

## The E-Records Readiness Tool

The International Records Management Trust has designed this E-Records Readiness Tool to be used in conjunction with existing e-government readiness tools. The aim is to enable governments to conduct high-level assessments of key areas of e-records readiness in relation to other aspects of e-government and to determine whether the records and information management infrastructure is capable of supporting e-government initiatives.

**E**-government involves using Information and Communication Technology (ICT) to improve the delivery of government services and information, enhance the efficiency and accountability of the public administration and strengthen economic performance. Countries around the world expect that e-government will provide new and improved ways of delivering services to citizens and government partners.

Early stages of e-government implementation tend to focus on enabling technologies and architectures to support online delivery of government services and information. As these architectures mature, the focus is increasingly directed to the quality and integrity of the digital information and e-records that are being created, managed and delivered as a result of electronic applications. **E-records are the recorded information, documents or data that provide evidence of policies, transactions and activities carried out in e-government and e-commerce environments.**



The International Records Management Trust is a UK-based non-profit organisation established in 1989 to help build solutions for managing public sector records in developing countries. Over the last 15 years, it has played a pioneering role in addressing the relationship between records management and good governance. Drawing on its team of over 60 practising professionals from the public and private sectors and from academic institutions, the Trust supports governments worldwide in building the infrastructure for managing public sector records. In partnership with public sector institutions, international donors, professional associations and academic institutions, it creates free records management training and resource material, including the E-Records Readiness Tool. See <http://www.irmt.org>.

## E-Records Readiness Is Critical for Successful E-Government

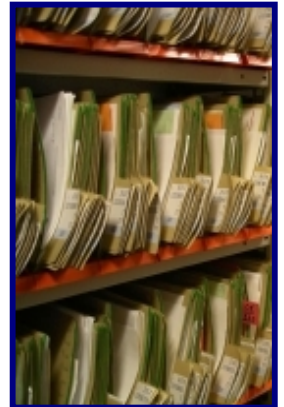
**E**-records are strategic and operational assets, vital to the operation of the state. They need to be protected and used for the benefit of citizens. Like traditional paper records, e-records support the day-to-day operation of government services and interactions with citizens and private and public sector partners. As government services move online, e-records will be the basis for confirming pension and other entitlements; registering births and deaths; verifying citizenship and certifying voting rights; enabling the collection of taxes and census enumeration; supporting financial management and enabling audits and evaluations; helping resolve land claims; supporting litigation; documenting inter-governmental agreements; enabling economic planning; describing the government's accomplishments; documenting its transgressions; monitoring the nation's development and governance, and enabling countless other information-intensive activities.



The Canadian Public Policy Forum's paper 'Information Management to Support Evidence-Based Governance in the Electronic Age' provides a more detailed analysis of the issues that democratic governments face as they turn to the electronic record as the de-facto form of decision-making and service delivery. See [http://www.pppforum.com/ow/ow\\_p\\_11\\_2002B.pdf](http://www.pppforum.com/ow/ow_p_11_2002B.pdf).

## E-Records Must Be Protected, Managed and Preserved

As e-government services are delivered using new ICT technologies, the intended benefits will be compromised unless there is an adequate infrastructure for managing the e-records that will be created. Traditional records and information management tools, such as classification schemes and disposal schedules, are necessary to ensure that e-records are protected as reliable evidence. **Failing to address e-records issues as a component of e-government will jeopardise the substantial financial investment required to launch e-government services.** In the digital environment, not only is there a risk of reduced government programme effectiveness due to poor records and information management, but governments can face increased operating costs; gaps in recorded memory; reduced public access to entitlements and the erosion of rights; inability to comply with laws and policies; weakened capacity for decision-making; increased legal, financial and political risk; and reduced transparency, accountability and trust.



This issue has not yet been addressed systematically. Although some international development organisations refer to records and information management in their e-readiness assessment tools, the tools do not permit an accurate assessment of e-records readiness. The E-Records Readiness Tool has been designed to be used in conjunction with existing e-government readiness tools to permit a high-level assessment of the infrastructure and capacity required to manage records and information. Where problems are identified that require further analysis, the Trust provides a free Records Management Capacity Assessment System (RMCAS) software tool to support a more in-depth evaluation and to identify relevant capacity building resources. See <http://www.irmt.org>.

## How to Use This E-Records Readiness Tool

The remainder of this document is a brief questionnaire that will provide a risk assessment of e-records readiness both at the government-wide, national level and at the agency-specific level. You can conduct a national assessment on its own, but if you are assessing an agency's e-records readiness it is recommended that you evaluate both the national level and the agency-specific level. You may find that while your agency is prepared to handle e-records management, your government's legal and ICT framework needs to be strengthened to ensure the success of your e-government initiative. The opposite may also apply; your agency may need to address some significant records and information management infrastructure issues, while the government-wide legal and ICT framework may already be sound enough to support e-records management.

