TRACK 3

RECORDS MANAGEMENT ISSUES

CONFERENCE
PROCEEDINGS

1989

EDMONTON, CANADA

RECORDS OFFICE STRESS

H331   Thursday March 2nd, 8:45 A.M. – 10:00 A.M.

Don Carrieres
Canada Post Corporation, Ottawa, Ontario

This session will identify the various causes of stress on records mangement personnel. Don will examine self-inflicted "stressors" including those associated with automation, along with coping techniques for prevention.

Don has made numerous presentations in his dual capacities as records systems analyst and co-ordinator for the employee assistance program.

DISPOSITION PROGRAMS – THE INTEGRATED RECORDS CLASSIFICATION SYSTEM AND RETENTION SCHEDULE

H332   Thursday March 2nd, 10:30 A.M. – 11:45 A.M.

Walter Meyer zu Erpen
Tourism and Provincial Secretary, Victoria, B.C.

The British Columbia Government has adopted a records scheduling approach which integrates the records classification and scheduling functions. It provides a framework for the retrieval, retention, and disposition of information resources, regardless of physical storage media. This session will examine the features of an integrated approach, as well as look at the pros and cons of using in-house or contracted records analysts for scheduling and systems development. The linkage between integrated records classification systems and off-site records storage facilities will be discussed.

DISASTER PLANNING

H333   Thursday March 2nd, 1:30 P.M. – 2:45 P.M.

Barbara Rike, CRM
Federal Home and Loan Bank of Dallas, Dallas/Fort Worth, Texas

A disaster happened to Barbara Rike. She will discuss her encounter with a records manager's worst nightmare and show you how to develop a prevention program. Discussion will include the importance of linking the vital records program to a disaster plan, reveal a method of evaluating potential disasters, identify prevention measures, as well as the prepartation of recovery procedures.

Barbara has over 11 years experience in the design, implementation, and operation of records programs with financial institutions, oil and real estate companies. She is an active ARMA member, a member of Toastmasters International, and has written for THE OFFICE magazine.

VITAL RECORDS IDENTIFICATION AND PROTECTION

H334   Thursday March 2nd, 3:15 P.M. – 4:30 P.M.

Pat Dixon
Southland Corporation, Dallas, Texas

The identification and protection of records essential to the continuation of business in the event of a disaster is becoming more important as the age of information expands. Defining and identifying those records is the first step in any vital records program. Pat will also outline potential disasters, methods of protection, and vital records program administration.

Pat has served ARMA in various capacities at various levels. She has presented lectures to classes in several area colleges. Her credits include active membership in the Association for Information and Image Management, and the Institute of Certified Records Managers.
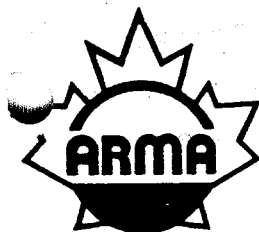
TITLE: THE BRITISH COLUMBIA RECORDS MANAGEMENT PROGRAM'S INTEGRATED RECORDS CLASSIFICATION AND SCHEDULING SYSTEM
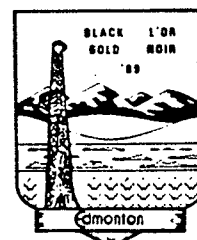
SUMMARY: The approach which the British Columbia Government has adopted in scheduling records integrates the records classification and scheduling functions. This integrated approach provides government with a framework for the management of all information resources, regardless of physical storage media. This paper covers: the rationale behind the integrated approach; the standard format in which it is documented; the scheduling of all information regardless of physical format; the linkage between integrated records classification and scheduling systems and off-site records storage facilities; and the advantages and disadvantages of the separated and combined methods of developing integrated records classification and scheduling systems.

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SPEAKER: WALTER J. MEYER ZU ERPEN
Senior Records Analyst
Classification and Scheduling Services Unit
Provincial Archives and Records Service
Ministry of Tourism and Provincial Secretary
Parliament Buildings
Victoria, British Columbia V8V 1X4

BIOGRAPHY: Walter Meyer zu Erpen is the supervisor of a unit responsible for the classification and scheduling of all records of the Government of British Columbia.

