

STANDARD ORCS KIT CHAPTER FOUR

**ELECTRONIC RECORDS AND THE
INFORMATION SYSTEM OVERVIEW (ISO)**

INTRODUCTION

This chapter contains the following sections:

- **Formats** for the four parts of the information system overview (ISO) section:
 - ISO table of contents
 - basic ISO form
 - ISO form for an ISO with subsystems
 - ISO for a subsystem (ISOS) form
 - ISO for a web site (ISOW) form
- **Overview and Standards** for electronic records and the ISO, organized in the following sections:
 1. **General**
 - 1.1 General Overview
 - 1.2 General Standards
 2. **Electronic Systems Description in Primaries**
 - 2.1 Overview
 - 2.2 Standards for Electronic Systems Description in Primaries
 - 2.2.1 General Standards
 - 2.2.2 Contents Standards
 - 2.2.3 Formatting Standards
 3. **Specific Electronic Records Description in Primaries**
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 - 4.1 Overview
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 - 4.2.3 Formatting Standards
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 - Footer
 - ISO Section Table of Contents
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How to Use this Chapter

To describe electronic systems and records, incorporate them into relevant ORCS primaries (see sections 2 and 3). If necessary, complete the appropriate ISO format (see sections 1 and 4). View the examples provided in clearly marked boxes throughout the chapter to see how the standards can be interpreted.

This draft records schedule has NOT been approved under the provisions of the Document Disposal Act (RSBC 1996, c. 99) and DOES NOT constitute authority for disposition. Corporate Information Management Branch reviews and approves all records retention and disposition recommendations before an ORCS is sent for legislative approval, as required in the Document Disposal Act. For information regarding this ORCS, contact your Records Officer.

INFORMATION SYSTEM OVERVIEW SECTION

TABLE OF CONTENTS

[INSERT ISO AND ISOS ACRONYMS AND TITLES INTO TABLE BELOW. ARRANGE ISOs IN ALPHABETICAL ORDER. ARRANGE ISOSs UNDER EACH ISO IN ALPHABETICAL ORDER. LEAVE A BLANK SPACE BETWEEN EACH ISO. ADJUST COLUMN WIDTH AS NEEDED.]

<u>ISO TITLE</u>		<u>ISOS TITLE</u>
[ISO TITLE]	[ISO acronym]	
		/[ISOS acronym] [ISOS TITLE]
		/[ISOS acronym] [ISOS TITLE]
[ISO TITLE]	[ISO acronym]	
		/[ISOS acronym] [ISOS TITLE]
		/[ISOS acronym] [ISOS TITLE]
[ISO TITLE]	[ISO acronym]	
[ISO TITLE]	[ISO acronym]	

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INFORMATION SYSTEM OVERVIEW

[For guidance in completing this form, see Standard ORCS Kit, chapter 4, section 4.]

Name of Creating Agency

[Give name of the ministry/crown corporation/agency the office reports to]

[If necessary, give other names in the hierarchy]

[Give name of office that uses the system]

System Title

[Give name and acronym of system]

Purpose

[Explain functions served by the system]

Information Content

[Summarize information contained in the system, outlining major data elements.]

Inputs, Processes, and Outputs

[Describe how information is entered, processed, and output from the system. Use flow chart/data model if available. Either provide description as one narrative or subdivide it into inputs, processes and outputs.]

Technical Maintenance

Electronic records are maintained on the system until their retention schedule is completed. In most cases, this parallels the schedule for the related paper records. The electronic records are then purged from the system. Any exceptions to this purge routine are noted under relevant secondaries.

The electronic system is routinely backed up in accordance with **[CHOOSE: ministry/agency]** policy, as prescribed in GMOP 8.1.4 and in special schedule 112910 in the ARCS manual.

For retention and disposition schedules, see relevant primaries, which are listed in the classification section below.

Classification

[Give lists of electronic systems, electronic records, inputs, and outputs, using tables provided below. Alternatively, summarize them with general statements referring to all case files in a section, all records covered by a reserved secondary, or whatever grouping is appropriate.]

Electronic System

[IF THERE IS NO SECONDARY FOR THE SYSTEM, USE/ADAPT FOLLOWING WORDING:]

This electronic system is not classified in the ORCS. The classifications for the electronic records it generates are listed below. The system schedule is provided under "System Scheduling and Disposition". ***[USE OR DELETE FOLLOWING TABLE]***

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Secondary No. Secondary Title
XXXXX-XX GIVE SECONDARY TITLE

Electronic Records [USE OR DELETE FOLLOWING TABLE]

Secondary No. Secondary Title
XXXXX-XX GIVE SECONDARY TITLE
XXXXX-XX GIVE SECONDARY TITLE
XXXXX-XX GIVE SECONDARY TITLE

Inputs [USE OR DELETE FOLLOWING TABLE]

Secondary No. Secondary Title
XXXXX-XX GIVE SECONDARY TITLE
XXXXX-XX GIVE SECONDARY TITLE
XXXXX-XX GIVE SECONDARY TITLE

Outputs [USE OR DELETE FOLLOWING TABLE]

Secondary No. Secondary Title
XXXXX-XX GIVE SECONDARY TITLE
XXXXX-XX GIVE SECONDARY TITLE
XXXXX-XX GIVE SECONDARY TITLE

Other Related Records

- For transitory electronic data processing (EDP) records, see special schedule 102902 in the ARCS manual.
- For computer system backup records, see special schedule 112910 in the ARCS manual.
- For administrative records relating to the system, see ARCS section 6 and other relevant primaries.
- For [DELETE OR GIVE REFERENCES TO OTHER ORCS, SHARED SYSTEMS, ETC.], see [GIVE SCHEDULE NUMBERS AND, IF NECESSARY, TITLES].

