Environmental Protection Operational Records Classification System (ORCS)*

Ministry of Environment and Climate Change Strategy

Environmental Protection Division

Scope of Schedule:

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The retention periods specified in this schedule meet all operational, fiscal, legal, and audit requirements.

For more information, see the attached schedule.

Earliest date of records covered by this schedule: 1931

The government body endorses this schedule and its implementation.

Endorsement on file

April 11, 2018

Assistant Deputy Minister, Environmental Protection Division
Name: David P Morel

Date

The Information Management Advisory Committee recommends this schedule for approval.



Susan Laidlaw, Chair

24 May 2018

Date

APPROVED BY THE CHIEF RECORDS OFFICER:



David Curtis

Sept 6, 2018
Date

The attached 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 recordkeeping practices.

Schedule Developer: Mahia Frost
Archivist: Joni Mitchell

Endorsed by Government Records Service.


Alexander Wright, Chief Archivist

Date April 10, 2018

INFORMATION SCHEDULE APPROVAL

Title: *Environmental Protection Operational Records Classification System (ORCS)*

Ministry of Environment and Climate Change Strategy

Environmental Protection Division

Scope of Schedule:

The *Environmental Protection ORCS* is a classification system and information schedule for operational records created and received by the Environmental Protection Division pursuant to the *Environmental Management Act* (SBC 2003, c. 53), the *Integrated Pest Management Act* (SBC 2003, c. 58), the *Transport of Dangerous Goods Act* (RSBC 1996, c. 458), and a variety of regulations.

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Archivist: Joni Mitchell

Endorsed by Government Records Service.


Alexander Wright, Chief Archivist

Date April 10, 2018

INFORMATION SCHEDULE APPROVAL RATIONALE

Date: May 1, 2018

Background

Schedule:

Information and Privacy ORCS, schedule 194900, amendment 144017

Program Area:

Ministry of Citizens' Services

Privacy, Compliance and Training Branch (PCT)

Scope of Schedule:

This amendment to the Operational Records Classification System (ORCS) reflects a variety of changes in Privacy, Compliance and Training's functional responsibility since the original ORCS was approved by the Legislature in 2008. Key changes include: introduction of investigative responsibility for information incidents, introduction of information management practice reviews, and the transfer of responsibility for administration of the *Freedom of Information and Protection of Privacy Act* (RSBC 1996, c. 165) and the *Personal Information Protection Act* (SBC 2003, c. 63) to the Strategic Policy and Legislation Branch. Other amendments to primaries and secondaries have been made throughout the ORCS to include wording changes in scope notes, secondary titles, and secondary notes. Classifications pertaining to functions which are now the responsibility of the Information Access Operations Branch have been removed and will be covered under a separate schedule.

Discussion

Standard Appraisal Considerations:

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

Specific Appraisal Considerations:

The origin of the Privacy, Compliance and Training Branch began in 1987, with the push to create legislation for the protection of privacy and freedom of information. This is the organization's second ORCS, the first iteration approved in 2008. This newly amended ORCS covers PCT's delivery of information compliance and privacy services, which includes: reviewing privacy impact assessments, information sharing agreements and privacy protection schedules; providing consultative support and liaison on government privacy initiatives and policy; investigating information incidents; and conducting the new information management practice reviews.

PCT requested an ORCS amendment to establish a time-table for the disposition of records related to new branch functions: the investigation of information incidents, and information management practice reviews. The ORCS satisfies this desire by scheduling both functions, as well as including smaller amendments to primaries and secondaries to include wording and organizational changes in scope notes, secondary titles, and secondary notes.

Rather than creating categories for each specific function, where possible we grouped broad functional categories that combine functions with identical retention periods. This makes for a more streamlined schedule that is flexible for future changes in responsibilities and organizational units. This approach reduced the number of secondaries from 30 to 15.

Public Consultation:

The schedule was posted for public consultation for a period of three weeks from December 19, 2017 – January 9, 2018. No comments were received.

Information Management Advisory Committee (IMAC) Recommendation:

Prior to presentation to the Information Management Advisory Committee (IMAC), this schedule was approved by the program area. This approval indicates the program area's commitment to implementing the information schedule.

The schedule was reviewed by IMAC with a program area representative and the Government Records Service (GRS) ORCS Developer present.

A question arose about retention periods of Privacy Impact Assessments (PIAs) from a risk management perspective. The ORCS Developer clarified that PIAs are kept active until the records described in the PIA are destroyed or the PIA is replaced by a new version. Another question arose whether the retentions periods were long enough for litigation. After consultation with legal services it had been determined that the length was appropriate. In the event of employee misconduct in relation to a breach, the BC Public Service Agency (PSA) would have records relating to employee issues.

On February 22, 2018, IMAC recommended the Information and Privacy information schedule amendment for approval.

Chief Records Officer (CRO) Questions and Considerations:

The CRO inquired whether the program area would prefer to use the term "compliance" rather than "practice review".

After discussion with the program area and ORCS developer, it was decided that the term compliance can be treated as a generic term, reflecting the activities associated with practice reviews. It was further determined that the term compliance is the most meaningful and clear term for the staff who will be managing the records, which will likely result in more accurate filing and better adoption of the ORCS during implementation.

The CRO also sought clarification on the retention for “ad hoc” assessments (primary 30400-30 Central agency assessments – final), specified as SO nil SR.

The ORCS developer noted that the SO trigger provides for lengthy retention of important cases by specifying that they are neither superseded nor obsolete as long as they are required “for research or reference,” plus an additional seven years. Many important “ad hoc” cases will be required for research and reference for a considerable length of time and the staff in managing the records are best qualified to make that determination.

The CRO requested additional information on the now superseded Information and Privacy Training primary (30300). After interviewing training staff and reviewing records, it was apparent that the retentions provided in ARCS primary 1735 (Training and Development, Course Delivery) were suitable for the program area’s business practices and records. Further, the Privacy, Compliance and Training branch intends to implement policy to review attestations every 5 years. These files are now covered under “ARCS 1735-30 Attendance files” with a retention of SO NIL DE. The attestation files will not be declared superseded or obsolete until the employee leaves government or a newer attestation is recorded.

Lastly, the CRO identified a typographical error in primary 30400. This error has been addressed in the final publication version of the schedule.

Recommendation

See the *Information Schedule Approval* form for the official Chief Records Officer’s decision with respect to this schedule.

INFORMATION SCHEDULE APPROVAL RATIONALE

Date: May 1, 2018

Background

Schedule:

Information and Privacy ORCS, schedule 194900, amendment 144017

Program Area:

Ministry of Citizens' Services

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Recommendation

See the *Information Schedule Approval* form for the official Chief Records Officer’s decision with respect to this schedule.



INFORMATION SCHEDULE APPROVAL

Title: *Information and Privacy Operational Records Classification System (ORCS) – Amendment 1*

Ministry of Citizens' Services
Privacy, Compliance and Training Branch (PCT)

Scope of Schedule:

This amendment to the ORCS reflects a variety of changes in Privacy, Compliance and Training's functional responsibility since the original ORCS was approved by the Legislature in 2008. Key changes include: introduction of investigative responsibility for information incidents, introduction of information management compliance assessments, and the transfer of responsibility for administration of the Freedom of Information and Protection of Privacy Act (RSBC 1996, c. 165) and the Personal Information Protection Act (SBC 2003, c. 63) to the Strategic Policy and Legislation Branch. Other amendments to primaries and secondaries have been made throughout the ORCS to include wording changes in scope notes, secondary titles, and secondary notes.

Classifications pertaining to functions which are now the responsibility of the Information Access Operations Branch have been removed and will be covered under a separate schedule.

The retention periods specified in this schedule meet all operational, fiscal, legal, and audit requirements.

For more information, see the attached schedule.

Earliest date of records covered by this schedule: 1987

The government body endorses this schedule and its implementation.

Authorizations on file

08/29/2017

Acting Executive Directors– Privacy, Compliance and Training
Branch

Date

Names: Matt Reed and Kenneth McLean

The attached 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 recordkeeping practices.

The Information Management Advisory Committee recommends
this schedule for approval.

Schedule Developer: Chloe Powell

Endorsed by Government Records Service.

Susan Laidlaw, Chair

06 Apr 2018

Date

APPROVED BY THE CHIEF RECORDS OFFICER:

Name: David Curtis

May 22/18

Date

Alexander Wright, Chief Archivist

Date 11/21/2017



INFORMATION SCHEDULE APPROVAL

Title: *Information and Privacy Operational Records Classification System (ORCS) – Amendment 1*

Ministry of Citizens' Services
Privacy, Compliance and Training Branch (PCT)

Scope of Schedule:

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Name: David Curtis

May 22/18

Date

Alexander Wright, Chief Archivist

Date 11/21/2017



GOVERNMENT RECORDS SERVICE

FOR REFERENCE:

In his role as the Assistant Deputy Minister of the Corporate Information and Records Management Office, David Curtis reviewed this schedule before public consultation commenced. For the Committee's reference, his questions from that review are summarized below, as well as the replies from the ORCS developer (answered in consultation with Privacy, Compliance and Training leadership).

