Records Management Programmes at the Walter Sisulu University, in

South Africa: Case Study of Nelson Mandela Drive Campus.

By

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Abstract

The main aim of this study was to investigate the status of records management programme at Walter Sisulu University (WSU) using the Nelson Mandela Drive Site of Mthatha Campus. In carrying out this study, four research objectives with thirty-seven (37) research questions were posed. Purposive Sampling was employed to sample 30 Administrative support staff. The instruments used for data collection were questionnaire and face to face interview. Twenty-nine (29) questionnaires out of the thirty (30) returned completed and five senior managers were interviewed face to face. Descriptive statistic was used to analyse the research questions on the questionnaire and thematic approach was used for analysing the response from the interviews. The major findings of the study revealed WSU fell below the requirements in terms of records management programme on maintaining records that document its business activities. Inadequate infrastructure, inadequacy regarding the desirable control of WSU records at each stage as required by the records life cycle framework was also found to be inadequate and limited knowledge of legal requirements regarding records management. Based on these findings, the following recommendations were made. Effort should be made to implement a Centralised control of Decentralised Registry System (Integrated Registry System), provision of training of staff, as well as proper infrastructural facilities.

KEYWORDS: Records management, institution of higher learning, administration, WSU.

Declaration

I, Nozipho Giba, declare that this dissertation **"RECORDS MANAGEMENT PROGRAMMES AT WALTER SISULU UNIVERSITY IN SOUTH AFRICA: CASE STUDY OF NELSON MANDELA DRIVE CAMPUS"** is my original research and that all the sources that have used or quoted have been indicated and acknowledged by means of complete references. This dissertation has not been submitted for any degree or examination in any other university.

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(MS N GIBA)

Acknowledgements

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Dedication

To my Husband, Mr Agyei Fosu, my mother, Mrs Faith Hazel Giba, my late father Rev. Gibson Jabavu Giba, my late brother Gcobani Giba, my late grandmother Vera Ngcenge, and my children, Miso Giba, Ellen Giba, Maria Giba, Victoria Giba-Fosu and Agyei Giba-Fosu Junior.

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LIST OF ACRONYMS

DHET – Department of Higher Education

ECTA – Electronic Communications and Transaction Act

EDRMS – Electronic Document and Records Management Systems

ERPM – Enterprise Resource Planning Management

ESARBICA – East and South Africa Regional Branch of International Council on Archives

HDI – Historical Disadvantage Institution

ICT – Information and Communication Technology

IRMT – International Records Management Trust

ITS – Integrated Tertiary Software

IT – Information Technology

ISO – International Standard Organization

MS – Microsoft

NARSA – National Archives and Records Services Act

NARSSA – National Archives and Records Services of South Africa

NMD – Nelson Mandela Drive Campus

PAJA – Promotion of Administration Justice Act

PAIA – Promotion of Access to Information Act

POPIA – Protection of Personal Information Act

RM – Records Management

RMP – Records Management Programme

RMS – Records Management System

RU – Rhodes University

SANS – South Africa National Standards

UCT – University of Cape Town

USA – United States of America

WSU – Walter Sisulu University

CHAPTER ONE— INTRODUCTION AND BACKGROUND OF THE STUDY

1.1   Introduction and Background

This study seeks to investigate records management programmes in Walter Sisulu University using the Nelson Mandela Drive Campus in Mthatha as a case study. The core functions of a university are learning, teaching, research and community engagement, and in order to carry out of these functions records are created and received. Records therefore, constitute an essential instrument of administration without which operational processes and functions cannot be executed (Kendall and Mizra, 2006).

For an organization to function effectively, records (both in electronic and paper format) need to be captured, recorded and secured in order to ensure their authenticity, integrity, reliability and accessibility. A university like any other organization creates, receives and maintains records.

A records management programme is a framework that provides broad management control over an organization's records (Ims 1989). Khumalo and Chigariro (2017) argue that Records management programme provides a primary means of creating and disseminating knowledge, training, and tools about best practices in creating and managing all types of university records.

National Archives and Records Services Act no 43 of 1996 (NARSA) stipulates the legislative and legal framework which regulates all public and government institutions to have proper records management by depicting records management practices to be followed. Walter Sisulu University is a government-funded university by Department of Higher Education and Training, and like any government funded

university WSU has an obligation to comply the stipulated laws. WSU generates large volumes of physical and electronic data and documents on a daily basis. These documents and data are vital and have to be properly managed and preserved. Chinyemba and Ngulube (2005) highlighted that proper records management could help universities to manage their information efficiently, fulfil their mandate, protect them from litigation, preserve their corporate memory, and foster accountability and good governance. Popoola & Baje (2004) concur with this assertion and further add that the core purpose of establishing a records management system in university systems is to have the right information in the right place in the right order, at the right time, for the right person at the lowest possible cost. Failure to maintain records in an appropriate and professional manner may lead to inability on the part of the organization to prove what decisions and or actions have been carried out or even to prove that policies and procedures were correctly followed (Thurston, 1991). A chaotic and haphazard approach to records management poses a threat to the reputation of the university (Chigariro 2017, Coetzer 2012).

In the developed countries such as Australia, North America, and the United Kingdom universities have long recognized the need to develop programmes and polices geared towards the proper management of records. University of Maryland in the United States of America is a good example. On the contrary records management programmes in universities in Africa have not been widely documented as it is in the developed countries. Existing literature indicates that although there are records management programmes in various universities in Africa some of these programmes are faced with problems (Uwaifo 2004, Wema 2003). For example, although National University of Science and Technology in Zimbabwe offers Records Management degree, however it does not have a records and archives management

programme in place to manage the enormous amount of records generated by the university (Khumalo & Chigariro 2017). A study which was carried out by Muhenda (2012), revealed that poor records management was the biggest problem facing Higher Education Institutions in Uganda. Subsequently students with misplaced marks were unable to graduate. There were other cases of cancellation of certificates and transcripts due to inaccurate grades, wrongly recorded marks (Muhenda and Lwanga 2010).

