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GRADUATION THESIS

Major

Business Administration

Topic

Record Management: The Backbone of

Organizational Success

Instructors

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Declaration

I hereby declare that this thesis, titled “Record Management: The Backbone of Organizational Success”, is my original work and has not been submitted previously in any form for any degree or diploma at any university or other institution. All the information and data presented in this thesis have been obtained and used with the permission of the organization from which they were collected. Proper citations have been made for all sources of information, and this work does not contain any material copied from other works without proper acknowledgment.

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Abstract

This thesis explores the critical role of record management in enhancing organizational success, focusing on Phong Nguyen Plastic Production Trading Company Limited. The study investigates the existing record management practices within the company, assessing the effectiveness of current systems and the potential transition from traditional to electronic record management. Using a mixed-methods approach, data was collected through literature reviews and interviews with employees. The findings highlight significant challenges in the current record management system, including issues with accessibility, storage, and employee training. The results demonstrate that improved record management practices can lead to increased efficiency, better compliance with legal requirements, and enhanced competitive performance. The study concludes with recommendations for implementing a more robust electronic record management system to support the company's strategic goals and operational efficiency.

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Chapter 1: The Problem and Its Background

I. Introduction

In today's business landscape, organizations are handling with the escalating volume of document, leading to challenges in filing, storing, retrieving, and disposing of these documents. Many believe that managing records will helps business handle information efficiently, meet goals, avoid legal issues, preserve knowledge, and promote good governance (Touray, 2021). Records management involves organizing and finding information needed for decision-making. Records are crucial for shaping an institution's growth. With technology advances like computers and the internet, the role of managing records has changed, focusing more on handling information creation, storage, retrieval, and sharing (Touray, 2021). Shepherd & Yeo noted in their book that organizations rely on records for various purposes, including conducting current business, making decisions, and proving past activities or decisions (Shepherd & Yeo, 2003). Furthermore, they mention that records serve as a resource for accessing precedents and previous work, thus saving time and resources. They also play a crucial role in preventing fraud and protecting an organization's rights and assets, support accountability by enabling organizations to demonstrate compliance with legal, regulatory, and fiscal requirements, as well as best practices (Shepherd & Yeo, 2003).

Additionally, records served as organizational memory by providing evidence of past activities and basis for future actions, hence, records management is crucial for organizations and employees who rely on information (Touray, 2021). Its main role

is to ensure that records move smoothly through an organization, making information readily accessible when needed (Malake & Phiri, 2020). A wellfunctioning records management program is essential for this task since it assists users in performing their tasks efficiently, ultimately benefiting the company (Makhura et al., 2005).

II. Theoretical and conceptual framework

1. Theoretical framework

The theoretical framework for this study is the Records Life Cycle Model and the Records Continuum Model. These models provide a conceptual foundation for understanding the lifecycle of records within organizations and the continuum of records management activities over time.

a. Records Life Cycle Model

The records lifecycle concept depicts records as dynamic entities with a lifespan, similar to biological organisms. Developed by Schellenberg in the 1950s, this concept illustrated in figure 1 showing the progression of records through stages such as creation, capture, storage, use, and disposal (Shepherd & Yeo 2003).

Adopting the three-phased records life cycle (see figure 2), records undergo the: *current stage* where records are used by the organization; *semi-current stage* where

their business value is reduced; and *non-current stage* where records have little or no business value but can be used for research (Oweru & Mnjama, 2014).