System Scheduling and Disposition

The system will be destroyed 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. [USE ALTERNATE WORDING IF DISPOSITION IS DIFFERENT; AN ARCHIVIST MAY PROVIDE THIS.]

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INFORMATION SYSTEM OVERVIEW **for an ISO with Subsystems**

[For guidance in completing this form, see Standard ORCS Kit, chapter 4, section 4.]

Name of Creating Agency

[Give name of the ministry/crown corporation/agency the office reports to]

[If necessary, give other names in the hierarchy]

[Give name of office that uses the system]

System Title

[Give name and acronym of system]

Subsystem Titles

[Give names and acronyms of the subsystems covered by the ISOSs related to this ISO, in alphabetical order.]

Purpose

[Explain functions served by the overall system. Make this a high-level explanation with minimal overlap with the purpose section in related ISOSs.]

Information Content

[Summarize information contained in the system, outlining major data elements. Make this a high-level explanation with minimal overlap with the information content section in related ISOSs.]

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DOCUMENT PATH:YYYY/MM/DD Schedule ##### ORCS/ACRONYM ISO/ACRONYM – #

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INFORMATION SYSTEM OVERVIEW **FOR A SUBSYSTEM**

[For guidance in completing this form, see Standard ORCS Kit, chapter 4, section 4.]

Name of Creating Agency

[Give name of the ministry/crown corporation/agency the office reports to]

[If necessary, give other names in the hierarchy.]

[Give name of office which uses the subsystem.]

System Title

[Give name and acronym of ISO system related to this ISOS]

Subsystem Title

[Give name and acronym of subsystem covered by this ISOS]

Purpose

[Explain functions served by the subsystem. Avoid repeating information from the ISO.]

Information Content

[Summarize information contained in the system, including major data elements. Avoid repeating information from the ISO.]

Inputs, Processes, and Outputs

[Describe how information is entered, processed, and output from the subsystem. Use flow chart/data model if available. Either provide description as one narrative or subdivide it into inputs, processes and outputs.]

Technical Maintenance

Electronic records are maintained on the system until their retention schedule is completed. In most cases, this parallels the schedule for related paper records. The electronic records are then purged from the system. Any exceptions to this purge routine are noted under relevant secondaries.

The electronic system is routinely backed up in accordance with *[CHOOSE: ministry/agency]* policy, as prescribed in GMOP 8.1.4 and in special schedule 112910 in the ARCS manual.

For retention and disposition schedules, see relevant primaries, which are listed in the classification section below.

Classification

[Give lists of electronic systems, electronic records, inputs, and outputs, using tables below. Alternatively, summarize them with general statements referring to all case files in a section, all records covered by a reserved secondary, or whatever grouping is appropriate.]

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Electronic System

[IF THERE IS NO SECONDARY FOR THE SYSTEM, USE/ADAPT FOLLOWING WORDING:]

The electronic system is not classified in the ORCS. The classifications for the electronic records it generates are listed below. The system schedule is provided under "System Scheduling and Disposition". *[USE OR DELETE FOLLOWING TABLE]*

Secondary No.	Secondary Title
XXXXX-XX	GIVE SECONDARY TITLE

Electronic Records *[USE OR DELETE FOLLOWING TABLE]*

Secondary No.	Secondary Title
XXXXX-XX	GIVE SECONDARY TITLE
XXXXX-XX	GIVE SECONDARY TITLE

Inputs *[USE OR DELETE FOLLOWING TABLE]*

Secondary No.	Secondary Title
XXXXX-XX	GIVE SECONDARY TITLE
XXXXX-XX	GIVE SECONDARY TITLE

Outputs *[USE OR DELETE FOLLOWING TABLE]*

Secondary No.	Secondary Title
XXXXX-XX	GIVE SECONDARY TITLE
XXXXX-XX	GIVE SECONDARY TITLE

Other Related Records

- For transitory electronic data processing (EDP) records, see special schedule 102902 in the ARCS manual.
- For computer system backup records, see special schedule 112910 in ARCS.
- For administrative records relating to the system, see ARCS section 6 and other relevant primaries.
- For the related system and subsystems, see ISO and other ISOSs.
- For *[DELETE OR GIVE REFERENCES TO OTHER ORCS, SHARED SYSTEMS, ETC.]*, see *[GIVE SCHEDULE NUMBERS AND, IF NECESSARY, TITLES]*.

System Scheduling and Disposition

The system will be destroyed 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. *[USE ALTERNATE WORDING IF DISPOSITION IS DIFFERENT; AN ARCHIVIST MAY PROVIDE THIS.]*

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ELECTRONIC RECORDS AND THE INFORMATION SYSTEM OVERVIEW (ISO) STANDARDS

1. GENERAL

1.1 GENERAL OVERVIEW

Electronic records consist of data and information which are input, created, manipulated and/or stored on electronic media to assist with and provide evidence of actions and decisions of an organization. Records coded for manipulation by computers are stored in formats not intelligible without the use of appropriate hardware, software, and manuals.