In South Africa, records management programmes exist in some of the universities. For instance the University of Cape Town has got an approved policy on records management to ensure that the University manages its official records in a manner compliant with legislative and regulatory requirements. The University operates according to its vision and mission; preserves institutional memory, and manages risk effectively (UCT, 2012). University of Johannesburg hosted a seminar on Records Management at its Kingsway Campus in December 2011 during which the Records Manager, outlined their institution's approach to managing records. Rhodes University Archives (2017) is responsible for the preservation of the University's institutional memory. The University Archives consist of University records of permanent historical value regardless of format, the published and unpublished materials that document the history of the University, and the minutes, correspondence, reports, publications produced by University staff (and students) in pursuit of their official responsibilities. According to Coetzer (2012) in a study on the status of records management at the University of Zululand, a high percentage of the staff revealed a lack of a proper records management policy. A study by Chinyemba and Ngulube (2005) at the University of KwaZulu Natal showed that there is limited knowledge relating to access to information, and desirable controls at each stage of

the records life cycle. The course fieldwork study conducted by the researcher in 2013 at Walter Sisulu University revealed that records before 2005 merger were found stored in huge boxes in a congested office space and were not synchronized. In light of the above, it is evident that universities from disadvantaged backgrounds, seemed to lack systematic records management programmes.

1.2   Problem statement

The National Archives and Records Service of South Africa (1996) defines records management as the management of information resources in a manner that makes information easily accessible, securely protected and stored, and correctly disposed of when necessary. According to Coetzer (2012) records are a vital asset in ensuring that the institution is governed effectively and efficiently, and is accountable to its staff, students and the community that it serves. Records support decision-making, organize documents, provide evidence of policies, decisions, transactions and activities, and support the university in cases of litigation. Thus records management controls creation, maintenance, use and disposal of records. The works of Ngulube & Chinyemba (2005), Coetzer (2012) and others indicate that there are few universities in South Africa that have viable records management programmes. The existing literature has revealed that some of the universities have poor records management programmes (Chinyemba & Ngulube 2005). Council of Higher Education (2000) pointed out that recordkeeping in the higher education institutions in South Africa was inadequate. Effective records management in universities in the Eastern Cape has not been adequately documented. The basis of this background and the observation made by the researcher, has triggered the interest of the researcher to undertake this study. It seeks to investigate records management programme that exist in WSU. Although legislations regulating the management of

records in South Africa exist, they might be ignorance on the part of certain officials entrusted with managing WSU records and that could have adverse effect on the performance of WSU and ultimately on service delivery.

1.3 Research Objectives

The aim of this study was to investigate the records management programmes at the Nelson Mandela Drive Campus of the Walter Sisulu University. The specific objectives are to:

1 Find out the types of records management programmes at the Nelson Mandela Drive campus in WSU.

2 Find out the infrastructure available for management of records at Nelson Mandela Drive campuses in WSU.

3 Determine compliance with the required legal and regulatory frameworks by the existing records management programmes at the Nelson Mandela Drive campuses at WSU.

4 Identify possible constraints in the management of records at the Nelson Mandela Campus Drive at the WSU.

1.4 Research questions

The study will be guided by the following questions:

1. What types of records management programmes exist at the Nelson Mandela Drive campus of the WSU?

2. What infrastructure is available for management of records at the Nelson Mandela Drive campus of the WSU?

3. Do existing records management programmes at the Nelson Mandela Drive Campus of the WSU comply with the required legal and regulatory frameworks?

4. What are the constraints, if any, in the management of records at the Nelson Mandela Drive Campus of the WSU?

1.5 Significance of Study

Records management programmes operate within the framework of policies, rules and procedures that give guidance to practice. The purpose of these is to provide an environment conducive to proper records management (Chinyemba 2005). ISO 15489 also emphasizes this assertion stating that the standardization of policies and procedures ensures appropriate attention and protection is given to all records, and that the evidence and information that they contain may be retrieved more efficiently and effectively. Therefore, this study may have influence in policy formulation and compliance with the judicial directives on records management programme of this university. It may help improve the service delivery, by enabling orderly, accountable and efficient management of the university records. It may, if necessary highlight training needs for the staff dealing with records to improve their skills and competences in managing WSU records. The perception of those who manage and use records may improve. This study will add knowledge to the existing literature.

1.6 Scope and limitations of the study

The scope of the study covers records management programmes of Walter Sisulu University, Nelson Mandela Drive Campus in Mthatha. The study is limited to Nelson Mandela Drive Campus, considering records that are generated both on the administrative section (HR, Finance, Student Affairs) and academic departments in Faculties (Health Sciences, Education, Law). Nelson Mandela Drive Campus is the

main campus for this university and that is what made it the area of focus as it will draw up the picture of the status of records at WSU.

1.7 Definition of terms

Archives

National Archives and Records Service of South Africa (1996) define archives as collection of materials permanently preserved because the enduring value of the information.

Records

The University of South Africa (2007) defines a record as a recorded information, regardless of format or medium which has been created, received, used, accessed and maintained by the university at large as evidence and information in pursuance of its legal obligation or in the transaction of business. It is information created, received, and maintained as evidence and information by an organization or person, in pursuance of legal obligations or in transaction of business (ISO 15489 2001:3)

Records Management

Records Management is the application of scientific and systematic control over capturing and maintaining accurate, reliable complete and usable recorded information in order to meet legal, accountability, evidential, social and institution requirements (Chinyemba and Ngulube 2005, Coetzer 2012). According to ISO 15489 - 1:2001 records management is a field of management responsible for efficient and systematic control of creation, receipt, maintenance, use and disposition of records, including processes of capturing and maintaining evidence of and information about business activities and transactions in the form of records.

