Diamonds in the Dust: Putting Bling into Records Management

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CSIR - Organisation

Compliance

- CSIR is a publicly funded entity Constituted by Act of Parliament in 1945
- Good governance

Sector

- Science & Technology
- Information & data intensive

CSIR Record Types

- Reports, publications, data analyses, project plans, lab books, etc.

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Background

- **Global Research Environment**
  - **- technology**
  - **- processes**
  - **- people**

- **Increase in documentation**
  - **- poor planning**
  - **- lack of control**
  - **- lack of direction**

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Definitions

- According to National Archives and Records Service of South Africa Act (Act 43 of 1996), a **record** is defined as:

  Recorded information regardless of form or medium.

  Evidence of a transaction, preserved for the evidential information it contains

- Records Management (RM) is a field of management responsible for the efficient and systematic control of the creation, receipt, maintenance, use and disposition of records, including processes for capturing and maintaining evidence of and information about business activities and transactions in the form of records. (ISO 15489-1, 2001)

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Lundgren's stages

- Lundgren & Lundgren identified four stages that an organisation goes through in its life cycle of records management:

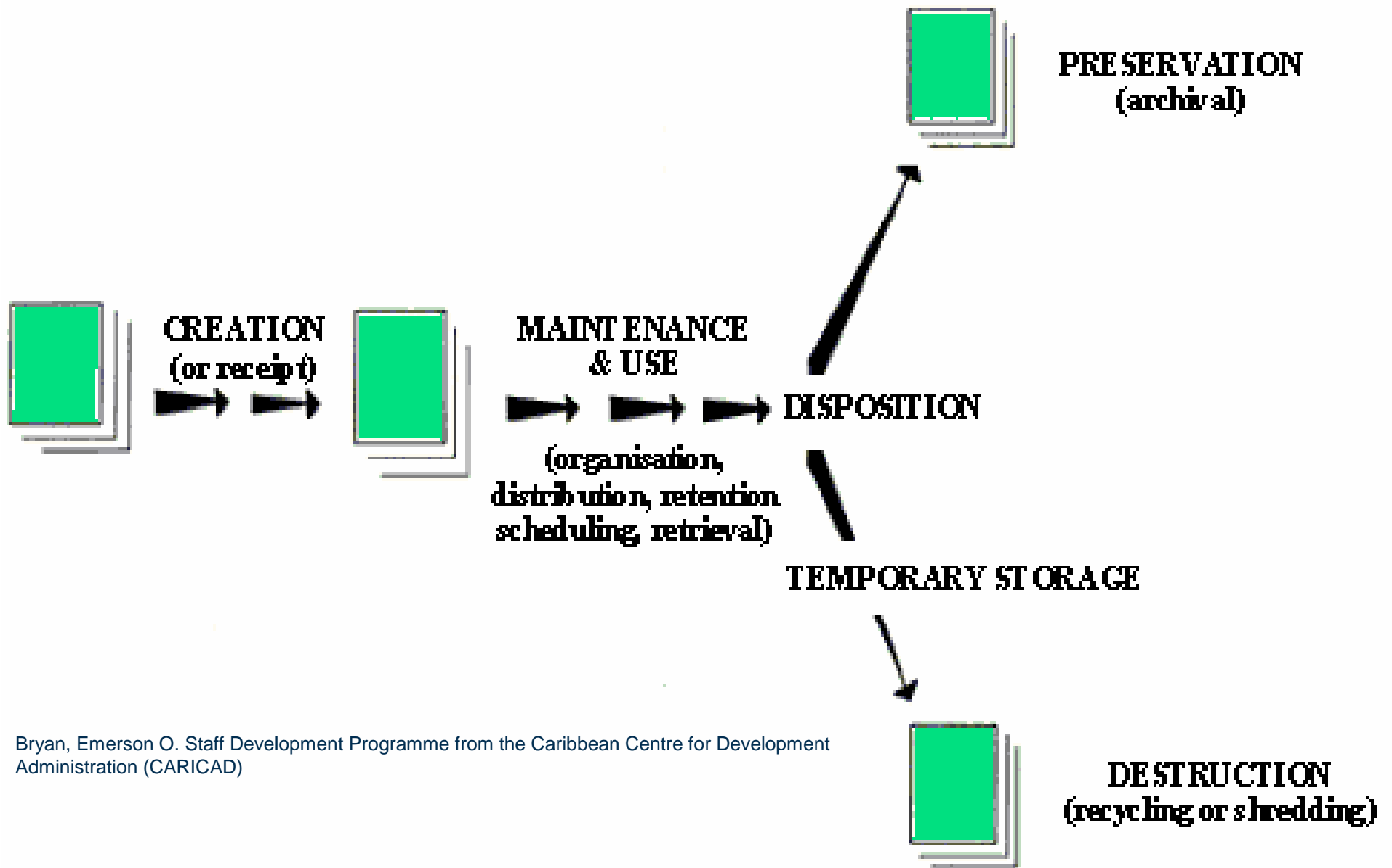 Stage I - Maintenance stage
  Stage II - Growth stage
  Stage III - Problem stage
  Stage IV - Disaster stage

