

A Study on Record Management Implementation in Private Sector: Analysis on Competency, Storage and Retention

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Abstract: The main purpose of the study is to show the importance of retention schedule and recordkeeping in the organization processes and performance. Furthermore, it will focus on the efficiency and effectiveness of record management. Besides, it can lead to decision making process. On these day, some private sector do not aware about the importance of record management. There are too much bulky documents at their office. They also do not know the value of the document itself. Therefore, disposal is an important part of records management because when it properly done and it ensures that the organisation retains records for as long as they are needed.

Introduction

Certain documents are retained for much longer periods. Keeping or discarding records is a question to the organization. They do not know whether the records need to be kept or destroyed because there are no suitable guidelines for them. They also do not know the value of the document itself. Therefore, disposal is an important part of records management because when it properly done and it ensures that the organisation retains records for as long as they are needed and then, when they are no longer needed. The study will discuss on keeping or discarding records in private sector that can help their decision on keeping or discarding their documents or records. At this point is necessary to defined about the lifecycle of a records which are creation, capture, storage and maintenance, use and lastly, disposal (Saffady, 1996).

The objectives of this research are:

1. To evaluate the competency of FGVH staff's skill and knowledge in managing records.
2. To analyse the deficiency of records storage facilities can affect business activity.
3. To propose guidelines for records retention schedules and recordkeeping requirements.

At the end of this study, the findings will reveal the importance of retention schedule and recordkeeping in the organizations that can be improved their performance and process.

Literature Review

In this age, people need to aware the importance of records manager's role in the organization. If an organization have a records manager, archivist or document controller in their business, they should change the perception of the records management's view. Johnson and Bowen (2005), Frank (2013) and Wright (2013) pointed out that should improve their skills by taking professional training and development program. As we know that Malaysia has less expertise in record management. Even people are not aware of the existence of this field and its importance. So, they need to change the people stigma on this problem.

Records storage requirements have been indicated in various studies, including those of Stephen (2004), Wang Lan (2003), National Records of Scotland (n.d), National Archives UK (2011) and Obura (2012). Records storage space is important in a small or large company. This is because each document/records has its own value especially on the company's finances. They summarize that storage should provide protection to the level required by the nature, contents and value of the information in them. As well, they state about the type of cabinet that should be use, suitable humidity or light.

While in guidelines for retention schedule and recordkeeping, two authors underline that proper guidelines for retention and disposal may lead to appropriate decision making on which records to be kept. On records retention and disposal, it should be deciding which records are to be kept and for how long, or which records should be destroyed or archived are critical decisions to be made by any organisation. An enterprise should provide secure and appropriate disposition for records that no longer need to be kept, requiring approved policies and procedures.

Reviewing the literature leads back to the question: Does employees who do not have knowledge and skills on records management can manage records properly? How deficiency of records storage facilities can give an affect business activity? What is the best guidelines for retention schedule and recordkeeping requirements in private sector? Analyzing all these question will indicate the importance of retention schedule and recordkeeping in the organization processes and performance. Furthermore, it will emphasis on the efficiency and effectiveness of record management. Besides, it can lead to decision making process.

Methodology

To answer the research questions given, the qualitative method will be best suited for finding answers. This is to assist researchers in their efforts to understand the problem of why workers in the private sector do not know whether they should keep or discarding their records. This will involve a predetermined sampling strategy to obtain the combination of features required for this study. In particular, this purposive sampling is done because the researcher chooses only employees who work on records and document work. The consent letter was also sent to those who were involved with the questions, the objectives of the study were conducted as well as the research protocol. Data collection was conducted during the interview. The data collection uses a voice recorder so that all the information provided can be heard more clearly.

Respondents in this study came from two locations, namely FGV Shared Services Centre, Balai Felda and Group Human Resources at Menara Felda. The researchers chose the FGV Group because researchers have more than one year of work experience there. In fact, researchers are still communicate with FGV employees who are asking about records management.

Findings

This topic discusses data analysis and findings on the review of Keeping or Discarding Records in Private Sector. The researcher was asked to do some research and to summarize some employees to find out more about managing records in the organization. The researcher has shifted three persons who are senior executives or company's Document controllers for information.

The interview guide consists of several questions that focus on information based on the objective of the study. The interview was conducted on 19 June 2018 at Menara Felda and Balai Felda. The informants are agree on the recorded interviews to be recorded in the audio tapes. On average, interview sessions take about 40 minutes each informants. The interview was then transcribed into the MS Word document, and analyzed using a system provided by the lecturer. To facilitate the analysis process, qualitative data analysis software called ATLAS.ti version 7.0 is used. The acronym means "Archiv fuer Technik, Lebenswelt und Alltagsprache", which means "archives for technology, everyday life and everyday language", and the "ti" extension means text interpretation. The information that is relevant should be relevant and useful to the users of the information contained in the data. Analysis is a key tool for obtaining information from data.