Records Management is the field of management responsible for the efficient and systematic control of the creation, receipt, maintenance, use and disposition of records including the processes of capturing and maintaining evidence of transactions in the form of records.

Records Management Systems

It is a system for managing records in a records centre or registry, which includes management of electronic records.

Electronic records

Records that are in machine-readable form. They may be any combination of text, data, graphics, images, video, audio, e-mail, internet content, documents, spreadsheets, databases, etc., that are created, maintained, modified or transmitted in digital form by a computer or related system, (Government of South Africa 2006:1-5).

Integrated Tertiary Software (ITS)

The ITS system is varyingly described as an Enterprise Resource Management Program or an Enterprise Resource Planning Management (ERPM) system that specializes in the provision of integrated software to support the administrative functions within the higher education and training sectors, (Integrated Tertiary Software 2005)

Preservation and Conservation

This refers to the absolute maintenance and protection of documents against damage or deterioration and in the treatment of damaged or deteriorated documents (Coetzer 2012).

Recordkeeping

It is an integral part of records management that involves making and maintaining accurate and reliable evidence of business transactions in the form of recorded information (Yusuf and Chell 1999:10).

Records creation and capturing

Records creation and capturing involves developing consistent rules to ensure integrity and accessibility, deciding on systems to log and track records, and following specific procedures for registering, classifying and indexing (Yusuf and Chell 1999:10).

1.8 Outline of the study

The study is divided into the following chapters:

1　**Chapter 1: Introduction and Background**

This chapter provides the background and an introduction, contextual settings with regard to the research, states the research problem and the objectives of the study and research questions, and shows significance of the study. The chapter was of great paramount, as it gives the contextual and foundation for other chapters, depicting the issues to be investigated.

2　**Chapter 2: Literature Review and Theoretical Framework**

This chapter reviews the literature studied on records management by used books, journal articles, government publications, and internet sources. It also serves as a guide to possible approaches taken in the subject matter. The literature also helped to shape the interview questions. The Records Life Cycle model, Records

Continuum model as well as South African Records Management model, are also discussed in this chapter.

3   Chapter 3: Research Methodology

This chapter outlines research methodology and gives reasons for the proposed research strategy. The chapter also gives a comprehensive discussion of the data collection process utilised for the study which includes data collection techniques and procedures, target population, sampling methods, and research design.

4   Chapter 4: Data Presentation, Analysis and Interpretation

This chapter will focus on WSU records management system.

5   Chapter 5: Interpretations and Discussions of the Findings

This chapter discusses the findings of the study and gives an analysis of the results.

6   Chapter 6: Summary of Study Findings, Conclusion and Recommendations

This chapter gives conclusions and recommendations derived from the findings of the survey and how the findings relate to the research question. The chapter will also highlight areas for possible future research.

1.9 Summary

This chapter gives an overview of the study, problem statement as well as the importance of study. The chapter also introduces the definition of terms, identifies the objectives of the study, and an outline of the chapters that will be discussed.

CHAPTER 2 – LITERATURE REVIEW

2.1   Introduction

This chapter provides an analysis of literature on records management. Blaxter, Hughes and Tight (2001:120) define a literature review as a systematic, explicit and reproducible method for identifying, evaluating, and interpreting an existing body of recorded work that was produced by researchers, scholars and practitioners. The fundamental purpose of a literature review is to establish the academic and research areas that are relevant to the subject under investigation (Coetzer (2012), Nachmias and Nachmias (1996), Punch (1998).   Randolph (2009) suggest that the other purpose for writing a literature review is that it provides a framework for relating new findings to previous findings in the discussion section of a dissertation. Without establishing the state of the previous research, it is impossible to establish how the new research advances the previous research. According to Cooper (1988) literature reviews can be classified according to five characteristics: focus, goal, perspective, coverage, organization, and audience. Summarily, a literature review can be referred to as a broad analysis, assessment and evaluation of information from different sources in order to get a pending and considerate view in understanding of the phenomenon or problem under investigation. The literature review centred on, and was guided by the following research questions: -

1. What types of records management programmes exist at the Nelson Mandela Drive campus of the WSU?

2. What infrastructure available for management of records at the Nelson Mandela Drive campus of the WSU?

3. What compliance with the required legal and regulatory frameworks on the existing records management programmes at the Nelson Mandela Drive Campus.

4. What are possible constraints, if any, in the management of records at the Nelson Mandela Drive Campus of the WSU?

2.2 Records Management Programmes (RMP)

Records Management is the programme that coordinates and protects organization an organization records, sharpens the effectiveness of records and other related tools for effective management of an organization (Khayundi 2013). This is aimed at overseeing management of records holistically, by facilitating the functioning of the organization by promoting effectiveness and efficiency in recordkeeping and systematic control of organization records throughout their life cycle in order to meet operational business needs and service delivery. It ensures legal and regulatory compliance to minimize risks and litigations. According to Joint Information Systems Committee (JISC, 2004) views Records Management Programme as a framework to provide broad management control over an organization records.

2.3 Significance of records management in a university environment

According to Nankya and Muhenda (2008), records in Higher Education Institutions contain information that is useful in running the education business in an efficient and effective manner, in delivering services consistently, supporting all management decisions in ensuring continuity of policy implementation. Therefore, University like any other organization creates, receives and maintains records. The core business of a university is learning, teaching, research and community engagement. Furthermore, the University is internally accountable to itself in terms of its strategic

plans (Ngulube 2005). For universities to fulfil this mandate and their missions requires effective administration to efficiently manage employees, information and other resources of the university in order to achieve the objectives.

