

Diamonds in the Dust: Putting Bling into Records Management



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CSIR
our future through science



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.

Background

- **Global Research Environment**
 - technology
 - processes
 - people
- **Increase in documentation**
 - poor planning
 - lack of control
 - lack of direction



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)

Lundgren's stages

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

Stage I - Maintenance stage

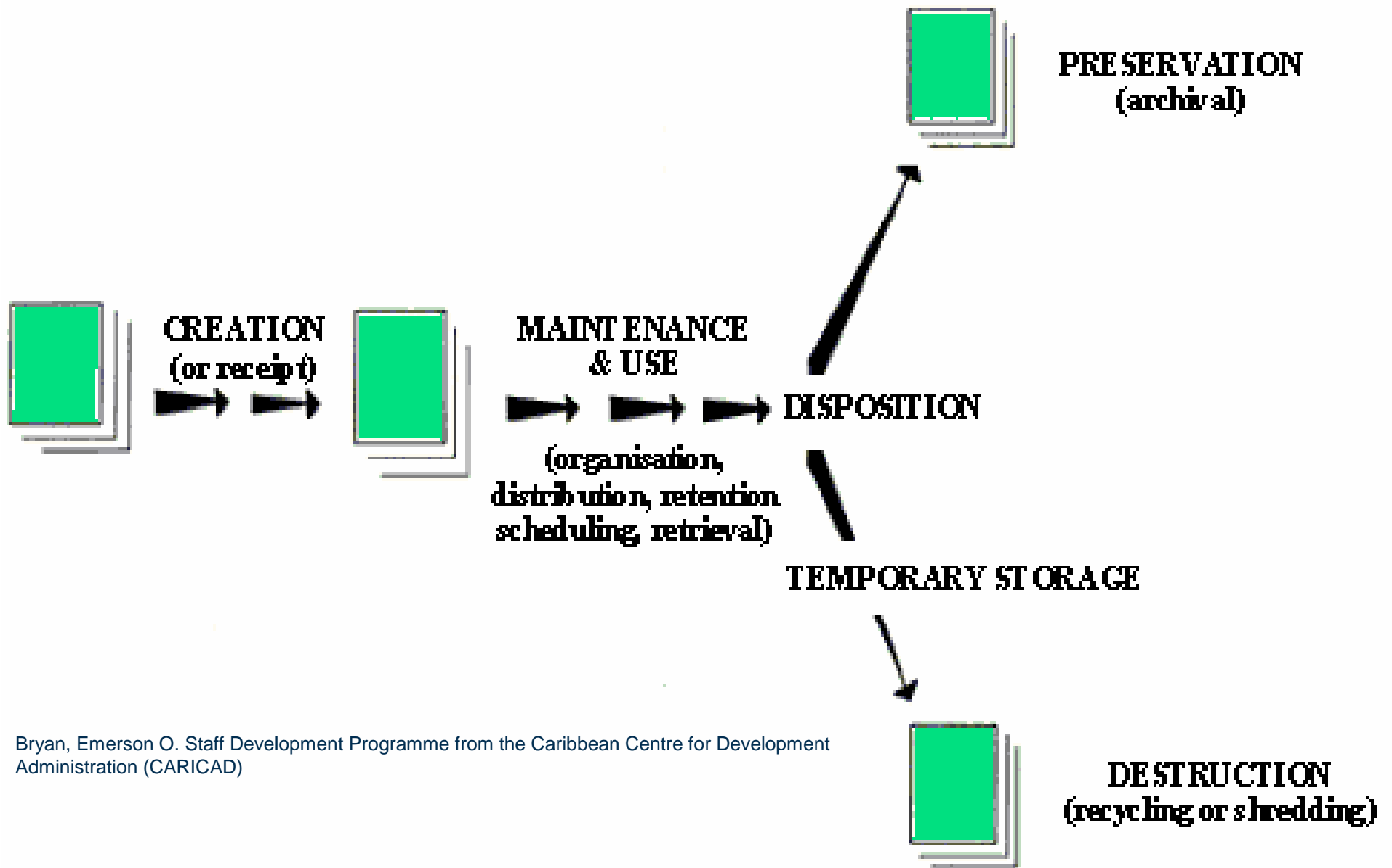
Stage II - Growth stage

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.