1. Transcript encoding

Initially, through open coding procedures, more than 300 codes have been identified. However, the system provided by the lecturer can only enter a maximum of 50 codes. This is done through interview transcript analysis where analysis is done line by line to identify important concepts and information in the data. Subsequently, these information continued to be generated through the features and ideas presented by the informants themselves. Next step, form categories through axial coding procedures. Finally, categories related to records have been identified and it links all categories through the statement of the relationship of each code that has been created.

2. Labeling Code

During an open coding stage, when concepts and information are identified, labels are assigned using keywords that represent the relevant title of the record management. Most codes classified by labels are from words and information used by informants. This code represents the main meaning and idea from their point of view.

3. Selection Concept

Based on the examples provided by the lecturer, Dr Zamhariro, the conceptual selection to make the connection between information and information is made through the identification of their nature and dimensions. The concept was structured according to the following research objectives:

- a) This study assesses the skills and knowledge of FGVH staff in managing records.
- b) Analyzing the lack of record keeping facilities can affect business activities.
- c) Recommend guidelines for record retention schedules and records storage requirements

Encoding actually helps to link the concepts with their categories according to the breakdown of relationships. This categorizing process is usually determined through information pertaining to the main concept. The characteristics have been identified and determined by the relationship as "are part of", "is" and "is cause of".

4. Create a Category

Gradually, concepts with their characteristics have grown completely into categories. At present, three main categories have been created, namely, the competency of FGVH staff's skill and knowledge in managing records, the deficiency of records storage facilities can affect business activity and guidelines for records retention schedules and recordkeeping requirements. Each category is described in the following sub-section.

