

UK Department for International Development

Fostering Trust and Transparency in
Governance:

*Investigating and Addressing the Requirements for
Building Integrity in Public Sector Information Systems
in the ICT Environment*

Annual Report
March 2006 to April 2007



International Records Management Trust

April 2007

CONTENTS

| | |
|--|---|
| Introduction | 1 |
| Overview of the Project | 1 |
| Project Plan | 1 |
| Executive Summary and Recommendations | 2 |
| Stage One (Activities 1 to 3) | 3 |
| Appointment of Research Team | 3 |
| Activity 1 Develop Data Collection Toolkit | 3 |
| Activity 2 Two-Day Stakeholder Meeting | 4 |
| Activity 3 Two-Day Training Workshop | 4 |
| Steering Committee Meeting, Meet International Organisations | 4 |
| Stage Two (Activity 4) | 5 |
| Activity 4 Conduct Eight Case Studies in Africa | 5 |
| Stage Three (Activities 5 and 6) | 7 |
| Activity 5 Exchange Case Study Findings Between the Participating Countries | 7 |
| Activity 6 Comparative Case Studies Are Carried out in Asia | 7 |
| Stage Four (Activities 7 to 9) | 8 |
| Activity 7 Develop Route Map and Indicators, Plan Good Practice/Training Materials | 8 |
| Activity 8 Develop Good Practice Guidance Materials | 8 |
| Activity 9 Create Four Training Modules | 8 |

| | | |
|-------------|---|----|
| Appendix A: | List of People Consulted | 9 |
| Appendix B: | Progress Report Against Logframe | 17 |
| Appendix C: | Terms of Reference: July 2006 to March 2007 | 25 |
| Appendix D | Summary of Project Budget Expenditure | 35 |

INTRODUCTION

Overview of the Project

- 1 This project addresses an issue that has significant implications for development in the electronic environment: the absence, in most developing countries, of the infrastructure and capacity needed to manage the records input to or generated by ICT applications and the lack of a strategy for developing solutions.
- 2 The project involves investigating the implications of this problem as the basis for defining a strategy for addressing it, particularly in relation to the management of pay and personnel information. It is drawing upon and adapting emerging international good practice.
- 3 The fundamental driver of the project is the recognition that governments in developing countries are attempting to move to the electronic environment without taking account of the implications for managing records as evidence.
- 4 The deliverables for this project, from the fundamental policies and accountability frameworks to the capacity building materials, to the assessment tools and techniques, will help place governments in a position to address these issues, and in so doing, contribute to the achievement of development goals, including the reduction of poverty and the protection of rights and entitlements. The deliverables will be developed within the context of a comprehensive and appropriate infrastructure for managing paper and electronic records supported by effective management and governance structures.
- 5 The project outputs include:
 - a methodology for tracing information flows and related recordkeeping requirements in support of core government functions
 - a route map for moving from a paper-based to an electronic information environment in a safe and secure manner
 - definition of capacities needed to support this move
 - core guidance materials for use in public sector agencies
 - core capacity building materials
 - building a public service culture where records and information management are valued as a basis for analysis, decision-making, monitoring and evaluation, and service provision.

Project Plan

- 6 *Stage One* (Activities 1 to 3): Inception phase: appoint research team, design and development of research methodology and data collection toolkit, conduct a two-day

- stakeholder meeting and two-day training workshop, hold a Steering Committee meeting. (February to June 2006)
- 7 *Stage Two* (Activity 4): Conduct case studies (eight in six African countries). (June/July 2006 to May 2007)
 - 8 *Stage Three* (Activities 5 and 6): Exchange and compare findings via video conference and conduct two case studies in Asia (June to September 2007), hold annual Steering Committee meeting (May/June 2007), facilitate DFID Output to Purpose Review (April to June 2007).
 - 9 *Stage Four* (Activities 7 to 9): Develop route map and indicators, plan good practice/training materials (October 2007 to January 2008); develop good practice guidance materials (January to March 2008), create four training modules (October 2007 to March 2008).
 - 10 *Stage Five* (Activities 10 to 13): Present project findings at two-day stakeholders meeting; facilitate one-day workshops in six case study countries; disseminate products widely, hold annual Steering Committee meetings and meetings with international organisations (June to July 2008). (April to August 2008)
 - 11 *Stage Six* (Activity 14): Project Completion: Hold final Steering Committee meeting and meetings with international organisations conduct team debriefing. (July to August 2008)
 - 12 This report covers activities as set out in Stages 1,2 and 4 of the project plan.

EXECUTIVE SUMMARY AND RECOMMENDATIONS

- 13 A research team has been appointed. (paras 22 to 24)
- 14 A research toolkit defining a methodology for data collection has been developed. (paras 25 to 29)
- 15 It proved to be more effective to provide onsite training during the field visits than to offer workshop training programme. (para 33)
- 16 A steering committee has been appointed and the first meeting occurred in December 2006. (paras 34 to 40)
- 17 One case study has been completed in Lesotho and three more are close to completion (Ghana, Zambia and Tanzania). Following consultation with the Chairman of the Steering Committee, Stephen Sharples, and the DFID Central Research Department Project Officer, Dylan Winder, it was decided to reduce the number of studies to four in Africa and one in Asia to ensure greater depth of research. A video conference will be held to facilitate the exchange of information between the Africa case study countries. (paras 41 to 50)

- 18 The state government of Karnataka has been selected for the case study in Asia. (paras 49 and 51)
- 19 Work has begun on the project deliverables and an outline developed of training modules. An education consultant has been contracted to co-ordinate and have input into the modules and a meeting has been arranged of educators to develop a route map. (paras 52 to 57)
- 20 Progress to date against the logical framework is noted in Appendix B.
- 21 A summary of financial expenditure to date, by activity is included in Appendix D.

