

DEVELOPING PREREQUISITES FOR ELECTRONICS RECORDS: A NATIONAL ARCHIVES OF MALAYSIA EXPERIENCE

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DEVELOPING PREREQUISITE- INTRODUCTION

This prerequisite describes the general requirements for any public office before develop or using the electronic records management applications. It also covers the methods to manage records throughout the lifecycle of records.

STANDARDS AND GUIDELINES

- ◉ The prerequisites to develop electronic records management applications system (ERMS) is in line that conforms to the **MS ISO 16175-2:2012 Information and documentation - Principles and functional requirements for records in electronic office environments - Part 2: Guidelines and functional requirements for digital records management systems**
- ◉ to ensure that records are created, used and stored digitally in public office can be used as **definitive evidence** that it can show the content, structure and context of the records.

SCOPE

This prerequisites is applicable to all users of electronic records management system includes:

2.1 The 'Open' type classification records;
and

2.2 all kinds of records in various formats
and media.

OBJECTIVES

It is intended to:

1. ensure civil servants to comply with procedure in the process of creation and capture of record;
2. ensure that the functions of creation, capture, storage, distribution and disposal of records - systematically implemented and controlled in accordance with records management principles outlined in the **MS 2223:2009 - Information and Documentation - Records Management Part 1 - General**, and **MS 2223:2009 - Information and Documentation - Records Management Part 2 - Guidelines**; and
3. provides a general procedure for civil servants on the management of electronic records in an electronic records management application or system.

GENERAL REQUIREMENTS

ESTABLISHMENT OF RECORDS MANAGEMENT SECTION

- (a) **Records Management Section** shall be established based on the letter of the Department of Public Service [JPA.BDO (S) 215/65/14 (24)] dated December 31, 2012.
- (b) This section shall be placed under the **Management Services Division** and is responsible for managing electronic records in electronic records management applications and conventional records as well.

RECORDS MANAGEMENT SECTION

(i) This section must have adequate staff and equipment.

(ii) This section shall be responsible to monitoring, implementation and use of electronics records management applications as well as the other records management activities.

APPOINTMENT OF ARCHIVES CADRES

Public offices should appoint an archivist to **lead** Records Management Section. They are responsible for implementing the records management program that includes conventional and electronic records. This is in line with the **Cabinet decision** dated 9 November 2005 and letter of the Department of Public Service [JPA.BDO (S) 215/65/14 (24)] dated December 31, 2012.

APPOINTMENT OF THE DEPARTMENTAL RECORDS OFFICER (PRJ)

- Public office shall appoint the **Departmental Records Officer (PRJ)** of grade 27 or equivalent, and informing of his appointment to the National Archives of Malaysia. This is in accordance with **Service Circular No. 5 of 2007- Guides to the Office Management**

REGISTRY SYSTEM

Registry

Public offices should adopt a centralized registry system when implementing electronic records management applications.

Records Room

Public office shall provide Record Room with suitable equipments for the storage of public records. This is in line with the **Cabinet decision dated 9 November 2005** and **Service Circular No. 5 of 2007- Guides to the Office Management**

USERS OF ELECTRONIC RECORDS MANAGEMENT APPLICATION

USERS	POSITION
1. Records Manager	Archivist/ Departmental Records Officer
2. System Administrator	Information Technology Officer
3. Information Worker	Operations and Administrative Assistant / General Clerks
4. End User	Head of public office
	Top management officer
	Officers and employees of public offices that use electronic records management applications.

HYBRID SYSTEMS

- Public offices should implement a hybrid system of records management throughout the lifecycle of records as outlined below:
 - (a) adopt both conventional and electronic records management systems simultaneously;

CREATING RECORDS

- (b) ensure electronic records and physical files using the same file classification number;
- (c) ensure that all physical files stored in the registry and can not be distributed for any action. All actions performed shall be recorded in an electronic records management application; and
- (d) ensure that the contents of the records in a physical file is the same as the content of the captured records in an electronic records management application.

CUSTOMER SERVICE CENTER

Users of electronic records management applications can contact the Records Management Section / Customer Service Center for technical support on the system.

TRAINING

System Administrator and Records Managers should implement training programs to the users of an electronic records management application on a regular basis to improve the efficiency and skill in using the application.

PREREQUISITE FOR THE IMPLEMENTATION OF ELECTRONIC RECORDS MANAGEMENT APPLICATION - A MANDATORY

The prerequisite for the implementation of electronic records management applications in public office is to develop and provide:

- ◉ File Classification
- ◉ Records Disposal Schedule (RDS).