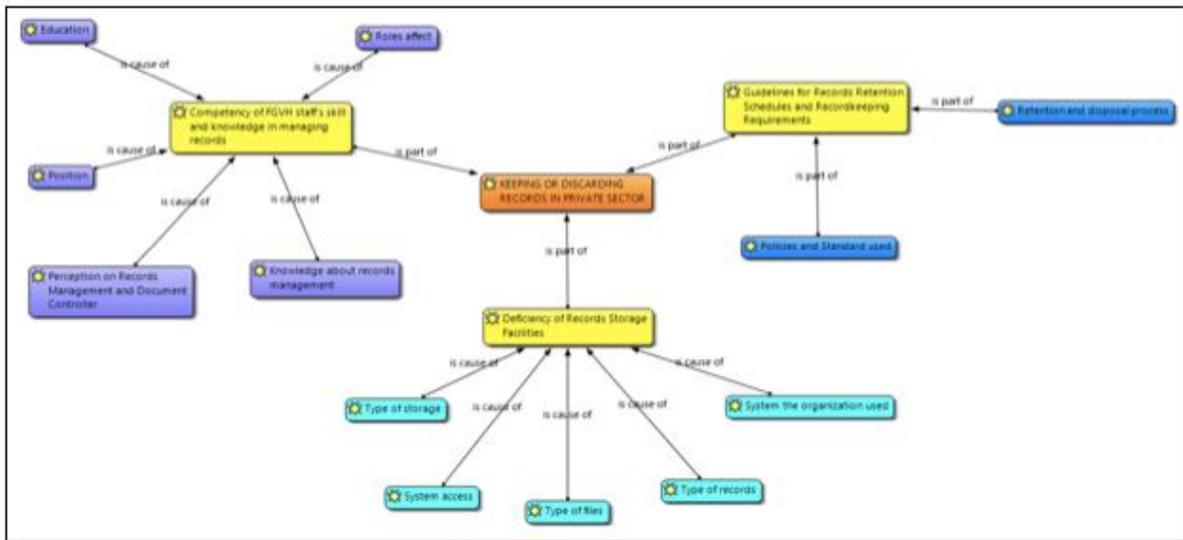


Fig 1. Create category of concept

• **First Objective**

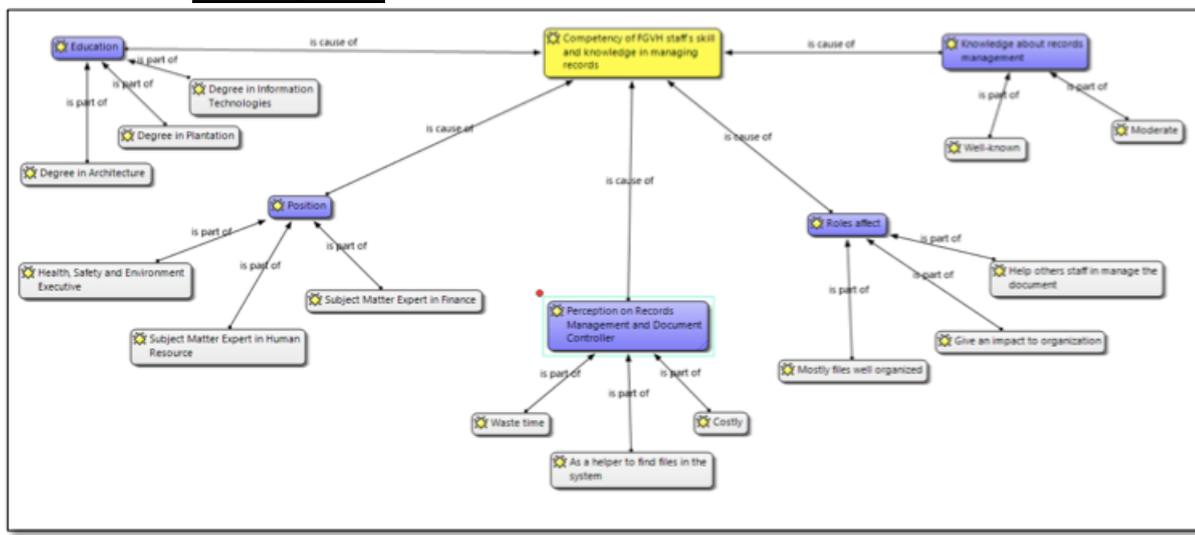


Fig 2. The Competency Of FGVH Staff's Skill And Knowledge In Managing Records
This first category has five subcategories that make up the first objective category in. However, under these subcategories there is more fragmentation of information that refers to the subcategory. It refers to the following:

