

Evidence-Based Governance in the Electronic Age

Building Awareness and Capacity

January to September 2002



International Records Management Trust

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Contents

Executive Summary	1
Introduction	2
Context	3
Project Planning and Management	5
Training for Trainers and Training for National Archivists: Planning and Facilitation	8
Delivery of Training for Trainers Session	10
Delivery of the Training for National Archivists Session	12
Summary of Evaluations	15
Recommendations	17
Acknowledgements	18
Planning for Electronic Discussions	20
Planning for Video Conferences	21
Finance	22
Appendix A List of Participants	23
Appendix B Overview of Sessions Schedule	26
Appendix C Policy Paper	29
Appendix D Strategy Planning Tool	39
Appendix E Session Briefing Notes	41
Appendix F Video Conference Running Orders	46
Appendix G Resolutions	54
Appendix H Draft Action Plan	57
Appendix I Evaluation Forms	74
Appendix J Financial Summaries	147

Executive Summary

This report outlines the work done between 1 January and 30 September 2002 to build awareness and capacity in the area of records management through a global discussion forum. The work is part of the wider World Bank/International Records Management Trust project on Evidence-Based Governance in the Electronic Age. During the period covered by the report, work funded by DFID was undertaken in four activity areas:

- face-to-face training for trainers in order to empower them to transmit core training to national archivists and raise their own profile and capacity
- face-to-face training of national archivists by regional trainers, in order to equip national archivists to raise records issues with senior officials in their countries
- electronic discussions for senior government officials and records managers on the relationship of records to public sector reform, financial management reform, legal and judicial reform, and IT systems development
- video conferences for top-level officials and records managers to discuss how their work is affected by the challenge of managing records created in a hybrid electronic/paper environment.

Meetings were held in Washington and London early in 2002 to develop the project infrastructure, identify project team members and consider partnership arrangements. A project manager and project administrator were appointed, and the project team began work on a detailed project plan, which identified such elements as project milestones, performance indicators and requirements for each project activity, as well as timetables, critical paths, duties and division of responsibility.

It was decided that the first key deliverable of the Global Forum would be the face-to-face training sessions, followed by the electronic discussions and then the video conferences. While Delhi, India, was originally identified as an ideal site, the political conflict between India and Pakistan forced the team to change the venue to the University of Witwatersrand in Johannesburg, South Africa. The change in venue had the advantage of reducing the costs of transportation and accommodation, which made it possible to invest more time in programme planning and in producing relevant training materials.

The face-to-face training sessions were held between 9 and 26 September, with educators meeting from 9 to 12 September, and national archivists and educators meeting from 16 to 25 September. A total of 54 invited participants attended the sessions, including 38 national archivists/record managers, one archivist for a central bank, 12 archival educators and three additional people from South Africa.

The discussions focused on four key areas of concern: good governance and record keeping; electronic government and electronic records; transparency, accountability and recordkeeping; and access to information, human rights and record keeping. A series of

video conferences were held as part of the meetings, linking participants in Africa with contributors from the World Bank, DFID, and other international agencies in locations such as Washington, Ottawa, Paris, Delhi and London.

At the end of the training for national archivists, the national archivists and educators developed a series of resolutions and an action plan. The resolutions were approved by and circulated to participants before the end of the sessions. The action plan was then passed on to the Trust project team for development and dissemination.

The delegates made a number of broad recommendations during their discussions and offered considerable feedback, almost all highly positive. The project team subsequently analyzed the inputs received in order to assess the quality of the programmes delivered and determine future actions.

After the working sessions ended, the project team continued planning for the electronic discussions and video conferences, to be held in early 2003. The participants had also agreed that electronic and video discussions should bring together national archivists and record keepers with senior managers in participating countries to explore the challenges involved in managing modern records in relation to: public sector reform; financial management reform; legal and judicial reform; and information technology systems development. It is hoped that the video conferences will include representatives from countries around the world, including heads of civil service and other officials such as Auditors General, Accountants General, civil service reform co-coordinators, heads of IT services, heads of the anti-corruption bureaus, senior officials with oversight of national archives/records services, national archivists and other relevant senior stakeholders.

The full report and appendices include more detailed analysis of the four specific activities, detailed descriptions of the participant evaluations, discussion of forthcoming events, and financial breakdowns, including spreadsheets showing quarterly actual and projected expenditure for the project.

Introduction

This report outlines the work carried out between 1 January and 30 September 2002 to build awareness and capacity in the area of records management through a global discussion forum. This work is part of the wider World Bank/International Records Management Trust project on *Evidence-Based Governance in the Electronic Age*. During the period covered by the report, steps were taken to define the specific actions and deliverables for all four activity areas of the DFID-funded component of the project, and to plan for and deliver specific project tasks.

By September 2002, extensive consultation had taken place with stakeholders and partners; project management structures were in place; detailed plans had been developed for the various components of the global discussion forum, hereafter known as the Global Forum; and the first major deliverables, training for trainers and training for archivists,

had been successfully completed in Johannesburg. The report focuses primarily on these two deliverables. Preparations for the other two deliverables, electronic discussions and video conferences for top-level government officials, are well in hand.

Context

The *Evidence-Based Governance in the Electronic Age* project aims to tackle a highly significant global concern – the new requirements for managing records and information, particularly in electronic environments. Accurate records are vital to support the rule of law, promote economic and social development and provide accountability; they are fundamental to efforts to strengthen democracy, improve services and reduce poverty.

The project involves collaborating internationally to seek new solutions to the key issues involved in managing records as authentic evidence over time.

The project as a whole consists of three phases:

<i>Phase I</i>	diagnostic studies and development of four assessment tools for records systems (one generic tool and three specific tools, one each for financial, human resource and court records)	a series of diagnostic studies of requirements for the management of electronic and paper records and the development of toolkits to measure the quality of records systems. This phase of the work is being funded through the World Bank Development Grant Facility.
<i>Phase II</i>	Global Forum, including: <ul style="list-style-type: none"> • initial training for regional trainers • initial training by regional trainers for national archivists • electronic discussions • video conferences 	a series of consultative exercises intended to raise awareness about and explore issues concerning the management of records in the electronic age. This phase is being funded by DFID with a contribution from the Commonwealth Secretariat.

<i>Phase III</i>	capacity building, including: <ul style="list-style-type: none"> • capability model as a basic for ‘operationalising’ records management as part of reform programmes • technical specifications for electronic records • electronic records training materials • risk assessment tool • cost benefit analysis tool • related capacity building materials 	the establishment of a global programme to develop the skills needed to manage electronic records and to create necessary resources and tools to aid in records management around the world. This phase is not yet funded.
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The funds received from DFID are being used to support the costs of Phase II, particularly in relation to the African and Asian regions. The Commonwealth Secretariat is also concerned about the management of records as evidence and has provided funds to extend the programme to include Commonwealth countries in the Caribbean and Pacific. Below is an overview of the project funding provided to date.

The principal contributions to the project are:

<i>Funding Agency</i>	<i>Funds Received 2002-2003</i>	<i>Allocation of Funds</i>
Department for International Development	£300,000	Phase II, Global Forum, African and Asian programme
Commonwealth Secretariat	£60,000	Phase II, Global Forum, Caribbean and Pacific participation
World Bank	\$700,000	Phase I

Goals of Phase II, the Global Forum

The broad goals of the Global Forum are to increase awareness among senior public officials in developing countries of the significance of records as evidence in both electronic and paper environments. This includes initial capacity building for regional trainers and for senior records managers and archivists to equip them to participate actively in the new public sector environment. At the end of the Global Forum, it is hoped that the foundation will have been laid for mainstreaming the management of records as evidence in public sector reform programmes.

Specific Aims of the Global Forum

The specific aims of the Global Forum are:

- to conduct training for trainers, through a face-to-face meeting together with video conference inputs, in order to empower trainers to transmit core training to national archivists and to raise the profile and capacity of archival educators to take the lead in the training of record keepers
- to conduct training of national archivists by regional trainers, through a face-to-face meeting with video conference inputs, in order to equip national archivists to raise records issues with senior officials in their countries, and to brief the officials in preparation for their participation in video conferences
- to hold a series of electronic discussions for senior government officials and records managers on the relationship of records to public sector reform, financial management reform, legal and judicial reform, and IT systems development. This is to raise awareness of, and generate discussion about, the key issues involved in protecting evidence in paper and electronic form, particularly in relation to global aspirations for poverty reduction and accountability in a computerised environment
- to hold a series of video conferences in different regions for top-level officials and records managers to discuss how their work is affected by the challenge of managing records created in a hybrid electronic/paper environment.

Project Planning and Management

The first task of the project team was to develop specific project plans and establish efficient and accountable management frameworks. Meetings were held in Washington and London early in 2002 to develop the project infrastructure, identify project team members and consider partnership arrangements. At this time, the World Bank lent full support to the project. Mike Stevens and Andres McAlister gave valuable advice as overall task managers, and extensive consultations were held with other Bank officials.

Sahr Kpundeh of the World Bank Institute, Governance and Finance Division, was assigned the role of Task Manager for content and facilitation for the Global Forum, and Rod Macdonell, Manager of the Investigative Journalism Program at the World Bank was asked to be the on-site facilitator. Debra Beattie, an educational design expert from the World Bank Institute Global Distance Learning Team, provided invaluable support in developing the methodology for the Forum.

The World Bank Information Solutions Group (ISG) also provided invaluable support. Extensive coordination, fact-finding, and consultation were provided by Andres McAlister at ISG, who also participated fully from Washington in all the video conference activities during the Johannesburg meetings in September.

General oversight of the project has been maintained throughout by Anne Thurston, Director of the International Records Management Trust (IRMT). In February, a Project Manager was engaged to oversee the activities of the Global Forum. Laura Millar, a Canadian-based records management and educational consultant, has extensive experience with international records management programmes and educational activities. In May, Nicola Pyne was appointed as Project Administrator based in the Trust's London office, bringing an extensive knowledge of project administration and financial management to the team.

The core working team for the Forum comprises:

- Anne Thurston, Director, IRMT, and Project Director
- Andrew Griffin, Deputy Director, IRMT
- Laura Millar, Project Manager, IRMT
- Nicola Pyne, Project Administrator, IRMT
- Victoria Lemieux, Consultant Trainer, IRMT (until September 2002)
- Jennifer Leijten, Documentation Coordinator, IRMT
- Andres McAlister, Archives Partnership Coordinator, ISG, World Bank
- Debra Beattie, Education Specialist, WBIKL, World Bank Institute
- Katia Macedo, Sites Service Coordinator, GDLN/World Bank
- Roderick Macdonell, Manager, Investigative Journalism Program, World Bank Institute
- Sylvia Piggott, Consultant, Information Solutions Group, World Bank (until April 2002)
- Drew Stewart, Television Producer, World Bank Institute.

Members of this team began work in January and February to develop a detailed project plan. Specific action plans were developed, including milestones, performance indicators and requirements for success. Planning meetings with the Project Manager, other Trust representatives and the World Bank Institute team were held in Washington in February

and May/June to work out specific project details. Field trips were also conducted by Sylvia Piggott to the Caribbean to assess needs and concerns in the region and to raise awareness of the project in order to test the viability of the methodology developed.

In those meetings and through regular telephone conference calls and electronic discussions, decisions were made about issues such as:

- project milestones, performance indicators and requirements for each project activity
- appropriate timetables, critical paths and optimal schedules
- duties and division of responsibility and authority among the project team members
- processes for managing and disseminating documents and products
- processes for tracking communications
- development and maintenance of the project website
- management of funds, expenditures and budgets
- key stakeholders and possible participants in the various project components
- responsibility for contact with partner organisations
- appropriate order of presentation of the key project elements: face-to-face meetings, electronic discussions and video conferences
- appropriate location for face-to-face meetings
- technical requirements for video conferences and electronic discussions
- scheduling and scope of non-English project activities.

After much consultation within the Trust and with the World Bank and colleagues from partner organisations and developing countries around the world, it was decided that the best order of events for the key deliverables of the Global Forum would be to begin with the face-to-face training sessions, followed by the electronic discussions and then the video conferences for senior government officials and records managers.

