



The
REGIONAL
MUNICIPALITY
of WATERLOO

REGIONAL CLERK'S DEPARTMENT

Marsland Centre, Waterloo, Ontario N2J 4G7

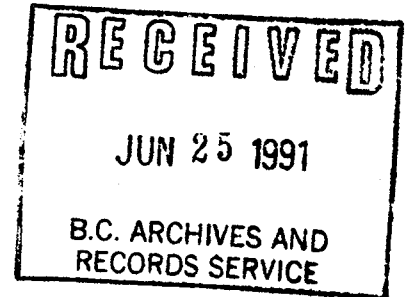
Telephone: (519) 885-9400

FAX: (519) 885-1436

June 19, 1991

FILE: A01-20/ACA

WME
Walter Meyer zu Erpen
B.C. Archives and Records Service
865 Yates Street
Victoria, B.C.
V8V 1X4



Dear Walter:

RE: Participation in ACA Conference Session
on Records Management

Now that life has begun to return to normal - or at least what passes for normal around here - after the recent ACA Conference in Banff, I want to take the opportunity to thank you for your participation in the session on records management as an appraisal tool.

In particular, I want to thank you for presenting an excellent overview of the approach and content of the B.C. system. I know that many people who had previously not been aware of what BCARS was doing found it to be very informative. I think it also served as an excellent counterpoint to Eldon's paper. It is perhaps not surprising that the system being implemented here at the Region bears a striking resemblance to what you described. Old habits die hard! I also want to acknowledge your cooperation with our "minor technical glitch". Once again, my thanks.

It was great to see you again and I hope we do not have to wait for another few years before our paths again cross.

Yours sincerely,

RGK/ch

Robin G. Keirstead
Manager, Corporate Records

cc: R. Klumpenhower, ACA '91 Programme Committee

210-20/ACA

1991 ASSOCIATION OF CANADIAN ARCHIVISTS ANNUAL CONFERENCE

SESSION: Records Management as an Appraisal and Acquisition System

DATE: 24 May 1991

LOCATION: Banff Springs Hotel, Banff, Alberta

SPEAKER: WALTER J. MEYER ZU ERPEN, MAS, CRM

Manager, Appraisal and Acquisition Section
British Columbia Archives and Records Service
Ministry of Provincial Secretary
Parliament Buildings
Victoria, British Columbia V8V 1X4

TITLE

OF PAPER: BRITISH COLUMBIA'S INTEGRATED SYSTEM OF RECORDS CLASSIFICATION, RECORDS SCHEDULING, AND ARCHIVAL APPRAISAL

SUMMARY: The approach which the British Columbia Government has adopted in scheduling records integrates the records classification, records scheduling, and archival appraisal functions. This integrated approach provides government with a framework for the management of all information resources, regardless of physical storage media.

NOTE: Opinions expressed are personal and do not represent the view of the British Columbia Government.

WHY ARCHIVISTS NEED RECORDS MANAGEMENT

It is estimated that less than five percent of all government records are ultimately transferred to an archival repository for long-term preservation due to their ongoing values. Conversely, more than 95 percent are ultimately destroyed, many after only a relatively short retention period.

With the tremendous increase in the volume of government records created since the 1960s, the records management functions of classification and retention and disposition scheduling have become a crucial component at the front end of the archival acquisition function. From the archival point of view, the records classification and scheduling functions must identify as much as possible of the 95 percent of government records which have no archival value. In addition, records management functions must provide the means and authority by which valueless record series may be destroyed on an ongoing basis without requiring the intervention of a professional archivist on each occasion.

In order to preserve the less than five percent of government records which have archival value, government archivists must do everything possible to expedite the destruction of non-archival records. Together with our clients (the creators of government records) and our colleagues (the records managers), we must establish records classification and scheduling systems which will ensure the orderly transfer of archival records to our repositories and the destruction of the rest. In my opinion, records management is an essential component of every government archives program.

