

# Government of Nova Scotia

## *STAR: Standard for Administrative Records*

Version 6.0

*Effective: 2006/10/16*



**Tourism, Culture and Heritage**  
Nova Scotia Archives and Records Management

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## Foreword

*STAR 6.0, Standard for Administrative Records Version 6.0*, is the revised edition of *STAR 5.0*, a government-wide standard for the records management of administrative records. This version of STAR has been streamlined, simplified and enhanced; making it easier to implement and manage records. *STAR 6.0* contains fewer classifications, retention schedules and disposition plans. Scope notes in *STAR 6.0* were expanded to assist users in the classification of records. The distribution of *STAR 6.0* has also been enhanced in that it has been made easily available on-line with new search and print capabilities.

This new version of STAR is the product of an extensive consultative process during which every effort was made to address the needs of all government departments and agencies. We received input and assistance from STAR users, interdepartmental committees and experts in central agencies and CSUs to ensure STAR's accuracy and comprehensiveness. STAR was also subjected to detailed review by legal counsel and by the Senior Financial Executives Forum. On October 16, 2006, STAR Version 6.0 was endorsed by the statutory Government Records Committee for use in departments and agencies.

On behalf of Nova Scotia Archives and Records Management, I would like to take this opportunity to acknowledge the effort and participation of those involved in the development, endorsement and approval of *STAR 6.0*. Your contribution has significantly improved the records management system in Nova Scotia.

Thomas Parker, Director  
Records Management  
Nova Scotia Archives and Records Management  
Department of Tourism, Culture and Heritage



## HOW TO USE STAR

### 1.0 Structure and Content of *STAR 6.0*

Its structure is based on an analysis of the administrative business functions of government departments and agencies.

There are four basic administrative functions, which are found in almost any organization:

**Physical property asset management (facilities, equipment and supplies)**

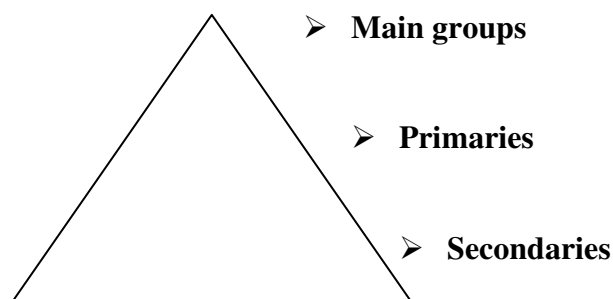
**Financial management**

**Human resource management**

**Information management**

These administrative functions are common to all government public bodies.

STAR has three hierarchical levels of records classification:



STAR's basic principle for the classification and description of information is one in which information is classified from the general to the specific.

#### **Classification Hierarchy**

As one moves down through the classification hierarchy, each level becomes more specific and definitive.

#### **Information access tool**

This hierarchical structure creates a quick and easy way to access and retrieve information.

#### **Standardized Descriptions**

STAR provides users with a list of classification titles that describe all of the administrative records that might exist in a government office. It does not specify which records an office must have. Each office will only use those classifications for which they have records.

STAR classification system makes a distinction between the classification number given to a record or file, and the file code or file name.

A record can be made up of many files in different physical and electronic formats and locations. For example, in STAR, *Employment History Case Files* can include emails, letters, initial appointment records, master file summary sheet printouts from SAP, special leave request forms, medical records, and performance appraisals. The classification number and title assigned to this group or class of records are **identifiers** indicating the functions and activities to which records belong, pulling files and records together intellectually. STAR classification numbers are the same for each department and agency, with the exception of some records identified as having different disposition and retention according to the specific recordkeeping needs of some agencies.

From the STAR classification number we can identify what the records are likely to be, their records retention schedule and their final disposition. The records retention schedule is assigned to each secondary.

### **Files and Filing Systems**

Using STAR does not mean that file names and filing systems should be changed. STAR fits over file systems. Each file classified under a particular STAR classification number will have its own unique code or name, which is assigned by the file's creator. This name or number is related to the physical use of the files, whether the file is placed in an alphabetical filing system, a filing system arranged by number or alphanumeric codes specific to a location. Whole groups of files and files systems identified under STAR classification numbers will be managed with the same retention schedule and final disposition. This makes STAR easy to implement with government files systems.

### **Main Groups**

Main Groups are the top level in the classification hierarchy.

They describe business functions at their broadest level, and are used to group related primaries together.

STAR 6.0 is divided into five main groups:

**Administration**

**Physical Property Asset Management**

**Financial Management**

**Human Resources Management**

**Information Management**

Administration is the most general of the five main groups and contains primaries that could not be grouped into one of the more specific main groups.

The other four main groups describe specific administrative functions. Each main group is assigned a range of classification numbers.

Scope notes describe the function of the main group and usually include the names of the primaries. There are also scope notes in each level of the hierarchy.

## **Primaries**

Primaries are the second level in the classification hierarchy. Each main group consists of a number of primaries.

Each primary has a unique title and classification number. The primary classification number begins with the number of the Main Group to which it is related.

In STAR, a four-digit number is used to designate the primary level.

In STOR, a five-digit number is used to designate the primary level.

Each primary has a scope note that describes the business function covered by the primary. The scope note also includes types of activities, information found in records associated with the activities and examples of records found in that primary.

Cross references to other primaries are listed under the scope note.

In addition, the primary page includes a menu of Secondaries with retention schedules assigned to each secondary.

## **Secondaries**

Secondaries are the subdivisions of a primary the most specific and the lowest level of classification in the hierarchy.

Each secondary has a two-digit classification number that is added to the primary number in order to create the full classification number. Records are classified at the secondary level. A complete classification number for a secondary consists of the primary number, followed by a hyphen, followed by the secondary number.

For example, “**1200-30**”, which indicates:

Main group is **Administration**,

Primary is **Emergency Preparedness and Recovery**

Secondary is **Emergency Recovery Case Files**.

Each secondary has a title that is unique within the primary. To facilitate classification, each secondary in STAR has a scope note that explains its use. The scope note is on the below the secondary menu on-line or found on the reverse page of the printed version.

Although the STAR/STOR classification system is structured from the general to the specific, when classifying records, because records are specific in nature, classifying begins at the most **specific level**. Secondary scope notes are very important because they provide the specific information necessary for making accurate classification decisions.

There are three types of Secondaries:

**General  
Subject Files  
Case Files**

**General - 01** is used for information relating to the primary as a whole or for information which cannot be classified in a specific secondary.

**Subject Files – 20** contain reference information about specific subjects related to the primary. For instance, an office might create a subject file on office equipment, containing supplier catalogues and pamphlets.

The purpose of subject files is to bring together reference information about the function of the primary. They might contain copies of records from another part of the department to be used for informational use but not form part of a documented activity or transaction created by your office or section.

This material supports activities which are captured in the case files and are not part of the record. Subject files usually contain information about a departmental activity or policy, copies of government documents and records material outside of government but not usually the official record. **Master Records belong in Case Files.**

**Case Files – 30-99** are used to classify records that are about a specific, time-limited entity, such as an event, project, program, business action, transaction, product, organization, or individual. Case Files provide evidence of a transaction, status, right, or obligation.

For instance, information about the purchase of office equipment, such as order forms, purchase orders, or cheque requisitions; belong in a case file in STAR.

Case File secondaries capture records specific to a particular primary. Case File secondaries are numbered “-30 through -99”.

STAR was created as a standard to fit recordkeeping requirements of departments and other public bodies such as agencies, boards and commissions, etc. STAR includes case files only applicable to agencies usually marked (by agency) in the title. Government agencies have different relationships with central departments such as the Public Service Commission and may be responsible for full recordkeeping of master records. For instance, after separation employee records in departments (and a few agencies) are transferred to the Public Service Commission, but most agencies are responsible for managing their own employee records.

### **Government /Department/Agency OPRs**

Another element of STAR/STOR that provides instruction for managing records is the Office of Primary Responsibility which is found at the secondary level of STAR 6.0.

Office of Primary Responsibility (OPR) is the department, title of a position or the name of an office in a government department or agency, which is responsible and accountable for the records relating to a particular business function. These records are known as the “master

records”. At each secondary in STAR and STOR there is a blank space for the name of the office which is the OPR for that class of records and should be filled in before STAR/STOR are implemented.

STAR/STOR structure allows for two levels of OPR:

### **Government OPR and Department/Agency OPR**

Both levels appear in STAR and only one level (Department /Agency OPR) appears in STOR.

Because STAR is a government-wide standard to be used by both departments and agencies, OPR assignment has been placed at the secondary level to accommodate the needs of both. In departments many master records are managed by both the department and the central government departments such as the Department of Finance, the Public Service Commission, and the Department of Transportation and Public Works. The Government OPR identifies the government department responsible for managing the master record on behalf of the government, such as the Public Service Commission or the Department of Transportation and Public Works. These departments provide central administrative services to government departments and some agencies and their STORs manage certain records as operational records. For instance, TPW negotiates property insurance for government and assists departments in handling insurance claims and understanding specific policies and contracts. TPW is the OPR for most departments. In STAR the department’s “official” record has a shorter or same retention as TPW’s copy since TPW has accountability for the function. In an agency, the retention is longer because the agency is fully accountable for the function.

The Department/Agency OPR identifies the office in the public body that is responsible for managing that public body's master records.

Government/Department/Agency OPRs and are assigned in order to reduce duplication and to designate accountability for the records. The objective of the OPR is for the department or agency to be able to protect the completeness, authenticity, and integrity of the master record.

Government employees have a responsibility to ensure that the Department OPR's record is complete before disposing of any material.

## **2.0 Classification by Hierarchy**

STAR and STOR manuals have the same hierarchical structure and main groups and most primaries are arranged in alphabetical order to make it easy for you to find the specific secondary related to your records. Manuals usually contain indexes and tables of concordance to assist in converting between versions of STAR and STOR.

The following instructions help you navigate the STAR hierarchy.

### **Identify Function**

First, identify the function of the record or file. For instance, the purpose of a file full of invoices is to show in the accounts that the office paid for a good or a service.

Then, determine which main group describes the function of the record. Paying bills is a financial matter, so the invoice file belongs in the Financial Management main group.

### **Determine Primary**

Next, determine which primary to use by reading the primary titles and scope notes. In STAR/STOR the Main group usually contains a list of primaries. In the case of the invoice file, the primary is **3100, Accounts Payable**.

### **Determine Secondary**

Finally, determine which secondary to use by reading the secondary titles and scope notes. For an invoice file in a department the correct secondary is **3100-33, Accounts Payable Case Files**. Sometimes when determining the correct secondary, the retention schedule is taken into consideration.

### **Assign Classification Number**

This classification number, **3100-33**, is assigned to the file.

### **Using the Index**

To facilitate classification, the STAR index is useful in pointing the way.

First identify the function of the record.

Then, look up that function in the index.

The index will point to a primary. Read the primary scope note to determine if it is the correct primary. Then, examine the secondary titles and scope notes to determine which secondary to use. The record is assigned both the primary and the secondary number.

### **Classification Numbers**

STAR and STOR classification numbers follow a block numeric system that ties in the levels of the hierarchy in STAR and STOR. The full classification number includes the primary number attached to the secondary number. The first number of the primary begins with the Main Group that it is related to. This numbering system brings together all of the records related to a specific activity or function. The classification number is used as an identifier for classes of records that follow the retention schedule assigned to that number.

Comparing the Block Numeric numbers assigned to STAR and (STOR)

<b>STAR</b>	<b>(Administrative Records)</b>
<b>1000 - 6999</b>	<b>(STAR Main Groups)</b>
<b>7000 - 9999</b>	<b>(Reserved for STAR expansion)</b>

<b>STOR (Operational Records)</b>
<b>10000 – 19999 (Executive level records STOR Standard Main Groups)</b>
<b>20000 - 99999 (STOR Main Groups)</b>

At the file management level, under the records classification, individual files also have identifiers used to distinguish file from all of the files in a particular physical location. The code may be a word, a phrase, a number, or other identifier.

For instance, department employee personnel files are classified under

### **4100-30, Employee History, Employee Case Files**

Each individual employee file may be coded with the employee's name, with the employee's personnel number, or with some other code, whichever makes more sense to the department for use and business process.

Together the classification and file code for a personnel file may appear as follows:

**4100-30/123456789**

The numbers preceding the slash are the primary and secondary number or classification code, while the numbers following the slash are the file name or code.

Another example, minutes to the implementation of an ERMS in your section would be classified under:

### **5700-40, Systems Development and Maintenance, System Development Case Files**

The individual file might appear as follows:

**5700-40/ERMS Implementation Committee Minutes, 2003**

## **3.0 How to Use STAR Records Retention Schedules**

The records retention schedule indicates both the period of retention after a file is no longer active and how the record will be handled at the end of its life cycle. Records are kept as long as required to carry out government business, which can be one year to over one-hundred years, then they may be further retained according to their operational and recordkeeping requirements, and finally, with proper authorization, records are destroyed or sent to the archives.

Records retention schedules are based on specific values that records possess associated record keeping requirements necessary to support accountability of government. Records are appraised by experts for **Legal, Fiscal, Audit, Evidential, Informational, and Intrinsic (Archival)** values in records. During STAR/STOR development, a rigorous consultation and endorsement process with government experts is completed before the schedule is approved.

Records retention schedules are reviewed in accordance with the Government Records Act, and approved through a process by the Minister responsible for the Act.

### **Life Cycle of Records**

Two different "streams" exist in the life cycle of records:

**Preservation**  
**Destruction**

The life cycle of a record is divided into three phases:

**Active**  
**Semi-active**  
**Final Disposition**

Active phase (**ACT**) is when records are in use on a regular basis and are most effectively maintained by keeping them in the department or agency.

Semi-active phase (**SA**) is when records are used infrequently and for records that have a long SA period, records are kept off-site in cheaper storage facility like a record centre.

When the semi-active period is over, the records schedule shows the final disposition (**DIS**) of the record: destruction (**D**), disposition plan (**DP**) which is usually the transfer of records to another department or agency of government, or archives (**AR**) the archival appraisal and transfer to the Archives Management Branch of Nova Scotia Archives and Records Management.

### **Active Period (ACT)**

The Active phase (ACT) of the retention schedule shows the length of time that the record is retained in the office after the file is closed. The retention schedule begins here and does not include the active period of time from the creation or receipt of the record until the completion of activity.

By “closed” we mean the completion of the activity of that function for that transaction, project, program or event.

A trigger is used to indicate which event closes that class or group of files and begins the ageing process. Ageing is the period of time between the closing of the file and final disposition. There are two retention triggers in both STAR and STOR: "FY" and "SO" There is an additional trigger in STOR, "CY".

“CY” trigger indicates that the file closes at the end of the calendar year, 31 December.

"FY" trigger indicates that the file closes at the end of the fiscal year, 31 March.

"SO" trigger indicates that some event other than the end of the calendar/ fiscal year renders the file superseded or obsolete and closes the file (SO = superseded or obsolete). Superseded means it has been updated and a new version replaces it. Obsolete means that it is no longer required

The "SO" trigger is always defined in the schedule in the “SO definition” section and is assigned to the secondary number, because the event that closes the file is specific to each class of files.

SO definitions are found below the secondaries and retention schedule on the primary page.

Each retention trigger is followed by a plus sign (+) and a number. The number refers to the length of time, in calendar years, that the record is kept in the department after the trigger has been activated and the file has closed.

### **Semi-Active Period (SA)**

Once records have completed their active stage of retention, they move to the semi-active phase of their life cycle (SA).

Semi-active records must be retained for legal, fiscal, audit, or operational reasons, but they are not needed on a regular basis.

The second part of the retention schedule shows the semi-active period of the record (SA). This is the length of time in calendar years from the end of the active period that the record is to be stored in an off-site storage facility, such as the Provincial Records Centre.

### **Final Disposition (DIS)**

The third part of the retention schedule indicates the final disposition of a record (DIS).

Disposition occurs at the final stage of the life cycle, when the record becomes inactive, and follows the end of the semi-active period. An abbreviation in the column indicates the disposition of the records: "D," "AR," or "DP".

"D" disposition indicates that the records are to be securely destroyed at the end of the semi-active period.

"AR" disposition indicates that the records are to be transferred to the Archives Management Branch of Nova Scotia Archives and Records Management for archival appraisal and retention. An "AR" disposition is always accompanied by an archival disposition plan, which sets out the criteria for archival appraisal. STAR 6.0 contains only one AR disposition. Most STORs will have many AR dispositions.

"DP" disposition indicates that something else has to happen to the record before they can be destroyed. A "DP" indicates that there is a disposition plan that outlines the actions that will be taken with the records during the life cycle. STAR 6.0 has only one DP.

### **Disposition Plans (DP or AR)**

Disposition plans explain any extraordinary measure that needs to be taken during, or at the end of, the life-cycle of a record. The disposition plan consists of four parts: classification number and retentions schedule, secondary scope note, disposition summary, appraisal and evaluation statement, and a brief implementation plan. Disposition plans should be checked at the beginning of a record's life cycle to ensure that records are handled properly from the beginning of their life cycle to the end.

### **How to Read a Retention Schedule**

When laid out in a tabular format, a records retention period will appear as follows:

3100	Accounts Payable	ACT	SA	DIS
33	Accounts Payable Case Files	FY + 1	6	D

This schedule indicates that records classified as 3100-33 will close at the end of the fiscal year (FY) 31st March. (2000 fiscal year means the records close 31 March 2001.)

The active retention (ACT) of "FY + 1" means that the records will be retained for another year in active storage in the office so that they are available for supplying information for audit purposes. The records may then be boxed and transferred to the Provincial Records Centre for an additional six years of semi-active (SA) storage. At the end of those six years the records are destroyed (D).

The total retention period is seven years; therefore, the disposition date for these records is seven years after they are closed. (31 March 2001 + 7 = 31 March 2008)

For example:

A file that is opened on June 1, 2000 will close on March 31, 2001. It will be kept in the office until March 31, 2002. After March 31, 2002 the file may be transferred to the Provincial Records Centre. The Provincial Records Centre will keep the file for another six years until March 31, 2008, after which the file can be destroyed.

3700	Procurement	ACT	SA	DIS
40	Procurement Case Files	SO + 1	6	D

SO definition: -40 procurement activity completed

For files classified with 3700-40 and the procurement activity ended 6 June 2000, we would read the schedule this way. ACT – 1 year after the file closes would be 6 June 2001, after this date it can be moved offsite to the Provincial Records Centre. It stays in the Records Centre for another six years and can be destroyed after 6 June 2007. Total retention is seven years, Disposition date is 6 June 2007.





## **Administration**

The Administration main group consists of primaries relating to Administration as a whole or which cannot be classified in a more specific Main Group. Includes records about emergency measures and public relations.

**Primaries:**

- 1000 Administration - General
- 1200 Emergency Preparedness and Recovery
- 1420 Public Relations

ACT: Active (Department/Agency)  
AR: Archival Appraisal  
CY: End of Calendar Year

D: Destroy  
DIS: Disposition  
DP: Disposition Plan

FY: End of Fiscal Year  
OPR: Office of Primary Responsibility

SA: Semi-Active (Records Centre)  
SO: Superseded/Obsolete

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## 1000 Administration - General

1000

Records documenting administrative functions for which there is no specific primary.

1000 Administration - General	ACT	SA	DIS
01 General	FY + 1	0	D
20 Administration - General Subject Files	SO + 0	0	D
SO Definitions:20-			no longer required

## Secondary Scope Notes

### 1000-01 General

Records relating to the primary as a whole. Used for records which cannot be classified in any existing secondary.

**OPR:**

### 1000-20 Administration - General Subject Files

Information on specific subjects relating to administration in general. Used for reference purposes.

**OPR:**

ACT: Active (Department/Agency)  
AR: Archival Appraisal  
CY: End of Calendar Year

D: Destroy  
DIS: Disposition  
DP: Disposition Plan

FY: End of Fiscal Year  
OPR: Office of Primary Responsibility

SA: Semi-Active (Records Centre)  
SO: Superseded/Obsolete

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## 1200 Emergency Preparedness and Recovery

1200

Records documenting emergency preparedness and recovery. Used for planning, evaluating, implementing and administering emergency preparedness, recovery and business resumption plans following an event or incident causing accidental or purposeful loss, injury, or disruption of business operations. Includes emergency preparedness and recovery planning, all of the components to business resumption planning (e.g., essential records lists, IT business contingency plans); and recovery activities (e.g. reports of loss or injury). Examples: emergency preparedness plans, emergency response plans, essential records lists, recovery plans.

*For evacuation plans and evacuation drills see 4520, Human Resource Management, Occupational Health and Safety Program Management.*

<b>1200 Emergency Preparedness and Recovery</b>	<b>ACT</b>	<b>SA</b>	<b>DIS</b>
01 General	FY +1	0	D
20 Emergency Preparedness and Recovery Subject Files	SO +0	0	D
30 Emergency Recovery Case Files	SO +1	6	D
35 Emergency Preparedness, Response and Recovery Plan Case Files	SO +0	7	D

**SO Definitions:**  
 20 - no longer required  
 30 - recovery complete and legal risk or interest expired  
 35 - plan or list revised and approved

## Secondary Scope Notes

### 1200-01 General

Records relating to the primary as a whole. Used for records which cannot be classified in any existing secondary.

#### OPR:

### 1200-20 Emergency Preparedness and Recovery Subject Files

Information on specific subjects relating to emergency preparedness and recovery. Used for reference purposes.