STAGE ONE (ACTIVITIES 1 TO 3)

Appointment of the Research Team

- 22 Michael Hoyle was appointed Project Manager and Lead Researcher and three senior researchers were recruited: Dr Justus Wamukoya of the University of Botswana; Dr Pino Akotia of the University of Ghana, and Andrew Griffin, formerly a member of the International Monetary Fund staff. Where a team member has not been available, assistance has been provided by Dr Peter Sebina of the University of Botswana and Peter Mazikana, a Tanzania based consultant.
- 23 Anne Thurston, Director of the Trust, is Director of the project and has worked closely with Michael Hoyle on project design and development, in working through issues associated with the case studies and in laying the groundwork for the deliverables.
- 24 The Research Team, including all of the researchers, have worked together as a unit to review and monitor progress and findings.

Activity 1 Develop Data Collection Toolkit

- 25 A toolkit has been developed to guide the research process and to ensure that the quality and quantity of the information collected meets a high and consistent standard. The Project Director and Project Manager collaboratively spent time researching and developing the structure of the toolkit and the methodology for the case studies.
- 26 Consultations were held by telephone and in face-to-face meetings with World Bank staff, particularly on issues surrounding quantitative data and performance indicators. Discussions were held with staff of the several divisions of the Bank including Africa, Asia, Poverty Reduction and Economic Management, Public Financial Management and Information Solutions. In addition, the Head of the Public Expenditure and Financial Accountability Secretariat, which is housed within the Bank, was consulted. See Appendix A for a list of people consulted.
- 27 The Project Director and the Project Manager worked with senior researchers at University College London School of Library, Archive and Information Studies, who

helped to develop and quality assure the Toolkit. They made an input to the Toolkit and reviewed several drafts.

- 28 The draft toolkit was presented to Dylan Winder, DFID Central Research Department Project Officer and to Stephen Sharples, the Chair of the Steering Committee, in May 2006 and their comments were incorporated.
- 29 The toolkit was used successfully in the field during the case studies in Lesotho, Ghana, Tanzania and Zambia and is being continually upgraded to reflect the experiences of team members.

Activities 2 and 3: Two-Day Stakeholder Meeting and Two-day Training Workshop

- 30 Two stakeholder partner organisations, the Eastern and Southern African Association of Accountant Generals (ESAAG) and the Eastern and Southern African Branch of the International Council on Archives (ESARBICA) are involved in the project. Working relationships have been established with both of these organisations.
- 31 The Project Manager and a senior researcher held telephone discussions with the Chair of ESAAG, who received clearance from his Board to participate and agreed to assist in liaising with association members.
- 32 The President of ESARBICA was consulted, and the ESARBICA Board warmly endorsed the project.
- 33 Planning commenced regarding a stakeholders meeting and a two day training workshop which were to be held in Nairobi, Kenya. However, several issues prevented this from happening. Firstly, Kenya was not able to participate in the project as a result of internal issues. More importantly, it took some time to determine exactly which countries would be participating in the case studies. In May it was agreed with the Chairman of the Steering Committee that the stakeholders meeting should be held after the completion of the case studies. Following further discussions and insights gained during the case studies, it became clear that stakeholders were keen to see training materials developed and delivered as soon as practicable. It was decided to launch the deliverables at a meeting of stakeholders in 2008.

Steering Committee Meetings and Meetings with International Organisations

- 34 A steering committee has been appointed to monitor the overall methodology and the outputs at each stage of the project against work plans and to advise on the development and dissemination of the deliverables.
- 35 Stephen Sharples, Senior Financial Management Adviser for Africa at DFID, agreed to chair the Steering Committee. The Project Director and Project Manager worked with him to agree the make up and logistics of the Committee, and potential committee

members were contacted in April 2006. It took several months to confirm their availability to participate. The other Steering Committee members are: Cosmas Lamosai, ESAAG (previously represented by Jerry Gutu); Kelebogile Kgabe, ESARBICA, Nicola Smithers, World Bank; Ranjana Mukherjee, World Bank; Gert van der Linde, World Bank; David Sawe, Government of Tanzania.

- 36 The first Steering Committee meeting was successfully held on 19 December 2006. It was conducted by video conference using World Bank facilities and linked participants at the Bank in Washington with DFID London, DFID Pretoria and DFID Dar es Salaam.
- 37 The Project Director and the Project Manager also visited the World Bank in May 2006 and held extensive discussions about the project with Bank staff, including two members of the committee, Ranjana Mukherjee and Nicola Smithers. A follow-up visit by the Project Director took place in November.
- 38 A meeting was scheduled in Pretoria between Jerry Gutu, then CEO of ESAAG, the Project Manager and a senior member of the research team on 28 July 2006. Unfortunately, Mr Gutu's work commitments made it impossible to meet, but the Project Manager was able to meet the Treasurer of ESARBICA, who is the National Archivist of South Africa, in Johannesburg.
- 39 Meetings were held with the International Council on Archives (ICA) in Paris and at the Annual Round Table of National Archivists held in Curacao in November 2006. The ICA expressed interest in collaborating on training issues associated with the project. There also was a meeting with the OECD in Paris.
- 40 Several other meetings are being explored. These include a rescheduled meeting with the current CEO of ESAAG, and meetings with representatives of NEPAD and UNDP.