Electronic records are subject to the same principles of records management as all other government records. The *Document Disposal Act* (RSBC 1996, c. 99) and the *Freedom of Information and Protection of Privacy Act* (RSBC 1996, c. 165) cover recorded information regardless of physical format or media: The *Interpretation Act* (RSBC 1996, c. 238, s. 29) defines "Record" as follows:

books, documents, maps, drawings, photographs, letters, vouchers, papers and any other thing on which information is recorded or stored by any means whether graphic, electronic, mechanical or otherwise.

In terms of ORCS development, this means that electronic records, electronic systems, and related paper records must be described for classification purposes, and that their lifecycles must be documented for scheduling purposes. This information is documented under the appropriate primaries and secondaries, as well as in the Information System Overview (ISO) Section of the ORCS.

An electronic system is a computer-based system that takes one of a variety of forms (including electronic databases, imaging systems, geographical information systems, and web sites). The most common form of electronic system is the electronic database, consisting of a number of structured "fields" where pieces of information are stored, and can be sorted, manipulated, and retrieved in different ways for different purposes. In a complex database the same information can be entered or "input" once and then displayed and printed in reports (or "outputs") in any number of combinations with other information, creating electronic records that overlap with one another in significant ways. (This can be compared to two series of paper files created and used for different but related purposes, both containing copies of the same form.) In order to document an electronic system thoroughly, it must be considered from the following four aspects:

- as a complex set of information which is more than a sum of its parts,
- as a set of individual electronic files with a lifecycle which must be scheduled,
- as the receiver of inputs and source of outputs in paper or other form, and

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- as a technical entity which relies on hardware, software, and system backups, and which evolves over time.

In *ORCS*, the first three of these aspects are documented in primaries, secondaries, and the ISO section. The technical aspect is partially documented in the ISO (under “technical maintenance”); fuller technical documentation is required only if the system is appraised for archival retention.

Over time, an electronic system may be converted to new hardware or software. The new version of the system that results is still covered by the existing secondary and ISO. If the new system is substantially different, even though it serves the same function, it will require a new secondary and a new ISO. Examples of substantially different systems are:

- two systems which overlap in function, but the newer one has been merged with another system to serve a substantially broader function
- two systems which serve the same function, but the information from the old system has not been migrated to the new one

If in doubt about whether one or two systems are being described, ask your Corporate Information Management Branch (CIMB) contact.

It is essential for information from an old system (known as “legacy data”) to be maintained until the approved retention periods have expired and, if required, information has been transferred to the government archives. The information can be maintained either on the hard drive or on an accessible backup storage medium.

WEB SITES AND WEB PAGES

A web site is composed of interconnected web pages, most often written in Hypertext Markup Language (HTML) and stored on the same server. Web sites generally present a variety of electronic document and file types such as: graphics and other image files (e.g., GIF, JPEG); sound and video files (e.g. MPEG); electronic forms, as well as links to other types of electronic records and data sources (e.g., ASCII text, PDF, word processing files, database records).

Records posted on web sites can originate from various sources. Records can be created specifically for a web site (e.g., HTML documents), and exist only on that web site and in that format. Records may also, have originally been created and distributed independently of the web site via paper brochures, electronic indexes, digital photographs, etc. and may continue to be delivered to clients in their original formats.

1.2 GENERAL STANDARDS

- a) Describe electronic systems that relate to the functions and programs covered by an *ORCS* in that *ORCS*.
- b) Describe major systems in the ISO section.
- c) Describe simple electronic systems in relevant primaries; these do not require ISOs.
- d) Provide the retention schedule for a system in the ISO description. Optionally, also provide it in a specific secondary within the main body of the *ORCS*.
- e) If a primary covers electronic records for which there is an ISO, it must contain cross-references to the relevant ISO.
- f) Ensure that all electronic records in an electronic system are scheduled under appropriate secondaries.
- g) Identify inputs and outputs of an electronic system in the relevant ISO or ISOS. They must be covered by secondaries but need not be identified as inputs or outputs in secondary notes.



See section 2 of this chapter for standards for describing electronic systems in primaries.
See section 3 for standards for describing electronic records in primaries.
See section 4 to determine whether a system requires an ISO or an ISOS, and for ISO standards.

2. ELECTRONIC SYSTEMS DESCRIPTION IN PRIMARIES

2.1 OVERVIEW

As explained in the general overview for this chapter, electronic systems take a variety of forms, such as an electronic database, a geographical information system, an imaging system, or a web site. The purpose, content, and technical maintenance details of the system are documented in the ISO. The retention schedule for the system may also be included in the ISO section or the system may be classified and scheduled at the secondary level within the main body of the ORCS. The system must also be identified wherever electronic records generated by the system are classified. The following standards specify how this is to be done.

2.2 STANDARDS FOR ELECTRONIC SYSTEMS DESCRIPTION IN PRIMARIES

2.2.1. General Standards for Electronic Systems

- a) Identify all relevant electronic systems in ORCS. The records they generate must be classified and scheduled according to the same standards as all other records covered by an ORCS, regardless of form or media. See standards for the electronic records description in primaries (section 3).
- b) Describe and schedule major electronic systems in the ISO Section. Optionally, they may also be classified and scheduled at the secondary level in a relevant primary. See standards for the ISO Section (section 4).
- c) Schedule simple electronic systems in relevant section default primaries and/or under relevant secondaries. Include a brief description of the system in an explanatory note (NOTE:). See example in section 2.2.2 and further explanation of simple or minor systems in section 4.1.
- d) If an archivist appraises any electronic system for retention by the government archives, an ISO and additional documentation will be required.
- e) Provide cross references to ISOs in all primaries where electronic records generated by these systems are classified.