#### OPR:

### 1200-30 Emergency Recovery Case Files

Records documenting emergency recovery. Used for implementing response and recovery plan and administering recovery of loss, injury, or disruption of business operations resulting from an emergency event or incident (e.g., flood, fire, power outages). Includes reports of loss, injury and damage, recommendations and copy of Emergency Preparedness, Response and Recovery plan used and specific to a recovery event. Examples: correspondence, meeting notes, plans, reports, working papers.

#### OPR:

### 1200-35 Emergency Preparedness, Response and Recovery Plan Case Files

Records documenting emergency preparedness, response and recovery plans. Used for current approved plans that provide information and instruction for preparation of a department's response to emergency situations and business disruption. Includes components of emergency preparedness, response and recovery plans (e.g., alternate storage locations, business resumption, contingency and recovery plans). Examples: correspondence, lists, plans.

#### OPR:

## 1420 Public Relations

1420

Records documenting public relations. Used for promoting the department's public image through development of media communications, implementation of communications plans and events, and responses to media requests. Includes the production and coordination of news releases, advertisements and other promotions, organization of public events, development of media relations; and the provision of other public relations support for the department. Examples: briefings, correspondence, media releases, meeting notes, working papers.

1420 Public Relations	ACT	SA	DIS
01 General	FY +1	0	D
20 Public Relations Subject Files	SO +0	0	D
30 Media Communications Case Files	SO +1	6	D
35 Communications Working Group Case Files	SO +1	6	D

**SO Definitions:**  
20 - no longer required  
30 - activity completed  
35 - activity completed

## Secondary Scope Notes

### 1420-01 General

Records relating to the primary as a whole. Used for records which cannot be classified in any existing secondary.

**OPR:**

### 1420-20 Public Relations Subject Files

Information on specific subjects relating to public relations. Used for reference purposes.

**OPR:**

### 1420-30 Media Communications Case Files

Records documenting media communications. Used for developing, producing and coordinating media communications products and media events. Includes final drafts of media relations releases, advertisements and public service announcements. Also includes information relating to the planning of promotions and events. Examples: approvals, background information, correspondence, editing instructions, media and press kits, meeting notes, interview requests, scripts, technical briefings, working papers.

**OPR:**

### 1420-35 Communications Working Group Case Files

Records documenting communications working group activities. Used for planning and implementing communications plans and activities develop through departmental communications working groups. Includes meetings to discuss internal and external communications issues and projects, communications planning, proposals and recommendations. Examples: agendas, minutes, plans, reports, terms of reference, working papers.

**OPR:**

## Physical Property Asset Management

Physical Property Asset Management is the function that supports the acquisition, maintenance, protection and disposal of physical property used and maintained by government. Physical property consists of immovable property which the government owns or has rights to such as land, buildings, structures, easements, and includes moveable property that has been incorporated into the structure of buildings (e.g., utility systems). This main group also includes equipment, furniture and vehicles used and maintained by departments. Includes physical property management, maintenance and repair, physical security, and insurance and risk management.

### Primaries:

- 2120 Physical Property Management
- 2450 Maintenance and Repair
- 2650 Physical Security
- 2670 Insurance and Risk Management

ACT: Active (Department/Agency)  
AR: Archival Appraisal  
CY: End of Calendar Year

D: Destroy  
DIS: Disposition  
DP: Disposition Plan

FY: End of Fiscal Year  
OPR: Office of Primary Responsibility

SA: Semi-Active (Records Centre)  
SO: Superseded/Obsolete

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## 2120 Physical Property Management

2120

Records documenting physical property management. Used for managing the acquisition, construction, disposal, renovation and use (e.g., accommodation management) of government physical property. Includes proof of ownership documentation, land expropriations, easements, surveys, sale and demolition of property, logistics for moving staff and furniture, allocation plans and use of space for offices, warehousing and parking, tender specifications and requirements, lease agreements, and equipment registrations and licenses. Also includes inventory control of equipment, furniture and vehicles. Examples: agreements, approvals, correspondence, orders, plans, photographs, reports, transfer vouchers, vehicle registrations.

*For cheques and financial transactions see 3000-3999, Financial Management.*

*For maintenance and repairs of existing structures see 2450, Maintenance and Repair.*

*For processing of construction tenders see 3700, Financial Management, Procurement.*

<b>2120 Physical Property Management</b>	<b>ACT</b>	<b>SA</b>	<b>DIS</b>
01 General	FY +1	0	D
20 Physical Property Management Subject Files	SO +0	0	D
35 Real Property Acquisition and Disposal Case Files	SO +2	0	D
40 Construction and Renovation Case Files	SO +2	5	D
50 Space Management Case Files	SO +2	0	D
60 Materials Inventory Control Case Files	SO +1	0	D

**SO Definitions:**

20 - no longer required
35 - real property sold or transferred
40 - project completed and all warranties expired
50 - project completed or information revised
60 - inventory revised

## Secondary Scope Notes

### **2120-01 General**

Records relating to the primary as a whole. Used for records which cannot be classified in any existing secondary.

**OPR:**

### **2120-20 Physical Property Management Subject Files**

Information on specific subjects relating to physical property management. Used for reference purposes.

**OPR:**

### **2120-35 Real Property Acquisition and Disposal Case Files**

Records documenting real property acquisition and disposal. Used for acquiring and disposing of land, structures and buildings through purchase, donation, demolition, removal, transfer and sale. Includes proof and transfers of ownership, appraisals, topographical information, architectural layout, expropriations, negotiations of purchase or disposal, and agreements. Also includes "as-built interchanges" plans. Examples: appraisals, approvals, correspondence, drawings, maps, meeting notes, photographs, plans, records of ownership and title.

**OPR:**

### **2120-40 Construction and Renovation Case Files**

Records documenting construction and renovation. Used for planning, designing, inspecting and commissioning construction and renovation (e.g., alterations, upgrades, and additions) of structures and facilities. Includes development of site plans, space plans and structure/facility designs, all phases of construction, change orders for the scope of work and scheduling, inspections, holdbacks, acceptance, requirement and authorization documentation. Examples: analysis, correspondence, deficiency lists, inspection reports, meeting notes, specifications, plans and models.

**OPR:**

### **2120-50 Space Management Case Files**

Records documenting space management. Used for planning and arranging the allocation, use and outfitting of office and warehouse space and other departmental accommodation. Includes space inventories, space specifications, space related requirements such as heat, electricity and water, logistical arrangements and moves, and landlord communications. Also includes the administration of parking spaces for departmental staff and vehicles. Examples: approvals, complaints, correspondence, drawings, lease agreements, lists, meeting notes, parking permits, plans, requests for service, schedules.

**OPR:**

**2120-60 Materials Inventory Control Case Files**

Records documenting materials inventory control. Used for verifying and tracking the receipt, usage, physical location, and disposal of equipment and furniture. Includes inventory lists, addition and deletion records, and transfers. Also includes vehicle registrations and licenses. Examples: correspondence, inventory reports, vehicle registrations, transfer vouchers.

*For acquisition of materials see 3700, Financial Management, Procurement.*

**OPR:**

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AR: Archival Appraisal  
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## 2450 Maintenance and Repair

2450

Records documenting maintenance and repair. Used for tracking and monitoring the operation, upkeep and repair of facilities, equipment, furniture and vehicles. Includes arrangement of maintenance and repair services; upkeep and repair of utility systems; all-season upkeep of grounds, building access and parking areas; recycling and waste management programs; maintenance under warranty; safety inspections; and other maintenance and repair activities. Examples: inspection reports, requests for service, work orders.

*For construction, major renovation or expansion see 2120, Physical Property Management.  
 For processing of tenders see 3700, Financial Management, Procurement.*

<b>2450 Maintenance and Repair</b>	<b>ACT</b>	<b>SA</b>	<b>DIS</b>
01 General	FY +1	0	D
20 Maintenance and Repair Subject Files	SO +0	0	D
30 Facility Maintenance and Repair Case Files	SO +2	5	D
50 Materials Maintenance and Repair Case Files	SO +2	0	D

**SO Definitions:**  
 20 - no longer required  
 30 - contract expired and service discontinued or maintenance/repair completed  
 50 - equipment disposed of, transferred or replaced

## Secondary Scope Notes

### 2450-01 General

Records relating to the primary as a whole. Used for records which cannot be classified in any existing secondary.

#### OPR:

### 2450-20 Maintenance and Repair Subject Files

Information on specific subjects relating to maintenance and repair. Used for reference purposes.

#### OPR:

### 2450-30 Facility Maintenance and Repair Case Files

Records documenting facility maintenance and repair. Used for tracking and monitoring the operation, upkeep and repair of facilities. Includes arrangement of maintenance and repair services; upkeep and repair of utility systems (e.g., heating, electrical and water systems); all-season upkeep of grounds, building access and parking areas (i.e., landscaping and gardening, grounds maintenance, snow removal); janitorial and cleaning; elevator maintenance; recycling and waste management programs. Also includes warranties and service agreements for utility system equipment. Examples: correspondence, inspection reports, maintenance schedules, meeting notes, service agreements, work orders.

*For complaints to owner or maintenance contractor of leased land and structures see 2120-50, Physical Property Management, Space Management Case Files.*

#### OPR:

### 2450-50 Materials Maintenance and Repair Case Files

Records documenting materials maintenance and repair. Used for tracking and monitoring the operation, upkeep and repair of equipment, furniture and vehicles. Includes arrangement of maintenance and repair services; service agreements; repairs and maintenance under warranty; safety inspections; work order management; and other maintenance and repair activities. Examples: correspondence, inspection reports, logs, maintenance schedules, service agreements, work orders.

*For materials inventory see 2120-60, Materials Inventory Control Case Files.*

#### OPR:

## 2650 Physical Security

2650

Records documenting the physical security of facilities. Used for tracking and monitoring the installation, inspection, and maintenance of security systems and the day-to-day access to facilities and installations. Includes security system specifications, incident reports, security service agreements, access logs, key directories and access restrictions. Examples: access records, incident reports, security system plans.

*For emergency response and business resumption plan see 1200, Administration, Emergency Preparedness and Recovery*

*For procurement of security equipment see 3700, Financial Management, Procurement*

2650 Physical Security	ACT	SA	DIS
01 General	FY +1	0	D
20 Physical Security Subject Files	SO +0	0	D
30 Security Incident Case Files	SO +1	6	D
35 Facility Access Case Files	FY +1	0	D
40 Security System Case Files	SO +1	6	D

**SO Definitions:**  
20 - no longer required  
30 - investigation completed  
40 - security system component revised or discontinued

## Secondary Scope Notes

### **2650-01 General**

Records relating to the primary as a whole. Used for records which cannot be classified in any existing secondary.

**OPR:**

### **2650-20 Physical Security Subject Files**

Information on specific subjects relating to physical security. Used for reference purposes.

**OPR:**

### **2650-30 Security Incident Case Files**

Records documenting security incidents. Used for monitoring and reporting breaches in the security of facilities to the police. Includes bomb threats, theft, break-ins and other infractions and violations of the law. Examples: incident reports, interviews, police reports.

**OPR:**

### **2650-35 Facility Access Case Files**

Records documenting facility access. Used for monitoring and tracking day-to-day access to facilities and temporary issuance of keys, access cards and codes. Includes communications about access, daily logs, lists. Examples: correspondence, lists.

**OPR:**

### **2650-40 Security System Case Files**

Records documenting security systems. Used for tracking and monitoring the installation, inspection, and maintenance of security systems. Includes system specifications and procedures and security services. Also includes access cards, codes and key directories, and access permissions and restrictions. Examples: access restrictions, reports, service agreements.

**OPR:**

## 2670 Insurance and Risk Management

2670

Records documenting insurance and risk management. Used for managing risk relating to real and personal property through tracking and monitoring claims management and property insurance coverage. Includes claims notifications and documentation collected during the investigation and settling of claim; insurance policies and contracts; revisions to coverage; listings of values and assets of all types of coverage (i.e., property insurance, general, crime and professional liability). Examples: claims notifications, claims reports, incident reports, insurance policies and contracts.

*For emergency recovery plans see 1200, Administration, Emergency Preparedness and Recovery.*

*For employment insurance see 4550, Human Resources Management, Payroll Deductions.*

*For group life insurance see 4550, Human Resources Management, Payroll Deductions.*

2670 Insurance and Risk Management	ACT	SA	DIS
01 General	FY +1	0	D
20 Insurance and Risk Management Subject Files	SO +0	0	D
30 Claim Notification and Report Case Files	SO +1	6	D
40 Insurance Policy (Other than Liability) by Agency Case Files	SO +3	5	D
42 Insurance Policy (Liability) by Agency Case Files	SO +7	25	D

**SO Definitions:**

20 - no longer required
30 - claim closed
40 - policy and contract expired and no outstanding claim
42 - policy and contract expired and Province and agency no longer liable

## Secondary Scope Notes

### 2670-01 General

Records relating to the primary as a whole. Used for records which cannot be classified in any existing secondary.

#### OPR:

### 2670-20 Insurance and Risk Management Subject Files

Information on specific subjects relating to insurance and risk management. Used for reference purposes.

#### OPR:

### 2670-30 Claim Notification and Report Case Files

Records documenting claim notification and reports. Used for notifying and reporting claims of department and agency to Insurance Officer for compensation for damage to or loss of government property. Includes notification of claim, communications with insurance officer and claim report listing extent of damage or stolen property. Examples: claim notices, claim reports, correspondence, meeting notes.

*For the settlement of claims against the department or agency see STOR 16400 Legal Proceedings.*

#### OPR:

### 2670-40 Insurance Policy (Other than Liability) by Agency Case Files

Records documenting "Other than liability" insurance policies. Used for determining and establishing coverage, assessing risk, and recording applicable insurance policies and contracts that cover the risk of damage or destruction to property or assets. Includes property and crime insurance policies and contracts, and alternate risk transfer contracts. Examples: contracts, correspondence, meeting notes, policies, reports.

#### OPR:

### 2670-42 Insurance Policy (Liability) by Agency Case Files

Records documenting "liability" insurance policies. Used for determining and establishing coverage, assessing risk, and recording applicable insurance policies and contracts that cover the risk causing some loss or injury to another person, for which the department or agency may be held liable. Includes general, professional and contractual liability insurance policies and contracts, alternate risk transfer contract and alternate risk financing. Examples: contracts, correspondence, meeting notes, policies, reports.

#### OPR:

## Financial Management

Financial Management is the function that supports departmental financial and managerial accounting. Activities include the planning, controlling, spending, and reporting of the budget and the administration of accounts. Includes audit preparation, accounts reconciliation, budget preparation and budgetary control, expenditure and accounts tracking, banking, funds management and procurement. Also includes signature authorization records.

*For payroll and pay deductions see 4550 Human Resources Management, Payroll Deductions.*

### Primarys:

- 3025 Signing Authority Administration
- 3050 Accounts Reporting and Reconciliation
- 3100 Accounts Payable
- 3150 Accounts Receivable
- 3200 Financial Transactions
- 3400 Banking
- 3450 Budgeting
- 3500 Fund Management
- 3700 Procurement

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## 3025 Signing Authority Administration

3025

Records documenting signing authority. Used for tracking and verifying the establishment and renewal of signing authorities required for most financial transactions. Includes verification procedures for maintaining current authority records. Examples: approvals, completed signing authority forms and cards, correspondence, resolution approved by agency's operating authority.

3025 Signing Authority Administration	ACT	SA	DIS
01 General	FY +1	0	D
20 Signing Authority Administration Subject Files	SO +0	0	D
30 Signing Authority Case Files	SO +1	6	D

**SO Definitions:** 20 - no longer required  
30 - signing authority changed

## Secondary Scope Notes

### **3025-01 General**

Records relating to the primary as a whole. Used for records which cannot be classified in any existing secondary.

#### **OPR:**

### **3025-20 Signing Authority Administration Subject Files**

Information on subjects relating to signing authority administration. Used for reference purposes.

#### **OPR:**

### **3025-30 Signing Authority Case Files**

Records documenting signing authority. Used for tracking and verifying the establishment and renewal of signing authorities required for most financial transactions. Includes verification procedures for maintaining current authority records. Examples: approvals, completed signing authority forms and cards, correspondence, resolution approved by agency's operating authority.

#### **OPR:**

## 3050 Accounts Reporting and Reconciliation

3050

Records documenting accounts reporting and reconciliation. Used for verifying and reporting the expenditure and receipt of funds and the management of accounts. Includes summary documents used to verify financial transactions, reconciliation records, and statements of assets and liabilities. Examples: account balances, monthly account summaries, statements.

<b>3050 Accounts Reporting and Reconciliation</b>	<b>ACT</b>	<b>SA</b>	<b>DIS</b>
01 General	FY + 1	0	D
20 Accounts Reporting and Reconciliation Subject Files	SO + 0	0	D
30 Statement of Accounts Case Files	FY + 1	0	D
32 Statement of Accounts by Agency Case Files	FY + 1	6	D
45 Audit Preparation Case Files	FY + 1	6	D
50 Accounts Reconciliation Case Files	FY + 1	0	D
52 Accounts Reconciliation by Agency Case Files	FY + 1	6	D

**SO Definitions:** 20 - no longer required

## Secondary Scope Notes

### **3050-01 General**

Records relating to the primary as a whole. Used for records which cannot be classified in any existing secondary.

#### **OPR:**

### **3050-20 Accounts Reporting and Reconciliation Subject Files**

Information on specific subjects relating to accounts reporting and reconciliation. Used for reference purposes.

#### **OPR:**

### **3050-30 Statement of Accounts Case Files**

Records documenting "Statement of Accounts". Used for tracking and reporting income and expenses of the department within the corporate financial management system. Includes periodic summaries that report amounts received and spent by account, income statements, balance sheets and statements of cash flow. Examples: reports, statements.

#### **OPR:**

### **3050-32 Statement of Accounts by Agency Case Files**

Records documenting "Statement of Accounts" by Agency. Used for tracking and reporting income and expenses of the agency outside of the corporate financial management system. Includes periodic summaries that report amounts received and spent by account, income statements, balance sheets and statements of cash flow. Examples: reports, statements.

#### **OPR:**

### **3050-45 Audit Preparation Case Files**

Records documenting audit preparation. Used for collecting and producing documentation required for audit. Includes income statements, trial balances, adjustments, balance sheets, statements of cash flow, summaries of unadjusted errors and other communications provided by the auditor in preparation of the final statement. Examples: correspondence, financial statements and reports, working papers.

*For the department's liaison with the auditor and management responses see 16220, Management Functions, Audit Liaison.*

#### **OPR:**

### **3050-50 Accounts Reconciliation Case Files**

Records documenting accounts reconciliation. Used for reporting the reconciliation of transactions in accounts. Includes ending account balances, uncleared transactions, new transactions, bank account statements, NSF and returned cheque reports, and summary reports by account, month and year. Examples: account balances, reports, statements.

#### **OPR:**

**3050-52 Accounts Reconciliation by Agency Case Files**

Records documenting accounts reconciliation. Used for reporting the reconciliation of transactions in accounts. Includes ending account balances, uncleared transactions, new transactions, bank account statements, NSF and returned cheque reports, and summary reports by account, month and year. Examples: account balances, reports, statements.

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## 3100 Accounts Payable

3100

Records documenting accounts payable activities. Used for tracking and reporting the payment of accounts and expenditure of funds. Includes daily expenditures; payment of accounts; financial commitments tracking; recurring payments and petty cash control. Also includes cheque issue records and confirmation of receipt of goods and services. Examples: account statements, bills of lading, cancelled cheques, invoices, receipts, reports, summaries.

*For Federal cost sharing claims see 3150, Financial Management, Accounts Receivable.*

*For journal entries see 3200, Financial Management, Financial Transactions.*

*For salary and payroll see 4550, Human Resources Management, Payroll Deductions.*

<b>3100 Accounts Payable</b>	<b>ACT</b>	<b>SA</b>	<b>DIS</b>
01 General	FY +1	0	D
20 Accounts Payable Subject Files	SO +0	0	D
33 Accounts Payable Case Files	FY +1	6	D
45 Commitment Tracking Case Files	FY +1	6	D
50 Recurring Payments Case Files	FY +1	6	D
55 Petty Cash Case Files	FY +1	6	D

**SO Definitions:** 20 - no longer required

## Secondary Scope Notes

### **3100-01 General**

Records relating to the primary as a whole. Used for records which cannot be classified in any existing secondary.

#### **OPR:**

### **3100-20 Accounts Payable Subject Files**

Information on specific subjects relating to accounts payable. Used for reference purposes.

#### **OPR:**

### **3100-33 Accounts Payable Case Files**

Records documenting accounts payable activities. Used for tracking daily expenditure of funds and payment of accounts. Includes accounts processing; invoices and charges received from vendors; advances, allowances and expenses; corporate credit card control. Also includes other accounts support documentation and confirmation of receipt of goods and services (e.g., bills of lading, receipts). Examples: approvals, bills of lading, correspondence, expense claims, invoices, list of card holder names and expiry dates, receipts.

#### **OPR:**

### **3100-45 Commitment Tracking Case Files**

Records documenting expenditure commitment. Used for tracking and reporting on the commitment of funds. Includes financial commitment reports, lists of purchase orders or purchase requisitions, issued cheques and confirmation of receipt of goods and services. Examples: approvals, bills of lading, cheques, correspondence, journal entries, meeting notes, receipts, reports, working papers.

#### **OPR:**

### **3100-50 Recurring Payments Case Files**

Records documenting recurring payments. Used for tracking and monitoring recurring payments of specific accounts. Includes the recurring payments of service contracts (e.g., elevator maintenance, photocopier/fax rentals or other rental leases, utility fees, professional association fees). Examples: agreements, approvals, correspondence, invoices, subscriptions.