Lundgren, Terry D & Lundgren, Carol A. 1989. *Records management in the computer age.* Boston, MA: PWS-KENT.

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Records Life Cycle

CREATION
(or receipt)

MAINTENANCE
& USE

(organisation,
distribution, retention
scheduling, retrieval)

DISPOSITION

PRESERVATION
(archival)

TEMPORARY STORAGE

DESTRUCTION
(recycling or shredding)

Identifying the Problem

- Beyond 60: CSIRs' organisational reconfiguration process

- Operating units functioned independently

- Independent RM practices

- Natural Resources and the Environment - Spatial data, researcher driven

- Litigation matters

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Executive's Mandate

- Operations Committee (OPCO) – all units, from research to support services, are represented and bought into the RM process

- CSIR Information Services – investigated current RM practices

- Unit Representatives – selected to drive RM within their operating units

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Records Management Communication Plan

- Intranet – articles published

- CSIR Staff Newsletters

- Presentations – to all unit managers

- Wiki – keep record of the project

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Records Management Wiki

Process

ISO 15489 / SANS 15489-2 records management system implementation model, p3

Conducting Preliminary Investigation

1. Does a policy exist?
2. What records are generated, where and how long are they stored?
3. Classification system (file plan) & systems utilised?
4. Integrity & security of records?
5. Correspondence?
6. Policies web content managing / imaging?
7. Data sets?
8. General comments?

