



Checklist

Operational Records Classification System (ORCS)¹

What is the purpose of this checklist?

This checklist is a supporting tool in the ORCS development and review workflow process. It is used to ensure that ORCS documents submitted for approval are complete, in the approved format, and required departmental approvals are obtained.

The intent is the Records Coordinator or designated ORCS developer will complete this check list to verify the ORCS meets the requirements for submission to Corporate Records Management and NWT Archives for review and approval. Once all the ORCS requirement fields have been completed the ORCS will be ready for submission to the Records Analyst and NWT Archives for review and approval.

The Records Analyst will use this check list to verify ORCS submitted by the Records Coordinator or designated ORCS developer are complete and as well for further review. All fields must be indicated as addressed.

Who should use this checklist?

- Anyone who plans, develops, amends, reviews or approves an ORCS.

What sort of action does this checklist cover?

- Amendment
 - Development
 - Planning
 - Review
-

Checklist -

If a check box has an Asterisk (*) in front of it, it means that the information may not be available when the ORCS is first submitted for review and must be completed at a later date.

Check

box



ORCS Requirements

General



Standard template format has been used



Abbreviations/Acronyms spelled out at least once (no abbreviation in secondary title)

Header and footer



Footer included in the entire document (excluding title page)



Check
box

ORCS Requirements

- Footer in the Introductory Material, How to use ORCS, Section title page, and List of Primaries Page do not include list of abbreviations.
- Footer in the Primary pages includes list of abbreviations.
- * Footer includes the Department and Division or Program Name inserted in document fields.
- * Footer includes the RDA Number and Version number (for an amendment) inserted in document fields.
(The RDA number is assigned by CRM when the ORCS is ready to proceed to signature. For new ORCS, leave this field blank until the number has been provided by CRM. For amendments, include the previously assigned RDA number and the new version number.)
- Page number inserted
(Started at the second page)

Title Page

- * RDA Number inserted in document fields
(For new ORCS, leave this field blank until the number has been provided by CRM. For amendments, include the previously assigned RDA number.)
- Version number inserted in document fields (Applicable for amendments to an existing ORCS.)
- Department, Division or Program identification inserted in document fields.
- Date that the RDA was prepared inserted in document fields.
- Date of the earliest records to be classified and scheduled using the ORCS inserted in document fields.
- * Approval signatures acquired
(Sequential order is CRM, NWT Archives and Deputy Head)

Summary of changes

- * Identify amendments or new additions to the ORCS
(Applicable for amendments to an existing ORCS.)

Introductory Material

- * RDA Number and Version number (for an amendment) inserted in document fields.
(For new ORCS, leave this field blank until the number has been provided by CRM. For amendments, include the previously assigned RDA number and the new version number.)
- Department, Division or Program identification inserted in document fields.
- Organizational Profile completed
(i.e. department/division name, establishment date, department goals, listed programs/services, identified community name of service delivery, etc.)
- Organizational chart of department/division inserted
- List of legislation and regulations completed and in alphabetical order (if applicable)
(Include only legislation or regulations that establish or support the mandate of the division or program, or establish recordkeeping requirements for the records included in the ORCS. Do not list legislation applicable to all government bodies, such as the Archives Act or Financial Administration act. It is not necessary to list legislation that is administered by a different division within the department.)
- Lists of Policies, Standards, and Guidelines are completed and in alphabetical or numerical order (If applicable)
(Include policies, standards, and guidelines that establish or support the mandate of the division or program, or establish recordkeeping requirements for the records included in the ORCS. Include GNWT policies, standards, and guidelines, and policies from other jurisdictions as well as professional standards, guidelines, or codes of conduct with which the division or program must comply. Do not list policies, standards, or guidelines applicable to all government bodies, such as the Recorded Information Management Policies.)
- Description of records completed.



Check
box

ORCS Requirements

- External review and advice completed
(If consulted. Consultations with CRM Records Analysts, Archivists, and departmental employees do not need to be listed here as these consultations are assumed to have taken place. Instead, use this section to list consultations with external experts, such as legal, audit, risk management, professional associations, or other jurisdictions.)
- Other records disposition authorities listed in RDA number order (if applicable)
- Repealed records disposition authorities listed in RDA number order (if applicable)
- Office of Primary Responsibility (OPR) completed
- * Full retention plan completed (if designated)

How to use ORCS <RDA number> (note: this section is optional in an ORCS)

- * RDA Number and Version number (for an amendment) inserted in document fields.
(For new ORCS, leave this field blank until the number has been provided by CRM. For amendments, include the previously assigned RDA number and the new version number.)
- List of sections in this ORCS completed
- List of other approved ORCS completed

Section Title and List of Primaries pages

- In Section title page, Section title and range of primary numbers inserted in document fields.
- In Section title page, Section scope note and cross references (if applicable) completed.
- In List of Primaries page, Section title and range of primary numbers inserted in document fields
- Primary title identifies function or subject covered. List of Primary Numbers and Titles matches titles on the Primary pages.

Primaries

- Each primary has its own page, when extended on two pages or more the title and number are repeated.
- Page Format is followed
(i.e. Page layout, font style and size, table)
- General Primary for each section is included
- Primary title and number match with List of Primaries

Scope Notes

- Primary scope note describes the function or activity that the records support, describes what is classified, and has enough information to understand what should be classified into the primary.
- Scope notes incorporate every secondary in each primary
- First sentence of scope note is a function or statement of purpose
- Scope notes indicate examples of type of records included and excluded

Cross References

- Format: For<subject or type of records>, see primary <primary number> or in reference to another ORCS or to ARCS: For<subject or type of records>, see ORCS (or ARCS) Primary <primary number>
- Cross references are included as a new line for each cross reference

Secondaries

- Mandatory template table and format included



Check
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ORCS Requirements

Reserved policy -00 and general -01 secondary included

Secondary title is short and descriptive.
(No abbreviations, Standard Acronyms acceptable)

Additional notes – Filing notes are included

Any legislation or regulations mentioned are listed in the appropriate introductory section of the ORCS

Retention

00- Policy retention is equal to or longer than longest retention of secondaries

*

Master and copy file retention is completed (i.e. A, SA,FD)²

Retentions reflect operational needs and are appropriate length (equal to or longer than legislated requirements). Full retention and very long retention periods are a reasonable use of government resources.

Does the retention already exist (restrict new retentions)

SO used when retention requires a trigger event

SO* has trigger justification included (closure note)

Links:

<https://www.fin.gov.nt.ca/en/information-management-and-technology-policy-manual>

<https://www.inf.gov.nt.ca/en/services/internal-services/corporate-information-management>

<https://www.inf.gov.nt.ca/en/services/internal-services/legislation-policies-procedures-and-guidelines>