1. How does this schedule compare to financial audit schedules?

The SO triggers for the various information management assessments are based on the longitudinal needs of the auditors undertaking scheduled audits. Each type of audit is kept for at least seven years to grant a full picture of how information is managed within a given ministry. The majority of assessment/audit functions performed by government are for financial reasons, so the SO trigger will differ from Privacy, Compliance and Training's (PCT) schedule. Despite this difference in subject, the amount of time (at least 7 years), is consistent with financial audits. A screenshot of ARCS 975-40: Audit and Compliance Reviews is included below for comparison.

975-40	<p>Internal audit and review files (covers fraud and alleged fraud, management representation letters, Comptroller General audit, and ministry internal audit) SO = upon completion of audit or review and when corrective action is taken DE = Internal audit and review files may be destroyed upon authorization of the Records Officer because significant information is fully retained by the government archives in the <i>Office of the Comptroller General</i> ORCS, approved schedule 180968. NOTE: Examples of audits and reviews covered by this secondary are: Office of the Comptroller General audits and reviews and ministry/agency internal audits and reviews, including internal investigations of alleged fraud and wrongdoing.</p>	SO+1y	6y	DE
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GOVERNMENT RECORDS SERVICE

2. How does this schedule compare to other schedules that include investigation case files, including system files (ex., PSA, OCG and Information Technology Services)?
- **PSA's** investigation records are unscheduled.
 - **OCG's** investigation case files are scheduled. The records are scheduled under the secondary titled "audit project case files" because the original Investigation and Forensic Unit (IU) was part of the Internal Audit and Advisory Services Branch (IAAS) of the Ministry of Finance. OCG is concerned mainly with the misappropriation of funds and disclosure of contract information, or other circumstances that require independent review of a government operation.

Audit project case files: SO / 10y / FR

- file mainly contains the final signed report and limited correspondence.

SO = when the audit director is satisfied with the client's response to the final report or considers the project to be complete

10y = The ten year retention period provides for the auditor's reference and referral needs.

FR = The government archives will fully retain audit project case files because they document auditors' recommendations, client organization responses and the terms of reference. The client organization responses document the recommendation, the action plan and the current status of the planned action.

Audit project working case files SO / 10y / DE

SO = when the audit director is satisfied with the client's response to the final report or considers the project to be complete

10y = The ten year retention period provides for the auditor's reference and referral needs.

PCT's Investigation Unit deals with a far higher volume of records, and determined that they did not want to keep investigation case files for longer than five years, unless the case was required for research and reference. After five years, the majority of case files are not accessed by investigators and ultimately have the potential to impact the productivity of the file management system.

- **Information Technology Services Schedule** divides the investigation case files into two types: cases not needed for reference (-50) and cases required for reference (-53). See screenshot below.



GOVERNMENT RECORDS SERVICE

-50	Investigation files (supersedes secondary -02) (includes incident reports and assessments, notifications to stakeholders, correspondence, planning and coordination documentation; records that the investigating organization has taken into its custody or otherwise produced for investigative purposes; investigator's notes and analysis; research and reference material; reports and summaries; and conclusions and recommendations) (arrange by investigation number)	SO	7y	DE
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SO = when investigation is closed or abandoned

7y = The retention period ensures that the information will be available to meet operational and accountability needs.

DE= Investigation files can be destroyed upon authorization of the Records Officer because records of significant findings and the actions that resulted will be adequately documented in executive records covered by primary 280 and/or by special schedule 102906 (*Executive Records*).

NOTE: This secondary covers both investigations led by the office responsible for investigating information incidents and the investigative activities it carries out in support of others, such as law enforcement and the offices responsible for human resources, finance, and litigation coordination.

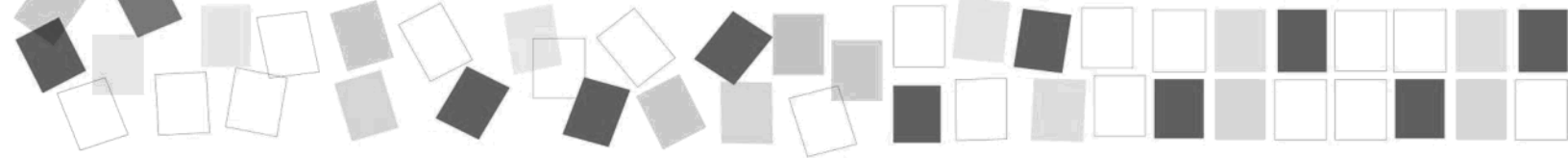
NOTE: Data that belongs to an investigation file, but is identified as having enduring reference value, shall be retained as indicated under -53 Investigation reference data.

GOVERNMENT RECORDS SERVICE

-53	Investigation reference data (includes person profile and other factual data, extracted from an investigation file and stored in the File Management System, that is used for general historical reference following the destruction of the source record)	SO	nil	DE
	SO = when no longer required for reference purposes, provided that no data about an individual has been used to make a decision that directly affects that individual in at least a year			

This Information Technology Security schedule is similar to the INFP investigations secondary, in that a determination of research and reference value is made. However, instead of separating the investigation case files, the INFP schedule keeps all of the files together. When cases are closed, the investigator will determine if the case contains ongoing reference value. These selected cases will be retained until it is determined that they are not required. It is one less secondary to be assigned to records, and is fully implementable in the current case file management system. PCT's Investigations Unit determined that 7 years was too long to be keeping their investigation case files.

3. Why is the retention for foreign disclosure shorter?
PCT's role is minimal (notification to the Minister and informing the ministry of notification) and the briefing notes are routine in nature, while the majority of the records are with the ministry that received the request and the Minister responsible. Three years was deemed sufficient for PCT's role in this activity.
4. Directories and inventories – is the retention too short? Is this a small set of records? What is the value of maintenance?
PID – The PID is comprised of a single excel spreadsheet that is routinely updated, then uploaded online. The PID is a legislative requirement, and therefore cannot be destroyed until no longer required by FOIPPA.
DOR – The directory of records is no longer required by legislation. PCT has a very small amount of records concerned with the DOR, but the previous version of this schedule did not cover this set of records so they had no ability to dispose of it. It is not currently used by any PCT staff for reference.



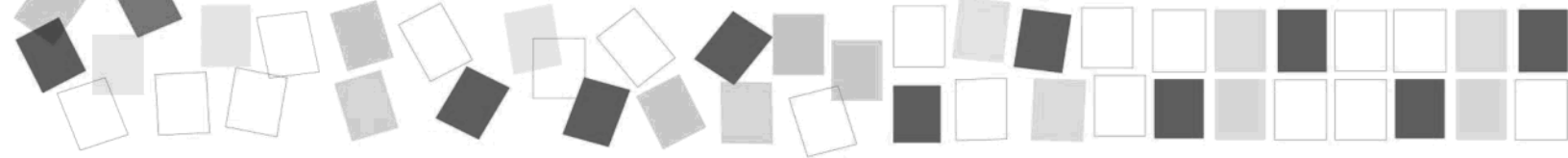
GOVERNMENT RECORDS SERVICE

Inventories – PCT is currently planning for the creation of further inventories, which will be determined and outlined by policy. Similar to the PID, these inventories will be necessary to retain until no longer required.

5. Retention of assessments - ad hoc assessments may be as or more important to retain because they will be documenting significant events and the retention seems shorter than general non-issue specific assessments.

The ad hoc assessments contain significant primary value to the creator, especially when related to high-profile incidents (for example, the Education hard drive). The retention for these records has been left intentionally broad, allowing for the auditors to decide how long to keep each assessment. However, the secondary value for this group of records is low. Case files are not commonly kept by the Archives, including internal audits. Because this is a new function for government, this retention is based on a macro-appraisal (i.e. without reviewing the records themselves). From interviews with the audit team, it is assumed that the practice will be for the scheduled assessments (FR) to include findings from ad hoc assessments. Additionally, high profile incidents and government's response will also be captured in executive records. Due to the nascent nature of this function, I would recommend that an archivist revisit this appraisal in a few years as the program matures and the function stabilizes.

6. What is the basis/rationale for superseding the training primary?
After interviewing training staff and reviewing records, it was apparent that the retentions provided in ARCS primary 1735 suited PCT's practices and the records.



GOVERNMENT RECORDS SERVICE

FOR REFERENCE:

In his role as the Assistant Deputy Minister of the Corporate Information and Records Management Office, David Curtis reviewed this schedule before public consultation commenced. For the Committee’s reference, his questions from that review are summarized below, as well as the replies from the ORCS developer (answered in consultation with Privacy, Compliance and Training leadership).

1. How does this schedule compare to financial audit schedules?
- The SO triggers for the various information management assessments are based on the longitudinal needs of the auditors undertaking scheduled audits. Each type of audit is kept for at least seven years to grant a full picture of how information is managed within a given ministry. The majority of assessment/audit functions performed by government are for financial reasons, so the SO trigger will differ from Privacy, Compliance and Training’s (PCT) schedule. Despite this difference in subject, the amount of time (at least 7 years), is consistent with financial audits. A screenshot of ARCS 975-40: Audit and Compliance Reviews is included below for comparison.