Walter's education includes: Diplôme d'Etudes Françaises, Université de Strasbourg, France (1979); Bachelor of Arts in Canadian History and French, UBC (1982); and Master of Archival Studies, UBC (1985). During his archival studies practicum in the Machine Readable Archives Division of the Public Archives of Canada in 1983, Walter prepared a guide to the division's holdings which was published the following year as part of the Public Archives General Guide Series. Walter is currently a candidate for the designation of Certified Records Manager. His past speaking experience includes: Nanaimo Historical Society, Nanaimo, B.C. (1987); ARMA Vancouver Chapter Annual Seminar, Vancouver, B.C. (1987); and New Brunswick Records Management Network, Fredericton, N.B. (1988).

EDMONTON, CANADA

INTEGRATED RECORDS CLASSIFICATION AND SCHEDULING SYSTEMS

Records classification systems and retention and disposition schedules are vital to the success of a records management program. The Government of British Columbia has adopted an approach which integrates the records classification and scheduling functions. Integration of these two fundamental elements of records management provides government with a framework for the management, including retrieval, retention, and disposition, of all information resources, regardless of physical storage media.

The main components of British Columbia's strategy include: 1) integration of records classification and scheduling information into a standard block numeric format; 2) standardization of primary and secondary numbers and titles; 3) scheduling of all information regardless of physical format; and 4) linkage between integrated records classification and scheduling systems and off-site records storage facilities.

This paper focusses on the rationale behind the British Columbia Government's adoption of the integrated block numeric records classification and scheduling system, the standard format used in documenting the integrated approach, the links between the records classification and scheduling system and off-site records storage, and the advantages and disadvantages of the separated and combined development methods.

Before proceeding further, it is necessary to define the difference between administrative and operational records, a distinction upon which the British Columbia and many other records management programs are based. Administrative records pertain to internal housekeeping functions such as facilities, property, materiel, financial, personnel, and information systems management, and to other general administrative matters. Operational records relate to the operations and services provided by a government agency in carrying out the functions for which it is responsible by virtue of statute, mandate, or policy.

In other words, administrative records are common to all government agencies, while operational records are mandate specific. Accordingly, the classification and scheduling of administrative records is covered in a standard government-wide system, while operational records must be classified and scheduled on an agency by agency basis.

GOVERNMENT-WIDE ADMINISTRATIVE RECORDS CLASSIFICATION SYSTEM (ARCS)

The British Columbia Government's Administrative Records Classification System (ARCS) was developed over a four-year period based upon the federal government's model which is documented in the Subject

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Classification Guide[1] and the corresponding General Records Disposal
Schedules of the Government of Canada.[2] Through a series of pilot
implementation projects in several government ministries, the records
management program's records analysts tailored the federal government's
block numeric subject classification to meet the needs of the provincial
government.[3]

In developing its Administrative Records Classification System,
the British Columbia Government made three significant changes to the
federal model: 1) incorporation of records retention and disposition
schedules into the records classification system; 2) government-wide
standardization of primary and secondary numbers and titles; and 3) the
creation of a new section to cover records documenting the design,
development, implementation, operation, and evaluation of electronic
information systems.

The classification and scheduling of administrative records is
integrated into a standard block numeric format and published in one
manual in order to facilitate the application of approved schedules and
alleviate the necessity of maintaining and updating two different
manuals. In order to reduce the amount of interpretation required in
applying records schedules, scheduling is done at the secondary level
where individual subject files and case file series are described. The
federal government's experience had shown that the separation of
classification and scheduling functions into two different manuals linked
only by a general subject description created considerable difficulties
in applying approved schedules. The decision to link schedules to
specific primary and secondary numbers required the standardization of
primary and secondary numbers and titles for administrative records.