The project team originally planned to hold the training for trainers' session in Delhi and to hold the national archivists' meetings in their own regions. During the planning meetings, it became clear that the best results would be achieved if the training were carried out all in the same place and back-to-back. By bringing national archivists and records professionals together with regional trainers in face-to-face working sessions, the

project would gain momentum as the participants forged relationships through formal and informal discussions. The commitment generated during the meetings would carry forward to the subsequent project activities and beyond, to develop a strong global community empowered to protect records as evidence around the world.

Once it was decided to hold the working sessions at one time, Delhi was identified as an ideal site. Unfortunately, political conflict between India and Pakistan forced the team to reconsider the location of the meeting, and it was necessary to change the venue. The National Archives of South Africa and the University of Witwatersrand provided facilities for the meetings in Johannesburg. The change in venue had the advantage of reducing the costs of transportation and accommodation, which made it possible to invest more time in programme planning and in producing relevant training materials.

Training for Trainers and Training for National Archivists: Planning and Facilitation

Planning of Training Sessions

Between January and August 2002, the project team worked together to undertake a number of tasks to prepare for the face-to-face sessions, including the following:

- developing preparatory and background documents for participants in the sessions
- determining the appropriate educational content for the training sessions
- developing running orders and schedules for the video conference components of the sessions
- coordinating the participation of subject experts from around the world in the live components of the video conferences, including participants from Washington, London, Paris, Ottawa and Delhi, as well as the delegates in Johannesburg
- coordinating participation in selected video conferences by a team of Spanish-speaking archival advisers and others from Montevideo, Uruguay; a total of 40 people joined the video sessions from Uruguay during two of the video conferences
- planning and videotaping a total of 23 separate interviews with subject experts to provide recorded inputs to the sessions; inputs were recorded in Washington and London at the World Bank, the UK Department for International Development, the Commonwealth Secretariat, Transparency International and the UK Public Record Office
- coordinating accommodation, transportation, visas, meeting facilities and all other local arrangements for participants at the sessions

- transmitting invitations, background information, travel documents and associated materials to all participants and following up as required
- arranging financing and managing budgets and expenditures for all meeting-related activities
- developing terms of reference for all project participants.

To focus the discussions and ensure concrete results from the meetings, the training sessions were structured around four key themes:

- the importance of record keeping for good governance
- electronic records, record keeping and governance
- transparency, accountability and record keeping
- access to information, human rights and record keeping.

These themes formed the basis for the training programme, large portions of which were delivered through video conferencing, and ultimately for the development of resolutions and plans for action.

To prepare participants for the meetings, a series of documents were prepared, including

- introductory letters for regional trainers and for national archivists
- an overview agenda for the working sessions
- a policy paper on Evidence-Based Governance in the Electronic Age
- a planning tool on Developing a Strategy for Increasing Records Management Capacity
- four briefing notes, one on each of the four themes to be examined during the working sessions.

All of the 54 invited participants attended the sessions. This included: 38 national archivists/record managers, one archivist for a central bank, 12 archival educators and three additional records professionals from South Africa. Given the pressure of their normal work responsibilities, the willingness of so many senior staff to commit so much time to the meetings speaks to the high level of support given to the project. There is a full list of the participants at Appendix A.

An overview of the sessions schedule is at Appendix B. The policy paper is at Appendix C; the strategy planning tool is at Appendix D; and the briefing notes are at Appendix E.

Facilitation of Training Sessions

Between 1 and 26 September the project team worked with the participants to discuss issues, plan strategies, establish action plans and develop resolutions for action. Activities included:

- confirming and monitoring all local arrangements, facilities, ground transportation, meeting facilities, special events and accommodation in Johannesburg
- coordinating and confirming travel requirements, arrivals and departures of all participants to and from Johannesburg and in transit
- coordinating and facilitating the training session for regional trainers (9-13 September), including two video conferences with Washington and London
- coordinating and facilitating the training session for national archivists, led by regional trainers (16-25 September), including four video conferences with Washington, London and other sites
- preparing briefing notes, resolutions, reports and associated meeting documents
- planning next steps for the delivery of electronic discussions and video conferences
- developing an action plan for capacity building for national archives and record keepers around the world.

Delivery of Training for Trainers Session

In the first session, from 9-13 September, 13 archival educators from all regions of the Commonwealth came together with two Trust co-facilitators to discuss the issues involved in educating practitioners in the management of electronic records. To help guide the discussions, the project facilitators developed a mission statement for the work of the sessions as follows:

to position ourselves as educators to take the lead in equipping the archival community with the education and skills needed to respond effectively to the challenges of the changing information environment of the 21st century.

One of the objectives was to explore how best the Evidence-Based Governance Project could support new strategies for teaching electronic records management, including methodologies for face-to-face and distance-based teaching and learning. The other objective was to develop the programme for the meeting of national archivists that began the following week. Specifically, the tasks for the first week included:

- sharing experiences with and concerns about the role of educators in archives and records management
- examining current information technology and information management issues and how they are changing the way educators need to understand and teach records and archives management
- experimenting with different teaching methods and technologies, such as video conferencing and distance education, to widen the educators' knowledge of different approaches to teaching
- considering the role of educators, and of educational and professional associations such as the International Council on Archives, in shaping a new vision for archival and records management
- examining the background materials (such as policy papers and videotaped interviews) prepared for the working sessions, in order to use these tools effectively in the subsequent meeting with national archivists
- planning the activities of the second part of the working sessions in such a way that the educators could position themselves and their national archivist colleagues to meet the challenges of the new information age.

As part of this training session, two live video conferences were held. The video conferences, connecting Johannesburg with Washington DC and London, introduced the trainers to the concept of video conferencing as a means of interacting live with colleagues in other parts of the world. Debra Beattie, an education specialist at the World Bank Institute, provided a session on the use of video conference technologies, to prepare educators to facilitate the planned video conferences the following week.

The regional trainers served as the facilitators in the second week of meetings, which reinforced their key role as educators in their own regions and strengthened their presence in the records profession. At the end of the training for trainers' session, the educators developed a package of background materials to present to the national archivists.

Delivery of the Training for National Archivists Session

In the second session, from 16-25 September, 38 national archivists and record keepers from all regions of the Commonwealth, along with one archivist from a central bank (India), came together with one Trust facilitator to consider the impact of new technologies and new approaches to public sector administration management on the management of public sector records. The participants also explored strategies for increasing government awareness of and support for effective electronic and paper-based records management. To help guide the discussions, the project facilitators developed a mission statement for the work of the session, as follows:

To position ourselves as national archivists to take the lead in managing records and information successfully and responding effectively to the challenges of the changing information environment of the 21st century.

Specifically, the archival educators led the national archivists through discussions and facilitated a series of video conferences, in order to

- formulate plans for electronic discussions and video conferences with senior government officials
- determine and develop resolutions arising from the Global Forum
- plan for future activities as members of the archival community
- work with the project team to plan for the further development of the *Evidence-Based Governance in the Electronic Age* project.

As part of this training session, four three-hour-long live video conferences were held, facilitated by the regional trainers. The video conferences included live and pre-recorded presentations by officials in the areas of development and records management. The video conferences connected various sites and addressed a number of issues, as identified below:

<i>Date</i>	<i>Topic</i>	<i>Sites Involved</i>
Monday, 16 September	Good Governance and Record Keeping	Johannesburg Washington, DC Paris Montevideo
Tuesday, 17 September	Electronic Government and Electronic Records	Johannesburg Washington, DC Ottawa Montevideo

<i>Date</i>	<i>Topic</i>	<i>Sites Involved</i>
Wednesday, 18 September	Transparency, Accountability and Recordkeeping	Johannesburg, Washington, DC
Thursday, 19 September	Access to Information, Human Rights and Record Keeping	Johannesburg Washington, DC New Delhi London

Contributors to the video sessions:

- Richard Allen, Head, Public Expenditure and Financial Accountability Program, World Bank
- Carlos Braga, Director, Informatics Program, World Bank
- Alicia Casas de Barrán, Archival Educator, Universidad de la República Uruguay
- Collin Crooks, Information Access Officer, UK Department for Education and Skills
- Sandy Feinzig, Programme Officer, Commonwealth Human Rights Initiative
- Rob Floyd, Public Sector Management Specialist, World Bank
- Peter Frost, Special Adviser in Public Sector Reform, Commonwealth Secretariat
- Simon Gill, Senior Governance Adviser, UK Department for International Development (DFID)
- Michael Gillibrand, Special Adviser in Public Sector Reform, Commonwealth Secretariat
- Garth Glentworth, Senior Governance Adviser, DFID
- Andrew Griffin, Deputy Director, International Records Management Trust
- Tony Hegarty, Regional Financial Manager, Africa Region, World Bank
- Daniel Kaufmann, Director, Global Governance and Regional Learning, Global Governance Unit, World Bank Institute

- Sharon Kinsley, Anti-Corruption Unit, DFID
- Sahr Kpundeh, Senior Public Sector Specialist, World Bank
- Elisa Liberatori Prati, Archivist, World Bank
- Roderick Macdonell, Manager, Investigative Journalism Program, World Bank Institute
- Nick Manning, Lead Public Sector Management Specialist, World Bank
- Mohamed Muhsin, Vice President and Chief Information Officer, World Bank
- Fred Nuñez, Human Resources Unit, World Bank
- Mrinal Ojha, Right to Information Program, Commonwealth Human Rights Initiative
- Rogers Okot Uma, Chief Program Officer in Public Sector Informatics, Commonwealth Secretariat
- Jeremy Pope, Executive Director, Transparency International
- Kelvin Smith, Policy Development Project Manager, UK Public Record Office
- Nicola Smithers, Public Expenditure and Financial Accountability Program, World Bank
- Mike Stevens, Lead Specialist, Public Sector Reform, World Bank
- Joel Turkewitz, Senior Public Sector Specialist, Poverty Reduction and Economic Management Division, World Bank Institute
- Sarah Tyacke, Keeper, UK Public Record Office
- David Webber, Lead Finance Officer, World Bank
- Roger Wilson, Chief Governance Adviser, UK DFID

Copies of the running orders for the video conference sessions are at Appendix F.

At the end of the national archivists' session, the national archivists and educators developed a series of resolutions and an action plan. The resolutions were approved by and circulated to participants before the end of the sessions. The draft action plan was then passed on to the Trust project team for development and dissemination.

There is a copy of the resolutions at Appendix G and a copy of the draft action plan at Appendix H.

Summary of Evaluations

At the end of the working session, two evaluations were conducted. The first was for the World Bank, to assess the participants' experience with the video conferences. The second was for the Trust, to determine the most and least valuable components of the sessions.

The World Bank evaluation consisted of six questions requiring a numerical rating, from 1 for minimum to 5 for maximum, followed by a space for comments. The total number of evaluations returned was 37. A brief summary of the numerical responses is provided below.

Question 1: relevance of this activity to your current work or functions

1 = 0 2 = 1 3 = 3 4 = 9 5 = 24 N/A = 0

Question 2: extent to which you have acquired information that is new to you

1 = 0 2 = 0 3 = 10 4 = 13 5 = 14 N/A = 0

Question 3: usefulness for you of the information that you have acquired

1 = 0 2 = 0 3 = 3 4 = 12 5 = 22 N/A = 0

Question 4: focus of this activity on what you specifically needed to learn

1 = 0 2 = 0 3 = 7 4 = 14 5 = 15 N/A = 1

Question 5: extent to which the content of this activity matched the announced objectives

1 = 0 2 = 2 3 = 4 4 = 15 5 = 16 N/A = 0

Question 6: overall usefulness of this activity

1 = 0 2 = 0 3 = 3 4 = 8 5 = 25 N/A = 1

Summary of responses by number:

1 = 0 2 = 3 3 = 30 4 = 71 5 = 116 N/A = 2

It is worth noting that of the total of 222 possible responses, 187, or 84%, were in the two highest categories: 4 or 5. It can be interpreted that overall the participants found the video conferences highly useful and relevant. The participants' narrative comments also indicated that many found the video sessions valuable.

In the second evaluation, a series of five questions were posed, requiring narrative responses. A total of 35 evaluation forms were returned. The questions posed were as follows, followed by a general statement of the main responses received.

Question 1: What was the most valuable part of the Global Forum for you?

