ESARBICA NEWSLETTER

In this issue:

Investigating Electronic Record Keeping at The University of the West Indies, St. Augustine Campus, Trinidad & Tobago *(by Jo-Anne Georges)* **pg. 5 - 7**

"…the Campus has a structure for the management of paper records – there is a policy document, records retention and disposition schedules and preservation of records of long-term value. …Similar strategies, techniques and procedures would be needed to manage electronic records. But where to start?"

An introduction to Records Management Capacity Assessment System (RMCAS) *(by Sarah Demb)* **pg. 8-13**

"In developing RMCAS the Trust's aim has been to provide a means not only of evaluating whether the infrastructure of laws, organisational structures, policies, procedures and facilities exist to manage records effectively, but also to provide a methodology with which to identify problems and begin to plan solutions"

Events

Oct 2004

5th – 6th **"Email management"** Conference convened in Johannesburg, South by Marcus Evans. Contact Person Gabi Geffen, Senior Project Manager; Phone +27115161000 Fax +27115161001 Email gabig@marcusevanssa.com

6th -8th "**Cost Effective Health Informatics Initiatives for Southern Africa** " Conference convened in Kimberly, South Africa by South African Health Informatics Association. Contact Person: Ms Tish Naicker Phone +2753 830 0617 Fax: +2753 832 9221 Address: Information Management Department of Health Private Bag X 5049 Kimberley 8300 Email: mail@hisa.co.za **website:** http://www.epatientrecords.co.za/hisa2004/

8th "**Legislation, Standards and Best Practice regarding Information Management & Security (SA v US v UK)**" Convened in Cape Town by Michalson Consulting in conjunction with the Forest Group Email: seminars@michalson.com **website**: http://www.michalson.com/cons/seminars/index.htm

12th – 15th **"Records Management course"** Workshop convened by National Archives of South Africa in Pretoria, South Africa. Contact Arie Bot, Phone: (012) 323 5300, Fax: (012) 323 5287. E-mail: rmc@dac.gov.za **website** http://www.national.archives.gov.za/rms/rmc.htm

14th – 16th **"Justice, unfinished business and access to information"** Conference convened at the by University of Witwatersrand, South Africa by South African History Archive (SAHA) and Rosa Luxemburg Foundation. For more information contact SAHA Phone: +277171941. For registration Contact Lesley Stephenson Phone: +27117177031 Fax: +27113397835 Email: stephensonl@ebe.wits.ac.za **website**: http://www.wits.ac.za/saha/conf_broch.pdf

15th "**Dealing with electronic evidence (incl. email)**" Convened in Cape Town by Michalson Consulting in conjunction with the Forest Group Email: seminars@michalson.com **website** http://www.michalson.com/cons/seminars/index.htm

22nd "**Getting a Grip on Compliance & Managing Risks of non-compliance**" Convened in Cape Town by Michalson Consulting in conjunction with the Forest Group Email: seminars@michalson.com **website** http://www.michalson.com/cons/seminars/index.htm

29th "**E-mail Management**" Convened in Cape Town by Michalson Consulting in conjunction with the Forest Group Email: seminars@michalson.com website: http://www.michalson.com/cons/seminars/index.htm

Nov 2004

1st – 2nd **"Conceptualising an aids museum: commemoration and celebration"** Conference convened by Perinatal HIV Research Unit in conjunction with South African History Archive (SAHA) and Wits Aids Research Institute (ARI). Contact: Lesley Stephenson Phone +27117177031, Fax +27113397835 Email: stephensonl@ebe.wits.ac.za **Website** http://www.hivsa.com

05th "**Getting to grips with the ECT Act - looking behind the Hype**" Convened in Cape Town by Michalson Consulting in conjunction with the