Ngulube and Chinyemba further assert that it is essential that the University, particularly in its faculties and schools, identifies and maintains records series that provide evidence of its core activities of teaching, learning, research and the provision of public services. Chinyemba (2005) argues that the information contained in university records needs to be managed according to a systematic approach in order to enhance the effectiveness and efficiency of the universities in carrying out their mission. Records are the basis for organizational accountability, complying with legislative requirements and the development of a corporate memory for the University (Chinyemba and Ngulube 2007). For according to Thurston (1991), failure to maintain records in an appropriate and professional manner may lead to inability on the part of the organization to prove what decisions and or actions have been carried out or even to prove that policies and procedures were correctly followed. In order to achieve the objectives stated above, universities depend on availability of, and access to records. Records therefore, constitute an essential instrument of administration without which operational processes and functions cannot be executed (Kendall and Mizra (2006). Without records administrators, managers are not capable of effectively managing current operations, and have no ability to capture and maintain accurate, complete, reliable and useable documentation of activities of an organization to meet legal, evidential, accountability and social requirements.

The fundamental purpose of records management is to ensure that all the records that provide the evidence that the organization is carrying out its mandate are

captured. Proper records management could help universities to manage their information, efficiently fulfil their mandate, protect them from litigation, preserve their corporate memory, and foster accountability and good governance. Mphalane (2005) further states that adequate records management enables an organization to make good decisions deliver quality services and provide evidence of its business. Good records management in universities ensures that historically significant records are preserved for permanent use. Since a record is any information created or received and maintained as evidence of transactions or correspondence by a person or organization, records act as proof of what has been done by the organization or institution. Chinyemba and Ngulube (2005) argue that if requested records are not found as a result of poor records systems, Universities might find themselves in an embarrassing position and in addition, Taylor (2000) notes that litigation by aggrieved parties cannot be ruled out. Consequently, in accordance with the existing literature records play a major role in decision making. They serve as evidence to business transactions of any intuition and they can eliminate litigations and making informed decisions.

In this light, the proper management of university records at a South African institution becomes very important. For the purposes of this study, records management programs are considered to be organized efforts to provide centralized services for the management of all records in all formats generated by academic institutions in their day-to-day operations; the programs have been officially designated and legally authorized at the campus or system level to implement retention and disposition guidelines and provide other centralized services to an entire university, putting into consideration the administrative and departmental

records; student records; business and financial records; and official publications (Kemer and Williams 1990).

In order to make appropriate decisions, managers must have appropriate information. "In today's business environment, the manager that has the relevant data first often wins, either by making the decision ahead of competition, or in case of a government department, by making a better, more informed decision" (Venter 2004:4). A RM programme can help to ensure that managers and executives have the information they need when they need it. Decisions are only as good as the information on which they are based. Even if someone was capable of remembering everything, there is still the problem of staff changes and that later arrivals must know what occurred previously in order to carry on sensibly and purposefully, and therefore avoid reinventing the wheel. A government department with files stashed on top of file cabinets and in boxes everywhere creates a poor working environment (Hare 1998). Nearly all business functions need to be documented to record and regulate the activity of the organisation.

2.4 Benefits of Records Management Programme

2.4.1 Foster Accountability

The availability and accessibility of records allows proper and informed decisions and accountability, which result to effective and efficient records management. It is possible to properly account as informed by available and accessible records. This is because if records are properly managed, accessibility also becomes easy and on time for the accounting officer to prepare and be ready to account (Mrubata 2011).

2.4.2 Easy Retrieval and Access

An organization with established records management system, enables easy retrieval of records which results in efficiency and effectiveness in decision making. Viable management of records ensures that records filed according to the filing plan or system (Maruta 2011). This aids in easy identification of records by using the file/reference number on the filing plan and then retrieved from the filing cabinets/shelves as there will be no misfiling if properly managed. This also applies to electronic records, these records can be easily filed and retrieved if properly classified by means of automated/customized file plan. This can be done by punching the reference number, subject, keyword or any other options of the record required as programmed and created by the system (Ngulube 2005).

2.4.3 Good decision making and Administrative Governance

According to Chachage and Ngulube (2006), Kahn, (2004), Kemoni and Wamukoya (2000) Organizations should keep records for administrative, historic and certain records with archival value. This ensures continuity within the organization. For instance, if in higher education institutions like university, where the service for the Vice Chancellor ceases, the following VC would struggle to make informed decisions due to missing information and that hinders the continuity of the university. Adequate records management enhances problem solving and decision-making, for instance the information contained in records which are properly kept, can be utilized to solve certain specific problems and make an informed decision. In the absence of viable records management programme, decisions are made without full information since decision-makers would be lacking the required details for an informed decision (Ngoepe (2004) and Thurston (2005). This opens opportunities for corruption or collusion between organisational staff (Maruta 2011).

2.4.4 Eliminate chances of Maladministration and Corruption

Failure to have proper records management leaves gaps for fraud, corruption and mismanagement and that collapses the fiscal and consequently objectives of an organizations. According to (Bhana 2008; Thurston 2005; Kemoni and Ngulube 2008; Ngoepe 2004) If records are properly managed, they can be used to investigate and prove fraud and corruption, and to carry out meaningful audits and review administrative actions. Without reliable, authentic and accurate records an organisation cannot track, prove corruption or fraud activity that has occurred (Wamukoya and Mutula 2005b).

2.5 Objectives of the study

2.5.1 Records management programmes existing in the Institutions of Higher Learning.

In spite of decades of discussions, analysis, and studies by University Archivists, there are still no official standards for university archives and records management programmes (Schiner & Wells 2002). However the ISO15489 (2001) provides a practical design and implementation methodology on the introduction of a sustainable Records Management Programme to meet organisational requirements. It further emphasizes that this methodology is valid both for the establishment of a Records Management Programme as a whole and for the development of particular systems within it. Organizations without a Records Management Programme (RMP) run the risk of loss, theft or destroying records too soon and consequently of not being able to produce those when legally required (Khumalo and Chigariro, 2017). Graham (2005) highlighted that the danger of not having a records and archives programme in a university setup is that core records will be lost or difficult to find. This may lead to an inability to carry out functions, failure in accountability and

delays or an inability to respond quickly and accurately to a freedom of information request. A missing record can halt business, that is, stop promotion of deserving employees, stop a disciplinary hearing, and stop an important meeting from taking off. Kaczmarek (2006) agrees with the latter author, that even in the presence of legal mandates, institutional policies, actual or threatened litigation, and frequent news stories involving improper destruction or unauthorized release of records. In spite of this, minimal support for records management continues to be the norm in colleges and universities (Kaczmarek, 2006)