Most delegates found the video conferences most valuable. Others commented on the interaction with other archivists, the value of hearing the point of view of the World Bank, and the ability to share information and discover that their colleagues in other parts of the world were experiencing similar challenges in their work.

Question 2: What was the least valuable part of the Global Forum for you?

The majority of delegates indicated ‘nothing’ or left this question blank. Those who commented noted that some of the discussions could have been more tightly structured, with time used more efficiently and the focus kept sharp.

Question 3: What would you like to see done differently should we hold another such programme in the future?

Some delegates suggested that the meetings could have been shorter, and some asked for more emphasis on electronic records, particularly on preservation issues. Several delegates suggested that more background materials, including running orders for the video conference sessions, could have been presented in advance, and that taped video inputs could have been presented prior to the live discussions, in order to use the ‘on air’ time more efficiently. Some suggested the video conferences not begin on the first day, to allow delegates time to interact and acquaint themselves with the issues in advance. Some concerns were expressed about Johannesburg as a venue, given the issue of security. Several people suggested that more communications technologies, such as Power Point, should be used in the presentations.

Question 4: What can or will you do differently in your workplace as a result of this Global Forum?

Most delegates indicated they would take some sort of action to raise awareness in their government of the importance of record keeping for accountability, transparency and good governance. Lobbying, sensitising, repositioning and public awareness were referred to frequently as priority actions. Some delegates indicated they would push for the development or improvement of legislation, such as records acts or access to information legislation. Some of the educators indicated they would incorporate more electronic records issues in their programmes and courses.

Question 5: As a result of this programme, how can or will you contribute to good governance in your country?

Most delegates indicated they would take action to improve their records management programmes, particularly for electronic records, and work to incorporate record keeping principles in the life cycle of records creation, use, care and disposition. Efficient and effective records management was referred to several times as a priority for action. Delegates also indicated they would endeavor to raise the profile of the national archives in order to seek a secure place for the institution so that records may be protected as evidence. Lobbying was another area of attention for delegates.

Additional comments/feedback:

Many delegates had no comment, but those who added information covered a wide range of issues, from the representation of participants from different regions of the world to the need for a follow up meeting in three to five years. There was interest in more information about practical issues concerning the management of electronic records, and more case studies from different regions. Several delegates (from the Pacific) urged that Fiji be chosen as the location for a future meeting.

The original evaluation forms are at Appendix I.

Recommendations

The delegates made a number of broad recommendations during their discussions, some of which relate to the current project, and some of which may be helpful for the delivery of future programmes of a similar nature.

The *Evidence-Based Governance* project should include IT professionals in future discussions about the management of electronic records; an IT component ought to be included and liaisons constructed between record keepers and IT professionals.

The Association of Commonwealth Archivists and Records Managers (ACARM) should be involved in the development of future project objectives. The participants in the sessions recognised the important role that this Commonwealth organisation plays in supporting the records community worldwide. It is hoped that many components of the action plan, particularly those identified as the responsibility of national archives, can be highlighted through mechanisms such as the ACARM website and electronic discussion tools.

If possible, more of the pre-recorded video inputs should be shown before the live video conferences began. This would allow participants more time to consider the information presented in advance and could save time and resources by limiting the conferences themselves to live interactions. It might also be possible to focus strictly on live site-to-site discussions thus allowing for even more interactivity and spontaneity.

If the video components could be developed sufficiently well in advance, they could be made available to delegates before their arrival at the meetings, thus enabling them to prepare case studies or inputs based on a clearer knowledge of the running orders or similar programmes for the video components of the sessions.

It would be helpful to develop a list of technical and administrative requirements – such as microphones, Internet facilities, local transportation and so on – so that project planners could assess whether or not a potential site to be considered in the future has the necessary facilities to accommodate as many of the delegates' and planners' needs as possible.

Acknowledgements

A number of people and organisations contributed to the success of the Johannesburg meetings. In addition to the World Bank and its staff, who have remained firmly committed and supportive throughout the project, the National Archives of South Africa and the University of Witwatersrand worked diligently to assist with local arrangements and to provide high-quality facilities in Johannesburg for the working sessions. Specific thanks go to:

- Graham Dominy, National Archivist of South Africa and his staff, for assistance with local arrangements, project development and social events
- Louisa Venter, Assistant Director, Records Management (Special Projects), National Archives of South Africa
- Joseph Ngoaketsi, Archivist, National Archives of South Africa
- Selelepo Sebaka, Archivist, National Archives of South Africa
- Verne Harris, Director, South African History Archive, University of Witwatersrand, and his staff and colleagues at the University, including the staff at the Alumni Club, for assistance with facilities, local arrangements, equipment and supplies
- Prvoslav Marjanovic, SASOL Professor of Environmental Engineering, University of Witwatersrand, and his staff, for the coordination and delivery of the video conferences.

The national archivists gave a specific vote of thanks to the regional trainers, who committed their time, energy and enthusiasm for nearly three weeks to ensure the success of the Global Forum meetings. The Trust also acknowledges the tremendous contribution of these archival educators and advisers, specifically:

- Pino Akotia, Archival Educator, Department of Information Studies, University of Ghana, Ghana
- Sharon Alexander-Gooding, Campus Records Manager, University of the West Indies, Cave Hill Campus, Barbados
- Fay Durrant, Head, Department of Library Studies, University of the West Indies, Mona Campus, Jamaica
- Verne Harris, Director, South African History Archive, University of Witwatersrand, South Africa
- Rusnah Johare, Archival Educator, University Technology MARA, Malaysia (currently at University of Northumbria, UK)
- Shadrack Katuu, Archival Educator, Department of Library and Information Studies, University of Botswana, Botswana
- Nathan Mnjama, Archival Educator, Department of Library and Information Studies, University of Botswana, Botswana
- Setareki Tale, National Archivist, National Archives of Fiji, Fiji
- Justus Wamukoya, Archival Educator, Faculty of Information Sciences, Moi University, Kenya
- Elizabeth Williams, University Archivist, University of the West Indies, Jamaica.

The participants also acknowledged, with thanks, the invaluable contributions of Charles Gibson, National Archivist of Belize, and Kelebogile Kgabe, National Archivist of Botswana, who chaired the final days of the meeting and helped guide the participants through the development of resolutions and an action. They also expressed their gratitude to the facilitators who assisted with the discussions and the development of resolutions, particularly

- Yulu Griffith, National Archivist of St Vincent and the Grenadines
- Elaine Toote, National Archivist of the Bahamas
- Sharif Uddin Ahmed, National Archivist of Bangladesh

- Albert Moore, National Archivist of Sierra Leone
- Justina Nicholas, Acting Archivist/Chief Librarian of the Cook Islands.

In this report, the Trust also acknowledges with appreciation the exceptional work of these participants. It also wishes to acknowledge the valuable input of Ashok Kapoor, Chief Archivist, Reserve Bank of India, who attended the sessions independently of the project and contributed greatly to both the content and the logistics for the sessions. The Trust extends its warm gratitude to Michael Hoyle of the National Archives of New Zealand, and Secretary General of PARBICA, for his constant support and invaluable assistance throughout the working sessions and beyond.

The success of the Global Forum was underpinned by organised administration. Nicola Pyne, Project Administrator, provided excellent service in this area, managing all areas of project administration from financial management to local arrangements, communications and the dissemination of information. The Trust specifically acknowledges her exceptional commitment to the project and her ability to manage the disparate details of the project with efficiency, diplomacy and dedication.

Planning for Electronic Discussions

As part of the working sessions, the plans for the electronic discussions were reviewed and refined. It was agreed that the discussions would be held in late 2002 or early 2003. The participants also agreed that four discussion groups should be held bringing together national archivists and record keepers with senior managers in participating countries. The aim of the discussions will be to explore perceptions of the challenges involved in managing modern records in relation to functional requirements. The discussions will cover the management of records and information in relation to:

- public sector reform
- financial management reform
- legal and judicial reform
- information technology systems development.

The discussions will be held over a period of two weeks at the beginning of February. Heads of Civil Service in the various countries will be asked by the World Bank and the Commonwealth Secretariat to nominate two of their senior officers to participate. These will be officials with knowledge and experience of programme delivery and information requirements in their specific areas, such as finance, the judiciary, public sector reform or information technology. They will be able to feed back to their Heads of Civil Service

the knowledge gained during the discussions and their inputs will help the Heads of Civil Service prepare for the video conferences.

The participants felt that two key questions should be asked of all participants:

- From your perspective, what are the effects of good or bad record keeping on your area of administration in government?
- What are your record keeping problems, successes and needs?

They felt that additional questions might be posed to IT professionals, including the following:

- Do you make provision for the long-term preservation of information held in the IT systems you develop or administer? If so, how? If not, why not?
- Has admissibility been an issue for electronic records in your jurisdiction? If so, is the authenticity and reliability of such information protected in electronic systems?
- Do you have concerns about how to create, manage and safeguard such information so that its value as evidence is protected?

The participants also discussed the value of posting a general question to existing electronic discussion lists, such as those of various professional associations for archivists, IT professionals, finance managers, judges and so on. It was agreed that this action would take place if time and funds allowed.

The project team will continue to work on the plans for the electronic discussions, in conjunction with plans for the video conferences, throughout the rest of 2002 and into 2003.

Planning for Video Conferences

As part of the working sessions, the plans for video conferences with top-level officials also were reviewed and refined. These sessions are to be held in March 2003.

Two-hour video conferences within the various regions participating in the Global Forum will connect Heads of Civil Service and other senior policy makers with their counterparts in other countries. The participants agreed to help identify video conference facilities in their own countries and to assist with developing the content and structure of the sessions when the time came. In addition to the Heads of Civil Service, it is hoped that the following officials or their equivalent from each country will join the discussions:

- Auditor General

- Accountant General
- civil service reform co-coordinator
- head of IT services
- head of the anti-corruption bureau (if there is one)
- senior official with oversight of national archives/records services and the national archivist
- any other relevant senior stakeholders.

The project team will continue to work on the detailed planning for the video conferences, in conjunction with plans for the electronic discussions, throughout the rest of 2002 and into 2003.

Finance

Spreadsheets showing quarterly actual and projected expenditure for the project are at Appendix J.

Appendix A

Person Title	First Name	Last Name	Job Title	Country	Role
Ms	SHARON	ALEXANDER-GOODING	Campus Records Manager	Barbados	E
Prof	FAY	DURRANT	Head of Dept of Library Studies	Jamaica	E
Ms	ELIZABETH	WILLIAMS	Archival Educator	Jamaica	E
Mr	SHADRACK	KATUU	Archival Educator	Botswana	E
Dr	NATHAN	MNJAMA	Archival Educator	Botswana	E
Dr	JUSTUS	WAMUKOYA	Archival Educator	Kenya	E
Mr	SETAREKI	TALE	Government Archivist	Fiji Islands	E
Ms	RUSNAH	JOHARE	Archival Educator	Malaysia	E
Dr	PINO	AKOTIA	Archival Educator	Ghana	E
Dr	VICTORIA	LEMIEUX	Educator	UK	E
Dr	LAURA	MILLAR	Project Manager	UK	E
Mr	VERNE	HARRIS	Director	South Africa	E
Ms	ELAINE	TOOTE	Deputy Director	Bahamas	A
Mr	DAVID	WILLIAMS	Senior Archivist	Barbados	A
Mr	CHARLES	GIBSON	National Archivist	Belize	A
Dr	PHILIP	PEDLEY	Director	Cayman Islands	A
Ms	ROXANNE	BARRATT	Administrative Assistant and President	Guyana	A
Mr	JOHN	AARONS	National Archivist	Jamaica	A
Mrs	VICTORIA	BORG O'FLAHERTY	National Archivist	St Kitts-Nevis	A
Mrs	MARGOT	THOMAS	National Archivist	St Lucia	A
Mrs	YULU	GRIFFITH	National Archivist	St Vincent & the	A
Ms	HELENA	LEONCE	Government Archivist	Trinidad & Tobago	A
Ms	KELEBOGILE	KGABI	National Archivist	Botswana	A

