



Shu-Te University
College of informatics
Graduate School of Information Management

Master

Evaluate the Effectiveness of Current Document
Management System at the Party Committee Office – Vietnam
National University, Hanoi

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Committee Office – Vietnam National University, Hanoi

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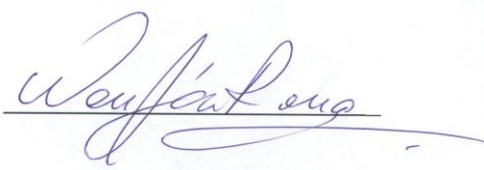
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Evaluate the Effectiveness of Current Document Management
System at the Party Committee Office – Vietnam National
University, Hanoi

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Advisors : Dr. Wen Jia-rong Co-adviser : Dr. Nguyen Thi My Loc

Abstracts

Thesis Title: Evaluate the Effectiveness of Current Document Management System at the Party Committee Office – Vietnam National University, Hanoi

VNU Party Committee Office is a body to counsel, advise and assist VNU Party. The Office is the central agency to manage all documents of VNU Party and its Standing Committee. The effectiveness and quality of the document management activity plays a significant role and directly affect the effectiveness and validity of the leadership and management of VNU Party and its Standing Committee. Up to now, although very much concerned about this field of work, VNU Party and its Party has not had a comprehensive and objective report to evaluate the document management activity of the Party Office. Meanwhile, there has never been a research on this issue. My thesis is conducted to evaluate the effectiveness of the document management system at VNU Party Office, and at the same time to seek out solutions to improve the quality and renovate the document management activity at VNU Party Office.

Keywords: document management system, VNU, VNU Party, Party Office, in-going document, out-going document

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Chapter 1 Introduction

Documents of an organization in general and documents of the Party in particular is the main and most common tool to organize relationships within the Party's political system and external relations as well. Document management under the provisions of the State and the Party is an important prerequisite to ensure the information service of the leadership and direction of the Party executive committees, protection of the confidentiality of the Party and State, facilitation for the preliminary review on work experience, theoretical studies, historical research, contributing to capacity building and effective leadership of Party executive committees.

1.1 Research background

VNU's Office of Party Committee is the specialized unit to advise and assist the VNU's Party Committee and its Standing Committee. It receives all documents coming to the Party Committee and its Standing Committee on a daily basis, from higher levels and from grassroots party units. Party Committee's Office manages all those documents, sends them to the right people, monitors their operation and exploits information to assist the leadership and direction of VNU's Party Committee and its Standing Committee. It is also where duplication, printing and distribution of Party Committee's out-coming documents are done, ensuring correct category, procedures and authority. VNU Party office has to process a large amount of documents annually. In 2010 only, it received, classified and processed 1345 documents from Central Party, Municipal Party and VNU member units parties. Meanwhile it published 651 out-going documents from



VNU Party including all kinds of reports on the implementation status of Party resolutions, action plans of Central and Municipal Party, project reports, Resolutions, conclusions and edited a large amount of other directing documents to submit to the Party Standing Committee and Party sign to publish, including important projects and reports. The management of documents of the Party Committee's Office is now operating under the general system defined by the State Department of Documents and Archives. Currently documents of all types are managed primarily as paper documents, so the document management system works in traditional manual method, in which documents are processed and managed on paper documents and books. So what are the advantages and disadvantages when applying traditional manual method to the document management system? Is it effective? Is there a solution to upgrade the existing document management system? And is there a need to build a new system to ensure that the system operates faster, more accurate and more efficient? These are issues that need to be seriously considered, thoroughly and objectively researched to find the exact answer

1.2 Significance of the study

Effective application and operation of Party Committee Office's document management system has important implications that decides the effectiveness and efficiency of leadership and direction of Party Committee and its Standing Committee. Analyzing and assessing the current status of the application of document management systems at the Party Committee Office shows an objective and correct perspective of the currently used document management and processing and information flow, therefore



the effectiveness of this system can be assessed, then proper solutions can be proposed to upgrade it or build a new system that enable the document management of VNU's Party Committee comply with State and Party's regulations, and ensure consistency, scientific and effectiveness.

1.3 Research Motivation

For any organization, information has special significance to its own development. The content of its documents contains information related to the organization itself. Therefore, good management is important to the effective exploitation and use of the information in those documents, contributing to the development of the organization. I decided to do research on “Evaluate the effectiveness of current document management system at the Party Committee Office – Vietnam National University, Hanoi” at the time when VNU's Party Committee had been established for 16 years. During those 16 years, in their activities under the leadership of its Standing Committee, VNU's Party Committee gained important achievements, contributing to confirm the reputation and status of Vietnam National University in the higher education system of Vietnam and the world. These achievements owe a lot to the Party Committee Office, who exploits and use useful information to effectively support the decision making of Party Committee and its Standing Committee. However, besides these achievements, there are still limitations and weakness in leadership, direction and management of Party Committee and its Standing Committee, which are: The effectiveness of information dissemination is weak so there are still major policies of the Party Committee or Board of Directors cannot reach to each cadre and Party members, students; The inspection



and supervision of the Party Committee and its Standing Committee has not been frequent, especially periodically check and thematic check, so their resolutions and conclusions had been slowly deployed in practice; The direction of Party committees for building and scaling typical good persons, good work among officials and students is not as frequent, lack of uniform plan, so the result is not so high and far-reaching effects; In the leadership of mass organizations, the direction of the Party Committee and its Standing Committee has not really go into depth, so the effect of several mass movement activities are limited (Review Report of VNU's Party Committee Term III, from 2006 to 2010).

There are many reasons for these limitations on the leadership and direction from the Party and its Standing Committee, one of which comes from incorrect and slow document processing, leading to low effective information in supporting the decision of the Party Committee and its Standing Committee, the quality of some information in their out-coming documents did not meet the requirements. As Director of the Party Committee, from practical work, I noticed a strong need for a study to understand, analyze and assess the objectivity of document management system applied in VNU's Party Committee Office, with the desire to make the system more complete to contribute to improving the effectiveness of document processing, using information to give higher quality and more effective advice for leadership, direction and administration of the Party Committee and its Standing Committee.



1.4 Research Objectives

As mentioned above, the content of some documents of the organization contains information about that organization. The documents of VNU Party Office are really especially important in the communication activities of VNU Party, in order to convey demands, directives and necessary information of the Party to its member units so that they can do their work, at the same time the Party also receives reports and response from the member units.

This thesis was carried out in order to serve the following purposes:

1. Evaluate the effectiveness of applying current document management systems at the VNU's Party Committee Office.
2. Find out the factors that impact or affect the efficiency of document management systems at the VNU's Party Committee Office.
3. Propose solutions to improve the current document management system of Party Committee Office.

1.5 Research Questions

With the above purpose, this study focuses in explaining the theories to answer the main question of the study which is: How effective is the document management system in VNU Party Office?

In order to answer the main topic of this study, the following questions will be addressed:

1. How is the Document management system at VNU Party Office operating?



2. Is there a need of solutions to improve the current system? Does it need to develop a new Document Management system in VNU Party Office?

1.6 Terminology

In this paper, the following terminologies are used:

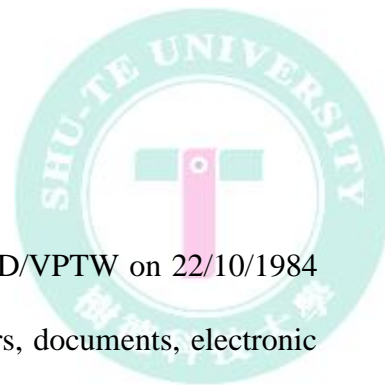
1.6.1 Grassroots Party units

According to the Charter of Vietnam Communist Party, grassroots party units are party organizations at grassroots levels (communes, wards, towns, agencies, cooperatives, enterprises, business units, units in the army, police and other agencies the other base) having at least three or more official members. Grassroots Party units are referred to the party divisions and party cells, depending on the number of party members and requirements and specific duties of each unit.

Party organizations at grassroots units having three official members to 30 members will set up an organization called Party cell. Grassroots Party organizations at two levels, the party organizations at the grassroots units of 30 or more members as required in specific tasks that can form a party organization called the Party organization.

1.6.2 Documents

Documents express the will of the document issuing agencies. Documents is the primary means for leadership, administration, transactions. For the State apparatus, management documents are in fact the State decisions issued by appropriate authorities in lawful forms, procedures and statutory authority which are unilaterally. State management documents is a means to identify and apply the legal standards in State management.



1.6.3 Documents of Party

Under Regulation issued together with Decision No. 403-QD/VPTW on 22/10/1984 by the Party Central Office: Documents of Party are the papers, documents, electronic documents in the form of written language, closely associated, complete in both content and format, issued by the party organization authorized by the regulations of the Party Central Committee's Secretariat.

1.6.4 In-coming documents

Document No. 425/VTLTNN-NVTW dated 18/07/2005 by the State Department of Documents and Archives defines In-coming documents as the papers documents or electronic documents sent to the agencies or organization.

1.6.5 Out-coming documents

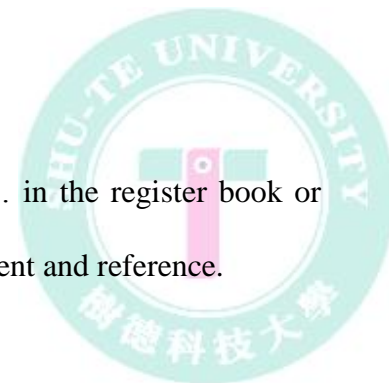
Document No. 425/VTLTNN-NVTW dated 18/07/2005 by the State Department of Documents and Archives defines out-coming documents as the paper documents or electronic documents issued by the agency.

1.6.6 Electronic documents

According to Document No. 139/VTLTNN-TTTH dated 14/03/2009 of the State Department of Documents and Archives, electronic documents are defined as documents in the form of data messages.

1.6.7 Document registration

Document No. 425/VTLTNN-NVTW dated 18/7/2005 issued by the State Department of Documents and Archives, document registration is the recording or updating the necessary information about the documents such as number, symbols; date



of issue; name of category and subject content; receiver etc... in the register book or document management database on the computer for management and reference.

1.6.8 Record

Document No. 344/NV dated 31/12/1984 of the State Archives defines record as a file of documents related to each other on an event, issue (or someone) formed in the process of solving the task.

1.6.9 Record making

Document No. 344/NV dated 31/12/1984 of the State Archives defines records making as the process of filing sets of official documents produced in the process solving tasks, arranged into each category, each case (or individual) or each document file to facilitate the resolution of the immediate and future research, based on functions and tasks assigned and based on some common characteristics of the same text (such as transaction characteristics, geographic characteristics, time characteristics) or based on records list (if the agency has one).

1.6.10 Database

According to Document No.344/NV on 31/12/1984 of State Archives Department: Database is a collection of data arranged and organized for access, exploitation and management and updated via electronic means.

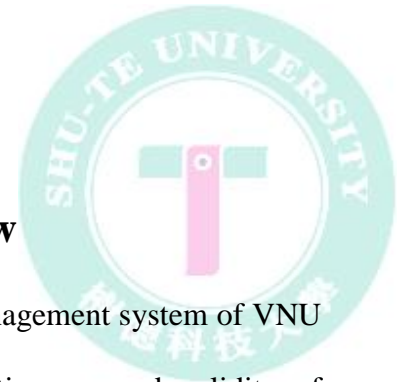
1.6.11 Data messages

According to Document No.344/NV on 31/12/1984 of State Archives Department: Data messages information generated, sent, received and stored by means of electronics.



1.6.12 Office

“The Office work at Party Committee level” (National Politic Publishing house, 2001) puts it that office is the executive apparatus of the general body or organization responsible for collecting, processing and compiling information for leadership, ensuring material conditions and technical activities for the whole body or organization.



Chapter 2 Literature Review

As mentioned above, the effectiveness of the document management system of VNU Party Office has a significant meaning, deciding the effectiveness and validity of leadership and direction by the Party and Party Committee. Regarding theoretical background on which my research based, I use concepts of document management system, introduction of international document management system models through examples of archSCAN, and introduction of current document management system in Vietnam.

2.1 Document management system

A number of concepts of document management system, models of document management in the world and models of document management system in Vietnam were studied to ensure a reasonable background for this study.

2.1.1 Concept of Document Management System (DMS)

Dr. Truong Van Tu (2000) suggests that a document management system includes creating, editing, duplicating, distributing and archiving documents.

A document management system (DMS) is a computer system (or set of computer programs) used to track and store electronic documents and/or images of paper documents. It is usually also capable of keeping track of the different versions created by different users (history tracking). The term has some overlap with the concepts of content management systems. It is often viewed as a component of enterprise content



management (ECM) systems and related to digital asset management, document imaging, workflow systems and records management systems (<http://en.Wikipedia.org>).

Today, document management system is applied in most agencies, organizations and implemented mainly by the two models which are the traditional manual document management system and electronic document management system. With years of experience in the successful implementation of document management systems, the archSCAN company (143 Brightwaters Drive Annapolis, MD 21401), in its introduction of document management system, archSCAN gave the general definition of document management systems: A Document Management System is the organizational process of all documents from the creation to the storage or archiving and eventually to the destruction. An Electronic Document Management System (EDMS) stores electronic versions of all of your documents, usually scanned copies of your paper documents and documents which have been produced electronically. Documents are usually organized into a file/folder system which allows for the fast retrieval through browsing or indexing systems.

