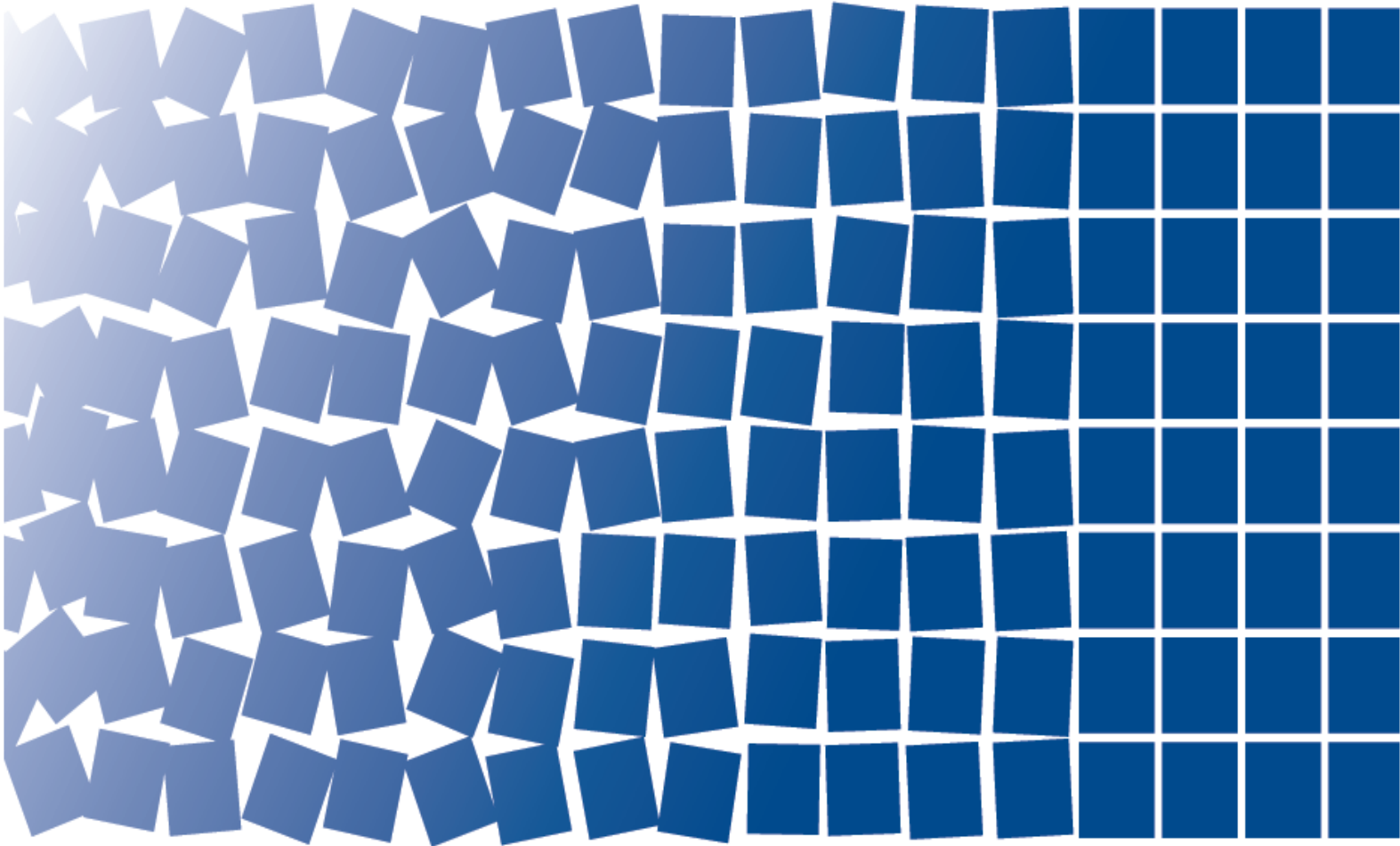


REVENUE AND STUDENT LOAN CONTRACT MANAGMENT OPERATIONAL RECORDS CLASSIFICATION SYSTEM



**REVENUE AND STUDENT LOAN
CONTRACT MANAGEMENT
OPERATIONAL RECORDS
CLASSIFICATION SYSTEM**



GOVERNMENT RECORDS SERVICE

RECORDS RETENTION AND DISPOSITION AUTHORITY

This is a recommendation to authorize an operational records classification system.

Title: **Revenue and Student Loan Contract Management Operational Records Classification System**

Ministry of Finance
Revenue Division
Revenue Solutions Branch

Description and Purpose:




The *Revenue and Student Loan Contract Management Operational Records Classification System* (ORCS) establishes a classification system and retention and disposition schedule for the operational records created by the Revenue Solutions Branch. The schedule covers the coordination of revenue management services (e.g., business processes of account management, billing, payment and collection) provided to client ministries and agencies; management the financial aspects of the provincial government's student loan program; and management and oversight of the provincial government's Alternate Service Delivery (ASD) contractual agreements for student loans, revenue management, and related information technology services.

These records document contract management activities, compliance and oversight actions, write-off and legal action requests, client relations, performance reporting, program planning, issues management, student loan claims and financial oversight, and complaints management.

Start Date: 1984 - ongoing

Recommended retention and disposition: scheduled in accord with attached records schedule.

THE UNDERSIGNED ENDORSE THE RECOMMENDATIONS:

 Records Officer signature Blair Turner	2013/12/23 Date
 Executive Director David Sherwood	2014/01/13 Date
 Assistant Deputy Minister Elan Syms	Jan 15, 2014 Date

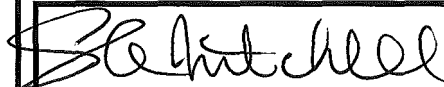
THE SELECT STANDING COMMITTEE ON PUBLIC ACCOUNTS APPROVES THE RECOMMENDATION OF THE PUBLIC DOCUMENTS COMMITTEE:

April 9, 2014
Date

APPROVED BY RESOLUTION OF THE LEGISLATIVE ASSEMBLY:

April 10, 2014
Date

THE PUBLIC DOCUMENTS COMMITTEE CONCURS:

 Chair, PDC signature Gary Mitchell	3 APR 2014 Date
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RECORDS MANAGEMENT APPRAISAL:

This appraisal documents the recommendation for active and semi-active retention periods.

The retention and final disposition guidelines specified in the attached ORCS meet the creating agency's information requirements, ensure fiscal and audit control, protect government's legal rights and liabilities, and provide for effective management of the agency's operational functions. Upon expiry of the active and semi-active retention periods, the records covered by this recommendation will no longer be of any primary value to government.