2.2.2. Contents Standards for Electronic Systems Description in Primaries

- a) For every primary covering electronic records, indicate this with a cross-reference to the relevant ISO (if there is one), physical format qualifiers, and/or notes under relevant secondaries.
- b) If establishing a secondary for an electronic system, use a physical format qualifier.

EXAMPLE OF QUALIFIER	
-20	Safety Engineering System (electronic database) <i>[based on SES ORCS]¹</i>

- c) Use the most appropriate term from the following list to identify the type of electronic record in the physical format qualifier:

¹ Appendix B provides a list of ORCS acronyms used in examples, and the complete ORCS titles associated with them.

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- electronic database
- geographical information system
- imaging system
- web site

If none of these terms is applicable, use a more appropriate one.

- d) Classify the system at the case file level, that is, as secondary –20 or higher.
- e) Place the secondary for an electronic system in the primary for the relevant function. If it is relevant to an entire section, place it in the section default primary. If it is relevant to an entire ORCS, place it in the ORCS default primary (the first section default primary in the ORCS).
- f) Use the standard retention schedule for an electronic system, SO/nil/DE, unless there is a logical reason to develop an alternate schedule. The final disposition will change if the archivist reviewing the ORCS recommends full or selective retention.
- g) Provide an ISO definition that is meaningful and that covers the entire system. A recommended model is “SO = when the function supported by the database is no longer performed by government”.

EXAMPLE OF SO STATEMENT FOR A SYSTEM SECONDARY				
-20	Bylaw Tracking System (electronic database)	SO	nil	DE
	SO = when bylaw approval tracking supported by the database is no longer performed by government <i>[based on LG ORCS]</i>			
-20	Safety Engineering System (electronic database)	SO	nil	DE
	SO = when no longer used as an index to relevant case files; and when no longer used for reference purposes <i>[based on SES ORCS]</i>			

- h) If the electronic system is scheduled for DE, use the following standard note:
 DE = This electronic system can only be destroyed when the approved retention schedules covering the information on it have elapsed, or when the information on it has been made accessible elsewhere.

 If the electronic system has already been discontinued, add a note to the effect that it will not be updated after a given date, but will be kept until the information it contains reaches the final disposition stage.
- i) Do not include specifications for purging information from the system under the system secondary. See section 3 of this chapter for guidance about describing electronic records.

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- j) If the system does not require an ISO (see Section 4 for guidelines), include a note briefly describing the system function, ending with the sentence “Because this is a simple system, an information system overview has not been developed.”

EXAMPLE OF SECONDARY FOR A SYSTEM WITHOUT AN ISO				
-20	Bylaw Tracking System (electronic database)	SO	nil	DE
NOTE: This in-house database created on Lotus Approach tracks the progress and approval status of government bylaws that are classified in this primary block. Because this is a simple system, an information system overview has not been developed. <i>[based on LG ORCS]</i>				

- k) Provide cross-references as follows:
- In the section default primary, provide cross-reference(s) to the ISO(s) relevant to records in the section.
 - Provide a cross-reference to the relevant ISO in each primary where an electronic system is classified (if the system has an ISO).
 - Provide references in each primary where electronic records are identified.

EXAMPLES OF CROSS REFERENCES
For a description of the Safety Engineering System, see the information system overview. <i>[based on SES ORCS - reference for the primary covering the system]</i>
For a description of the Safety Engineering System, see primary 30790 and the information system overview. <i>[based on SES ORCS - reference for a primary covering records which are input to the database]</i>

- l) If the system is a web site, provide its web address in a note under the relevant section default primary, and/or in a note under relevant secondaries.

2.2.3. Formatting Standards for Electronic Systems Descriptions in Primaries

- a) Notes for electronic systems secondaries must conform to the same formatting standards as similar notes for other types of records.
- b) Place qualifiers regarding electronic media at the same tab as other qualifiers (one indent from the secondary title).

3. ELECTRONIC RECORDS DESCRIPTION IN PRIMARIES

3.1 OVERVIEW

Electronic records are sets of data which, in many cases, relate to paper case files. For example, the fields in the Administrative Hearing Database of the BC Gaming Commission summarize information provided in more detail in the paper administrative hearing case files. A more complex system will reflect two or more case file series (for example, CIMB' Automated Records and Information System (ARIS) relates to accession files, application files, and ORCS development files, as well as other records covered by the *BCARS ORCS*). An increasing number of electronic records do not have paper counterparts, and serve as the only government record of the information they contain.

Electronic records must be identified in primaries for purposes of classification and scheduling. It is not, however, necessary to identify them under the specific secondaries they relate to if they can be adequately described in a section default primary. See the following standards for guidance in this matter.

The semi-active period in the lifecycle of electronic records is different from that of records in other formats. Most electronic records are not transferred to off-site storage at all. If they have a semi-active period, it is usually spent on-site in the care of the systems branch, either on the relevant system or on an alternate storage medium.

It is necessary to identify when electronic records will be purged from an electronic system, either in the section default primary or under the appropriate secondary. See the following standards.

Web sites contain electronic records called “web pages”, some designed specifically for the site, and others created and distributed in a variety of formats; they may also be available in paper form. (For an explanation of web sites see the box regarding websites in section 1.1 of this chapter.)

