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ESARBICA NEWSLETTER

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Events

April 2004

21st – 23rd **Meeting of the ICA Executive Committee** Madrid, Spain
<http://www.ica.org/calendrier.php?plangue=eng>

May 2004

11th – 14th **“Information management in a democracy: supporting access, security and accountability through sound records management practices” AIMS cc conference** at Kruger National Park, South Africa. Contact: Ms R. Mathale tel. (27) 835914717, or Ms L. Calitz (27) 832911459, Email: aims@wol.co.za Fax: (27) 0831183900351 Website <http://www.aims-access.co.za>

June 2004

9th – 11th **“Expectation and realities in managing electronic records”** Conference in Johannesburg, South Africa. Contact Richard, Phone (27) 113393300 Fax (27) 11 3393325 Email richard@longsight.co.za Website <http://www.longsight.co.za> Registration information <http://www.archives.org.za/Expectations.pdf>

July 2004

14th – 15th **“Reading the trace: memory, information and archives”** A short course by the University of Witwatersrand, Johannesburg, South Africa. Course instructor Verne Harris, email sahav@library.wits.ac.za For registration contact Lesley Stephenson Phone: (27) 117177031 Fax: (27) 113397835 Cell: (27) 836790697 Email: stephensonl@ebe.wits.ac.za Course website <http://www.wits.ac.za/gshass/archives>

August 2004

23rd – 29th **“Archives, memory, and knowledge” 15th International Congress on Archives** Vienna, Austria <http://www.wien2004.ica.org>

Call for papers

The editors invite contributions for the next issue of the ESARBICA Journal. Themes that may be addressed are wide and open, but an advanced academic level of discourse is required. Preference will be given to manuscripts that focus on specific issues in the Eastern and Southern Africa region and case studies that provide "best practices" and in the following broad themes:

- (i) All aspects of archives from oral tradition, audio-visual archives to electronic records
 - (ii) Archivists and knowledge management
 - (iii) Information and communication technologies in the management of records and archives
 - (iv) Human resource development including education and training
 - (v) Ethics issues that arise in the management of information contained in archives and records
 - (vi) Disaster preparedness/disaster response with special reference to human-made disasters (e.g. destruction of National Library/National Archive in Baghdad)
 - (vii) Access to information contained in archives and records
- Deadline for submitting manuscripts is **30 April 2004**.

Records Management in Health Institutions: A Department of Health project, North West Province, South Africa

During May 2003, the Office of the MEC (Member of the Executive Council) for Health in the North West Province decided to bring its departmental record management program in line with South African records management legislative and regulatory requirements.

The decision was made to conduct a pilot records management project in 23 of its health institutions, which were selected through collective decision making by the office of the MEC and 4 regional managers. The selection included 8 district hospitals, 7 clinics and health centres, 1 regional office, 2 district offices, 4 provincial hospitals and certain support divisions within Head Office.

Consultants from Access Information Management Services (AIMS) were brought in to assist the Department of Health (DOH) in reaching their records management goals.

Records Audit

The first phase entailed a records audit process that was conducted to evaluate current record keeping practices at the 23 identified institutions. The process included an evaluation of the organizational structure of the DOH, the types of records generated by the institutions and existing records management practices.

A thorough evaluation was done on legal status as well as filing and numbering systems used for patient case files, X-rays and X-ray-reports, laboratory results, patient registers, pharmacy and drug records, administrative and policy, financial and human resource records, records of nursing activities and educational records.

The evaluation further covered the appraisal and management of current active, semi-active and inactive records including the use of file plans, physical storage, control of issue and use, access, destruction as well as management of electronic hospital and administrative records.

Establishment of a Records Management Project Team

During the early stages of the project a Records Management Project Team was established drawn from representatives of the DOH in the four regions of the Province. This project team met on a monthly basis to evaluate progress and provide feedback from the institutions on the progress of the project. A Records Manager was appointed during the project that had the responsibility of evaluating and overseeing the project.

Functional Analysis

In line with National Archives and Record Service practice, an analysis of functions and activities was made within the various identified institutions. It was found during the records audit process that a file plan was approved during 2001 for use by the

DOH, but that only 8% of the identified institutions used the file plan and then also only by certain divisions within the institutions. The file plan was found not adequate for use by hospitals, clinics and health centres and more useful for head office, regional and district offices. A functional file plan was subsequently devised for use by hospitals, clinics and health centres and the current approved file plan adapted for use by the Head Office, regional offices and district offices.

Clean-up of semi-active and inactive records in storage areas

Due to a lack of proper disposal instructions and knowledge of general disposal authorities, thousands of old patient files as well as valuable registers and administrative records were stored in storerooms exposed to rain, leaking water pipes, pests and dust.