975-40	Internal audit and review files (covers fraud and alleged fraud, management representation letters, Comptroller General audit, and ministry internal audit) SO = upon completion of audit or review and when corrective action is taken DE = Internal audit and review files may be destroyed upon authorization of the Records Officer because significant information is fully retained by the government archives in the <i>Office of the Comptroller General</i> ORCS, approved schedule 180968. NOTE: Examples of audits and reviews covered by this secondary are: Office of the Comptroller General audits and reviews and ministry/agency internal audits and reviews, including internal investigations of alleged fraud and wrongdoing.	SO+1y	6y	DE
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GOVERNMENT RECORDS SERVICE

2. How does this schedule compare to other schedules that include investigation case files, including system files (ex., PSA, OCG and Information Technology Services)?
- **PSA's** investigation records are unscheduled.
 - **OCG's** investigation case files are scheduled. The records are scheduled under the secondary titled "audit project case files" because the original Investigation and Forensic Unit (IU) was part of the Internal Audit and Advisory Services Branch (IAAS) of the Ministry of Finance. OCG is concerned mainly with the misappropriation of funds and disclosure of contract information, or other circumstances that require independent review of a government operation.

Audit project case files: SO / 10y / FR

- file mainly contains the final signed report and limited correspondence.

SO = when the audit director is satisfied with the client's response to the final report or considers the project to be complete

10y = The ten year retention period provides for the auditor's reference and referral needs.

FR = The government archives will fully retain audit project case files because they document auditors' recommendations, client organization responses and the terms of reference. The client organization responses document the recommendation, the action plan and the current status of the planned action.

Audit project working case files SO / 10y / DE

SO = when the audit director is satisfied with the client's response to the final report or considers the project to be complete

10y = The ten year retention period provides for the auditor's reference and referral needs.

PCT's Investigation Unit deals with a far higher volume of records, and determined that they did not want to keep investigation case files for longer than five years, unless the case was required for research and reference. After five years, the majority of case files are not accessed by investigators and ultimately have the potential to impact the productivity of the file management system.

- **Information Technology Services Schedule** divides the investigation case files into two types: cases not needed for reference (-50) and cases required for reference (-53). See screenshot below.



GOVERNMENT RECORDS SERVICE

-50	Investigation files (supersedes secondary -02) (includes incident reports and assessments, notifications to stakeholders, correspondence, planning and coordination documentation; records that the investigating organization has taken into its custody or otherwise produced for investigative purposes; investigator's notes and analysis; research and reference material; reports and summaries; and conclusions and recommendations) (arrange by investigation number)	SO	7y	DE
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SO = when investigation is closed or abandoned

7y = The retention period ensures that the information will be available to meet operational and accountability needs.

DE= Investigation files can be destroyed upon authorization of the Records Officer because records of significant findings and the actions that resulted will be adequately documented in executive records covered by primary 280 and/or by special schedule 102906 (*Executive Records*).

NOTE: This secondary covers both investigations led by the office responsible for investigating information incidents and the investigative activities it carries out in support of others, such as law enforcement and the offices responsible for human resources, finance, and litigation coordination.

NOTE: Data that belongs to an investigation file, but is identified as having enduring reference value, shall be retained as indicated under -53 Investigation reference data.

GOVERNMENT RECORDS SERVICE

-53	Investigation reference data (includes person profile and other factual data, extracted from an investigation file and stored in the File Management System, that is used for general historical reference following the destruction of the source record)	SO	nil	DE
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6. What is the basis/rationale for superseding the training primary?
After interviewing training staff and reviewing records, it was apparent that the retentions provided in ARCS primary 1735 suited PCT's practices and the records.

INFORMATION SCHEDULE APPROVAL RATIONALE

Date: December 13, 2018 (prior to CRO review)

Background

Schedule:

Local Government Services ORCS: Amendment 4, schedule 126379, amendment 164371

Program Area:

Ministry of Municipal Affairs & Housing
Local Government Division

Scope of Schedule:

The purpose of this amendment to the Local Government Services Operational Records Classification System (ORCS) is to update the classification system and retention and disposition schedule for the operational records created by the Local Government Division of the Ministry of Municipal Affairs and Housing under the *Local Government Act* (RSBC 2015, c. 1), the *Community Charter* (SBC 2003, c. 26), and related local government legislation such as the *Vancouver Charter* (SBC 1953, c. 55).

Originally approved in 2001, this amendment to the ORCS reflects revised operational requirements including: the consolidation of secondaries to streamline records classifications that relate specifically to local government bylaw advice and approvals, planning, and land use; the need more fully to describe functions that are either minimally or not described under the original schedule such as: grant programs management, governance relations, and Union of British Columbia Municipalities (UBCM) convention records; the closing of classifications that are no longer used by the division such as municipal engineering advisory services, community planning, and community transition support; data retention requirements; and retention increases or decreases as appropriate. Other amendments to primaries and secondaries have been made throughout the ORCS to include wording changes in scope notes, secondary titles, and secondary notes.

Standard Appraisal Considerations:

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

Specific Appraisal Considerations:

The Local Government Services ORCS covers the operational records created by the Local Government Division of the Ministry of Municipal Affairs and Housing. This ORCS, originally written in 2001 with minor amendments approved in 2003, 2005, and 2006, has been streamlined from two sections (Section 1: 16 primaries and Section 2: 8 primaries) to one section with 10 primaries. The ORCS was amended to simplify the division's classification structure.

This fourth amendment simplifies the ORCS by consolidating records classifications that relate specifically to local government bylaw advice and approvals and planning and land use. It more fully

describes functions that are either minimally or are not described under the original schedule such as grant programs management, governance relations, and UBCM convention records. It also includes the closing of functions and related classifications no longer performed by the division such as municipal engineering advisory services and community transition support. Also included is a system overview that describes Local Government Information Services and sets final disposition triggers for data in the system. Other amendments to primaries and secondaries have been made throughout the ORCS to include wording changes in scope notes, secondary titles, and secondary notes.

Key highlights of the ORCS are as follows:

- Records appraised for transfer to government archives include final policy and procedure files as these records adequately document the functions and activities of the program area; final program summary reports providing a high-level overview of each program and evidence of the division's overall research and analysis into topics of significance to local governments; provincial responses to yearly UBCM resolutions that inform provincial government policy direction; treaty negotiation support files documenting provincial government involvement in developing effective working relationships between First Nations and local governments; and Official Community Plan and land use planning bylaw files, providing evidence of the provincial land use planning system in unique regions of the province.
- Records appraised for selective retention (SR) include Structure project files. In the approved schedule these files were fully retained. Specific selection criteria were included to respect filing practices and to more efficiently capture the core files documenting significant provincial government involvement in the process of changing the structure of local government jurisdictions.

Public Consultation:

The schedule was posted for public consultation for a period of three weeks from October 9, 2018 to October 30, 2018. No comments were received.

Information Management Advisory Committee Recommendation:

Prior to presentation to the Information Management Advisory Committee (IMAC), this schedule was approved by the program area. This approval indicates the program area's commitment to implementing the information schedule.

The schedule was reviewed by IMAC with program area representatives and the Government Record Services Archivist/ORCS Developer present.

The Committee asked what considerations went into the consolidation of classifications, notably the reduction from two sections and 24 primaries to one section and 10 primaries. The ORCS developer advised that: some were closed because the function had been discontinued or there was no evidence of use; some were consolidated to streamline the ORCS by focusing on the higher level function where retentions were the same; and in the digital environment some document types are now filed together that previously were filed separately. Two examples provided were Bylaw advice and approvals (consolidated from five primaries and nine secondaries into one secondary) and Official Community Plans and land use planning files (consolidated from four secondaries to one).

Chief Records Officer (CRO) Questions and Considerations:

<<Pending CRO review>>

Recommendation

IMAC recommends the Local Government Services ORCS for approval.

See the *Information Schedule Approval* form for the official Chief Records Officer's decision with respect to this schedule.

INFORMATION SCHEDULE APPROVAL RATIONALE

Date: December 13, 2018 (prior to CRO review)

Background

Schedule:

Local Government Services ORCS: Amendment 4, schedule 126379, amendment 164371

Program Area:

Ministry of Municipal Affairs & Housing
Local Government Division

Scope of Schedule:

The purpose of this amendment to the Local Government Services Operational Records Classification System (ORCS) is to update the classification system and retention and disposition schedule for the operational records created by the Local Government Division of the Ministry of Municipal Affairs and Housing under the *Local Government Act* (RSBC 2015, c. 1), the *Community Charter* (SBC 2003, c. 26), and related local government legislation such as the *Vancouver Charter* (SBC 1953, c. 55).

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Standard Appraisal Considerations:

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

Specific Appraisal Considerations:

The Local Government Services ORCS covers the operational records created by the Local Government Division of the Ministry of Municipal Affairs and Housing. This ORCS, originally written in 2001 with minor amendments approved in 2003, 2005, and 2006, has been streamlined from two sections (Section 1: 16 primaries and Section 2: 8 primaries) to one section with 10 primaries. The ORCS was amended to simplify the division's classification structure.

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Chief Records Officer (CRO) Questions and Considerations:

<<Pending CRO review>>

Recommendation

IMAC recommends the Local Government Services ORCS for approval.

See the *Information Schedule Approval* form for the official Chief Records Officer's decision with respect to this schedule.

INFORMATION SCHEDULE APPROVAL

Title: *Oil and Gas Regulation Operational Records Classification System (ORCS)*

Oil and Gas Commission

Scope of Schedule:

This *ORCS* amendment updates the classification system and retention and disposition schedule for the operational records of the Oil and Gas Commission under the *Oil and Gas Activities Act* (SBC 2008, c. 36) and associated regulations, the *Environmental Management Act* (SBC 2003, c. 53), the *Forest Act* (RSBC 1996, c. 157), the *Heritage Conservation Act* (RSBC 1996, c. 187), the *Land Act* (RSBC 1996, c. 245), and the *Water Sustainability Act* (SBC 2014, c. 15).

