The Implementation of Electronic Records Management System: A Case Study in Malaysian Judiciary

Wan Satirah Wan Mohd Saman
School of Computer and Information Science, University of South Australia, wanwy051@mymail.unisa.edu.au

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The Implementation of Electronic Records Management System: A Case Study in Malaysian Judiciary

Wan Satirah Wan Mohd Saman  
School of Computer and Information Science  
University of South Australia  
wanwy051@mymail.unisa.edu.au

Dr. Abrar Haider  
School of Computer and Information Science  
University of South Australia  
abrar.haider@unisa.edu.au

ABSTRACT

The implementation of electronic court records management systems in different countries is faced with a number of organizational, technical and procedural issues. The management of these records is further subjected to the legal framework that governs the lifecycle of records management. This paper presents the case for research into records management in Malaysian judiciary. It emphasizes the issues and challenges posed to records management in Civil as well as Shariah courts in Malaysia and highlights the major electronic records and documents management initiatives taken by the judiciary. The paper, thus, presents a preliminary framework for electronic court records management.

Keywords

Records management, electronic records management system, courts management.

INTRODUCTION

Records management is the core issue in public governance. In judicial administration, records serve as the backbone in the delivery of justice - accurate records provide complete information that help the judges confer impartial decision in court cases. Given the high volume of court cases filed every day, records management systems play a very important role in ensuring that complete information is available to jurists to make decisions, avoiding corruption, speedy case disposal and most importantly the protection of legal rights of individuals and society at large (Motsaathebe 2009; Thurston 2005). The use of electronic documents and records management systems (EDRMS) is a recent phenomenon and different countries around the globe have implemented these systems with varying degree of success. Some are very advanced, given the strong legal framework prepared in advance and less volumes of case numbers, while some have spent a great amount of time laying the foundation of laws governing EDRMS. There are also instances where judiciary has implemented EDRMS while at the same time preparing the legal framework for its implementation (Motsaathebe 2009; Reza 2008; IRMT 2002, 2001).

In Malaysia that has two judicial systems running side by side (provided by Article 121(1A) of the Constitution of Malaysia), i.e. civil law and Shariah law, both have their own set of electronic system laid down under different projects. The Conventional i.e. the Civil Court System under their own initiative established the electronic courts systems consisting of e-Filing Systems, Case Management System, Queue Management System and Court Recording and Transcribing. These systems were successfully piloted in Kuala Lumpur High Court, pioneered by the New Commercial Court which was launched on 1st September 2009 as a test bed, before its full implementation to the other courts throughout the country. The second judiciary system, the Shariah Courts, has its own case management system Sistem Pengurusan Kes Mahkamah Syariah (SPKMS) or Syariah Court Case Management System. This system forms part of the e-Syariah project, one of the seven pilot projects of e-Government in Malaysia. The other initiatives under e-Shariah project are Shariah lawyer Management System, Office Automation System, Library Management System and E-Shariah Portal. This paper discusses the issues faced by Malaysian Courts in the course of introducing electronic case file management. It starts with explanation of the research motivation, research objectives and research significance and then traces the development of EDRMS in both Civil & Shariah Courts, which is followed by a preliminary research framework for investigating implantation of electronic court records management in Malaysia.
RESEARCH MOTIVATION

Public sector organizations are obliged to manage their records in line with legislation and organizational policies. Ensuring compliance with records management obligations can be difficult, especially given the explosion of records in electronic form, most notably e-mail, and the devolution of many records management functions throughout the organization. In Malaysia, the public sector is facing pressing challenges to provide efficient service delivery. Any shortcomings resulting from the poor management of records in public service delivery may lead to the question of integrity of public sector, as well as the issue of respect as a nation.

In court administration, the large quantity of records and lack of human resource gives the utmost challenge to the court officials to handle case management effectively (Hamzah 2010). Given such a situation, the need for effective records management system is mounting. It drove the Chief Justice of Malaysia to solicit certain budget from the cabinet to establish the system, which was subsequently granted. There is also a pressing need for a clear definition of legal framework for administration of EDRMS in Malaysian courts (Johare 2007). Experience by countries in International Records Management Trust (IRMT) research (IRMT 2004) proved that for a system to work with authority, trustworthy and reliability needs a strong legal framework of its own.

