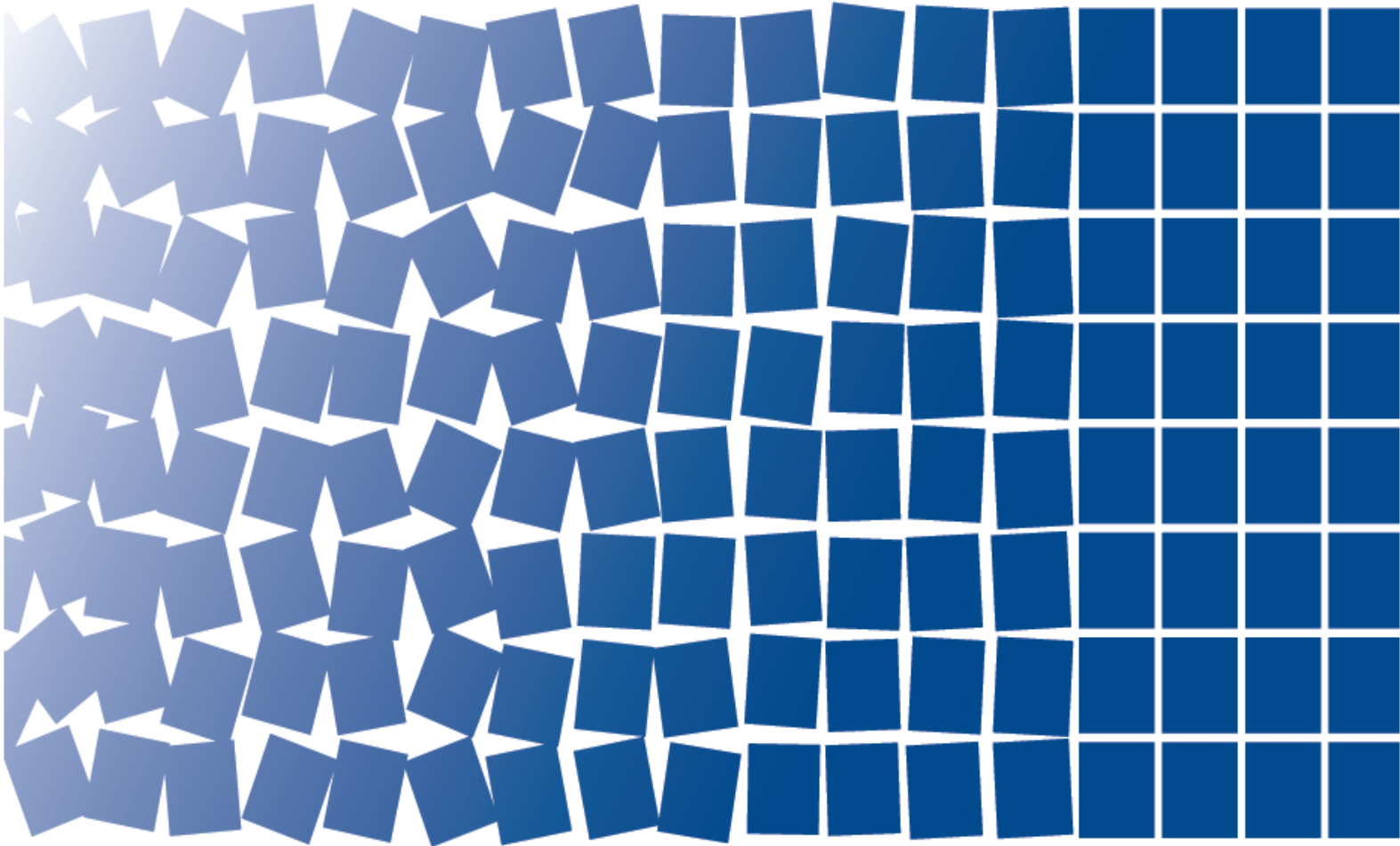


**HEALTH PROFESSIONS
REVIEW BOARD SERVICES
OPERATIONAL RECORDS
CLASSIFICATION SYSTEM**



GOVERNMENT RECORDS SERVICE

*HEALTH PROFESSIONS REVIEW BOARD SERVICES
OPERATIONAL RECORDS CLASSIFICATION SYSTEM*

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USEFUL INFORMATION

Key to Information Schedule Codes and Acronyms:

