ESARBIRCA PRE-CONFERENCE

ELECTRONIC RECORDS MANAGEMENT

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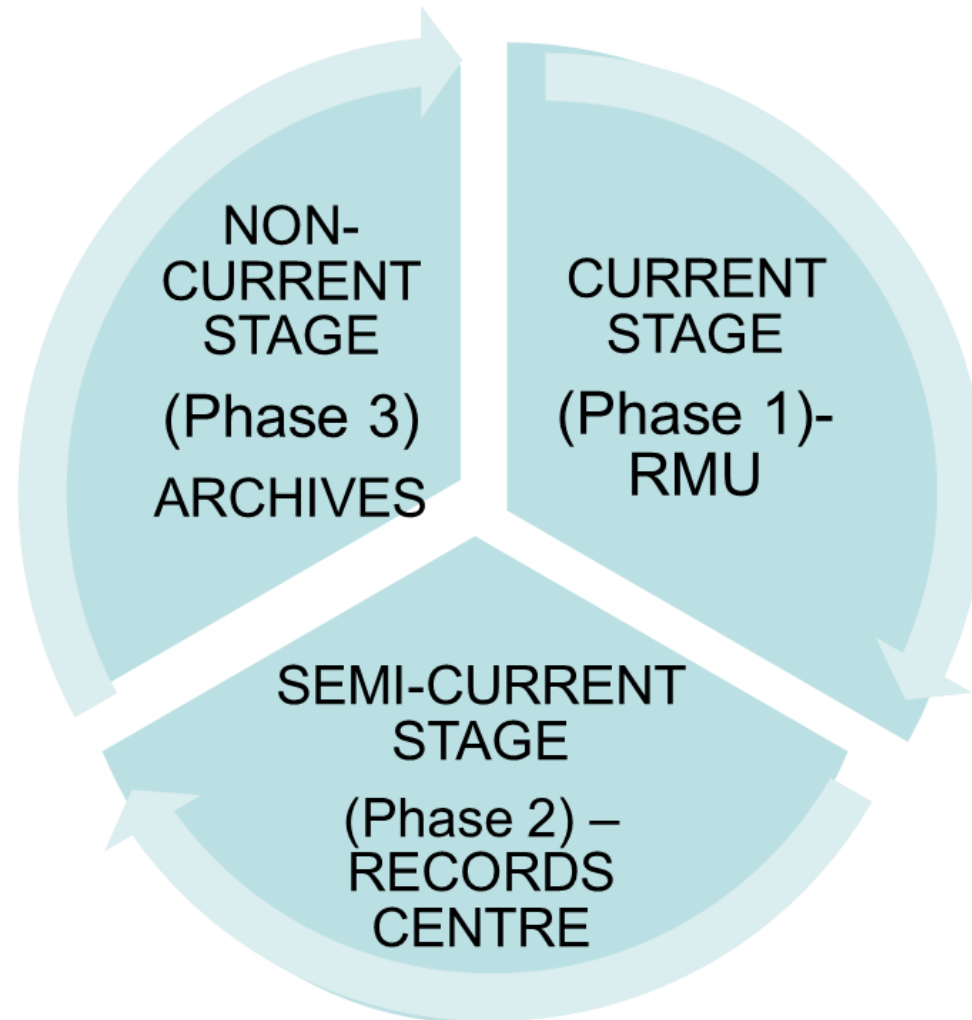### LILONGWE, MALAWI 7 AUGUST 2017

OVERVIEW OF PRESENTATION

1. Introduction to Electronic records management
2. Life-cycle model vs. Continuum
3. Developing a Records Management Strategy (Action Plan)
4. Managing electronic records & EDRMS
5. Sharing experiences & way forward

Introduction to Electronic Records management

▸ Impact of ICTs on theory & practice of records management.