The questionnaire consists of twelve components of e-records readiness. The first six components address national, government-wide e-records readiness; the last six components address agency-specific e-records readiness. Each e-records readiness component is described at three possible stages of capacity. After reading the description of each of the component, decide whether the government or the agency best fits the stage 1, 2 or 3 description. This tool is meant to provide a high-level assessment; all the statements in the stage description will not necessarily apply to your situation. Just choose the description that most closely matches your government or agency's current scenario.

In the space provided below each component description, enter the score associated with the most appropriate stage description. After assessing all the components, total the scores on the summary page (see next page). Find the final score in the range of scores provided to determine the level of E-Records Readiness risk (low, moderate, high) at the national or agency-specific level and review the guidance recommendation associated with that risk level.

**Besides providing a high-level risk assessment of e-records readiness, the process of completing the questionnaire should create an awareness of issues that may have been overlooked or underestimated in your government or agency's e-government strategy.**

No.	Page	Component	Score
<b>National E-Records Readiness</b>			
1	p.2	Legal Mandate for the Government-Wide Management of Public Records and Information	
2	p.3	Legal Framework for E-Commerce Activities	
3	p.4	Freedom of Information and Protection of Privacy Legislation	
4	p.5	Government-Wide ICT Infrastructure and Capacity	
5	p.6	Government-Wide E-Records Management Standards and Guidelines	
6	p.7	Government-Wide Digital Preservation Strategy	
<b>National E-Records Readiness Score</b>			
<b>Agency E-Records Readiness</b>			
7	p.8	Policies and Responsibilities for Records and Information Management	
8	p.9	Tools and Procedures for Records and Information Management	
9	p.10	E-Records Management Products and Technologies	
10	p.11	Resources and Training for Records and Information Management Personnel	
11	p.12	Internal and Public Awareness of Records and Information Management	
12	p.14	Compliance with Records and Information Management Policies and Procedures	
<b>Agency E-Records Readiness Score</b>			

<b>RISK ASSESSMENT: National E-Records Readiness</b>			<b>RISK ASSESSMENT: Agency E-Records Readiness</b>		
Score	Assessment	Recommendation	Score	Assessment	Recommendation
30 - 60	<b>HIGH RISK</b>	Recognise that government records and information produced in digital form will be at risk of misuse and loss without government-wide strategies and standards for e-records and digital preservation. Give priority to establishing the basic legal framework and ICT infrastructure required for successful e-records management.	30 - 60	<b>HIGH RISK</b>	Recognise that funds and effort will likely be wasted unless e-government initiatives are supported by a solid records and information management programme within the agency. Take immediate steps to build the infrastructure required to manage both paper and electronic records.
65 - 90	<b>MODERATE RISK</b>	Proceed with caution while continuing to build consensus and collaboration amongst stakeholders to maintain and improve the legal framework and national e-records and digital preservation strategy.	65 - 90	<b>MODERATE RISK</b>	Proceed with caution while addressing the records and information management risks that have been identified.
95 - 120	<b>LOW RISK</b>	Proceed with e-government initiatives. Monitor legal framework and national e-records and digital preservation strategy during and after implementation.	95 - 120	<b>LOW RISK</b>	Proceed with e-government initiatives. Monitor records and information management risks during and after implementation.

## National E-Records Readiness

### 1. Legal Mandate for the Government-Wide Management of Public Records and Information

E-government services produce digital information, or 'e-records', that document government transactions and online activities. It is important that a central agency, such as the national archives, is designated to ensure that government-wide standards and practices are developed and implemented, that appropriate facilities are created and that adequate resources are invested in managing official records in digital and other formats.

If this central agency is to fulfill its responsibility for government-wide records and information management, its role must be mandated and recognised in law such as a national archives act.

Without such a legal mandate and formal authority, governments risk haphazard, inconsistent or negligent treatment of records. This, in turn, creates serious consequences for the accountability and trustworthiness of government actions as a whole.