The clean-up process entailed the sorting and listing of the records into their respective categories and the compilation of a disposal schedule to be submitted for a standing disposal authority to the provincial archives. This process is in its final stages. The expectation was to have it finished within a 4-month period within all the institutions. It was decided to contract the services of 76 volunteers already working at the institutions that were employed and trained by AIMS. At each of the institutions a permanent official was designated the responsibility of supervision. An AIMS representative visited all the institutions on a weekly basis to oversee the process and also provided mentoring during this process.

Devising a Records Management policy, registry procedures and establishment of registries

The next phase of the project was the establishment of registries at the 23 identified institutions. This process entailed training of registry officials and workshops were conducted and attended by more than 60 registry officials. During this phase a records management policy and procedures were developed. It is envisaged that during April 2004, adequate storage and registry areas will be established.

Conclusion

This has been a challenging and enlightening project as it entailed extensive travelling from various cities to various rural areas in North West Province. The project has received tremendous support from managers within DOH and has had enthusiastic participation from the 76 contract workers and their 23 supervisors.

For more details on the project contact AIMS at aims@wol.co.za.

Ilma Brink
AIMS specialist
www.aims-access.co.za

Additional information

Association for Health Information and Libraries in Africa

<http://www.ahila.org/index.html>

Department of Health, North West Provincial Government

<http://www.nwpg.org.za/Health/>

Health Informatics in Africa <http://www.helina.org/helina/default.asp>

National Archives of South Africa – Records Management services to Governmental bodies http://www.national.archives.gov.za/rms/rec_man_ser.htm

World Health Organization: Regional Office for Africa <http://www.afro.who.int/>

Domesticating ISO 15489 AND ISAD (G) at the Kenya National Archives and Documentation Service [KNA & DS]

In our last senior staff seminar held in May 2002, the pros and cons of the ISO 15489 and ICA ISAD (G) standards were exhaustively discussed. At the end of the seminar the participants resolved to delegate the task of preparing a draft proposal to the Records Management Committee. The chairman of the Committee, Mr. Koo Ombati, compiled the draft standards were presented at the meeting of the Provincial Archivists and the heads of division held from 27 to 28 October 2003. The meeting recommended for the implementation of the draft standards, but after a pilot project has been conducted in a few selected offices. Such a project is already under-going at the Ministry of Planning and National Development. Starting from June 2004, the Provincial Archivists will carry out similar tests at a few offices of their choice.

The KNA & DS Records and Archives Standard is in two parts. Part I deals with records management, while part II deals with archives management.

Part I – Records Management

This part visualizes the state of records management service in the public service to 2018. This is a 15-year vision plan. In realizing this plan steps stones to it have been proposed, which will be subjected to review every 5 years.

Records surveys and appraisal have been streamlined and procedural steps standardized. The actual implementation of the records programmes have been a prioritised and presented in a matrix format.

Records and appraisal is a major component of the KNA & DS records management service, but it has been handled rather unsystematically previously. In the new standard the procedures have been logically arranged and itemized for ease of reference

One of the most significant provisions of the KNA & DS standard is the approach to implementing the records surveys and appraisal. The records management activities have been prioritised and presented in a matrix. This marks the beginning of the shift from equitable approach to macro-survey/appraisal approach. Until then all offices received equal attention regardless of their status and importance in the government organizational set-up.

Economic utilization of resources, especially finances, has been given attention in

this standard. This is in realization of the dwindling resources, both in terms of finances and professional capacity. Prudent use of resources is emphasized by advising implementing offices to plan their activities carefully and realistically to avoid unnecessary wastages.

Additionally, the terms of reference for records centres have been clearly spelt out and standardized. This move is expected to facilitate monitoring and auditing of records centres activities as well as assist in comparison measuring work performance of the records centres. Closely related to above, is the inclusion of work performance criteria. This is an aspect, which has been used to audit professional services rather discretely, but it has now been embedded in all our daily activities.

Part II – ICA ISAD (G) [International Standard for Archival Description]

The KNA & DS had laid a solid foundation for archives description practices. The adoption of the ISAD (G) is likely to enhance the KNA & DS archives description programmes. In addition to the provisions contained in the ICA ISAD (G) standard, the KNA & DS has included procedural steps in implementing the standard.

In conclusion, the KNA & DS standard is not a substitute to either of the international standards, but rather a tool to facilitate their adoption in Kenya.