Based on the existing literature universities in developed countries such as Oxford Brooks, Harvard and Melbourne University have long recognised the importance of recordkeeping and as such have established Records Management Programmes (Skemer & Williams 1990, Burckel & Cook, 1982, Melbourne University, 2012). According to Kaczmarek (2006) University of Illinois in Chicago, has never had a true records management program. Since the inception of the University Archives, in the absence of a records management program, efforts have focused solely on records-disposition activities, and as such this has hindered the Archives ability to secure university records of enduring value. In an attempt to address a long-standing need to develop a records management program at the University of Illinois, the Archives has taken an approach of reframing records and information management toward a needs-based rather than a mandate based perspective (Kaczmarek, 2006)

The literature shows that records management unit has been in existence at University of Western Cape since 2008. However the findings of Momoti (2017) noted a lack of awareness and knowledge of the Records Management Unit and its function in the Western Cape University. The study further revealed that the postal services component for example does not form part of records management

function, which was supposed to be part of records management function. The author asserted that records management unit is under-utilized and not fully integrated into the university processes. Nengomasha (2003), Coetzer (2012) pointed out that record management system is important for the use of classification schemes, retention schedules and systematic disposal of records. It facilitates the storage, to avoid congestion of offices and poor retrieval of information.

Producing all related records is time-consuming and expensive (Diamond 1995, Iguodala 1998, Ngulube and Chachange 2005). Djorka and Conneen (1984:22) summarize the consequences of poor records management as follows: In an institution where paperwork is poorly managed, the flow of records through the life cycle is retarded and chaotic. Records and the information they contain are difficult to retrieve, and costly duplication of paperwork is a frequent occurrence. The net effect of poor management is a decrease in the efficiency of the institution and an inflation of its operating costs. An effective records management programme should be enveloped in an articulated set of policies and procedures: Records Inventory and Classification, Retention Scheduling, Records Storage and Conservation, Vital Records Programme, Disaster Prevention and Recovery, Disposition (Eaton & Wilson, 2012). Ultimately all the above should be rolled together into a written, adopted and implemented set of policies and procedures. In addition, the manual may address items such as business processes and workflows and the role of records management within them. The activities of a university are documented in the records that it produces. These records are a vital asset in ensuring that the institution is governed effectively and efficiently, and is accountable to its staff, students and the community that it serves (Seniwoliba, et al, 2017) It is clear that without a proper RMP that controls records through the earlier phase of their life

cycle, those of archival value cannot readily be identified and safeguarded so that they can take their place in due course as part of the institution historical and cultural heritage (Ford 1990; IRMT 1999, Iwhiwhu 2005, Mnjama 2003, Muhenda and Lwanga 2012). The purpose of records management is to support organization's function of good governance, risk elimination often caused by litigations from aggrieved stakeholders or public and compliance.

2.5.2 Infrastructure available for management of records in the Institutions of Higher Learning

The DePaul University (2008) noted that a records management program provides volume reduction and cost control by reducing costs associated with the storage of records that have met their retention period and can be destroyed in the normal course of business.

Managing records requires formal training as this will help ensure compliance with the legislation and International standards (ISO15489) as well as manage the control, custody, care and disposal of the institution's records in an effective manner for quality and better services.

Appropriate storage environment and media, physical protective materials, handling procedures and storage systems should be considered when designing the records system. Knowing how long the records will need to be kept and maintained will affect decisions on storage media. The records system should address disaster preparedness to ensure that risks are identified and mitigated. Integrity should be demonstrably maintained during and after recovery from disaster. Khumalo and Chigariro (2017) asserted that the registry and records storage for the Admissions and Students Records unit at National University of Science and Technology (NUST)

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in Zimbabwe was located next to a food outlet and such an environment was not appropriate for records as fire and water leakages could emanate from the food outlet. Without proper records and archives management systems in place, they further argued that there would be no officers to assess records risks and possible disasters at NUST.

The most important records should be selected for preservation as part of the national archives, and the availability and quality of these archives depend on the quality of institution record keeping (Ngulube 2005). There are many risks associated with poor records management. How well an organization's records are managed will impact on certain business and legal risks including financial risk, legal risk, exposure to penalties in litigations and investigations, compliance risks and staff time is wasted searching for lost or mislaid documents (knowledge management risk). These risks can adversely affect the reputation of an organization (Ngoepe, Ngulube and Coetzer 2012).
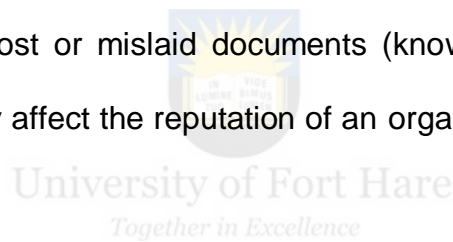
Myler and Broadbent (2006) further argue that Information security issues (such as: access to information, cyber-crime, privacy, virus attacks, and commercial data mining) are of major concern in academia today. This concurs with the assertion of Wamukoya and Mutula (2005), that poor security and confidentiality controls are identified as major factors contributing to the failure of capturing and preservation of electronic records in eastern and southern African institutions of education. The findings of Chinyemba and Ngulube (2005) on surveyed academics at the University of KwaZulu-Natal revealed that electronic records in this institution are not adequately protected and secured. Exposure of Universities on these kinds of risks, may lead to loss of valuable information which consequently may negatively affect fiscal policies, hamper the quality, as well as trust amongst stakeholders. However, if

it is properly managed, evidence of what was done and how it was done will always be available.