E = Educators

A = National Archivist or Equivalent

Person Title	First Name	Last Name	Job Title	Country	Role
Mr	MUSILA	MUSEMBI	Director	Kenya	A
Ms	NTINA	QHOBOSHEANE	National Archivist	Lesotho	A
Mr	PAUL	LIHOMA	Director	Malawi	A
Dr	JOEL	DAS NEVES TEMBE	Director	Mozambique	A
Mr	JOCHEN	KUTZNER	National Archivist	Namibia	A
Mr	SELELPOO	SEBAKA	Archivist	South Africa	A
Dr	GRAHAM	DOMINY	National Archivist	South Africa	A
Mr	JOSEPH	NGOKETSI	Archivist	South Africa	A
Ms	LOUISA	VENTNER	Assistant Director	South Africa	A
Mrs	NOMSA	NSIBANDZE	Acting Director	Swaziland	A
Mr	PETER	MLYANSI	Director	Tanzania	A
Ms	SALOME	NYAMUNGU	Archivist	Uganda	A
Mr	CHRISPIN	HAMOONYA	Acting Director	Zambia	A
Mr	HAMAD	OMAR	Head of National Archives	Zanzibar, Tanzania	A
Mr	IVAN	MURAMBIWA	Director	Zimbabwe	A
Ms	JUSTINA	NICHOLAS	Acting Archivist/Chief Librarian	Cook Islands	A
Mr	MICHAEL	HOYLE	Secretary General PARBICA	New Zealand	A
Mr	JACOB	HEVELAWA	National Archivist	Papua New Guinea	A
Ms	AMELA	SILIPA	Records Management Officer	Samoa	A
Mr	TOM	SAKIAS	Chief Archivist	Vanuatu	A
Mr	PG	OMARALI	Curator of Brunei National Archives	Brunei	A
Dato'	HABIBAH	ZON YAHAYA	Director General	Malaysia	A
Mr	KUAN WAH	PITT	Archivist	Singapore	A
Prof	SHARIF UDDIN	AHMED	Director	Bangladesh	A
Dr	SHITLA	PRASAD	Deputy Director of Archives	India	A
Mr	ISMAIL	PATEL	Additional Secretary	Pakistan	A
Dr	GARVIN	WIMALARATNE	Director	Sri Lanka	A

Person Title	First Name	Last Name	Job Title	Country	Role
Mr	CLETUS	AZANGWEO	Director	Ghana	A
Mr	JOHN	DARAMOLA	Director	Nigeria	A
Mr	ALBERT	MOORE	Senior Archivist	Sierra Leone	A
Ms	PENDA	BAH	Acting Director	The Gambia	A
Mr	ASHOK	KAPOOR	Deputy General Manager, RBI	India	A
Mr	ANDREW	GRIFFIN	Deputy Director	UK	
Dr	ANNE	THURSTON	Executive Director	UK	
Ms	NICOLA	PYNE	Executive Assistant	UK	

Appendix B

IRMT/World Bank Global Forum Overview of Schedule, 9 – 25 September 2002 Educators Working Session, Days 1-5

Day 1, Mon Sep 9	<p>Topic</p> <p>The importance of recordkeeping for good governance</p>	<p>Activities</p> <ul style="list-style-type: none"> Welcome and introductions Discussion of educational activities in different regions Discussion of a vision for archival education Video conference session No. 1 	Day 2, Tues Sep 10	<p>Topic</p> <p>Examining the key issues: electronic records; transparency and accountability; and access to information and human rights</p>	<p>Activities</p> <ul style="list-style-type: none"> Review of background documents and videotaped interviews Discussion of key recordkeeping issues 	Day 3, Wed Sep 11	<p>Topic</p> <p>Developing tools and strategies for teaching</p>	<p>Activities</p> <ul style="list-style-type: none"> Examination of key issues from an educational perspective Discussion of approaches to education Video conference session No. 2 	Day 4, Thur Sep 12	<p>Topic</p> <p>Developing an action plan</p>	<p>Activities</p> <ul style="list-style-type: none"> Creating a vision for archival educators Developing an plan for short- and long-term action Planning for the working session with national archivists 	Day 5, Fri Sep 13	<p>Topic</p> <p>Developing an action plan</p>	<p>Activities</p> <ul style="list-style-type: none"> Continuation of planning for the working session with national archivists Development of resolutions for action as educators 	Days Off, Sat Sep 14 and Sun Sep 15	No formal program
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IRMT/World Bank Global Forum
Overview of Schedule, 9 – 25 September 2002
National Archivists Working Session, Days 6-10

Day 6, Mon Sep 16	Topic The importance of recordkeeping for good governance	Activities	Day 7, Tues Sep 17	Topic Electronic records, recordkeeping and governance	Activities	Day 8, Wed Sep 18	Topic Transparency, accountability and recordkeeping	Activities	Day 9, Thur Sep 19	Topic Access to information, human rights and recordkeeping	Activities	Day 10, Fri Sep 20	Topic Establishing priorities	Activities	Days Off, Sat Sep 21 and Sun Sep 22
<ul style="list-style-type: none"> • Welcome and introductions • Discussion of archival activities in different regions • Discussion of a vision for archives and records management • Video conference session No. 3 	<ul style="list-style-type: none"> • Follow up discussion about video conference • Review of background documents and videotaped interviews about electronic records • Discussion of key recordkeeping issues • Video conference session No. 4 	<ul style="list-style-type: none"> • Follow up discussion about video conference • Review of background documents and videotaped interviews about transparency and accountability • Discussion of key recordkeeping issues • Video conference session No. 5 	<ul style="list-style-type: none"> • Follow up discussion about video conference • Review of background documents and videotaped interviews about access to information and human rights • Discussion of key recordkeeping issues • Video conference session No. 6 	<ul style="list-style-type: none"> • Follow up discussion about video conference • Discussion of national strategies and new approaches • Planning for activities, Days 11, 12 and 13 	No formal program										

**IRMT/World Bank Global Forum
 Overview of Schedule, 9 – 25 September 2002
 National Archivists Working Session, Days 11-13**

Day 11, Mon Sep 23	Day 12, Tues Sep 24	Day 13, Wed Sep 25
Topic Taking action	Topic Taking action	Topic Review and recommendations
Activities <ul style="list-style-type: none"> • Development of strategies for action • Formulation of plans for electronic discussions and video conferences with senior government officials 	Activities <ul style="list-style-type: none"> • Development of strategies for action • Formulation of plans for electronic discussions and video conferences with senior government officials • Development of resolutions for action 	Activities <ul style="list-style-type: none"> • Development and formal approval of resolutions for action • Review of program and confirmation of next steps • End of program

Evidence-Based Governance in the Electronic Age



The International Records Management Trust
August 2002

Prepared by Andrew Lipchak

Introduction

Citizens in all countries want better **governance**:

- more effective programs and services and better living conditions;
- just laws and respect for human rights;
- honest, open and accountable government;
- meaningful participation and a voice in government decisions.

Unfortunately, these goals are out of reach in many countries. Illiteracy, poverty, corruption, poor communication infrastructures and other challenges make “good governance” a meaningless term to a large proportion of citizens.

The records which governments create and maintain are a vital resource that must be carefully managed in order to achieve good governance. In some countries, the lack of reliable records forms a major barrier to institutional, legal and regulatory reform; anti-corruption strategies; poverty reduction; and economic development.

Evidence-based Governance in the Electronic Age – a project of the World Bank and the International Records Management Trust – aims to help countries improve governance through better recordkeeping, by

- raising awareness of the critical importance of records for public sector reform;
- developing tools to assess the quality of records management within countries;
- undertaking initiatives to improve records management capacity;
- providing opportunities to share experiences and develop solutions.

This paper examines the key arguments that national archivists, senior records personnel, educators and others need to communicate to senior government officials:

1. Good recordkeeping is essential for good governance.
2. Electronic information systems create new opportunities and special challenges.

Governance means:

how government functions and works together with others to make decisions and take action to deal with the needs of its citizens.

“Good governance is epitomised by predictable, open and enlightened policy-making, a bureaucracy imbued with a professional ethos acting in furtherance of the public good, the rule of law, transparent processes, and a strong civil society participating in public affairs. Poor governance (on the other hand) is characterised by arbitrary policy making, unaccountable bureaucracies, unenforced or unjust legal systems, the abuse of executive power, a civil society unengaged in public life, and widespread corruption.”

-- The World Bank

Good governance reflects, serves and protects fundamental democratic values, including:

- respect for human rights and the rule of law’;
- transparency and openness of government policies, processes and decisions;
- individual and organisational accountability;
- ethical conduct of politicians and public servants;
- citizen involvement and participation;
- protection of personal privacy and security.

3. Good recordkeeping supports effective, transparent and accountable government.
4. Public access to information and the protection of sensitive information are fundamental to good governance.

1. *Good recordkeeping is essential for good governance.*

Good records provide the vital information and essential evidence to

- enable the government to **identify and understand problems** and issues, **make decisions and take action**;
- support **programs, policies and services**;
- document, protect **legal rights, entitlements and obligations**;
- achieve **openness, accountability, earn public trust and involve citizens**;
- enable the successful use of **information technology**; and
- **preserve and use** important information about the **past**.

Good recordkeeping means:

- **determining** information needs; **creating** and **acquiring** information;
- **distributing** and **sharing** records and information;
- **evaluating** and **using** information to identify and solve problems;
- **documenting** activities and decisions;
- **maintaining** records for as long as they have value;
- **determining responsibility** for managing and protecting records;
- **identifying, organising, storing** and **disposing** of records;
- **protecting** confidential and personal information contained in records;
- **providing sufficient staff, training and other resources**; and
- **evaluating** records management performance and improving where needed.

Good records are needed for:

- confirming citizen's rights, such as pension, voting and other entitlements;
- documenting and protecting freedom of speech, assembly, etc.;
- developing and maintaining effective health care programs;
- registering births and deaths;
- protecting public security;
- enabling tax collection and census taking;
- prosecuting and defending court cases;
- supporting job creation programs;
- managing the government's finances, the civil service and other resources;
- documenting the nation's history and development.

"Whenever there is a problem, instead of finding out what has happened before, what we did in the past, and why it didn't succeed (or what successes we had), we simply start afresh...we go on re-inventing the wheel all the time."

K.B. Asante, Former Secretary of State for Education, Ghana

Consider this example. Without quality record keeping processes, water sewage systems may be installed but the records needed to maintain them may not be protected. Eventually, a city may risk water contamination or worse if it cannot document the systems in place and the actions taken.

Archival records:

- have long-term **operational, legal, historical** or other value;
 - enable governments, citizens and others to learn **how issues were addressed in the past** or, perhaps, to discover **why they were not addressed**
 - enable **local and national heritage** preservation and development
- allow societies to maintain their **documentary memory** and foster their sense of **identity and culture**.

2. *The electronic information environment creates new opportunities and special challenges.*

As computers are introduced, records are increasingly created, stored, transmitted and used in electronic form – often without basic records management systems in place. Managing electronic records is a challenging task for the following reasons.

- Computer systems are **complex, quickly changing, fragile** and often **incompatible**;
- The **volume and types** of electronic and paper records have **vastly increased** where computers have been introduced;
- Electronic records are easy to **duplicate, alter and delete**;
- Important records are often stored on individual computers and are **not available** to other workers who need them;
- Protecting the **security** of records during storage and transmission is difficult;
- Effective electronic **filing systems** have not been developed or are not used – files are **difficult to locate**;
- Related paper and electronic files may not be **linked** together for a complete record;
- Electronic records are **difficult to preserve** because of rapid changes in computer hardware and software;
- Records management requirements such as retention periods and records disposal are **not built into computer systems**;

Computers can help to:

- improve access to information, programs, entitlements (Internet sites, electronic application forms);
- improve legal compliance (permits, licenses);
- simplify office work (eliminate unnecessary steps or excess paper);
- combine, analyze data to provide new information (such as data about a disease);
- help staff to share information and work together (such as by exchanging e-mail to solve problems).

Computers, the Internet and related technologies are not useful, however, if the information is not accessible, authentic or reliable. Like paper records, electronic records need to be managed and protected for as long as they are of value.

The Digital Divide

“Technological and scientific research is oriented to respond to the needs and aspirations of the powerful.”

- Percival Patterson, Prime Minister, Jamaica

While many countries have a strong

- Responsibilities for managing computer systems, records and data are often **unclear** and **fragmented** among program, records management and technology staff;
- Staff may have **little or no training** in using computers and managing electronic records and they **don't know where to go for help**.

