Records Management
Capacity Assessment System

User guide

Version 1.4

International Records Management Trust

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Introduction

Purpose of RMCAS

The Records Management Capacity Assessment System (RMCAS) is part of the International Records Management Trust's ongoing commitment to supporting governments and public sector organisations in finding new approaches to strengthening their records management systems. In this increasingly complex environment, the Trust's aim in developing RMCAS has been to provide a means of evaluating whether the infrastructure of laws, organisational structures, policies, procedures and facilities needed to manage records is in place to support effective records management.

RMCAS has been developed to collect information on records management practices and is non media specific. Records have never been so crucial and never so difficult to manage. The rapid growth of information technology has presented major challenges for capturing and preserving fragile digital evidence over time. Electronic media deteriorate, software changes, hardware becomes obsolete. Valuable data cannot be retrieved after a few years.

RMCAS is a three-part tool that maps capacity levels to the principles of and statements of good practice in records management. It comprises a data-gathering element, a diagnostic model and a database of capacity building resources for records and information management. Information is gathered through structured interview questions for stakeholders and fed into the diagnostic model to produce reports representing strengths and weaknesses in records management infrastructure and systems (an assessment). Graphical representations highlight areas where capacity building is required in relation to the life cycle or continuum of records, from their creation and capture, through their active life to ultimate preservation as archives or their destruction. It also highlights areas where capacity building may be needed in relation to management environment of policies, procedures, skill and resources in which records are managed.

Development of RMCAS

RMCAS has been designed to be flexible. Records managers and archivists from a number of countries tested, reviewed and evaluated the software tool and the accompanying documentation. The Trust is very grateful to the efforts of the testers and evaluators. Their evaluations have provided valuable input to the enhancement of the software and accompanying documentation.

It is important to note that prior to the development of the software tool, a full examination of international literature, records and archives professional literature and international models and standards for records and information systems was completed. Draft questions were prepared for assessing records in the areas of finance, human resources, and legal and judicial administration. Case studies were conducted to explore requirements for managing electronic and paper records in a range of countries with different administrative systems and traditions. During the studies the assessment questions were reviewed with selected officials, national archives staff and reform project managers. Preliminary tests were conducted and the questions subsequently refined. The Trust then worked closely with the government of Botswana and a team of records professionals from Kenya and Canada to review and test the data-gathering questions and to develop core statements of good practice for records and information management against which the responses could be evaluated. Workshops held in Botswana in 2003 to test the questions and to define the core statements of good practice against which response to questions could be evaluated represented milestones in establishing the conceptual basis of RMCAS.

Funding from the World Bank allowed for the development of the software tool to simplify the assessment process. The aim was to streamline the selection of appropriate questions and the analysis of responses and to make RMCAS more efficient and robust, capable of being used at different levels of detail and at different organisational levels.

RMCAS contains four assessment modules: human resources, financial, legal and generic records and information systems. The questions for each module have been reviewed and revised based upon comments from the field. Peer reviews were undertaken in the spring of 2004 and testing was initiated in June of 2004 with a full pilot project test in Kenya and smaller self tests in Yap (Federated States of Micronesia), Ghana, Singapore, Botswana, Malawi, South Africa and India.

Purpose of the User Guide

The Guide provides information on how to prepare to undertake an assessment of records in an organisation as well as the technical information on how to install and use the software. A section on Concepts and Terminology provides the user with an understanding of the records and information management terms used in the interview process. Users are reminded that an on-screen help menu is available to guide the assessor through the software. The user guide compliments the on-screen help.

Concepts and terminology

The concepts and terminology and, in particular, the good practice statements used in RMCAS are based upon the International Standards Organisation's 'International Standard on Records Management' (ISO 15489), issued in 2001; the European Commission's 'Model Requirements for the Management of Electronic Records' (MoReq) and the National Archives of Canada's 'Information Management Capacity Check' published in 2002.

Some of the more commonly used terms include:

Organisational environment elements

The organisational environment elements comprise the larger management and user context in which business and records functions take place and are mapped to statements of good practice

- **Laws, policies and procedures:** Rules that proscribe how records management and business functions must or should be carried out in the organisation

- **ICT – RM integration:** how much ICT is used to support records management processes and records throughout their lifecycle

- **Business function – RM integration:** how much records management is integrated with normal business functions

- **Resources and training:** whether there is a sufficient budget for a records management program, enough trained staff to carry out all required tasks, proper facilities and equipment and sufficient supplies. Includes training and support for records creators and users

- **Records management programme management:** whether there is an awareness of records management and its centrality to carrying out the business function of the organisation through planned administration of records management functions and resources

- **Awareness and ownership:** whether there is an awareness of records management in the organisation and senior management buy-in or support for records management program and initiatives. It indicates staff willingness and ability to integrate records management activities in business functions

Records management process elements

Each element represents a single step in the records management process. The process elements are based on the ISO 15489 standard in records management. 'Process' is also used as a separate element in its own right when an activity relates to the entire spectrum of the processes listed. Process elements include:

- **Records capture and registration:** allocation of explicit metadata embedded in, attached to or associated with the specific record regardless of format, arranged in a logical structure or sequence which facilitates subsequent use and reference and provides evidence of the existence of records in a records system. Capture and registration may occur simultaneously with records creation

- **Records classification:** records classification systems reflect business activities and provide linkages between individual documents to provide continuous documentation of activity. Classification is consistent, assists in records retrieval, security and access and with determining retention periods and disposition actions for records. May occur at the time of records capture

- **Records storage and preservation:** records are stored on media that ensures their reliability, authenticity and usability for as long as they are needed in proper storage conditions which protect against unauthorised access, loss or destruction, and theft and disaster

- **Records access:** there are formal guidelines to regulate who are permitted access to what records and in what circumstances. The access environment may include privacy, security, freedom of information and archival legislation. Access may relate to monitoring of user permissions and functional job responsibilities

- **Records tracking:** tracking of movements and use of records is required to identify outstanding action, enable records retrieval, prevent loss of records, monitor records use, maintain an auditable trail of records transactions and identify the operational origins of individual records where systems may have been amalgamated or migrated

- **Records disposition:** disposition authorities (such as records retention schedules) govern the removal of records from operational systems in a systematic and routine basis in the course of normal business activity. Disposition may encompass physical destruction, retention for a further period within the business unit, transfer to an appropriate storage area or medium under organisational control, transfer to a third party storage facility, or transfer to an organisational or external archives

Capacity statements

A capacity statement is a statement of good practice. They are based on the ISO records management standard 15489, the European Commission's Model Requirements for the Management of Electronic Records (MoReq) and the Library and Archives of Canada's Information Management Capacity Check (IMCC) and are each assigned a capacity level from 0 to 5.

A capacity statement applies to one or more combinations of the records management process and organisation environment elements.

For example:

- **Capacity statement:** the organisation commits resources to ensure strong oversight of IM at the senior management and information expert levels

- **Organisational environment element(s):** resources and Training; awareness and ownership

- **RM process element:** records lifecycle

- **Capacity level:** 2

During an assessment, the capacity levels for an organisation are calculated across a range of combinations of elements. For each combination of elements, the organisation achieves a capacity score ranging from 0 to 5.

The capacity score achieved for a given combination is the highest level at which all capacity statements relating to that particular combination at the given level and below were achieved. For example, if all capacity statements at levels 1, 2 and 4 were achieved for a process/organisational environment combination, but one of the statements at level 3 was not achieved, the score achieved would be 2 rather than 4.

General terms

Archival

Long term or permanent preservation of a record or record group beyond the time a record is needed solely for business purposes by the entity that created it. Archival storage is often necessary for legal, historical or research purposes. ICT professionals often use 'archival' synonymously with 'back-up'. Back-up copies, especially when electronic, are not necessarily archival and are often in short-to-medium term storage formats only.

Assessment

An assessment is a series of interviews on a particular area (such as financial records and information management or human resource records and information management) or on generic records management practices. Interviews are provided with all relevant roles within an entity (department(s), sections, branches or divisions); more than one assessment can be conducted within an entity over time.

RMCAS contains multiple assessments of varying types. The interview results making up these assessments can be reviewed once an assessment is completed and various reports can be produced.

An assessment is intended to determine the capacity of an organisation within a particular sector. RMCAS is used by an interviewer as a source of questions. Answers to these questions are measured against capacity statements - statements of good practice that can be attained by an organisation. From these capacity statements a picture can be obtained of the institutional capacity in records and information management.

Interviews

An interview is a series of structured questions asked of an interviewee. The questions that are included in an interview are all those questions associated with the interviewee's post. These sets of questions are identified in RMCAS as questionnaires. The same questionnaire can be generated multiple times within an assessment in order to interview different people in the same post separately.