The *ORCS* classifications and retentions apply to all relevant digital and physical operational records, both in the office and in storage. Records under a closed secondary may finish their lifecycle with the original retention.

The retention periods specified in this schedule meet all operational, fiscal, legal, and audit requirements.

For more information, see the attached schedule.

Earliest date of records covered by this schedule: 1945

The government body endorses this schedule and its implementation.



Government body endorsement

Name: *LEN DAWES*

01/03/2019
Date

The Information Management Advisory Committee recommends this schedule for approval.



Susan Laidlaw, Chair

20 Mar 2019
Date

APPROVED BY THE CHIEF RECORDS OFFICER:

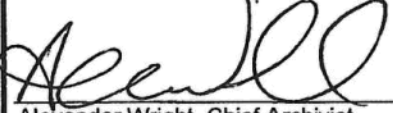

Joel Fairbairn

21 Mar 2019
Date

The attached 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 recordkeeping practices.

Schedule Developer: Mahia Frost
Archivist: Joni Mitchell

Endorsed by Government Records Service.



Alexander Wright, Chief Archivist
Date *Dec. 17, 2018*

INFORMATION SCHEDULE APPROVAL

Title: *Oil and Gas Regulation Operational Records Classification System (ORCS)*

Oil and Gas Commission

Scope of Schedule:

This *ORCS* amendment updates the classification system and retention and disposition schedule for the operational records of the Oil and Gas Commission under the *Oil and Gas Activities Act* (SBC 2008, c. 36) and associated regulations, the *Environmental Management Act* (SBC 2003, c. 53), the *Forest Act* (RSBC 1996, c. 157), the *Heritage Conservation Act* (RSBC 1996, c. 187), the *Land Act* (RSBC 1996, c. 245), and the *Water Sustainability Act* (SBC 2014, c. 15).

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20 Mar 2019
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Schedule Developer: Mahia Frost
Archivist: Joni Mitchell

Endorsed by Government Records Service.


Alexander Wright, Chief Archivist
Date *Dec. 17, 2018*

INFORMATION SCHEDULE APPROVAL RATIONALE

Date: March 19, 2019 (prior to CRO review)

Background

Schedule:

Oil and Gas Regulation Operational Records Classification System (ORCS): Amendment 1, schedule 163507, amendment 144019

Program Area:

Oil and Gas Commission

Scope of Schedule:

This *ORCS* amendment updates the classification system and retention and disposition schedule for the operational records of the Oil and Gas Commission under the *Oil and Gas Activities Act* (SBC 2008, c. 36) and associated regulations, the *Environmental Management Act* (SBC 2003, c. 53), the *Forest Act* (RSBC 1996, c. 157), the *Heritage Conservation Act* (RSBC 1996, c. 187), the *Land Act* (RSBC 1996, c. 245), and the *Water Sustainability Act* (SBC 2014, c. 15).

The *ORCS* classifications and retentions apply to all relevant digital and physical operational records, both in the office and in storage. Records under a closed secondary may finish their lifecycle with the original retention.

Standard Appraisal Considerations:

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

Specific Appraisal Considerations:

The original *ORCS* was built in the early days of the Commission. Since that time the program has matured and had an overhaul of governing legislation. This was a driver for the *ORCS* project: to ensure the *ORCS* reflects current practices, functions and requirements, but also to modernize it.

The original *ORCS* was very media specific, having dual classifications for one function: one for the paper version of a file, and another for the electronic version of the file, with different final

dispositions. However, in the last 5 years, the commission has launched digital platforms for key records series, which made the original ORCS discordant with Commission direction, and hampered the organization in defining and managing its official records. This has resulted in a significantly streamlined schedule; 171 secondaries were closed or superseded. In addition, 31 original secondaries were kept, and 31 new secondaries were added. The ORCS identifies common functional streams to make classification simpler to use and build room for growth. Reservoir management records has a particularly complicated scheduling, so one overarching management plan was created for the series, greatly simplifying the management of these valuable records.

Several categories were selected for full retention by the government archives in this schedule. This reflects the nature of the records, which document authorized activities that have impact on the land, and therefore have enduring value to the province. Records that document developing relationships with Indigenous communities, and the ongoing conversation regarding oil and gas activities have also been selected for full retention.

This schedule provides a cleaner and straightforward scheduling tool for the Commission. It has undergone thorough review and ensures that the retentions meet fiscal and operational requirements. Legal review was conducted by Chief Legal Counsel.

Public Consultation:

The schedule was posted for public consultation for a period of three weeks from January 28, 2019 to February 18, 2019. No comments were received.

Information Management Advisory Committee Recommendation:

Prior to presentation to the Information Management Advisory Committee (IMAC), this schedule was approved by the program area. This approval indicates the program area's commitment to implementing the information schedule.

The schedule was reviewed by IMAC with program area representatives and the Government Record Services Archivist/ORCS Developer present.

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Chief Records Officer (CRO) Questions and Considerations:

<<Pending CRO Review>>

Recommendation

IMAC recommends the Oil and Gas Regulation ORCS Schedule for approval.

See the *Information Schedule Approval* form for the official Chief Records Officer's decision with respect to this schedule.

INFORMATION SCHEDULE APPROVAL RATIONALE

Date: March 19, 2019 (prior to CRO review)

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The ORCS Developer advised that the Oil and Gas Regulation is moving toward digitized retention and confirmed that once the digital records are secured, the corresponding paper records will be destroyed, and full retention will be applied to the digital records.

The Committee discussed whether there is expected to be intrinsic value in certain paper records, to which the Archivist noted that this is a consideration made during the records review process. The Committee advised that the *Information Management Act* provides opportunities to make exceptions to keep paper records that have intrinsic value.

The Committee asked why declined, cancelled, or withdrawn archaeological permits are scheduled for destruction. The ORCS Developer advised that such records do not relate to an

actual permit, noting that all procedure, policies, guidelines and best practice files that document how this process is managed are fully retained.

Discussion arose around the retention of compliance site inspection files and the ORCS Developer informed the Committee that inspection files are retained for the same length of time as the related authorization files.

Chief Records Officer (CRO) Questions and Considerations:

<<Pending CRO Review>>

Recommendation

IMAC recommends the Oil and Gas Regulation ORCS Schedule for approval.

See the *Information Schedule Approval* form for the official Chief Records Officer's decision with respect to this schedule.

INFORMATION SCHEDULE APPROVAL RATIONALE

Date: February 2, 2018

Background

Schedule:

Office of Protocol ORCS, Schedule 881036, Amendment 205822

Program Area:

Office of the Premier and Cabinet Office
Intergovernmental Relations Secretariat (IGRS)

Scope of Schedule:

The main purpose of this amendment is to update the Office of Protocol ORCS, specifically primary 50840, to include the Medal of Good Citizenship. It also includes updates to the retention period for the congratulatory messages program database. Further, the scope of various secondaries was updated to cover half-masting notifications, condolence books, national day celebrations, intergovernmental events, the misuse of provincial symbols, letters of welcome, and expedited airport clearance records. The scope of changes is limited because the ORCS was updated and streamlined in 2013, when 27 primaries were reduced to 9 and 104 secondaries to 45.

Discussion

Standard Appraisal Considerations:

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

Specific Appraisal Considerations:

The main reason to amend the ORCS was to classify and schedule the records of the Medal of Good Citizenship program which was launched in 2015. This is one of the highest honours bestowed on the citizens of the province and as such the records of the selection committee, the award ceremonies and the records relating to recipients of the medal have been appraised for full retention.

The branch also required the classification and scheduling of a new database system which will be used to administer the congratulatory messages program.

The scope of a number of secondaries was expanded to include records that didn't fit elsewhere in the schedule, and a number of retention periods were lengthened to ensure that records were available to Office staff for operational purposes.

Public Consultation:

The schedule was posted for public consultation for a period of three weeks from October 30 – November 20, 2017. No comments were received.

Information Management Advisory Committee (IMAC) Recommendation:

Prior to presentation to the Information Management Advisory Committee (IMAC), this schedule was approved by the program area. This approval indicates the program area's commitment to implementing the information schedule.

The schedule was reviewed by IMAC with three program area representative and the GRS Archivist present.

A repeated word was identified for removal. The committee members were complimentary of the schedule.

On December 7, 2017, IMAC recommended the Office of Protocol ORCS for approval, following removal of the repeated word and a review for additional typos and inconsistent language (completed).

The schedule was reviewed by IMAC with a program area representative and the GRS Archivist present.

Chief Records Officer (CRO) Questions and Considerations:

<<Pending CRO review>>

Recommendation

See the *Information Schedule Approval* form for the official Chief Records Officer's decision with respect to this schedule.

INFORMATION SCHEDULE APPROVAL RATIONALE

Date: February 2, 2018

Background

Schedule:

Office of Protocol ORCS, Schedule 881036, Amendment 205822

Program Area:

Office of the Premier and Cabinet Office
Intergovernmental Relations Secretariat (IGRS)

Scope of Schedule:

The main purpose of this amendment is to update the Office of Protocol ORCS, specifically primary 50840, to include the Medal of Good Citizenship. It also includes updates to the retention period for the congratulatory messages program database. Further, the scope of various secondaries was updated to cover half-masting notifications, condolence books, national day celebrations, intergovernmental events, the misuse of provincial symbols, letters of welcome, and expedited airport clearance records. The scope of changes is limited because the ORCS was updated and streamlined in 2013, when 27 primaries were reduced to 9 and 104 secondaries to 45.

