

In this issue:

Record keepers head the fight against e-Government e-garbage (By Michael Steemson) *pg 5-11*

“Some are beginning to call it e-Governance. The politicians love it, the technicians dream it, the public doesn’t understand it, the potential is information chaos, digital dung heaps of derelict, dysfunctional redundant data, e-weeds on the World Wide Web....Who’s going to prevent the information mess or have to clean up afterwards?”

Nailing a little jelly to the wall? Introducing records and information management programme to the South African Human Rights Commission (By Sello Hatang) *pg. 12-18*

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ALSO Inside:

- **Events,** **pg 2-4**

ESARBICA NEWSLETTER

2006 Issue No: 16

September

For more information, contact the editors Mr. S. Katuu skatuu@yahoo.com or Dr. P Ngulube ngulubep@nu.ac.za

Events

Sept 2006

11th – 15th **Advanced archives and records management** Training course to be convened by the Centre of Applied Communication at UNISA. Deadline for registration **1st September 2006**. Contact Mr. Mathews Kokong Tel: (+2711) 471 3896 Fax: (+2711) 471 3906 Email: mkokong@unisa.ac.za Website:

<http://www.unisa.ac.za/Default.asp?Cmd=ViewContent&ContentID=17563>

27th – 29th **Managing paper based records** Conference convened by Professional Corporate Training in Durban. Contact David Tel: 011 781 6922/7, Fax 011 7816933, Email: pctint@telkomsa.net

25th – 29th **Libraries: partners in learning, nation building and development** Conference convened by Library and Information Association of South Africa (LIASA) Ninth Annual Conference. Contact: Ms Naomi Haasbroek Tel: +(27)0218431259 Fax: +(27)218433525 Email: naomi@tlibs.ac.za Website:

<http://www.liasa.org.za/conferences/conference2006/cfp.php>

Oct 2006

4th-6th **Document, content and records management** course convened by Melrose Advanced Professional Training Contact Training in Johannesburg. Contact Tebby Tel. (27)114841112 Fax (27)114841166 Website: <http://www.melroseadvanced.co.za>

16th –10th Nov **Reducing risks to collections** ICCROM course convened in Ottawa, Canada and organized in collaboration with the Canadian Conservation Institute. The application deadline was 28th February 2006 at

<http://www.iccrom.org/eng/training/forms.htm>

16th –10th Nov **Sharing conservation decisions** ICCROM course convened in Rome, Italy and organized in collaboration with the Institut National du Patrimoine (France), the Istituto Centrale di Restauro and the Opificio delle Pietre Dure (Italy). The application deadline was 28th February 2006 at

<http://www.iccrom.org/eng/training/forms.htm>

23rd – 27th **10th AHILA (Association for Health Information and Libraries in Africa) conference**. Conference to be convened in Mombasa, Kenya. Contact: Nancy Kamau (Kenya Medical Research Institute) P.O.BOX 54840, Nairobi Tel.: (254)-713678 Fax: (254)-720030 E-mail: kemrilib@healthnet.or.ke Website

<http://www.ahila.org/events.php>

25th -27th **Libraries and information management Africa** conference and workshop convened by Melrose Advanced Professional Training in Johannesburg, South Africa. Contact Besa Simbeye Tel: (27)114841112 Fax (27)114841166 Email: besa@melrosetraining.co.za Website: www.melroseadvanced.co.za

Nov 2006

7th – 10th **Culture, memory and trauma – third annual national oral history conference** Convened by Oral History Association of South Africa in Richards Bay, South Africa. Deadline for proposal submission **15th July 2006**. Send proposals to: Third National Oral History Conference c/o Prof Philippe Denis, Sinomlando Centre for Oral History and Memory Work in Africa University of KwaZulu-Natal Private Bag X01 Scottsville 3209 (South Africa) Phone: 033 260 55 44 E-mail: denis@ukzn.ac.za Website: http://www.national.archives.gov.za/oral_assoc.htm

