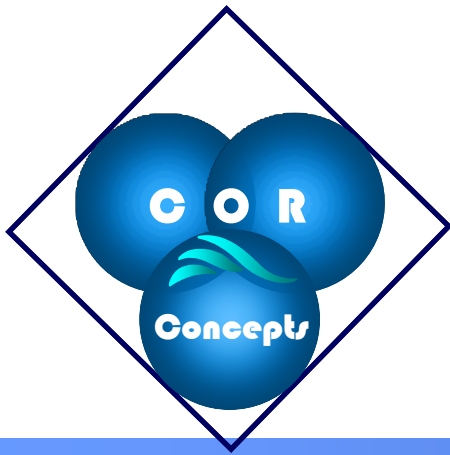
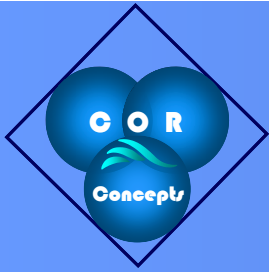




Can records management improve governance in Government?

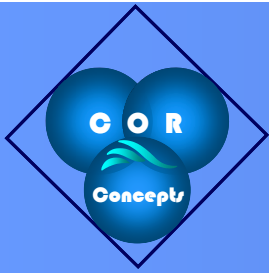
South African Records Management Forum - AGM November 2009

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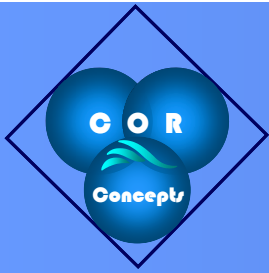
Agenda

- **Defining Governance**
- **Can it?**
- **Should it?**
- **Does it?**
- **Will it?**
- **Challenges?**



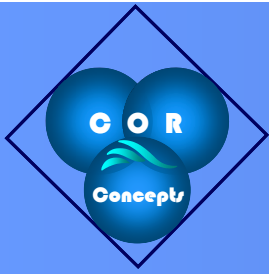
Defining Governance

- Corporate governance mainly involves the establishment of structures and processes, with appropriate checks and balances that enable directors to discharge their legal responsibilities.
 1. *Understand legal responsibilities*
 2. *Implement structures and processes*
 3. *With checks and balances*
 4. *Audit , act and refine*



Defining Governance

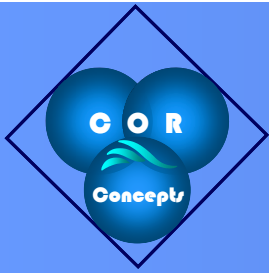
- The governance of corporations in SA is a combination of statute and as a code of practice:
 - PFMA - *Statutory*
 - Batho Pele – *Code of practice*
 - King III – *Apply or explain*
- The ultimate compliance officer is not the company's compliance officer or a bureaucrat ensuring compliance with statutory provisions, but the marketplace.



Can it?

- Can records management improve governance in government?
- Yes, but.....

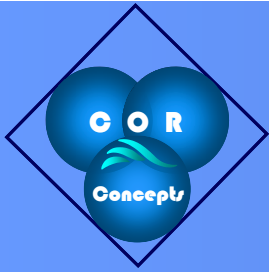




The role of Records Management

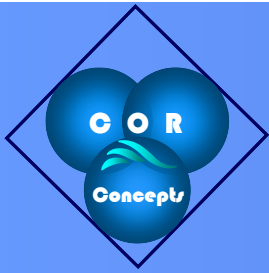
- Records management governs the practice both of records managers and of any person who creates or uses records in the course of their business activities





The role of Records Management

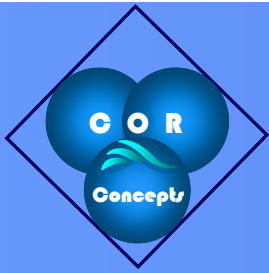
- Sound records management is fundamental for good governance and effective and efficient administration. It forms the basis for formulating policy, managing resources and delivering services to the public.
- Records management also provides a basis for accountability and protecting the rights of individuals.