3.2 STANDARDS FOR ELECTRONIC RECORDS DESCRIPTION IN PRIMARIES

- a) Classify and schedule electronic records at the secondary level.
- b) Provide electronic records with an “electronic records” physical format qualifier.
- c) If equivalent files exist in other physical formats (usually paper), they may be classified under the same secondary as the electronic records, unless they have different schedules.
- d) Provide a physical format qualifier identifying both types of format for a secondary shared by electronic records and another format (e.g., “(paper and electronic records)”). See Chapter 3, section 8(h) for standards for physical format qualifiers.
- e) When the electronic records have a different schedule from the other format(s) covered by a secondary, classify the two formats under different secondaries with similar names, distinguished by the inclusion of “electronic” or “paper” in the title.

EXAMPLES OF SECONDARIES FOR ELECTRONIC RECORDS				
<i>[If the retention schedules are different:]</i>				
-20	Extraterrestrial registrant case files – paper	SO+3y	300y	SR
	SO = when extraterrestrial visitor leaves the province			
	SR = The government archives will selectively these records because they document the effect of extraterrestrial visitors on the province. All files relating to green extraterrestrials will be retained. All other files will be boxed separately and destroyed.			
-25	Extraterrestrial registrant case files – electronic	SO	nil	DE
	SO = when extraterrestrial has died or left the galaxy			
<i>[If the retention schedules are the same:]</i>				
-20	Extraterrestrial registrant case files (paper and electronic records)	SO+3y	nil	DE
	SO = when extraterrestrial visitor leaves the province			
<i>[based on UFO ORCS]</i>				

- f) Optionally, electronic records need not be identified at the secondary level if they contain only information which is also contained in paper files, and if a note in the section default primary adequately identifies them.

EXAMPLE OF ELECTRONIC RECORDS DESCRIBED IN A SECTION DEFAULT PRIMARY				
<i>[in the scope note for a primary containing an electronic system secondary:]</i>				
Records not shown elsewhere in the clients and accommodations section which relate generally to the identification and planning of client and accommodation requirements. This primary also covers the Integrated Corporate Operations Network (ICON), an electronic database which supports all the operational functions of the BC Buildings Corporation. Includes correspondence, memoranda, reports, and electronic database.				
<i>[cross reference]</i>				
For a description of ICON, see the information system overview section.				
<i>[electronic records secondary under this primary]</i>				
-20	Clients and accommodations working files (electronic records)	FY+3y	nil	DE

NOTE: ICON contains records in electronic media relating to all classifications in the clients and accommodations section. Except where noted in this section, these records are retained on the database until the related paper records reach final disposition, and are then purged. For the retention and disposition of the corresponding records in paper and other media, see the relevant secondary.

[based on BCBC ORCS]

- g) Make the active period for electronic records equivalent to the combined active and semi-active periods for the related paper records, if the electronic records remain on the system until they become inactive and are then deleted.
- h) Provide an alternate schedule for the electronic records if they will be purged earlier or later than their paper counterparts.
- i) Use “nil” for the semi-active period for electronic records unless they are moved to an alternate storage medium (such as computer tapes or disks) for the semi-active period.
- j) The final disposition of electronic records will normally be DE, but this decision depends on the recommendation of the archivist reviewing the ORCS.
- k) Include cross-references to each relevant ISO in the cross-reference section of the relevant primary, if it covers records created by the system described in the ISO. A note under the secondary referring to the ISO is not adequate for this purpose.
- l) If web pages/documents are scheduled in the ORCS, provide the web site address in a NOTE under the appropriate secondary or the section default primary.

EXAMPLE OF WEB SITE NOTE

<i>Interlibrary Loan Activity for B.C. Public Libraries</i>	SO	nil	FR
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NOTE: Beginning with the 1999 issue, the survey will not be published. It will only be available electronically on the branch’s web site located at <http://www.marh.gov.bc.ca>

[based on LS ORCS]

4. INFORMATION SYSTEM OVERVIEW SECTION

4.1 OVERVIEW

The Information System Overview (ISO) is a form used to describe an electronic system. It serves three main purposes:

- to provide a high-level description of the function and information content of the system, in other words a map of the data managed by the system and the major stages through which it flows while being processed;
- to document the records-keeping context of the system by identifying how the system and related records are classified in the *ORCS*; and
- to schedule the electronic system by indicating when its active life ends and what its final disposition will be.

The ISO is an integral part of the *ORCS* that ensures that electronic records are properly documented and scheduled. The ISO is not used to classify records, because primaries and secondaries serve this function. It is therefore crucial to show linkages between the ISO and the relevant primaries and secondaries in the primary sections of the *ORCS*. This is done by identifying electronic records under the appropriate secondaries, by listing classifications for inputs, outputs, systems, and other electronic records in the ISO, and by providing explanatory notes as appropriate in primaries and in the ISO. Optionally, an electronic system may be assigned its own secondary number.

The ISO is created by the *ORCS* developer during the *ORCS* development process, with the cooperation of the Records Officer, the office(s) served by the electronic system, and the information system branch which maintains the system. Systems need only be described at the level of detail necessary to schedule the records they contain. The developer should concentrate on the purpose of the system and its information content. Technical data and other detailed information is not required unless a system is appraised for retention at the government archives. In such cases, the CIMB contact person will give the *ORCS* developer specific guidance regarding additional information requirements for the ISO.

