

Analysis of the Implementation of ISO 15489:2016 Record Management at Bank Indonesia Representative Offices

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ABSTRACT

ISO 14598 has a national standard in archive management so that agencies can have a more organized procedure or system for handling archival documents. The purpose of this study is to find out how the implementation of ISO 15489: 2016-Record Management and find out the obstacles in Processing for Creating, Capturing, and Managing Records at Bank Indonesia, Bengkulu Province. This research uses qualitative methods, data taken from the results of systematic observations, in-depth interviews with informants. The results of the study stated that Bank Indonesia had received a complaint of ISO 15489: 2016 but in its implementation there were still problems in filing and depreciation of archives. To respond to this problem, Bank Indonesia can check the BI-RMS application regularly so that it knows which files can be moved and destroyed, and archivists must record the files issued by each unit to avoid losing archives.

Keywords: ISO 15489:2016, record management, archives, iso implementation.

INTRODUCTION

Archives have an important role in organizations and agencies because almost every agency carries out administrative activities which will eventually produce archives containing information (Undang-undang Nomor 43 Tahun 2009 tentang Kearsipan, 2009). The information contained in the archives has a function as a source of reference and reference for employees in an agency in carrying out various administrative activities for internal and external agencies (Niswaty, 2010).

The development of increasing information needs certainly requires public services to be more effective and efficient. At present there are still many agencies that have not managed their records properly, it is undeniable that there are still many agencies that overrule the management of records in accordance with the provisions, this is what often becomes an obstacle for agencies in providing good service, especially archive retrieval services. There are several factors that affect agency awareness in managing archives properly, one of which is the lack of guidance regarding archive management, as stated in the 2020 report on the results of national archival supervision by (ANRI, 2020) explained that related to fostering archive management, there are still many agencies that have not carried out comprehensive archival management, especially those related to internal archive supervision, maintained archive management, and archival awards. In 2019 there were 8 (eight) agencies that had not conducted archiving training at all within their agencies. In 2020, there are 7 (seven) agencies that do not conduct archiving training within their agencies. In 2020 there was an increase in the number of agencies that managed archives by 4 (four) while in 2019 there were only 2 (two) institutions that managed archives, in 2020 the number of agencies that supervised internal archives

underwent a change of 2 (two) agencies from 2019, Agencies that provide archival awards have increased from the previous 3 (three) agencies to 7 (seven) agencies.

Advances in technology have made it easy for agencies to carry out good information management (Hasyim et al., 2021; Syarifuddin et al., 2021). Global progress also requires agencies and companies to be able to follow international standards in managing their records (Barthos, 2015; Niswaty, 2021; Saleh & Nasrullah, 2019). International standards can have a positive influence as an effort to increase efficiency and effectiveness in an institution. This is the factor why agencies have to manage archives globally. ISO International Standards which have the main objective of building good policy standards within agencies as well as carrying out continuous improvement and supervision of agency business processes.

The International Organization for Standardization (ISO) is an international organization/body that sets an internationally recognized standard for all matters related to global commercial and industrial standards. One of the products that has been issued or produced is ISO 15489 regarding Records Management. Archives in ISO 15489 mention records containing information created, received, and maintained as evidence and information by an organization or person, in accordance with legal obligations or in business transactions (Dick Weisinger, 2011). Thus it can be understood that ISO 15489 is a standard for records management policies and procedures.

ISO 15489 has a goal, namely as standardization in records management in order to ensure the availability of records as the implementation of activities including performance integrity as well as valid evidence that has completed the requirements (Healy, 2010). In managing archives, they must meet good management standards, this of course has been stipulated in large agencies so that when carrying out the process of searching and maintaining archives it can be done easily. ISO 15489 has an international standard in archive management so that agencies have better procedures or systems for handling archival documents. The application of ISO 15489:2016 in Indonesia is still not widely implemented, in the implementation of the 2001 series it is very far from the target set. In fact, there are still very many agencies that do not know if there are international standards outside of the law on archiving. Therefore, fostering archive management must be improved immediately.