STAGE 1	Score
<ul style="list-style-type: none"> <li>• There is no national archives law or equivalent legislation that assigns central responsibility for the creation, management and preservation of official records, paper or electronic.</li> <li>• There is a lack of clarity within government about who has the authority to make decisions on the retention, destruction and accessibility of records and information, paper and electronic.</li> <li>• Arrangements for managing records are informal, with government agencies making ad hoc provisions for the storage and retrieval of records, paper and electronic.</li> </ul>	5
STAGE 2	
<ul style="list-style-type: none"> <li>• A central government agency monitors and supports the storage and retrieval of official records, paper and electronic, but it does not have a legal mandate for government-wide management of official records, paper and electronic from creation to destruction or permanent preservation.</li> <li>• Decisions on the creation, retention, destruction and preservation of digital information in government computerised information systems are deferred to system administrators and other ICT personnel.</li> </ul>	10
STAGE 3	
<ul style="list-style-type: none"> <li>• A central agency, such as the national archives, is legally responsible for providing expert guidance on and oversight of the creation, management and permanent preservation of all official records, paper and electronic, and for access to the records.</li> <li>• A central agency, such as the national archives, has legal responsibility for issuing and/or approving records retention and disposition schedules that indicate which categories of government records must be preserved permanently or, alternatively, how long specific types of public records must be retained before they may be destroyed.</li> <li>• There are formally recognised responsibilities for managing records from the point of creation to the point of destruction or permanent retention (eg by registries and file rooms, records centres and a national archives).</li> <li>• There are formally recognised records and information management 'champions' who actively promote the implementation of records management practices across government institutions and functions, including the area of e-government services.</li> </ul>	20

Assessed Score for 1. Legal Mandate for the Government-Wide Management of Public Records and Information:

2. Legal Framework for E-Commerce Activities		
<p>As more and more private sector and government activities are carried out online in electronic format, it critical that evidence of these activities is available to protect the rights and responsibilities of all involved.</p> <p>Under existing legislation, courts around the world have struggled with applying the traditional rules of evidence to e-records, with inconsistent results. To facilitate dispute resolution and avoidance, governments need to adopt laws that establish ground rules for e-transactions, e-commerce and the use of e-signatures.</p> <p>E-commerce laws and regulations need to be modernised, clarified and harmonised so that public and private sectors alike can make the best possible technical decisions about how to produce and keep e-records across jurisdictions, with a minimum of uncertainty about how their legal rights will be affected.</p>	<p><b>STAGE 1</b></p> <ul style="list-style-type: none"> <li>• There is no legislation that establishes ground rules for e-commerce transactions and admissibility of e-records in legal proceedings.</li> <li>• There is confusion within the public and private sector about whether online transactions are valid legal agreements.</li> <li>• There is significant corruption and fraud associated with online transactions.</li> </ul>	<p><b>Score</b></p> <p>5</p>
	<p><b>STAGE 2</b></p> <ul style="list-style-type: none"> <li>• Some form of legislation and or regulations address e-commerce transactions but apply only to certain types of activities or jurisdictions. In some cases, the rules contradict each other.</li> <li>• De facto best practices, such as the use of e-signatures or online payment systems, are promoted by an influential organisation, such as a chartered bank or a revenue/taxation institution, and are used in the country.</li> <li>• Government records managers, systems administrators or legal advisers are not certain whether current government computer systems are producing records suitable for use in court.</li> </ul>	<p>10</p>
	<p><b>STAGE 3</b></p> <ul style="list-style-type: none"> <li>• A harmonised, nation-wide e-commerce law clearly establishes rules and guidelines for electronic transactions and record-keeping.</li> <li>• An e-commerce law has created an atmosphere of confidence in the public and private sectors by providing clear, fair and workable rules for the admissibility of evidence in digital form.</li> </ul>	<p>20</p>
<p>Assessed Score for 2. Legal Framework for E-Commerce Activities:</p>		

3. Freedom of Information and Protection of Privacy Legislation		
<p>Freedom of information and protection of privacy legislation supports accountability, transparency and anti-corruption measures and is an important aspect of modern democracies. It gives citizens a mechanism for holding their governments accountable by requesting information about official activities, and it provides assurance that personal information is only used for legitimate purposes.</p> <p>Without such legislation, digital information can be manipulated and misused for corrupt purposes by governments or bureaucrats.</p> <p>E-government can be introduced without implementing freedom of information and protection of privacy legislation, but the aim of empowering citizens will be undermined.</p>	<b>STAGE 1</b>	<b>Score</b>
	<ul style="list-style-type: none"> <li>• There is no freedom of information law and no plan to draft one.</li> <li>• There is no public debate about the value of freedom of information and the protection of privacy.</li> </ul>	5
	<b>STAGE 2</b>	
	<ul style="list-style-type: none"> <li>• There is no freedom of information law, but there has been active public debate about establishing one.</li> <li>• There are plans to begin drafting such a law.</li> </ul>	10
	<b>STAGE 3</b>	
	<ul style="list-style-type: none"> <li>• Freedom of information and privacy legislation are on the statute book.</li> <li>• Citizens and government partners regularly request and receive public information in accord with the FOI legislation.</li> <li>• Records are easily accessible so that citizens' requests for information can be served.</li> </ul>	20
Assessed Score for 3. Freedom of Information and Protection of Privacy Legislation:		