BRITISH COLUMBIA'S INTEGRATED SYSTEM - WHAT IS IT?

In order to deal with the large volume of modern government records being created, the British Columbia Archives and Records Service (hereafter BCARS) has adopted an integrated system of records classification, records scheduling, and archival appraisal.

In 1989, the amalgamation of British Columbia's Records Management Branch and Provincial Archives created a new organization, BCARS, which is based upon a functional organizational structure. The components of the records management and archival functions relevant to classification, scheduling, appraisal, and acquisition were brought together in the Appraisal and Acquisition Section.

An Integrated Records Classification and Scheduling System (hereafter integrated system) is a system which integrates the classification and scheduling of the recorded information resources of an organization and documents both records

classification and scheduling in one hardcopy or electronic manual.

RATIONALE BEHIND THE INTEGRATED SYSTEM

British Columbia's integrated approach provides government with a framework for the management, including retrieval, retention, and disposition, of all information resources.

The integrated system has several advantages. Firstly, the integration of records classification and scheduling provides a direct relationship between individual records classifications and the applicable schedule. The standard format page is divided into two vertical columns with classification information documented on the left and scheduling and appraisal information on the right. **SHOW OVERHEAD.** Secondly, the integrated system can be made available to users in one manual (hardcopy or electronic) in order to facilitate the application of approved schedules and alleviate the necessity of maintaining and updating two different manuals.

THE IMPORTANCE OF A STANDARD FORMAT

BCARS has adopted a standard format for documenting the records classification, records scheduling, and archival appraisal functions. Regardless of the extent and complexity of the records covered, all integrated systems are drafted and approved in this standard format which provides a logical and effective means of conveying information to users and promotes consistency of recognition and understanding.

BCARS has adopted the block numeric classification system as the government-wide standard for all integrated systems. All systems are organized by function and subject, and arranged alphabetically. In order to ensure consistency in records retention and disposition, standardization of numbers and titles must occur at the lowest classification level necessary to distinguish between different retention periods and final dispositions--usually the level of secondary number and title, where individual subject files and case file series are described. Scheduling at the secondary level reduces the amount of interpretation required in applying approved records schedules.¹

¹Experience in several Canadian jurisdictions has shown that the separation of classification and scheduling systems into two different manuals linked only by a general subject description creates considerable difficulties in applying approved schedules.

THE IMPORTANCE OF SCHEDULING RECORDS IN ALL MEDIA

In British Columbia, a comprehensive approach to scheduling the records of a government program or activity has been adopted. All recorded information, regardless of physical storage media, is scheduled at the same time in order to show the overall information context. The integrated system specifies the active and semi-active retention periods and final disposition for all physical formats in which a record series exists. Different formats are identified as a media code attached to the secondary level.² **SHOW OVERHEAD AND POINT OUT HARDCOPY, MICROFORM COPY, AND ELECTRONIC COPY.**

PHYSICAL CONTROL AND ACCESSIONING OF RECORDS

In addition to the benefits of a records classification system in achieving intellectual control over an organization's information resources, links can be established between the integrated system and the accession numbers used to achieve physical control over records.

In order to effectively deal with modern government records, archivists must wherever possible seek the assistance of their clients in boxing and organizing records. Off-site records storage facilities are one of the main components of any successful records management program³ and provide the acquisition archivist with a valuable "point of intervention." If records are transferred to storage in a logical and orderly manner, the archival functions of acquisition, selection, arrangement and description are greatly facilitated. The client will have done the boxing and numbering, and an accession record will have been established at the time that the records were transferred to storage.

BCARS has begun to "intervene" at the point of transfer through the assignment of an ongoing accession number,⁴ which is documented in the integrated system. As part of the

²The data contained in an automated information system is described, cross-referenced, and appended to the schedule through an information systems overview document which is based upon the federal government's model.

³Once client offices become aware of the benefits of off-site storage, they usually want to transfer records off-site on an annual basis and sometimes more often for large volume case file series.

