ORCS Gap Analysis Project:

Final Report

Government Records Service

Corporate Information and Records Management Office
Ministry of Citizens' Services

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BRITISH COLUMBIA | Ministry of Citizens' Services

Table of Contents

Introduction

Following work completed by the Information Solutions and Transformation team in 2019 for the *ORCS Inventories Project*, the similar purpose of this project and report is to estimate and provide insight into the coverage and gaps in information schedules to support current government mandates. It provides a broad representation of the state of information schedule coverage across government ministries. The 2019 analysis focussed largely on *ORCS* and *ARCS* coverage estimates, a key difference of this 2020 report is that *Executive Records Schedule* coverage was also factored into the analysis. This allowed analysis of operational branches vs. branches which were fully or mostly covered by *ARCS* or the *Executive Records Schedule*. Where useful, report findings have been shown against the 2019 report findings to allow for comparison.

Findings in this report were mapped to government as it is currently configured. It addresses current government branches and their legacy records. In a very small number of cases, where we were aware that the branch or unit was defunct and we knew that the Defunct Records Schedule would apply, we did not include that unit in the assessment. The report does not comment on the current state of schedule development and coverage for Broader Public Sector organizations subject to the *Information Management Act* since Government Records Service is not responsible for developing or amending *ORCS* for the Broader Public Sector.

As many of the information schedules in use are dated and government organization is dynamic, tracking schedules to the branch level required considerable effort. For the purposes of estimation of schedule coverage, the approach used is detailed below.

Methodology

The research and data analysis was undertaken by the Scheduling and Appraisal team in Archival and Records Initiatives. The team drafted step-by-step instructions to allow each archivist to conduct a ministry review following the same methodology (see ORCS Gap Analysis – instructions D43242020A). Ministries were then divided between the team to allow for a manageable workload and short turn-around time to conduct the analysis.

Purpose
The purpose of the analysis was to quantify approved schedule coverage for the activities of organizations subject to the IMA, in order to identify the gap between the current state of coverage and full coverage.

Initial Research and Data Gathering
A review was undertaken of the 2019 Information Solutions and Transformation team project findings and research methodology. Then the team ran the following reports as primary sources of information:

- ARIS Indented Org Chart (IOC) report for each ministry

- Official organization charts (sourced from ministry intranets)
- ARIS Schedule Tracking report
- ARIS AllStatus report for each ministry

They also referred to the following additional sources:

- BC Government Directory
- IST 2019 ORCS Inventory project final spreadsheet
- The *ORCS* themselves (from *ORCS* e-library, EDRMS Content Manager and physical binders)

What is the concept of branch and coverage used in this report?

Schedule coverage in this analysis was measured in Units, where "Unit" is defined as a unit reporting to an Executive Director in the Ministry Organization Chart, plus ADM and executive offices (see p.2 of ORCS Gap Analysis – instructions D43242020A, for a detailed explanation including how equivalency was determined in the ARIS IOC). For the purposes of this report, we have used the word branch instead of unit for ease of comprehension.

Historically, the scope of *ORCS* have varied: they range from ministry wide *ORCS*, to division level *ORCS* and branch level *ORCS*. By assessing the number of branches an *ORCS* covers, it allows the comparison of the level of schedule coverage regardless of the scope of the *ORCS* and provides meaningful statistics.

Coverage was defined as the extent to which a schedule could reasonably be used to classify records of activities a Unit is currently carrying out. This was a judgement made by the archivist based on the content of the *ORCS*, the known responsibilities of the unit, and ARIS data.

For the purpose of calculating coverage, only *ARCS*, the *Executive Records schedule*, approved *ORCS*, and approved *Ongoing Records schedules* were considered. One-timers, drafts, and in-progress schedules are not included in any calculations.