#### **OPR:**

### **3100-55 Petty Cash Case Files**

Records documenting petty cash. Used for monitoring and reporting the use of petty cash for expenditures. Includes funds advances, cash float operations, and the preparation of cash position statements. Examples: correspondence, receipts, statements and other petty cash documentation.

#### **OPR:**

## 3150 Accounts Receivable

3150

Records documenting accounts receivable activities. Used for tracking and reporting the receipt of funds payable to the department or agency. Includes sale of goods and services; Federal cost-sharing claims; HST collection and reimbursement; funds received from grants; funds recovered for expenditures, and cash transactions. Also includes returned cheques and write-offs of outstanding accounts and debts. Examples: account balances, cash reports, journal entries, receipts, revenue accounts reports, returned cheques, statements, summaries.

3150 Accounts Receivable	ACT	SA	DIS
01 General	FY +1	0	D
20 Accounts Receivable Subject Files	SO +0	0	D
40 Sales Tax Collection and Reimbursement Case Files	FY +1	6	D
50 Revenue and Recovery Case Files	FY +1	6	D
55 Write-off Case Files	FY +1	6	D
60 Returned Cheque Case Files	FY +1	6	D

**SO Definitions:** 20 - no longer required

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## Secondary Scope Notes

### **3150-01 General**

Records relating to the primary as a whole. Used for records which cannot be classified in any existing secondary.

#### **OPR:**

### **3150-20 Accounts Receivable Subject Files**

Information on specific subjects relating to accounts receivable. Used for reference purposes.

#### **OPR:**

### **3150-40 Sales Tax Collection and Reimbursement Case Files**

Records documenting sales tax collection and reimbursement. Used for tracking funds received through the collection of taxes on goods and services. Includes HST collection and reimbursement from other jurisdictions such as those resulting from HST payments to the Receiver General of Canada. Examples: cash reports, cheques, receipts.

#### **OPR:**

### **3150-50 Revenue and Recovery Case Files**

Records documenting revenue and recovery. Used for tracking funds received from the sale of goods and services. Includes cash transactions, cash register reports, Federal cost-sharing claims, journal entries, receipt of grants, and revenue accounts documentation. Examples: receipts, reports.

#### **OPR:**

### **3150-55 Write-off Case Files**

Records documenting "write-offs". Used for reporting "write-offs" of uncollectible debts and preparing briefing notes to the Minister. Includes analysis, supporting documentation, write-off approvals, additional appropriations and special warrants. Examples: approvals, correspondence, reports, working papers.

#### **OPR:**

### **3150-60 Returned Cheque Case Files**

Records documenting returned cheques. Used for tracking and recovering lost income due to non-sufficient funds. Includes returned cheques, invoices and re-invoices issued with added bank charges, and non-sufficient funds (NSF) notifications. Examples: correspondence, invoices, notices, reports, returned cheques.

*For issuing of cheques relating to expenditure of committed funds see 3100-45, Accounts Payable, Commitment Tracking Case Files.*

#### **OPR:**

## 3200 Financial Transactions

3200

Records documenting journal financial transactions. Used for tracking and monitoring the journal entry of financial transactions and electronic transfers of funds. Includes financial transactions through interdepartmental and inter-divisional transfers. Includes less-chargeables, recoveries and fee transactions. Examples: debit transactions, electronic transactions, internal journal voucher reports, journal entries.

3200 Financial Transactions	ACT	SA	DIS
01 General	FY +1	0	D
20 Financial Transactions Subject Files	SO +0	0	D
30 Journal Entry Case Files	FY +1	6	D

**SO Definitions:** 20 - no longer required

## Secondary Scope Notes

### **3200-01 General**

Records relating to the primary as a whole. Used for records which cannot be classified in any existing secondary.

#### **OPR:**

### **3200-20 Financial Transactions Subject Files**

Information on specific subjects relating to financial transactions. Used for reference purposes.

#### **OPR:**

### **3200-30 Journal Entry Case Files**

Records documenting journal entry. Used for monitoring and tracking the journal entry of financial transactions and electronic transfers of funds. Includes financial transactions made by journal voucher, journal entry, or electronic funds transfer between or within a department or agency. Examples: correspondence, direct debit, electronic transfers, manual direct debits, supporting documentation.

#### **OPR:**

## 3400 Banking

3400

Records documenting banking. Used for administering banking accounts not processed through the Department of Finance. Includes monitoring and verifying bank accounts, deposits, transfers, cheque activity, interest accumulation, bank service charges, and other account transactions. Also includes bank notifications on accounts. Examples: bank statements, cancelled cheques, cheque stub information, deposit slips.

*For returned cheques see 3150, Financial Management, Accounts Receivable.*

<b>3400 Banking</b>	<b>ACT</b>	<b>SA</b>	<b>DIS</b>
01 General	FY + 1	0	D
20 Banking Subject Files	SO +0	0	D
30 Deposit Slip Case Files	FY +1	6	D
40 Bank Statement Case Files	FY +1	6	D

**SO Definitions:** 20 - no longer required

## Secondary Scope Notes

### 3400-01 General

Records relating to the primary as a whole. Used for records which cannot be classified in any existing secondary.

#### OPR:

### 3400-20 Banking Subject Files

Information on specific subjects relating to banking. Used for reference purposes.

#### OPR:

### 3400-30 Deposit Slip Case Files

Records documenting deposits in bank accounts. Used for tracking and verifying deposit transactions in bank accounts. Includes deposit slips. Examples: deposit slips.

#### OPR:

### 3400-40 Bank Statement Case Files

Records documenting banking transactions. Used for tracking, monitoring and verifying bank account activity, commitments and transactions. Includes bank account statements, bank notifications, cheque stubs and cancelled cheques. Examples: bank statements, cheque stubs, cancelled cheques.

#### OPR:

## 3450 Budgeting

3450

Records documenting budgeting. Used for monitoring and tracking budgetary control of expenditures and revenues within a budget and the preparation of budgets. Includes budget working papers, budget approvals, account transfers, forecasts and preparation of consolidated financial statement. Also includes additional appropriations and special warrants. Examples: analysis, budgets, business plans, correspondence, cost centre order summaries, forecasts, reports, statements.

*For Minister's briefing books see 10200, Executive Operations, Executive Council Participation.  
 For departmental business plan see also 16800, Management Functions, Corporate Planning.*

3450 Budgeting	ACT	SA	DIS
01 General	FY +1	0	D
20 Budgeting Subject Files	SO +0	0	D
30 Additional Appropriation Case Files	FY +1	2	D
35 Budget Working Papers Case Files	FY +2	5	D
40 Budget Approval Case Files	FY +2	5	D
50 Budget Account Transfer Case Files	FY +1	2	D
55 Consolidated Statement Preparation Case Files	FY +2	5	D
60 Forecasts Case Files	FY +1	2	D

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## Secondary Scope Notes

### **3450-01 General**

Records relating to the primary as a whole. Used for records which cannot be classified in any existing secondary.

**OPR:**

### **3450-20 Budgeting Subject Files**

Information on specific subjects relating to budgeting. Used for reference purposes.

**OPR:**

### **3450-30 Additional Appropriation Case Files**

Records documenting "addition appropriation". Used for monitoring and reporting on the expenditure and use of additional appropriations granted for specific commitments or expenses exceeding the legislated budget appropriation. Includes requests for approval, ad hoc reports, communications with Department of Finance, and periodic financial reports. Examples: appropriation request, correspondence, reports, statements.

**OPR:**

### **3450-35 Budget Working Papers Case Files**

Records documenting budget preparation. Used for analyzing and preparing budgets of the department or agency as a whole and for internal budgeting. Includes budgetary analysis of an organization's mission statement, strategic goals, core functions, and for the consolidated statement. Also includes salary analysis, capital requirements, cost centre order summaries, net program spending targets, reallocation of funds, standard hierarchical information on forecasts, and authorities. Examples: analysis, correspondence, reports, statements, working papers.

**OPR:**

### **3450-40 Budget Approval Case Files**

Records documenting budget approval. Used for submitting budgets for approval and documenting the approved budget. Includes approvals, submission and final approved budget. Examples: approved budget, correspondence, submissions for approval.

**OPR:**

### **3450-50 Budget Account Transfer Case Files**

Records documenting budget account transfers. Used for tracking the transfer of accounts as a result of restructuring, program transfers, reallocation of resources, and other organizational changes. Includes requests for additions or deletions of cost centre to Department of Finance. Examples: correspondence, requests.

**OPR:**

**3450-55 Consolidated Statement Preparation Case Files**

Records documenting "consolidated statement" preparation. Used for collecting and reporting revenue and expenditure information based upon the policies, programs, and priorities of the department in preparation of the department's contribution to the "Consolidated Statement" of financial reporting for the Province. Includes expenditure and revenue details, budget details, analysis of staff variances and reporting on business plans, current targets, funding changes, lists of grants, and status. Examples: correspondence, reports, statements, working papers.

**OPR:**

**3450-60 Forecasts Case Files**

Records documenting forecasts. Used for preparing and updating forecasts for budgetary control through the analysis and monitoring of expenditures and revenues. Includes expenditure and revenue "actuals"; forecasts for expenditure; expenditure, recovery and revenue summaries. Examples: correspondence, reports, summaries.

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## 3500 Fund Management

3500

Records documenting fund management. Used for managing funds not handled by the Department of Finance. Includes accounting records used in the monitoring and reporting on investment portfolio, trust accounts management, and any other special funds. Examples: approvals, correspondence, investment records, reports, statements.

*For payroll administration see 4570, Human Resource Management, Payroll Processing.*

*For payroll processing see 4550, Human Resource Management, Payroll Deductions.*

3500 Fund Management	ACT	SA	DIS
01 General	FY +1	0	D
20 Fund Management Subject Files	SO +0	0	D
30 Fund Management Case Files	FY +1	6	D

**SO Definitions:** 20 - no longer required

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## Secondary Scope Notes

### **3500-01 General**

Records relating to the primary as a whole. Used for records which cannot be classified in any existing secondary.

#### **OPR:**

### **3500-20 Fund Management Subject Files**

Information on specific subjects relating to fund management. Used for reference purposes.

#### **OPR:**

### **3500-30 Fund Management Case Files**

Records documenting fund management. Used for managing of funds not handled by the Department of Finance. Includes accounting records used in the monitoring and reporting on investment portfolio, trust accounts management, and any other special funds. Examples: approvals, correspondence, investment records, reports, statements.

#### **OPR:**

## 3700 Procurement

3700

Records documenting procurement. Used for acquiring goods and services by purchase, rental, or lease. Includes the preparation of invitation to bid, requests for proposals and expression of interest; the review, evaluation and selection of offers; and the award of tender. Examples: correspondence, purchase requisitions and purchase orders, requests for proposals, standing agreements, supplier information, supporting documentation, tenders and bids, working papers.

*For equipment maintenance and repair see 2450, Physical Property Asset Management, Maintenance and Repair.*

*For government-owned land care and upkeep see 2450, Physical Property Asset Management, Maintenance and Repair.*

3700 Procurement	ACT	SA	DIS
01 General	FY +1	0	D
20 Procurement Subject Files	SO +0	0	D
40 Procurement Case Files	SO +1	6	D

**SO Definitions:** 20 - no longer required  
 40 - procurement activity completed

## Secondary Scope Notes

### **3700-01 General**

Records relating to the primary as a whole. Used for records which cannot be classified in any existing secondary.

**OPR:**

### **3700-20 Procurement Subject Files**

Information on specific subjects relating to procurement. Used for reference purposes.

**OPR:**

### **3700-40 Procurement Case Files**

Records documenting the procurement of goods and services. Used for acquiring goods and services by purchase, rental, or lease. Includes the preparation of invitation to bid, requests for proposals and expression of interests; the review, evaluation and selection of offers; and the award of tender. Examples: correspondence, purchase requisitions and purchase orders, requests for proposals, standing agreements, supplier information, supporting documentation, tenders and bids, working papers.

**OPR:**

## Human Resource Management

Human Resource Management is the function that supports the administration of employees and employee services. Includes records and supporting documentation about the review and establishment of positions, hiring processes, employee employment history, payroll, leave and absenteeism, occupational health and safety, training and development, diversity management, collective agreement negotiation, grievance and adjudication, and employee relations.

### Primaries:

- 4050 Diversity Management
- 4100 Employment History
- 4170 Employee Relations
- 4250 Collective Agreement Negotiation
- 4270 Grievance and Adjudication
- 4300 Attendance Management
- 4500 Occupational Health and Safety Inspection and Investigation
- 4520 Occupational Health and Safety Program Management
- 4550 Payroll Deductions
- 4570 Payroll Processing
- 4620 Position Review and Establishment
- 4700 Staffing
- 4800 Training and Development

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2006/10/16

## 4050 Diversity Management

4050

Records documenting diversity management. Used for the planning, promoting and reporting on the development, review and implementation of departmental diversity program for the employment and promotion of Aboriginal persons, persons with disabilities, racially visible persons and other groups in positions where they are currently underrepresented. Includes departmental policies and practices; affirmative action plans; development and delivery orientation and training; and other related activities. Examples: correspondence, educational/training records, meeting notes, policies and procedures, plans, reports, reviews, working papers.

*For employee complaints about fair treatment see 4170, Human Resource Management, Employee Relations.*

*For employee's employment history see 4100, Human Resources Management, Employment History.*

*For programs promoting employee tolerance and cooperation see 4170, Human Resources*

4050 Diversity Management	ACT	SA	DIS
01 General	FY +1	0	D
20 Diversity Management Subject Files	SO +0	0	D
30 Diversity Management Case Files	SO +3	0	D

**SO Definitions:** 20 - no longer required  
30 - program component revised or discontinued

## Secondary Scope Notes

### 4050-01 General

Records relating to the primary as a whole. Used for records which cannot be classified in any existing secondary.

#### OPR:

### 4050-20 Diversity Management Subject Files

Information on specific subjects relating to diversity management. Used for reference purposes.

#### OPR:

### 4050-30 Diversity Management Case Files

Records documenting diversity management. Used for the planning, promoting and reporting on the development, review and implementation of departmental diversity program for the employment and promotion of Aboriginal persons, persons with disabilities, racially visible persons and other groups in positions where they are currently underrepresented. Includes departmental policies and practices; affirmative action plans; development and delivery orientation and training; and other related activities. Examples: correspondence, educational/training records, meeting notes, policies and procedures, plans, reports, reviews, working papers.

#### OPR:

## 4100 Employment History

4100

Records documenting employment history. Used for tracking and reporting service history, performance, and entitlements for all government employees (e.g., civil servants, non-civil servants, public servants). Includes appointment and initial employment records, conflict of interest information, changes in employee's status of employment, secondments, commendations, disciplinary actions, training and development records, separation records. Also includes employee requests concerning special leave, changes in benefits and tax deductions. Examples: correspondence, employee health records, employee master file summary sheets, layoff notices, performance appraisals, requests for special leave.

*For information about payroll deductions see 4550, Human Resource Management, Payroll Deductions.*

*For record of leave and absenteeism see 4300, Human Resource Management, Attendance Management.*

<b>4100 Employment History</b>	<b>ACT</b>	<b>SA</b>	<b>DIS</b>
01 General	FY +1	0	D
20 Employment History Subject Files	SO +0	0	D
30 Employee History Case Files	SO +0	7	DP
32 Employee History by Agency Case Files	SO +1	60	D
60 Highway Workers' Employee History Case Files	SO +1	60	D

**SO Definitions:**

20 -	no longer required
30 -	employee died, resigned, retired, or was terminated
32 -	employee died, resigned, retired, or was terminated
60 -	employee died, resigned, retired, or was terminated

## Secondary Scope Notes

### 4100-01 General

Records relating to the primary as a whole. Used for records which cannot be classified in any existing secondary.

#### OPR:

### 4100-20 Employment History Subject Files

Information on specific subjects relating to employment history. Used for reference purposes.

#### OPR:

### 4100-30 Employee History Case Files

Records documenting employment history. Used for the tracking and reporting service history, performance, and entitlements for all government employees (e.g., civil servants, non-civil servants, and public servants excluding Highway Workers and employment histories maintained by agencies, boards and commissions). Includes appointment and initial employment records, personal data including beneficiaries, salary and classification, types of benefits and entitlements, conflict of interest, changes in employee's status of employment, secondments, commendations, disciplinary actions, health related information (e.g., 444 forms, physician and WCB accident reports), training and education records, separation records. Also includes employee requests concerning special leave, changes in benefits and tax deductions. Examples: correspondence, employee health records, layoff notices, performance appraisals, requests for special leave, summary sheets.

#### OPR:

### 4100-32 Employee History by Agency Case Files

Records documenting employment history by agency. Used for the tracking and reporting service history, performance, and entitlements for all employees within an agency, board, or commission. Includes appointment and initial employment records, personal data including beneficiaries, salary and classification, types of benefits and entitlements, conflict of interest, changes in employee's status of employment, secondments, commendations, disciplinary actions, physician and WCB accident reports and other employee health related information, training and education records, separation records. Also includes employee requests concerning special leave, changes in benefits and tax deductions. Examples: correspondence, WCB accident forms, layoff notices, performance appraisals, requests for special leave, summary records.

#### OPR:

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**4100-60 Highway Workers' Employee History Case Files**

Records documenting employment history of Highway Workers employed by the Department of Transportation and Public Works. Used for the tracking and reporting service history, performance, and entitlements for all employees as defined under the Highway Workers' Collective Bargaining Act. Includes appointment and initial employment records, personal data including beneficiaries, salary and classification, types of benefits and entitlements, conflict of interest, changes in employee's status of employment, secondments, commendations, disciplinary actions, physician and WCB accident reports and other employee health related information, training and education records, separation records. Also includes employee requests concerning special leave, changes in benefits and tax deductions. Examples: correspondence, WCB accident forms, layoff notices, performance appraisals, requests for special leave, summary reports.

**OPR:** Department of Transportation

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2006/10/16

## 4170 Employee Relations

4170

Records documenting employee relations. Used for tracking, monitoring, investigating and resolving employee relations issues and complaints in the workplace. Includes employee counselling programs, employee complaints about fair treatment, alcohol and drug programs, discrimination and harassment complaints. Examples: complaints, correspondence, decisions, investigation reports, legal opinions, meeting notes, recommendations, reports, working papers.

*For invoices from the Employee Assistance Program see 3100, Financial Management, Accounts Payable.*

*For collective agreement related complaint resolutions see 4270, Human Resource Management, Grievance and Adjudication.*

<b>4170 Employee Relations</b>	<b>ACT</b>	<b>SA</b>	<b>DIS</b>
01 General	FY +1	0	D
20 Employee Relations Subject Files	SO +0	0	D
35 Employee Relations Case Files	SO +1	6	D
40 Discrimination Complaint Case Files	SO +1	6	D
50 Harassment Complaint Case Files	SO +1	6	D

**SO Definitions:**

- 20 - no longer required
- 35 - matter resolved
- 40 - matter resolved
- 50 - matter resolved

## Secondary Scope Notes

### 4170-01 General

Records relating to the primary as a whole. Used for records which cannot be classified in any existing secondary.

#### OPR:

### 4170-20 Employee Relations Subject Files

Information on specific subjects relating to employee relations. Used for reference purposes.

#### OPR:

### 4170-35 Employee Relations Case Files

Records documenting employee relations. Used for tracking and monitoring employee counselling programs and reporting employee complaints in the workplace. Includes issues relating to alcohol and drugs, documentation of consultation with Public Service Commission, interpretations, investigations, legal opinions on course of action and employee relations other than discrimination and harassment complaints. Examples: complaints, correspondence, decisions, investigation reports, meeting notes, recommendations, record of complaint, working papers.

*For discrimination complaints, see 4170-40, Discrimination Complaint Case Files.*

#### OPR:

### 4170-40 Discrimination Complaint Case Files

Records documenting discrimination complaints. Used for processing, investigating and resolving discrimination complaints against the department. Includes record of the complaint, initial investigation, legal opinions on course of action, negotiations with complainant, and documentation on consultations with the Public Service Commission and/or legal counsel. Examples: correspondence, decisions, meeting notes, recommendations, settlements, working papers.

#### OPR:

### 4170-50 Harassment Complaint Case Files

Records documenting harassment complaints. Used for processing, investigating and resolving harassment complaints against the department. Includes record of the complaint, background information, investigation notes made by the supervisor, legal opinions on course of action, and documentation on consultation with the Public Service Commission and/or legal counsel. Examples: correspondence, decisions, meeting notes, recommendations, working papers.

#### OPR:

## 4250 Collective Agreement Negotiation

4250

Records documenting collective agreement negotiation. Used for collecting issues, proposing changes and negotiating collective agreements with the Nova Scotia Government and General Employees Union (NSGEU), and other unions and employee associations. Includes negotiations, agreements and issues related to collective bargaining. Examples: correspondence, collective agreements, meeting notes, working papers.

<b>4250 Collective Agreement Negotiation</b>	<b>ACT</b>	<b>SA</b>	<b>DIS</b>
01 General	FY +1	0	D
20 Collective Agreement Negotiation Subject Files	SO +0	0	D
50 Civil Service Collective Agreement Issue Case Files	SO +1	0	D
52 Non-Civil Service Collective Agreement Case Files	SO +5	10	AR
54 Non-Civil Service Collective Agreement Negotiation Case Files	SO +3	4	D
<b>SO Definitions:</b>			
20 - no longer required			
50 - subsequent contract negotiated and completed			
52 - current agreement replaced			
54 - subsequent contract negotiated and completed			

## Secondary Scope Notes

### 4250-01 General

Records relating to the primary as a whole. Used for records which cannot be classified in any existing secondary.