⁴An ongoing accession number is an identifier used to label, transfer, and store a specific group of records. It provides a direct link between specific integrated system classifications/boxing instructions and semi-active or inactive records storage.

classification and scheduling process, some transferring offices are assigned accession numbers to use year after year to facilitate the boxing, accessioning and tracking of the same category of archival records from the time of their transfer off-site through to their final disposition. By this means, BCARS is able to identify and isolate archival records early in their life cycle.⁵

When archival records have reached the end of their semi-active retention period, the automated Archives and Records Information System (ARIS) allows for the transfer of legal custody from the client to BCARS. There is no need to reaccession or renumber boxes; the legal custody field is simply updated to reflect the transfer of the records to the legal custody of BCARS.

INTEGRATED SYSTEM BASIS FOR ARRANGEMENT AND DESCRIPTION OF ARCHIVAL RECORDS

The informational content of an integrated records classification and scheduling system is based upon:

- * legislation and institutional mandate statements
- * policy and procedures
- * physical inventory
- * existing documentation (e.g., file lists and indexes)
- * client interviews
- * legal opinions.

Consequently, BCARS sees the integrated system as forming the basis for the arrangement and description of archival records. In fact, over time, the records being made available to researchers will be ones which were classified and organized based upon integrated systems designed and/or reviewed by BCARS.

⁵In order to alleviate the necessity of re-sorting and reboxing archival records and to ensure that they are not accidentally destroyed, the implications of how records will be transferred to archival custody at the end of their semi-active retention period must be considered in the grouping of records for boxing in ongoing accession numbers. Obviously it is desirable to ensure that records having archival value are not boxed with records which will ultimately be destroyed. However, an equally important question is: Should all records for selective and full retention be boxed together? In some cases, yes; in others, no.

THE IMPORTANCE OF DOCUMENTING SPECIFIC SELECTION CRITERIA

In the past, specific selection criteria were not always included in archival appraisals. Pressed for time, archivists often followed the motto: "If in doubt, make it selective retention and worry about it later." Well, the problems of such appraisals are not hard to imagine: there is soon a huge backlog of records caught in this "selective retention net." Given the volume of records available today, archivists do not have the time to "appraise" the same records twice (unless there is a reason for postponing judgement on the fate of certain records).

Because selection criteria are difficult to write for general office subject files, it is often best to wait until such records are eligible for final disposition so that the archivist can make his/her review and selection and document the criteria used in making the selection, all at the same time. Although the problems surrounding case file series are different and usually centre on the size of the selection which BCARS can afford to retain, such selection criteria are easier to document. Consequently, selection criteria for all case file series must be defined in the integrated system so that the selection process requires minimal professional intervention. **SHOW OVERHEAD**

THE NEED FOR TRAINED ARCHIVAL TECHNICIANS TO MAKE THE SELECTION

If specific selection criteria are documented and approved as part of the scheduling process, there arises the requirement for a team of trained archival technicians to make the final selection at the end of the semi-active retention period. As the volume of records eligible for final selection under approved schedules containing specific selection criteria increases, the management of BCARS will probably be looking at the reallocation of human resources in order to reduce selection backlogs and to avoid having professional staff doing work which could be done by more junior staff.

LARGE CASE FILE SERIES VERSUS GENERAL OFFICE SUBJECT FILES

I must concede that the records classification and scheduling process is more easily applied to large case file series than to general office subject files where considerable subjective judgement and "professional intervention" is required. I don't know what the answer to this problem is, except that the British Columbia taxpayer cannot afford to preserve for posterity's sake more than a very small fraction of the large volume of the usually poorly maintained general office files created within government. I suspect that we will, in the end, have to take a deep breath, close our eyes, and authorize the destruction of many of these records based solely upon the level of the government office by which they were created.