A book published by State Archives of Minnesota - a general introduction to matters relating to the management of electronic documents gives the concept of "system of electronic document management is a software and hardware to support automation and integrated document management process." The book also states that "you routinely create, use and manage electronic information to perform everyday tasks on the computer. You work for a state agency, so you must comply with the provisions of the



State in its treatment of the materials and information in electronic documents created by you, such as official documents Government."

In general, both traditional manual document management system electronic document management must comply with the following order: In-coming documents are managed in the following order: receive documents to register, assign tasks, transfer documents; settle as required in the documents and monitor and supervise the settlement to writing, make record and archive. Out-going documents are managed according to the following sequence: prepare the content; check procedures, forms and techniques of layout; sign and issue documents; register for out-going documents; deliver and monitor the delivery of out-going documents, make record and archive.

2.1.2 Models in the world

Beginning in the 1980s, a number of vendors began developing software systems to manage paper-based documents. These systems dealt with paper documents, which included not only printed and published documents, but also photographs, prints, etc. Later developers began to write a second type of system which could manage electronic documents, i.e., all those documents, or files, created on computers, and often stored on users' local file-systems. The earliest electronic document management (EDM) systems managed either proprietary file types, or a limited number of file formats. Many of these systems later became known as document imaging systems, because they focused on the capture, storage, indexing and retrieval of image file formats. These systems enabled an organization to capture faxes and forms, to save copies of the documents as images, and to store the image files in the repository for security and quick retrieval (retrieval made



possible because the system handled the extraction of the text from the document in the process of capture, and the text-indexer function provided text-retrieval capabilities).

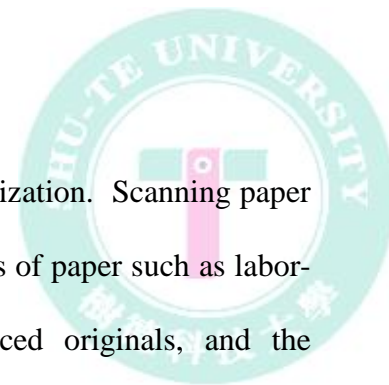
EDM systems evolved to a point where systems could manage any type of file format that could be stored on the network. The applications grew to encompass electronic documents, collaboration tools, security, workflow, and auditing capabilities.

In the world, especially in advanced countries, the introduction of information technology to document management in agencies, organizations and businesses have been widely used for many years. archSCAN is an election for the deployment of the application system of electronic document management with great success.

Since 2002, archSCAN has created simple and elegant electronic document management solutions that help organizations run smarter. archSCAN has worked with state and local government agencies, educational institutions, healthcare organizations, religious institutions, architect, engineering, and constructions firms, and many other public- and private-sector organizations.

archSCAN has a highly qualified team of archivists who are skilled in the organizational processes, the scanning of documents, and the creation of custom-made Electronic Document Management Systems to meet each of its clients' needs. archSCAN welcomes the opportunity to answer further questions about document management and to arrange on-site demonstrations of archSCAN document management solutions.

The reason for archSCAN's determination to implement EDMS is that it soon realized the benefits of EDMS: "Electronic Document Management Systems enable a



more efficient distribution of information throughout the organization. Scanning paper documents into a digital format eliminates the many limitations of paper such as labor-intensive duplication procedures, slow distribution, misplaced originals, and the inconvenience of retrieving files from remote locations. EDMS allows for the instant access to information and a greater collaboration within and among departments and offices which improves customer service and satisfaction.

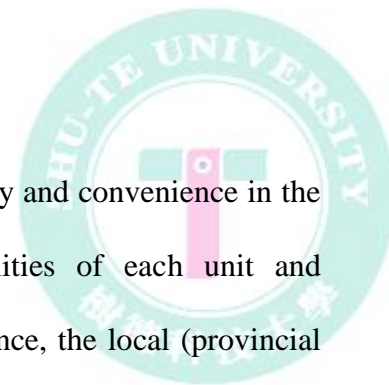
Document management models in the world are precious experience for Vietnam's agencies and organizations to take on and apply in near future.

2.1.3 Models in Vietnam

Vietnam is integrating deeper, broader and more comprehensively to the world. With the rapid development of the country, the application of information technology in all aspects of economic life, culture, society, especially in the field of administrative management activities of State agencies at all levels has been taken into consideration. State policy has many standardized processes, and applications of information technology in the management, operation and handling of administrative procedures. In most agencies, organizations and businesses, two existing methods of managing documents are used, that are the traditional paper document management and the electronic document management, which is conducted in a network environment.

2.1.3.1 Traditional manual document management system

In 2005 the State Department of Documents and Archives issued Guidance No. 425/VTLTNN - NVTW on guiding document management in organizations and agencies state, thereby to set the uniform order and manage document content (out-

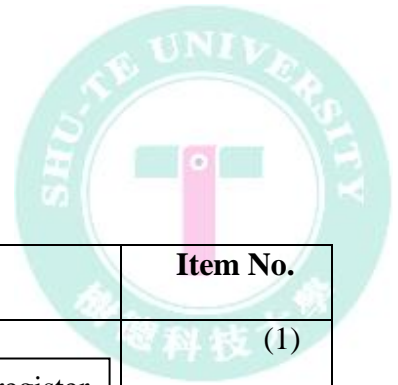


going and in- coming) to ensure the accuracy, timeliness, safety and convenience in the management of documents, and determine the responsibilities of each unit and individuals to perform their duties. On the basis of the Guidance, the local (provincial and city), agencies and organizations at all levels have built and operated document management system suitable to the characteristics of their units.

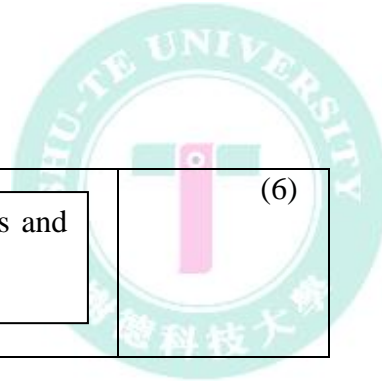
By studying patterns in a number of local agencies and organizations throughout the country, I found the traditional manual document management system popular in Vietnam is operated as Document No. 425/VTLTNN-NVTW dated 18/07/2005 guiding the management of out-going and in-coming documents issued by the State Department of Documents and Archives.

a. In-coming document management

According to Regulation at Document No. 425/VTLTNN-NVTW dated 18/7/2005 by the State Department of Documents and Archives, the process of in-coming document management is done through the following steps:



Executor	Task	Item No.
Filing clerk	<div style="border: 1px solid black; padding: 5px; width: fit-content; margin: auto;"> Receive, categorize, unseal, register and submit in-coming documents </div>	(1)
Office leaders	<div style="text-align: center;">↓</div> <div style="border: 1px solid black; padding: 5px; width: fit-content; margin: auto;"> Process documents and assign tasks. </div>	(2)
Filing clerk	<div style="text-align: center;">↓</div> <div style="border: 1px solid black; padding: 5px; width: fit-content; margin: auto;"> Record, transfer, supervise the handling of in-coming documents </div>	(3)
Individuals and units assigned	<div style="text-align: center;">↓</div> <div style="border: 1px solid black; padding: 5px; width: fit-content; margin: auto;"> Receive, submit to leaders of units. </div>	(4)
Unit leaders, officials and experts	<div style="text-align: center;">↓</div> <div style="border: 1px solid black; padding: 5px; width: fit-content; margin: auto;"> Assign tasks, requiring reports of progress and results </div> <div style="text-align: center;">↓</div>	(5)



Filing clerk	Collect reports, make records and archive.	(6)
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Figure 1 Describing the in-coming document management process

(1) Receive, categorize, unseal, register and submit in-coming documents

All kinds of documents and under any kind (direct transfer, fax ...) from any source must pass clerical procedures to receive and register. In-coming documents are reviewed and classified as receiving. Types of envelope that cannot be unseal include the packaging stamped "Confidential," "Top Secret", and the "Only people with their name on the envelope can unseal it"; the packaging sent to party organizations and unions, the envelope sent to named recipients. All other types of packaging of in-coming document can be unsealed. After unsealing packaging, the filing clerk stamps "In-coming", enter the number, dates and register.

After stamping "In-coming", enter the number, dates and to register documents, the filing clerk pastes "document processing form" and promptly submitted to the office leaders / head of administrative offices for consideration and comments on distribution process (depending on the model of organization and regulations of each organization, the person who comments distribution process can be leaders of the office, or head of administrative offices for units and individuals to handle (Units are: department, agencies directly under organizations). For example, the handling of VNU' in-coming



documents is the duty of VNU's Office leaders, at its member universities, the disposal of in-coming documents is the duty of head of administrative department.)

(2) Process documents and assign tasks.

Office leader, or head of administrative department after assigning to individuals or units to "document processing form," will return documents to the filing clerk.

(3) Record, transfer, supervise the handling of in-coming documents

After receiving the written opinion from the Office leader, or head of administrative department, the filing clerk will note down in the registry book. Then he makes duplication, puts into cells of the documents of individuals and units tasked to solve. The delivery must be recorded, checked and signed receipt.

Office leader, or head of administrative department help agencies and organizations leaders monitor and supervise the handling of documents to individuals and units. The filing clerical helps Office leader, or head of administrative department monitor, supervise and make report on implementation and performance of the tasks assigned to individuals or organizations

(4) Receive, submit to leaders of units.

Units and individuals who receive documents to handle have to sign in the delivery book and implement the assigned tasks. Documents received must be recorded prior to submission to unit leaders.

(5) Assign tasks, requiring reports of progress and results

After handling documents, unit leaders assign specific individuals to resolve the request. Individuals receiving the document complete tasks as required, and make



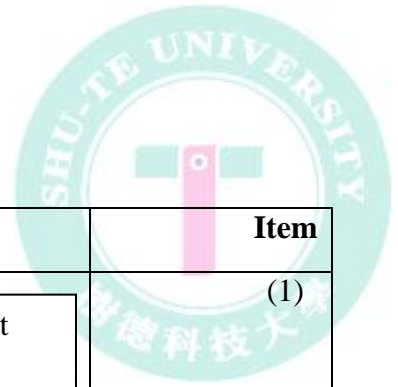
regular reports on progress and the results to the unit's leader. Unit leaders are responsible to report to agency leadership, organization (via Office/administrative department) on the results of performing the tasks assigned in many different forms (in writing or reporting or report directly in meetings ...).

(6) Make reports, make and store documents

Office leader, or head of administrative department reports the result of the work to agency leaders/organizations and direct filing clerk make record of the documentation handling work and put into storage.

b. Out-coming document management

According to Regulations at Document No. 425/VTLTNN-NVTW dated 18/7/2005 by the State Department of Documents and Archives, the process of out-going document managements is done through the following steps:



Executor	Tasks	Item
Document drafting specialist	<div style="border: 1px solid black; padding: 5px; text-align: center;">Draft and submit document</div> <div style="text-align: center;">↓</div>	(1)
Head of document drafting department	<div style="border: 1px solid black; padding: 5px; text-align: center;">Check the draft document, signed and submit to leader of organization</div> <div style="text-align: center;">↓</div>	(2)
Leader of organization	<div style="border: 1px solid black; padding: 5px; text-align: center;">Sign to approve and return document</div> <div style="text-align: center;">↓</div>	(3)
Document drafting specialist	<div style="border: 1px solid black; padding: 5px; text-align: center;">Receive the approved document</div> <div style="text-align: center;">↓</div>	(4)
Filing clerk	<div style="border: 1px solid black; padding: 5px; text-align: center;">Issue the document (note down number, dates; stamp)</div> <div style="text-align: center;">↓</div>	(5)
Filing Clerk	<div style="border: 1px solid black; padding: 5px; text-align: center;">Duplicate, supervise the delivery of document</div> <div style="text-align: center;">↓</div>	(6)
Filing clerk and Document drafting department	<div style="border: 1px solid black; padding: 5px; text-align: center;">Save document, make records and archive</div>	(7)

Figure 2 Describing the out-going document management



(1) Draft and submit document

Specialist of units draft the document, ensuring the content requirements, forms, layout techniques and full attached records according to regulations.

(2) Check the draft document, signed and submit to leader of organization

Unit leaders check and submit the draft document to the management agency/organization to sign. If the documents are not qualified enough, the organization leaders must specify the requirements and guide specifically for editing.

(3) Sign to approve and return document

For qualified documents: Leaders of organization review documents, sign documents for approval. Where documents are not yet eligible to sign, point out the requirements necessary to supplement.

(4) Receive the approved document

The unit receive approved documents from leader of organization for further processing, and issue the signed documents. They make amendments to the documents which need to be edited.

(5) Issue the document (note down number, dates; stamp)

The filing clerk of organization check for the last time on procedures, modalities, techniques, forms of document layout before issuing documents. For approved documents, he/she will write number, dates of issue, register in the out-going document management book; stamp issue, save the original copy (in case the documents are not qualified, he/she will report to Office leader or administrative department and propose



change or addition) then duplicate, seal and send documents to organizations, units and individuals.

