Implementing Good Governance Using Complied Archive Records Management Systems (ARMS): A Case Study of Faculty of Information Management

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Abstract. Technology has brought society to the next level where most organizations started to transact using e-commerce platform and inevitably creating more digital records as output of those transactions. Digital records become primary concern in organiszation as it exists in accelerated volumes thus requiring organizations to manage it right from the point of creation. Failure which would hamper efficient operations of organization. Notably, a proper system is required to manage it, together with its proper standards and policies for successful implementation. The adoption of ICTs in managing records has often been haphazard condition for organizations and management. Such impacts are also felt by government organizations and agencies. Though using ICTs in managing the digital or electronic records, which is the right move by the government as part of modernization process, due to management of digital records or information is a necessary enabler for sustainable business change and to meet proper information policy and compliance requirements based on standard in information governance. However, the solution to all information management problems could not only depend on information and communication technology progress. Good record-keeping could lead to good governance to promote values that are important in gaining and retaining people's trust. Secure information delivery, accountability, transparency in transactions are crucial recordkeeping's element that contribute to people's trust. Therefore, this article is presented in am manner on how Archive Records Management System (ARMS), a digital records management software could help organizations to perform while maintaining accountability through good practices of information and records governance.
Keywords: Electronic records, digital records, ARMS, good governance, compliance, transparency, records management, and accountability, information and records governance.

1 Introduction

With the increased use of information technology (IT) in the workplace, organizational information has transformed its nature from traditional paper-based physical files towards digital or electronic forms of documents and records. Now, having digital records as part of business operations in organization is already a common thing. However, staff and organization may not not aware of the regime in handling the digital records. It may look simple but in practice, it is tedious and quite technical. This is due to the fact that records management is mere the output of a transaction. Not more than that. It is managed to protect organizational rights. This is the basic notion and level of awareness of managing records in organization. As mentioned by Yunus, Alwi & Nik Ariffin, Nik Azliza. (2013), "many organizations look into records as secondary compared to organizational core operations. It is difficult to change business practices when they have served well for many years". Records management is the field of management responsible for the efficient and systematic control of the creation, receipt, maintenance, use and disposition of records, including processes for capturing and maintaining evidence of and information about business activities and transactions (ISO15489, 2001). A complete process of records management is crucial as it promotes the completeness of the records, security, integrity, also the preservation of the records for future use. These elements are an important element to provide effective and efficient business operations. In UiTM Puncak Perdana, the Faculty of Information Management creates various records to accomplish its mission. Having an effective records management becomes important to be implemented as it could be a product to gain people's trust. In light, poor management in records would find themselves in an embarrassing position if they could not retrieve any records requested. Archive Records Management System (ARMS) is the system developed together with industry partner DGFlo Innovation Sdn. Bhd. a vendor IT and records management company having work together with FIM to support teaching and learning in the use of digital-electronic records management software in the teaching and learning of electronic records management course at FIM to undergraduate students taking degree honours in records management at FIM. Its software is already recognized by National Archives of Malaysia that provides good governance in records management. According to Chatetera (2016), good governance consists of accountability, transparency, effective service delivery are the elements that can be achieved through acceptable records management system. Therefore, this paper explores the relationship between how ARMS could lead to good governance in the records management system. This study aims to create awareness on the importance of records management to the road of good governance. This paper is structured by the concept of ARMS, ARMS compliance against ISO16175, the element of good governance, and the role of ARMS to good governance.

2 Concept of ARMS

According to UiTM (2017), ARMS is an Electronic Documents & Records Management System (EDRMS) built for the cloud. It offers a centralized records management system that manages records from the stage of creation until disposition of the records. By collaborating with DgFlo, the system has made up to comply with Pekeliling Perkhidmatan Bil. 5 Tahun 2007 MS2223:2009 and ISO16175-2:2012 to ensure the system meets the international standards for the electronic records management system. The functions of ARMS are:

a) Management of record/file repository according to classifications and records disposal schedule
b) Powerful search and view of records functions
c) Support multiple digital file formats such as pdf, mp4, wav, dwg, avi and etc
d) Usage-based on user function and profile
e) Integration with office automation software such as Microsoft Office & Libra Office
f) Distribution of records/files electronically and secure
g) Any transactions are traced by the system to ensure authenticity
h) Built-in Business Process Management (Workflow)
i) Highly secured

The functions above shows that ARMS offers a good records management system. It allows the completeness of records management in the organization. As concerned matters by the organization, ARMS also has a high control of security and access as the records can be encrypted and shared securely. The difference between ARMS and other electronic records management systems (ERMS) is this system is the only system recognized by the National Archives of Malaysia (Johan Mohd Sharif, 2018).

