

*IRMT Fostering Trust and Transparency in Governance
Schedule for Botswana Forum*

20 July 2007 / LM

	Monday 16 July	Tuesday 17 July	Wednesday 18 July	Thursday 19 July	Friday 20 July
Morning activities and topics	<ul style="list-style-type: none"> formal welcome to team participants discussion of goals and objectives for meeting discussion of project work to date (case studies and additional research) 	<ul style="list-style-type: none"> discussion of topics and content breakout groups to review topics and content for general and personnel materials 	<ul style="list-style-type: none"> Discussion of route map What is a route map, what is the vision for this route map, what is its purpose and use? Who are the audience(s) for the products? 	<ul style="list-style-type: none"> Continued analysis of topics and content 	<ul style="list-style-type: none"> Analysis of format, structure, and delivery method(s) for final products Analysis of the concept of indicators and relationship to route map Mapping route map to educational, training and guidance materials
Lunch break					
Afternoon activities and topics	<ul style="list-style-type: none"> overview of the <i>Discussion Paper</i> discussion of the vision and preferred outcomes – what are we trying to achieve? Who are the audience(s) for the products? 	<ul style="list-style-type: none"> Continued discussion in breakout groups about topics and content 	<ul style="list-style-type: none"> Continued work on the route map Continued discussion of topics and content Work in breakout groups 	<ul style="list-style-type: none"> Discussion of potential guidance materials 	<ul style="list-style-type: none"> creation of master plan identifying agreed deliverables, audience, delivery method, deadlines, etc. identification of possible contributors for the different proposed deliverables where to go next: responsibility, time frames and deadlines; resources required
Goal for the day	General identification of vision, outcomes, audiences, key issues for deliverables	Definition of the different themes, topics, and content (partial completion)	Drafting of route map, continued drafting of topics and content	Completed vision of themes and topics, guidance materials, and route map	Confirmation of route map, deliverables, next steps, actions, and responsibilities

