



United Nations Economic Commission for Africa (UNECA)

Archives and Records Management (ARM) Project Concept Note

I. CONTEXT

A. Rationale

Archives and Records Management Project (ARM) was established to enable ECA to comply with UN records and achieves management requirements and ensuring smooth implementation of her mandate. The project was heralded by a baseline survey carried out in 2004 and started its implementation in August, 2011 to address the following problems: -

- Records dump in offices and stores in basement of ECA buildings dating back to when the commission was established.
- Non-existence of a correct and effective filing system as well as procedures for systematic and structured way of retiring records to archives.
- Retrieval of accurate and complete records in a timely manner and particularly records related to semi-active and inactive records.
- Negative review of the commission by successive audit mission on issues related to records and archives management. It has been difficulty to retrieve and make available key records required for audit purposes.
- Records management which only focus on the physical storage of inactive records rather than active management of records and information from point of creation to ultimate disposition.
- Nonexistence of a systematic training program (sessions) on the archives and records management best practices for the staff creating, using and managing records.

B. Project Scope: The project aims at addressing archives and records management issues in all section, units and divisions and sub-regional offices (SROs). The project will however start being implemented in the division of administration and later lessons learnt and best practices will be rolled out in the substantive divisions and in the SROs.

II. THE PROJECT

Short Term Plans

Project Summary	Statement of intervention logic
A. Goal	Institutional framework that promotes proper preservation and disposal of ECA administrative records in all formats.
Objective and Targets	
Objective 1:	
To identify, appraise, archived and disposed ECA administrative records by February, 2013	
Activities	<ul style="list-style-type: none"> 1.1 Carrying of ECA – wide inventory of administrative (obsolete, semi-current, and active) records by February 2012 1.2 Implementation of retention schedules (records appraisal) in the division of administration by December 2012. 1.3 Reviewing, approving and disposing (in phases) identified obsolete records, by December 2012. 1.4 Processing indentified semi-current records for proper storage and easily retrieval in the identified locations by January, 2013 1.5 Processing and store archival records by February, 2013
Objective 2:	
To establish and endorse an institutional framework including policies and guidelines and operational procedures that promotes proper development, management, preservation and disposal of ECA’s administrative records in all formats by December 2012	
Activities	<ul style="list-style-type: none"> 2.1 Records and archival policy developed and endorsed by May 2012 2.2 Development /adoption and endorsement of records retention and disposal schedules for records within the DoA by May 2012 2.3 Development and approval of records and archives management standards and procedures manuals including records control tools by December 2012 2.4 Development of information security and sensitivity policy by December, 2012
Objective 3:	
To establish archives and records management operational structure	
Activities	<ul style="list-style-type: none"> 3.1 To define duties and responsibilities related to archives and records management function by June 2012 3.2 To develop and endorse an archives and records management structure by July, 2012

Medium Term Plans

Project Summary	Statement of intervention logic
B. Goal	Quality recordkeeping and records management program for ECA is developed and implemented.
Objective and Targets Objective 4: To develop a comprehensive Records Management Program by December, 2012	
Activities	<p>4.1 <i>Development and endorsement of Archives and records management road map (Strategic Plan) by June 2012</i></p> <p>4.2 <i>Carrying out of function analysis and workflows for section and units under the DoA by April 2012</i></p> <p>4.3 <i>Development and endorsement of a comprehensive file plan (classification scheme) for records within the DoA by July, 2012</i></p>
Objective 5: Electronic record-keeping system established by December, 2012	
Activities	<p>5.1 <i>Identification and procurement of archives and records management software by April 2012</i></p> <p>5.2 <i>Installation, configuration, and customization of ARM software according to the TORs by May 2012.</i></p> <p>5.3 <i>Testing ARMS software using sample of records dataset by May 2012.</i></p> <p>5.4 <i>Training on ARMS software for administrative group and end users by May 2012</i></p> <p>5.5 <i>Development/identification and customization metadata formats (function – based thesaurus) and other classification standards for the recordkeeping software by June 2012.</i></p> <p>5.6 <i>Carrying out HP-TRIM post configurations by August 2012</i></p> <p>5.7 <i>Installation of file classification file into TRIM and meta data for semi-active and active records is accomplished by August,2012</i></p> <p>5.8 <i>Capturing of semi-current records (physical) into TRIM software by December 2012.</i></p>
Objective 6: Records and archives management system implemented in the sections and units in the division of administration by March, 2014	
Activities	<p>6.1 <i>System implementation timetable developed and endorsed by January 2013</i></p> <p>6.2 <i>Policy and guidelines distributed to staff by January 2013</i></p> <p>6.3 <i>File plan for both paper and electronic records is installed on sectional basis by March 2014</i></p> <p>6.4 <i>Records management training program developed and implemented on sectional basis by March 2014</i></p> <p>6.5 <i>Records control tools institutionalized and applied by March 2014</i></p>

	6.6 <i>Electronic records management system implemented by March 2014</i> <i>Records transfer procedures implemented by December, 2013</i>
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Long Term Plans

Project Summary	Statement of intervention logic
Objective and Targets	
Objective 7:	
Records and Archives Management Unit established by March, 2014	
Activities	7.1 <i>Records Management Unit (RMU) is equipped by human resources and equipment by January 2014</i> 7.2 <i>Placement of archives and records management functions within the ECA organization structure is discussed and agreed by April 2013</i> 7.3 <i>Records center and archival facility identified and equipped with required facilities by September, 2014</i>

8 THE WORK PLAN



This concept note presents a summary of the implementation status of the of the ECA archives and records management project to date. The note shows the accomplished tasks, ongoing tasks and the planned tasks to be implemented to December 2012. The note does not include activities past December 2012. Please refer draft strategic plan for the project activity details past December 2012.