The interviewer can start and stop an interview at any time, resume or re-open a previously started interview, make notes on the interview or on specific questions within the interview. RMCAS shows the interviewer details of the current status of capacity statements affected by a question, as well as details of answers given to the question in other interviews.

Role

A role is a particular job post or source of interview information within the assessment. RMCAS contains definitions of its four assessments that include its question sections, the list of related stakeholder roles and the questions that should be asked of a holder of a given role.

A role is used as the basis for an interview. The interviewer chooses the role that best relates to the interviewee and RMCAS constructs a questionnaire containing all questions applying to that role.

One role is defined as the primary source for each question. Unless they are overridden by the interviewer, the answers given by the holder of a primary source role are considered definitive for the purposes of determining whether a capacity statement has been achieved.

Questions

A question is a query relating to records management or a business function which is asked of an interviewee as part of the interview. An interview consists of all questions applying to the role of the interviewee. Questions are organised into sections according to a common topic. Questions can be structured or nested in ‘parent-child’ hierarchies.

A given question affects one or more capacity statements. Depending on the answer(s) given to a question, these capacity statements may be marked as achieved or unachieved.

RMCAS allows an interviewer to flag any given question within an interview to be followed up later. Interviewers can also make notes on a question, record comments made by the interviewee and indicate whether documentation exists relating to a question and if it has been reviewed.

Question Section

A question section is a series of questions arranged by topic within an interview.

Report

Terminology for the financial, human resources and legal records management and information systems assessment questions are based on current literature and practice. These terms may vary depending upon the country practice. The Trust has reviewed and revised the terminology based upon field tests and peer review.

The terms used in the legal and judicial module were reviewed and revised by the World Bank.

Technical Information

Operating system and hardware requirements

Optimal operating conditions include:

- A processor speed of 166MHz or higher
- 32 MB or more RAM
- Screen resolution of 800x600 or higher
- 100 MB or more available disk space
- Windows 98, 2000 and XP platforms

Please be advised that RMCAS does not support WindowsME or WindowsNT.

Download information

The download time for the application is approximately 25 to 45 minutes, depending on the speed of the Internet connection. Download time may be affected by local conditions. If the download dialogue box indicates that the download will take over 60 minutes on a broadband connection, then traffic on the server is too high. If this is the case, click cancel and try downloading later or on another day.

When a CD is used, there is no download time. Drag and drop the Installer from the CD to your computer to save it. Install the application from the copy you have made as per the instructions in paragraph 4 of the section below.

Do not attempt to download any upgrade install unless you have previously downloaded RMCAS.

Install Information

Once the application has been downloaded to a local machine, the install time is usually 15 to 20 minutes.

If yellow flag anti-virus 'malicious script' warnings appear during the install after RMCAS has been downloaded, then your Windows security settings are too high and should be changed to allow for the addition of new programmes. Norton Anti-Virus programmes may also generate similar warnings automatically. See your systems administrator or desk-top support desk to set and/or re-set security settings.

If the application is being installed on a restricted user work station in a large institution, error messages may be received during an install or a download. It is important to obtain permission from your institution before downloading new software.

Once the Installer is saved on your computer, double-click on the RMCAS installer icon to install the application on your machine. To ensure a complete install, wait until all the ‘pop-up’ MS-DOS dialogue boxes (which have black backgrounds) are gone. During an install, you may be prompted to validate a password for the SQL Server Manager. Leave the default login as ‘sa’ and the password field blank as is and click 'Validate' and then 'ok'. Then click 'Finish' and continue to click on the upgrade wizard prompts as they appear.

The final screen will be a blue 'Windows' style dialogue box that prompts you to click 'Finish' once the Service Pack install is complete. If all of the black-background MS-DOS dialogue boxes are gone, then go ahead and click 'Finish.'

To avoid confusion, you may wish to delete the installer after downloading and installing RMCAS. Keep the installer only if you wish to install RMCAS on another machine. If not, then delete it. The installer will be titled RMCAS_Full_v1_[date].

Running RMCAS

The RMCAS application itself should be stored in the RMCAS folder within your Programs folder after it has been installed. Add a shortcut to RMCAS on your desktop to use the application with ease.

In order to run RMCAS successfully, restart your machine after the install. After a successful installation, an MSSQL Server Manager icon (a miniature CPU/server) appears in the taskbar at the bottom right of the Windows screen. The MSSQL Server Manager is needed to ensure access to the databases contained within RMCAS. It is important to make sure that the triangle in the icon is green. If it appears as red, then right click on the icon and click 'Start MSSQL Manager'.

Pre-Assessment Preparation

Briefings and interview preparation

The assessment team will need to brief the key people and/or a facilitator within the unit or organisation being assessed. A facilitator or contact person within the organisation being assessed needs to be chosen.

- The Trust can provide a brief PowerPoint™ or Macromedia Flash™ 7 presentation on request. It may be necessary to brief other officials, committees or project staff involved in records and information management

- The assessor(s) should liaise with the facilitator to arrange for interviews and provide more information as necessary

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Preliminary documentation review

Prior to undertaking the assessment, collect documentation about the organisation. Documentation could include relevant laws, policies, regulations, manuals, system documentation and other materials. A list of relevant documentation is included at the end of this section

- The assessor(s) should be knowledgeable about the organisation, its structure, mandate, and record keeping infrastructure and control systems

- Knowledge of the activities of the organisation and its structure, record keeping systems, relevant computer applications, operational areas and records storage areas is essential to the overall success of the assessment. Understanding the operational and recordkeeping systems contexts will provide the assessment team with contextual information that it can use during the interviews to help clarify questions and terminology and record keeping practices. For instance, if the information given during the interviews gives a very different picture from the information gathered from the documentation and the on site observation, it may be necessary to re-evaluate the documentation or override some of the responses in the interviews

Conducting Interviews

Interviewees (stakeholders)

Potential interviewees should be identified as early as possible. Obtain telephone numbers and/or email addresses to contact the interviewees and provide them with information about the interview and its duration

- Questionnaires can be printed and/or distributed electronically prior to the interview if this is helpful
- Interviews take approximately one hour. Group interviews may take longer
- Some interviewees may prefer to complete a questionnaire themselves
- The more interviews completed the more information available for analysis
- The assessor(s) must be able to re-word questions in the context of the organisation being assessed

Interviewer(s) or assessment team

- It is recommended that the assessment team be made up of two members to conduct on–site interviews. This arrangement allows one member to focus on the interview and the other member to record answers and issues arising from the interview
- A minimum of two stakeholders from each of the managerial levels in the chart that follows should be interviewed in the assessment. If there are a number of ICT specialists, records managers, or other people in similar posts, the appropriate questionnaire can be generated more than once

Positions and managerial levels – examples*

Level of position	Financial sector	Human resources sector	Legal and judicial sector	Generic assessment
Head of agency	Head of Finance Auditor General Head of Treasury	Head of Personnel Auditor General Head of Pension Administration Head of Public Service Head of Treasury	Senior Court Officials such as Registrars or the Senior Administrator	Head of Agency
Senior manager	Chief Accountant Chief Auditor Senior Administrator Head of Records Function	Head of Records Function Head of Payroll Head of Recruitment Body Head of Planning Senior Administrator	Prosecuting Authority	Head of Department Head of Records Function Senior Administrator
Middle manager	Accounts Manager Budget Manager Contract Manager Middle Manager as records user	Middle Manager as records user Recruitment Manager	Lawyers Registrars Secretaries Clerks of Court	Middle Manager as records user
Officer	Accountant Budget officer Debt Mgmt Officer Finance Officer Payroll Officer ICT system administrator IT Officer Senior records users Spending Officer National Archives (archivist)	ICT system administrator IT Officer Senior records users Recruitment Officer** Compensation Officer** Training and development Officer** Records Officer National Archives (archivist)	ICT system administrator IT Officer National Archives (archivist) NGOs representing civil society Other court records creators or users not covered elsewhere	ICT system administrator IT officer National Archives (archivist) Senior records creators or users not covered elsewhere

* Positions and levels are **examples** of the types of posts found in various organisations. Posts will vary depending upon the country.

**indicates positions that equate to the officer level but not specified in the HR module

- The table identifying posts and levels is a guide for the interviewer. The post titles will vary depending upon the country and organisation. The Head of an Agency equates to the most senior position in the agency, department or organisation; a Senior

Manager reports to the Head of an Agency and is usually responsible for one or more of the programs within the organisation; a Middle Manager is responsible for a unit or section; an officer level is a subject specialist with little if any supervisory or managerial role. In some organisations the differentiation between senior and middle manager may exist. The grid is a rough guide for the types of posts to be interviewed

- Some of the interviewees will not be familiar with records management and archival terminology. The interviewer needs to be aware of this possibility and be able to clarify and explain terms when required. For example, ICT terminology uses the phrase ‘archival’ to mean ‘backup’ or short term storage. An explanation of the intended meaning may be required. See page 6 for further explanation of terms used in RMCAS

Assessing human resource records and information management systems

Organisation of the assessment questions

The Assessment questions are divided into two categories containing a total of 14 sections.