Information Schedule titles:	ARCS = <i>Administrative Records Classification System</i> ORCS = <i>Operational Records Classification System</i>
Office information:	OPR = Office of Primary Responsibility
Records life cycle:	A = Active SA = Semi-active FD = Final Disposition
Active and semi-active period codes:	CY = Calendar Year FY = Fiscal Year NA = Not Applicable SO = Superseded or Obsolete w = week m = month y = year
Final disposition categories:	DE = Destruction FR = Full Retention SR = Selective Retention OD = Other Disposition NA = Not Applicable
Special flags:	FOI = Freedom of Information/Protection of Privacy PIB = Personal Information Bank VR = Vital Records

The following links provide additional resources for managing your information:

- [ARCS and ORCS User Guide.](#)
- [Special schedules for records that are not covered by ARCS and ORCS.](#)
- [Legislation, policies, and standards for managing records in the BC Government.](#)
- [Tips, guides, and FAQs on related topics.](#)
- [Government Records Officer contact information.](#)

Health Professions Review Board Services

Operational Records Classification System (ORCS)

Executive Summary

Creating Agency

Health Professions Review Board

Scope

This *Operational Records Classification System (ORCS)* establishes a classification system and retention and disposition schedule for the operational records created by the Health Professions Review Board (Review Board) under the *Administrative Tribunals Act* (SBC 2004, c.45) (ATA) and Part 4.2 of the *Health Professions Act* (RSBC 1996, c. 183) (HPA). These records relate to reviews of certain complaint dispositions, delayed investigations, and registration decisions of health professions regulatory bodies in British Columbia, and the development and approval of policies, procedures and guidelines.

The Review Board is an independent, quasi-judicial, administrative tribunal established in 2009 under Part 4.2 of the *HPA*. The Review Board is responsible for the following activities:

- to review certain registration decisions of a college of a designated health profession;
- to review the failure, by the inquiry committee of a college, to deal with a complaint (i.e., disposition of a complaint) or an investigation within statutory time limits;
- to review certain dispositions of complaints made by the inquiry committee of a college;
- to develop and publish guidelines and recommendations for the purpose of assisting colleges to establish and employ registration, inquiry and discipline procedures that are transparent, objective, impartial and fair; and
- to receive notices of delayed investigation from colleges per s. 50.55 of the *HPA*.

Date Range of Records

2009 - Present

Standard Appraisal Considerations

The active and semi-active retention periods specified in the schedule meet all operational, administrative, legal, fiscal, and audit requirements. The final dispositions have been reviewed to ensure that records having enduring evidential and informational values are preserved.

Specific Appraisal Considerations

Records scheduled for transfer to the government archives are: final policies and procedures, ministerial reports, and final review board decisions, as these records provide significant evidence of the governance of functions and programs covered by this schedule. All other records covered under this schedule are destroyed at the end of their retention periods.

SUMMARY LIST OF CLASSIFICATIONS

SECTION 1 – HEALTH PROFESSIONS REVIEW BOARD SERVICES

Classification	Classification Title	Retention
18500	HEALTH PROFESSIONS REVIEW BOARD SERVICES - GENERAL	
18500-00	Policy and procedures – final	SO 5y FR
18500-01	General	CY+1y nil DE
18500-05	Ministerial reports	SO nil FR
18500-20	Policy and procedures development case files	SO+5y nil DE
18600	BOARD REVIEWS	
18600-01	General	CY+1y nil DE
18600-05	Case management data	SO nil DE
18600-10	General enquiries, correspondence and application issues	CY+1y nil DE
18600-15	Notices of Delay	CY+1y nil DE
18600-30	Review Board decisions – final	SO nil FR
18600-40	Review Board decisions – working files	SO nil DE
18600-50	Review case files	SO+7y nil DE

Endorsements

This schedule was developed in consultation with staff and managers who conduct the operational functions in the creating agency. It has also been reviewed by appropriate Government Records Service staff to ensure it meets scheduling and appraisal standards, and reflects sound record keeping practices.