The purpose of this submission is to highlight priority tasks and request for further funding because contracts for the project staff is ending May and July 2012, and the project has still many unaccomplished tasks.

1.0 Summary of the accomplished project activities

- Records Inventory was accomplished in all sections and units under the DoA
- Development of Archives and Records management policy. The policy has been reviewed by ARMS UN headquarters and ready for endorsement.
- Development of ARM implementation road map (strategic plan). The plan is to be reviewed and endorsed.
- Function analysis for all sections/unit under DoA
- Development of records retentions schedules. The schedules were reviewed and endorsed by the sections. The schedules for Budget Unit and ODoA are ready for review and endorsement.
- Records appraisal - The task has been accomplished in FMS, GSS, and PCMS.
- Development of draft file plan
- Installation and configuration of HP- TRIM (archives and Records management software application)

- Training of administrative group and end users on TRIM application

2.0 Ongoing project Activities

- Records appraisal in the HRSS and UNHCC
- Review of draft file plan with sections and fine-tuning the plan to accommodate the recommendations.
- Post configuration of TRIM mirroring the file plan including records metadata

3.0 Planned Upcoming project activities and time frame to December 2012

Table 1.

SN	ACTIVITIES	TIME FRAME
1.	Review and endorsement of ARM policy, Strategic plan and Retention schedules by the management	May, 2012
2.	Placement of Archives and records management functions in the ECA structure (<i>Facilities and manpower?</i>)	June, 2012
3.	Records appraisal – ODoA, Budget Unit, Finance Section and Old records dating 1950's and 1960's located in the library basement	September, 2012
4.	Sections/unit review, approval, and disposal (in phases) of the identified obsolete records	September, 2012 Phase I May, 2012
5.	Processing indentified semi-current records for proper storage in the identified new locations.	October, 2012
6.	Data entry of semi-current records, approving the excel sheets and importing the data into TRIM for easy search and retrieval	October, 2012
7.	Installation of TRIM into clients' computers to all sections and units under DoA	August, 2012
8.	Basic training for sections and units on how to search for semi-current records in TRIM using guest account	October, 2012
	Preparation of archival records for interim storage	December, 2012
9.	Development and approval of Records and archives management standards and procedures manuals including records control tools.	November, 2012
8.	Implementation of file plan (for paper and electronic records TRIM in the ODoA	December, 2012 (<i>ambitious?</i>)

SO2: Electronic record-keeping system established by December 2012

Planned Activities and Targets

3.1 Records Management software identified and procured by April 2012

- 3.2 ARM software is installed, configured and customized according to the TORs by May 2012.
- 3.3 A test/demo version of archives and records management system using sample of records is developed and demonstrated by May 2012.
- 3.4 Metadata formats (function – based thesaurus) and other classification standards for the recordkeeping software are identified and customized by June 2012.
- 3.5 Installation of new file classification scheme into TRIM and meta data for semi-active and active records is accomplished by September,2012

Long Term Objectives (2014-)

SO4: Records and archives management system implemented within sections and units under the division of administration by March 2014

Planned Activities and Targets

- 5.1 System implementation timetable developed and endorsed by January 2013
- 5.2 Policy and guidelines distributed to staff by January 2013
- 5.3 File plan for both paper and electronic records is installed on sectional basis by March 2014
- 5.4 Records management training program developed and implemented on sectional basis by March 2014
- 5.5 Records control tools institutionalized and applied by March 2014
- 5.6 Electronic records management system implemented by March 2014
- 5.7 Records transfer procedures implemented by December 2013

SO3: Records and Archives Management Unit established by March 2014

Planned Activities and Targets

- 4.1 Placement of archives and records management functions within the ECA organization structure is discussed and agreed by April 2013
- 4.2 Records Management Unit (RMU) is equipped by human resources and equipment by June 2014
- 4.3 Records center and archival facility identified and equipped with required facilities by Sept 2014

4.0 Proposed Budget from June 2012 to Dec 2013 (end of current biennium)

To accomplish the above planned activities, the proposed budget on Table 2 below is presented for consideration. The proposed costs are to cover for human resource and materials.

Table 2

A	STAFF						
N	STAFF MEMBER	GRADE STEP	No of staff	Duration	Contract Duration	AMOUNT \$	AMOUNT \$
1	Consultant	P2/5	1	18	01-07-12 - 31/12/13	5,690.5	102,433.5
2	Local staff	G3	14	18	01-06-2012-31-12-13	544.43	137,196.36
3	Subject Specialist	G4/1	6	16	01-08-2012-31-12-2013	663.49	63695.04
						Sub-total	303,324.9
	MATERIALS						
1	Acid free storage boxes						25,000
2	Record folders						5,000
						Sub-Total	30,000
						Total	333,314.9

Activities to be included into the 2014-15 Budget Submission

Records Management Unit (RMU) is equipped by human resources by March 2014

Structure of proposed Record Management Unit.

