

*UK Department for International Development*

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Fostering Trust and Transparency in  
Governance:

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

Annual Report  
May 2007 to April 2008



International Records Management Trust

June 2008

## CONTENTS

Introduction	1
Executive Summary	1
Progress Toward Deliverables	3
Activity 4	Conduct Eight Case Studies in Africa
Activity 5	Exchange Case Study Finding Between the Participating Countries
Activity 6	Conduct Comparative Case Study in Asia
Activity 7	Develop Route Map and Indicators, Plan Good Practice/Training Materials
Activity 8	Develop Good Practice Guidance Materials
Activity 9	Create Four Training Modules
Activity 10	Present Findings and Outputs to Regional Stakeholders
Activity 13	Hold Steering Committee Meetings and Meetings with International Organisations
Appendix A:	List of People Consulted
Appendix B:	Log Frame
Appendix C:	Terms of Reference for Case Studies in India (May 2007) and Botswana (April 2008)
Appendix D	Outline of Electronic Records Training Modules
Appendix E	Outline of Records Management Performance Assessment Tool
Appendix F	Resolutions from Stakeholders' Meeting in Pretoria, South Africa, 14 to 16 April 2008
Appendix G	Summary of Project Budget Expenditure

## **INTRODUCTION**

- 1 This report summarises progress for the period May 2007 to April 2008. It builds on the report submitted in 2007. The Trust's website, <http://www.irmt.org/> provides additional details.
- 2 All areas of the project progressed well through the year, albeit in a somewhat different order and at a somewhat different pace than anticipated at the outset of the project. The various components of the project proved to be robust and appropriate, and by responding to inputs from key stakeholders and from the Steering Committee, the Project Team was able to deliver results with a high degree of regional ownership.
- 3 Consultations took place through a range of mechanisms, all of which helped to make the issues clearer and the outputs relevant. The in-kind contributions from DFID (Chairman's time and video conference connections) and the World Bank (specialist inputs to Steering Committee meetings, ongoing discussions with individual Bank staff and use of video conference facilities) helped to provide an intellectual framework for the project activities. The steadily deepening dialogue with stakeholders, through onsite visits, video conferencing and a highly successful regional stakeholders meeting for the east and southern African region, were key to establishing a picture of the records/data integrity issues and to defining meaningful inputs. Educators from Africa, Europe and North America made essential contributions to defining an appropriate approach to training and performance measurement.

## **EXECUTIVE SUMMARY**

- 4 The case studies in Africa progressed well. A comparative study on land records was undertaken in April 2008 in Botswana. In addition, it was possible to prepare a case study on related work funded by DFID in Sierra Leone. Further information was collected in Ghana and Tanzania. These studies have provided valuable data on the state of manual and electronic recordkeeping in relation to human resources and payroll information systems. (paras 19 to 24).
- 5 A video conference was held in May 2007. This event involved senior government officials from Ghana, Sierra Leone, Tanzania and Zambia. The aim was to facilitate an exchange of experiences in introducing electronic human resources management and payroll systems and to consider the related recordkeeping implications. Senior officials from DFID and the World Bank observed the conference. (paras 25 to 26)
- 6 The case study in Asia covered personnel and payroll information management in the state government of Karnataka in India. Some comparative research was undertaken on financial management systems and land administration in Karnataka. This research complemented the work in Botswana on land management and enabled comparisons of recordkeeping issues in different information systems. (paras 27 to 29)
- 7 Work on the educational materials progressed steadily. A consultant editor was appointed to the project team in May 2007. In July 2007 there was a meeting of records and archives educators and professionals in Gaborone, Botswana. The participants worked together to outline electronic records training modules, consider

the nature of the guidance materials and develop a road map setting out the key steps for effective electronic recordkeeping. The experiences and insights gained during the case studies underpinned this work. Following the meeting, various international experts were approached to develop specific components of the modules. The draft components were submitted in December 2007, and the consultant editor began work on the modules. (paras 30 to 33)

- 8 Outlines of the training modules and preliminary work on the indicators were presented to a regional stakeholders' meeting in South Africa in April 2008. Sessions on the project and the training materials also will be given to records professionals at a major international professional congress to be held in Kuala Lumpur, Malaysia in July 2008. (para 34).
- 9 The key activity in the development of guidance material is the preparation of Records Management indicators. The aim is to produce a tool that includes internationally accepted good practice statements on the management of electronic records and a related set of performance indicators. (para 35)
- 10 A two day stakeholder meeting involving approximately 60 representatives from thirteen eastern and southern African countries was held in Pretoria, South Africa in April 2008. Presentations were given by several international experts, and progress on the case studies and the records management indicators was presented. Delegates fully participated in the discussion, and the event was considered very successful. (paras 36 to 38)
- 11 A Steering Committee video conference was held in November 2007. Meetings also were held with a number of international organisations. Discussions centred on the development and implementation of manual and electronic information systems, the related recordkeeping issues, performance indicators and training and education matters. (paras 39 to 42)
- 12 There is a list of people consulted during the year in Appendix A.
- 13 Progress to date against the logical framework is outlined in Appendix B.
- 14 The terms of Reference for research work in Karnataka State, India and Botswana are provided in Appendix C.
- 15 The Electronic Training Modules are outlined in Appendix D.
- 16 An outline of the purpose and content of the Records Management Performance Assessment tool with indicators is in Appendix E.
- 17 Resolutions of the Stakeholders meeting held in Pretoria, South Africa are provided in Appendix F.
- 18 There is a summary of financial expenditure to date, by activity, in Appendix G.

## PROGRESS TOWARD DELIVERABLES

### Activity 4: Conduct Case Studies in Africa

- 19 During the year, case studies were undertaken in Sierra Leone and Botswana. Although Sierra Leone was not originally selected as a case study site, a DFID supported project on records management improvement, particularly in the area of pay and personnel information, yielded such in-depth information on the research topic that it provided the basis for an extra case study report.



Dr Julius Sandy, Establishment Secretary, Sierra Leone

- 20 Records management in Sierra Leone virtually collapsed during the 11 year long civil war that lasted from 1991 until 2002. In the post-conflict period, when the Government embarked upon an exercise to rebuild policies, systems and procedures, records were identified as a key aspect of the reconstruction process. Pay and personnel records were considered to be the most essential initial target, and a Records Management Improvement Team was developed to spearhead records management improvement work. The Team has been able to develop a unique methodology for rebuilding paper-based systems and linking them to a new Integrated Financial Management Information System, in particular to the Human Capital Accountability and Payroll Modules. The case study describes the gradual extension of control across the civil service personnel records and explains the specific methods of linking these records to the payroll for control purposes.
- 21 In addition to the written study, a video documentary about the Sierra Leone work, highlighting senior government stakeholders' perceptions and the achievements of the Records Management Improvement Team, was produced with funding from the International Development Research Centre, Canada.