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Process
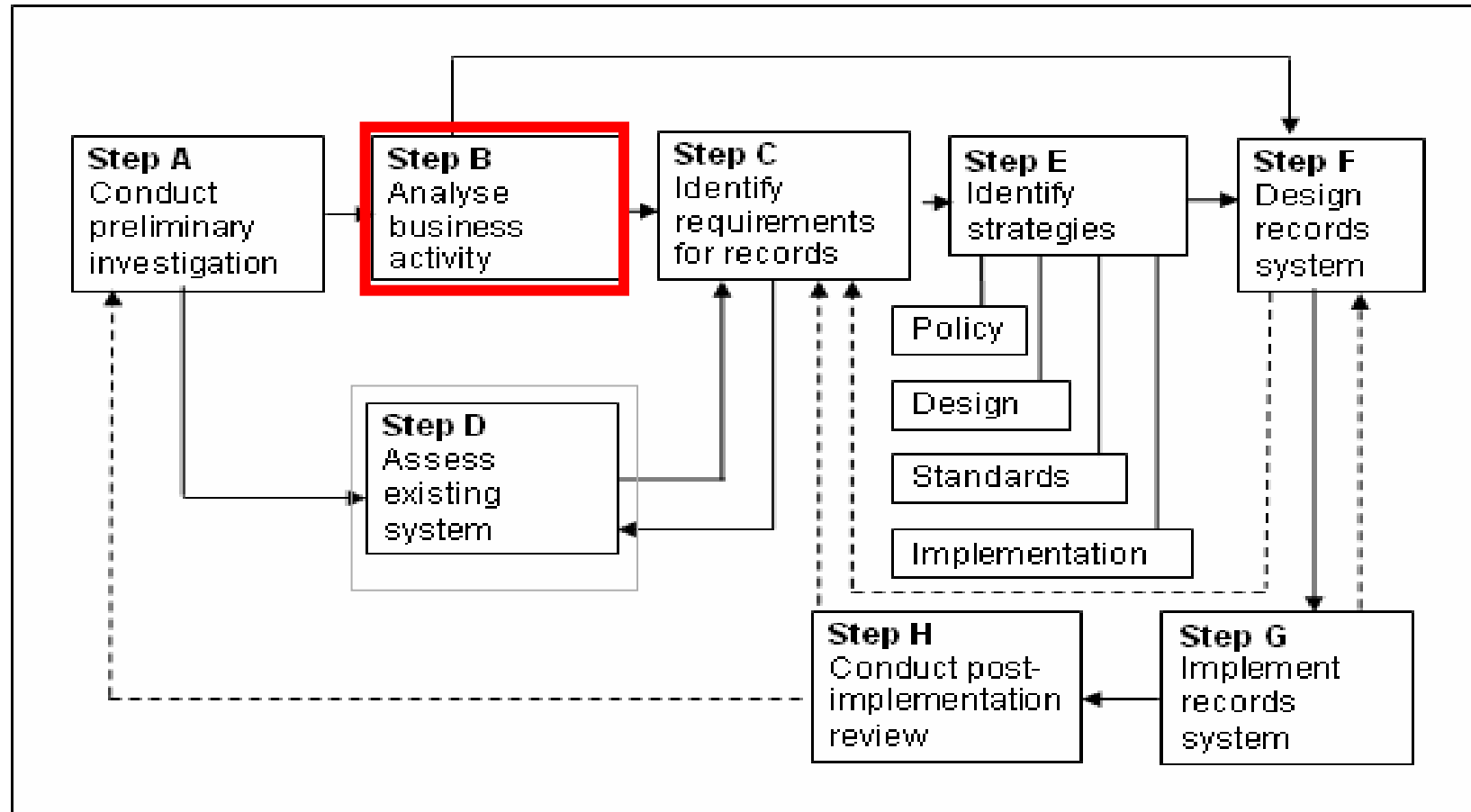
ISO 15489 / SANS 15489-2 records management system implementation model, p3

Audit Results

- The need for proper RM is acknowledged throughout the organisation
- Current practices to address RM vary considerably
- Units depend on the GroupWise DMS as well as the network drives to manage documents
- The CSIR archive is inactive and needs much attention
- Migration of all CSIR records, into a consolidated system is not feasible
- It will be feasible to introduce an alternative and consolidated approach to selected records (e.g. contracts)
- A pilot study will be feasible to initiate and implement
- Proper document management system - testing phase in March 2008