STAGE TWO (ACTIVITY 4)

Activity 4: Conduct Case Studies in Africa

- 41 Case studies originally were to be conducted in six sites in Africa. The sites selected included Kenya, Tanzania, Zambia, Malawi, Lesotho and Ghana. In March 2006, the Chair of ESAAG and the President of ESARBICA contacted the Accountants General and National Archivists from Kenya, Tanzania, Zambia, Malawi and Lesotho to participate in the Study. The Project Team contacted the acting National Archivist of Ghana and the Accountant General of Ghana.
- 42 The Accountants General in Tanzania and Lesotho agreed at an early stage to host case studies. The acting Accountant General of Kenya felt unable to participate in the study due to internal issues. Kenya had recently undergone a corruption scandal, and the timing was not right for a study. The Accountant General of Zambia indicated that he was happy to participate in the study, but he wanted to consult the Public Service Management Division. The elections in Zambia caused a delay and in consultation

with DFID it was agreed to postpone a visit until early 2007. The Accountant General of Ghana indicated that the study could proceed.

- 43 Planning commenced for the Tanzania and Ghana studies. In May, DFID asked that the case study in Tanzania be postponed until September due to a Government of Tanzania moratorium on visits by international consultants. The National Archivist of Tanzania indicated that October would be the best time for the study, and as a consequence it was decided to move the Lesotho study forward to July.
- 44 The case study in Lesotho took place between 10 and 28 July. Terms of Reference for the study can be found at Appendix C. Successful discussions were held at the Ministry of Tourism, Environment and Culture; Ministry of Finance and Development Planning; Ministry of Public Service, Ministry of Agriculture and Food Security, Ministry of Education (including the Teachers Services Department); Ministry of Communications, Science and Technology; and Ministry of Local Government. In addition, the Research Team were able to examine and analyse a selection of pay and human resources manual and electronic records at various ministries. Discussions also were held with advisers from the Public Financial Management Programme, Ministry of Finance, EU, Irish Aid, DFID and GTZ.
- 45 The case study in Ghana took place between 7 and 25 August. Terms of Reference for the study can be found at Appendix C. Discussions were held with the Office of the Head of the Civil Service; the Controller and Accountant General's Department; the Ministry of Public Sector Reform; and the Public Records and Archives Administration Department, as well as with the UK Department for International Development in Ghana. Payroll and personnel management information flows were examined in detail in the Office of the Head of the Civil Service and Controller and Accountant General's Department. In addition, personnel files were examined in the Office of the Head of the Civil Service and Ministry of Education to determine their completeness.
- 46 The Research Team recommended that a second visit to Ghana was necessary. At the time of the first visit, the Government of Ghana was in the process of replacing its personnel and payroll database (IPPD1) with a new system (IPPD2). It was felt that a more detailed examination of IPPD2 following its implementation, a detailed analysis of personnel records at the ministry and departmental level, and further discussions with stakeholders, would enhance the initial findings. Moreover, it has become clear that officials need to develop trust in the research team before they are willing to give information freely. The team returned to Accra from 26 February to 9 March 2007 to finalise this work. Further meetings were held with the Head of the Civil Service, Controller and Accountant General, officials in the Audit Service and other senior officials. Payroll and personnel information flows were again examined in relation to IPPD2 and paper files. A sample comparison of payroll and personnel details was made between IPPD1, IPPD2 and paper files in three ministries (Education, Health and Agriculture).
- 47 The Tanzania case study took place from 9 to 23 October. The Terms of Reference can be found at Appendix C. The government's human resources and payroll is undergoing change with re-engineering of key processes as well as a substantial upgrade of the Human Capacity Management Information System (HCMIS). Discussions took place at the Presidents Office: Public Service Management, Presidents Office: Records and

Archives Department, Ministry of Finance, Ministry of Agriculture, Ministry of Education, Ministry of Health and the Controller and Auditor General. While access to, and analysis of, a selection of pay and human resources manual and electronic records was not granted, qualitative and other useful information was obtained from ministries. Discussions were also held with expatriate and local advisers from DFID and the World Bank. Further information was collected during other project work in Tanzania in November 2006, and additional material relating to changes to human resources and payroll functions, and the next iteration of the HCMIS, will be gathered in April 2007.

- 48 The first Zambia case study visit was completed from 22 January to 2 February 2007. The Terms of Reference can be found at Appendix C. Successful meetings were held with senior staff at the Public Service Management Division, the Ministry of Finance (including the Accountant General), the Cabinet Office, Office of the Auditor General, Ministry of Agriculture, the National Archives, the University of Zambia and with DFID advisers. Good working relationships were formed with senior officials at the Public Service Management Division and a considerable amount was learned about the Public Management and Control (PMEC) System. The team returned to Lusaka from 19 to 30 March to track public servants through the system and to evaluate its recordkeeping functionality. The Terms of Reference for the work in Zambia can be found at Appendix C.
- 49 Discussions were held with DFID in November regarding progress on the case studies as well as possible options regarding more detailed analysis of personnel and payroll records in fewer sites. On the basis of the field work to date, the Research Team believe that it has been beneficial for the study to focus on pay and personnel records, rather than looking at a wider range of government functions. The focus on four countries in Africa (Ghana, Tanzania, Zambia and Lesotho) and one in Asia (India, the Karnataka state), rather than on six countries in Africa and two in Asia that were originally proposed, has been a successful strategy that allowed the Research Team to develop effective working relationships with government officials and to gain a sufficiently in-depth understanding of the issues to develop useful guidance and training materials.

STAGE THREE (ACTIVITIES 5 and 6)

Activity 5 Exchange Case Study Findings Between the Participating Countries

- 50 Several case study countries are keen to participate in a teleconference. It seems likely that such an event will also prove useful in the development of the deliverables (project summaries 8 to 10). Consequently it is envisaged that the teleconference will take place as soon as possible following completion of the studies, most likely at the beginning of June 2007.

Activity 6 Comparative Case Studies are Carried out in Asia

- 51 Initial contact has been made with the State Archives of Karnataka and responses have been positive. Research on state government electronic systems has been undertaken and it is anticipated that a three week visit will be made to Bangalore in May 2007.