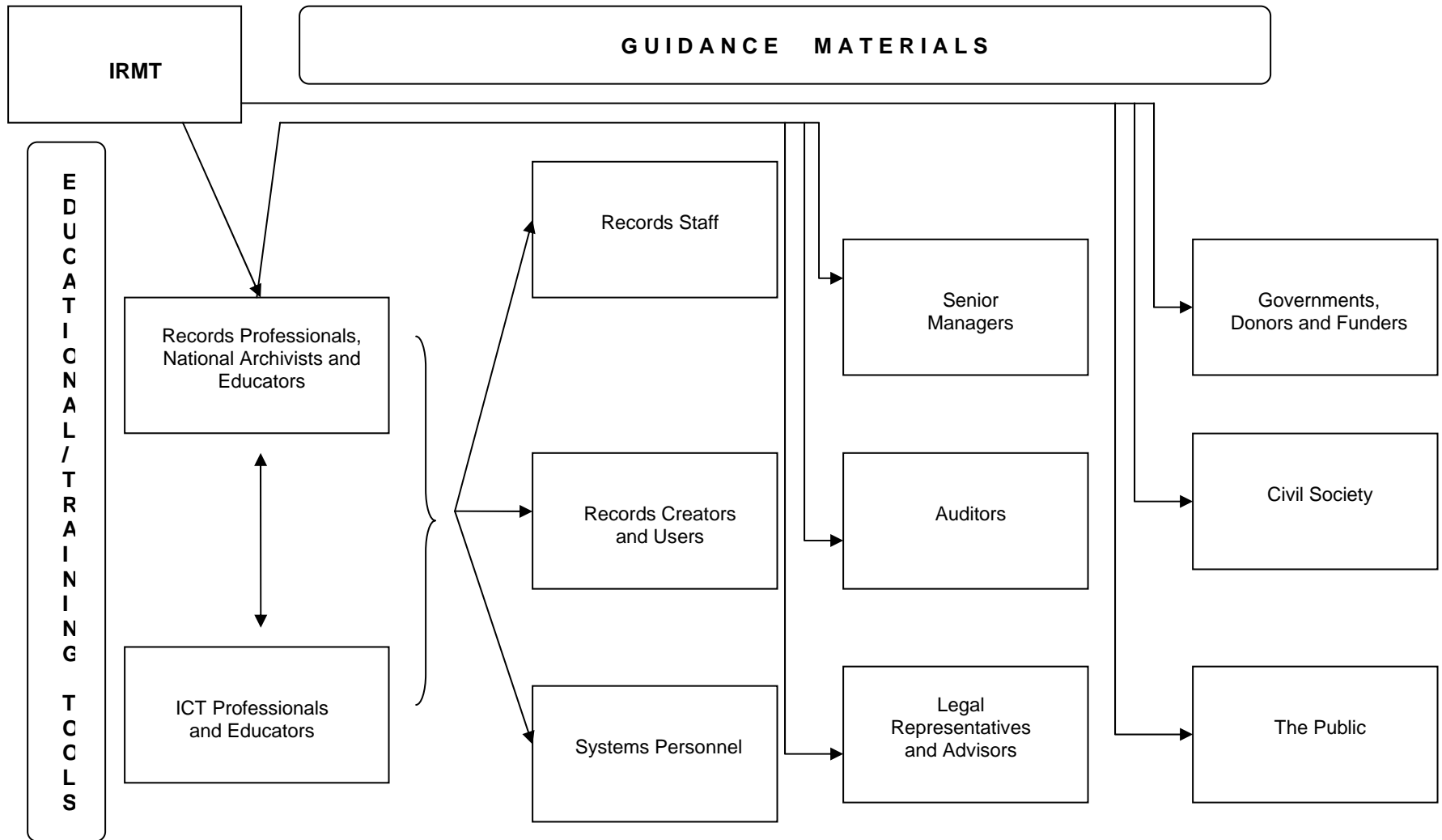
Introductory Notes

- See the audience chart for clarification of who is the anticipated audience for the educational and training materials to be designed. These materials assume that the people being educated already know key and basic records and archives management principles. For example, they may already have certificates in records management, archives management, or information management; they may have pre-appointment education; they may have taken a series of workshops or courses on records and information management through professional associations etc.; or they may have X years of previous work experience directly in records or archives management at a middle skill level, not a support position.
- We could develop a list of key skill and knowledge areas that they must have acquired prior to taking this programme, and we may develop a questionnaire or quiz to assess their capacity and knowledge. Are they competent to participate significantly in the management of a paper-based records programme and must have basic computer literacy?
- We will need to clarify if they have records experience as well as archives experience, as we expect that they should have worked in a current records environment not just in a 'traditional' archives environment.

Notes on Delivery Issues

- Discussion of general vision for **all materials**. There was a discussion of posting information on a web page, also making it available in paper form. Will everything be web based? Also paper based? If web-based, you could link resources with educational materials and join up the materials as you want. The linearity of previous materials such as MPSR doesn't have to be.
- What are the **resource issues** of maintaining the material once it is created?
- Should **guidance materials** be stand alones? General agreement that yes they should be stand alones. Both print and electronic.
- Link the **route map** to the educational and training materials so that they are all connected on the web environment.
- The **route map** is going to need contextual information. An explanation of the route map is going to have to be constructed. What it is and what it is for. Explanation of pre-requisites in order to start using this route map.

- **Educational and training materials:** will they be put out electronically in PDF and Word so that they are easily usable. HTML? Is there a vision of interactivity and hyper-linking. Issues of cost and what works best in developing countries. Preference for PDF and HTML.
- Issue of **level of instructional design** an important question. Is there an issue of interactive learning? What should be the level of instructional design?
- Should there be **elements of instructional design** for teaching the content: electronic records management? Therefore, include examples, study questions, and training materials related to content AND instructional design around train the trainers issues? General sense of no.
- General discussion of a focus on **content** of materials, with less emphasis on the instructional design component. The assumption would have to be that the materials would be available to records professionals and educators but they would be expected to take the content and develop their own educational or training environment for use and delivery of those materials. Our job is not to create courses for train the trainers but courses on electronic records management content so that trainers can adapt and use them in their own circumstances.
- Ideally we would **avoid 'flat' presentation** of content. But there are cost issues and time issues. What is the capacity in developing countries to use more interactive materials? We need to focus more on content and relatively simple formats.
- What about the need to teach electronic records management through some **exposure** to electronic records issues and examples – how would we teach electronic records management in a paper-based environment?
- Do we need to forge **partnerships** with delivery agencies, such as universities, public sector colleges, or other mediated environments, so that they can develop the instructional components? What happens when the materials are used in the work place and there is not the capacity to teach electronically but we are teaching electronic records in a paper environment?
- Will there be **other interventions** coming from other sources? If we produce the written materials will colleges and universities take this on and adapt and use it for their own means?
- What is the **relationship of this material to the MPSR** electronic records information? Should it be pulled from the website? Should we pull it from the website? Probably yes.
- Recognition of the value of drawing on **existing materials** but also the importance of (1) creating materials relevant to the intended audiences, especially in developing countries, and (2) not entering into complicated negotiations and agreements to use specific materials 'in toto' when they might be better used as resources and research for writing new material relevant to the specific project.