Management environment

The questions focus on the overall framework of laws and regulations, policies and systems that determine how records and information should be managed and the resources and capacity needed to manage them.

1. Public service overview
2. Legal and institutional framework for managing records and information
3. Responsibilities for records and information management
4. Policies and standards, procedures, and facilities and maintenance
5. Training and competencies
6. Information and communications technology (ICT) systems

Business functions and processes

These questions focus on the relationship between human resource management functions and the records that support them.

1 Tracking posts and numbers of employees

2 Recruitment, promotion and transfer

3 Career paths and training

4 Payroll administration

5 Individual performance management

6 Service standards and measurement

7 Enforcement and disciplinary Issues

8 Downsizing

Documentation

The documentation listed below should be reviewed prior to the assessment.

Laws and policy regulations

- Public service acts
- HR planning and personnel policy management
- Recruitment and appointment

Rules, procedures and manuals

- Induction and initial training
- Confirmation in post
- Performance appraisal
- Education, training and development
- Promotions, transfers and secondments
- Disciplinary proceedings and dismissal
- Attendance, annual leave and sick leave
- Redundancy
- Death in service
- Retirement and pensioners
- Payments
- Record retention and disposal schedules for personnel records

Sample documents

- Performance appraisal forms
- Training forms
- Attendance, annual leave and sick leave forms
- Payment records
- Sample documents for promotions, transfers, secondments and confirmation of posts
- Disciplinary proceeding reports
- Other documentation relating to HR procedures

Assessing Financial Records and Information Systems

Organisation of the assessment questions

The questions are divided into two categories containing a total of 12 sections.

Management environment

The questions focus on the overall framework of laws and regulations, policies and systems that determine how records and information should be managed and the resources and capacity needed to management them.

1. Legal and institutional framework for managing records and information
2. Responsibilities for records and information management
3. Policies and standards, procedures and facilities and maintenance
4. Training and competencies
5. Information and communications technology (ICT) systems

Business functions and processes

These questions focus on the relationship between human resource management functions and the records that support them.

1. Budget preparation, implementation and monitoring
2. Debt management
3. Cash management
4. Procurement
5. Accounting for fixed and current a ssets (stores)
6. Accounts
7. Financial reporting

Documentation

The documentation listed below should be reviewed prior to the assessment.

Laws and policy regulations

- Organisation mission statement
- Legislation that deals specifically with the mandate of the organisation and financial responsibilities
- Policy documents that reflect financial policy, management and regulations

Rules, procedures and manuals

- Procedure manuals for financial management including payments, receipts, cheque issuing guidelines
- Procedure manuals for on line financial systems (data preparation and entry guidelines)
- Records retention and disposition schedules for financial records

Sample documents

- Ledgers
- Way book
- Print out of ledger by vote code and batch code/voucher
- Payment cash books
- Summary cash books
- Input batch control forms
- Salaries and allowances cash book
- Register of documents received
- Voucher control forms
- Way book of rejected vouchers
- Local purchase orders
- LPO register
- Other business related information that supports financial decisions (eg memorandum)
- Vote charge book

Assessing legal and judicial records and information systems

Organisation of the assessment questions

The questions are divided into two categories containing a total of 10 sections.

The first category, ‘Management environment’, deals with the overall framework of laws and regulations, policies, and systems that determine how records and information should be managed, and the resources and capacity needed to manage them. The second category, ‘Court functions and processes’, focuses on the actual court activities and judicial functions that are supported by records and information systems.

The questions are subdivided as follows:

Management environment

The questions focus on the overall framework of laws and regulations, policies and systems that determine how records and information should be managed and the resources and capacity needed to manage them.

1. Legal and Institutional framework for managing records and information

2. Responsibilities for records and information management

3. Records and information management policies and standards, procedures and facilities and maintenance

4. Training and competencies

5. Information and communications technology (ICT) systems

Business functions and processes

These questions focus on the relationship between human resource management functions and the records that support them.

1. Case initiation

2. Case management

3. Case disposal

4. Statistics and management information

5. Enforcement

Documentation

The following documentation should be reviewed prior to the assessment.

Laws and policy regulations

- Court or judiciary mission statement
- Legislation that deals specifically with judicial records keeping of both manual and electronic records
- Practice directives that relate to court records

Rules, procedures and manuals

- Court rules or procedures for subordinate courts
- Procedure manual for judicial records management
- Records retention and disposition schedules for judicial records
- Case registration document (verify that it exists)
- Case tracking control document (verify that it exists)
- Automated court records system documentation or manual if applicable, including
- Security and user authentication documentation and any evidence that the system is part of a network
- Case identifier/classification policy document
- Documentation of colour coded files if applicable
- Case index documentation (verify that it exists)
- List of material in a case file (if standard; if there is no standard list, then provide sample
- Lists of two representative case files)
- Documentation specifying that exhibit lists are in case files: documentation of method of Identifying/classifying exhibits
- Case file access/security policy and procedures
- Case assignation policy

Sample documents and statistics

- List of cases to be heard in court
- Published judgment
- Case file cover showing the information that is normally included, such as the case number, case type, parties, filing date
- Prison sentence record
- Court statistics generated on a regular basis (case loads, filing and dispositions, cases pending, types of cases, criminal court statistics)
- Statistics on the number of ‘pending’ case files in system
- Fine or other reparative action record
- Copy of the contempt of court provision

Assessing other records and information systems using the generic module

Organisation of the assessment questions

Assessments can be conducted in any business area or sector. There is only one category of questions, which covers the overall framework of laws and regulations, policies, and systems that determine how records and information should be managed, and the resources and capacity needed to manage them. It should be noted that many of the questions in the tool may be applied to manual, computerised or hybrid systems unless otherwise stated. The questions are in sections as follows:

1. Legal and institutional framework for managing records and information

2. Responsibilities for records and information management

3. Policies and standards, procedures, and facilities and maintenance

4. Training and competencies

5. Information and communications technology (ICT) systems

Documentation

The following documentation should be reviewed prior to the assessment:

Laws and policy regulations
- Mission and mandate statements
- Legislation governing the records management environment, sector responsibilities
- Legislation governing the sector environment being assessed
- Policies and regulations pertaining to the sector
- Practice directives that relate to the records being created by the sector

Rules, procedures and manuals
- Procedure manuals
- Records management directives
- Classification manuals
- Sector related documentation

Sample documentation
- Records schedule
- Appropriate sector statistics
- Appropriate sector forms
- Appropriate sector reports

RMCAS quick start

The main screen

The main screen of the application, with an assessment open, consists of the following components:

- a standard 'Windows' type menu bar
- a tab strip containing the following tabs.

These are described below:

The menu bar

The menu bar offers three menus:

