

PUBLIC SECTOR DIGITAL RECORDS MANAGEMENT FRAMEWORK

APRIL 2018



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1.0 INTRODUCTION

Public institutions in Zimbabwe are digitising their processes to improve service delivery and corporate governance. This has seen an influx of digital records being generated. Digital records, just like their paper counterparts should be systematically managed to support business process and public sector accountability. The Public Sector Digital Records Management Framework is meant to provide for systematic management of digital records.

1.1 Purpose

- i. To provide guidelines for identification and implementation of appropriate digital records management systems.
- ii. To harmonise emerging digital records systems with existing paper-based record-keeping systems.
- iii. To standardise records management across public institutions to enhance information sharing and exchange.
- iv. To enhance resource sharing for public sector efficiency and cost effectiveness.
- v. To provide platform that continues to support acquisition and preservation of documents of historical significance.

1.2 Scope

The Framework identifies and specifies the appropriate model, roles and responsibilities, standards, technology, transitional strategies and sets parameters within which digital records procedures and processes shall be operated. The

Framework does not provide detailed digital records management procedures and processes.

1.3 Benchmarking

This Framework is informed by International best practices and is responsive to National requirements. It is anticipated that throughout the implementation process, there will be close cooperation with friendly countries that have digitized their records management processes. At a National level the Framework has been developed in collaboration with Ministry of Information and Communication Technology Post and Courier Services (MICTPCS) to ensure that it is aligned to National ICT policy.

