



Organizational Analysis of Electronic Records Management in Local Governments

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Why was this topic chosen?

- My background: Organizational Studies
- ERM (Electronic Records Management): the use of ERM is a global trend because internet is widely used.
- Applicable archives and records are needed
- Local governments are close to citizens.
- Most information of this study is from internet

Who are responsible for ERM?

- The website of U.S. National Archives & Records Administration (NARA) indicates
"If you are a Federal Government Employee, you have Federal records management responsibilities. Use this site to learn more!"

The problems (1)

- But, government employees might not perceive the responsibilities of ERM.
- Government failure of records management (RM) & ERM such as bureaucracy and/or lack of transparency.
- It means that electronic records might not be properly maintained, processed, and disposed.

The problems (2)

- It is difficult to get access of public records and/or archives. The “best records or archives” website is probably the Archive Unit of Taipei City Government. But the **information on internet** is very limited.
- 6 reasons cause the shortage of records and/or archive information on internet

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6 reasons behind the problem

- 1. local people or citizens don't have the concepts or demand
- 2. city mayors and county magistrates don't pay any attention to ERM and RM.
- 3. employees of RM & ERM don't have job commitments
- 4. employees are not qualified
- 5. employees don't have proper trainings
- 6. the problems are lying in organizational design.

Local governments

- local governments usually have less resources than central government to develop RM & ERM. Institutional arrangements, including formal and informal constraints, are necessary.

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ISO's definition on RM

- ISO (International Organization of Standard) standard 15489: 2001 defines (RM) as “*the field of management responsible for the efficient and systematic control of the **creation, receipt, maintenance, use and disposition** of records, including the processes for capturing and maintaining evidence of and information about business activities and transactions in the form of records.*”

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ISO's definition on ERM

- “*Electronic Records Management (ERM)* ensures your organization has the records it needs when they are needed.” This indicates the importance of ERM.

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Research Purpose

- The purpose of this study is to explore the organizational management of electronic records and to examine the effectiveness in local governments of Taiwan.

Local government's problems

- RM and/or ERM in local governments might perform worse than central government
- My perception of the problems: lack of **transparency & accountability**. There are **shortages** of archive information on website of local government

NAA

- National Archive Administration (NAA) is under National Development Council, which is ministry-level, in Taiwan. NAA is responsible to deal with national archives and to make RM & ERM policies. According to Article 2 of Organizational Act of NAA, there are ten missions.

10 missions of NAA (1)

- The NAA shall be in charge of the following matters:
 - 1. studying and drafting policies, legislation, and management systems for archives;
 - 2. supervising and assessing the management and use of government agency records, and compiling and publishing government agency records catalogs;
 - 3. reviewing the government agency record retention periods and disposal practices;

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10 missions of NAA (2)

- 4. appraising and classifying archives, setting retention periods, and settling disputed matters;
- 5. acquiring, transferring, organizing, and preserving national archives, making them available for use, and planning and implementing the establishment of facilities;
- 6. accepting donations of, accepting custody of, and purchasing documents or artifacts owned by private individuals or groups;

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10 missions of NAA (3)

- 7. planning and coordinating the building of documents and archives information systems;
- 8. researching the management and use of archives, and conducting related publishing, technology development, academic exchange, and international cooperation, as well as training of archive management personnel;
- 9. planning and implementing document timeliness control at government agencies under the Executive Yuan; and
- 10. other matters pertaining to archives.

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Comments of NAA's missions

- Unlimited responsibility?
- Yes
- No
- Few local governments have their own missions (acts)
- No ERM acts and/or regulation in local governments **except Taipei City.**
- Local governments' RM and ERM

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The role of government changed

- The **abolishment of Taiwan Provincial Government**
- It changed the role of central government and local government
- Policy formulation, policy planning, and policy implementation

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Related literature & theories

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ERM literature

- GAO's report in 2001
- NARA has taken action to respond to the challenges associated with managing and preserving electronic records. In 2001, NARA completed an assessment of the current federal recordkeeping environment. This study concluded that although agencies are creating and maintaining records appropriately, **most electronic records (including databases of major federal information systems) remain unscheduled** (that is, their value has not been assessed nor their disposition determined), and records of historical value are not being identified and provided to NARA for archiving.

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ERA of NARA in the U.S.

- Electronic Records Archives (ERA) is a system, **a big ongoing project**
- And there is a homepage, which includes a lot of information related to ERM.
- Should Taiwan's NAA have a system like ERA?

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Organizational theories

- Organizational Structure
- Centralization
- Decentralization
- Differentiation
- Integration

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Organization structural view

- From organization structural view, it indicates that the function of performing ERM is unclear.
- Or, the function of ERM could be limited under current organizational design.
- Specific ERM system or unit was not designed

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Structural Problems (1)

- Bolman & Deal (1991: 48) indicated that there could be 6 problems from structure view lying in organizations including goals, suitable structure, fits between organization and environment, specialization, coordination and control, and improper organization structural design.

