

Managing Records in a Digital Environment: The Relationship to ICT/ e-Government and Freedom of Information Strategy Development

An International Situation Analysis



International Records Management Trust

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CHAPTER ONE: BACKGROUND

Introduction

The International Records Management Trust is dedicated to developing new strategies for managing public sector records. As part of this commitment, the IRMT is exploring the requirements for integrating records management in e-Government, ICT strategy development and Freedom of Information (FOI).¹ It is working with the Governments of Burundi, Kenya, Rwanda, Tanzania and Uganda, which together comprise the East African Community, to examine the practical realities on the ground. Ultimately, the aim is to identify issues that can help governments to improve services to citizens, strengthen decision-making and enhance accountability.

The project aims to answer two key questions:

What is the impact of the lack of attention to records management in the planning and delivery of e-Government, ICT and FOI strategies and initiatives, and what value can records management add?

How can records management make a practical contribution to the electronic environment, and what are the responsibilities of the various stakeholders involved?

In addressing these questions, it is important to consider the lessons learned in jurisdictions elsewhere in the world, where there have been large investments of government funds in electronic records management. What has worked well and what has not worked? What policies, standards and practices have been factors in successful outcomes and why? What electronic records strategies, such as building partnerships, enhancing awareness, increasing human resources capacity, and establishing effective governance and accountability structures have been successful? What factors have caused barriers to be erected and why?

John McDonald², an information management specialist with a strong background in the three study areas, carried out this situation analysis. He drew upon relevant documentation

¹ The study, *Managing Records as Reliable Evidence for ICT/ e-Government and Freedom of Information*, is funded by the International Development Research Centre and involves close interaction with records professionals and key stakeholders in the member states of the East African Community.

² Working in the National Archives of Canada between 1975 and 2000, John McDonald was one of the first records professionals in the world to explore the challenges of managing and preserving digital information; ultimately he became a world authority in this area. After leaving the National Archives, he continued to play a leading role in facilitating the management of records and information, particularly in electronic format, across Canada. He has authored or contributed to government-wide guides and standards on the management of government information and published numerous articles in leading information management journals. Drawing on his knowledge and experience of the long-term preservation of the authenticity of electronic records and his experience of chairing a wide range of working groups and committees, nationally and

and consulted records professionals in organisations around the world who are addressing the management of electronic records in relation to ICT/ e-Government and FOI strategies, policies, standards, practices and technologies. They included representatives of archives, universities, public sector organisations focusing on electronic records issues, relevant private sector companies (but only where opinions offered were objective, independent, and non-biased), as well as individual experts, for instance consultants or retired experts. Interim findings from the analysis were discussed with the research project team to ensure that they were apprised of the implications of the global electronic records management situation on the conduct and direction of the study.

Establishing a sound base of knowledge of the global electronic records management landscape and relating it to the context of East African electronic records management trends, standards, practices should provide a starting point for tackling the issues involved. The analysis aims to:

- identify success factors, barriers-to-success and lessons learned
- assess how techniques and information sources developed around the world could be useful in informing strategies for overcoming the barriers
- assess the implications for electronic records management in East Africa.

Structure of the Study

This report describes the results of the analysis. It begins with an overview of basic records management concepts, including the concept of the records management infrastructure (Chapter Two). Chapter Three describes the results of an analysis of the current recordkeeping situation in the priority areas (ICT/ e-Government and FOI). The chapter includes an overview of the characteristics of each of the priority areas, an explanation of how some of these characteristics can present barriers to the development of effective recordkeeping programmes and a description of possible strategies for overcoming the barriers. Chapter Four highlights (by categories) significant recordkeeping tools, techniques, and information sources that have been developed around the world and that can be consulted by those involved in ICT/ e-Government and FOI strategy development to ‘jump start’ digital records initiatives and avoid ‘re-inventing the wheel’, or developing tools and techniques that are already available.

Details are provided in the *Annotated List of Relevant Web Sites* (see Appendix C), with entries organised by institutions. The list is a means of providing specific illustrations of developments, lessons learned and good practice standards now being introduced around the world.

internationally, he has developed the ability to communicate complex concepts, strategies and procedures to a wide range of audiences.

There is a list of people consulted in Appendix A and a sample Records Management Policy in Appendix B.

Overview of the Content of the Study

The study establishes the fact that records management concepts, principles, issues, and approaches are universal. International standards are now in place to help define how records are understood and how they need to be managed. Around the world and regardless of the nature of the public sector organisation or jurisdiction, these standards are being introduced to enhance the management of records, especially in digital environments. Some of the key concepts involved are summarised below.

- **records are recorded information created, received and maintained to document transactions in a given work process³.** They should document and tell the story of how a given process was carried out in a particular instance (for instance reviewing an application for a license); provide a source of authoritative, complete and accurate information for future decision-making; capture the corporate memory of staff that are leaving the organisation, and help to guide new staff
- records are important to modern organisations because they support the development, management and delivery of strategies, operations, regulatory compliance, accountability risk management, corporate values and corporate memory
- records are at risk if the **records management infrastructure** that should support their management is weak or missing. Such an infrastructure comprises **policies, standards and practices, systems and technologies** and **people** managed through an **accountability** framework and **governance** structure by people with a high level of **awareness** and understanding of the importance of records to the organisation (see figure 1).
- weak or non-existent records management infrastructures are often the result of:
 - ◇ a general lack of understanding of records management and its importance failure to integrate or align business, records management and technology requirements
 - ◇ weak and fragmented accountability frameworks
 - ◇ lack of knowledge and tools required to assess the quality and integrity of the infrastructure.

³ This definition is an abbreviated form of the definition used in the ISO standard 15489, *Records Management* which states: 'records are information created, received, and maintained as evidence and information by an organisation or person, in pursuance of legal obligations or in the transaction of business.'

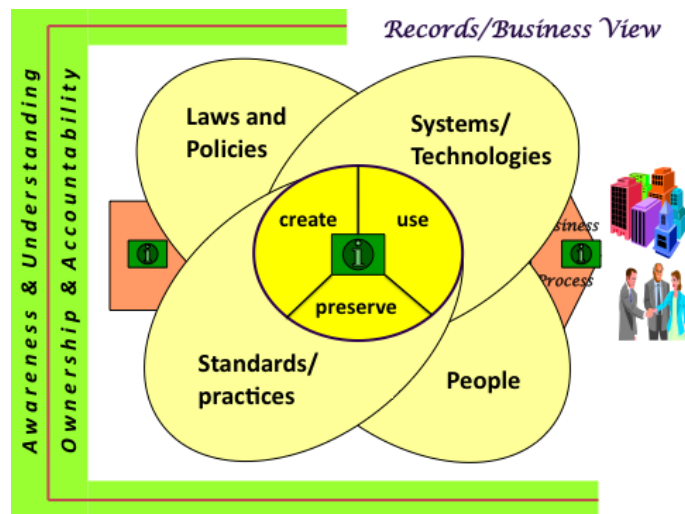


Figure 1: The Records Management Infrastructure

The business-related consequences of poor records management are:

- reduced effectiveness and efficiency
- reduced capacity to make complete and informed decisions
- inability to assess the impact of government programmes
- increased operating costs
- wasted investment in technology
- increased legal, financial and political risk
- reduced transparency and accountability
- gaps in organisational memory.

Citizens are the losers, as poor records management contributes to:

- poor and in-effective public services
- reduced access to entitlements and the erosion of basic rights
- reduced transparency, accountability and trust in government.

Success factors in reversing records management risks include:

- Records management strategies should be driven by business and accountability needs and should rest upon a comprehensive records management infrastructure.
- It is necessary to understand the characteristics and challenges associated with FOI, e-Government and ICT strategy development in order to build effective records management solutions. This is especially true of e-Government, where records management requirements at early levels of maturity can be very different from those experienced at later levels of maturity.

- Successful records management initiatives must be supported by staff with the knowledge and skills required to establish a shared vision, develop and maintain the infrastructure needed to turn the vision into a reality, and work effectively with key partners who can help to ensure that records issues are addressed.
- Understanding the landscape, developing capacity and building partnerships are fundamental to moving forward with solutions to managing records in FOI, e-Government and ICT strategy development initiatives.

These concepts have underpinned the international analysis presented in this report. The general characteristics of FOI, e-Government and ICT strategy development have been identified, as well as barriers to the successful integration of electronic records management in each area. This has also led to the identification of strategies that can be used to overcome these barriers, based on an in-depth examination of the each of the components of the records management infrastructure. The highlights of the analysis are described below, and the issues involved are explored in greater depth in the chapters that follow.

Freedom of Information

Most FOI laws provide the right of access to government information, subject to certain prescribed exemptions. Of the three areas under study, the connection between FOI and records management is the strongest. However, FOI is not popular among government bureaucrats, and anyone who is perceived as supporting it may be viewed in the same light. As a result, while FOI can be a strong catalyst in the advancement of records management, care needs to be taken to position such programmes so that they are not painted with the same brush.

Key points concerning the integration of records management in FOI initiatives include:

- Recordkeeping **accountability** provisions should be integrated in the policies established for FOI.
- An organisation's records management **policy** should not be subsumed within FOI policies. It should be separate and seen as being supportive directly of the business of the organisation, while at the same time supporting the implementation of FOI. FOI policies should require government officials to document their decisions and activities.
- Records management programmes can best use FOI to advance their aims by focusing on applying **standards and practices** and on providing overall advice and support on specific, highly sensitive areas of the organisation where the risk of inadvertent disclosure or loss of records can have serious consequences for the organisation. This will provide better results than attempting to introduce solutions across the entire organisation.

- Successful records management programmes incorporate **awareness** of records management in FOI training programmes, foster close liaison with FOI officials and use the relationship to determine how recordkeeping can be enhanced.

E-Government

The objectives of e-Government initiatives are to:

- exploit web-based technologies in order to improve services to citizens
- facilitate the dissemination and availability of information (primarily via the web)
- establish a consistent 'look and feel' for government services offered through the web
- achieve economies of scale through the joint delivery of like or similar services supported by multiple organisations.

Strategies for managing records generated in an e-Government environment must account for the levels of maturity most e-Government initiatives experience. The ascending levels of maturity are:

- 1 establishing a presence on the web
- 2 delivering transaction-based services via the web
- 3 establishing inter-jurisdictional arrangements for the delivery of related services (for instance, grants and contributions, security, environment)
- 4 focusing on the enhancement of services as a distinct priority independent of technology with a view to improving service delivery and closing the gap between citizens and their governments
- 5 enabling greater engagement of citizens in government processes (eg policy development, decision-making) based on the use of emerging technologies promoting collaboration and interaction (eg wikis, facebook, twitter, web 2.0 technologies).

The key issues regarding the components of the records management infrastructure can be summarised as follows:

- Strategies for enhancing **awareness** about records issues and how to address them need to be designed to take account of the likely evolution of the organisation to higher levels of e-Government maturity, especially as business applications such as licensing are web-enabled.
- The potential for success is greater where records management programmes are linked to the development of comprehensive e-Government accountability frameworks; in turn, these **accountability** frameworks need to take account of records management requirements.

- In terms of **governance**, records management programmes need to take account of the fact that governance structures for e-Government will change in the evolving e-Government environment; governance structures for records management will need to change accordingly.
- **Policy** statements need to assign accountability for the life cycle management of records and to require that recordkeeping standards and practices are integrated in the design of e-Government applications.
- Records managers' knowledge of records classification can make a valuable contribution to the development of the metadata **standards** and schema that enable access to records generated in the web environment. These standards and schema should take account of the transition from an environment focused on 'publishing' information electronically, to one that supports multiple purposes including the ability to conduct online transactions with key business applications such as licensing.
- Records managers play a significant role in advising on, and even leading, efforts to explore how an EDRMS can be used to provide the recordkeeping capability that is not currently available in the web production tools that are used to publish information to the web or to manage the web site itself.
- Records managers need to know how to integrate records management considerations in the design of web-enabled application systems and how to work alongside other specialists, such as IT and business applications specialists, to help support the integration process.

ICT Strategy Development

ICT strategies can take many different forms. They can be very specific in relation to a specific function (for instance automating the processing of license or benefits applications or the payroll process), or they can be very broad and can address the systems and technology requirements of the entire organisation, for instance, establishing common hardware and software platforms.

ICT strategies are always based on the needs of the business, and those needs are nearly always expressed as requirements. Successful records management strategies are those that are in line with and directly supportive of the operational and strategic direction of the business. Records managers' knowledge of the business of the organisation, its functions, activities and processes can be instrumental in supporting the development of an ICT strategy. At another level, their knowledge of classification, description and preservation can help address the data and information management dimensions of the strategy.

Key points concerning some of the components of the records management infrastructure are as follows:

- Records managers should help to develop **awareness** among ICT specialists and business managers who are responsible for ICT applications, about the importance of records and the need to integrate records considerations in the design of the applications. This should also be extended to all of those who are involved in the development of enterprise-wide ICT strategies.
- Records managers should ensure that **accountability** for records management in an ICT environment is reflected in ICT accountability frameworks and policies that clearly distinguish the responsibilities of the business manager from those of the ICT and records specialists. This is especially important in the case of an EDRMS, where records managers often find themselves assuming more accountability than they should.
- Records managers should be involved in the **governance** structures established to oversee the systems development life cycle (in the case of application-specific ICT strategy developments), or the roll-out of enterprise-wide systems and standards (in the case of enterprise-wide ICT strategies).
- Records managers need to account for the nature of the ICT environments (eg unstructured, structured, web) supported in their organisations when they develop and apply records management standards and practices. No one standard or practice will fit all situations.
- Records managers sometimes rely too heavily on the EDRMS as the solution of choice for all digital records environments and tend to focus almost on the office environment. They would achieve greater success, and a greater level of credibility, if they could contribute solutions to the records issues inherent in the often business-critical application systems environment such as licensing, benefit delivery, payroll. They can, for instance, contribute solutions such as how to manage retention and disposition, establish a preservation strategy, set requirements for automatic records capture, and confirm and capture authenticity attributes.
- Records managers need to develop knowledge and skills in managing records in the ICT environment if their records management programmes are to be successful. Providing training would seem like a logical first step, but it is important to begin first with defining the nature of the work involved in managing records, then identifying the required competencies and measuring the gap between what is required and what is available, and finally using this information to shape training and recruitment strategies.

Summary

Strategies for addressing recordkeeping issues in relation to FOI, e-Government and ICT strategy development must be comprehensive. They need to address not one or even several, but all of the components of the recordkeeping infrastructure described in this report. A technology solution, for instance, should not be developed without also developing the policies, standards and practices, human resources, governance, policy, and

accountability components that comprise the overall records management infrastructure. Adopting such a comprehensive approach and ensuring that the infrastructure is aligned with and directly supportive of the needs of the business, both at the enterprise-wide and individual business levels, will maximise the potential for records generated in e-Government, FOI, and ICT strategy development initiatives to be managed successfully.

CHAPTER TWO: RECORDS CONCEPTS

An understanding of basic records concepts is fundamental to understanding the role records play in FOI, e-Government, ICT strategy development and the strategies that can be used to ensure that records are managed effectively regardless of their physical form. While the concepts described in this chapter cover all records in all physical forms, it is assumed that they are being generated and managed in a digital environment where the majority of the records are in electronic form.

What Are Records?

Records are recorded information created, received and maintained to document transactions in a given work process⁴. In effect, they tell the story of how a given process was carried out in a given instance, from reviewing an application for a license or benefit, to hiring an employee. In addition to documenting the transactions in given work processes, well managed records can provide an important source of authoritative, complete and accurate information for future decision-making. They can also be invaluable in capturing the corporate memory of staff that are leaving the organisation and in orienting new staff.

To serve these functions, records must have sufficient contextual information to enable them to be related to one another. If the story is to be trusted as authoritative, complete and accurate, then the records, regardless of their physical form (electronic or paper), must be managed in an environment that itself can be trusted.

Why Are Records Important?

Records make it possible to hold government agencies and the business units within them **accountable** for what they have done pursuant to laws and policies as well as in response to the interests and concerns of their clients, stakeholders and partners. They also support management oversight through audits, reviews and management reporting.

Specifically records support the development, management and delivery of⁵:

⁴ This definition is an abbreviated form of the definition used in the ISO standard 15489, *Records Management* which states: 'records are information created, received, and maintained as evidence and information by an organisation or person, in pursuance of legal obligations or in the transaction of business.'

⁵ ISO 15489: Management Statement, ISO/TC 46/SC 11 Archives/Records Management, 2007

- strategies, including effective conduct of business through informed decision-making; performance management; productivity improvement; consistency, continuity and quality assurance in management and operations
- operations, including responsive and accurate service delivery, resource management and cost control
- regulatory compliance and legal protection and support
- accountability, corporate governance, financial and practice audits
- risk management, including security, reputation management, business continuity planning and implementation
- corporate values, including openness, safety, quality, integrity, respect and meeting expectations of external stakeholders
- corporate memory, including innovation through capture and reuse of organisational knowledge, and use of strategic knowledge to support business.