Kaczmarek (2006) assert that regardless of renewed interests in these age-old issues, records management in higher education is often poorly funded and not a high priority. According to Khumalo and Chigariro (2017) NUST has the problem of space as office space is a challenge to the extent that some academics share offices and are crammed when office space is occupied by records which are not in current use in those offices. They further argue that without any records and archives management programme in place, duplicates of records will continue to occupy space which is seriously needed for other pressing purposes. Iwhiwhu (2005) stated that in instances where queries or controversial files disappear and with the gap in the filing cabinets conspicuously noticeable, it may even be difficult to locate some records a few years after. Therefore, records cannot be left in offices whose mandate is not records management as there might not be proper control measures to secure records from theft and loss (Khumalo & Chigariro, 2017). According to Kanzi (2010) training of records management staff is critical as it equips them with the necessary skills to carry out their functions properly. Musembe (2016) concurs with this assertion, stating that managing records requires formal training as it help to ensure compliance with the legislation and International standards (ISO) as well as manage the control, custody, care and disposal of the institution's records in an effective manner for quality and better services.

2.5.3 Compliance with existing the legal and regulatory frameworks within the Institutions of Higher Learning.

There are a number of legal and regulatory legislative outlines, which inform and underpins Records Management practice. The International Standard Organization

(ISO15489-1) provides a framework for records management in terms of identifying the regulatory operations of an organization and how responsibilities for records management are allocated. Subsequently South Africa adopted and developed legislations and standards that regulate records management in both public and private sectors (South African National Standard SANS 15489-2:2004).

The following but not limited to, are pieces of legislations that regulate records keeping both in both public and private sectors in South Africa: - Constitution of South Africa, National Archives and Records Service of South Africa Act (Act. No. 43 of 1996 as Amended), National Archives and Records Service of South Africa Regulations, Public Finance Management Act (Act. No. 1 of 1999), Promotion of Administrative Justice Act (Act. No. 3 of 2000), (PAJA) and Electronic Communications and Transactions Act (ACT. No. 25 of 2002) (ECT).

However the fundamental laws in records management in university are the Promotion of Access to Information Act (Act. No. 2 of 2000). Ngoepe (2004) highlights that the Promotion of Access to Information Act (PAIA) promotes the need for sound records management. The purpose of passing the PAIA was to promote and enforce open access to information in possession of government entities or institutions. The second important legislative is Protection of Personal Information Act 4 of 2013 (POPIA) which have been gazetted (2013) to promote the protection of personal information processed by public and private institutions and to introduce certain conditions so as to establish minimum requirements for the processing of personal information. It is worth noting that this act does not supersede or replace the latter legislation; both legislations are essential especially when establishing access policy on university records

According to research study conducted by Schinna and Wells (2002) in thirty public universities, fifteen in the United States and fifteen in Canada, with the aim of assessing the state of records and archives management programmes in universities in the United States and Canada. The findings revealed that records and archives management programmes were formalized and that there were policies, procedures and activities monitored by a high level committee.

With the publication of the ISO15489 (2001) Universities as well as all other public and private organization have an opportunity to apply an internationally approved strategy for developing and maintaining an effective records management programmes. The standard, while not addressing archival institution in particular or with any overall records or archives regime for universities, the standard recognises that one of the basic principles of a records management programme is to preserve records, and make them accessible over time, in order to meet business requirements and community expectations. For universities this standard should be used in conjunction with laws, legislations that governs records and archival in a particular country. According to ISO 15489 (2001), for a RM programme to succeed, it must be closely aligned to the needs of the organisation and in particular to the organisation's strategic and policy objectives. Records support decision-making, document general operational activities, provide evidence of policies, decisions, transactions and activities, and support the university in cases of litigation. It is clear that universities have to ensure that records management programme forms integral part on the institution in ensuring proper care and management of its records.

National Archives and Records Services Act 43 of 1996 (NARSA) regulates that all public and private institutions to have proper records management and section 13

depicts how this should be conducted, Universities are also compelled to comply with this act. Chachage and Ngulube (2006) argue that one of the major reasons for the business to keep records as they generate them during their daily business operations is to comply with legal requirements as well as to protect the stakeholders' rights (Ngoepe 2004). Shepherd, Yeo (2003), Penn, Pennix, Coulson (1994:5) and Pember (1998:64) concurs with the assertion of the latter authors, stating that Organizations including public institutions are accountable in many ways to meet legal, regulatory and fiscal requirements, undergo audits and inspections or provide explanations for what was done and the universities are not different to that. The adopted policies and procedures then becomes manual that encourages consistency in how organizations or universities, handles their records management. Based on the arguments on the studied literature, it has transpired that Records management has enormous role virtuous in running of institution such as a university. Promotion of Access to Information Act (PAIA) no. 2 of 2000 which basically allows members of the public right to access information in any private or public institution, therefore university as a government institution has a an obligation to comply. However, in 2013 Protection of Personal Information Act (POPIA) no.4 of 2013 was established (enacted) which prohibits members of the public to certain information based on the discretion and analysis of the particular organization. As such a PAIA Manual also known as Section 51 creates a framework for the right of access information as enshrined in section 32 of the Constitution. The purpose of PAIA is to promote a culture of transparency, accountability and good governance in the private and public sectors (SAHRC). It gives a requester the right to lodge a request for information with the information officer (head) of a private institution, this manual is often obtained from South African Human Rights Commission which

provides guidance when a university formulate its access to records (Stellenbosch University 2016).

According to Coetzer (2012) proper records management assists with addressing the issues of efficient and effective service provision, accountability, security and integrity, completeness, etc which core issues, whether in electronic or paper-based environments. This is why it being imperative for government institutions including universities to adhere to proper records management practises in order to ensure good public service delivery. Obura, (2012); Schenkelaars and Ahmad, (2004) Kemoni and Wamukoya (2000) assert that without reliable and authentic documentary evidence underpinning all essential accountability processes, government, civil society and the private sector cannot ensure transparency, guarantee accountability or allow for the exercising of good governance. The authors further highlights that effective records management systems provide information required for the proper functioning of institutions.