The provincial Legislative Assembly approved the retention
schedules contained in ARCS in December 1987, and implementation projects
are now underway in a number of ministries. Like any records
classification system, ARCS is dynamic and is constantly evolving in
order to reflect changes in government record-keeping procedures and
primary responsibility for administrative functions. In addition, since
it was not possible to conduct a government-wide inventory of

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[1]Public Archives of Canada, Subject Classification Guide, Records
Management Series (Ottawa: Public Archives of Canada, 1969).

[2]Public Archives of Canada, General Records Disposal Schedules of
the Government of Canada, 3rd ed., Records Management Series (Ottawa:
Public Archives of Canada, 1978).

[3]ARCS has not yet been tailored to meet the needs of Crown
corporations and other quasi-autonomous government agencies which report
to government in a manner different from that of government ministries.

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administrative records prior to its approval. ARCS will continue to
evolve as further administrative records are discovered through
implementation projects. ARCS will be updated through an annual
amendment process, and amendments approved by the Legislative Assembly
will be distributed to all manual holders.*

Since ARCS has been approved and implementation is well underway,
the remainder of this paper will focus on the methodologies used in
developing in a systematic manner classification and scheduling systems
for the operational records of the British Columbia Government.

CLIENT-SPECIFIC OPERATIONAL RECORDS CLASSIFICATION SYSTEM (ORCS)

The development of an Operational Records Classification System
(ORCS) for the mandate specific records of a client agency completes the
framework for the management and control of all recorded information.*
The integrated approach used in classifying and scheduling administrative
records is also applied in developing ORCS, and the block numeric format
used is the same. The only difference between the two systems is the
range of numbers assigned to primary subjects. While ARCS contains
three- and four-digit numbers (i.e., below 9999), ORCS contains only
five-digit numbers (10000 and above). This distinction is useful not

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*The ARCS manual, including annual updates, may be purchased at cost
from the Provincial Archives and Records Service. The 1989 prices are
$25.00 for the manual and $10.00 for each annual update.

*Although they will not be discussed here, one-time, single series,
and multiple series records schedules deserve mention because of the
significant role they continue to play in the program. A one-time
schedule provides for the disposal of a specified quantity of operational
records covering a fixed time period. This type of authority is
especially useful in the disposal of the records of discontinued programs
and of records discovered in warehouses which often lack a logical
coherence or arrangement. Single and multiple series schedules provide a
temporary solution to ongoing records disposition problems based upon an
analysis of the records as they are organized at the time of the
application for disposition. Although they provide ongoing disposition
authority, such schedules do not analyze records within their broader
organizational context to the same extent as the comprehensive records
classification and scheduling system. Such schedules may or may not be
linked to a classification system by standardized numbers at the primary
block, primary, or secondary levels. Nevertheless, they are always
formatted in a manner very similar to that used in ORCS in order that
ORCS development might eventually be expedited through the review and
amalgamation of related schedules.

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only in training and implementation, but also illustrates the importance of the continuum between administrative and operational records and that each type contains information required for the management of government.

Since an ORCS is client-specific, several improvements upon the integrated approach's standard format are possible. For instance, the ORCS manual may be enhanced to include the following: 1) standardized secondaries throughout a section or primary block; 2) ongoing numbers used for transferring and accessioning specific case file series and other records to off-site storage; and 3) documentation of other records operations required for the effective management of specific record series.

ORCS are developed through comprehensive records classification and scheduling projects established and managed by the records management program and its client agencies.[6] One of the records management program's goal is to develop and implement ORCS for all government ministries and other agencies which come under the jurisdiction of the provincial Document Disposal Act.[7] Experience has shown that ORCS are most easily developed for client agencies which perform discrete operational functions. Since ministries are frequently split and amalgamated with others during government reorganizations, ORCS development and implementation projects at the operational unit level are more easily managed and more quickly completed than those at the ministry level. Accordingly, the records management program targets stable organizational units where functions are long-lasting and not subject to frequent and massive administrative change.

The process by which ORCS are developed is still being tested, and the quality and consistency of the ORCS manuals produced continues to improve as development methodologies are tried and documented.

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[6]Client executive support is required prior to the commencement of an ORCS development project.

