

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

Steering Committee Meeting, Thursday 10 July 2008

*Washington (8.00-10.30 am), London (13.00-15.30 pm),
Dar es Salaam (15.30-17.30 pm)*

This is the final meeting for this project. Its purpose is to provide an opportunity for the project management team to report on progress and to seek guidance on current and future project activities.

Agenda

- 1 Welcome to Participants (*Paper A*)
- 2 Stakeholders Meeting, Pretoria, South Africa April 2008 (*Paper B*)
- 3 Development of the Training Modules (*Paper C*)
- 4 Recordkeeping Performance Indicators (*Paper D*)
- 5 Brief Update on the Sierra Leone and Botswana Case Studies
- 6 IDRC Strategic Planning Meeting and Report Back
- 7 Next Steps
- 8 Conclusions

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**Steering Committee Meeting, Thursday 10 July 2008:
Participants and Site Times**

London: 13.00-15.30 pm

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Stakeholders Meeting, Pretoria, South Africa April 2008

Between 14 and 16 April 2008, 60 participants from 13 countries in east and southern Africa participated in a conference held in Pretoria, South Africa, on *Records Management in the Digital Environment: New Findings in Pay and Personnel Information Management*. The countries represented were Angola, Botswana, Kenya, Lesotho, Malawi, Mozambique, Namibia, South Africa, Swaziland, Tanzania (and Zanzibar), Uganda, Zambia and Zimbabwe. Stakeholders included senior officials from offices of the President, accountants general, auditors, human resource managers, IT professionals, e-government specialists, national archivists and other government records staff.

Sessions were presented on global electronic recordkeeping issues, developments in financial management information systems, case study findings, the training materials and the records management performance indicators. The speakers included a World Bank Lead Specialist on Financial Management for Africa, Gert van der Linde, as well as an internationally recognised expert on managing electronic records in government, Greg O'Shea.

There was a positive exchange of views involving senior officials and records professionals on improving manual records management, enhancing personnel and payroll records and developing electronic recordkeeping systems in each country.

The participants' observations and resolutions follow.

**Conference on Data Integrity and
Recordkeeping in the Digital Environment:
New Findings in Pay and Personnel Information Management**

Pretoria, South Africa, 14 to 16 April 2008

Resolutions

Preamble

The participants in the conference on *Data Integrity and Recordkeeping in the Digital Environment* wish to sincerely thank the Government and the people of the Republic of South Africa for their kind and warm hospitality. In particular we wish to thank the Director and staff of the National Archives for the excellent arrangements for the conference.

We also wish to thank Dr Anne Thurston, International Director of the IRMT and the entire IRMT Team for organizing this particular conference.

The conference drew delegates from thirteen (13) African Countries and comprised Directors of National Archives, Senior Officers from Offices of the President, Accountants General, Auditors, Human Resource Managers, IT professionals, E-Government specialists, Government Archivists and other Senior Government Officials

Observations

Arising out of the conference presentations and discussions, a number of observations have been made; these include:

1. Some National Archives in the region are not playing a strategic and key role in providing guidance on records management in most Government business processes.
2. The Archives function is invisible in most Government departments leading to lack of recognition of archives and records management in a number of strategic Government initiatives and development projects.
3. There is a lack of skills and competences among archives and records management personnel in the area of electronic records management, leading to inability to play an active role in designing and implementing electronic records management systems. Where there has been some skills enhancement, retention of the skilled staff has become very difficult due to levels of pay and work environment facilities.

4. There has been an absence of opportunities to collaborate on capacity building initiatives for records management and related aspects in the region, especially in respect of training institutions.
5. Progress has been made in a number of countries in the region to computerise financial and HR systems. However, due consideration has not been given to the component of records management.
6. In order to ensure effective and functional computerised systems, it is critical that the existing manual systems and processes are comprehensively streamlined.
7. There is a direct relationship between records management and accountability, transparency and delivery of public services.
8. A number of countries in the region lack a functional policy and legal framework that supports effective records management. In some of the countries there are policy inadequacies in this regard, while in others there is weak enforcement of the policy and legal framework for archives and records management.
9. The efforts of the IRMT towards developing training materials are noted with appreciation and gratitude and we request that before these materials are made operational, broad consultation should be furthered in the region to ensure relevancy to all stakeholders.
10. The importance of developing performance indicators in records management that are linked to institutional strategic objectives has been noted.
11. There is an urgent need to enhance awareness across Governments in the region about the importance and critical role of the archives and records management function for effectiveness and efficiency in Government business.
12. The archives and records management function seems to be gradually getting usurped by the ICT function, a trend that seems to emanate from lack of role clarity and in-house inconsistencies.

