FNS

First Nations Summit

# Information Management Toolkit

**Information for First Nations Government in BC**

**Filing Toolkit | Appendix 1 – Records Classification and Retention Schedule | 2011**

# 1. Introduction

## to the Records & Information Management System and Retention Schedule

The Records & Information Management System for First Nations is a Block Numeric filing system. The organizing principle is function, arranged alphabetically by subject. The subject headings have been derived from a review of the records in First Nations government organizations in British Columbia and from consultations with First Nations government staff members and records management staff working in First Nations government offices.

The complete Records & Information Management System represents a menu from which staff can select the appropriate primary and secondary headings to classify all information generated or received by their organization.

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# 2. Structure and Logic

## of the Records & Information Management System and Retention Schedule

### 2.1 Sections

There are nineteen sections that represent the functions of a typical First Nations government. These are arranged as follows:

**Administration:**

Section 1 – Administration (Primary Numbers 0100 – 0699);
Section 2 – Buildings, Facilities and Properties (Primary Numbers 0700 – 0999);
Section 3 – Equipment and Supplies (Primary Numbers 1000 – 1299);
Section 4 – Information Systems and Services (Primary Numbers 1300 – 1599);
Section 5 – Finance (Primary Numbers 1600 – 2199);
Section 6 – Governance & Legal Matters (Primary Numbers 2200 – 2499);
Section 7 – Personnel (Primary Numbers 2500 – 2999);

**Operations:**

Section 8 – Lands (Primary Numbers 3000 – 3999);
Section 9 – Housing (Primary Numbers 4000 – 4599);
Section 10 – Social Development (Primary Numbers 4600 – 5199);
Section 11 – Child Care / Day Care Operations (Primary Numbers 5200 – 5499);
Section 12 – Education and Lifelong Learning (Primary Numbers 5500 – 5999)
Section 13 – Engineering, Public Works and Infrastructure (Primary Numbers 6000 – 6499);
Section 14 – Forestry and Resources Management (Primary Numbers 6500 – 6999);
Section 15 – Fisheries Resource Management (Primary Numbers 7000 – 7799);
Section 16 – Health (Primary Numbers 7800 – 8299);
Section 17 – Membership/Citizenship (Primary Numbers 8300 – 8499);
Section 18 – Protective Services (Primary Numbers 8500 – 8999);
Section 19 – Culture and History (Primary Numbers 9000 – 9399);
Section 20 – Economic Development Corporations & Activities (Primary Numbers 9400 - 9799), and Unassigned for future growth (Primary Numbers 9800 – 9999).

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The style of coding is known as block numeric. The administration/operational split is characteristic of Canadian filing systems originally developed at the federal government ministries. It is also similar to the ARCS/ORCS model used by the Province of British Columbia. Administrative subjects are housekeeping subjects, and common to all organizations. Operational subjects are specifically relating to the mandate and business of the First Nation organization, and are unique to that business. Related agencies such as economic development corporations will require more operational functions than are shown in this arrangement. Topics in this system reflect the First Nation organization relationship to these other bodies.

The classification system is designed to expand as the business functions grow and change, so there is spacing between the code numbers assigned to primary subjects. Where the volume of records requires, First Nation records management staff are encouraged to add the required primary subjects, creating the appropriate classification code.

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**2.2 Primary and Secondary Subjects**

Subjects are arranged in rough alphabetical order within each section. For each subject, the individual subjects or topics are displayed in a hierarchy, from general to more specific and relating sub topics, and represent the broad spectrum of typical functions.

In situations where there are relating primary subjects, these have been arranged to represent a primary "block", e.g.:

2320 Chief and Council – General
2330 Chief and Council – Committees
2340 Chief and Council – Meetings

Within a block, the first primary is a general one, containing records relevant to the complete block, as well as general subjects that do not collect enough records to justify being assigned a unique primary heading. A differing retention period for relating subjects also warrants having a different subject heading.

For each primary subject heading there is a description or scope note to clearly describe the types of record materials that should be grouped under the primary heading. This description provides a reminder for staff, who will be filing or retrieving information infrequently.

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A primary subject contains a variety of types of files or records, and is further subdivided into relating secondary subject files and/or case files. Secondary subject headings bring relating materials on a topic, and are usually assigned numbers -02 to -19. These secondary subjects may also include case files.