The retention and final disposition guidelines have been established in consultation with the Records Officer and staff and managers of all branches conducting operational functions in the creating agency.

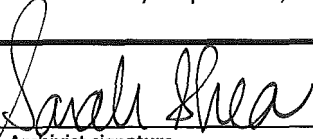
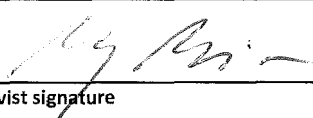
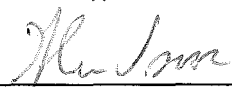
ARCHIVAL APPRAISAL:

This appraisal documents the recommendation for final disposition.

The final disposition recommendations protect records considered to have significant evidential and historical values. The specific reasons for retaining certain records are stated within the ORCS.

Record series or groups of records which will be retained in their entirety are indicated by "Full Retention."

The definition of full retention provides that records will be preserved in the government archives, and that unnecessary duplicates, transitory materials, and ephemera may be discarded.

 Archivist signature Sarah Shea	DEC 18, 2013 Date
 Senior Archivist signature Mary McIntosh	2013/12/19 Date
The undersigned endorses the appraisal recommendations:  Manager, Policy, Appraisal and Storage signature Government Records Service, Information Access Operations Glen Isaac	2013/12/23 Date

OPERATIONAL RECORDS CLASSIFICATION SYSTEM

This records schedule is approved in accordance with the *Document Disposal Act* (RSBC 1996, c. 99) and constitutes authority for retention and disposition of the records it covers. Consult your Records Officer.

A SA FD

REVENUE AND STUDENT LOAN CONTRACT MANAGEMENT OPERATIONAL RECORDS CLASSIFICATION SYSTEM (ORCS)

EXECUTIVE SUMMARY

This *Operational Records Classification System (ORCS)* establishes a classification system and retention and disposition schedule for the operational records created by the Revenue Solutions Branch.

These records document the coordination of revenue management services (e.g., business processes of account management, billing, payment and collection) provided to client ministries and agencies; management of the financial aspects of the provincial government's student loan program; and management and oversight of the provincial government's Alternate Service Delivery (ASD) contractual agreements for student loans, revenue management, and related information technology services.

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 historical values are preserved.

This *ORCS* covers records created primarily since 2004, with earlier records relating to student loan financial management dating to 1984. An earlier iteration of the Revenue Solutions Branch was formed in 2004 to perform contract management functions relating to the revenue management Master Service Agreement, signed November 26, 2004. The Revenue Solutions Branch was formally created in April 2009, with the merger of the Contract Management Office and the Student Loans Management Team. The Student Loans Management Team, consisting of staff transferred from the Ministry of Advanced Education, performed financial operations management relating to the ASD for student loan services. Records dating to 1984 were transferred along with the staff.

The following summary describes the records covered by this *ORCS* and identifies their retention periods and final dispositions. In this summary, records are linked to the *ORCS* by primary and secondary numbers. Please consult relevant primaries for further information.

- | | | | |
|--|----|----|----|
| 1) <u>Policy— final</u>
72000-00 | SO | 5y | FR |
| The government archives will fully retain final versions of operational policy documentation because they provide significant evidence of the governance of the functions and programs covered by this <i>ORCS</i> . | | | |
| 2) <u>Contract agreements and final reports and reviews</u>
72200-02 Contract agreements | SO | 7y | FR |
| 72300-03 Final reports and reviews | SO | 5y | FR |

OPERATIONAL RECORDS CLASSIFICATION SYSTEM

This records schedule is approved in accordance with the *Document Disposal Act* (RSBC 1996, c. 99) and constitutes authority for retention and disposition of the records it covers. Consult your Records Officer.

A SA FD

These records document Master Service Agreements and associated amendments (e.g., service requests and decisions requests) and annual reports, significant ad-hoc reports and reviews, which summarize contract performance, satisfaction and service levels.

The government archives will fully retain contract agreements and amendments because they document the terms and conditions for the delivery of large-scale, cross-ministry revenue management and student loan services by an alternative service delivery provider. These records, in conjunction with revenue management final reports and reviews classified under secondary 72300-03, have evidential value in demonstrating whether the stated goals of alternative service delivery (e.g., enhanced service levels, cost-effective and efficient delivery of services) were met.

3) Compliance and oversight actions
72500-20

SO 15y DE

These records document collection/legal actions recommended by the ASD provider, which by legislation, regulation or policy, require government approval or oversight. Examples of actions include compromise settlements, individual and corporate proposals made through the *Bankruptcy and Insolvency Act* (RSC 1985, c. B-3), third party demands, registering and releasing charges on real property and initiating Supreme or Small Claims Court actions.

After the compliance and oversight action is complete; legal action is resolved; or project is complete, the records will be kept for an additional 15 years to meet the branch's reference needs and to provide a reasonable period of time for the legal value of the records to be extinguished.

4) Contract management, client relations and performance and reporting
72100-20 Client relations files
72100-30 Onboarding files
72200-35 Contract management files
72300-40 Performance reporting files

SO 7y DE

These records document the management and oversight of the ASD contractual agreements; management of relationships with ASD providers' clients; marketing and communications activities (referred to as onboarding) aimed at recruiting new clients to the ASD provider or augmenting services to existing clients; and measuring performance and reporting on the ASD providers' services.

Contract management and performance and reporting files are considered active until expiry or termination of contract and all extensions, and upon conclusion of audit and other requirements stipulated in the contract. Client relations and onboarding files may be kept for the same active period or until no longer required for clients relations purposes.

OPERATIONAL RECORDS CLASSIFICATION SYSTEM

This records schedule is approved in accordance with the *Document Disposal Act* (RSBC 1996, c. 99) and constitutes authority for retention and disposition of the records it covers. Consult your Records Officer.

	A	SA	FD
<p>The seven-year semi-active retention period is based on the branch's need to research the previous contract's activities during contract re-negotiation, ensures the records are available for fiscal accountability, and also provides a reasonable period of time for the legal value of the records to be extinguished.</p>			
5) <u>Program planning and issues management</u> 72000-30 Issues management files 72000-40 Program planning files	SO	7y	DE

These records document issues management not covered under a more specific primary within this *ORCS* and the planning, evaluation and review of programs and services provided by the ASD provider.

Issues management files are retained until the issue is no longer topical plus an additional seven years as issues that have not re-emerged within that period are unlikely to do so.