STAGE FOUR (ACTIVITIES 7, 8 and 9)

Activity 7 Develop Route Map and Indicators, Plan Good Practice/Training Materials

Activity 8 Develop Good Practice Guidance Materials

Activity 9 Create four training modules

- 52 The project is due to produce a route map providing a sequence strategy for moving from manual to electronic information systems, as well as good guidance materials, training modules and a database of case studies. A group of educators will be brought together for a five day meeting to develop the map and indicators. This is being planned to take place in Botswana in July 2007.
- 53 The information gathered during the video conference with stakeholders also will feed into the process of planning the deliverables.
- 54 During the first two case studies, it was clear that the stakeholders were very interested in receiving training materials as soon as possible. The Research Team has had preliminary discussions about the content and structure of the materials, and has carried out initial research of the available material that might be incorporated.
- 55 An internal discussion paper has been drafted on initial thinking on the structure and content of the training materials. A scoping paper will be prepared to assist in planning and finalising direction in activities 8 to 10.
- 56 Laura Millar, a senior educator with extensive experience in developing educational material for use in developing countries, was appointed as Consultant Developer/Editor to oversee and contribute to the work creating training modules. Her contribution to the delivery of the training modules, good practice guidance materials, route map and indicators will be invaluable.
- 57 Further to the meeting between Anne Thurston, Dylan Winder and Stephen Sharples in May 2006, it was decided that all savings in the project budget would be re-allocated to the creation of training modules to meet the recommendation of the stakeholders.. As a result, the number of deliverables from this activity have been increased from 4 to 6 modules.

Progress against the Logical Framework

- 58 The progress to date is mapped against the Logical Framework in Appendix B.

LIST OF PEOPLE CONSULTED

University College London

Geoffrey Yeo, Head of Records and Archives Studies
Dr Elizabeth Shepherd, Senior Lecturer

East and Southern African Association of Accountants General (ESAAG)

Jerry Gutu, former CEO
Cosmos Lamosai, CEO

East and Southern African Regional Branch of the International Council on Archives (ESARBICA)

Kelebogile Kgabi, President

Organisation for Economic Cooperation and Development (OECD)

Nick Manning, Chief of Division, Public Sector Management and Performance
Edwin Lau, Project Leader, E-Government Project, Innovation and Integrity Division

International Council on Archives

Joan van Albada, Secretary General
David Leitch, Deputy Secretary General

WORLD BANK

Africa Division

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Nicola Smithers
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Mike Stevens (Consultant)

South Asia Division

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Latin America Division

Jeff Rinne

Public Financial Management

Marius Koen

Poverty Reduction and Economic Management

Gregory Kisunko
Collum Gharity

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Deepak Bhatia
Elisa Liberatori Prati

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Frans Ronsholt

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Mrs Seala, Assistant Administrative Office, Head of Registry

Ministry of Finance and Development Planning

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Mr Richard Letsoela, Deputy Accountant General, Treasury
Mr Tsukulu, Assistant Accountant General, Treasury
Mr Molefi, Human Resources Manager, Treasury
Mr Motalingoane, Head of Salaries, Treasury
Mr Muso Mokeno, Operations Supervisor, Treasury
Ms Marha Nthare, Senior Accountant, Treasury
Ms Mahelena Lephoto, Chief Internal Auditor

Mr Peter James, Project Manager, Public Financial Management Programme
Mr Robert Flanagan, Treasury Adviser, Public Financial Management Programme
Mr David Watt, Advisor, Public Financial Management Programme
Ms Tjonga Selaolo, Advisor, Public Financial Management Programme
Ms Motseoa Masheane, Adviser, Public Financial Management Programme
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Ms Monica Besetsa, Assistant Auditor General, Research and Development
Mr Kopno Mou, Assistant Auditor General, Parastatal Audits

Ministry of Communications, Science and Technology

Dr Nketsi Makhera, Director, ICT Department

Ministry of Local Government

Mrs Malitlallo Majara, Director Human Resources, Department of Human Resources and Member Local Government Services Commission
Mrs Mathato Matlanya, Chairperson, Local Government Services Commission
Ms Pontso Lebotsa, Member, Local Government Services Commission
Mr Thabo Ntai, Member, Local Government Services Commission
Mr Rajeeve Ahal, Advisor, Decentralisation and Rural Development, Lesotho – German Decentralised Rural Development Programme (Ministry of Local Government and GTZ)

Ministry of Agriculture

Mrs Setefane, Human Resource Manager
Ms Dineo Pitso, Assistant Systems Support Officer

Ministry of Education

Mr Odilon Makara, Deputy Principle Secretary
Ms Moeketsi, Human Resources Manager
Mr Mapetla, Chief Education Officer (responsible for Teachers Services Department)
Ms Likele Thulo, Senior Executive Officer, Teachers Services Department

Ministry of Tourism, Environment and Culture

Mr JT Metsing, Principle Secretary
Ms Ntina Qhobosheane, Principal Archivist, State Archives
Ms Tebello Moseme, Archivist, State Archives

European Union

Mr Daniel Aristi, Acting Head of Delegation
Ms Funa Sepiso

Irish Aid

Ms Paula Nolan

Department for International Development (UK)

Ms Diana Webster, Field Officer

GOVERNMENT OF GHANA

Office of the Head of the Civil Service

Mr Joe Issacher, Head of the Civil Service
Mr Barnes, Chief Director
Mr Frank Braimah, Director ICT
IPPD Section Staff
Personnel File Registry Supervisor

Public Records and Archives Administration Department (PRAAD)

Mr Cletus Azangweo, Director
Mrs Eugenia Adomako-Gyasi, Acting Director
Mr Leo Woode
Ms Thelma Ewusie