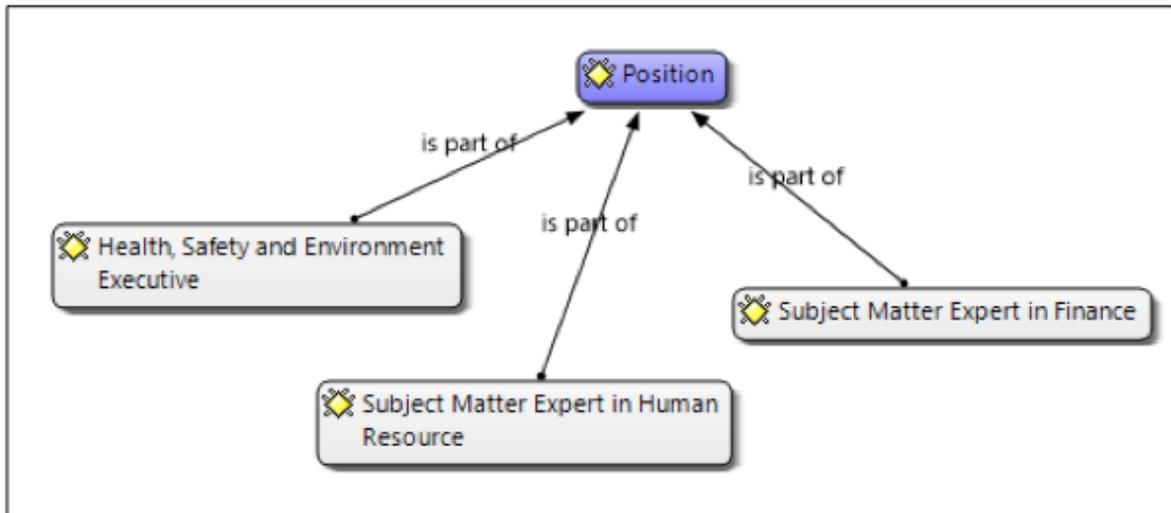


Fig 3. The Competency of position

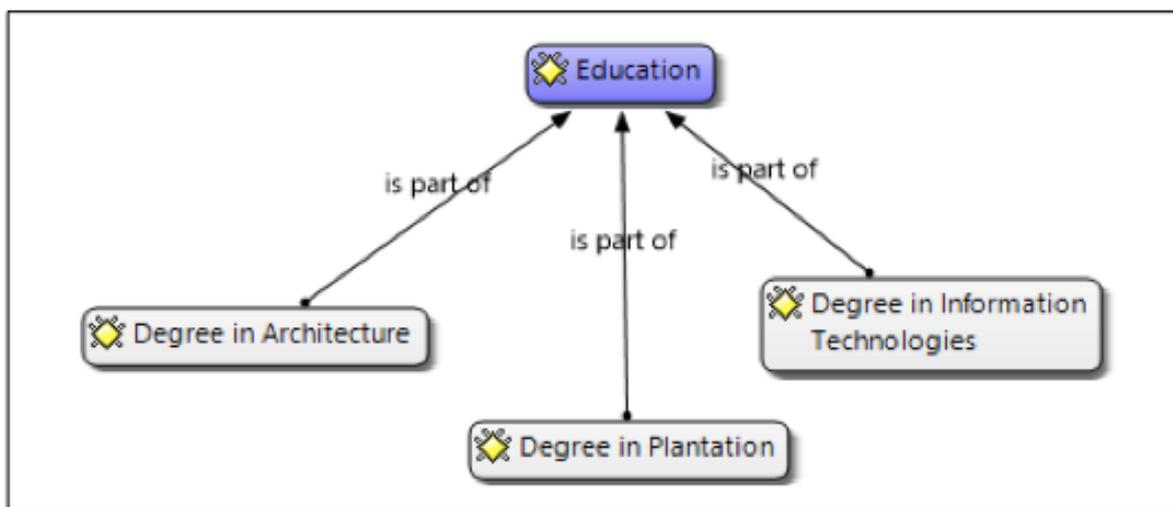


Fig 4. The Competency of education

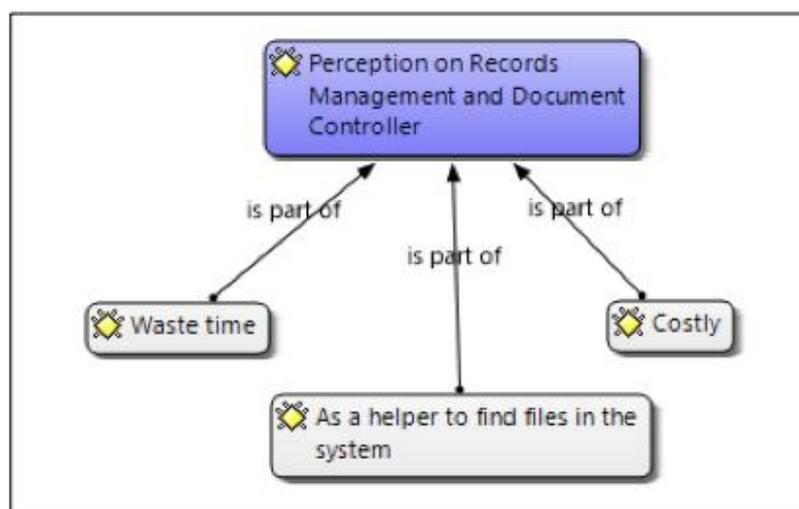


Fig 5. Perception on Record management and Document Controller

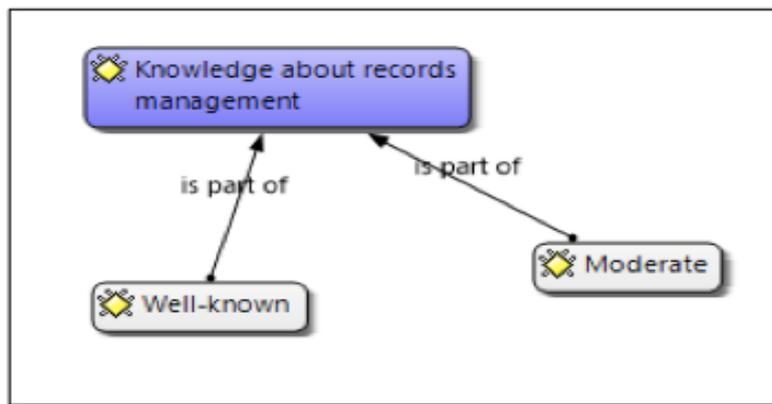


Fig 6. The Competency of knowledge about records management

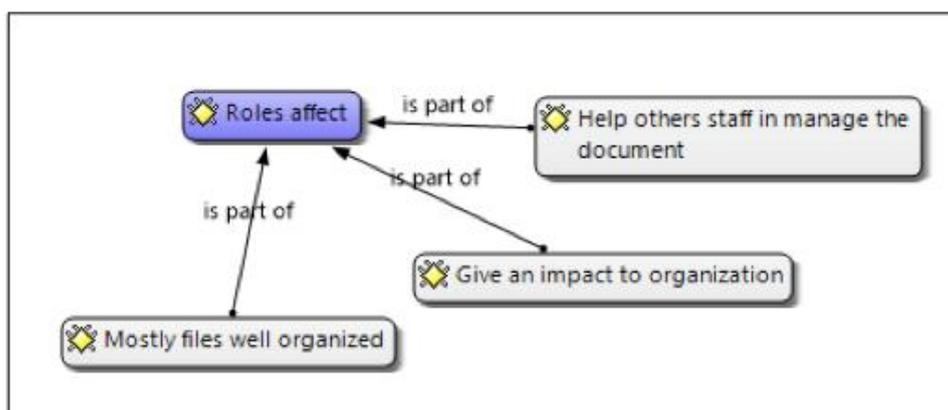


Fig 7. The Competency of roles

Table 1

Competency Of FGVH Staff's Skill And Knowledge In Managing Record

Competency Of FGVH Staff's Skill And Knowledge In Managing Records	
Education	<ul style="list-style-type: none"> • Degree in Architecture • Degree in Plantation • Degree in Information Technology
Position	<ul style="list-style-type: none"> • Health, Safety and Environment Executive • Subject Matter Expert Finance • Subject Matter Expert Human Resource
Perception on records management and Document Controller	<ul style="list-style-type: none"> • Waste time • Costly • As a helper to find the files in the system
Roles affect	<ul style="list-style-type: none"> • Mostly files will be well organized • Gives an impact to organization • Helps other staff in managing the document
Knowledge about records management	<ul style="list-style-type: none"> • moderate • well-known

Through the interviews conducted by all informants, the company's senior executives and holds a degree not related to record management. However, their appointment as a

Document Controller is based on their job description which requires them to create and review their organization's Standard Operation Procedure. In fact they are also appointed because some of them have background in information technology. When asked if the eligibility that they are designating as a Document Controller, some say it is based on job description requirements. Meanwhile, according to informant 3, he said