[7]Revised Statutes of British Columbia 1979, c. 95.

INTEGRATED RECORDS CLASSIFICATION AND SCHEDULING SYSTEMS

INTEGRATED CLASSIFICATION AND SCHEDULING FORMAT

The standard format by which the British Columbia records management program integrates classification and scheduling information requires illustration. Figure 1 shows a sample primary from the ORCS developed for Criminal Justice Branch. The standard format page is divided into two vertical columns with classification information documented on the left and scheduling information on the right. This format allows classification and scheduling projects to proceed either sequentially or simultaneously. The separated and combined development methods will be discussed in a subsequent section.

The components of the standard format in Figure 1 are numbered and labelled at the bottom of the page. Since most are adapted from the federal government's block numeric subject classification system,● they will not be discussed here. However, several items require elaboration.

A logical extension of the integration of classification and scheduling information is the inclusion in the standard format of a cross-reference link to the ongoing accession number used for the off-site storage of semi-active and inactive records.⁇ Item number 5 indicates the ongoing accession number which would be used to box offences case files. The basis upon which ongoing accession numbers are assigned will be discussed in a subsequent section.

Although not illustrated in Figure 1, another feature of the integrated format is the inclusion of notes documenting the rationale for semi-active retention periods and final disposition selection criteria. Where required, records analysts and archivists provide concise records management and archival appraisal reports in notes below the secondary number and title to which they relate.

●Like the federal system, ARCS and ORCS are arranged alphabetically by function and then subject.

⁇Active records are retained in the office of the creating agency for the purposes of ready reference and retrieval. Semi-active records retain ongoing value to their creating agency, but are stored in off-site storage facilities because of their lower retrieval frequency. Inactive records are ready for final disposition, either through destruction or transfer to the Provincial Archives because they retain historical or other long-term residual values.

INTEGRATED RECORDS CLASSIFICATION AND SCHEDULING SYSTEMS

Figure 1 - Sample Primary to Illustrate Standard Format


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1 ——  57520 MURDER                                              A      SA      FD
                                                         7
       Records relating to murder which is prohibited under
2      the Criminal Code (ss. 212-214).  Includes
       correspondence, memoranda, legal opinions,
       legislative research and copies of reasons for
       judgment.

       Unless otherwise specified below, the ministry OPR
       (Criminal Justice Branch Headquarters)
8      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:                    SO      nil   D

       -00    Policy and Procedures        - OPR          SO      5y   FR
                                           - non-OPR      SO      nil   D
       -01    General
3      -02    Complaints and Inquiries
       -03    Charter of Rights Issues                    CY+4y   5y   SR
       -04    Legal Opinions                              CY+4y   5y   SR
       -05    Legislative Research                         CY+4y   5y   SR
                     (includes photocopies of legislation
                     and working notes relating to possible
                     legislative amendments)               10
       -10    Constructive Murder
                     (the intent to kill did not exist, but
                     death occurred during a serious offence
                     (e.g., robbery or arson))

       -20    Offences Case Files                         SO      5y   SR
6                     (alphabetically by surname of accused)

              SO = when legal action is concluded.

              NOTE: These records are stored under an ———— 5
                     ongoing RCS accession commencing with
                     number 89-132.

4      *-??   Interim Secondary Title
       *-??   Interim Secondary Title
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       A  = Active              CY = Calendar Year    D  = Destroy
9      SA = Semi-active         FY = Fiscal Year      SR = Selective Retention by PABC
       FD = Final Disposition   NA = Not Applicable   FR = Full Retention by PABC
       OPR = Office of Primary Responsibility         w = week  m = month  y = year
       PABC = Provincial Archives                     SO = Superseded or Obsolete
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KEY TO NUMBERED ITEMS:

1)	Primary Number and Title	6)	Coded Series
2)	Scope Note	7)	Schedule Format
3)	Secondary Number and Title	8)	Levels of Responsibility
4)	Interim Secondary Number and Title	9)	Records Schedule Key
5)	Ongoing Accession Number	10)	Explanatory Notes