3. *Good recordkeeping supports effective, transparent and accountable government.*

Accessible and reliable records show

- what **decisions** were made;
- what **actions** were taken;
- what **people** were involved;
- what **rights** and **responsibilities** exist.

Good records enable citizens, government itself and others to determine if

- its programs and services are **accessible** and **effective**;
- it is **transparent** in the way it functions; and
- it is **accountable** for what it says and does.

communications and technology infrastructure, others lack basic communications capabilities such as reliable telephone service. More than 96% of computers connected to the Internet are located in the wealthiest nations, representing only 15% of the world's population. In the Information Age, more than 1 billion adults worldwide are unable to read and write, 98% of them in developing countries.

Consider this example. If electronic records are not well managed, a government department may find that important legal records it created by computer several years ago are no longer readable with new software. As a result, critical evidence is lost. Effective electronic record keeping aims to protect such essential evidence.

Effectiveness means:

- government policies and programs achieve the results intended, such as jobs created, better education, cleaner water and air, less corruption, etc.

Transparency means:

- government policies, decisions and actions should not be more complicated than necessary;
- information about them should be accessible and easily understood.

Accountability means:

- government officials are expected to act responsibly and within their authority;
- acknowledge their actions and decisions and admit responsibility for them;
- accept the consequences of their behavior.

In many countries, recordkeeping systems have not been given the priority they need; consequently, recordkeeping is often weak. The main reasons include:

- **little awareness** by government officials and citizens of the value of information and records;
- **weak leadership** for records programs; archives and records management groups not well positioned to influence government;
- **unclear or inconsistent** recordkeeping responsibilities and accountability;
- records-related work is **low-priority, poorly paid**, not enough records staff;
- **weak or non-existent** records laws, policies, standards, and practices;
- **limited budgets**, equipment, materials and space;
- **poor skills and limited training** for managing paper, electronic records;
- **little cooperation** among departments, professions; fragmented programs;
- frequent government **reorganisation** which confuses records responsibilities;
- **increased volume and complexity** of records – “information overload”;
- **limited computerisation** to help manage, share and use information.

The **risks** and **consequences** of poor recordkeeping can be serious for governments, individuals and society. These risks include:

- **poor decisions, policies, programs and services**
- **reduced access to rights and entitlements; unfair treatment of citizens**

“Poor recordkeeping is eating away at the foundation of accountability in the federal government.”

-- Auditor General of Canada, 2001

Studies dealing with recordkeeping and governance in sub-Saharan Africa concluded that governments were unable to implement effective public sector reforms, in part, because of

- not *having* information to develop support reform policies and processes;
- not *knowing* what information was needed to undertake various government functions;
- *not being able to rely* on available information;
- not *using* available information in decision-making or analysis – decisions are based on pre-formed judgments, not evidence.

There are many risks to poor record keeping:

A government cannot develop a strategy to deal with HIV/AIDS because records about the nature and extent of the epidemic have not been kept.

A woman who has worked many years as a teacher is retiring and has applied for a pension. She is told that some of her employment records cannot be found and there will be a major reduction in her pension credits.

- reduced transparency, accountability and trust in government
- cynical and uninvolved citizens and groups
- duplicated and wasted effort
- lost opportunity, increased costs and huge backlogs of old and valueless records
- inability to measure program and service effectiveness
- wasted investment in technology

Governments need a strong records management **framework** or **infrastructure** consisting of:

- **wide awareness** of the value of records and information by political leaders, civil servants and citizens;
- effective **laws** and **policies** such as access and privacy laws, “public records” acts, archival legislation, government-wide and department recordkeeping policies;

A corrupt politician orders that documents be destroyed that would show he is involved in an illegal sale of government assets. Without record keeping systems his actions may not be stopped.

A patient becomes ill but cannot be treated efficiently and effectively because her hospital file, showing her medical history and past treatments, cannot be found.

An office worker spends weeks searching for an important file that has been misfiled. It cannot be found and key information cannot be reconstructed.

A department rents space for records storage, but insects and dampness make most of the records useless within a few years.

A records inspector investigates an expensive storage facility only to find that many of the records stored there are forms that should have been destroyed years ago. In the meantime, valuable records are at risk.

A government's efforts to automate its personnel records fail when it is found that many of the existing paper files are missing, out-of-date, incomplete or inaccurate.

A records management **framework** comprises the building blocks of an effective records and information management program. If well designed, implemented and supported, it provides the *direction, authority* and *capacity* for governments to manage their records and information in support of good governance.

- **governance and accountability arrangements** that identify records management responsibilities, assign leadership, monitor and evaluate performance, and coordinate records management with program management and information technology management;
- **standards and practices** for the life-cycle records management such as practices for creating, identifying, organising, classifying, accessing, storing, protecting, retaining and disposing of records;
- skilled **staff** including all civil servants and records managers, along with effective **training programs**;
- **budget, space, equipment and supplies** including computer hardware and programs, filing cabinets and adequate storage space.

4. *Public access to information and the protection of sensitive information are fundamental to good governance.*

Citizens, the media, funding agencies and human rights groups want full and accurate information about what government is doing to fight poverty, protect citizens' rights and entitlements, prevent and prosecute fraud, protect the environment and deal with other problems. Governments also want to create and maintain accurate information to show that they are trying to deal with these issues.

In many countries, the **right of access** to government records is protected by "freedom of information" laws. These rights help citizens to:

- view, understand and evaluate government decisions and conduct;
- use the information to challenge government policies, actions and to seek changes;
- appeal decisions if access to information is denied to them.

There need to be some reasonable **restrictions** on access to protect the privacy of citizens and government, such as

- personal information such as information about a citizen's finances and political opinions;
- sensitive information such as information about military activities;

Access to government records and the danger of corruption

When records management systems are developed and incorporated into a government's operations, there is an opportunity for citizens and government employees to achieve better and more accountable government, based on the accurate and reliable evidence found in well-managed records.

"The whole scheme of the *Access to Information Act* depends on records being created, properly indexed and filed, appropriately archived and carefully assessed before destruction to ensure that valuable information is not lost."

-- Information Commissioner of Canada, 2000

Government's efforts to improve their operations can also be frustrated if they have not created and protected the evidence *that shows they are working hard to deal with problems.*

Privacy laws require government to:

- use personal information only for authorised purposes such as tax collection;

- confidential views of public servants in order to encourage impartial advice;
- confidential business information that could be used by competitors.

Information access and confidentiality need to be **balanced**. For example, governments should collect information to identify and deal with security threats without seriously jeopardising reasonable rights of free speech and public assembly.

Access and privacy protection requires good records management to ensure that records are available, accessible, complete, accurate, relevant and secure. Recordkeeping systems should identify information that requires special protection and ensure that it is available only to those who have a right to access it.

- not distribute or sell personal information to businesses, etc. without authorisation;
- keep information only for as long as needed;
- protect information from unauthorised access;
- allow citizens to review their personal information and correct it if it is inaccurate.

Consider again the example of the water system. If citizens are concerned about the quality of their water, they should be able to approach government for evidence of water treatment processes. Without effective record keeping, government officials may not be able to find important studies and make that information publicly available.

For more information, you can contact the International Records Management Trust as follows:

Attention: Anne Thurston
International Records Management Trust
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Or you can contact the Project Team at the World Bank as follows:

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World Bank
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Washington, DC 20433 USA

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Fax: +1 202 614 0137
Email: amcalister@worldbank.org

To view the project website, go to <http://www.irmt.org/evidence/wbcontact.html>

Developing a Strategy for Increasing Records Management Capacity

Prepared by Andrew Lipchak, August 2002

National archivists, educators and other information specialists can play an important role in helping to strengthen records and information management. To accomplish this, they need a *strategy* that might include the following elements.

Generating Collaboration, Leadership, Vision and Interest

1. Develop effective communication, collaboration and leadership within the records and information management community and with key government program areas.
2. Create a shared vision that shows how good records management is vital for transparent, accountable and effective government.
3. Generate awareness and support within government for the vision; identify champions (key government officials who believe in the vision); secure support for next steps.

Developing a Case for Action

1. Develop a strong case for action showing:
 - a. the need for improvements in recordkeeping (current problems and impacts related to weak laws, standards, practices, etc.; use effective examples of costs, inefficiencies, etc.);
 - b. the vision/goals for improved records management;
 - c. potential benefits related to key government programs and objectives, using examples;
 - d. short, medium and long-term development priorities (e.g., training, computerisation, new policies, processes, etc.);
 - e. costs, potential sources of funding and who will undertake the planning, development.
2. Distribute the case for action and generate support among lead departments, funding agencies.
3. Secure resources, collaborators and partners for next phase.

Building the Framework

1. Develop needed laws and policies for creating, sharing, protecting, preserving information (e.g., basic information rights, responsibilities).
2. Develop strong governance and accountability arrangements for recordkeeping that link program management, records management and technology development.
3. Develop appropriate standards, practices and enabling technologies for life-cycle records management.
4. Develop records management awareness, skills for civil servants and information specialists through collaboration, training, performance measurement, recognition and rewards.

To help develop and implement such a strategy requires leadership, strong partnerships, program development skills and practical tools. As an example, assessment tools could help measure the adequacy of current records management programs and provide a road map to help improve capacity. Such a road map would help governments understand what steps they can take to improve records management capacity while ensuring a “good fit” with their resources, capabilities and conditions. Models are available that can be adapted to fit countries at different stages of development.

Records management toolkits include existing and new models, guidelines and best practices for such areas as:

- developing a strategic plan for improving records management;
- preparing a records management case for action (business cases);
- developing, managing and evaluating records management projects;
- assessing/auditing records management capacity and effectiveness;
- identifying risks and impacts related to poor records management;
- assessing costs and benefits of records management;
- planning information-related laws and regulations (recordkeeping, access/privacy, archiving, etc.);
- developing general records management policies;
- identifying management responsibilities and accountability for records and information management;
- developing documentation guidelines;
- developing filing systems and metadata for paper and electronic records;
- setting and implementing records retention periods; disposing of records;
- identifying and protecting vital records (disaster planning);
- managing electronic mail messages;
- managing Web-based documents;
- integrating paper and electronic records systems;
- building records management requirements into computer systems;
- archiving paper and electronic records;
- converting and migrating electronic records;
- selecting and implementing electronic records and document management software;
- developing and delivering training and skills development programs for different audiences (public servants, records staff, etc.); in-person and on-line teaching models, techniques.

Models and guides for these and other topics are available in many jurisdictions and in the new international records management standard, ISO 15489.

Working with national and international records management and archival organisations, the International Records Management Trust (IRMT) can assist by identifying development toolkits, supporting effective planning, and helping to build records management capacity within countries. For example, several current IRMT/World Bank projects are focusing on assessing and improving recordkeeping capacity related to three fundamental areas of government activity: financial management, personnel and payroll management, and legal and judicial reform.

Global Forum Briefing Note Number 1 The Importance of Recordkeeping to Good Governance

Development Context

Good governance is vital for sustained economic growth, which in turn is the key to reducing poverty and the vulnerability of the poor. Linked closely to democracy, transparency, accountability, popular participation, human rights, and sustainable development, its aim is to ensure a fair, just, open, and flexible society that gives voice to the people and benefits all. Today's multi-pronged development strategy aims to support good governance by strengthening economic policy and management, financial controls and public oversight, administrative and civil service reform, and legal and judicial reform. All of these aspirations depend crucially upon the availability of authentic, trustworthy and accessible records.

Records provide the essential evidence that governments require to:

- support the development, delivery and assessment of all government programs
- measure outcomes and learn from precedent and past experience
- explain why decisions were made and how they were carried out
- demonstrate why and how actions and transactions were undertaken
- provide the means of achieving accountability
- protect rights and enforce obligations
- scrutinise the government process
- achieve openness and earn public trust
- protect personal privacy and security
- communicate with citizens and with other governments and external agencies
- engage in informed debate with civil society.

Consequences of Failure

Where recordkeeping systems are inadequate, records cannot be readily accessed or trusted as sources of evidence. Informality prevails and governments experience:

- arbitrary policy-making and poor decisions
- reduced access to entitlements
- reduced transparency, accountability and trust
- frustrated, apathetic or cynical citizens and groups
- increased administrative costs
- inability to assess program impacts

- legal, financial, or political risks
- wasted investment in technology
- gaps in the government's corporate memory.