#### OPR:

### 4250-20 Collective Agreement Negotiation Subject Files

Information on specific subjects relating to collective agreement negotiation. Used for reference purposes.

#### OPR:

### 4250-50 Civil Service Collective Agreement Issue Case Files

Records documenting Civil Service collective agreement issues. Used for collecting issues and proposing changes to be considered in future collective bargaining by the Public Service Commission. Includes issues documentation, proposed changes and recommendations. Examples: correspondence, meeting notes, proposals, recommendations, working papers.

#### OPR:

### 4250-52 Non-Civil Service Collective Agreement Case Files

Records documenting non-civil service collective agreements. Used for collective agreements, other than the Civil Service collective agreement, negotiated between the department or agency and its employees. Includes memoranda of understanding. Examples: collective agreements, correspondence.

#### OPR:

### 4250-54 Non-Civil Service Collective Agreement Negotiation Case Files

Records documenting non-civil service collective agreement negotiation. Used for collecting issues, proposing changes for future consideration and negotiating collective agreements between the department or agency and its employees. Includes issues documentation, proposed changes, counter proposals and recommendations. Examples: correspondence, issues reports, meeting notes, notices, recommendations, proposals, working papers.

#### OPR:

## 4270 Grievance and Adjudication

4270

Records documenting grievance and adjudication. Used for investigating grievances and negotiating resolution. Includes the documentation of grievance process; records of investigation; legal advice; records of negotiation and adjudication; and arbitration orders. Examples: adjudication awards, arbitration orders, correspondence, letters of grievance, meeting notes, notices, working papers.

*For non-collective agreement related employee complaint resolutions see 4170, Human Resource Management, Employee Relations Case Files.*

4270 Grievance and Adjudication	ACT	SA	DIS
01 General	FY +1	0	D
20 Grievance and Adjudication Subject Files	SO +0	0	D
40 Grievance and Adjudication Case Files	SO +1	6	D

**SO Definitions:** 20 - no longer required  
40 - grievance settled or adjudicated, and appeal period expired

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## Secondary Scope Notes

### **4270-01 General**

Records relating to the primary as a whole. Used for records which cannot be classified in any existing secondary.

#### **OPR:**

### **4270-20 Grievance and Adjudication Subject Files**

Information on specific subjects relating to grievance and adjudication. Used for reference purposes.

#### **OPR:**

### **4270-40 Grievance and Adjudication Case Files**

Records documenting grievance and adjudication. Used for processing and investigating grievances and negotiating resolution. Includes the documentation of grievance process; records of investigation; legal advice; records of negotiation and adjudication; and arbitration orders. Examples: adjudication awards, arbitration orders, correspondence, letters of grievance, meeting notes, notices, working papers.

#### **OPR:**

## 4300 Attendance Management

4300

Records documenting attendance management. Used for tracking employee absences due to illness and the usage of vacation leave and other leave entitlements (e.g., bereavement, court, educational, parental, etc.). Includes approval of leaves, carry-over vacation credits, and attendance summary reports. Examples: attendance summary reports, correspondence, leave requests and approvals.

### 4300 Attendance Management

01 General

20 Attendance Management Subject Files

30 Leave and Absenteeism Case Files

ACT	SA	DIS
FY +1	0	D
SO +0	0	D
FY +2	5	D

**SO Definitions:** 20 - no longer required

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## Secondary Scope Notes

### **4300-01 General**

Records relating to the primary as a whole. Used for records which cannot be classified in any existing secondary.

#### **OPR:**

### **4300-20 Attendance Management Subject Files**

Information on specific subjects relating to attendance management. Used for reference purposes.

#### **OPR:**

### **4300-30 Leave and Absenteeism Case Files**

Records documenting attendance management. Used for tracking employee absences due to illness and the usage of vacation leave and other leave entitlements (e.g., bereavement, court, educational, parental, etc.). Includes approval of leaves, carry-over vacation credits, and attendance summary reports. Examples: attendance summary reports, correspondence, leave requests and approvals.

#### **OPR:**

## 4500 Occupational Health and Safety Inspection and Investigation 4500

Records documenting Occupational Health and Safety inspection and investigation. Used for assessing, investigating, monitoring, processing and reporting workplace health and safety incidents and activities as required by the Occupational Health and Safety Act. Includes incident and complaint investigations and reports; hazard assessment and control program activities; workplace compliance and periodic inspections. Examples: compliance notices, hazard assessment reports, hazardous materials inventory, incident reports and investigations, DOEL orders, workplace monitoring and inspection reports.

*For meetings of occupational health and safety committees see 4520, Human Resource Management, Occupational Health and Safety Program Management.*

*For employee health records see 4100, Human Resource Management, Employment History.*

4500 Occupational Health and Safety Inspection and Investigation	ACT	SA	DIS
01 General	FY +1	0	D
20 OHS Inspection and Investigation Subject Files	SO +0	0	D
30 Incident Case Files	SO +1	50	D
40 Complaint Investigation Case Files	FY +5	15	D
55 Hazard Assessment and Control Case Files	FY +1	6	D
60 Legislative Compliance Case Files	SO +1	6	D
70 Workplace Inspection Case Files	FY +5	15	D

**SO Definitions:**  
 20 - no longer required  
 30 - incident resolved  
 60 - inspection or investigation activities completed

## Secondary Scope Notes

### **4500-01 General**

Records relating to the primary as a whole. Used for records which cannot be classified in any existing secondary.

#### **OPR:**

### **4500-20 OHS Inspection and Investigation Subject Files**

Information on specific subjects relating to occupational health and safety inspection and investigation. Used for reference purposes.

#### **OPR:**

### **4500-30 Incident Case Files**

Records documenting occupational health and safety incidents. Used for reporting and monitoring activities relating to the investigation of accidents, injuries, and occupational related illnesses in the workplace. Includes employee statement of workplace injury/illness, investigation notes and reports, claim documentation, reports of corrective actions and other follow-up activities. Examples: affidavits, correspondence, first aid treatment reports, follow-up reports, illness reports, incident logs, incident reports, meetings notes, notices, statements of witnesses, working papers.

#### **OPR:**

### **4500-40 Complaint Investigation Case Files**

Records documenting complaint investigation. Used for investigating and reporting workplace safety complaints and concerns. Includes written complaints, follow-up activities, investigations, recommendations and work refusals. Examples: complaint records, correspondence, recommendations, reports.

#### **OPR:**

### **4500-55 Hazard Assessment and Control Case Files**

Records documenting hazard assessments and control. Used for evaluating, implementing and monitoring workplace hazard control program carried out by the department. Includes Hazard Identification Program, hazard assessment, hazard control activities, and information on hazardous materials and hazardous waste. Examples: assessments, correspondence, reports, WHMIS (Workplace Hazardous Material Information Sheets).

#### **OPR:**

### **4500-60 Legislative Compliance Case Files**

Records documenting legislative compliance. Used for monitoring and reporting workplace compliance to the OHS Act through inspections and investigations conducted by the Department of Environment and Labour. Includes inspection and investigative activities and processes following the NS Occupational Health and Safety Act. Examples: appeals, compliance notices, correspondence, investigations, orders, reports.

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**4500-70 Workplace Inspection Case Files**

Records documenting workplace inspections. Used for identifying, monitoring and reporting on potential or actual workplace hazards during inspections conducted by the Joint Occupational Health and Safety Committee. Includes routine and periodic inspections, workplace monitoring, hazard identification, environmental testing and measurements (e.g., indoor-air quality, noise levels, toxic substances), equipment monitoring and inspections, and follow-up activities. Examples: inspection reports, interview notes, workplace inspection forms.

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## 4520 Occupational Health and Safety Program Management

4520

Records documenting Occupational Health and Safety program management. Used for developing, implementing and administrating an occupational health and safety program in the workplace and in accordance with the Occupational Health and Safety Act. Includes joint occupational health and safety committee records, occupational health and safety policies and procedures, departmental occupational health and safety program plans, production of statistical reports; OHS training and monitoring of health and safety training and certification of employees. Examples: agendas, annual summary reports, audits, evacuation plans, minutes, OHS training tracking spreadsheets, plans, policies and procedures, reports, terms of references, training materials.

*For investigations of incidents or accidents see 4500, Human Resource Management, Occupational Health and Safety Inspection and Investigation.*

4520 Occupational Health and Safety Program Management	ACT	SA	DIS
01 General	FY +1	0	D
20 OHS Program Management Subject Files	SO +0	0	D
30 OHS Committee Meeting Case Files	FY +5	5	D
35 OHS Program Case Files	SO +1	6	D
40 OHS Training Case Files	SO +1	6	D

**SO Definitions:**  
 20 - no longer required  
 35 - program component revised or discontinued  
 40 - training course revised or discontinued

## Secondary Scope Notes

### 4520-01 General

Records relating to the primary as a whole. Used for records which cannot be classified in any existing secondary.

#### OPR:

### 4520-20 OHS Program Management Subject Files

Information on specific subjects relating to occupational health and safety program management. Used for reference purposes.

#### OPR:

### 4520-30 OHS Committee Meeting Case Files

Records documenting Occupational Health and Safety committee meetings. Used for recording and reporting committee activities from site, divisional, departmental, regional and other coordinating committees associated with occupational health and safety and the department or agency. Includes committee organizational structure, minutes of meetings, committee recommendations, annual reports, and membership. Examples: agendas, correspondence, minutes, reports, terms of reference.

#### OPR:

### 4520-35 OHS Program Case Files

Records documenting Occupational Health and Safety program. Used for developing, implementing, maintaining, reviewing and evaluating the departmental Occupational Health and Safety program in accordance with the Occupational Health and Safety Act. Includes program planning and review; development of departmental health and safety policies and procedures; program communications plan and materials; program evaluation; and development of departmental orientation and training programs. Also includes records of employee protection programs (e.g., fire drills, equipment evacuation plans and procedures, first aid programs). Examples: audits, correspondence, departmental policies and procedures, evacuation plans, meeting notes, plans, recommendations, reports, statistics, training materials, tests, working papers.

#### OPR:

### 4520-40 OHS Training Case Files

Records documenting Occupational Health and Safety training. Used for tracking, monitoring and delivering employee training for acquiring and maintaining various safety certifications (e.g., first aid, CPR, WHMIS), and receiving the departmental OHS orientation and other OHS training. Includes tracking of employee development, registrations, arrangements for training events. Examples: correspondence, course confirmations, reports, OHS training tracking spreadsheets.

#### OPR:

## 4550 Payroll Deductions

4550

Records documenting payroll deductions. Used for calculating, tracking and reporting various deductions from an employee's pay. Includes summary information relating to benefits and deductions for employees such as dates of service, types of benefits (e.g., employment insurance plans, medical insurance plans, long-term disability plans, employee pension plans), records of beneficiaries, optional payroll deductions (e.g., such as Canada Savings Bonds, charity contributions), and benefit summary reports. Also includes information relating to the Canada Pension Plan, employment insurance, and income tax deductions. Examples: correspondence, remittance information, summary employee benefit statements.

*For time sheets see 4570, Human Resource Management, Payroll Processing.*

<b>4550 Payroll Deductions</b>	<b>ACT</b>	<b>SA</b>	<b>DIS</b>
01 General	FY +1	0	D
20 Payroll Deductions Subject Files	SO +0	0	D
40 Payroll Deductions Case Files	SO +1	0	D
42 Payroll Deductions by Agency Case Files	SO +1	60	D
<b>SO Definitions:</b>			
	20 - no longer required		
	40 - deductions processed and fiscal review cycle completed		
	42 - deductions processed and fiscal review cycle completed		

## Secondary Scope Notes

### 4550-01 General

Records relating to the primary as a whole. Used for records which cannot be classified in any existing secondary.

#### OPR:

### 4550-20 Payroll Deductions Subject Files

Information on specific subjects relating to payroll deductions. Used for reference purposes.

#### OPR:

### 4550-40 Payroll Deductions Case Files

Records documenting payroll deductions. Used for calculating and tracking various deductions from an employee's pay processed and controlled under the HRMS and SAP/HR system module. Includes summary information relating to benefits and deductions for employees such as dates of service, types of benefits (e.g., employment insurance plans, medical insurance plans, long-term disability plans, employee pension plans), records of beneficiaries, optional payroll deductions, and benefit summary reports. Also includes supporting documentation used to make changes in an employee's pay. Examples: correspondence, summary of employee benefit statement.

#### OPR:

### 4550-42 Payroll Deductions by Agency Case Files

Records documenting payroll deductions. Used for the calculating and tracking various deductions from an employee's pay not processed and controlled under the HRMS and SAP/HR system module. Includes summary information relating to benefits and deductions for employees such as dates of service, types of benefits (e.g., employment insurance plans, medical insurance plans, long-term disability plans, employee pension plans), records of beneficiaries, optional payroll deductions, and benefit summary reports. Also includes supporting documentation used to make changes in an employee's pay. Examples: correspondence, summary of employee benefit statement.

#### OPR:

## 4570 Payroll Processing

4570

Records documenting payroll processing. Used for tracking, verifying and adjusting employee pay compensation for hours worked and other entitlements. Includes salaries, hourly wages, specialized pay adjustments (e.g., acting pay, call-back/standby pay, overtime pay, education premiums, injury pay, pregnancy leave allowances, deferred salary and other specialized pays), and pay advances. Also includes source documents about rates of pay and federal government requirements. Examples: correspondence, payroll register, time sheets, other pay action records.

*For reimbursement of other types of allowances and expenses (i.e., travel, courses) see 3100, Financial Management, Accounts Payable.*

<b>4570 Payroll Processing</b>	<b>ACT</b>	<b>SA</b>	<b>DIS</b>
01 General	FY +1	0	D
20 Payroll Processing Subject Files	SO +0	0	D
30 Pay Action Input Case Files	FY +1	6	D
47 Payroll Register by Agency Case Files	FY +1	6	D
50 Time Sheet Case Files	FY +1	6	D

**SO Definitions:** 20 - no longer required

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## Secondary Scope Notes

### 4570-01 General

Records relating to the primary as a whole. Used for records which cannot be classified in any existing secondary.

#### OPR:

### 4570-20 Payroll Processing Subject Files

Information on specific subjects relating to payroll processing. Used for reference purposes.

#### OPR:

### 4570-30 Pay Action Input Case Files

Records documenting the notification of any changes in payroll. Used for tracking, verifying and inputting changes in employee pay compensation for hours worked and other entitlements. Includes salaries, hourly wages, specialized pay adjustments (e.g., acting pay, call-back/standby pay, overtime pay, education premiums, injury pay, pregnancy leave allowances, deferred salary and other specialized pays), and pay advances. Also includes source documents with employee's changes in personal information (e.g., address and marital status). Examples: approvals, correspondence, payroll initiation changes, recommendations.

#### OPR:

### 4570-47 Payroll Register by Agency Case Files

Records documenting summaries of payroll information of all employees within the agency. Used for tracking and verifying service time and pensionable benefits. Includes rate of pay, gross pay, net pay, taxable gross, earnings, and list of deductions. Examples: correspondence, register.

#### OPR:

### 4570-50 Time Sheet Case Files

Records documenting time worked by non-salaried employees. Used for tracking and verifying hours of work for purposes of calculating employment service. Includes time sheets and summary reports. Examples: approvals, correspondence, reports, time sheets.

#### OPR:

## 4620 Position Review and Establishment

4620

Records documenting position review and establishment. Used for reviewing and reclassifying current positions and establishing new positions approved by the Public Service Commission. Includes all classification categories, such as bargaining unit, administrative support, management compensation plan, Orders in Council, and group appointments. Examples: approvals, job descriptions, position request forms, rejections.

*For staffing and hiring see 4700, Human Resource Management, Staffing.*

4620 Position Review and Establishment	ACT	SA	DIS
01 General	FY+ 1	0	D
20 Position Review and Establishment Subject Files	SO+ 0	0	D
40 Position Review and Establishment Case Files	SO+ 1	4	D

**SO Definitions:**  
20 - no longer required  
40 - existing position eliminated or new position rejected

## Secondary Scope Notes

### 4620-01 General

Records relating to the primary as a whole. Used for records which cannot be classified in any existing secondary.

#### OPR:

### 4620-20 Position Review and Establishment Subject Files

Information on specific subjects relating to position review and establishment. Used for reference purposes.

#### OPR:

### 4620-40 Position Review and Establishment Case Files

Records documenting position review and establishment. Used for reviewing and reclassifying current positions and establishing new positions. Includes establishment, review, reclassification, and elimination of positions in all classification categories such as bargaining unit, administrative support, management compensation plan, Orders in Council, and group appointments. Examples: approvals, changes to position description, correspondence, employee duty lists, meeting notes, organizational chart, position descriptions, position requests, position exclusion reports, position questionnaires, reclassifications, rejections, supervisor's analysis, working papers.

*For request for additional staff see 4700-40, Staffing, Staffing Requisition Case*

#### OPR:

## 4700 Staffing

4700

Records documenting staffing. Used for recruiting and hiring staff following a competition process for filling new or vacant positions in a department or agency and positions available through different hiring programs (i.e., student cooperative program, provincial employment program, federal employment programs). Includes identification of vacancy, approvals for filling positions, advertising for the position, reviewing applications, setting up interviews, conducting and evaluating interviews, checking referees, making offers and recommendations for appointments. Also includes staffing inquiries and investigations. Examples: approvals, applications for employment, internal and external job postings, interview panel notes, interview score forms, letters of appointment, offers of employment, recommendations, staffing requisitions.

*For establishment of positions and position classification see 4620, Human Resource Management, Position Review and Establishment.*

<b>4700 Staffing</b>	<b>ACT</b>	<b>SA</b>	<b>DIS</b>
01 General	FY +1	0	D
20 Staffing Subject Files	SO +0	0	D
30 Employment Program Case Files	SO +2	0	D
35 Competition Case Files	SO +2	2	D
40 Staffing Requisition Case Files	SO +1	0	D

**SO Definitions:**

- 20 - no longer required
- 30 - competition completed or cancelled
- 35 - competition completed or cancelled
- 40 - staff requisition approved or denied

## Secondary Scope Notes

### **4700-01 General**

Records relating to the primary as a whole. Used for records which cannot be classified in any existing secondary.

**OPR:**

### **4700-20 Staffing Subject Files**

Information on specific subjects relating to staffing. Used for reference purposes.

**OPR:**

### **4700-30 Employment Program Case Files**

Records documenting employment program staffing competition. Used for recruiting and hiring staff following a competition process for filling positions available through a specific employment program. Includes student cooperative program, provincial employment program (PEP), federal employment programs, and summer employment programs. Examples: correspondence, meeting notes, proposals, requests for information, recommendations, working papers.

**OPR:**

### **4700-35 Competition Case Files**

Records documenting staffing competition. Used for recruiting and hiring staff following a competition process for filling new or vacant positions in a department or agency. Includes approvals for filling positions, advertising for the position, reviewing applications, setting up interviews, conducting and evaluating interviews, checking referees, making offers and recommendations for appointments. Also includes staffing inquiries and investigations. Examples: correspondence, eligibility lists, employment applications, evaluations, interview panel notes, interview questions/tests, letters of appointment, meeting notes, offers of employment, position descriptions, recommendations, reports, research, resumes, summary sheets, vacancy notices, working papers.

**OPR:**

### **4700-40 Staffing Requisition Case Files**

Records documenting staffing requisitions. Used for processing requests for the approval of hiring additional staff. Includes notification of vacancy and position request to the Public Service Commission. Examples: applications, approvals, candidates' eligibility lists, correspondence, meeting notes, notification of vacancy, position descriptions, position requests, rejections, draft competition samples.

**OPR:**

## 4800 Training and Development

4800

Records documenting training and development. Used for tracking and monitoring employee participation in approved training courses and events. Includes training requests, approvals and registration/course confirmations, course descriptions, professional development workshops and follow-up documentation on specific concerns with participants and facilitators. Examples: applications, approvals, course confirmations, correspondence, requests for training, staff training schedules.

*For educational leave see 4300, Human Resource Management, Attendance Management.*

*For invoices see 3100, Financial Management, Accounts Payable.*

4800 Training and Development	ACT	SA	DIS
01 General	FY +1	0	D
20 Training and Development Subject Files	SO +0	0	D
30 Training and Development Case Files	FY +2	0	D

**SO Definitions:** 20 - no longer required

ACT: Active (Department/Agency)  
AR: Archival Appraisal  
CY: End of Calendar Year

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## Secondary Scope Notes

### **4800-01 General**

Records relating to the primary as a whole. Used for records which cannot be classified in any existing secondary.

#### **OPR:**

### **4800-20 Training and Development Subject Files**

Information on specific subjects relating to training and development. Used for reference purposes.

#### **OPR:**

### **4800-30 Training and Development Case Files**

Records documenting staff training and development. Used for tracking and monitoring employee participation in approved training courses and events. Includes training requests, approvals and registration/course confirmations, course descriptions, professional development workshops and follow-up documentation on specific concerns with participants and facilitators. Examples: applications, approvals, correspondence, course confirmations, requests for training, staff training schedules.