Records Life Cycle



Bryan, Emerson O. Staff Development Programme from the Caribbean Centre for Development Administration (CARICAD)

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



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

Records Management Communication Plan

- Intranet – articles published
- CSIR Staff Newsletters
- Presentations – to all unit managers
- Wiki – keep record of the project

Records Management Wiki

The screenshot shows a Microsoft Internet Explorer browser window with the title bar 'Main Page - Records Management - Microsoft Internet Explorer'. The address bar contains the URL 'https://recman.csir.co.za/index.php/Main_Page'. The browser's menu bar includes 'File', 'Edit', 'View', 'Favorites', 'Tools', and 'Help'. The toolbar features navigation buttons (Back, Forward, Stop, Home, Refresh), search, and favorites. The search bar is set to 'Google'. The browser has several tabs open, with the active tab being 'Main Page - Records Management'. The main content area displays the CSIR logo and the title 'Main Page' with sub-headers 'article', 'discussion', 'edit', and 'history'. The article title is 'Diamonds in the Dust'. The text of the article discusses a campaign aimed at improving records management within the CSIR, mentioning the 'aag jok' (ad hoc) processes and the 'lazy fairy' (laissez-faire) management of business records. A navigation menu on the left lists various topics like 'Main Page', 'Gems', 'War stories', 'CSIR Process Model', 'Relevant Documents', 'About RM', 'Legal framework', 'RM Audit Results', 'RM Policy', 'RM File Plan', and 'Help'. The Windows taskbar at the bottom shows the 'start' button and several open applications.

Main Page - Records Management - Microsoft Internet Explorer

File Edit View Favorites Tools Help

Back Forward Stop Home Refresh Search Favorites

Address https://recman.csir.co.za/index.php/Main_Page Go Links >>

Google G ace personal space Go Search South Africa W Bookmarks Check AutoLink AutoFill Settings

Y! Search Web Y! Mail Answers Dating Y! Mobile Sign in

Main Page - Records Management Add Tab

Log in / create account

CSIR

article discussion edit history

Main Page

Diamonds in the Dust

Towards a CSIR **coordinated Records Management system**

Diamonds in the dust is a campaign aimed at investigating and improving records management within the CSIR. Until recently, mentioning the subject would guarantee mass yawning at many-a-meeting...not to mention utter dismay! Today, records managers, attract and grab much attention – much like Barney did many years ago, and Mandoza's hit song, Nkalakatha, does at any local rugby match!

What changed? Quite simply ... the world did!

The sleepy era of 'aag jok' (otherwise known as ad hoc) processes and **lazy fairy** (a.k.a laissez-faire) management of business records has been replaced by effective strategies that ensure the traceability of all records. Retrieval speed and reliability of records are essential indicators of effectiveness, and therefore, strategies targeted at efficient records management have to be supported by good policy and

