Draft Assessment Tool

Open Government and Trustworthy Records

Benchmarking Institutional/ Regulatory Framework and Capacity

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Initial Steps

Institutional/ Regulatory Framework

Recommendation	*Means of Verification*
1. A records authority (a national records/ archives body or state/ local body with equivalent authority) is empowered to advise government on policy, set standards and define quality controls for the management of public records in all formats.	Records/ archives legislation; published mandate and policy statements
2. The records authority is positioned to fulfil its mandate across all areas and functions of the public sector.	Records authority mandate
3. The government encourages a culture of data accuracy and citizen access to information based on reliable and complete source records created and held in compliance with law, regulations and standards.	Government policy statements and programmes
4. The government recognises the interdependency of records/ information management and open data and Access to Information (ATI). There is on-going dialogue between the records authority and the open government/ ATI and ICT/ e-Government authorities regarding government information initiatives.	Government policy statements and programmes; records of meetings between the records authority and the open government/ ATI and ICT/ e-Government authorities

5. A government-wide records management policy (or equivalent code of practice) assigns accountability and defines relationships between the records authority and the bodies responsible for open government/ ATI and ICT/ e-Government; there is a timeline for implementing and periodically reviewing the records management policy.	Government policy and programme statements and implementation timelines
6. The records authority takes a lead role in government in ensuring that records are available to provide complete and reliable information to the public and in developing records management standards; it cooperates with open government/ ATI authorities in advising government organisations on how access to records can be enhanced and in what conditions legitimate access controls can be put into place without jeopardising the overall goals of open government and ATI.	Records authority .programmes, published statements and audit reports; government policy statements
7. The records authority works with ATI and open government authorities to identify ways of enhancing access, for example, by eliminating or reducing the impact of the statutory closed access period for public records.	Records of meetings between the records authority and the ATI and open government authorities; published joint statements and guidance
8. The ATI Act, records and archives legislation and other legislation relating to the release of government information are aligned.	ATI Act, records and archives legislation, and any other legislation relating to the release of information
9. If not already brought into force, there is a timeline for implementing the ATI Act; the records authority is directly involved in implementation activities, for example, in training and drawing up standards.	Government policy statements and programmes; records authority programmes and published statements
10. The records authority has adopted a records management standard, such as ISO 15489, and a standard for records management functionality in ICT systems, such as ICA-Req.	Records authority published statements; records management policy

11. The records authority has a timeline for producing and updating standards and guidelines for the management of all main classes of public records, paper and digital.	Records authority published reports and corporate plans
12. The records authority has a timeline for producing and updating retention and disposition schedules for all classes of public records, paper and digital.	Records authority published statements and corporate plans; records management policy
13. The records authority has implemented an inspection programme for records management in public bodies; it carries out regular inspections and can demonstrate a capacity to enforce compliance with records management policies and standards (e.g. disposition rules)	Inspection reports and records of follow up action
14. The ATI Act provides access to public records and overrides pre-existing access restrictions, such as a statutory period of closed access. This requirement is publicised.	ATI legislation and published statements

Capacity

Recommendation	*Means of Verification*
1. The records authority has a public sector-wide training and awareness-raising programme in records management as a core business function.	Records authority training materials
2. The records authority provides, as a core business function, a public sector-wide training programme for all staff involved in creating and keeping public sector records.	Records authority training materials
3. The records authority provides, as a core business function, a programme for enhancing senior government officials' awareness of the fundamental significance of records management across the public sector and of their responsibilities for safeguarding records as a public asset.	Records authority training materials
4. Universities or other in-country educational institutions offer diploma and post-graduate	Prospectuses and course

courses in records and archives management with at least a foundation in digital records management and the relationship of records management to open data/ ATI and ICT/e-Government.	descriptions
5. At least 50% of the records authority staff in professional grades have completed post-graduate courses in records and archives management courses.	Certificates of academic awards
6. Each public body supports a dedicated records and information management unit that has the mandate to provide advice on the life cycle management of records (digital and paper), issue standards and practices, and measure compliance.	Organisational structures; training materials; meeting with records management units
7. There is a training programme for staff of records and information management units on records management good practice.	Records authority's or government agencies' training materials
8. Staff of the records authority and of the records and information management units are familiar with and have experience in using a wide variety of computer-based systems (e.g. networked applications, business systems, office systems) and systems and technologies that are dedicated to managing the integrity and trustworthiness of records throughout their life cycle:	Observation of staff access to systems for managing digital records and business systems; CVs
9. The records authority provides training and guidance to public bodies on assessing records and information assets for disclosure and on preparing and updating information statements for ATI (the categories of records and information publicly accessible).	Records authority training and guidance materials

