

*A World Bank/International Records Management Trust
Partnership Project*

Evidence-Based Governance in the Electronic Age



The World Bank



International Records
Management Trust

Information for Good Governance

Introduction

The World Bank Group is tackling a highly significant global problem - the loss of control of records and information systems, particularly in electronic environments. Accurate official records should provide the basis for poverty reduction, the rule of law, economic development, and accountability frameworks. However, systems for creating, organizing, and preserving reliable official information have broken down in many countries. At the same time, the challenges of preserving electronically-generated records in authentic form are growing. This affects the ability of public sector institutions to be accountable and transparent and to improve services to citizens, especially in poorer countries.

These issues are to be addressed by a five-year project, *Evidence-Based Governance in the Electronic Age*, initiated by the Bank in partnership with the International Records Management Trust. This involves coordinating a global network of institutions and organizations to provide support for modernizing records management systems in parallel with measures to improve public sector management. Ultimately, the aim is to mainstream records management as a cornerstone of the global development agenda.

Background

The project has grown out of an effective working relationship between the Bank and the Trust. Three successful joint Bank/Trust projects have already been completed:

- A video-conference workshop on *Current Records Management, Poverty Reduction and Corruption Control* was held in June 2000. High-level civil servants from Ghana, Tanzania, and Uganda shared their experiences and concerns with World Bank task managers, senior managers, and anti-corruption specialists. The Bank's Information Solutions Group funded the project.
- The *Information for Accountability Workshops* project, completed in January 2001, developed a methodology for educating civil society and government representatives on the significance of well-managed evidence. Civil servants, records managers, and civil society representatives piloted the workshop in Tanzania and Ghana. The project was funded by the World Bank Danish Trust Fund for Governance.
- The *From Accounting to Accountability* project, completed in March 2001, defined essential issues for managing financial records and created tools for evaluating and monitoring the performance of record-keeping systems. The project was funded by the World Bank *infoDev* Fund.

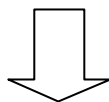
The current project will be delivered in three phases:

Phase I

Diagnostic Studies and Assessment Tools

research and analysis
(July 2001 to June 2003)

case studies to explore requirements for managing electronic and paper records; development of assessment tools to measure quality of records systems and identify areas of weakness

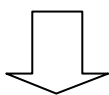


Phase II

Global Forum

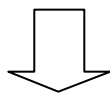
training for regional trainers
(July 2002)

program to empower a core team of regional trainers to deliver professional development training for the benefit of national archivists



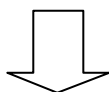
training by regional trainers for national archivists
(August 2002)

one week course for national archivists on developing cost benefit analyses and national strategic plans for managing electronic records in preparation for video conferences with senior officials



electronic discussions and video conferences
(September 2002 to January 2003)

electronic discussions and video conferences to facilitate discussion between senior officials in the fields of public administration, finance, law, and records management on the challenges of managing electronic/paper records, national strategic requirements, and potential solutions



Phase III

Capacity Building

continuing skill development
(March 2003 to June 2006)

global program to develop skills needed to manage electronic records

All products of the project will be available, as they are developed, on the project website starting in May 2002 (<http://www.worldbank.org/evidence>).

Phase I Diagnostic Studies and Assessment Tools

Studies are being carried out within the World Bank and in developing countries to explore the requirements, in hybrid paper/electronic environments, for managing records relating to three core areas of reform: human resource, financial, and legal and judicial. Case studies are being prepared, and the findings will be supplemented by discussion of requirements through a global forum (see below). The information gathered will provide the basis for developing assessment tools to measure the quality of records systems in relation to functional and professional requirements. Ultimately, the information will help to define the structure and content of global capacity building in the management of electronic records.

Phase II Global Forum

The Forum will be a consultative exercise aimed at establishing the widest possible level of ownership of the program globally. Through the use of electronic networking and structured programs, senior officials and national archivists in English, Spanish, and French-speaking countries will be invited to explore the issues involved in managing records to meet public sector requirements in a computerized environment. They will be invited to evaluate existing solutions, identify skill gaps and consider the way forward.