2.5.4 Challenges facing management of Records in Institutions of Higher Learning.

The University of London (2009) noted that poor information management means that organisations may lose part or all of their corporate memory; records documenting the development of functions and data on research carried out may be destroyed or misplaced. Akussah, et al 2017 observed that the root of the problem of records management could be traced to the lack of a comprehensive policy and management components regarding an integrated holistic approach to the management of the whole cycle of records. Writing in support of the above assertion, Ibiam (2004) noted that "many years of neglect had done great damage to the education sector and record keeping is not an exemption". According to Kyobe,

Molai and Salie (2009) some of the challenges in managing electronic records in academia relate to the nature of the records kept and used, where they are located, policy issues, accountability and responsibility of users, and compliance with rules and regulations.

In his view, Iginodala, (1998) believes that personnel (secretaries and filling clerks) who maintain the registry system with filing cabinets containing the paper evidence of university business are inadequate and in fact ignorant of their responsibilities. This calls to question of reliability and authenticity of records kept in such a system. Giving credence to this Afolabi (1999), Awe (2000), Ututlu (2001), Egwunyenga, (2005), Oketunji, (2002) and (Egunleti, 2000) asserted that record management practice has a number of problems which may include insufficient skilled and inexperienced record management personnel. Lack of record manual and filing guidelines which lead to loss of vital information and inadequate computer terminals, others are difficulty in record retrieval and lack of appreciation by management and staff of the need for well controlled records. He accused these bodies of being responsible for unavailable, inaccurate/incomplete and dishonest records. These adversely affect planning for and provision of structures and facilities, adequate finding, proper formulation and review of policies. The result of these studies point to the fact that there are a number of problems associated with record keeping in the African Universities and in South African Universities where there is a lack of a proper records management policy (Coetzer 2012), and limited knowledge relating to access to information, and desirable controls at each stage of the records life cycle (Chinyemba & Ngulube, 2005). To make professional decisions, managers should have background information to use as a basis for evaluating the alternatives and means for validating the decisions (IRMT 1999).

2.6 Establishment of Records Management Programme

2.6.1 Conduct Information Audit/Inventory

Information audit is a process of establishing within the institution the types of generated records, who keeps these records, location, how they are kept and how long they are kept subsequently. Doing complete inventory of all the records which require management, allows one to identify gaps or overlaps in records management keeping practice.

2.6.2 File Plan - Records Classification Systems

National Archives and Records Services of South Africa (NARSSA) 2016 stipulates that each organization should implement and maintain prescribed record-keeping systems, one of which is File plan. According to NARSSA a file plan is a plan by which documentation is arranged and stored to facilitate efficient retrieval and disposal. It facilitates the adoption of better access to the records of organization. This is achieved through the adoption of a consistent classification system. The file plan is used for classification of records both on paper-based and electronic format, providing a unique identification reference number, location of where records are kept. It contains and helps maintain the guidelines for how long certain records should be kept and the conditions in which they should be disposed, because not all records generated during the business activities of the university should be kept unendingly (NARSA 1996, ISO15489). This outlined schedule will help eliminate the risk of destroying records which leads to litigations and will cut costs by reducing storage needs of old and records that have outlived their usefulness.

2.6.3 Develop Records Management Policy

It is imperative to formulate a policy for managing records because it provides a framework for the management of university records. Similarly it provides a clear guidance on why records should be kept and how they should be managed in accordance with University's vision and mission. A policy should be endorsed by the university's management structure, which includes the office of the Vice Chancellor up to Council. The National Archive of South Africa emphasizes the development of records management policies that regulate records management activities. The records management policy should address, within the broad policy guidelines provided for by the National Archives and Records Service of South Africa Act, all aspects of the identification, security, safe custody, disposal and retrieval of records.

2.6.4 Record control mechanisms

Record should have a control mechanisms for maintenance that includes, Register of files opened, which contains a description and opening dates of all files that were actually opened according to the subject provisions in the filing system. Register of disposal authorities, which contains copies of all disposal authorities issued by the Registrar's office as the custodians of university records, to that specific department with the institution. Destruction register, which contains information on the year in which non archival records are due for destruction.

2.6.5 Create a disaster recovery plan

Inevitable accidents and natural disasters occur and therefore there is a dire need for disaster recovery plan, to help eliminate any risks in case of a natural disaster, fire, or flood. A solid backup plan is therefore necessary to ensure that data is recoverable in the case of any emergencies. According to Ngulube, (2005a) the security and disaster management are the key to the protection of archival materials

from human and natural disasters. He further states that too many archives in the East and Southern Africa Regional Branch of the International Council on Archives (ESARBICA) member states have neither a disaster-preparedness nor a security plan in place. He argues that many archivists in the ESARBICA region recognise the need to protect their holdings, but they fail to develop disaster-preparedness and security plans due to a number of factors including inadequate funding and staffing, and shortage of supplies. He suggested that these problems should not prevent archivists from developing disaster-preparedness and security plans.

2.6.6 Training and Implementation

Training of records managers/registry clerks (secretaries' administrative assistants, faculty administrators including those managing records within the university in their respective departments) should attend training courses to equip them with the necessary skills to enable them to manage records incompliance with the existing legislatives of South Africa. After attending training courses the records managers should ensure that all staff members are capable of reading the filing system and allocating file reference numbers to documentation according to standardized institutional file plan. They should also ensure that all staff members are conversant with the proper registry procedures, policies and prescripts of records management to ensure implementation of viable records management programme.

2.7 Characteristics of a Reliable Record

Records have certain characteristics that can be used to identify them. One of the reasons for records management is to maintain all the records, including university records, characteristics as listed below. The major characteristics of records include authenticity, reliability, integrity and usability.