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SCHEDULING RECORDS EXISTING IN MORE THAN ONE PHYSICAL FORMAT

The British Columbia records management program takes a comprehensive approach in scheduling records. Usually, information stored in more than one media is scheduled all at the same time in order to show its overall information context. Wherever possible within ORCS, all physical formats are identified at the secondary level. For instance, a secondary designating a given group of records specifies the active and semi-active retention periods and final disposition for the hardcopy, microform security and user copies, electronic copy, etc. One notable exception with which we are still grappling is the electronic datafile or database which commonly contains information drawn from many different primaries and secondaries throughout ORCS. Electronic information systems are specifically identified in ORCS only within scope notes. Since system names frequently change, they are not used in primary or secondary titles, although a generic reference to the function or purpose of application or system may be included. For each information system or application, a systems overview document based upon the federal government's model is prepared and attached to the ORCS as an appendix.

LINKS BETWEEN ORCS AND OFF-SITE RECORDS STORAGE FACILITIES

Off-site storage facilities are one of the main components of any successful records management program and have in the British Columbia experience been one of the program's chief selling points. Once client offices become aware of the benefits of off-site storage,[10] they usually want to transfer records off-site on an annual basis and sometimes more often for large volume case file series. The process of preparing records for storage must always involve boxing and the preparation of transfer forms and box lists. However, the program has found that the transfer process is streamlined through the assignment of ongoing accession numbers so that client offices know in advance what number to use each year for a given group of records.

An ongoing accession number is an identifier used to label, transfer, and store records. It provides a direct link between semi-active records storage and boxing instructions and specific ORCS classifications. When first assigned, an ongoing accession number is permanently linked to a specific record series. Thereafter, the same

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[10]The records management program pays for ministry storage and retrieval services, including four-hour turnaround for regular retrievals and two-hour retrievals for executive offices. In addition, the program provides boxes, labels, and forms, as well as pickup of boxes approved for transfer.

INTEGRATED RECORDS CLASSIFICATION AND SCHEDULING SYSTEMS

number is used on an ongoing basis, ~~with the exception that the prefix indicating fiscal year increments each year and the client begins numbering over again with box number one.~~

lott2k *91/01/17*

Ongoing accession numbers are assigned to ongoing groups of records on the basis of the following criteria: unique combinations of semi-active retention period and final disposition; whether or not the transferring office has primary responsibility for the records; and the physical location of office.

The records analyst must, as part of systems development, consider the implications of the classification and scheduling system upon the boxing of semi-active and inactive records. If one of the main features of an ORCS is to schedule records so that off-site storage can be provided, then obviously the administrative aspects of transferring records must be carefully considered. If an ORCS contains too many unique combinations of semi-active retention periods and final dispositions, boxing will prove almost impossible for the client. Wherever possible, it is better to standardize semi-active retention periods in order to reduce the number of combinations.

Obviously, final disposition cannot be altered for the sake of facilitating disposal. However, since ongoing accession numbers also establish ongoing control of records appraised for selective or full retention, the implications of how records will ultimately be transferred to archival custodianship must be considered. Should all records for selective and full retention be boxed together? In some cases, yes; in others, no. This question must be resolved in consultation with the archivist responsible. Consideration of such questions requires a certain amount of planning in order to ensure that records having archival value are not boxed with records which will ultimately be destroyed. This is obviously desirable in order to alleviate the necessity of resorting and reboxing at the end of the semi-active retention period, but is equally important in order to ensure that records of archival value are not accidentally destroyed.

The link between ongoing accession numbers and ORCS is documented in two ways. Firstly, each ongoing accession number assigned to cover a particular group of records is listed in the "How to Use" section of ORCS which explains, among other things, accession numbers and how they are used. Information indicating the basis upon which the ongoing accession number was assigned is included: combination of semi-active retention period and final disposition and applicable primary and secondary number(s) and title(s); name of the office and whether or not it has primary responsibility for the records; and physical location of the office. Secondly, where an ongoing accession number only applies to one or a limited number of secondary classifications within the ORCS, a cross-reference is included immediately following the secondary number(s) to which it applies.