Forest Group Email: seminars@michalson.com **website**
http://www.michalson.com/cons/seminars/index.htm
9th – 12th **"Records Management course"** Workshop convened by National Archives of South Africa in Pretoria, South Africa. Contact Arie Bot, Phone: (012) 323 5300, Fax: (012) 323 5287. E-mail: rmc@dac.gov.za **website** http://www.national.archives.gov.za/rms/rmc.htm
10-12th **Electronic records management conference** Convened in Johannesburg, South Africa by Knowledge Up-grade. Contact Vanessa Phone +27117840888 Fax +27117849091 Email: sales@knowledge-upgrade.com
19th "**Developing and Writing information security policies**" Convened in Cape Town by Michalson Consulting in conjunction with the Forest Group Email: seminars@michalson.com **website** http://www.michalson.com/cons/seminars/index.htm

Dec 2004

03rd "**Electronic Signatures and Crypto Providers**" Convened in Cape Town by Michalson Consulting in conjunction with the Forest Group Email: seminars@michalson.com **website** http://www.michalson.com/cons/seminars/index.htm

Jan 2005

19th – 21st "**Expectation and realities in managing electronic records**" Conference convened in Gaborone, Botswana by Long sight in conjunction with Department of Library and Information Studies. Contact Richard; Phone +27113393300 Fax +2711 3393325 Email richard@longsight.co.za **Website** http://www.longsight.co.za

ESARBICA Journal joins AJOL

The ESARBICA Journal has now joined the African Journals Online family and the latest edition can now be accessed online. See
http://www.ajol.info/journal_index.php?ab=esarjo

Call for papers

The XVIII Bi-Annual Eastern and Southern Africa Regional Branch of the International Council on Archives (ESARBICA) General Conference on Archives and Records in the Information Society: The African Agenda will be hosted by the Botswana National Archives and Records Services (Gaborone) in July 2005. Accommodation, travelling and subsistence are the responsibility of the paper presenters.

Themes
The forthcoming ESARBICA Conference seeks to address some of the challenges faced by the African archivists in the information age. Contributions are invited that address issues related to archives, records and the African information society. Themes that may be addressed are wide and open, but an advanced academic level of discourse is required. Inter alia the following broad themes will be addressed at the conference:

· Managing Records for Good Governance
· Records and E-Governance
· Access to Archives and Records
· The African Agenda (Preserving the African memory, managing archival heritage in the ESARBICA region, indigenous knowledge systems, and oral history/traditions)
· Information and communication technologies and preservation of archival heritage
· Training and professional development

Call for Posters
In addition to formal papers, submissions for posters are also welcome.

Submission Procedure
Submissions should include the speaker's name, address, e-mail address, telephone and fax numbers, a short one-paragraph biographical note, the title of the presentation or poster, and an abstract of 400 to 500 words.

30 November 2004: Submissions of abstracts, sent to Dr Patrick Ngulube, E-mail: ngulubep@ukzn.ac.za or Fax +27332605092.
20 December 2004: Notification of acceptance or rejection of the submitted abstract.
30 April 2005: Final camera-ready copy of the paper to be submitted for publication in the conference proceedings.

Investigating Electronic Record Keeping at The University of the West Indies,
St. Augustine Campus, Trinidad & Tobago
By Jo-Ann Georges

The Campus at St. Augustine in Trinidad & Tobago is part of the University of the West Indies which comprises 3 main campuses, the Centre of Hotel and Tourism Management in the Bahamas, the Institute of Business at St. Augustine and Mona as well as 11 non-campus centres situated in other Caribbean countries. The University is supported by sixteen countries, all current or former colonies of Great Britain, the UWI is committed to the development of the region through the training of its human resources, conducting research, delivering advisory services to governments as well as to private sector and forging links with other institutions in the wider region and the rest of the world.

In 2004 the Campus' Executive Management began a project aimed at improving the efficiency with which the units of the University's Registry operated. The Head of each unit was required to define and map all the processes for which each was responsible. The Registry is made up of the following sections – Examinations, Admissions, Graduate Studies, Human Resource Management, General Administration (Purchasing and Facility Management) and Archives and Records Management.

Once the business processes were mapped and the synergies between and among processes were identified it became clear that there was an urgent need to improve the way in which information was shared and stored within the department and with key stakeholders outside of the Department. The Human Resource Management System and the Facilities Maintenance systems have already been automated using enterprise wide software applications and the automation of the student management system is underway.