Program planning files are retained until no longer required for program planning, evaluation, and review purposes or when the project is completed, abandoned or cancelled. A seven-year semi-active retention period accounts for the potential need to research previous planning activities and decisions.

6) <u>Student loan claims, financial oversight records, and write-off and legal action requests</u> 72500-10 Write-off and legal action requests 73200-20 Student loan vendor claim files 73200-25 Financial operations and oversight files	SO+1y	6y	DE
	SO+1y	6y	DE
	FY+1y	6y	DE

Write off and legal action requests document recommendations prepared by Compliance staff to approve or deny write-off requests received from the ASD provider. The records are retained until the end of the fiscal year in which the write-off or legal action requests are reviewed plus an additional 7 years. The retention period meets the branch's operational and reference requirements and is consistent with the retention period for claims files and similar financial records classified under *ARCS*.

Student loan vendor claim files document the receipt, review and processing of claims for defaulted student loans. Student loan claims are active until the student loan has been paid, written-off, or extinguished or when no longer required for student loans claims processing purposes. They are subsequently retained for an additional seven years, which meets the branch's operational and reference requirements and is consistent with the retention period for claims files and similar financial records classified under *ARCS*.

Financial operations and oversight files document the financial oversight of the revenue management and student loan services performed by the ASD providers. Examples of current areas of financial oversight include student loan disbursement and repayment; collection of student defaulted loans; and overpayment of MSP accounts. Records are retained for eight years, which provides a sufficient length of time to identify issues and resolve anomalies. In

OPERATIONAL RECORDS CLASSIFICATION SYSTEM

This records schedule is approved in accordance with the *Document Disposal Act* (RSBC 1996, c. 99) and constitutes authority for retention and disposition of the records it covers. Consult your Records Officer.

	A	SA	FD
addition, the retention period is consistent with the eight-year retention period for similar financial records classified in <i>ARCS</i> .			
7) <u>Systems</u>	SO	nil	DE
The Systems Section provides descriptions of electronic systems and classifications for the records residing on them. The data on the systems are described under the appropriate primary and secondary classifications.			
Unless otherwise noted, each system will be destroyed when the records/data on it have been migrated to a new system performing the same function, or when the relevant retention schedules have elapsed, or the information has been preserved elsewhere.			
8) <u>All Other Records</u>			DE
All other records are destroyed at the end of their semi-active retention periods. The retention of these records varies depending on the nature of the records and the function performed, but does not exceed seven years. Any information from these records that has ongoing value is adequately documented under secondaries with longer retentions and/or full or selective retention appraisals within the <i>ORCS</i> or in <i>ARCS</i> , such as summary reports, policy records, executive briefing notes (<i>ARCS</i> secondary 280-20), and annual reports (<i>ORCS</i> secondary 72000-02). These records have no enduring value to government at the end of their scheduled retention periods.			

END OF EXECUTIVE SUMMARY

OPERATIONAL RECORDS CLASSIFICATION SYSTEM

This records schedule is approved in accordance with the *Document Disposal Act* (RSBC 1996, c. 99) and constitutes authority for retention and disposition of the records it covers. Consult your Records Officer.

REVENUE AND STUDENT LOAN CONTRACT MANAGEMENT

OPERATIONAL RECORDS CLASSIFICATION SYSTEM

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OPERATIONAL RECORDS CLASSIFICATION SYSTEM

This records schedule is approved in accordance with the *Document Disposal Act* (RSBC 1996, c. 99) and constitutes authority for retention and disposition of the records it covers. Consult your Records Officer.

**INTRODUCTION TO THE
*REVENUE AND STUDENT LOAN CONTRACT
MANAGEMENT ORCS***

For further information, contact your [Records Officer](#).

OPERATIONAL RECORDS CLASSIFICATION SYSTEM

This records schedule is approved in accordance with the *Document Disposal Act* (RSBC 1996, c. 99) and constitutes authority for retention and disposition of the records it covers. Consult your Records Officer.

1. **General**

This introduction provides an overview of the functions and activities documented in records classified and scheduled under the *Revenue and Student Loan Contract Management Operational Records Classification System (RSLC ORCS)*.

For general information about the purpose, organization, and elements of *ORCS* in general, and of the *Administrative Records Classification System (ARCS)*, see the *ARCS and ORCS User Guide* available on BC Government's Records Management web site at http://www.gov.bc.ca/citz/iao/arcs/admin/arcs_orcs_user_guide.pdf. It is designed to help you understand, interpret and use *ARCS* and *ORCS*.

For special schedules that cover records that are not covered by *ARCS* and *ORCS*, see http://www.gov.bc.ca/citz/iao/records_mgmt/special_schedules/index.html.

For legislation, policies, and standards for managing records in the BC Government, see http://www.gov.bc.ca/citz/iao/records_mgmt/policy_standards/.

For tips, guides, and FAQs on related topics, see http://www.gov.bc.ca/citz/iao/records_mgmt/guides/.

For Records Officer contact information, see http://www.gov.bc.ca/citz/iao/records_mgmt/rec_officers/.

2. **Overview of ORCS Purpose and Structure**

The operational records covered by this *ORCS* relate to the operations and services your ministry or agency provides in accordance with statute, mandate, and/or policy.

This *ORCS* has the following parts:

- Executive Summary:
 - a copy of the signed records retention and disposal authority (ARS 008) form
 - a high-level overview of the *ORCS*
- Table of Contents
- Introduction (this section)¹
- Section 1 and any other numbered sections with classifications and schedules for the records covered by this *ORCS*; see part 3 below for further information
- Systems Section: contains a comprehensive listing of electronic systems relevant to this *ORCS*, with detailed descriptions where warranted, and brief descriptions where not.
- Index
- Appendices: may be added to provide a summary of changes (if the *ORCS* has been amended), file codes, filing procedures, and/or other classification or records management guidelines

¹ Pre-2011 *ORCS* have "How to Use" sections instead of the Introduction. Much of the information that used to be provided in the How to Use section is now available in the [ARCS/ORCS User Guide](#) available on the Records Management web site.

OPERATIONAL RECORDS CLASSIFICATION SYSTEM

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ORCS KEY: the Key to your ORCS Codes and Acronyms

The following codes and acronyms are used throughout this *ORCS*:

Office information: **OPR** = Office of Primary Responsibility

Records life cycle: **A** = Active
SA = Semi-active
FD = Final Disposition

Active and semi-active periods: **CY** = Calendar Year
FY = Fiscal Year
NA = Not Applicable
SO = Superseded or Obsolete
w = week
m = month
y = year

Final dispositions: **DE** = Destruction
FR = Full Retention
SR = Selective Retention
OD = Other Disposition

Special flags: **FOI** = Freedom of Information/Privacy
PIB = Personal Information Bank
VR = Vital Records

For further explanation of terms, see the [ARCS and ORCS User Guide](#).