INTEGRATED RECORDS CLASSIFICATION AND SCHEDULING SYSTEMS

Wherever possible, the records analyst should assign ongoing accession numbers during ORCS development in order to clarify and document the transfer process for the client. The benefit of this procedure to the client is obvious. However, there is also a benefit to the records management program, in that the number of enquiries from clients asking for accession numbers or wanting to know which records should be boxed together is reduced.

SEPARATED AND COMBINED DEVELOPMENT METHODS

There are two basic methods of developing integrated records classification and scheduling systems. The classification and scheduling functions may be performed sequentially (i.e., separated) or they may be performed simultaneously (i.e., combined). Regardless of the method chosen, the two functions should never be viewed in isolation, which is demonstrated through practical experience and evident in the British Columbia records management program's definition of a record series:

> A group of records filed together in a unified arrangement
> which results from, or relates to, the same function or
> activity and permits evaluation as a unit for retention
> scheduling purposes. A record series is classified based
> upon retrieval needs and maintained as a unit according to
> reference frequency.

Although it is desirable that both classification and scheduling be completed as quickly as possible, the choice of method is dependent upon several factors. Firstly, the nature of the records management problem must be considered: is information control the problem or are both information control and disposition causing problems. Obviously, if both information control and disposition are problems, the combined development method should be considered so that both problems are dealt with as quickly as possible. Secondly, what is the degree of client support? If client support is strong, the combined method should be adopted. If client support is weak, the separated method should be adopted in order to resolve immediate problems and build client confidence. Thirdly, what financial and human resources are available? In other words, how much classification and scheduling development can be undertaken with the dollars available and do the employees or contractors available have the knowledge and expertise required to perform one or both of the required functions.

The advantages and disadvantages of the separated and combined development methods are the focus of this section. In the separated method, the records analyst develops the classification system, which is scheduled at a later date, quite possibly by a different records analyst. In the combined method, the records analyst collects, simultaneously, the information required to classify and schedule the records.

INTEGRATED RECORDS CLASSIFICATION AND SCHEDULING SYSTEMS

Separated Development Method

The separated development method deals with only one function at a time. It must begin with a classification project and be followed up by a scheduling project at some later time. Therefore, a draft ORCS may comprise only a classification system, which cannot be submitted to the Legislative Assembly for approval until the records have been scheduled. The separated development method has both advantages and disadvantages.

Advantages. A classification project is not complicated by the issue of records retention and disposition scheduling. Once classification has been completed. the system may be implemented in the client's offices prior to the commencement of scheduling. which is an advantage since classification omissions and errors may be corrected. In this manner, the records are organized according to a new classification scheme prior to scheduling and may be quickly identified for review in order to determine what administrative, operational, fiscal, audit. legal, informational. evidential, or historical values they contain. A subsequent scheduling project should not be complicated with records classification issues.

Disadvantages. The separated development method delays the scheduling of records and may result in a loss of momentum where there is a considerable delay between the classification project and the scheduling project. Most often, there is more than one records analyst involved in the separated method. A serious disadvantage of this method will occasionally present itself when during a subsequent scheduling project classification issues arise and it becomes apparent that the records analyst was not sufficiently conversant with records retention scheduling. This may prove a considerable problem when records must be reclassified in order to facilitate scheduling and the client office has already implemented the classification system using the numbers originally assigned.

Combined Development Method

The combined development method deals with the classification and scheduling functions simultaneously. After archival appraisal and client concurrence, the draft ORCS resulting from the combined method is ready for submission to the Legislative Assembly for approval. The combined development method has both advantages and disadvantages.

Advantages. Since the records analyst collects classification and scheduling information simultaneously, there are subsequently fewer classification and scheduling amendments. although the number of ORCS drafts may be greater. During the classification and scheduling process. it will invariably be discovered that what was initially considered to be one record series is for the purposes of retention scheduling really two or more. For instance. a complicated case file series may have several

INTEGRATED RECORDS CLASSIFICATION AND SCHEDULING SYSTEMS

different categories of files, each with its own retention period and final disposition which therefore warrants different secondary classifications.[11] The combined method addresses records management as a whole, builds momentum as the project progresses which inevitably helps to push the project to completion, and should usually involve only one records analyst. Since one analyst gathers both the classification and scheduling information simultaneously, the same ground need not be retraced.