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Mr Christian Sottie, Controller and Accountant General
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Mr Abraham Mantey, Deputy Controller and Accountant General, Finance and Administration
Mrs Elizabeth Osei, Director of Payroll
Mr Gilbert Nyaledzigbor, Deputy Head of Payroll

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Mr Chigabatia, Executive Secretary

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Mr AB Kolokota, Assistant Director
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GOVERNMENT OF ZAMBIA

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Office of the Auditor General

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Mr Davis Munga, Head of Cabinet Documentation

Ministry of Agriculture

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Mr. Webster Chilala, Chief Human Resources Officer

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Ministry of Education

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Ministry of Health

Mr M.N. Peleti, Assistant Director for Administration and Parliamentary Affairs

Ms A. Mulenga, Administrative Officer

Mr C. Sibalwa, Senior Registry Officer

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Mrs. Chileshe Lusale-Musukuma, Acting Director

Ms Judith Namutowe, Acting Assistant Director

Ms Marja Hinfelaar, Consultant Historian, Digitisation Project

Mr M. Sanna, Technical Advisor, Digitisation Project

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Mr. Patrick Chisenga Clerical Officer, Accounts

Ministry of Immigration

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University of Zambia

Mr Crispin Hamooya, Lecturer in Archives and Records Management, Department of Library and Information Studies

Department for International Development (UK)

Mr Wilfred Kupelelwa Mwamba, Governance Advisor

Dr Bruce Lawson-McDowall, Governance Advisor

World Bank

Ms P. Palale, Public Sector Management Specialist

**Progress Report against
the Logical Framework**

| Project Summary | Measurable indicators | Means of verification | Assumptions and risks | Comments |
|---|---|--|---|---|
| 1 A toolkit is developed to enable data collection as a basis for developing records management indicators and designing good practice materials. | 1.1 The methodology and toolkit are distributed to team members and form the basis of the training for the research team. | 1.1 The tool kit is available on the Internet. | 1.1 A research methodology can be developed that results in meaningful data collection linked to development objectives and indicators. | 1.1 Toolkit and research methodology developed and distributed to Research Team members. 1.2 Toolkit has been posted to website following upgrade. |
| 2 Senior stakeholders in east and southern Africa hold a two day planning meeting on the nature of the research and the best means of maximising its value. | 2.1 Eighteen stakeholders from the six participating African countries meet for a two day planning meeting in Tanzania (tbc) facilitated by four members of the research team and with inputs from two subject specialists. | 2.1 Briefing papers, a record of the proceedings of the meeting and materials presented are available on the project website and described in project reports. | 2.1 Stakeholders attend and participate actively in the meeting. | 2.1 Meeting rescheduled to take place after completion of case studies and development of deliverables in 2007. |
| 3 The research team and assistants are trained in methodology and data collection in a two day training workshop. | 3.1 A training programme is prepared. Research team members (four senior researchers and 12 research assistants) are trained over 2 days in data collection and research methodology in Tanzania (tbc) | 3.1 The training programme is available on the Internet. | 3.1 The training workshop takes account of local realities and international accountability concerns. | 3.1 Research assistants are being trained during case study visits. Further training will take place after the case studies are completed. |

| Project Summary | Measurable indicators | Means of verification | Assumptions and risks | Comments |
|---|--|--|---|---|
| 4 Case studies are carried out in Africa and an overview report is prepared. | 4.1 Seven case studies are conducted in east and southern Africa and one in West Africa and are used as a development resource for reference and teaching purposes. Each study involves three weeks field research by two senior researchers and two research assistants (countries to be agreed with DFID and partner organisations). | 4.1 Case studies are available on the Internet. | 4.1 Government officials contribute effectively to the case studies. | <p>4.1 Gaining agreement to participate in the project took longer than expected but has been achieved in large measure.</p> <p>4.2 Three case studies have been completed (Lesotho, Ghana, Zambia) and the first stage of one completed (Tanzania). Final reports for completed studies are expected in April. Work on the Tanzania study is expected to be completed by May 2007.</p> <p>4.3 Case study reports have been made available on the website following approval of host countries.</p> |
| 5 Case study findings are exchanged and compared between the participating countries. | 5.1 A video conference is held, in two four-hour sessions, to enable up to ten stakeholders from each participating country to examine and compare the case study findings. | 5.1 The programme, list of participants and proceedings of the video conference are available on the Internet. | 5.1 Technical facilities are available to support videoconference and electronic discussions (World Bank Institute Global Distance Learning Network or DFID). | 5.1 Stakeholders from the African case study countries will participate in a video conference in June. Lessons learned will be shared and the discussion will contribute to planning |

| Project Summary | Measurable indicators | Means of verification | Assumptions and risks | Comments |
|--|---|--|---|---|
| | 5.2 A facilitated three-week electronic discussion is conducted to debate and disseminate the findings. | 5.2 Summaries of the electronic discussion are available on the internet | Stakeholders participate actively in the sessions. | the project deliverables. s |
| 6 Comparative case studies are carried out in Asia. | 6.1 Two studies are conducted (countries to be agreed with DFID). | 6.1 Case studies are available on the Internet. | 6.1 Government officials contribute effectively to the case studies. | 6.1 Initial contact with the State Archives of Karnataka, which will host the visit has been positive. Background information has been gathered on state government electronic systems and a visit to Bangalore is planned for May. |
| 7 A route map for making the transition to managing electronic information is developed and peer reviewed. | 7.1 Five senior researchers, one resource person and one educator attend a six-day planning meeting to prepare a route map strategy for moving from paper-based to electronic information environment and define good practice and capacity | 7.1 The route map is accessible on the Internet | 7.1 The Project Team is able to synthesise international and regional research findings and other experience to agree clear stages and milestones for the transition to managing records in an electronic environment | 7.1 Initial discussions regarding the route map have been held with members of the Research Team. It is likely that a meeting of invited educators will take place in July in Gaborone, Botswana. `` |