Can it?

Yes, but.....

- Are all records managed?
- On all media and all systems?
- In all locations?
- To the same degree of care?
- Are the policies in place?
- Are they monitored?
- And enforced?

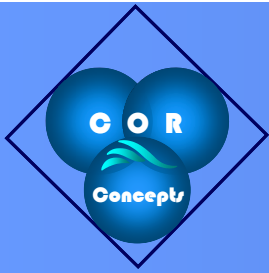


Can it?

Yes, but.....

- Do processes enforce automatic capture of records.
 - Accurately
 - Completely
 - At the most appropriate time (up front)

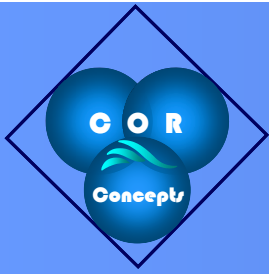
What opportunities do our clever users have to invent creative ways to bypass the systems?



Can it?

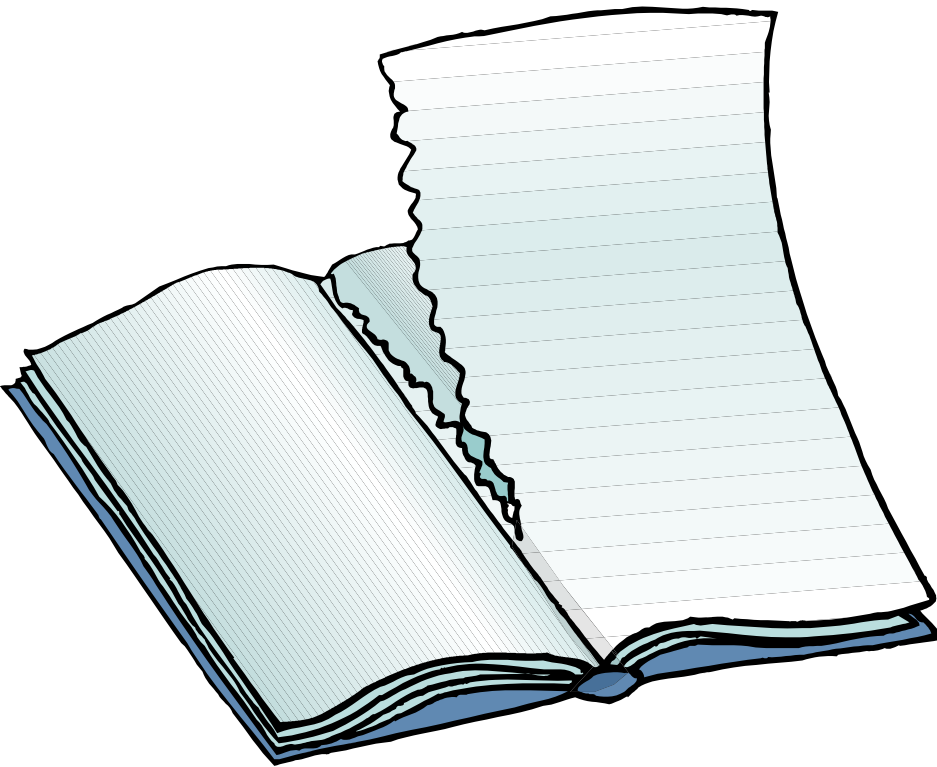
Yes, but.....

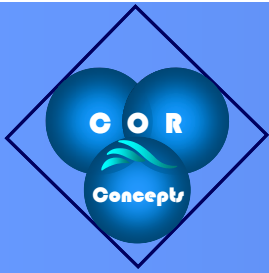
- **Governance is a big word**
 - What does it mean in your organisation?
 - What regulatory framework needs to be complied with?
 - Good corporate governance is good business practice
 - Records management can only record those practices you adopt
 - It can assist in supporting those practices you wish to adopt and enforce



Should it?