More Substantial Steps

Institutional/ Regulatory Framework

Recommendation	*Means of Verification*
1. Planning for new or modified information systems incorporates functionalities for the management of records from creation to disposition; the design of the systems ensures that records created or received as part of the systems' business processes are complete, accurate, and accessible.	Project management records; system documentation
2. The government, led by the records authority, has adopted a standard for the long-term preservation of records and provides advice to government record-creating agencies on preservation and long-term accessibility issues.	Records authority published statements; records of meetings between records authority and government agencies; Bureau of Standards number
3. The government, led by the records authority, has adopted and issued a digitisation standard that sets out good practices for digitisation in government agencies; the records authority monitors the application of this standard.	Records authority published statements; records authority monitoring records
4. The records authority coordinates a user group for digitisation programmes and priorities	Records of user group meetings
5. Semi- or non-current paper records are transferred regularly to a purpose-designed repository; digital repositories exist or are being planned with facilities for preserving digital records for as long as they are required.	Purpose designed repository for paper records; transfer documentation; Trusted Digital Repository (TDR) or records authority's corporate plans and published statements
6. Integrated records management and business system solutions are in place. Information input into or created by the systems is used to generate national and local datasets relating to, for instance, disease and health care, land allocation, public expenditure, voter registration, schools and educational institutions, justice delivery, prison populations, police services, public sector employment numbers. For example, records documenting the health care of individual	Documentation of systems and datasets

patients are used to derive aggregated statistics about the incidence of diseases.	
7. Classification schemes and controlled vocabularies are used to enable search and retrieval of public records.	Classification schemes and controlled vocabularies
8. The records authority has issued standards and guidelines and retention and disposition schedules for categories of public records that are of greatest interest to the public (e.g. human resource management, patient and health care, land management, financial management, contracts, schools and educational institutions).	Standards and guidelines and retention and disposition schedules
9. Policies are in place to encourage government officials to document and publicise their decisions and activities.	Policies and annual reports of government bodies
10. Government bodies have published formal statements about the categories of records that may be accessed, in compliance with ATI legislation.	Published information statements
11. Heads of records and information management units are responsible for compliance with relevant laws, policies and regulations governing records management; heads of government agencies are answerable for any violation or malpractice.	Description of duties of heads of records management units and their reporting arrangements; records management policy

Capacity

Recommendation	*Means of Verification*
1. Universities or other in-country educational institutions offer diploma and post-graduate courses in records and archives management; these courses cover digital records management, the relationship between records and open data/ ATI and e-Government/ ICT, the relationship between records and data, and the management of TDRs and digitisation standards.	Prospectuses and course descriptions

2. Staff of the records authority have experience in resolving complex records issues in a wide variety of computer-based systems (e.g. networked applications, business systems, office systems, etc) and are capable of leading the development of purpose-built systems for the management of digital records.	Interviews with staff; project management records
3. The records authority has a programme for enhancing the awareness of citizens and citizen action groups in the ways in which they can access and exploit the information in records.	Programme documentation and publications; interviews with records authority staff
4. Staff of the records authority and records and information management units understand and can articulate the records issues found in a wide variety of computer based systems, e.g. networked applications, business systems and office systems.	Minutes of meetings with ICT staff; project management records
5. Records authority staff have been trained in designing, operating and auditing digital repositories.	Records authority training materials; training attendance records
6. All government staff have been trained in their responsibilities under the ATI Act, especially in relation to managing and providing access to public records.	Training materials and attendance records
7. Dedicated records and information management units in public bodies have direct involvement in ICT/ e-Government and open data/ ATI initiatives.	Project management records
8. Records management training programmes include content on and are integrated with ICT/ e-Government and on open data/ ATI.	Training materials
9. Staff of the records authority and records and information management units have experience in designing and implementing an electronic records management system.	Project management records; interviews with staff