Efforts made by the Bengkulu province of Bank Indonesia in improving archive management are by implementing ISO 15489:2016-record management. Bank Indonesia Bengkulu Province has received ISO certification on December 10, 2021, the process of obtaining this certification took 8 (eight) months. It had conducted 2 (two) audits, namely pre-audit and final audit. After implementing ISO 15489:2016, it is hoped that Bank Indonesia Bengkulu Province will be able to maintain records management and be able to evaluate improvements and supervision in managing archives so that the implementation is more optimal.

Bank Indonesia Bengkulu Province has received ISO 15489 certification but in its implementation there are still some obstacles. Based on the results of the research conducted by the researchers, it was found that the management of archival filings had not been maximized, where there were still many files that had not been entered into the BI-RMS application and there were still many documents that had not been managed according to the target. lost must be searched first to be entered into the Bank Indonesia-Record Management System (BI-RMS) application, this occurs because archivists experience many problems in the input process which causes the management and input of archives to accumulate because every day the archives will

continue to grow. Failure to achieve this target cannot be tolerated because it will result in ineffective and inefficient archive management.

Based on the explanation above, the implementation of ISO record management explains the management of records. How to do good archive management so as to be able to increase the quality of document management contained in the Regional Representative Office of Bank Indonesia Bengkulu province. Archive management at Bank Indonesia can be carried out in accordance with ISO 15489:2016 standards. After identification, it can be concluded that the Regional Representative Office of Bank Indonesia Bengkulu Province has succeeded in becoming a competent agency, judging by its achievement in obtaining ISO 15489:2016 record management certification. This certificate is proof that can be recognized internationally that Bank Indonesia has carried out records management. Based on this, the formulation of the research problem is how to implement ISO 15489:

METHODS

Research on the analysis of the implementation of ISO Record management at the Regional Representative Office of Bank Indonesia Bengkulu Province, this research uses a qualitative research type, with reference to the meaning, concept, definition, and characteristics, as well as the description of something being studied. This method is used in examining a state of the object. Data collection was carried out using data triangulation techniques (combined), while data analysis is inductive. The research conducted will look for data, facts, and an in-depth understanding of the analysis of the implementation of ISO 15489:2016 Record management at Regional Representative Office of Bank Indonesia Bengkulu province.

The type of qualitative research in this research is descriptive-analytical which describes and explains the data related to the discussion. The descriptive method used in this study is an activity of describing ISO 15489 Record Management variables which explain based on the characteristics according to reality using the circumstances that occur. Data analysis used is data reduction, data presentation and conclusion (Miles et al., 2014). Test the validity of the data using triangulation techniques, data collection trigulation techniques (Sugiyono, 2016) namely observation/observation. Data collection techniques in this study used observation, namely by observing and recording directly systematically on research objects at Bank Indonesia representative offices related to research problems, namely the implementation of ISO 15489:2016-Record Management.

The informants selected for this research have met the criteria and their role in the implementation of ISO 15489:2016 and the parties involved in the implementation of the ISO 15489:2016 records management system at the Bank Indonesia Regional Representative Office of Bank Indonesia Bengkulu Province. The criteria for informants to be determined by researchers to achieve research objectives are (1) Have attended ISO 15489:2001 and ISO 15489:2016 intermediate class training (2) Played a role in implementing ISO 15489:2016 at Bank Indonesia (3) Has been an audit or internal auditor (4) Willing to be an informant. Data analysis used is data reduction, data presentation and conclusion. Test the validity of the data using triangulation techniques, data collection trigulation techniques (Sugiyono, 2016) namely observation/ Observation. The data collection technique for this research uses observation, namely by conducting systematic direct observations and recording of research objects at Bank Indonesia representative offices related to research problems, namely the implementation of ISO 15489:2016-Record Management.