Coverage by *ARCS* and *Executive Records* schedules was calculated as follows:

- A Unit is covered by *ARCS* if 75% of its records are likely covered by that schedule
- A Unit is covered by the *Executive Records schedule* if 75% of its records are likely covered by that schedule
- If neither of the above is true for a Unit, or the answer is unclear, then the Unit is considered an operational Unit requiring an operational schedule

Coverage for Units requiring an operational schedule (*ORCS*) was calculated differently depending on its approval date:

- Coverage by schedules approved or significantly amended after June 2008 was calculated in greater detail than coverage by pre-2008 schedules:
  - The reason for this is that GRS generally forecasts that a significant amendment is required 10 to 15 years after approval
  - This timing also corresponds to the dividing line between the era of ministry developed *ORCS* and the era of GRS developed *ORCS* (there were no *ORCS* approved between June 2008 and 2011)

- <u>Coverage by pre-2008 *ORCS*</u> was calculated as a simple count of Units that are known to carry out at least some activities that the pre-2008 *ORCS* describes
- <u>Coverage by post-2008 *ORCS*</u> was calculated as an estimation of percentage coverage, scoring 0-1 for purposes of data analysis (see Ministry Analysis, Item 7 below).
- All Units or parts of Units *not* covered by post 2008 schedules were calculated as gaps in coverage

Ministry Analysis

To conduct the ministry analysis, each archivist followed the steps below:

1) Identified primary sources of information for that ministry (as detailed in data gathering, above)
2) Modified the IOC report to match the ministry org chart
3) Created a list of applicable schedules under a separate tab in the same spreadsheet report
4) Modified the IOC report tab by adding columns for *ARCS*, Executive Records and each pre-2008 *ORCS*
5) Indicated whether a Unit is covered by either:
   o *ARCS* or the *Executive Records schedule*
   o a pre-2008 ongoing schedule or *ORCS*. We did not consider one-time schedules.
6) Modified the IOC report tab by adding a separate column for each post-2008 *ORCS*
7) Indicated to what extent a unit is covered by a post-2008 ongoing schedule or *ORCS*:
   For <u>each</u> post 2008 schedule…
   o If the schedule covered less than 25% of the unit's records, coverage = 0
   o If the schedule covered between 25% and 50% of a unit's records, coverage = 0.5
   o If the schedule covered between 50% and 75% of a unit's records, coverage = 0.75
   o If the schedule covered between 75% and 100% of a unit's records, coverage = 1
8) Created a summary table for each Level 3/4 organization in the spreadsheet (See record number D41041620A as an example). The summary table provided totals for:
   o Total units
   o # of units 75% or more covered by *Executive Records schedule*
   o # of units 75% or more covered by *ARCS*
   o Total operational units
   o Maximum operational units fully covered by post 2008 *ORCS*
   o Gap: minimum operational units not covered by post 2008 *ORCS*
9) Finally, created a summary table for the ministry as a whole, that was identical to the table created for each Level 3/4 organization, but provided the totals for the ministry.

2019 vs. 2020 ORCS Analysis Results

The 2019 and 2020 ORCS analysis projects were conducted using different methodology, which means their results differ. Results are compared below for validation purposes and have been included in the appendices for awareness. Since the two projects used different methodology, it would be inaccurate to interpret the data as a trend year-on-year, and any comparison of data should note that we are not comparing apples to apples. Each project reached their totals derived from different methodology. Both sets of results are approximations based on that methodology.

Schedule Coverage

The 2020 analysis concluded that approximately 57 % of branches within government have an information schedule which adequately addresses today's records management requirements, this is higher than the 2019 analysis. The total number of government branches assessed is higher in the 2020 analysis because each Executive Office was included, and likely accounts for the higher overall schedule coverage result.

	Total Ministries (Including Office of the Premier)	Total # of government branches	BRANCHES NOT REQUIRING SCHEDULE WORK	BRANCHES REQUIRING SCHEDULE WORK	SCHEDULE COVERAGE (% of branches)	SCHEDULE DEVELOPMENT NEED (% of branches)
2019	21	621	308	313	50%	50%
2020	21	812	465	347	**57%**	**43%**

*Figures are estimates only.