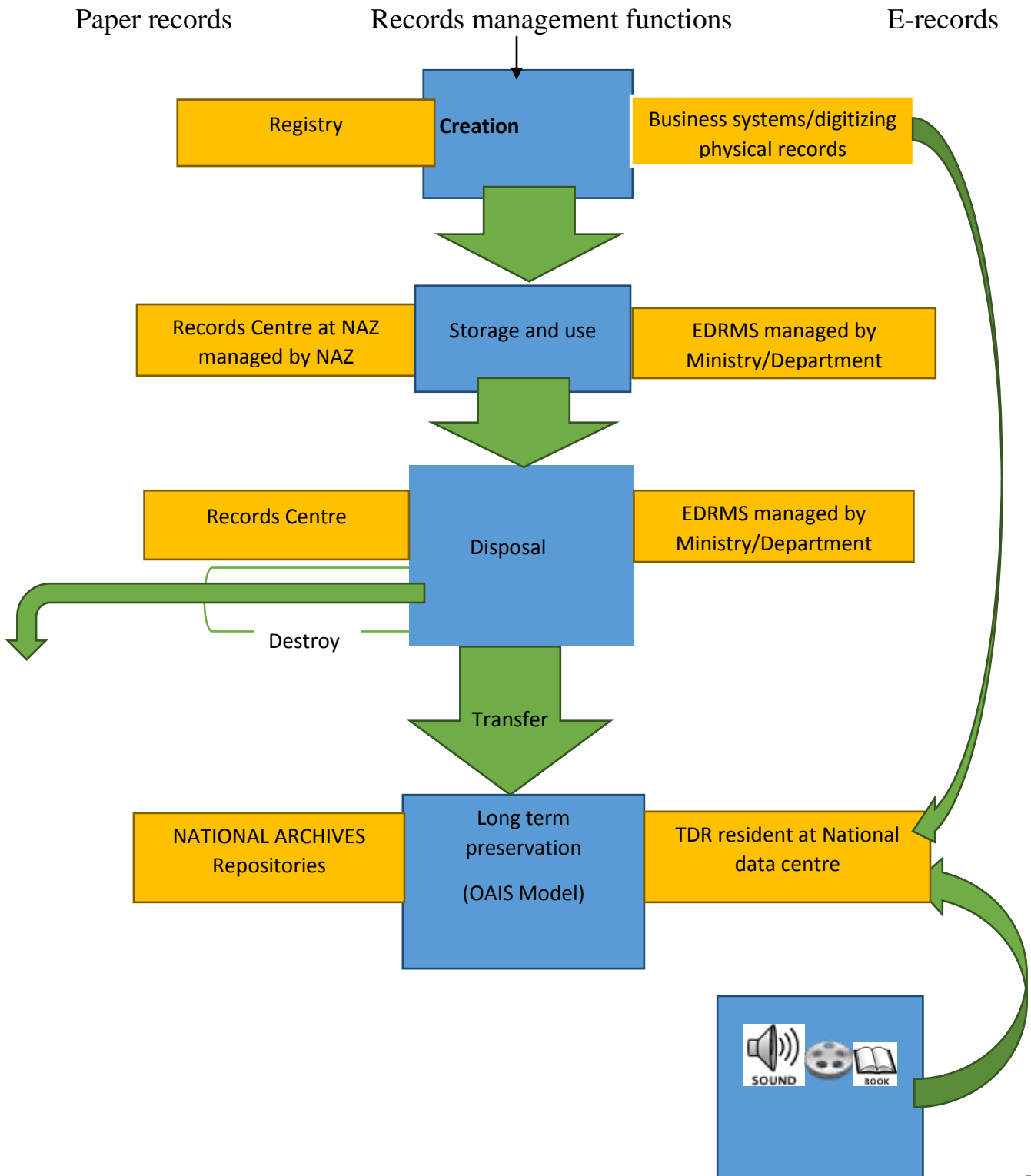
1.4 Terms of Reference

The Framework is issued in terms of National Archives Act [Chapter 25:06] 1986.

2.0 DIGITAL RECORDS MODEL

Digital records model constitutes the philosophical foundation for the Framework. All digital records management decisions and system design should be guided by the model. The model draws some parallels between physical records and digital records. *Figure 1* shows a diagrammatical presentation of the Framework.

Figure1: Digital Records Management (Parallel to the existing paper based model)



2.1 Model Statements

- i. Evaluation of e-government strategies must include digital records management issues.
- ii. All business systems must conform to *ISO 16175-3 - Part 3*.
- iii. All records classified within the retention and disposal schedules must not be maintained within business system environment and must be maintained within an Electronic Documents and Records Management System (EDRMS).
- iv. Digital records worth long term preservation (archives) must be transferred to the Trusted Digital Repository.
- v. Paper records that have been digitized must be maintained within the same environment as born digital records.
- vi. Public institutions must not digitize physical records for preservation purposes, and must digitize physical records only to support immediate business.

2.2 Model Common Platforms

Common platforms are aimed at enhancing the following issues to enhance public sector efficiency and effectiveness;

- i. interoperability among government platforms
- ii. information sharing and exchange of government data
- iii. infrastructure and resource sharing to reduce records management costs
- iv. auditing of records management systems to demonstrate authenticity and reliability of records over time.

Common government platform issues must be addressed at three levels;

- i. System level –This must be achieved through the use of a generic digital records management system across government. In certain exceptions where a specialised system is necessary, the use of such a system must be certified by NAZ.
- ii. Procedural level –This must be achieved through the use of common procedures that standardize records management functions, practices and processes across government developed by NAZ.
- iii. Data level – This must be achieved through the use of common metadata, file formats and naming conventions.

2.3 Model Responsibilities and roles

Digital records management shall be achieved through collaboration by various players, each with specific roles and responsibilities. *Table 1* below shows digital records management roles and responsibilities.