navigation

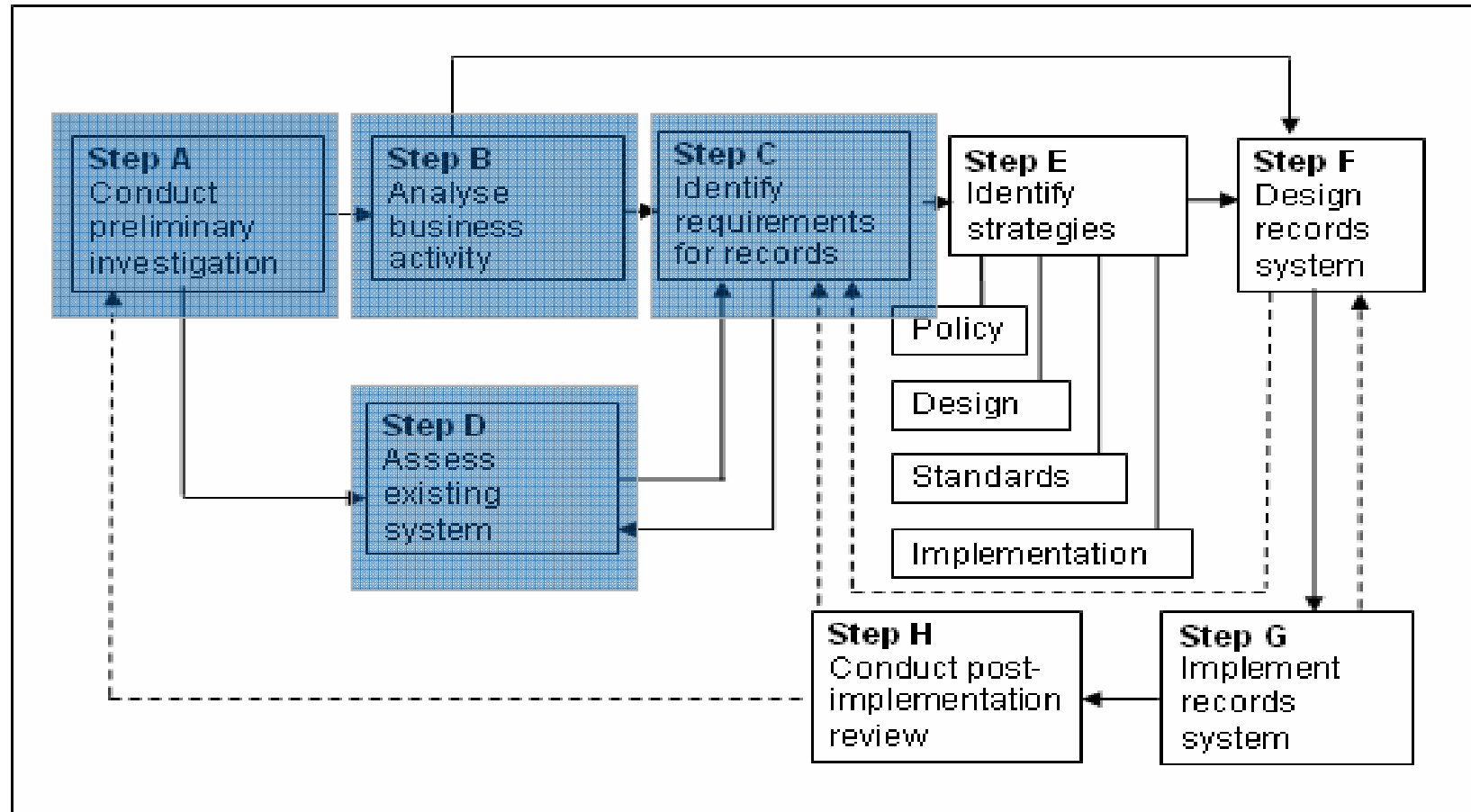
- Main Page
- Gems
- War stories
- CSIR Process Model
- Relevant Documents
- About RM
- Legal framework
- RM Audit Results
- RM Policy
- RM File Plan
- Help