4. Government-Wide ICT Infrastructure and Capacity		
<p>ICT infrastructure and capacity is addressed in detail in traditional e-readiness assessments. These tools will provide a comprehensive evaluation of a government's ICT infrastructure. However, the issues involved are covered here also as they need to be factored into an overall score of e-records readiness.</p> <p>A reliable and secure ICT infrastructure is essential for e-government initiatives to avoid the loss or corruption of e-records due to unstable electrical or telecommunications infrastructure, accidents, improper care and attention, or intentional damage.</p> <p>Employing competent and trained ICT staff as well as implementing good practices for network and system administration will provide the basic platform on which to build successful e-government and e-records programmes.</p>	<p><b>STAGE 1</b></p> <ul style="list-style-type: none"> <li>The country has an unreliable electrical power supply and a poor telecom infrastructure.</li> <li>It is difficult to determine whether government computer systems are secure and adequately backed-up.</li> <li>There is no central agency responsible for defining and implementing government-wide ICT strategy.</li> </ul>	<p><b>Score</b></p> <p>5</p>
	<p><b>STAGE 2</b></p> <ul style="list-style-type: none"> <li>The country has a fairly reliable electrical power grid and there are initiatives to upgrade the telecom physical infrastructure to support internet technologies.</li> <li>System administrators and technology support staff generally competent in using and maintaining the hardware and software for which they are responsible and recognise the need to manage system security and backup.</li> <li>There is a central government agency responsible for defining and implementing a government-wide ICT strategy, technology architecture and action plan.</li> </ul>	<p>10</p>
	<p><b>STAGE 3</b></p> <ul style="list-style-type: none"> <li>The telecom physical infrastructure can support a growing volume of network traffic and the country has a reliable electrical power grid.</li> <li>Government ICT staff are trained and competent in using and maintaining the hardware and software for which they are responsible. They are given the opportunity to maintain and upgrade their technical training as ICT changes.</li> <li>There is a government agency responsible for defining and implementing a government-wide ICT strategy and technology architecture. The agency maintains guidelines and good practices for computer systems security, backup and business continuity planning. It is adequately resourced.</li> <li>The government ICT strategy is driven by business requirements and operational plans which include records and information requirements.</li> <li>The government has established documentation standards and system engineering procedures for ICT systems analysis, implementation and support.</li> </ul>	<p>20</p>
<p>Assessed Score for 4. Government-Wide ICT Infrastructure and Capacity:</p>		

5. Government-Wide E-Records Management Standards and Guidelines		
<p>Governments that create e-records need to adopt or develop a government-wide standard setting out functional requirements for electronic records management. The European Commission's <i>Model Requirements for the Management of Electronic Records</i> or the US Department of Defence's <i>DoD 5015.2 Standard</i> and the United Kingdom National Archives' functional requirements are good examples.</p> <p>Such standards and functional requirements are essential to ensure that government ICT systems consistently create, capture, organise, store, search, retrieve and preserve e-records and to protect the integrity and trustworthiness of those e-records.</p> <p>It is important to adopt a national minimum standard so that government systems are interoperable and share a common baseline of e-records functionality.</p> <p>Unless government agencies can demonstrate compliance with such standards, requirements or guidelines, they will find it difficult to prove the authenticity and reliability of their e-records when required to do so in relation to freedom of information laws, arbitration of disputes or legal proceedings.</p>	<p><b>STAGE 1</b></p> <ul style="list-style-type: none"> <li>• There is no government-wide standard for electronic records management.</li> <li>• There are no guidelines on the capture and management of email and electronic documents.</li> <li>• There is no government-wide core standard for records and e-content metadata.</li> <li>• Government ICT systems are implemented without a formal requirements management process.</li> </ul>	5
	<p><b>STAGE 2</b></p> <ul style="list-style-type: none"> <li>• There is no government-wide standard for electronic records management or metadata, but there are formal plans to adopt existing standards or to develop a national standard.</li> <li>• There is a formal process for capturing and specifying system requirements that is followed during the implementation of government ICT systems that can be used to formally integrate e-records requirements into government's business information systems.</li> <li>• Some general guidelines on the capture and management of email and electronic documents have been issued, but they are not applied consistently.</li> </ul>	10
	<p><b>STAGE 3</b></p> <ul style="list-style-type: none"> <li>• There is a government-wide standard for electronic records management and core record metadata.</li> <li>• There is a formal process for capturing and specifying system requirements that is followed during the implementation of government ICT systems that is consistently used to integrate e-records requirements into government's business information systems and to test for compliance with these requirements following implementations.</li> <li>• Requirements for electronic records management are integrated into government ICT system requirements during the system analysis and design process.</li> <li>• Detailed guidelines on the management of email and electronic records are integrated part of the day-to-day procedures of government employees.</li> </ul>	20
Assessed Score for 5. <i>Government-Wide E-Records Management Standards and Guidelines</i> :		