Table1: Roles and Responsibilities

<p>MICTPCS</p>	<ol style="list-style-type: none"> 1. Host the Trusted Digital Repository (TDR) within the NDC. 2. Where necessary, host public institutions digital records management systems
<p>Department/Ministry IT staff / MICTPCS/Government Security Cluster</p>	<ol style="list-style-type: none"> 1. Incorporate records management and archival functions into the design, development, and implementation of business systems, 2. Protect government information commensurate with the risk and magnitude of harm that could result from the loss, misuse, or unauthorized access to or modification of such information.
<p>NAZ</p>	<ol style="list-style-type: none"> 1. For providing expert guidance on and oversight of the creation, management and permanent preservation of e-records by way of developing policies, decisions, guidelines, tools and procedures. 2. Certification of e-records management systems proposed by government institutions.
<p>Department/Ministry Registry staff</p>	<ol style="list-style-type: none"> 1. Making e-records management policies, decisions, guidelines, tools and procedures designed in line with the National tools provided by the National Archives. 2. Ascertain records management functional requirements for business systems and e-records management systems, guided by functional

	<p>requirements provide by the National Archives of Zimbabwe.</p> <p>3. In a timely fashion, establish, and obtain the approval of the National Archives for proposed e-records management systems</p>
<p>MPSLSS Ministry of Public Service, Labour and Social Services (MPSLSS)/NAZ</p>	<ol style="list-style-type: none"> 1. Restructure public sector registry system. 2. Develop on the job training program for records and information professionals within government institutions. 3. Develop short term digital records management courses for non-records staff. 4. Identify digitisation training needs for specific institutions prior digitisation 5. Conduct pre-digitisation and ongoing training

3.0 TRANSITIONAL INTERVENTION STRATEGY

The transitional phase is critical for the success of the digital records management model. Transitional strategies provide for a smooth adoption of digital records management both at National and institutional level.

3.1 Preparedness

Paper records management systems do not readily meet the requirements of digital records and the following aspects of the existing paper records management systems must be reviewed during the transitional phase both at National and institutional levels;

- i. Registry staff complement, composition and skills

- ii. Registry workflow processes
- iii. Registry tools
- iv. Registry procedures

3.2 Compliance Measures

- i. Any institution intending to digitise records systems must have a preparedness survey conducted by NAZ before digitisation process commences.
- ii. Minimum requirements recommended during the survey must be implemented at various stages of the digital records system implementation process as recommended.
- iii. Institutions that have digitised their records systems before the promulgation of Framework are also subject to the survey and must implement the recommendations on an ongoing basis.

3.3 Standards

In the absence of National Infrastructure and systems to support the proposed digital records management model public institutions with the capacity to develop their own infrastructure and systems for digital records management are encouraged to do so. Such developments must be guided by standards recommended on *table 2* to ensure that such systems can be integrated into the national infrastructure and systems. NAZ may make some modifications to the recommended international standards in response to National requirements but unless such modifications are made and published, the latest versions of the recommended international standards.

Table 2: Recommended International Standards

Standard	USES
<p>ISO 15489- Records Management</p>	<p>Part 1: <i>General</i> gives a high level Framework for record-keeping and explains the benefits of good records management, the legal considerations and the importance of making someone responsible for recordkeeping. This part also looks at what's needed for good records management, designing recordkeeping systems, records management processes, auditing and training.</p> <p>Part 2: <i>Guidelines</i> is a guide to putting the advice given in Part 1 into practice. It provides specific detail on developing records management policy and responsibility statements and suggests a process for developing recordkeeping systems. It also provides advice about developing records processes and controls. It also gives specific advice about setting up monitoring, auditing, and training programs.</p>
<p>ISO 16175-1 - Information and documentation - Principles and Functional Requirements for Records in Electronic Office Environments - Part 1:</p>	<p>ISO 16175-1 establishes fundamental principles and functional requirements for software used to create and manage digital records in office environments. It establishes the principles of good practice, guiding principles, implementation guidelines, and it lists risks and mitigations for the purposes of enabling better management of records in organisations, supporting the</p>