*IRMT Fostering Trust and Transparency in Governance
Snapshot of Groupings of Themes*

20 July 2007 / LM

CONTEXT OF ELECTRONIC RECORDS MANAGEMENT	PLANNING ELECTRONIC RECORDS MANAGEMENT PROGRAMS	IMPLEMENTING ELECTRONIC RECORDS MANAGEMENT PROGRAMS	DEVELOPING PERSONNEL, ESTABLISHMENT AND PAYROLL INFORMATION SYSTEM
<p>1: Concepts and Social Context</p> <p>2: Business and Organisational Context</p> <p>3: Technological Context</p>	<p>4: Policy and Planning</p> <p>5: Advocating electronic records management</p> <p>10: Technological Issues and Solutions</p>	<p>6: Records Appraisal and Disposal</p> <p>7: Records Creation, Capture & Use</p> <p>8: Records Access</p> <p>9: Preservation</p>	<p>11. Personnel, Establishment and Payroll Information Systems</p>

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Overview of Themes and Topics*

20 July 2007 / LM

1: Concepts and Social Context	2: Business and Organisational Context	3: Technological Context	4: Policy and Planning
<ul style="list-style-type: none"> 1 Understanding definitions and terminology 2 Understanding electronic records concepts 3 Understanding governance concepts 4 Examining the challenges of electronic records management 5 Examining the opportunities of electronic records management 6 Considering the transition to electronic records 	<ul style="list-style-type: none"> 1 Understanding organisational infrastructure 2 Understanding the legal and regulatory environment 3 Understanding technological capacity 4 Understanding standards 5 Understanding business processes 6 Conducting a records survey 7 Conducting a needs assessment 	<ul style="list-style-type: none"> 1 Understanding the technological infrastructure 2 Record keeping functionality of business systems 3 Understanding the transition from the paper and analogue to digital 4 Staying on top of technological issues 	<ul style="list-style-type: none"> 1 Developing a policy 2 Developing a business case 3 How to plan 4 Understanding change management 5 Developing a training and capacity building program 6 How to obtain and manage resources 7 How to measure performance and achievements
5: Advocating electronic records management	6: Records Appraisal and Disposal	7: Records Creation, Capture & Use	8: Records Access
<ul style="list-style-type: none"> 1 Learning advocacy skills 2 Selling records management 	<ul style="list-style-type: none"> 1 Concepts of appraisal and disposal 2 Developing appraisal policies 3 Implementation 	<ul style="list-style-type: none"> 1 Concepts of an electronic records management system 2 Capturing records into a record keeping system 3 Understanding and applying naming conventions 4 Understanding and capturing metadata 5 Developing a classification scheme 6 Developing a records retention and disposition schedule 	<ul style="list-style-type: none"> 1 Concepts of access 2 Developing access policies 3 Implementation

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Overview of Themes and Topics*

20 July 2007 / LM

9: Preservation	10: Technological Issues and Solutions	11. Developing Personnel, Establishment and Payroll Information Systems	
<ul style="list-style-type: none"> 1 Concepts of preservation 2 Developing preservation policies 3 Implementation 4 Options and future directions 	<ul style="list-style-type: none"> 1 Making the transition to an electronic records management environment 2 How to select solutions 3 How to plan the rollout of an electronic records management system 4 Procurement issues 	<ul style="list-style-type: none"> 1 Context of personnel and payroll records management 2 Personnel management business processes 3 Business process re-engineering 4 Understanding personnel functions 	<ul style="list-style-type: none"> 5 Personnel records in centralised and decentralised environments 6 Personnel files in paper and electronic formats 7 Managing personal files 8 ICT and personnel records management

*IRMT Fostering Trust and Transparency in Governance
Analysis of Themes and Topics*