Resolutions

Following the above observations, these resolutions are made as a way forward in improving record keeping in the digital environment both at national and regional level:

1. Governments should be urged to incorporate the archives and records management function in the various reform initiatives e.g. IFMS, IPPS, HRMIS etc and other service delivery enhancement programmes. There is need for deliberate linkages of archives and records management with all other Government business processes and to ensure that there are solid partnerships with all Government institutions in this regard.

2. National Archives and Records Management personnel are urged to be more proactive as a means of emphasising the importance of the archives and records management function. This should be used to address the need for attitude and culture change.
3. Similarly this should be supported with training that not only needs to be focused on equipping personnel with IT skills that can be translated into effective records management in the digital environment, but also needs to be based in terms of prevailing Government business as a means of ensuring retention of the trained personnel.
4. There is also a need to ensure that Governments create an environment that enhances professional skills and targets young graduates.
5. IRMT / ESARBICA, working in cooperation with training institutions in the region, need to explore possibilities for bringing trainers together to work out strategies that can address issues of common concern, e.g. professional standards, mechanisms for facilitating exchange and influencing Government policy direction. To start with, focus could be on the development of a regional Centre of Excellence, the creation of a permanent forum that brings together personnel in the arenas of ICT, E-Governance, Archives and Records Management to facilitate exchanges on best practices and other related aspects.
6. Efforts should be undertaken to streamline current Government business processes as a means of effecting quick wins that support effective implementation of electronic records management, support accountability frameworks that are evidence based, and support effective public service delivery.
7. As a means of enhancing awareness by Governments in the region of the role of archives and records management, and as one of the critical undertakings that should be followed up after this conference, consideration should be given to:
 - the use of video materials (e.g. those used at the conference)
 - benchmarking of best practices from countries in the region (e.g. those shared by Tanzania)
 - use of attachments and training at centers of excellence.
8. As a means of ensuring that performance indicators for records management are developed, it is important that Governments in the region develop these indicators as part of their strategic plans.

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Training Modules

Background

Eight educators and senior records management professionals met in July 2007 at the University of Botswana in Gaborone for a week-long planning session. The contents of the training modules were planned, taking into account issues identified by the research team. In December 2007 eighteen authors and contributors in Australia, Botswana, Canada, Kenya, Singapore, South Africa and the United Kingdom, with backgrounds in electronic records and archives management, submitted material for inclusion into the modules. The Module Editor has been bringing this work into a coherent package.

Modules under development

The modules under development are:

- Understanding the Context of Electronic Records Management
- Planning and Managing an Electronic Records Management Programme
- Managing the Creation, Use and Disposition of Electronic Records
- Preserving Electronic Records
- Personnel Records as the Information Base for Human Resource and Payroll Management

An overview of the modules is attached.

Each module is approximately 100 pages, including units, annexes and information about additional resources. The modules are designed to build on and support the Management of Public Sector Records training programme, developed by the IRMT in 1999, comprising a package of over thirty separate training tools that address basic records management issues for developing countries.

A series of reviews are planned in both developed and developing countries to gain international feedback on the quality and relevance of the modules.

The modules are designed to create linkages with performance indicators, case studies, guidance materials and other project resources.

Presentations will be made at the International Congress on Archives in Kuala Lumpur, Malaysia, in July 2008, to introduce the module package to the archival community and solicit international feedback on the project.