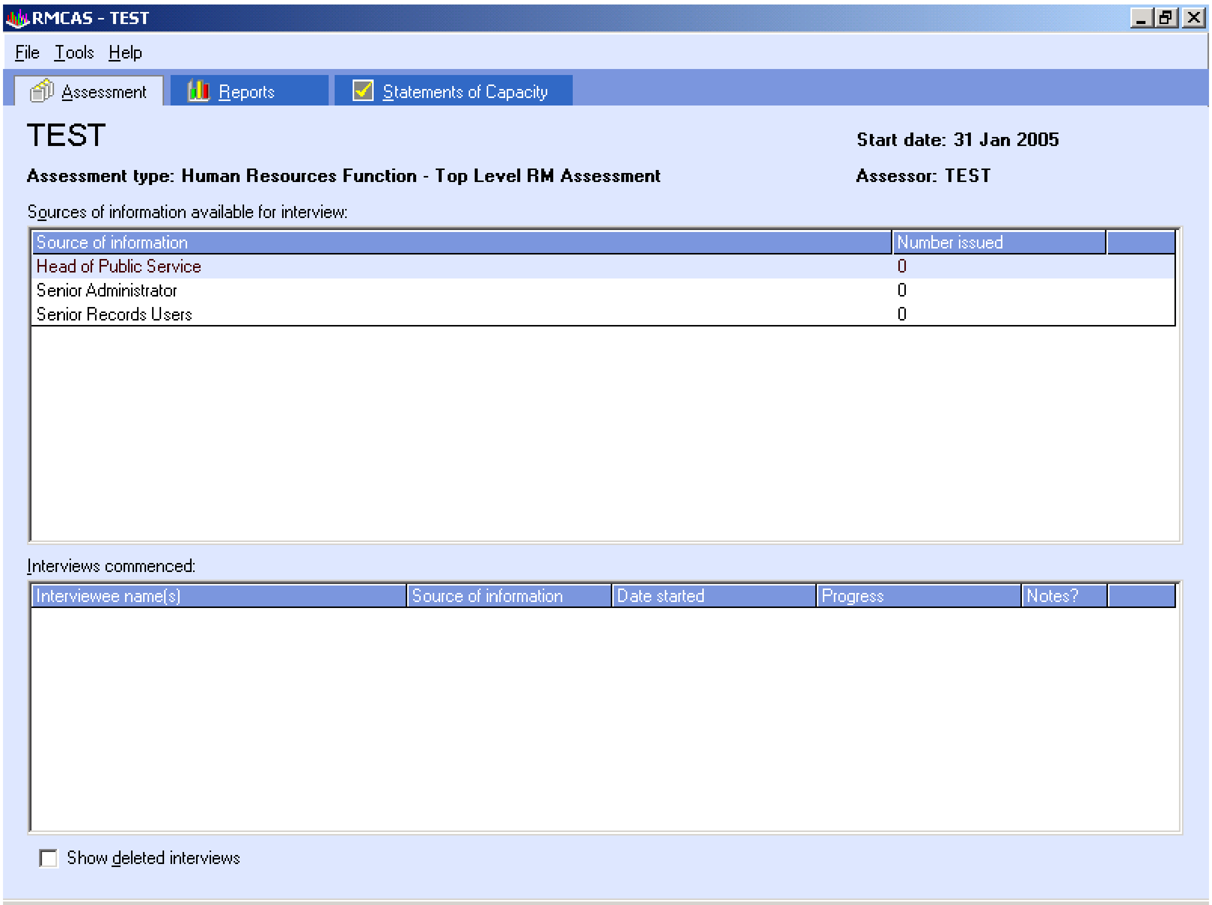
- **File menu:** Contains options related to assessment properties, assessments (new/open/close/delete), interview properties and interviews (open/close/save/delete). Some of these options may only be available when the assessment tab is active
- **Tools menu:** Contains options related to data management (backup/restore/purge deleted data). Some of these options may require the current assessment to be closed before proceeding
- **Help menu:** Contains the links to the help screen and to information about the application

The tab strip

The tab strip allows the user to access the different areas of functionality provided by the application. Selecting a different tab changes what data and controls are displayed in the rest of the screen. The available tabs for assessments and interviews include:

- **Assessment tab:** this tab allows the user to view the status of the interviews (completed or in progress), and to issue new interviews.
- **Reports tab:** this tab provides access to the available reports which can be generated using the data stored in the current assessment.
- **Statement of capacity tab:** this tab shows the statements of capacity related to the current assessments. The user can view details of the statements of capacity, including which interview answers have been given that relate to them, and can override the status of a capacity statement within an assessment.
- **Interviews in progress tab:** the tab will be shown for each interview that is currently open in the application. Selecting this tab will open the interview window. If an

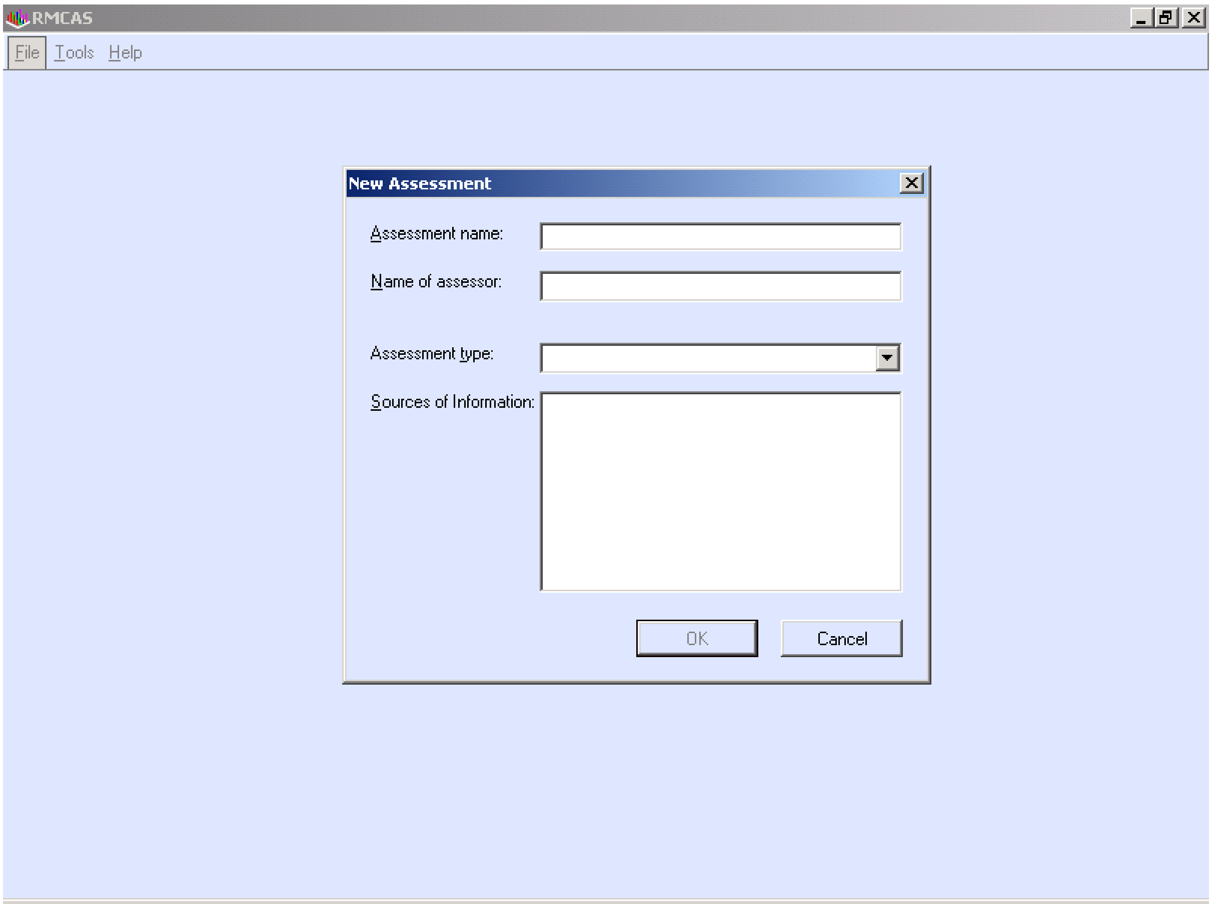
interview does not currently have a tab displayed on the tab strip then it can still be accessed via the interview list on the assessment tab.