3 ARMS Compliance Against ISO16175

ISO 16175 is a principle and functional requirements for records in electronic office environments. The standard produces globally harmonized principles and functional requirements for software used to create and manage digital records in office environments. As the only system recognized by the National Archives of Malaysia, the functions of ARMS are made based on the ISO16175 requirements which the standard is specialized for electronic records. The compliances between ARMS and ISO16175 has shown in Table 1. Based on the table above, it clearly shows that ARMS contains all required elements stated in ISO16175. It also means that ARMS is a system that has a complete records continuum model. Having the function of retention and disposal also shows ARMS offers the function of archives as well as records that allow the preservation of the records. Thus, it can be concluded that ARMS is clearly enabled better management of records in the organization which focuses on

supporting business need, support auditing, comply with statuary mandates; security and access, and ensure good governance where it offers accountability, transparency, and enhanced service delivery through good management of records.

Table 1. The compliances between ARMS and ISO 16175

Element of ISO 16175	Function in ISO 16175	Function of ARMS	Details
Create	Create	Yes	Create and capture records
	Unaltered	Yes	Unaltered without permission
Manage and maintain	Classification	Yes	Based on the organization's function and activities
	Retention	Yes	Depends on the organization
	Disposal	Yes	Yes
	Security	Yes	Records encrypted and secure share
	Access	Yes	Access control by user-id
Support import, export and interoperability	Metadata preservation	Yes	• Filled during creation • Search and retrieval function
Retain and dispose	Dispose	Yes	Set as reminder
	Auditable	Yes	Audit Trail–Event create, update, all

4   Elements of Good Governance

Governance is the process by which power and authority are exercised in a society by which articulate their interests, mediate their differences, and exercise their legal rights and obligations (Azman Mat Isa, 2009). Governance is about how power is distributed and shared, how policies are formulated, priorities set and stakeholders made accountable (UNESCO,2017). It can be concluded that governance promotes a

rule of law that leads to the organization's integrity and effectiveness in decision-making, services, and interest. Good governance refers to government agencies' conduct in implementing innovative policies and programs to increase the quality of public service with the ultimate aim of increasing economic growth (Asaolu, Adedokun, & Monday, 2016; Grindle, 2004; Hellman et al., 2000).

Table 2. Elements of good governance

Source Elements	Azman Mat Isa (2009)	UNESCO (2017)	Chatetera (2016)	Johnston (n.d.)	UNESCAP (n.d.)
Accountability	√	√	√	√	√
Transparency	√	√	√	√	√
Effective Service Delivery	√	√	√		√
Rule of law		√		√	√
Responsiveness		√			√
Stability		√			
Equity and inclusiveness		√			√
Empowerment		√			
Broad-based participation		√			√
Consensus oriented					√

Based on Table 2, it can be concluded that the most preferable elements of good governance are accountability, transparency, and effective delivery service. Accountability is defined as an organization's ability to responsible for its action, decisions, policies, and products (Chaterera, 2016). In this paper, it refers to the records management system which based on some rules could lead to fostering accountability of the records by providing a verified, complete, and trustworthiness of the records as evidence. It is because incomplete records may cause the organization could not justify the evidence of their actions. It shows that good records management practice is

crucial to provide a reliable and legally verified source of evidence. The accountability of the records also will lead to the transparency of the records. According to Johnston (n.d.), transparency means official business conducted in such a way that substantive and procedural information is available to, and broadly understandable by, people and groups in society, subject to reasonable limits protecting security and privacy. This element highlights the sense of trust in how the records are made to be accessible and available by others. In other words, records management could act as a tool that can provide transparency of the records effectively. Both accountability and transparency elements are important as they can affect the delivery service of the records in the company. Meanwhile, effective service delivery is when a government recognizes citizens as its clients and strives to provide fast, accessible, and good quality services (Eigema, 2007). In simple words, effective delivery service refers to the ability to render the services required by people on time. The records as it brings valuable information, it is very important to the people. Thus, the organization must have the ability to access and retrieve the records in a fast response. Inefficiency in attaining the records could bring difficulties to the organization in operating their business. In this case, records management must have the element of effective service delivery so that their business will run smoothly. These three elements; accountability, transparency, and effective service delivery are important and related to each other. Those elements have been mentioned by many which show those elements could be the critical elements in good governance. As records are an asset of the organization, it must be handled properly so that the reliability, integrity, and trustworthiness of the records are secured.