(6) Supervise the delivery of document

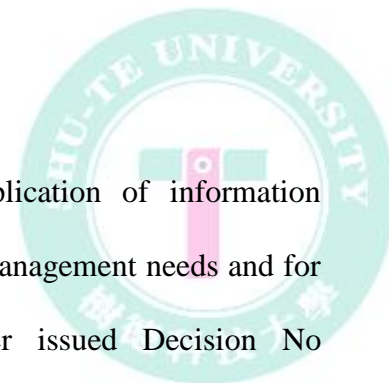
The filing clerk of organization is responsible for monitoring the delivery of outgoing documents. For documents that for some reason are turned back from post offices he/she will give them back to the unit where they were created, make annotations on documents sent to the post office to check and verify when necessary. In case of missing documents, he/she should promptly report to the Office leader or administrative department.

(7) Save document, make records and archive

Each document issued must be saved at least 02 copies: the original documents saved at the filing clerk, the other at the document drafting unit. The filing clerk make outgoing document management book and timely support if there is a need to use the archived copy. Confidential documents are managed and used in accordance with the law. Clerical records shall include: the original, the list of documents issued. Monthly records of issued documents have to be made. List of documents released the previous year should be submitted to Office archives early the following year.

2.1.3.2 Model of electronic document management system

Clearly seen the utility of this management model, in 1997, the Prime Minister had Instruction (No. 726/TTg dated 04/9/1997) on applying information technology in the work of archives. On that basis, the State Archives Department issued a guidance on 19/11/1999 608/LTNN-TTCN on application of information technology in the office

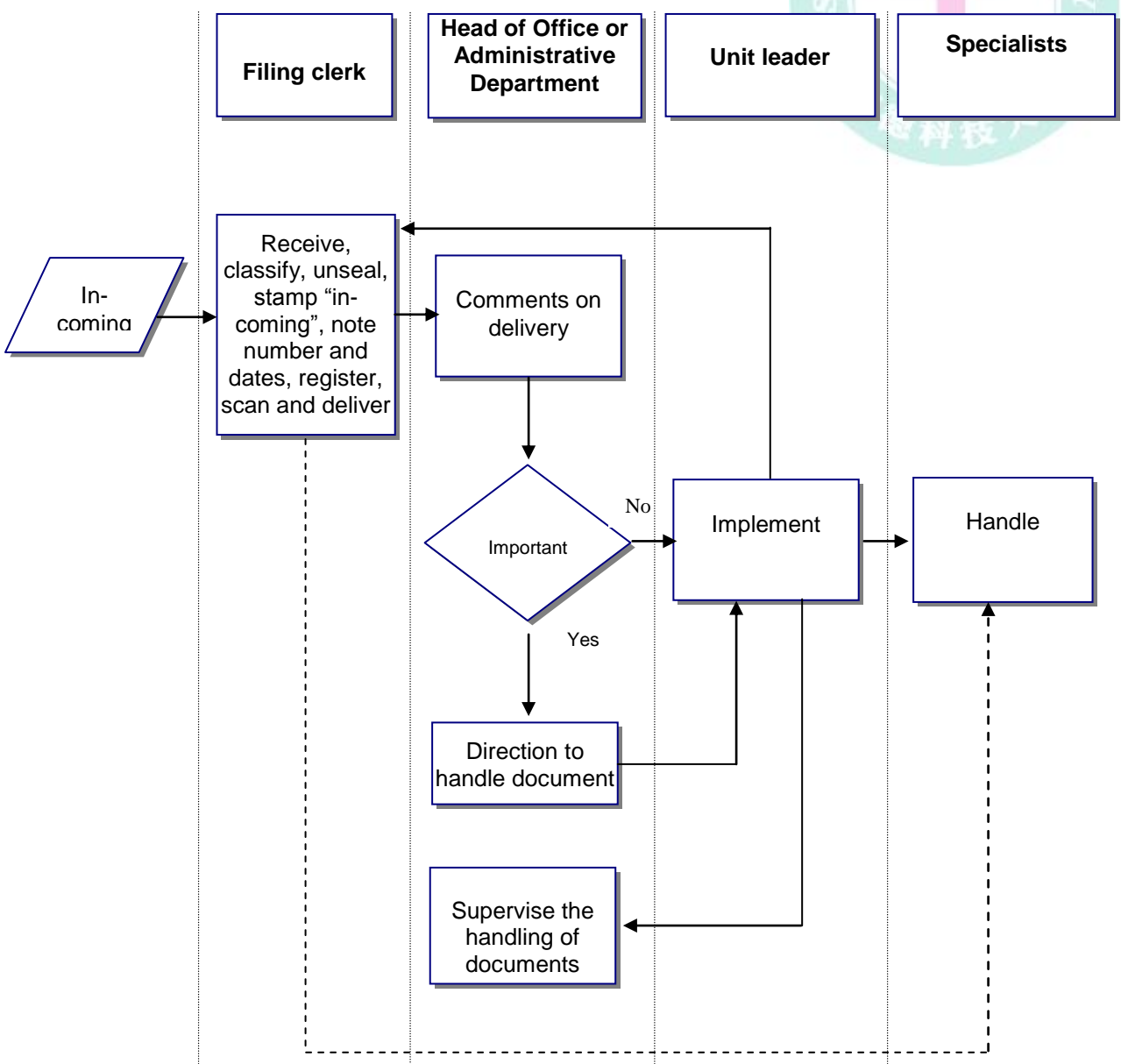


and archives, which clearly states the importance of application of information technology in the office and archives to build a database for management needs and for information search. In March 2008, the Prime Minister issued Decision No 43/2008/QD-TTg approving the application of information technology in the operation of state agencies. Implementation of the policy, directives, decisions and guidelines of the State authorities, in many localities, agencies and organizations, together with traditional manual management system, research, investment, construction and application of electronic document management systems has been given priority.

By studying the model system of electronic document management in a number of local and state agencies, although there are few differences (mainly the interface), basically designed and operated 139/VTLTNN-TTTH guidance on 14/3/2009 and the Department of Documents National Archives.

a. In-coming electronic document management

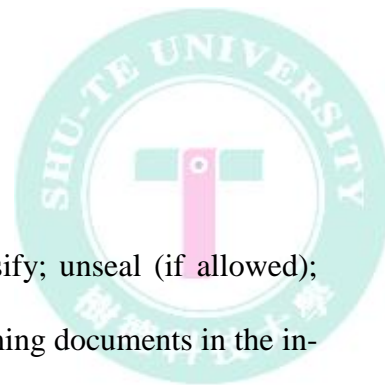
According to the Guidelines by the State Department of Documents and Archives at Document No. 139/VTLTNN-TTTH dated 14/3/2009, in-coming electronic document management system is described as follow:



Notes:

- Flow of electronic
- - - → Flow of paper document

Figure 3 Describing in-coming electronic document management



(1) Filing clerk

For paper documents: Receive in-coming documents; classify; unseal (if allowed); stamp “In-coming”, write number and dates; register the in-coming documents in the in-coming document management division; scan the in-coming documents and attach the form in the in-coming document management division; transfer to the person responsible for distributing comments (Head of Office/Administrative Department).

In-coming paper documents after being scanned will be kept by filing clerk. After receiving comments on distributing through the network, the filing clerk transfer paper documents to individuals and units assigned to handle. Document scanned is handled accordance with regulations of each agency.

For electronic documents: check the authenticity of the origin and the integrity of the received documents; register documents to the in-coming document management division; attach in-coming form to the in-coming document management division; transfer to the person responsible for giving comments (leader of the administrative office)

(2) Leader of administrative office

Based on the functions and tasks of the units in the organization and content, the importance of in-coming documents, the leader of administrative office makes recommendations in the in-coming document management division; and transfer to: leaders organizations (to report or seek guidance on the document having important content); leaders of the assigned unit (for implementation); leaders of the coordination units (if any, to coordinate implementation).



(3) Unit leader

Unit is known as: department or committee ... in an organization. Unit leader, based on the content of in-coming document and the direction of leaders of organization and the level and capacity of staff in the unit, unit leader notes guidance in the in-coming document management division and forward to: the heads and deputy heads of organization in charge (to report); leaders administrative offices (for supervising); deputy head of unit to implement (if necessary); professional staff in the unit (to handle the task in case the unit is assigned to handle and coordinate in case the units are assigned to coordinate); unit leader to coordinate (if necessary); filing clerk (to forward paper documents to officials in charge of settling). Unit deputy head: do the same as Unit Leader then report to unit leader (if assigned)

(4) Professional staff

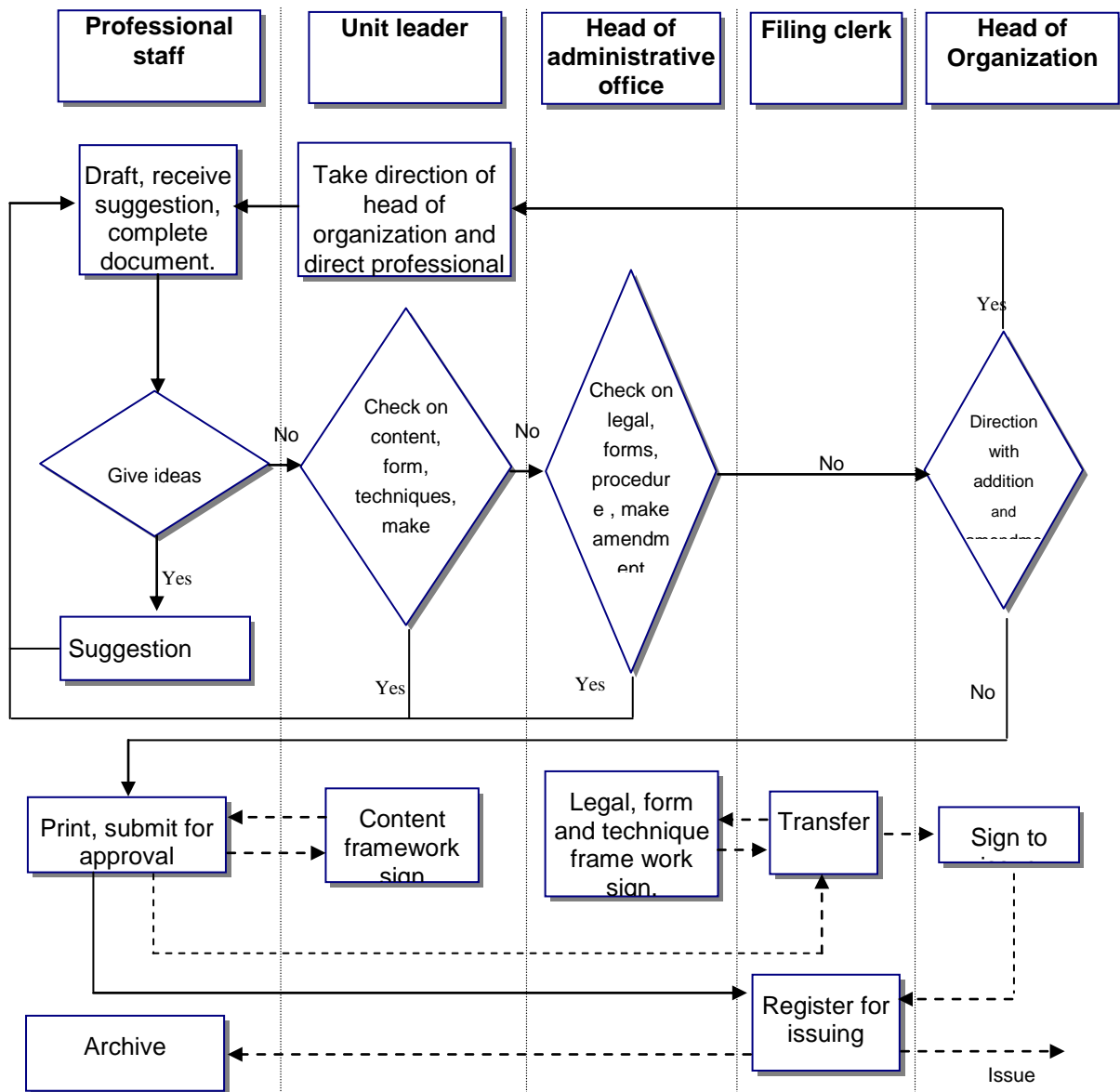
Assigned professional staff: receive paper documents from filing clerk; based on the content of in-coming document and the direction of leader of organization and unit leader, identify and note info of “document code” in the in-coming document management division; study the content of in-coming documents to implement assigned tasks. If a reply is required, write an answer document; gather documents related to tasks assigned to make a record file (paper and electronic form); for those in-coming document not requiring file recording, there’s no need to identify a “file code”.

Coordinating staff study the content of in-coming documents to coordinate handling and give comments to: unit leader (to report); assigned professional staff.

b. Out-going electronic document management



According to the Guidelines by the State Department of Documents and Archives at Document No. 139/VTLTNN-TTTH dated 14/3/2009, out-going electronic document management system is described as follow:



Notes:
 —————> Flow of electronic documents
 - - - -> Flow of paper documents

Figure 4 Describing out-going electronics document management



(1) Professional staff

Draft the document; if necessary, send out document for comments and perfect the draft document; submit the edited document to unit leader to check; edit the draft document; print and submit to unit leader; send those documents to filing clerk; register out-going document in the division of out-going document managements ; then send to filing clerk.