Discussion

Standard Appraisal Considerations:

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

Specific Appraisal Considerations:

The main reason to amend the ORCS was to classify and schedule the records of the Medal of Good Citizenship program which was launched in 2015. This is one of the highest honours bestowed on the citizens of the province and as such the records of the selection committee, the award ceremonies and the records relating to recipients of the medal have been appraised for full retention.

The branch also required the classification and scheduling of a new database system which will be used to administer the congratulatory messages program.

The scope of a number of secondaries was expanded to include records that didn't fit elsewhere in the schedule, and a number of retention periods were lengthened to ensure that records were available to Office staff for operational purposes.

Public Consultation:

The schedule was posted for public consultation for a period of three weeks from October 30 – November 20, 2017. No comments were received.

Information Management Advisory Committee (IMAC) Recommendation:

Prior to presentation to the Information Management Advisory Committee (IMAC), this schedule was approved by the program area. This approval indicates the program area's commitment to implementing the information schedule.

The schedule was reviewed by IMAC with three program area representative and the GRS Archivist present.

A repeated word was identified for removal. The committee members were complimentary of the schedule.

On December 7, 2017, IMAC recommended the Office of Protocol ORCS for approval, following removal of the repeated word and a review for additional typos and inconsistent language (completed).

The schedule was reviewed by IMAC with a program area representative and the GRS Archivist present.

Chief Records Officer (CRO) Questions and Considerations:

<<Pending CRO review>>

Recommendation

See the *Information Schedule Approval* form for the official Chief Records Officer's decision with respect to this schedule.



INFORMATION SCHEDULE APPROVAL

Title: *Office of Protocol Operational Records Classification System (ORCS)*

Office of the Premier and Cabinet Office
Intergovernmental Relations Secretariat
Office of Protocol

Scope of Schedule:

This is a general amendment to the *Office of Protocol ORCS*. The purpose of this amendment is to update primary 50840 to include the Medal of Good Citizenship. It also includes updates to the retention period for the congratulatory messages program database. The scope of secondaries was updated to cover half-masting notifications, condolence books, national day celebrations, intergovernmental events, the misuse of provincial symbols, letters of welcome and expedited airport clearance records.

This amendment results in a more streamlined classification scheme. It includes changes to primary and secondary titles, scope notes, cross-references, secondary qualifiers and notes, as well as modified retention periods and final dispositions. This amendment does not apply to Office of Protocol records that, as of the date of approval, have been authorised for disposition (ARS 130 signed off) by the central records services agency.

The retention periods specified in this schedule meet all operational, fiscal, legal, and audit requirements.

For more information, see the attached schedule.

Earliest date of records covered by this schedule: 2006

The government body endorses this schedule and its implementation.

Chief of Protocol and Executive Director,
Intergovernmental Relations Secretariat
Name: Lucy Lobmeier

Dec. 5/17
Date

The attached 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 recordkeeping practices.

Schedule Developer: Daniel Collins

The Information Management Advisory Committee recommends this schedule for approval.

Susan Laidlaw, Chair

Mar 20, 2018
Date

Endorsed by Government Records Service.

APPROVED BY THE CHIEF RECORDS OFFICER:

David Curtis

March 26/18
Date

Alexander Wright, Chief Archivist
Date
Nov. 22, 2017



INFORMATION SCHEDULE APPROVAL

Title: *Office of Protocol Operational Records Classification System (ORCS)*

Office of the Premier and Cabinet Office
Intergovernmental Relations Secretariat
Office of Protocol

Scope of Schedule:

This is a general amendment to the *Office of Protocol ORCS*. The purpose of this amendment is to update primary 50840 to include the Medal of Good Citizenship. It also includes updates to the retention period for the congratulatory messages program database. The scope of secondaries was updated to cover half-masting notifications, condolence books, national day celebrations, intergovernmental events, the misuse of provincial symbols, letters of welcome and expedited airport clearance records.

This amendment results in a more streamlined classification scheme. It includes changes to primary and secondary titles, scope notes, cross-references, secondary qualifiers and notes, as well as modified retention periods and final dispositions. This amendment does not apply to Office of Protocol records that, as of the date of approval, have been authorised for disposition (ARS 130 signed off) by the central records services agency.

The retention periods specified in this schedule meet all operational, fiscal, legal, and audit requirements.

For more information, see the attached schedule.

Earliest date of records covered by this schedule: 2006

The government body endorses this schedule and its implementation.

Chief of Protocol and Executive Director,
Intergovernmental Relations Secretariat
Name: Lucy Lobmeier

Dec. 5/17
Date

The attached 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 recordkeeping practices.

Schedule Developer: Daniel Collins

The Information Management Advisory Committee recommends this schedule for approval.

Susan Laidlaw, Chair

Mar 20, 2018
Date

Endorsed by Government Records Service.

APPROVED BY THE CHIEF RECORDS OFFICER:

David Curtis

March 26/18
Date

Alexander Wright, Chief Archivist

Nov. 22, 2017
Date



INFORMATION SCHEDULE APPROVAL

Title: *RIVERVIEW HOSPITAL HISTORICAL COLLECTION ORCS*

Provincial Health Services Authority (PHSA)

Riverview Hospital

Scope of Schedule:

The *Riverview Hospital Historical Collection ORCS* covers records collected by the defunct Riverview Historical Society. Riverview Hospital was a mental health facility located in the City of Coquitlam that operated between 1872 and July 2012. From 1998 to 2012, the Riverview Historical Society collected and maintained artifacts and records relating to the hospital in a building on the hospital grounds. The collection contained private records (e.g., personal records donated by psychiatric nurses and physicians) and also government records. However, ownership of government records was not transferred to the society and prior to the hospital's closure in 2012, the records were returned to the custody of the Provincial Health Services Authority (PHSA).

The records covered under this schedule will be transferred to the government archives or transferred to the City of Coquitlam Archives.

The retention periods specified in this schedule meet all operational, fiscal, legal, and audit requirements.

Earliest date of records covered by this schedule: 1872

The government body endorses this schedule and its implementation.

Client endorsement on file

October 25, 2018

Sandra MacKay

Date

Chief Legal Officer, PHSA

The attached 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 recordkeeping practices.

Schedule Developer: Sarah Shea

The Information Management Advisory Committee recommends this schedule for approval.

Susan Laidlaw

Nov 16, 2018

Susan Laidlaw, Chair

Date

Endorsed by Government Records Service.

APPROVED BY THE CHIEF RECORDS OFFICER:

Joel Fairbairn

Dec 20, 2018

Joel Fairbairn

Date

Alexander Wright
Alexander Wright, Chief Archivist
Date

October 4, 2018



INFORMATION SCHEDULE APPROVAL

Title: *RIVERVIEW HOSPITAL HISTORICAL COLLECTION ORCS*

Provincial Health Services Authority (PHSA)

Riverview Hospital

Scope of Schedule:

The *Riverview Hospital Historical Collection ORCS* covers records collected by the defunct Riverview Historical Society. Riverview Hospital was a mental health facility located in the City of Coquitlam that operated between 1872 and July 2012. From 1998 to 2012, the Riverview Historical Society collected and maintained artifacts and records relating to the hospital in a building on the hospital grounds. The collection contained private records (e.g., personal records donated by psychiatric nurses and physicians) and also government records. However, ownership of government records was not transferred to the society and prior to the hospital's closure in 2012, the records were returned to the custody of the Provincial Health Services Authority (PHSA).

The records covered under this schedule will be transferred to the government archives or transferred to the City of Coquitlam Archives.

The retention periods specified in this schedule meet all operational, fiscal, legal, and audit requirements.

Earliest date of records covered by this schedule: 1872

The government body endorses this schedule and its implementation.

Client endorsement on file

October 25, 2018

Sandra MacKay

Date

Chief Legal Officer, PHSA

The attached 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 recordkeeping practices.

Schedule Developer: Sarah Shea

The Information Management Advisory Committee recommends this schedule for approval.

Susan Laidlaw

Nov 16, 2018

Susan Laidlaw, Chair

Date

Endorsed by Government Records Service.

APPROVED BY THE CHIEF RECORDS OFFICER:

Joel Fairbairn

Dec 20, 2018

Joel Fairbairn

Date

Alexander Wright
Alexander Wright, Chief Archivist
Date

October 4, 2018

INFORMATION SCHEDULE APPROVAL RATIONALE

Date: December 13, 2018 (prior to CRO review)

Background

Schedule:

Riverview Hospital Historical Collections ORCS, schedule 144007

Riverview Hospital Patient Assessment and Treatment ORCS, schedule 147710

Program Area:

Provincial Health Services Authority

Riverview Hospital

Scope of Schedule:

Schedule 144007 and schedule 147710 were presented to the Information Management Advisory Committee (IMAC) together as they both relate to Riverview Hospital and come from the same program area.

Schedule 147710:

The Riverview Hospital Patient Assessment and Treatment Operational Records Classification System (ORCS) covers the patient clinical case files, X-rays, index cards, and admission and discharge data maintained by Riverview Hospital and its predecessor agencies that operated between 1872 and 2012. These records were created and received under the authority of the *Mental Health Act* (RSBC 1996, c. 288) and previous legislation in force at the time of patient treatment. The *Act* authorizes the establishment and maintenance of faculties and services for the examination, diagnosis, treatment, and rehabilitation of persons with a mental disorder.