20 July 2007 / LM

Theme 1: Concepts and Social Context

No.	Topic	Description	Comments	Links to Route Map
1	Understanding definitions and terminology	Definitions of records management terms	Focusing specifically on ER and assuming pre-existing knowledge of core archives and records terminology	Route Map No 1
2	Understanding electronic records concepts	Issues such as authenticity, reliability, integrity, mutability, etc.	Question of introducing concepts and providing an overview but leaving more detailed learning until later	No direct route map links
3	Understanding governance and development concepts	Issues such as accountability, transparency, good governance, FOI, privacy, compliance, address issues linking records management to objectives for development and electronic government, understanding the transition to e-government	Guidance note on relationship between records and accountability?	No direct route map links
4	Examining the challenges of electronic records management	Introduction to issues such as changes in technology, different products, transitory nature, everyone his own record keeper, dependence on availability of hardware and software, cost, can you read it without mediation, security and privacy issues with vulnerable records; who has access, understanding the digital divide	Indicating that there is a way forward, don't be afraid – we will find a way through this issue Cross reference to theme 3, what is the crossover between themes 1 & 3?	Route Map No 4
5	Examining the opportunities of electronic records management	Introduction to issues such as widespread access, flexibility, efficiency, effectiveness, economy, general business opportunities		Route Map No 4
6	Considering the transition to electronic records	Examining issues related to making the transition to electronic records, understanding the reality and viability of hybrid paper-electronic systems	Guidance note on the transition to electronic records?	Route Map No 4

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20 July 2007 / LM

Theme 2: Business and Organisational Context

No.	Topic	Description	Comments	Links to Route Map
1	Understanding organisational infrastructure	Who you work for, what do they do, how do they set about doing it, mission, vision, values, culture, money, resources, also consider objectives, goals		Route Map No 2
2	Understanding the legal and regulatory environment	Need for a legal environment, how to do the research, what issues might be identified, what is the rationale behind your existence as an organisation		Route Map No 2
3	Understanding technological capacity	What has the organisation got, what has the country got, what can you achieve, network capacity of the country, etc.; understanding how the organisation works to develop its technological capacity	Procurement at highest level? How does this topic relate to Theme 3, especially 3.1	Route Map No 2
4	Understanding standards	Record keeping, ICT, and related standards		Route Map No 2
5	Understanding business processes	Background analysis, research and development, analysing business processes		Route Map No 2 Route Map No 13
6	Conducting a records survey	How to do a records survey	skills development issue here	Route Map No 5
7	Conducting a needs assessment	Including high-level requirements specifications		Route Map No 2 Route Map No 13

*IRMT Fostering Trust and Transparency in Governance
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20 July 2007 / LM

Theme 3: Technological Context

No.	Topic	Description	Comments	Links to Route Map
1	Understanding the technological infrastructure	Shared drives, ERM/EDM/ERK systems, email management, voice mail management, desktop management, web records (and wikis and blogs), database formats) , technology watch, IT security, firewalls etc.,	Choosing file formats, PDF versus XML – discuss here? Revisiting the digital divide; consider cross over with Theme 1	Route Map No 2
2	Record keeping functionality of business systems	The question of human resources systems, line of business systems, financial systems, and the questions of whether they are or not record keeping systems and whether they have record keeping functionality		Route Map No 13
3	Understanding the transition from the paper and analogue to digital	Including paper to electronic records, analogue records such as microform, audio, video, to digital environment, scanning issues; as businesses develop to e-businesses, how does record keeping fit into e-business Understanding hybrid environments/hybrid records Understanding the role and nature of legacy records, and that they need to be cared with in the transition to an electronic environment	There is a real issue of digitisation as seen as a major solution but perhaps digitisation projects are not being managed well: we need to (1) address the nature and role of digitisation – in Theme 3? – and then say if you want to go ahead here is how you should do it.	Route Map No 4 Route Map No 15
4	Staying on top of technological issues	Research and development		Route Map No 17

*IRMT Fostering Trust and Transparency in Governance
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20 July 2007 / LM