When Are Records at Risk?

Records are at risk when:

- they are not created or acquired when needed
- they are not found or are not accessible
- they are unreliable (not accurate, timely, complete, relevant, authentic, etc)
- their creation, collection, storage are unnecessarily duplicated
- they are poorly and inconsistently identified, described and filed
- they are not shared when needed
- privacy and security are not protected
- low value records are kept too long
- important records are destroyed without authority
- valuable records are not preserved
- business, information management and technology needs are not coordinated.

These risks are a result of the following factors:

- There is a lack of understanding of records management and limited awareness of its importance in support of government business.
- Business, information management and technology requirements are not integrated or well aligned.
- The accountability framework for information management is weak and fragmented.

- The infrastructure of policies, standards, practices, systems and people needed to support the management of records is insufficiently developed.
- Government ministries lack the knowledge and tools required to assess the quality and integrity of the infrastructure and to take remedial action as required.

If these issues are not addressed then there is a real risk that the following business-related consequences would be experienced:

- reduced effectiveness and efficiency of government programmes and services
- reduced capacity for staff at all levels to make complete and informed decisions
- inability to assess the impact of government programmes
- increased operating costs as a result of growing needs for space, including time taken to find records
- wasted investment in technology because fundamental records issues were not addressed
- increased legal, financial, and political risk, for example, inability to respond to formal requests made under Freedom of Information legislation, litigation, parliamentary enquiries
- reduced transparency and accountability
- gaps in organisational memory.

The impact of these consequences reaches beyond the organisation. It affects the citizens (and civil society generally) that are supposed to be the beneficiaries of government programmes and services. Poor recordkeeping can lead to the following outcomes:

- poor and in-effective public services when programme-related information is inaccessible, inaccurate or out-of-date
- reduced access to entitlements and the erosion of basic rights when those rights and entitlements are not documented and cannot be verified
- reduced transparency, accountability and trust when the evidence of government decisions and activities is unavailable, inaccessible or untrustworthy.

What is Records Management?

Records management is the resource management function that addresses the issues described in the preceding section. Records management is responsible for the efficient

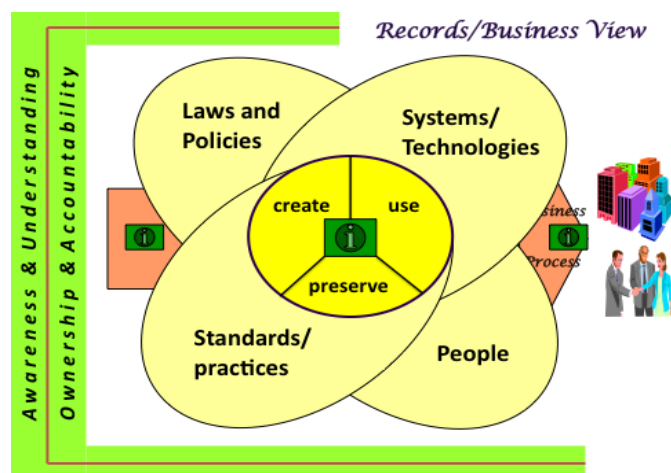
and systematic control of the creation, receipt, maintenance, use and disposition of records⁶. In short, it enables the trusted environment that supports the ongoing capture and continued accessibility of high quality and usable records that, regardless of their physical form, are authentic, reliable, accurate, complete, relevant and timely. If government information is to be trusted, it must demonstrate the basis for this trust.

Trust must be based on compliance with established official standards, confirmed at a senior level. The authority should be someone, normally a senior official (for instance, a principal secretary, chief information officer, director of administration, records manager), who has been delegated the responsibility for the effective management of records. The position and powers of the records management authority should carry the same weight as (and, in fact, are not dissimilar from) those associated with the corporate authority for human resources or finance. They are normally described in the accountability framework for the organisation or for the government. Similar to security and privacy requirements, requirements for the management of records (including electronic records) must be government-wide or agency-wide and must be respected across all of the individual components of the organisation(s) concerned.

The trusted environment itself is based on an infrastructure of records **policies, standards and practices, systems and technologies** and **people** managed through an **accountability** framework and **governance** structure that are managed by people with a high level of **awareness** and understanding of the importance of records to the organisation. Such an infrastructure must form an integral component of the organisation’s business; it must be integrated in the business processes and workflow of the organisation, and it must be configured in line with the mandate, functions, and business processes of the organisation and in direct support of its operational goals and priorities.

Components of the Records Management Regulatory Framework

A description of the components of the infrastructure for managing records follows.



⁶ For a complete definition see ISO Standard 15489, *Records Management*, which states that: ‘records management is the field of management responsible for the efficient and systematic control of the creation, receipt, maintenance, use and disposition of records, including processes for capturing and maintaining evidence of and information about business activities and transactions in the form of records’.

Awareness

Everyone in the organisation has responsibility for records and should be aware of both the role and importance of records and what must be done to ensure that they are well managed. Senior executives must understand that records are an organisational resource similar to human and financial resources and must be willing and prepared to introduce and oversee the necessary management structures.

Governance

As with other corporate functions such as human resources and finance, records management needs to be based on assigned accountability, beginning with the head of the organisation. Corporate governance structures normally identify an individual to serve as the corporate authority for records management on behalf of the organisation as a whole. In line with the accountability framework, the authority may be supported by human and other resources in delivering the records management function. The configuration of these resources (dedicated and/ or integrated into programme functions, full-time or part-time, in-house and/ or outsourced) is normally dependent upon the organisation's requirements. As with any corporate function, all staff in the organisation are responsible for managing records as corporate assets.

Policy

Records management policy should normally be in line with corporate policies for other valued assets such as money and people. Its scope and depth will vary according to the organisation but, in general terms, policies on records management tend to serve as high level frameworks that set the stage for the subsequent development of standards and best practices. For many organisations, if the policy does nothing else but assign accountability for the management of records and establish the means by which this accountability can be measured, it will have done its job.

Standards and Practices

Treating records as a corporate asset similar to money and people and managing them as such requires corporately sanctioned standards and procedures. These can range from standards for records classification and retention, to standards and good practices for handling specific types of records, such as electronic messages and attachments. They can be applicable to all records generated in the organisation, or they can be integrated into the standards and practices supporting individual business processes, for instance processing license applications or delivering benefits. Finally they can be either very rigid (ensuring adherence across the organisation) or they can be flexible (as in the case of high level corporate standards suitable for adaptation to meet programme-specific requirements). Regardless they are normally established based on corporately sanctioned approval processes.

Enabling Technologies

The goal of enabling technologies is to provide the trusted environment required to support the effective life cycle management of records from their creation to their final disposition. Technologies supporting the management of records can range from filing cabinets used to store paper records to disk drives and other electronic media used to store electronic records. Systems (ie the combination of technology, procedures, information and people designed to support a defined business purpose) can range from tracking systems for paper records to sophisticated electronic records management systems for managing the entire life cycle of electronic as well as paper records. Systems for managing records can range from stand-alone applications managed by centralised records units, or their functionality can be integrated into the design of business applications, some of which may be distributed geographically and/ or organisationally.

People

All staff at all levels in the organisation must be aware of the importance of records for which they are responsible and how to manage them. The required knowledge and skills may vary, however, according to the roles and responsibilities of individual staff members. For instance, those responsible for staff managing records (records management specialists, IT specialists, administrative staff) will need knowledge and skill requirements that go beyond what will be required by general programme staff. Regardless of the precise nature of the skills and knowledge for records management, building capacity goes beyond training. For instance, in order to identify knowledge and skill competencies, the work involved in generating and managing records needs to be translated into job descriptions (or components of existing descriptions) and accountability frameworks. This enables managers to establish appropriate skills competencies, assess and identify the competency gap, and develop recruitment and training strategies and performance measures.

The components of the infrastructure described above should be configured to reflect the following records management principles:

- **Availability:** Records must be created, acquired and maintained to document important activities and decision-making processes adequately.
- **Accessibility:** Records should be accessible to, and shared with, those who need to access them and have a right to do so.
- **Stewardship:** Business owners should be accountable for ensuring the accuracy, authenticity, relevance and reliability of records; records should be managed as valuable assets similar to human and financial assets.
- **Creation and Retention:** Records should be created, acquired, and retained only for valid business, legal, policy, accountability and archival needs.

- **Privacy and Security:** The security of records should be managed as a strategic resource throughout their life cycle (from creation or collection through storage, use, destruction or archival preservation).

Summary

In many organisations the perception of records is that they are simply the residue of administrative actions and that managing them means 'boxing them up' and shipping them to the records office or records center when they are no longer required. This chapter has demonstrated that records and records management are much more than this. Records are valued assets that must be managed as such throughout their life cycle if they are to serve their dual purpose as a trusted information source and as an instrument of accountability. The trusted environment supported by the comprehensive infrastructure described in this chapter enables records to serve this dual purpose.

CHAPTER THREE: SITUATION ANALYSIS

This chapter describes the general characteristics of Freedom of Information, e-Government and ICT strategy development, and it analyses barriers to the successful integration of electronic records management in each area. It describes strategies that have been used to overcome these barriers in relation to the components of the records management infrastructure that has been described, ie **policies, standards and practices, systems and technologies**, and **people** managed through an **accountability** framework and **governance** structure.

Reference is made to specific tools that can help advance the strategies described in this chapter, and these and other tools, techniques and information sources are described in detail in Chapter Four. This is based on the premise that while some tools and information sources are specific to individual priority areas, most are common across all three areas.

This analysis is based the review of relevant documentation as well as on informal consultation with key contacts in organisations around the world that are addressing the management of electronic records (see Appendix A).

Freedom of Information

Freedom of Information (FOI) legislation in most countries is designed to provide citizens with the right of access to information under the control of government institutions. Exemptions to this right are supposed to be narrow and specific. The objective is to support transparency and accountability as well as to enable greater citizen participation and oversight in government decision-making. Normally, a central government agency is

assigned responsibility for the implementation of the legislation, supported by policies that cover topics such as:

- establishing points of contact in each ministry
- processing requests, including time limits
- handling complaints
- setting fees for a range of activities such as making a request or processing an application
- reviewing and auditing the implementation of the legislation
- reporting FOI-related activity.

Some legislation may require the production of a register or directory of government information holdings. While all citizens have the right to make a formal request, the clients of this legislation are typically journalists. In some jurisdictions, the legislation provides for the establishment of an office of an ombudsman to whom citizens can direct complaints about the administration of the law including departmental refusals to provide requested information. The scope of such legislation normally extends to all forms of records including those recorded in electronic form.

In general, most institutions implementing FOI tend to experience the following issues and challenges:

- dislike of FOI: Ministries see it as something that will cause them to reveal information they would rather not have seen in the public domain.
- service standards: Many government organisations subject to FOI experience considerable delays in responding to formal requests within the time limits prescribed by the law (in some jurisdictions, within 30 days).
- awareness of responsibilities: Many managers are unaware of their responsibilities under FOI and, as a result, fail to understand the importance of documenting their decisions and activities and otherwise managing their records; this can lead to embarrassment and even more serious outcomes.
- governance: FOI offices are often situated within a corporate secretariat or equivalent organisational unit that has enterprise-wide responsibilities. While this helps to ensure objectivity and separation from the ongoing operations of the organisation, it can also lead to alienation, as business managers and staff fail to recognise the authority and importance of the office.
- status of records: The definition of record under FOI legislation varies from jurisdiction to jurisdiction, but generally it covers any recorded information generated in the course

of government business regardless of its location or physical form. Sometimes questions arise as to the status of records under the law or, worse, incorrect interpretations are made that can lead to complaints and accusations of legal non-compliance.

The characteristics, issues and challenges associated with FOI have a direct impact on the strategies that various jurisdictions have employed to address the management of records, including digital records. These are described below.

Analysis

Of the three priority areas, the connection between FOI and records management is usually the strongest. Effective implementation of FOI assumes that government officials across the organisation are documenting their decisions and activities and that records are being managed properly in line with corporate-wide policies and standards. FOI does not focus exclusively on one or several business lines to the exclusion of others, as can be the case with e-Government and IT strategy development. FOI cuts across all business lines, and its implementation (eg handling formal requests for information) must always be driven from the centre if the organisation is to comply successfully with the law.

In some jurisdictions, the introduction of FOI legislation has provided an important hook for enhancing records management, and in some cases, lifting it to where it is viewed as an important corporate function (either within an individual ministry or across the government)⁷. It has been an important catalyst for enhancing the awareness of government officials about the importance of records and the role records play in supporting their ability to hold themselves accountable for what they are doing.

While some may think that this is a marriage made in heaven, the experience of several jurisdictions would suggest otherwise or, at the very least, that caution needs to be exercised in how that alliance is forged⁸. Some of the challenges that have presented barriers to the advancement of records management in the context of FOI are as follows (based on the components of the infrastructure):

- Government officials are very much aware of FOI, but often in a negative sense (ie as something that can get them into trouble). If records management is too closely aligned with FOI, it can be painted with the same brush. Successful records management programmes often build **awareness** of FOI requirements within the context of explaining how records management can support the business of the organisation. Simply saying that ‘good records management can help save you from FOI’ is not helpful and in fact can detract from the understanding that business managers should have about the true value of records management.
- The implementation of FOI legislation is normally supported by policies issued from a central government authority that has been assigned accountability for coordinating

⁷ Cite Alberta IM

⁸ cite LAC

the implementation of the law. Among other things, these policies require ministries to assign **accountability** for the administration of the law within and across their organisations. At the very least, they require government officials to respond to formal requests in a timely and objective manner and to carry out other responsibilities that the law prescribes. However, normally they do not assign records management accountability, as this is not normally a legal requirement. If records management programmes are to position themselves effectively in an FOI regime, they need to ensure that as far as possible recordkeeping accountability provisions are integrated in the policies established for FOI and that records management accountability frameworks are in place to support them.

- In most jurisdictions, FOI **governance** features a strong central authority responsible for overall FOI implementation, with advisory committees comprising representatives from ministries as well as lead agencies responsible for such functions as security, legal affairs, communications, and audit. In some cases, a forum of ministry FOI co-ordinators may be established to facilitate communication and consistent approaches to FOI implementation. However, records management programmes are only occasionally included. In fact, FOI offices in ministries are normally located in organisational areas, such as the corporate secretariat, that are quite separate from existing records management offices. This is because the FOI office is usually seen as dealing with very specific issues associated with responding to access requests and does not deal with the broader infrastructure needed to respond to FOI requirements. If a national archive has a mandate to facilitate the management of government records, it may be part of the FOI governance structure. Carefully handled, this can help elevate the profile of the archives, as has been achieved in the UK by The National Archives. However, taking too active a role can have unwanted repercussions, as the archives can be seen as an agent of FOI and therefore a threat. This can make it hard to build partnerships with government ministries.
- FOI **policy** is normally very specific about what is required to implement the law. Unlike privacy legislation, which sometimes covers the entire life cycle of records, FOI legislation tends to be only about access. Records programmes that attempt to incorporate a comprehensive requirement to manage records throughout their life cycle in support of FOI implementation often fail because officials don't see records management as an essential requirement under a law that is solely about access. The more effective approach is to develop a separate records management policy that directly supports the business of the organisation, while at the same time supporting the implementation of FOI. This can be complemented by the insertion in FOI policies of provisions that require government officials to document their decisions and activities.
- Standards and good practices for implementing FOI cover topics such as the processing of formal requests and complaints and setting fees. They rarely include **standards and practices** for managing records. Rather than develop standards and practices dedicated to supporting FOI implementation, it is more helpful to develop the suite of records management standards and practices needed to support the wider business and accountability requirements of the organisation, which will make FOI compliance a

natural outcome. In many jurisdictions, most formal FOI requests are directed to areas of an organisation where sensitive decisions are being made. These are typically policy areas, senior executive offices and functional areas of the organisation where records management may be problematic and yet where the risk to the organisation may be high. If records management programmes want to use FOI to advance their aims, they should focus on applying standards and practices and overall advice and support on specific, highly sensitive areas of the organisation. They need to avoid being viewed as the front-end wedge for FOI across the entire organisation.