Records Management Improvement Team sorting master personnel files

- 22 The study in Botswana focused on land management information issues and, with the India (Karnataka) study, it enabled comparisons on recordkeeping issues in relation electronic information systems. The research in Botswana was undertaken between 21 April and 2 May, 2008 (the Terms of Reference are at Appendix C). Discussions were held with officials in the Ministry of Land and Housing and with records and other staff in the land boards. In addition, consultations were held with staff at the National Archives and with staff and students at the University of Botswana who either had a background in land management or were involved in research on land information issues. Follow up meetings are being organised with ministry technical staff and ICT consultants on the electronic land information systems, and visits are to be made to several land boards in May and June 2008.



Michael Hoyle, Project Manager and Lead Researcher, Kelebogile Kgabi, Director of the Botswana National Archives and Records Service and Treasurer of ESARBICA and Dr Peter Sebina, University of Botswana at the National Archives, Gaborone during the Case Study Research

- 23 While Botswana has had some success in developing an electronic system for managing state land, the case study findings indicated that there were significant difficulties surrounding the development of the Tribal Land Information System (TLIMS). Pilot implementations of the system brought out many project management issues, including lack of consultation with key stakeholders, system design problems

and a lack of coherent planning and direction. The poor state of input data from neglected manual records was highlighted in a recent report on the current status of TLIMS.



Dr Segomotso Keakopa, University of Botswana at the National Archives and Records Service, Gaborone

- 24 While the National Archives has established a programme for managing current records in government, it does not have direct responsibility for advising on Tribal Land Board information. The Boards have recently advertised for trained records staff to assist in addressing the difficulties in managing land information.

### **Activity 5: Exchange Case Study Findings between the Participating Countries**

- 25 A video conference of senior stakeholders working in the areas of financial and human resource management and ICT development in the Governments of Sierra Leone, Ghana, Tanzania and Zambia took place on 13 June 2007. The conference successfully linked officials in Freetown, Accra, Dar es Salaam and Lusaka with DFID and World Bank staff, as well as with members of the project team, in Washington and London. The conference gave key stakeholders an opportunity to exchange views and experiences in implementing manual and electronic human resources management and payroll systems as well to consider the related records management issues.
- 26 The participants from each country discussed the key findings arising from the case studies and next steps in the development of the training materials. These included the general state of manual and electronic records; the need to put in place or update the regulatory environment and infrastructure for managing records; the impact of technology; the lack of understanding of the requirement to manage information as evidence; and the need for sensitisation and training of all staff on recordkeeping issues. Input and comments from the conference feed into the development of the project deliverables.

## Activity 6: Comparative Case Study in Asia.

- 27 A case study visit took place in Karnataka State, India from 14 to 31 May 2007 (the terms of Reference are at Attachment C). Meetings were held in Bangalore with the Chief Secretary of the Karnataka Public Service and with staff at the E-Governance Secretariat, National Informatics Centre, Public Service Commission, Treasury, Ministry of Education and the State Archives. The human resources and payroll systems, including their associated manual and electronic records, were examined.



Andrew Griffin (centre), UK Director of the International Records Management Trust undertaking research at the Public Service Commission, Bangalore, Karnataka, India

- 28 For comparative purposes, an analysis was undertaken of the recordkeeping functionality of the electronic Treasury system, *Khajane*, and the United Nations award winning, computerised land registration system, *Bhoomi*. Visits also were made to a *Bhoomi* kiosk at a Tahsalidar Office, an electronic Citizen's Service Centre and various other institutions with broad responsibilities for records in Mysore.



Bhoomi land information system kiosk outside Mysore



29 Although Karnataka, and India in general, have made enormous strides in ICT development in the private sector, computerisation and the development of electronic information systems are more limited in government. While the *Bhoomi* system has been a tremendous success, and governments are starting to use technologies to manage information, most activities in public sector ministries and departments still use manual systems. There is a strong ‘disconnect’ between the large number of staff still using manual systems and the much smaller number of officials developing and using electronic systems. Clearly some areas of government have a thorough understanding of broad ICT issues, but no real work has been done on long term preservation of electronic records for legal or other purposes. Although the State Archives is undertaking digitisation projects, the staff have not yet acquired skills in electronic records management and are not yet in a position to take a leadership role in managing digital information.

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

**Activity 8 Develop Good Practice Guidance Materials**

**Activity 9 Create Four Training Modules**

30 An Educators Forum took place from 16 to 20 July 2007 at the University of Botswana in Gaborone. A Consultant Developer/Editor was appointed to the Project Team and was closely involved in the planning process in Botswana. As part of the Project’s deliverables, eight educators (including representatives from the University of Botswana and University College London) and senior recordkeeping professionals (from the UK, Canada and Australia) discussed and drafted outlines of electronic recordkeeping educational and guidance materials. A route map was also prepared which sets out the steps required to establish a successful electronic records management programme.



Educators and recordkeeping professionals at the University of Botswana, Gaborone

From left Kelvin Smith, National Archives of the UK; Geoffrey Yeo, University College London; Dr Justus Wamukoya, University of Botswana; Andrew Griffin, Deputy Director, International Records Management Trust; Dr Laura Millar, Developer and Editor, Training Modules; Michael Hoyle, Project Manager and Lead Researcher, Dr Peter Sebina, University of Botswana and Dr Segomotso Keakopa, University of Botswana

- 31 The information gathered during the case studies and the video conference with stakeholders was used to help plan the training and good practice deliverables.
- 32 Leading educators and practitioners from around the world were invited to participate in the development of the training and education modules. Contracts were issued to electronic records experts in Australia, Botswana, Canada, Kenya, Singapore and South Africa in October 2007, and content was submitted in December 2007.
- 33 During the first part of 2008, the Editor worked on preparing drafts of five training modules, including four on electronic records management and one related to the management of human resource and payroll records in the digital environment. Peer reviewers have been identified, and the draft modules will be sent for their comment and feedback after the international professional meeting in Kuala Lumpur in July. The modules are outlined at Appendix E.



Dr Laura Millar, Developer and Editor Training Modules planning at the Educators Forum, University of Botswana



Dr Segomotso Keakopa, University of Botswana and Geoffrey Yeo, University College London during planning at the Educators Forum, in Gaborone.