units

- BioSciences
- RF

start No... Mai... No... Kn... Wi... 6... Mai... Pu... K:\ Dia... 16:04

Process



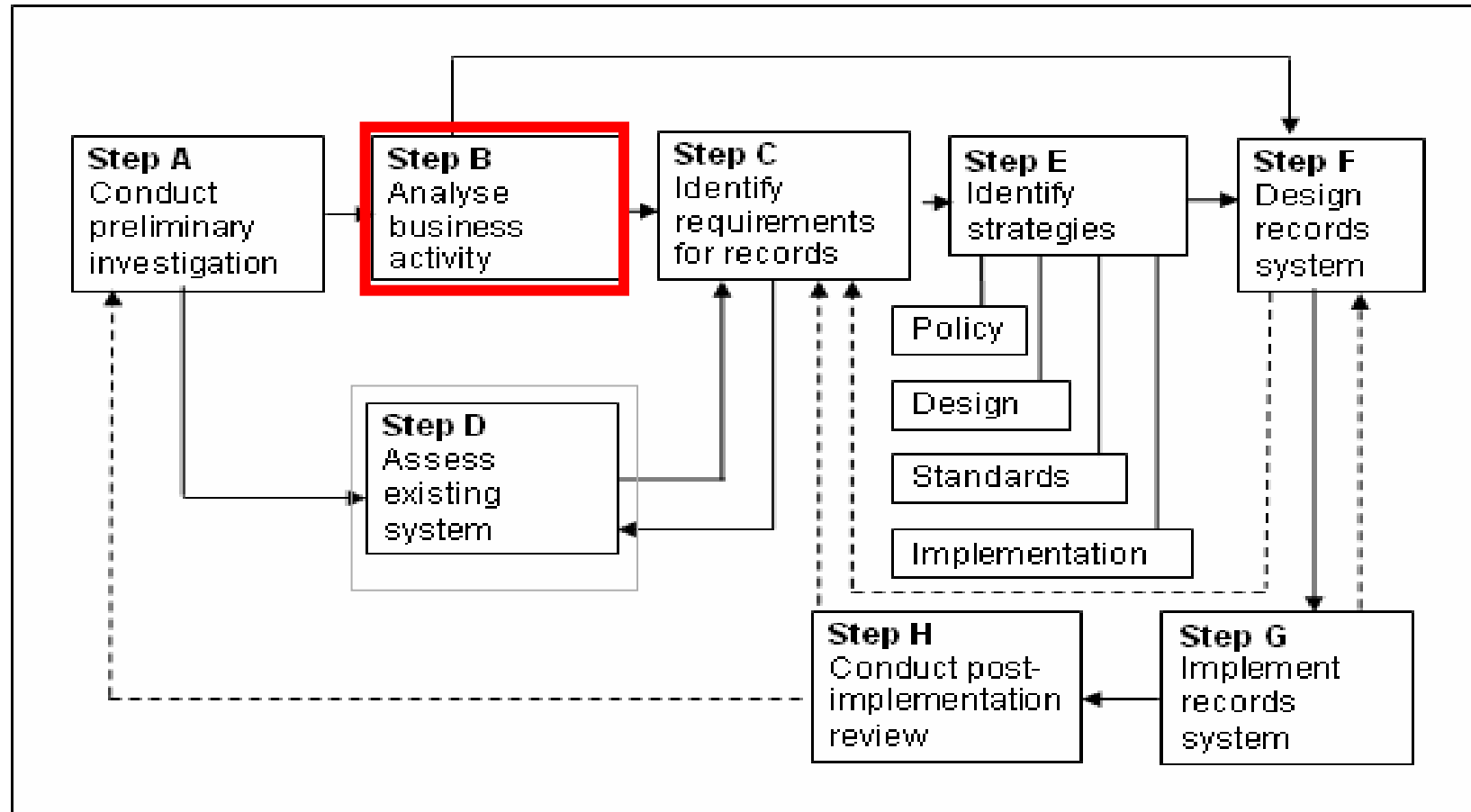
ISO 15489 / SANS 15489-2 records management system implementation model, p3



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?