5   Roles of ARMS to Good Governance

Records and archives management plays a big role in an organization as it serves administrative, operational, and informational needs for the organization (Dikopoulou & Mihiotis, 2012). Good governance prevails when the organization has an effective and responsive way of handling its records to accomplish the organization's mission. As ARMS consist of the complete electronic records management system, it consists of three elements of good governance has been discussed previously. A poor records management system practice could lead to incomplete records. The compliance of ARMS towards ISO 16175 clearly shows that ARMS have a complete requirement that could offer the accountability of the records. It is because ISO 16175 is a recognized international standard for electronic records. A concrete rule of law practiced by ARMS shows that ARMS can provide reliable, complete, and trusted records. As being set up, the field of metadata in content, context, and structure of the records becomes a compulsory field that needs to be filled in ARMS. These metadata are actually has brought the element of accountability and completeness of the records. Having reliable and complete records also can lead to the trustworthiness of the records which can be used as verified evidence in any business purpose, action, or even in court. As records bring a shred of critical and important evidence, it is needed for the organization to ensure the records are managed and preserved in an excellent practice. Only through the evidential, accountability for the actions and decisions taken by

the organization is proven. In the organization, accessibility and privacy of the records are very crucial. According to Thurston (2015), transparency appears when an organization's business processes and activities are documented in a verifiable manner and should be available to all personnel and appropriate interested parties. ARMS provides good governance on transparency is conducted based on the organization's classification together with the protection of access and security. ARMS offers transparency of the records as it allows security control by user id or level of different ranking users. As for the level of records manager, ARMS allows records managers to retain control over the way information is categorized and filed outside of the view of everyday users of the system which is an important thing that has been mentioned by Laserfiche (n.d.). The transparency of ARMS also can be seen as ARMS has an audit trail as it provides a track of any action on records. As for accessibility, ARMS as an online system can be accessed at any time by others and controllable way. By various functions consist of ARMS, it can be concluded that ARMS is a good system as various formats of records can be uploaded, viewed, and sent transparently to others in a controllable way. As for governance of effective delivery service, ARMS can provide a retrieval service as it has the function of searching for records. The retrieval process can be through the function of a quick search, simple search, and advanced search. As records contain critical information, thus it must be accessed and retrieved timely when requested. ARMS can be accessed through any browser in which this online system can be used at anytime and anywhere the user want. It also allows the process of records delivery securely. It shows that ARMS provides effective delivery services to the user and the organization. Having said that, effective delivery service is important in the organization as it will increase the organization's productivity. The reason behind this element is actually related to metadata. Complete metadata in ARMS has allows the capture and retrieval process to become easier and efficient. The metadata in ARMS also serves the organization in the need of preserving the collective memory of an organization which is important for long-term purposes. By having ARMS, the staff does not have to do the tasks that out of their work scope. This system only needs records manager to play their role, the rest is the ARMS itself as a tool will manage and governs the records.

6   Conclusion

In conclusion, employees' recordkeeping practice plays a vital role in determining the success of an electronic records management system (Nguyen, Swatman, Fraunholz & Salzmann, 2009). The existence of electronic records in the organization also should be monitored, controlled, and managed effectively. By identifying the appropriate electronic records management system, the entire activities in the organization can be run smoothly and efficiently. ARMS provides the operational basis for accountability and transparency of the records as it permits the creation of quality documentation, traceability, standardization of records processes, accessibility, and the preservation of records. The functions offer in ARMS can provide the organization good governance of records management as it has the elements of accountability, transparency, and effective delivery service. ARMS offers many benefits to tangible and intangible forms. An effective records management system also could improve

the efficiency and effectiveness of an organization. ARMS is a better option that can be adopted by the organization in achieving their business goals and increasing value for money by balancing costs and benefits that is essential for the sustainability and accountability of the organization. Therefore, it is important to have an effective records management system or ARMS in the organization as it offers good governance of electronic records.

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