✓ Importance & challenges in management of records

✓ The nature & characteristics of electronic records

- *Capture / creation of e-records*

- *Support business transactions*

- *Officers have responsibility*

- *Need policies*

▸ Lifecycle vs Continuum models

LIFE-CYCLE MODEL

NON-CURRENT STAGE

(Phase 3)

ARCHIVES

CURRENT STAGE

(Phase 1)- RMU

SEMI-CURRENT STAGE

(Phase 2) – RECORDS CENTRE

Re-definition of the Life Cycle

- ✓ Conceptual change to records continuum
- ✓ Integration of responsibilities
- ✓ No longer viewed at physical locations
- ✓ No boundaries
- ✓ Close relationship between records and archives

CONTINUUM MODEL

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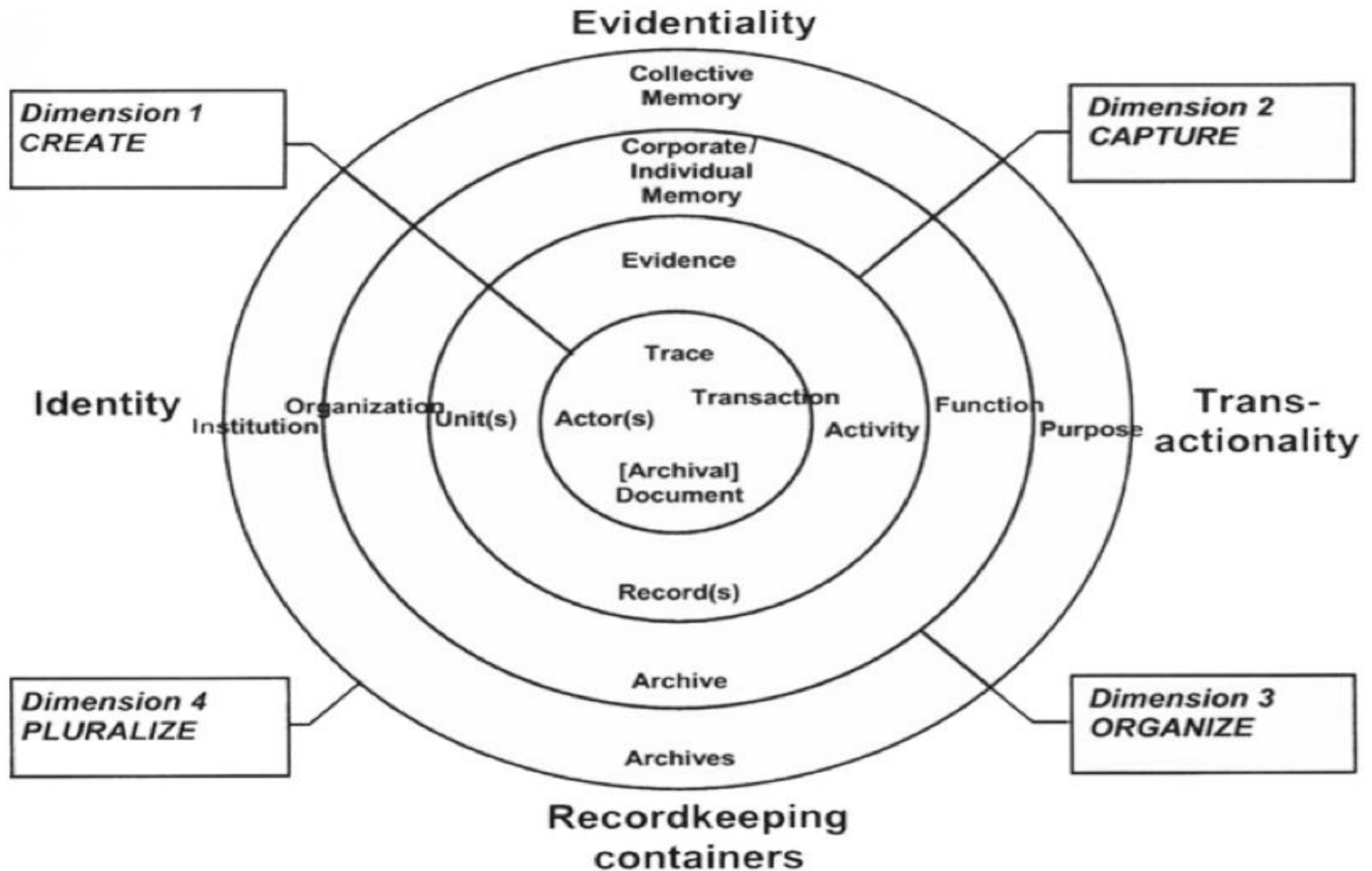
CONTINUUM (cont.)

❑ **Benefits of model:**

- Promotes integration of records into business process.*(Records can become archives even at creation)*.

- New relationships

- Recordkeeping proactive – involve stakeholders at creation, identify records to capture & appropriate metadata.

