

REVIEW AND APPROVAL OF RECORDS RETENTION AND DISPOSITION SCHEDULES UNDER THE *DOCUMENT DISPOSAL ACT*

1. OVERVIEW

This policy establishes the review and approval process for records retention and disposition schedules covering government records in all formats and media.

1.1 Authority

- The [*Document Disposal Act*](#) (RSBC 1996, c. 99)
- Treasury Board [*Core Policy and Procedures Manual \(CPPM\)*](#), c. 12

1.2 Applicability

- Ministries
- Agencies, boards, commissions, Crown corporations and other public bodies (“other bodies”) covered by the *Document Disposal Act*

2. POLICY

Government records must be disposed of in accordance with the *Document Disposal Act*, which stipulates the approvals required before they can be destroyed, transferred to the legal custody of the government archives, or alienated from the Crown provincial.

The *Document Disposal Act* covers records in all media, including paper, microforms, electronic records, audio-visual records, cartographic records, photographic records and other media formats as defined in the *Interpretation Act* (RSBC 1996, c. 238, s. 29).

Records retention and disposition schedules include:

- the *Administrative Records Classification System (ARCS)*;
- program-specific *Operational Records Classification Systems (ORCS)*;
- ongoing records schedules;
- one-time records schedules; and
- government-wide special schedules.

3. ROLES AND RESPONSIBILITIES

3.1 Ministries and Other Bodies

Ministries and other bodies are responsible for ensuring records retention and disposition schedules are reviewed by the Records Officer and are endorsed by the delegated executive authority or authorities responsible for the records covered by the schedule.

Ministries and other bodies are responsible for arranging delivery of draft schedules to the Corporate Information Management Branch (CIMB) and revising and re-submitting drafts as required according to established standards.

Ministries and other bodies are responsible for providing copies of approved *ORCS* to their offices.

3.2 Corporate Information Management Branch (CIMB)

CIMB is the central agency responsible for administering the *Document Disposal Act*, including the review and approval process for records retention and disposition schedules.

CIMB establishes government-wide standards for the content and format of records retention and disposition schedules and is responsible for reviewing schedules developed by ministries and other bodies.

CIMB is responsible for arranging attendance of Records Officers and program heads at Public Documents Committee meetings.

CIMB is responsible for the development and review of government-wide schedules for administrative records through the *Administrative Records Classification System (ARCS)* and various categories of record through government-wide special schedules.

4. PROCEDURES

4.1 Applying for a New or Amended Schedule Number

The Records Officer submits a *Record Services Application* form (ARS 118) to the contact CIMB records analyst/archivist. The pre-printed number on the ARS 118 form will be designated as the schedule number (or amendment number, if the application is for an amendment to an existing approved schedule).

4.2 CIMB Draft Schedule Review

When the draft schedule is ready for initial review, the Records Officer submits it to CIMB. A records analyst/archivist reviews it to ensure content and format meet government standards. A records analyst/archivist also reviews the draft schedule and representative samples of the records covered by the schedule to ensure that records with long-term values are identified, clearly described and scheduled appropriately. CIMB coordinates the review process in consultation with Records Officers. Ministry and other public body staff and consultants may also be involved in this process.

All CIMB communication will be directed to the Records Officer.

After reviewing the draft schedule, CIMB will return it with comments and annotations to the Records Officer for revision and resubmission. This will be repeated until the draft schedule complies with government content and format standards.

4.3 Executive Summary for Draft *ORCS*

When the *ORCS* review is near completion the Records Officer will submit an executive summary to CIMB for review. The final version of the summary will be included with the *ORCS* when it is submitted for approval. See the *Standard ORCS Kit* for instructions on completing the executive summary.

Executive summaries are not required for ongoing records schedules or one-time records schedules.