| Project Summary | Measurable indicators | Means of verification | Assumptions and risks | Comments |
|--|--|---|---|---|
| | building materials required to support it. | | | |
| 8 Good practice guidance materials, including records management indicators are developed and peer reviewed. | 8.1 A set of at least five good practice documents are produced and are used in government agencies and training agencies, covering such subjects as: <ul style="list-style-type: none"> ◇ laws and policies ◇ staff responsibility and accountability ◇ effective standards and practices ◇ staff capacities ◇ budget requirements | 8.1 The good practice guidance materials are available on the Internet with a high number of downloads. | 8.1 The Project Team is able to synthesise international good practice and local requirements. | 8.1 Initial discussions and research have been conducted. |
| 9 Training modules are developed for use in training institutions and peer reviewed. | 9.1 Four capacity building modules are produced and are used regularly by educators and national records and archives institutions covering subjects including: <ul style="list-style-type: none"> ◇ mapping information flows to key government functions ◇ managing electronic records ◇ preserving digital | 9.1 The training modules are available free of charge on the Internet, with a high number of downloads. | 9.1 The project team is able to synthesise international good practice and local requirements; international and regional partners support the active dissemination of the materials and raise awareness of their availability and applicability. | 9.1 Initial discussions and research has been conducted and a preliminary outline of modules agreed. Laura Millar, a senior educator with extensive experience in developing educational materials for professional use in developing countries was appointed as Consultant Developer/Editor to |

| Project Summary | Measurable indicators | Means of verification | Assumptions and risks | Comments |
|---|--|--|--|---|
| | <p>records</p> <ul style="list-style-type: none"> ◇ managing records in relation to public sector development | | | <p>oversee and contribute to the work creating training modules.</p> <p>9.2 On the recommendation of stakeholders in the case study countries, and subsequent to discussions between Project Director and DFID representatives, project savings have been transferred to this activity and the number of deliverable modules increased from four to six</p> |
| 10 The findings and outputs are presented to regional stakeholders. | 10.1 Thirty senior stakeholders from the six participating African countries attend a two-day review meeting facilitated by the five senior researchers. | 10.1 A resource pack developed for the meeting is available on the Internet. | 10.1 Participation is at a sufficiently high level to make an impact on governance strategies. | |
| 11 One day national workshops are delivered to widen stakeholder involvement in the participating African | 11.1 Up to 20 senior government officials attend a one-day seminar in each of the six participating African countries. One member of the research | 11.1 Reports of the meetings are available on the Internet. | 11.1 Governments are prepared to endorse the seminars. | |

| Project Summary | Measurable indicators | Means of verification | Assumptions and risks | Comments |
|---|--|---|--|--|
| countries. | team travels to each country to facilitate the workshops. | | | |
| 12 Products are linked to RMCAS and disseminated widely. | 12.1 The products are linked to the RMCAS analytic matrix, added to the capacity materials database and added to the capacity materials database. | 12.1 An updated version of RMCAS is available without charge on the Internet. | 12.2 The project outputs can be mapped to the existing capacity assessment system. | |
| 13 Steering Committee meetings and meetings with international organisations will be held annually to ensure relevance of the outputs and effective support and buy-in by stakeholders. | 13.1 One Steering Committee meeting will be conducted annually by video conference for up to ten Steering Committee members; Project Director will travel internationally to visit at least ten partner and international organisations or governments annually. | 13.1 Reports of the meetings will be available on the Internet | 13.1 Steering Committee members are available to participate in the meetings; meetings can be arranged with international organisations. | 13.1 The first Steering Committee meeting was held in December 2006. Other meeting have been undertaken with officials at the World Bank, the International Council on Archives and the OECD |
| 14 An Output to Purpose Review by an external assessor will be conducted after 2 years to assess | 14.1 Progress will be reviewed against measurable indicators for outputs and activities, timeframe and milestones. | 14.1 An Output to Purpose Review report will be available on the Internet. | 14.1 An appropriate reviewer can be identified. | |

| Project Summary | Measurable indicators | Means of verification | Assumptions and risks | Comments |
|---|------------------------------|------------------------------|------------------------------|-----------------|
| progress toward outputs and outcomes and progress towards the achievement of the goal and purpose of the project. | | | | |

**Terms of Reference for Case Studies
in Lesotho, Ghana, Tanzania and Zambia**

Terms of Reference

Building Integrity in Public Sector Information Systems in the ICT Environment, Lesotho Visit by Michael Hoyle and Justus Wamukoya, 10 to 28 July 2006

- 1 Liaise with National Archivist and Accountant General regarding research assistance. Conduct training on research methodology as required.
- 2 Through interviews and documentary research collect qualitative information about:
 - public sector reform
 - electronic governance initiatives
 - pay and personnel processes
 - records management
- 3 Consult the following senior officials:
 - Mr Ken Hlasa, Accountant General
 - Mrs Lucy Liphafa, Auditor General, Office of the Auditor General (OAG)
 - Dr M Majoro, Principal Secretary Ministry of Finance and Development Planning
 - Mrs M Lephoto, Chief Internal Auditor (CIA) Ministry of Finance and Development Planning
 - Mr Sekamane, Government Secretary
 - Mrs P Ramaqele, Acting Principal Secretary, Ministry of Public Service
 - Principal secretaries of the Ministry of Agriculture Co-operatives and Land Proclamation, the Ministry of Health and Social Welfare and the Ministry of Education
 - Departmental/ministry official with responsibility for IT in the Ministry of Communications and Science Technology.
 - Ms Ntina Qhobosheane, National Archivist
 - Other officials as required.

Use the set of high level questions developed to guide the research process.