Schedule Number: 170479

Schedule Developer: Sophia Kent, Administrative Assistant of the Health Professions Review Board, 2023-01-06

Archivist: Jennifer Yuhasz, 2023-01-06

Endorsed by Government Records Service: Mario Miniaci, Director of Archival and Records Initiatives, 2023-01-09

The government body endorses this schedule and its implementation: Evon Soong, Executive Director of the Health Professions Review Board, 2023-01-06

The Information Management Advisory Committee recommends this schedule for approval: Emilie Hillier, Chair, 2023-03-02

Approved by the Chief Records Officer: Charmaine Lowe, 2023-03-14

SECTION 1

HEALTH PROFESSIONS REVIEW BOARD SERVICES

PRIMARY NUMBERS

18500 – 18600

Section 1 covers records relating to reviews of certain complaint dispositions, delayed investigations, and registration decisions of health professions regulatory bodies in British Columbia pursuant to the *Administrative Tribunals Act* (SBC 2004, c.45) (ATA) and Part 4.2 of the *Health Professions Act* (RSBC 1996, c. 183) (HPA).

This section includes records related to the following: development of policies and procedures (including guidelines and recommendations); preparation of ministerial reports (including annual reports); hearing, conduct, adjudication, and management of Review Board applications; and Review Board panel decisions.

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HEALTH PROFESSIONS REVIEW BOARD SERVICES

18500 - 18600

18500 HEALTH PROFESSIONS REVIEW BOARD SERVICES - GENERAL
18600 BOARD REVIEWS

[Key to ARCS/ORCS Codes and Acronyms](#)

18500 HEALTH PROFESSIONS REVIEW BOARD SERVICES - GENERAL

This primary covers records relating to the following functions and activities, not covered elsewhere in this section:

- development and publication of guidelines and recommendations to assist colleges in establishing and employing registration, inquiry, and discipline procedures;
- development of operational policies, including procedures, standards, guidelines, recommended practices, and directives for use by internal staff, applicants and complainants, and the public; and
- preparation of ministerial reports, including annual reports.

For committees, see [ARCS secondary 200-20](#).

For policy from external sources, see [ARCS primary 195](#).

For policy registration and tracking, see [ARCS secondary 100-05](#).

For program planning, see [ARCS secondary 400-20](#).

For reference material/topical files, see [ARCS secondary 358-20](#).

For training and development, see ARCS primaries [1730](#) and [1735](#).

For the website, see [ARCS secondary 340-30](#).

The OPR is Health Professions Review Board unless otherwise noted below. See specific secondaries for OPR retention schedules.

18500 HEALTH PROFESSIONS REVIEW BOARD SERVICES - GENERAL	A	SA	FD
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All non-OPR offices will retain these records for:	SO	nil	DE
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<p>-00 Policy and procedures - final (covers final/approved policies, procedures, standards, and guidelines pertaining to the functions and activities documented in this ORCS developed for use by the Review Board Office, Review Board Members and Chair and/or by clients, stakeholders, and the public) (includes procedural records such as rules of practice and procedures, practice directives, information sheets, and policy conference procedures)</p>	SO	5y	FR
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RETENTION STATEMENT

Transfer to the government archives five years after the policy is replaced or becomes irrelevant and is no longer required for reference purposes.

SO: when the policy is replaced or becomes irrelevant, and is no longer required for reference purposes

FR: The government archives will fully retain final versions of operational policy documentation

18500 HEALTH PROFESSIONS REVIEW BOARD SERVICES - GENERAL **A SA FD**

because these records provide significant evidence of the governance of the functions and programs covered by this schedule.

-01 General **CY+1y nil DE**

RETENTION STATEMENT

Destroy at the end of the second calendar year.