RESEARCH OBJECTIVES AND QUESTIONS

The research aims to, firstly, explore the implementation of electronic court records management in Malaysian Courts, secondly, to analyze the requirements, policies and procedures for managing electronic court records, and thirdly, to establish a framework and assessment criteria guideline for a legally complied electronic court records management system. The main research question is “How can ICTs allow for better management and legal compliance of court records in Malaysia?”. The sub questions are:

SQ1: How is electronic court records life cycle management implemented in Malaysia?
SQ2: What are the requirements, policies and procedures in place for managing electronic court records in Malaysia?
SQ3: What is the appropriate framework for legally compliant court records management in Malaysia?

RESEARCH SIGNIFICANCE AND CONTRIBUTIONS

This research is significant to the information and records management discipline, addressing the gap between records management and its legal and compliance requirements. It will specifically tackle the issue of legal compliance in records management. This study is expected to offer favorable contributions to the body of knowledge for academics and practitioners. In its theoretical contribution, the study is expected to identify critical dimensions or factors in managing court records. A formalized electronic court records management framework will be developed, based on the study of applicability of general principles of records management in legal or judicial setting. The developed framework can be further tested and used by future researchers to study document management practice in Court setting in other countries. In its practical contribution, the research is projected for the enhancement of overall quality of judiciary administration by increasing integrity, efficiency, effectiveness. For court administrators as policy makers, this research can promote an improvement in the judicial corporate administration as well as building an excellent service and reputation of the judiciary.

RESEARCH METHODS

This research employs an interpretive stance with an exploratory case study method. It employs a triangulation strategy for data collection, and therefore qualitative and quantitative data have been collected through interviews, surveys, observation and document review. The interviews were transcribed and data from all sources were analyzed using case study techniques of themes, descriptions and assertions as detailed in Creswell (1998). The interviews were transcribed and data from all sources were analysed using NVivo software using its features of themes, descriptions and assertions. The interviews were followed up by email and telephone for further clarifications, where it was deemed necessary. The conclusions drawn in the following case, thus, represent interpretations of the evidence as understood by the authors.
PRELIMINARY FINDINGS

The preliminary findings shows that the implementation of electronic records management system in both Civil and Shariah judiciary systems lead to significant improvement to case management, resulting in efficient service delivery to the public at large.

Malaysian system of government is based on constitutional monarchy and parliamentary democracy. It adopts the doctrine of separation of power between the legislative, the executive and the judiciary, enshrined by the Federal Constitution, the supreme law of the land. The federal Constitution also set up the separation of power between the federal government and state government. The judicial authority of Civil matters is vested to the Federal government and Shariah laws to the 14 state governments (Schedule 1 of Federal Constitution). The conventional, civil legal system is based on the English common law and Civil law statutes. The state governments have their own version of Shariah Family Law enactments. The Civil and Shariah court systems, having their own distinct jurisdiction, consist of different set of hierarchy of courts. The civil court has Magistrate and Sessions Courts as the subordinate courts, and High Court, Court of Appeal, and the Federal Court as the supervisor courts; whereas Shariah courts have three levels, i.e. Lower court, High court, and the Court of Appeal (Federal Constitution 2006; Hamzah and Bulan 2006)

Today, both Court systems have their own electronic court records management system in place. For the Civil Court, e-Courts project was established with the aims to, firstly, allow on-line case filing to achieve paperless office, secondly, save storage space and human resource, thirdly, allow immediate access to documents during trial, and fourthly, avoid document counterfeit. The four initiatives relating to these aims in the civil court electronic systems are electronic filing system, case management system, queue management system, and court recording and transcribing. Figure 1 explains the overall view of how the systems interact with each other within the case management process.

In a typical standard operating procedure of a civil case, summons will be filed by a lawyer or individual or public through the online e-Filing System. All the necessary documents are prepared in softcopy and submitted online. A payment of fees is done via internet banking. Once filed, the case will be managed under the case management system application. Queue management system is in operation when case is being heard or mentioned by the judicial officers. If the case needs to be heard by the judge, a trial date will be scheduled in case management system. In the courtroom, when trial proceeds, the court recording & transcribing system is in operation. This audio video recording system allows the proceeding to be recorded fully.
in audio video format, saved and can retrieved when needed, such as to make a report or case summary. For the purpose of CRT recording, every courtroom is equipped with 4 units of voice auto detect camera, each one facing to the judge, the witness, the plaintiff counsel and defendant counsel. All the systems have their own workflow in facilitating case management. For e-Filing system, the workflow is as illustrated in figure 2.

