

<p><b>GOVIS and EDRMS INTEREST GROUP</b>  <b>Forum on MULTI-AGENCY RECORDS</b>  <b>22 January 2009</b></p>
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**AGENDA**

1. Welcome and introductions	Ros Coote, GOVIS
2. Brief outline of topic	John Roberts, Archives NZ
3. Examples from public agencies	Maureen Macnamara, Archives NZ Fiona Staples, Department of Internal Affairs
4. Discussion and report back	Facilitated by Douglas Wilson, Inland Revenue Department

**DISCUSSION POINTS - SUMMARY**

1. What do you think the challenges are for records managers dealing with multi-agency records?
2. How do you think these records should be managed? What needs to be in place?
3. Has your agency had experience with multi-agency records? What has/hasn't worked?
4. Should there be a single method/process across government for dealing with multi-agency records or should it be adaptable depending on the situation? Consider the pros and cons.
5. What support do records managers need from IT? And vice versa?

**DISCUSSION POINTS – FEEDBACK**

- 1. What do you think the challenges are for records managers dealing with multi-agency records?**

Table 1:

- Accessibility.
- Notification before records are required to be shared so recordkeeping issues/procedures can be discussed and thought about prior to sharing.
- Issues: integrity; version control; security and permissions; compatibility of systems; resourcing (cost of transfer, people).
- Training.
- Monitoring of records.

- Legislative compliance issues.

Table 2:

- Is there a multi-agency approach?
- Often records management staff are handed a solution developed by a project.
- Staff working in several agencies – how can access different / their home systems.
- Management of shared workspaces – making sure records still accessible.
- Challenges of technology – EDRMS, team rooms, wikis – what is where.

Table 3:

- Different kinds of multi-agency records:
  - New stand alone body eg. Commission of Inquiry.
  - Where function transfers between agencies.
  - Agencies collaborating on project – lead agency responsible – but not always true.
- Ownership.
- Different metadata, classification schemes, systems, human approaches/ideaology.
- Need for training.
- Multiplicity of systems available.
- Collaborative formats – blogs, wikis.
- Legislative compliance vs what people will do.
- Different security requirements.

Table 4:

- Different evolution phases each agency is at.
- Accountability.
- Short term/narrow view when projects are set up.
- ‘Clean’ metadata.
- Money.
- Senior management buy-in.
- Special technology for special needs people transferring – speech recognition software.

Table 5:

- Interoperability.
- Lead in time, why do they (managers/IT) think its simple?
- Project planning.
- Lack awareness of impact.
- Perception that records managers are a risk to “knowing” at the early stages of planning for transfers.
- Early warning/alert.\

Table 6:

- Challenge for users re: the history of the record – especially if goes through several agencies. How to track down...
- Being involved early enough in the transfer eg. At the MOU stage – ensure records involvement is recognised, responsibilities.
- Status of lead agency has to be recognised.
- Challenges of IT – getting a platform that works eg. GUEDO – huge problems with shared workspace – failed – trying again – but need information management input.
- Government security classification – challenges in electronic environment eg. Access to Secret and Top Secret on encrypted, standalone PCs – cannot share.
- Government agencies work also with private companies – more challenges.

Table 7:

- How can we move towards a joined up future in order to avoid the above question?
- Record keeping principles are not so much about 'joined'.
- How can we best make decisions about technology that a department is considering but that might potentially help other departments achieve their outcomes?
- Not so much about procurement – more about shared understanding and standards – can target and tailor but there is a certain set of products.
- The standards are what are important.
- Basic need for upskilling in the first place – computer/technology/record keeping literacy.
- Suggest records keeping competency – define 'what's in it for me?'
- For short term projects need to specify the need to maintain records etc – make upfront, include in contracts if needed.
- Governance of a 'joined up' future – who should lead?
  - SSC and Archives NZ.
  - Government directive – good advice, make it happen, need to make decisions.
- US Department of Defence – record keeping audit – tied to budget.
- What do we want the picture to look like in 10-20 years time? Need to start thinking about this now.

## 2. How do you think these records should be managed? What needs to be in place?

Table 1:

- Have Memorandums of Understanding (some sort of document) in place which answers questions regarding:
  - What should be shared?
  - Who we are sharing with?
  - Sharing under what circumstances?
  - Who disposes of records and how? Are records transferred and disposed of as a group or individually?
  - Ownership rights?