THE REACTIVE VERSUS PROACTIVE APPROACHES

Obviously, there is a need to strike a balance between the reactive and proactive approaches in records classification and scheduling. While much of one's effort will be client driven and focussed on the large volume record series which are scheduled for destruction, it is also important to devote resources to scheduling records known to have permanent archival values. To that end, BCARS has identified program areas which produce records of known archival value. Examples include programs such as the Land Title Branch, the Vital Statistics Division, and the Court Services Branch. Each year, BCARS has focussed a portion of its resources on projects relating to the classification and scheduling of these archival records.

SPECIAL ACQUISITION STRATEGIES

Recognizing that it is not immediately possible to achieve the desired goal of implementing an integrated system in each client office, especially in areas of rapid change, BCARS has taken measures to ensure the preservation of categories of records where it is known that a large proportion possess archival value. In order to facilitate the transfer of certain records into its physical, if not legal, custody, BCARS has in several instances had ongoing records schedules approved which are not linked to a specific records classification system structure.

For example, a special government-wide records schedule has been approved to cover ALL executive records. That schedule provides for their selective retention after a minimum combined active and semi-active retention period of ten years. The ten-year retention period may be overridden by program-specific retention schedules which require that a portion of the records be retained for a longer period. However, for the majority of executive records the time period is sufficient and in the case of some routine administrative records too long. The benefit of the executive records schedule is that it provides a simple means of dealing with the records of positions whose incumbents change frequently and sometimes suddenly.⁶

⁶In the case of special media records, the problem is often the obsolescence of records through technological change. To deal with this situation, the government-wide schedule which covers special media records provides that such records (not including EDP) can be transferred to BCARS for selective retention when they are no longer required by the creating agency.

Another area in which BCARS has taken a special initiative concerns the records of Members of the Legislative Assembly. A protocol agreement has been established between the Provincial

WHO PAYS THE COSTS OF RECORDS AND ARCHIVAL STORAGE?

In British Columbia, the costs of all records storage (both semi-active and inactive) is paid for out of BCARS' budget.⁷ As a result, no government records covered by the Document Disposal Act and transferred to BCARS' storage facilities are destroyed before archival review.

There is a certain measure of comfort in this "storage net." However, it also creates an impetus for BCARS to get on with the process of identifying records eligible for immediate destruction so that BCARS' entire budget does not go towards the costs of government records storage!

CLIENT INVOLVEMENT IN THE ARCHIVAL SELECTION PROCESS

Given the large volume of records awaiting appraisal and selection, BCARS must involve its clients in the decision-making process and the actual archival selection whenever possible. With documented selection criteria and detailed procedures, it is possible to have the client select and box archival records from case file series in preparation for transfer to archival custody. In fact, in those cases where archival records are stored at a site remote from BCARS, it is imperative that the client's assistance be obtained in order to reduce the administrative costs of transferring ALL boxes of records. **MENTION EXAMPLES, CORRECTIONS BRANCH AND CRIMINAL JUSTICE BRANCH.**

Through consultation with several clients,⁸ BCARS has been able to include in the integrated system procedures which provide that, upon file closure, selected documents possessing long-term operational and archival values be removed from the rest of the case file, reclassified and scheduled under a separate secondary. In this manner, the bulk of the file is disposed of after a short retention period, while valuable documents are retained for a longer period, and transferred to off-site storage under a separate ongoing accession number. **SHOW PUBLIC TRUSTEE OVERHEAD.**

Secretary and the Speaker through which BCARS is able to provide records management storage and archival services to members. This agreement automatically affords the member who has taken advantage of BCARS' storage services the opportunity to have his or her records appraised for archival value and deposit with BCARS.

⁷There is only a very limited system of client charge back in place.

⁸The Office of the Public Trustee and the British Columbia Coroners Service has been most cooperative in this regard.

The past several years have seen several of BCARS' major clients² retain the services of records management analysts to develop and implement integrated systems. BCARS' role in establishing a government-wide standard is defined in Treasury Board policy, and clients are reacting to the requirement to classify and schedule their records. Where BCARS at one time took a more active role in the development of integrated systems, its role is now evolving towards one of monitoring and reviewing the retention periods and final dispositions recommended by ministry staff and contractors.