#### **OPR:**

## **4100-30 Employment History**

**SO + 0 / 7 / DP**

### **Employee History Case Files**

*SO Definition:* employee died, resigned, retired, or was terminated

#### **Scope Note:**

Records documenting employment history. Used for the tracking and reporting service history, performance, and entitlements for all government employees (e.g., civil servants, non-civil servants, and public servants excluding Highway Workers and employment histories maintained by agencies, boards and commissions). Includes appointment and initial employment records, personal data including beneficiaries, salary and classification, types of benefits and entitlements, conflict of interest, changes in employee's status of employment, secondments, commendations, disciplinary actions, health related information (e.g., 444 forms, physician and WCB accident reports), training and education records, separation records. Also includes employee requests concerning special leave, changes in benefits and tax deductions. Examples: correspondence, employee health records, layoff notices, performance appraisals, requests for special leave, summary sheets.

#### **Disposition Summary:**

Upon employee separation the employer department shall review and follow the procedures and policies respecting the employee personnel record issued by the Public Service Commission.

#### **Appraisal and Evaluation:**

These records have long-term administrative and legal value.

#### **Implementation:**

Upon employee separation, the Employee History Case File shall be processed as per instructions set out in the Employee Personnel Record Policy, Human Resources Management Manual #500.

## **4250-52 Collective Agreement Negotiation**

**SO + 5 / 10 / AR**

### **Non-Civil Service Collective Agreement Case**

*SO Definition:* current agreement replaced

#### **Scope Note:**

Records documenting non-civil service collective agreements. Used for collective agreements, other than the Civil Service collective agreement, negotiated between the department or agency and its employees. Includes memoranda of understanding. Examples: collective agreements, correspondence.

#### **Disposition Summary:**

Partial archival retention at Nova Scotia Archives and Records Management.

#### **Appraisal and Evaluation:**

Signed original collective agreements and memoranda of understanding between the department/agency and its employees provide significant evidence of the administration of non-civil service collective agreements.

#### **Implementation:**

At the end of the semi-active retention period, signed original agreements and memoranda of understanding between the department/agency and its employees will be transferred to Government Archives, Archival Holdings Management, Nova Scotia Archives and Records Management.

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## Information Management

Information Management is the function that supports the accessibility, quality, accountability, integration and protection of information throughout its life-cycle. This main group includes the access, control, creation, disposal, distribution, custody, preservation, protection, and use of government information assets in all media. Also includes planning and management of information technology that supports government information needs and requirements, and protects both confidential information and privacy.

### Primarys:

- 5100 Information Management Planning
- 5200 Information Access and Privacy Management
- 5400 Library Management
- 5600 Records Management
- 5700 System Development and Maintenance

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## 5100 Information Management Planning

5100

Records documenting the strategic planning of information management. Used for planning and developing strategies, initiatives and collaborations that direct and support accessibility, quality, accountability, integration, and protection of information throughout its life-cycle. Includes strategic planning initiatives in the development of frameworks, policies, guidelines and standards (e.g., enterprise planning, Nova Scotia Information Technology Architecture); business continuity planning; and other strategic initiatives. Also includes information sharing and collaborations through government-wide and departmental committees and forums such as IM and IT forums, Business Technology Advisory Committee (BTAC), FOIPOP Administrators' Group, Nova Scotia Government Library Council, Records Management Users Group (RMUG) and other information management practitioners. Examples: approvals, correspondence, meeting notes, minutes, project charters, project plans, reports, working papers.

<b>5100 Information Management Planning</b>	<b>ACT</b>	<b>SA</b>	<b>DIS</b>
01 General	FY +1	0	D
20 Information Management Planning Subject Files	SO +0	0	D
40 Information Management Initiative Case Files	SO +1	6	D
45 Information Management Meeting Case Files	SO +0	0	D
<b>SO Definitions:</b>			
20 - no longer required			
40 - initiative completed			
45 - no longer required			

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## Secondary Scope Notes

### 5100-01 General

Records relating to the primary as a whole. Used for records which cannot be classified in any existing secondary.

**OPR:**

### 5100-20 Information Management Planning Subject Files

Information on specific subjects relating to information management planning. Used for reference purposes.

**OPR:**

### 5100-40 Information Management Initiative Case Files

Records documenting information management initiatives. Used for planning and developing strategies, initiatives and collaborations that direct and support accessibility, quality, accountability, integration, and protection of information throughout its life-cycle. Includes strategic planning initiatives to guide the development of policies, frameworks, guidelines and standards (e.g., information management framework, enterprise planning, Nova Scotia Information Technology Architecture); business continuity planning; and other strategic initiatives. Examples: correspondence, meeting notes, project charters, project plans, reports, schedules, working papers.

**OPR:**

### 5100-45 Information Management Meeting Case Files

Records documenting information management meetings. Used for information sharing and collaborations in government-wide and department-wide meetings of the information management community. Includes IM Forum, IT Directors' meetings, the Business Technology Advisory Committee (BTAC), the IT Management Forums, FOIPOP Administrators' meetings, Infrastructure Managers' meetings, Business Solutions Managers' meetings, Nova Scotia Government Library Council, Records Management Users Group (RMUG) and meetings of other information management practitioners. Examples: agendas, correspondence, minutes, proposals, recommendations, reports, terms of reference, working papers.

**OPR:**

## 5200 Information Access and Privacy Management

5200

Records documenting information access and privacy management. Used for providing public access to government information through the Freedom of Information and Protection of Privacy (FOIPOP) Act while ensuring the protection of privacy. Includes processing requests covered by the FOIPOP Act and the Routine Access policy; access and privacy advice to department; and privacy management through privacy impact assessments. Also includes inter-departmental and intra-departmental data sharing. Examples: advisory and consultation material, correspondence, meeting notes, privacy impact assessments, reports, FOIPOP requests, Routine Access requests.

*For FOIPOP Administrators' meetings and government-wide initiatives see 5100, Information Management, Information Management Planning.*

5200 Information Access and Privacy Management	ACT	SA	DIS
01 General	FY +1	0	D
20 Information Access and Privacy Management Subject Files	SO +0	0	D
30 FOIPOP Request Case Files	SO +3	6	D
35 Information Access and Privacy Advisory Case Files	SO +0	0	D
37 Privacy Impact Assessment Case Files	SO +3	0	D
55 Routine Access Request Case Files	SO +3	0	D

**SO Definitions:**

- 20 - no longer required
- 30 - application processed and appeal period completed or expired
- 35 - no longer required
- 37 - system, service or program replaced or discontinued
- 55 - request processed

## Secondary Scope Notes

### 5200-01 General

Records relating to the primary as a whole. Used for records which cannot be classified in any existing secondary.

#### OPR:

### 5200-20 Information Access and Privacy Management Subject Files

Information on specific subjects relating to information access and privacy management. Used for reference purposes.

#### OPR:

### 5200-30 FOIPOP Request Case Files

Records documenting Freedom of Information and Protection of Privacy requests. Used for monitoring and tracking applications and transactions in accordance with the FOIPOP Act. Includes processing FOIPOP applications, copies of original un-severed record and severed records, payment transactions, submissions to the FOIPOP Review Officer, responses to third party contacts and additional information as required (e.g., if two or more public bodies involved, if transferred in part). Also includes requests for corrections and omissions to personal information as defined under FOIPOP Act. Examples: correspondence, decisions, FOIPOP request documentation, submissions, reports, transaction logs, working papers.

#### OPR:

### 5200-35 Information Access and Privacy Advisory Case Files

Records documenting information access and privacy advisory and consultation function of FOIPOP administrator. Used for providing advice, consultation and training relating to the access, collection, use, release and sharing of information. Includes providing advice and training in FOIPOP to departments; advice on access and processing access requests; and advice and consultation ensuring protection of personal information. Also includes responses to ATIP requests for release of departmental information. Examples: correspondence, meeting notes, training material, working papers.

#### OPR:

### 5200-37 Privacy Impact Assessment Case Files

Records documenting privacy impact assessments. Used for assessing and evaluating potential impacts and risks on the protection of privacy during the collection, retention, communication and use of personal information. Includes preparing assessments; identifying potential impacts and risks; addressing security safeguards and prevention against unintended disclosure of information; and making recommendations for managing personal information. Also includes assessments of new or re-designed programs, services and systems that might impact on the privacy of personal information. Examples: correspondence, privacy impact assessments, recommendations, reports, working papers.

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**5200-55 Routine Access Request Case Files**

Records documenting "Routine Access" requests. Used for processing and responding to access requests for information received under the departmental Routine Access Policy and that do not require a formal application under the FOIPOP Act. Includes requests, consultations (e.g., with the applicant, department and other departments if necessary), and release of the information. Examples: correspondence, meeting notes, requests and supporting documentation.

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## 5400 Library Management

5400

Records documenting library management. Used for managing and maintaining the access, control, protection and use of bibliographic information holdings in all media held by departmental and agency libraries and resource centres. Includes library policies, procedures, and standards used in library management; collection development; cataloguing and processing; serials management; document delivery and interlibrary loans; circulation and routing of library materials; and reference and user services. Also includes documentation on the maintenance and repair of library materials. Examples: correspondence, library catalogues, meeting notes, plans, reports, user guides.

*For government Library Council meetings and government-wide initiatives see 5100, Information Management, Information Management Planning.*

<b>5400 Library Management</b>	<b>ACT</b>	<b>SA</b>	<b>DIS</b>
01 General	FY +1	0	D
20 Library Management Subject Files	SO +0	0	D
35 Library Management Case Files	SO +1	6	D
42 Collection Management Case Files	SO +1	6	D
50 Library Catalogue Case Files	SO +0	0	D
60 Reference and User Services Case Files	SO +1	0	D

**SO Definitions:**

- 20 - no longer required
- 35 - program component revised or discontinued
- 42 - activity completed
- 50 - library catalogue replaced
- 60 - activity completed

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## Secondary Scope Notes

### 5400-01 General

Records relating to the primary as a whole. Used for records which cannot be classified in any existing secondary.

#### OPR:

### 5400-20 Library Management Subject Files

Information on specific subjects relating to library management. Used for reference purposes

#### OPR:

### 5400-35 Library Management Case Files

Records documenting library management. Used for planning, developing and managing the operations departmental and agency libraries and resource centres. Includes the development and planning of various library services; communications and consultations with stakeholders; and administration of regional collections or library branches. Examples: correspondence, meeting notes, plans, policies.

#### OPR:

### 5400-42 Collection Management Case Files

Records documenting collection management. Used for implementing collection policy and administering acquisition, maintenance, retention and evaluation of bibliographic information holdings in all media. Includes resource sharing initiatives, collection development documentation (e.g., user requests and recommendations, criteria for selection, cost analysis of materials, statistics and surveys of user satisfaction), consultations with clientele, and guidelines on retention and selection of materials. Also includes the documentation of the maintenance and repair of library materials. Examples: correspondence, cost estimates, lists, meeting notes, working papers.

#### OPR:

### 5400-50 Library Catalogue Case Files

Records documenting the library catalogue. Used for tracking and providing descriptions of entire collection of bibliographic information holdings and their physical location. Includes shelf guides, indexes and listings of materials. Examples: indexes, inventories, lists, library catalogues.

#### OPR:

### 5400-60 Reference and User Services Case Files

Records documenting reference and user services. Used for tracking and monitoring the use of library materials and provision of reference services. Includes circulation and routing of library materials, interlibrary loans, document delivery, orientation and training of users, development of manual and online search strategies, client profiles, borrower information, and individual requests for information and research. Examples: correspondence, procedures, research results, retrievals, training materials, user requests.

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## 5600 Records Management

5600

Records documenting records management. Used for managing and maintaining the access, control, protection and use of government records throughout their life-cycle. Includes planning, development, implementation and maintenance of the departmental records management program; records schedule approval; physical control of records (e.g., location tracking, central registry requests, records inventory, records centre requests); and records transfer and destruction. Examples: records management plans, records schedules, media conversion plans, transfer and shelf lists, disposition authorizations.

*For Records Management Users' Group (RMUG) meetings and government-wide initiatives see 5100, Information Management, Information Management Planning.*

*For implementation of electronic recordkeeping systems see 5720, Information Management, System Development and Maintenance.*

<b>5600 Records Management</b>	<b>ACT</b>	<b>SA</b>	<b>DIS</b>
01 General	FY +1	0	D
20 Records Management Subject Files	SO +0	0	D
30 Records Management Program Case Files	SO +2	2	D
35 Records Schedule Approval Case Files	SO +0	0	D
42 Records Maintenance Case Files	SO +1	0	D
50 Records Retrieval Case Files	SO +0	0	D
55 Semi-Active Storage and Disposition Case Files	SO +0	0	D

**SO Definitions:**

20 - no longer required
30 - program component revised or discontinued
35 - public body ceases to exist and schedule no longer required for evidential purposes.
42 - list revised
50 - request completed and records returned
55 - public body ceases to exist and records lists and disposition authorizations no longer required for evidential purposes

## Secondary Scope Notes

### 5600-01 General

Records relating to the primary as a whole. Used for records which cannot be classified in any existing secondary.

**OPR:**

### 5600-20 Records Management Subject Files

Information on specific subjects relating to records management. Used for reference purposes.

**OPR:**

### 5600-30 Records Management Program Case Files

Records documenting departmental records management program. Used for developing, implementing, maintaining, reviewing and evaluating plans, procedures, standards, guidelines, and best practices that support and direct the records management program. Includes program planning; presentations; project development and management (e.g., media conversion, records schedule implementation, program evaluation and essential records program); training and advisory; disaster planning; and file security and access permissions. Also includes records schedule development records (e.g., consultation notes, high-level functional analysis, draft schedules). Examples: correspondence, guidelines and procedures, meeting notes, lists, microfilming contracts, plans, orientation and training materials, working papers.

**OPR:**

### 5600-35 Records Schedule Approval Case Files

Records documenting records schedule approval. Used for tracking and monitoring of the records schedule approval process and document approved schedules. Includes ministerial approvals; archival, audit, legal and senior management sign-offs, approved records schedules, amendments, incremental approval strategy (IAS) and other accompanying materials. Examples: approvals, correspondence, approved schedules, meeting notes, sign-offs, submissions.

**OPR:**

### 5600-42 Records Maintenance Case Files

Records documenting records maintenance. Used for tracking, monitoring, and maintaining control of recorded information holdings in active use. Includes microfilm locations' lists, lists of CD-ROM disks and locations, file lists, and coding authorities. Also includes subject guides and other taxonomies (e.g., file naming conventions lists, acronym lists). Examples: correspondence, lists, logs, master negative control logs, subject guides, tracking system data.

**OPR:**

**5600-50 Records Retrieval Case Files**

Records documenting records retrieval. Used for tracking and monitoring the retrieval, use and return of records requested from records holdings in any storage location (e.g., office, central registry, offsite storage). Includes requests, deliveries, returns and tracking logs. Examples: correspondence, logs, retrieval request forms.

**OPR:**

**5600-55 Semi-Active Storage and Disposition Case Files**

Records documenting semi-active storage and disposition. Used for tracking and monitoring the implementation of retention schedules from the transfer of semi-active records to their final disposition of destruction and archival transfer. Includes transmittal and shelf lists and disposition authorizations. Also includes records documenting alienation of records and transfer to another department or agency. Examples: correspondence, destruction forms, destruction notices, disposition authorizations, transfer forms, transmittal and shelf lists.

*For file retrievals see 5600-45, Records Retrieval Case Files.*

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## 5700 System Development and Maintenance

5700

Records documenting information technology (IT) system development and maintenance. Used for planning, designing, developing, implementing, maintaining and administering access, control, integration, protection and use of information technology applications, networks and systems. Includes system development, administration and maintenance; IT business solutions and networks; software applications; monitoring service level agreements; IT equipment support; system access and security; and users services. Also includes voice telecommunication. Examples: analysis, back-up logs, configuration logs, correspondence, meeting notes, security incident reports, service requests, work order management.

*For department and agency participation in corporate level system planning and development see 5100, Information Management, Information Management Planning.*

*For the purchase of software, hardware and other telecommunications equipment, see 3700, Financial Management, Procurement.*

*For the inventory control of computer software, hardware and other telecommunications equipment, see 2120, Physical Property Asset Management, Materials Management.*

*For physical network installation services, see 2120, Physical Property Asset Management, Space Management or 2450 Maintenance and Repair, Facility Maintenance and Repair.*

<b>5700 System Development and Maintenance</b>	<b>ACT</b>	<b>SA</b>	<b>DIS</b>
01 General	FY + 1	0	D
20 System Development and Maintenance Subject Files	SO + 0	0	D
32 IT Contract Administration Case Files	SO + 1	6	D
40 System Development Case Files	SO + 1	6	D
45 System Maintenance Case Files	SO + 1	0	D
52 System Administration Case Files	SO + 1	0	D
55 Information Security Incident Case Files	SO + 1	6	D
60 IT User Services Case Files	SO + 2	0	D
70 Telephone Service Request Case Files	FY + 1	0	D

**SO Definitions:**

20 - no longer required
32 - contract ended
40 - activity concluded
45 - system replaced or discontinued
52 - system replaced or discontinued
55 - incident resolved
60 - issue resolved

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## Secondary Scope Notes

### **5700-01 General**

Records relating to the primary as a whole. Used for records which cannot be classified in any existing secondary.

#### **OPR:**

### **5700-20 System Development and Maintenance Subject Files**

Information on specific subjects relating to system development and maintenance. Used for reference purposes.

#### **OPR:**

### **5700-32 IT Contract Administration Case Files**

Records documenting information technology (IT) contract administration. Used for tracking and monitoring the delivery of a contract following acceptance and signing. Includes tracking deliverables, testing and evaluating performance of product, and system audits. Examples: checklists, evaluations, reports.

*For contract negotiations see 3700-40, Procurement Case Files.*

*For tenders for goods and services see 3700-40, Procurement Case Files.*

#### **OPR:**

### **5700-40 System Development Case Files**

Records documenting information technology (IT) system development. Used for planning, designing, and developing systems that support and protect the telecommunication (data and voice) and processing of information. Includes system functional requirements; cost analysis; integration of equipment; software applications and networks; monitoring service level agreements; business process analysis; internal consulting and IT solutions, and system conversion plans. Also includes the management of system development projects and contracts. Examples: analysis, assessments and evaluations, contracts, correspondence, diagrams, meeting notes, plans, recommendations, reports, working papers.

#### **OPR:**

### **5700-45 System Maintenance Case Files**

Records documenting information technology (IT) system maintenance. Used for implementing, documenting, monitoring and reporting the maintenance of a system's day-to-day operations. Includes system backup procedures; recovery from crashes; security tracking and maintaining virus and other system performance protections; and monitoring service level agreements. Examples: correspondence, incident reports, logs, meeting notes, requests, reports, work orders.

#### **OPR:**

**5700-52 System Administration Case Files**

Records documenting information technology (IT) system administration. Used for administering and implementing government information technology systems. Includes integration of systems with the government WAN; LAN administration; user hardware and software management; monitoring service level agreements; conducting threat and risk assessment, and preparing proposals for system revisions and requests for system upgrades. Also includes expansion of departmental networks, installation of seats on the LAN, and setting up IP addresses. Examples: correspondence, diagrams, job control records, logs, meeting notes, programming updates, server design and configuration.

**OPR:**

**5700-55 Information Security Incident Case Files**

Records documenting information security incidents. Used for investigating and reporting occurrences or situations that result in the compromise of sensitive information, assets, functionality, or loss of data availability or integrity, as required by the government-wide Security Authority. Includes documentation of configurations, back-ups and diagnostics; assessment of extent and seriousness of breach; investigations and remedial measures; visual inspections; analysis and follow-up reports; and security audits. Also includes notifications and consultations with affected parties and security related authorities. Examples: correspondence, notifications, security logs, incident logs, reports.

**OPR:**

**5700-60 IT User Services Case Files**

Records documenting information technology (IT) user services. Used for monitoring and delivering services to support and enable users to use computer systems and networks. Includes tracking service requests, dealing with desktop or network issues, setting up and tracking user accounts, and work-order management. Examples: correspondence, logs, meeting notes, reports, requests, working papers.

**OPR:**

**5700-70 Telephone Service Request Case Files**

Records documenting telephone service requests. Used for initiating and tracking telephone service requests. Includes requests for initial service, disconnect, change of service package, addition of equipment (e.g., pagers, cellphones), and change of location. Examples: approvals, correspondence, requests.