Executive Management immediately identified a pressing need to reduce the quantity of paper that was generated, processed and stored. The Information Technology staff assigned to work with the line managers on the project proposed a document management system. When questioned they defined this as a system which would

allow the scanning of all paper for subsequent retrieval on-line. Executive management accepted this proposal and mandated the implementation of a document management system within the Administration Department by January 2005. It appeared that reducing or eliminating paper was to be the only goal of any new system proposed. This was a highly undesirable state of affairs

As part of the University-wide Archive and Records Management Programme the Campus has a structure for the management of paper records – there is a policy document, records retention and disposition schedules and preservation of records of long-term value. GENCAT software is used for organizing and tracking of active, inactive and archival records. Similar strategies, techniques and procedures would be needed to manage electronic records. But where to start?

In order to speed up the process the Records Management team acquired and reviewed United Kingdom's Public Records Office's Requirements for Electronic Records Management Systems Functional Requirements 2002 revision: final version. Information adapted from this document has been used to create an advertisement for "Expression of Interest" in providing an ERM solution for the University's administration. Work is now continuing on the creation of a full Request for Proposal Document (RFP), which will be given to those firms that respond to the advertisement. This exercise is proving to be very challenging, there is a great deal of information available on creating RFPs and making the best use of this wealth of information in a very short time frame is difficult. Responsibility for this document has been left entirely in the hands of the Records Management Programme. The Information Technology Unit acknowledges the expertise of the records management staff and the two teams have worked together without any major problems.

Using the data gathered during the "process mapping" phase of the project a decision will be made on which process or sub-process will be automated first as funding, equipment and staff constraints necessitate a phased approach. The choice will be based on the size and complexity of the process, the quantity of the paper generated by the process, the training and ability of the staff handling the process and the impact of the process on other processes. It would be best to choose a "contained" paper intensive process where the staff are trained in using automated

technologies and highly motivated. Currently, it seems that a process in the Human Resource Management Unit will be chosen as the staff are already comfortable using their enterprise application and are eager to "take it to the next level" by eliminating or reducing the paper currently used in the process.

Eventually any automated records management solution will be required to integrate records generated by the four enterprise systems currently being used to manage the human resource functions, the student management functions, the accounting functions and the facilities management functions. In addition documents and records produced by common "office type" applications will also need to be integrated into the system.

We are currently awaiting responses to the advertisement for expressions of interest and continuing work on the Request for Proposal Document.

Jo-Ann Georges
Campus Records Manager
Email: jageorges@admin.uwi.tt
University of the West Indies, St. Augustine
Web address: http://www.uwit.tt

About the author
Jo-Ann Georges is the Campus Records Manager at the St. Augustine campus of the University of West Indies. She lectures in the University's summer certificate programme in records management and ha a special interest in electronic records management.

Additional information

1. Functional requirements for electronic record management systems (UK) http://www.nationalarchives.gov.uk/electronicrecords/function.htm
2. GENCAT software (by Eloquent Systems of Canada) http://www.eloquent-systems.com/webgencat.shtml
3. World Bank electronic recordkeeping project http://www.worlbank.org/archives [Link: electronic records strategy]
4. For more information visit http://www.aiim.org/standards.asp?ID=24484

An introduction to Records Management Capacity Assessment System (RMCAS)

by Sarah Demb

Background

The International Records Management Trust[1], working in partnership with the World Bank, has developed Records Management Capacity Assessment System (RMCAS) software as an objective means of assessing the strengths and weaknesses of records management systems. RMCAS will be available free of charge, along with an on line tutorial, from the end of October 2004 via the Trust's website at http://ww.irmt.org.

RMCAS was developed as part of the Trust's *Evidence-Based Governance in the Electronic Age Project,* which has been funded by the World Bank. To develop RMCAS, the Trust drew upon previous research, which demonstrated the relationship between records management, financial management and accountability[2]. One of the aims of the *Evidence-Based Governance* project was to build on this work and to develop tools to diagnose problem areas and indicate pathways for improvement, taking into account organisational capacity. In developing RMCAS the Trust's aim has been to provide a means not only of evaluating whether the infrastructure of laws, organisational structures, policies, procedures and facilities exist to manage records effectively, but also to provide a methodology with which to identify problems and begin to plan solutions.