- 34 Outlines of the modules were presented to regional stakeholders at the April 2008 meeting in South Africa on *Recordkeeping in the Digital Environment: New Findings in Pay and Personnel Information Management* (details on the meeting are at Activity 10). In addition to the peer review process described above, two sessions on the modules have been scheduled for the Congress of the International Council on Archives (ICA) in Kuala Lumpur in July 2008. One of the sessions will be provided to a meeting of the Association of Commonwealth Archivists and Record Managers (ACARM), which will take place during the Congress. There also will be opportunities to consult with the Board of the East and Southern Africa Regional Branch of the International Council on Archives and with senior records professionals from across the world.
- 35 The key activity in the development of guidance material work is the preparation of records management indicators. The aim is to produce a tool that defines internationally recognised good practices on the management of electronic records and provides a related set of performance indicators that can be used to measure whether good practices are being followed. The tool will assess performance in the following areas: the framework of laws, policies, accountability, governance, strategies, and evaluation mechanisms that must be in place to ensure effective integration of records management in ICT systems; the integration of recordkeeping in ICT systems during the phases of the systems development life cycle; and the capability of ICT systems to meet recordkeeping requirements. A working set of draft indicators has been prepared, and an outline was presented to project stakeholders at the meeting in South Africa.

### **Activity 10 Meeting for Regional Stakeholders**

- 36 Between 14 and 16 April 2008, 60 participants from 13 countries in east and southern Africa participated in a conference 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 and national archivists and other government records staff. A list of participants is at Attachment A.



Delegates at the Stakeholders Meeting, Pretoria, South Africa

- 37 The Chief Executive Officer of the East and Southern Africa Association of Accountants General (ESAAG) and the President of Eastern and Southern Africa Regional Branch of the International Council on Archives (ESARBICA) attended the meeting. ESAAG and ESARBICA are partners in the project and have played a valuable role in supporting the research and ensuring the development of relevant and useful deliverables.
- 38 Sessions were presented on global electronic recordkeeping issues, developments in financial management information systems, the project's 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. 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. Resolutions were passed, and there is a copy is at Appendix E.



Session given by Gert van der Linde, Lead Financial Management Specialist Africa, World Bank on the second day of the Stakeholders meeting, Pretoria, South Africa

### **Activity 13 Steering Committee Meetings and Meetings with International Organisations**

- 39 The second Steering Committee meeting was held on 8 November 2007; the final Steering Committee meeting for the project will take place on 10 July 2008. At the November meeting, the Committee provided useful input into current thinking on performance indicators and advised on the possible direction and form of records management indicators.
- 40 Ongoing contact continued between the Project Director, the Project Manager and officials at the International Council on Archives (ICA) Secretariat in Paris. In November 2007, the Project Director and the Editor for the training modules held discussions with key ICA stakeholders and members of regional branches, including

the President of the East and Southern Africa Regional Branch, in Quebec City, Canada. In April 2008, the Director met the incoming Secretary General of the ICA in London. The Trust has always had a close working relationship with the ICA, and the current activities of both organisations coincide, particularly on strategies for electronic records management, training and education issues as well as enhancing the role of records and archives professionals. There is a great deal of scope for ongoing future collaboration.

- 41 The regional stakeholders' meeting in South Africa provided an opportunity to meet with information management professionals at the Nelson Mandela Foundation in Johannesburg. The Director and the Project Manager also met with the ESARBICA Board and with representatives of several training bodies. These sessions provided a valuable insight into records and archives activities in eastern and southern Africa and their relationship to development in the region.
- 42 The Project Director visited the World Bank in May and October 2007 to hold discussions with Bank staff about records management in relation to the latest trends in development thinking. She gave a presentation to World Bank and International Monetary Fund officials on the relevance of managing financial records for integrated financial management information systems. The Project Manager joined the meetings in May 2007 when he travelled to Washington for the Steering Committee Meeting. He also spent time consulting senior staff at the National Archives and Records Administration of the United States.
- 43 The Project Director visited the International Development Research Centre in August and October 2007 to discuss the implications of records management for information technology and anti-corruption initiatives.

### LIST OF PEOPLE CONSULTED

#### Participants in the Stakeholders Meeting by Videoconference June 2007

##### **GHANA**

Mr Christian T Sottie, Controller and Accountant General  
Mr George Winful (on behalf of Mr Eduard Agyeman, Auditor General)  
Mr Samuel Antwi-Gyekye, Assistant Computer Programmer, Office of the Head of the Civil Service (on behalf of Mr Joe Issachar, Head of the Civil Service)

##### **SIERRA LEONE**

Mr Albert Moore, Senior Archivist and Records Manager, Sierra Leone  
Mr Muniru Kawa, Consultant, International Records Management Trust  
Ms Nicola Smithers, Project Steering Committee Member and Public Sector Specialist, Africa Region, World Bank (observer)  
Mr Tony Bennett, Public Financial Management Adviser, DFID (observer)  
Mr Stephen Catchpole, HRMO Project Team Leader, Public Administration International (observer)

##### **TANZANIA**

Mr Priscus Kiwango, Acting Director, Management Information Systems, President's Office Public Service Management  
Mr Ernest N Kabohola, Senior Administrative Officer, Office of the Controller and Auditor General (on behalf of Mr Ludovick SL Utouh, Controller and Auditor General)  
Ms Denyse Morin, Senior Public Sector Specialist, Public Sector Reform and Capacity Building, World Bank (observer)

##### **ZAMBIA**

Mr Mike B Goma, Accountant General, Ministry of Finance  
Ms Cathy Mkala Director, Human Resource Information and Planning, Public Service Management Division  
Mr Sanford Sekelechi Assistant Director, Records Management Systems and Policy Development  
Mrs Chileshe Lusale-Musukuma, Acting Director, National Archives

##### **UNITED KINGDOM**

Mr Stephen Sharples, Chair of the Project's Steering Committee, Senior Governance Adviser,

Africa Policy Department, DFID (observer)

Participants Attending the East and Southern African Regional Meeting of Stakeholders on Recordkeeping in the Digital Environment: 'New Findings in Pay and Personnel Information Management', Pretoria, South Africa, April 2008

**ANGOLA**

Mr Helder Baptista Antunes, Acting Deputy Director (INAM)

Mrs Teresa Graciete Evangelista, Acting Deputy of Training and HR (INAM)

Mrs Maria Alexandra Miranda Aparicio, Senior Archivist, National Historic Archives of Angola