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Building Supplies (Procurement), 3700

Buildings, 2120

Business Contingency Plans, 1200

Business Resumption, 1200

Business Solutions Delivery, 5700

Calling Card Statements, 3100

Canada Pension Plan (Deductions), 4550

Cancelled Cheques (Accounts Payable), 3100

Cancelled Cheques (Banking), 3400

Capital Advances (Budget), 3450

Car Expenses, 3100

Cash Flow Statements (Budget), 3050

Cash Register Tapes (Accounts Receivable), 3150

Cash Reports (Accounts Receivable), 3150

Cash Reports (Petty Cash), 3100

Cash Transactions (Accounts Receivable), 3150

Casual Appointments, 4100

Casual Competition, 4700

Casual Service (Employment), 4100

Catalogues (Libraries), 5400

Cellphones (Telecommunications), 5700

Central Registries (Records Management), 5600

Certificates of Title (Property), 2120

Cheques, 3150

Circulation (Libraries), 5400

Civil Service Collective Agreement Issue Case Files, 4250

Claim Notification and Report Case Files, 2670

Claims (Insurance), 2670

Claims (OHS), 4500

Claims (WCB), 4500

Claims Notifications (Insurance), 2670

Classification (Libraries), 5400

Classification (Position Establishment and Review), 4620

Classification (Records Management), 5600

Collection Management Case Files (Library), 5400

Collective Agreement Negotiation, 4250

Commencement of Employment, 4100

Commendations (Employee), 4100

Commitment Tracking Case Files, 3100

Communications Working Group Case Files, 1420

Competition Case Files (Employment), 4700

Complaint Investigation Case Files (OHS), 4500

Complaint Investigations (Employee Relations),

Compliance Notices (OHS), 4500

Computer Installation (Systems), 5700

Computer Support (Systems), 5700

Computers (Procurement), 3700

Conflict of Interest Records, 4100

Consolidated Funds, 3500

Consolidated Statement Preparation Case Files,

Construction and Renovation Case Files, 2120

Contingency Planning, 1200

Contract Employees (Employment), 4100  
Cost Centre Order Summaries, 3450  
Cost Centre Requests, 3450  
Courier Services (Procurement), 3450  
Courses (Human Resource Development), 4800  
Courses (OHS), 4520  
Court Leave, 4100  
CPR Employee Training Certification, 4520  
Credit Card Expenses, 3100  
CUPE Agreements, 4250  
Custodial Services (Maintenance), 2450  
Customs and Excise Tariffs, 3200  
Death Benefits, 4550  
Debit Transactions, 3200  
Deductions (Employee History), 4100  
Deductions (Payroll), 4550  
Deeds, 2120  
Deficiency Lists (Facilities), 2120  
Demolitions, 2120  
Dental Benefits, 4550  
Deposit Slip Case Files, 3400  
Destroyed Records Lists (Records Management),  
Destructions (Equipment), 2120  
Detailed Statement of Accounts, 3050  
Detector Systems (Physical Security), 2650  
Disability Benefits, 4550  
Disability Insurance, 2670  
Disabled Persons (Diversity), 4050  
Disasters (Emergency PRR), 1200  
Disposal (Materials), 2120  
Disposal (Property), 2120  
Disposal (Records Management), 5600  
Disposition Authorizations (Records Management), 5600  
Disruption (Business), 1200  
Distributions Lists (Media), 1420  
Diversity Management, 4050  
Document Deliveries (Libraries), 5400  
Easements, 2120  
Education Leave, 4300  
Electrical Systems (Maintenance), 2450  
Elevator (Maintenance), 2450  
Eligibility Lists (Competition), 4700  
E-mail (Systems), 5700  
E-mail Policy, 5100  
Emergency Preparedness and Recovery, 1200  
Emergency PRR Plan Case Files, 1200  
Employee Health Records, 4100  
Employee History Case Files, 4100  
Employee Relations, 4170  
Employment History, 4100  
Employment Insurance (Payroll Deductions), 4550  
Employment Program Case Files, 4700  
Environmental Control Systems (Maintenance),  
Equipment (Procurement), 3700  
Equipment History, 2450  
Equipment Inventories, 2120  
Equipment Lists, 2120  
Equipment Write-offs, 2120

Discrimination Complaint Case Files, 4170  
Essential Records Lists (Emergency PRR), 1200  
Establishment of New Positions, 4620  
Estimates (Budget), 3450  
Estimates Briefing Books, 3450  
Evacuation Plans, 4520  
Evacuation Procedures, 1200  
Evaluations (Construction), 2120  
Evaluations (Employee), 4100  
Evaluations (Procurement), 3700  
Exchange Appointments, 4100  
Expansions (Construction), 2120  
Expenditures, 3100  
Expenditures (Budget), 3450  
Expressions of Interest (Procurement), 3700  
Expressions of Interest (Staffing), 4700  
Facilities, 2120  
Facilities (Maintenance), 2450  
Facilities (Security), 2650  
Facility Access Case Files, 2650  
Facility Maintenance and Repair Case Files, 2450  
Fair Treatment (Employee Relations), 4170  
Fatal Accident Investigations (OHS), 4500  
Federal Government Deductions Requirements, 4550  
Fees (Accounts Payable), 3100  
Field Orders (Procurement), 3700  
File Management, 5600  
Financial Planning, 3050  
Financial Reporting (Budget), 3450  
Financial Transactions (Journal), 3200  
Fire Drills (OHS), 4520  
Fire Drills (OHS), 4520  
Fire Protection Plans (OHS), 4520  
First Aid Training (OHS), 4520  
Fleet Management (Maintenance), 2450  
Flood Control (Emergency Recovery), 1200  
Floor Plans (Buildings), 2120  
FOIPOP Administration, 5200  
FOIPOP Applications, 5200  
FOIPOP Request Case Files, 5200  
Forecast Case Files (Budget), 3450  
Freedom of Information (FOIPOP), 5200  
Fuel Services (Procurement), 3700  
Fund Accounts, 3500  
Fund Expenditures, 3100  
Fund Management, 3500  
Fund Reallocations, 3450  
Furniture (Inventory), 2120  
Furniture (Maintenance and Repair), 2450  
Garbage Disposal (Maintenance), 2450  
Gardening (Maintenance), 2450  
Gasoline Card Statements, 3100  
Goods (Procurement), 3700  
Grant Funds (Accounts Receivable), 3150  
GRC (Records Management ), 5600  
Grievance and Adjudication, 4270  
Grounds Maintenance, 2450  
Group Assurance, 4550  
Group Life Insurance, 4550  
Guarantees (Materials), 2450  
Harassment (Employee), 4170  
Hardware/Software Management, 5700

Hazard Assessment and Control Case Files, 4500  
Hazardous Materials (OHS), 4500  
Hazards (Insurance and Risk Assessment), 2670  
Health and Safety Program, 4520  
Health Benefits, 4550  
Heating (Space Planning), 2120  
Heating Fuels (Procurement), 3700  
Heating Systems (Maintenance), 2450  
Help Desk (Systems), 5700  
Help Desk Management, 5700  
Highway Workers' Employee History Case Files,  
Hiring (Staffing), 4700  
History (Employee), 4100  
History (Position Establishment and Review), 4620  
Holdbacks (Construction), 2120  
Honours (Employee), 4100  
Hospitality Services (Procurement), 3700  
HST Collection, 3150  
Human Resource Development Programs, 4800  
Human Rights Complaints, 4170  
Identification Cards (Physical Security), 2650  
IM Forum, 5100  
Imaging (Records Management), 5600  
Incident (Emergency PRR), 1200  
Incident (IT Security), 5700  
Incident Case Files (OHS), 4500  
Income Tax (Employee History), 4100  
Income Tax Deductions, 4550  
Individual Employee Master File, 4100  
Information Access and Privacy Management, 5200  
Information Management Planning, 5100  
Information Security Incident Case Files, 5700  
Injury (Emergency Recovery), 1200  
Injury (OHS), 4500  
Inspections (Construction), 2120  
Inspections (Maintenance and Repair), 2420  
Inspections (OHS), 5400  
Inspections (Vehicles), 2450  
Installations (Telecommunications), 5700  
Insurance and Risk Management, 2670  
Insurance Claims (Property), 2670  
Insurance Contracts, 2670  
Insurance Policy Case Files, 2670  
Interview Records (Staffing), 4700  
Inventories (Equipment and Supplies), 2120  
Inventories (Materials), 2120  
Inventories (Property), 2120  
Inventories (Space Management), 2120  
Inventories (Vehicles), 2120  
Investigations (Physical Security), 2650  
Investigations (Accidents), 4500  
Investigations (Discrimination Complaint), 4170  
Investigations (Employee), 4100  
Investigations (Harassment Complaints), 4170  
Investigations (IT Security), 5700  
Investment Records (Fund Management), 3500  
Invitations to Bid (Procurement), 3700  
Invoices (Accounts Payable), 3100  
IT Contract Administration Case Files, 5700  
IT Directors' Forum, 5100

IT Infrastructure, 5700  
IT Internal Consulting, 5700  
IT Management Meetings, 5100  
IT Networks, 5700  
IT Project Management, 5700  
IT Security Incidents, 5700  
IT Standards Planning, 5700  
IT Systems, 5700  
IT User Services Case Files, 5700  
Janitorial Services (Procurement), 3700  
Job Applications, 2450  
Job Classifications, 4620  
Job Competitions, 4700  
Job Descriptions, 4620  
Job Postings, 4700  
JOHS Committees, 4520  
Journal Entry Case Files, 3200  
Journal Vouchers, 3200  
Key Directories, 2650  
Labour Arbitration (except Highway Workers),  
Labour Relations, 4250  
LAN, 5700  
Land Acquisition and Disposal, 2120  
Land Data Cards, 2120  
Land Disposal, 2120  
Land Maintenance, 2450  
Land Sales Documents, 2120  
Land Surveys, 2120  
Land Transfer Documents, 2120  
Landlord Communications (Space Management),  
Landscaping, 2450  
Lay-off Notices, 4100  
Leases (Facilities), 2120  
Leases (Procurement), 3700  
Leases (Vehicles), 2120  
Leave and Absenteeism Case Files, 4300  
Legislative Compliance Case Files, 4500  
Less-chargeables, 3200  
Liabilities (Financial Statements), 3050  
Liability (Insurance), 2670  
Library Catalogue Case Files, 5400  
Library Management, 5400  
License Revenues, 3150  
Licenses (Vehicles), 2120  
Life Insurance Benefits, 4550  
Lighting Systems (Maintenance), 2450  
Local Service (Telecommunications), 5700  
Locks (Facilities), 2650  
Long-term Disability Plans, 4550  
Loss (Emergency Recovery), 1200  
LTD Leave, 4300  
LTD Plans (Deductions), 4550  
Mail Services (Procurement), 3700  
Maintenance and Repair, 2450  
Maintenance Tests (Systems), 5700  
Management Compensation Plans, 4620  
Master File Summary Sheets (Employee), 4100  
Materials (Disposal), 2120  
Materials Inventory Control Case Files, 2120  
Materials Maintenance and Repair Case Files, 2450

Maternity Leave, 4300

MCP, 4620

Meal Allowances, 3100

Media Communications Case Files, 1420

Media Conversion Project, 5600

Medical Insurance Plans, 4550

Merit Awards (Employee), 4100

Microfilm Conversion (Records Management), 5600

Microfilm Equipment (Procurement), 3700

Mileage Allowances, 3100

Misconduct (Employee), 4100

Models (Construction), 2120

Money Transfers, 3200

Monthly Fees (Commitments), 3100

Motor Vehicle Accidents, 4500

Motor Vehicle Management, 2120

Moves (Space Management), 2120

Multiyear Fiscal Plans (Budget), 3450

Network Design and Administration, 5700

Network Security, 5700

New Construction (Facilities), 2120

New Positions, 4620

Non-Civil Service Collective Agreement Case Files, 4250

Non-Civil Service Collective Agreement Negotiation Case Files, 4250

Non-recovery Funds, 3150

Non-sufficient Funds (NSF), 3150

Non-Union Employee Relations, 4250

Notices of Transfer, 2120

NS Pension Plans, 4550

NSGLC, 5100

Offers (Procurement), 3700

Offers of Employment, 4700

Offices (Space Management), 2120

Offsite Storage (Emergency Recovery), 1200

Offsite Storage (Records Management), 5600

OHS Committee Meeting Case Files, 4520

OHS Inspection and Investigation, 4500

OHS Program Management, 4520

OHS Training Case Files, 4520

Oil Systems (Maintenance), 2450

Ongoing Fees, 3100

Optional Insurance (Deductions), 4550

Order-in-Council Appointments, 4700

Outstanding Account Write-Offs, 3150

Overtime Pay, 4570

Pagers (Telecommunications), 5700

Paper (Procurement), 3700

Parental Leave (Absenteeism), 4300

Parking (Construction), 2120

Parking (Maintenance), 2450

Parking Permits (Space Management), 2120

Passwords (Systems), 5700

Pay Action Input Case Files, 4570

Payroll Deductions, 4550

Payroll Processing, 4570

Pension Accounts, 3500

Pension Plan (Deductions), 4550

Performance Appraisals (Employee), 4100

Permit Revenues, 3150

Personal Information (FOIPOP), 5200  
Personal Injury (Emergency Recovery), 1200  
Personal Injury (OHS), 4500  
Personnel Records, 4100  
Petty Cash Case Files, 3100  
Photographic Services (Procurement), 3700  
Photo-reproduction Services (Procurement), 3700  
Physical Property Management, 2120  
Physical Security, 2650  
Planning (Facilities), 2120  
Plans (Emergency PRR), 1200  
Plot Plans (Physical Property), 2120  
Plumbing (Maintenance), 2450  
Police Reports (Emergency Recovery), 1200  
Police Reports (Harassment), 4170  
Police Reports (Physical Security), 2650  
Position Competitions, 4700  
Position Reclassifications, 4620  
Position Review and Establishment, 4620  
Postal Services (Procurement), 3700  
Power Outages (Emergency Recovery), 1200  
Pre-Award (Construction), 2120  
Pregnancy Leave, 4300  
Pregnancy Leave Allowances, 4570  
Prepaid Leave, 4300  
Press Relations, 1420  
Price Lists (Procurement), 3700  
Printing Services (Procurement), 3700  
Privacy (FOIPOP), 5200  
Privacy Impact Assessment Case Files, 5200  
Probationary Appointments (Employee), 4100  
Procurement, 3700  
Professional Benefits, 4550  
Professional Development, 4800  
Program Transfers (Budget), 3450  
Promotions (Advertising), 1420  
Promotions (Employee), 4570  
Proof of Ownership, 2120  
Propane Systems (Maintenance), 2450  
Property (Insurance), 2670  
Property (Maintenance), 2450  
Property (Management), 2120  
Property (Security), 2650  
Proposals (Procurement), 3700  
Protection of Privacy, 5200  
Provincial Sales Tax (Revenue), 3150  
Public Accounts, 3050  
Public Relations, 1420  
Public Servants (Employees), 4100  
Public Service Awards (Employee), 4100  
Publicity, 1420  
Punishment (Employee), 4100  
Purchase (Payments), 3100  
Purchase (Procurement), 3700  
Purchase Commitments, 3100  
Queens Printer Requisitions, 3700  
Quotes (Procurement), 3700  
Race Relations, 4170  
Radio (Advertising), 1420  
Radio Telephones (Telecommunications), 5700

Rates of Pay, 4570

Real Property Acquisition and Disposal Case Files, 2120

Realty Tax Escalation Data, 2120

Receipt Books, 3150

Receipt Confirmations, 3100

Reclassification (Position Establishment and Review), 4620

Record of Employment (Employee), 4100

Records Centre, 5600

Records Maintenance Case Files, 5600

Records Management, 5600

Records Management Council, 5100

Records Retrieval Case Files, 5600

Records Schedule Approval, 5600

Records Schedule Approval Case Files, 5600

Records Storage and Disposal, 5600

Records Transmittals and Shelf Lists, 5600

Recovered Funds (Recoveries), 3150

Recoveries (Emergency Recovery), 1200

Recovery (Budget), 3450

Recovery Accounts, 3150

Recruitment (Staffing), 4700

Recurring Payments Case Files, 3100

Recycling (Maintenance), 2450

Reference and User Services Case Files, 5400

Reference Checks (Staffing), 4700

Registration (Vehicles), 2120

Rejected Positions, 4620

Rejection Letters (Staffing), 4700

Release of Information (FOIPOP), 5200

Releases (Media Communications), 5200

Relief Appointments, 4100

Renovations, 2120

Repairs (Maintenance), 2450

Reprimands (Employee), 4100

Requisitions (Procurement), 3700

Resignation (Employee), 4100

Retention Schedules, 5600

Retirement (Employee), 4100

Returned Cheque Case Files, 3150

Revenue and Recovery Case Files, 3150

Revenue Canada Deductions, 4550

Revenue Forecasts (Budget), 3450

Review Appeals (Position), 4620

Revolving Funds, 3500

RFPs (Procurement), 3700

Right of Way Records, 2120

Risk Assessment (Emergency PRR), 1200

Risk Assessment (Insurance), 2670

Risk Assessment (IT Security), 5700

Risk Assessment (Privacy Impact), 5200

Routine Access Request Case Files, 5200

Safety (OHS), 4500

Safety Program (OHS), 4520

Safety Training Program (OHS), 4520

Salaries, 4570

Salary Analysis (Budget), 3450

Sales (Accounts Receivable), 3150

Sales Tax Collection and Reimbursement Case Files, 3150

Score Forms (Staffing), 4700

Secondment Appointments, 4100

Secretarial Services (Procurement), 3700

Security Clearances (Employee), 4700

Security Equipment (Procurement), 3700

Security Guards, 2650

Security Incident Case Files (Physical Property),

Security Incidents (IT), 5700

Security System Case Files, 2650

Selection Criteria (Staffing), 4700

Semi-Active Storage and Disposition Case Files,

Separation of Employment, 4100

Server Management, 5700

Service Offers, 3700

Service Tracking (Employee), 4100

Service Tracking (Payroll), 4570

Sewage System (Maintenance), 2450

Sexual Harassment, 4170

Sexual Harassment Complaints, 4170

Shelf Lists (Libraries), 5400

Shelf Lists (Records Management), 5600

Shiftwork Standby Provisions, 4570

Short Term Disability Leave, 4300

Signature Cards, 3025

Signing Authority Administration, 3025

Signs (Advertising), 1420

Signs (Facilities), 2120

Site Plans, 2120

Snow Removal, 2450

Software (Procurement), 3700

Space Allocations, 2120

Space Inventory, 2120

Space Management Case Files, 2120

Special Funds, 3500

Special Leave (Absenteeism), 4300

Special Warrants (Budgets), 3450

Specifications (Buildings), 2120

Specifications (Equipment), 2120

Specifications (Procurement), 3700

Specifications (Systems), 5700

Staff Training, 4800

Staffing, 4700

Standing Advances, 3100

Standing Agreements (Procurement), 3700

Standing Offer Agreements (Maintenance), 2450

Standing Offer Agreements (Procurement), 3700

Standing Travel Advances, 3100

STAR, 5600

Statement of Accounts Case Files, 3050

Statements (Bank), 3400

Statements (Credit Cards), 3100

Statements (Investment), 3500

Statements of Cash Flow (Budget), 3050

Statements of Petty Cash, 3100

Status of Employment, 4100

Statutory Appointments, 4100

Statutory Holidays, 4300

Stock Inventories, 2120

STOR, 5600

Storage Regulations (Vehicles), 2450

Storage Requisitions (Vehicles), 3700  
Street Repairs (Maintenance), 2450  
Strike Administration, 4250  
Structures, 2120  
Structures (Maintenance), 2450  
Structures Acquisition and Disposal, 2120  
Student Cooperative Programs, 4700  
Submissions (Budget), 3450  
Substitute Pay, 4570  
Summary Attendance Reports, 4300  
Summary Sheets (Employee), 4100  
Superannuation (Deductions), 4550  
Supplier Information (Procurement), 3700  
Supplies (Inventories), 2120  
Supplies (Procurement), 3700  
Surplus (Materials), 2120  
Surplus Sales Documents, 2120  
Survey Plans, 2120  
Suspensions (Employee), 4100  
System Administration Case Files, 5700  
System Development and Maintenance, 5700  
System Documentation, 5700  
T-4 (Deductions), 4550  
Taxi Chits, 3100  
Technical Specifications (Maintenance), 2120  
Technical Specifications (Procurement), 3700  
Telecommunications, 5700  
Telephone Service Request Case Files, 5700  
Temporary Appointments, 4100  
Tenders (Procurement), 3700  
Term Appointments, 4100  
Termination of Employment, 4100  
Testing (Emergency PRR), 1200  
Testing (OHS), 4500  
Testing (Systems), 5700  
Tests and Drills, 4520  
Threat and Risk Assessment (IT Security), 5700  
Time Sheet Case Files, 4570  
Time-Off-in-Lieu, 4300  
Titles (Land), 2120  
Training and Development, 4800  
Training Leave, 4300  
Transactions (Banking), 3400  
Transactions (Financial), 3200  
Transfer Notices (Land), 2120  
Transfers (Employee), 4100  
Transfers (Funds), 3200  
Transfers (Materials), 2120  
Transfers (Records Management ), 5600  
Transfers of Ownership, 2120  
Translation Services (Procurement), 3700  
Travel Advances, 3100  
Travel Allowances, 3100  
Travel Expenses, 3100  
Turnkey Systems (Procurement), 3700  
Types of Coverage (Insurance), 2670  
Typing Services (Procurement), 3700  
Uncollected Debts, 3150  
Union Relations, 4250  
User Services (Libraries), 5400

Utility Systems (Maintenance), 2450  
Vacancies (Staffing), 4700  
Vacation Carry-over, 4300  
Vacations, 4300  
Vehicle Insurance, 2670  
Vehicle Maintenance, 2120  
Vehicle Registration and Licensing, 2120  
Vendor Information, 3700  
Ventilation Systems, 2450  
Visitor Logs (Physical Security), 2650  
Wages, 4550  
WAN, 5700  
Warranties (Materials), 2450  
Waste Management, 2450  
Water Systems (Maintenance), 2450  
WCB Accident Forms (Employee), 4100  
Web Site (IT), 5700  
WHIMS, 4500  
WHIMS Training, 4520  
Word Processing Services (Procurement), 3700  
Work Experience Programs, 4700  
Work History (Employee), 4100  
Work Orders (Maintenance), 2450  
Workplace Inspections, 4500  
Workplace OHS Committee, 4520  
Workplace OHS Program, 4520  
Workplace Safety, 4500  
Write-off Case Files, 3150

## **Appendix B: STAR 6.0 Table of Concordance: Use for Converting STAR 5.0**



Old Classification	New Classification	New Retention Schedule	Change Notes
<b>1000 Administration - General</b>	<b>1000 Administration - General</b>		
20 Subject Files	20 Administration - General Subject Files	SO+0/0/ D	SO Definition: no longer required Notes: Title changed.
<b>1100 Campaigns and Canvassing</b>	<b>0 Discontinued</b>		
1 General	0 Discontinued		SO Definition: Notes: Discontinued.
20 Subject Files	0 Discontinued		SO Definition: Notes: Discontinued.
30 Campaign and Canvassing Case Files	0 Discontinued		SO Definition: Notes: Discontinued.
<b>1120 Ceremonies and Visits</b>	<b>0 Discontinued</b>		
1 General	0 Discontinued		SO Definition: Notes: Discontinued.
20 Subject Files	0 Discontinued		SO Definition: Notes: Discontinued.
30 Event Case Files	0 Discontinued		SO Definition: Notes: Discontinued.
<b>1200 Emergency Preparedness and</b>	<b>1200 Emergency Preparedness and Recovery</b>		
20 Subject Files	20 Emergency Preparedness and Recovery Subject Files	SO+0/0/D	SO Definition: no longer required Notes: Title changed.
35 Emergency Preparedness, Response and Recovery Plan Case Files	35 Emergency Preparedness, Response and Recovery Plan Case Files	SO+0/7/ D	SO Definition: plan or list revised and approved Notes: Trigger changed.
<b>1400 Media Relations</b>	<b>1420 Public Relations</b>		
1 General	1 General	FY+1/0/D	SO Definition: Notes: Classification # and title changed.
20 Subject Files	20 Public Relations Subject Files	SO+0/0/D	SO Definition: no longer required Notes: Classification # and title changed.
30 Media Relations Case Files	30 Media Communications Case Files	SO+1/6/ D	SO Definition: activity completed Notes: Classification #, title, trigger and retention period changed.
45 Advertising Project by Central Agency Case Files	30 Media Communications Case Files	SO+1/6/ D	SO Definition: activity completed Notes: Classification #, title, trigger and retention period changed.
47 Advertising Project by Agency Case Files	30 Media Communications Case Files	SO+1/6/ D	SO Definition: activity completed Notes: Classification #, title and trigger changed.