Schedule 144007:

The Riverview Hospital Historical Collection ORCS covers records collected by the defunct Riverview Historical Society. Riverview Hospital was a mental health facility located in the City of Coquitlam that operated between 1872 and July 2012. From 1998 to 2012, the Riverview Historical Society collected and maintained artifacts and records relating to the hospital in a building on the hospital grounds. The collection contained private and government records (e.g., personal records donated by psychiatric nurses and physicians). However, ownership of government records was not transferred to the society but prior to the hospital's closure in 2012, the records were returned to the custody of the Provincial Health Services Authority (PHSA).

Standard Appraisal Considerations:

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

Specific Appraisal Considerations:

Section 4 outlines how long the Integrated Case Management (ICM) data and scanned images are to be retained before they can be deleted. The aim in writing this section was to use language that could be translated by the system developers into data purge routines. The underlying concept in this section is that the information is organized around the case. For example, a ministry client might be receiving income assistance, disability benefits, and a bus pass subsidy. Prior to ICM, each of these services was documented on its own physical case file. In some cases, ICM mirrors how the physical files were organized such as with the case type in ICM for bus pass subsidies where everything formerly on the physical file is now scanned and viewed. Here, one can look at how long the program area was keeping the physical bus pass files and then translate that into how long to keep the system data and scanned images.

However, in other examples a case type in ICM superseded what were previously many different physical case files. For example, the employment and assistance case type has scanned images attached to it that were previously housed on the income assistance physical case file, the investigation physical case file, and the disability designation physical case file. These are three separate areas within the ministry with their own retention requirements that now had to be reflected in how long the employment and assistance case was retained. As a result, this category in the ORCS has many bullets outlining all the actions that must take place before the data and scanned images can be deleted. Some bullets pertain to the needs of the investigators while others to the needs of the adjudicators who approve disability designations. The other component to be factored in was the hierarchy of how ICM was built in that every case in ICM is linked to a contact so the contact data need to be deleted until all the cases linked to the contact had also been deleted.

While this ORCS is currently written in an older format, it will be migrated to the new format for publication.

Public Consultation:

The schedules were posted for public consultation for a period of three weeks from October 9, 2018 to October 30, 2018. No comments were received.

Information Management Advisory Committee Recommendation:

Prior to presentation to the IMAC, this schedule was approved by the program area. This approval indicates the program area's commitment to implementing the information schedule.

The schedule was reviewed by IMAC with program area representatives and the Government Record Services Archivist/ORCS Developer present.

s.13

s.13

Chief Records Officer (CRO) Questions and Considerations:

<<Pending CRO review>>

Recommendation

IMAC recommends the Riverview Hospital Patient Assessment and Treatment ORCS and Riverview Hospital Historical Collection ORCS for approval.

See the *Information Schedule Approval* form for the official Chief Records Officer's decision with respect to this schedule.

INFORMATION SCHEDULE APPROVAL RATIONALE

Date: June 1, 2018 (prior to CRO review)

Background

Schedule:

Road Safety ORCS, schedule 148000

Program Area:

Ministry of Public Safety and Solicitor General

RoadSafetyBC

Scope of Schedule:

The Road Safety Operational Records Classification System (ORCS) is a classification system and retention and disposition schedule for operational records created and received by RoadSafetyBC (formerly the Office of the Superintendent of Motor Vehicles (OSMV)).

These records document the regulation of drivers, under the authority of the *Motor Vehicle Act* (RSBC 1996, c. 318), for the purpose of ensuring the safety of roads in British Columbia. The *Motor Vehicle Act* (RSBC 1996, c. 318) assigns to the Superintendent of Motor Vehicles responsibility for carrying out the following functions: ensuring drivers are medically fit to safely operate a motor vehicle; imposing interventions and referring drivers to appropriate programs to improve driving behaviour; and reviewing driving restriction decisions through a process called the administrative justice review (i.e., the review of driver licensing decisions, medical fitness decisions, suspensions and impoundments).

Discussion

Standard Appraisal Considerations:

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

Specific Appraisal Considerations:

This is the first ORCS for RoadSafetyBC (formerly OSMV). The ORCS covers the following functions:

- Ensuring that BC drivers are medically fit to safely operate a vehicle;
- Prohibiting a person from driving based on an unsatisfactory driving record or in consideration of the public interest;
- Requiring drivers to participate in remedial road safety programs; and
- Reviewing driving restriction decisions.

Many of the secondaries in this ORCS are case files with a six year retention. This is because the five year driving record is the basis of many administrative decisions made by RoadSafetyBC. It aligns with the driver abstract process managed by the Insurance Corporation of British Columbia (ICBC) and also with program policy. In certain cases (e.g., remedial programs), the five year window is set by regulation (Division 46, *Motor Vehicle Act* Regulation).

The one notable exception to the six year retention period for case files is 80200-20 Driver fitness case management files which are retained 25 years after last action. This meets business needs and allows tracking of long term medical conditions: it ensures there are long-term records for individuals who consciously go outside the licensing system because of medical problems or with whom Road Safety loses contact.

There are three secondaries with a final disposition of Full Retention (FR): 1) 80000-00 Policy and procedures (this is standard); 2) 80000-10 Final reports, statistical summaries, and reviews (consistent with, for example, Conservation Officer Services ORCS); and 3) 80000-45 Road safety human rights complaints (consistent with, for example, Student Financial Assistance Services ORCS). All three of these are standard appraisal decisions consistent with other recent schedules.

Regarding systems integrated with DRIVERS, driver profile data secondaries are effectively permanent as ICBC considers DRIVERS “archival.” ICBC is not covered by the Information Management Act (IMA). ICBC was consulted with during development and ICBC does not have an approved DRIVERS schedule but the records are considered “archival,” even though ICBC does not currently have an archives program.

Driver Fitness Case Management System (DFCMS) and Vehicle Impoundment Prohibition System (VIPS) are both systems that have Superseded and Obsolete (SO) triggers: both are implementable (25 years after last action and case closed and prohibition served). However, for both VIPS and DFCMS the problem (common across government) is that there is currently no records management capability and limited resources/budget for development.

Public Consultation:

The schedule was posted for public consultation for a period of three weeks from April 17 - May 8, 2018. No comments were received.

Information Management Advisory Committee (IMAC) Recommendation:

Prior to presentation to the Information Management Advisory Committee (IMAC), this schedule was approved by the program area. This approval indicates the program area’s commitment to implementing the information schedule.

The schedule was reviewed by IMAC with program area representatives and the GRS Archivist/ORCS Developer present.

s.13

On May 24, 2018, subject to a minor correction (i.e., the definition of an acronym will be moved to match the first appearance of the acronym), IMAC recommended the Road Safety information schedule for approval.

Chief Records Officer (CRO) Questions and Considerations:

<<Pending CRO review>>

Recommendation

See the *Information Schedule Approval* form for the official Chief Records Officer's decision with respect to this schedule.

INFORMATION SCHEDULE APPROVAL

Title: *Road Safety Operational Records Classification System (ORCS)*

Ministry of Public Safety and Solicitor General
RoadSafetyBC

Scope of Schedule:

The Road Safety ORCS is a classification system and retention and disposition schedule for operational records created and received by RoadSafetyBC (formerly the Office of the Superintendent of Motor Vehicles).

These records document the regulation of drivers, under the authority of the *Motor Vehicle Act* (RSBC 1996, c. 318), for the purpose of ensuring the safety of roads in British Columbia. The *Motor Vehicle Act* (RSBC 1996, c. 318) assigns to the Superintendent of Motor Vehicles responsibility for carrying out the following functions: ensuring drivers are medically fit to safely operate a motor vehicle; imposing interventions and referring drivers to appropriate programs to improve driving behaviour; and reviewing driving restriction decisions through a process called the administrative justice review (i.e., the review of driver licensing decisions, medical fitness decisions, prohibitions, suspensions and impoundments).

The retention periods specified in this schedule meet all operational, fiscal, legal, and audit requirements.

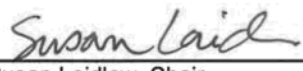
For more information, see the attached schedule.

Earliest date of records covered by this schedule: ongoing


The government body endorses this schedule and its implementation.


Sam MacLeod, Superintendent of Motor Vehicles, RoadSafetyBC
Date April 11/18

The Information Management Advisory Committee recommends this schedule for approval.


Susan Laidlaw, Chair
Date 24 May 2018

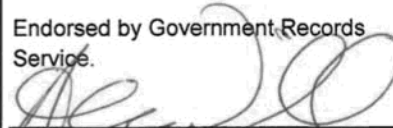
APPROVED BY THE CHIEF RECORDS OFFICER:


David Curtis
Date July 16, 2018

The attached 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 recordkeeping practices.

Schedule Developer: Maxwell Otte

Endorsed by Government Records Service.


Alexander Wright, Chief Archivist
Date April 10, 2018

INFORMATION SCHEDULE APPROVAL RATIONALE

Date: April 24, 2018

Background

Schedule:

Regulation of Private Training Institutions ORCS, schedule 170464

Program Area:

Ministry of Advanced Education, Skills and Training
Governance, Legislation and Strategic Policy Division
Private Training Institutions Branch

Scope of Schedule:

These records document the regulation of private career training institutions pursuant to the *Private Training Act* (SBC 2015, c. 5) and associated regulations. Records document the certification and monitoring of private training institutions and student support and protection through the Student Tuition Protection Fund.