- 4 Conduct a high-level analysis of the flow of information in the areas of human resource and financial management with the aim of gaining a better understanding of records in relation to pay and personnel management. Learn as much as possible about the strengths and weakness of the records control systems involved. This will involve examining flows between the Accountant General's Office, the Public Service Department and ministries (pick one). Indicate the categories of information covered and the designation of the officers concerned.

Further details of the methodology can be found in the tool kit.

- 5 Create a flow chart illustrating the information flows.
- 6 Randomly sample records of up to 50 employees to obtain indicative figures on the quality of payroll information and personnel records. The following key records should be identified:
 - application for employment
 - letter of appointment
 - employee's acceptance of employment
 - medical certificate or statement confirming fitness for employment
 - certificates or proof of education required for appointment.

See the tool kit for further details on the methodology for this research.

- 7 Meet with the Chair of ESAAG and officials at the National Archives of South Africa and NEPAD during visit to Pretoria, South Africa.
- 8 Prepare case report

Terms of Reference

Building Integrity in Public Sector Information Systems in the ICT Environment, Ghana Visit by Andrew Griffin and Dr Pino Akotia, 7 to 25 August 2006

- 1 Liaise with National Archivist, the Accountant General and the Deputy AG in charge of Payroll regarding identifying research assistants. Conduct training on research methodology as required.
- 2 Review the Toolkit carefully, particularly the background and context described in Chapter Three of the project Toolkit. Review and follow the research methodology described in Chapter Four. The key stages are summarised below.
- 3 Through interviews and documentary research collect qualitative information about:
 - public sector reform and electronic governance initiatives
 - pay and personnel policies and processes
 - records management.
- 4 Consult the following senior officials, using the questions set out in Appendix A to guide the process:
 - Mr Christian Sottie, Accountant General
 - Auditor General
 - Permanent Secretary, Ministry of Finance
 - Chief Internal Auditor, Ghana Audit Service, Ministry of Finance
 - Government Secretary
 - Permanent Secretary, Public Services Commission
 - Office of the Head of Civil Service
 - Permanent secretaries of the Ministry of Food and Agriculture, the Ministry of Health and the Ministry of Education, Science and Sports
 - Departmental/ministry official with responsibility for IT in the relevant InformationTechnology Services Division/Directorates.
 - Mrs Eugenia Admomako-Gyasi, National Archivist
 - other officials as identified against the list in Chapter Four of the Toolkit.

- 5 Conduct a high-level analysis of the flow of information in the areas of human resource and financial management with the aim of gaining a better understanding of records in relation to pay and personnel management. Learn as much as possible about the strengths and weakness of the records control systems involved. This will involve examining flows between the Accountant General's Office, the Public Service Commission and ministries (pick one). Indicate the categories of information covered and the designation of the officers concerned. Create a flow chart illustrating the information flows.
- 6 Working with relevant government stakeholders, randomly sample records of 50 employees to obtain indicative figures on the quality of payroll information and personnel records. Identify key records as described in Chapter Four. These numbers may be modified in discussion with Michael Hoyle and Justus Wamukoya following the Lesotho case study.
- 7 Liaise closely with the Project Manager in preparing a case study report.

Terms of Reference

Building Integrity in Public Sector Information Systems in the ICT Environment, Ghana

Visit by Andrew Griffin and Dr Pino Akotia, 24 February to 9 March 2007

- 1 Following the guidelines in the Toolkit:
 - conduct qualitative research on public sector reform, electronic governance initiatives, pay and personnel policies and processes and records management
 - analyse and map information flows
 - examine a random sample of records of 50 employees to obtain indicative figures on the quality of payroll information and personnel records.

Key areas of work are outlined below.
- 2 Liaise with the Director PRAAD to prepare a plan and work programme for part two of the case study in Ghana
- 3 Identify and brief a research assistant (Mr Leo Woode)
- 4 Conduct follow up interviews with the following key officials (or senior officials who report to them):
 - Controller and Accountant General
 - Auditor General
 - Head of Civil Service
 - Chief Director, OHCS
 - Director of Payroll, CAGD
 - Civil Service Commission
 - Other officials as identified during the case study.
- 5 Gather further information on the upgrading of IPPD1 to IPPD2 and the progress to date in implementing IPPD2
- 6 Prepare process maps of key HR processes: new entrant, promotion, separation
- 7 Examine background materials provided by DFID and extract useful information for the case study.

- 8 Review, update and complete work on assessing the quality of personnel records in the Ministries of Education, Food and Agriculture, and Health.
- 9 Gather further data on information flows within the payroll and personnel system.
- 10 Liaise closely with the Project Manager in preparing a case study report.

Terms of Reference

Building Integrity in Public Sector Information Systems in the ICT Environment, Zambia

Visit by Michael Hoyle and Peter Sebina, 22 January to 2 February

- 1 Liaise with National Archivist, the PS for Public Service Management (or designated staff member) and the Director for Payroll Management and Establishment Control to brief them on the project, identify key stakeholders and possible research assistant(s). Conduct training on research methodology as required.
- 2 Review the background and context described in Chapter Three of the project Toolkit. Review and follow the research methodology described in Chapter Four. The key stages are summarised below.
- 3 Plan for the next visit in which you will conduct interviews and documentary research to collect qualitative information about:
 - public sector reform and electronic governance initiatives
 - pay and personnel processes
 - records management.
- 4 Consult the following senior officials, using the questions set out in Appendix A to guide the process:
 - Accountant General
 - Auditor General
 - Permanent Secretary for the Ministry of Finance and National Planning
 - Chief Internal Auditor
 - Government Secretary
 - Permanent Secretaries of the Ministry of Agriculture and Co-operatives, the Ministry of Health and the Ministry of Education
 - departmental/ministry official with responsibility for IT in the Ministry of Science, Technology and Vocational Training
 - other officials as identified against the list in Chapter Four of the Toolkit.
- 5 Conduct a high-level analysis of the flow of information in the areas of human resource and financial management with the aim of gaining a better understanding of records in relation to pay and personnel management. Learn as much as possible about the

strengths and weakness of the records control systems involved. This will involve examining flows between the Accountant General's Office, the Public Service Management Department and a selected ministry. Indicate the categories of information covered and the designation of the officers concerned. Create a flow chart illustrating the information flows.