6. Government-Wide Digital Preservation Strategy		
<p>E-records created as a result of e-government activities must remain accessible and usable for as long as they are required for business or legal purposes or, in some cases, for historical purposes. Many e-records will need to be preserved long-term or even permanently.</p> <p>However, the long-term preservation of electronic records is threatened by issues such as:</p> <ol style="list-style-type: none"> <li>1 media instability and deterioration</li> <li>2 obsolescence and incompatibility of hardware, software, data formats or storage media</li> <li>3 lack of metadata, which makes it difficult to access the information or to use it meaningfully because of the lack of contextual information</li> <li>4 lack of clearly assigned responsibilities and resources for long-term preservation.</li> </ol> <p>To ensure the long-term preservation of e-records and to protect the digital memory of the nation, governments need to implement digital preservation strategies that anticipate ICT obsolescence and incompatibility.</p> <p>Typically this will involve planning for the migration of the digital information from one generation of technologies and formats to the next as well as implementing controls, procedures and responsibilities to monitor the accessibility, usability and authenticity of electronic records.</p> <p>Digital preservation requires dedicated expertise, funding and technologies. Therefore, digital preservation strategies typically involve a collaborative element that pools resources between institutions and government agencies. Ideally these collaborations are driven by a national digital preservation strategy, such as the US National Digital Information Infrastructure and Preservation Program (NDIIPP).</p>	<p><b>STAGE 1</b></p> <ul style="list-style-type: none"> <li>• There is no central agency or ‘champion’ within government that is addressing digital preservation issues and little or no recognition of the urgent requirement to take action.</li> <li>• Public servants generally do not consider digital preservation to be a critical issue. They assume that system administrators or new technologies will continue to make e-records and digital information accessible and usable indefinitely.</li> <li>• Decisions about suitable file formats and storage media for government computer systems are left to system administrators or product vendors.</li> </ul>	5
	<p><b>STAGE 2</b></p> <ul style="list-style-type: none"> <li>• There is some discussion within government or among the public about technology obsolescence and current or future access to official records.</li> <li>• A central agency such as the national archives or national library recognises its responsibility for addressing issues related to the digital preservation of official e-records and digital information and is accepting e-records into its collections, although long term preservation strategies are not in place.</li> <li>• A central agency such as the national archives has issued informal guidelines for managing email and records generated in offices. Government agencies recognise the need to protect and preserve digital records.</li> </ul>	10
	<p><b>STAGE 3</b></p> <ul style="list-style-type: none"> <li>• A central agency such as the national archives has been formally mandated with responsibility for preserving e-records and digital and assigned a budget to address issues related to preserving government e-records and digital information.</li> <li>• E-records created by government agencies are formally accessioned into a digital archive according to specific rules for media and file format.</li> <li>• There is a general public expectation that a central agency such as the national archives will preserve the government’s e-records and digital information and make them available online for public access.</li> <li>• The agency responsible for digital preservation maintains and regularly issues mandatory government-wide standards for file formats, storage media and preservation metadata to be used in government computer systems. It provides advice and assistance for government departments that wish to convert, migrate, copy, store or emulate e-records.</li> </ul>	20
Assessed Score for 7. Government-Wide Digital Preservation Strategy:		

## Agency E-Records Readiness

### 7. Policies and Responsibilities for Records and Information Management

Within the wider context of public sector legislation and standards, each government agency that implements e-government services should establish internal policies and responsibilities for records and information management in a form appropriate to its internal organisational structure, culture and resources. This makes it easier for staff to apply external laws and standards to the institution's specific business functions and processes.

