

OPERATIONAL RECORDS CLASSIFICATION SYSTEM

This records schedule is approved in accordance with the *Document Disposal Act* (RSBC 1996, c. 99). It constitutes authority for retention and disposition of the records described herein provided ORCS has been implemented according to standards approved by Corporate Information Management Branch. For assistance in implementing ORCS, contact your Records Officer.

30300 CORPORATE POLICY AND PROCEDURE DEVELOPMENT A SA FD

Records relating to the development, amendment, implementation and monitoring of the province's corporate policies and procedures, including accounting, financial management, procurement governance, legal encumbrance, payment review and internal audit. Policy is developed in consultation with stakeholders. Policy includes standards, procedures, guidelines and assessment tools.

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Corporate policies are evaluated and monitored for compliance on both a formal and an ad-hoc basis, through stakeholder feedback and through the reporting functions of other branches of the OCG. For example, audit reviews or payment reviews may identify gaps or errors in corporate policy. Policy evaluation is an integral part of policy amendment and development.

Record types include correspondence, memoranda and other types of records as indicated under relevant secondaries.

For advice and interpretation of legislation and regulations, see secondary 32100-20.

For briefing notes, see ARCS secondary 280-20.

For committees, see ARCS primaries 200 to 206.

For corporate policy exemptions and exceptions, see primary 32200.

For the development of legislation, see ARCS primary 140.

For the development of regulations, see ARCS primary 135.

For liaison with other ministries, agencies or jurisdictions, see ARCS primaries 230 to 245.

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

Unless otherwise specified below, the ministry OPR (Office of the Comptroller General) will retain these records for:

FY+2y nil DE

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

SO nil DE

-00	Policy and procedures	- OPR	SO	5y	FR
		- <u>non-OPR</u>	<u>SO</u>	<u>nil</u>	DE
-01	General				

(continued on next page)

A = Active
 SA = Semi-active
 FD = Final Disposition
 PIB = Personal Information Bank
 PUR = Public Use Records
 OPR = Office of Primary Responsibility

CY = Calendar Year
 FY = Fiscal Year
 NA = Not Applicable
 w = week m = month
 y = year

SO = Superseded or Obsolete
 DE = Destruction
 SR = Selective Retention
 FR = Full Retention
 FOI = Freedom of Information/Privacy
 VR = Vital Records

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	<u>A</u>	<u>SA</u>	<u>FD</u>
30300 <u>CORPORATE POLICY AND PROCEDURE DEVELOPMENT</u> (continued)			
-02 Corporate policy - approved (covers the accounting policy binders with copies of briefing notes) (includes approved policy, standard, procedure, guideline or assessment tool) (arrange by name of policy or procedure)	SO	5y	FR
FR = The government archives will fully retain the approved corporate financial policy files because these records have evidential value. They document the policies, procedures, standards and guidelines developed for the financial processes of all government ministries and some agencies.			
-03 Corporate policy manual - approved (includes approved policy, standard, procedure, guideline) (arrange by chapter and section of the manual)	SO	5y	SR
OPR = Financial Management Branch			
SR = The government archives will selectively retain the corporate financial policy manual, the <i>Core Policy and Procedures Manual (CPPM)</i> , because it documents the management, procurement and financial administration policies set by central agencies of the provincial government.			
Branch staff will print the complete corporate financial policy manual at the end of each calendar year. This printout will be boxed with other records for full retention. All other electronic versions, extra copies and minor revisions may be destroyed when no longer needed.			

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PIB = Personal Information Bank	w = week m = month	FR = Full Retention
PUR = Public Use Records	y = year	FOI = Freedom of Information/Privacy
OPR = Office of Primary Responsibility		VR = Vital Records

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	<u>A</u>	<u>SA</u>	<u>FD</u>
30300 CORPORATE POLICY AND PROCEDURE DEVELOPMENT (continued)			
-04 Corporate policy tracking systems (electronic database) (includes spreadsheets)	SO	nil	DE
NOTE: Because these are simple systems, Information System Overviews have not been developed.			
-20 Corporate policy evaluation and development case files (covers amendments, working groups, consultation, presentations, background information and research) (includes analyst notes, discussion papers, policy drafts, stakeholder surveys and copies of audit and payment reviews) (arrange by chapter and section of the manual or by name of policy or procedure)	SO	5y	DE
SO = when policy is approved or rejected, or the project has been abandoned and the file is no longer required for reference			
NOTE: All final products (policy, standards, formats, etc.) must also be classified under 30300-02. Copies of the approved products are retained in this case file in order to provide a complete file for staff.			
-30 Corporate policy training and implementation case files (covers pilot projects) (includes surveys, questionnaires, performance tracking, implementation and communication plans and post-implementation reviews) (arrange by name of policy or project)	SO	5y	DE
SO = when the training or implementation project is complete or abandoned			