NOTE: Throughout this section, this secondary covers miscellaneous records that relate to the primary but do not document decisions and actions, and do not relate to topics that warrant specific classifications.

-05 Ministerial reports **SO nil FR**

(covers reports, including annual reports, submitted to the minister pursuant to the *Health Professions Act* (RSBC 1996, c. 183))

RETENTION STATEMENT

Transfer to the government archives when the ministerial report is approved by the chair and distributed.

SO: when the ministerial report is approved by the chair and distributed

FR: The government archives will fully retain each final published ministerial report because they summarize the government's goals, objectives, and performance measures in regards to its policies, programs, and services.

-20 Policy and procedures development case files **SO+5y nil DE**

(covers the development of policies, procedures, standards, and guidelines pertaining to the functions and activities documented in this *ORCS*)

(includes member and chair briefing materials, correspondence, drafts, and working materials)

RETENTION STATEMENT

Destroy five years after the policy is approved and distributed or abandoned and is no longer required for reference purposes.

This is an approved information schedule, as defined by the [Information Management Act \(SBC 2015, c. 27\)](#). For more information consult your [Government Records Officer](#).

18500	HEALTH PROFESSIONS REVIEW BOARD SERVICES - GENERAL	A	SA	FD
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SO: when the policy is approved and distributed or abandoned and is no longer required for references purposes

DE: Policy development files may be destroyed because final policies are fully retained under secondary 18500-00.

END OF PRIMARY

[Key to ARCS/ORCS Codes and Acronyms](#)

18600 BOARD REVIEWS

Records relating to reviews conducted by the Health Professions Review Board (Review Board) under the *Administrative Tribunals Act* (SBC 2004, c.45) (ATA) and Part 4.2 of the *Health Professions Act* (RSBC 1996, c. 183) (HPA). The Review Board reviews decisions and actions of health professions colleges upon an application for review. The Review Board carries out the following activities in accordance with the *Act*:

- review certain registration decisions of a college of a designated health profession;
- review the failure, by the inquiry committee of a college, to deal with a complaint (i.e., disposition of a complaint) or investigation within the required time via receipt of Notices of Delay and Applications for Review of a Delayed Investigation; and
- review certain dispositions of complaints made by the inquiry committee of a college.

The Review Board Office manages and tracks the applications for review and provides administrative support to the Board members and chair.

Review Board members are appointed by Cabinet via Order in Council.

For board appointments, see [ARCS secondary 125-04](#).

For board meetings, agendas and presentations, see [ARCS secondary 200-20](#).

For brochure design and preparation, see [ARCS primary 312](#).

For brochure production and distribution, see [ARCS primary 308](#).

For executive correspondence, see [ARCS secondary 280-40](#).

For legal opinions, see [ARCS secondary 350-20](#).

For ombudsman investigations, see [ARCS secondary 155-20](#).

For system descriptions, see the System Section.

The OPR is Health Professions Review Board unless otherwise noted below. See specific secondaries for OPR retention schedules.

18600	BOARD REVIEWS	A	SA	FD
	All non-OPR offices will retain these records for:	SO	nil	DE
	-01 General	CY+1y	nil	DE
	RETENTION STATEMENT Destroy at the end of the second calendar year.			
PIB	-05 Case management data (covers data stored on the case management system)	SO	nil	DE

18600	BOARD REVIEWS	A	SA	FD
	<p>RETENTION STATEMENT Destroy when no longer required for planning, tracking, reporting, and audit purposes.</p> <p>SO: when no longer required for planning, tracking, reporting, and audit purposes</p>			
-10	<p>General enquiries, correspondence and application issues (covers incoming correspondence, responses to requests for forms, applications where a review file was not opened, and other general matters)</p> <p>RETENTION STATEMENT Destroy at the end of the second calendar year.</p>	CY+1y	nil	DE
-15	<p>Notices of Delay (covers all Notices of Delay sent by colleges to the Review Board Office)</p> <p>RETENTION STATEMENT Destroy at the end of the second calendar year.</p>	CY+1y	nil	DE
-30	<p>Review Board decisions - final (covers final decisions, letter orders and other orders made by a panel chair during the review process) (arrange by file number and by CanLii neutral citation number)</p> <p>RETENTION STATEMENT Transfer to the government archives when the final decision has been issued on the application for review, and when no longer required for reference purposes.</p> <p>SO: when the final decision has been issued on the application for review, and when no longer required for reference purposes</p> <p>FR: The government archives will fully retain these records because they provide evidence of the type of complaint dispositions, registration decisions, and delayed complaint investigations which are escalated for review by the Board. They also provide a concise summary of the decisions made by the statutory body responsible for conducting the reviews.</p>	SO	nil	FR