13th – 17th **Intermediate archives and records management** Training course to be convened by the Centre of Applied Communication at UNISA. Deadline for registration **3rd November 2006**. Contact Mr. Mathews Kokong Tel: (+2711) 471 3896 Fax: (+2711) 471 3906 Email: mkokong@unisa.ac.za Website: <http://www.unisa.ac.za/Default.asp?Cmd=ViewContent&ContentID=17563>

23rd – 24th **East African Government Technology conference** To be convened in Dar es Salaam, Tanzania. Website: <http://new.aitecafrica.com/node/133>

26th – 29th **11th ISfTeH International Conference : e-Health for all. Developed and Developing countries. Common issues – Universal solutions?** To be convened by the South African Department of Health and to be held in Cape Town, South Africa. Website: <http://www.mrc.ac.za/conference/satelemedicine/index.htm>

30th – 1st Dec **Information Lifecycle Management** workshop convened by Longsight Communication in Cape Town. Contact Saimon Chirume, Tel: (012) 320 6770, Fax: (012) 326 5080, Cell: 072 661 0714 E-mail: saimon@longsight.co.za Website: <http://longsight.co.za/>

Feb 2007

Feb-March **ICCROM Course on Conservation of Built Heritage** Application deadline **31st July 2006** to ensure inclusion in our selection process. Contact ICCROM - Sites Unit 13, via di San Michele I-00153 ROME RM, ITALY Tel (+39) 06 585531 Fax (+39) 06 58553349 E-mail: builtheritage07@iccrom.org Website: www.iccrom.org

March 2007

Advanced international records management training program (phase 2)

Conducted by the Swedish National Archives. Deadline for application was 1st March 2006 Contact: Riksarkivet C/o Hanna Eriksson Box 12541 SE-102 29 Stockholm, Sweden Fax +4687376474 Phone +4687376350 Website: http://www.ra.se/ra/recordsmanagement/index_eng.asp

July 2007

XIV Bi-Annual ESARBICA Conference to be convened in Tanzania, hosted by the National Archives of Tanzania.

September 2007

10th-13th **Influence with Integrity** recordkeeping conference convened by the Records Management Association of Australasia in Wellington, New Zealand. Contact RMAA Marketing and Event Manager, Ms Kristen Keley email: marketing@rmaa.com.au website <http://www.rmaa.com.au>

October 2007

Advanced international records management training program (phase 3)

Conducted by the Swedish National Archives. Deadline for application was 1st March 2006 Contact: Riksarkivet C/o Hanna Eriksson Box 12541 SE-102 29 Stockholm, Sweden Fax +4687376474 Phone +4687376350 Website: http://www.ra.se/ra/recordsmanagement/index_eng.asp

July 2008

XVIth International Congress on Archives to be convened in Kuala Lumpur, hosted by the International Council on Archives Website:

<http://www.ica.org/calendrier.php?pcalendrierid=237&plangue=eng>

Record keepers head the fight against e-Government e-garbage

By Michael Steemson

Abstract

E-Government grows like a World Wide Web weed creating vast records stores and, the author warns dumps of redundant data to challenge records and archives managers. This extract was part of a presentation to an electronic records management conference in Johannesburg, South Africa, in July 2006. The complete paper is available at www.caldeson.com/egovern02.html.

Introduction

Ms G. J. Fraser-Moleketi¹ calls it a “basket of key services”. George W. Bush says it’s a citizens’ rights goal. British Prime Minister Tony Blair demands “better, more efficient, public services” although his Deputy tends to dismiss it as only “part of a bigger picture”.

Europe thinks its “competitive”, the Gulf States say it will “centralise”, Australia sees it “connecting” and Canada thinks it does it best. Even little New Zealand is getting in on the act seeking outcomes, outputs and “better results for people”.

Big words; big, buzz-words about e-Government. Some are beginning to call it e-Governance. The politicians love it, the technicians dream it, the public doesn’t understand it, the potential is information chaos, digital dung heaps of derelict, dysfunctional redundant data, e-weeds on the World Wide Web.