Mr Honore Mbonga, Senior Researcher - National Historic Archives of Angola

**BOTSWANA**

Mr Moagi Baleseng, Chief Systems Analyst, Office of the President

Mr Bethuel Moreme, HR Information Systems Manager, Directorate of Public Service Management

Ms Kelebogile Kgabi, Director, Botswana National Archives and Records

Professor Nathan Mwakoshi Mnjama, Senior Lecturer, University of Botswana

**KENYA**

Mr Julius Musyimi Kilinda, Accountant General

Mr Justus Ongera, Senior Auditor ICT

Mr Lawrence I Mwangi, Director, National Archives

Mr Richard Wato, National Archives and Secretary General of ESARBICA

**LESOTHO**

Ms Thato Masiloane, Deputy Principal Secretary

Mrs Pinkie Masita Mohale, Director of Information

Ms Nthabeleng Sefako, Director of information Systems

**MALAWI**

Mr George Norwin Banda, Chief Accountant General

Mr Isaac Saulosi Zimba Bondo, Director of Management Services, Department of Human Resource Management

Mr Paul Lihoma, Director, National Archives

## **MOZAMBIQUE**

Mr João Sebastião Ambrósio Metambo, Director of ICTS  
Mr Adriana Albertina Jacob, Director Human Resources  
Mr Santos Francisco Jaieie, National Documentation and Information Centre (CEDIMO)  
Mr Joel Maurício das Neves Tembe, Director, Arquivo Historico de Mocambique

## **NAMIBIA**

Mr Karel Nel, Chief Systems Administrator Public Service (EDRMS)  
Mr Rathwynn Clarens Feris, Chief Programming Systems Advisor (EDRMS)  
Mr Werner Hillebrecht, Director, National Archives

## **SOUTH AFRICA**

Ms Tshavhu Mukhodobwane, Chief Information Officer  
Ms Nadia Carolissen, SAMDI - Manager of Research  
Mr Graham A. Dominy, Director, National Archives  
Ms Mandy Gilder, Deputy National Archivist  
Mr Clive Kirkwood, Deputy Director: Records Management and Information Systems

Mr Cosmas S Lamosai, Chief Executive Officer, ESAAG  
Mr Gert Van Der Linde, Lead Financial Management Specialist Africa, World Bank

## **SWAZILAND**

Ms Khabonina Mabuza, Accountant General,  
Mr Goodwill Matsebula, Ministry of Public Service and Information  
Mrs Kholekile F. Mthethwa, Director, National Archives  
Ms Zodwa Simelane, Archivist, National Archives

## **TANZANIA**

Mr Emmanuel Jerome Mlay, Assistant Director, Personnel and Information Systems  
Mr Athanas Pius, Assistant Auditor General  
Mr Peter Mlyansi, Director, National Archives and President ESARBICA

Mr Joseph Rugumyamheto, Trustee

## **Zanzibar**

Mr Salum Maulid Salum, Deputy Principal Secretary, President Office  
Ms Mwanaidi S. Abdalla, Deputy Principal Secretary, Ministry of Education and Vocational Training  
Mr Hamad H. Omar, Director, Archives and Museums



## **UGANDA**

Mr Deogratiou Kizit, Commissioner, Records and Information Management  
Ms Savia Mugwanya, Assistant Commissioner, Payroll Management  
Mr Alex Ajum Okello, Government Archivist

## **ZAMBIA**

Mr Edson Nachimwenda, Cabinet Office  
Mrs Chileshe Lombe Lusale-Musukuma, Director, National Archives

## **ZIMBABWE**

Mrs Judith Madzorera, Accountant General  
Mr Simon Cosmas Chigwamba, Director, Central Computing Services  
Mr Dunmore Maboreke, Acting Chief Archivist

## **Stakeholders Consulted During Case Studies**

### **STATE GOVERNMENT OF KARNATAKA, INDIA**

#### *Chief Secretary, Karnataka Public Service*

Sri. Pralhad B Mahishi, Chief Secretary

#### *Department of Personnel and Administrative Reforms*

Smt. Geetha Ramesh, Deputy Secretary, Administrative Reforms

#### *Public Service Commission*

Dr H V Parshwanath, Secretary  
Sri. K. Anil Kumar, Deputy Secretary  
Sri. M N Gururaja Rao, Assistant Secretary (Administration)  
Sri. Mahest M. Nadugeri, Senior Programmer, Computer Section

#### *Department of Treasuries*

Sri. Purushotham Singh, Assistant Director, Treasury Network Management Centre  
Sri. Nanda Gopal, Senior Database Administrator, Treasury Network Management Centre

#### *Department of Education*

T.M. Vijay Bhaskar, Secretary, Primary and Secondary Education, Education Department

***E-Governance Secretariat***

Smt. G Sathyavathi, Joint Secretary  
Sri. Shiva Rudraiah VS, Project Officer, Bhoomi Monitoring Cell,  
Sri. Elisha Andrews, Tahsildar, Bhoomi Monitoring Cell  
Smt. Shylaja Priadarshini, Tahsildar, Bhoomi Monitoring Cell  
Sri. Gurumurtha, Deputy Tahsildar, Bhoomi Monitoring Cell  
Sri. P.S. Kantharaj, Tahsildar, Bhoomi Kiosk Centre, Mysore District  
Sri. Anand, Deputy Tahsildar, Bhoomi Kiosk Centre, Mysore District

***National Informatics Centre, Ministry of Communications & Information Technology***

Sri. A Venkatesan, Senior Technical Director and State Informatics Officer  
Sri. V. Mahadesha, Team Leader, e-Gov Network Groups, Software Technology Parks of India (STPI)

***Citizens Service Centre, Mysore City Corporation***

Sri. Nanjunda Swamy, Statistical Officer

***Karnataka State Archives***

Dr Usha Suresh, Director  
Sri. Ranjendra Prasad, PA to Director  
Sri. J E Mallikarjunappa, Administrative Officer  
Dr Ambijakshi, Archivist, Historical Records Section,  
Sri. Swamy, Assistant Archivist, General Records Section  
Sri. K N Naveen Kumar, Consultant, Indigo Information Systems  
Sri. Gavisiddaiah, Archivist in Charge, Divisional Archives, Mysore