(2) Unit leader

Unit leader: Check on content of document; in case of amendment or adjustment, leave comments and forward to: unit deputy leader (if unit deputy leader is assigned); document drafting specialist; forward to office legal executive to check on legality, form, techniques and layout; take comments and direct professional staff to edit the draft; sign to approve the content.

Unit deputy leader: Do the same as unit leader then report to unit leader

(3) Filing clerk

Check for legality, appropriateness of documents before submitting for approval. Then give comments to the sender and head of administrative department.

(4) Leader of organization

Head of administrative office (or the authorized filing clerk) check for the form and layout techniques before submitting for approval, give comment to the sender and leaders of organization.

In case deputy head is assigned to direct the settlement: Check the documents (both content and form, modalities and layout techniques); in case of disapproval, give



comments and then return to unit leaders assigned for supplementation and modification; if approved, forward to the heads of agencies and organizations (to report), head of units assigned (to know and direct professional staff), leaders of office / administrative office (to know); sign to issue.

The signing of document can be made by electronic signature (if already registered digital signature and digital signature certificate under the provisions of the Electronic Transaction Act.

In case the head of organization direct the settlement: The head also do similar work to the work of his deputies made above.

(5) Filing clerk

Get the paper documents from the professional staff with signature of unit leader for the contents; transfer to legal authorities and leaders of the office to sign off on legislation, forms, procedures and techniques; submit to leader of organization for signature and promulgation; register out-going documents and issuance procedures including the following tasks: stamp (stamp of offices, emergency signs, security and other marks), register to the division of out-going document managements, deliver the documents, save out-going documents.

Paper documents submitted, the clerical body save 02 copies: 01 copies made in writing to set up and 01 moved to the professional staff shall resolve to establish working file. In the text file to save to save documents must be originals, signed directly by the competent authority. Documents filed in writing to the agency must be arranged in order of registration.



c. Electronic document management

According to the Guidelines by the State Department of Documents and Archives at Document No. 139/VTLTNN-TTTH dated 14/3/2009, electronic document management system is described as follow:

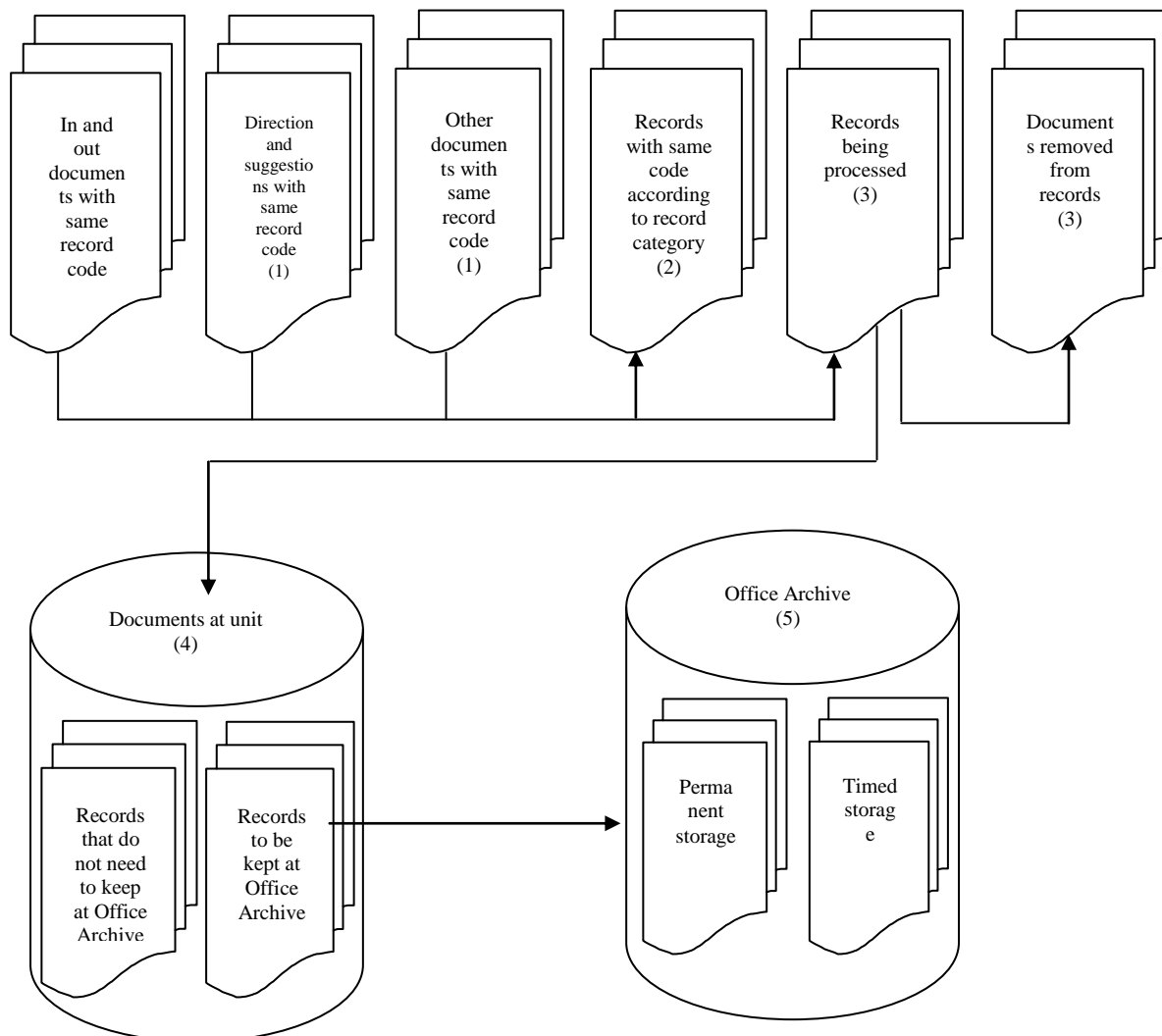


Figure 5 Flowchart of electronic document management

(1) Based on records classification frame (implicit in the existing system), in the process of handling affairs (for the work to be documented), professional staff



determine the code for out-going and in-coming documents, his opinions, comments, texts and other relevant documents (hereinafter referred to as documents).

(2) When the first document with the same code with "code file" in the classified documents, then this document is automatically copied (copy) to the database "Documents being processed";

(3) All documents that have same code will be automatically integrated in the system of records during the process of handling affairs. When the work is completed, professional staff must: Identify the final records in division of document management; remove unnecessary documentation; identify files that do not need to be stored in Office Archive in division of document management; complete Profile (profile title, starting time, ending time, duration of storage: number of sheets; limited use; characteristics of the material in the division of document management).

(4) All documents have been completed the system automatically switches to the database "Document at the unit. "

(5) By the time to submit archive, documents "Document at the unit" will be moved to Office Archive and automatically record the serial number.

2.2 About Vietnam National University, Hanoi

Party and State of Vietnam considers education a top national policy. From the experience of other countries in the world, developing countries requires education investment, considering education as an important foundation for promoting economic development, culture and society of the country. Vietnam is still poor, to invest a large amount of funding for education is not feasible and not effective. In this context, there's



a need to select and build an advanced model of the university and focused investment to improve the quality of management, training, scientific research ... towards higher standards of advanced in the world, to be able to catch up and level of international integration, and more importantly, meet the high demand for human resources for industrialization and modernization of the country. The idea was approved by top leaders of the Party and State. Vietnam National University, Hanoi (VNU) was born from that historical idea.

2.2.1 Formation of Vietnam National University, Hanoi

VNU was established under Decree No. 97/CP dated 10/12/1993 of Government on the basis of consolidation and restructuring three major universities in Hanoi University, Hanoi (to 1995 split into Two University of Science and University of Social Sciences and Humanities), Hanoi University of Pedagogy I (in 2000 separated from VNU) and the University of Hanoi Foreign Language Teachers (later renamed University of Foreign Languages). VNU's tradition is associated with the history and development of the Indochina University (05/16/1906). With the attention and direction of the leaders of the Party and State, overcoming many difficulties and challenges both objective and subjective, so far VNU has basically built successful models of interdisciplinary, multidisciplinary with 38 units including 06 universities (including University of Science and University of Social Sciences and Humanities which are two key national universities), 03 departments, 04 research institutes, 25 research centers, training and services, serving the fields of natural sciences, social sciences - humanities, economics, technology, foreign languages, education, law with open structure, connected, and



flexible, able to promote specialization in the unique strengths of each unit, using common resources, integrating the interference of the interdisciplinary intellectual

2.2.2 VNU is an advanced model

VNU's current model is built on the basis of research, study, drawing and learning experience of models of prestigious universities around the world. It is a combination of innovative models of the University of California - United States, centers for university training and research (PRES) of the French Republic (including the system of members universities, research institutes), models of Tokyo University, Beijing, Seoul (including member departments which are legal entities) and model the national university corporation (NUC) of Japan (with high autonomy)

VNU is a legal entity, having a seal bearing the national emblem and its own account. VNU is headed by the Director appointed and dismissed by Prime Minister. VNU is the government non-productive organization which have the right to take initiative in training activities, scientific research, technology, finance, international relations and organizational structure. VNU is assigned annual plan targets. VNU present the Prime Minister to decide: 5-year and annual strategy and planning for the development of VNU, Projects to set up, dissolve, merge and split universities and research institutes within VNU. VNU is managed directly by the Prime Minister, allowed to work directly with ministries, ministerial-level agencies, government agencies, people's committees of provinces and cities directly under the Central Government to solve the problems related to VNU and its development.



VNU perform three main functions: macro-management, coordination of member units and implementation of the tasks of special training and research. VNU has a role in allocating resource, transferring, assign staff and faculty, coordinating inter-relationships, links, and comprehensive cooperation among member units to create training and research products of VNU's unique brand. The VNU member units are organized and operate under the open, connected and joint mechanism, promoting professional advantages in implementing activities; decentralized management in light of increasing autonomy, high self-responsibility and still ensure the unified control of VNU.

Interconnection model allows for effective coordination between the sectors to use the same staff (natural sciences, social sciences and humanities, foreign language, political theory, national defense education , physical education), same facilities - technical equipments (hall, classrooms, laboratories, libraries, hostels, national defense education, physical education, infrastructure layers of information); same lecturers for courses of general knowledge and basic knowledge; recognition of learning outcomes among students of member organization; accreditation of bachelor of pedagogy with 3+1 model, build and implement new interdisciplinary training program; coordinate the formulation and implementation of interdisciplinary scientific and technological projects and technology transfer services; established strong research groups, centers of excellence, uninterrupted labs.

It is confirmed that inter-association has promoted effective synergy in the development of VNU as a whole, in the direction of integration equally with prestigious



universities in the world, and take advantage of the superiority Vietnam management mechanisms and the large and flexible investment has spurred the development of member universities and faculties under the direction of not only promote the traditional strengths of the unit, but also develop stronger than before becoming member of VNU.

2.3 About VNU Party

Along with the coming into beings of VNU, its Party was established under the guidelines of the Constitutions of the Socialist Republic of Vietnam and the Regulations of Vietnam's Communist Party.

2.3.1 The Formation and development of VNU Party

VNU's Party was established under Decision No. 22 - QĐ / 02 TUHN January 28, 1995 of the Standing Committee of Hà Nội. Initially, when the newly formed, VNU Party has 03 member Party organization including University of Hanoi Party, Hanoi University of Pedagogy Party and University Foreign Languages Party . After 16 years, now the Party has achieved strong growth with 27 grassroots Party organization, including the eight parties and 19 branch establishments, with the total number party members is 1540

2.3.2 The Organizational structure and leading bodies of VNU Party

VNU Party is a large party which has its organizational structure, leading bodies and assisting agencies as follow:

2.3.2.1 Structure of VNU Party



VNU Party is under the Hanoi City Party Committee. Grassroots party organizations directly under VNU's Party is the party and party branch of member universities, faculties, research institutes, research centers, training and other administrative units, the units of services and manufacturing, trading under VNU.