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Structural Problems (2)

- 1. Goal accomplishment (org. exist)
- 2. Structure could be designed to fit
- 3. Organizations work effectively when rationality is the norm.
- 4. Specialization, high expertise and performance
- 5. Coordination & control are essential to effectiveness
- 6. Organizational problems are from inappropriate structure
- Therefore, ERM restructuring is necessary

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Human Resources Problems

- 1. Organizations exist to serve human needs
- 2. Organizations & people need each other
- 3. When the fit is poor, one or both would suffer
- 4. Human beings find meaningful work, org. get talent and energy they need
- Therefore, empowerment, encouragement, and enlightenment are necessary for ERM employees.

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Power & Politic Problems

- 1. Organizations are coalitions composed of diverse interests and values.
- 2. There are enduring differences among ind. & groups
- 3. decisions → allocation of scarce resources
- 4. Conflict is central, power is the most imp. resources
- 5. goals & decisions emerged from bargaining & negotiation
- Hierarchy & positions determines the destiny of ERM

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Open data, and open governments(1)

- Huijboom & Van den Broek (2011) argued that in an increasing number of Western countries, “open data” is being placed on the political and administrative agenda.
- Open data & open government are emphasized **but not including ERM**

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Open data, and open governments(2)

- McGee & Gaventa(2010: 5) pointed out that participatory budget, public expenditure monitoring, participatory auditing, and open budget were all related to transparency and accountability.
- The possibility of **participatory ERM**?
- ERM has not been created to be an **agenda**.

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Transparency & Accountability

- Participatory archive: towards decentralised curation, radical user orientation, and broader contextualisation of records management.
[Archival Science](#) March 2008, Volume 8, [Issue 1](#), pp 15–36

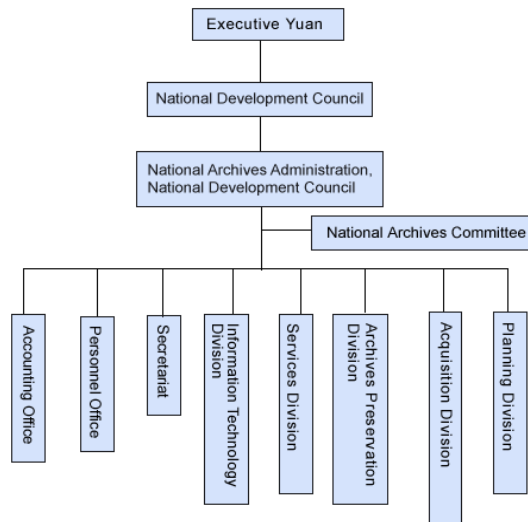
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ERM No show on website, why?

- 1. ERM functions are not operated by one specific department or unit.
- 2. ERM functions might be separated into different departments.
- 3. There might have cross-departmental collaboration but just not showing on website.

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NAA of Taiwan



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NAA & Local government ERM unit

- Loose coupling system, Why?
- 1. RM & ERM not at the first level dep. under Mayor. Usually RM is at the second or third level of local government (Taipei city, Secretariat – Document – Archive; Tainan city, Secretariat – Archive)
- 2. the 6 reasons mentioned above

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NAA vs. R & A Offices

- NAA is at the first level under Ministry
- Records or archives offices are at the second or third level units in local governments

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Compared with other agencies

- All agencies below are at the first level department under local government
- Accounting, Ministry level,
- Personnel, Ministry level
- Police agency, not Ministry level
- Integrity (AAC, Agency Against Corruption.) not Ministry level

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Problems for Org. Structure

- As Bolman & Deal (1991: 48) indicated that there could be 6 problems from structure view lying in organizations including goals, suitable structure, fits between organization and environment, specialization, coordination and control, and improper organization structural design.

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Shortage of HR & budget

- 34 out of 41 interviewed organizations complained the shortage of human resources on records units.
- 1. not enough ERM employees
- 2. low levels & temporary positions
- 3. low autonomy and low budget allocation
- 4. no pressures from outside (environments, including politicians and media)
- 5. 6 reasons above

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Conclusion

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ERM problems in local governments (1)

- 1. No Records and Archives application information existed in local governments.
- 2. website information for ERM is insufficient
- 3. Mayors of local government didn't pay attention to ERM
- 4. lack of job commitments for ERM employees