Global Forum Briefing Note Number 2

Electronic Recordkeeping and Governance

Development Context

The rapid development and deployment of information and communication technologies has transformed the way that organisations look at transparency and openness. In addition to bringing new opportunities for growth and development, technological advances have made it possible for vital information to be readily available to the public. As governments embrace these new opportunities, they must also build national information policies and strategies. As yet, there is very little professional capacity available to manage the documentary evidence created electronically in fragile digital form. Without effective programs and appropriate capacity to manage electronic records, development aspirations for electronic government will be undermined and resources wasted. This is a major but little-recognised factor in bridging the digital divide.

Electronic records created using ICTs contain business information in digital format that must be preserved and made available to support:

- policy and operational needs
- legal and regulatory requirements
- fiscal auditing requirements
- accountability requirements
- research/historical interests.

Electronic records must be available, accessible, reliable, and secure to support the full range of government functions, including financial, personnel, and resource management; the provision of health care and education; and the delivery of justice. If ICT programs are to be sustainable, and if the digital divide is to be bridged, planning for the transition to electronic records must be embedded in e-government and e-commerce programmes. New policies, standards, structures and systems must be developed to protect the records; accountability for managing records must be assigned, and electronic records management capability must be developed.

Consequences of Failure

When electronic records are not managed effectively:

- records containing vital evidence are not protected against falsification or loss
- records are not migrated to new hardware and software environments
- electronic records are not related to paper records in a meaningful way
- the authenticity and reliability of the records is open to question
- the integrity of the record and its value as legal evidence is compromised
- costs escalate
- corporate memory disintegrates.

Global Forum Briefing Note Number 3

Transparency, Accountability, and Recordkeeping

Development Context

Concerns about corruption have dramatically changed the nature of institutional reform, public sector reform and reform in service delivery. Corruption hurts the poor by diverting resources from those who need them most, by strangling private sector growth, and by impeding access to capital. The new development agenda seeks to minimise fraud in reform projects, mainstream corruption issues in operational work, support governments in their anti-corruption initiatives, and support international anti-corruption efforts. To achieve this change, it must be possible to assess the effectiveness of the institutions charged with ensuring accountability and transparency in relation to public expenditure processes. This, in turn, requires authentic, trustworthy records as evidence of decisions and transactions and the proper maintenance and availability of these records for inspection and audit.

More specifically, records provide the authentic and trustworthy source of information required to analyse, assess, and audit such key factors in the accountability process as:

- the constitutional and legal framework governing public expenditure
- the policy-making process and practices governing budget preparation, accounting, reporting, auditing, and other aspects of public expenditure control
- the effectiveness of a country's primary institutions of accountability (supreme audit institution, judiciary, internal audit units, civil service boards, inspection and disciplinary boards)
- the effectiveness of institutional mechanisms to implement laws and regulations
- the effectiveness of institutions that deal with complaints from citizens.

Consequences of Failure

Without effective recordkeeping systems:

- corruption, fraud, and inefficiency flourish
- officials cannot be held accountable for their actions
- economic crime cannot be proven
- officials take ad hoc decisions without the benefit of an institutional memory
- officials cannot demonstrate where resources have been targeted, how they have been spent and the nature of the outcome
- officials cannot protect themselves when ordered to commit corrupt acts
- civil society cannot play its role in governance
- auditors, ombudsmen, and other external scrutiny agencies cannot discharge their responsibilities
- the propriety of official actions cannot be assessed
- trust in government is undermined.

Global Forum Briefing Note Number 4

Access to Information, Human Rights and Recordkeeping

Development Context

Citizens want their government to be effective, honest, open and accountable. They want to access government services easily and to have full and accurate information about government activities. It is essential that citizens participate in the governance process if their needs are to be met, but they can only do so on the basis of reliable information. Corruption thrives when citizens have limited access to information about what government is doing. Reliable, trustworthy records are their means of determining whether revenue collected on their behalf is spent on services that benefit them. Records are also citizens' basis for claiming their entitlements and defending themselves against abuse. Their 'right to know' to know is closely linked to accountability.

Freedom of information laws represent a move away from a 'culture of secrecy' and toward a 'culture of openness'. These laws aim to promote accountability and transparency in government by providing a legal basis for access to information and openness among public authorities. Their success depends upon ready access to records.

The government's ability to manage, protect, disseminate, and use information will enable an environment in which:

- human rights are respected and upheld
- citizens have access to information about local developments
- citizens can question decisions in an informed manner
- citizens can help ensure that public services are efficiently and properly delivered
- alleged abuses can be investigated and redressed
- compliance with international agreements on human rights can be demonstrated.

Consequences of Failure

Where records systems are weak, governments cannot meet the requirement for access to information because:

- information can be manipulated, deleted or lost
- citizens cannot prove unequal or unjust treatment
- human rights violations are difficult to challenge
- the people cannot make an informed contribution to the governance process
- individuals cannot satisfy themselves that the information held by government about them is appropriate, true, and correct
- service providers are able to demand money for information that legally belongs to the public.

**Evidence-based Governance In the Electronic Age
Importance of Record Keeping for Good Governance**

Running Order Session 1, for Monday, 16th September, 2002

Sites: Washington, Johannesburg, Montevideo, Paris

	Time	Activity	Visuals/props
8:00	15 minutes	Introduction and welcome from sites	
8:15	9 minutes	Welcoming words from: <i>Elisa Liberatori Prati</i> , Archivist of the World Bank <i>Michael Gillibrand</i> , Special Adviser in Public Sector Reform, Commonwealth Secretariat	videotaped
8:24	1 minute	Anne Thurston Question: What do we mean by good governance, and how do records underpin this objective?	live
8:25	15.5 minutes	Presentations from: <i>Mike Stevens</i> , Lead Specialist, Public Sector Reform, World Bank <i>Roger Wilson</i> , UK Department for International Development	videotaped
8:41	30 minutes	Cross-site discussion: How do or could well-managed records provide a foundation for public sector reform in your country?	with Johannesburg, Montevideo
9:11	1 minute	Anne Thurston Question: What is the impact of poor records management on public sector performance?	live

	Time	Activity	Visuals/props
9:12	12.5 minutes	Presentations from: <i>Nick Manning</i> , Lead Public Sector Management Specialist, World Bank <i>Peter Frost</i> , Special Adviser in Public Sector Reform, Commonwealth Secretariat	videotaped
9:25	15 minutes	Break	
9:40	35 minutes	Cross-site discussion: Has your government included records management in its public sector reform strategy?	with Johannesburg, Monevideo
10:15	20 minutes	Presentation by <i>Dani Kaufmann</i> , Director Global Governance, World Bank: Good Governance and Public Records Management	live from Washington
10:35	15 minutes	Q & A with <i>Dani Kaufmann</i>	with Johannesburg, Montevideo
10:50	10 minutes	Wrap-up, tomorrow's agenda	

Evidence-based Governance in the Electronic Age Electronic Records, Record Keeping and Governance

Running Order Session 2, for Tuesday, 17th September, 2002

Sites: Washington, Johannesburg, Ottawa, Montevideo, Ottawa

	Time	Activity	Visuals/props
7:00	3 minutes	Introduction and welcome: Washington, Johannesburg, Montevideo	live
7:03	1 minute	Anne Thurston Question: What are the global aspirations for using technology to improve governance, and what can the archivist contribute to this process?	live
7:04	11.5 minutes	Presentations by: <i>Mohamed Muhsin</i> , Vice President and Chief Information Officer, World Bank <i>Carlos Braga</i> , Director, Informatics Program, World Bank	videotaped
7:16	4 minutes	Introduction: Ian Wilson, National Archivist for Canada	live
7:20	1 minute	Anne Thurston Question: Why is it important to include records management in electronic government strategies?	live
7:21	11.5 minutes	Presentations by: Rob Floyd, Public Sector Management Specialist, World Bank <i>Rogers Okot Uma</i> , Chief Program Officer in Public Sector Informatics, Commonwealth Secretariat	videotaped

	Time	Activity	Visuals/props
7:33	57 minutes	Cross-site discussion: Does your government have a strategy for using technology to support good governance? Is the management of records included in this strategy?	with Johannesburg, Montevideo, and Ottawa
8:30	20 minutes	Break and Ian Wilson departs	
8:50	20 minutes	Presentation by Sahr Kpundeh, Senior Public Sector Specialist, World Bank: Good Governance and the Importance of Electronic Records Management	live from Washington
9:10	20 minutes	Q & A with <i>Sahr Kpundeh</i> ,	with Johannesburg and Montevideo
9:30	10 minutes	Feedback from Montevideo	
9:40	20 minutes	Wrap-up, tomorrow's agenda	

Evidence-based Governance in the Electronic Age: Transparency, Accountability, and Record Keeping

Running Order Session 3, Wednesday, 18th September, 2002

Sites: Washington, Johannesburg

	Time	Activity	Visuals/props
8:00	10 minutes	Introduction and welcome: Washington, Johannesburg	
8:10	1 minute	Anne Thurston Question: Why are donors and lenders so concerned about the management of finance and why are records such a key issue?	live
8:11	14 minutes	Presentations by: <i>Mike Stevens</i> , Lead Public Sector Specialist, World Bank <i>Sharon Kinsley</i> , Anti-Corruption Unit, DFID	videotaped
8:25	25 minutes	Cross-site discussion: Has your government been affected by the move toward accountability and transparency, and if so, how?	with Johannesburg
8:50	1 minute	Anne Thurston Question: How and why are donors and lenders starting to recognise that records management is fundamental to the objectives of accountability and transparency and that it can and must be addressed?	
8:51	15.5 minutes	Presentations by: <i>Jeremy Pope</i> , Executive Director, Transparency International <i>Nicola Smithers</i> , Public Expenditure and Financial Accountability Program, World Bank <i>David Webber</i> , Lead Finance Officer, World Bank	videotaped

	Time	Activity	Visuals/props
9:07	25 minutes	Cross-site discussion: Has your government included the issue of effective records management in programs aimed at enhancing transparency and accountability?	with Johannesburg
9:32	15 minutes	Break	
9:47	1 minute	Anne Thurston Question: Why are donors and lenders now putting more emphasis on the way that governments manage their own financial information?	
9:48	10 minutes	Presentations by: <i>Tony Hegarty</i> , Regional Financial Manager, Africa Region, World Bank <i>Simon Gill</i> , Senior Governance Adviser, DFID	
9:58	25 minutes	Cross-site discussion: Has your government taken steps to introduce a program for the management of financial records?	with Johannesburg
10:23	1 minute	Anne Thurston Question: Why is it so important to find ways of measuring transparency and accountability:	
10:24	7 minutes	Presentation by <i>Richard Allen</i> , Head, Public Expenditure and Financial Accountability Program, World Bank	
10:31	25 minutes	Cross-site discussion: Can you envisage ways in which the strength of records systems could be measured as part of the move toward greater transparency and accountability?	with Johannesburg
10:56	4 minutes	Wrap-up, tomorrow's agenda	

Evidence-based Governance in the Electronic Age Access to Information, Human Rights, and Record Keeping

Running Order Session 4, Thursday, 19th September, 2002

Sites: Washington, Johannesburg, New Delhi, London

	Time	Activity	Visuals/props
8:00	10	Introduction and welcome: Washington, Johannesburg	
8:10	1 minute	Anne Thurston Question: Question: How do records provide the foundation for freedom of information and human rights?	live
8:11	12 minutes	Presentations by: <i>Mike Stevens</i> , Lead Public Sector Specialist, World Bank <i>Garth Glentworth</i> , Senior Governance Adviser, DFID	videotaped
8:23	25 minutes	Cross-site discussion: Does your country have freedom of information legislation, or is this legislation planned? Is information readily available to protect citizens' rights?	with Johannesburg
8:48	15 minutes	Break	
9:03	1 minute	Anne Thurston Question: Question: Why is freedom of information so important to the protection of human rights?	
9:04	10 minutes	Presentation by: <i>Mrinal Ojha</i> , Commonwealth Human Rights Initiative	live from New Delhi
9:14	25 minutes	Questions and Answers	with Johannesburg, New Delhi, and Washington

	Time	Activity	Visuals/props
9:39	1 minute	Anne Thurston Question: What practical difficulties might we expect to find in introducing freedom of information legislation from the perspective of records management?	
9:40	10 minutes	Presentations by: <i>Kelvin Smith</i> , Policy Development Project Manager, U.K. Public Record Office <i>Collin Crooks</i> , Information Access Officer, UK Department for Education and Skills	live from London
9:50	25 minutes	Cross-site Discussion	with Johannesburg, New Delhi, and London
10:15	1 minute	Anne Thurston Question: Why are well-managed records so crucial for the work of journalists in reporting information to citizens?	live
10:16	15 minutes	Presentation by <i>Roderick Macdonell</i> , Manager, Investigative Journalism Program, World Bank Institute	live from Washington
10:31	15 minutes	Question and Answers	with Johannesburg, New Delhi, and London
10:46	15 minutes	Wrap-up and closing remarks	

GLOBAL FORUM
on
Evidence-Based Governance in the Electronic Age
Johannesburg, 8-25 September 2002
Resolutions

Acknowledgements

We, the participants in the Global Forum, are grateful to the World Bank, UK Department for International Development and the Commonwealth Secretariat for supporting the Global Forum. Special thanks are extended to the National Archives of South Africa for hosting the Forum and to the University of Witwatersrand for providing facilities for the sessions. We are also grateful to the International Records Management Trust for organising and managing the Forum.