Discussion

Standard Appraisal Considerations:

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

Specific Appraisal Considerations:

This is the first Operational Records Classification System (ORCS) for the Private Training Institutions Branch, which previously existed as the Private Career Training Institutions Agency (PCTIA) (a crown corporation) that was established in 2004. Prior to the establishment of PCTIA in 2004, private post-secondary education was regulated by the Private Post-Secondary Education Commission. The ORCS covers the function of regulating private career training institutions.

The ORCS was designed so that it can be easily managed and applied by branch staff. It was developed in consultation with branch staff and a thorough review of records was undertaken.

The driving force for this project was the branch coming into government – and hence under the Information Management Act. There are four secondaries with Full Retention (FR) classifications: policy and procedures; final reports, statistics, and reviews; governance records; and institution files. The institution files are the central record of information about the private training institutions, and they

show the status of the institution. These do not cover ongoing registration and designation processes, i.e., routine operational functions. Records only become non-current when the provider is no longer registered because it has been deregistered or it has gone out of business. The FR note reads: “The government archives will fully retain institution files because they possess significant evidential and informational value in the areas of education assessment and the history of education in British Columbia.”

Public Consultation:

The schedule was posted for public consultation for a period of three weeks from December 19, 2017 – January 9, 2018. No comments were received.

Information Management Advisory Committee (IMAC) Recommendation:

Prior to presentation to the Information Management Advisory Committee (IMAC), this schedule was approved by the program area. This approval indicates the program area’s commitment to implementing the information schedule.

The schedule was reviewed by IMAC with a program area representative and the Government Records Service (GRS) ORCS Developer present.

s.13

On February 22, 2018, IMAC recommended the Regulation of Private Institutions information schedule for approval.

Chief Records Officer (CRO) Questions and Considerations:

s.13

Recommendation

See the *Information Schedule Approval* form for the official Chief Records Officer's decision with respect to this schedule.

INFORMATION SCHEDULE APPROVAL

Title: *Regulation of Private Training Institutions Operational Records Classification System (ORCS)*

Ministry of Advanced Education, Skills and Training
Governance, Legislation and Strategic Policy Division
Private Training Institutions Branch

Scope of Schedule:

These records document the regulation of private career training institutions pursuant to the *Private Training Act* (SBC 2015, c. 5) and associated regulations. Records document the certification and monitoring of private training institutions and student support and protection through the Student Tuition Protection Fund.

The retention periods specified in this schedule meet all operational, fiscal, legal, and audit requirements.

For more information, see the attached schedule.

Earliest date of records covered by this schedule: 1992

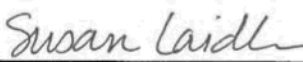
The government body endorses this schedule and its implementation.

Signed endorsement on file

Monica Lust, Executive Director, Private Training Institutions
Branch

2017-11-29
Date

The Information Management Advisory Committee recommends
this schedule for approval.


Susan Laidlaw, Chair

06 Apr 2018
Date

APPROVED BY THE CHIEF RECORDS OFFICER:



David Curtis

May 22, 2018
Date

The attached 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 recordkeeping practices.

Schedule Developer: Maxwell Otte

Endorsed by Government Records
Service.


Alexander Wright, Chief Archivist
Date Dec. 18, 2017

INFORMATION SCHEDULE APPROVAL RATIONALE

Date: January 22, 2018

Background

Schedule:

Student Financial Assistance Services ORCS, schedule 117457, amendment 190901

Program Area:

Ministry of Advanced Education, Skills and Training

Student Services Division

Student Services Branch

Scope of Schedule:

This is an amendment of the *Student Services ORCS*. The purpose of this amendment is to update the classification system and retention and disposition schedule for the operational records created by the Student Aid BC Program.

The amendments reflect revised operational requirements of the records; consolidation of secondaries to streamline records classifications that relate specifically to a student; data retention requirements and increases or decreases to retention periods as appropriate. Other amendments to primaries and secondaries have been made throughout the ORCS to include wording changes in scope notes, secondary titles, and secondary notes.

This amendment does not apply to records that, as of the date of approval, have been authorized for disposition (ARS 130 signed off) by the central records services agency.

Discussion

Standard Appraisal Considerations:

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

Specific Appraisal Considerations:

The amendment to this information schedule creates a significantly streamlined schedule. We closed/superseded 64 classifications, and only created 21 new classifications, 10 of which cover data, 1 covers the website and 1 is the first classification in a BC records schedule to cover tweets on Twitter.

These changes reflect the focus of the project, which was to modernize and simplify the classification of both physical and electronic records. The initial mandate was to harmonize the student records. They originally had multiple classifications with inconsistent retentions. This made searches difficult because users would have to look in six places to find records relating to “Jones”. Now they have one place for a student record, with one retention, and the secondary is media neutral so it can be applied to an electronic file as they move in that direction. We did this simplification throughout the schedule, to make it more resilient. The client is in the midst of business transformation, so the effort was to “future-proof” it as much as we could to allow for transition of systems and processes. This also meant we focused on identifying streams of data with long-term / critical requirements to assist in data migration planning.

The appraisals for all but one of the new records classifications are for destruction, but two types of records, the student files and the post-secondary institution files, were changed from selective retention (SR) to destruction (DE). A sober second look at the records clarified that the value doesn’t warrant full retention and the suite of robust policies and procedures sufficiently captures the essence of the program.

Public Consultation:

The schedule was posted for public consultation for a period of three weeks from September 1 - 22, 2017. No comments were received.

Information Management Advisory Committee (IMAC) Recommendation:

Prior to presentation to the Information Management Advisory Committee (IMAC), this schedule was approved by the program area. This approval indicates the program area’s commitment to implementing the information schedule.

The schedule was reviewed by IMAC with a program area representative and the GRS Archivist and ORCS Developer present.

s.13

On October 13, 2017, IMAC recommended the Student Financial Assistance Services information schedule for approval.

Chief Records Officer (CRO) Questions and Considerations:

s.13

Recommendation

See the *Information Schedule Approval* form for the official Chief Records Officer's decision with respect to this schedule.



INFORMATION SCHEDULE APPROVAL

Title: *Student Financial Assistance Services Operational Records Classification System (ORCS):
Amendment 1*

Ministry of Advanced Education, Skills and Training
Student Services Division
Student Services Branch

Scope of Schedule:

This is an amendment of the *Student Services ORCS*. The purpose of this amendment is to update the classification system and retention and disposition schedule for the operational records created by the Student Aid BC Program.

The amendments reflect revised operational requirements of the records; consolidation of secondaries to streamline records classifications that relate specifically to a student; data retention requirements and increases or decreases to retention periods as appropriate. Other amendments to primaries and secondaries have been made throughout the ORCS to include wording changes in scope notes, secondary titles, and secondary notes.

This amendment does not apply to records that, as of the date of approval, have been authorized for disposition (ARS 130 signed off) by the central records services agency.

For a complete list of the changes, see the Summary of Changes (Appendix A).

The retention periods specified in this schedule meet all operational, fiscal, legal, and audit requirements. For more information, see the attached schedule.

Earliest date of records covered by this schedule: 1971

The government body endorses this schedule and its implementation.

Endorsement on file

Assistant Deputy Ministry – Student Services Division
Name: Paige MacFarlane

Nov. 10, 2015

Date

The Information Management Advisory Committee recommends this schedule for approval.

Susan Laidlaw, Chair

2017/10/16

Date

APPROVED BY THE CHIEF RECORDS OFFICER:

Name: David Curtis

2018/01/22

Date

The attached 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 recordkeeping practices.

Schedule Developer: Mahia Frost
Archivist: Linda Nobrega

Endorsed by Government Records Service.

Name: Alex Wright

Date Sept. 11, 2017

INFORMATION SCHEDULE APPROVAL RATIONALE

Date: January 22, 2018

Background

Schedule:

Society and Cooperative Registration ORCS, schedule 170466

Program Area:

Ministry of Citizens' Services

Service BC

Registries and Online Services

Scope of Schedule:

This schedule covers records relating to the registration of all societies/cooperatives, the maintenance of amendments to the register, and the dissolution and removal of extinct entities from the register.

Discussion

Standard Appraisal Considerations:

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

Specific Appraisal Considerations:

All registrations of businesses, not-for-profit societies, cooperatives, personal property and manufactured homes are administered and supported by BC Registries and Online Services. This information schedule addresses one of these record series: societies/cooperatives. The schedule does not cover all activities and records of BC Registries and further ORCS development is required. The records are appraised for full retention because, as per the FR note: "they provide evidence of a diverse range of community activity at a local, regional and provincial level. In many cases the papers gathered by BC Registries are the only surviving record of a particular entity providing documentary evidence of its legal status and activities."

Public Consultation:

The schedule was posted for public consultation for a period of three weeks from September 1 - 22, 2017. No comments were received.

Information Management Advisory Committee (IMAC) Recommendation:

Prior to presentation to the Information Management Advisory Committee (IMAC), this schedule was approved by the program area. This approval indicates the program area's commitment to implementing the information schedule.

The schedule was reviewed by IMAC with a program area representative and the GRS ORCS Developer/Archivist present.