Training for Regional Trainers

Regional trainers will be empowered to deliver professional capacity building for the benefit of national archivists, who have statutory responsibility for managing official records. Training and guidance materials will be prepared, including an analysis of high level electronic records management issues for senior policy makers and generic prototypes for cost benefit analyses and national strategic plans for managing electronic records. The trainers will work together to adapt and enhance these materials. By the end of the training program, they will be empowered to deliver the training to national records managers/archivists and will have agreed the program, logistics, and methodologies for delivery. This will mark an important step toward building the critical mass of trainers required in this new subject area. The training will be delivered initially to trainers from English-speaking countries and can be extended to Spanish and French-speaking countries.

Training for National Archivists by Regional Trainers

National archivists will be offered professional training from the regional trainers in preparation for participating in electronic discussions and video conferences (see below). They will examine the current strategies for computerization in their countries, the impact on the nature of the official record, and the experiences of national archives that have re-positioned themselves in relation to the changing technological environment. They will work together on the methodology for analyzing and reporting on their national requirements and on strategic plans. The training will be residential, with some video links to Washington, London, or elsewhere. Again, the training will be delivered initially to national archivists from English-speaking countries and can be extended to Spanish and French-speaking countries.

Inclusive Electronic Discussion

An electronic discussion will be held in three languages (English, Spanish, or French) for four professional groups in the fields of public administration, financial management, legal and judicial management, and records management. Working with relevant global bodies as partners, debate will be invited on the significance of paper and electronic records as evidence in relation to global objectives for poverty reduction and accountability in a computerized environment. Successes, aspirations, and practical difficulties will be explored. Records managers will be invited to comment on the challenges they face in protecting records as the legal evidence required for good governance. The discussions will take place within the project website, which will be linked to the partners' websites.

Video Conferences

Senior officials in the fields of public sector reform, financial management reform, legal and judicial reform, and records management will be invited to participate in video conferences. From their different perspectives, they will discuss how their work is affected by the challenge of managing records created in a hybrid electronic/paper environment. The conferences will examine the issues that need to be considered in moving toward an electronic working environment, the implications for meeting development objectives, and the strategic approach required. At least seven video conferences will be held, each involving five countries.

Phase III Capacity Building

Intensive training will be needed in the policies, standards, procedures, and practices needed to manage electronic records in support of development and governance requirements and the long-term social memory. The aim is to define the nature of the competencies required and the means of building global capacity in parallel with the growth of electronic government. The project will also seek to facilitate the development of relevant training programs, support the creation and distribution of appropriate training materials, and help build a critical mass of regional and national experts in electronic record management.

Ensuring Sustainability

The impact of the project will be maximized through cooperation with a network of development partners. Already, sixteen organizations have agreed to collaborate and the list will continue to grow. These partners include major professional associations for records and information managers as well as other relevant bodies. The partners will be invited to work collaboratively in defining the issues to be explored and to advise on the products and training materials needed to build global capacity. It is hoped that this will help to ensure that there is a long term commitment globally to building sound records management systems.

Core Partners

World Bank. Founded in 1944, the World Bank Group is the world's largest source of development assistance. It works with government agencies, non-governmental organizations, and the private sector in over 100 developing economies to formulate assistance strategies aimed at improving living standards and eliminating the worst forms of poverty. Its 67 country offices deliver the Bank's projects, liaise with government and civil society and work to increase understanding of development issues. The Bank is uniquely equipped to combine trans-national knowledge with in-depth understanding of specific situations in client countries. Its long record of support for public sector reform makes it the appropriate catalyst for change in the management of information and records.

International Records Management Trust. Set up in 1989 to develop new strategies for managing public sector records, the Trust has successfully delivered practical solutions to record keeping problems in over 25 countries, working with a range of public sector institutions, international donors, professional associations, consultancy firms, academic institutions, and NGOs. The Trust is a UK-registered charity governed by a board of trustees. Its London office manages the delivery of a portfolio of international projects, while a consultancy team of over 60 practicing professionals, drawn from the public and private sectors and from academic institutions, gives it a unique range of international experience and specialist capabilities.

Collaborating Partners

The collaborating partners are organizations that have been working with the World Bank on records management issues or that have been invited to join the partnership because of their roles in global professional development.