If two or more systems serve related functions, especially if they are linked through a common higher-level system, it may be appropriate to group them together under one ISO, and develop an **Information System Overview for a Subsystem (ISOS)** for each of the linked systems (or subsystems). When this is the case, the ISO is brief and includes a list of ISOSs, but each ISOS form requires all the information otherwise found in the ISO. An ISOS is always linked to a general ISO. See the following standards and the formats for ISOs, ISOs linked to ISOSs, and ISOSs for further guidance.

For subsystems that are relatively simple and similar to one another, it is acceptable to create one ISO without ISOSs, so long as the names and other distinctive features of the different subsystems are indicated where appropriate.

An ISO may not be required for a very simple, limited system, such as an Excel or Lotus spreadsheet, an in-house system developed to track one case file series, or a

STANDARD ORCS KIT CHAPTER FOUR – SECTION FOUR – ISO SECTION

simple web site. If in doubt about whether an ISO should be created, discuss with your CIMB contact. These systems should, however, be identified in the *ORCS*, under relevant secondaries or in the section default primary. If the system is a web site, its address should be provided. If an archivist ultimately appraises any system for retention by the BC Archives, an ISO and additional documentation will be required regardless of the nature of the system.

The *ORCS* developer may find it useful to refer to the Privacy Impact Analysis (PIA) form, if one has been completed for the system under consideration. The PIA is a standardized analytical tool developed by Corporate Privacy and Information Access, Ministry of Management Services, for use by organizations conducting privacy reviews to ensure compliance with the *FOIPP Act*. Contact your Director/Manager of Information and Privacy (DMIP) for further information or for copies of any completed PIAs.

The ISO section begins with an **ISO Section Table of Contents**. See the standards below and the format provided in this chapter.

4.2 STANDARDS FOR THE ISO SECTION

4.2.1. General Standards

- a) The ISO section contains an ISO Table of Contents and at least one ISO; it may or may not include ISOSs. (See 4.2.3 for table of contents formatting standards.)
- b) Place the ISO section behind the last primary section and before the glossary.
- c) Arrange ISOs in alphabetical order.
- d) Arrange ISOSs in alphabetical order under each relevant ISO. (See table of contents example in 4.2.3.)

4.2.2. Contents Standards for the ISO and the ISOS

- a) Use full sentences and standard stylistic conventions unless otherwise indicated.
- b) Complete ISO/ISOS fields as indicated below.
- c) For an ISO without associated ISOSs, complete every field. For an ISO with ISOSs, complete only the following fields: name of creating agency, system title, subsystem titles, purpose, and information content. See format.
- d) For an ISOS, complete every field. See format.
- e) Contents standards are provided for every field in the ISO/ISOS formats, as follows:
 - A. Name of Creating Agency
 - B. System Title
 - B.1. Subsystem Title
 - C. Purpose
 - D. Information Content
 - E. Inputs, Processes, and Outputs
 - F. Technical Maintenance
 - G. Classification
 - G.1. Electronic System

- G.2. Electronic Records
- G.3. Inputs
- G.4. Outputs
- G.5. Other Related Records

H. System Scheduling and Disposition

A. Name of Creating Agency (ISO, ISOS)

In order to provide the hierarchical context of the system, give the name of the ministry, agency or crown corporation of which the creating office is part, followed by the name of the office itself. If necessary, give intervening levels. Names must be consistent with the ones used in the most current indented organizational chart generated by CIMB (the ARS 472 report).

EXAMPLE OF NAME OF CREATING AGENCY
Ministry of Municipal Affairs Safety Engineering Services Division Aerial Tramway Program <i>[based on SES ORCS]</i>

For an ISO with related ISOSs, it may be necessary to provide more than one office name if different offices are responsible for different ISOSs.

EXAMPLE OF MULTIPLE NAMES
Ministry of Agriculture, Fisheries and Foods Agriculture Division and Fisheries and Food Division <i>[based on AGF ORCS]</i>

B. System Title (ISO, ISOS)

For an ISO, give the name and acronym of the electronic system. For an ISOS, give the name and acronym of the ISO subsystem. The name should be descriptive and meaningful, and consistent with the one used to refer to the system in relevant primaries and secondaries.

EXAMPLES OF SYSTEM TITLE
Home Owner Grant Verification System (HOGVS) <i>[based on LG ORCS]</i>
Crown Land Registry Information System <i>[based on BC LANDS ORCS]</i>

B.1. Subsystem Title(s)

For an ISO: do not use this field if there are no related ISOSs. If there are ISOSs, list their names and acronyms.

EXAMPLE OF SUBSYSTEM TITLES FOR AN ISO WITH ISOSs
Central Registry (CR) Day Care System (DCS) Social Work System (SWS) <i>[based on CFAM ORCS]</i>

For an ISOS: give the name and acronym of the subsystem. The name should be descriptive and meaningful, and consistent with the one(s) used to refer to the system in relevant primaries and secondaries.

EXAMPLE OF ISOS SUBSYSTEM TITLE
Day Care System (DCS) <i>[based on CFAM ORCS]</i>

C. Purpose (ISO, ISOS)

Provide a concise, precise explanation of the function(s) served by the system/subsystem.