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Directory of Records

Secondary No.	Series Title	Secondary Title
GV001-01	General	General
GV060-00	Board of Governors	Board of Governors' Handbook
GV060-03	Board of Governors	Administrative records
GV060-04	Board of Governors	Minutes
GV060-20	Board of Governors	Dockets
GV060-40	Board of Governors	Photographs
GV065-04	Board of Governors' Committees	Minutes
GV065-20	Board of Governors Committees	Dockets
GV075-06	Calendar Publication	Published Calendar
GV075-20	Calendar Publication	Calendar case files
GV085-02	Convocation	Application for graduation cards
GV085-04	Convocation	Convocation cards
GV085-06	Convocation	Convocation programs
GV085-20	Convocation	Diplomas
GV095-02	Convocation Roll	Convocation election ballots and envelopes
GV095-04	Convocation Roll	Convocation Roll
GV095-20	Convocation Roll	Convocation election case files
GV095-30	Convocation Roll	Convocation Roll case files
GV145-04	Faculties	Minutes
GV145-20	Faculties	Dockets
GV145-30	Faculties	Election case files
GV165-04	Foundations	Minutes
GV165-20	Foundations	Dockets
GV260-20	Legal Matters	Contracts, leases and agreements
GV260-30	Legal Matters	FOI request and complaint case files
GV260-40	Legal Matters	Human Rights case files
GV260-50	Legal Matters	Land titles
GV260-60	Legal Matters	Legal actions and judgments
GV260-70	Legal Matters	Legal opinions
GV260-80	Legal Matters	Provincial Ombudsman case files
GV330-02	Policy Coordination	Policy and Procedures Manual
GV415-00	Senate	Senate Handbook
GV415-04	Senate	Minutes
GV415-20	Senate	Dockets
GV415-30	Senate	Election case files
GV415-40	Senate	Photographs
GV420-02	Senate Committees	Annual reports
GV420-20	Senate Committees	Administrative committees' meeting files
GV420-30	Senate Committees	Appeals and awards committees' meeting files
GV420-40	Senate Committees	Academic policy committees' meeting files
GV420-50	Senate Committees	Ad hoc committees' meeting files

Directory Section

Governance

Series No.

GV330

Series Title

Policy Coordination

Secondary No.

GV330-02

Secondary Title

Policy and Procedures Manual

Primary Offices

University Secretary

Vital records

Yes

ER Systems

Personal Information Bank Titles

Purpose of Series

The purpose of GV330 is to document the policies, procedures and regulations of the University.

Scope and Contents

Secondary 02 consists of the electronic version of the Policy and Procedures Manual, which is mounted on the University Secretary's website.

Notes

Final approval for policies and procedures are made by the relevant body: Board of Governors, Senate, President, Vice-President Academic and Provost, Vice-President Finance and Operations, or Vice-President Research.

Retention Rule

Primary Office: Update electronic file as soon as new or revised policy and/or procedure is adopted. Backups of the UVic main web server are done daily and stored on campus.

Appraisal Rationale

Legal: None

Administrative: The manual provides a record of internal development and documents guidelines for consistency and continuity in the operations of the University.

Long term: None

Approval date

08/12/97

Revised

Ken's Records Classification System

Pol Policies and Procedures

This series covers all the functions required to develop, approve, implement and evaluate the policies and procedures of the organization. This function is divided into working files and approved policies and procedures.

Table 1: Title and Retention

#	Title of Functional Sub-Series	Time in Office	Time in Offsite	Final Disposal	Vital Records	Official Media
Pol-1	Approved policies and procedures XY = when superseded or declared obsolete	XY	None	Archive	Vital	Physical
Pol-2	Policies and procedures working files XY = when project is complete (i.e., policy is approved, rejected or abandoned, evaluation is finished, etc.)	XY+2y	5y	Destroy	Vital	Digital
Pol-9	Reference material XY = when no longer required by the organization	XY	None	Destroy	None	Digital & Physical

Table 2: Arrangement and Location

#	Folders are arranged by	Responsible Office	Official Locations
Pol-1	Name of the policy or procedure, and year of approval if necessary	All	LAN, File Cabinet
Pol-2	Name of the policy or procedure, and phase of development if necessary (e.g., development, evaluation, implementation)	All	LAN
Pol-9		All	Any

Table 3: Details

#	Notes, Typical Records and Public or Personal Records Identification
Pol-1	Policies and procedures include documents such as guidelines and best practices. They cover any internal or external and administrative or operational corporate direction. Typical records include only final approved copies. These records are normally available to the public as per section 70 of <i>FOIPPA</i> , however, sub-section (2) may limit access.
Pol-2	Working files include development, implementation, evaluation, and amendment. Typical records include significant drafts, communications, minutes, agendas, presentations, copies of briefing notes, and background and research documentation.
Pol-9	Typical records include policies and procedures from other organizations and jurisdictions.

Table 4: Rationales

#	Retention Rationale (Time in Office and Off-Site)	Final Disposal Rationale
Pol-1	0 years: only current information is required.	These records have permanent legal value.
Pol-2	7 year: based on the need to research the development process.	No archival value.
Pol-9	0 years: only current information is required.	Transitory files.