BRITISH COLUMBIA'S MAJOR CHALLENGE!

British Columbia's Document Disposal Act provides that no document may be destroyed without the approvals specified in that Act. BCARS' experience has been that it is much easier to decide what to destroy than what to retain and preserve. In addition, there is a very small body of records which are suitable candidates for full retention. In between the two extremes lies the vast majority of government records which possess some archival value, but insufficient to warrant preservation in their entirety. This is where the appraisal archivist's major challenge lies and where the potential of the integrated system is the greatest in providing a means to document appraisal decisions and selection criteria. In British Columbia, the records management process cannot be accused of having failed to preserve records from which to make an archival selection. With the exception of records destroyed in contravention of the Document Disposal Act, all government records are caught in a HUGE records storage net. Our challenge lies in identifying the records worthy of archival retention and preservation. If we are to meet the challenges facing us in appraising the large volume of government records being created, we must seek innovative means to avoid making the same ad hoc decisions over and over again and to streamline our appraisal processes as much as possible. BCARS is attempting this through its integrated system.

²The Ministry of Forests, the Ministry of Attorney General, and the Ministry of Solicitor General have each retained on contract the services of a full-time records management analyst.

BRITISH COLUMBIA'S INTEGRATED SYSTEM OF RECORDS CLASSIFICATION, RECORDS SCHEDULING, AND ARCHIVAL APPRAISAL

**WALTER MEYER ZU ERPEN, MAS, CRM
Manager, Appraisal and Acquisition Section
British Columbia Archives
and Records Service**

**NOTE: Opinions expressed are personal and do not represent the
view of the Government of British Columbia.**



**Province of
British Columbia**

Ministry of
Provincial Secretary

Walter Meyer zu Erpen, BCARS

**Walter Meyer zu Erpen,
BA, MAS, CRM
Appraisal and Acquisition
Section Manager**

Phone: (604) 387-4132
Fax: (604) 387-5841

British Columbia Archives
and Records Service
865 Yates Street
Victoria
British Columbia
V8V 1X4

Why Archivists Need Records Management

British Columbia's Integrated System -- *What is it?*

Rationale Behind the Integrated System

Importance of a Standard Format

Importance of Scheduling Records in All Media

**Physical Control and
Accessioning of Records**

**Importance of Documenting
Specific Selection Criteria**

**Need for Trained Archival
Technicians to Make the Selection**

**Large Case File Series vs.
General Office Subject Files**

**Reactive vs. Proactive
Approaches**

Special Acquisition Strategies

**Who Pays the Costs of Records
and Archival Storage?**

**Client Involvement in the
Archival Selection Process**

**British Columbia's Major
Challenge**

ADMINISTRATIVE RECORDS CLASSIFICATION SYSTEM

This records schedule is approved in accordance with the Document Disposal Act (RSBC 1979, c. 95). It constitutes authority for retention and disposal of the records described herein provided ARCS has been implemented according to standards approved by the British Columbia Archives and Records Service. For assistance in implementing ARCS, contact your Records Officer.

A SA FD

201 COMMITTEES AND COMMISSIONS - CABINET

Records relating to the establishment, organization, and functions of Cabinet Committees and related Deputy Ministers' Committees, including agenda, notices, minutes, reports, and other records. This primary also includes cabinet submissions.

NOTE: Records relating to boards, committees, commissions, etc. are considered administrative even though such bodies often deal with operational matters. For ease of reference and retrieval, some offices may wish to physically arrange committee files with the associated operational files. Another option is to file copies of such records on an operational file (e.g., reports, studies, etc.). Contact your Records Officer if you have questions regarding file operations in your ministry or agency.

For acts and legislation of the Province of British Columbia, see primary 125.