- 6 Plan for the next visit, in which you will work with relevant government stakeholders, to randomly sample records of 50 employees to obtain indicative figures on the quality of payroll information and personnel records. Identify key records as described in Chapter Four (application for employment, letter of appointment, employee's acceptance of employment, medical certificate or statement confirming fitness for employment, certificates or proof of education required for appointment) and create the verification matrix as described in the Chapter.
- 7 Prepare notes for the interim case study report and submit them to the Project Manager.

Terms of Reference

Building Integrity in Public Sector Information Systems in the ICT Environment, Zambia

Visit by Michael Hoyle and Peter Mazikana, 19 to 30 March 2007

- 1 Following the guidelines in the Toolkit, conduct the specified qualitative research, analyse information flows and examine a random sample of records of 50 employees.
- 2 Liaise with the PS and senior directors at Public Service Management Division (PSMD), Records Management Systems Department officials at PSMD and the National Archivist and her staff.
- 3 Identify any research assistance and conduct training on research methodology as required.
- 4 Consult the following senior officials, using the questions set out in Appendix A of the Tool Kit to guide the process:
 - Auditor General
 - Chief Internal Auditor
 - Permanent Secretaries (or senior Staff) at the Ministry of Agriculture and Co-operatives, the Ministry of Health and the Ministry of Education (including Teacher Services)
 - World Bank
- 5 Work with relevant government stakeholders, to randomly sample records of 50 employees to obtain indicative figures on the quality of payroll information and personnel records. Identify key records as described in Chapter Four of the Tool kit (application for employment, letter of appointment, employee's acceptance of employment, medical certificate or statement confirming fitness for employment, certificates or proof of education required for appointment) and create the verification matrix as described in the Chapter.
- 6 If time permits, organise a trip to a regional office of the Ministry of Agriculture (or another Ministry) to view records management and meet officials.

**Summary of Project Budget Expenditure
for Financial Years 2005/06 and 2006/07**

**Project: Fostering trust and Transparency in Governance:
Investigating and Addressing the Requirements for Building
Integrity in Public Sector Information Systems in the ICT
Environment**

**Donor: DFID Central research
Department
Contract COMMS2**

Project dates: 1 February 2006 - 31 August 2008

Statement date: Annual report, 5 April 2007

| Activity | Original Budget | | Expenditure Financial year 05/06 | | Expenditure Financial Year 06/07 | | Balance Remaining | |
|---|-----------------|----------------|--|---------------|--|----------------|----------------------|----------------|
| | Expenses | Fees | Expenses | Fees | Expenses | Fees | Expenses | Fees |
| 1. Design research methodology and develop a data collection toolkit | 0 | 4,500 | 0 | 4,000 | 0 | 800 | 0 | -300 |
| 2. Conduct a 2-day planning meeting for senior stakeholders | 20,180 | 4,000 | 0 | 4,400 | 0 | 0 | 20,180 | -400 |
| 3. Deliver 2-day training workshop for research team and assistants | 13,200 | 4,080 | 0 | 0 | 0 | 1,200 | 13,200 | 2,880 |
| 4. Conduct 8 baseline case studies in Africa (countries to be agreed) | 52,320 | 110,400 | 0 | 0 | 27,095 | 90,000 | 25,225 | 20,400 |
| 5. Exchange and compare the findings between participating countries through 2 x 4 hour video conferences for key stakeholders and donors | 16,900 | 800 | 0 | 0 | 0 | 0 | 16,900 | 800 |
| 6. Conduct 2 baseline case studies in Asia (provisionally India & Bangladesh) | 14,280 | 18,200 | 0 | 0 | 0 | 2,000 | 14,280 | 16,200 |
| 7. Define a route map and indicators in brainstorming workshop Conduct a planning meeting for good practice and training materials | 13,400 | 22,450 | 0 | 0 | 0 | 0 | 13,400 | 22,450 |
| 8. Define and develop good practice guidance materials and resources | 500 | 8,900 | 0 | 0 | 0 | 8,000 | 500 | 900 |
| 9. Create four core training modules | 1,000 | 51,000 | 0 | 0 | 0 | 40,400 | 1,000 | 10,600 |
| 10. Present project findings at 2-day review meeting for regional stakeholders | 27,840 | 3,600 | 0 | 0 | 0 | 0 | 27,840 | 3,600 |
| 11. Facilitate 1-day national workshops in Africa in 6 case study countries | 6,440 | 3,600 | 0 | 0 | 0 | 0 | 6,440 | 3,600 |
| 12. Link products to RMCAS, make the findings available on the Internet and other means, liaise with all partners and disseminate materials widely | 2,000 | 4,000 | 0 | 0 | 0 | 0 | 2,000 | 4,000 |
| 13. Facilitate Steering Committee meetings and meetings with key stakeholders | 21,900 | 19,600 | 0 | 800 | 3,955 | 7,800 | 17,945 | 11,000 |
| 14. Core Team Costs, Project Management, Oversight, Quality Control | 9,300 | 224,130 | 450 | 11,245 | 3,750 | 89,975 | 5,100 | 122,910 |
| Sub-total | 199,260 | 479,260 | 450 | 20,445 | 34,800 | 240,175 | 164,010 | 218,640 |
| Total | | 678,520 | | 20,895 | | 274,975 | | 382,650 |