3. The Functions and Activities Covered by this ORCS

Section Number	Primary Numbers	Section Title
Section 1	72000-74000	REVENUE AND STUDENT LOAN CONTRACT MANAGEMENT

Covers records relating to coordinating the revenue management services (e.g., business processes of account management, billing, payment and collection) provided to client ministries and agencies; managing the financial aspects of the provincial government's student loan program and managing and overseeing the provincial government's Alternate Service Delivery (ASD) contractual agreements for student loans, revenue management, and related information technology services.

OPERATIONAL RECORDS CLASSIFICATION SYSTEM

This records schedule is approved in accordance with the *Document Disposal Act* (RSBC 1996, c. 99) and constitutes authority for retention and disposition of the records it covers. Consult your Records Officer.

4. **Legal Authority of this ORCS**

Under provisions of the *Document Disposal Act* (RSBC 1996, c. 99), this ORCS has been reviewed and endorsed by the following authorities:

- government archivists
- your executive
- the Public Documents Committee
- the Select Standing Committee on Public Accounts

Upon approval by the Legislative Assembly, this ORCS has statutory authority governing the retention and disposition of the records that it covers.

OPERATIONAL RECORDS CLASSIFICATION SYSTEM

This records schedule is approved in accordance with the *Document Disposal Act* (RSBC 1996, c. 99) and constitutes authority for retention and disposition of the records it covers. Consult your Records Officer.

SECTION 1

REVENUE AND STUDENT LOAN CONTRACT MANAGEMENT

PRIMARY NUMBERS

72000 – 74000

Section 1 covers records relating to coordinating the revenue management services (e.g., business processes of account management, billing, payment and collection) provided to client ministries and agencies; managing the financial aspects of the provincial government's student loan program; and managing and overseeing the provincial government's Alternate Service Delivery (ASD) contractual agreements for student loans, revenue management, and related information technology services.

OPERATIONAL RECORDS CLASSIFICATION SYSTEM

This records schedule is approved in accordance with the *Document Disposal Act* (RSBC 1996, c. 99) and constitutes authority for retention and disposition of the records it covers. Consult your Records Officer.

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REVENUE AND STUDENT LOAN CONTRACT MANAGEMENT

72000 - 74000

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72100	CLIENT RELATIONS
72200	CONTRACT MANAGEMENT
72300	PERFORMANCE AND REPORTING
72500	COMPLIANCE
72600	PUBLIC COMPLAINT AND INQUIRY RESOLUTION
73200	FINANCIAL OVERSIGHT

OPERATIONAL RECORDS CLASSIFICATION SYSTEM

This records schedule is approved in accordance with the *Document Disposal Act* (RSBC 1996, c. 99) and constitutes authority for retention and disposition of the records it covers. Consult your Records Officer.

72000 REVENUE AND STUDENT LOAN CONTRACT MANAGEMENT - GENERAL

Records not shown elsewhere in the Revenue and Student Loan Contract Management section which relate generally to coordinating the revenue management services (e.g., business processes of account management, billing, payment and collection) provided to client ministries and agencies; managing the financial aspects of the provincial government's student loan program; and managing and overseeing the provincial government's Alternate Service Delivery (ASD) contractual agreements for student loans, revenue management, and related information technology services.

This primary includes policy and program development and issues management.

NOTE: Only records which cannot be classified in a more specific primary or secondary may be classified under this primary.

For audits and reviews prepared by Internal Audit, see *ARCS* secondary 975-40.

For committee files, see *ARCS* primaries 200 and 201.

For contact lists, see *ARCS* secondary 295-06.

For cooperation and liaison files, see *ARCS* secondary 230-20.

For final internal strategic and business plans, see *ARCS* secondary 400-10.

For information technology systems development files (e.g., RMS), see *ARCS* primary 6450.

For legislation development and approval files, see *ARCS* primary 140.

For lists, spreadsheets, and registers for tracking work, see *ARCS* secondary 100-05.

For policy from external sources, see *ARCS* primary 195.

For reference material/topical files, see *ARCS* secondary 358-20.

For training files, see *ARCS* primaries 1730 or 1735.

The ministry OPR is Revenue Solutions Branch unless otherwise noted below. See specific secondaries for OPR retention schedules.

	A	SA	FD
All non-OPR offices will retain these records for:	SO	nil	DE
-00 Policy - final (arrange by ASD provider, then by policy name) (covers final/approved policies, procedures, standards, guidelines, and forms pertaining to the functions and activities documented in this <i>ORCS</i> developed for use by the program area, ASD providers, clients, stakeholders and the public)	SO	5y	FR
SO: when the policy is replaced or becomes irrelevant			
FR: The government archives will fully retain final versions of operational policy documentation because they provide significant evidence of the governance of the functions and programs covered by this <i>ORCS</i> .			(cont.)

OPERATIONAL RECORDS CLASSIFICATION SYSTEM

This records schedule is approved in accordance with the *Document Disposal Act* (RSBC 1996, c. 99) and constitutes authority for retention and disposition of the records it covers. Consult your Records Officer.

72000	REVENUE AND STUDENT LOAN CONTRACT MANAGEMENT – GENERAL	A	SA	FD
-00	Policy - final (continued) NOTE: Policy development files are classified under secondary 72000-35.			
-01	General NOTE: 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.	CY+2y	nil	DE
-30	Issues management files (arrange by ASD provider, then by issue) (covers issues management not covered under a more specific secondary within this ORCS) SO: when issue is resolved or no longer topical 7y: The retention period meets the branch’s needs as issues that have not re-emerged with seven years are unlikely to do so.	SO	7y	DE
-35	Policy development files (includes copies of briefing notes, copies of legal opinions, discussion papers, correspondence, drafts and working materials) (arrange by ASD provider, then by policy) (covers policy development, evaluation and implementation) SO: when the policy is approved and distributed or abandoned DE: Policy development files may be destroyed because final policies are fully retained under secondary 72000-00. NOTE: This secondary also includes the development of the Master Student Financial Assistance Agreement (MSFAA).	SO	5y	DE
-40	Program planning files (includes project charters, work plans, business cases, copies of briefing notes, presentations, communication plans, correspondence, status reports, discussion papers, meeting minutes, issues logs, and supporting documentation)	SO	7y	DE
		(cont.)		