- Records seen as logical & not only physical entities

CONTINUUM (cont)

❑ **Integration of records management & archives**

- focus on similarities & not differences

- Integrated framework with sub-systems

- Integrated processes & responsibilities

- Service factor a meeting point

- Think strategically, merge past, present & future.

- Collaboration & partnerships.

RECORDS MANAGEMENT STRATEGY
(*Includes Practical experience*)

1. Current situation analysis

2. Gap analysis & route map to desired environment

3. Development of a Strategy & its implementation

4. Development of an Action Plan

RECORDS MANAGEMENT STRATEGY (Cont.)

✓ Records management policy *(based on ISO 15489)*

✓ Procedures for mail management; classification; retention & disposition.

- *Decongestion & clearing of old records*
- *Destruction & transfer to records centre*

✓ Management buy-in & support

✓ Raising awareness *(use workshops)*

✓ Capacity building / staffing levels / training

RECORDS MANAGEMENT STRATEGY (Cont.)

✓ Management of electronic records (EDRMS)

a) Development of Statement of User Requirements (SOUR)

- *Business / functional requirements*

- *Technical requirements (by IT)*

b) Development of a Business Case for approval

- *Drivers for transformation*

- *Benefits of system; implementation plan & costs.*

R M STRATEGY (Cont.)

c) Need drivers for transformation

- Corporate & ICT strategy (strategic plan)
- Public sector reforms & e-Government Strategy.
- *(e.g. records prorammes are aligned to e-government strategy & government modernisation. (UK model, Botsw. & Tanz.).*
- -Regulatory framework (e.g. E-records evidence Act) - know legislation that impacts of records / compliance.

d) Benchmarking

- Visit sites

R M STRATEGY (Cont.)

e) STDS (international & national guidelines)

a) IS0 15489: Records Management

b) Model Requirements for the Management of Electronic Records (MoReq2 / MoReq2010 Specification): and

c) DOD Directive 5015.2-STD — United States of America's Department of Defence. DOD 5015.2 The latest version is DOD 5015.2-STD version

- ✓ Integration plan *(for different business systems)*
- ✓ Development of ITT (*include functional requirements*)
- ✓ Acquisition – to involve Procurèrent
- ✓ Testing & deployment
- ✓ Language important – Records & IT
- ✓ Change management – *(involve Project Office)*

Example of an Action Plan

OBJECTIVE 1 : REVIEW STRUCTURE; IMPROVE STAFFING LEVELS & TRAINING IN THE DOCUMENTATION SECTION (CAPACITY BUILDING) (It should be noted that the revised Documentation structure will be addressed as part of the proposed BURS organisational and pay structure consultancy. The proposed structure and staffing requirement with a full justification will be submitted to the appointed consultants for consideration and incorporation to the overall BURSs structure.)

Lead person (s) & stakeholders	Measure	Target Outcome	Resources Needed	Budget	Start Date	End Date	Progress Update	Monitoring source /Accountability	
-Documentation Section & HR -Records Strategy Project Team	Revised Documentation structure with a professional records cadre to be completed by 28th Nov. 2014 - 18 Records Officers at headquarters. - 1 Records Officer for each region (BURS 06) = 6 officers. -1 Records Officer for each major station = 17 officers (BURS 07).	- Appreciation and recognition of the role that records play in carrying out BURS mandate. - Efficiency and effectiveness in service delivery resulting from proper recordkeeping. - Professionalisation and visibility of the records management function. -Development of a professional records management cadre. - Retention of competent and qualified records management professionals. - Job satisfaction.	- Staff salaries - Office space	P 1 million	1st March 2014	Nov. 2014		- CFA - Director, H R -EMC	

OBJECTIVE 2 : CONSULTATIVE MEETINGS WITH DIVISIONS & CONTINUED AWARENESS ON IMPORTANCE OF RECORDS AND INFORMATION (INCLUDES PROJECT TEAM MEETINGS)

Lead person (s) & stakeholders	Measure	Target Outcome	Resources Needed	Budget	Start Date	End Date	Progress Update		
-Documentation Section -Records Strategy Project Team -Procurement Division. -P R -Regional Managers	-9 meetings / workshops of 2 days each with all Divisions between March and July 2014. -70% of challenges to be addressed in the first year of implementation.	-Continued stakeholder buy-in and support. - Staff who appreciate the importance of records in their business operations. - Adherence to policies and procedures. - Consolidation of role of records management in all BURS business operations.	- Training materials. (White board; flip charts; note pads; white board markers and pens) - Transport and accommodation for those in regions and major stations.	P200,000.00	1st March 2014	31st August 2014			