Starting RMCAS

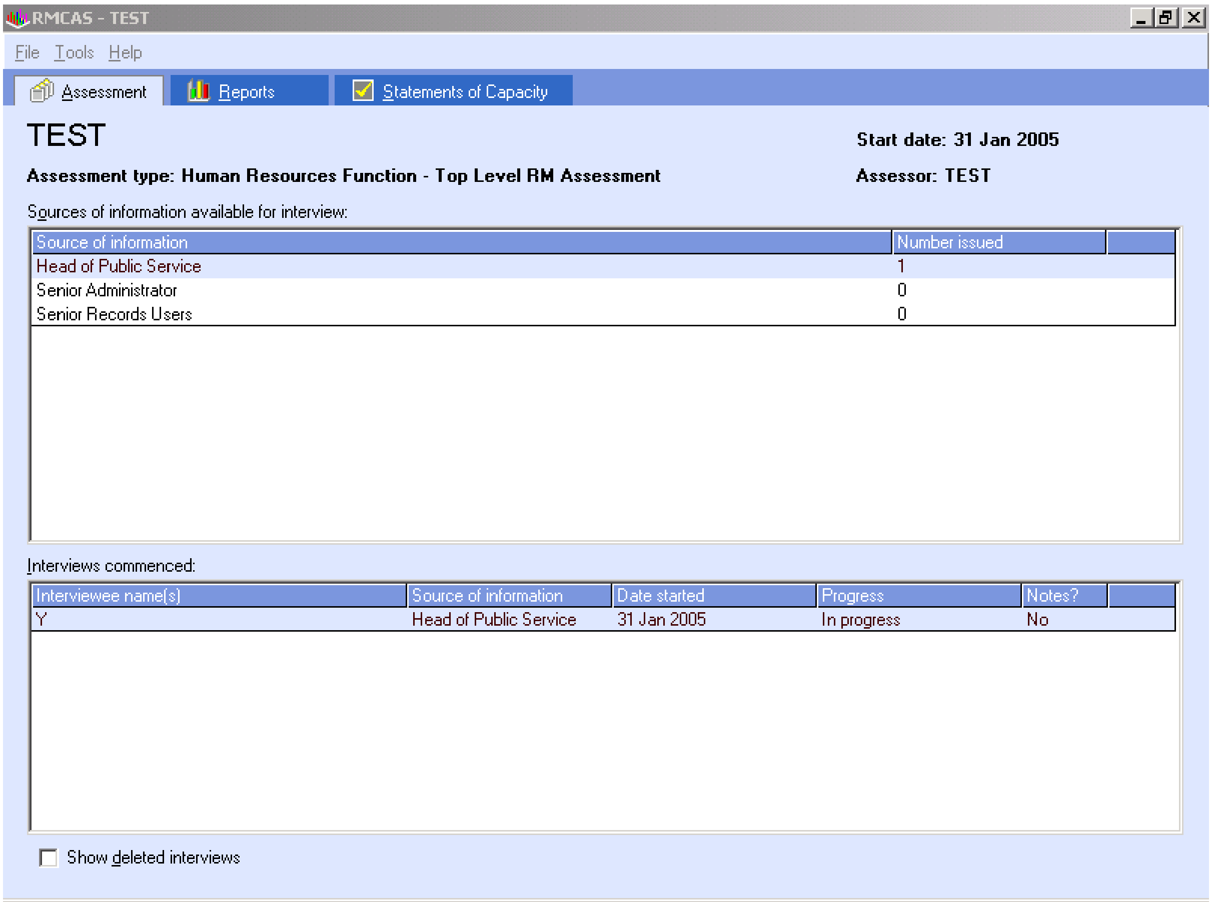
Creating a new assessment

- From the File menu, choose new assessment
- Enter a name for the assessment (e.g. Personnel Branch, Department of Finance). Enter the name of the chief assessor or interviewer (eg, K Gavrel)
- Select the assessment type. Choose one of the modules
- Select (by highlighting) the role(s) to which the assessment applies from the list of roles provided; the default setting will choose all possible roles. It is best to select more than less
- Click OK



Creating a new interview

- Once an assessment has been created or an existing assessment opened, interviews may be created within that assessment
- Select the role for which you wish to create the interview in the Sources of Information list. Scroll to the appropriate position and title in the lower pane of the screen and double click
- Complete interview properties fields which include the name(s) of the interviewer(s); the name(s) of the interviewee(s); and notes
- Add any important information, such as if the interviewee is a replacement or substitute for the authorised person in the post, to the notes field
- Click OK and the appropriate questionnaire will appear



Interview screen

There are four tabs in the lower pane of the questionnaire that can also be used to record and find related information while undertaking the interview:

- **Capacity statement:** click on this tab and the table will show the capacity statement(s) related to the question being asked. The capacity statement is highlighted in blue in a list of all statements related to the questions contained in the questionnaire. Also shown are the related Organisational Environment element and the Records Management (RM) Process element; the statement's capacity level; and the status (achieved, unachieved or undetermined) of the responses. If necessary, these responses can be over ridden in this screen. See below.

- **Interviewer's notes:** click on this tab to enter information to complete or clarify the response. The reset button allows you to clear comments if entry errors have been made.

- **Interviewee's comments:** click on this tab to enter comments and additional information provided by the interviewee. When displaying and reviewing a completed question this tab will indicate if comments have been made. If no comments are made by the interviewee during the interview the tab will indicate: *Comments (none)*. The reset button allows you to clear comments if entry errors have been made.

- **Answers:** click on this tab to see the name of the interviewee; the source of the information (position title); the answer given; if the answer supports or refutes the capacity statement; and any follow-up required.

If the wrong answer is chosen in the current questionnaire, click clear and choose the correct answer.

Scroll down this pane to display answers from all stakeholders interviewed for purposes of comparison.

It may be necessary to override an answer. If responses from stakeholders (interviewees) other than the primary source of information (who is indicated by an underlined role title) provide substantially different answers the interviewer can override the primary's response. This is subject to the interviewer's discretion and should be noted in the interview's notes field.

To override the support or refutation of a capacity statement for the entire questionnaire based on interviewer notes or interviewee comments:

- Click on the Capacity statement tab and choose the relevant capacity statement in the upper pane of the screen

- Then click 'Override capacity statement' and choose 'Achieved' 'Unachieved' or 'Undetermined' from the check box

- Add any explanatory information in the Notes field

- Click Save

Unanswered questions and scoring: greyed out questions in the question tree in the left-hand pane of the interview screen are often ‘child’ or sub-questions that are not asked depending on the answers to parent questions, or questions in a relevant section that are not assigned to the stakeholder role being interviewed.

Greyed out questions can be over ridden so the interviewer can ask the question and record results. Click on a greyed-out question; the question can then be asked.

Returning to a partially completed interview: at times an interview needs to be continued at a later date; to reopen an interview that is incomplete:

- Open the existing assessment

- On the lower pane, scroll to the desired interviewee

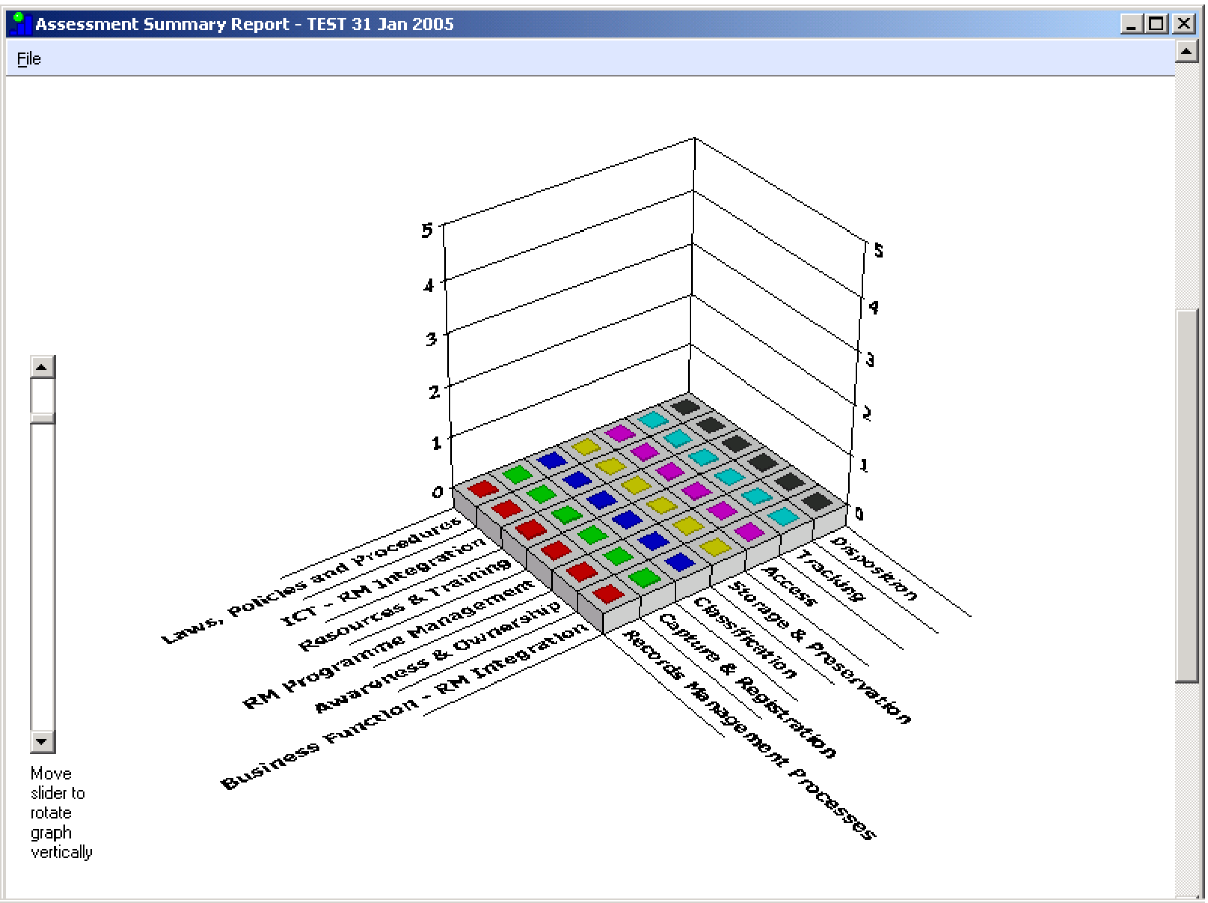
- Click on the name and the interview will be displayed

- Continue the interview. The left hand pane or ‘tree view’ will display the questions answered to date

Creating reports

Click on the reports tab; a list of the reports that can be generated from the assessment data will appear.