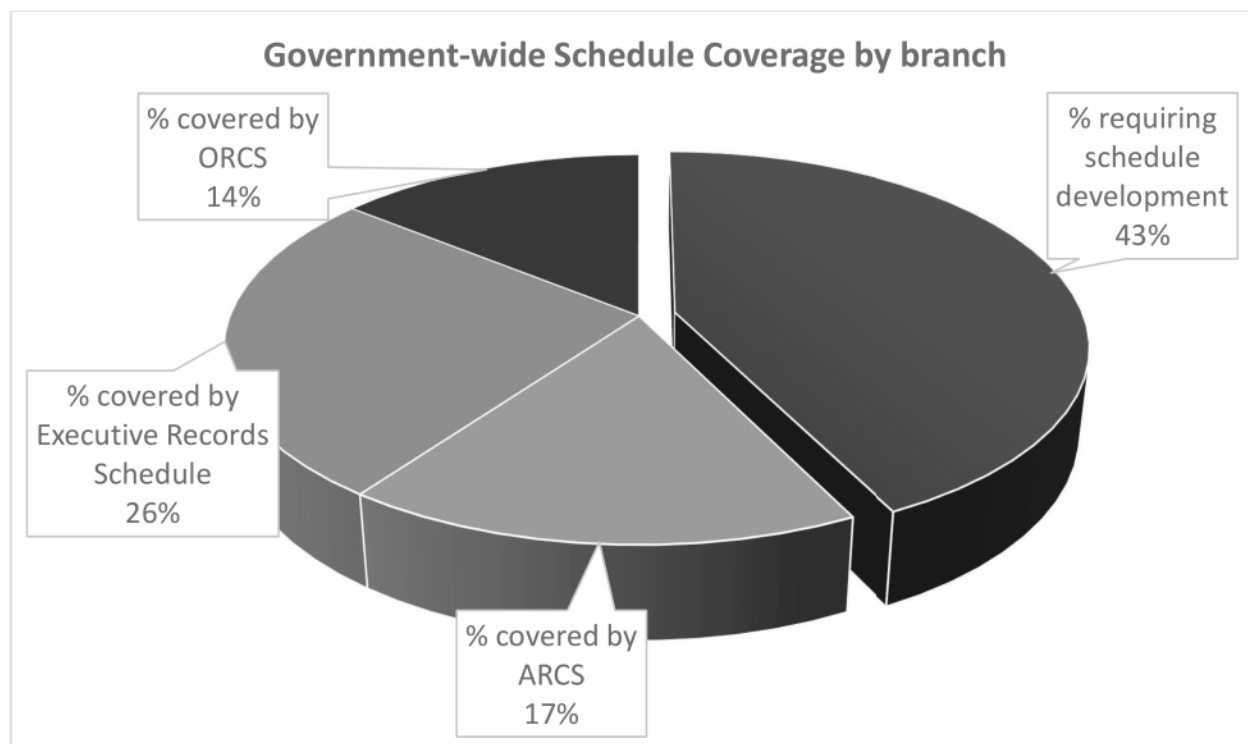For graphs showing the comparative data breakdown by Ministry, see Appendix B.

Current State Overview

Government Wide Coverage

The 2020 analysis concluded that approximately 57 % of branches within government have an information schedule which adequately addresses today's records management requirements; approximately 26% of those branches are covered by the *Executive Records Schedule*, 17% are covered by *ARCS* and 14% are covered by *ORCS*. Please note that this data is reflective of the number of branches covered by those information schedules and does not indicate the percentage volume of government records covered by those schedules (i.e. Executive Offices do not account for 26% of government records). We would have to take a count of boxes linked to Executive Offices vs. other government branches and analyze other digital records systems and storage in order to provide a breakdown of the percentage of government records covered by each schedule system.

	Total Ministries (Including Office of the Premier	Total # of government branches	BRANCHES NOT REQUIRING SCHEDULE WORK	BRANCHES REQUIRING SCHEDULE WORK	SCHEDULE COVERAGE (% of branches)	SCHEDULE DEVELOPMENT NEED (% of branches)
2020	21	812	465	347	**57%**	**43%**

*Figures are estimates only.