<p>Overview and statement of principles</p>	<p>business needs of an organisation by enabling greater effectiveness and efficiency of the operations; providing enhanced abilities to support auditing activities; improving capabilities to comply with statutory mandates specified in various information-related legislation (for example, data protection and privacy); and maximizing cross-jurisdictional consistency regarding the articulation of functional requirements for managing records.</p>
<p>ISO 16175-2 - Part 2: Guidelines and Functional Requirements for Digital Records Management Systems</p>	<p>ISO 16175-2 articulates a set of functional requirements for digital records management systems. These requirements apply to records irrespective of the media in which they were created and/or stored. It is applicable to products that are often termed ‘electronic records management systems’ or ‘enterprise content management systems’. ISO 16175-2 uses the term digital records management systems for those software applications whose primary function is records management. It does not seek to set requirements for records still in use and held within business systems. Digital objects created by email, word processing, spreadsheet and imaging applications (such as text documents, and still or moving images), where they are identified to be of business value, are managed within digital records management systems which meet the</p>

	functional requirements established in ISO 16175-2.
ISO 16175-3:2010 - Part 3: Guidelines and Functional Requirements for Records in Business Systems	<p>ISO 16175-3 specifies general requirements and guidelines for records management and gives guidelines for the appropriate identification and management of evidence (records) of business activities transacted through business systems. It provides guidelines to assist in: understanding processes and requirements for identifying and managing records in business systems; develop requirements for functionality for records to be included in a design specification when building, upgrading or purchasing business system software; evaluating the records management capability of proposed customized or commercial off-the-shelf business system software; and reviewing the functionality for records or assess compliance of existing business systems.</p> <p>ISO 16175-3 supports preservation by allowing the export of records to a system that is capable of long-term preservation activities, or for the ongoing migration of records into new systems. It does not specify requirements for the long-term preservation of digital records.</p>
ISO 23081 - Information and Documentation -	<p><i>Part 1: Principles</i></p> <p>ISO 23081 sets a Framework for creating, managing</p>

<p>Records Management Processes - Metadata for Records</p>	<p>and using records management metadata and explains the principles that govern them. It is a guide to understanding, implementing, and using metadata within the Framework of ISO 15489. It addresses the relevance of records management metadata in business processes and the different roles and types of metadata that support business and records management processes. It also sets a Framework for managing those metadata. It assesses the main existing metadata sets in line with the requirements of ISO 15489.</p> <p><i>Part 2: Conceptual and implementation issues</i></p> <p>This part of ISO 23081 focuses on the Framework for defining metadata elements for managing records and provides a generic statement of metadata elements, whether these are physical, analogue, or digital, consistent with the principles of ISO 23081-1.</p>
<p>ISO 26122 - Information and Documentation - Work Process Analysis for Records</p>	<p>This standard provides guidance on work process analysis from the perspective of the creation, capture and control of records. It identifies two types of analyses, namely functional analysis (decomposition of functions into processes), and sequential analysis (investigation of the flow of transactions). Guidance provided in the form of lists of questions/matters to be considered under each element of the analysis is also included. The standard describes a practical application</p>

	of the theory outlined in ISO 15489.
ISO/IEC 27001 - Information Technology - Security techniques - Information Security Management Systems - Requirements	The standard covers information security leadership and high-level support for policy, planning an information security management system; risk assessment; risk treatment, supporting an information security management system, making an information security management system operational, reviewing the system's performance, and corrective action.
ISO 30300 - Information and Documentation - Management Systems for Records - Fundamentals and Vocabulary	It establishes the objectives for using a Management Systems for Records, provides principles for a Management Systems for Records, describes a process approach and specifies roles for top management.
ISO/TR 13028 Implementation guidelines for the digitization of records	It establishes best practice guidelines for digitization to ensure the trustworthiness and reliability of records and enable consideration of disposal of the non-digital source records.

Table 3: Transitions Road Map

ACTIVITY	START DATE	COMPLETION DATE
International Standards Naturalisation and Interpretation	June 2018	December 2018
TDR system identification	June 2018	December 2018
National registry system re-structuring and capacity building	June 2018	June 2019
Generic EDRMS Identification	December 2018	June 2019
TDR Infrastructure development	December 2018	December 2020