***Department of Archaeology, Museums and Heritage, Mysore***

Dr G V Gayathri, Deputy Director

***Natural History Museum, Mysore***

Dr B Venugopal, Scientist in Charge

**GOVERNMENT OF SIERRA LEONE**

***Public Service Reform Unit, Governance Reform Secretariat***

CB Osho Coker, Coordinator of Public Service Reform

***Office of the President***

Dr Julius Sandi, Senior Assistant Secretary to the Secretary to the President

***Public Archives Department***

Sufian Cole, Acting Head of Records Management Improvement Team and Team Members

***Establishment Secretary's Office***

A C Ngaujah, Acting Establishment Secretary  
Mrs Avril Cummings, Deputy Establishment Secretary I  
Ansu Samuel Tucker, Deputy Establishment Secretary II  
F E Keita, Secretary Training and Recruitment  
Charles Ashley, Records Officer  
Joseph Sesay, Administrative Officer, Records  
Mrs Fatmata Kabba, Staff Superintendent

***Accountant General's Office***

Cyprian Kamaray, Accountant General  
Kebbe Kouroma, Deputy Accountant General  
Fanta Lamin, Records Officer

***Institutional Reform and Capacity Building Project: Public Financial Management Reform Unit***

Vidal Paul-Coker, Financial Management Specialist

***Ministry of Agriculture, Forestry and Food Security***

Mohamed A Nallo, Permanent Secretary

***Ministry of Health and Sanitation***

Kai Moses Kpakiwa, Permanent Secretary

***Ministry of Education and Technology***

TR Gbetuwa, Deputy Secretary  
Mrs G N B Leigh, Personnel Manager, and records staff

***Auditor General's Office***

Mrs Anna Ceaser, Auditor General  
Mr Leslie Johnson, Deputy Auditor General  
J Syl-Bauns, Deputy Auditor General

***Public Service Commission***

NU Elba, Secretary to the PSC

**GOVERNMENT OF BOTSWANA**

***Ministry of Lands and Housing***

Mr George Mutale, IT Manager  
Mr Oduetse Tshukudu, Records Manager

***Department of Lands***

Mrs Karakubis, Principal Lands Officer  
Mrs Molly Nonkonyane, Records Assistant

***Department of Land Board Services***

Mr Ketlhoilwe Ketlhoilwe, Senior Systems Analyst  
Mrs Josephine Kandjii, Principal Records Officer  
Mr Kebaabetswe Rammilong, Records Officer

***Department of Town and Regional Planning***

Mr Lord Vasco, Principal Planner, Research

***Land Boards***

Mrs Monageng, Acting Deputy Land Board Secretary, Kweneng Land Board  
Mrs Rosihah, Mokhange, former Records Officer, Ngwato Land Board  
Mrs Julia Monkutlwatsi, former Records Officer, Ngwato Land Board

*University of Botswana*

Dr Kgomotso Moahi, Head, Department of Library and Information Studies  
Professor Nathan Mnjama, Senior Lecturer, Department of Library and Information Studies  
Dr Segomotso Keakopa, Lecturer, Department of Library and Information Studies

*National Archives*

Ms Kelebogile Kgabi, Director  
Mr Kago Ramokate, Deputy Director  
Ms Linda Magula, Principal Archivist  
Ms Lorato Motsaathebe, Assistant Records Manager

**Progress Against  
Logical Framework**

<b>Project Summary</b>	<b>Measurable Indicators</b>	<b>Means of Verification</b>	<b>Assumptions and Risks</b>	<b>Comments</b>
1 A toolkit is developed to enable data collection as a basis for developing records management indicators and designing good practice materials.	1.1 The methodology and toolkit are distributed to team members and form the basis of the training for the research team.	1.1 The tool kit is available on the Internet.	1.1 A research methodology can be developed that results in meaningful data collection linked to development objectives and indicators.	1.1 Completed  1.2 Toolkit posted to website.
2 Senior stakeholders in east and southern Africa hold a two day planning meeting on the nature of the research and the best means of maximising its value.	2.1 Eighteen stakeholders from the six participating African countries meet for a two day planning meeting in Tanzania (tbc) facilitated by four members of the research team and with inputs from two subject specialists.	2.1 Briefing papers, a record of the proceedings of the meeting and materials presented are available on the project website and described in project reports.	2.1 Stakeholders attend and participate actively in the meeting.	2.1 Meeting rescheduled to take place after completion of case studies and development of draft deliverables. This meeting took place in April 2008 (see Activity 10 below)
3 The research team and assistants are trained in methodology and data collection in a two day training workshop.	3.1 A training programme is prepared. Research team members (four senior researchers and 12 research assistants) are trained over 2 days in data collection and research methodology in Tanzania (tbc)	3.1 The training programme is available on the Internet.	3.1 The training workshop takes account of local realities and international accountability concerns.	3.1 Research assistants trained during case study visits.

<b>Project Summary</b>	<b>Measurable Indicators</b>	<b>Means of Verification</b>	<b>Assumptions and Risks</b>	<b>Comments</b>
<p>4 Case studies are carried out in Africa and an overview report is prepared.</p>	<p>4.1 Seven case studies are conducted in east and southern Africa and one in West Africa and are used as a development resource for reference and teaching purposes. Each study involves three weeks field research by two senior researchers and two research assistants (countries to be agreed with DFID and partner organisations).</p>	<p>4.1 Case studies are available on the Internet.</p>	<p>4.1 Government officials contribute effectively to the case studies.</p>	<p>4.1 Reaching agreement on which countries would participate in the project took longer than expected but has been achieved.</p> <p>4.2 Case studies have been largely completed (Lesotho, Ghana, Zambia and Tanzania) and are being reviewed. It became clear that one visit to each country was not enough to gather the information required, and it was agreed with the Project Officer and the Chair of the Steering Committee that two visits should be made to most of the case study countries. Information from Sierra Leone is being brought together into a study. Comparative research on land information systems in Botswana was undertaken in April 2008.</p> <p>4.3 Case study reports will</p>



<b>Project Summary</b>	<b>Measurable Indicators</b>	<b>Means of Verification</b>	<b>Assumptions and Risks</b>	<b>Comments</b>
				be made available on the website following approval of host countries.
5 Case study findings are exchanged and compared between the participating countries.	<p>5.1 A video conference is held, in two four-hour sessions, to enable up to ten stakeholders from each participating country to examine and compare the case study findings.</p> <p>5.2 A facilitated three-week electronic discussion is conducted to debate and disseminate the findings.</p>	<p>5.1 The programme, list of participants and proceedings of the video conference are available on the Internet.</p> <p>5.2 Summaries of the electronic discussion are available on the internet</p>	5.1 Technical facilities are available to support videoconference and electronic discussions (World Bank Institute Global Distance Learning Network or DFID). Stakeholders participate actively in the sessions.	<p>5.1 A video conference of stakeholders took place on 13 June. The Conference linked senior government officials in Accra, Dar es Salaam and Lusaka with DFID and World Bank staff as well as project team members in Washington, London and Freetown. A summary of discussions have been posted to the Internet.</p> <p>5.2 It was decided that the objectives could be best achieved through direct meetings with stakeholders and through the stakeholders' video conference. Stakeholders felt that an electronic discussion would not be helpful at this stage.</p>
6 Comparative case	6.1 Two studies are	6.1 Case studies are	6.1 Government officials	6.1 The case study in