DEVELOPMENT OF FILE CLASSIFICATION

- (a) Public offices should develop a classification of files based on the functions and activities covering all general business records and business functions. This is in line with the requirements of:

MS 2223:2009 - Information and Documentation - Records Management Part 1 - General, Clause 9.5 (Classification),

Service Circular No. 5 of 2007- Guides to the Office Management. and ,

Guide to Develop File Classification in Public Office, ANM, 2012.

FILE CLASSIFICATION

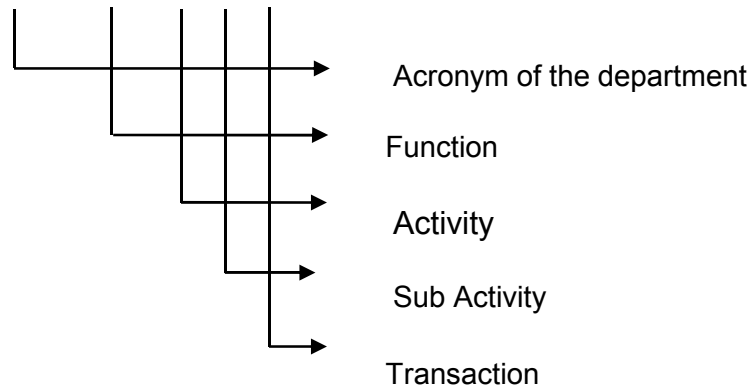
- ◉ (b) Public office should use the uniform file classification code that includes the acronym of the public office and block number (block-numeric).
- Refer to **Guide to Develop File Classification in Public Office, ANM, 2012.**

SYMBOLS

- ◉ (i) Symbols should be used to separate the functions, activities, sub-activities and transactions shall be adjusted as follows:
 - Symbol of Full Stop (.) Should be used to isolate the acronym of the department and functional code.
 - Symbol of a dash (-) should be used to separate the functions and activities.
 - Symbol of an oblique (/) should be used to separate the activities, sub-activities and transactions.

EXAMPLE HOW TO CREATE CLASSIFICATION CODE

KSM .100 – 2 / 4 / 5



KSM : Kementerian Sumber Manusia / Ministry of Human Resource

PREPARATION OF RECORDS DISPOSAL SCHEDULE

Public offices should provide the **Functional Records Disposal Schedule** and get the approval from the National Archives of Malaysia in accordance with the requirements of **Section 27 of the National Archives Act 2003 [Act 629]** and **Circular No. 5 of 2007- Guides to the Office Management**. Public offices should use the **Operational Records Disposal Schedule** and **Finance and Accounting Records Disposal Schedule** published by the National Archives of Malaysia.

MANAGEMENT OF ELECTRONIC RECORDS IN ELECTRONIC RECORDS MANAGEMENT APPLICATION

Creation of Records

(a) an electronic records management application user must create a record by using the **username** and **password** respectively.

TYPES OF RECORD

(b) The creation of a record in an electronic records management application shall be based on 29 types of records as follows:

- (1) File
- (2) of the Act / Ordinance
- (3) Guidelines / Guide
- (4) Tender / Quotation
- (5) Photos
- (6) E-mail
- (7) Draw Results of the Cabinet
- (8) Charts
- (9) Facsimile
- (10) Audio

TYPES OF RECORD

- (11) Cabinet papers
- (12) Papers / Concept Paper
- (13) Report
- (14) Technical Drawing
- (15) Meeting Feedback
- (16) Memo
- (17) Minutes of Meetings
- (18) Note to the Cabinet
- (19) Notes Meeting / Discussion
- (20) Circular
- (21) Agreement / Memorandum
- (22) Standards
- (23) Proceedings
- (24) Press Release
- (25) Slide Presentation
- (26) Correspondence
- (27) Speech
- (28) Publication
- (29) Video

ADDITIONAL RECORDS

(c) Public office shall obtain the approval of the National Archives of Malaysia if there is a need to establish:

(i) additional record types other than 29 types of records that have been identified by ANM; or

(ii) additional metadata fields for 29 different types of existing records in an electronic records management application.

RECORD LINKS

(d) Users who created the record shall ensure that marked metadata fields must be filled in completely (Appendix 2).