Old Classification	New Classification	New Retention Schedule	Change Notes
<b>1420 Public Relations</b>	<b>0 Discontinued</b>		
30 Complaint Case Files	0 Discontinued	SO Definition:	Notes: Discontinued in STAR -- operational records.
40 General Inquiry Case Files	0 Discontinued	SO Definition:	Notes: Discontinued.
<b>1420 Public Relations</b>	<b>1420 Public Relations</b>		
20 Subject Files	20 Public Relations Subject Files	SO+0/0/D	Notes: Title changed.
<b>1440 Publishing</b>	<b>0 Discontinued</b>		
1 General	0 Discontinued	SO Definition:	Notes: Discontinued.
20 Subject Files	0 Discontinued	SO Definition:	Notes: Discontinued.
21 Mailing and Distribution Lists	0 Discontinued	SO Definition:	Notes: Discontinued in STAR. Part of project files in STAR or STOR.
30 Intellectual Property Issues Case Files	0 Discontinued	SO Definition:	Notes: Discontinued in STAR -- operational records.
40 Publication Production Case Files	0 Discontinued	SO Definition:	Notes: Discontinued in STAR. Part of project files in STAR or STOR.
55 Plain Language Project Case Files	0 Discontinued	SO Definition:	Notes: Discontinued in STAR. Part of project files or captured in Communications STOR.
60 Visual Identity Case Files	0 Discontinued	SO Definition:	Notes: Discontinued in STAR. Part of project files or captured in Communications STOR.

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Old Classification	New Classification	New Retention Schedule	Change Notes
<b>1700 Risk Management</b>	<b>0 Discontinued</b>		
45 Risk Assessment Case Files	0 Discontinued	SO Definition:	Notes: Discontinued in STAR. Part of policy or claims files in STAR or STOR.
<b>1700 Risk Management</b>	<b>2670 Insurance and Risk Management</b>		
20 Subject Files	20 Insurance and Risk Management Subject Files	SO+0/0/ D	SO Definition: no longer required Notes: Classification # and title changed.
21 Types of Coverage	20 Insurance and Risk Management Subject Files	SO+0/0/ D	SO Definition: no longer required Notes: Classification # and title changed. Consolidated with other subject files.
22 Types of Risk	20 Insurance and Risk Management Subject Files	SO+0/0/ D	SO Definition: no longer required Notes: Classification # and title changed. Consolidated with other subject files.
30 Claims Case Files	30 Claim Notification and Report Case Files	SO+1/6/D	SO Definition: claim closed Notes: Classification #, title and trigger changed.
40 Insurance Policy Case Files	40 Insurance Policy (Other than Liability) by Agency Case Files	SO+3/5/D	SO Definition: policy and contract expired and no outstanding claim Notes: Classification #, title, trigger and retention period changed. [Insurance files of departments are handled by TPW; agency files have been split.]
40 Insurance Policy Case Files	42 Insurance Policy (Liability) by Agency Case Files	SO+7/25/D	SO Definition: policy and contract expired and Province and agency no longer liable Notes: Classification #, title, trigger and retention period changed. [Insurance files of departments are handled by TPW; agency files have been split.]
<b>2000 Facilities Management - General</b>	<b>0 Discontinued</b>		
1 General	0 Discontinued	SO Definition:	Notes: Discontinued.
20 Subject Files	0 Discontinued	SO Definition:	Notes: Discontinued.

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Old Classification	New Classification	New Retention Schedule	Change Notes
<b>2120 Construction and Renovation</b>			
20 Subject Files	<b>2120 Physical Property Management</b> 20 Physical Property Management Subject Files	SO+0/0/D	SO Definition: no longer required Notes: Title changed.
45 Move Case Files	50 Space Management Case Files	SO+2/0/D	SO Definition: project completed or information revised Notes: Classification #, title, trigger and retention period changed.
<b>2120 Construction and Renovation</b>			
30 Construction Tender Case Files	<b>3700 Procurement</b> 40 Procurement Case Files	SO+1/6/ D	SO Definition: procurement activity completed Notes: Classification #, title, trigger and retention period changed.
<b>2200 Facilities Inventory</b>			
1 General	<b>2120 Physical Property Management</b> 1 General	FY+1/0/D	SO Definition: Notes: Classification # and title changed.
20 Subject Files	20 Physical Property Management Subject Files	SO+0/0/D	SO Definition: no longer required Notes: Classification # and title changed.
30 Real Property Inventory Case Files	35 Real Property Acquisition and Disposal Case Files	SO+2/0/D	SO Definition: real property sold or transferred Notes: Classification #, title, trigger and retention period changed.
40 Space Inventory Case Files	50 Space Management Case Files	SO+2/0/D	SO Definition: project completed or information revised Notes: Classification #, title, trigger and retention period changed.
<b>2400 Acquisition and Disposal</b>			
1 General	<b>2120 Physical Property Management</b> 1 General	FY+1/0/D	SO Definition: Notes: Classification # and title changed.
20 Subject Files	20 Physical Property Management Subject Files	SO+0/0/D	SO Definition: no longer required Notes: Classification # and title changed.
30 Land Acquisition and Disposal Case Files	35 Real Property Acquisition and Disposal Case Files	SO+2/0/D	SO Definition: real property sold or transferred Notes: Classification #, title, trigger and retention period changed.
40 Structures Acquisition and Disposal Case Files	35 Real Property Acquisition and Disposal Case Files	SO+2/0/D	SO Definition: real property sold or transferred Notes: Classification #, title, trigger and retention period changed.

Old Classification	New Classification	New Retention Schedule	Change Notes
<b>2450 Facilities Maintenance</b>	<b>2450 Maintenance and Repair</b>		
20 Subject Files	20 Maintenance and Repair Subject Files	SO+0/0/D	SO Definition: no longer required Notes: Title changed.
30 Maintenance Case Files	30 Facility Maintenance and Repair Case Files	SO+2/5/ D	SO Definition: contract expired and service discontinued or maintenance/repair completed Notes: Classification #, title, trigger and retention period changed.
40 Parking Space Case Files	30 Facility Maintenance and Repair Case Files	SO+2/5/ D	SO Definition: contract expired and service discontinued or maintenance/repair completed Notes: Classification #, title, trigger and retention period changed.
<b>2650 Physical Security</b>	<b>2650 Physical Security</b>		
20 Subject Files	20 Physical Security Subject Files	SO+0/0/D	SO Definition: no longer required Notes: Title changed.
40 Security System Case Files	35 Facility Access Case Files	FY+1/0/D	SO Definition: Notes: Classification #, title, trigger and retention period changed.[Day-to-day access files split from 2650-40.]
40 Security System Case Files	40 Security System Case Files	SO+1/6/ D	SO Definition: security system component revised or discontinued Notes: Trigger changed. [File split, day-to-day access monitoring moved to 2650-35.]
<b>3000 Financial Management - General</b>	<b>0 Discontinued</b>		
1 General	0 Discontinued		SO Definition: Notes: Discontinued.
20 Subject Files	0 Discontinued		SO Definition: Notes: Discontinued.
21 Tax Bulletins	0 Discontinued		SO Definition: Notes: Consolidated with other subject files in relevant primaries.
22 Tax Exemptions	0 Discontinued		SO Definition: Notes: Consolidated with other subject files in relevant primaries.

Old Classification	New Classification	New Retention Schedule	Change Notes
<b>3000 Financial Management - General</b>	<b>3025 Signing Authority Administration</b>		
30 Signing Authority Signature Card Case Files	30 Signing Authority Case Files	SO+1/6/ D	SO Definition: signing authority changed Notes: Classification # and title changed.
32 Signing Authority Signature Card by Agency Case Files	30 Signing Authority Case Files	SO+1/6/ D	SO Definition: signing authority changed Notes: Classification # and title changed.
<b>3050 Accounts Reporting and</b>	<b>3050 Accounts Reporting and Reconciliation</b>		
20 Subject Files	20 Accounts Reporting and Reconciliation Subject Files	SO+0/0/D	SO Definition: no longer required Notes: Title changed.
30 Detailed Statements of Accounts	30 Statement of Accounts Case Files	FY+1/0/ D	SO Definition: Notes: Title changed.
32 Detailed Statements of Accounts by Agency	32 Statement of Accounts by Agency Case Files	FY+1/6/ D	SO Definition: Notes: Title changed.
<b>3050 Accounts Reporting and</b>	<b>3150 Accounts Receivable</b>		
60 Returned Cheque Case Files	60 Returned Cheque Case Files	FY+1/6/ D	SO Definition: Notes: Classification # and title changed.
<b>3100 Accounts Payable</b>	<b>3100 Accounts Payable</b>		
20 Subject Files	20 Accounts Payable Subject Files	SO+0/0/D	SO Definition: no longer required Notes: Title changed.
40 Advances and Allowances	33 Accounts Payable Case Files	FY+1/6/ D	SO Definition: Notes: Classification # and title changed.
43 Corporate Credit Card Expense Case File	33 Accounts Payable Case Files	FY+1/6/ D	SO Definition: Notes: Classification # and title changed.
44 Travel Expenses by Agency Case Files	33 Accounts Payable Case Files	FY+1/6/ D	SO Definition: Notes: Classification # and title changed.
45 Commitment Tracking Case Files	45 Commitment Tracking Case Files	FY+1/6/ D	SO Definition: Notes: Retention period changed.
50 Reoccurring Payments Case Files	50 Recurring Payments Case Files	FY+1/6/ D	SO Definition: Notes: Title and retention period changed.

Old Classification	New Classification	New Retention Schedule		Change Notes
<b>3150 Accounts Receivable</b>				
20 Subject Files	3150 Accounts Receivable Subject Files	SO+0/0/D	SO Definition: no longer required	Notes: Title changed.
30 Cash Register Tape Case Files	50 Revenue and Recovery Case Files	FY+1/6/ D	SO Definition:	Notes: Classification # and title changed.
35 Grant Received Case Files	50 Revenue and Recovery Case Files	FY+1/6/ D	SO Definition:	Notes: Classification # and title changed.
45 Cash Report Case Files	50 Revenue and Recovery Case Files	FY+1/6/ D	SO Definition:	Notes: Classification #, retention and title changed.
<b>3200 Accounts Payable</b>				
20 Subject Files	3200 Financial Transactions Subject Files	SO+0/0/D	SO Definition: no longer required	Notes: Title changed.
<b>3450 Budgeting</b>				
20 Subject Files	3450 Budgeting Subject Files	SO+0/0/D	SO Definition: no longer required	Notes: Title changed.
40 Approved Budget Case Files	40 Budget Approval Case Files	FY+2/5/ D	SO Definition:	Notes: Title and retention period changed.
45 Business Plan Analysis Case File	35 Budget Working Papers Case Files	FY+2/5/ D	SO Definition:	Notes: Classification # and title changed.
55 Estimates Briefing Book Case Files	55 Consolidated Statement Preparation Case Files	FY+2/5/ D	SO Definition:	Notes: Title changed.
<b>3500 Funds Management</b>				
20 Subject Files	3500 Fund Management Subject Files	SO+0/0/D	SO Definition: no longer required	Notes: Title changed.
30 Fund Account Case Files	30 Fund Management Case Files	FY+1/6/ D	SO Definition:	Notes: Title and retention period changed. Consolidated two secondaries and increased retention.
32 Fund Account by Agency Case Files	30 Fund Management Case Files	FY+1/6/ D	SO Definition:	Notes: Classification # and title changed. Consolidated two secondaries and increased retention.

Old Classification	New Classification	New Retention Schedule	Change Notes
<b>3700 Procurement</b>	<b>3700 Procurement</b>		
20 Subject Files	20 Procurement Subject Files	SO+0/0/D	SO Definition: no longer required Notes: Title changed.
21 Supplier Information	20 Procurement Subject Files	SO+0/0/D	SO Definition: no longer required Notes: Classification #, title and retention period changed. Consolidated with other subject files.
30 Central Agency Procurement Case Files	40 Procurement Case Files	SO+1/6/ D	SO Definition: procurement activity completed Notes: Classification #, title and trigger changed. Consolidated with department, same retention
40 Departmental Procurement Case Files	40 Procurement Case Files	SO+1/6/ D	SO Definition: procurement activity completed Notes: Title and trigger changed.
<b>4000 Human Resources Management - General</b>	<b>0 Discontinued</b>		
1 General	0 Discontinued		SO Definition: Notes: Discontinued.
20 Subject Files	0 Discontinued		SO Definition: Notes: Discontinued.
30 Conflict of Interest Case Files	0 Discontinued		SO Definition: Notes: Discontinued in STAR. Issues or legal opinions regarding conflict of interest belong in SMGs of STOR.
<b>4050 Affirmative Action and Diversity Management</b>	<b>4050 Diversity Management</b>		
20 Subject Files	20 Diversity Management Subject Files	SO+0/0/ D	SO Definition: no longer required Notes: Title changed.
30 Diversity Management Initiative Case Files	30 Diversity Management Case Files	SO+3/0/ D	SO Definition: program component revised or discontinued Notes: Title and trigger changed.

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Old Classification	New Classification	New Retention Schedule	Change Notes
<b>4100 Employee History</b>	<b>4100 Employment History</b>		
20 Subject Files	20 Employment History Subject Files	SO+0/0/ D	SO Definition: no longer required Notes: Title changed.
30 Employee Case Files	30 Employee History Case Files	SO+0/7/DP	SO Definition: employee died, resigned, retired, or was terminated Notes: Title, trigger and disposition plan changed.
32 Employee by Agency Case Files	32 Employee History by Agency Case Files	SO+1/60/ D	SO Definition: employee died, resigned, retired, or was terminated Notes: Title, trigger, retention period and disposition changed.
50 Secondment Case Files	30 Employee History Case Files	SO+0/7/DP	SO Definition: employee died, resigned, retired, or was terminated Notes: Classification #, title, trigger, retention period and disposition plan changed. [Consolidated with 4100-30]
<b>4170 Employee Relations</b>	<b>4170 Employee Relations</b>		
20 Subject Files	20 Employee Relations Subject Files	SO+0/0/ D	SO Definition: no longer required Notes: Title changed.
40 Human Rights Complaint Case Files	40 Discrimination Complaint Case Files	SO+1/6/ D	SO Definition: matter resolved Notes: Title changed.
50 Sexual Harassment Complaint Case Files	50 Harassment Complaint Case Files	SO+1/6/ D	SO Definition: matter resolved Notes: Title changed.

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Old Classification	New Classification	New Retention Schedule	Change Notes
<b>4250 Collective Agreement Negotiation</b>	<b>4250 Collective Agreement Negotiation</b>		
20 Subject Files	20 Collective Agreement Negotiation Subject Files	SO+0/0/ D	SO Definition: no longer required Notes: Title changed.
50 Labour Relations Master Agreement Issues Case Files	50 Civil Service Collective Agreement Issue Case Files	SO+1/0/ D	SO Definition: subsequent contract negotiated and completed Notes: Title and trigger changed. [Only includes civil service agreement issues.]
52 Labour Relations Master Agreement by Department or Agency Case Files	52 Non-Civil Service Collective Agreement Case Files	SO+5/10/AR	SO Definition: current agreement replaced Notes: Title, trigger, retention period and disposition changed. [Only non-civil service agreements.]
54 Labour Relations Master Agreement Negotiations Case Files	54 Non-Civil Service Collective Agreement Negotiation Case Files	SO+3/4/ D	SO Definition: subsequent contract negotiated and completed Notes: Title and trigger changed. [Only non-civil service agreements.]
<b>4270 Grievance and Adjudication</b>	<b>4270 Grievance and Adjudication</b>		
20 Subject Files	20 Grievance and Adjudication Subject Files	SO+0/0/ D	SO Definition: no longer required Notes: Title changed.
<b>4300 Attendance Management</b>	<b>4300 Attendance Management</b>		
20 Subject Files	20 Attendance Management Subject	SO+0/0/ D	SO Definition: no longer required Notes: Title changed.
30 Leave and Absenteeism Case Files	30 Leave and Absenteeism Case Files	FY+2/5/ D	SO Definition: Notes: Retention period changed.
32 Leave and Absenteeism by Agency Case Files	30 Leave and Absenteeism Case Files	FY+2/5/ D	SO Definition: Notes: Classification # and title changed.
34 Summary Attendance Report by Agency Case Files	30 Leave and Absenteeism Case Files	FY+2/5/ D	SO Definition: Notes: Classification # and title changed.
40 Educational Leave Case Files	30 Leave and Absenteeism Case Files	FY+2/5/ D	SO Definition: Notes: Classification #, title, trigger and retention period changed.

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Old Classification	New Classification	New Retention Schedule	Change Notes
<b>4500 Occupational Health and Safety Inspections and Investigations</b>	<b>0 Discontinued</b>		
65 Workers' Compensation Claim Case Files	0 Discontinued	SO Definition:	Notes: Discontinued. WCB incident reports are already in Employee History Case Files.
<b>4500 Occupational Health and Safety Inspections and Investigations</b>	<b>4100 Employment History</b>		
45 Employee Health Case Files	30 Employee History Case Files	SO+0/7/DP	SO Definition: employee died, resigned, retired, or was terminated Notes: Classification #, title, retention period and disposition changed. [Agencies use 4100-32]
45 Employee Health Case Files	32 Employee History by Agency Case Files	SO+1/60/ D	SO Definition: employee died, resigned, retired, or was terminated Notes: Classification #, title, retention period and disposition changed. [Departments use 4100-30]
<b>4500 Occupational Health and Safety Inspections and Investigations</b>	<b>4500 Occupational Health and Safety Inspection and Investigation</b>		
20 Subject Files	20 OHS Inspection and Investigation Subject Files	SO+0/0/ D	SO Definition: no longer required Notes: Title changed.
40 Complaint Investigation Case Files	40 Complaint Investigation Case Files	FY+5/15/ D	SO Definition: Notes: Trigger and retention period changed.
70 Workplace Inspection Case Files	70 Workplace Inspection Case Files	FY+5/15/ D	SO Definition: Notes: Trigger and retention period changed.
<b>4520 Occupational Health and Safety Program Development</b>	<b>4520 Occupational Health and Safety Program Management</b>		
20 Subject Files	20 OHS Program Management Subject Files	SO+0/0/ D	SO Definition: no longer required Notes: Title changed.
30 Occupational Health and Safety Committee Case Files	30 OHS Committee Meeting Case Files	FY+5/5/ D	SO Definition: Notes: Title changed.