All the system have been tested using the IT infrastructure in Kuala Lumpur Court Complex (KLCC), which is the world’s second largest court complex and consists of 30 courtrooms for the High Courts, 21 for the Sessions Courts and 26 for the Magistrates’ Courts. KLCC was chosen as a test-bed because of its volume of cases are far huge than any other courts nationwide. This is due to the fact that Kuala Lumpur is the centre of business and trade in Malaysia. As a result of this systems application, the number of case disposal increased tremendously. This can be seen from the following 9-month case disposal rate illustrated in table 1 and 2.

<table>
<thead>
<tr>
<th></th>
<th></th>
<th></th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>Civil</td>
<td>3226</td>
<td>4483</td>
<td>5374</td>
</tr>
<tr>
<td>Family</td>
<td>1645</td>
<td>1751</td>
<td>489</td>
</tr>
<tr>
<td>Commercial (old)</td>
<td>1</td>
<td>1993</td>
<td>718</td>
</tr>
<tr>
<td>Commercial (IP)</td>
<td>69</td>
<td>106</td>
<td>104</td>
</tr>
<tr>
<td>Commercial(muamalat)</td>
<td>791</td>
<td>859</td>
<td>203</td>
</tr>
<tr>
<td>New commercial court</td>
<td>2898</td>
<td>2501</td>
<td>1390</td>
</tr>
<tr>
<td>Appeal &amp; special authority</td>
<td>3886</td>
<td>4893</td>
<td>1228</td>
</tr>
<tr>
<td>Criminal</td>
<td>644</td>
<td>639</td>
<td>417</td>
</tr>
</tbody>
</table>

Table 1: Case registration and Disposal in Kuala Lumpur High Court
Table 2: Case registration and disposal in Kuala Lumpur Lower Court

<table>
<thead>
<tr>
<th></th>
<th></th>
<th></th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>Session civil</td>
<td>33204</td>
<td>42078</td>
<td>3197</td>
</tr>
<tr>
<td>Magistrate civil</td>
<td>107507</td>
<td>112655</td>
<td>34709</td>
</tr>
<tr>
<td>Commercial crime</td>
<td>444</td>
<td>612</td>
<td>448</td>
</tr>
<tr>
<td>Intellectual property</td>
<td>62</td>
<td>220</td>
<td>94</td>
</tr>
<tr>
<td>SPRM</td>
<td>12</td>
<td>38</td>
<td>52</td>
</tr>
<tr>
<td>Sexual</td>
<td>12</td>
<td>46</td>
<td>118</td>
</tr>
<tr>
<td>Session criminal</td>
<td>434</td>
<td>667</td>
<td>589</td>
</tr>
<tr>
<td>Magistrate criminal</td>
<td>7672</td>
<td>9269</td>
<td>1330</td>
</tr>
<tr>
<td>Departmental summons</td>
<td>1307</td>
<td>1277</td>
<td>88</td>
</tr>
<tr>
<td>Juvenile</td>
<td>178</td>
<td>52</td>
<td>25</td>
</tr>
</tbody>
</table>

Table 2: Case registration and disposal in Kuala Lumpur Lower Court

The second arm of the judiciary is the Shariah Court. Under Shariah Court system, the effort for having an integrated electronic system in place was initiated as early as 1999. E-Shariah is one of the pilot projects of Malaysian e-Government program. This project started its operation in 2002 and was officially launched on 7th February 2003 by the Prime Minister. The aim is to provide online networking between all 123 Shariah courts in 102 locations nationwide with the Shariah Judiciary Department in Putrajaya, the new administrative city of Malaysia. The purpose is for coordination and information sharing between all the courts. The benefits of this project are, among others:

- Systematic coordination and centralization of Shariah legal information.
- Preparation of updated and complete Shariah legal information at and statistics at any time.
- Enhancement of public service delivery
- Facilitate efficient, integrated, speedy and easy work process.
- Virtual integrated management system – smart information sharing system

After few years of its application, there were obvious improvements as shown in table 3.