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

OPERATIONAL RECORDS CLASSIFICATION SYSTEM

This records schedule is approved in accordance with the *Document Disposal Act* (RSBC 1996, c. 99) and constitutes authority for retention and disposition of the records it covers. Consult your Records Officer.

72000 REVENUE AND STUDENT LOAN CONTRACT MANAGEMENT – GENERAL **A SA FD**

- 40 Program planning files** (cont.)
(arrange by ASD provider, then by program or project)
(covers the planning, evaluation and review of programs and services delivered by the ASD provider)
- SO: when no longer required for program planning, evaluation and review purposes or when the project is completed, abandoned or cancelled
- 7y: The retention period is based on the potential need to research previous planning activities and decisions.
- DE: Program planning files have been appraised for destruction because the following record types are fully retained: Policy and procedures (72000-00); Final reports and reviews (72300-03); contract agreements (72200-02) and final internal strategic business plans (ARCS 400-10).
- NOTE: An example of a function covered under this secondary includes the planning for the integration of student loan administration with the federal government.
- NOTE: This secondary is not to be used for information technology development projects, such as the development of RMS. For the classification of these records, see ARCS primary 6450. For final internal strategic and business plans, see ARCS secondary 400-10. For final reports and reviews, see secondary 72300-03.

END OF PRIMARY

OPERATIONAL RECORDS CLASSIFICATION SYSTEM

This records schedule is approved in accordance with the *Document Disposal Act* (RSBC 1996, c. 99) and constitutes authority for retention and disposition of the records it covers. Consult your Records Officer.

72100 CLIENT RELATIONS

Records relating to establishing and managing relationships with the Alternative Service Delivery (ASD) providers' clients. From a revenue management perspective, clients are ministries or agencies that use the ASD providers' services (e.g., business processes of account management, billing, payment and collection). From a student loan perspective, clients are students receiving student loans.

Client relations activities include: negotiating agreements (e.g., service standard agreements); providing oversight on client specific issues and projects; participating in client specific plans; and seeking feedback from clients (e.g., surveys). They also include client relations activities that are multi or cross-client in nature (e.g., planning and issues management).

This primary also covers marketing and communication activities (referred to by the branch as onboarding). Onboarding activities are aimed at recruiting new clients for the ASD provider or augmenting services to existing clients. These activities can be client-specific (e.g., promotional projects) or cross-client in nature (e.g., planning and issues management).

For committee files, see ARCS primary 200.

For contract management files, see secondary 72200-35.

For originals of memoranda of understanding and other client agreements, see ARCS secondary 146-45.

For performance reports, see secondary 72300-40.

For policy and procedure files, see secondaries 72000-00 and -35.

The ministry OPR is Revenue Solutions Branch unless otherwise noted below. See specific secondaries for OPR retention schedules.

	A	SA	FD
All non-OPR offices will retain these records for:	SO	nil	DE
-01 General	CY+2y	nil	DE
NOTE: 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.			
-20 Client relations files (includes copies of agreements, meeting minutes and agendas, process flowcharts, user documentation, presentations, issue logs, client care plans, reports from clients and surveys) (arrange by ASD provider, if applicable, then by client or activity)	SO	7y	DE

(cont.)

OPERATIONAL RECORDS CLASSIFICATION SYSTEM

This records schedule is approved in accordance with the *Document Disposal Act* (RSBC 1996, c. 99) and constitutes authority for retention and disposition of the records it covers. Consult your Records Officer.

72100 CLIENT RELATIONS

A SA FD

-20 Client relations files (continued)

SO: upon expiry or termination of contract and all extensions, and upon conclusion of audit and other requirements stipulated in the contract; or when no longer required for client relations purposes

7y: The retention period is based on the branch's need to research the previous contract's activities during contract re-negotiation, ensures the records are available for fiscal accountability, and also provides a reasonable period of time for the legal value of the records to be extinguished.

NOTE: Survey final reports are classified under secondary 72300-03.

-30 Onboarding files

SO 7y DE

(includes presentations, business cases, charters, cost-benefit analysis documents, inventory lists, plans, status reports, and client information)

(arrange by ASD provider, if applicable, then by activity or client/potential client)

SO: upon expiry or termination of contract and all extensions, and upon conclusion of audit and other requirements stipulated in the contract; or when no longer required for onboarding purposes

7y: The retention period is based on the branch's need to research the previous contract's activities during contract re-negotiation, ensures the records are available for fiscal accountability, and also provides a reasonable period of time for the legal value of the records to be extinguished.

NOTE: Client-specific files may be re-classified to secondary -20 once they transition from the onboarding phase to the client relations phase.

END OF PRIMARY

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

OPERATIONAL RECORDS CLASSIFICATION SYSTEM

This records schedule is approved in accordance with the *Document Disposal Act* (RSBC 1996, c. 99) and constitutes authority for retention and disposition of the records it covers. Consult your Records Officer.

72200 CONTRACT MANAGEMENT

Records relating to the management and oversight of the Alternate Service Delivery (ASD) contractual agreements for student loans, revenue management, and related information technology services.

The branch has overall governance responsibility for the Master Service Agreement (MSA) and associated amendments. Contract management functions include but are not limited to: contract procurement; contract negotiation; contract monitoring and relationship management; quality assurance, audits, and reviews; contract process tracking; and obligation monitoring.

For audits and reviews prepared by Internal Audit, see *ARCS* secondary 975-40.
For agreements with individual students, see the *Student Services ORCS*, Schedule 117457.

For client relations files, see primary 72100.

For committee files, see *ARCS* primary 200.

For final reports and reviews, see secondary 72300-03.

For invoice review and approval, see *ARCS* secondary 925-20 (Branch to apply OPR retention period).

For non-ASD contracts, see *ARCS* primary 1070.

For originals of legal advice and opinion, see *ARCS* secondary 350-25.

For originals of memoranda of understanding and other client agreements, see *ARCS* secondary 146-45.

For performance and reporting files, see primary 72300.

For policy and procedure files, see secondaries 72000-00 and -35.

For reference material/topical files, see *ARCS* secondary 358-20.

The ministry OPR is Revenue Solutions Branch unless otherwise noted below.
See specific secondaries for OPR retention schedules.

	A	SA	FD
All non-OPR offices will retain these records for:	SO	nil	DE
-01 General	CY+2y	nil	DE

NOTE: 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.

OPERATIONAL RECORDS CLASSIFICATION SYSTEM

This records schedule is approved in accordance with the *Document Disposal Act* (RSBC 1996, c. 99) and constitutes authority for retention and disposition of the records it covers. Consult your Records Officer.