2.3.2.2 Party's leading bodies of VNU

The highest leading body of VNU's Party is Executive Committee of VNU Party Congress (referred to as the VNU Party Committee) elected by the congress which has a 5-year term. VNU Party Standing Committee is elected by the Party Committee to lead and supervise the daily work of VNU Party. (Provisional Regulation on organization and operation of the Party Committee of VNU)

2.3.2.3 VNU Party Committee has main authorities and responsibilities as follows

Decide strategy problems and policy and measures on large fields of work in order to concretize and implement the directives and resolutions of the Central Committee, Politburo and Secretariat of the Party Committee of Hanoi, Resolution of the 10th National Party Congress, Resolution of 15th City Party Congress and Resolution of VNU's 4th Party Congress, consider and adopt the policy, oriented objectives, targets and major tasks of academic year of VNU; consider the decision to adjust the overall planning, development control targets of VNU, the policy implementation schemes, specific projects, other important fields (besides the issues mentioned in the term's thematic discussions agenda); introduce VNU's HR Director when requested by upper leaders; to vote for VNU Vice-Director to propose to the competent authorities for consideration of appointment, discuss topics and issue resolutions, conclusions on



policy and solutions in the important issues of VNU according to whole term agenda. Discuss and decide on other issues when some party members asked. (Working Regulation of VNU's Executive Party Committee, term IV, from 2010 - 2015)

2.3.2.4 VNU Standing Party Committee authorities have the following authority

Identify tasks, objectives, targets, policies and measures of the academic year plans submitted by VNU Party Committee to direct building strategy and development plan for VNU in each project phase Party Committee decisions and decide on the establishment and appointment and dismissal of leaders of public office, the Committee of the Party committee and decide on the introduction of the competent authority appointed principals, directors, personnel decisions appointment and dismissal of top management: Chief, Office Deputy, Director, VNU's functional response, the university vice dean and associate dean of research institutes, heads and deputy heads VNU units; only direct and organize monitoring and supervising the implementation of the directives, resolutions and conclusions of the Party Committee, the Standing Committee of the Party Committee and superior to direct staff to review annual leadership and management at all levels and review the work of leadership, leadership of Party committees, governments at all levels of VNU ... (Regulation Committee Working Party of key VNU IV, the term 2010 - 2015)

2.3.2.5 VNU Standing Party Committee

VNU Standing Party Committee including its Secretary and Deputy Secretaries have the following responsibilities and powers: guide and manage offices, departments of Party committees in the daily work of VNU Party; build and manage the execution of



monthly and quarterly work schedule of the Party Standing Committee; guide the preparation of content, summon members and chair meetings of the Party Standing Committee or conferences on dissemination, implementation or review of the realization of directives, resolutions and conclusions of the Central Party Committee, City Party Committee and Party Committee of VNU; guide the handling of important issues arise in daily work or complicated cases and internal staff, party members and students; guide regulation of information, reports and security in the party; sign the main documents of the Party Committee on behalf; authorize the Director of Party Office to sign the administrative documents of the Party Standing Committee.

Agencies to advise the Committee of the Communist Party include: Office of the Party Committee and the Committee has the functions, duties and powers as prescribed by the Charter Party and the Party Committee of the Standing Committee VNU.

2.3.2.6 Working relations of VNU Party

VNU Party has the following working relations:

- Relationship with VNU Director: VNU Director executes the leadership and supervision of VNU Party Committee and its Standing Committee. VNU's Party Committee and the Standing Committee promote respect for proper authority and responsibilities of directors under the provisions of the State. The relationship between Secretary of Party Committee and Director VNU is the relationship of coordination to strictly implement the directives and resolutions of the superior and fulfills the political tasks of VNU.



- Relations with the Hanoi City Party Committee: VNU's Party is under the leadership of the immediate superior: Hanoi City Party Committee in all aspects of its work.

- Relationship with other grassroots organizations: VNU Party lead directly and comprehensively grassroots Party organizations are attached.

2.4 About VNU Party Office

VNU Party Committee Office is an agency of the party system of VNU Party.

2.4.1 Main functions of VNU's Party Office

VNU's Party Office with the principal function: to advise the Party committee, whose representative is the Standing Committee of the Party Committee to executive leadership from the Party and directly manage financial assets, ensuring the material conditions for the activities of the Party Committee and Party Standing Committee. It is also the information center for the leadership of the Party Committee, the Party Standing Committee.

2.4.2 Main tasks of VNU's Party Office

Lead and coordinate with agencies to help build the Party Committee and implementation of working regulations of the Party; preliminary review of the implementation and amendment, additional regulation where necessary. To draw up and implement the work program of the Party Committee of the whole course, the work in programs, regulations, months of the Standing Committee of Party Committee in monitoring implementation of work programs to supplement, adjusted accordingly.



Organize conferences of Party Committee and Party Standing Committee. Help the Party Committee and Party Committee Standing Committee handle the daily tasks: monitor and urge the preparation of thematic reports, the project works of Party, the Party Standing Committee; chair and coordinate the making of proposals, resolutions, conclusions, action plans and directly edit the documents of the Party Committee and Party Standing Committee. .

Monitor and review the situation of implementation of the resolutions and directives from central level, the Hanoi City Party Committee and Party Committee of VNU in grassroots organizations in relation to functions and duties of the office; understand the operations of grassroots Party organizations to report to the Party Committee and the Standing Committee.

Organize the information related work for the leadership of the Party Committee, Party Committee Standing Committee, providing information to the Commissioner of Party comrades, the Party Standing Committee and grassroots organizations party under the Regulations of the Party committee activities; help the Party Committee, Party Committee Standing Committee in the work related to information, regular and irregular report and propose to Party Central Committee and the Hanoi City Party Committee; track and urge the Party's grassroots organizations and other parties to implement the work of information and report to the Party Committee and Party Standing Committee.

Receive, distribute and manage documents, materials and other documents ... from where incoming and outgoing from VNU Party Committee and directly manage, exploit



archive material from the Party VNU; direct, guide and inspect the work of archives of grassroots Party organizations.

2.5 Description of Document management system of VNU's Party Committee Office

The management of out-going and in-coming document of VNU Party Committee Office is mainly manual and traditional, ie document processing is performed on papers. During the past year, the application of information technology in document management was done by Party Committee Office in coordination with VNU Office, with guidance of the Party Standing Committee. To prepare for adopting electronic document management comprehensively, Party Committee Office in collaboration with VNU Office has uploaded normal document (non-confidential) to the network, ie the document management activities of the Party Committee Office were integrated in the Net.Office software of the VNU Office.

In general, the document management activities of Party Committee Office comply with the provisions of Document No. 425/VTLTNN-NVTW dated 18/7/2005 guiding the management of out-going and in-coming documents of State Department of Document and Archives and Guidance No. 139/VTLTNN-TTTH dated 14/3/2009 of State Department of Document and Archives.

2.5.1 Description of the traditional, manual document management system



The traditional document management system of VNU's Party Office operates under the guidelines of the General regulations of Document No 425/VTLTNN-NVTW dated 18/7/2005 by the State Department of Documents and Archives.

2.5.1.1 Management of In-coming documents

In-coming document management is conducted according to the following process:

(1) Receive, classify, unseal, register and submit in-coming documents: When documents arrive, the filing clerk reviews and classifies (in accordance with the provisions described above). After unsealing, he/she stamps "In-coming", writes number, arriving dates and register the documents. After that, he/she attaches "word processing Form" and submit to the Office of Party Committee to read and to guide on the processing and distribution.

(2) Word processing and assignment of tasks: After filling in the "word processing Form" with assignment to individuals or units, the Director of Party Committee Office will return documents to the filing clerk.

(3) Record, distribute, monitor and supervise the processing of in-coming documents: After receiving documents with opinion of the Director of Party Committee Office, the filing clerk will then write in the in-coming document record book. After that, he/she will make copies and distribute to individual lockers of those assigned to process the in-coming documents. The Director of Party Committee Office will monitor and speed up the processing of in-coming documents at the assigned individuals or units. The filing clerk is to report the implementation and performance of the tasks assigned to individuals or organizations.



(4) Assign individuals to process and report results: After receiving documents processed by Party Committee Office, Head of the Party sub-committees or head of units (Sub-committees for short) will assign specific individual to process as required. Individuals complete the tasks as required, make regular progress reports and result reports to the unit's leader.

The Unit's leader will then report directly to the Standing Committee of the Party Committee or through the Party Committee Office on the results of performing the tasks assigned in different forms (written reports, meeting reports...)

(5) Make general reports and recording: Director of Party Committee Office makes general reports the work to the Party Standing Committee and guide the filing clerk to make records and archives.

2.5.1.2 Out-going document management

Out-going document management is conducted according to the following process:

(1) Prepare and submit documents: Officers or sub-committees of the Party committee (called units) prepare documents as required.

(2) Unit leaders check and submit for approval: Leaders of the units in charge of preparing the documents will check the draft documents and submit to Secretary or Deputy Secretary of Party Committee for approval. In case documents are not eligible for approval yet, requirements and guidance on specific editing must be specified.

(3) Approval of documents: For approved documents: Secretary or Deputy Secretary of Party review and sign documents for approval of eligibility. Where documents are not yet eligible to sign, necessary supplement or amendment must be specified.



(4) Returning documents: The assigned units receive submitted documents from the Secretary or Deputy Party Secretary for further processing: that is to issue signed documents.

(5) Issuance of documents: The filing clerk checks procedures, modalities, techniques, layout for the last time before releasing documents. Eligible documents will be noted of date of issuance; registered in the out-going document record book; stamped and saved the original copy (in case of unqualified documents, he/she will report to the Director of Party Committee Office and propose change or supplement needed); duplicate, stamp send documents to agencies, organizations, units and individuals as recipients.

(6) Monitor the delivery of out-going documents: The filing clerk is responsible for monitoring the delivery of out-going documents . If for some reason the out-going document is returned by the post offices, it must be passed to the unit or individual that prepared the document, and at the same time make annotations on documents sent to the post office for inspection and verification when necessary. In case of missing documents, he/she will promptly report to the Director of Party Committee Office for processing.

(7) Store, create and make records of documents: Each document released must have at least 02 copies: the original documents are kept at the filing clerk; the main document is kept at the unit that prepare it. The filing clerk makes records book to manage out-going document and timely provide a copy as requested. Confidential documents are managed and used in accordance with the law.



2.5.2 Description of document management software and Net.Office

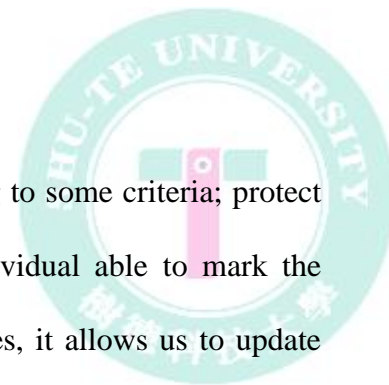
As mentioned above, about a year ago, along with the continued operation of traditional document management system, the Office of Party Committee also used a document management software and network operating through the Net.Office Software provided by VNU Office. Net.Office "was developed in 2001 with the ambition to do something to improve administrative operations. The program is run on the WEB. Besides the main function that is to management documents, it brought the function of work resolution over the network with a workflow mechanism using colors to highlight the work completion status, which monitors work processing easier. The software also provides several utilities for office activities such as calendar, contacts, messaging, dictionaries. The document management functions via Net.Office:

2.5.2.1 In-coming document management

In-coming document management through Net.Office has the following functions and features:

(1) Summary of functions: Record directly to a text: Receive a text electronically; Edit management information of in-coming documents; Remove a in-coming document; approve/cancel an in-coming document; assign access rights; streamline document to the subordinate units for processing; attach the document file; distribution process and track record of the processing; quick search text; print document record books and statistics on the processing.

(2) Summary of features: a document can have multiple attached files, with different nature; can search by many different modes: simple search, advanced search with



logical conditions, the full-text search, text filtering, according to some criteria; protect privacy with the possibilities to provide access to each individual able to mark the documents status; for an organization of hierarchical structures, it allows us to update the text at various levels, classify document, manage and track document processing time in each department; support quick input for dictionaries and intelligent recognizing mechanisms; monitor the cycle from receiving of the written documents to issuing reply document; create in-coming document processing file according to different criteria; allow administrators to define the type of in-coming document (what kind and which management information); manage at multi-level, if the institution has unit members which are legal entities, they can send and receive written document independently; automatically attach a file so the clerical staff do not have to scan full text documents at the same time they put text file in; use digital signatures to authenticate the originality of in-coming documents.

2.5.2.2 Out-going document Management

The out-going document management through Net.Office has the following functions and features:

(1) Summary of functions: Directly record a released document; sign digitally; send out-going documents electronically, forwarding documents to subordinate units in a multi-level organization; edit an out-going document; delete an out-going document; approve/Disapprove an out-going document; decentralize accessibility; quick document search text; print out-going register books written off.



(2) Summary of features: An out-going document can have many attachments, with different nature; can search by many different modes: simple search, advanced search with logical conditions, the full-text search, text filtering, according to some criteria; protect privacy with the possibilities to provide access to each individual; support quick input for dictionaries and intelligent recognizing mechanisms; allow administrators to define the type of in-coming document (what kind and which management information); automatically transmit document; validate document and responsibility of the person who signed by digital signature.



Chapter 3 Research Methodology

To answer the questions of this thesis, qualitative research method was considered to be used. Specifically, there are semi-structured in-depth interviews, focused group discussions and observation methods to collect information.

3.1 Theories of Qualitative method

There are quite a number of books and articles on qualitative method. However, the article at [Http://156.freebb.com/xhh2006/xhh2006-article159.html](http://156.freebb.com/xhh2006/xhh2006-article159.html) was used in this study as a theoretical background.

3.1.1 What is qualitative method?

Qualitative research is an approach which seeks to describe and analyze cultural characteristics and behavior of people and groups from the perspective of researchers. Qualitative research provides comprehensive information on the characteristics of the social environment where research is conducted. Social life is seen as a sequence of events closely linked together that should be described fully to reflect the actual daily life.