STAGE 1	Score
<ul style="list-style-type: none"> <li>The government agency does not have a basic records and information management policy that establishes organisation-wide principles, guidelines and responsibilities for record creation, capture, management and preservation.</li> <li>The agency does not formally and specifically assign responsibilities for managing records and information to specific managers and staff.</li> </ul>	5
STAGE 2	
<ul style="list-style-type: none"> <li>The agency has a records and information management policy but:                             <ul style="list-style-type: none"> <li>it has not been reviewed within the past five years, or</li> <li>it is only applicable to some specific business processes, or</li> <li>it only addresses a limited type of media such as paper documents, or</li> <li>it is largely ignored by both management and staff.</li> </ul> </li> <li>The agency's records and information management policy assigns formal responsibility to staff for keeping accurate and complete records of their activities but this is not specified in job descriptions, enforced by supervisors or supported by senior management.</li> </ul>	10
STAGE 3	
<ul style="list-style-type: none"> <li>Senior managers are assigned high-level responsibility for records and information management to ensure organisation-wide compliance with policies and responsibilities.</li> <li>Managers and supervisors are responsible for ensuring that staff follow records management policies and responsibilities.</li> <li>Records management professionals are responsible for drafting records management policies and are consulted by management and supervisors for advice on implementing the policies.</li> <li>Records and information management policies are regularly reviewed and updated, following regular consultation with stakeholders, to reflect changing business and technology environments.</li> <li>The agency has records and information management policies that apply to paper and electronic records. Where necessary, the policies are supported by media specific procedures and guidelines (ie paper, email, web content, etc).</li> </ul>	20

Assessed Score for 7. Policies and Responsibilities for Records and Information Management:

8. Tools and Procedures for Records and Information Management		
<p>Records and information management policies must be supported by tools and procedures to ensure effective policy implementation. These include standard forms and templates, records classification schemes, records metadata and profile templates, records retention and disposition schedules, security and access classification schemes, search and retrieval indexes and taxonomies, repositories and equipment for the storage of physical and digital records (eg filing cabinets, file rooms, records centres and archives, digital storage media, digital storage systems and archives, etc), systems backup and recovery procedures, business continuity plans and vital records plans. The central agency, such as the national archives, with responsibility for setting standards for records management, should be in a position to provide support in developing and applying appropriate tools and procedures.</p> <p>These tools need to be accompanied by procedure manuals describing when and how staff should fulfill their responsibilities for creating, capturing, classifying, capturing, storing, retrieving, tracking, disposing and preserving records.</p>	<p><b>STAGE 1</b></p> <ul style="list-style-type: none"> <li>The government agency does not have basic records classification schemes or records retention and disposition schedules for the records and information it creates.</li> <li>Each organisational unit has its own 'in-house system' for managing records and information.</li> <li>Records are frequently lost or 'misplaced'.</li> <li>Staff members manage digital records and information on their individual computer workstations. There are no central systems for storage or classification.</li> </ul>	5
	<p><b>STAGE 2</b></p> <ul style="list-style-type: none"> <li>The government agency has basic records classification schemes and records retention and disposition schedules but these are not kept up to date or used regularly by management and staff.</li> <li>The agency uses central repositories, such as file rooms and or a records centre, for storing its paper records but the records are difficult to access due the lack of proper classification, indexes and finding aids.</li> <li>The agency uses central file directories, storage management systems, or electronic document management systems for storing its digital records but the records are difficult to access due the lack of proper classification, metadata or effective search technology.</li> <li>There are repositories for paper and electronic records, but the security measures and access protocols in use are not adequate to protect the records.</li> <li>The agency has guidelines for managing paper and electronic records but staff have difficulty applying them.</li> </ul>	10
	<p><b>STAGE 3</b></p> <ul style="list-style-type: none"> <li>The government agency has a complete and current set of records and information management tools and procedures that encompass the entire lifecycle management of records in both paper and digital formats.</li> <li>The agency has media-specific procedures and guidelines for creating and capturing records in different formats (i.e. paper, email, web content, etc).</li> <li>Records and information management procedures and tools have been integrated into the standard workflow, computer systems and staff operations manuals for all business processes.</li> <li>The agency can demonstrate that records and information created, captured and preserved as part of standard business processes are secure, authentic, complete, accessible and useable.</li> </ul>	20
	<p>Assessed Score for 8. <i>Tools and Procedures for Records and Information Management:</i></p>	