RESULTS AND DISCUSSION

ISO Record Management is an international standard that has been recognized globally regarding how to process the steps of implementing records management. This ISO 15489 guide becomes a normative reference for carrying out archival procedures. The implementation of this archive includes the planning process for managing records. Archive control, archive process, up to the stage of archive destruction. In supporting the archive cycle management process, the Regional Representative Office of Bank Indonesia Bengkulu Province applies the ISO 15489 standard. This ISO 15489:2016 is a normative document that stipulates parameters or measurements by which a management record program must be established, regardless of the size of the agency, the type or location of the agency, or the level of technology to be used. This standard defines the requirements for the implementation of the functions of a records management system based on the life cycle of records. The role of archives for agencies is as proof of valid transactions, records of agency activities, assets and a collection of information so that these goals can be fulfilled archives must be managed properly (Ramudin, 2020a).

Bank Indonesia is an agency that manages and has records management which will certainly carry out the archive life cycle process. This is because the Regional Representative Office of Bank Indonesia Bengkulu province creates and manages records as evidence of the activities of their agencies and as information for decision making. Archives that are stored or managed are not stored forever but will be disposed of when the use value of the archive has run out. This means that the Regional Representative Office of Bank Indonesia Bengkulu Province also carries out the archive life cycle process.

Implementation of ISO 15489:2016 Record Management has 9 requirements, in this study using the latest revision of ISO 15489:2016. List of ISO 15489:2016 Record Management requirements quoted from (Robere & Associates, 2020) namely (1) Scope (2) Normative References (3) Terms and Conditions (4) Principles for Managing Records (5) Records and Records System (6) Policies and Responsibilities (7) Appraisals (8) Record Control (9) Processing for creating, capturing, and managing records. This study focuses on examining the implementation of ISO based on the 9th requirement regarding records management. The indicators in the 9th requirement of ISO 15489 are (1) business classification (2) creation of archives (3) filing of archives (4) classification of archives (5) controlling access to archives (6) storage of archives (7) use and borrowing (8) archive migration and conversion (9) depreciation.

Discussion

General (Business Classification Scheme)

The creation of archives at Bank Indonesia is generated from the office process business which is made for each unit written with the code M02. Documents can also be delivered to each work unit written with M01 used for internal and external agencies. Types of letters issued internally and externally include letters of agreement, decrees, power of attorney, minutes of meetings and disposition sheets of Bank Indonesia. Determination of archive classification and indexing addresses is made in accordance with Bank Indonesia Document Management guidelines, the order of numbering for archive classification is fiscal year, document number, work unit rubik, document type (M01, M02, letter) then document type. Archive storage has

been done properly. Archives are stored in a cupboard according to the type of archive storage cabinet, namely filing cabinet, storage cabinet, wooden cabinets and shelves. The use and reuse of archives at Bank Indonesia is carried out by the archive lending administration so that a list of borrowing can be made for internal lending of archives using a logbook, while for external agencies using archive borrowing vouchers which will later be sent in the form of a copy. Archive transfers over 3 years will be transferred and then destroyed according to the Archive Retention Schedule.

The business classification scheme at Bank Indonesia has been carried out according to Bank Indonesia Document Management guidelines and ISO requirements. However, in its implementation, there are still some obstacles, such as difficult to determine the classification number because there are many similar types of documents but are entered into different sections and many new documents. Then the constraints found in the BI-RMS file transfer found in the BI-RMS system only stated the number of numbers to be transferred but did not explain which archives could be moved so the archivist had to check the archive data one by one.

Archive creation

Archives are created, received and issued in accordance with agency administrative activities. Documents at Bank Indonesia are received through the Expedition Management Unit or directly to the Management Unit and must be in recorded condition. Expedition Management Unit accepts documents without opening the cover of the document. Official documents issued on the cover of the envelope clearly state the name of the UP and the receiving official, documents addressed to members of the Board of Governors complete with personal names, official documents have been drawn up and addressed to individuals, confidential documents are made with the RHS code at the end of the document number. Document creation at Bank Indonesia went well according to Bank Indonesia Document Management guidelines and ISO guidelines.

Comporn

Comfort is a condition in which a person feels valued, feels safe. comfort needs to be obtained by everyone in their activities, including access that makes the results maximum and satisfying. Related to the convenience of service accessibility for persons with disabilities at the Makassar City Social Service Office, according to the results of the study it is known that as long as persons with disabilities receive services they never complain about the special facilities available because of the lack of facilities can be covered by the presence of a companion. Complaints that have been made by persons with disabilities according to the staff of the Social Rehabilitation Division of the Makassar City Social Service are related to assistance for persons with disabilities.