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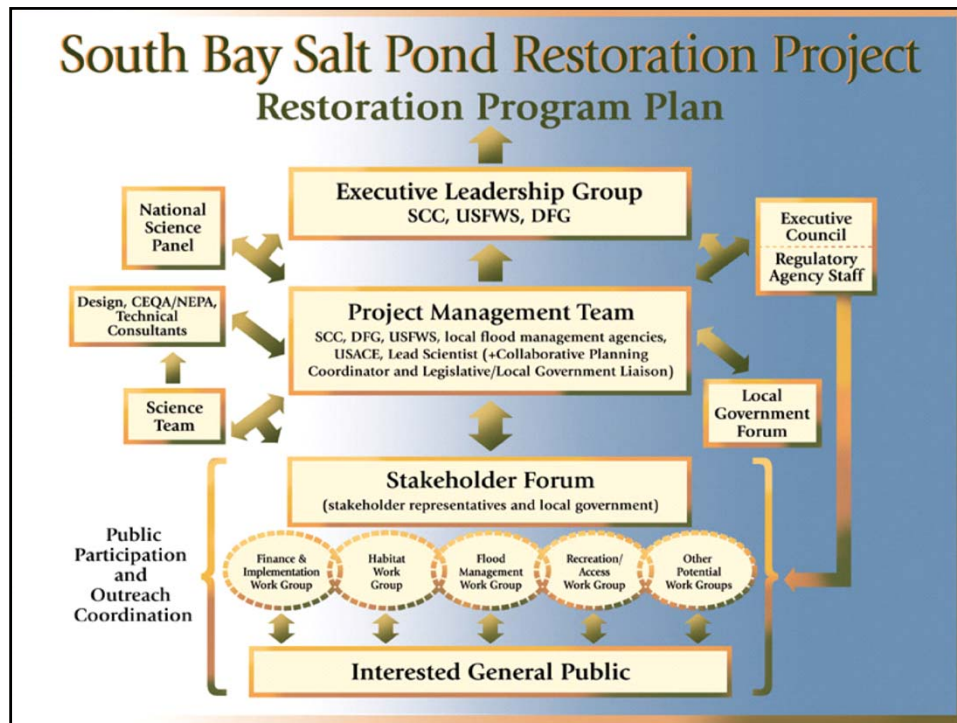
ERM problems in local governments (2)

- 5. Organizations and/or projects of ERM were not properly designed.
- 6. Shortage of HR & budget

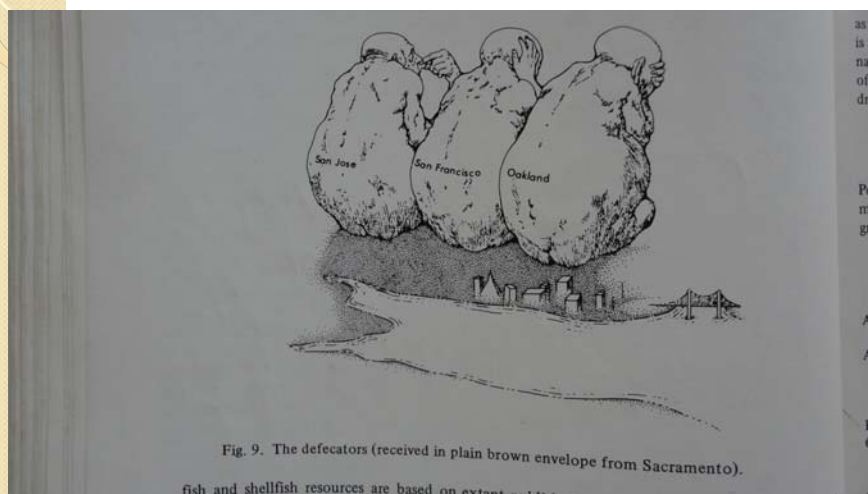
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The future of ERM

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Who polluted the Bay?



Three women in 1961 have “Save the Bay” born



- Save San Francisco Bay Association, (from left) Esther Gulick, Sylvia McLaughlin, and Catherine Kerr.

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3 Women, 2 Movements, 1 Vision — A better place to live



Two Movements

- 1. San Francisco Bay Association (Save the Bay)
- 2. Bay Conservation and Development Commission (BCDC)
- the McAteer-Petris Act in 1965 placed a moratorium on additional filling of our Bay and established the first coastal protection agency in the United States called the Bay Conservation and Development Commission (BCDC).

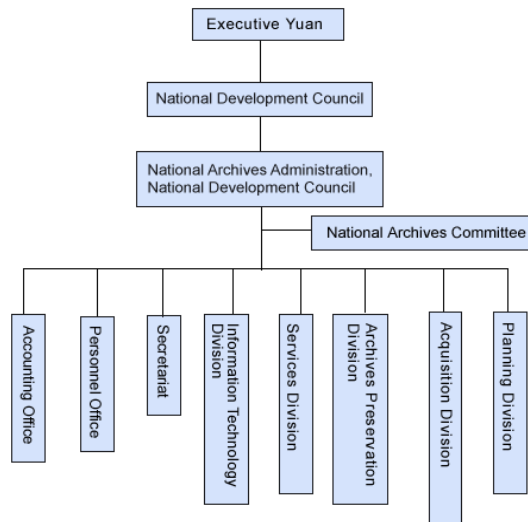
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Solution suggestions

- Structure + HR + Power & Politics

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NAA of Taiwan



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Thank You Very Much!

Q & A?