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ISO 15489 Model
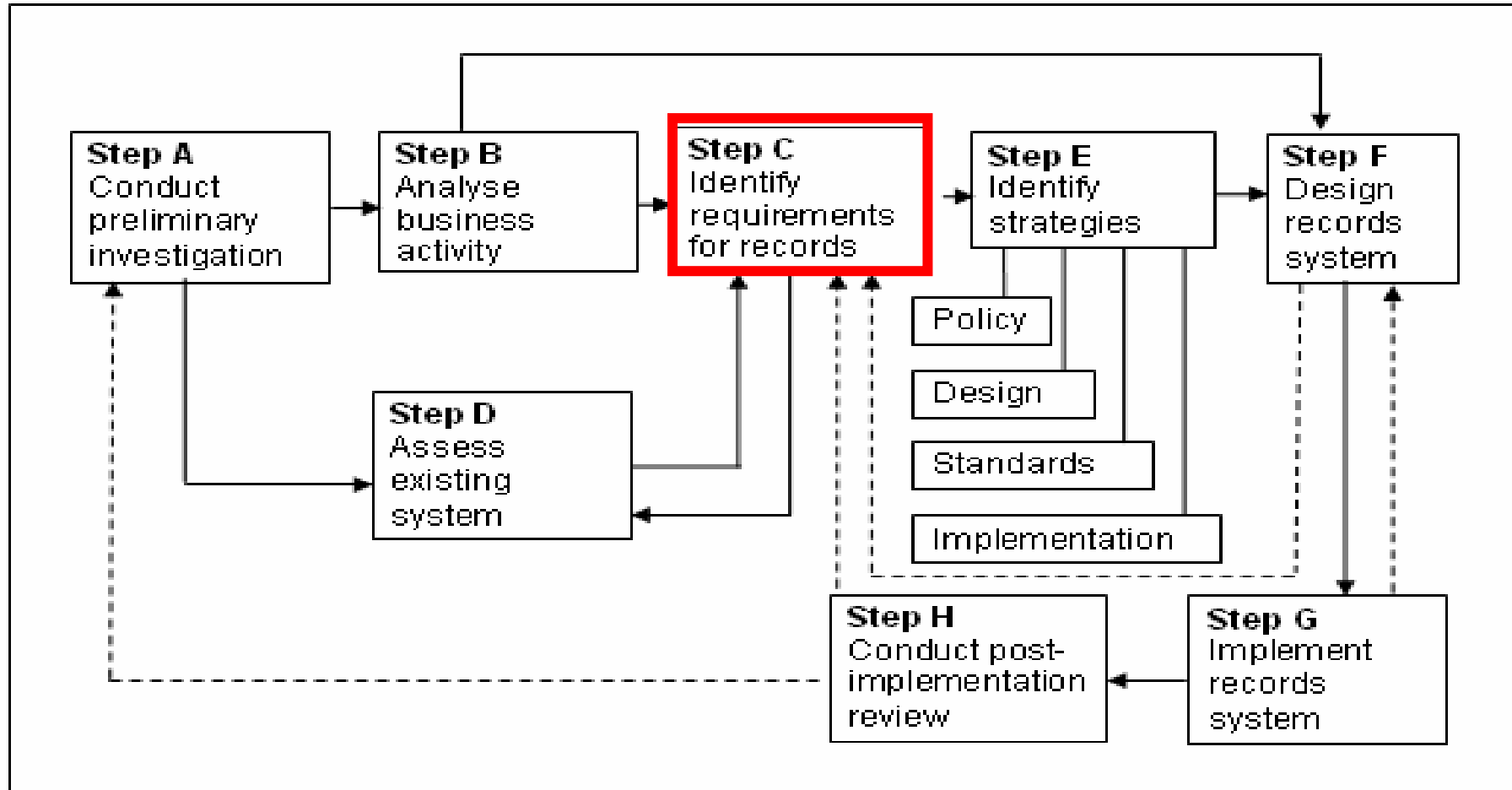
Recommendations

- Establish an agreed set of RM principles for all units
- The principles should also address the following:
  - The system(s) to be used to store core records
  - The format(s) in which core records will be kept
- Agree on which documents to regard as the core records (those that need to be stored indefinitely)
- Re-open the central Archive
- Implement an ICT policy for back-ups and organisational storage area (network drives)

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Recommendations - cont'd

- One of the units to be used as a pilot study during 2008
- Development of the organisational file plan is to be outsourced
- Records managers will be appointed in each unit
- Record managers form part of the advisory panel regarding the pilot project
- Legal Services is nominated as the official Records Manager for the CSIR during the 2008/09
- RM policy is to be aligned to CSIR policies