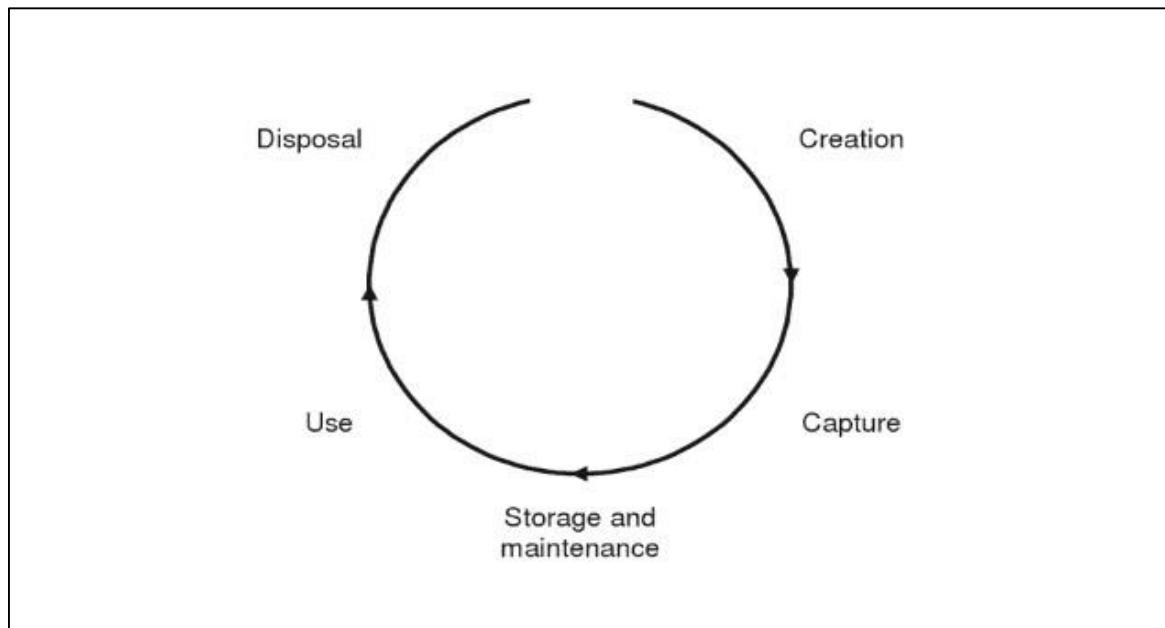


Figure 1: The Records Life Cycle Model (Source: Shepherd & Yeo, 2003)



Figure 2: The three-phased records life cycle (Source: Oweru & Mnjama, 2014)

b. Records Continuum Model

The Records Continuum Model is a model suggests that records management is not a series of discrete stages but rather a continuous and dynamic process; Records are seen as existing along a continuum rather than passing through distinct phases like creation, active use, semi-current storage, and archival preservation. Instead, it emphasizes the interconnectedness and fluidity of records management activities meaning that the model acknowledges that records are created within specific contexts and continue to evolve as they are used, shared, and transformed over time (Oweru & Mnjama, 2014).

Further added by Oweru & Mnjama (2014), the Records Continuum Model (RCM) can be represented as four concentric rings, each focusing on different aspects of recordkeeping: Document Creation, Records Capture, Organization of Corporate and Personal Memory, and Pluralization of Collective Memory. These dimensions intersect with four key activities: transactionality, evidentiality, recordkeeping, and identity. Each axis represents a specific activity or interaction that takes place within the model. The dimensions, referred to as Create, Capture, Organize, and Pluralize, depict recordkeeping activities across spacetime (Oweru & Mnjama, 2014). The activities occurring within these dimensions and across the axes are detailed in the figure and table below:

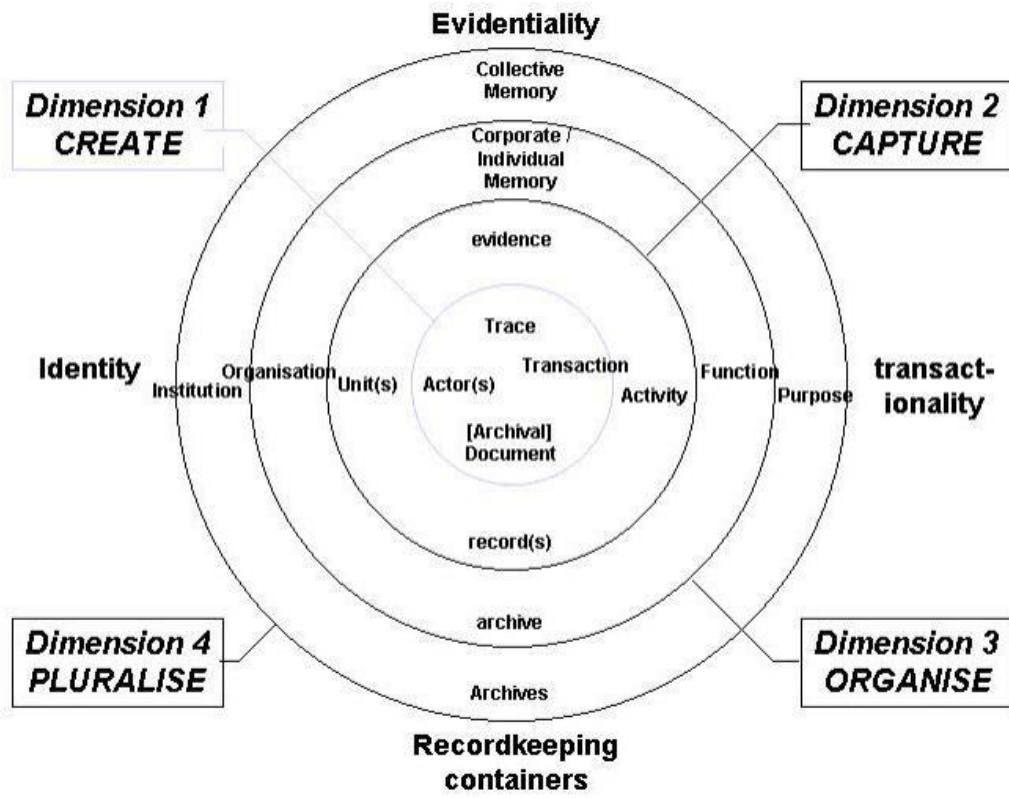


Figure 3: The Records Continuum Model (Source: Oweru & Mnjama, 2014)