Assessment summary report



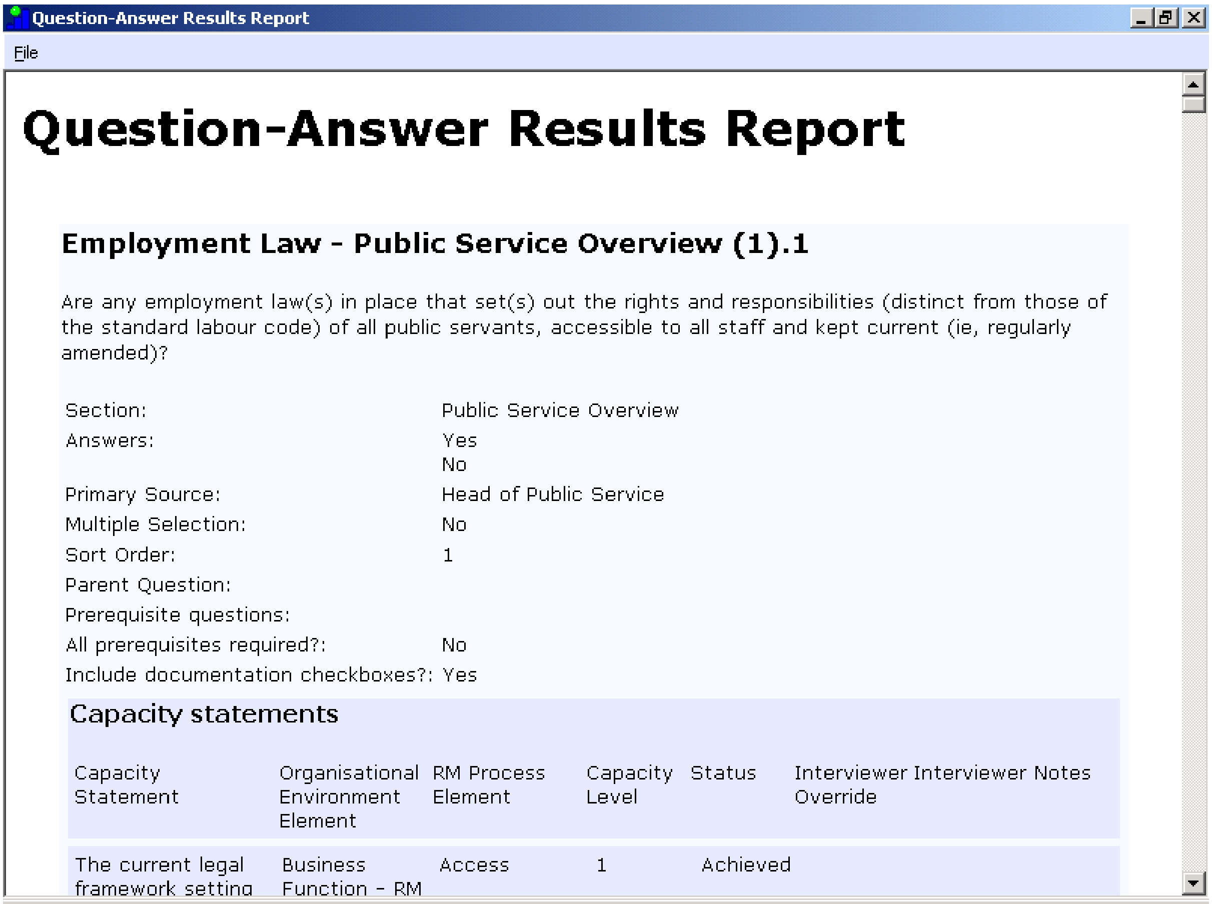
The Assessment summary report displays a three dimensional graphical representation of the capacity levels obtained by the Records management lifecycle elements and Organisational environment elements.

Link to training resources: to obtain information on the training resources relating to different capacity statements click on the relevant bar cell on the graph. Once you have selected the bar, the link to the related training is available for that particular element in the labelled field below the chart.

The following information is available below the chart:

- The number of interviews started
- The number of interviews completed

Question results report


Question-Answer Results Report

File

Question-Answer Results Report

Employment Law - Public Service Overview (1).1

Are any employment law(s) in place that set(s) out the rights and responsibilities (distinct from those of the standard labour code) of all public servants, accessible to all staff and kept current (ie, regularly amended)?

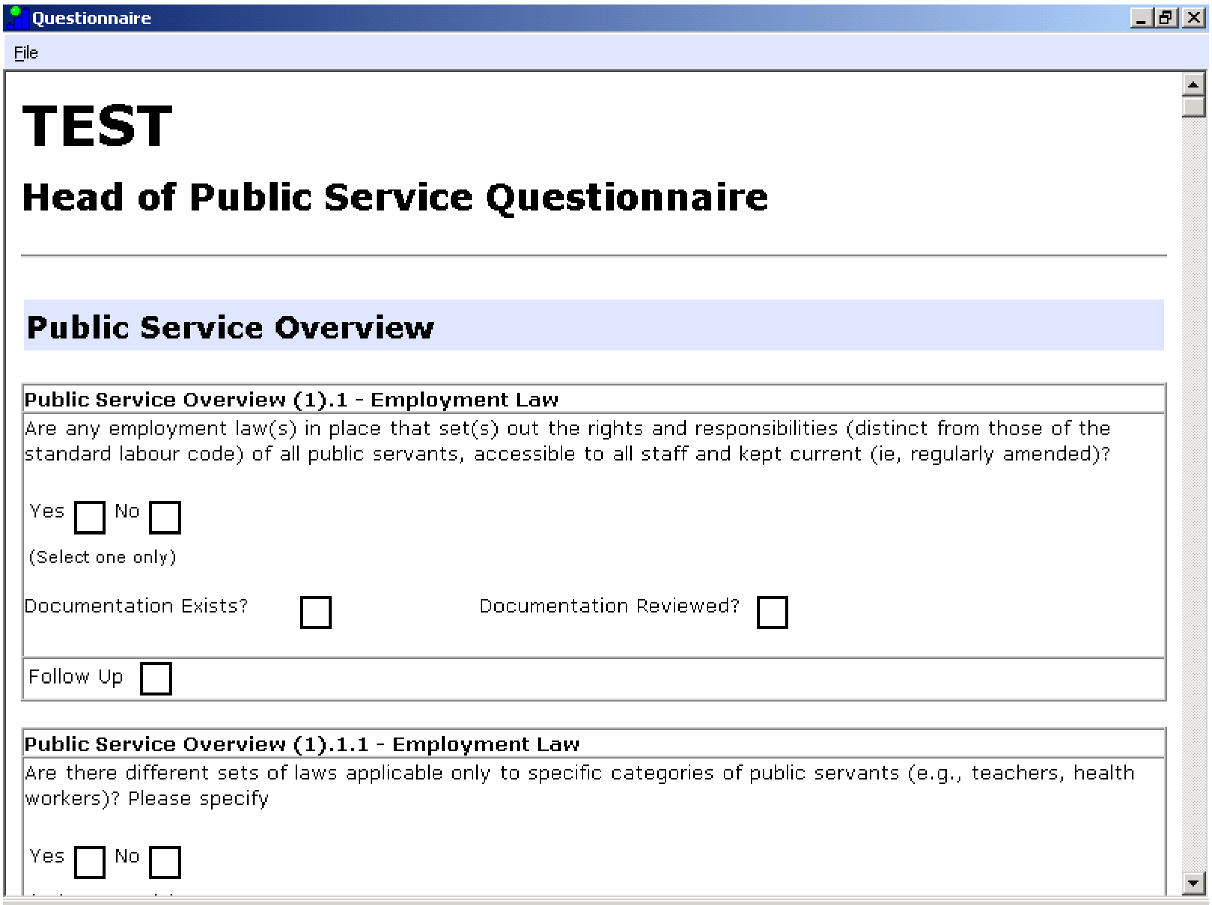
Section:	Public Service Overview
Answers:	Yes No
Primary Source:	Head of Public Service
Multiple Selection:	No
Sort Order:	1
Parent Question:	
Prerequisite questions:	
All prerequisites required?:	No
Include documentation checkboxes?:	Yes

Capacity statements

Capacity Statement	Organisational Environment Element	RM Process Element	Capacity Level	Status	Interviewer Override	Interviewer Notes
The current legal framework setting	Business Function - RM	Access	1	Achieved		

The Question results report displays for each question asked in the questionnaire: the question, the answer choices, the primary source of information, the parent question, any prerequisite questions, the related capacity statements and the answer set used to determine support or refutation of the capacity statement and the answer(s) given by the interviewee. The results can be displayed by interviewee and by question section or the question itself. If required, the results can also display any questions flagged for follow-up and any conflicting stakeholder answers to questions.

Blank questionnaire



This report allows the interviewer to print out an unfilled questionnaire for review by either interviewer or interviewee prior to interview. Responses to the questions maybe recorded on the blank questionnaire in the instance where the interviewer may not have access to a computer. In this case, the interviewer should return to RMCAS and enter responses into the application after the interview is complete.