EXAMPLES OF PURPOSE FOR AN ISO
The purpose of the Development Services Database System is to track the progress and costs of a housing project from its initial proposed phase to its approval and eventual construction completion. <i>[based on BCHMC ORCS]</i>
The purpose of the Patient Information Management System is to assist Forensic Psychiatric Services staff in tracking patients and clients through their admission, assessment, treatment and discharge, and to maintain a database of all patients for statistical and research purposes. <i>[based on FPS ORCS]</i>
The purpose of the Administrative Hearing Database is to provide an index to the administrative hearing case files as well as a quick and convenient summary of the cases and corresponding decisions. <i>[based on BCGC ORCS]</i>

EXAMPLES OF PURPOSE FOR AN ISO WITH ISOSs
The purpose of MIS is to support service delivery for both the Ministry of Children and Families and the Ministry of Human Resources, through a set of subsystems that share common data and functions. <i>[based on CFAM ORCS]</i>

The purpose of InHouse is to provide a common central database linking a modular set of subsystems which track integrated housing management and finance services.

[based on BCHMC ORCS]

EXAMPLE OF PURPOSE FOR AN ISOS

The purpose of the Day Care System is to support the provision of a subsidy for day care services to qualifying parents for the Day Care Subsidy Program. The system is used for clients who qualify for subsidy as a result of an income needs assessment, and for those who qualify for special needs day care.

[based on CFAM ORCS]

D. Information Content (ISO, ISOS)

Summarize the information content of the system/subsystem, briefly outlining or listing the major data elements and the nature of the data to be found on it.

EXAMPLE OF INFORMATION CONTENT FOR AN ISO

The Gaming Analysis and Management Evaluation System contains the following information: all licenses issued; managers and locations of all bingo halls and casinos; names and mailing addresses of all applicants; dates of incorporation of management companies; checklist of documents received from each licensee and direct access applicant; net revenue by type of game and location; and casino revenue amounts awarded.

[based on BCGC ORCS]

EXAMPLE OF INFORMATION CONTENT FOR AN ISO WITH ISOSs

The InHouse System contains information about housing estates, buildings, properties, tenants and accounts. See specific ISOSs for details.

[based on BCHMC ORCS]

EXAMPLE OF INFORMATION CONTENT FOR AN ISOS

The Applicant Registry contains details of applicants, household members, income, current living situation preferences, and housing needs points.

[based on BCHMC ORCS]

EXAMPLE OF INFORMATION CONTENT FOR AN ISO WITH SUBSYSTEMS NOT BROKEN OUT INTO ISOSs

The Patient Information Management System consists of three databases: the Adult Forensic Psychiatric Services database, the Youth Court Services database, and the Maples Adolescent Centre database (which covers Family Court Centre clients). The following data elements are documented on the system: patient/client number, physical description, medical history, financial and employment information, social insurance number, personal health information, attending psychiatrist and or social worker, patient movement (absences, leaves, transfers, discharges), ward counts, court information, Review Board hearing date, psychological tests, program placements, diagnoses, discharge and follow-up information.

[based on FPS ORCS]

E. Inputs, Processes, and Outputs (ISO/ISOS)

Provide a brief narrative description of how information is entered, manipulated and used by the system/subsystem. Describe how the inputs are entered and explain how and why electronic records and outputs are brought into being. A good source for this description is a flow chart or data model, if one is available.

Optionally, one narrative explanation of inputs, processes, and outputs can be provided, or it can be broken out into three subsections, as shown below.

EXAMPLES OF UNITED DESCRIPTION OF INPUTS, PROCESSES AND OUTPUTS

Information submitted on diagnostic lab submission forms or obtained “over the counter” is entered into the system. The diagnostician enters the final diagnosis after conducting relevant tests. Statistics generated may include the disease history of a farm, submission trends, which diseases are becoming more prevalent, and when they first appeared in the province.

[based on AGF ORCS]

Data is entered into the applicant registry from a variety of sources. When there is a vacancy, a list of suitable applicants is run and an offer is made. Applicants who accept the offer become tenants, and applicants who refuse remain on the waiting list. If the tenant refuses three offers, the application is cancelled. The system tracks contacts with applicants, generates notices to renew, and lists obsolete applications to be deleted from the system.

[based on BCHMC ORCS]

E.1 Inputs

Inputs are the paper or electronic documents used as information sources for entering data into the system. For retention and disposition schedules see relevant primaries.

EXAMPLES OF INPUTS
<p>The Assistant Registrar of Regulations manually enters the information from the actual regulation as submitted by the government body authorized to draft the regulation. The older material is entered from the <i>BC Gazette</i>.</p> <p><i>[based on LSB ORCS]</i></p> <p>The Automated Documentation System retrieves information from the Tenure Administration System, the Crown Land Registry, and the Management Information System. DOCS modifies the information and retains it. <i>[based on BCLANDS ORCS]</i></p>

E.2 Processes

Processes are the manipulations through which the system puts the data entered into it, in order to produce required outputs.

EXAMPLES OF PROCESSES
<p>Staff at the Emergency Coordination Centre record detailed information related to any reported event. This information is entered onto the OPIS II via codes, and a paper copy Event Log or Emergency Coordination Centre log that summarizes the event, is generated.</p> <p><i>[based on PEP ORCS]</i></p> <p>Once attribute data is entered, attribute replacement schedules are developed, plan codes are assigned, and system is linked to the finance module. <i>[based on BCHMC ORCS]</i></p>

E.3 Outputs

Outputs are the reports, forms, and other documents produced by the system, in any physical format.