PRACTICAL EXPERIENCES: ELECTRONIC RECORDS

a) European Union:
- Document Life-cycle Management (DLM) Forum
  - ✓ Active participation of ICT
  - ✓ Governance in e-environment; policy, legislation, standards & case studies

b) The National Archives of UK (TNA)

- ✓ Aligned to e-government strategy & government modernization. *(Botsw. Tanz., Namibia)*
- ✓ Govt. to ensure storage & retrieval electronically by 2004 .
- ✓ TNA pressurized (2 projects)
a) Electronic Records in Office Systems (EROS)
- Guidance to govt.
- Published functional requirements
- Tested in Cabinet Office; DIT & Health (good case study)

E-RECORDS (cont.)

c) Approaches from Australia

i)   Victorian Electronic Records Strategy (VERS)

✓ Capture accurate, reliable & authentic ER.

✓ 3 stages (investigation; building prototype & implementation.

✓ Investigation report *(Keeping Archives forever)*

✓ Demonstrator – encapsulating files with metadata

✓ Implementation & roll out.

d) Approaches from USA & Canada

i)   Pittsburgh project

ii)   UBC Project

iii) InterPARES Project (now has Africa Team)

DEVELOPMENT & IMPLEMENTATION OF EDRMS

➢ Part of ECM technologies & tools

E.g. (in records management environment)

✓ TRIM (HP)- *(Australia)*   - Alfresco

✓ Hummingbird *(S.A.)*   - Paper trail

✓ KRIS *(Singapore)*

✓ Laserfisch (China) *Used in Namibia*

✓ Newgen *(India)*

✓ OS & SCA (E-office) – *China. Used in Namibia (we-based)*

✓ Audata *(UK) sells TRIM products*

- SharePoint
- Oracle

Egs. of EDRMS IN SOUTH AFRICA

Case studies *(can be used for benchmarking):*

a) Department of Science & Technology
b) UNISA
c) Rand Water
d) NARS
e) New Castle Municipality
f) SARS
g) Development Bank of Southern Africa
h) Insurance companies
i) City of Cape Town
j) Et.c

DEVELOPMENT IN THE EAST & SOUTHERN AFRICAN REGION

- Much research isolated / individualism.

- A lot theoretical & limited to individual countries

- Studies published but recommendations not yet implemented.

- Some case studies from consultancies e.g. IRTM

DEVELOPMENTS IN THE REGION (CONT.)

➢ Literature still on regional concerns:

- Concerns of compueterisation & authenticity; metadata; life-cycle vs. continuum models;

- Need for updated legislations (*freedom of information legislations and electronic evidence*).

- Recognition of need to continue with traditional records & archival practices.
- Recognition for regional approach

➢ Strategic plan developed to guide future developed: (Zimbabwe 2015).

CHALLENGES IN MANAGING ER

- Difficulty in preserving & protecting content, structure & context.

- Identity theft

- Privacy concerns

- Technological obsolescence

- Power cuts

- Migrations

SHARING OF EXPERIENCES BY PARTICIPANTS

Presentations & discussions   !!!!

CONCLUSION

✓ Records play critical role: protecting citizen's rights; transparency; accountability & good governance.

✓ Emphasis on requirements of information & records as evidence.

✓ Needed as a priority in governments reforms.

✓ Intervention through national policy

✓ Inclusion in strategic plans

CONCLUSION

- ✓ Need partnerships *(IT; Accountant General; HR; Auditors; e-Government specialists).*
- ✓ Important to understand organisational environment
- ✓ Regulatory & necessary infrastructure
- ✓ Capability of ICT systems to meet recordkeeping requirements.
- ✓ Need to develop a model / framework to guide implementation in the region.

WHERE IS YOUR ORGANISATION?

➢ Where are you as an organisation?
1. Chaos
2. Local RM
3. Widespread (RM specialised)
4. Integrated (ownership; champion; its an asset).
5. Continuous improvement (all involved and clear strategy)

WAY FORWARD

✓ Development of Strategy(ies)

✓ Development of national guidelines

1. *Records management policy*

2. *Need Procedures & step by step guidelines*

- Mail management procedures
- Classification system / file plan
- Retention & disposition schedule

✓ Guidelines for managing electronic records

✓ Functional & Technical requirements (EDRMS)

WAY FORWARD FROM THE SESSION

THANK YOU!!!