<b>Project Summary</b>	<b>Measurable Indicators</b>	<b>Means of Verification</b>	<b>Assumptions and Risks</b>	<b>Comments</b>
studies are carried out in Asia.	conducted (countries to be agreed with DFID).	available on the Internet.	contribute effectively to the case studies.	Karnataka State, India was successfully undertaken in May. The report is currently being reviewed.
7 A route map for making the transition to managing electronic information is developed and peer reviewed.	7.1 Five senior researchers, one resource person and one educator attend a six-day planning meeting to prepare a route map strategy for moving from paper-based to electronic information environment and define good practice and capacity building materials required to support it.	7.1 The route map is accessible on the Internet	7.1 The Project Team is able to synthesise international and regional research findings and other experience to agree clear stages and milestones for the transition to managing records in an electronic environment	7.1 Project team members, educators and other records professionals developed a draft route map in July 2007 during a meeting in Gaborone, Botswana. This map will be reviewed and enhanced as the development of the other deliverables occurs.
8 Good practice guidance materials, including records management indicators are developed and peer reviewed.	8.1 A set of at least five good practice documents are produced and are used in government agencies and training agencies, covering such subjects as: <ul style="list-style-type: none"> <li>◇ laws and policies</li> <li>◇ staff responsibility and accountability</li> <li>◇ effective standards and practices</li> <li>◇ staff capacities</li> </ul>	8.1 The good practice guidance materials are available on the Internet with a high number of downloads.	8.1 The Project Team is able to synthesise international good practice and local requirements.	8.1 Decision taken to concentrate on recordkeeping performance indicators that will harmonise with international performance indicators. These are under development.

<b>Project Summary</b>	<b>Measurable Indicators</b>	<b>Means of Verification</b>	<b>Assumptions and Risks</b>	<b>Comments</b>
	<ul style="list-style-type: none"> <li>◇ budget requirements</li> </ul>			
9 Training modules are developed for use in training institutions and peer reviewed.	<p>9.1 Four capacity building modules are produced and are used regularly by educators and national records and archives institutions covering subjects including:</p> <ul style="list-style-type: none"> <li>◇ mapping information flows to key government functions</li> <li>◇ managing electronic records</li> <li>◇ preserving digital records</li> <li>◇ managing records in relation to public sector development</li> </ul>	9.1 The training modules are available free of charge on the Internet, with a high number of downloads.	9.1 The project team is able to synthesise international good practice and local requirements; international and regional partners support the active dissemination of the materials and raise awareness of their availability and applicability.	9.1 An initial list of modules and draft content was prepared during the meeting of educators and other records professionals meeting in Gaborone, Botswana. Drafts of five modules are under development.
10 The findings and outputs are presented to regional stakeholders.	10.1 Thirty senior stakeholders from the six participating African countries attend a two-day review meeting facilitated by the five senior researchers.	10.1 A resource pack developed for the meeting is available on the Internet.	10.1 Participation is at a sufficiently high level to make an impact on governance strategies.	10.1 The meeting was combined with Activities 2 and 11. In April 2008 sixty senior officials from eastern and southern Africa met for a two day meeting in Pretoria, South Africa. Sessions on current developments on electronic records and effective

<b>Project Summary</b>	<b>Measurable Indicators</b>	<b>Means of Verification</b>	<b>Assumptions and Risks</b>	<b>Comments</b>
				financial management were presented. The meeting discussed current developments in personnel and payroll and the need for effective recordkeeping.
11 One day national workshops are delivered to widen stakeholder involvement in the participating African countries.	11.1 Up to 20 senior government officials attend a one-day seminar in each of the six participating African countries. One member of the research team travels to each country to facilitate the workshops.	11.1 Reports of the meetings are available on the Internet.	11.1 Governments are prepared to endorse the seminars.	Stakeholders advised that it would be most effective to hold one high profile regional stakeholders; meeting, so this activity was combined with Activity 10.
12 Products are linked to RMCAS and disseminated widely.	12.1 The products are linked to the RMCAS analytic matrix, added to the capacity materials database and added to the capacity materials database.	12.1 An updated version of RMCAS is available without charge on the Internet.	12.2 The project outputs can be mapped to the existing capacity assessment system.	This activity awaits completion of the training materials.
13 Steering Committee meetings and meetings with	13.1 One Steering Committee meeting will be conducted annually by	13.1 Reports of the meetings will be available on the Internet	13.1 Steering Committee members are available to participate in the meetings;	13.1 The second Steering Committee meeting was held in November 2007.

<b>Project Summary</b>	<b>Measurable Indicators</b>	<b>Means of Verification</b>	<b>Assumptions and Risks</b>	<b>Comments</b>
international organisations will be held annually to ensure relevance of the outputs and effective support and buy-in by stakeholders.	video conference for up to ten Steering Committee members; Project Director will travel internationally to visit at least ten partner and international organisations or governments annually.		meetings can be arranged with international organisations.	Other meeting have been undertaken with officials at the World Bank, the International Council on Archives and its East and Southern African Regional Branch, with the East and Southern African Regional Association of Accountants General and with the International Development Research Centre.
14 Project Management	14.1 Progress will be monitored regularly against the log frame and milestones	14.1 Activities are carried out in consultation with officials at DFID including budget management and reporting. Briefing papers, notes of meetings and reports are prepared and made available.	14.1 The project team is in place and available to undertake these activities.	14.1 Regular consultations have taken place with the Chair of the Steering Committee and with the Central Research Project Officer (although logistical constraints meant that these meetings took place less often than hoped). Discussions with DFID have helped insure that the budget was used in an appropriate manner, in keeping with the inevitable changes on the ground (for instance riots in Kenya in early 2008). Briefing

Project Summary	Measurable Indicators	Means of Verification	Assumptions and Risks	Comments
				papers and reports have been distributed regularly to the Steering Committee, the Project Management Team and DFID. Both the Steering Committee and the Project Team member have provided valuable inputs continuously throughout the project.