18600	BOARD REVIEWS	A	SA	FD
	<p>NOTE: For records relating to the case management of the review, including judicial review of the decision, see secondary 18600-50.</p> <p>NOTE: In addition to the set of records routinely transferred to the government archives, the Review Board may also retain a set for their ongoing reference purposes. The set maintained for reference purposes should be classified as ARCS 358-20.</p>			
-40	<p>Review Board decisions – working files (covers draft decisions made by a panel chair during the review process) (arrange by file number)</p> <p>RETENTION STATEMENT Destroy when the final decision is issued.</p> <p>SO: when the final decision is issued</p> <p>NOTE: For records relating to the case management of the review, including judicial review of the decision, see secondary 18600-50.</p>	SO	nil	DE
PIB	<p>-50 Review case files (covers all applications for review made to the Review Board, including time extension, delayed investigation, registration decisions and inquiry committee dispositions) (includes applications and submissions, correspondence, memoranda, reference material and records submitted by parties, audio recordings, other media files, and mediation documents) (arrange by consecutive file numbers and identify by complainant/applicant last name)</p> <p>RETENTION STATEMENT Destroy seven years after review is abandoned, withdrawn, or complete, and when either the time limit for filing a petition to the court for judicial review has passed, or when any judicial review that is filed is complete and all appeal periods have passed.</p>	SO+7y	nil	DE

This is an approved information schedule, as defined by the [Information Management Act \(SBC 2015, c. 27\)](#). For more information consult your [Government Records Officer](#).

18600	BOARD REVIEWS	A	SA	FD	
	SO:				when review is abandoned, withdrawn, or complete, and when either the time limit for filing a petition to the court for judicial review has passed or when any judicial review that is filed is complete and all appeal periods have passed
	7y:				This retention period ensures case file records are available to Review Board staff and members after cases are closed for reference, analysis, follow up (for example, in case a party has concerns about the procedural fairness of the review), or statistical purposes. It provides a reasonable period of time for the legal issues arising out of the review decision to be resolved.
	DE:				Review case files may be destroyed because final Review Board decisions are fully retained under secondary 18600-30.

END OF PRIMARY

[Key to ARCS/ORCS Codes and Acronyms](#)

HEALTH PROFESSIONS REVIEW BOARD SERVICES
OPERATIONAL RECORDS CLASSIFICATION SYSTEM (ORCS)

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SYSTEMS SECTION PRIMER

The purpose of the System Section is to provide system administrators with criteria that they can use to develop system purge or digital archives transfer routines for data, records, and other information that is covered by this ORCS, and retained in operational systems.

Frequently Asked Questions

What is a data retention plan?

A data retention plan maps data, records, and other information in a system to classifications in the ORCS, and describes, based on the retention periods indicated in those classifications, how long it is to be kept before it's eligible to be destroyed or transferred to the digital archives. The data retention plan is part of the system overview.

What is the status of the Digital Archives?

The Corporate Information and Records Management Office (CIRMO) is committed to establishing a [digital archives](#). Work is underway to meet this commitment, and to implement a solution that meets client needs. The [CRO has issued guidance](#) on the management of digital records during the interim.

Do I need approval before deleting data that is scheduled within my ORCS?

Approval is required before deleting the data. Contact your Records Officer for more information.

Do the retention periods in this ORCS continue to apply if data is migrated to a new system?