- FOI implementation requires **systems and enabling technologies**, but these are generally dedicated to supporting various FOI functions, such as logging and tracking requests. As is the case with policies, standards and practices, recordkeeping systems and technologies are not often seen by FOI implementers and administrators as being important in helping organisations comply with FOI legislation. If records management programmes can focus on sensitive areas where the risk of inadvertent disclosure or loss of records can have serious consequences for the organisation, they will have a better chance of introducing relevant and effective systems and technology solutions than if they try to introduce solutions across the entire enterprise
- FOI specialists tend to come from a variety of backgrounds. Some may come from records management, but most are from other disciplines, such as policy, research, or communications. In most jurisdictions, there is little interaction between records management specialists and **people** in the FOI office. Successful records management programmes incorporate awareness of records management in FOI training programmes, foster close liaison with FOI officials and use the relationship to determine how recordkeeping can be enhanced. Care needs to be taken to ensure that the focus on records management is not diminished by too close attachment to the FOI office. Recordkeeping, and the people supporting recordkeeping, should remain organisationally and functionally separate from the FOI office. Conversely, and in order to facilitate communication, FOI awareness sessions should also be provided to records management staff and incorporated in records management training programmes.

In summary, records management programmes that serve as the front end of an FOI implementation run the risk of being viewed as agents of FOI. Although there can be impressive gains at the outset, over the long term such a strategy can lead to a backlash when records management is painted with the same brush and FOI and government officials lose sight of the role records management can play in supporting their business. A more effective approach is to work with FOI officials to:

- Build FOI awareness into records management training and awareness sessions and vice versa, ie build records management awareness into FOI training and awareness.
- Target highly sensitive records areas in the organisation, in relation to the impact of FOI, and enhance records management practices accordingly.

E-Government

The objectives of e-Government initiatives are to:

- exploit web-based technologies in order to improve services to citizens
- facilitate the dissemination and availability of information (primarily via the web)
- establish a consistent 'look and feel' for government services offered through the web
- achieve economies of scale through the joint delivery of like or similar services supported by multiple organisations. Examples of such services are:
 - ◊ tax collection (the collection of taxes tends to be one of the first e-Government applications)
 - ◊ applications for benefits
 - ◊ licensing
 - ◊ corporate registration.

In most cases, governments recognise that if they are to reach all citizens then they must support multiple channels (eg over-the-counter, telephone, regular post) in addition to the web-based electronic channel.

In many cases the evolution of e-Government proceeds through five main levels:

- 1 establishing a presence on the web
- 2 delivering transaction-based services via the web
- 3 establishing inter-jurisdictional arrangements for the delivery of related services (for instance, grants and contributions, security, environment)
- 4 focusing on the enhancement of services as a distinct priority independent of technology with a view to improving service delivery and closing the gap between citizens and their governments
- 5 enabling greater engagement of citizens in government processes (eg policy development, decision-making) based on the use of emerging technologies promoting collaboration and interaction (eg wikis, facebook, twitter, web 2.0 technologies).

While many e-Government strategies include the need to support internal communications and internal service delivery to public servants within a given jurisdiction, this dimension is often subsumed under the much higher profile initiatives directed to citizens.

Analysis

From a records management perspective it is important to recognise the level of maturity of any given e-Government initiative. At level one (establishing a presence on the web) the focus tends to be on developing and applying standards that give government web sites a common 'look and feel' and on publishing information on the web. This is why communications areas of organisations tend to lead most e-Government initiatives at this level of maturity. Given that the maturity level generally reflects a publishing environment, records management issues are not significant (except where it is critical that there be links between the published output posted to the web and the records that document its production). One activity that may impact on records management is the effort to develop metadata standards and schema to support information discovery across the Government's web environment. This is often a useful entry point for records managers because they can contribute their expertise to the effort and draw benefit from it at a later stage of e-Government maturity when metadata issues associated with transaction-based e-Government applications become significant.

Records management considerations become more significant at higher levels of maturity, where organisations become increasingly concerned about managing the integrity of records generated by transaction-based e-Government applications, for instance where citizens apply for benefits or licenses online. At these levels of maturity, records management programmes should focus on integrating records management considerations into the design of the applications. It is important to pay attention to such issues as establishing consistent approaches to developing comprehensive classification schemes, cross-application metadata models and retention standards so that they do not inhibit the so-called single window access to services that this level of maturity promotes. Records managers can serve as authoritative experts in this regard, and this can help to position the records management programme in relation to the e-Government initiative.

As organisations establish robust, integrated, and web-enabled applications, they begin to focus on enhancing service provision. Entire programmes have emerged that focus on managing improvements in the government's interaction with its citizens. Setting service standards, improving the quality of service and addressing equality of access are just a few of the issues that emerge when organisations migrate to this level of maturity. Building on its involvement in addressing issues experienced at earlier levels of maturity, records management has an opportunity to support the 'service' agenda by helping organisations document the service they provide via the web.

Organisations at even higher levels of maturity are those that are designing and adopting corporate approaches to the use of collaboration tools (eg web 2.0) that are designed to promote greater citizen participation in government decision-making processes. Work has been underway in some jurisdictions to explore the implications of these tools on recordkeeping and the ability of organisations to manage the documentary trail of the collaboration experience⁹. If records management programmes are to be positioned

⁹ For an example, see: "Engage: Getting on With Government 2.0 - Report of the Government 2.0 Taskforce" (Canberra, Australia, December, 2009) and the "Government Response to the Report of the Government 2.0 Taskforce", (Canberra, Australia, May, 2010)

effectively, they should become involved in related efforts in their own organisations and offer their expertise to solve complex issues such as what should be kept (and why), how it should be kept, and where it should be kept and accessed.

Finally, it is important to note that while the focus of e-Government is on the web, most governments recognise that they must support multiple means of service provision, such as over-the-counter, phone and mail. This means that the records generated to support certain applications, such as licensing, may be in multiple forms. Records management programmes have a role to play in helping their organisations build the necessary connections across the various record types in order to ensure that the 'story' is captured and maintained.

Turning to **awareness** as the first component of the records management infrastructure, most e-Government initiatives do not pay much attention to records management at the early stage of maturity. While records issues may not be acute at this stage, it is important to begin setting awareness about the records issues that will emerge as the organisation moves to higher levels of maturity and begins to web-enable key business applications such as licensing. If records management programmes are to be successful, they should begin the awareness-setting process early with a view to embedding themselves in the e-Government initiative so that they can bring records management onto the e-Government agenda gradually.

Assigning **accountability** for records and records management becomes more important as Government agencies move to higher levels of organisational maturity. Accountability for e-Government often rests initially with the communications area or equivalent. At later stages of maturity, accountability may shift to the corporate center, which takes on responsibility for co-ordinating e-Government activities with the agencies that are seeking to web-enable their services. This is the appropriate time to introduce accountability for the effective management of records, normally as a component of the policies developed for the e-Government applications. Assigning accountability for the management of records generated in inter-jurisdictional arrangements, where ownership and stewardship may be more difficult to establish, is particularly challenging. The potential for success is highest where records management programmes have participated in discussions leading to accountability frameworks, which should include accountability for the associated records. Interestingly, archival organisations tend to focus on their role in using the web to make their holdings more widely available rather than on helping to ensure that as e-Government initiatives address records management issues as they evolve. The absence of a lead agency, ideally the National Archives, can seriously hinder the effort to position records management within the context of e-Government.

As e-Government evolves, **governance** structures shift, and leadership tends to move from the communications area to a central coordinating authority. If records management programmes are to be positioned effectively, they need to recognise this shift and to discover when, where and with whom they should liaise to enhance and strengthen their role. This may mean becoming members of advisory committees early on, even though they may not contribute a great deal to e-Government initiatives initially. Later it will be important to become a part of the governance structure so that records management

considerations can be reflected in the agreements or charters governing the modification of transaction-based applications for the web. If National Archives are mandated to facilitate records management, they can serve in this leadership role. This becomes very important when inter-jurisdictional arrangements are established across jurisdictional boundaries, as when citizens are provided with single window access to multiple, related business applications. Their absence will seriously erode the progress of the e-Government initiative, especially at the whole-of-government level.

The potential for records management programmes to position themselves effectively in e-Government initiatives will increase significantly if they are able to embed records management **policy** provisions within the policies established for the e-Government initiative, especially at later stages of maturity. It is particularly important to introduce policy statements that assign accountability for the life cycle management of records and require the integration of recordkeeping standards and practices within the design of e-Government applications.

In the early stages of e-Government maturity, initiatives tend to focus on **standards and practices** for enhancing a common look and feel of information provided on websites as well as facilitating access to government information, including information about government services. During these early stages, records management input should focus on supporting the development of metadata standards and schema for providing access to web publications. Over time, however, as web-enabled transaction-based applications (eg licensing) are introduced, records management could provide significant contributions to the development of the more sophisticated metadata standards and schema required to manage the records generated by these applications but to do so in manner that ensures access to all web records regardless of where and how they have been generated.

As web-enabled transaction-based applications are planned, standards and practices to support the management of the entire life cycle of the records the applications generate should be developed as a natural part of the standards and practices for the applications as a whole. At this stage, they should be tailored to the specific functional area concerned. Later, when multiple business applications are being web-enabled and the organisation is introducing common corporate-wide standards, for instance for security, it will be important and feasible to introduce corporate-wide records management standards. It is important to recognise that the most acute records management issues in the applications systems environment relate to retention and preservation, and sometimes to establishing authenticity, so these issues should be the focus of records management concerns. Other stages of the records life cycle are generally addressed, for better or for worse, as part of the broader set of standards.

At early stages of maturity, the enabling **systems and technologies** tend to be 'web production tools' used to process content from various sources so that it can be 'published' to the web. For instance, a policy on water resources management may have been approved as a printed paper-based WORD document. However, when it is posted to the ministry's web site it must be converted to a form that enables it to be accessed and read through the use of web browsers. Special-purpose, software-based web production tools support the steps involved in converting, formatting and posting documents of this type.

These tools also support the design and management of the web site itself. For instance, they are often used to retain the records documenting the 'production' (or 'publishing') process or the management of the web site itself.

Concerns have been raised that such records could be subject to loss because the web production tools do not support the full range of requirements that would enable them to be called recordkeeping systems. Generally, web production tools do not support the management of records throughout their entire life cycle. For instance, in the example of the water resources management policy, records documenting the key conversion and posting stages may be retained but these may lack sufficient metadata to enable them to be accessed and understood in the future and they may not be supported by retention specifications. Moreover, they may not contain the metadata required to link the records generated in the web production or publishing process, which is often controlled by a communications office, with the records documenting the development of the approved WORD version that may be held by the policy office in a different area of the Ministry. This gap between the records generated in a program area and the records generated during the publishing process means that the full story of how a given policy (or any document posted to the web site) was developed would not be available.

These issues become more critical when governments web-enable their transaction-based applications and fail to recognize that the transaction records generated through the web site are being managed by web tools that generally do not have recordkeeping capabilities. Over the past few years, there has been growing interest in finding ways of integrating, or at least linking, web production tools with electronic document and records management systems (EDRMS). EDRMS's are typically employed in office environments (eg the policy office generating the water resources management policy) and seldom reach the communications areas where records are being generated that document web production and publishing processes. Records management could play a significant role in advising on and even leading efforts to explore how an EDRMS could be employed to provide the recordkeeping capability not currently reflected in the web production tools used by a given ministry. They could facilitate the development of the functional requirements and work with web production specialists to ensure that records were being managed through their life cycle. In the policy example this would result in all records, from those documenting the initiation of the policy development effort and the preparation of key policy drafts to those documenting the posting of the approved policy on the web site, being managed in a comprehensive manner regardless of the organisational boundaries that may exist within the ministry.

At early stages of e-Government maturity, the **people** most involved are communications and electronic publishing specialists. Few of them are familiar with records management or with records issues. Typically, they operate at a considerable distance from the records management community. Equally, records management specialists often lack expertise in web content management. This becomes an issue when the organisation matures to the point where it is 'web-enabling' its application systems and it becomes critical to document the transactions that take place on the web, which most often involve citizens. Even then, it is not critical that records specialists develop a deep knowledge of systems design. What is critical is that they know how to integrate records management considerations in the design

of such applications and that they are able to work in a team alongside other specialists, such as IT and business applications specialists, to help facilitate the integration process.

ICT Strategy Development

ICT strategies can take many different forms. They can be very specific in relation to a specific function (for instance automating the processing of license or benefits applications or the payroll process), or they can be very broad and can address the systems and technology requirements of the entire organisation, for instance, establishing common hardware and software platforms. They can also be a combination of the two (integrating business applications on a common hardware/ software platform). Regardless of their type, they are normally developed within a framework or infrastructure of:

- policies (what needs to go into a strategy, how they it is developed, who is responsible)
- standards and practices (systems development methodologies, business systems analysis techniques, modeling)
- enabling technologies (automated systems development methodologies, data management tools such as data dictionaries)
- people (systems analysts, business managers) supported by governance structures, such as ICT committees, and accountability frameworks.

ICT strategies may be:

- strategic (setting strategic direction for ICT deployment based on the strategic business priorities of the organisation)
- tactical (addressing technology platform changes)
- specific to a single function (setting out the business case for a new or modified system and describing what will happen at each stage of the systems development life cycle).

ICT strategies are always based on the needs of the business, and those needs are nearly always expressed as requirements. The requirements can vary. At the level of the enterprise, they may address organisation-wide issues, for instance, the technology platform that needs to be in place across the organisation, or the ICT standards that need to be applied across functions. At the level of the specific function, they may be expressed in terms of what the system is required to do to support specific business objectives. Even when the focus is on specific functions, there is normally a requirement to respect standards and practices established at the enterprise-wide level. For instance, all systems will respect security standards. Regardless of the ICT environment or the level of the organisation the ICT strategy is addressing, successful strategies are those that are in line with and directly supportive of the operational and strategic direction of the business.

Analysis

Regardless of whether the ICT strategy is developed in relation to individual applications or whether it is enterprise-wide, few ICT managers and specialists are aware of the need to introduce records management as part of the strategy development process. ICT specialists will often argue that it is the responsibility of the agency concerned to express records management requirements. However, the managers within the agency usually lack the expertise to properly identify these requirements and often overlook the valuable role records managers can and should play. Unlike FOI and e-Government, where records management involvement has to be specific and strategic (carefully picking when, where, and how records management intervention should occur), involvement in ICT strategy development should be comprehensive, extensive and multi-faceted. Records managers should be seen as valued partners who have much to contribute to the wide range of important topics typically covered in an ICT strategy. Their knowledge of the business, its functions, activities and processes can be instrumental in supporting the enterprise architecture component of the strategy as well as those components addressing application systems planning and design. Their knowledge of classification, description, and preservation can help address the data and information management dimensions of the strategy.

It is important to develop the **awareness** of ICT specialists and even more important to create awareness among the business managers who are ultimately responsible for the applications (eg licensing) supported by ICT's. The business managers are responsible for expressing the requirements that will guide the planning, design and implementation of the systems. Although facilitated by ICT specialists, business managers are ultimately responsible for the requirements and for the records generated and managed by the system.

Records managers will be most successful if they direct their awareness raising activities in this direction. This will be especially important if the organisation is developing an enterprise-wide ICT strategy that involves the active participation of business managers. All of those involved in such a development effort, but especially business managers, need to be aware of and understand what it means to be responsible for the records generated as a result of the implementation of the strategy.

The lack of well-defined and clearly assigned **accountability** for records management in an ICT environment is one of the greatest weaknesses facing record specialists. For this reason, records management programmes should ensure that such accountability frameworks are in place and are reflected in corporate-wide policies. The benefits are considerable, because the accountability framework will clearly distinguish the responsibilities of the business manager (for the system and the records), from those of the ICT specialists (for facilitating the design and implementation of the system) and from those of the records specialists (for facilitating the establishment of the infrastructure needed to manage the records generated by the system).

This is especially important in the case of an EDRMS, where business ownership is critical. Unsuccessful EDRMS implementations are often those where ownership of the system appears to rest solely with the records manager. Little wonder that many EDRMS projects fail when a business owner or owners cannot be identified, there is only tacit support from senior management and the application is seen as belonging solely to the records manager. Successful implementations tend to be those where the system is planned to support the needs of one or several business owners or where the senior executive has mandated the deployment of the system, often because of the critical nature of the information generated across the organisation.

ICT strategies, whether at the application level or the enterprise-wide level, tend to be led by ICT specialists who will seek business management signoff of the final strategy but generally will not consider the records management implications. Within this approach to **governance**, records managers need to position themselves to influence the life cycle management of records. To be successful, they must ally themselves with the ICT area but at the same time, work closely with the business areas to ensure that business concerns are addressed in requirements definitions. They should also be involved in the governance structures established to oversee the entire systems development life cycle (in the case of application-specific ICT strategy developments), or the roll-out of enterprise-wide systems and standards (in the case of enterprise-wide ICT strategies). National Archives have a role to play in the governance structure for ICT strategies and should seek to be represented on key ICT committees. However, they need to be clear about their role and what they are bringing to the table. If it is to use their role in facilitating the management of records, in addition to their cultural role, then they will be welcomed as partners.