# Terms of Reference for Case Study

## Karnataka State, India

**Research Project: Building Integrity in Public Sector Information Systems  
in the ICT Environment**

**14 May to 1 June 2007**

**Visit by Michael Hoyle and Andrew Griffin**

- 1 Review the Toolkit.
- 2 Liaise with Karnataka State to brief them on the project, identify key stakeholders and possible research assistant(s). Conduct training on research methodology as required.
- 3 Liaise with any staff member sent from the UK National Archives.
- 4 Using the questions set out in Appendix A of the Tool Kit to guide the process consult senior officials at:
  - Department of Personnel and Administrative Reforms
  - Directorate of Treasuries
  - Karnataka Public Service Commission
  - National Informatics Centre
  - ministry responsible for E Government
  - officials responsible for the Bhoomi land registration system, Khajane financial management system and any human resource information system
  - senior officials responsible for Human Resources in ministries with responsibilities for agriculture, health and education (including teachers)
  - All provided contacts.
- 5 Conduct a high-level analysis of the flow of information in the areas of human resource and financial management with the aim of gaining a better understanding of records in relation to pay and personnel management. Learn as much as possible about the strengths and weakness of the records control systems involved. Indicate the categories

- 6 Work with relevant government stakeholders, to randomly sample records of 50 employees to obtain indicative figures on the quality of payroll information and personnel records. Identify key records as described in Chapter Four of the Tool kit (application for employment, letter of appointment, employee's acceptance of employment, medical certificate or statement confirming fitness for employment, certificates or proof of education required for appointment) and create the verification matrix as described in the Chapter.
- 7 If considered desirable (and time permits), organise a trip to Delhi to liaise with the National Archives, National Informatics Centre and government officials responsible for any human resource information systems and other computerized systems.
- 8 Prepare notes for the interim case study report and submit them to the Project Manager.



# Terms of Reference for Case Study Botswana

## Research Project: Building Integrity in Public Sector Information Systems in the ICT Environment

21 April – 9 May 2008  
Michael Hoyle and Peter Sebina

- 9 Liaise with the National Archivist, the Department of Lands the Department of Land Board Services in Botswana to brief them on the project and to other identify key stakeholders.
- 10 Conduct interviews and documentary research to collect qualitative information about:
  - land tenure management
  - land records management system
  - land information systems
- 11 Consult officials at the:
  - Ministry of Lands and Housing
  - Department of Lands
  - Department of Land Boards Services
  - Deeds registry
  - Sampled Land Boards
  - Land Tribunal
  - Attorney General's Chambers.
- 12 Conduct a high-level analysis of the flow of information in land records and information management. Learn as much as possible about the strengths and weakness of the records control systems involved. Indicate the categories of information covered and create a flow chart illustrating the information flows.
- 13 Assess relationships between manual and electronic records and if possible randomly sample records to obtain indicative figures on the quality land information and records.

14 Prepare notes for the case study report and for the deliverables.

### Outline of Electronic Records Training Modules

#### MODULE 1

##### **Understanding the Context of Electronic Records Management**

###### **Unit 1.1: Understanding Electronic Records Concepts and Terminology**

An introduction to key terms and concepts critical to successful ERM, and an overview of the importance of, and challenges of, making the transition to an ERM environment.

###### **Unit 1.2: Examining the Opportunities and Challenges of Electronic Records Management**

A discussion of the benefits of electronic records management, including widespread access, flexibility of use, increased efficiency and effectiveness, economic benefits and increased auditing capabilities, followed by a discussion of the difficulties posed by electronic records, including technological obsolescence, increasing organisational dependence on technology, concerns about reliability and authenticity, security and privacy issues, maintenance costs and the development of individual approaches to records creation and care.

###### **Unit 1.3: Understanding the Technological Context of Electronic Records Management**

An examination of the technological features that distinguish electronic records from the paper records environment, including consideration of the components of electronic information systems, the place of records in those information systems, the concept of information architecture, the changing software environment, the role of technological standards to support electronic record keeping, and the importance of being aware of changing technological issues and developments.

###### **Unit 1.4: Understanding the Organisational Context of Electronic Records Management**

A discussion of organisational issues relevant to ERM, including the business context for records management, the legal and regulatory environment and the role of organisational standards, policies and business rules.

#### MODULE 2

##### **Planning and Managing an Electronic Records Management Programme**

**Unit 2.1: Developing a Business Case for Improved Electronic Records Management**

An examination of the importance of developing a business case and the steps involved, including conducting a needs assessment, examining options for action, identifying system requirements, outlining the benefits, examining costs, presenting recommendations.

**Unit 2.2: Planning an Electronic Records Management Project**

An overview of the steps involved in planning an ERM project, including defining aims and objectives, defining the scope, determining deliverables, identifying project personnel, establishing communications, ensuring quality control, preparing documentation and establishing evaluation procedures.

**Unit 2.3: Developing an Electronic Records Management Policy**

An overview of the key components of an ERM policy, including discussion of the purpose and scope of an ERM policy and the importance of a policy statement, and examples of effective policy structures.

**Unit 2.4: Advocating Effective Electronic Records Management**

A discussion of the importance of advocating for quality ERM programmes, including consideration of why electronic records management is important, the need to develop formal advocacy strategies, and the options for carrying out ERM advocacy before, during, and after the development of electronic records systems.

**Unit 2.5: Managing Organisational Change**

A discussion of the impact of ERM on organisations and the need to manage organisational change. Includes an examination of the role of communications, training, monitoring and auditing to supporting effective change.

## **MODULE 3**

### **Managing the Creation, Use and Disposition of Electronic Records**

**Unit 3.1: Developing Classification Schemes for Electronic Records**

An examination of the need for structured classification schemes and an introduction to the nature and scope of functional classification.

**Unit 3.2: Creating and Using Electronic Records**

An overview of key actions that can be taken to manage the creation and use of electronic records so that they remain effective, reliable, and authentic, including standardisation of processes for creation, naming, filing, retrieval and so on.

### **Unit 3.3: Appraising and Disposing of Electronic Records**

Consideration of the concepts of appraisal and disposal and discussion of the importance of appraisal policies, followed by a review of the key steps involved in carrying out appraisal and disposal activities, including identifying responsibilities, documenting processes, conducting research, carrying out an assessment, confirming appraisal assessment and implementing appraisal and disposal decisions.

### **Unit 3.4: Providing Access to Electronic Records**

An examination of important access issues related to electronic records, including concepts and principles of access, the importance of addressing regulatory and legal issues (such as security, access, and privacy legislation) when providing access to electronic records and the need for formal access policies and procedures.