Who’s going to prevent the information mess or have to clean up afterwards? We are. We the recordkeepers. Without our skills and knowledge, no-one will ever be sure if the facts are true, if the on-line calculation results are right or if anyone can remember what was promised last year, yesterday, this morning or a nanosecond ago. There is no need to panic. There is help out there.

Who does it best?

Which county leads the world in e-Government usage? It depends who you read but the surveys agree on the general theme the leaders are in the North American Continent. No real surprises there.

The most recent, authoritative survey comes from the United Nations, the *UN Global E-Government Readiness Report 2005: From E-government to E-Inclusion*, a mighty, three megabyte, .PDF document available on line from the UN's unpan1.un.org web pages².

It says that the United States leads the world in what the authors call “a quantitative, composite index of e-readiness based on website assessment, telecommunication infrastructure and human resource endowment”. Next, the list names Denmark, Sweden and Britain, South Korea, Australia, Singapore, Canada, Finland and Norway to complete its Top Ten. But these countries are separated by only eight percentage points on the index, so none is lagging far behind

South Africa's rather a long way down the list, 58th, just below China and ahead of Jamaica, but don't despair. There's better news to come.

Another big survey last year, by leading American international management and technology consultants, Accenture, puts Canada at the top of its e-Government “maturity” tree, followed by Singapore and the U.S. in equal second place, Australia, Denmark, Finland, Sweden, the Netherlands, Britain and Belgium. South Africa makes 22nd place behind Brazil.

Yet another mighty report, European Commission's white paper *Beyond e-Government, the world's most successful; technology-enabled transformation*³, puts Sweden at the top several of its scales, ahead of eight other seemingly somewhat

¹ Ms Geraldine Joslyn Fraser-Moleketi, M.P., Minister of Public Service and Administration of the Republic of South Africa, www.info.gov.za/leaders/ministers/psadmin.htm.

² *UN Global E-Government Readiness Report 2005: From E-government to E-Inclusion*, United Nations, New York, U.S.A., 2005.
<http://unpan1.un.org/intradoc/groups/public/documents/un/unpan021888.pdf>.

arbitrarily-selected nations including the US, Great Britain, Canada and Australia. Sweden has, apparently, more of its workforce in IT occupations than any of the others, has more businesses interacting with Government and is making more payments to government on line.

UN exposes digital divide

The survey found, again unsurprisingly, vast differences. The digital divide yawns between states as well as citizens. The report preface warns: "There are huge disparities in the access and use of information technologies. The onus lies, collectively, on the national Governments, the private sector and the civil society ... to come up with new initiatives."

How well are the nations using the web services that they have created? Here the US still leads. Britain and Singapore are only a single percentage point away in second place. South Africa does much better by this measurement, coming in at 35, equal with China. And the report picks out the Rainbow Republic as one of eight "greatest advances in e-services in developing countries".

The e-Government drivers

So, why are government's competing to outdo each other in the race to e-Government perfection? We have all heard the politicians' exciting and excitable views.

E-Government has given our leaders a clutch of strange, new phrases and sayings. "Transparent Government" is one of them; "the Connected Public" is another, a high-sounding aim to have the whole population using and understanding the Internet. The politicians and bureaucrats talk of "bridging the digital divide", "the changing role of government", "transforming the government business sector", "democratic renewal" and "greater openness".

But here's the real reason, revealed in one simple paragraph⁴ in the Accenture report. A recent Canadian study revealed the following figures:

³ *Beyond e-Government, the world's most successful; technology-enabled transformation*, European Commission, 2005.

www.egov2005conference.gov.uk/documents/pdfs/beyond_egov.pdf

⁴ *eGovernment Leadership: High Performance, Maximum Value*, p15, Accenture, U.S.A., May 2004, www.accenture.com/Global/Research_and_Insights/By_Industry/Government/HighValue.htm.