In highly structured environments supporting business critical application systems, records issues tend to be associated with retention and preservation and occasionally the attributes of records authenticity. In less well-structured environments, such as policy development or research, where work processes are less well-defined and decisions and activities are often documented in email and attachments scattered across an organisation, the records issues tend to span the entire records life cycle. Care needs to be taken to determine where, when and how records management **standards and practices** should be applied.

A large number of records management tools can be used to manage records in a digital environment, and these are complemented by standards that establish the framework for records management compliant systems and programmes. The challenge is to position these standards effectively in the ICT environment. Unfortunately, they are either not being used or they are being applied in a manner that is not seen to be relevant to the actual needs of the organisation. To be successful, records programmes need to take care in refining and tailoring their various instruments (either locally developed or developed at the national and international levels) to fit the needs of the organisation, often in sophisticated digital environments.

Systems and technologies that enable records management in a digital environment are growing in number and sophistication. These are largely being driven by requirements developed in Europe, the US, and, more recently, by the International Council on Archives. For the most part, however, these requirements relate to electronic document and records

management systems (EDRMS). These systems tend to be used in the unstructured environment, where work processes are poorly defined and email is the dominant form of communication. As mentioned earlier, the implementations that are most successful are those that relate to important business functions and activities where business managers realise that the records they generate have to be managed carefully. Too often, however, EDRMS implementations require universal compliance by everyone (eg filing of records), thus generating ill will by those who see this as unwarranted corporate intrusion.

Records management technologies that can be integrated into large highly significant business critical application systems managed by applications software such as SAP have yet to be developed. It has been argued that records managers could achieve greater success and a greater level of credibility if they could contribute solutions to critical records issues inherent in the application systems environment, such as how to manage retention and disposition, establish a preservation strategy, set requirements for automatic records capture, and confirm and capture authenticity attributes.

The **people** associated with ICT development are typically computer-processing specialists or systems design specialists. There may also be database design or data management specialists who have an understanding of how the information content is generated and managed by application systems but who do not have knowledge of records management requirements. These two groups, as well as systems analysts who understand the information dimension, can be important allies. Business managers who are aware of the need to address records issues can also be important allies in helping to get records management considerations incorporated in the design of a system. The most powerful allies, however, are the government stakeholders themselves, especially at the executive level of organisations. In too many cases, however, records managers, lack the knowledge and skills needed to forge these alliances and participate effectively in ICT strategy development efforts. Enhancing the knowledge and skills and overall capacity of records managers to perform this role is fundamental to the success of any records management programme.

Competency profiles produced in Canada and by ARMA International provide a good foundation for guiding appropriate training and education strategies. The most relevant training materials and programmes are those that embrace both the theoretical and the practical. Examples include the training modules produced by the International Records Management Trust, the course programmes offered by some universities and some government-based training programmes. Some vocational training programmes, especially when linked to university level graduate programmes, can also be valuable.

Summary

The following points summarise the key results of the analysis described in the previous sub-sections.

- While incremental steps in building and implementing strategies for managing records in relation to FOI, e-Government and ICT strategy development are sensible, these

should be positioned within a broader vision of the records management infrastructure described earlier in this sub-section. The goal should not be limited to finding immediate solutions to specific records management issues but to build towards a comprehensive records management infrastructure supported by an effective, relevant, and sustainable records management programme.

- Understanding the characteristics and challenges associated with FOI, e-Government and ICT strategy development is fundamental to building records management solutions. What is the scope of these programmes? Are they enterprise-wide or function specific or both? For instance, FOI tends to be enterprise-wide, and all agencies must be prepared to respond to the legal requirements equally. E-Government may seem to be enterprise-wide but in fact, it often touches only specific areas, such as communications, specific web-enabled, client service-oriented applications. Finally, an understanding of the level of maturity should be established. This is especially true of e-Government, where records management requirements at early levels of maturity can be very different from those experienced at later levels of maturity. This understanding should help to identify and define records management issues.
- Successful records management initiatives are those that are supported by staff with the knowledge and skills, and therefore the confidence, to work closely with key partners who will be instrumental in ensuring that identified records issues are addressed.
- Understanding the landscape, developing capacity and building partnerships are all fundamental to moving forward with solutions to managing records in the electronic environment.

CHAPTER FOUR: TOOLS, TECHNIQUES AND SERVICES

The previous chapter described the characteristics of FOI, e-Government and ICT strategy development and how records management programmes should position themselves in each area. This chapter focuses on tools, techniques and information sources that will be helpful to organisations seeking to address the records management issues that have been identified. The aim is to help 'jump start' digital records initiatives and avoid 're-inventing the wheel', or developing tools and techniques that are already available and can be adapted for use in other jurisdictions and situations. Some of the tools and techniques are specific to one or more information processing environments (e.g. structured, unstructured and web), while others can and should be applied across the entire organisation.

The tools, techniques and information sources identified here have been created and used largely in commonwealth countries, which share cultural and juridical backgrounds. They do, however, have generic relevance. They are described below according to the main components of the records management infrastructure described in Chapter Two and should be reviewed in the context of the guidance presented in Chapter Three. A complete list of relevant web sites is contained at Appendix C.

Awareness

Records management **awareness** tends to be very weak among those involved in FOI, e-Government and ICT strategy development. Building awareness of relevant issues should be a first priority if key individuals in these areas are to be active and informed partners. Records managers cannot achieve success alone. They need the support and co-operation of stakeholders (business managers and staff, and other discipline-specific specialists such as ICT, security and legal services specialists). They also need a senior champion who can represent the issues at the executive level and serve as a catalyst for advancing the records management programme both strategically and operationally. The champion need not be the head of administration or the chief information officer. Ideally, he or she should be a senior executive responsible for a key business area who understands the need to address records management issues at an organisation-wide level. Such a champion, along with other key players, needs to be aware of and to understand records management issues and their consequences for fulfilling their responsibilities effectively.

Examples of general awareness tools and techniques that can be used to enhance stakeholder awareness are as follows:

- The brief brochure entitled “Case for Action”, produced by Library and Archives Canada and distributed to senior level audiences across the Government of Canada, should be referenced. See: <http://www.collectionscanada.gc.ca/obj/007/f2/007-1007-e.pdf>
- The International Records Management Trust produced an excellent E-records Readiness tool specifically tailored to senior-level audiences concerned with getting an overview of where their organisations may be at risk from a records management perspective. See: http://www.nationalarchives.gov.uk/rmcas/documentation/eRecordsReadinessTool_v2_Dec2004.pdf
- General information on electronic records for business managers can be found in the Canadian Treasury Board Secretariat’s Information Management Resource Center: “Information Basics” is one example: <http://www.tbs-sct.gc.ca/im-gi/imrc-crgi/imb-rgi-eng.asp>
- Before archives embark on the development of electronic records strategies, they should refer to: “Archives and Current Records: Towards a Set of Guiding Principles”, which was produced by the International Council on Archives. See: <http://www.ica.org/en/node/30039>
- Inspiration for key executive level messages can also be drawn from: Hofmann, Hans and Reed, Barbara (2008) “Records - Essential Business Enablers”, in *ISO Focus* April 2008 as well as Government of Alberta, “Information Assets in the Government of Alberta: A Management Framework”, (October 2003).

Accountability

There is a need to define accountability frameworks that can be integrated in the wider accountability frameworks for FOI, e-Government and ICT strategy development, which can be quite distinct. The accountability framework for records management is the weakest of any of the accountability frameworks established for resource management functions such as human resources and finance. This is why it is so important to address this issue at an early stage if progress is to be made on reflecting records management considerations in each of the priority areas.

Examples of accountability frameworks that could serve as useful models are as follows:

- The “Directive on Information Management Roles and Responsibilities”, produced by the Canadian federal government’s Treasury Board Secretariat, contains some provisions that would be useful in developing accountability frameworks for digital records see: <http://www.tbs-sct.gc.ca/pol/doc-eng.aspx?section=text&id=12754>
- The Government of Alberta’s “Accountability for Information Management: A Model” is another useful product that should be referenced. See: <http://www.im.gov.ab.ca/publications/pdf/InfoMgmtAccountabilityModel.pdf>

Policies

Policies are normally required to articulate the accountabilities and responsibilities of various players or to frame records management. Policy development need not be an onerous time-consuming effort and, in fact, the most successful policies are those that are brief and that focus on high level principles, general recordkeeping requirements and the assignment of accountability. If a policy does nothing else but assign accountability for the management of records, it will have done its job. Guidance on addressing the principles and requirements is normally issued separately at a level below the policy and standards. Successful policies are those that directly support the business of the organisation. They can be stand-alone and/or their provisions can be integrated in other policies.

Examples of model policies that could serve as useful models are as follows:

- A policy that other jurisdictions have used as a model is the Management of Government Information Policy developed by the Canadian federal government’s Treasury Board Secretariat. It can be found at: <http://www.tbs-sct.gc.ca/pol/doc-eng.aspx?id=12742>
- Other policies that may be useful include the following:
 - ◊ the policy, “Information Management and Information Technology Management”, produced by the British Columbia Ministry of Finance is a good example of an integrated IM and IT policy. See:

http://www.fin.gov.bc.ca/ocg/fmb/manuals/CPM/12_Info_Mgmt_and_Info_Tech.htm

- ◇ See also the Government of Queensland IM policy:
<http://www.ggcio.qld.gov.au/SiteCollectionDocuments/Architecture%20and%20Standards/QGEA%202.0/Information%20Management/Information%20Management%20Policy%20Framework.pdf>
- ◇ Circular A-130, produced by the Office of Management and the Budget is the US Government's policy on information management. See:
http://www.whitehouse.gov/omb/circulars_a130_a130trans4/). This policy has some weaknesses and should be used with care.

Governance

Governance structures should be aligned with the governance structures established for FOI, e-Governance or ICT strategy development. Each area reflects a distinct community or partners, including IT specialists for ICT development; web content and communications specialists for e-Government; legal services and corporate secretariat officials for FOI. However, these areas are continually evolving, for instance e-Government migrating through various maturity levels, which can lead to potential changes to the structures over time. The records management programme must position itself carefully. For instance, in the case of FOI, too close an affiliation with the FOI governance structure could be detrimental for the reasons outlined in Chapter Three. In the case of e-Government, participation at an early stage of maturity may not be critical, but at higher levels of maturity the need for more active participation will increase. In the case of ICT strategy development, records management programmes need to be very articulate about their role, their needs, what they are offering and what they are expecting from others. Demanding that retention and disposal schedules be in place for all electronic records generated in all systems is not likely to be well received; but being able to help articulate records issues in business terms and offer the assistance and expertise needed to address the issues is usually appreciated.

Examples of governance structures that might be useful to examine may be found in:

- Government of Alberta:
 - ◇ "Information Management planning"
<http://www.im.gov.ab.ca/publications/pdf/IMPlanningGuide.pdf>
 - ◇ Information Management Strategic Plan: 2006-2011
<http://www.im.gov.ab.ca/imf/pdf/InfoMgmtStrategicPlan.pdf>

Standards and Practices

Standards and practices are needed to support the effective management of records in relation to FOI, e-Government and ICT strategic development and should be applied in the context of the standards and practices for each area. Their approval for use in the priority areas should proceed through a formal approval process involving all key stakeholders.

- Records management standards and practices should be integrated in the procedures for implementing FOI, although this may be more difficult and ultimately unsuccessful if FOI implementation is narrowly focused on what is required to respond to formal access requests.
- Records management standards and practices must be introduced in line with the evolution of the e-Government environment. Standards focusing on metadata may be more relevant at an early maturity stage, as compared to later maturity stages where standards covering the entire life cycle may be more relevant. The standards and practices themselves can range from high-level principles to lower level procedures. Regardless, as much as possible they should be based on internationally or nationally approved standards.
- In the case of ICT strategy development, they should be integrated wherever possible in every stage of the development life cycle of the system: planning, defining requirements, designing, testing, implementation and maintenance.

Examples of standards and practices employed by others that can be adapted for use in support of records management initiatives are as described below.

Models

Two important models are:

- The Open Archival Information System, which was produced by the Consultative Committee for Space Data, is widely used to model the activities supporting digital preservation; it is available at: <http://public.ccsds.org/publications/archive/650x0b1.pdf>.
- The Chain of Preservation model was produced by the INTERPARES project. Although very complex, it is used to illustrate the process for managing the preservation of electronic records; it is available at: <http://www.interpares.org/ip2/book.cfm>.

Standards

The Records Management standard (ISO 15489) produced by the International Standards Organisation is a highly respected standard that has been widely used and should be accounted for in any electronic records initiative. It is available at:

- Information and Documentation – Records Management – Part 1: General
http://www.iso.org/iso/catalogue_detail.htm?csnumber=31908
- Information and documentation -- Records Management -- Part 2: Guidelines
http://www.iso.org/iso/catalogue/catalogue_tc/catalogue_detail.htm?csnumber=35845.

The focus of ISO 15489 is on the records management function and supporting systems.

Two significant draft standards oriented towards business managers are:

- Information and Documentation – Management System for Records – Fundamentals and Vocabulary: <http://drafts.bsigroup.com/Home/Details/524>
- Information and Documentation – Management System for Records – Requirements
<http://drafts.bsigroup.com/Home/Details/521>

Other important ISO standards are:

- Information and documentation -- Records management processes -- Metadata for records -- Part 1: Principles:
http://www.iso.org/iso/catalogue/catalogue_tc/catalogue_detail.htm?csnumber=40832
- Information and documentation -- Managing metadata for records -- Part 2: Conceptual and implementation issues:
http://www.iso.org/iso/catalogue/catalogue_tc/catalogue_detail.htm?csnumber=50863
- Information and documentation -- Work process analysis for records:
http://www.iso.org/iso/catalogue/catalogue_tc/catalogue_detail.htm?csnumber=43391

The International Council on Archives (ICA) has produced a guide, “Principles and Functional Requirements for Records in Electronic Office Environments” that comprises three modules, two of which (Modules 1 and 2) are currently moving forward to become ISO standards:

- Module 1: Overview and Statement of Principles (<http://www.ica.org/en/node/38972>) describes a set of principles that should be inserted in the principles that guide ICT development generally
- Module 2: Guidelines and Functional Requirements for Electronic Records Management Systems (<http://www.ica.org/en/node/38970>), which describes the functional requirements for electronic records management systems, is most appropriate in less structured environments

- Module 3: Guidelines and Functional Requirements for Records in Business Systems (<http://www.ica.org/en/node/38968>), which describes the functional requirements for records in business systems, is most appropriate in more appropriate in highly structured business applications environments
- The Australasian Digital Recordkeeping Initiative has produced a useful standard called “Digital Record Export Standard”, which is available at: <http://www.adri.gov.au/products/ADRI-2007-01-v1-0.pdf>

Guides

The following noteworthy guides should be referenced for the support they could provide to digital records management initiatives:

- while the training materials produced by IRMT are referenced under the ‘people’ sub-section below, the information they contain should be referenced for the very useful guidance they provide on managing digital records. See: <http://www.irmt.org/educationTrainMaterials.php>.