EXAMPLES OF OUTPUTS
<p>Outputs consist of some 40 predefined and other user-defined reports generated on a weekly, bi-weekly, monthly and ad hoc basis. For classifications see relevant primaries, which are listed in the classification section. <i>[based on FPS ORCS]</i></p> <p>AFIS generates reports as required. For classifications see relevant primaries, which are listed in the classification section. <i>[based on BCLANDS ORCS]</i></p>

F. Technical Maintenance (ISO/ISOS)

Give standard wording as provided on the ISO and ISOS forms, as follows:

Electronic records are maintained on the system until their retention schedule is completed. (This usually parallels the schedule for related paper records.) The electronic records are then purged from the system. Any exceptions to this purge routine are noted under specific secondaries.

The electronic system is routinely backed up in accordance with [CHOOSE: ministry/agency] policy, as prescribed in *GMOP* 8.1.4 and in special schedule 112910 in the *ARCS* manual.

For retention and disposition schedules, see relevant primaries, which are listed in the classification section below.

G. Classification (ISO/ISOS)

Either provide classification information in summary narrative form, or use the tables provided below. Optionally, add a column to the table regarding retentions and dispositions.

G.1. Electronic System

If the system is not classified in the *ORCS*, use the following standard wording (as it appears in the format):

The electronic system is not classified in the *ORCS*. The classifications for the electronic records it generates are listed below. The system schedule is provided under “System Scheduling and Disposition”.

If the system is classified under a secondary in the *ORCS*, identify it in a sentence or list it, as shown in the examples below.

EXAMPLE OF ELECTRONIC SYSTEM CLASSIFICATION INFORMATION IN NARRATIVE FORM	
The Integrated Corporate Operating Network is classified under secondary 80000-30. <i>[based on BCBC ORCS]</i>	

EXAMPLE OF ELECTRONIC SYSTEM LISTING	
Secondary No.	Secondary Title
80000-30	Integrated Corporate Operating Network <i>[based on BCBC ORCS]</i>

G.2. Electronic Records

Give primary and secondary number and title cross-references for all electronic records. It is not necessary to list every electronic record if a general statement can be used, referring to all case files in a section, or all records covered by a certain reserved secondary.

EXAMPLE OF ELECTRONIC RECORDS LISTING	
Secondary No.	Secondary Title
80000-20	Client and accommodation working files
84000-20	Property and development working files
93000-20	Building management working files
<i>[based on BCBC ORCS]</i>	

G.3. Inputs

Give primary and secondary number and title cross-references for all inputs. It is not necessary to list every input if a general statement can be used, referring to all case files in a section, or all records covered by a certain reserved secondary.

EXAMPLE OF INPUTS LISTING	
Secondary No.	Secondary Title
81100-20	Accommodation consulting services projects
88300-20	Leased property pricing case files
89200-20	Design and construction project case files
94000-70	Building management project files
<i>[based on BCBC ORCS]</i>	

G.4. Outputs

Give primary and secondary number and title cross-references for all outputs. It is not necessary to list every output if a general statement can be used, referring to all case files in a section, or all records covered by a certain reserved secondary.

EXAMPLE OF OUTPUTS LISTING	
Secondary No.	Secondary Title
81400-30	Integrated accommodation plans
88000-20	Pricing project case files
89200-20	Design and construction project case files
96000-20	Building operation and maintenance case files
<i>[based on BCBC ORCS]</i>	

G.5. Other Related Records

List all related records, paper or otherwise.

- For transitory electronic data processing (EDP) records, see special schedule 102902 in the *ARCS* manual.
- For computer system backup records, see special schedule 112910 in the *ARCS* manual.
- For administrative records relating to the system, see *ARCS* section 6 and other relevant primaries.
- Give references to related *ORCS*, shared systems, etc.

H. System Scheduling and Disposition (ISO/ISOS)

If appropriate, use the following standard wording, as indicated in the format:

The system will be destroyed 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.

Use alternate wording if the above statement does not reflect the intended disposition of the system. Note that an archivist may provide alternate wording if the system is appraised for retention by the government archives.

4.2.3. Formatting Standards

Header

- a) Use draft header, omitting the scheduling columns. See format in chapter 2.
- b) Upon approval by the Legislative Assembly, change to the approved *ORCS* header. See format in chapter 7.

Footer

- a) Use one-line footer for an ISO or ISOS.
- b) Complete the fields for document path, date, schedule number, acronym for the *ORCS*, and acronym for the ISO.
- c) For the ISOS, include both the ISO acronym and the ISOS acronym.
- d) Each ISO and ISOS is numbered independently of the other ISOs/ISOSs.
- e) Upon approval of the *ORCS*, replace footer date with the Legislative Assembly approval date.

ISO Section Table of Contents

- a) Use same header and footer as for the ISOs and ISOSs.
- b) At the fifth line below the header, enter “INFORMATION SYSTEM OVERVIEW SECTION”; at the seventh line, enter “TABLE OF CONTENTS”.
- c) Leave one blank line between each ISO listing.
- d) Do not leave blank lines between an ISO listing and related ISOSs.
- e) Provide the acronym and full name for each ISO and ISOS listed.

EXAMPLE OF ISO SECTION TABLE OF CONTENTS	
INFORMATION SYSTEM OVERVIEW SECTION	
<u>TABLE OF CONTENTS</u>	
<u>ISO TITLE</u>	<u>ISOS TITLE</u>
Adoption Program System	APS
Management Information System	MIS
	/CR Central Registry
	/DCS Day Care System
	/SWS Social Work System
Record Request Tracking System	RRT

[based on CFAM ORCS]



Use formats for the ISO, ISO for a system with subsystems, ISOS, ISOW and ISO Section Table of Contents provided in this chapter and available in electronic form to Records Officers from CIMB.