Unless otherwise specified below, the ministry (OPR (Office or branch responsible for secretarial functions)) will retain these records for:

CY+2y 5y SR

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

CY+1y nil D

- | | | | | | |
|-----|---|-----------|----|-----|----|
| -00 | Policy and Procedures | - OPR | SO | 5y | SR |
| | | - non-OPR | SO | nil | D |
| -01 | General | | | | |
| -02 | Cabinet Submissions (from other ministries) | - OPR | SO | 5y | SR |
| | | - non-OPR | SO | nil | D |

RECORDS CLASSIFICATION
INFORMATION

(Continued on next page)

RECORDS SCHEDULING
AND APPRAISAL
INFORMATION

A = Active	CY = Calendar Year	D = Destroy
SA = Semi-active	FY = Fiscal Year	SR = Selective Retention by BCARS
FD = Final Disposition	NA = Not Applicable	FR = Full Retention by BCARS
OPR = Office of Primary Responsibility	w = week m = month y = year	
BCARS = B.C. Archives and Records Service	SO = Superseded or Obsolete	

OPERATIONAL RECORDS CLASSIFICATION SYSTEM

This records schedule is approved in accordance with the Document Disposal Act (RSBC 1979, c. 95). It constitutes authority for retention and disposal of the records described herein provided ORCS has been implemented according to standards approved by the British Columbia Archives and Records Service. For assistance in implementing ORCS, contact your Records Officer.

A SA FD

24010 INDEFEASIBLE TITLES

Records relating to the creation and storage of current and superseded indefeasible titles, both hardcopy and electronic. Includes certificates of indefeasible title (current, cancelled, and converted), corrections and amendments to titles, and related correspondence, memoranda, reports, papers, statistics, and working papers.

Unless otherwise specified below, the ministry OPR (individual LTOs) will retain these records for:

CY+ly nil D

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

SO nil D

-00 Policy and Procedures

- OPR

SO 5y FR

- non-OPR

SO nil D

-01 General

-02 Routine Correspondence

SO nil D

SO = when it is determined that
correspondence is no longer required

NOTE: The correspondence indicating errors in a title is attached to the related correction/amendment form and other documents (see secondaries -05, -06, and -07).

(Continued on next page)

A = Active	CY = Calendar Year	D = Destroy
SA = Semi-active	FY = Fiscal Year	SR = Selective Retention by BCARS
FD = Final Disposition	NA = Not Applicable	FR = Full Retention by BCARS
OPR = Office of Primary Responsibility	w = week m = month y = year	
BCARS = B.C. Archives and Records Service	SO = Superseded or Obsolete	

OPERATIONAL RECORDS CLASSIFICATION SYSTEM

This records schedule is approved in accordance with the Document Disposal Act (RSBC 1979, c. 95). It constitutes authority for retention and disposal of the records described herein provided ORCS has been implemented according to standards approved by the British Columbia Archives and Records Service. For assistance in implementing ORCS, contact your Records Officer.

A SA FD

24010 INDEFEASIBLE TITLES (Continued)

- 04 Cancelled and/or Converted Certificates of
Indefeasible Title
- Manual System (Form 21) and ALTOS

DIFFERENT MEDIA	(hardcopy)	SO	2y	D
	SO = when microfilming has been completed and verified, with the proviso that individual titles bearing marginal annotations in coloured ink or otherwise resulting in loss of information on the microfilm image be retained permanently in hardcopy format			
	(microfilm)	SO	nil	FR
	SO = when current land title registration system or method of record-keeping is superseded; or upon agreement between the Director of Land Titles and BCARS			
	(electronic)	SO	nil	FR
	SO = when current land title registration system or method of record-keeping is superseded; or upon agreement between the Director of Land Titles and BCARS			

NOTE: Cancelled electronic indefeasible titles are required indefinitely and will be eventually copied to a historical database.