Disadvantages. The combined method is more complicated because it requires that the assigned records analyst have expertise in both classification and scheduling and because it increases the number of variables being considered at one time. Since the classification system is not implemented in the client's offices until after a schedule has been drafted, the schedule will require revision when omissions and errors are discovered during implementation. Since records are not organized according to the new classification scheme prior to scheduling, they cannot be so readily identified for review in order to determine what administrative, operational, fiscal, audit, legal, informational, evidential, or historical values they contain.

Although both the separated and combined development methods have merit, it is recommended that wherever possible the combined development method be adopted as it makes the most efficient and effective use of limited financial and human resources. Since only one records analyst is involved, the time expended on understanding the work of a previous analyst, familiarizing oneself with the client, and re-establishing contacts, trust, and rapport between analyst and client is eliminated. In short, the combined development method provides the most continuity, the best project management, and the least duplication of effort.

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[11]For example, the ORCS developed for the Office of the Public Trustee includes estate administration case files relating to the estates of individuals who died intestate and to the estates of testators whose executors have predeceased them, cannot be located, or refuse to act, etc. The Public Trustee acts as the trustee for these estates until the estate is finally settled or the remaining funds are transferred to the province's consolidated revenue fund. Because of the importance of this function, the complicated life cycle of an individual case file, and the volume of these records, estate administration files have been classified and scheduled under three separate secondary numbers based upon file status (i.e., current, dormant, or closed). Furthermore, upon file closure, selected documents having long-term operational value are removed from the rest of the case file and are 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.

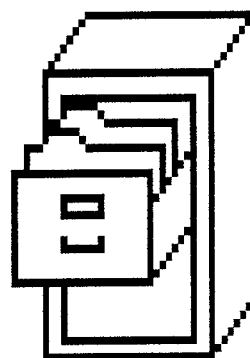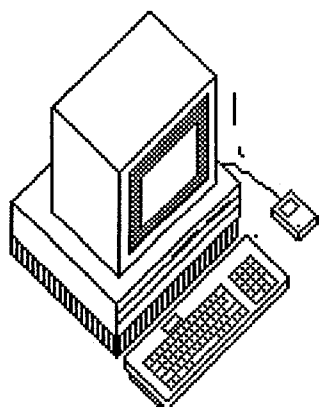INTEGRATED RECORDS CLASSIFICATION AND SCHEDULING SYSTEMS

CONCLUSION

The experience of British Columbia's records management program has demonstrated that:

1)   the combined development method is the most effective means to develop and implement integrated records classification and scheduling systems;

2)   the standard format page adopted for the documentation of the integrated classification and scheduling system provides a logical and effective means of conveying information to users; and

3)   the documentation of cross-references between the integrated system and ongoing accession numbers not only highlights the continuum between classification and off-site storage, but also provides easier and more efficient access to off-site storage on an ongoing basis.

In conclusion, we believe that an organization which uses these three strategies can, with strong executive and user support, implement and maintain a solid records management program.