"Actually, it does not require any qualification or certificate to be a Document Controller because we need to follow industry requirements. Not necessarily that someone has a degree in architecture, she or he must be an architect."

However, when asked about what the records management is, the informant knows average of what records are. In fact, informants 3 has experience in managing records because he previously worked as a Document Controller in the KVMRT project. He is well-known about the process and how to manage the records because while studying, he has learned a little bit about attitude records.

For the perceptions, informers are advised that when submitting an idea of the records management to staff or superior, they say it involves a high cost. Even to create a Department Document Controller is a bit difficult as it will take a long time to trace any existing records and no longer. For informants as well, some employees also consider the existence of these records to facilitate their work of finding files or documents.

- **Second Objective**
The Deficiency Of Records Storage Facilities Can Affect Business Activity.

This second category has five subcategories that make up the second objective category. However, under these subcategories there is more fragmentation of information that refers to the subcategory. It refers to the following:

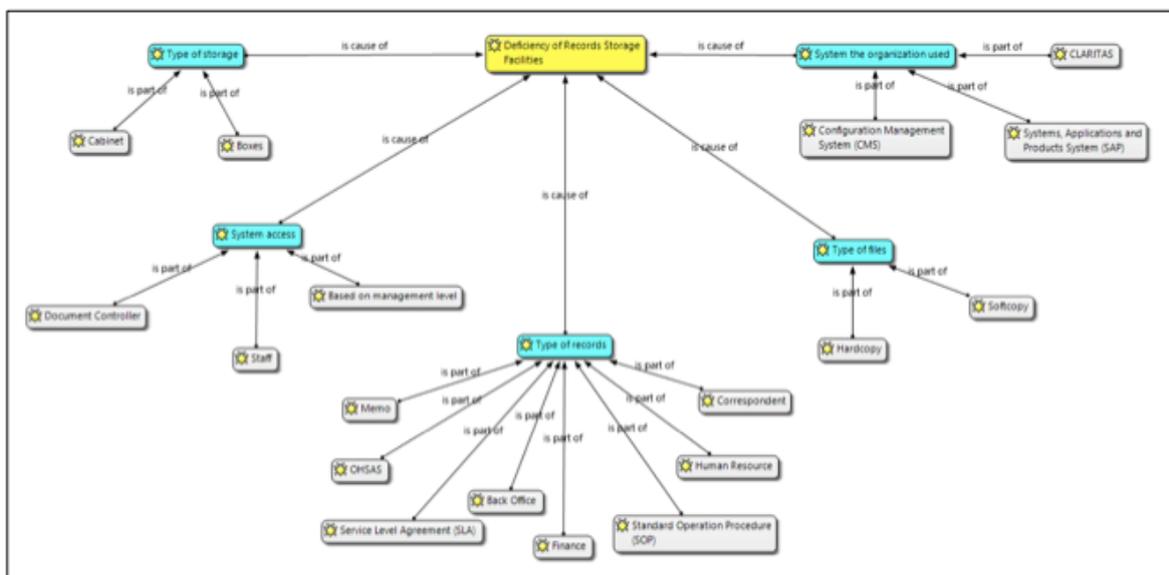


Fig. 8. The Deficiency Of Records Storage Facilities Can Affect Business Activity.