<table>
<thead>
<tr>
<th>Dimensions</th>
<th>Pre-implementation</th>
<th>Post-implementation</th>
</tr>
</thead>
<tbody>
<tr>
<td>Case management</td>
<td>Case management less efficient</td>
<td>Case management is very efficient, increase productivity and work vigour</td>
</tr>
<tr>
<td>Time</td>
<td>Registration and management of cases manually was time consuming, no one-stop service centre</td>
<td>Registration of new case take approximately 2 minutes, case management is efficient.</td>
</tr>
<tr>
<td>Case overlap</td>
<td>Case overlapping could not be easily traced manually</td>
<td>Case overlapping can be tracked easily</td>
</tr>
<tr>
<td>Statistics</td>
<td>Generating statistics manually was time consuming and difficult, sometimes erred, may lead to improper decision making</td>
<td>Statistics are generated promptly, facilitate excellent, unerring and timely decision making</td>
</tr>
<tr>
<td>Case postponement/delay</td>
<td>No automatic reminder about case postponement and delay</td>
<td>Automatic reminder of case postponement,</td>
</tr>
<tr>
<td>Work process</td>
<td>Work processes were not consistent between courts in different states</td>
<td>E-Shariah permits the uniformity of court procedures, work processes and forms.</td>
</tr>
<tr>
<td>Case backlog</td>
<td>Difficulty in managing, verifying and checking the case status manually leading to backlog cases</td>
<td>No more backlog cases because all cases are being taken care of and reminded of.</td>
</tr>
<tr>
<td>Customer friendliness</td>
<td>Different work process among states caused difficulty and bias to customers</td>
<td>Uniformed court procedures and work processes ensure fairness to customers</td>
</tr>
<tr>
<td>Information security</td>
<td>Information security was compromised</td>
<td>Information security is guaranteed</td>
</tr>
</tbody>
</table>

Table 3: Dimensions of Pre and Post E-Shariah Implementation
ISSUES AND CHALLENGES

Various court records management issues are derived from the literature as well as from interviews and observations of this research. For the purpose of this paper, they are categorized into 3 types, i.e. technological, organizational and procedural issues. Technically, to minimize the risks and costs of regulatory and legal non-compliance, litigation, discovery, business inefficiency and failure, organizations need to remove the human element by automating records management via the technology (Gouanou and Marsh 2004). This transformation means removing freedom of choice, enforcing electronic record creation; indexation; classification; naming conventions (thesaurus and taxonomies); creation and preservation of meta-data; minimizing duplicate records by creating a central information repository which will also facilitate knowledge and content management; systematically archiving and tracking records and amendments; applying retention schedules to purge redundant ones; but preserving their access logs, audit trails and meta-data. The major issues in implementing electronic records in organizations are regarding access, security and interoperability (Manaf and Ismail 2010; Ojo, Janowski and Estevez 2009). Interoperability refers to the ability of different IT systems and software applications to communicate to exchange data between them accurately and effectively (Ataullah 2008). In practice, when most courts start using information technology (IT), each of them conforms to different standards and has no uniformity, leading to the problem of interoperability. This is due to the lack of experts in records management within courts administrators. Achieving regulatory and legal compliance has also rapidly become a technological problem. However, that means that failure to get it right is invariably more expensive, and can be disastrous. In Malaysia, for the implementation of e-Court systems in the civil Court, it resorts to a turnkey project provided by Formis Berhad, a third party company based in Malaysia. For e-Shariah project under the Shariah courts, the system was established in house, assisted and monitored by the Malaysian Administration and Modernisation Planning Unit (MAMPU), a unit under Prime Minister’s Department. There are no major technical problems faced so far.