Capacity statement

Capacity Statement Report

File

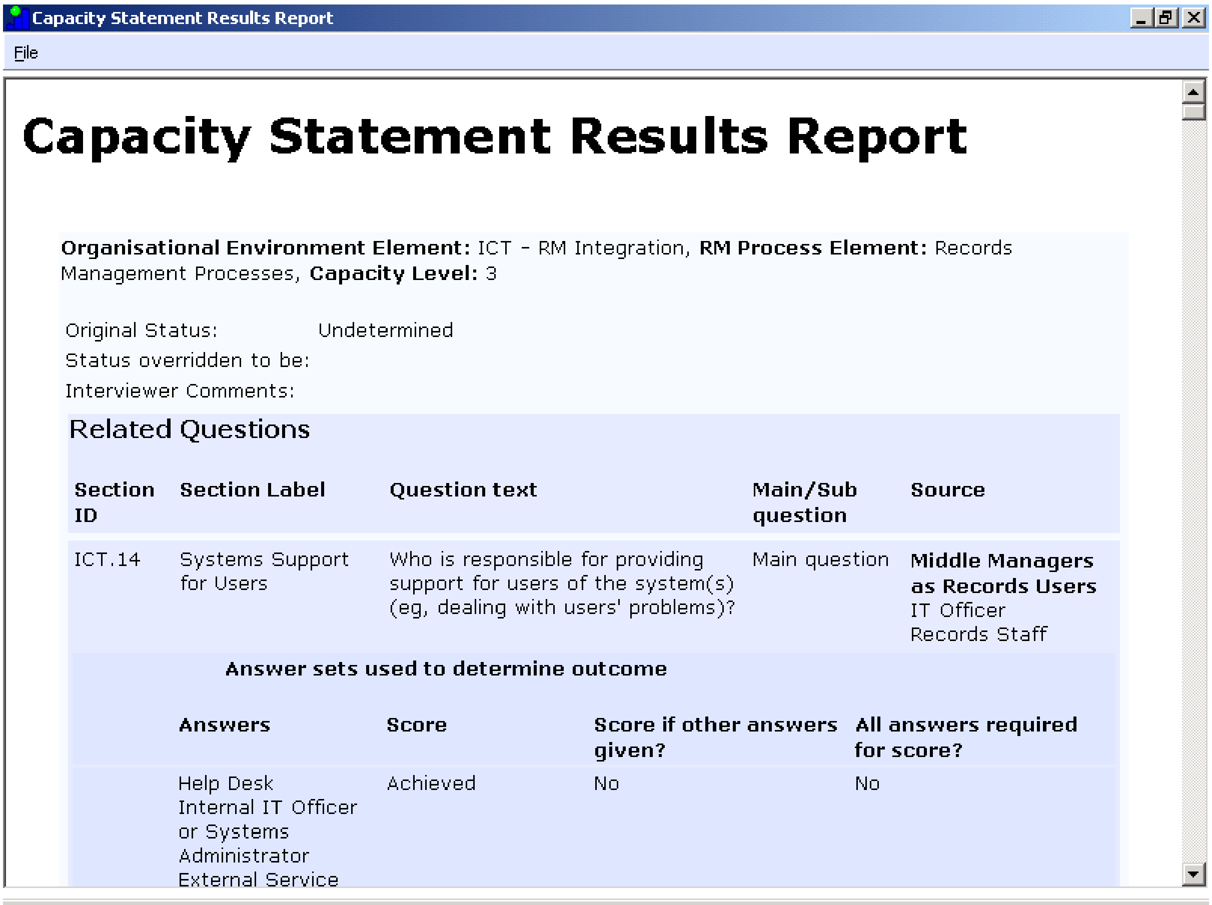
Restore Down

Capacity Level Definition Report

Organisational Environment Element	RM Process Element	Capacity Level	Capacity Statement	Citation
Laws, Policies and Procedures	Records Management Processes	1	Key IM principles, policies, standards and processes for the organisation are established and documented.	Information Management Capacity Check, 3. Management of IM, Priniciples, Policies & Standards: Level 4
Laws, Policies and Procedures	Records Management Processes	1	Key IM principles, policies, standards and processes for the organisation are established and documented.	ISO 15489-1 International Standard - Information and documentation - Records Management (Part 1: General), 7.2 Characteristics of a record, p.7
Laws, Policies and Procedures	Records Management Processes	2	An IM champion is responsible for ensuring the integration of IM practices across both administrative and program areas.	Information Management Capacity Check, 2. Organization Capabilities, Technology Integration: Level 5
Laws, Policies and Procedures	Records Management Processes	2	Key IM principles, policies, standards and processes are communicated, accessible throughout the organisation, understood and effectively utilised.	Information Management Capacity Check, 3. Management of IM, Roles & Responsibiliities: Level 5
Laws, Policies and Procedures	Records Management Processes	2	Key IM principles, policies, standards and processes are communicated, accessible throughout the organisation, understood and effectively utilised.	ISO 15489-1 International Standard - Information and documentation - Records Management (Part 1: General), 6.2 Policy, p. 5
Laws, Policies	Records	2	Key IM principles, policies, standards	ISO 15489-1 International

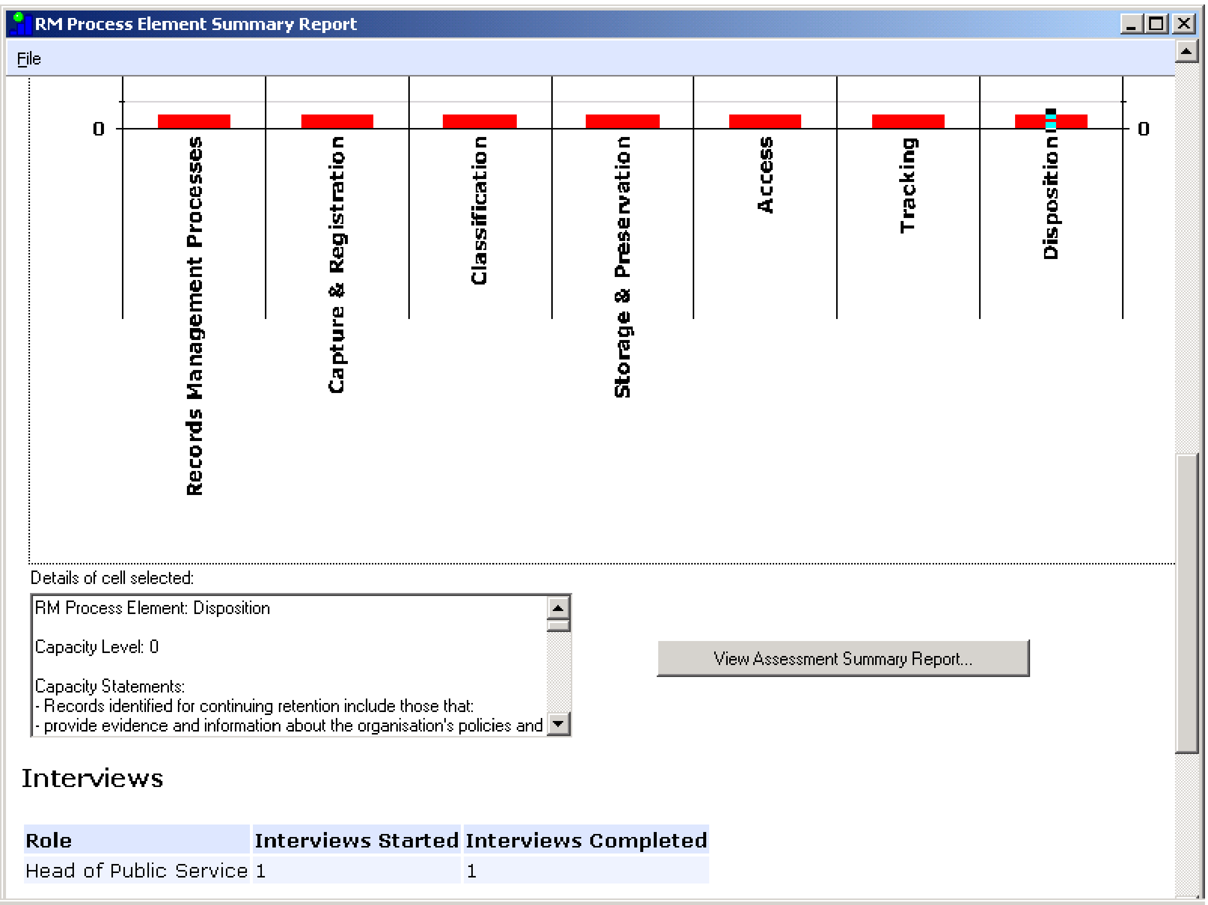
This report shows a list of capacity statement information associated with the assessment including: capacity statements and their related organisation environment and records management process elements, related capacity level and capacity statement source citation.