- The ethics debate
- The role of records management

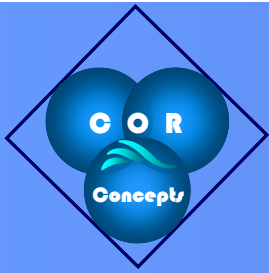




The ethics dilemma

- How do you refuse access to a record to the CEO?
 - When they shouldn't be allowed access
 - When your job depends on it

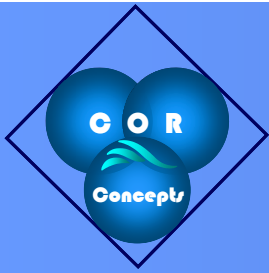
Records management records the mindset of the organisation, played out in daily activities



The role of records management

- Is a corporate responsibility, not just of the RM department
- Should be assigned at all levels
- To all staff exposed to records
- Performed correctly,
 - Every record is thus governed correctly
 - Opportunities for fraud, corruption are reduced

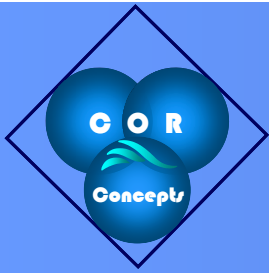
The Records Manager is not the ethics committee



Does it?

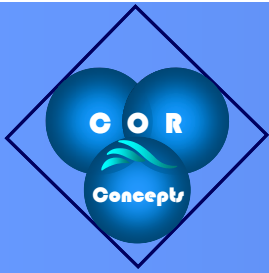
- Yes, I believe it does improve governance in Government.
- The extent to which it does, depends on your commitment to proper records management
- Is records management truly aligned to the strategic direction of the organisation?

Is Records Management a toy for the Records Management team, or a tool for the whole organisation?



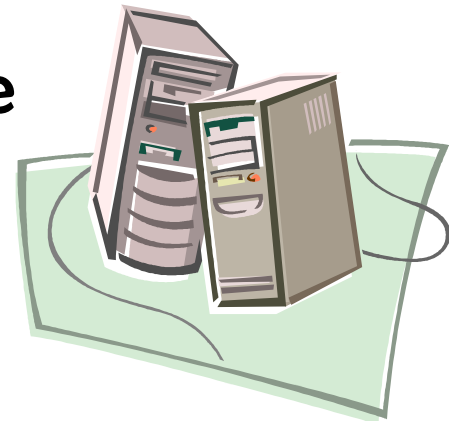
Does it?

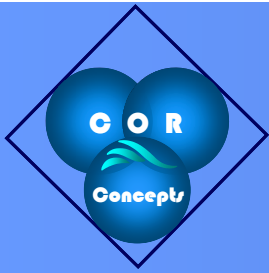
- Are staff trained adequately?
- Are executives trained adequately?
- Do corporate instruments such as Key Performance Indicators (KPIs) and bonuses support or conflict with records management?
- Does Records Management support Legal, Evidence, Risk, Operational objectives?



Will it?

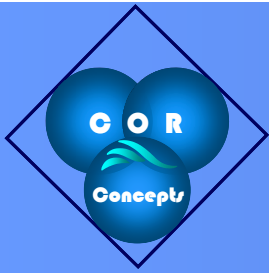
- As new technologies arrive, will it still assist?
- Or will it be the cause of further challenges?
- There will always be a lag
 - Many organisations still debate how to handle e-mail as a records
 - Instant messaging still poses problems
 - Collaboration tools compound the issue
 - Tomorrow's technology makes it worse