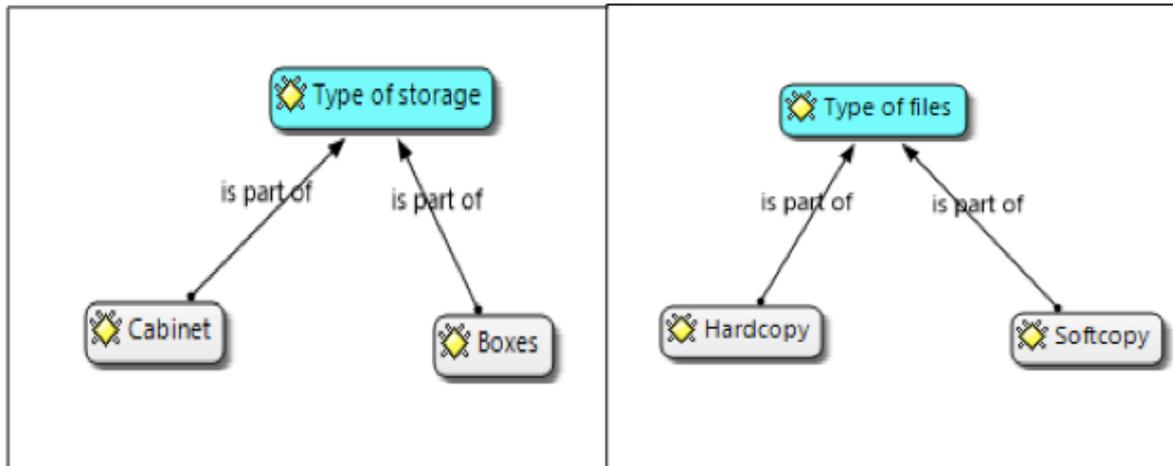


Fig. 9. The Deficiency of types of storage and files

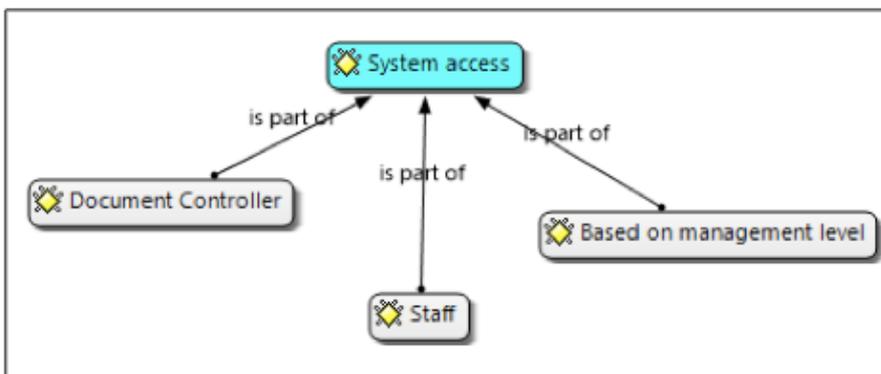


Fig. 10. The Deficiency of system access

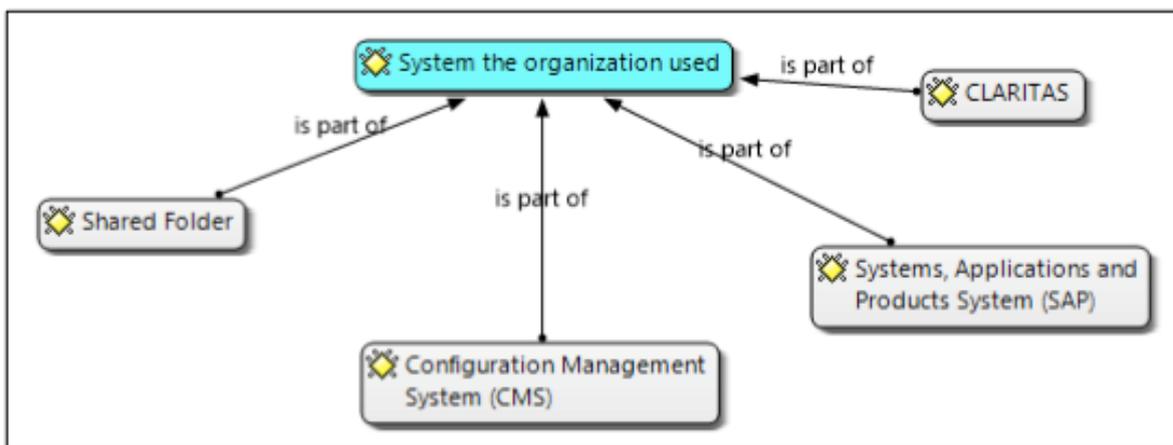


Fig. 11. The Deficiency of system for the organization used

Table 2

The Deficiency Of Records Storage Facilities Can Affect Business Activity

The Deficiency Of Records Storage Facilities Can Affect Business Activity	
Type of storage	<ul style="list-style-type: none"> • Cabinet • Boxes