From organizational perspective, organizations today not only have to comply with regulations, but also have to maintain a balance between operational record keeping requirements, minimizing liability of storing private information, and customer privacy preferences (Ataullah 2008). A report by IRMT (2004) revealed that several key issues identified by legal and judicial record case studies with respect to organizational issues are:

- the need to raise the status and priority of recordkeeping
- the need to allocate greater resources to supporting recordkeeping infrastructure, for example, storage facilities and equipment for paper and electronic records
- the need to develop records management policies and standards, for example in relation to access to and long-term preservation of paper and electronic records
- the recognition that computerized case management systems have the capacity to improve case flow management and access to information, but the danger of regarding computerization as a means of solving all management, resource and information problems
- the need for an information strategy and business case, based on the requirements of all key stakeholders, before embarking on the computerization of case administration
- the value of pilot computerization projects to build confidence and capacity
- the importance of standardized formats and templates for common documents

The biggest challenge when organizations set to move forward by embracing IT in its administration is to retrain the people. For a court registry, the lack of expertise who knows both registry office and information management standards become the first hurdle in implementing change. IRMT (2004) further pointed out a number of issues identified by legal and judicial record case studies with respect to people aspect as:

- the need for consistent and authoritative instructions on the preservation or destruction of court case records (both paper and electronic).
- the importance of having a high level ‘champion’ within the courts to promote good practice in records and information management
- the need for professionally trained records managers within judiciaries
- the need for formal training and training materials in judicial records and information management
Academic institutions of higher learning have played a significant role in delivering educational and training programmes on ERM in developed countries such as Australia, Canada, Europe, UK and USA (Johare 2007). The InterPARES project based in the University of British Columbia (UBC) brings together archivists from universities and archival institutions, along with computer and information scientists and engineers from around the world in a concerted effort to define the archival requirements for authenticity on the basis of archival science and diplomatics (Johare 2007). Records managers have the skills and methodologies to manage the lifecycle of records of all kinds, but they have to rely on IT colleagues and vendors to provide the tools with which to do it. The task of the records manager, in collaboration with their IT colleagues, is to define the record-keeping and technical requirements, and to make the right purchase. However, that task is complicated by the fact that technologies (and the threats to them) are still rapidly evolving (Gouanou and Marsh 2004).

Lack of human resource especially in matters related to its records management is a serious problem faced throughout the Malaysian Courts (Hamzah 2010). The civil court faced the hard situation when records are being taken care of by the senior judicial members themselves whom already burdened with their heavy legal matters workload. Apparently due to lack of staff for records management in Civil Court systems, it appears that all the circulars and practice directions was never been properly compiled. Every circular will be distributed to whom the subject matters concerned only. Every individual officer will keep them on the personal basis. In case of job transfer/exchange, there is a big chance for the newcomer not having the proper directions given to her/him. In Shariah Court system, the problem is less severe when the central body for Shariah court, the JKSM has established a new department known as “Records Section” that deals with matters relating to records management and appointed 2 records officers in every Shariah court throughout the country. It also managed proper recordkeeping training covering the whole records life cycle such as records creation, maintenance, storage and disposal.

From the procedural aspect, effective management of electronic records relies not only on technology but also laws and policies. The fundamental procedural law that covers provision on records management such as the High Court Rules 1980, the Subordinate Court Act, The Court of Judicature Act and the Civil Procedure Enactment has no problem with the implementation of electronic records management system. The procedures are still the same either been done manually or electronically. It is impliedly so because when the the law does not forbid, it means an implied permission.

The big hurdle was for the criminal cases, where the Criminal Procedure Code clearly required the proceeding be recorded by the magistrate himself with his own handwriting. Criminal Court was in the first instance unable to implement the ERMS in its criminal cases as the provision of the Criminal Procedure Code to the effect that recording evidence must be in magistrate’s handwriting: The Criminal Procedure Code (Revised 1999) Act 593, section 266 provided: “In summon cases tried before a magistrate, the magistrate shall, as the examination of each witness proceeds, make a note of a substance of what the witness deposes, and such note shall be written by the magistrate with his own hand in legible handwriting and shall form part of the record.” The problem is now resolved when the new Act (Act 1350 of 2009) section 272C & 272D under Chapter 25 was amended to the effect that give permission to allow court proceeding by mechanical means.

The Electronic government Activities Act 2007 is a legislation enacted with the purpose to legalize dealings in government administration done via the electronic means such as emails and electronic information systems. Section 2 of National archives Act also give the legal mandate to electronic transactions in the public organizations by including the phrase “electronically produced records regardless of physical form or characteristics and any copy thereof;” into the definition of “record”. Evidence Act 1950 also recognized electronic records as primary evidence in its 2006 amendment.