- Transactions done face-to-face with citizens cost the government \$44 each;
- The same transactions done by post cost \$38; and
- By telephone they cost \$8.

But, the Canadians found that, done on-line, the transactions each cost less than \$1.

Accenture also records Norway's Inland Revenue (www.skatteetaten.no), scoring an extra 400 million Kroner in taxes as honest citizens completed returns on line and the Irish Revenue (www.ros.ie) figures it has saved 600,000 Euros just on postage stamps.

That's what they call real bottom-liners. Small wonder governments are so keen to get us on-line

And it's not confined to government, either. The private sector has quietly been digitising its customer transactions as fast as citizens can be made to get on line. In business, it's called e-commerce, but its effects are the same.

It's difficult to dig out savings levels from big business, but the persuaders are obvious. I got significantly lower seat prices for my flights to Johannesburg by booking on line. My bank more than halves its charges for my Internet business. Big business is spending big money on e-infrastructure to get even deeper into the digits.

What's it to do with RM

It's all very exciting. Noble aims; huge sums of money; but what has any of it got to do with record keepers?

Everything!

We're right in the frame! For the first time, e-Government puts is right at the heart of the government agenda.

Record keepers' soaring interest, concern, challenge or nightmare whatever we may

call it is electronic records. E-Government and e-commerce create millions of them and need millions of others to operate successfully, have to keep them available, safe and sound, present them quickly and understandably to the world's most reluctant and critical audience, the citizens.

And, it's going to get bigger.

The European Commission knows it. In the *Beyond eGovernment* report, its researchers gleefully note: "e-Government is in its third wave of development. Having established the infrastructure and basic services, the focus is now on ICT-enabled business transformation." The fourth wave, the report says, will "Move beyond the re-engineering of existing services to radically new ways of realizing policy objectives enabled by IT."

It's going to get bigger.

South Africa knows it. President Mbeki of South Africa, in the address to his rainbow nation February of 2006 said: "We must ensure that the machinery of government, especially the local government sphere, discharges its responsibilities effectively and efficiently, honouring the precepts of Batho Pele⁵."

There is the future. Councils, languages, policy objectives, citizen services ...all of them mean more and more records. Take heart! There's no need to panic. There is a vast amount of help out there.

Out there, on the World Wide Web for free are all we need for the battle:

Best practice methodologies from the Canada-based InterPARES, an international research project on permanent preservation of records in electronic systems.

Best practice guidelines and assessment tools from London's International Records Management Trust (IRMT).

⁵ Batho Pele (putting people first), the South Africa Government Online service at www.gov.za/.

The US Department of Defence recordkeeping requirements *DOD 5015.2. Design Criteria Standard for Electronic Records Management Software Applications*,

The National Archives of Great Britain's electronic records management guidelines and standards

The European Commission's DLM Forum and a new Model Requirements for the Management of Electronic Records (MoReq2) document pointing the way to up-to-date *de facto* European standard. European central bank governors revised International Convergence of Capital Measurement and Capital Standards, known as Basel II, from the Swiss city where it was agreed

Most important of all, the International Standards Organisation's Records Management Standard, ISO 15489, and, for South Africa, its adoption as SANS 15489 and its endorsement by the National Archives of South Africa.

Record keepers' hard work

For us records, archives and information managers, it undoubtedly means hard work, anxiety, business pressure and even political campaigning the like of which we have never experienced.

e-Government will bring huge value to citizens. But it will not be achieved without huge effort and much of that effort will have been ours, the record keepers.

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About the Author

Michael Steemson, ARMA, heads the New Zealand-based Caldeson Consultancy in

business information management after 35 years in London journalism. He is Vice-President of the NZ Branch of RMAA. In the 1990's, he was for two years chairman of the Records Management Society of Great Britain and was a member of the Australia delegation on ISO's authoring sub-committee that created ISO15489. He has spoken at information conferences in Australia, Austria, China, England, the Netherlands, New Zealand, Scotland, Singapore, South Africa, Sweden, and Turkey.