Table 2:

- Crown records vs sector records vs agency.
- Do records need to be transferred – view access through web interface.
- Professional responsibility when being taken over by another agency (who is still to develop/buy a system to manage).
- Copy vs originals.
- Open standards to allow for electronic transfer.
- Originating agency part of metadata standards.
- Federated search.
- External “sites” in a secure environment eg. Hummingbird, FileNet.

Table 3:

- Centralise record-keeping across government:
  - Systems.
  - All of government EDRMS.
- Government taxonomy:
  - Limiting levels?
- Automisation of profiling.
- Governance documents eg. Terms of Reference, strategic plan:
  - Thinking/decisions at beginning.
  - Assigning responsibility.
- Departments to draw on each others experiences.
- One repository – accessibility.
- Strong working relationships within various agencies.
- Memoranda of understanding.
- Paradigm, value of information, behaviours change.
- Managing of open source information.

Table 4:

- Consider who has best experience/systems rather than just using lead agency systems.
- Shared repository/service (digital continuity).
- Strong relationships between agencies records managers, IT managers before transfers (networking).

Table 5:

- Recordkeeping practices differ.
- Standard metadata.
- Shared workspace – change practice at set up.
- Leadership – new technologies, the practical stuff.

Table 6:

- Information assets – value of – needs to be recognised.
- Need to be involved early on in multiagency collaborative work environments.
- Governance arrangements in place for records management (MOU, TOR).
- Consistent metadata – id core metadata that could be used across agencies eg. Author, date, agency, title, owners (refer metadata standard).
- Mitigation/exit strategy in place should lead agency change/responsibilities transfer.
- Guidelines/checklist for agencies to follow for transfers (and internal checklists so that RM is notified early on) ie. Avoid the 3 days notice scenario.
- Needs to be thought given to interoperability between EDRMSs across government.

### **3. Has your agency had experience with multi-agency records? What has/hasn't worked?**

Table 1:

- Sharing of records before consulting records team especially in regard to access/security.
- Transferring records/disposal of it without considering ownership rights.

Table 3:

- Need to have decent lead time to make things work.
- Understanding the goal – all working towards it.
- Need champion/project leader.
- What the customer needs to know in 50 years time.

Table 5:

- Treasury.
- Statistics and IRD (structured data).

Table 6:

- Geographic separation – hard enough managing hard copy records in Auckland of own agency, when records team is in Wellington.
- Onsite staff levels not sufficient to support multi-located teams.
- Ration of records staff to users to provide expertise.
- Difficulties getting basic systems working in GUEDO – let alone sharing/managing electronic records. Importance of collaboration between IT/RM.
- Access issues re: licenses.
- Ownership/intellectual property of data – inhibits information sharing.

**4. Should there be a single method/process across government for dealing with multi-agency records or should it be adaptable depending on the situation? Consider the pros and cons.**

Table 1:

- No – there could be a policy guideline for best practice.

Table 3:

- Single methodology needs to be adaptable.
  - That created by Archives NZ currently.
  - Focus group.

Table 4:

- Best practice guide would be useful.
- Experienced agencies provide some assistance developing.
- Refer to metadata standard.
- Digital continuity strategy/shared repository.
- Sign-off process / suite of templates.

Table 5:

- Bit of both.
- Horses for courses.
- Governance critical – sorted before action.

Table 6:

- Single – high level principles.
- Processes should/have to be adaptable.
- However, KISS principle may be in conflict with overall aim to ensure ease of transfer.

## 5. What support do records managers need from IT? And vice versa?

Table 1:

- Co-operation from IT team.

Table 2:

- Speed of links between offices/overseas.
- Security.
- Export/import migration issues.
- Basic understanding of records management (eg. Creating wikis) that they are creating records.
- An Email archive is not EDRMS – involve records managers (and their knowledge of what systems do what).

Table 3:

- Good relationship between IT and RM.
  - Each have understanding of others' requirements.
- Information about usage of shared drives, mailboxes.
  - Flagging issues.
- IT and RM involvements in projects.
- People with understanding of IT and IM.
  - Translate both sides' requirements.

Table 4:

- Ability to access the records after transfer.
- Open dialogue with repository owners.

Table 5:

- What about CEOs!!