Government-wide Schedule Coverage by branch

% covered by ORCS 14%

% covered by Executive Records Schedule 26%

% covered by ARCS 17%

% requiring schedule development 43%

*Figures are estimates only.

Ministry Information Schedule Comparison – Coverage vs Development Needs

The following table represents a comparison of the number and percentages of government branches which do not currently require an information schedule vs. those that require one. Data summaries by ministry are provided in Appendix A.

MINISTRY DETAILS			BRANCHES NOT REQUIRING SCHEDULE WORK	BRANCHES REQUIRING SCHEDULE WORK	SCHEDULE COVERAGE (% of branches)	SCHEDULE DEVELOPMENT NEED (% of branches)
Ministry Name	Total Branches	Total Operational Branches				
Advanced Education	26	13	s.13			
Agriculture	11	6				
Attorney General	62	32				
Children & Family Development	42	22				
Citizens' Services	60	37				
Education	28	12				
Energy & Mines	35	21				
Environment	36	18				
Finance	114	75				
FLNR	76	58				
Health	79	45				
IRR	27	15				
Jobs, Economic Development and Competitiveness	37	24				
Labour	13	4				
Mental Health & Addictions	12	6				
Municipal Affairs & Housing	29	10				
Office of the Premier	14	4				
Public Safety & Solicitor General	36	21				
Social Development, Poverty Reduction	33	16				
Tourism, Arts & Culture	10	5				

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Transportation & Infrastructure	32	19	

*Figures are estimates only.

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Current State – Ministry Information Schedule Development Requirements - Amendment vs no ORCS identified

Like maintaining a vehicle, information schedules require routine maintenance over time. Program changes and new functions create new categories of records all which need to be captured by information schedules. Post-*ORCS* implementation fine tuning of the system may also be required based on lessons learned. The following table breaks down each ministry and their requirement to amend an existing *ORCS* vs. branches where no *ORCS* was identified. A branch without any *ORCS* is at a significant records management disadvantage to those who at least have one that is out of date.

The decision whether to amend vs. develop a new *ORCS* may require more in-depth review at the time the *ORCS* is being researched. As a rule, however, the older the *ORCS* is the more likely it will need to be rewritten. This is particularly true when the development of the *ORCS* pre-dates current standards for information schedule development (e.g., subject-based vs. functional-based schedules). Based on this understanding, it was confidently presumed in the analysis that any schedule that was written prior to 2008 would need to be amended.

MINISTRY DETAILS		BRANCHES REQUIRING SCHEDULE AMENDMENT	BRANCHES WITH NO ORCS IDENTIFIED	TOTAL BRANCHES REQUIRING SCHEDULE WORK
Ministry Name	Total Branches			
Advanced Education	26	s.13		
Agriculture	11			
Attorney General	62			
Children & Family Development	42			
Citizens' Services	60			
Education	28			
Energy & Mines	35			
Environment	36			
Finance	114			
FLNR	76			
Health	79			
IRR	27			
Jobs, Economic Development and Competitiveness	37			
Labour	13			
Mental Health & Addictions	12			
Municipal Affairs & Housing	29			
Office of the Premier	14			
Public Safety & Solicitor General	36			
Social Development, Poverty Reduction	33			
Tourism, Arts & Culture	10			
Transportation & Infrastructure	32			
TOTALS	812			

*Figures are estimates only.

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Current State – Cross-Government Information Schedule Development Requirements

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Current State – Cross-Government Information Schedule Development Requirements – Charts by Branch

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Conclusion and Recommendations

The 2020 analysis offers a new way of assessing and measuring the impact of information schedule approval upon schedule coverage across government. The following recommendations should allow GRS to track continued progress in increasing information schedule coverage over time:

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Appendix A - Individual Ministry Scheduling Data

*Figures are estimates only.

Tables below are focussed on *ORCS* coverage and need. Refer to ORCS Gap Analysis Summary, D43242020A for details of *ARCS* and *Executive Records Schedule* coverage for each ministry.

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Appendix B – 2019 vs. 2020 Comparative Data

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