If in the process of public services for persons with disabilities, there are complaints, then the complaint resolution mechanism is through internal complaints. Where the party who wants to submit a complaint does so by submitting a complaint to the companion. The companion will later convey the complaint to the complaint unit or the direct service unit that receives complaints from the disabled community.

Based on the results of interviews with persons with disabilities, even though the existing facilities are not yet intended for those with disabilities, they already feel comfortable with the services they get. This is because the Makassar City Social Service employees treat

them very well and always put them first. The attitude given by the Makassar City Social Service employees has made people with disabilities feel that they are valued and not excluded.

Archive filing

Filing of archives at Bank Indonesia goes through several processes, namely grouping archives based on the type of document and letter, then assigning a file title, assigning a classification code after all archives are input into the BI-RMS application and waiting for file validation. The BI-RMS application also provides a feature that can directly print file labels and table of contents according to where the archives are grouped and stored, documents are grouped by archive labels and arranged based on the table of contents of the archive, if the archives that have gone through the filing process are stored in a filing cabinet.

The obstacle encountered in the archive filing process is that there are still files that have not been inputted into the BI-RMS application. This is caused by there are still many incomplete documents because the files overlap between units and are in different folders, so they must be collected first and grouped according to the group, this is what causes the archives to accumulate and cannot be inputted into the BI-RMS application. Obstacles in the filing process will cause the archive management activities to also be hampered.

Archive classification

Archive classification is very important for an agency to facilitate archive retrieval, according to (Alem Maulana Wulida Finnahar & Fatmawati, 2021) archive classification, namely the activity of grouping using a certain code or pattern in accordance with the policies and provisions of each agency. Archive classification is useful for explaining, organizing, and reviewing records so that their management is more effective and efficient.

The classification of archives at Bank Indonesia is grouped based on the Problem Classification and Bank Indonesia Archives Retention Schedule. The archive classification process for under 2016 is carried out using a two-digit code, the archive classification is determined based on the problem, determines the type of document, retention schedule, retention start date, recommendations and descriptions. While the process of classifying the archives above in 2017 until now is grouped based on SE No. 18/125/INTERN dated 30 December 2016 with the classification step of determining the three-digit code, classifying archives based on the type of archive, determining the type of document, textual archive retention schedule and electronic archive retention schedule, then retention start date, recommendations, and descriptions.

Records access control

According to (Rahma & Mayesti, 2019) Archivists play an important role in controlling access to archives and are directly involved in the control process. This is because electronic archives and non-electronic archives can only be accessed by archivists or those who are responsible for managing records, if archives are needed then it is the archivists who will search for the archives to avoid losing archives or entering the archive space by users who do not have authority.

Archive access control is managed through an authorization process, archives imported into the BI-RMS application will first be validated through an authorization process. Bank Indonesia also supports provision and limitation of access to archives, where only archivists and archive management units hold access and keys enter the archive room. After the archive space

is finished, the key will be stored in a key storage box. Implementation documentation and access rules can only be made by archivists or have been authorized by archivists in accordance with the terms and conditions. Each archive room has one archivist who manages and ensures that the archives are kept safe and well maintained.

Archive storage

Archives must be stored to protect them against unauthorized access, unauthorized changes, loss and destruction, including theft and disaster. Archives are stored in filing cabinets, wooden cupboards, and static racks (Daryana, 2018). The archive room is equipped with a Light Fire Extinguisher which can be used to extinguish fires so as not to damage documents. The archive room is also equipped with Closed Circuit Television (CCTV) which is in front of the entrance and in the archive room. Document storage after working hours ends or when not working must comply with the 3R principles, namely neat, clean, and concise. The archive room will be checked every day to maintain its security, and at least once every 3 months for the Central Khazanah Archives archive room, temperature and the humidity of the archive room is also maintained and regulated according to the guidelines, the temperature may not be more than 22 degrees and cannot be below 18 degrees. Humidity should not be more than 60 Relative Humidity (RH).