RMCAS has been field tested in government agencies in Botswana, Kenya, Ghana, India, Malawi, Singapore, South Africa and Yap (Federated States of Micronesia). Peer reviews were also carried out in Canada, Iceland and New Zealand. The Trust is grateful to Peter Sebina (SLAIS, University College London), Shadrack Katuu

---

[1] The International Records Management Trust, based in London, is a UK registered charity established in 1989 to help develop new strategies for managing public sector records. Its work is supported by national and international donors including the World Bank, UNDP, the Commonwealth Secretariat, the UK Department for International Development, Canadian-CIDA, as well as by other organisations and individual governments.

[2] *From Accounting to Accountability: Managing Accounting Records as a Strategic Resource.* A research project funded by the World Bank *info*Dev program between 2000 and 2001. See http://www.infodev.org/projects/government/257accountability/index.htm

(SAHA, University of the Witwatersrand) for helping to facilitate the field-testing in southern Africa.

Records Management Capacity Assessment System (RMCAS)

RMCAS comprises three components:

- a data-gathering element consisting of assessment questions in structured sequences
- a diagnostic model which maps the data gathered against statements of good practice and capacity levels
- a database of training and capacity building resources for records and information management.

Records Management Capacity Assessment System (RMCAS)

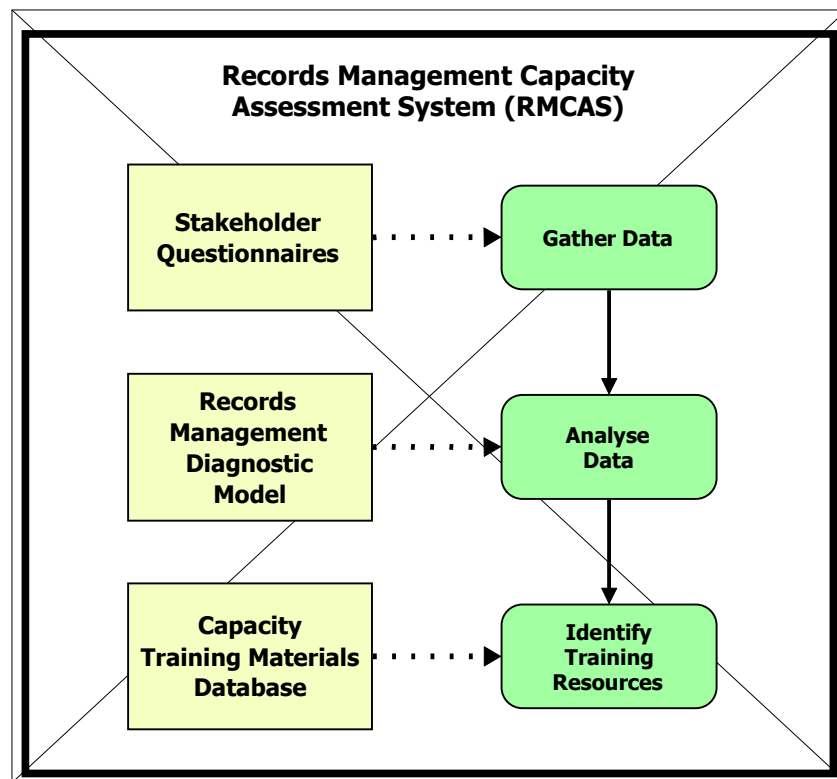| Stakeholder Questionnaires | ····▶ | Gather Data |
| Records Management Diagnostic Model | ····▶ | Analyse Data |
| Capacity Training Materials Database | ····▶ | Identify Training Resources |

Fig 1: RMCAS components

RMCAS can be applied flexibly to take account of variations in the size of institutions and the administrative contexts in which they operate, as well as developmental and national aspirations. It is designed to be useful in countries where resource constraints demand practical and realistic solutions. Currently, RMCAS contains

assessment modules on financial, human resource, and legal and judicial records and information systems. The intention is to add more modules, such as land and health care records in the future. RMCAS also contains a generic module that can be used to in relation to any sector to determine how records are managed in terms of the infrastructure and control systems needed to protect them and to meet business, legal and administrative requirements. All modules can be applied to both paper and digital records, and can be used to assess the relationship between paper and electronic record keeping systems. In particular, RMCAS can be used to determine whether the existing infrastructure, control systems, resources and capacity are adequate to capture and preserve records that are created in the electronic environment.