If data is subsequently migrated to a new system, the retention periods indicated in the ORCS for that data should continue to apply, provided the data itself is largely unchanged. However, if the new system captures data that is not referred to in the system description, for example as a result of new legislation or significant functional changes, then please consult with your Records Officer.

When can I decommission a system?

Systems can only be decommissioned when one of the following conditions have been met:

- all data on the system has been migrated to another system performing the same function, or,
- retention schedules covering all the data on the system have elapsed, or,
- the data has been preserved elsewhere (e.g. digital archives).

Before decommissioning a system, please consult with your records officer.

What is transitory systems information?

Transitory systems information consists of information of temporary usefulness generated for, or resulting from, computer systems operation (also known as transitory electronic data processing [EDP] records). These records can be deleted without approval by your ministry's Records Officer. A common example is a datafile used to upload data from one system to another. Once the data is uploaded and verified, the datafile can be destroyed. Refer to the [Transitory Information Schedule](#) to determine if your data falls under the definition of transitory.

How long are back-up data and system logs kept?

Backup data are retained until no longer required for system recovery, and in accordance with the established backup cycle for the application or system. System logs, used for ongoing system maintenance and performance purposes, are retained until no longer required. Logs maintained for security purposes or investigations have longer requirements. See [ARCS primary 6820](#) for more details.

Where do I classify the documentation related to the management of the system?

Because the function of systems management is common across government (e.g., there are information management branches within each ministry responsible for supporting and maintaining information systems) these records are classified and scheduled within the *Administrative Records Classification System (ARCS)* - [ARCS primary 6450](#). This ensures that all offices are consistently classifying and scheduling their systems documentation.

CASELOAD CASE MANAGEMENT SYSTEM

SYSTEM OVERVIEW

Creating Agency

Health Professions Review Board

Date of System Description

2022-09-09

Purpose

An electronic case management system that captures information and tracks the workflow of review cases received by the Board.

CaseLoad is a web-based, legal case management system and database used to track events or actions taken in the management of review hearings. It records identifying and contact information for complainants, registrants, colleges, law firms and other advocacy organizations, and Review Board members. Case managers enter information into the system for every review. The events or actions recorded for each review include scheduling, correspondence tracking, task management, document due dates, file notes, communications between staff members and/or parties, hearing timelines, member assignments, chair directions, and other case file milestones.

Information Content

CaseLoad contains information regarding reviews made by the Board. The system manages the following:

- contact information and application form information;
- staff assigned to reviews;
- synopses of calls, emails and correspondence with parties;
- logs of emails and other correspondence sent and received;
- details of hearing processes including preliminary applications, inquiries, resource material sent out, significant dates, work assignments, judicial review information, memorandums to file and actions logs; and
- members contact information, including assignment and billing information.

CaseLoad also generates statistics and other analytics for annual reports, member appraisals and for quality assurance purposes.

The system does not have document management functionality. As such, it does not contain emails, correspondence, decisions, memos, briefs, or other documents. These documents are maintained on the HPRB local area network and therefore are covered under the applicable secondaries within this ORCS.

Inputs, Processes, and Outputs

Inputs and processes:

HPRB staff open a new file in CaseLoad for each review application they receive. Tombstone information is entered into the system. All events relating to the application are put into the file which allows for HPRB staff to track edits and actions, input review and formatting information, and update the system with progress of tasked as assigned. The system tracks the work assignment in the course of the case file.

This is an approved information schedule, as defined by the [Information Management Act \(SBC 2015, c. 27\)](#). For more information consult your [Government Records Officer](#).

Outputs:

CaseLoad generates a range of reports, key performance indicators and statistics used for annual reporting. Data may be exported to Excel spreadsheets as required for business continuity analysis and quality assurance.

CASELOAD CASE MANAGEMENT SYSTEM

DATA RETENTION PLAN

Data Description	Data Retention Period
Case management data Classification 18600-05	Destroy when no longer required for planning, tracking, reporting, and audit purposes.

For additional classification details, including retention rationales, click on the link above.
For descriptions of system related records (e.g. back-up data, log files, and transitory systems information), see the Systems Section Primer.

END OF OVERVIEW