THE LEGAL FRAMEWORK

Derived from the research objectives, research questions and the above discussions in the practical implementation of electronic document and records management systems (EDRMS), a framework for a legally complied EDRMS for courts is illustrated in figure 3.
The first inner layer of the framework addresses the first sub-question of the research which deals with the implementation of court records management. It examines the theoretical basis of records lifecycle that deals with creation, use, maintenance, storage, retrieval and disposal of records, in the light of enabling technologies like Case Management System (CMS), Electronic Filing System (EFS), Office Automation System (OAS) and Court Records Transcription system (CRT). The second layer of the framework seeks to resolve legal and quality compliance of court records management. The aim is to examine the abovementioned systems in the light of the international standard for Records Management i.e. ISO 15489 as well as other relevant legislations, policies and procedures. The third layer of the framework acknowledges the quality assessment for jurisdiction specific. For the purpose of this research, it is focused to Malaysian jurisdiction. Hence, the research will examine Records Management principles, practices & methodologies in the court within Malaysia and how could they be improved in the light of international standard ISO 15489, legislation and policies. Answering all those research questions: 1. How Court Records are managed (SQ1), 2. How should it be managed according to quality standard ISO 15489 (SQ2) and 3. How these should be done in Malaysian environment (SQ3), means answering the main Research Question of “How can ICT allow for better management and legal and quality compliance of court records in Malaysia?”

THE WINNING CASE OF NEW COMMERCIAL COURT

The Kuala Lumpur New Commercial Court was established on 1st September 2009 resulted from the court management review meeting headed by the Chief Justice of Malaysia. The objective is to ensure the increased number of commercial case disposals. A specific aim was put forward, i.e. new registered cases to be disposed within 9 months. Upon establishment, only two courtrooms were opened for trial, to test whether the aim can be achieved with the help of full running electronic systems in place. The two new courtrooms were named NCC1 and NCC2. The results are summarized in table 4.
<table>
<thead>
<tr>
<th>Month</th>
<th>Cases Registration</th>
<th>Case Disposal after 9 Months</th>
<th>Balance of Case after 9 Months</th>
<th>Percentage of Disposal</th>
</tr>
</thead>
<tbody>
<tr>
<td>Sept 2009</td>
<td>289</td>
<td>285 (June 2010)</td>
<td>4</td>
<td>98.6</td>
</tr>
<tr>
<td>Oct 2009</td>
<td>389</td>
<td>384 (July 2010)</td>
<td>5</td>
<td>98.7</td>
</tr>
<tr>
<td>Nov 2009</td>
<td>328</td>
<td>324 (Aug 2010)</td>
<td>4</td>
<td>98.7</td>
</tr>
</tbody>
</table>

Table 4: Case Registration and Disposal

It is evident that the aim to dispose new cases within 9 months from the date of registration, was achieved almost 100%. With this achievement, more courtrooms were opened subsequently. After one year of its establishment, by September 2010, the courtrooms were increased to 6 rooms with 6 high court judges, with 13 officers and 18 support staff. The registration of cases is now using ‘pairing system’. Case registration is rotated for every 4 months between the three pairs, NCC1 & 2, NCC3 & 4 and NCC5 & 6.

In general, the objective of the establishment of the New Commercial Court to dispose all new registered cases within 9 months was successfully achieved. The increase of case disposal rate is tremendous, as compared to pre-NCC establishment. As a result NCC’s successful implementation, two more new type of court were launched, the New Civil Court (NCvC) and the Admiralty Court, which was launched on 30th September 2010. The existence of the new courts with has strengthened the judiciary institution through effective service delivery by court to its customers.

CONCLUSION

This paper has discussed the important role played by electronic records management systems in the management of court cases by ensure excellent service delivery to the public. In our case, the implemented systems are all in action and are providing a varying degree of service. Fundamental issue behind this variance is the last of information on how to use the systems and what are the legal requirements within which these systems operate. It is, therefore, essential that judiciary in Malaysia provides detailed documentation on policies and procedures to all stakeholders of these systems. These laws, policies and procedures must be critically examined on a periodic basis to keep them up to date and current with technology changes as well as with the changes in legislation.

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