9. E-Records Management Products and Technologies		
<p>Over the past decade a number of technologies and products for managing e-records and digital information have matured into a coherent industry and market. These may be called Records Management Application (RMA) software, Electronic Document and Records Management (EDRM) systems, Enterprise Content Management (ECM) systems or Information Lifecycle Management (ILM) systems.</p> <p>Vendors in this market usually provide e-records and e-content management solutions in collaboration with strategic partners. The technologies and products include scanning and imaging, forms management, document management, records management, web-content management, email archiving, workflow and business process management, collaboration tools, compression, encryption, digital signature systems, data warehousing, backup and archiving systems, storage platform systems and storage media solutions.</p> <p>The technologies and product solutions in this market are intended to provide the enterprise-wide capability to capture, classify, store, retrieve and track e-records, regardless of the format (paper, email, web pages, digital documents, database transactions, etc).</p> <p>It is important to be aware of the solutions available for integrating e-records management into e-government systems before an agency attempts to adapt unsuitable technologies for this purpose or to build new solutions from scratch.</p>	<p><b>STAGE 1</b></p> <ul style="list-style-type: none"> <li>• There is little or no recognition of the need to integrate e-records requirements and product solutions into existing systems or into the functional requirements for future e-government systems.</li> <li>• When systems are developed, purchased or implemented, there is little attention to the need to streamline and integrate workflow processes, file formats, metadata, storage platforms or search and retrieval mechanisms across the business function and organisational units that the system will support.</li> <li>• Systems are developed, purchased or implemented without consideration being given to how the records created will be integrated with records created by other government systems.</li> </ul>	5
	<p><b>STAGE 2</b></p> <ul style="list-style-type: none"> <li>• Some e-records and e-content products and technologies are being implemented.</li> <li>• When new e-government systems are developed, purchased and implemented consideration is given to implementing e-records and e-content technologies.</li> <li>• There is little standardisation on a particular e-records product or technology platform.</li> <li>• E-records or e-content products and technologies are not included in the agency's ICT strategy or in system analysis and procurement procedures.</li> </ul>	10
	<p><b>STAGE 3</b></p> <ul style="list-style-type: none"> <li>• When e-government systems are designed, procured and implemented, e-records and e-content products are integrated and used to streamline workflow process, file formats, metadata, storage platforms and search and retrieval mechanisms across the e-government system and the business functions and organisational units that it supports.</li> <li>• The agency's ICT strategy is focused on eliminating system and data 'silos' and moving towards, component-based, open architectures to allow for the deployment of integrated e-record and e-content technologies across systems, business functions and organisational units.</li> <li>• E-government systems are developed, purchased and implemented in consultation with both records management and e-records technology experts.</li> </ul>	20
Assessed Score for 9. E-Records Management Products and Technologies:		

10. Resources and Training for Records and Information Management Personnel		
<p>Although the agency may have established records and information management policies, tools and procedures, they will be ineffective unless they are supported by qualified records management staff with adequate and regular financial support to implement and maintain them.</p>	<b>STAGE 1</b> <ul style="list-style-type: none"> <li>• There is no designated records and information management unit within the government agency.</li> <li>• The agency does not have a regular budget to support records and information management programmes, tools, equipment and staff.</li> <li>• Basic records and information storage and retrieval tasks are assigned to junior staff, such as clerks, mailroom staff, or entry-level staff who are expected to move on to other positions.</li> <li>• Decisions on the management of electronic records and information are deferred to the technical staff that implement and support the agency's ICT systems.</li> </ul>	5
	<b>STAGE 2</b> <ul style="list-style-type: none"> <li>• There is a designated records and management unit within the government agency but there is a high turnover of records management staff and frequent personnel shortages.</li> <li>• The head of the records and information management unit is not senior enough to command the authority and respect needed to implement records and information policy, procedures and tools within the agency.</li> <li>• Records management staff are poorly paid in comparison to other public servants.</li> <li>• There is no ongoing training for records management and new records management staff are not expected to have records management education and credentials.</li> <li>• The records and information management unit has insufficient funds to operate records repositories and to develop and implement records and information management tools and procedures.</li> <li>• ICT staff sometimes consult the records management staff about e-records, the records staff do not have the education or experience to develop and implement tools and procedures for managing e-records records and information.</li> </ul>	10
	<b>STAGE 3</b> <ul style="list-style-type: none"> <li>• Senior managers are assigned high-level responsibility and accountability for organisation-wide records and information management to ensure that sufficient resources to are allocated to support records and information management.</li> <li>• The agency's records and information programme is headed by a manager who commands authority and respect.</li> <li>• The agency assigns a sufficient budget to support the records and information management programme, including facilities, equipment and staff and training costs.</li> <li>• Records management staff are paid a salary that recognises their professional role and have opportunities for ongoing training and professional activities.</li> <li>• The agency has a human resource strategy that recognises the need to recruit staff capable of developing and implementing tools and procedures for managing electronic records and information.</li> </ul>	20
	Assessed Score for 10. Resources and Training for Records and Information Personnel:	