Several national archives have produced guides that could be useful in addressing the management of electronic records. These are as follows:

- The National Archives of Australia (<http://www.naa.gov.au/records-management/publications/index.aspx>) offers a number of excellent guides; among them are the following noteworthy products:
 - ◊ “Digital Recordkeeping - Guidelines for Creating, Managing and Preserving Digital Records” http://www.naa.gov.au/Images/Digital-recordkeeping-guidelines_tcm2-920.pdf
 - ◊ “Guidelines for Implementing the Functional Specifications for Recordkeeping Functionality in Business Information Systems Software” http://www.naa.gov.au/Images/BISGuidelines_tcm2-1022.pdf
 - ◊ “Archiving Web Resources: Guidelines for Keeping Records of Web-based Activity in the Commonwealth Government” http://www.naa.gov.au/Images/archweb_guide_tcm2-903.pdf
- The Library and Archives Canada has produced guides on digital records management. Among them are the following noteworthy products:
 - ◊ “Guidelines For Records Created Under a Public Key Infrastructure Using Encryption And Digital Signatures” see: <http://www.collectionscanada.gc.ca/government/products-services/007002-3015-e.html>

- ◇ “Email Management in the Government of Canada”; see: <http://www.collectionscanada.gc.ca/government/products-services/007002-3005-e.html>
- ◇ “Guidelines for Computer File Types, Interchange Formats and Information Standards”; see: <http://www.collectionscanada.gc.ca/government/products-services/007002-3017-e.html>
- Archives New Zealand has developed a comprehensive guide (with cross reference to specific guidance) on “Digital Recordkeeping”; it can be found at: <http://www.archives.govt.nz/advice/public-offices/digital-recordkeeping#guides>
- The National Archives in the United Kingdom has produced some excellent and comprehensive guidance on the management of digital records albeit the focus is on their management from an archival perspective; see “Digital Continuity Project” at: <http://www.nationalarchives.gov.uk/information-management/projects-and-work/dc-service.htm>
- The US National Archives and Records Management Administration has invested considerable resources in the Electronic Records Archives (ERA) programme. Although specific products that could be useful to developing countries have yet to be prepared, it would be useful to keep abreast of ERA developments. See: <http://www.archives.gov/era/about/>; NARA’s records management services programme is relatively weak in comparison to the ERA initiative (see: <http://www.archives.gov/era/rms/index.html>)
- Several products are available through the Canadian Treasury Board Secretariat’s Information Management Resource Center located at: <http://www.tbs-sct.gc.ca/im-gi/imrc-crgi/imrc-crgi-eng.asp>
- State and provincial records and archives programmes in the US, Canada and Australia have produced guides that could be useful in advancing the development of digital records programmes. Among them are the following noteworthy examples:
 - ◇ The State Archives of New South Wales has produced a useful guide on “Managing Digital Records” available at: <http://www.records.nsw.gov.au/recordkeeping/government-recordkeeping-manual/guidance/guidelines/guideline-22-managing-digital-records/>
 - ◇ The “Victoria Electronic Records” (VERS) project, sponsored by the Public Record Office of the State of Victoria, should be reviewed for its potential to facilitate the establishment of electronic records archiving strategies for government records. See: <http://www.prov.vic.gov.au/vers/vers/default.asp>
 - ◇ The Australasian Digital Recordkeeping Initiative has produced a useful guide called, “Model Plan for an Archival Authority Implementing Digital Recordkeeping and Archiving” which is available at: <http://www.adri.gov.au/products.aspx>

- The Government of Alberta’s Information Management web site (<http://www.im.gov.ab.ca/>) is one of the best in Canada. It supports a number of important guides and related products; an example is the guide on, “Managing Electronic mail in the Government of Alberta”, <http://www.im.gov.ab.ca/publications/pdf/ManagingEmailGuide.pdf>
- An excellent set of guidance (including a toolkit) that has been designed to support the needs of developing countries are the products produced by the Pacific Area Regional branch of the ICA; see: <http://www.parbica.org/publications.htm> and <http://www.parbica.org/Toolkit%20pages/ToolkitIntropage.htm>
- Although the focus is on records access, The Ontario Privacy Commissioner has produced a useful guide on, “Electronic Records: Maximizing Best Practices”. See: <http://www.ipc.on.ca/images/Resources/elecrec.pdf>
- One of the best guides produced by any US state is, “Electronic records Management Guidelines”, produced by the Minnesota Historical Society: <http://www.mnhs.org/preserve/records/electronicrecords/erguidelines.html>; this guide focuses on the integration of electronic records management in the systems development life cycle (see also under the ‘systems and technologies sub-section).
- The Kansas State Historical Society has produced a useful guideline on electronic records management, which is available at: <http://www.kshs.org/government/records/electronic/electronicrecordsguidelines.htm>
- Another notable electronic records handbook was produced by the State of California. See: <http://www.osp.dgs.ca.gov/recs/erm.htm>)

Other organisations around the world have also produced useful guides and handbooks. These include the following:

- See the list of products that emerged from the Indiana University Electronic Records Project at: <http://www.osp.dgs.ca.gov/recs/erm.htm>.
- The European Commission-funded project called ‘European Resource Preservation and Access Network’ (ERPANET) produced a number of authoritative guides that focus on digital preservation; see: <http://www.erpanet.org/guidance/index.php>
- The European Union funded project, ‘Preservation and Long-term Access through Networked Services’ (PLANETS) resulted in a large number of products some of which could be useful to those establishing digital records management programmes; however, given the theoretical nature of many of the products care should be taken in making the selection; see: [http://www.planets-project.eu/publications/?search\[0\]=9](http://www.planets-project.eu/publications/?search[0]=9)

- The UK-based Digital Preservation Coalition has produced an excellent guide on preserving digital records: see “Digital Records Handbook” at: <http://www.dpconline.org/advice/digital-preservation-handbook.html>
- While the Association of Records Managers and Administrators International (<http://www.arma.org/>) offers many standards and best practices and is the leading authority on records management, its products need to be approached with care because they tend to be oriented towards the role of protecting organisations in the event of litigation or other judicial proceedings in ways that are specific to the US. Guidance on the management of digital records is available at: <http://www.arma.org/erecords/index.cfm>
- A useful ICA study is, “ICA Study 13-2 - Authenticity of Electronic Records: A Report”, Prepared for UNESCO and the International Council on Archives: <http://www.ica.org/en/node/30209>

Maturity Models and Assessment Tools

Several organisations have produced electronic records management maturity and assessment tools that could be useful in guiding the establishment of electronic records management programmes. A noteworthy example is the Records Management Capacity Assessment System (RMCAS) produced by IRMT. It is available through the UK National Archives at: <http://www.nationalarchives.gov.uk/rmcas/>. Other examples that could be useful either in whole or in part are as follows:

- draft maturity model produced by the US Department of the Interior: <http://gov.omg.org/gov-rfc-rm3.htm>
- the UK Joint Information Systems Committee: <http://www.jiscinfonet.ac.uk/records-management/measuring-impact/maturity-model>
- Library and Archives Canada (Information Management Capability Model): <http://www.collectionscanada.gc.ca/government/products-services/007002-2008-e.html>
- ARMA International: <http://www.arma.org/garp/metrics.cfm>;

An example of a standards approval process that can help legitimise proposed standards within a given government and ensure their broad acceptance across the government is the Treasury Board Information Technology Standards (TBITS) programme at the Canadian federal government’s Treasury Board Secretariat. <http://www.tbs-sct.gc.ca/inf-inf/its-nit-eng.asp>

Systems and Technologies

Systems and technologies enable the implementation of strategies addressing recordkeeping issues. While much attention has been paid to EDRMS technologies, it is important not to let this steer attention away from systems and technologies that could be helpful in managing records generated in other environments. For instance, EDRMS technologies may not be suitable for supporting highly structured applications such as the processing and issuance of benefit cheques or licenses where process steps and procedures are well defined. In these circumstances, either off-the-shelf or custom software dedicated to the management of the applications may already be in place. As a result, it may be more effective (and more prudent) to explore how the existing software could be enhanced to ensure that records are captured and managed effectively. EDRMS technologies are most often deployed in unstructured environments dominated by email and their attachments where work processes are poorly defined.

Successful EDRMS implementations are those where a clear business need has been identified. For example:

- The records being generated are highly significant and a trusted repository for their management is not available
- A specific business process such as the production of procedures manuals sits at the center of the environment to be supported by the EDRMS
- E-mail and other digital documents are rapidly accumulating and an EDRMS would be useful in systematising their retention and disposition.

Regardless of the technology being employed, the focus of any records management programme should be on identifying the management requirements and the functional requirements that will guide decisions concerning the selection of the technology and its implementation. In this respect, care must be taken not to let the development of the functional requirements for the technology overshadow the development of the important management requirements that will guide the establishment of the infrastructure (assignment of accountability, policies, standards, procedures, people) required to surround and support the introduction and use of the technology. At a broader level, the steps involved in identifying requirements should be situated within the overall systems development life cycle established for the organisation.

Above all, care must be taken to involve the business owners and to ensure their ownership and signoff on the technologies being considered. In many respects, records managers should position themselves as allies of the business managers, working closely with them on the development of requirements that can then be passed to ICT specialists, who will be responsible for finding and implementing the appropriate technologies.

Examples of tools, techniques and services that could be useful in identifying appropriate recordkeeping systems and technologies for the three priority areas are as follows:

- A product that has gained considerable international attention is the MOREQ 2 functional requirements for managing electronic records produced for the European Commission. It has driven many of the requirements definitions supporting EDRMS procurements around the world. While the complaint has been raised that it is too detailed and complex, it should be referenced. See <http://www.moreq2.eu/>
- The requirements developed by the Department of Defense in the US have had a profound impact on EDRMS procurements in that country and have been referenced by other governments developing their own EDRMS procurement strategies. The standard, together with its compliance testing process are available at: <http://jitc.fhu.disa.mil/recmgt/>
- Given their potential for becoming ISO standards and their wide applicability, the following ICA products should be referenced:
 - ◊ “Principles and Functional Requirements for Records in Electronic Office Environments - Module 2: Guidelines and Functional Requirements for Electronic Records Management Systems” available at: <http://www.ica.org/en/node/38970>
 - ◊ “Principles and Functional Requirements for Records in Electronic Office Environments - Module 3: “Guidelines and Functional Requirements for Records in Business Systems available at: <http://www.ica.org/en/node/38968>)
- The guide, “Electronic Records Management Guidelines”, produced by the Minnesota Historical Society is excellent because it focuses on the integration of electronic records management in the systems development life cycle. See: <http://www.mnhs.org/preserve/records/electronicrecords/erguidelines.html>
- A similar guide and one that is also excellent for the same reasons is the guide, “Integrating Records Management in ICT Systems”, produced by IRMT. See: http://www.irmt.org/documents/educ_training/term%20resources/IRMT_Good_Practice_Indicators.pdf
- The State Records Authority for New South Wales has produced some very good guidance on selecting software and managing EDRMS implementations; see <http://futureproof.records.nsw.gov.au/implementing-edrms/> and <http://futureproof.records.nsw.gov.au/future-proof-update-august-2009-selecting-software-for-managing-records/>

People

Many records managers are struggling to understand the characteristics of the records creating environments in their organisations, the complex recordkeeping issues they are required to address, and the direction they should be taking to develop or acquire the appropriate solutions. Some have suggested that this is not just a case of providing training programmes for existing records management staff and hoping they will have the

knowledge and skills required to address recordkeeping issues in complex environments. They argue that there is a need to adopt a more comprehensive approach that focuses not just on records specialists but on all groups involved with records creation, capture and management, including:

- records specialists, who are responsible for facilitating/ overseeing the management of records in their organisations
- archivists, who will be serving in a leadership role involving facilitating the management of records and those who will be working with records creating organisations to appraise and select records of archival value
- records creators, who are actually creating records and those (ie managers) who are responsible for ensuring that decisions and processes are documented and records are captured and properly managed
- others, such as security, legal and IT specialists.

According to basic human resource planning concepts, a capacity development plan for the records management dimension would involve the following steps:

- Define the nature of the work of managing records through their life cycle (within a 'continuum' context) based on clearly articulated roles and responsibilities derived from defined principles and objectives. This will be a critical task because it could lead to changes in the way the work is perceived. Identify the knowledge, skills and abilities required to do the work.
- Develop a competency profile, possibly building on existing examples.
- Assess the gap between the available competencies and what the competency profile requires.
- Build recruitment strategies as well as training and education strategies designed to fill the gaps.
- Establish a rewards and recognition framework that offers a wide range of methods of recognising and rewarding performance.
- Establish a framework for reviewing and evaluating performance against goals, results and outcomes and for evaluating the effectiveness of the capacity strategy.

If nothing else, taking such a comprehensive approach will help records managers and other key players define the nature of what they do and how they are supposed to do it.

Examples of competencies, training/ education programmes and other building blocks that could help to inform the development of human resources strategies are as follows:

- Archives New Zealand at: <http://www.archives.govt.nz/advice/training-and-events/training-opportunities-directory>
- “Records and Information Management Training Resources Guide”, produced by the Government of Alberta, is a comprehensive list of information management education and training programmes around the world. See: http://www.im.gov.ab.ca/training/pdf/InfoMgmtTrainingResGuide2009-05-11_v1.pdf
- Another comprehensive list of information management education and training programmes was produced by the Records Management Association of Australasia at: http://www.rmaa.com.au/docs/profdev/Education_AmandaCossham.pdf
- An excellent set of training modules on electronic records management was developed by the IRMT. See <http://www.irmt.org/educationTrainMaterials.php>
- Reference should be made to the training programmes established at national archival institutions in order to understand the direction that could be taken in establishing similar programmes. Examples include: Library and Archives Canada (through the Canada School of the Public Service) at: <https://www.cspc-efpc.gc.ca/lto/lrm-fs-eng.asp>
- Archives New Zealand at: <http://www.archives.govt.nz/advice/training-and-events/training-opportunities-directory>
- National Archives of Australia at: <http://www.naa.gov.au/learning/records/index.aspx>;
- The National Archives of the UK at: <http://www.nationalarchives.gov.uk/information-management/training.htm>;
- NARA at: <http://www.archives.gov/records-mgmt/training/>

Competency profiles are very important in any human resources capacity development initiative; reference should be made to the following competency standards and profiles:

- Records Management Association of Australasia at: <http://www.rmaa.com.au/docs/profdev/standards.cfm>;
- Government of Alberta at: <http://www.im.gov.ab.ca/publications/pdf/RecordsMgmtCompetencyProfiles.pdf>;
- ARMA International at: <http://www.arma.org/competencies/document.cfm>

General Observation

It is important to remember that strategies developed to address recordkeeping issues in relation to ICT/ e-Government FOI strategy development must be comprehensive. They need to address not one or even several but all of the components of the recordkeeping

infrastructure described earlier in this report. A technology solution, for instance, should not be developed without also developing the policies, standards and practices, human resources, governance, policy, and accountability components that comprise the overall records management infrastructure. Adopting such a comprehensive approach and ensuring that the infrastructure is aligned with and directly supportive of the needs of the business, both at the enterprise-wide and individual business levels, will maximise the potential for a successful implementation that will be sustainable through time.

CHAPTER FIVE: IMPLICATIONS FOR ELECTRONIC RECORDS MANAGEMENT IN EAST AFRICA

The East African Community comprises Burundi, Kenya, Rwanda, Tanzania and Uganda. Like their counter parts across the world, the governments of these countries are committed to deploying information technology and the establishing e-Government initiatives, and they are moving toward greater access to information for citizens. The common denominator sitting at the center of these initiatives is the record, which is fundamental to their success. Well-managed, records not only document decisions and actions, such as the decision to issue a license or pay a benefit or recommend a course of action, but they also serve as valuable sources of high-quality information to support future decision-making. Poorly managed records threaten ICT, e-Government and FOI initiatives with failure. ICT systems do fail if electronic records cannot be identified, retrieved and used, if they are stored improperly, or if they cannot be linked to related paper records. E-Government initiatives can fail and citizens' trust in government services can be eroded if the Government is unable to find the records that underpin these services or citizens discover that the integrity, completeness and accuracy of the information in the records cannot be trusted. FOI implementation will certainly fail if the records subject to FOI requests cannot be found or if only some of the records are found leaving in doubt the status of the rest.

As highlighted in this report, countries with long experience in ICT/ e-Government and FOI, such as the United States, the UK, Canada, Australia, and New Zealand, have recognised the importance of records, understood the serious implications of poorly managed records and taken steps to address the issues. In doing so they have begun to recognise that records are assets that need to be managed within the context of the kind of comprehensive regulatory framework.

The fact that the implications of poor recordkeeping are a concern shared around the world has stimulated the development of solutions that are already being shared across many jurisdictions; many of the solutions can be applied at the global level. Countries in the East Africa region are well positioned to take advantage of these solutions, many of which are described in this report. The remaining sections of this report offer suggestions concerning the key solutions and strategies that East Africa countries can consider as they embark on the development of their own records management improvement strategies and initiatives. They are based on the tools and techniques developed across the world and described in the previous chapters.

International experience suggests that the following are primary areas that all countries need to address.

Awareness

One of the first steps that should be taken by any country is to ensure that all of those involved in managing ICT/ e-Government initiatives and FOI projects are aware of the importance of records, the implications of poor recordkeeping and what they can do to ensure that the implications are addressed.

Accountability

It is one thing for people to be aware of the issues but quite another to take active steps to address the issues. Someone at a senior level needs to step forward as a champion to ensure that the issues are addressed at the appropriate level. However, even this is not enough. Just as it is necessary to have authorities in place to manage human and financial resources as valuable corporate assets, there needs to be an organisation in place to serve as the authority for records management.

In most countries around the world, the authority for overseeing and supporting records management has been assigned to the national archives. This is consistent with the principles adopted by the International Council on Archives, which state that:

'the archives should facilitate the establishment of policies, procedures, systems, standards and practices designed to assist records creators to create and retain records which are authentic, reliable and preservable; the archives should be involved in the entire records life cycle (conception, creation, maintenance) to ensure both the creation and retention of records that are authentic, reliable and preservable and the capture, preservation and continued accessibility of records identified as having archival value...'