Process



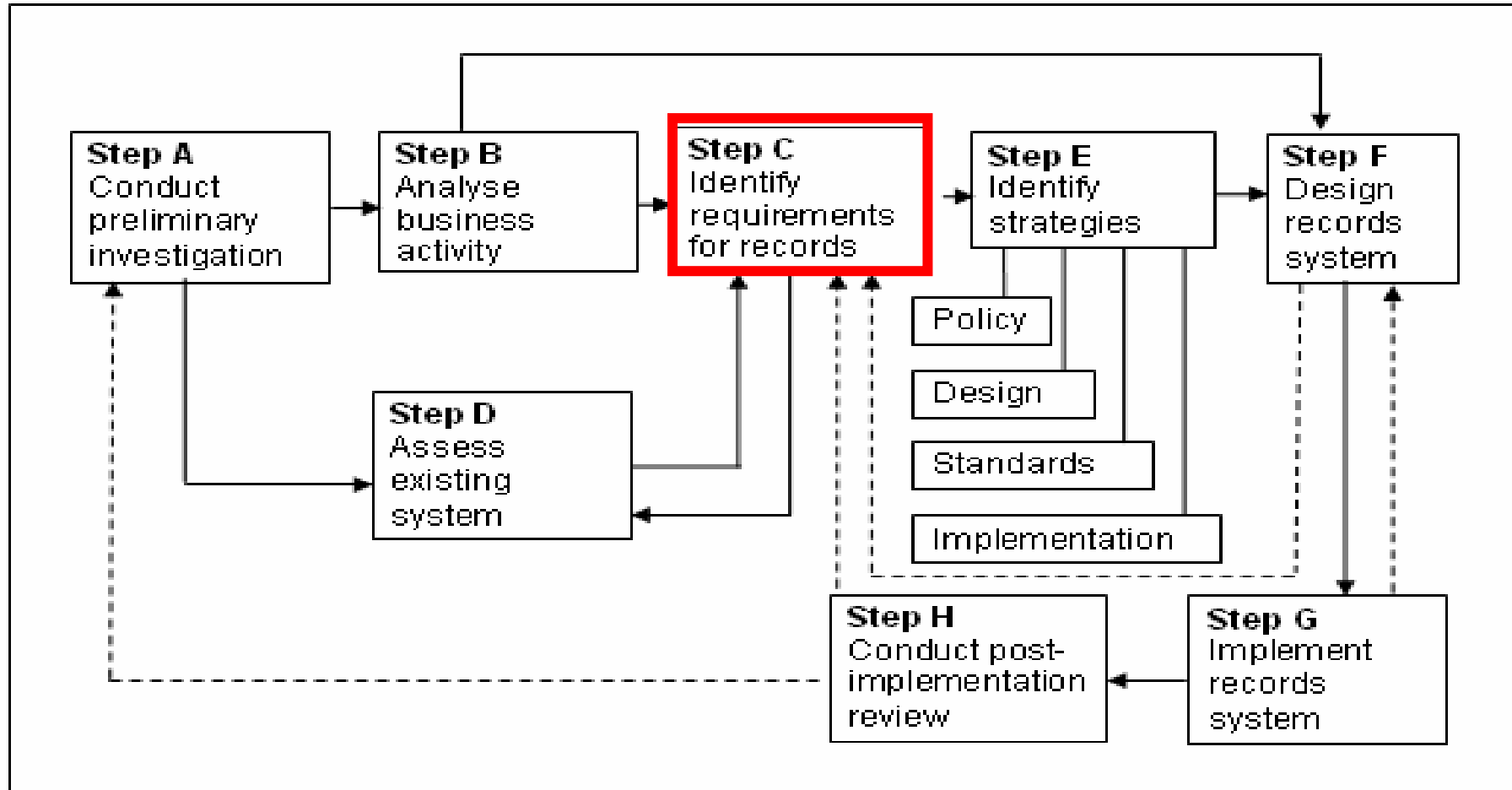
ISO 15489 / SANS 15489-2 records management system implementation model, p3