72200 CONTRACT MANAGEMENT

	A	SA	FD
-02 Contract agreements (also includes certificates of insurance) (arrange by ASD provider, then by agreement type and version) (covers the Master Service Agreement and associated amendments (e.g., service requests and decisions requests))	SO	7y	FR
SO: upon expiry or termination of contract and all extensions, and upon conclusion of audit and other requirements stipulated in the contract			
7y: The retention period is based on the branch's need to research the previous contract's activities during contract re-negotiation, ensures the records are available for fiscal accountability, and also provides a reasonable period of time for the legal value of the records to be extinguished.			
FR: The government archives will fully retain contract agreements and amendments because they document the terms and conditions for the delivery of large-scale, cross-ministry revenue management and student loan services by an alternative service delivery provider. These records, in conjunction with revenue management final reports and reviews classified under secondary 72300-03, have evidential value in demonstrating whether the stated goals of alternative service delivery (e.g., enhanced service levels, cost-effective and efficient delivery of services) were met.			
-35 Contract management files (covers but not limited to the following contract management activities with the service provider: contract procurement; contract negotiation; contract monitoring and contract relationship management: contract process tracking; contract audits and reviews; and contract obligation monitoring) (arrange by activity)	SO	7y	DE
SO: upon expiry or termination of contract and all extensions, and upon conclusion of audit and other requirements stipulated in the contract			

(cont.)

OPERATIONAL RECORDS CLASSIFICATION SYSTEM

This records schedule is approved in accordance with the *Document Disposal Act* (RSBC 1996, c. 99) and constitutes authority for retention and disposition of the records it covers. Consult your Records Officer.

72200 CONTRACT MANAGEMENT

A SA FD

-35 Contract management files (cont.) SO 7y DE

7y: The retention period is based on the branch's need to research the previous contract's activities during contract re-negotiation, ensures the records are available for fiscal accountability, and also provides a reasonable period of time for the legal value of the records to be extinguished.

NOTE: Final reports and reviews are classified and scheduled for full retention under secondary 72300-03 with the exception of reviews prepared by Internal Audit, which are classified in ARCS under secondary 975-40. Final contract amendments are classified under secondary 72200-02.

END OF PRIMARY

OPERATIONAL RECORDS CLASSIFICATION SYSTEM

This records schedule is approved in accordance with the *Document Disposal Act* (RSBC 1996, c. 99) and constitutes authority for retention and disposition of the records it covers. Consult your Records Officer.

72300 PERFORMANCE MEASUREMENT AND REPORTING

Records relating to measuring performance and reporting on the Alternative Service Delivery (ASD) providers' services.

This primary covers performance report tracking; development of reporting templates and tools; and the preparation and receipt of performance reports. Reporting types include: reports from the service provider to the client ministry; reports from the service provider to the division for purposes of performance monitoring; and reports from the division which inform the executives of the involved ministries of the service provider's performance.

This primary also covers annual reporting and reviews.

For audits and reviews prepared by Internal Audit, see *ARCS* secondary 975-40.

For committee files, see *ARCS* primary 200.

For contract management files, see secondary 72200-35.

For policy and procedure files, see secondaries 72000-00 and -35.

For reference material/topical files, see *ARCS* secondary 358-20.

The ministry OPR is Revenue Solutions Branch unless otherwise noted below. See specific secondaries for OPR retention schedules.

	A	SA	FD
All non-OPR offices will retain these records for:	SO	nil	DE
-01 General	CY+2y	nil	DE
NOTE: 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.			
-02 Report schedule tracking (includes templates, logs, report lists, report catalog, and other schedule tracking tools)	SO	nil	DE
-03 Final reports and reviews (arrange by ASD provider, then by report type) (covers annual reports as well as significant ad-hoc reports/reviews which summarize contract performance, satisfaction and service levels)	SO	5y	FR
FR: The government archives will fully retain revenue management final reports and reviews because they have evidential value in demonstrating whether the stated goals of alternative service delivery (e.g., enhanced service levels, cost-effective and efficient delivery of services) were met.	(cont.)		

OPERATIONAL RECORDS CLASSIFICATION SYSTEM

This records schedule is approved in accordance with the *Document Disposal Act* (RSBC 1996, c. 99) and constitutes authority for retention and disposition of the records it covers. Consult your Records Officer.

72300 PERFORMANCE MEASUREMENT AND REPORTING

A SA FD

-03 Final reports and reviews (cont.)

NOTE: Examples of reports include the Revenue Management Summary Report, Annual Performance Reports, research reports, and student loan client satisfaction survey reports. Also included under this secondary are the Vision Report and High Level Business Model which were developed to support the decision to proceed with an ASD model for revenue management.

NOTE: Audits and reviews prepared by Internal Audit are classified under ARCS secondary 975-40. Monthly Performance Reports are classified under secondary 72300-40 Performance reporting files. Other reports are classified under the functional area to which they relate.

-40 Performance reporting files

SO 7y DE

(includes reports and post incident review (PIR) records)
(arrange by ASD provider, then by report type or activity)

SO: upon expiry or termination of contract and all extensions, and upon conclusion of audit and other requirements stipulated in the contract

7y: The retention period is based on the branch's need to research the previous contract's activities during contract re-negotiation, ensures the records are available for fiscal accountability, and also provides a reasonable period of time for the legal value of the records to be extinguished.

NOTE: For final reports and reviews that will be fully retained, see secondary 72300-03. For student loan financial operations and oversights reports, see secondary 73200-25.

END OF PRIMARY

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

OPERATIONAL RECORDS CLASSIFICATION SYSTEM

This records schedule is approved in accordance with the *Document Disposal Act* (RSBC 1996, c. 99) and constitutes authority for retention and disposition of the records it covers. Consult your Records Officer.

72500 COMPLIANCE

Records relating to the approval and management of certain collection/legal actions recommended by the Alternate Service Delivery (ASD) provider, which by legislation, regulation or policy, require government approval or oversight. Compliance officers oversee the collection activity performed by the ASD provider and are the “government authority” for their legal action requests. Examples of actions include agreeing to compromise settlements or individual and corporate proposals made through the *Bankruptcy and Insolvency Act* (RSC 1985, c. B-3), third party demands, registering and releasing charges on real property and initiating Supreme or Small Claims Court actions. Officers review and then approve or deny actions requested by the service provider. In the case of advanced collection activity (e.g., court actions and judgments) the compliance officer will maintain control of the file until the action is completed.