### **Unit 3.5: Selecting and Implementing ERM Software Systems**

An introduction to important issues to consider when considering whether and how to implement ERM software systems, including an overview of: the need for business requirements, considerations in selecting a vendor, determining the RFP process, questions to ask when selecting software, planning the rollout and implementation of a new system and evaluating and monitoring the system once it is operational.

## **MODULE 4**

### **Preserving Electronic Records**

#### **Unit 4.1: Understanding Preservation Issues and Strategies**

A discussion of key issues involved in the preservation of electronic records, including determining which records should be preserved, how they should be preserved, the challenges and opportunities of digital preservation and the different preservation strategies available.

#### **Unit 4.2: Developing and Implementing a Preservation Policy**

An overview of specific issues involved with developing preservation policies, including consideration of the preservation cycle, the differences between passive and active preservation, and the questions to ask when determining a preservation policy.

#### **Unit 4.3: Understanding New Developments in Electronic Records Preservation**

A look at future directions in ERM and electronic records preservation, including an examination of developments in data storage, changing tools for digital preservation, the emergence of digital repositories and changing international standards for electronic records care.

#### **Unit 4.4: An Introduction to the Concept of a Digital Repository**

An outline of some of the issues involved with digital repositories, a new approach to electronic records management, including: defining a trusted digital repository, presenting a best-practice model for a trusted digital repository, discussing implementation issues surrounding digital repositories and examining some of the functionalities of electronic repositories and registries.

## **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**

A discussion of the characteristics of personnel records, the legal framework for managing personnel records, the impact of computerisation on personnel records, issues related to technology and record keeping and issues related to sharing and communicating personnel information.

#### **Unit 5.2: Understanding the Relationship between Human Resource Management Functions and Records**

An examination of human resource management functions and human resource planning, monitoring and policy development, and a discussion of records issues related to: recruitment; appointments; performance appraisals; education, training and staff development; promotions; transfers; disciplinary proceedings; attendance and leave; separation from the public service; pensions; and pay and allowances.

#### **Unit 5.3: Understanding the Different Types of Personnel Records**

An overview of different types of personnel records, including: policy and subject files; personnel files; master files; working files; data input sheets; and HRIS-generated records.

#### **Unit 5.4: Managing Personnel Records and Personnel Files**

An analysis of best practice in the management of personnel records and files, including discussion of: file covers; arrangement of files and numbering systems; registers and indexes; receipt of new documents; access; preparing active personnel files for transfer; closure of files; appraisal and disposal; and file storage.

#### **Unit 5.5: Improving Personnel Record Keeping Systems**

A discussion of steps that can be taken to improve personnel record keeping, including dealing with collapsed record keeping systems, verifying data and monitoring data quality, recreating personnel files and digitising paper records.

## **Unit 5.6: Moving to Electronic Personnel Record Keeping**

Consideration of the potential of technology to change human resources information management, issues related to implementing a HRIS, and record keeping requirements related to HRIS.

### Draft Recordkeeping Indicators and Assessment Tool

#### An Assessment Tool for Recordkeeping in ICT Systems

##### *The Challenge for Governments*

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.

Many government operations that traditionally depended on paper have become partially or wholly automated. As governments migrate to an on-line environment, records in electronic form will be the basis for conducting business, serving the public, measuring progress and outcomes, and protecting their own and others' rights.

ICTs are making significant contributions to improving government programmes and services, achieving development goals and advancing e-government strategies. In too many cases, however, these technologies are introduced without the essential processes and controls for the capture, organisation, long-term safeguarding and accessibility of electronic records.

The lack of recordkeeping capacity in ICT systems is seriously eroding the ability of governments to deliver their programs and services and achieve their strategic priorities, especially those connected with e-government and development initiatives. Above all it undermines the ability of civil servants and citizens alike to trust the information generated by government ICT systems.

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 has developed 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 found 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.

### **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 centres 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.

## Appendix G

### Summary of Project Budget Expenditure for April 2007 – April 2008

Activity	Original Budget		Revised Budget (Dec 07)		Expenditure Financial yr 05/06		Expenditure Financial Yr 06/07		Expenditure Financial Yr 07/08		Balance Remaining	
	Exp	Fees	Exp	Fees	Exp	Fees	Exp	Fees	Exp	Fees	Exp	Fees
1. Design research methodology	0	4,500	0	4,500	0	4,000	0	800	0	0	0	-300
2. Conduct a 2-day planning meeting	20,180	4,000	20,180	4,000	0	4,400	0	0	11,725	0	8,455	-400
3. Deliver 2-day training workshop	13,200	4,080	0	1,200	0	0	0	1,200	0	0	0	0
4. Conduct 8 baseline case studies in Africa	52,320	110,400	29,435	104,200	0	0	27,095	90,000	2,340	14,200	0	0
5. Exchange and compare the findings	16,900	800	1,795	0	0	0	0	0	1,795	0	0	0
6. Conduct 2 baseline case studies in Asia	14,280	18,200	6,305	11,300	0	0	0	2,000	6,305	9,300	0	0
7. Define a route map and indicators	13,400	22,450	11,399	18,050	0	0	0	0	11,399	18,050	0	0
8. Define, develop good practice guidance materials	500	8,900	0	8,000	0	0	0	8,000	0	0	0	0
9. Create four core training modules	1,000	51,000	135,746		0	0	0	40,400	4,781	85,100	5,465	
10. Present project findings at 2-day review meeting	27,840	3,600	27,840	3,600	0	0	0	0	19,698	0	8,142	3,600
11. Facilitate 1-day national workshops in Africa	6,440	3,600	6,440	3,600	0	0	0	0	0	0	6,440	3,600
12. Link products to RMCAS, ...liaise/ disseminate materials	2,000	4,000	2,000	4,000	0	0	0	0	0	0	2,000	4,000
13. Facilitate Steering Committee meetings	21,900	19,600	21,900	19,600	0	800	3,955	7,800	3,762	7,200	14,183	3,800
14. Core Team Costs, Project Management, Oversight etc	9,300	224,130	9,300	224,130	450	11,245	3,750	89,975	3,450	83,145	1,650	39,765
<b>Total Expenses / Fees</b>	<b>199,260</b>	<b>479,260</b>	<b>137,594</b>	<b>540,926</b>	<b>450</b>	<b>20,445</b>	<b>34,800</b>	<b>240,175</b>	<b>65,255</b>	<b>216,995</b>	<b>41,870</b>	<b>58,530</b>
<b>Total Project Costs</b>	<b>£678,520</b>		<b>£678,520</b>		<b>£20,895</b>		<b>£274,975</b>		<b>£282,250</b>		<b>£100,400</b>	