Theme 4: Policy and Planning

No.	Topic	Description	Comments	Links to Route Map
1	Developing a policy	Issues of developing a policy		Route Map No 1
2	Developing a business case	Risk/benefit analysis, selling records management (introductory to the advocacy theme)	Skills development needed for business case planning	Route Map No 4
3	How to plan	Why plan, planning for electronic records, developing a plan		Route Map No 14
4	Understanding change management	How to change, why to change, how to measure change	Discuss how to cope with social engineering – what to do when people won't pay attention or organisations don't comply	Route Map No 3 Route Map No 14
5	Developing a training and capacity building program	Training and capacity building for users, managers, implementers, all the stakeholders, or is it for records personnel delivering the training program	For potentially any and all of the audiences in the chart, who might be receptive to training	Route Map No 6
6	How to obtain and manage resources			Route Map No 7
7	How to measure performance and achievements			Route Map No 4 Route Map No 16

Theme 5: Advocating Electronic Records Management

No.	Topic	Description	Comments	Links to Route Map
1	Learning advocacy skills	Public speaking, empowerment, awareness raising, influencing, political and cultural context	Extensive skills development issues to consider	Route Map No 3
2	Selling records management	Using your business case		Route Map No 3

Theme 6: Records Appraisal and Disposal

No.	Topic	Description	Comments	Links to Route Map
1	Concepts of appraisal and disposal		Guidance note on the concept of appraisal: it is seen as a secret process, an introductory document could be created for various levels of users/the public to explain appraisal	Route Map No 10
2	Developing appraisal policies			Route Map No 10
3	Implementation	Includes documenting appraisal processes and decisions; analysing appraisal issues at the macro level and beyond, before a file plan is constructed Transfer, destruction, file classification scheme, disposal schedule, developing a records retention and disposition schedule	Kelvin mentions an appraisal report for TNA and the UK Skills development issue: how to do electronic records appraisal	Route Map No 10 Route Map No 15

Theme 7: Records Creation, Capture and Use

No.	Topic	Description	Comments	Links to Route Map
1	Concepts of a record keeping system		Cross reference to discussion of technological issues This needs to include issues about incorporating appraisal in the system design	Route Map No 9
2	Capturing records into a record keeping system			Route Map No 9 Route Map No 15
3	Understanding and applying naming conventions		Guidance notes on how to name records	Route Map No 9 Route Map No 15

*IRMT Fostering Trust and Transparency in Governance
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20 July 2007 / LM

4	Understanding and capturing metadata			Route Map No 9 Route Map No 15
5	Developing a classification scheme		Overlap with implementation of appraisal policies and practices	Route Map No 9 Route Map No 15
6	Issues related to using and managing electronic records	Managing electronic records, particularly on the desktop, with emphasis on how the records professional can help the creator/user manage records	Example of how to reuse the information in or format of a record once it has been captured and 'frozen' in a record keeping system It will be necessary to tailor guidance materials here to specific technological solutions	Route Map No 9

Theme 8: Records Access

No.	Topic	Description	Comments	Links to Route Map
1	Concepts of access	Security, privacy, legal and regulatory environment and how that effects access	Guidance notes on awareness raising about access and privacy, FOI, legal issues	Route Map No 12
2	Developing access policies			Route Map No 12
3	Implementation	Includes procedural information	Discuss how to access information, perhaps in guidance notes?	Route Map No 12 Route Map No 15

Theme 9: Preservation

No.	Topic	Description	Comments	Links to Route Map
1	Concepts of preservation	Sustainability, business continuity, deterioration rates of media, storage requirements, environment hazards	Some guidance materials is seen as needed somewhere in here	Route Map No 11
2	Developing preservation policies			Route Map No 11

*IRMT Fostering Trust and Transparency in Governance
Analysis of Themes and Topics*

20 July 2007 / LM

3	Implementation	Transfer, backup, migration, emulation, options for preservation	Discuss practicalities Does scanning belong here?	Route Map No 11 Route Map No 15
4	Options and future directions	Issues such as digital repositories, changing technological environments and solutions and how to cope with them		Route Map No 11 Route Maps No 17

Theme 10: Technological Issues and Solutions

No.	Topic	Description	Comments	Links to Route Map
1	Making the transition to an electronic record keeping environment	Issues of implementation, decision making, developing projects, incorporating records management into an existing or planned ICT infrastructure		Route Map No 15
2	How to select solutions	MoReq, DoD, developing requirements specifications, working with ICT people, involving them in the record keeping concepts	How to divide these topics so that procurement is understood as a discrete topic Guidance for ICT people on the importance of record keeping in electronic records	Route Map No 13 Route Map No 14
3	How to plan the rollout of an electronic records management system	How to plan, implement, develop, obtain resources, achieve success	There is a real issue of digitisation as seen as a major solution but perhaps digitisation projects are not being managed well: we need to (1) address the nature and role of digitisation – in Theme 3? – and then say if you want to go ahead here is how you should do it.	Route Map No 14
4	Procurement issues	Managing an ERM system, maintaining the operation, dealing with service agreements, contractors, ongoing sustainability	Include specific information about procurement	Route Map No 15
5	Developing a successful digitisation project	How to plan, organise and structure a	'How to' information needed	Route Map No 4