(e) Records Manager is allowed to create a links between records.

example:

Project Files: ANM.700-5/1/3 - My Creative Content Project National Archives - is linked with ANM.400-14/6/2 - Development Allocation

OPENING OF NEW FILES

(f) The users shall inform the Records Manager to open a new file if the file is not in the classification provided. However, the addition of functions / activities of file classification and RDS must have the approval of the National Archives of Malaysia.

(g) Before opening a new file, Records Manager shall review the classification of the files to ensure that the title of the new file has been created.

CAPTURING RECORDS

Users should capture the records into a centralized storage to facilitate search and retrieval:

(a) Capturing of the Incoming Letter

(i) An official letter received on behalf of the head of a public office or addressed to the officer concern shall be sent to the central registry to be scanned and captured into an electronic records management application before taking further action. Letters which has been scanned must be contained in the physical file.

CAPTURING RECORDS

(b) Capturing of Outgoing Mail

(i) The letter created digitally / electronically (born digital) shall be captured into an electronic records management application in its original format with no need to be scanned.

(ii) The letter created and captured into an electronic records management application must be printed and signed before being sent to a registry for filing in a physical file.

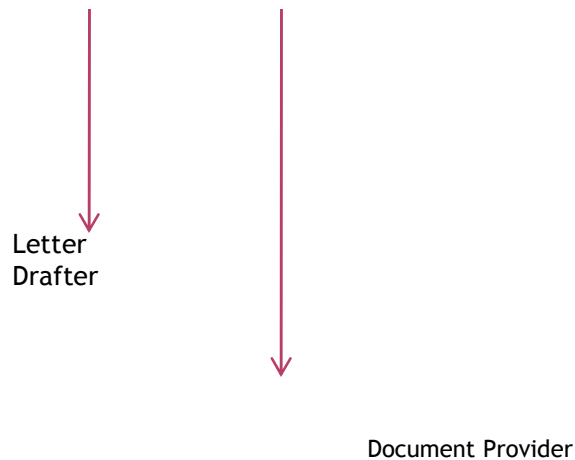
(B) CAPTURING OF OUTGOING MAIL

(iii) the document provider name must be inserted at the end of each document using font size 8 to facilitate the detection of creators of a letter or officer in charge to answer the letter received.

EXAMPLE OF DOCUMENT PROVIDER

Letter Drafter (Capital Letter)/ Document Provider

AHA /Hasniza



Note : AHA - short form of Abdul Harith bin Ahmad

THE CAPTURE OF ENCLOSURES

- (i) Users should capture all attachments to records created or transmitted or received such as reports, minutes of the meeting, charts, photos, etc. into electronic records management applications.
- (ii) Public office are required to sent a thick attachment in softcopy. This is to ease capture of records into the system.

CAPTURING THE COVERING LETTER

(iii) Publication such as books, annual reports, newsletters, journals received- not need to be scanned. Only covering letter need to be scanned and captured into an electronic records system. Information about the location of publication kept should be included in the metadata fields of electronic records management applications.

Please refer to **Circular No. 5 of 2007-
Guides to the Office Management.**

ELECTRONIC MEDIA RECORDS

- ◉ (iv) Content in the material received in electronic media such as compact discs (CDs), video compact disc (VCD) and digital versatile disc (DVD) must be captured into the system. Reference number for the electronic media covering letter shall be entered in the top right corner of the envelope of electronic media before it is stored.

CAPTURING FACSIMILE

- (i) Facsimile received by the division / section / branch / unit must be submitted to the registry to be scanned and captured into the system. Facsimile shall be included in the physical file.
- (ii) the original letter received does not need to be captured back into the electronic records management applications. The letter should be included in the physical file.
- ◉ (iii) The letter was faxed shall be stamped with a "letter was faxed on" before being shipped or mailed.

CAPTURING AN EMAIL

- (i) Official Email with attachments received from outside shall be captured into the system.
- (ii) The metadata which is not be captured automatically by the system must be filled by the user.

CAPTURING AN EMAIL RECEIVED BY TOP MANAGEMENT

(v) E-mail received by top management should be captured by his/ her personal assistant to the electronic records management applications.

CAPTURING AN EMAIL FOR A SPECIAL PROJECT

(vi) The Secretary for the project is responsible to capture the e-mail received by members of the project team. In the absence of the secretary , other senior members in charge should capture an e-mail for their team.

DUPLICATION COPY

(vii) E-mail received as a circulation copy (cc) does not need to be captured because it has been done for the first copy.

(viii) to avoid duplication in capturing the same e-mail, the user must delete the predecessors e-mail before creating a new e-mail to reply to a particular subject . All e-mail responses should be captured into the system after being sent to the recipient.