Most Ambitious Steps

Institutional/ Regulatory Framework

Recommendation	*Means of Verification*
1. The records authority has undertaken or led a survey of digital assets across government.	Survey report
2. The government has introduced requirements for TDRs, including policies, strategies and procedures relating to service levels, legal permissions, ingest of digital assets, testing for understandability, preservation, migration and access. Digital and other records repositories containing information of interest to civil society have been identified and steps taken to incorporate relevant access tools. The TDRs are audited regularly for compliance with international standards.	Published policies and statements; audit reports; project management records
3. The government has introduced a well-defined metadata architecture to guide the ongoing submission, ingest and process of providing increasingly sophisticated access to digital records and data and the means by which digital records and data can be exploited for multiple purposes.	Metadata architecture
4. TDRs have been established to ingest digital assets, manage their integrity and accessibility through time, and make them available to a wide range of audiences.	TDR accession statistics; web statistics, internal system reports and TDR policy and procedures.
5. The government has developed means of facilitating citizen access to TDRs, for example through smart phones, particularly in areas where telecommunications infrastructure is limited.	TDR policy and procedures; web statistics; observation of remote access

6. Business systems, either alone or integrated with purpose specific systems for the management of digital records, are compliant with records management requirements (i.e. capable of providing reliable, accurate, verifiable and useable information) and are capable of supporting multiple means for manipulating, packaging and otherwise exploiting the information derived from digital records in support of ATI/ open data. For example, systems are capable of: • capturing and storing transaction records created or received, along with associated metadata • allowing records to be classified in accordance with a classification scheme or rules and information access protocols • allowing records and their metadata to be searchable • rendering or downloading records that have been identified as a result of a search • supporting the controlled disposition of records in accordance with authorised disposition rules • allowing data to be derived from records such that it can be packaged into datasets and other information products for use by citizens.	System documentation for business systems and purpose-built systems for managing digital records
7. The records authority has issued standards and guidelines and retention and disposition schedules for all the main classes of public records (human resource management, patient and health care, land management, financial management, contracts, schools and educational institutions, etc); standards and guidelines are reviewed regularly and updated as needed.	Standards and guidelines, retention and disposition schedules; records authority inspection reports
8. Key categories of public records (e.g. health care, financial, land management, courts, police, immigration) are routinely used to generate datasets and a wide range of other information products (many of which are produced on demand) that are made available to citizens. The data and information products can be trusted because they are derived from trustworthy records repositories.	System documentation for business systems and purpose-built systems for managing digital records; datasets; user group reports

Capacity

Recommendation	*Means of Verification*

1. Government officials at all levels are aware of their responsibilities in creating, managing and using records and follow standards and guidelines in compliance with records, ATI and open data requirements.	Training programmes and materials; interviews with government officials; job descriptions; records management policies (roles and responsibilities).
2. Records authority staff in professional grades have completed postgraduate professional training as a pre-requisite for employment.	Certificates of academic awards
3. Records authority staff are recognised as national experts on the management of records in support of ATI/ open government and as equal partners with open data/ ATI and ICT/ e-Government experts. Records authority staff are actively developing new ways of enabling governments and citizens alike to maximise the value of the information held in records through time.	Project management records; government and records authority published statements; reporting/workflow charts
4. Records authority staff and staff of records and information management units are well equipped to lead a design and implementation team for a new or enhanced electronic document/ records management system or integrated business system. System design and implementation includes functionality to enable the information to be made available to and exploited by the public in compliance with ATI/ open data requirements.	Project management records; observation of systems; reporting/workflow charts
5. Records authority staff and staff of the records and information management units are well equipped to take a leading role in implementing new or enhanced business systems, especially in relation to data management and open government aspects and particularly where the information in the records is expected to be available to or exploited by the public. For example, a new HR management system must have the necessary functionality to derive or provide access to information that should be made publicly available while at that same time ensuring that confidential information about individuals is safeguarded against disclosure.	Project management records; reporting/workflow charts; interviews with staff