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Kenya National Archives and Documentation Service
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Additional Information

International Council on Archives <http://www.ica.org>
International Organization for Standardization (ISO) <http://www.iso.ch>
ISAD (G) General International Standard for Archival Description 2nd ed. (1999)
<http://www.ica.org/biblio.php?pbodycode=CDS&ppubtype=pub&plangue=eng>
Kenya National Archives & Documentation Service <http://www.kenyarchives.go.ke>
International Organization for Standardization Technical committee for ISO 15489
<http://www.iso.ch/iso/en/stdsdevelopment/tc/tclist/TechnicalCommitteeDetailPage.TechnicalCommitteeDetail?COMMID=4718>

Archival Software Requirements Clearinghouse

The following is being sent on behalf of Olafur Asgeirsson, Chair of the International Council of Archives Committee on Information Technology. Please distribute it widely

The ICA Committee on Information Technology (ICA/CIT) is compiling a clearinghouse of technical and functional requirements documents relating to archival management software. The goal is to provide model documents that other archives can use in the selection and development of archival software. We envision that this clearinghouse will be posted on the ICA web site, and will serve as a companion to the publication "Market Survey of Commercially Available Off-the-Shelf

Archival Management Software (ICA Study 12)" available at <http://www.ica.org/biblio.php?pdoid=18>.

If you or your organization is willing to share requirements documents, please email the documents to Debra Wall at debra.wall@nara.gov. Please include contact information (and whether or not we can make that information available on the website), and any necessary background information about the documents (such as the type of project the requirements relate to). Thank you for your help.

Olafur ASGEIRSSON - Chair of the ICA Committee on Information Technology
National Archives of Iceland
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Telephone: 354 56 239 93 - Fax: 354 55 257 20

Knowledge Tree: a new "open source" electronic document management system.

A company in Cape Town (South Africa), Jam Warehouse <http://www.jamwarehouse.com>, has released **Knowledge Tree**, an open source document management system. According to the Jam Warehouse, "the product provides a content repository, workflow and routing of content, content publication and content metrics definition and analysis." The product was originally developed for the South African Medical Research Council; therefore it "has all the code quality, functionality and architectural rigour that you would expect of a top-of-the-range enterprise application." Since the product is offered under Open Source arrangement, it can be downloaded free of charge from Jam Warehouse's website.

While some organizations choose to implement it on their own, others recognize that a little help from people who designed it can make for "faster implementation, neater customisation, and more convenient maintenance." For these value-added services, Jam Warehouse will charge.

The author is currently reviewing the system against relevant ISO standards and other records management guidelines from various national archival institutions. However, initial examination reveals a very versatile and user-friendly product with a lot of potential in assisting organizations manage their electronic documents and records.

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Additional information

Free Software and Open Source Foundation for Africa <http://fossfa.net/tiki-index.php>
Global Open Source Initiative <http://www.opensource.org/>
Knowledge Tree from Jam Warehouse <http://www.jamwarehouse.com/products.asp>
Open Source news in Africa <http://www.tectonic.co.za/>
South African Medical Research Council <http://www.mrc.ac.za/>

Authenticity of Electronic Records: A Report by ICA to UNESCO (ICA Study 13-1)

To enable wider access to the current thinking and recommendations for future studies and projects concerning electronic records of the International Council on Archives (ICA), it has been decided to make this report available as an ICA Study. The report is the work of the ICA Committee on Archival Legal Matters. It identifies the issues that archivists and records keepers must keep in mind to ensure the authenticity of electronic records, and formulate recommendations for further studies and concrete projects in this matter with a view to establishing legal and technical procedures for ensuring the legal evidence of electronic documents in the case of migration of these materials---and in the case of transfer to archival institutions.

Author(s): Claes Granstrom, Torbjorn Hornfeldt, Gary M. Peterson, Maria Pia Rinaldi Mariani, Udo Schafer, Josef Zwicker.

Subject(s): Archival Legal Issues, Electronic Records

Publication: 2002

For more information visit <http://www.ica.org/biblio.php?pdocid=92>

Authenticity of Electronic Records: A Report Prepared for UNESCO and the International Council on Archives (ICA Study 13-2)

The report, prepared for UNESCO and the International Council on Archives (ICA) by Laura Millar representing the International Records Management Trust, extends the analysis and recommendations of the 2002 ICA report to UNESCO on authenticity of electronic records, especially with regard to developing countries. To enable wider access to its findings, ICA has decided to publish this report as an ICA Study. The central question addressed by this report is: what measures are necessary for records and archives professionals, especially in developing countries, to ensure the authenticity of electronic records and so ensure the preservation of, and continued access to, society's documentary memory?

Author(s): Laura Millar

Subject(s): Electronic Records, Archival Legal Issues, Government Archives

Publication: 2004

For more information visit <http://www.ica.org/biblio.php?pdocid=127>