Association Internationale des Archives Francophones (AIAF): Founded in 1989, this organization was originally associated with the Banque Internationale d'Information sur les États Francophones (BIEF), based in Quebec. Later it became an organ of the Agence Intergouvernementale de la Francophonie (AIF), which is based in Paris. The AIAF is a partnership between Tunisia, Senegal, Canada, France, and Morocco.

Association of Commonwealth Archivists and Records Managers (ACARM): Founded in 1984, ACARM promotes professional development in the field of records and archives management throughout the Commonwealth. The common heritage of legal and administrative systems within the Commonwealth has a direct impact on record keeping practices and provides a basis for sharing new strategies and practices.

Association of Records Managers and Administrators (ARMA) International: ARMA International is a not-for-profit association serving more than 10,000 information management professionals in the United States, Canada, and over 30 other nations. Its mission is to provide education, research, and networking opportunities to information professionals.

Commonwealth Association of Public Administration and Management (CAPAM): Founded in 1994, CAPAM is committed to building networks across the Commonwealth to exchange experiences on developments and innovations in and reform of, public administration. It has

over 1200 individual members in 80 countries, with over 80 institutional members and 24 affiliation agreements with public administration bodies.

Commonwealth Center for Electronic Governance (CCEG): This is a new not-for-profit organization closely linked to the Commonwealth Secretariat's General and Institutional Development Division. It works in partnership with other organisations to develop good policies and practices in electronic governance that can be shared internationally, particularly with the developing countries.

Commonwealth Secretariat: The Secretariat is the principal inter-governmental organization of the Commonwealth, implementing the decisions taken by its 54 member governments. Established by Commonwealth Heads of Government in 1965, it is committed to supporting democracy and good governance, global consensus building and sustainable development.

Fundación Histórica Tavera: Established in 1996, the Fundación's major objective is the preservation and diffusion of the documentary and bibliographic heritage of Latin America, Spain and Portugal. It has opened, in Madrid, a reference center for archives and historical documents of Latin America.

International Council on Archives (ICA): A non-governmental organization with associate relations with UNESCO, ICA was founded in 1948 and has over 1,500 members in its 175 countries and territories. Its mission is the promotion of archives at the worldwide level working through its regional branches, sections, and committees.

Inter-American Development Bank (IADB): This is the oldest and largest regional multilateral development institution. It was established in 1959 to help accelerate economic and social development in Latin America and the Caribbean.

International Association of Supreme Audit Institutions (INTOSAI): Founded in 1953 INTOSAI has a membership of over 170 Supreme Audit Institutions and works through seven regional working groups to share information and experiences and to promote public accountability.

International Centre for the Study of the Preservation and Restoration of Cultural Property (ICCROM): An intergovernmental organization of 95 member states, ICCROM was founded by UNESCO in 1956. It contributes to conservation and restoration of cultural property world-wide by initiating, developing, promoting, and facilitating projects in support of conservation and restoration.

International Institute of Administrative Sciences (IIAS): Established in 1930, the IIAS aims to promote better operation of public administrative agencies at all levels. Represented in 100 countries in all regions of the world, it links decision-makers, practitioners, researchers, and specialists working in the various fields of administrative science.

Organization of American States (OAS): Created in 1948, the OAS is committed to strengthening peace and security, promoting representative democracy, ensuring the peaceful settlement of disputes among members, and promoting economic, social, and cultural development. It has 35 members and 47 permanent observers. It works in four official languages: Spanish, Portuguese, French, and English.

Public Policy Forum (PPF): Established in 1987, the PPF is a non-partisan, non-profit organization aimed at improving the quality of government in Canada. Its strength is its reputation as an independent, research-based organization and as a neutral ground where leaders from businesses, federal and provincial governments, the voluntary sector and the labour movement, can achieve an open and frank dialogue.

Society of American Archivists (SAA): Founded in 1936, SAA is North America's oldest and largest national archival professional association. Serving the educational and informational needs of more than 3,400 members, SAA provides leadership to ensure the identification, preservation, and use of records of historical value.

Transparency International (TI): TI is a non-governmental organization dedicated to increasing government accountability and curbing international and national corruption. With national chapters in more than 77 countries, it works to promote inter-governmental agreements to fight corruption in a coordinated manner and to ensure that international organizations give high priority to curbing corruption.

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