RMCAS can produce a variety of reports in various formats, including a high-level three-dimensional graphical representation summarising strengths and weaknesses in records management infrastructure and systems. This report can be used to highlight where capacity building is required in relation to the life cycle or continuum of records, from creation and capture, through active life to preservation as archives or ultimate destruction. It can also be used to highlight where capacity building may be needed in relation to the institution's environment of policies, procedures, skills and resources.
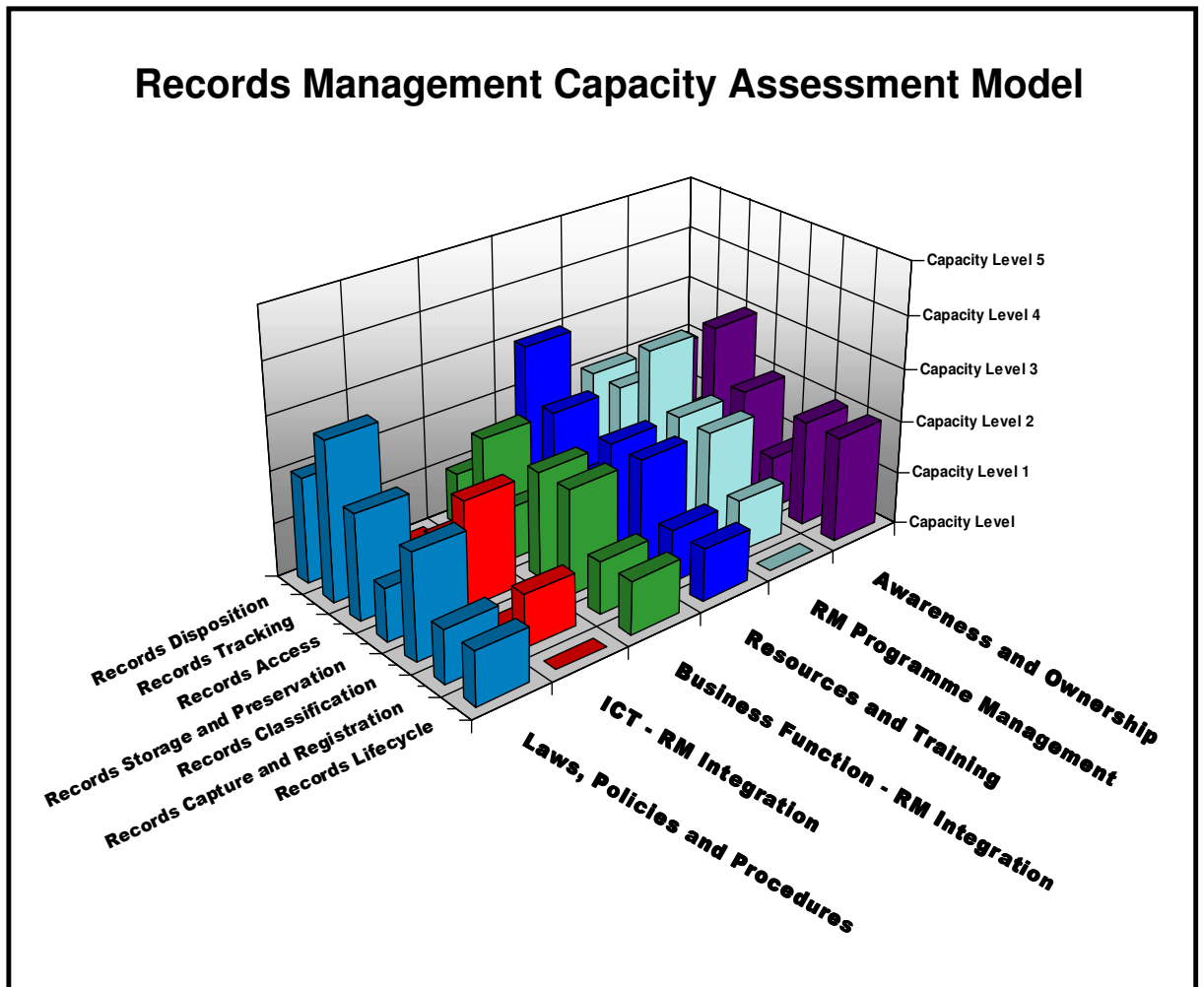
Fig 2: RMCAS' report presentation