Case files usually consist of many different files or volumes, each of which contains diverse records relating to a specific entity, such as a person, meeting, event, project or transaction. Examples of common case records are individual meeting files, organized by the date of the meeting. Case files are usually numbered –20 or higher. Case files may also have their own unique numbering system, e.g. employee numbers, policy numbers, and consequently can easily fit into the overall classification scheme.

Within each primary, the –01 is always reserved as a “general” file. The general file is usually the first secondary file opened, and is used for records where the content of the record falls within the primary, but there is no existing secondary, or where there is no existing classification for the document. The general number is used until sufficient volume is generated to warrant creating a new primary or secondary heading. An accepted volume is 5 to 10 pieces of information.

Occasionally, secondary subjects may be further subdivided into a third or tertiary subject heading, when a secondary subject requires further breakdown. For example, a further breakdown may be required for committees, where separate files are required for agendas, minutes from open meetings, and minutes from closed meetings. In these cases, the tertiary number is added to the secondary, and forms the complete file number.

A complete file number will typically have at least two components – the primary and secondary numbers, or three – the primary, secondary and tertiary numbers

**2.3 Retention Periods**

The recommended retention period is assigned to each secondary subject heading. There are three phases defined for each of these subjects:

- the active life (A), where the records are used for staff work and reference;
- the semi-active (SA) or inactive phase, where staff no longer use the records, but the records may be needed for regulatory, audit or other requirements. At this stage, records are removed to storage, and
- the final disposition (FD) phase, where the records are destroyed or retained permanently.

The basis for each retention is from the appraised value of the records, and also incorporates any legal requirements for retention.

Legal research was undertaken in 2011 to locate any regulations for retention of records. With the passage of time, organizations should undertake their own research to ensure current retention requirements.

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# 3. Records Classification

## and retention Schedule

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|---|---|---|
| **PART A** | **ADMINISTRATION** | **0100 – 2999** |
| Section 1 | Administration | 0100 – 0699 |
| Section 2 | Buildings, Facilities and Properties | 0700 – 0999 |
| Section 3 | Equipment and Supplies | 1000 – 1299 |
| Section 4 | Information Systems and Services | 1300 – 1599 |
| Section 5 | Finance | 1600 – 2199 |
| Section 6 | Governance and Legal Matters | 2200 – 2499 |
| Section 7 | Personnel | 2500 – 2999 |
| **PART B** | **OPERATIONS** | **3000 – 9999** |
| Section 8 | Lands | 3000 – 3999 |
| Section 9 | Housing | 4000 – 4599 |
| Section 10 | Social Development | 4600 – 5199 |
| Section 11 | Daycare/Child Care Operations | 5200 – 5499 |
| Section 12 | Education and Life Long Learning | 5500 – 5999 |
| Section 13 | Engineering, Public Works and Community Infrastructure | 6000 – 6499 |
| Section 14 | Forestry Resources Management | 6500 – 6999 |
| Section 15 | Fisheries Resource Management | 7000 – 7799 |
| Section 16 | Health | 7800 – 8299 |
| Section 17 | Membership/Citizenship | 8300 – 8499 |
| Section 18 | Protective Services | 8500 – 8999 |
| Section 19 | Culture and History | 9000 – 9399 |
| Section 20 | Economic Development Corporations and Activities | 9400 - 9799 |

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## RETENTION SCHEDULE TIME PERIOD CODES

The time periods for retention of record series are provided with every subject heading. Three columns are provided on the right side of the page:
**"A"** indicates the time period during which the record series is active, and required for daily business in the office.
**"SA"** indicates the time period during which the record series must be retained by the organization for regulatory or other reasons, but the records are semi-active and no longer needed for daily business. These may be removed from the active office space to a less costly storage location.
**"FD"** indicates final disposition, once the record series has been retained for all required purposes.

The various codes are defined as follows:
**A** = active
**SA** = semi active
**FD** = final
disposition **CY** =
calendar year **FY**
= fiscal year
**y** = year
**SR** = selective retention
**SO** = until superceded or obsolete (each condition is noted)
**P** = permanent retention*
**D** = destroy
**NA** = not applicable
**ARC** = archives (where organizational archives exist)

- legal or business obligation to retain permanently

**PIB** = Personal Information Bank (collection of records filed by name, identification number or other personal identifier)