Qualitative research is based on a flexible dialectic research strategy. This method allows detection of important topics that researchers could not cover earlier. In qualitative research, some research questions and methods of gathering information was prepared, but they can be adjusted accordingly when new information appears in the collection process. That is one fundamental difference between quantitative methods and qualitative methods ([Http://156.freebb.com/xhh2006/xhh2006-article159.html](http://156.freebb.com/xhh2006/xhh2006-article159.html))



3.1.2 The origins of qualitative research methods

The qualitative research method was developed and first used in anthropology, a social science disciplines. The anthropologists went to the communities in which they wish to study and lived there for a long time to observe people found out the dominant causes of their behavior. To get in-depth information, the anthropologists often use techniques such as unstructured interviews, collecting life history, group discussions and case studies. Initially, these techniques were invented to collect the descriptive information, non-quantitative. Today, such techniques are widely used not only within the scope of anthropology but also in many sectors and many different areas.

[\(\[Http://156.freebb.com/xhh2006/xhh2006-article159.html\]\(http://156.freebb.com/xhh2006/xhh2006-article159.html\)\)](http://156.freebb.com/xhh2006/xhh2006-article159.html)

3.1.3 Why qualitative method?

Research is a process of seeking knowledge that is generalized to explain a variety of phenomena. To do this, researchers must determine the “source” where appropriate data can be collected. Once the source has been identified, researchers must choose data collecting techniques that work best. In the ideal case, researchers must use any appropriate methods by which the data collected is reliable. However, in practice, whether to use experimental method depends on the type of data needed. When we need quantitative information, we use quantitative method as it is most appropriate. If the data needed is qualitative, researchers have to use qualitative method.

[\(\[Http://156.freebb.com/xhh2006/xhh2006-article159.html\]\(http://156.freebb.com/xhh2006/xhh2006-article159.html\)\)](http://156.freebb.com/xhh2006/xhh2006-article159.html)



3.1.4 Semi-structure in-depth interview

Semi-structured interview is an interview based on a list of questions or topics. However, the order of questions may depend on the context and characteristics of the interview subjects. In-depth interviews are used to explore deeply a particular topic, in order to gather maximum information on the subject under study. In-depth interview uses semi-structured guidelines on the basis of earlier research on the subject to know what questions are appropriate.

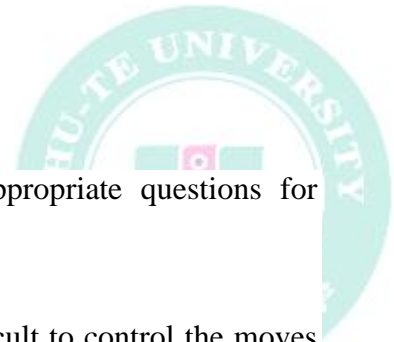
Advantages of semi-structured in-depth interviews: Using an interview guide will save time for interview; list of questions helps identify issues that need to collect information but still allow the flexibility to discuss emerging issues; easy to systematize and analyze the information obtained.

Disadvantages of semi-structured in-depth interviews: Need to have time to explore topics of interest to identify research topics and design appropriate questions.

3.1.5 Focused group discussion

A focused group often includes from 6 to 8 people with certain common characteristics which are appropriate for the discussion topic, such as same level of knowledge, same age, same sex... Focused group discussion is often used to assess the needs, evaluate intervention measures, test new ideas and programs, upgrade current programs and collect information on certain ideas in order to develop a structured set of questions...

Advantages of focused group discussion: Provide considerable information in a faster and cheaper way than using individual interviews; valuable in find out about community



opinions, attitudes and behaviors; support in identifying appropriate questions for individual interviews.

Disadvantages of focused group discussion: It is more difficult to control the moves of the discussion process, as compared with individual interview; the results of focused group discussion are normally more difficult to analyze than those of individual interview; the number of issues brought out in focused group discussion may be smaller than those of individual interview.

3.1.6 Observation methods

Observation method is controlled recording events or human behaviors. It provides information on real behavior, which helps to understand the studied objects. The researcher can observe real behaviors directly or observe signs of behaviors.

Advantages of Observation Method: Observation method helps collect the exact picture of the object's behaviors because he/she is not aware of being observed or when they cannot remember their own behaviors. Applying other methods together with observation method will cross check the correctness.

Disadvantages of Observation method: The result of observation method cannot represent the majority. Issues behind observed behaviors such as motivations and attitudes cannot be revealed... Researchers normally have to deduce (in a subjective way) to explain the observed behaviors. (<http://156.freebb.com/xhh2006/xhh2006-article159.html>)



3.1.7 Methods

In order to have effective interviews, group discussions and observation, I followed the following methods:

3.1.7.1 Interview

Before conducting interviews, short discussions with the above subjects were carried out about purposes, the subject of interviews and expectation of cooperation; the Interview content focused primarily on learning about the management of documents of the Party Committee Office; at the same time I also scheduled time and place to conduct interviews for each person. Under that plan the interviews were conducted as follows:

Questions focused on the following issues:

Question 1: How is the Document management systems currently applied at VNU Office of Party Committee deployed?

Question 2: The strengths and weaknesses of the document management system of VNU's Office of Party Committee?

Question 3: Should there be a change for the document management system at VNU's Office of Party Committee?

After questions were built, they were sent to 4 persons expected to be interviewed in advance so that they have time to prepare, which helped me to have quality answer for my thesis. The 4 subjects will answer 3 questions. Besides, further questions will be put depending on specific condition.



3.1.7.2 Focused group discussion

Before organizing the discussion, each subject was briefed on the purpose and content of the discussion, which is on the general topic of Document management system at Party Office: state and solutions, and focused on the following:

1. Analyze, evaluate the effectiveness of the document management work of VNU Party Office; the strong points and the weak points or shortcomings.
2. The solutions to improve the shortcomings and enhance the effectiveness of VNU Party Office document management.

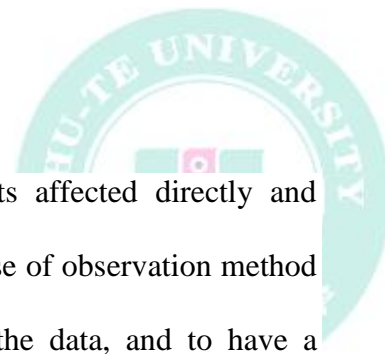
The discussion is scheduled to take place in a small meeting room of VNU Head Quarter.

3.1.7.3 Observation

This study aims to observe the process of an out-going document from VNU Party Office to guide member units; and observe the process of archiving documents at Party Office, under different appropriate forms in order to collect deep, broad and practical data.

3.2 Purpose of using qualitative research method

The main reason why qualitative research method, especially semi-structure interview and focused group discussion was chosen is that, through face-to-face interview with experts in Party affairs, as well as through focused group discussion, the collected information and data related to document management system of the Party Committee Office of VNU is more valuable and reliable, which provides a basis to analyze and assess the status of the document management system of the Party



Committee Office, the effectiveness of the system, elements affected directly and indirectly to the system and propose changes. Moreover, the use of observation method to collect more facts and realistic information to reinforce the data, and to have a comprehensive evaluation of the document management system of VNU Party Office.

3.3 Interview and group discussion participants

3.3.1 In Semi-structure in-depth interview

To get quality and reliable information, four main participants were interviewed, including:

- Subject A, who is currently holding the position as Party Secretary VNU, directly direct the activities of the Office of VNU, and he has innovative thinking, taking initiatives to improve quality and efficiency of all operations of VNU in the direction of international standards.

- Subject B who is VNU former Party Secretary, he undertook many positions in the Party at different levels with many years of experience in leading and directing the activities of the party of VNU, and he directed the activities of VNU's Office so he should have a deep understanding of the strengths and weaknesses in the operation of the Party Committee Office.

- Subject C - the head of Party Organization of VNU, an important committee of the Party Committee of VNU he had frequent contacts, day to day with the Office of Party Committee and also often has to solve a lot of in-coming and out-going documents of Party VNU.



- Subject D - the specialist of Party Committee, who has long been working at the Office of Party Committee, very knowledgeable and proficient in professional work of the Party, and have a deep understanding of the document processes and management of the Party Committee Office.

3.3.2 In focused group discussion

6 subjects were invited, among which 02 are leaders and the other 04 are experts on Party affairs from 6 units of VNU Party to take part in the discussion

3.4 Research process

It is observed that document management activity is one of the main tasks of the Party Office. It plays an important role in supporting the Party and its Standing committee make policies and decisions. And this study aims to research management activity at Party Office .

At first, this thesis was entitled: “Assess the quality of information system of VNU Party Office”. However, this proved to be a very large theme, and would result in difficulty in research process. Then with consultation from the assigned supervisor, the title of this study change and was approved in December 2010.

After being approved, a proposal was prepared as guided by Shute University and the assigned supervisor. This work is completed in the end of January 2011. Then it took 1 week to study, collect materials and search for other thesis related to the topic... Several research methods were put into consideration and finally qualitative research method was chosen for the study.



In February 2011, the set of questions for the interview were completed, interview participants and focused group discussion participants were chosen. In February and March 2011, materials and other theses related to this study were collected and studied. Then chapter 1, chapter 2 and chapter 3 were completed. In April 2011 the interviews, focused group discussions and observation were conducted at the Party Office, then results were analyzed. Reports were sent to 4 interview participants and 6 group discussion participants and their feedbacks returned. In May and June 2011, chapter IV and chapter V were completed and perfected with consultation from the assigned supervisor.



Chapter 4 Research Results

As mentioned in chapter III, in this thesis, qualitative methods with interviews, focused group discussions and observation were used. The results are as follow:

4.1 Description of results

The interviews, discussion and observation take place according to plan.

4.1.1 With semi-structured interview

With thorough preparation and support from the interview participants, the interviews take place as planned. Each interview last from one hour to one hour and a half and is done in working office of the subjects. The interviews pass in an open and sincere atmosphere. The object had prior preparation so the answers are precise, coherent and enough information as required by the research. Especially with subject A, in the process of interview, two more questions were asked to clarify and add more necessary information for the thesis.

The answers of all subjects were noted down in detail and sent back to all subjects to confirm that the information are complete, clear and precise. The content of the interviews are as follow:

4.1.1.1 Description of answers to question 1

Question 1: How is the Document management systems currently applied at VNU Office of Party Committee deployed?

The detailed answers of interview participants are as follow:

- Detailed answer of subject A: “The system for document management's current Communist Party office shall comply with both forms: traditional (ie, all activities



related to the management of documents is done on paper) and deployed on document management software. However, it can be said that the current document management at the Office of Party Committee mainly follows the traditional way. During the past year, along with innovations in all activities of the VNU, the application of information technology has been promoted, including the activities of the Party Committee. The Standing Party Committee has directed the Office of Party Committee Office to cooperate with VNU's Office to integrate the document management of the Party Committee in the software for document management of VNU. This is just the test, to prepare for the construction of a separate software for the management of documents of the Party (as the Document of the Party needs high security so it requires separate software) .

In principle, the process of document management at the Office of Party Committee complies with the basic provisions of the Clerical Department and the State Archives. All documents from the Central Party Committee or Hanoi Party Committee, and from the grassroots Party committee are submitted through the Office of Party Committee. Party Committee Office processed, distributed to departments and units concerned to process and report to the Party Standing Committee and the Party committee. NetOffice only applies to those documents do not require security, after having processed by the party office, the clerical section of the Party Committee Office will coordinate closely with the clerical section of the Office of VNU to implement the next steps, ensuring compliance with the principles and procedures for document management in network environments, from text input, distribution, assignment resolved, reports performance



and maintain a record of work ... For out-going documents, after preparing documents, departments of the Party will send them to Director of Party Committee Office to assess, then submit to the Standing Party Committee to stamp, file delivered by two channels (paper copies by mail and upload to the network software through NetOffice)”.

- Detailed answer of subject B: “Document management at the Office of Party Committee in the past and now mostly done on paper documents. The deployment of document management software NetOffice at VNU is just pilot. General management activities, including both in-coming and out-going documents at the Office of the Party Committee is directed by the Party and comply with the regulations of the State Department of Documents and Archives”.

- Detailed answer of subject C: “Party Committee Organizing Committee normally receives documents sent from the top to grassroot levels. They will be processed, distributed by the Director of Office of Party committee. For documents related to the Party Organizing Committee, directly assign staff to process, then to report the results. Head of the Organization will report directly to the Party Standing Committee or through the Office of Party Committee depending on the nature of the job.

For out-going documents from the Party or from the Party Standing committee related to human resource planning, Party Organizing Committee will send directly to the Director of Party committee for assessment. If eligible, director of the Party Committee Office will submit to Party Secretary or the Deputy Secretary to sign the documents. For unqualified documents, Director of Party Committee will return them to the Party Organizing Committee to continue to supplement and perfect.



The archive of documents the Office of Party Committee follow the general regulations of the State”.

- Detailed answer of subject D: “The document management task of the Party Committee Office is now done parallely in two forms: By Paper documents and partly by document management software of VNU (also called NetOffice).

For in-coming documents: The handling of paper documents is done through the following process: When there is an in-coming document, the filing clerk will review and classify; stamp "To", enter the number, dates and register, paste "Document processing form", then submit to Director of the Office of Party Committee for consideration and comments on handling and distribution. After leaving comment to assign to individuals and units, Director of Party Committee Office will return the document to fiing clerk. The filing clerk notes in the in-coming document book, duplicate and send to the assigned individuals and units. After completing tasks, the individuals and units will report directly to the Party Committee or through the Office of Party Committee on the results of performing the task. Party Committee Office makes general reports of the work to the Party Standing Committee and direct the filing clerk to make work completion file and put into storage.