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ISO 15489 Model

Step A
Conduct preliminary investigation

Step B
Analyse business activity

Step C
Identify requirements for records

Step E
Identify strategies

Step F
Design records system

Step D
Assess existing system

Policy

Design

Standards

Implementation

Step H
Conduct post-implementation review

Step G
Implement records system
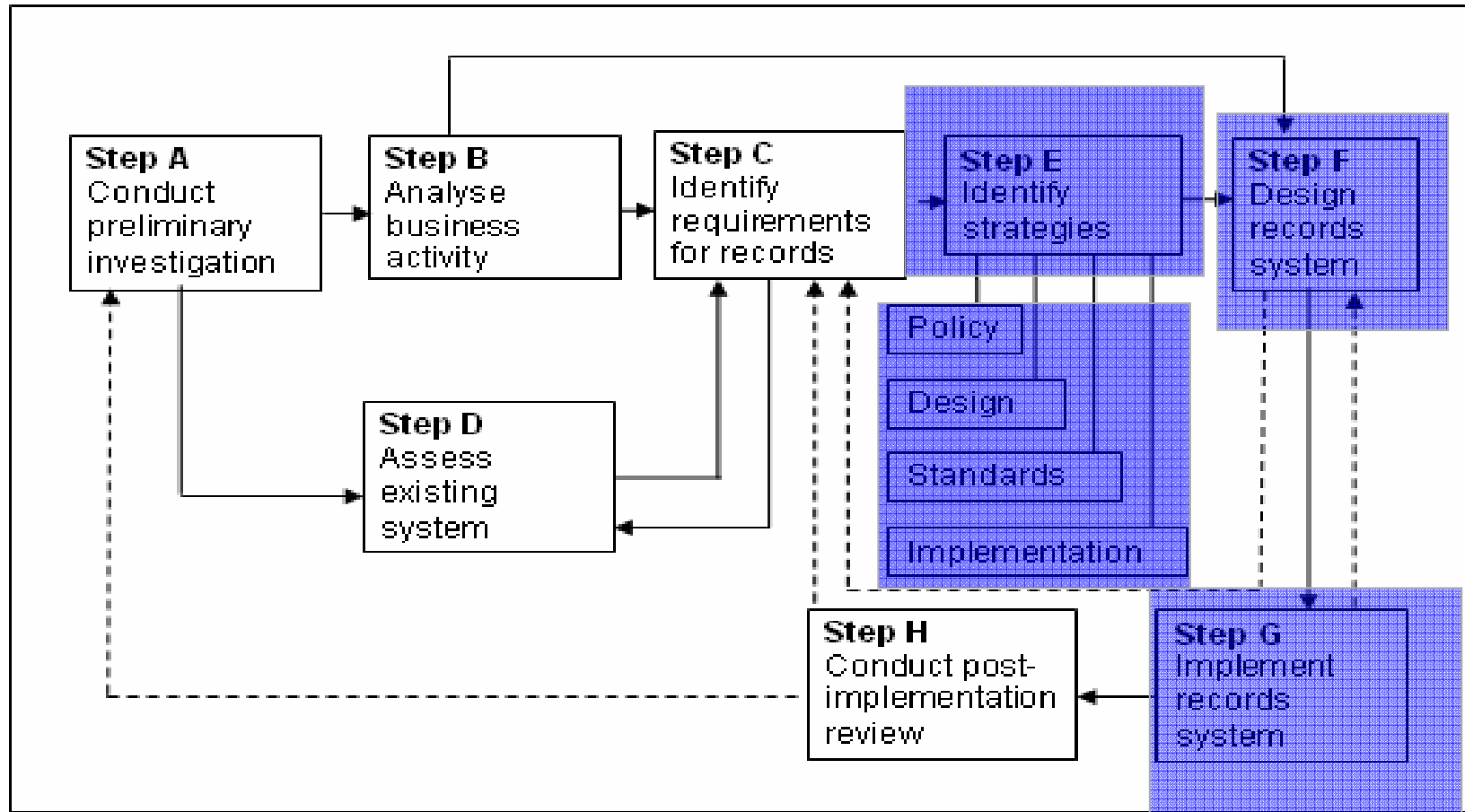
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Assessing CSIR Record Keeping Systems

- Network drives
- GroupWise Document Management System (GW DMS)
- Configurated System
- Laboratory Information Management System (LIMS)
- Peoplesoft (HR)
- Miraculum (finance)
- Oracle Workflow
- Intranet
- Millennium (library system)
- Plone site (open source portal)

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To been done by end August 2008

ISO 15489 / SANS 15489-2 records management system implementation model, p3

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Implementation plan - Steps E, F & G

- Pilot project (01 April 2008)
- Instated the RM advisory committee
- Decision on use of document management systems or network drives
- Decide which paper and electronic records to keep or transfer to the archives
- Determine retention and disposal periods for all records
- CSIR to decide on policy when to transfer records to the National Archives
- Change management plan will be developed by July 2008

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Thank you

… are there any questions?

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