THE BRITISH COLUMBIA
RECORDS MANAGEMENT PROGRAM'S
INTEGRATED RECORD
CLASSIFICATION & SCHEDULING
SYSTEM

THE BRITISH COLUMBIA
RECORDS MANAGEMENT PROGRAM'S
INTEGRATED RECORDS
CLASSIFICATION & SCHEDULING
SYSTEM

Prepared For
ARMA 5th National Conference
Edmonton , Alberta

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February 1989

INTEGRATED RECORDS SYSTEM

OVERVIEW

COMPONENTS OF BRITISH COLUMBIA'S STRATEGY

GOVERNMENT - WIDE ARCS

CLIENT- SPECIFIC ORCS

INTEGRATED CLASSIFICATION & SCHEDULING FORMAT

AREAS OF CONCERN

DEVELOPMENT METHODS

CONCLUSION

INTEGRATED RECORDS SYSTEM

COMPONENTS OF BRITISH COLUMBIA'S STRATEGY

1. INTEGRATION

2. STANDARDIZATION

3. SCHEDULING OF ALL INFORMATION

4. LINKAGE BETWEEN
   CLASSIFICATION & SCHEDULING SYSTEMS
   & STORAGE

INTEGRATED RECORDS SYSTEM

GOVERNMENT-WIDE
ADMINISTRATIVE RECORDS CLASSIFICATION SYSTEM
(ARCS)

FEDERAL GOVERNMENT'S MODEL

SIGNIFICANT CHANGES

1. INCORPORATION OF SCHEDULES

2. GOVERNMENT-WIDE STANDARDIZATION

3. NEW SECTION - ELECTRONIC
                   INFORMATION SYSTEMS

INTEGRATED RECORDS SYSTEM

CLIENT SPECIFIC
OPERATIONAL RECORDS CLASSIFICATION SYSTEM
(ORCS)

FRAMEWORK FOR CONTROL OF ALL INFORMATION

FORMAT (SIMILAR TO ARCS)

COMPREHENSIVE PROJECTS

INTEGRATED RECORDS SYSTEM

INTEGRATED CLASSIFICATION & SCHEDULING FORMAT

SAMPLE PRIMARY FORMAT

1 **/520** **MURDER**

2 **Records relating to murder which is prohibited under the Criminal Code (ss. 212 -214). Includes correspondence memoranda, legal opinions, legislative research and copies of reasons for judgment.**

	A	SA	FD
7			

8 **Unless otherwise specified below, the ministry OPR (Criminal Justice Branch Headquarters) 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:

SO   nil   FR

		A	SA	FD
3 **-00** Policy and Procedures	- OPR	SO	5y	D
	- non-OPR	SO	nil	D
-01 General				
-02 Complaints and Inquiries		CY+4y	5y	SR
-03 Charter of Rights Issues		CY+4y	5y	SR
-04 Legal Opinions		CY+4y	5y	SR
-05 Legislative Research				

(includes photocopies of legislation and working papers relating to possible legislative amendments) **10**

-10 Constructive Murder
   (the intent to kill did not exist but death occurred during a serious offence[e.g. ,robbery or arson])

6 **-20** Offences Case Files
   (alphabetically by surname of the accused)   SO   5y   SR

SO = when legal action is concluded

NOTE: These records are stored under an ongoing RCS accession — **5**
       commencing with number 89 - 132.

4 *-??   Interim Secondary Title
   *-??   Interim Secondary Title

9

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

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KEY TO NUMBERED ITEMS

1) Primary Number & Title	5) Ongoing Accession Number	9) Records Schedule Key
2) Scope Note	6) Coded Series	10) Explanatory Notes
3) Secondary Number & Title	7) Schedule Format	
4) Interim Secondary Number & Title	8) Levels of Responsibility	

INTEGRATED RECORDS SYSTEM

AREAS OF CONCERN

SCHEDULING RECORDS EXISTING IN
MORE THAN ONE PHYSICAL FORMAT

LINKS BETWEEN ORCS & OFF-SITE
RECORDS STORAGE FACILITIES

INTEGRATED RECORDS SYSTEM

DEVELOPMENT METHODS

TWO BASIC METHODS
SEPARATED
COMBINED

CHOICE OF METHOD
NATURE OF PROBLEM
DEGREE OF CLIENT SUPPORT
FINANCIAL & HUMAN RESOURCES

SEPARATED DEVELOPMENT METHOD

ADVANTAGES
DISADVANTAGES

COMBINED DEVELOPMENT METHOD

ADVANTAGES
DISADVANTAGES

INTEGRATED RECORDS SYSTEM

CONCLUSION

COMBINED DEVELOPMENT METHOD

STANDARD FORMAT

DOCUMENTATION OF CROSS-REFERENCES