Capacity statement results



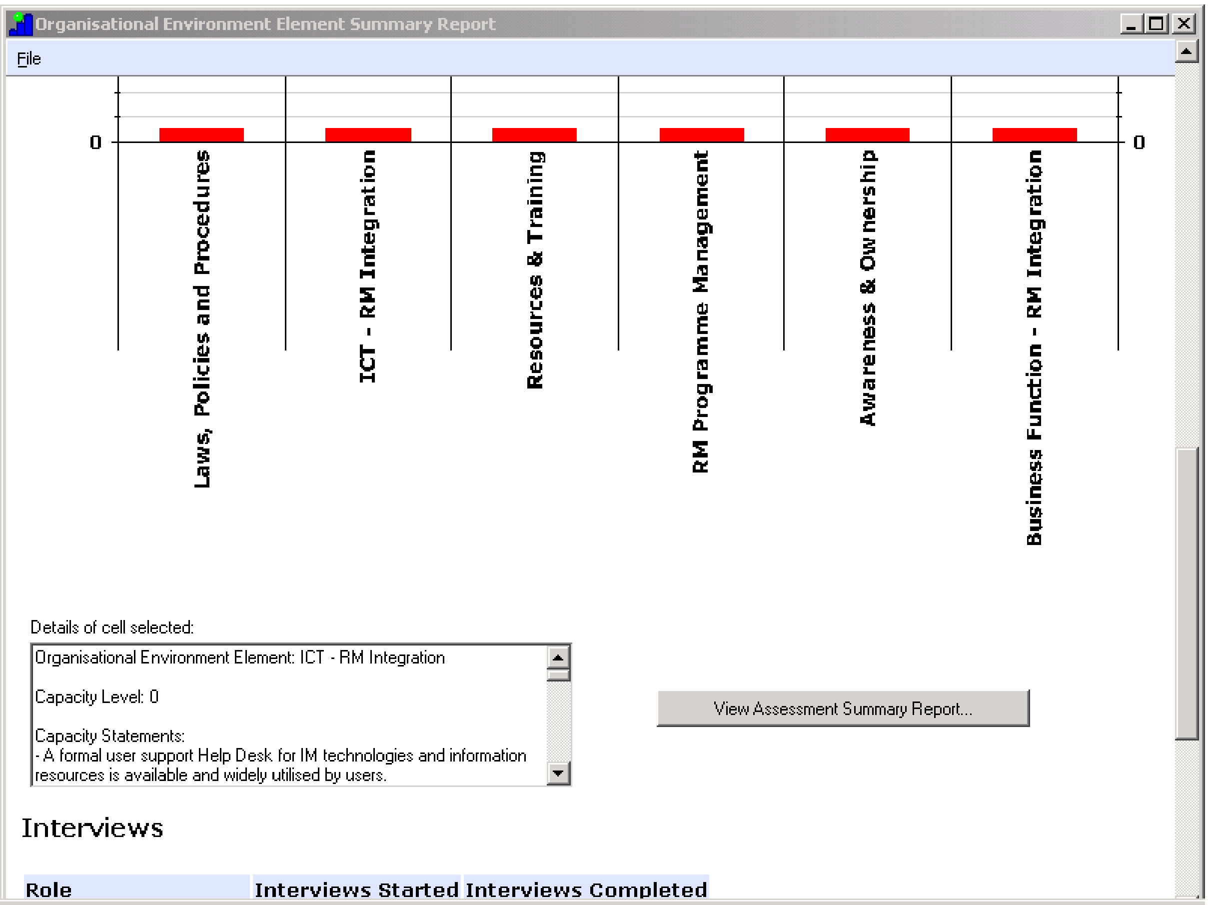
The report shows a list of the capacity statements that apply to the assessment and whether they were achieved, unachieved or undetermined by the interview results.

Records management process elements summary



This report displays a 2-dimensional graph that plots the capacity levels for the chosen process by element. It also links to the training resources related to the different capacity statements and and lists the interviews completed in the assessment.

Organisational environment elements summary



This report displays a 2-dimensional graph that plots the capacity levels for the chosen environment by element. It also links to the training resources related to the different capacity statements and lists the interviews completed in the assessment.

Tips for a complete assessment

- We have tried to make the questions and concepts as generic as possible. However, each country has its own context. It may be necessary to reword questions or explain some of the terminology to fit the organisational or country context.

- RMCAS provides a quantitative measure of an organisation's records system. It requires the assessor to provide a qualitative context around its presentation. The working environment is very important to understanding the quantitative results.

- Knowledge of the organisational structure, be it government, departmental or business is required to:

    - Ensure that the appropriate interviews are completed

    - Ensure an understanding of the reporting structure and managerial environment.

- Familiarisation with the software tool, what it can do and how it works, is important to a completing a full assessment.

- RMCAS may be used at different organisational levels, for example: a sector (such as financial management); an organisational unit (government department); an entity; a project or a system. The questions that make up the tool can be used selectively, depending on the purpose of the assessment. The question logic can be overridden to manually select questions at the interviewer's discretion.

- Interviews do not have to be completed at one time. If the interviewee is called away, another meeting can be scheduled to complete the interview and you can return to it within RMCAS. Do not mark an interview as complete until it has been finished.

- Questions concerning specific functions (for example, procurement records in the finance assessment) can be used to provide an assessment of the capacity of information and records systems to meet reform and business objectives in this area. Sections on ICT can be used to assess the capacity of computerised systems to meet requirements for managing electronic records over time.

- The 'Source of Information' field suggests the posts to which questions could be directed. The wider the range of persons questioned (i.e. financial managers, records managers, human resource managers, auditors) the more in depth the data gathering for the assessment.

- Interviews should take approximately one hour. Group interviews may necessarily take longer.

- RMCAS applies to all media. When the term 'records' is used all media are implied. The tool is intended to be applicable to paper based, electronic and hybrid paper-electronic systems. The 'interviewee notes' field can be used to record separate replies depending on whether a particular business function depends on electronic, manual or hybrid systems.

Source citations and checklist

Source documents

It is recommended that users of RMCAS be familiar with the International Standard on Records Management (ISO 15489). The following standards and models were used in the preparation of RMCAS:

- The international standard on records management (ISO 15489), issued in 2001, was mainly used for good practice statements at levels 1 and 2 and sometimes 3. It covers issues relating to the regulatory environment, the key components of records management programmes, responsibilities of 'stakeholders' and the design and implementation of records systems. Its main strength, however, is that it analyses records management processes in terms of the records processes such as creation or capture, registration, classification, access and disposition. It is intended to apply to records in all formats so it provides a standard for the building blocks or essential foundations for records management

- The european commission's model requirements for the Management of Electronic Records (MoReq). A similar exercise was conducted to extract statements of good practice from the European Commission's *MoReq* so that RMCAS comprehensively covered the management of records and information in the electronic environment

- The National Archives of Canada's Information Management Capacity Check (IMCC) was published in 2002 and is designed for the use of departments and agencies of the Federal Government of Canada to assess their information capacities. It provides a good fit with the ISO 15489 in that it focuses primarily on organisational, management and user requirements, rather than exclusively on the individual stages of the records management process. Furthermore, it defines good practice at five levels of capacity, thus mirroring the five capacity-level structure of RMCAS. Good practice statements derived from IMCC are spread across all levels, but tend to cluster at levels 2 to 4 as they deal with, for example, organisational culture, strategic planning and change management. It is unlikely that an organisation that has poor quality records and poor records management infrastructure would have good change management mechanisms and procedures to measure information quality for compliance

- Background documents on the development of RMCAS can be found on the IRMT web site: http://www.irmt.org

Key assessment tasks summary checklist

This list summarises the tasks needed to prepare for and conduct an assessment using RMCAS

√	**Activities checklist**
	Complete familiarisation with RMCAS (understanding the tool, navigating through the software, understanding the terminology)
	Prepare briefing to key stakeholders and/or facilitator
	Identify other briefings which may be required
	Set up liaison schedule with key stakeholders and/or facilitator
	Collect and review key documentation (laws, policies, manuals, regulations, system documentation, organisational structure information) in order to understand the context of the work environment
	Identify stakeholders to be interviewed and obtain contact information
	Contact stakeholders prior to interviews and provide any information that they may request
	Two members of the assessment team attend each interview; one as interviewer and one as test issues recorder
	Interviews should take approximately one hour
	Once interviews are completed the assessment team reviews data and prepares summary report
	Assessment team reviews the data, validates the results and provides explanatory notes on the reports
	Assessment team provides an overview of the results to the required organisational body.