Additional information

1. Phillips, Margaret and Adrian Cunningham (2004) "Keeping online information accessible for e-governance and e-democracy" see <http://www.nla.gov.au/nla/staffpaper/2004/phillips1.html>
2. Riley, Thomas B (2005) "E-governance comes of age in the Commonwealth" See http://www.electronicgov.net/pubs/research_papers/EGovRiley.shtml.
3. Walker, Richard (2004) "Beat the E-Records Glut: Agencies dig in to get control of a mounting pile of e-records" **Government Computer News** See http://www.gcn.com/print/23_29/27370-1.html

Nailing a little jelly to the wall? Introducing records and information management programme to the South African Human Rights Commission

By Sello Hatang

Introduction

The South African Human Rights Commission (“the Commission” or the “SAHRC”) is one of the institutions established in terms of Chapter nine of the South African Constitution, (“the Constitution”) to support constitutional democracy in South Africa.

The Commission has about 130 staff members and has offices in the following provinces; Gauteng (Head Office), Limpopo, Mpumalanga Kwazulu-Natal, Western Cape, Northern Cape, Eastern Cape and Free state. An office will be opened soon in the North West province. Each provincial office has an average of 7 staff members.

Its mandate includes monitoring and protecting the observance of human rights. One of the statutory mandates of the Commission in accordance with the Promotion of Access to Information Act (PAIA) SAHRC is to advise government departments on proper records keeping.

As a result, the Commission has had to develop its systems in order to be a centre of excellence on information and records management, which will ensure that there is effective access to information, both within the Commission and between the Commission and external stakeholders.

The Problem and the Development of the Project

In terms of the National Archives and Records Service of South Africa Act, 46 of 1996 (“NASA”), the Commission is a governmental body as defined. NASA requires that all public offices, including statutory bodies, have an approved records management policy, filing system with retention and disposal schedules, etc.

The policy should include the management of both electronic and paper based records. It was realised that the Commission was not complying with the

requirements of NASA. After a series of meetings, it was decided that the Commission would embark on a comprehensive records management project that would address both electronic and paper-based records.

It was acknowledged that this was not going to be an easy project and that several challenges would most likely face this project. These included:

- a. changing the culture of ownership of the records and mindset of staff members. There is a sense that the records are more secure and easily accessible if kept in offices. The thought of the records being kept securely in a registry is foreign. Hence there will be regular workshops and site visits of places that already have fully functional systems in place.
- b. changing the mindset of staff about consciousness that the records that are created constitute a critical part of the heritage of the country. An awareness needs to be created that would make staff consider records creation and management as constituting a central part of the work of the Commission and as part of creating the history of a dynamic democracy. Good recordkeeping, good governance and accountability should always be seen as going together.

In order to ensure that the SAHRC is compliant with NASA's requirements and in accordance with its PAIA mandate, the Commission embarked on an Integrated Information, Documents and Records Management Project.

The project has four phases which are outlined below with the objectives and terms of reference required for a service provider(s) who will help design and implement a comprehensive records and information management system.

The Commission ploughed both human and financial resources to ensure the project's success. For the first two phases of the project, the Commission invested an estimated amount of R1 million. The Commission intends to invest a further estimated R3 million for the third phase.

Phases one and two are already underway and are running concurrently. Phase three will be informed by the findings of Phase one and will ensue as soon as Phase one is completed. Part of phase four is also underway and will be completed after the assessment of the needs of the Commission is completed.

It is worth noting that the Commission did not rush to get an electronic system without first assessing what needs to be done. This tends to happen in most organisations that start by addressing electronic records without putting systems in place to look after the paper records. Paper records usually constitute the larger part of the spectrum, which leads to the undesirable effect of the projects failing.

Also worth noting is the establishment of an advisory committee constituting all departments at the SAHRC. This ensures that there is proper buy-in from all departments at the Commission and all departments are included.