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20 July 2007 / LM

		digitisation project	<p>here?</p> <p>How to plan a scanning project?</p> <p>Does this link to developing and ERMS system; or is this part of understanding ERM concepts</p>
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Theme 11: Development of Personnel, Establishment and Payroll Information Systems

No.	Topic	Description	Comments	Links to Route Map
1	Context of personnel and payroll records management	Nature and special characteristics of personnel records, Legislative and regulatory context, e.g. longevity, sensitivity, privacy considerations, volume		All
2	Personnel management business processes			All
3	Business process re-engineering/restructuring	Restructuring and/or rebuilding collapsed systems, includes recreation of collapsed systems		All
4	Understanding personnel functions	Recruitment, training, performance appraisal, separation (retirement, resignation), discipline, attendance and leave, promotion, allowances, transfers		All
5	Personnel records in centralised and decentralised environments			All
6	Personnel files in paper and electronic formats	Master records and types of document, working records and types of document	<p>This means files but doesn't necessarily mean paper files</p> <p>There is a difference between personnel and personal files</p>	All
7	Managing personnel records and personal files	Filing, classification, indexing, tracking, disposition	Distinction between personnel and individual personal files needs to be made at some point	All

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20 July 2007 / LM

8	ICT and personnel management	Relationship to paper records, added value of ICT systems, databases, products, payroll systems, relationship to IFMIS, digitisation	This is the technical bit, hard core issues of ICT in the area of personnel records management	All
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Overview of Guidance Materials*

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Audience	Records Coordinator	Records Creators	Data Managers and Systems Personnel	Senior Managers	Auditors	Legal Representatives and Advisors	Governments, Donors, Funders, Civil Society, the Public
Definition	Individuals involved in quality control of records management practices at the local business level	Individuals involved in creating and using records as part of their own daily business activities	Individuals who manage data, maintain the ICT systems, and ensure the quality, integrity and sustainability of the system and the data it contains	Individuals who establish policy, influence policy development, participate in decision making, motivate and lead staff (such as head of public service, permanent secretary, deputy permanent secretary, heads of departments)	All auditors at all levels in the classic sense Do we separate internal versus external, do we separate financial auditors and other auditors – issues to be considered	Lawyers advising government at senior levels, either externally or internally based, including those involved with FOI, privacy issues, compliance issues, etc., as well as ongoing legal advice to government	
Suggested guidance materials	<ul style="list-style-type: none"> • concepts of electronic records • concepts of governance • legal and regulatory environment • standards • performance measures • how to update disposal schedules • how to implement destruction decisions • quality control of classification and metadata • explanation of access policy and how to apply the access policy 	<ul style="list-style-type: none"> • legal and regulatory environment • quality control of classification and metadata • explanation of access policy and how to apply the access policy 	<ul style="list-style-type: none"> • statutory and regulatory requirements • security and access • data integrity • audit trail • retention/ back up/ recovery • business and information processes • migration strategies <p style="text-align: center;">(one guidance note)</p>	<ul style="list-style-type: none"> • regulatory environment • accountability • roles and responsibilities • records as evidence of rights and entitlements • strategic asset • policies • resources (training, staffing, etc) • change management <p style="text-align: center;">(could be used as a range of levels within the public service but is intended to be short and sharp for the benefit of the most senior people)</p> <p style="text-align: center;">(one guidance note)</p>	<ul style="list-style-type: none"> • audit trails and record keeping • concepts of electronic records • definitions and terminology • what is records management <p style="text-align: center;">(one guidance note)</p>	<ul style="list-style-type: none"> • concepts of electronic records • definitions and terminology • access and privacy issues in general • what is records management • records as evidence of rights and entitlements • concepts of governance <p style="text-align: center;">(one guidance note)</p>	<ul style="list-style-type: none"> • nothing

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Route Map*

20 July 2007 / LM

See separate document for route map