System access	<ul style="list-style-type: none"> • Document Controller • Staff • Based on management level
Type of records	<ul style="list-style-type: none"> • Memo • Correspondent • Service Level Agreement (SLA) • Standard Operation Procedure (SOP) • Finance • Human Resource • Back Office
Type of files	<ul style="list-style-type: none"> • Hardcopy • Softcopy
System the organization used	<ul style="list-style-type: none"> • Configuration Management System (CMS) • CLARITAS • Standard Application and Product System (SAP) • Shared Folder

Based on the second objective of the deficiency of records storage facilities can affect business activity, we can see that the FGV only provides only cabinet for file storage space. However, it is placed in every department only and needs to be maintained by the department itself. At FGV Shared Services Centre (SSC), they are doing more services and operations. Therefore, they save a lot of hardcopy documents in the box. This is because, all documents such as travel form or claim will be kept for one year only and then they will request another FGV subsidiaries to reclaim. Very limited space issues cause them to make such decisions. For them after returning to a subsidiaries, their decision whether to save or dispose but the FGV management has asked all staff to keep the records on their own files.

As we know, FGV is an organization that has long existed. Hence various types of documents or records are available such as memos, correspondent, finance, related to human resource triers and various agreements. However, for everything related to the law or legal it is kept in a special cabinet to facilitate search work if the auditors come. It will also be reviewed whether it is still relevant to be used during the year.

When questioned about the system used by the organization, the answer given is the same. They tell that every organization in the FGV will have a Shared Folder where various corporate documents are stored in it. However, each folder can only be accessed by their department. For example, if the staff works in the Human Resource section, only the Human Resource folder they can see. Here, Document Controller plays their role in managing the file layout in the shared folder. In addition, they also have Configuration Management System (CMS) software to apply for any leave or fill in travel related form. It is also accessible to all FGV SSC staff. However, it is not user friendly. This is supported by informers 3:

"For FGV systems, I feel that they are not friendly users because they are only accessible to company-based companies using computers, and with the technology they need, they need to make improvements where the system can be accessed everywhere regardless of time."

• **Third Objective**

Guidelines For Records Retention Schedules And Recordkeeping Requirements.

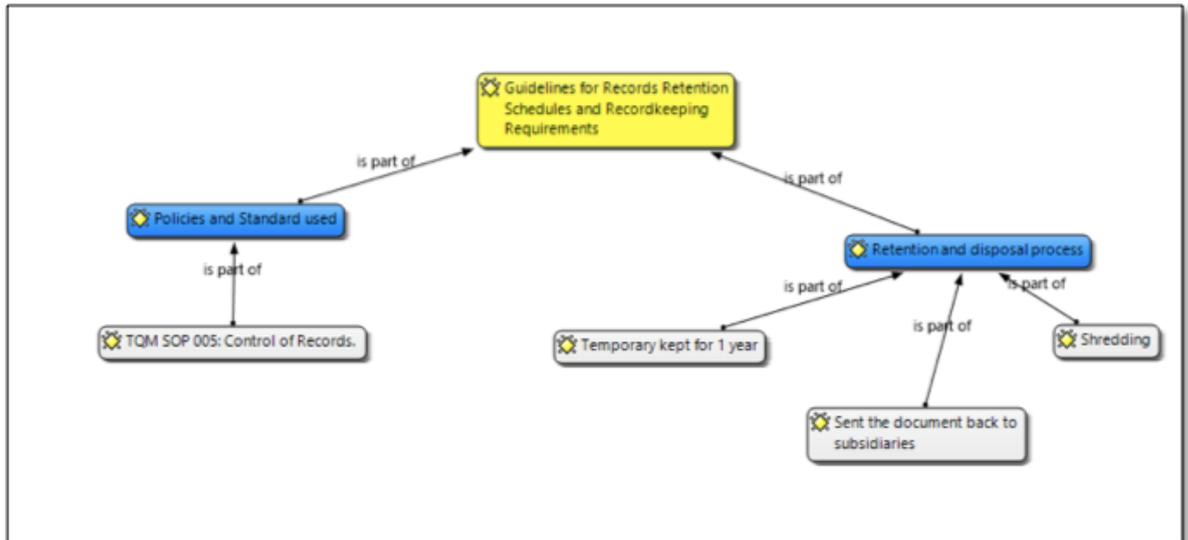


Fig.12. Guidelines For Records Retention Schedules And Recordkeeping Requirements