	Objective	Product	Duration
Phase one – scoping	<ul style="list-style-type: none"> • Document the issues related to management of paper records at SAHRC; and • Assess issues related to electronic information and IT infrastructure management 	<p>Document that has comprehensive information on:</p> <ul style="list-style-type: none"> a) Current organizational chart (understanding the organisation as it stands and strategic plans ahead, especially functions); b) Business process mapping to reflect paper/electronic processes (understanding the activities of the organisation); c) An analysis of the types and volumes of records generated at the SAHRC (understand volumes of records produced daily, monthly etc and originator and where they are kept, etc); and d) An analysis of the risks related to records and information management at SAHRC (risk analysis in terms of legal issues and disaster management issues). 	maximum 3 months

	Objective	Product	Duration
Phase two - design a records management policy and file plan	<ul style="list-style-type: none"> design and implement a fully functioning information and records system for all offices of the Commission 	a) Design a comprehensive records management policy to be submitted to NASA; b) Design a comprehensive file plan to be submitted to NASA for approval; c) Design a comprehensive retention and disposal schedule that includes legal and operational retention considerations as well as disposition procedures to be approved by NASA; d) Design a comprehensive security and access classification; e) Provide a comprehensive train the trainer program for staff at SAHRC on the introduced policy and procedures; and f) Design an establishment of a functioning registry system: this includes management of mail, tracking of files, etc	maximum 12 months
Phase three - Electronic Records Management This phase has already started. The Legal Department is currently using workflow system, which will be rolled out throughout the organisation.	<ul style="list-style-type: none"> design and implement a fully functioning records and information system for all offices in SAHRC 	a) Design and implement a comprehensive security and access classification system; and provide a comprehensive train the trainer program for staff at SAHRC on the introduced policy and procedures and ensure transition to the new system.	maximum 12 months
Phase four – appointment of staff This phase will run concurrently with phases 1 and 2		a) Appoint archivists and registry clerks. This will be informed by the outcome of phase one which will recommend the best-suited registry system. Choices will be made between a centralised and decentralised registry system	

Conclusion

In the course of this project, the SAHRC has realised that in order to have a fully functional system, financial resources are not enough. There is a need for proper buy-in from staff. There can also not be a quick fix solution to the problems organisations face with regard to records management, one of which is buying technology. It is an underrated fact that technology is not a panacea and that records management problems have to be addressed using records management solutions, technology only acting as an enabler. Finally, this project is using projects that are currently undertaken at both UNISA and NMF as bench-markers and in this regard the Records Management Committee undertook site visits at various organisations that are currently implementing EDRMS.

Like the title suggests, this project is not as simple as one would think. However, it should not be considered impossible and based on the successes achieved so far, there is hope that the project will result in eventual triumph.

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About the author

Sello Hatang is the Manager of the PAIA Unit at the South African Human Rights Commission <http://www.sahrc.org.za> He is also the Deputy Information Officer in accordance with PAIA and is also responsible for SAHRC's records management project. Between 2002 and 2005, he worked as Coordinator of FOI and eventually as Director at South African History Archives <http://www.wits.ac.za/saha> and NGO in Wits University (Johannesburg) that endeavours to document the continuing struggle for justice. Between 1997 and 2002, he worked at South Africa's National Archives

<http://www.national.archives.gov.za> and while there was seconded to the Truth and Reconciliation Commission to help manage their records.

Additional information

1. Canada, Access to Information Review Task Force (2001) The Access to Information Act and Record-keeping in the federal government Ottawa: National Archives of Canada See <http://www.atirtf-geai.gc.ca/paper-records1-e.html>
2. Millar, Laura (2003) "The Right to Information - the Right to Records: The Relationship between Record Keeping, Access to Information, and Government Accountability", CHRI unpublished. See http://www.humanrightsinitiative.org/programs/ai/rti/articles/record_keeping_ai.pdf
3. UK Department of Constitutional Affairs (2002) Lord Chancellor's Code of Practice on Records Management. See <http://www.foi.gov.uk/reference/impref/codemanrec.htm>