## 11. Internal and Public Awareness of Records and Information Management

<p>A government agency may have adequate records and information management policies, procedures, tools and resources but these will be ineffective unless there is a commitment to implementing them. Managers and staff need to be aware of the importance of trustworthy and well-managed records for delivering effective government services and for protecting institutional accountability and integrity.</p>	<b>STAGE 1</b>	<b>Score</b>
	<ul style="list-style-type: none"> <li>Few senior managers, supervisors and staff recognise the significance of well-managed and trustworthy records for effective government service delivery and for reform initiatives.</li> <li>The public has come to expect that civil servants will alter procedures and records for their own benefit.</li> <li>Citizens don't really understand the process, forms and records that are required to initiate and complete a given government service (eg registering a land purchase, registering a birth, filing a police report). It is not made clear what records they are entitled access to, whether additional forms and records are required after a process has been started, whether a record is issued to them when the process is completed, etc.</li> <li>Staff do not know which organisational unit or staff to consult to clarify questions about records and information management policy, procedures or tools.</li> </ul>	5
	<b>STAGE 2</b>	
	<ul style="list-style-type: none"> <li>Within the government agency, job descriptions highlight responsibilities for records management, although not consistently.</li> <li>Some senior managers, supervisors and staff recognise the importance of well-managed and trustworthy records but others are unwilling to change existing records and information management practices which they can manipulate for their own benefit.</li> <li>Citizens expect that civil servants will document activities and decisions in well-managed and trustworthy records.</li> <li>There is a recognised records and information management unit, but the staff do not have the time or the resources necessary to respond consistently to requests for information and or for advice on policy, procedures and tools for managing records and information.</li> <li>Records and information management is not yet recognised as a critical component of the institution's strategies and action plans.</li> </ul>	10
	<b>STAGE 3</b>	
	<ul style="list-style-type: none"> <li>Senior managers, supervisors and staff are aware of the role and importance that well-managed and trustworthy records play in supporting government service delivery and reform.</li> <li>As part of their orientation, new employees, managers or staff, are introduced to records and information management responsibilities as outlined in their job descriptions and taught how to use records and information management procedures and tools.</li> <li>The agency incorporates records and information management advice and awareness-raising as part of its internal communications programme, ensuring that the benefits of records management are widely understood and that staff appreciate why they are necessary.</li> <li>The records and information management unit has the resources needed to meet requests for information and provide advice and feedback on the agency's records and information management policy, procedures and tools.</li> </ul>	20

	<ul style="list-style-type: none"> <li>• Citizens expect and assume that civil servants document their activities and decisions in well-managed and trustworthy records.</li> <li>• The agency publicises the rules and regulations for access and use of the records it creates in order to minimise subjective actions by officials and give citizens the ability to track the status of their applications, requests, etc.</li> <li>• Records and information management is recognised as a critical component of the institution's e-government strategies and action plans.</li> </ul>	
<p>Assessed Score for 11. <i>Internal and Public Awareness of Records and Information Management:</i></p>		

12. Monitoring for Compliance with Records and Information Management Policies and Procedures		
<p>As in any area of management, an agency's records and information management infrastructure (people, procedures, tools and technologies) must be regularly monitored and evaluated to determine whether it is meeting requirements and expectations. Where problems or new challenges are identified, action is required.</p>	<p><b>STAGE 1</b></p> <ul style="list-style-type: none"> <li>The government agency does not have a means of auditing compliance with relevant legislation, policies and procedures or determining whether its records and information management programmes or initiatives are successful.</li> <li>Senior management does not support audits or evaluations in the area of records and information management.</li> </ul>	<p><b>Score</b></p> <p>5</p>
	<p><b>STAGE 2</b></p> <ul style="list-style-type: none"> <li>The institution regularly conducts formal audits of business functions and organisational units but these do not cover records and information management compliance.</li> <li>Some of the agency's business functions and organisational units have evaluated their records and information management infrastructure or have requested help from the national archives in doing so.</li> <li>Senior managers are sometimes reluctant to take corrective action when shortcomings in records and information management are identified.</li> <li>Individual staff members normally are held accountable for non-compliance with records and information management policies and procedures.</li> </ul>	<p>10</p>
	<p><b>STAGE 3</b></p> <ul style="list-style-type: none"> <li>The agency's records and information management unit regularly evaluates compliance with relevant legislation, policies and procedures for records management in each of the agency's units.</li> <li>The agency monitors records and information management compliance as part of its standard efficiency evaluations.</li> <li>Senior managers take corrective action in a timely manner when problems are identified.</li> <li>Staff performance evaluations cover compliance with records and information management policy and procedures.</li> </ul>	<p>20</p>
<p>Assessed Score for 12. Monitoring for Compliance with Records and Information Management Policies and Procedures:</p>		