A = Active	CY = Calendar Year	D = Destroy
SA = Semi-active	FY = Fiscal Year	SR = Selective Retention by BCARS
FD = Final Disposition	NA = Not Applicable	FR = Full Retention by BCARS
OPR = Office of Primary Responsibility	w = week m = month y = year	
BCARS = B.C. Archives and Records Service	SO = Superseded or Obsolete	

DDDDD	RRRRRR	AAAA	FFFFFF	TTTTTT
DD DD	RR RR	AA AA	FF	TT
DD DD	RRRRRR	AAAAAA	FFFFFF	TT
DD DD	RR RR	AA AA	FF	TT
DDDDD	RR RR	AA AA	FF	TT

Boxing and delivery instructions will vary depending upon the final disposition, age, volume, and location of the records. The Archives and Records Service will in some instances contact you to discuss the records or to arrange to see them prior to boxing.

You should organize inactive records for transfer as follows:

1. Box inactive records scheduled for SR (Selective Retention) separately from all other records and in primary and secondary number order.
2. Box inactive records scheduled for FR (Full Retention) separately from all other records and in primary and secondary number order.

2.6.4 Transfer of Crown Counsel Prosecution Files Selected for Archival Retention

The transfer of Crown counsel prosecution files selected for archival retention will occur in two phases: 1) individual Crown Counsel Offices will select for archival review files which meet certain criteria; 2) the Archives and Records Service will appraise the files selected for archival review in order to determine which files are worthy of archival retention.

1) Selection for Archival Review

Crown Counsel has drafted an internal procedure (Criminal Justice Branch, Crown Counsel Handbook, Procedure, 10-15-86, DOC 1 (PROC), Reference HNY-RCC 12-9-85) to ensure that files which meet certain selection criteria are marked for archival review. It is estimated that only a small percentage of the total number of concluded prosecution files for a given year will meet the following criteria:

- a) high public profile cases, particularly those in which the defendant enters a guilty plea so that very little information was divulged in open Court;
- b) cases involving particularly complex legal arguments;
- c) significant cases likely to be entered in law report journals;
- d) particularly unusual types of cases;
- e) cases involving major local interest;
- f) cases of apparent historical significance; and
- g) cases that set a legal precedent.

Individual Crown Counsel Offices are responsible for selecting files for archival review. They have been instructed that when in doubt it is better to err on the side of selection for archival review. Crown Counsel Offices have been supplied with a rubber stamp which they use to mark selected files. They also note briefly on the file folder the reason for archival review and the court jurisdiction and location at which the case was concluded.

SPECIFIC SELECTION CRITERIA TO BE IMPLEMENTED BY CLIENT OFFICES

DDDDD	RRRRRR	AAAA	FFFFFF	TTTTTT
DD DD	RR RR	AA AA	FF	TT
DD DD	RRRRRR	AAAAAA	FFFFF	TT
DD DD	RR RR	AA AA	FF	TT
DDDDD	RR RR	AA AA	FF	TT

As volume warrants, Criminal Justice Branch Headquarters, Victoria, will coordinate, in conjunction with individual Crown Counsel Offices, the transfer of selected files to Victoria. Individual Crown Counsel Offices will be responsible for boxing files in the storage cartons supplied by Criminal Justice Branch Headquarters or obtained through the Queen's Printer. Criminal Justice Branch Headquarters will be responsible for organizing selected files in a manner suitable for offsite storage and for completing any transfer authorities required. Dependent upon the time elapsed since the prosecution was concluded, selected files will be stored in off-site storage or transferred for archival retention.

Criminal Justice Branch Headquarters will be responsible for administering the approved records schedule. When the recommended retention periods have lapsed, Criminal Justice Branch Headquarters will ensure quality control by requiring individual Crown Counsel Offices to forward a list of the file numbers and titles selected for archival review. Upon compliance, Criminal Justice Branch Headquarters will authorize individual Crown Counsel Offices to destroy all files which they have not marked for archival review, while retaining marked files until such time as they are transferred to Victoria.