RMCAS also supports a linked database of capacity building resources that can be used in conjunction with the assessment to identify solutions and to help plan strategies for improving records and information management.

RMCAS measures data gathered by means of the assessment questions against requirements of good practice, as defined by recognised standards or models, including *ISO 15489*, *MOREQ* and Canada's *Information Management Capacity Check*. The term 'good practice' is used rather than 'best practice' as it is recognised that no one records management model will fit all organisations.

The records management capacity levels are based to some extent on other models but also on experience and knowledge gained through case studies, discussion with

professional colleagues and experience in dealing with broken down records management systems and the transition from paper to electronic systems. The capacity levels are defined as follows:

- *Level 0*: Records management policies, systems and processes are non-existent or informal/ad hoc/personal and ineffective. There is little or no use of IT for creating or managing records.
- *Level 1*: Basic records management policies, systems and processes are defined but are not consistently and effectively applied across the organisation. There is little or no connection between records management and business functions. There is little or no effective use of IT for managing records.
- *Level 2*: Key records management policies, systems and processes are in place across the organisation and are working. The organisation recognises the need to link records management policies, systems and processes to business functions but has not yet achieved this. IT is used for records and information management but its effectiveness is limited.
- *Level 3*: Records management policies, systems and processes are in place across the organization, are working effectively, are linked to business functions and support organizational management goals. A mixture of IT and paper systems are used in the creation and management of records and information.
- *Level 4*: Records management policies, systems and processes are in place, applied effectively, are integrated with all business functions and support organisational governance and accountability. Policies, systems and processes are reviewed and improved regularly. Extensive use is made of IT to create, manage and exploit records and information.
- *Level 5*: A knowledge management environment is in place and used effectively to support all business functions and governance objectives and the needs of all stakeholders. A learning culture exists in which monitoring, compliance and improvement takes place continuously. Advanced technology systems and networks are used for the creation and sharing of records and to enable effective communication and collaboration within the organisation and with other partners.

Level 0 represents the absence of good practice, but it is unlikely that any organisation will score zero in all categories. Similarly, the top capacity level is an aspiration, and no organisation will score 5 in all categories. Few, organisations anywhere are at level 4 across the board, and it is likely that many organisations in the developed world are currently at levels 2 to 4. Developing countries are more likely to be at levels 1 (or 0) and 2 unless they have undergone a records management improvement programme.

IRMT expects to maintain and make RMCAS available over the long term in collaboration with a major archival institution and will continue to upgrade and update both its contents and structure in response to user requirements. The addition of modules such as land and health records is planned and the Trust intends to launch RMCAS along with its new E-records Readiness Tool.

Sarah Demb
Project Manager
International Records Management Trust (IRMT)
Tel: +442078314101
Email: sdemb@irmt.org
Website: http://www.irmt.org

Additional information

1. Electronic records toolkits (The United Kingdom)
   http://www.nationalarchives.gov.uk/recordsmanagment/
2. Evidence-Based Governance in the Electronic Age Project (IRMT)
   http://www.irmt.org/evidence
3. Record keeping toolkit (Australia)
   http://www.naa.gov.au/recordkeeping/dirks/summary.html
4. Records Management toolkit (South Africa)
   http://www.national.archives.gov.za/rms/rec_man_ser.htm