The last category has two subcategories that make up the third objective category. However, under these subcategories there is more fragmentation of information that refers to the subcategory. It refers to the following:

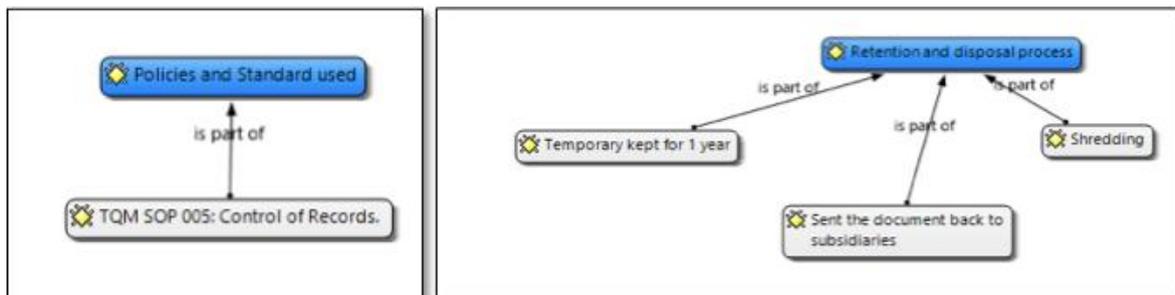


Fig.13. Record retention and policies

Table 3

Guidelines For Records Retention Schedules And Recordkeeping Requirements

Guidelines For Records Retention Schedules And Recordkeeping Requirements	
Policies and standard used	<ul style="list-style-type: none"> • TQM SOP 005: Control of Records
Retention and disposal process	<ul style="list-style-type: none"> • Temporary kept for 1 year • Sent the document back to subsidiaries • Shredding

According to informant 1 and 2, FGV uses a policy or procedure that is TQM SOP 005: Control of Records related to the record. It's not much but guides the employees not to disseminate company information to competitors or outsiders. Additionally, all files need to be organized properly. Researchers did not get much information about this policy because the informers did not talk much and it might be quite difficult for them.

For retention and scheduling processes, they make more paper or document process shredding. In addition, the FGV SSC also keeps all the documents of the subsidiaries for a year only if they request to retrieve the documents later. Upon expiration of a year, it will be returned to the subsidiary because in the company's procedure it has also stated that the FGV SSC only holds the document in the box for a year.

Conclusion

This research are discussing on keeping or discarding records in private sector which that can help their decision on keeping or discarding their documents or records. As we know that the end of this study, the findings will reveal the importance of retention schedule and recordkeeping in the organizations that can be improved in the organisation's performance and process.

Overall, the result in doing this research based on the objectives has reached 70%. It can be seen that for the first objective of competency of FGVH staff's skill and knowledge in managing records, we are able to identify that the informants have little knowledge of the records management. But they have no skill how to manage the records perfectly. Additionally, it also states that in order to manage the records properly it does not require qualification in records management. It is undeniable that the industry now does not see what type of certificate the applicant has. However, everything in this world requires specialists in a particular field. Not only has experience and skills, it also requires knowledge in the field.

Furthermore, the perception or public's stigma on record management should be changed. They need to see this as important. It should be taught from kid as an example, how to manage personal files such as birth certificates and identity cards. This item is a basic in record management. Additionally, private workers need to focus on records. As a suggestion, every business or organization should create a department that manages records. Here's where, in the planning of opening an organization they have to make sure that there are those who manage the records of the company.

Also it is undeniable that file storage space in most companies is limited. However, they cannot easily take this file. Some companies have too many redundant files the same. This caused the records to be bulky and unmanageable. With this modern technology and world, the organization also needs to take the initiative to become a hybrid record company. Whether saving all the records in the form of hardcopy or softcopy.

In fact, based on interviews, informers have complained that when they give ideas about standardization on files, some do not agree. This is because they feel that it involves a lot of spending and wasting time. This is to facilitate their daily affairs. There is also a superior who gave the idea of creating a Document Controller department only but until now no action has been taken.

Lastly for the final objective, researchers can propose several guidelines for retention and disposal schedule but acceptance of new items is hardly acceptable to FGV superiors. This is because they are only concerned with services and operations. They can give an opinion to the workers but their implementation is less.

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