The management of Party’s in-coming documents on NetOffice is as follows: when there is in-coming document, filing clerk of Party Office will coordinate with filing clerk of VNU to put them into NetOffice system, which allow the definition and classification of in-coming documents, enter attributes of in-coming document, enter the full text of documents through the scanner or attachment; convert word processing



system to NetOffice; track document processing status including support for leaders at all levels, depending on their authorities and responsibilities to track the status of work according to the following states: completed document before deadline, in-process document before deadline, to-be-processed document before deadline, overdue completed document, overdue in-process document, overdue to-be-process document, due completed document, due in-process document, due to-be-processed document (deadline is current date); search, reference to in-coming document including search documents according to their attributes, time, dates, logical expressions, process status.

The management of out-going documents complies with the following cycle: Professional offices/departments of the Party committee prepare the content as required; Head of offices/departments of the Party Committee check documents and submit to Secretary or Deputy Secretary of Party Committee to sign. Where documents are not yet eligible to sign, the person will write the specific requirements and return the document to the unit to edit. For qualified documents, the Party Secretary or Deputy Secretary of consider and examine documents, sign to approve documents. After being signed, the document is checked for the last time by the filing clerk of Party Committee Office regarding procedures, modalities, techniques, layouts before issuing the document; write document number and date of issuance, note in the out-going document management book; stamp “Issued”, save the original; duplicate, seal and send documents to agencies, organizations, units and individuals as recipients. Make archives.

The out-going document management by NetOffice is as follows: Prepare draft out-going document, edit the draft, verify out-going document, refer, seach out-going



documents, track the document processing and other functions; Issue the out-going documents, which includes automatically updates the information, enter added information to out-going documents , enter the full-text content to out-going documents (attach electronic file, or scanned documents), search out-going documents”.

After receiving the answers of each of the first question. Further questions were put to subject A as the head of the Party committee and who have a role in the decisions of the Party Committee and Party Standing Committee. The question is: Why is the document management of the Office of Party Committee through a network shall not be applied immediately in a comprehensive way? What are the objectives of the application of information technology in managing documents? And when is a software dedicated to the Party Committee Office will be deployed?

With this question, subject A had the following answer: “With its own particular characteristics, a number of documents of the Party are highly confidential, so it is necessary to design a separate electronic communications network for managing documents from the Party. In order to prepared for all aspects of infrastructure including information technology, recruitment and training, design and build information networks ..., the testing activities of document management Office of Party Committee through NetOffice system (of course this test only applies to those normal, non-confidential documents) is necessary and in accordance with actual conditions of the Office Party Committee.

The objectives of the development and application of electronic information networks in the near future to document management of the Office of Party Committee



are: Unify and computerize of the operation process, forms of reception, storage and dissemination, exchange, search, information processing, handling work of the Office of Party Committee to improve the quality and effectiveness of the executive leadership, the operation of the Party Committee and VNU's Party Standing Committee; build a system of electronic document storage, basically overcome the situation of unshared information, provides information on documents required for the leadership and guidance of the Party Committee and Party Committee Standing Committee VNU in a convenient, accurate, complete and timely manner; improve the application and use of information technology tools, step by step create the habit of working in a network environment and using electronic information, besides the improvement of management, contributing to innovative changes in information processing and work of civil servants with the support of the software operating on the network, contributing to the gradual reform of administrative management of the entire documents of VNU's Office of Party Committee through the network environment; manage all data generated during the rotation and word processing work, including delivery notes, bills submitted, check processing, exchange ideas and suggestions during the document processing through the network, create and manage documents related to the processing, establishing processing flow so as to track document processing trace, save the entire process as well as in the feedbacks on your network ; create and manage reports on rotation status, management and treatment, monitoring document processing, the output of general information in time to serve the administration, operation of Party Committee and the Standing Committee of the Party Committee as well as officials in the agency;



standardize, create and store information in order to manage the list of subjects participating in the system, support in document inputing and support the handling of classified documents under the authority; supports the archive of documents, records ...

Currently, VNU Party Standing Committee has been directing the construction of an overall project on application of information technology in management and administration of the Party committee, including document management activities of the Party Committee. So far everything is going according to schedule with the implementation of the development of an electronic information network. Notable in the project, a wide area network of the Party will be built according to schedule and to the end of 2012 this system will go into operation”.

4.1.1.2 Description of answers to question 2

Details of question 2: The strengths and weaknesses of the document management system of VNU's Office of Party Committee? The detailed answer of 4 participants are as follow:

- Detailed answer of subject A: “The strengths: Management of documents in traditional form: it can be confirmed that this work in the Office of Party Committee was conducted in such a way that ensures the provisions of the Department of Documents and Archives and State; facilities to support document management activities such as secured storage, systems management books, file cabinets system ... ; staff in the Office of Party Committee experienced and enthusiastic people, so they took a very strong skills and proficient in this work.



Management of documents on NetOffice: contributes to renewing the leadership and working style of the Party Committee, its Standing Committee on the basis of modernization and computerization of the document management activities of Office of the Party Committee; ensures the provision of update information and exchange information from the VNU Party Committee down to the grassroots Party cells; solve problems faster, more timely, more accurately, more efficiently. The search of document is easier, more convenient, faster than with the traditional management, once the work was put online, the difficulty of geographical distance can be overcome; Connection to the Internet allows work to be resolved anywhere with Internet access, the application of this new management method has also enhanced personal responsibility because it publicly shows both progress and ideas for those related. It has the capability of controlling the real status work progress. ...

The weaknesses: The management of documents in the traditional form: the processing is delayed due to multiple stages, lost of documents through intermediate stages occur occasionally, leading to slow progress; management of paper document is also costly, the archive is not really logical so when there's a need to search for documents, it takes a long time ...

Management of documents on NetOffice: still share with Office of VNU so sometimes the Office of Party Committee is not very active at work, especially at the input stage; the security requirement of Party documents of course can not be guaranteed; most leaders, professionals are just equipped with the minimum knowledge so the application of information technology is still at simple level. Administrative



paperwork is still the habit. There are still officers and experts who don't want to communicate online, thus affecting the effectiveness. Another very important limitation is that the application of document management is only in a narrow range, users include only the Party Standing Committee (Secretary and Vice Secretary of Party Committee) and Office and departments of Party Committees, but has not been widely deployed to grassroots organizations under the Party, thus the benefits of NetOffice has not fully been exploited...”.

- Detailed answer of subject B: “Although the current staffing of the Office of Party Committee is limited in number, but with a high sense of responsibility and have many years experience, the work of document management the Office of Party Committee is relatively close and methodical. Especially since the integration of document management through NetOffice Party Committee, the document management activities in the Office of Party Committee saw many positive changes. Leaders can regularly monitor the status of document processing; the speed of problem solving is faster thanks to fast update information. Access, receive guidance and information on handling work can be done anywhere; especially the search, document search is very fast, very convenient ...

However, because the traditional methods of document management is still mainly used, the processing of documents takes a long time to complete thus affecting the progress of the work. It is also costly because one document has to be duplicated to be sent to various committees of the Party's grassroots organizations and 27 affiliated party as it needs a large amount of paper has; archival work is cumbersome and takes up too



much room and a number of filing cabinets, not to mention when needed, the search for old documents also took a long time; stages of document transmission take longer due to geography distance from the Office of Party Committee to remote facilities; document loss or forgetting sometimes happened, affecting the progress and performance. Uploading documents on the network is applied only between VNU Standing Party Committee - Office of the Party Committee and other department, the deployment down grassroots committee is only done only in the form of paper documents so the efficiency and timeliness is also affected ...”.

- Detailed answer of subject C: “The management of documents at the Office of Party Committee is in fact the process of managing documents of VNU Party, so it is not only the work of the Party office but also the responsibility of the Party Committee’s departments in coordination with the Office of Party Committee at all stages of the document management. Thanks to the close and harmonious coordination, it can be confirmed that the document management activities at the Office of Party Committee basically ensure the general provisions of the State. Party documents management has been improved when using NetOffice. But in the long run there should be an information network dedicated only to the Party office so that document management activities, as well as work management are more active, more convenient, especially safety is ensured as Party documents system which is highly confidential.

Although document management activities are done methodically and according to the process, but the effectiveness and progress of doing a number of jobs is not high. Continue to maintain administrative style with paper work as the primary method for



document management has caused waste and cost; multiple stages, duplication, delivery to grassroots units geographically far away from the Party Committee office cause a lot of time and make it hard to control the documents, thus affecting the progress and effectiveness of work. The application of information for the Party was concerned just recently, so it takes some time to get rid of old habits and be familiar with everyday use of online transactions; the security is also a weakness when integrating document management activities of Party with the general system of VNU”.

- Detailed answer of subject D: “Strengths: Firstly it must be confirmed that document management activities in the Office of Party Committee in general is basically done in strict compliance with the provisions of the State Department of Documents and Archives. Effectiveness of document management was improved by integrating the network of VNU Office. Thus, all information becomes more transparent, faster and thorough from the Standing Committee of the Party to leaders and professionalists of member departments. Thus the progress of processing the work is more quickly, the level of work completion is assessed more accurately.

Weaknesses: The management of documents according to the classical model is costly because of the investment on facilities for this work, for example the big number of filing cabinets; the amount of papers needed is very large; photocopiers... It is generally very expensive to invest. Progress and efficiency of a job is not guaranteed due to delay in document delivery (distance from the Office of Party Committee to grassroots units is large), due to loss of documents, due to careless inspection and



control of document processing, due to lack of officers so document archives work is not yet logical, leading to difficulties in the search and reference of documents...

The integration of the Party document management with online NetOffice proves to be more effective, more convenient, but has yet to overcome the disadvantages such as: the Party Committee Office can not be active in a number of stages, especially input stage (scanning and inputing documents are done directly by VNU office, the amount of documents of Office of VNU's very large, sometimes it takes time ...); the level security is low; unfamiliar with network communication should also interfere in the processing of work over the network”.

4.1.1.3 Description of answers to question 3

Details of question 3: Should there be a change for the document management system at VNU's Office of Party Committee? Detailed answers of 4 participants are as follow:

- Detailed answer of subject A: “As mentioned in earlier questions, the Party Committee and its Standing Committee has been directed to aggressively work to develop information technology applications in the management and leadership, as well as in document management activities in the Office of Party Committee. As noted above, an overall scheme has been developed and are in progress, including building a wide area network for the Party. This is an important policy which aims to create a positive change to improve the efficiency, quality in managing documents in the Office of Party Committee of VNU”.



- Detailed answer of subject B: “Innovation and building an information system dedicated to the Party committee is essential and has been directed by the Party Committee and its Standing Committee”.

- Detailed answer of subject C: “As discussed in the second question, despite the results achieved, contributing effectively to support the leadership and guidance of the Party Committee and Party Standing Committee, there are still gaps to be overcome. Party Standing Committee is directing the development and implementation of the overall scheme to apply information technology in management and administration work of the Party committee, especially the building of a special system of wide area network of the Party to improve the quality and effectiveness of leadership and direction from the Party in general and improve operational efficiency of documents management of the Party in particular”.

- Detailed answer of subject D: “The change is natural then! VNU Party Committee currently has a comprehensive scheme for applying information technology in management and administration of the Party Committee. A system of wide area network from the Party will be coming soon. This would make a difference from traditional way of managing documents and other administrative work. I am confident that the document management activity of the Office of Party Committee will be easier and more importantly, more efficient with higher quality”.

After question 3, further questions were put to subject A: Could you tell more detail about the system of wide area network that the Party Committee has directed the implementation?



With this question, subject A gave the following answer: “Wide area network of VNU Party, after being completed and put into use, will be a computer information network to serve the leadership and guidance of the Party Committee and its Standing Committee and other unit committees under VNU, an internal information network of the Party, the connection of the center computer at the Office of Party Committee with the computer network of grassroots party organizations affiliated. Wide area network information from the Party ensures the information exchange exploitation and use of information in the system of VNU Party organizations through network services, software and database sharing. Wide area network information of VNU Party is centralized and unified and safe.

When the system comes into operation, the management of documents of the VNU Party will mainly carried out through this system. That will reduce the traditional management method of paper documents. Then, all the grassroots organizations under VNU Party will have the responsibility to participate in the wide area network of the Party VNU, including to send, receive and process documents (including confidential documents). Confidential documents will be encrypted before being sent to the network.

In order to build a wide area network of VNU Party Committee, a number of major solutions have been identified as following: build technology infrastructure, especially hub system; complete connections of VNU’s wide area network to the grassroots party organizations, in which each unit will establish a local area network (LAN), connected to wide area network of the Party, ensuring the safety of the wide area network of the Party and information security; build the repository of electronic information systems



and databases, ensuring regular timeliness supply of accurate information for the leadership and direction of the party executive committees at all level; build and apply unifically common applications: electronic mail, sending and receiving of dispatches, document management and exploitation of records and archives...; train qualified leaders and professionals who are competent in using computer networks to handle the job in line with assigned functions and tasks, etc...”.

4.1.2 With focused group discussion

The discussion was organized according to plan. 6 participants attended fully and on time. The discussion last for one hour and a half. I myself presided over the discussion. After the purpose and main content of the discussion was informed, the participants takes turns expressed their opinions on both issues mentioned. Because the participants are all experts in Party affairs of member units, their points of view show a great consensus, with nearly no opponent ideas.