4.4 Endorsement of Draft Schedules

When the review is completed, the records analyst completes a *Records Retention and Disposition Authority (ARS 008)* form. This form briefly describes the records covered by the schedule and documents its endorsement by the appropriate ministry and other body authorities and sign-off by approving bodies.

4.4.1 CIMB Endorsement

The CIMB records analyst/archivist will sign the *Authority (ARS 008)* form when the review process is completed to indicate CIMB endorsement that the schedule meets required standards. CIMB then forwards the *Authority (ARS 008)* to the Records Officer for required ministry or other body signatures.

4.4.2 Ministry and other Body Endorsements

The Records Officer signs the *Authority*. The program head responsible for the functions covered by the schedule also signs. The Records Officer should explain to the program head that signing the *Authority* indicates endorsement of the records categories and scheduled retentions and dispositions.

If an *ORCS* covers the records of an entire ministry or other B the program head responsible for information management should sign the *Authority*. However, CIMB recommends that all program heads within the ministry or other body review and indicate endorsement through internal sign-off procedures.

Signature fields are provided for “Executive Director/ADM” and for “Deputy Minister/Corporate Executive”. CIMB will only submit draft schedules to the Public Documents Committee that are endorsed by executive level authority within the ministry or other body.

When ministry or other body authorities have signed the *Authority (ARS*

008), the Records Officer will submit it, with five copies of the draft schedule (*ORCS*, ongoing single-series schedule or one-time schedule), to CIMB.

4.5 Public Documents Committee (PDC) Review

The PDC is established by the *Document Disposal Act*. Its members consist of the Provincial Archivist (the Chair); the Comptroller General and three other senior bureaucrats named by Order-in-Council.

CIMB will arrange submission of draft *ORCS* and other schedules to the PDC, and will contact Records Officers prior to meeting to arrange their attendance. Records Officers must attend PDC meetings when their draft schedules are under review in order to answer questions that may be posed by PDC members. The ministry or other body program head that endorsed the draft schedule should accompany the Records Officer in order to answer questions relating to records covered by the schedule. The CIMB analyst/archivist responsible for reviewing the schedule will also attend.

If the PDC endorses the draft schedule, the Provincial Archivist, as Chair of the PDC, will sign the *Authority* form to indicate endorsement. If the PDC requires changes to the draft schedule, it will be returned to the Records Officer for revision and resubmission.

4.6 Approvals

CIMB coordinates the submission of draft schedules for approval.

One-time records retention and disposition schedules covering records that are more than seven years old or records that are more than two years old and have been microfilmed are forwarded to the Executive Council for approval by Order-in-Council.

All other records retention and disposition schedules (*ORCS*, *ARCS* amendments, ongoing records schedules and government-wide special schedules) are forwarded to the Select Standing Committee on Public Accounts (the Public Accounts Committee). The Public Accounts Committee is comprised of members of the Legislative Assembly, and meets when the House is in session. The Public Accounts Committee reviews schedules and recommends approval to the Legislative Assembly, which then grants approval by resolution.

Once the Legislative Assembly has approved a schedule and the Records Officer has received formal notification from CIMB, the retention periods and final dispositions may be applied to the records covered by the schedule.

4.7 Publication of *ORCS*

Once an *ORCS* has been approved, the Records Officer changes the header and footer to reflect its approved status. The ministry or other body submits eight

copies of the approved *ORCS* to CIMB. CIMB will obtain Canadian Cataloguing in Publication data and distribute copies of approved *ORCS* to designated repositories: one for CIMB; two for the main library in the government archives; two for the Legislative Library (one of which is sent to the National Library of Canada); one for the University of British Columbia School of Library, Archival and Information Studies; and one for the University of Manitoba Archival Studies Program.

The ministry or other body is responsible for creating and distributing copies of approved *ORCS* to its offices. CIMB will supply up to 20 sets of *ORCS* artwork (cover and spine) and tabs per year free of charge.

The publication procedures described above do not apply to single-series ongoing records schedules or one-time records schedules.