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Old Classification	New Classification	New Retention Schedule	Change Notes
<b>4550 Payroll Benefits and Deductions</b>	<b>4550 Payroll Deductions</b>		
20 Subject Files	20 Payroll Deductions Subject Files	SO+0/0/ D	SO Definition: no longer required Notes: Title changed.
40 Benefits and Deductions Case Files	40 Payroll Deductions Case Files	SO+1/0/ D	SO Definition: deductions processed and fiscal review cycle completed Notes: Title and trigger changed.
42 Benefits and Deductions by Agency Case Files	42 Payroll Deductions by Agency Case Files	SO+1/60/ D	SO Definition: deductions processed and fiscal review cycle completed Notes: Title, trigger, retention period and disposition changed.
<b>4570 Payroll Processing</b>	<b>0 Discontinued</b>		
45 Payroll Register Case Files	0 Discontinued		SO Definition: Notes: Discontinued in STAR. Central government payroll is managed by Department of Finance.
<b>4570 Payroll Processing</b>	<b>4570 Payroll Processing</b>		
20 Subject Files	20 Payroll Processing Subject Files	SO+0/0/ D	SO Definition: no longer required Notes: Title changed.
30 Pay Action Inputs	30 Pay Action Input Case Files	FY+1/6/ D	SO Definition: Notes: Title and retention period changed.
32 Pay Action Inputs by Agency	30 Pay Action Input Case Files	FY+1/6/ D	SO Definition: Notes: Classification # and title changed.
47 Payroll Register by Agency Case Files	47 Payroll Register by Agency Case Files	FY+1/6/ D	SO Definition: Notes: Disposition changed.
50 Time Sheet Case Files	50 Time Sheet Case Files	FY+1/6/ D	SO Definition: Notes: Retention period changed.
52 Time Sheet by Agency Case Files	50 Time Sheet Case Files	FY+1/6/ D	SO Definition: Notes: Classification # and title changed.

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Old Classification	New Classification	New Retention Schedule	Change Notes
<b>4620 Position Review and Establishment</b>	<b>4620 Position Review and Establishment</b>		
20 Subject Files	20 Position Review and Establishment Subject Files	SO+0/0/ D	SO Definition: no longer required Notes: Title changed.
21 Position Descriptions	20 Position Review and Establishment Subject Files	SO+0/0/ D	SO Definition: no longer required Notes: Classification #, title and trigger changed. Consolidated with other subject files.
30 Establishment of New Position Case Files	40 Position Review and Establishment Case Files	SO+1/4/ D	SO Definition: existing position eliminated or new position rejected Notes: Classification #, title, trigger and retention period changed.
40 Position Review Case Files	40 Position Review and Establishment Case Files	SO+1/4/ D	SO Definition: existing position eliminated or new position rejected Notes: Title and trigger changed.
<b>4700 Staffing</b>	<b>4700 Staffing</b>		
20 Subject Files	20 Staffing Subject Files	SO+0/0/ D	SO Definition: no longer required Notes: Title changed.
35 Competition Case Files	35 Competition Case Files	SO+2/2/ D	SO Definition: competition completed or cancelled Notes: Retention period changed.
45 Unsolicited Resumes	20 Staffing Subject Files	SO+0/0/ D	SO Definition: no longer required Notes: Classification #, title and trigger changed. Consolidated with other subject files.
50 Casual Competition Case Files	35 Competition Case Files	SO+2/2/ D	SO Definition: competition completed or cancelled Notes: Classification #, title and retention period changed.
<b>4800 Training and Development</b>	<b>4800 Training and Development</b>		
20 Subject Files	20 Training and Development Subject Files	SO+0/0/ D	SO Definition: no longer required Notes: Title changed.
30 Human Resource Development Training Program Case Files	30 Training and Development Case Files	FY+2/0/ D	SO Definition: Notes: Title changed.
45 Professional Development Case Files	30 Training and Development Case Files	FY+2/0/ D	SO Definition: Notes: Classification # and title changed.

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Old Classification	New Classification	New Retention Schedule	Change Notes
<b>5000 Information Management - General</b>	<b>0 Discontinued</b>		
1 General	0 Discontinued	SO Definition:	Notes: Discontinued.
20 Subject Files	0 Discontinued	SO Definition:	Notes: Discontinued.
<b>5000 Information Management - General</b>	<b>5100 Information Management Planning</b>		
35 Corporate Information Management Project Case Files	40 Information Management Initiative Case Files	SO+1/6/ D	Notes: Classification #, title and retention period changed.
40 Information Initiative Case Files	40 Information Management Initiative Case Files	SO+1/6/ D	Notes: Classification #, title and retention period changed.
<b>5150 Forms Management</b>	<b>0 Discontinued</b>		
1 General	0 Discontinued	SO Definition:	Notes: Discontinued.
20 Subject Files	0 Discontinued	SO Definition:	Notes: Discontinued.
30 Forms History Case Files	0 Discontinued	SO Definition:	Notes: Discontinued in STAR. Part of project files in STAR or STOR.
<b>5200 FOIPOP Administration</b>	<b>5100 Information Management Planning</b>		
45 FOIPOP Administrators' Meeting Case Files	45 Information Management Meeting Case Files	SO+0/0/ D	Notes: Classification #, title, trigger and retention period changed.
<b>5200 FOIPOP Administration</b>	<b>5200 Information Access and Privacy Management</b>		
20 Subject Files	20 Information Access and Privacy Management Subject Files	SO+0/0/ D	Notes: Title changed.
21 FOIPOP Review Reports	20 Information Access and Privacy Management Subject Files	SO+0/0/ D	Notes: Classification # and title changed. Consolidated with other subject files.
30 Freedom of Information Case Files	30 FOIPOP Request Case Files	SO+3/6/ D	Notes: Title and retention period changed.
50 NovaSource Submission Case Files	20 Information Access and Privacy Management Subject Files	SO+0/0/ D	Notes: Classification #, title and retention period changed.

Old Classification	New Classification	New Retention Schedule	Change Notes
<b>5250 Information Security</b>	<b>5100 Information Management Planning</b>		
40 Threat and Risk Assessment Case Files	40 Information Management Initiative Case Files	SO+1/6/ D	SO Definition: initiative completed Notes: Classification #, title and trigger changed. [File split and part relevant to this secondary goes here.]
<b>5250</b>	<b>Information Security 5700</b>	<b>System Development and Maintenance</b>	
1 General	1 General	FY+1/0/ D	SO Definition: Notes: Classification # and title changed.
20 Subject Files	20 System Development and Maintenance Subject Files	SO+0/0/ D	SO Definition: no longer required Notes: Classification # and title changed.
21 Computer Virus Subject Files	20 System Development and Maintenance Subject Files	SO+0/0/ D	SO Definition: no longer required Notes: Classification # and title changed. Consolidated with other subject files.
30 Information Security Case Files	45 System Maintenance Case Files	SO+1/0/ D	SO Definition: system replaced or discontinued Notes: Classification #, title, trigger and retention period changed. [File split and part relevant to this secondary goes here.]
30 Information Security Case Files	55 Information Security Incident Case Files	SO+1/6/D	SO Definition: incident resolved Notes: Classification #, title and trigger changed. [File split and part relevant to this secondary goes here.]
35 Network Security Case Files	52 System Administration Case Files	SO+1/0/ D	SO Definition: system replaced or discontinued Notes: Classification #, title, trigger and retention period changed. [File split and part relevant to this secondary goes here.]

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**Old Classification**

**New Classification**

**New Retention Schedule**

**Change Notes**

35 Network Security Case Files

55 Information Security Incident Case Files

SO+1/6/D

SO Definition: incident resolved

Notes: Classification #, title and trigger changed. [File split and part relevant to this secondary goes here.]

40 Threat and Risk Assessment Case Files

52 System Administration Case Files

SO+1/0/ D

SO Definition: system replaced or discontinued

Notes: Classification #, title, trigger and retention period changed. [File split and part relevant to this secondary goes here.]

**5400 Library Management**

**5400 Library Management**

20 Subject Files

20 Library Management Subject Files

SO+0/0/ D

SO Definition: no longer required

Notes: Title changed.

30 Binding and Mending Case Files

42 Collection Management Case Files

SO+1/6/ D

SO Definition: activity completed

Notes: Classification #, title, trigger and retention period changed.

40 Circulation Case Files

60 Reference and User Services Case Files

SO+1/0/ D

SO Definition: activity completed

Notes: Classification #, title, trigger and retention period changed.

42 Collection Development Case Files

42 Collection Management Case Files

SO+1/6/ D

SO Definition: activity completed

Notes: Classification #, title, trigger and retention period changed.

45 Discards and Duplicates Case Files

42 Collection Management Case Files

SO+1/6/ D

SO Definition: activity completed

Notes: Classification #, title, trigger and retention period changed.

47 Document Delivery Case Files

60 Reference and User Services Case Files

SO+1/0/ D

SO Definition: activity completed

Notes: Classification #, title, trigger and retention period changed.

50 Library Catalogues

50 Library Catalogue Case Files

SO+0/0/ D

SO Definition: library catalogue replaced

Notes: Title and trigger changed.

60 Reference Case Files

60 Reference and User Services Case Files

SO+1/0/ D

SO Definition: activity completed

Notes: Title, trigger and retention period changed.

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Old Classification	New Classification	New Retention Schedule	Change Notes
<b>5450 Manuals Management</b>	<b>0 Discontinued</b>		
1 General	0 Discontinued	SO Definition:	Notes: Discontinued.
20 Subject Files	0 Discontinued	SO Definition:	Notes: Discontinued.
21 Manuals Distribution Lists	0 Discontinued	SO Definition:	Notes: Discontinued in STAR. Part of project files in STAR or STOR.
30 Approved Manuals Case Files	0 Discontinued	SO Definition:	Notes: Discontinued in STAR. Part of project files in STAR or STOR.
40 Manuals Development Case Files	0 Discontinued	SO Definition:	Notes: Discontinued in STAR. Part of project files in STAR or STOR.
<b>5600 Records Management Program Development</b>	<b>5100 Information Management Planning</b>		
35 Records Management Committee Case Files	45 Information Management Meeting Case Files	SO+0/0/ D	SO Definition: no longer required Notes: Classification #, title and retention period changed. [File split and part relevant to this secondary goes here.]

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Old Classification	New Classification	New Retention Schedule	Change Notes
<b>5600 Records Management Program Development</b>	<b>5600 Records Management</b>		
20 Subject Files	20 Records Management Subject Files	SO+0/0/ D	SO Definition: no longer required Notes: Title changed.
30 Program Development Case Files	30 Records Management Program Case Files	SO+2/2/ D	SO Definition: program component revised or discontinued Notes: Title, trigger and retention period changed.
35 Records Management Committee Case Files	30 Records Management Program Case Files	SO+2/2/ D	SO Definition: program component revised or discontinued Notes: Classification #, title and retention period changed. [File split and part relevant to this secondary goes here.]
40 Records Management Project Case Files	30 Records Management Program Case Files	SO+2/2/ D	SO Definition: program component revised or discontinued Notes: Classification #, title and retention period changed.
<b>5650 Records Description and</b>	<b>5600 Records Management</b>		
1 General	1 General	FY+1/0/ D	SO Definition: Notes: Classification # and title changed.
20 Subject Files	20 Records Management Subject Files	SO+0/0/ D	SO Definition: no longer required Notes: Classification # and title changed.
35 Records Schedule Approval Case Files	35 Records Schedule Approval Case Files	SO+0/0/ D	SO Definition: public body ceases to exist and schedule no longer required for evidential purposes. Notes: Classification #, trigger and disposition changed.
40 Records Schedule Development Case Files	30 Records Management Program Case Files	SO+2/2/ D	SO Definition: program component revised or discontinued Notes: Classification #, title, trigger and retention period changed.
45 Records Schedule Conversion Case Files	30 Records Management Program Case Files	SO+2/2/ D	SO Definition: program component revised or discontinued Notes: Classification #, title, trigger and retention period changed.

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Old Classification	New Classification	New Retention Schedule	Change Notes
<b>5670 Document and File Control</b>	<b>5600 Records Management</b>		
1 General	1 General	FY+1/0/ D	Notes: Classification # and title changed.
20 Subject Files	20 Records Management Subject Files	SO+0/0/ D	Notes: Classification # and title changed.
30 Active File List Inventory Case Files	42 Records Maintenance Case Files	SO+1/0/ D	Notes: Classification #, title and retention period changed.
35 Media Conversion Project Case Files	30 Records Management Program Case Files	SO+2/2/ D	Notes: Classification #, title, trigger and retention period changed.
40 Records Storage and Disposal Case Files	55 Semi-Active Storage and Disposition Case Files	SO+0/0/ D	Notes: Title, trigger and disposition changed.
50 Records Retrieval Case Files	50 Records Retrieval Case Files	SO+0/0/ D	Notes: Classification # and trigger changed.
<b>5700 Systems and Technology</b>	<b>5100 Information Management Planning</b>		
20 Subject Files	20 Information Management Planning Subject Files	SO+0/0/ D	Notes: Title changed. [File split and part relevant to this secondary goes
30 Information Technology Initiative Case Files	40 Information Management Initiative Case Files	SO+1/6/ D	Notes: Classification #, trigger and title changed.
35 IT Management Meeting Case Files	45 Information Management Meeting Case Files	SO+0/0/ D	Notes: Classification #, title and trigger changed.

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Old Classification	New Classification	New Retention Schedule	Change Notes
<b>5700 Systems and Technology</b>			
20 Subject Files	<b>5700 System Development and Maintenance</b> 20 System Development and Maintenance Subject Files	SO+0/0/ D	SO Definition: no longer required Notes: Title changed. [File split and part relevant to this secondary goes
47 IT Project Management Case Files	40 System Development Case Files	SO+1/6/ D	SO Definition: activity concluded Notes: Classification #, title and trigger changed.
50 IT Standards Planning Case Files	40 System Development Case Files	SO+1/6/ D	SO Definition: activity concluded Notes: Classification #, title and trigger changed.
<b>5720 Business Solutions Delivery</b>			
1 General	<b>5700 System Development and Maintenance</b> 1 General	FY+1/0/ D	SO Definition: Notes: Classification # and title changed.
20 Subject Files	20 System Development and Maintenance Subject Files	SO+0/0/ D	SO Definition: no longer required Notes: Classification # and title changed.
35 IT Business Plans Case Files	40 System Development Case Files	SO+1/6/ D	SO Definition: activity concluded Notes: Classification #, title, trigger and retention period changed.
40 IT Internal Consulting Case Files	40 System Development Case Files	SO+1/6/ D	SO Definition: activity concluded Notes: Classification #, title and trigger changed.
55 Systems Development Case Files	40 System Development Case Files	SO+1/6/ D	SO Definition: activity concluded Notes: Classification #, trigger and disposition changed.
60 Systems Documentation Case Files	40 System Development Case Files	SO+1/6/ D	SO Definition: activity concluded Notes: Classification #, title and trigger changed.

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Old Classification	New Classification	New Retention Schedule	Change Notes
<b>5740 Infrastructure Services</b>	<b>5700 System Development and Maintenance</b>		
1 General	1 General	FY+1/0/ D	SO Definition: Notes: Classification # and title changed.
20 Subject Files	20 System Development and Maintenance Subject Files	SO+0/0/ D	SO Definition: no longer required Notes: Classification # and title changed.
30 Hardware/Software Management Case Files	52 System Administration Case Files	SO+1/0/ D	SO Definition: system replaced or discontinued Notes: Classification #, title and trigger changed.
35 Help Desk Management Case Files	60 IT User Services Case Files	SO+2/0/ D	SO Definition: issue resolved Notes: Classification # and title changed.
40 Network Design and Administration Case Files	52 System Administration Case Files	SO+1/0/ D	SO Definition: system replaced or discontinued Notes: Classification #, title and trigger changed.
45 Server Management Case Files	52 System Administration Case Files	SO+1/0/ D	SO Definition: system replaced or discontinued Notes: Classification #, title and trigger changed.
55 System Maintenance Case Files	45 System Maintenance Case Files	SO+1/0/ D	SO Definition: system replaced or discontinued Notes: Classification # and title changed.
<b>5800 Telephone Services</b>	<b>5700 System Development and Maintenance</b>		
1 General	1 General	FY+1/0/ D	SO Definition: Notes: Classification # and title changed.
20 Subject Files	20 System Development and Maintenance Subject Files	SO+0/0/ D	SO Definition: no longer required Notes: Classification # and title changed.
35 Telecommunications Administration Case Files	52 System Administration Case Files	SO+1/0/ D	SO Definition: system replaced or discontinued Notes: Classification #, title and trigger changed.
45 Telecommunications Cost Analysis Case Files	40 System Development Case Files	SO+1/6/ D	SO Definition: activity concluded Notes: Classification #, title and retention period changed.
50 Request for Telephone Service Case Files	70 Telephone Service Request Case Files	FY+1/0/ D	SO Definition: Notes: Classification # and title changed.

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Old Classification	New Classification	New Retention Schedule	Change Notes
<b>5930 Web Site Design and Maintenance</b>	<b>0 Discontinued</b>		
30 E-mail Mailing List Case Files	0 Discontinued	SO Definition:	Notes: Discontinued in STAR. Part of project files in STAR or STOR.
35 Web Site Design Case Files	0 Discontinued	SO Definition:	Notes: Discontinued in STAR. [Part of project files in STAR or STOR.]
40 Web Site Maintenance Case Files	0 Discontinued	SO Definition:	Notes: Discontinued in STAR. [Part of project files in STAR or STOR.]
<b>5930 Web Site Design and Maintenance</b>	<b>5700 System Development and Maintenance</b>		
1 General	1 General	FY+1/0/ D	SO Definition: Notes: Classification # and title changed.
20 Subject Files	20 System Development and Maintenance Subject Files	SO+0/0/ D	SO Definition: no longer required Notes: Classification # and title changed.
21 Technology and Systems Subject Files	20 System Development and Maintenance Subject Files	SO+0/0/ D	SO Definition: no longer required Notes: Classification # and title changed. Consolidated with other subject files.

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Old Classification	New Classification	New Retention Schedule	Change Notes
<b>5950 Year 2000 Business Continuity Management</b>	<b>0 Discontinued</b>		
1 General	0 Discontinued	SO Definition:	Notes: Discontinued in STAR. See special disposition
20 Subject Files	0 Discontinued	SO Definition:	Notes: Discontinued in STAR. See special disposition
40 Y2K Communication Case Files	0 Discontinued	SO Definition:	Notes: Discontinued in STAR. See special disposition
55 Y2K Project Plan Case Files	0 Discontinued	SO Definition:	Notes: Discontinued in STAR. See special disposition
60 Y2K Readiness Documentation Case Files	0 Discontinued	SO Definition:	Notes: Discontinued in STAR. See special disposition
65 Y2K Report Case Files	0 Discontinued	SO Definition:	Notes: Discontinued in STAR. See special disposition
<b>5950 Year 2000 Business Continuity Management</b>	<b>1200 Emergency Preparedness and Recovery</b>		
30 Y2K Analysis Documentation Case Files	20 Emergency Preparedness and Recovery Subject Files	SO+0/0/D	SO Definition: no longer required Notes: Classification #, title, trigger and retention period changed
45 Y2K Contingency Plan Case Files	35 Emergency Preparedness, Response and Recovery Plan Case Files	SO+0/7/ D	SO Definition: plan or list revised and approved Notes: Classification #, title, trigger and retention period changed.
<b>6000 Materiel Management -- General</b>	<b>0 Discontinued</b>		
1 General	0 Discontinued	SO Definition:	Notes: Discontinued.
20 Subject Files	0 Discontinued	SO Definition:	Notes: Discontinued.

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Old Classification	New Classification	New Retention Schedule	Change Notes
<b>6300 Materiel Inventory</b>	<b>2120 Physical Property Management</b>		
1 General	1 General	FY+1/0/D	SO Definition: Notes: Classification # and title changed.
20 Subject Files	20 Physical Property Management Subject Files	SO+0/0/D	SO Definition: no longer required Notes: Classification # and title changed.
30 Materiel Inventory Case Files	60 Materials Inventory Control Case Files	SO+1/0/D	SO Definition: inventory revised Notes: Classification #, title and trigger changed.
<b>6350 Materiel Maintenance</b>	<b>2450 Maintenance and Repair</b>		
1 General	1 General	FY+1/0/D	SO Definition: Notes: Classification # and title changed.
20 Subject Files	20 Maintenance and Repair Subject Files	SO+0/0/D	SO Definition: no longer required Notes: Classification # and title changed.
30 Maintenance and Repair Case Files	50 Materials Maintenance and Repair Case Files	SO+2/0/D	SO Definition: equipment disposed of, transferred or replaced Notes: Classification #, title and retention period changed.
40 Equipment Warranty History Case Files	50 Materials Maintenance and Repair Case Files	SO+2/0/D	SO Definition: equipment disposed of, transferred or replaced Notes: Classification #, title, trigger, retention period and disposition changed.
<b>6800 Motor Vehicle Management</b>	<b>2120 Physical Property Management</b>		
1 General	1 General	FY+1/0/D	SO Definition: Notes: Classification # and title changed. [File split and part relevant to this secondary goes
20 Subject Files	20 Physical Property Management Subject Files	SO+0/0/D	SO Definition: no longer required Notes: Classification # and title changed. [File split and part relevant to this secondary goes
35 Vehicle Inventory Case Files	60 Materials Inventory Control Case Files	SO+1/0/D	SO Definition: inventory revised Notes: Classification #, title and retention period changed.
40 Vehicle Registration and Licensing Case Files	60 Materials Inventory Control Case Files	SO+1/0/D	SO Definition: inventory revised Notes: Classification #, title, trigger, retention period and disposition changed.

Old Classification	New Classification	New Retention Schedule	Change Notes
<b>6800 Motor Vehicle Management</b>	<b>2450 Maintenance and Repair</b>		
1 General	1 General	FY+1/0/D	SO Definition: Notes: Classification # and title changed. [File split and part relevant to this secondary goes
20 Subject Files	20 Maintenance and Repair Subject Files	SO+0/0/D	SO Definition: no longer required Notes: Classification # and title changed. [File split and part relevant to this secondary goes
30 Vehicle Maintenance Case Files	50 Materials Maintenance and Repair Case Files	SO+2/0/D	SO Definition: equipment disposed of, transferred or replaced Notes: Classification #, title, trigger and retention period changed.
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