National records and archives administrations understand the attributes of records, why they are important in terms of government decision-making, programme delivery, and accountability, and how their integrity can be managed through time. Normally, the lead organisation for records management should be the national archives, working in partnership with others, especially the government's ICT organisation.

Having identified and confirmed an authority, the next step is to confirm an accountability framework that reaches across the entire organisation. Such a framework should be of a similar level of importance and responsibility as those established for human and financial resources. The examples presented in the previous chapter have been designed in accordance with this principle and might be useful in facilitating the development of accountability frameworks in the East Africa region. The key is to ensure that all civil servants at all levels share in the accountability and responsibility for the management of records throughout their life cycle.

Policies

The models described in the previous chapter might be useful in developing of policies for the governments of the five East Africa countries. A policy confirms the roles and responsibilities of the records management authority and enshrines the accountability framework that extends across the organisation and across all levels of the civil service. The model policy described in Appendix B could be useful as a catalyst to further thinking about the kinds of policies that should be in place in the governments of the five East Africa countries. The Canadian federal Government's policy on the management of information could also be useful. While its scope is broad (it covers all aspects of information management), changes can be made to the terminology (for instance changing 'information management' to 'records management') to address the management of records. It will also be important to analyse how the policy should be developed, who should be involved, at what level it should be approved, how and by whom it should be implemented, and how its implementation should be measured.

The nature of the policy also needs to be considered. Should it be a stand-alone policy or should records management policy statements be incorporated in existing policies addressing ICT/ e-Government and FOI initiatives, or should both strategies be adopted? These are important questions because unless the policy is positioned carefully in relation to other policies, there is a risk that it will be ignored or marginalized. Similarly care needs to be taken to ensure that everyone involved in its implementation is consulted, that resources are available, that the expertise to guide the implementation effort is available, and that the mechanism for undertaking reviews, evaluations, and audits is relevant and designed to ensure effective policy compliance. The worst outcome of a policy development initiative for records management is a policy that is comprehensive, well expressed and approved but complexly ignored.

Governance

Having an authority in place that has no real power or influence undermines the government's ability to ensure that records are managed effectively and that they are able to carry out their role in supporting ICT/ e-Government and FOI initiatives. Positioning the authority and those who are expected to lead and steer the implementation of records management policies and initiatives must be handled with care. It is essential that the 'right' people be around the table. Based on experience gained in other countries around the world, East African countries should consider establishing a governance structure for records management that has as its core a senior level steering committee or oversight committee.

Such a committee should comprise, as a minimum, the national archivist (typically the records and archives authority in most countries) and the head of the government's ICT organisation (given the growing concern about the management of electronic records). It could also comprise selected senior managers of government programs, legal services, audit, and security. The Chair of the Committee would be at the senior executive level of

the organisation and would be someone who has the authority to address issues such as records management across the organisation. Although the Chair could be an executive manager responsible for an organisation-wide function such as HR or Finance, he or she could also be a senior executive manager responsible for a large, high profile programme where the significance of records is recognised and the individual is prepared to champion records management across the organisation.

As well as establishing a steering committee dedicated to overseeing records management, there is a need to consider how the national archives will be represented on key committees responsible for ICT/ e-Government, FOI and other key government priorities in order to ensure that records management issues are addressed.

The establishment of an effective governance structure will set the stage for the developing a strategic plan that addresses all of the components of the infrastructure required to manage government records. By having the governance structure reach to the highest level of the government, by ensuring that the right people at the right level are around the table, and by confirming that asset management principles will guide the future direction of records management, the stage will be set for developing a strategic plan that sets out short, medium and long term goals for the enhancement of records management in support of ICT/ e-Government and FOI. The two examples from the Government of Alberta cited in the previous chapter could be helpful in this regard.

Standards and Practices

Steps also need to be taken to address immediate and specific records management issues. This is important because goals related to issues such as policy and governance may seem abstract and theoretical. Securing support for such abstract initiatives, as important as they may be (especially if an asset management approach is to be taken to records management), could be challenging when government managers and staff are seeking immediate and practical solutions to 'live' day-to-day records management problems. This is why specific initiatives should be established to develop the practical tools that will address these problems and, over time, facilitate the management of records at all stages of their life cycle including creation, organisation, use, retention, preservation and disposition.

The previous chapter describes a number of products that have been developed around the world to address various aspects of the life cycle management of records. Many address electronic records specifically and many can be adapted for use in the East Africa region. A very important standard that should be considered is the ISO standard on records management (ISO 15489). It has wide acceptance and offers a useful framework for policy development and implementation of a records management infrastructure that is comprehensive and relevant. The supporting ISO standards are also useful to reference in this respect as are the training modules produced by the IRMT.

There are so many guides and related tools available that it can become confusing as to which ones to assess for use in the region. This is why it is very important to first identify the critical records management issues facing ICT, e-Government and FOI initiatives and

then to assess the extent to which guides and related tools available in other jurisdictions might be helpful. The role of the strategic plan and the initiatives described in that plan will be very important in that regard.

Tools for assessing records management capacity were mentioned in the last chapter, and East African countries can consider exploring the use of assessment tools such as the IRMT's Records Management Capacity Assessment System (RMCAS). These tools can help to provide a map of the existing records management capacity of a given organisation in terms of the individual components of the infrastructure, identify the required level of capacity and facilitate the development of plans for closing the identified gaps. They are very useful tools in clarifying and parsing what could otherwise be a complex landscape.

Finally, it is important to consider how the standards, practices and tools are to be approved. The Canadian Treasury Board Information Technology (TBIT) programme mentioned in the previous chapter should be examined for the extent to which it could be adapted for use in the region. It embraces all of the key players and enables them to review and comment on proposed standards. As the Director of the programme has mentioned, 'the process is as important as the approved product because approval means everyone was consulted, everyone had an opportunity to suggest changes, and everyone concerned had the opportunity to vote in a fair process'.

Systems and Technologies

Of the products available at the international level the most important are those that focus on the functional requirements for recordkeeping. MOREQ2 and the related products issued by the International Council on Archives can serve as excellent models that can be adapted for use in the East Africa region. These requirements should be developed in partnership with those responsible for the development of ICT systems and e-Government initiatives to ensure that records management considerations are reflected in the design of ICT systems and systems supporting e-Government initiatives. A very useful guide to complement the requirements is the Minnesota guide referenced in the previous chapter. It explains very effectively how the requirements for records management can be integrated in each stage of the systems development life cycle (SDLC). It explains that integration at the design stage is too narrow and that all stages of the SDLC from planning to final evaluation of the systems must be included.

Electronic Document and Records Management Systems (EDRMS) have matured over the years but remain exceedingly complex to implement successfully. Considerable care must be taken to define the organisation's requirements before procuring these systems. In some countries such systems have been acquired before the requirements have been well defined and before the readiness of the organisation has been assessed properly. The result has been significant user resistance, increased costs, and lost opportunities to bring records under control, especially in office environments dominated by e-mail messages and other electronic documents. Countries in the East Africa can should review these experiences and learn from the mistakes that have been made.

People

The East Africa region faces the same situation as most countries around the world. There is a dearth of expertise on how to manage records especially in an electronic environment. In fact some have argued that the single most significant impediment to the enhancement of records management has been the challenge of finding the specialists who have the required knowledge and abilities. Filling the gap means more than training. For the East African countries, as with any other country, it is important to develop a scheme of service for records staff that identifies core competencies and then to develop recruitment and training strategies based on an analysis of the gap between the competencies that are available in existing staff and the required competencies. Based on this analysis, a clearer picture should emerge concerning what kind of human capacity is needed, why it is needed, and how it can be acquired. It is at this point that records management competencies, workshop and training materials and approaches, university level education programmes, performance measurement standards and techniques developed in other countries can be adapted for use in the region.

Many of the education and training programmes described in the previous chapter approach the topic of records management from a theoretical perspective. To provide a sense of reality, it is valuable to do a practical demonstration as a pilot. A pilot can serve as a useful learning environment for all of those expected to play a role in supporting government-wide records management, for instance records managers, archivists, ICT specialists, administrative officers and programme managers.

Observation

Not all of the initiatives described above can be undertaken at once. In fact some are dependent on others. For instance it may be difficult to establish an accountability framework right away if civil servants, especially at the senior level, are unaware of the issues, why an asset management based infrastructure is required, or why an accountability framework is required at all. Once awareness has been enhanced and the accountability frameworks have been established, however, steps can be taken to address other components of the infrastructure such as governance and policy. Eventually, standards, practices and systems can be developed and deployed. However, these initiatives can only happen if the people with the right knowledge and skills are in place. As a result, care needs to be taken to ensure that human capacity building initiatives such as training and recruitment are in place based on the identification of the required competencies and an analysis of the gap between what is required and what is available. All of this should be reflected in a strategic plan that sets out short, medium, and long term goals for establishing a comprehensive records management infrastructure that is relevant to the needs of the ICT, e-Government and FOI initiatives underway in each country.

CHAPTER SIX: CONCLUSIONS

The objective of this report was to analyse the characteristics of records management requirements in relation to ICT/ e-Government and FOI strategy development, with the aim of identifying barriers to the successfully implementing records management strategies, assessing how techniques and information sources developed around the world could be useful in informing strategies for overcoming the barriers, and suggesting how the experience of other countries and the products currently available at the international level could be applied to support ICT, e-Government and FOI initiatives underway in East Africa.

The report began with an overview of basic records management concepts, including the concept of the records management infrastructure. It continued with an assessment of significant tools, techniques and information sources that could be helpful to those involved in strengthening records management programmes. It concluded with suggestions concerning how the East Africa countries might benefit from what has been developed elsewhere around the world. The intent is to help these countries jump-start their own efforts to develop strategies for addressing the records management issues that are placing their ICT/ e-Government and FOI initiatives at risk.

The East Africa region can, by drawing on concepts and strategies already developed around the world, position itself to ensure that the records need to support ICT/ e-Government and FOI initiatives have integrity and are well managed. This will provide a basis for trust among both citizens and civil servants they can rely on government records.

PEOPLE INTERVIEWED

During both formal and informal discussions held over the course of the project, the following individuals offered valuable insight on the electronic records management situation based on their experiences in their respective jurisdictions.

Christine Ardern, Information Management Specialists, Toronto, Canada

Sandy Bradley, Harwood Information Associates, Vancouver, Canada

Don Brech, Records Management International, Hong Kong

Sue Bryant, Public Key Infrastructure, Treasury Board Secretariat (retired), Ottawa, Canada

Simon Chu, Director, Government Records Service, Hong Kong (retired)

Terry Cook, Director, Records Appraisal and Disposition, Library and Archives Canada (retired), Canada

Adrian Cunningham, Strategic Relations, National Archives of Australia

Wendy Duff, Professor, iSchool, University of Toronto, Canada

Luciana Duranti, Professor, School of Library, Archives, and Information Studies, University of British Columbia, Canada

Fiorella Foscarini, Professor, iSchool, University of Toronto, Canada

John Hardy, Director, George Brown College, Toronto, Canada

Hans Hofman, Special Adviser, National Archives of the Netherlands

Robert Horton, State Archivist, State of Minnesota, USA

Michael Hoyle, Records and Information Management consultant, Seattle, Washington, USA

Lee McDonald, Senior Archivist, United Nations High Commissioner for Refugees (retired)

Richard McDonald, Technical Executive/ Distinguished IT Architect, IBM, Toronto, Canada

Laura Millar, records and information management consultant, Vancouver, Canada

Trudy Peterson, Archives Consultant and former US National Archivist

Alex Richmond, Chief, Information Management Systems, Bank of Canada

Ian Sinclair, Director, Information Policy, Treasury Board Secretariat (retired), Canada

Lisa Weber, IT Policy and Administration, National Archives and Records Administration, USA

SAMPLE RECORDS MANAGEMENT POLICY BASED ON ANALYSIS OF INTERNATIONAL EXPERIENCE

1 Effective Date

This policy takes effect on xx.

2 Application

This policy applies to all departments subject to the xxx Act.

3 Context

Records are critical to the delivery of the programmes and services of the Government of xxx. When well managed, authentic and reliable records document government activities and help the Government provide evidence of its decisions and actions. They enable the Government to hold itself accountable pursuant to laws and policies as well as to its clients, stakeholders and partners. They also support management oversight, such as the conduct of audits, reviews and management reporting.

Records that are complete, accurate, authentic and reliable also serve as an important source of information that can be used in support of decision-making, the analysis of trends, and the conduct of both programme-specific and government-wide functions and activities. They can be invaluable in capturing the corporate memory of those staff that are leaving the Government and in orienting new staff that have just been recruited.

All employees are responsible for documenting their activities and decisions and for applying records management principles, standards and practices in the performance of their duties.

Permanent Secretaries are accountable to the xx for the effective and well-coordinated management of records throughout their ministries.

This policy is issued under the authority of the xxx Act.

The xx has the authority to issue directions and standards concerning records management roles and responsibilities to support this policy.

4 Definitions

Definitions to be used in the interpretation of this policy are described in Appendix A.

5 Policy Statement

The objective of this policy is to achieve the efficient and effective management of public records to support programme and service delivery; foster informed decision making; facilitate accountability and collaboration; and preserve and ensure access to public records for the benefit of present and future generations.

The expected results of the achievement of the objective are that:

- Government programmes and services provide convenient access to relevant, reliable, comprehensive and timely information contained in the records under their control.
- Public records are managed as valuable assets to support the outcomes of programmes and services, as well as operational needs and accountabilities.
- Governance structures, mechanisms and resources are in place to ensure the continuous and effective management of public records and judicial records.

6 Policy Requirements

Heads of Departments are responsible for:

- ensuring that programmes and services integrate records management requirements into development, implementation, evaluation and reporting activities
- ensuring that decisions and decision-making processes are documented to account for and support the continuity of operations, permit the reconstruction of the evolution of policies and programmes, and allow for independent evaluation, audit and review
- ensuring that records are shared within and across ministries and departments to the greatest extent possible, while respecting security and privacy requirements
- Ensuring the continued relevance, authenticity, and quality of public records for as long as they are required to meet operational needs and accountabilities
- designating a senior official to represent the head of the department for the purposes of the policy
- establishing, measuring and reporting on a department-wide programme or strategy for the improvement of the management of public records.

7 Monitoring and Reporting

7.1 *Within Departments*

Heads of Departments are responsible for monitoring adherence to this policy within their departments, consistent with the provisions of the Government's internal audit and evaluation policies and practices. They are responsible for ensuring that appropriate remedial action is taken to address any deficiencies within their departments.

7.2 Government-Wide

The Cabinet Office will monitor compliance with all aspects of this policy and the achievement of expected results based on department-level reports, results of audits, evaluations and studies, in addition to working directly with departments.

The Cabinet Office will review this policy, its associated directions and standards, and their effectiveness at the five-year mark of implementation of the policy (or earlier for certain directives and standards).

7.3 Consequences

Consequences of non-compliance can include informal follow-ups and requests from the Cabinet Office, external audits or formal direction on corrective measures.

8 Responsibilities of Central Authorities

The xxx, through the National Archives:

- provides interpretive advice on this policy
- develops and promotes, in consultation with other government ministries, standards, procedures, directions, guidelines, tools and good practices that achieve the goals and expected results of this policy
- provides direction and assistance on the management of public records for the Government
- acquires, preserves, makes known and facilitates access to the documentary heritage of the country
- identifies, selects, acquires and preserves public records, as defined in the Archives Act, in all media considered to be of enduring value to the country as documentary heritage
- issues records disposition authorities, pursuant to the Archives Act, to enable ministries to carry out their records retention and disposition plans
- manages and protects the essential records and less frequently referenced material of government ministries

- promotes functional communities for the management of public records as required in order to develop and sustain records management functional specialist capacity and practices
- develops competency and other professional standards for records management functional specialists as required.

The Records Committee, established pursuant to the Archives Act, is responsible for making recommendations to the Minister responsible for the administration of the National Archives on the following matters:

- retention or destruction of public records
- transfer of public records and judicial records to the National Archives
- conditions and restrictions, if any, upon which any public records or public archives may be inspected or published
- classification of public records
- any other matters that may be prescribed.

ANNOTATED LIST OF RELEVANT WEB SITES

The purpose of this appendix is to identify and describe the organisations that are responsible for the tools, techniques, and information sources described in the main report. The organisations described in this document are considered to be leaders in the field and, as such, their products, services, and initiatives should be reviewed and exploited on an ongoing basis to support the three priority areas of FOI, E-Government, and ICT development as well as the establishment of overall enterprise-wide records management programmes that are relevant and sustainable through time.

The organisations and their web sites are described in accordance with their status as global, regional, or national/ local. The descriptions presented for each organisation are based on adaptations of the descriptions provided on the respective web sites.