2) Final Archival Appraisal

After Criminal Justice Branch Headquarters has transferred prosecution files marked for archival review to Archives and Records Service and after the recommended semi-active retention period has lapsed, the archivist responsible for the Ministry of Attorney General will appraise those files in order to determine which files are worthy of archival retention. The basis for selection will continue to be a subjective estimate of the value of the files based upon the criteria listed above.

This draft records schedule has NOT been approved under the provisions of the Document Disposal Act (RSBC 1979, c. 95) and DOES NOT constitute authority for disposal. Return with comments to: British Columbia Archives and Records Service, 865 Yates Street, Victoria, B.C. V8V 1X4

A

SA

FD

7??00 ESTATE ADMINISTRATION (Continued)-40 Closed Estate Administration Files

NA

3y D

The Deputy Official Administrator responsible for changing the status of an estate administration file from current to closed ensures that the following documents are retained in a separate file folder and classified as secondary -50:

SEE NEXT
SHEET

DOCUMENTS WHICH CLIENT
SEPARATES FROM FILE UPON
FILE CLOSURE

- order appointing Official Administrator as executor or administrator
- affidavit of Public Trustee or Official Administrator disclosing assets, debts and next of kin
- Revenue Canada final tax clearance certificate (TX 21)
- family tree prepared by Deputy Official Administrator
- statement of distribution prepared by Public Trustee or Deputy Official Administrator disclosing heirs' names and addresses, relationship to deceased and amount each heir receives
- final accounting prepared by Public Trustee or Deputy Official Administrator
- releases signed by heirs
- certificate of incapability or court order if deceased's affairs were formerly handled by Public Trustee, Official Committee Section

The remainder of the current file is closed and reclassified under this secondary.

(Continued on next page)

A = Active	CY = Calendar Year	D = Destroy
SA = Semi-active	FY = Fiscal Year	SR = Selective Retention by BCARS
FD = Final Disposition	NA = Not Applicable	FR = Full Retention by BCARS
OPR = Office of Primary Responsibility	w = week m = month y = year	
BCARS = B.C. Archives and Records Service	SO = Superseded or Obsolete	

This draft records schedule has NOT been approved under the provisions of the Document Disposal Act (RSBC 1979, c. 95) and DOES NOT constitute authority for disposal. Return with comments to: British Columbia Archives and Records Service, 865 Yates Street, Victoria, B.C. V8V 1X4

A SA FD

7??00 ESTATE ADMINISTRATION (Continued)

3y = This retention period suffices for operational and audit purposes. Revenue Canada Information Circular No. 78-10R, section 14a, provides that "The books and records of a deceased taxpayer or a trust may be destroyed upon receipt of a clearance certificate issued pursuant to subsection 159(2) of the Income Tax Act with respect to the final distribution of all property."

D = Originals of all legal documents are filed with the probate section of the court registry having jurisdiction. These records contain confidential personal information and must be destroyed in a secure manner.

-50 Selected Documents from Estate Administration NA
Files

30y SR

NOTE: The Office of the Public Trustee will store Selected Documents from Estate Administration Files under ongoing RCS accession number 91-0026. ~~ALTHOUGH THIS ACCESSION WAS ORIGINALLY USED FOR BOTH ADMINISTRATIONS AND EXECUTORSHIPS, IT WILL ONLY TO BE USED FOR EXECUTORSHIPS AFTER THE DEPUTY OFFICIAL ADMINISTRATORS ASSUME RESPONSIBILITY FOR ESTATE ADMINISTRATION.~~

ONGOING
ACCESSION
NUMBER
FOR SELECTED
DOCUMENTS
(POSSESSING ARCHIVAL
VALUE)

(Continued on next page)

A = Active	CY = Calendar Year	D = Destroy
SA = Semi-active	FY = Fiscal Year	SR = Selective Retention by BCARS
FD = Final Disposition	NA = Not Applicable	FR = Full Retention by BCARS
OPR = Office of Primary Responsibility		w = week m = month y = year
BCARS = B.C. Archives and Records Service		SO = Superseded or Obsolete