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



ISO 15489 Model



Recommendations



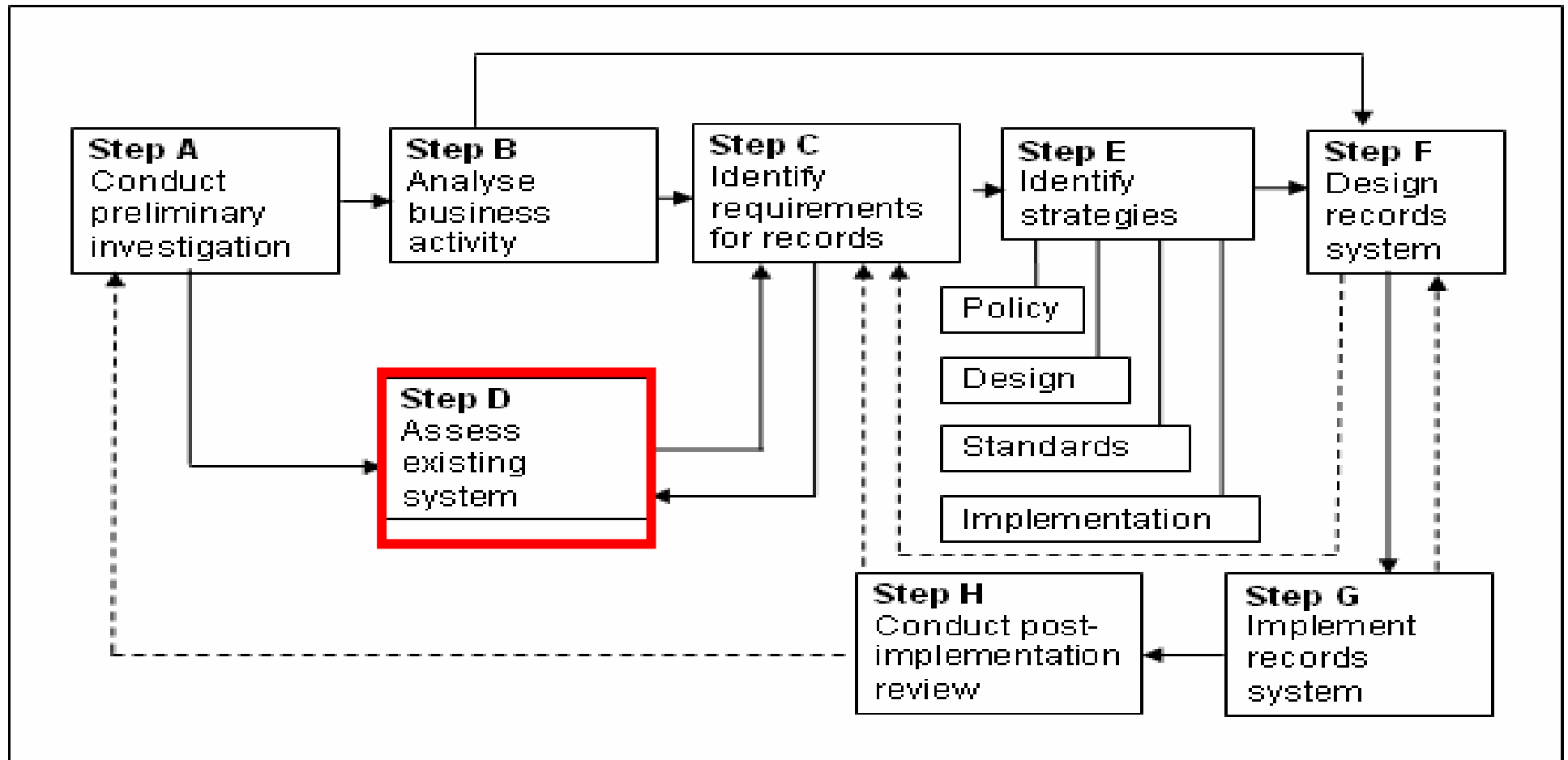
- Establish an agreed set of RM principles for all units
- The principles should also address the following:
 - The system(s) to be used to store core records
 - The format(s) in which core records will be kept
- Agree on which documents to regard as the core records (those that need to be stored indefinitely)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