4.1.3 With observation

As mentioned in chapter 3, 2 processed were observed: the process of an out-going document from VNU Party Committee and the process of archiving documents at VNU Party Office.

4.1.3.1 Observation of an out-going management process

The observation was carried out with the process of management of Document No. 109-CV/ĐU dated 20/4/2011 by VNU Party Standing Committee. The content is to require all member units of VNU Party to check and evaluate the implementation and results of the Conclusion of VNU Party on improving quality and effectiveness of party units and party member supervising work. According to this Official Document, the



member party units will have to make reports (paper) and send to VNU Party Standing Committee before May 4th 2011.

This document is drafted by VNU Party Inspecting Committee. After it is drafted, the document then is edited and signed by Deputy Secretary of VNU Party and is passed on to the filing clerk of Party Office to check on formality, techniques and layouts of the Document and to note down Document Number, date of issues, register in the out-going document management book, stamp of issue, archive the main copy, duplicate, stamp and deliver the document to Party member units. On May 4th 2011, 25/27 party member units submit reports as required. 02/27 party member units didn't submit reports on time.

4.1.3.2 Observation of archiving process at VNU Party Office

In order to observe the process and assess the logics of archiving documents at Party Office, I am interested in observing the document management book, the system of cabinets and the archive room of VNU Party Office. Through observation I find out that:

- About document management book, there are 3 kinds of book: out-going document management book, in-coming document management book, Decisions management book.

- About the filing cabinets: in Party Office there are 02 filing cabinets, mainly contains documents from 2009 to the present.

- About the archive room: VNU Party has 01 archive room located at the ground floor of VNU Head Quarter, keeping all in-coming and out-going documents of VNU Party from 1995 up to 2008.



4.2 Data Analysis

From the interviews, focused group discussion and from observation, important findings can be drawn out.

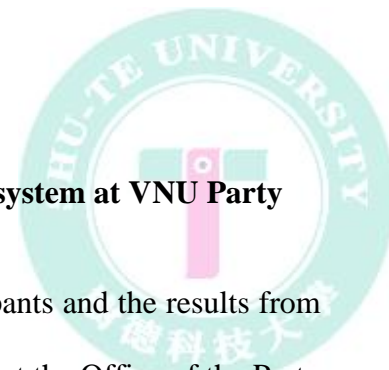
4.2.1 About the document management system at VNU Party Office

Through interviewing 4 participants, 3/4 have confirmed that document management system at the Office of Party VNU is still largely follow the traditional model, i.e. on paper documents and from one year ago, in addition to implementing the model of the traditional document management, the Office of Party Committee has been implemented on-line document management VNU' Office.

At the focused group discussion, most participants agree that the current work of document management at Party Office is mainly done in traditional way. The integration of Party Office document management into the VNU document management software is still at testing phase. Through observation, I can confirm that the opinions and points of view of participants at interview as well as at focused group discussion are correct information.

All four interview participants confirmed that activities of document management at the Office of Party Committee are fulfilled in a consistent cycle, complying the general provisions of the State Department of Documents and Archives (i.e. The model described in chapter 2.).

Through observation of Document No. 109-CV/ĐU dated 20/4/2011 by The Standing Committee of VNU Party, it can be seen that the work of document management of the Party Office is done step by step, in line with the Regulations of the State department of Document and Archive.



4.2.2 About the effectiveness of the document management system at VNU Party Office

4 interview participants, 6 focused group discussion participants and the results from my observation all confirm that the management of documents at the Office of the Party committee are being implemented methodically; all interviewees agree that the performance of document management at the Office of Party Committee of VNU has been raised after the document management was integrated with NetOffice.

The answer to additional questions that the author made for subject A was most notable. Through the reply it can be clear that the Party Committee, Party Standing Committee is highly aware of the role and position of the application of information technology in document management activities to improve efficiency, quality of the management of documents at the Office of Party Committee, thereby contributing to improving the effectiveness and efficiency of leadership and guidance of VNU Party Committee and its Standing Committee.

4.2.3 The current issues in Document Management System at VNU Party Office

Besides the strong points, there are still quite a lot of weak points of the document management system of Party Office.

4.2.3.1 The traditional document management system is not really effective, affecting the progress and quality of work done

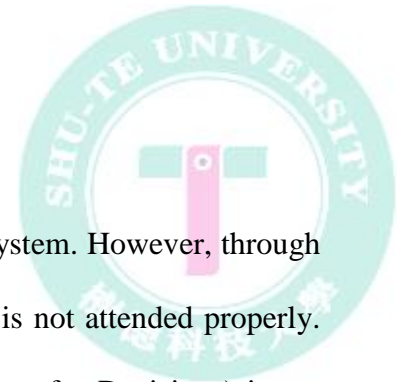
The interviews show that: 4/4 suggested that the application of traditional document management with a lot of paper work takes a lot of time and cause bad influence to the progress and efficiency in handling affairs; 4/4 suggested that managing through paper is more costly; 2 subjects suggested that the traditional way of managing documents



requires documents to go through multiple stages, so missing of documents sometimes happens and influence the progress and effectiveness of work.

In the discussion, most of the ideas point out that the current situation is that the amount of documents of VNU Party is quite large if the traditional way of managing documents is still used because paper documents will cost a large amount of money for paper to print and make duplication, a large staff to complete all the work required, equipments like photocopiers, filing cabinets, archive room... Besides, the distance from VNU Party office to party member units is sometime very big, so there is lateness in receiving guiding documents from VNU Party, sometimes there is loss of documents. Thus it affects the general progress and effectiveness of work

As mentioned above, quite a lot of time was devoted to observe thoroughly the process of managing Document No. 109-CV/ĐU dated 20-4-2011 by VNU Party Standing Committee. To May 4th 2011, which is the deadline for party member units to submit their reports, there are 2 party member units who did not submit. That is late than required. It has shown that: the two party member units are very far from VNU Party Office (one 60km and one 15 km). Therefore, they received the VNU Party Document very late, resulting in late submission of reports than planned progress. Also through observation, another reason for the ineffectiveness in document management work is that the follow up and supervision of out-going management is not attended. Speeding up and checking the implementation of work required in out-going document in party member units is not attended either.



4.2.3.2 The work of archiving is not really logical

Archiving is an important stage in document management system. However, through observation, it suggests that this kind of work at Party Office is not attended properly. Document numbering and registering in managing book (except for Decisions) is not clearly categorized. All kinds of documents are numbered in one common system, the filing cabinets are not categorized, work done is not filed from the beginning to the finishing, resulting in time costing when look up information. It is clear that the documents in the archive room are not arranged by time, by work, causing a lot of difficulty in looking for and exploring the documents when needed.

Of all 4 interview participants, 3 suggested that the archive work has not been really logical, resulting in difficulties and troubles when searching for documents.

4.2.3.3 The integration of document management system of Party Office in to NetOffice still have shortcomings to overcome

Through face to face interview, 2/4 suggested that the management of documents on NetOffice shared with VNU's Office makes the Party Committee Office has not been active in the stage of inputting document into the system; 3/4 suggested that when integrated with NetOffice, security of documents from the Party is not guaranteed; 3/4 suggested that hesitation to communicate through Internet and the old habit of keeping traditional way of a number of officials and experts have prevented the application of information technology in administrative activities in general and in the management of documents in particular from being effective; 3/4 suggested that the application of document management is done only in a narrow range of subjects including only the Party Standing Committee (Secretary and Deputy Secretary Committee), the Office of



Party Committee and other member departments, but has not been widely deployed to grassroots organizations under the party, so the benefits of NetOffice has not been thoroughly exploited.

4.2.4 Changes to the document management system at VNU Party Office

Through interviews and focused group discussions, it can be clearly seen that most subjects think that there requires a fundamental change in the current document management system at VNU Party Office, especially maximum application of IT in document management work. At the interview, all four people agreed that there must be a change to the current document management system at VNU Office of Party Committee.



Chapter 5 Conclusion and Suggestions

After analyzing, synthesizing and giving research results from the answers (Chapter IV), the author wrote the report and sent to four interview participants, 6 focused group discussion participants for comments and received altogether 10 feedbacks. All comments showed appreciation of the practical value and the truthful and accurate information obtained, however a small number of samples does not really represent general situation. Research results helped Party Committee Office realize the strengths to be promoted and the weaknesses that should be overcome in order to further improve the efficiency of its document management systems.

5.1 Research Findings

From research results through interviews, focused group discussion and observations, the study shows these findings:

- Document management system at the VNU Office of Party Committee is currently being deployed by both the traditional method and VNU's NetOffice software. Document management activities in the Office of Party Committee are conducted methodically, in a unified cycle that ensures the general regulations of the State Department of Documents and Archives. Especially after the integration with NetOffice of VNU's Office, the performance of document management of Party Committee Office has been raised one step higher.

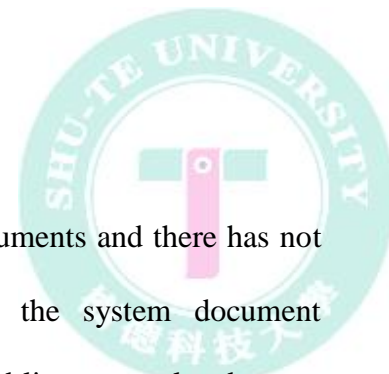
- However, the application of traditional document management model takes time, is costly, causes document missing, have non-logical way of archive, which leads to



difficulties and troubles in searching for document and partly influence the progress and efficiency of work.

- The use of NetOffice shared with VNU Office created some positive changes to overcome the above limitations, but it has certain defects such as the Office of Party Committee has not been proactive in the stage of entering text into the common system, the security of documents from the Party is not guaranteed, hesitation to communicate through Internet, old habits of paper work still exist in a number of officials and experts. The application of document management using NetOffice is now only implemented in a narrow range of subjects including Party Standing Committee - Office of the Party Committee and the other member departments. It has not been widely deployed to the grassroots party organizations affiliated, thereby impede effective management of documents, not yet fully exploited the benefits of NetOffice.

- Having recognized the importance of the management of documents in the service of leadership, leaders of VNU Party and its Standing Committee are clearly conscious of the role and position of the application of information technology in document management operations. They have developed a system of wide area network for the Party. This is an important solution to improve efficiency, quality management documents in the Office of Party Committee, thereby contributing to innovate leadership methods with high efficiency and effectiveness of VNU Party Committee in the near future.



5.2 Limitations

Because the thesis mentions the management of Party documents and there has not been a document or conference on current situation of the system document management at the Office of Party Committee, information and literature related to my research field is not really available. As a result, there is hardly inheritance and comparison with other studies of this area.

5.3 Solutions to improve and enhance the efficiency of document management system of the Party Office

Based on analysis of research results (Chapter IV) and feedback, the author offers some recommendations and solutions to improve the efficiency of document management system of the Party Committee Office as follows:

1. VNU Party Committee and the Standing Committee regularly concerns, direct and enhance the supervision of the document management activities of the Office of Party Committee and grassroots organizations under the Party.

2. Solutions to improve efficiency of current traditional document management systems:

- Provide training, regular retraining to improve their professional clerical work, storage for the staff of the Office of Party Committee and grassroots organizations under the party.

- VNU Office of Party Committee continues to comply with document management process in accordance with the State Department of Documents and Archives, especially monitor and supervise the documents processing of individuals and units assigned in



order to avoid loss and "forget" of document that leads to slow progress and performance.

3. Innovative solutions to improve operational efficiency of documents management at the Office of Party Committee in the near future.

- Further enhance the leadership role of the Party Committee and the Standing Committee for the application and development of information in leadership and direction in general and document management activities in particular.

- Raise more awareness and responsibility of officials and professionals at all levels in applying information technology to change the style of work, work behaviors, habits and communication over the network, thus renovate methods of leadership and direction of the executive committee.

- Speed up the completion progress and putting the system of wide area networks into use at VNU Party to reduce paperwork, save time, effort, and proceed to implement the processing of documents on computer networks .

5.4 Suggestions for Future Study

Vietnam National University, Hanoi is on its way to push up the progress of becoming a university of international standards. Every activity inside VNU is being modernized and specialized in the direction of international standards. To accord with this development trend, with position of a leading office inside VNU, all activities of VNU Party Office including document management have to be renovated and modernized to be in line with international standards of document management

technology. Therefore, it is hoped that this thesis will be the base for future research on development of document management system at VNU Party Office.



5.5 Research Conclusions

The topic of this thesis is highly objective and practical for the current situation of document management at the VNU Office of Party Committee. The research basically achieves its goals. This thesis refers to an issue of critical importance especially in the renovation of methods and enhance of effective, efficient leadership, direction and administration of the Party Committee and its Standing Committee. The author has directly interviewed past and present top leaders of VNU Party, as well as a person who daily performs document management activities in the Office of Party Committee. Therefore, the information received is adequate and reliable.

With these results analysis and research, this thesis will hopefully help the Party committee, as well as the Office of Party Committee recognize and properly aware of the state of the current document management system at the Office Party Committee. At the same time, this thesis also hopes to contribute to improving operational efficiency and management of documents at VNU Office of Party Committee.



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