The compliance supervisor acts as the provincial coordinator with the Canada Revenue Agency (CRA) in relations to the CRA Set-Off Program for the provincial government and the ASD provider. The CRA Set-Off Program is an agreement between the province and the CRA which applies a debtor’s CRA income tax refunds and Harmonized Sales Tax (HST) and Goods and Services Tax (GST) rebates towards a debt outstanding with the province.

Compliance staff also receive write-off requests from the ASD provider, review the accounts and makes recommendations to approve or deny. Final approvals are required by the branch executive, source ministry, and/or the Office of the Comptroller General, as applicable.

For authorized signatures files, see ARCS primary 265.
 For issues management files, see secondary 72000-30.
 For legal opinions, not filed with the compliance and oversight actions, see ARCS secondary 350-20.
 For policy and procedure files, see secondaries 72000-00 and -35.
 For reference material/topical files, see ARCS secondary 358-20.

The ministry OPR is Revenue Solutions Branch unless otherwise noted below. See specific secondaries for OPR retention schedules.

	A	SA	FD
All non-OPR offices will retain these records for:	SO	nil	DE
-01 General	CY+2y	nil	DE
NOTE: 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.			
-02 Canada Revenue Agency (CRA) set-off liaison and coordination (includes contact lists, reports, memoranda, statistics, and copies of financial records (e.g., invoices)	SO	nil	DE
	(cont'd)		

OPERATIONAL RECORDS CLASSIFICATION SYSTEM

This records schedule is approved in accordance with the *Document Disposal Act* (RSBC 1996, c. 99) and constitutes authority for retention and disposition of the records it covers. Consult your Records Officer.

72500 COMPLIANCE

A SA FD

-02 Canada Revenue Agency (CRA) set-off liaison and coordination (continued)

SO: when no longer required for set-off liaison and coordination purposes

-05 Compliance tracking and reporting

(includes reports, spreadsheets and statistics)
(covers tracking and reporting of write-off requests and compliance and oversight actions)

SO nil DE

SO: when no longer required for tracking and reporting purposes

NOTE: Tracking and reporting relating to CRA set-off liaison and coordination is classified under secondary 72500-02.

-10 Write-off and legal action requests

(covers hardship requests, legal action requests, and write-off requests and includes requests, working sheets, batch overviews, memoranda, summary documents and approvals)
(arrange by fiscal year)

SO+1y 6y DE

SO: upon the end of the fiscal year in which the write-off or legal action requests are reviewed

7y: The retention period meets the branch's operational and reference requirements and is consistent with the retention period for write-offs and financial records classified under ARCS.

NOTE: Tracking and reporting of write-off requests and legal actions is classified under secondary -05.

NOTE: Examples of legal action requests include requests relating to s. 83 of the *Financial Administration Act* (RSBC 1996, c. 138) and s. 204 of the *Land Title Act* (RSBC 1996, c. 250).

NOTE: Actions relating to judgments are classified under secondary -20.

OPERATIONAL RECORDS CLASSIFICATION SYSTEM

This records schedule is approved in accordance with the *Document Disposal Act* (RSBC 1996, c. 99) and constitutes authority for retention and disposition of the records it covers. Consult your Records Officer.

72500 COMPLIANCE

			A	SA	FD
PIB	-20 Compliance and oversight actions (includes legal opinions, settlement offers, court action records, project records, and supporting documentation) (arrange by activity type and/or by name of individual, if applicable)		SO	15y	DE
	SO: when compliance and oversight action is complete; legal action is resolved; project is complete; or when no longer required to document precedents and protect the legal interests, rights and obligations of the government				
	15y: The retention period meets the branch's reference needs and provides a reasonable period of time for the legal value of the records to be extinguished.				
	DE: These records have been appraised for destruction because court orders and judgments are fully retained under the <i>Court Services ORCS</i> , Schedule 100152, secondaries 51400-25 and -27 and 72000-02.				
	NOTE: Examples of compliance and oversight actions include compromise settlements and individual and corporate proposals made through the <i>Bankruptcy and Insolvency Act</i> (RSC 1985, c. B-3).				
	NOTE: Tracking and reporting relating to compliance and oversight actions is classified under secondary -05.				

END OF PRIMARY

OPERATIONAL RECORDS CLASSIFICATION SYSTEM

This records schedule is approved in accordance with the *Document Disposal Act* (RSBC 1996, c. 99) and constitutes authority for retention and disposition of the records it covers. Consult your Records Officer.

72600 PUBLIC COMPLAINT AND INQUIRY RESOLUTION

Records relating to receiving, assessing and responding to public complaints, inquiries, concerns and issues from the Alternate Service Delivery (ASD) providers' customers. Public complaints and inquiries are typically received directly from the individual, ASD provider, ministry correspondence unit, government agent offices or via a Member of the Legislative Assembly assisting their constituent. Examples of complaint and inquiry types include: Medical Services Plan premiums collection activity and defaulted student loan collection activity.

For a description of the Customer Care Centre (CCC) Reports Database, see the Systems Section.

For policy and procedure files, see secondaries 72000-00 and -35.

For reference material/topical files, see *ARCS* secondary 358-20.

The ministry OPR is Revenue Solutions Branch unless otherwise noted below. See specific secondaries for OPR retention schedules.

		A	SA	FD
	All non-OPR offices will retain these records for:	SO	nil	DE
	-01 General	CY+2y	nil	DE
	NOTE: 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.			
PIB	-02 Public complaint and inquiry tracking (includes logs, statistics, reports and data stored in the Customer Care Centre (CCC) Reports Database)	SO	nil	DE
	SO: when no longer required to support complaints tracking and reporting			
PIB	-20 Public complaint and inquiry case files (includes correspondence, consent forms, and supporting documentation) (arrange by ASD provider, if applicable, then by complainant name)	SO+2y	nil	DE
	SO: when the case is resolved			
	2y: The retention period ensures the records are available for a sufficient period for follow-up and consultation in the event of similar complaint, concern or issue.			
	NOTE: Ombudsman's investigations are covered by <i>ARCS</i> secondary 155-20.			

END OF PRIMARY

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

OPERATIONAL RECORDS CLASSIFICATION SYSTEM

This records schedule is approved in accordance with the *Document Disposal Act* (RSBC 1996, c. 99) and constitutes authority for retention and disposition of the records it covers. Consult your Records Officer.

73200 FINANCIAL OVERSIGHT

Records relating to the financial oversight of the revenue management and student loan services performed by the Alternative Service Delivery (ASD) providers. Examples of current areas of financial oversight include student loans, Medical Services Plan, and monies collected by the ASD provider for other revenue streams.