Use and borrowing

The use and borrowing of archives at Bank Indonesia is divided into 2 parts, namely lending to internal and external parties. Loans of archives by external parties must use Archive Borrowing Certificates. A copy of the archive loan receipt is placed at the location or place where the original archive file is stored. Borrowing archives carried out by external parties is made based on a loan request letter, if it has been approved, then a copy of the archive requested will be given (Ramudin, 2020b). Specifically those who wish to borrow archives in the SKA room must provide a record of the list of archives they wish to borrow, making it easier for the archivist to monitor the borrowing period until the archives are returned to their place in the SKA room.

Archive migration and conversion

The archive conversion process at Bank Indonesia is carried out through media transfer activities. First, the physical archive is uploaded into the BI-RMS application, then after the archive has been successfully uploaded, the archivist will print a metadata sheet as proof that the archive has been converted, then the archivist and officials will re-check the physical archive and the archive that has been transferred. The archive conversion process must pay attention to several things, namely scanning must be done with a minimum resolution of 300 dpi (dots per inch) and stored on a temporary storage medium. File names use lowercase letters with the rule of Work Unit Name Rubric-Work Unit Rubric-Document Date (DDMMYY)-Document Type Abbreviation-File Sequential Number; example of naming the file *dplf-ars-121016-rr-3*, The saved file must use the file extension *.pdf* and uploaded into BI-RMS and delete files stored on the storage media. The process of migrating p archives carried out in the context of reorganization follows the Bank Indonesia Document Management provisions regarding "Document Control in the Context of Reorganization". The archive migration process caused by a change in the application system is carried out by following the provisions regarding Application Development Project Management.

Shrinkage

The depreciation process is carried out according to the rules of the authority supported by the archive system. Archives and metadata must be retained for the period of time specified in the disposition authority (archive retention). In carrying out depreciation Bank Indonesia follows the Bank Indonesia Document Management guidelines in accordance with the Archive Retention Schedule. Records retention schedule is determined based on problem classification. Based on the classification of problems regarding intervention/sterilization and window facility, the archive retention schedule is 10 years, securities transactions, deposit transactions, forex transactions, derivative transactions, the archive retention schedule is 3 years, for archives that still have use value, it will be reviewed if the retention period is the archive has expired. The process of depreciating archives carried out at Bank Indonesia is transferring management of records and metadata to a responsible organization, destroying records and metadata, suspending archives and metadata with the approval of an official at the level of Assistant Director, where the new JR may not be longer than the old JR, transfer control over institutional or external archival records and metadata for permanent storage

The obstacle encountered in the depreciation process is the fast addition of archives, while the disproportionate destruction schedule causes more and more archives. Files that have been scheduled to be destroyed may not necessarily be destroyed because it is necessary to pay attention to archive details, especially information after the year of the archive. Many archives have entered the retention schedule but are still suspended which causes the archives to not be destroyed. The authority system in the BI-RMS application is intermittent and periodic, so it takes quite a lot of time for the files to be moved and destroyed to be given permission by the authorities.

CONCLUSION

The 9th (nine) requirement of ISO 15489:2016, namely Processing for creating, capturing, and managing records, there are 3 (three) indicators that have problems in their implementation, namely business classification schemes, filing archives, and depreciation of archives. The obstacle encountered in the business classification indicator is that it is difficult to determine the classification number because there are many similar types of documents but enter into different sections as well as many new documents. The problem with the archive filing indicator is that there are still files that have not been imported into the BI-RMS application. This is caused by the fact that there are still many incomplete documents because the files overlap between units. the constraints found in the transfer of archives in the BI-RMS system only stated the number of digits to be transferred but did not explain which archives could be moved so that the archivist had to check the archive data one by one. The obstacle encountered in the depreciation process is the fast addition of archives, while the disproportionate destruction schedule causes archives to accumulate more and more.

Suggestions for determining the classification number can be checked through the BI-RMS application or asking directly to the archive, checking the BI-RMS application periodically so that you know which files can be moved and destroyed without having to check one by one, to avoid losing archives, the archivist must records the files issued by each unit and

waits for all of them to be collected until the specified deadline is then input into the BI-RMS application.

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