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

ISO 15489 Model

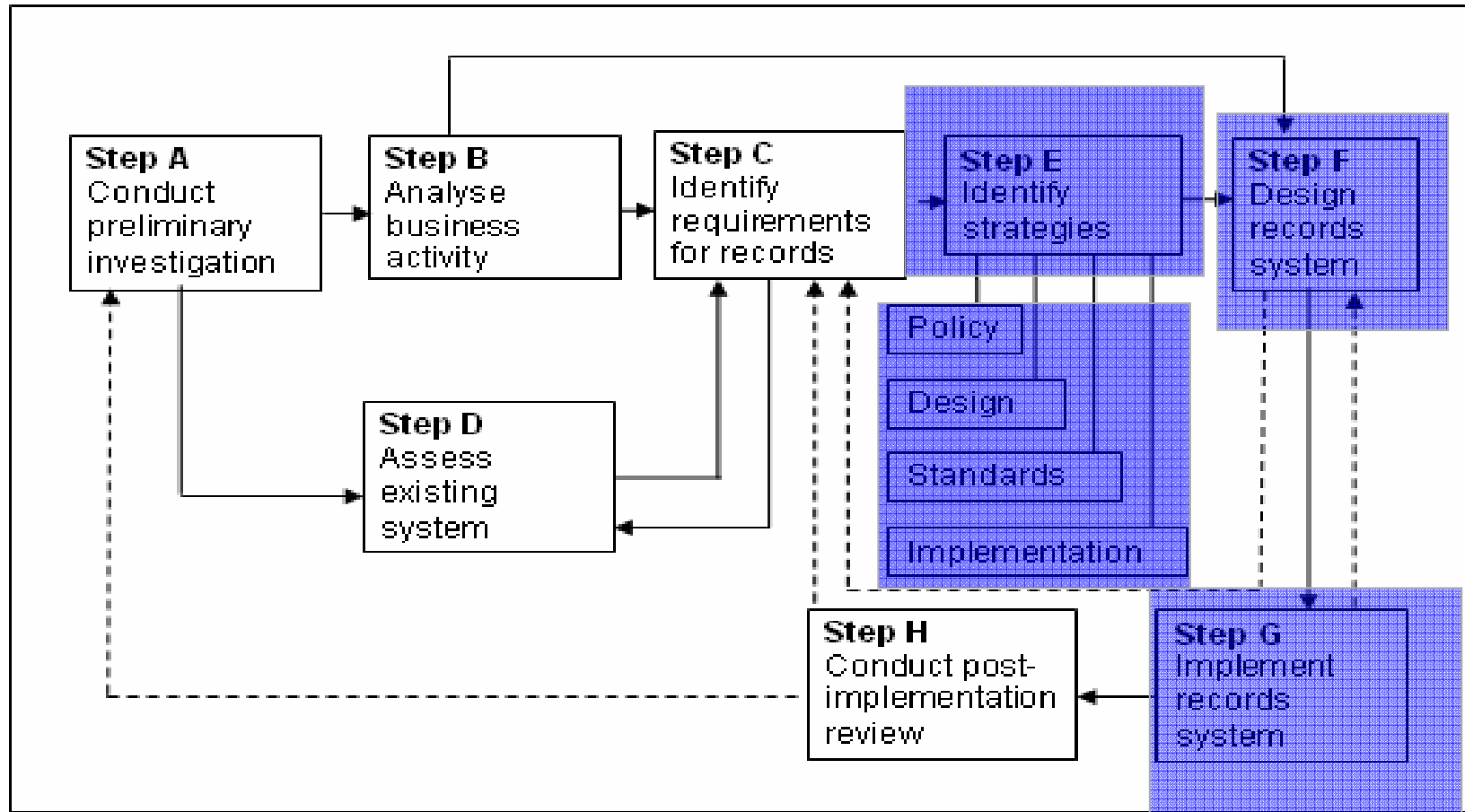


Assessing CSIR Record Keeping Systems

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



To be done by end August 2008



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

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

Thank you

... are there any questions?

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CSIR

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