GLOBAL

Association of Records Managers and Administrators International

<http://www.arma.org/>

ARMA International is a not-for-profit professional association and an authority on managing records and information – paper and electronic. The association was established in 1955. Its approximately 11,000 members include records managers, archivists, corporate librarians, imaging specialists, legal professionals, IT managers, consultants, and educators, all of whom work in a wide variety of industries, including government, legal, healthcare, financial services, and petroleum in the United States, Canada, and 30-plus other countries. ARMA International publishes *Information Management (IM)* magazine that is published bi-monthly. The association also develops and publishes standards and guidelines related to records management. It was a key contributor to the international records management standard, ISO-15489.

Relevant products/ services

Electronic Records Management

<http://www.arma.org/erecords/index.cfm>

International Council on Archives

<http://www.ica.org>

ICA is the professional organisation for the world archival community, dedicated to promoting the preservation, development, and use of the world's archival heritage. It brings together national archive administrations, professional associations of archivists, regional and local archives and archives of other organisations as well as individual archivists. ICA has a global network of more than 1,400 institutional members in 190 countries, making it truly international. It also has over 200 archivists and records managers as individual members. It is a non-governmental organisation, which means that it maintains an independence from the political process and that its members include public

and private archive institutions and individuals. ICA works closely with inter-governmental organisations such as UNESCO and ICCROM. It also has strong links with other non-governmental organisations.

Relevant products/ services

Archives and Current Records:

Towards a Set of Guiding Principles

<http://www.ica.org/en/node/30039>

Principles and Functional Requirements for Records in Electronic Office Environments
- Module 1: Overview and Statement of Principles

<http://www.ica.org/en/node/38972>

Principles and Functional Requirements for Records in Electronic Office Environments
- Module 2: Guidelines and Functional Requirements for Electronic Records Management Systems

<http://www.ica.org/en/node/38970>

Principles and Functional Requirements for Records in Electronic Office Environments
- Module 3: Guidelines and Functional Requirements for Records in Business Systems

<http://www.ica.org/en/node/38968>

PARBICA Recordkeeping for Good Governance Toolkit

<http://www.parbica.org/Toolkit%20pages/ToolkitIntropage.htm>

ICA Study 13-2 - Authenticity of Electronic Records: A Report Prepared for UNESCO and the International Council on Archives

<http://www.ica.org/en/node/30209>

Networked Electronic Information in the Internet and Intranet Environments

<http://www.ica.org/en/node/30037>

International Records Management Trust

<http://www.irmt.org/>

The International Records Management Trust (IRMT) was established in 1989 to develop new strategies for managing public sector records. A UK registered charity governed by a board of trustees, it advocates the need to protect and preserve records as evidence of rights and entitlements, and to adopt international standards for recordkeeping to improve accountability and service delivery. Its London office manages the delivery of a portfolio of international records management projects for the public sector, supported by a consultancy team of over 60 professionals drawn from the public and private sectors and from academic institutions. In addition to creating freely available training material, the IRMT has assisted dozens of countries to build sustainable records laws, policies, systems, procedures and facilities. Its activities fall into three main areas: Records Management Consultancy Services, Training and Education, Development Research.

Relevant products/ services

Assessment Tools

<http://www.irmt.org/assessmentTools.php>

Education and Training Materials

<http://www.irmt.org/educationTrainMaterials.php>

Research Reports

<http://www.irmt.org/researchReports.php>

International Standards Organisation

<http://www.iso.org/iso/home.html>

ISO (International Organisation for Standardization) is the world's largest developer and publisher of International Standards. ISO is a network of the national standards institutes of 163 countries, one member per country, with a Central Secretariat in Geneva, Switzerland, that coordinates the system. ISO is a non-governmental organisation that forms a bridge between the public and private sectors. On the one hand, many of its member institutes are part of the governmental structure of their countries, or are mandated by their government. On the other hand, other members have their roots uniquely in the private sector, having been set up by national partnerships of industry associations. Therefore, ISO enables a consensus to be reached on solutions that meet both the requirements of business and the broader needs of society.

Relevant products/ services

Information and Documentation – Management System for Records – Fundamentals and Vocabulary

<http://drafts.bsigroup.com/Home/Details/524>

Information and Documentation – Management System for Records – Requirements

<http://drafts.bsigroup.com/Home/Details/521>

Information and Documentation – Records Management – Part 1: General

http://www.iso.org/iso/catalogue_detail.htm?csnumber=31908

Information and documentation -- Records management -- Part 2: Guidelines

http://www.iso.org/iso/iso_catalogue/catalogue_tc/catalogue_detail.htm?csnumber=35845

Information and documentation -- Records management processes -- Metadata for records -- Part 1: Principles

http://www.iso.org/iso/iso_catalogue/catalogue_tc/catalogue_detail.htm?csnumber=40832

Information and documentation -- Managing metadata for records -- Part 2: Conceptual and implementation issues

http://www.iso.org/iso/iso_catalogue/catalogue_tc/catalogue_detail.htm?csnumber=50863

Information and documentation -- Work process analysis for records

http://www.iso.org/iso/iso_catalogue/catalogue_tc/catalogue_detail.htm?csnumber=43391

NATIONAL AND REGIONAL

AUSTRALIA

E-government

Finance and Deregulation, Information Management Office

<http://www.finance.gov.au/e-government/index.html>

Freedom of Information

Department of the Prime Minister

<http://www.dpmc.gov.au/foi/>

ICT Strategy Development

Finance and Deregulation, Information Management Office

<http://www.finance.gov.au/e-government/strategy-and-governance/index.html>

Council of Australasian Archives and Records Authorities (CAARA)

<http://www.caara.org.au/>

The Council of Australasian Archives and Records Authorities (CAARA) comprises the heads of the government archives authorities of the Commonwealth of Australia, New Zealand and each of the Australian States and Territories. CAARA was formerly known as the Council of Federal, State and Territory Archives (COFSTA). The change of name, which took effect from 1 July 2004, reflects the broad archival and recordkeeping roles of member institutions, and the inclusion of Archives New Zealand as a member. The aims of CAARA are to promote a sense of understanding and consistency in the management of records of the Commonwealth, New Zealand, and the Australian States and Territories. Matters that have been considered by CAARA have included issues such as the management of records following the transfer of functions between governments, and between governments and the private sector; principles for the disposal and access to ministerial records; the ongoing review of copyright legislation; and the state of archives in Australia.

Relevant products/ services

Australasian Digital Recordkeeping Initiative

<http://www.adri.gov.au/>

National Archives of Australia (NAA)

<http://www.naa.gov.au/>

The National Archives of Australia helps Australian Government agencies create and manage their records, selects the most valuable records created by Australian Government agencies to become part of the national archival collection stores, describes and preserves the national archival collection makes records in the national archival collection that are over 30 years old publicly available.

Relevant products/ services

Corporate reports and plans

<http://www.naa.gov.au/about-us/publications/corporate/index.aspx>

Digital Recordkeeping - Guidelines for Creating, Managing and Preserving Digital Records

http://www.naa.gov.au/Images/Digital-recordkeeping-guidelines_tcm2-920.pdf

Guidelines for Implementing the Functional Specifications for Recordkeeping

Functionality in Business Information Systems Software

http://www.naa.gov.au/Images/BISGuidelines_tcm2-1022.pdf

Archiving Web Resources: Guidelines for Keeping Records of Web-based Activity in the Commonwealth Government

http://www.naa.gov.au/Images/archweb_guide_tcm2-903.pdf

State Records Authority, New South Wales (NSW)

<http://www.records.nsw.gov.au/>

State Records is the NSW Government's archives and records management authority. It manages the NSW State archives collection and we set the rules and provide guidance on the management of official records. It's off-budget Government Records Repository (GRR) provides records storage services to the public sector. It is a statutory body established by the State Records Act 1998 and is part of Services, Technology and Administration.

Relevant products/ services

Annual Report

<http://www.records.nsw.gov.au/publications/annual-report/annual-report>

Future Proof - Implementing EDRMS

<http://futureproof.records.nsw.gov.au/implementing-edrms/>

Public Record Office Victoria (PROV)

<http://www.prov.vic.gov.au/about/>

Public Record Office Victoria is the archives of the State Government of Victoria. It holds records from the European settlement of Port Phillip district in the mid-1830s to today. PROV manages these records for use by both the government and people of Victoria. As the archival authority for the State of Victoria, PROV undertakes a number of interrelated activities: Records - caring for and providing access to a vast and valuable collection of Victorian government records that date back to the establishment of permanent government services. Most forms of access to the collection are free, and include Reading Rooms, publications, and physical and online exhibitions. Standards - helping people in the Victorian government create and keep better records through the development of recordkeeping standards. Training and Advice - promoting recordkeeping standards and assisting government agencies to achieve compliance with them. Through these activities, and by ensuring all Victorian people have ready access, understanding and appreciation of the State's records, PROV accomplishes its mission in assisting Victorians to have an open and accountable state government.

Relevant products/ services

Annual report and corporate plan

<http://www.prov.vic.gov.au/about/corporate.asp>

Electronic Records Project

<http://www.prov.vic.gov.au/vers/vers/default.asp>

Records Management Association of Australia

<http://www.rmaa.com.au/>

The RMAA network throughout Australia and New Zealand provides a wide range of services to the membership. This ranges from participation in the development of standards for records management, to advocacy on records management issues, and the delivery of courses, conventions and seminars at both federal and state level, and to enable records management professionals to develop and utilise their skills and experience to leverage the value of records as corporate assets and as evidence of business activities.

Relevant products/ services

Information and Records Management Annual 2009

<http://www.rmaa.com.au/docs/library/items/iRMA2009-HeinerAffair.pdf>

Monash University, Records Continuum Research Group

<http://www.infotech.monash.edu.au/research/groups/rcrg/publications/>

The Records Continuum Research Group (RCRG) is investigating methods of analysis which enable records to be controlled at different points in time throughout their lifespan. This includes the way records are represented, used, retrieved and disseminated. The group is also looking into how continuum models apply to information management and data archiving.

Relevant products/ services

Clever Recordkeeping Metadata Project

<http://www.infotech.monash.edu.au/research/groups/rcrg/crkm/>

CANADA

E-Government

Public Works and Government Services (Government On-line initiative concluded 2005)

<http://www.tpsgc-pwgsc.gc.ca/apropos-about/fi-fs/ged-gol-eng.html>

Freedom of Information

Treasury Board Secretariat

<http://www.tbs-sct.gc.ca/atip-airpr/tools/administration-application-eng.asp>

ICT Strategy Development

Treasury Board Secretariat

Enhanced Management Framework

<http://www.tbs-sct.gc.ca/emf-cag/index-eng.asp>

Library and Archives Canada

<http://www.collectionscanada.gc.ca/index-e.html>

In 2004, the National Archives of Canada and the National Library of Canada were drawn together by the *Library and Archives of Canada Act* to create a new knowledge institution

for Canadians—Library and Archives Canada, a source of enduring knowledge and the continuing memory of the government of Canada and its institutions. Library and Archives Canada combines the collections, services and staff of the former National Library of Canada and the former National Archives of Canada. The mandate, as outlined in the Preamble to the *Library and Archives of Canada Act*, is to:

- preserve the documentary heritage of Canada for the benefit of present and future generations
- be a source of enduring knowledge accessible to all, contributing to the cultural, social and economic advancement of Canada
- facilitate in Canada cooperation among communities involved in the acquisition, preservation and diffusion of knowledge
- serve as the continuing memory of the government of Canada and its institutions.

Relevant products/ services

Audits, reports and plans

<http://www.collectionscanada.gc.ca/about-us/index-e.html>

Services to Government - Products

<http://www.collectionscanada.gc.ca/government/products-services/index-e.html>

Treasury Board Secretariat, Chief Information Officer Branch (CIOB)

<http://www.tbs-sct.gc.ca/cio-dpi/index-eng.asp>

The Chief Information Officer Branch (CIOB) provides strategic direction and leadership for the government-wide pursuit of excellence in information management and information technology in the Government of Canada (GC). CIOB is responsible for policy development, monitoring, management oversight, and leading community development and capacity building initiatives in information management, information technology, identity management and security, and access to information and privacy to ensure the sound management and stewardship of the Government of Canada's information and technology assets and its communities of practice.

Relevant products/ services

Information Management - Resource Centre

<http://www.tbs-sct.gc.ca/im-gi/imrc-crgi/imrc-crgi-eng.asp>

IM Policy

<http://www.tbs-sct.gc.ca/im-gi/imp-pgi/imp-pgi-eng.asp>

Alberta Government, Information Management

<http://www.im.gov.ab.ca/>

The Records and Information Management Branch (RIMB) of Service Alberta leads the development and implementation of the Information Management Framework and develops and coordinates the administration of the government's records management

program. This includes assisting Alberta government organisations to effectively manage their records and information in all media, by chairing the Information Management Advisory Committee and by providing:

- corporate information and records management policies, guidelines, and standards
- proposals for legislation related to information and records management
- advisory services for government organisations
- training, publications, and information forums for skills development and awareness
- management and secretariat functions for the Alberta Records Management Committee (ARMC) including review of draft records retention and disposition schedules submitted by ministries and other provincial government organisations
- corporate systems / applications to support government-wide processes, such as schedule development and approval
- retention and disposition schedules for records of common business functions found in all ministries and agencies
- research, planning and project management for corporate information and records management projects and initiative.

Relevant products/ services

Strategic Plan

<http://www.im.gov.ab.ca/imf/pdf/InfoMgmtStrategicPlan.pdf>

University of British Columbia, School for Library, Archival, and Information Studies

<http://www.slais.ubc.ca/>

In support of The University of British Columbia's mission, the School of Library, Archival and Information Studies prepares professionals to exercise leadership in planning, implementing and promoting the preservation, organisation and effective use of society's recorded information and ideas. SLAIS goals & objectives are as follows:

- Goal 1: To attract highly qualified and motivated applicants from a wide variety of backgrounds
- Goal 2: To educate students in the scholarly and professional dimensions of their field and to produce graduates able to advance professional practice and contribute significantly to the growth of the theoretical and methodological body of knowledge of the professions
- Goal 3: To contribute through research and publication to the development of the information field and its disciplines
- Goal 4: To foster interdisciplinary links with auxiliary and allied disciplines and fields

- Goal 5: To cultivate a relationship of mutual support with the academic and professional community locally, nationally, and internationally.

Relevant products/ services

Interpares3

http://www.interpares.org/ip3/ip3_index.cfm

University of Toronto, Faculty of Information

<http://www.ischool.utoronto.ca/>

The iSchool at the University of Toronto is a professional and research faculty that educates leaders in a variety of information fields. All study areas focus on the human context of a rapidly changing information environment. It examines how information in all its forms, whether cultural, technological, or archival, interacts with society, and how it helps to shape, and is shaped by, technological and human concerns.

Relevant products/ services

Course program

<http://www.ischool.utoronto.ca/programs-courses>

Ontario Information and Privacy Commissioner

<http://www.ipc.on.ca/english/Home%2DPage/>

Ontario's *Freedom of Information and Protection of Privacy Act (FIPPA)*, which came into effect on January 1, 1988, establishes an Information and Privacy Commissioner (IPC) as an officer of the Legislature. The Commissioner is appointed by and reports to the Legislative Assembly of Ontario and is independent of the government of the day. In general terms, the Commissioner's mandate is to:

- independently review the decisions and practices of government organisations concerning access and privacy
- independently review the decisions and practices of health information custodians in regard to personal health information
- conduct research on access and privacy issues
- provide comment and advice on proposed government legislation and programs
- review the personal health information policies and practices of certain entities under *PHIPA*
- help educate the public about Ontario's access, privacy and personal health information laws and related issues.

Relevant products/ services

Electronic Records: Maximizing Best Practices

<http://www.osp.dgs.ca.gov/recs/erm.htm>

EUROPE

Cultural, Artistic and Scientific Knowledge for Preservation, Access and Retrieval (CASPAR)

<http://www.casparpreserves.eu/>

CASPAR was co-financed by the European Union within the Sixth Framework Programme (Priority IST-2005-2.5.10, "Access to and preservation of cultural and scientific resources").