Overview of the Training Modules

Module 1 Understanding the Context of Electronic Records Management

Unit 1.1:	Understanding electronic records concepts and terminology
Unit 1.2:	Examining the opportunities and challenges of electronic records
Unit 1.3:	Understanding the technological context of electronic records management
Unit 1.4:	Understanding the organizational context of electronic records management

Module 2 Planning and Managing an Electronic Records Management Programme

Unit 2.1:	Developing an electronic records management policy
Unit 2.2:	Developing a business case for improved electronic records management
Unit 2.3:	Planning an electronic records management project
Unit 2.4:	Advocating effective electronic records management
Unit 2.5:	Managing organisational change

Module 3 Managing the Creation, Use and Disposition of Electronic Records

Unit 3.1:	Developing classification schemes for electronic records
Unit 3.2:	Creating and using electronic records
Unit 3.3:	Appraising and disposing of electronic records
Unit 3.4:	Providing access to electronic records
Unit 3.5:	Selecting and Implementing ERM software systems

Module 4 Preserving Electronic Records

Unit 4.1:	Understanding preservation issues and strategies
Unit 4.2:	Developing and implementing a preservation policy

Unit 4.3: Understanding new developments in electronic records preservation

Unit 4.4: An introduction to the concept of a digital repository

Module 5
Personnel Records as the Information Base for Human Resource and Payroll Management

Unit 5.1: Understanding the context of personnel and payroll records management

Unit 5.2: Understanding the relationship between human resource management functions and records

Unit 5.3: Understanding different types of personnel records

Unit 5.4: Managing personnel records and personal files

Unit 5.5: Improving personnel record keeping systems

Unit 5.6: Moving to electronic personnel record keeping

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Records Management Performance Indicators: An Assessment Tool for Recordkeeping in ICT Systems

Background

Well managed records are the foundations of good government, the basis for enshrining citizens' rights, and the fuel that drives a wide range of governance activities. They serve both to document the policies, transactions and activities of governments and to provide a trusted source of information to support decision-making and accountability.

The challenge for any government is to know whether ICT systems are technically capable of supporting recordkeeping requirements. What are the indicators for measuring good practices? How can governments determine if recordkeeping requirements are integrated in ICT systems in a comprehensive, effective and sustainable manner? Is progress being made towards this objective?

The Assessment Tool

As part of the Research Project, the Trust is developing a Records Management Performance Assessment Tool (RMPAT) to help governments answer these questions. The purpose of the tool is threefold:

- to provide a guide to integrating recordkeeping in ICT systems
- to describe good practices for managing records created and held in ICT systems
- to provide selective indicators that can be used to determine whether or not good recordkeeping policies and practices are being followed in the design and implementation of ICT systems.

The tool's good practice statements are based on recognised international standards and requirements for records management. The tool is also linked directly to educational and training materials that have also been developed by the Research Project to address the integration of recordkeeping in ICT systems.

The statements of good practice and indicators are divided into three categories:

- the framework of laws, policies, accountability, governance, strategies and evaluation mechanisms that must be in place to ensure that recordkeeping requirements are included in ICT systems
- the integration of recordkeeping requirements in ICT systems during the phases of the systems development life cycle
- the capability of the ICT system to meet recordkeeping requirements.

The indicators of good practices have been selected to be robust, objective, difficult to manipulate and easily measurable. The same results should be obtained by any two assessors. The aim is not to conduct an audit at the individual record or transaction level within ICT systems. Rather, it is to assess whether the required policies and practices are in place and, in some cases, whether the policies and practices are used and monitored for compliance. By assessing strengths and weaknesses against the statements of good practice, areas that need improvement can be identified. The good practice statements as a whole also provide a 'direction of change' by indicating all the requirements that should be met.

A simple scoring system is applied to the indicators so that levels of achievement can be distinguished. Four levels are used (A, B, C and D) with level A being the highest level of achievement and Level D representing inability to comply with the lowest level of good practice.

Who Will Use the Tool?

Users of this tool will include the following communities:

- records managers, or those with responsibility for records and information resources in their organisation
- senior officials who wish to highlight the strengths and weaknesses of the recordkeeping environment in their organizations
- senior officials who are responsible for approving ICT systems, allocating appropriate resources, monitoring and overseeing progress, and reviewing and acting on the results of evaluations and audits
- business managers who understand the need for good recordkeeping but have limited knowledge of records management
- IT staff/advisers who have little exposure to recordkeeping issues
- development specialists and advisers.