Preamble

Fifty-five national archivists and archival educators from Commonwealth countries around the world met in Johannesburg in September 2002 to plan strategies to meet the challenges of the changing information environment.

As national archivists and records managers with statutory responsibility for the management of official records, we have a mandate to safeguard recorded information and indigenous knowledge in any medium. We affirm that reliable and authentic records are the essential evidence of government activities and obligations, and the rights and entitlements of citizens. **Good record keeping underpins transparency and accountability.** Transparency and accountability in turn are directly related to improvements in the quality of life.

We see ourselves in a key role as **effective and dynamic managers of an integrated records management system**, and as protectors and custodians of recorded information of all areas of government. We should remain responsive to changes in our social and technological environment and seek to preserve and make available information in all its formats, including electronic. Developing countries are investing in the management of electronic records, and if this issue is not addressed in the developing world, the digital divide will only widen. To achieve our goal, we must ensure that adequate resources are mobilised for the effective realisation of our activities.

In order to achieve effective and sustainable programmes for the benefit of government and citizens, it is necessary for national archives to be positioned to participate in the formulation of strategic plans through collaboration with development partners, Information and Communications Technology (ICT) agencies and civil society, as well as through outreach programmes, lobbying, awareness raising and resource mobilisation.

Forum Resolutions

- 1 Recognising that **national archivists need to reposition themselves** to become more relevant to the needs of good governance, and thereby the needs of citizens in a knowledge-based society, be it resolved that:
 - (a) **Any government project and/or initiative should include records and information management requirements** as a key component of the planning and implementation process to support accountability, transparency, good governance and poverty alleviation.
 - (b) **All member states are encouraged to enact legislation which mandates the national archives and records management services to carry out its responsibilities** relating to records and information management, taking into account the harmonisation of all legislation which affects record keeping practices.
 - (c) **Government and donors are encouraged to provide national archives and records management services with the resources** i.e. personnel, financial and infrastructure, required to enable them to fulfill their expanded role in the electronic age.
 - (d) Government and donors are also encouraged to ensure that financial projects and commitments for **the maintenance, disposition, long-term preservation of and access to records are prioritised at the highest level** in the budgetary planning process of governance.

- 2 Whereas electronic records management concerns are not only technological issues but also management issues, **archivists and records managers need to adopt an inter-disciplinary approach** to ensure that the best records management practices are developed and shared at the local, regional and international levels, be it resolved that:

Archivists, records managers and ICT professionals should work together to develop strategies for the management and preservation of electronic records, and to bridge the digital divide.

- 3 Whereas the role of the archivist and records manager is constantly changing, be it resolved that:
- (a) *Educational institutions should be encouraged to develop programmes that address the current educational needs of archivists and records managers.*
 - (b) **Heads of archives and records management programmes should develop or further enhance training programmes** for those involved in the management of records within the public service.
 - (c) **National archives and records management services should adopt and maintain high quality electronic records management policies,** procedures and strategies as a model for long-term record keeping and electronic system requirements.
 - (d) **National archives and records management services should develop, implement and sustain tools and standards,** in conjunction with the standards authority where it exists, to ensure the evidentiary quality of records.

**Evidence-based Governance in the Electronic Age
Global Forum Action Plan for Development by IRMT -- Draft**

24 September 2002

AE = archival educators / IRMT = International Records Management Trust /
NA = national archives / WB = World Bank

Capacity building tools					
Action	Done By	Time Frame	Performance Indicators	Comments	
Electronic distribution of IRMT training modules	IRMT	12/03	Posting of modules on IRMT website for worldwide distribution Revision of modules as funds allow and regular maintenance and upgrading	Priority Problematic for many PARBICA members. Lack of connectivity to the Internet High priority Special emphasis on preservation of electronic records	
Development of risk-benefit assessment tool	IRMT NA	Dec 2005	Development of draft tool, testing, revision, updating, and posting on IRMT website	Problematic for many PARBICA members. Lack of connectivity to the Internet Low priority (Asia) Needs clarification	
Development of generic assessment tools and specific tools for assessment of the record keeping capacities of different systems, such as legal, financial, human resources, civil service	IRMT		Development, testing, revision, updating, and posting on IRMT website	Problematic for many PARBICA members. Lack of connectivity to the Internet High priority Not clear enough National Archivists to test the tools	

Action	Done By	Time Frame	Performance Indicators	Comments
Development of electronic records model specifications	IRMT NA		Development of draft specifications, testing, revision, updating, and posting on IRMT website	Problematic for many PARBICA members. Lack of connectivity to the Internet High priority
Development of electronic records training tools	IRMT NA	Dec 2003	Development of draft tools, testing, revision, updating, and posting on IRMT website	<ul style="list-style-type: none"> Need to define these tools more specifically? Problematic for many PARBICA members. Lack of connectivity to the Internet High priority
Development of capability model	IRMT NA	Dec 2004	Development of draft model, testing, revision, updating, and posting on IRMT website	Problematic for many PARBICA members. Lack of connectivity to the Internet High priority
Compilation of video tape inputs from South Africa Global Forum video conferences	IRMT	Mid-Nov 2002 Oct 2002	Compilation of inputs and distribution to national archives	And other training institutions Video tapes to be distributed to all PARBICA members High priority
Acquisition of hardware, software, communications technologies, television technologies to disseminate information [simple technology; more complex technologies require collaboration with other govt partners]	NA	Long-term, end of 2004 2004	Successful acquisition of necessary equipment	<ul style="list-style-type: none"> Computers, televisions, video machines, etc. have been identified as needed in many regions; can national archives seek funds to acquire such equipment, perhaps with Global Forum outreach programs as a reason for the short-term need? Yes High priority

Action	Done By	Time Frame	Performance Indicators	Comments
Development or revision of national archives' mandate, legislation, strategic plan	NA	June 2003; end of 2003 Short-term, long term [Asia]	Successful revision of national archives legislative and organisational framework documents to accommodate the realities of the electronic age	Priority: short-term regulations and long-term regulations Yes Needs clarification
Development of case studies	IRMT NA [AE]	Dec 2004	Successful development and distribution of case studies	<ul style="list-style-type: none"> • Case studies will illustrate key issues in records management, accountability, transparency and governance • Case studies can be used as prefatory material for video conferences • Case studies can also be made available for CHOGM, CAPAM, and other organisations Choose case studies that are applicable to most situations Yes Medium priority
Development of procedural manuals	IRMT AE [NA]	March 2003	Successful development of procedural manuals for electronic records management and other relevant issues	<ul style="list-style-type: none"> • Is it possible to develop procedural manuals and distribute electronically or otherwise? Through websites Yes High priority

Action	Done By	Time Frame	Performance Indicators	Comments
Adaptation of core competencies in IRMT electronic records module as basis for core competencies	AE	2004? Dec 2003	Revision of core competencies for electronic records management and distribution to national archives	<ul style="list-style-type: none"> Can archival educators take this on as a committee task with an established deadline? Yes Involvement of national archivists (consultation) Medium priority
Development of appropriate human resources plans or schemes of service	NA	2004 2003 Dec 2003	Revision of or development of schemes of service that accommodate the needs for electronic records management and knowledge of information technologies	<ul style="list-style-type: none"> Can national archivists take this on as a responsibility within their institutions and share their proceedings as possible with their colleagues? Yes Yes Priority Regional or national? – agreed national, given existing disparities High priority This will be done at a country to country level
Development of generic strategic plans [Adapt and use as model]	IRMT [ICA Reg Bnchs]	March 2003	Successful development of generic strategic plans for national archives	<ul style="list-style-type: none"> Should country-specific strategic plans be shared, or generic tools be developed? Develop strategic plans relevant to IT issues? Yes High priority Guidelines, since every country is different

Action	Done By	Time Frame	Performance Indicators	Comments
Development of awareness raising video film	IRMT WB	03/03	Successful development of video film to distribute to all Commonwealth national archives	<ul style="list-style-type: none"> • Target audience top [senior] public sector officials • Costs to be borne by IRMTWB • To be distributed widely for use in awareness raising programs • Film should address the relevance of the national archives in good governance, transparency and accountability • The film should highlight the effect of bad and good record keeping on society • The film should be previewed by representatives of regional branches prior to distribution <p>Yes High priority</p>
Development, adoption, and use of standards for records management, electronic records, and related work [ISO 9000]	NA		Successful development or adoption of standards	<ul style="list-style-type: none"> • Can WB assist with purchase and dissemination of published standards? • Can national archives commit to conforming to standards and developing performance measures to ensure compliance and, therefore, improved services? <p>Yes Share experience High priority</p>

Electronic Discussions

Action	Done By	Time Frame	Performance Indicators	Comments
Development and maintenance of ACARM listserv	ACARM		Successful development of ACARM listserv for Commonwealth archivists	<ul style="list-style-type: none"> This service will be useful as an ongoing activity to enhance the profession <p>Yes Yes, with summary to regional branches of ICA High priority</p>
Delivery of 4 [2] week Global Forum electronic discussions with allied professionals	IRMT AE	Last week Nov, early Dec 2002	Successful delivery of 4 3-week electronic discussions [use of e-discussions in sensitising other officials]	<ul style="list-style-type: none"> Who is the primary audience for these discussions? Will there be separate discussions among stakeholders or one general discussion? Need to include civil service professionals, judicial professionals, financial professionals, IT professionals? <p>To be done regionally</p> <ul style="list-style-type: none"> Run discussions regionally? Run discussions in parallel or sequentially? <p>Challenging for some Pacific Island countries</p> <ul style="list-style-type: none"> Use existing association listservs, such as INTOSAI or CAPAM, to hold global discussions? Timing needs to be clarified in relation to realities of northern and southern hemispheres Use existing project partners as basis for listserv discussions? <p>Priority Within regions African region</p>

Action	Done By	Time Frame	Performance Indicators	Comments
Distribution of summaries of Global Forum electronic discussions to those regions without electronic mail, for information	IRMT ICA NA		Distribution by fax or post of main discussion points for information of those without Internet or email	<ul style="list-style-type: none"> IRMT to send materials to ICA regional branch for distribution to members as appropriate? Yes, directly to individual institutions Regional branch bureaucracy noted. Need to distribute to national archive institutions Yes

Video Conferences				
Action	Done By	Time Frame	Performance Indicators	Comments
Delivery of regional video conferences	WB IRMT NA	Feb 2003 Feb-Mar 2003 Mar 2003	Successful delivery of video conferences in the following regions: Africa, Asia, Pacific, Caribbean	<ul style="list-style-type: none"> Participants to include Auditors General, Accountants General, Heads of Civil Service, Heads of IT, Attorneys General, Ministry for Human Rights or Ombudsman, and heads of ministries in charge of archives 3 regions – West, East and South Africa Yes, Univ of S Pacific facilities or Pacific Forum Secretariat Topics to consider: relationship between civil service reform, governance and records management, and relationship between accountability, access to information, and records management <p>Feedback on conference facilities</p> <ul style="list-style-type: none"> Invitations need to come from Commonwealth Secretariat and World Bank <p>Use of video phones</p> <ul style="list-style-type: none"> Only five countries maximum at one time to participate; will the conference be within one subject area only or across areas? <p>Priority circulation of ?us High priority</p>