OFFICIAL EMAIL

(ix) An official e-mail should not be delivered in a blind carbon copy (bcc).

(x) Public offices should ensure that all users use the official e-mail accounts in doing their official transaction. The e-mail address must be correct before sending to recipient. Using personal email address such as yahoo.com, gmail.com, streamyx.com.my etc. is prohibited while doing official business.

CAPTURE THE FORMS



(i) No need to capture forms such as leave forms, training course application forms, customer survey form and so into the system. The form shall be kept and stored separately in the respective sections.

THE CAPTURE OF FINANCIAL RECORDS

(i) financial records shall be scanned and captured into an electronic records management application. Documents that have been scanned must be kept in a physical file.

THE CAPTURE OF FINANCIAL RECORDS

- ◉ (ii) Financial records such as vouchers, flimsy, payroll, quotation, request forms and consent forms do not need to be scanned and captured into the system. Financial records shall be kept separately in the file folder. Reference number shall be entered on the front page of the physical file folder.

- (iii) Information about location of the file folder must be recorded in the metadata fields that have been set in the system.

SECURITY AND ACCESS CONTROL

- (a) Records Manager is responsible for establishing security and access to physical files and records in an electronic records management application.
- (b) personal files in an electronic records management application can only be accessed by the employee in the Human Resource Unit.
- (c) Access to project files shall be restricted to the personnel in the division / section related only.

RETRIEVAL AND SEARCH

(a) The user can perform a search and tracking information / documents based on keywords such as record number, name and title of the record in the electronic records management applications.

DISTRIBUTION AND USE

(a) Only letter that had been captured in the system to be distributed to other users within the department. The letter contained in the physical file may not be distributed for action.

(b) letter that had been addressed to the head of public office shall be distributed directly to him/her. In the absence of the head of a public office, the registry should circulate a letter to the his/her deputy to take action .

MINUTES OF ACTION

(a) The system shall be provided the space for users to record minutes of action to be delivered to other recipients.

CORRECTION OF ERROR IN CAPTURING RECORDS

- (a) The user is responsible to inform Records Manager immediately in the event of error in capturing and filing the letter.
- (b) Records Manager is responsible for taking corrective action on it as follows:

CORRECTION OF ERROR IN CAPTURING RECORDS

(i) delete the contents of electronic mail or records which has been wrongly captured.
Next- inform the user about the action taken and asks the user to recapture a letter / e-mail or other records properly.

CORRECTION OF ERROR IN CAPTURING RECORDS

- ◉ (c) The users shall inform the Records Manager immediately in the event of errors in the metadata entry. Records Manager is responsible for taking corrective action upon receiving notification.

CLOSING AND OPENING OF NEW VOLUME OF FILE

Records Manager is responsible to close the file and open a new volume in the system and the physical file. These files should be closed when:

- (a) the contents of a file in the application of electronics records management has reached 100 folios;
or
- (b) the amounts of physical files is equal to 4 cm thickness; or
- (c) any earlier.

UPDATING USER PROFILES

System Administrator shall ensure that the user's profile in the electronic records management application is updated from time to time in the event of the following:

- (i) the exchange of personnel to other agencies; and
- (ii) the promotion

System Administrator shall ensure that the user profile of retirees or transferred personnel is not eliminated. User profile can not be deleted because the information about the actions taken by the user have been captured as part of the metadata records. However, the system administrator must:

- (a) change the user status from active to inactive; and
- (b) The related users can not be accessed anymore into the electronic records management applications.

DISPOSITION OF RECORDS

Records Manager shall take action to dispose inactive records in accordance with procedures prescribed by the National Archives of Malaysia.

Public office are required to update RDS as necessary and to ensure that all files in the system have the retention period approved by the National Archives of Malaysia.

TRANSFER OF ELECTRONIC RECORDS

- ◉ Records Manager should contact the National Archives of Malaysia to transfer electronic records.

Records Manager should capture letter of approval issued by the National Archives of Malaysia into the metadata fields prior to removal or deletion of records in the system.

All metadata for disposed records can not be deleted or erased from the electronic records management applications.

CONCLUSION

A fulfillment of the requirements or prerequisite set up by the National Archives of Malaysia is a vital factor to the successful of records keeping in the electronic records management system in public office .

The prerequisite has been identified by the National Archives of Malaysia in order to ensure sustainability and accessibility of electronic records in the future.