In addition to financial oversight, this primary covers records relating to the receipt, review and processing of claims for defaulted student loans. Defaulted accounts are transferred to the ASD provider for collection. Write-off requests received from the ASD provider are reviewed and approved by the Compliance section and classified under secondary 72500-10.

For compliance and oversight actions performed by Compliance Officers, see primary 72500.

For loan applications and student financial assistance files, see the *Student Services ORCS, Schedule 117457*.

For policy and procedure files, see secondaries 72000-00 and -35.

For reference material/topical files, see *ARCS* secondary 358-20.

For reports relating to the ASD providers' performance, see primary 72300.

The ministry OPR is Revenue Solutions Branch unless otherwise noted below. See specific secondaries for OPR retention schedules.

	A	SA	FD
All non-OPR offices will retain these records for:	SO	nil	DE
-01 General	CY+1y	nil	DE
<p>NOTE: 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.</p>			
-20 Student loan vendor claim files (covers correspondence, claim for loss forms, reports and supporting documentation relating to claims submitted by financial institutions, service providers, and other bodies for repayment of loans that are in default) (arrange by claim type, then name and/or Social Insurance Number or by reporting activity)	SO+1y	6y	DE
SO: when the student loan has been paid, written-off or extinguished and when no longer required for student loan claims processing purposes	(cont.)		

OPERATIONAL RECORDS CLASSIFICATION SYSTEM

This records schedule is approved in accordance with the *Document Disposal Act* (RSBC 1996, c. 99) and constitutes authority for retention and disposition of the records it covers. Consult your Records Officer.

73200 FINANCIAL OVERSIGHT

A SA FD

-20 Student loan vendor claim files (continued)

7y: The retention period meets the branch's operational and reference requirements and is consistent with the retention period for claims files and similar financial records classified under *ARCS*.

NOTE: Examples of claims types covered by this secondary include bankruptcy, death, consumer proposals, orderly payment of debt, loan conversions, credit counseling, recalls, rehabilitations and rejects.

NOTE: Any actions involving judgments are classified under secondary 72500-20.

-25 Financial operations and oversight files

FY+1y 6y DE

(includes reports, journal vouchers, reconciliations, bank statements, analyses and related records)

(arrange by ASD provider, then by oversight activity or reporting type)

8y: The retention period provides a sufficient length of time to identify issues and resolve anomalies. In addition, the retention period is consistent with the eight-year retention period for similar financial records classified in *ARCS*.

END OF PRIMARY

OPERATIONAL RECORDS CLASSIFICATION SYSTEM

This records schedule is approved in accordance with the *Document Disposal Act* (RSBC 1996, c. 99) and constitutes authority for retention and disposition of the records it covers. Consult your Records Officer.

REVENUE AND STUDENT LOAN CONTRACT MANAGEMENT

OPERATIONAL RECORDS CLASSIFICATION SYSTEM (ORCS)

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OPERATIONAL RECORDS CLASSIFICATION SYSTEM

This records schedule is approved in accordance with the *Document Disposal Act* (RSBC 1996, c. 99) and constitutes authority for retention and disposition of the records it covers. Consult your Records Officer.

SYSTEMS SECTION: COMMON SYSTEM NOTES

Retention Schedules for the Systems

The data on the systems are classified under appropriate secondaries in the *ORCS* and in *Administrative Records Classification System (ARCS)*, as indicated in the following descriptions. The systems themselves are all scheduled as follows:

Active	SO =	The system becomes superseded and obsolete when all data have been migrated to another system or documented elsewhere, or when all applicable retention schedules for the data have expired; see relevant classifications.
Semi-Active	nil =	There is no semi-active retention period assigned to systems.
Final Disposition	DE =	Each system will be destroyed when all data has been migrated to a new system performing the same function, or when the function it supports is no longer performed by the provincial government, and when the approved retention schedules covering the information on it have elapsed, or the information has been preserved elsewhere. For more information, see DE appraisal notes under the secondaries that cover the data.

OPERATIONAL RECORDS CLASSIFICATION SYSTEM

This records schedule is approved in accordance with the *Document Disposal Act* (RSBC 1996, c. 99) and constitutes authority for retention and disposition of the records it covers. Consult your Records Officer.

System Title	System Overview	Retention Schedule		
		A	SA	FD

SIMPLE SYSTEMS LIST

This table provides a comprehensive list of simple information systems that contain data covered by this *ORCS*, but which do not warrant detailed systems overviews. Please note that simple web sites are classified under *ARCS* secondary 340-30 and are not mentioned here.

Systems and web sites that warrant more detailed descriptions are not included in this list; see the Systems Section table of contents.

Customer Care Centre (CCC) Reports Database: description	The Customer Care Centre (CCC) Reports Database is an in-house Access database used to track and report on customer complaints. Complaint details captured include: complainant name, source of complaint, summary of complaint, and close date.				
data	72600-02	Customer complaint tracking	SO	nil	DE
inputs	72600-20	Customer complaint case files	SO+2y	nil	DE
outputs	72600-02	Customer complaint tracking	SO	nil	DE

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OPERATIONAL RECORDS CLASSIFICATION SYSTEM

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REVENUE AND STUDENT LOAN CONTRACT MANAGEMENT OPERATIONAL RECORDS CLASSIFICATION SYSTEM (ORCS)

INDEX

This index is an alphabetical guide to *ORCS* subject headings and relevant primary number(s).

Use this index in the following ways:

- to locate the correct primary number to classify documents;
- to retrieve, by subject, documents which have been classified and filed; and
- to access the contents of your *ORCS*.

This index contains an alphabetical listing of:

- all keywords from secondary titles;
- keywords from primary scope notes;
- common synonyms for indexed keywords; and
- common abbreviations.

Cross-references:

"See" references indicate that the subject heading sought is indexed under an alternate entry (a more appropriate keyword, a full or official name, etc.).

"See also" references are used when additional information can be found in another entry.

OPERATIONAL RECORDS CLASSIFICATION SYSTEM

This records schedule is approved in accordance with the *Document Disposal Act* (RSBC 1996, c. 99) and constitutes authority for retention and disposition of the records it covers. Consult your Records Officer.

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OPERATIONAL RECORDS CLASSIFICATION SYSTEM

This records schedule is approved in accordance with the *Document Disposal Act* (RSBC 1996, c. 99) and constitutes authority for retention and disposition of the records it covers. Consult your Records Officer.

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