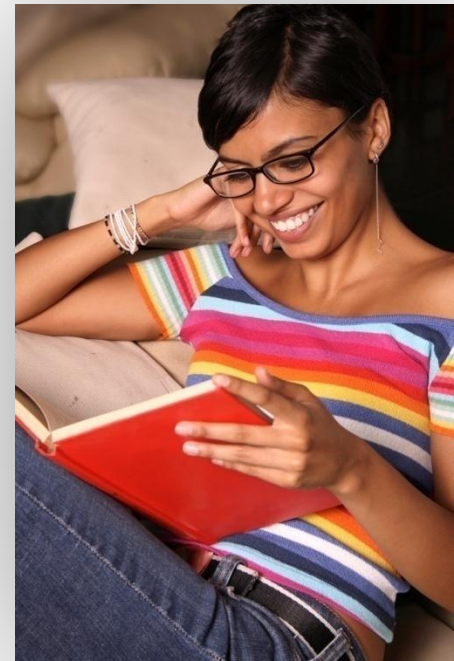
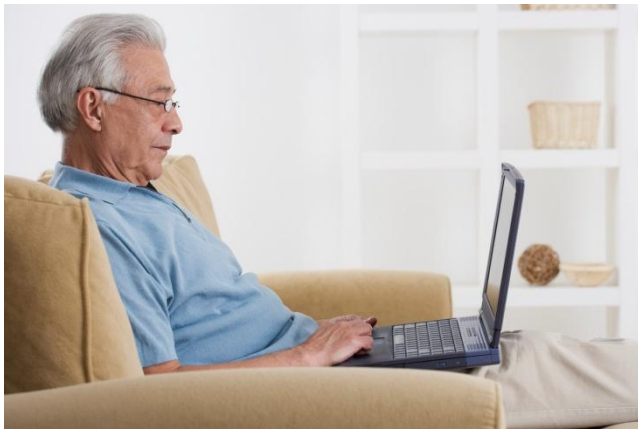
Will it?

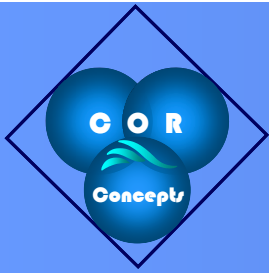
- As your executive team or Minister changes, will the commitment change?
- In the global recession, will funding and commitment to resources change?
- Will the records management team become more or less important in your organisation?
- Will IT become stronger or weaker relative to the Records Management unit?
- Will you become partners with IT?



Challenges

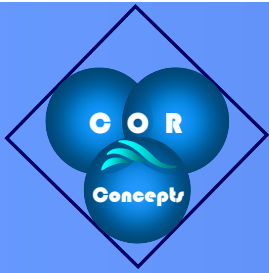
- Education levels and content
 - Disparity and spread of education
 - Senior management knowledge
 - Too much knowledge (of the system weaknesses)
 - “Old” v “new” knowledge
 - Technology v traditional methods





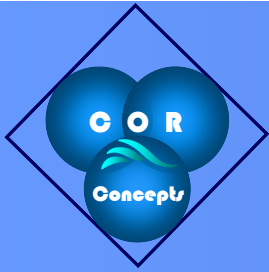
Challenges

- Weak or missing structures
- Un-enforced or absent disciplines and policies
- Monitoring and enforcing
 - Tools
 - Resources
 - Willingness to rectify



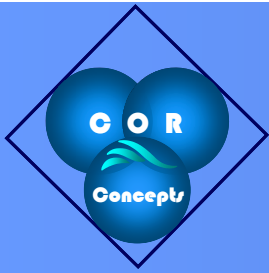
Challenges

- **Allocation of resources**
 - Funding
 - Staff
 - Appropriate systems and facilities
 - Low level of perceived importance or risk, hence low level of resources
- **Commitment**
 - Senior management
 - Divisional units
 - Records managers



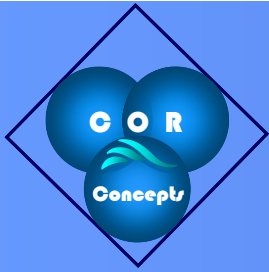
Technology and opportunities

- The great enabler.
- The rush to “go electronic”
- Constant introduction of new types of systems
 - E-mail
 - Instant Messaging
 - Voice and video
- The process lag.



Technology and opportunities

- **To truly improve governance**
 - Records Management has to move out of the back room
 - And has to work closely with IT
 - Has to have senior level impact, awareness and commitment
 - Must deliver value too
 - Cannot be seen as a corporate overhead
 - Must be a deeply entrenched part of the corporate culture



Questions?



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