Dimension	Transactionality	Evidentiality	Recordkeeping	Identity
Create	Transaction: A document is created.	Trace: A document is created as part of an immediate and minimal information process. All that is captured is the document structure and content, as well as potentially their order within the immediate context of creation.	[Archival] Document: A document is created and captured into an information system of some kind.	Actor: Someone decides to carry out an act that generates recorded information of some kind.
Capture	Activity: Records are managed as part of an activity performed by a group within an organization.	Evidence: Records are captured as evidence of the activity that contributed to their creation.	Record: Records are captured into a recordkeeping system.	Unit: Records are captured and accessed by a group of people.
Organize	Function: Records are managed as part of a function performed by an organization.	Corporate/Individual Memory: Records are organized and managed as evidence of their function(s) and play a role as organizational memory.	Archive: Records are organized in an archive as indication that they have continuing value for the organization/group/community.	Organization: Records are organized, accessed and managed according to organizational contexts.
Pluralize	Purpose: Records are managed within their ambient function(s) or societal purpose(s).	Collective Memory: Records are organized, managed and retained as evidence of their collective socio-legal memory.	Archives: Records are pluralized by demonstrating their ongoing value as collective memory by ensuring they are part of archival systems that carry records beyond the life of an organization.	Institution: Records are pluralized through institutions that manage records for societal benefit.

Table 1: Details of the Records Continuum Model (Source: Oweru & Mnjama, 2014)

2. Conceptual framework

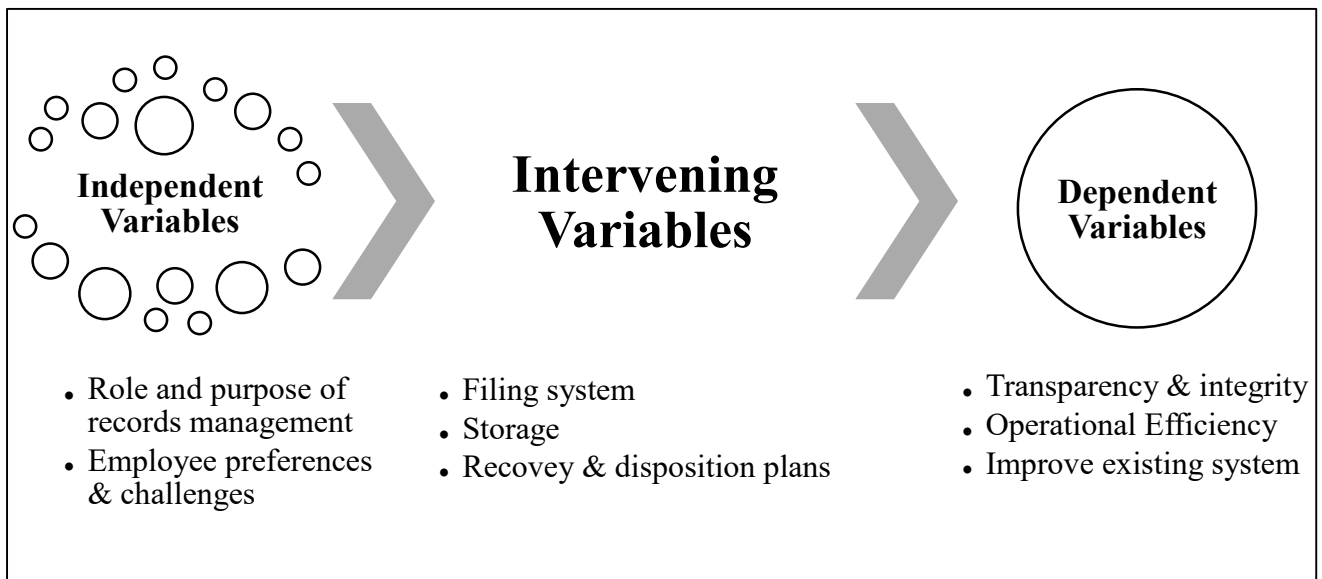


Figure 4: Conceptual framework

III. The problem

Numerous organizations continue to encounter difficulties in managing their records effectively. (Malake & Phiri, 2020). Challenges in records management include improper security measures for records, insufficiently trained records managers, limited resources for proper practices, inadequate space for storage, misplacement or loss of vital records, insufficient computer terminals, absence of record-keeping policies, lack of retention and disposition schedules, and ineffective retrieval methods (Mohammed, et. Al, 2018).

1. Statement of the problem

The study aims to investigate the role of records management within Phong Nguyen Plastic Production Trading Company Limited, assessing the existence of formal policies and procedures for handling records, examining the accessibility of