Action	Done By	Time Frame	Performance Indicators	Comments
Delivery of regional video conferences (cont.)	NA	Mid-Oct 2003 Oct 2002		<ul style="list-style-type: none"> National archivists have to determine if there are video conference facilities in the country? Who will participate? They need to send the name and full contact details of the head of civil service and any other person who should be involved? <p>Role of archivists – participant/organisational Simultaneous translation, eg, Portuguese Univ of S Pacific facilities or Pacific Forum Secretariat Malaysia – illegible Costs will be borne by IRMT/WB</p>

Education and Training Programs					
Action	Done By	Time Frame	Performance Indicators	Comments	
Development of electronic records pre-appointment educational programs	AE	On-going?	Development and delivery of electronic records courses in appropriate institutions	High priority Training of trainers In consultation with regional branches of ICA Singapore, Malaysia, India High priority	
Development of electronic records post-appointment and continuing education programs	IRMT AE NA	End 2003	Development and delivery of in-house, national, regional and international electronic records courses to upgrade skills of existing staff	<ul style="list-style-type: none"> • Training and education at different levels, from technical to professional, as required in the different regions and countries Priority area Trained staff in key areas of electronic records management	
Development of wider records management training programs, including electronic records elements, for staff to upgrade skills	IRMT AE NA		Development and delivery of records management courses relevant to current IT situations	<ul style="list-style-type: none"> • Draw on existing training materials, such as IRMT modules, for the development of in-house or short-course programs? • Include departmental records room staff and records clerks in different parts of the government? Priority area In consultation with regional branches of ICA	

Action	Done By	Time Frame	Performance Indicators	Comments
Development or expansion of educational and training programs to include appropriate topics to [expand the role and capacity of archivists/accommodate new challenges facing the archival professions]	IRMT AE NA		Development and delivery of expanded programs	<ul style="list-style-type: none"> Topics to be considered include IT, conservation, management skills, negotiation skills, fundraising, project and resource management, advocacy Records continuum Regional branches (ICA) can also help, eg, ESARBICA Entrepreneurship and others
Development of human resources strategies for targeting appropriate people for archives and records management education and training	AE		Development of priorities for identification of potential students	<ul style="list-style-type: none"> Is it possible for educators to consider how to expand their intakes and diversify their student body to promote the development of the profession? Identify those involved Already being done Career talks/presentations? May apply to certain areas

Sensitisation Programs				
Action	Done By	Time Frame	Performance Indicators	Comments
Development of sensitisation [promotional] programs as appropriate for different constituencies	IRMT NA	10/02 to 01/03	Development and delivery of appropriate sensitisation and awareness raising programs	<ul style="list-style-type: none"> Target audience includes administrators, finance ministers, IT representatives in institutions, auditors, accountants general, public sector reform. Representatives to be defined by archivists. Need to link this task with educational programs and video conferences. Use of public sector reform as a key topic for sensitisation
Increased involvement of national archivists in other national initiatives relating to or affecting information and records management	NA		Successful involvement in bureaucratic activities	Development planning Key areas involved: FOI, public sector reform, computerisation, etc
Development of press releases	IRMT WB NA		Development and dissemination of press releases on key issues	<ul style="list-style-type: none"> National archivists need to take advantage of current issues, events, and occasions to promote the role of the archivist, but consider media relations Depends on local situation

Action	Done By	Time Frame	Performance Indicators	Comments
Development of promotional kit for archives	IRMT NA		Development of generic promotional kit or specific kit for international use	<ul style="list-style-type: none"> This activity could be an international effort to develop a generic promotional kit or it could be done within each country and results shared with others IRMT comes up with draft
Identification and collaboration with 'champions' for the archives	NA		Identification of key individuals and development and strengthening of relationships	<ul style="list-style-type: none"> National archivists can identify key 'champions' within and outside the archives to assist with promotion of archival activities and closer links with information technology activities <p>Each country to identify champion: eminent individuals</p>
Development of awareness raising seminars for senior administrators and other public servants	IRMT NA		Development and delivery of a range of awareness raising seminars	<ul style="list-style-type: none"> Focus on role of archives, IT and records management, human rights, accountability, transparency, and governance <p>Nationally and regionally High priority</p>

Donor Collaboration/Fundraising					
Action	Done By	Time Frame	Performance Indicators	Comments	
Identify potential donors	IRMT NA ICA	10/02 to 12/03	Development of a list of potential donors within different regions	Is it possible for ICA regional branches or national archives to identify or pool together information about potential donors in their areas so a cooperative strategy can be developed for funding? Priority	
Develop strong proposals for funding	IRMT NA ICA	01/02 to 12/05	Development of strategic proposals for funding in countries, regions, and internationally	Is it possible to develop generic proposals to share or to develop coordinated bilateral proposals for cooperative programs to achieve national and regional successes? Yes	
Develop partnerships with funding agencies for collaboration and fundraising	IRMT ICA NA [WB]		Development and maintenance of partnerships [no. of projects funded by donors]	Need to develop strategies to influence government policy for the inclusion of records management in projects for funding Yes Need to develop strategies to approach international donor agencies List of resource persons	

Centres of Excellence				
Action	Done By	Time Frame	Performance Indicators	Comments
Identification of model [archival] institutions [good examples]	ICA [reg brnchs]		Identification of national archives that offer specific strengths	<ul style="list-style-type: none"> Regional branches of the ICA should identify national archives with specific strengths which should be emulated by other archives in the region National archives should then be assisted through donor funding to achieve those standards <p>Yes Regional checklist to determine strengths</p>
Identification of core areas of excellence [competence] within archives [regions]	NA ICA		Identification of core areas of excellence within [archives/ training institutions]	<ul style="list-style-type: none"> Need to distinguish between centers of excellence for educational purposes and model institutions for national archives? It is important to focus on different strengths in different countries Sharing and networking about these issues are important to ensure success Many countries have the basic infrastructure for catering to the needs of the region; need to identify places where we have basic infrastructures for centers of excellence, then upgrade structures <p>Yes</p>

Regional and International Professional Collaboration

Action	Done By	Time Frame	Performance Indicators	Comments
<p>Collaboration with regional and international professional and governmental bodies, including CHOGM, CARICAD, CARICOM, SAUDAC, NePAD, ICA, UNESCO, ICA REGIONAL BRANCHES, INTOSAI, INFODEV, CHRI, World Summit on Information</p>	<p>IRMT NA</p>		<p>Successful linkages with different regional and international agencies</p>	<ul style="list-style-type: none"> • National archives to provide contact details to IRMT for agencies in their region to contact for ongoing collaboration? National archives to make independent contacts with agencies or develop a coordinated approach to action? <p>Yes ICA, UNESCO parallel programme Ausaid; NZaid</p>
<p>Meeting of a follow up Global Forum on evidence-based governance [Fiji 2005]</p>	<p>IRMT W/B</p>		<p>Development and delivery of a Global Forum to follow up on the 2002 South Africa meeting</p>	<ul style="list-style-type: none"> • Is there a possibility for a Global Forum with senior civil servants to move forward the agenda and increase the role of archivists, perhaps close to the end of the capacity building phase of the project? <p>Yes</p>

Action	Done By	Time Frame	Performance Indicators	Comments
Inclusion of Global Forum issues on ICA regional branch agendas [Also ICA agenda]	ICA		Successful continuation of discussions through ICA regional branch structures	<ul style="list-style-type: none"> • Is it possible to make the issues discussed at the Global Forum part of ICA regional branch activities so they may be carried forward on an ongoing basis and developed collaboratively within and among regions? • Expand the capacity of the ICA regional branches to provide successful collaboration? • Use the IRMT and other agencies to enhance the work of the regional branches, especially in the area of electronic records management • Draw on the collaboration within regional branches to enhance communication, training, attachments <p>Yes</p> <p>How will the suggestions get to the ICA? Through ICA or regional branch?</p>

Appendix I

EVALUATION FORMS

[hard copies only available]

Appendix J

**Project: Evidence-Based Governance in the Electronic Age
Building Awareness and Capacity**

**Donor: Department for International Development
IRMT Code: 127**

Project Dates: 1 January 2002 - 31 March 2003

Statement Date: 29 October 2002

Activity A: Global Electronic Discussions

	Original Budget	Actuals Jan - Mar 2002	Actuals Apr - Jun 2002	Actuals Jul - Sep 2002	Estimated Budget Oct - Dec 2002	Estimated Budget Jan - Mar 2003
Airfares/ Transfers/ Visas	3,200	1,734	0	600	1,000	1,000
Subsistence	2,160	1,305	0	600	1,000	1,000
Communications/Other	5,050	1200	0	0	1,600	1,000
Fees	50,000	14,000	6,000	4,000	10,000	20,000
Overall Totals	60,410	18,239	0	5,200	13,600	23,000
Summary of Actuals and Estimates						60,039

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Activity B: Training for Regional Trainers

	Original Budget	Actuals Jan - Mar 2002	Actuals Apr - Jun * 2002	Actuals Jul - Sep 2002	Estimated Budget Oct - Dec 2002	Estimated Budget Jan - Mar 2003
Airfares/ Transfers/Visas	10,250	9,500	-7,812	4295	0	0
Subsistence	13,500	11,000	-9,105	4962	0	0
Video Links	1,000	0	0	2,900	0	0
Local Facilitation and Other Local Costs	1,510	0	0	1,951	0	0
Communications/Copying/Other	1,810	1500	675	700	0	0
Fees	25,200	12,000	8,000	13,500	0	0
Overall Totals	53,270	34,000	-8,242	28,308	0	0
Summary of Actuals and Estimates						54,066

* The funds for the costs of airfares and subsistence for the training of regional trainers in India were committed at the end of March. Due to escalating violence in Kashmir it was necessary to keep this programme under close review and ultimately to change the venue to South Africa. This resulted in savings which have been applied to enhanced training materials.

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Building Awareness and Capacity**

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Project Dates: 1 January 2002 - 31 March 2003

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Activity C: Training for National Archivists

	Original Budget	Actuals Jan - Mar 2002	Actuals Apr - Jun 2002	Actuals Jul - Sep 2002	Estimated Budget Oct - Dec 2002	Estimated Budget Jan - Mar 2003
Airfares/ Transfers/ Visas	31,250	0	0	18,091	0	0
Subsistence	22,500	0	0	12,869	0	0
Video Links	5,000	0	0	6,755	0	0
Local Facilitation and Other Local Costs	2,000	0	0	3,990	0	0
Preparation of Pre-recorded Video Training Materials *	0	0	0	2,095	0	0
Communications/Other	2,000	1,700	0	4,300	1,000	1,000
Fees	25,000	10,000	8,000	14,000	4,000	0
Overall Totals	87,750	11,700	8,000	62,100	5,000	1,000
Summary of Actuals and Estimates						87,800

* Savings in airfares and subsistence covered the costs of preparing and distributing pre-recorded Video training materials.

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Building Awareness and Capacity**

**Donor: Department for International Development
IRMT Code: 127**

Project Dates: 1 January 2002 - 31 March 2003

Statement Date: 29 October 2002

Activity D: Video Conferences for Senior Managers

	Original Budget	Actuals Jan - Mar 2002	Actuals Apr - Jun 2002	Actuals Jul - Sep 2002	Estimated Budget Oct - Dec 2002	Estimated Budget Jan - Mar 2003
Airfares/Transfers/Visas	8,000	0	0	0	0	8,000
Subsistence	6,720	0	0	840	0	7,260
Video Links	25,000	0	0	0	0	23,795
Translations	2,000	0	0	0	0	2,000
Preparation of Video Training Materials *	0	0	0	0	1,200	1,500
Communications/Other	2,850	1,200	0	0	1,800	1,500
Fees	54,000	35,000	0	0	6,000	8,000
Overall Totals	98,570	36,200	0	840	9,000	52,055
Summary of Actuals and Estimates						98,095

* Savings in airfares and subsistence will cover the costs of preparing and distributing Video training materials.