The purpose of CASPAR was to:

- implement, extend and validate the OAIS reference model (ISO:14721:2003)
- enhance the techniques for capturing Representation Information and other preservation related information for content objects
- design virtualisation services supporting long term digital resource preservation, despite changes in the underlying computing (hardware and software) and storage systems, and the Designated Communities
- integrate digital rights management, authentication, and accreditation as standard features of CASPAR
- research more sophisticated access to and use of preserved digital resources including intuitive query and browsing mechanisms
- develop case studies to validate the CASPAR approach to digital resource preservation across different user communities and assess the conditions for a successful replication
- actively contribute to the relevant standardisation activities in areas addressed by CASPAR
- raise awareness about the critical importance of digital preservation among the relevant user-communities and facilitate the emergence of a more diverse offer of systems and services for preservation of digital resources

DELOS Network of Excellence for Digital Libraries

<http://www.delos.info/>

DELOS is a Network of Excellence on Digital Libraries partially funded by the European Commission in the frame of the Information Society Technologies Programme (IST). The main objectives of DELOS are research, whose results are in the public domain, and technology transfer, through co-operation agreements with interested parties. DELOS is conducting a joint program of activities aimed at integrating and co-ordinating the ongoing research efforts of the major European teams working in Digital Library-related areas. Its main objective and goal is to develop the next generation of Digital Library technologies,

based on sound comprehensive theories and frameworks for the life-cycle of Digital Library information. DELOS is currently working on the development of a Digital Library Reference Model that is designed to meet the needs of the next-generation systems, and on a globally integrated prototype implementation of a Digital Library Management System, called Delos DLMS, which will serve as a concrete partial implementation of the reference model and will encompass many software components developed by DELOS partners.

Digital Preservation Europe (DPE)

<http://www.digitalpreservationeurope.eu/>

DPE facilitates pooling of the complementary expertise that exists across the academic research, cultural, public administration and industry sectors in Europe. DPE addresses the need to improve co-ordination, co-operation and consistency in current activities to secure effective preservation of digital materials. DPE's project partners lead work to:

- raise the profile of digital preservation
- promote the ability of Member States acting together to add value to digital preservation activities across Europe
- use cross-sectoral cooperation to avoid redundancy and duplication of effort
- ensure auditable and certificated standards for digital preservation processes are selected and introduced
- facilitate skills development through training packages
- enable relevant research coordination and exchange
- develop and promote a research agenda roadmap
- help both citizens and specialist professionals recognise the central role that digital preservation plays in their lives and work.

DLM Forum (European Commission)

http://ec.europa.eu/transparency/archival_policy/dlm_forum/index_en.htm

In its conclusions of June 17, 1994 concerning greater co-operation in the field of archives ([94/C 235/03](#)), the Council of the European Union asked the Commission to organise a multidisciplinary forum to be held in the framework of the Community on the problems of management, storage, conservation and retrieval of machine-readable data with the participation of public administrations, national archives services, as well as representatives of industry and of research. This DLM-Forum takes place every three years

MOREQ2

http://www.dlmforum.eu/index.php?option=com_content&view=category&layout=blog&id=901&Itemid=20&lang=en

The MoReq specification describes model requirements for the management of electronic records and focuses mainly on functional requirements for electronic records management systems (ERMS). MoReq contains a model of how filing plans, files and records relate to each other within the context of a classification scheme, and, very importantly, it can be applicable to both electronic (digital), physical (paper), and hybrid files. MoReq was designed to be a very practical specification. It does not specify a particular ERMS, instead it outlines the essential elements an ERMS should have to ensure that records are properly managed, can be accessed at all times, are retained for as long as they are needed and are properly disposed of once the obligatory retention and disposition period has expired. An organisation which implements an ERMS based on the requirements of MoReq can be assured that its records will be properly managed. MoReq defines the core functionality required of ERMS whether they are deployed in public bodies, private organisations, and the third sector. MoReq is a generic, modular specification which means that each organisation that uses it can incorporate into its records management policies those parts of the specification that are relevant and applicable to the type of organisation; and help the organisation to comply to regulatory requirements within its business sector.

Electronic Resource Preservation and Access Network (ERPANET)

<http://www.erpanet.org>

The European Commission funded ERPANET Project (which concluded its work in July, 2007) established an expandable European Consortium, which made viable and visible information, best practice and skills development in the area of digital preservation of cultural heritage and scientific objects. ERPANET brought together memory organisations (museums, libraries and archives), ICT and software industry, research institutions, government organisations (including local ones), entertainment and creative industries, and commercial sectors (including for example pharmaceuticals, petro-chemical, and financial). The dominant feature of ERPANET was the provision of a virtual clearinghouse and knowledge-base on state-of-the-art developments in digital preservation and the transfer of that expertise among individuals and institutions.

Preservation and Long-term Access through Networked Services (PLANETS)

<http://www.planets-project.eu/>

PLANETS was a four-year project (concluded in the Spring, 2010) co-funded by the European Union under the Sixth Framework Programme to address core digital preservation challenges. The primary goal for Planets was to build practical services and tools to help ensure long-term access to digital cultural and scientific assets. Planets started on 1st June 2006. The website makes available project documentations and deliverables so that these can be shared with the libraries, archives and digital preservation communities. The strong Planets consortium brings together expertise across Europe from national libraries and archives, leading research universities and technology companies.

JAMAICA

Government of Jamaica, Central Information Technology Office

<http://www.cito.gov.jm/>

CITO's mandate is to contribute to the increase of national wealth and the e-Powering of Jamaica by means of an effective National ICT Strategic Plan that will facilitate the development of an efficient and integrated public sector and national ICT environment, and increased capacity and capability of people to leverage the opportunities that ICT gives rise to across the global economy. CITO also provides ICT standards and policy advice, ICT project support and governance leadership to the public sector. This web site is included because the National ICT Strategy referenced below provides a summary of ICT strategies in 9 other countries in addition to Jamaica.

Relevant products/ services

National ICT Strategy

<http://www.cito.gov.jm/files/file/NICT%20Strategy%20Context%20and%20Background.pdf>

NEW ZEALAND

E-Government

State Services Commission

<http://www.e.govt.nz/>

Freedom of Information

Cabinet Office

<http://www.cabinetmanual.cabinetoffice.govt.nz/8>

ICT Strategy Development

State Services Commission

Report: Government Use of ICT 2008

<http://www.e.govt.nz/resources/research/ict-survey-2008/govt-ict-survey-2008.pdf>

Archives New Zealand

<http://www.archives.govt.nz/>

Under the Public Records Act 2005 (the Act) Archives New Zealand (ANZ) works to promote good information management as the government's recordkeeping authority and acts as the official guardian of New Zealand's public archives. Public archives are those records of the New Zealand Government that the Chief Archivist has recognised as having long-term value. The majority of these public archives are held in Archives New Zealand's repositories in Auckland, Wellington, Christchurch and Dunedin. Others are held on behalf of the Chief Archivist in 11 approved repositories located around the country. Archives New Zealand encourages effective information management through its provision of advice and training on the information management responsibilities of public offices and local authorities. It works with government agencies to ensure that good records of government decision-

making are created and maintained and that records of long-term value (including electronic records) are transferred to Archives New Zealand when appropriate. ANZ ensures that public archives are properly preserved and securely held, while making them accessible to the public and encouraging their use. ANZ also has a responsibility to provide leadership and support for archival activities across New Zealand, including supporting the safekeeping of private and community records. ANZ is responsible to one Minister who administers the National Archives vote. ANZ administers the Act and provides policy advice to the Minister Responsible for Archives New Zealand. It also provides support to the Archives Council, which advises the Minister on information management and archival issues.

Relevant products/ services

Annual reports and statements of intent

<http://www.archives.govt.nz/about/publications-media>

Digital Recordkeeping

<http://www.archives.govt.nz/advice/public-offices/digital-recordkeeping>

UNITED KINGDOM

E-Government

Transformational Government - Strategy and Implementation Plan
Cabinet Office

<http://archive.cabinetoffice.gov.uk/e-government/strategy/>

Freedom of Information

Justice Department

<http://www.justice.gov.uk/guidance/freedom-of-information.htm>

ICT Strategy Development

Cabinet Office

Government ICT Strategy 2010

http://www.cabinetoffice.gov.uk/media/317444/ict_strategy4.pdf

The Joint Information Systems Committee (JISC)

<http://www.jisc.ac.uk/>

JISC inspires UK colleges and universities in the innovative use of digital technologies, helping to maintain the UK's position as a global leader in education. JISC provides: A world-class network – JANET; access to electronic resources; new environments for learning, teaching and research; guidance on institutional change; advisory and consultancy services; and, regional support. JISC is funded by the UK HE and FE funding bodies to provide world-class leadership in the innovative use of ICT to support education and research. JISC manages and funds 191 Projects within 28 Programmes. Outputs and lessons are made available to the HE and FE community. JISC also supports 49 Services that provide expertise, advice, guidance and resources to address the needs of all users in HE and FE.

Relevant products/ services

Digital Repositories

<http://www.jisc.ac.uk/whatwedo/topics/digitalrepositories.aspx>

The National Archives (TNA)

<http://www.nationalarchives.gov.uk/recordsmanagement/>

The National Archives is a centre of expertise in creating, managing and preserving official information. It works with 250 government and public sector bodies, helping them to manage and use information more effectively. As the government's national archive for England, Wales and the United Kingdom, TNA holds over 1,000 years of the nation's records for everyone to discover and use. It also performs the Historical Manuscripts Commission's functions in relation to private records. The National Archives is a government department and an executive agency of the Ministry of Justice. It incorporates the Office of Public Sector Information and Her Majesty's Stationery Office.

Relevant products/ services

Annual report and plans

<http://www.nationalarchives.gov.uk/how-we-are-run/plans-policies-performance.htm>

Digital Continuity

<http://www.nationalarchives.gov.uk/recordsmanagement/digital-continuity.htm>

Investigating Significant Properties of Digital Content (InSPECT)

<http://www.significantproperties.org.uk/>

Digital Preservation Coalition (DPC)

<http://www.dpconline.org/graphics/index.html>

The Digital Preservation Coalition was established in 2001 to foster joint action to address the urgent challenges of securing the preservation of digital resources in the UK and to work with others internationally to secure a global digital memory and knowledge base. Established as a not-for-profit membership organisation the coalition provides a mechanism by which members can work together to realise the opportunities of long term access. The aims of the Digital Preservation Coalition are to enable and act as a catalyst to support its members to ensure long term access to and management of their digital assets; to collaborate with our national and international partners to take forward the digital preservation and asset management agenda; and to act as a broker and an agent of knowledge transfer amongst its membership

Relevant products/ services

Digital Preservation Handbook

<http://www.dpconline.org/advice/introduction-background.html>

Records Management Society

<http://www.rms-gb.org.uk/>

The Records Management Society is the foremost professional association in the UK for all

those who work in or are concerned with records or information management, regardless of their professional or organisational status or qualifications. The mission of the Society is to provide leadership in records and information management with the twin aims of: improving the status of records management and records managers through representation, external liaison and promotion; and, supporting professional development through sharing knowledge and expertise. The Records Management Society was launched in 1983. All those concerned with records and information, regardless of their professional or organisational status or qualifications, can join the Society. Organisations wishing to develop records or information systems and those that provide services in these fields are also welcome. Regular meetings are held to hear guest speakers or to hold discussions on topics as wide-ranging as office technology, organisation of records services, legal aspects of records management and the role of service companies. The Society is also facilitating its training programmes and extending its range of technical and information publications.

Relevant products/ services

Information, Guides, Resources

<http://www.rms-gb.org.uk/resources>

UNITED STATES

E-Government

E-Government Strategy (2002)

http://www.usa.gov/Topics/Includes/Reference/egov_strategy.pdf

Office of e-Government and Information Technology

<http://www.whitehouse.gov/omb/e-gov/>

Freedom of Information

Justice Department

<http://www.justice.gov/oip/>

ICT Strategy Development

Office of e-Government and Information Technology (no identified IT Strategy)

<http://www.whitehouse.gov/omb/e-gov/>

Cornell University, Research Program

<http://www.library.cornell.edu/iris/research/prism/index.html>

This DLI2 project is a four-year collaborative effort between the Cornell University Library (CUL) and the Cornell's Computer Science Department to investigate and develop policies and mechanisms needed for information integrity in the context of component-based digital library architecture. The key research areas include long term survivability of digital information, reliability of information resources and services, interoperability, and security (the privacy rights of users of information and the intellectual property rights of content creators), and metadata that makes it possible to ensure information integrity in digital libraries. At the heart of this project is translating the traditional preservation strategies to the digital realm in order to support the development of digital preservation tools and

mechanisms. Project Prism addresses preservation issues involved in a variety of digital formats.

Relevant products/ services

PRISM (Preservation, Reliability, Interoperability, Security, Metadata)

<http://prism.cornell.edu/Default.htm>

National Archives and Records Administration

<http://www.archives.gov/>

NARA's mission covers the entire lifecycle of records from creation to their ultimate use. Archives locations in 14 cities, from coast-to-coast, protect and provide public access to millions of records. In addition to assisting Federal agencies and the public with research and reference services, the agency delivers educational programs and public workshops to help Americans learn how to use archived records. Further, 17 Federal Records Centers (FRC) provide Federal agencies superior records storage, access, and disposition services through a national network of facilities. The National Personnel Records Center in St. Louis manages the records of millions of military veterans of the 20th century as well as former civilian Federal employees. Published daily, the *Federal Register* is a record of Government proclamations, orders, and regulations, and Presidential and other public documents. The Presidential libraries house papers, records, and other historical materials relating to all Presidents from Herbert Hoover on, their families, and their administrations. Not strictly libraries, these institutions combine museum exhibits and educational programs with original records open for research. NARA also runs a Government-wide records management program to identify records of permanent value, assure the timely disposal of temporary records, and provide agencies with guidance on managing their current records, and it assists non-Federal institutions through a grants program administered by the National Historical Publications and Records Commission.

Relevant products/ services

Reports and plans

<http://www.archives.gov/about/>

Records Management Services

<http://www.archives.gov/era/rms/index.html>

Department of Defense (DOD) Standard: Records Management Application

<http://jetc.fhu.disa.mil/recmgt/>

This Standard sets forth mandatory baseline functional requirements and requirements for classified marking, access control, and other processes, and identifies non-mandatory features deemed desirable for Records Management Application (RMA) software. This revised version of the Standard incorporates requirements for managing Freedom of Information Act and Privacy Act records. This version also incorporates baseline requirements for RMA to RMA interoperability and archival transfer to the NARA. This Standard describes the minimum records management requirements that must be met in accordance with section 2902 of title 44 United States Code (USC) Reference (q) and guidance and implementing regulations promulgated by NARA.

Minnesota State Archives

<http://www.mnhs.org/index.htm>

The Minnesota State Archives reports to the Minnesota Historical Society and is responsible for supporting the functions of an archive including the responsibility to facilitate the management of the records of the State Government of Minnesota as well as significant records documenting Minnesota society.

Relevant products/ services

Preserving the Records of E-Legislature

<http://www.mnhs.org/preserve/records/elegislature/elegislature.htm>

Electronic Records Management Guidelines

<http://www.mnhs.org/preserve/records/electronicrecords/erguidelines.html>

State of California Records Management Programme

<http://www.osp.dgs.ca.gov/recsctr/default.htm#mission>

The State Records Program has two main program elements: (1) the California Records and Information Management (CalRIM) program and (2) the State Records Center (SRC). CalRIM establishes guidelines for state agencies to manage their records programs, including the management of electronic records and using technology such as imaging. CalRIM provides training, Master Service Agreements to streamline the contracting process for records and imaging technologies and consultation, and other services to help customers establish and maintain effective records programs. CalRIM also reviews and maintains all State agency Records Retention Schedules. The SRC offers low cost storage of vital records and semi-active and inactive records, and includes the Document Destruction Center that provides destruction of confidential records, including plastic items. The SRC also maintains a vault for storage of vital records on microfilm and other media.

Relevant products/ services

Electronic Records Handbook

<http://www.osp.dgs.ca.gov/recs/erm.htm>

Indiana University, Office of Archives and Records Management

<http://www.libraries.iub.edu/index.php?pagelid=93>

The Office of Archives and Records Management at Indiana University Bloomington is a department within the IU Library system. As an archives, the primary mission is to collect, organize, make accessible and preserve records documenting Indiana University's origins and development and the activities and achievements of its officers, faculty, students, alumni and benefactors. The IU Bloomington Archives is the largest and most comprehensive source of information on the history and culture of Indiana University. As the records management office for IU Bloomington offices, schools and departments, and for administrative offices on the IUB campus that have system-wide responsibilities, the primary goal is to provide overall direction for developing and implementing a records management strategy that will effectively and systematically manage records throughout their entire life cycle.

Relevant products/ services

Electronic recordkeeping products

<http://www.libraries.iub.edu/index.php?pagelid=3313>

Tufts University, Digital Collections and Archives

The Digital Collections and Archives (DCA) supports the teaching and research mission of Tufts University by ensuring the enduring preservation and accessibility of the university's permanently valuable records and collections. The DCA assists departments, faculty, and staff in managing records and other assets. The DCA collaborates with members of the Tufts community and others to develop tools to discover and access collections to support teaching, research, and administrative needs.

Relevant products/ services

Fedora and the Preservation of University Records Project

<http://dca.lib.tufts.edu/features/nhprc/>