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On October 13, 2017, IMAC recommended the Society and Cooperative Registration ORCS, schedule 170466 for approval.

Chief Records Officer (CRO) Questions and Considerations:

The CRO had no concerns with the schedule or rationale document.

Recommendation

See the *Information Schedule Approval* form for the official Chief Records Officer's decision with respect to this schedule.

INFORMATION SCHEDULE APPROVAL

Title: *Society and Cooperative Registration Operational Records Classification System*

Ministry of Technology, Innovation and Citizens' Services
 Service BC
 Registries and Online Services

Scope of Schedule:

The *Society and Cooperative Registration Operational Records Classification System* establishes a classification system and retention and disposition schedule for the society/cooperative case files series created by BC Registries. The schedule covers records relating to the registration of all societies/cooperatives, the maintenance of amendments to the register and the dissolution and removal of extinct entities from the register.

For more information, see the attached schedule.

Earliest date of records covered by this schedule: 1872

The government body endorses this schedule and its implementation.

See attached signed authorization authority

Executive Director, Registries and Online Services
 Carol Prest

Date

The Information Management Advisory Committee recommends this schedule for approval.

Date

APPROVED BY THE CHIEF RECORDS OFFICER:

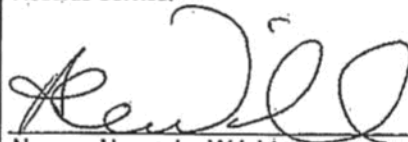
Name: Cheryl Wenezenki-Yolland

Date

The attached 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 recordkeeping practices.

Schedule Developer: Maxwell Otte

Endorsed by Senior Director, Government Records Service.



Name: Alexander Wright
 Date

RECORDS RETENTION AND DISPOSITION AUTHORITY

This is a recommendation to authorize an ongoing records schedule

Title: Society and Cooperative Registration

Ministry of Technology, Innovation and Citizens' Services
Service BC
Registries and Online Services

Description and Purpose:

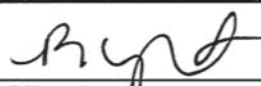
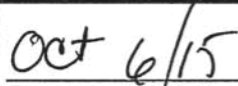

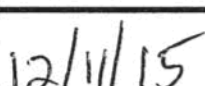
The *Society and Cooperative Registration Ongoing Records Schedule* establishes a classification system and retention and disposition schedule for the society/cooperative case files series created by BC Registries. The schedule covers records relating to the registration of all societies/cooperatives, the maintenance of amendments to the register and the dissolution and removal of extinct entities from the register.

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

Date Range: 1872 - present

Recommended retention and disposition: scheduled in accord with attached records schedule.

THE UNDERSIGNED ENDORSE THE RECOMMENDATIONS:

 Records Officer signature	 Date
Print Name: Richelle Wright	
 ADM or Executive Director signature	 Date
Print Name: Carol Prest	

THE PUBLIC DOCUMENTS COMMITTEE CONCURS:

Chair, PDC signature	Date
Print Name:	

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


 Date

APPROVED BY RESOLUTION OF
THE LEGISLATIVE ASSEMBLY:

Date

RECORDS MANAGEMENT APPRAISAL:

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

These records are created and received under the authority of the *Society Act* (RSBC 1996, c. 433), *Cooperative Association Act* (SBC 1999, c. 28) and subsequent legislation governing the operational responsibilities and functions of the creating agency.

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

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




ARCHIVAL APPRAISAL:

This appraisal documents the recommendations for final disposition.

The final disposition recommendations protect records considered to have significant evidential and historical values. The specific reasons for retaining certain records are stated within the ORS.

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

The definition of full retention provides that records will be preserved in the government archives, and that unnecessary duplicates, transitory materials and ephemera may be discarded.

 Archivist signature Print Name: Maxwell Otte	Oct. 5, 2015 Date
 Senior Archivist signature (optional) Print Name: Mary McIntosh	Oct. 5, 2015 Date
The undersigned endorses the appraisal recommendations:  Manager, Policy, Appraisal and Storage signature Records Management Operations, Information Access Operations Print Name: Glen Isaac	Oct 19 2015 Date

INFORMATION SCHEDULE APPROVAL RATIONALE

Date: November 8, 2018

Background

Schedule:

Youth Justice, Forensic and Specialized Intervention Services, schedule 144823

Program Area:

Ministry of Children and Families

Service Delivery

Specialized Intervention and Youth Justice Branch

Scope of Schedule:

The Youth Justice, Forensic and Specialized Intervention Services Operational Records Classification System (ORCS) establishes a classification system and retention and disposition schedule for the operational records created by the Specialized Intervention and Youth Justice Branch and its predecessors. Specialized intervention services (e.g., youth forensic psychiatric services, the Maples Adolescent Treatment Centre, and complex care services) include the provision of court-ordered and court-related mental health 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 as well as the assessment and treatment of children and youth with no criminal justice contact. Youth justice services include the supervision and case management of youth serving custodial or community sentences and the day-to-day operation of youth custody centres. This ORCS also covers records relating to services that relate to the delivery of both services, such as policy development and implementation; program planning, evaluation and review; research activities; complaints and incidents handling; management of special detention programs; and, accreditation of programs and services.

Standard Appraisal Considerations:

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

Specific Appraisal Considerations:

Some of the records covered under this ORCS were previously scheduled under the Corrections ORCS and the Forensic Psychiatric Services ORCS. However, these two schedules were written over 20 years ago and reflect a time when functional responsibility for the delivery of youth justice and specialized intervention services resided with different ministries.

The new ORCS reflects the transfer of these functions to the Ministry of Children and Family Development (MCFD), additional functions introduced by the branch over the last 20 years, and the coming into force of the *Youth Criminal Justice Act* in 2003.

The major changes in the new ORCS are the following:

- All client case files will now be retained for 90 years from the child or youth's date of birth and then destroyed. Previously, the semi-active retention periods for client case files varied from 5 to 50 years, after which they were either destroyed or transferred to government archives.
- This retention period is based on a standard 90 year life expectancy and allows the client their full lifetime to hold the ministry accountable in the carrying out of its legislated duties. It also provides an appropriate 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.
- The standard 90 year period was based on; consultations with Fiona Gow, Legal Counsel for Health and Social Services at the Ministry of Attorney General; Linda Irvine, Executive Director in the Risk Management Branch at the Ministry of Finance; with MCFD legal counsel Brenda Reder and Katherine LeReverend for legal and risk management perspectives, and discussions within the Government Record Service (GRS) ORCS Team.
- Moving forward, the GRS ORCS team will apply this standard whenever there is a need to tie a retention period to an individual's lifetime. This standard will be documented in GRS' internal ORCS checklists and guides for developers.

In addition to case files, the following records were identified as being required for the 90 year retention schedule: pre-1973 admission ledgers, behaviour log books, non-critical and non-reportable complaints and incidents, denied and withdrawn referrals, and special detention program legal and health care files.

Public Consultation:

The schedule was posted for public consultation for a period of three weeks from August 9, 2018 to August 30, 2018. No comments were received.

Information Management Advisory Committee Recommendation:

Prior to presentation to the Information Management Advisory Committee (IMAC), this schedule was approved by the program area. This approval indicates the program area's commitment to implementing the information schedule.

The schedule was reviewed by IMAC with program area representatives and the GRS Archivist/ORCS Developer present.

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Chief Records Officer (CRO) Questions and Considerations:

The CRO had no further questions regarding this schedule.

Recommendation

See the *Information Schedule Approval* form for the official Chief Records Officer's decision with respect to this schedule.



INFORMATION SCHEDULE APPROVAL

Title: *YOUTH JUSTICE, FORENSIC AND SPECIALIZED INTERVENTION SERVICES ORCS*

Ministry of Children and Family Development
Service Delivery
Specialized Intervention and Youth Justice Branch

Scope of Schedule:

The *Youth Justice, Forensic and Specialized Intervention Services ORCS* establishes a classification system and retention and disposition schedule for the operational records created by the Specialized Intervention and Youth Justice Branch, and its predecessors. Specialized intervention services (e.g., youth forensic psychiatric services, the Maples Adolescent Treatment Centre, and complex care services) include the provision of court-ordered and court-related mental health 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 as well as the assessment and treatment of children and youth with no criminal justice contact. Youth justice services include the supervision and case management of youth serving custodial or community sentences, and the day-to-day operation of youth custody centres.

This *ORCS* also covers records relating to services that relate to the delivery of both services, such as policy development and implementation; program planning, evaluation and review; research activities; complaints and incidents handling; management of special detention programs; and, accreditation of programs and services.

The retention periods specified in this schedule meet all operational, fiscal, legal, and audit requirements.

For more information, see the attached schedule.

Earliest date of records covered by this schedule: 1871

The government body endorses this schedule and its implementation.

Client endorsement on file

July 30th, 2018

Lenora Angel, Executive Director, Specialized Intervention and Youth Justice Branch

Date

The Information Management Advisory Committee recommends this schedule for approval.

Susan Laidlaw, Chair

Sep 19, 2018

Date

APPROVED BY THE CHIEF RECORDS OFFICER:

David Curtis

Nov 8, 2018

Date

The attached 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 recordkeeping practices.

Schedule Developer: Sarah Shea

Endorsed by Government Records Service.

Alexander Wright, Chief Archivist

Date

July 26, 2018