These characteristics are discussed below:

2.7.1 Authenticity

Trustworthy records must be authentic by character. In order for the records to be considered authentic, they must be in the mode that it was created to be, and should be created and sent by the right person at the right time. The organization should create and implement policies and procedures that will regulate records creation, receipt, transmission, maintenance and disposal. This will contribute to the authenticity of records. It will assist the organization in ensuring that the creators of records are authorized and identifiable to prevent unauthorized addition, alteration, deletion, use and concealment of records by unknown people (ISO 154891 2001; Lin, Kamaiah and Wal 2003:118). Thus, electronic records need to be properly managed in order for them to be authentic. This makes them usable for investigations (Thurston 2005; Irons 2006:106). However, the authenticity of electronic records relies on the right data, right retrieval process and correctly executed processes (Lin, Kamaiah and Wal 2003, Marutha 2011).

2.7.2 Reliability

Reliable records should be truthful in nature. The records' content must communicate or reflect exact, full and accurate transactions, activities or facts that represent clearly what happened during the process of transactions or activities (ISO 15489-1 2001; Irons 2006:109; Duranti 1999) This will ensure that records are dependable in any administrative and strategic decisions. The records should be created by relevant knowledgeable people or business process instruments. That is the person or business instrument used for business transactions at the time of the business transaction or incident that led to the creation of the record or soon afterwards (ISO 15489-1 2001; Duranti 1999). To ensure reliability of e records, they

must be compiled according to the set standard format and template. It must be processed following approved work flow, set accessibility privilege, and design system audit trail to monitor access and use of records (Duranti 1999) Reliable records must have context and structure as to who was the creator, how it was created and for what reason (State Records New South Wale 2004; Cowan and Haslam 2006). It is worth noting that the reliability of electronic records depends much on the proper management of electronic systems (Thurston 2005, Ngoepe 2004, Marutha 2011).

2.7.3 Integrity

The records with integrity must be complete and without any alteration. In order to prevent unauthorized records alteration, the records policies and procedure should address issues relating to alteration. The policies and procedures should give guidance on the types of addition or annotation to be allowed to records after creation. This guidance must cover reasons for alteration and who is authorized to do it. All authorized records annotation, alteration, addition or deletion must be clear to ensure that they are traceable (ISO 15489-1 2001).

2.7.4 Usability

The records that are usable should be locatable, retrievable and interpretable for its effective business use. The records must be capable of presenting or representing the business transaction or activity that led to its creation. It must contain information that can bring an understanding of what, when and how the business activity or transaction that led to its existence or creation was conducted (ISO 15489-1 2001; Irons 2006; Omeyi 1997, Marutha 2011).

2.8 Managing Electronic Records

Electronic records should be preserved in such a way that its form, retrieval, reliability and authenticity, as evidence of a particular activity, are not subject to change, bearing in mind the safety of the records (Lin, Ramaiah & Wal 2003; Irons 2006). Information Technology is a good tool that can be utilized in smoothening access to records and information. Most universities use Integrated Tertiary System (ITS) which is an Enterprise Resource Planning Management (ERPM) system that specializes in the provision of integrated software to support the administrative functions within the higher education and training sectors. However it is not Electronic Document Management System (EDRMS) as it is not used to capture non-centralized records such as minutes of meetings, correspondence, emails, etc like EDRMS would (Coetzer 2012). According to Nxele in DoxTrax Suit document, in trying to address Electronic Documents and Records Management Systems (EDRMS) in organizations, what is required by an organization is a single, simple to use electronic system that is built on the tried and tested principles and prescripts of managing paper-based records in line with NARS prescripts and acts.

The document further suggest that the system should also extend those advantages into managing electronic records while in process which can then easily be managed by the same system from inception, through filing, to disposal. The system must cover all record types and be used to receive records from external sources (e.g. Through post, courier etc.), to register each new Record produced internally (e.g. Memos) for processing and allow Registry unit to have complete tracking control of all records in an organisation regardless where they physically are. Registry units would then be able to easily follow the underlying processes and when the processing is complete, can ensure that those records are filed in compliance with

the NARS act and Registry prescripts, regardless of where they are filed. Records would all be easily declared though a single system, whether physical or electronic. The File Plan, which is the corner stone of such a system, would cover all record types and be used to enforce security (including Clearance), Disposal schedules and overall life cycle management of the filed records.

The existing literature reveals that East and Southern Africa Regional Branch of the International Council on Archives (ESARBICA) are still far behind with the adoption of Information Technology (IT) for records management. Kenya and South Africa are good examples of lack of records management automation (Marutha and Ngulube 2011). This may be because computation of archival services requires the purchasing of hardware, software, training, consultancy, networking, system maintenance, user-friendly system identification, records security measures to prevent unauthorised access and virus prevention against data corruption (Mazikana 1999 in Kemoni, Wamukoya and Kiplang'at 2003). Looking at the IT requirements listed above, the implementation of records management automation is not easily affordable (Kitching 1991 cited by Kemoni, Wamokoya and Kiplang'at 2003). Stephens (2000), as cited in Lin, Ramaiah and Wal (2003), expressed that electronic records are now received in a large number of archives. Due to the size some of these records are now losing value as a result of its age, which is round about 15-20 years. This shows a very serious need to strengthen effective and efficient management of electronic records for easy retrieval and access to records (Marutha & Ngulube 2011).

2.10 Theoretical Framework

According to Lester (2005) research must be guided by theoretical perspective because a theoretical viewpoint will provide a framework within which there will be

an attempt to answer the question 'why'. The researcher can only speculate at best or offer no explanation at all without the theoretical framework. A theoretical framework may be used to test, apply or merely locate a proposed study within established theory (Ngulube and Noko 2013). According to Rodrigues, Ngulube and Chaterrera (2013) a theoretical framework assists in identifying the variables that will be investigated and provide a frame for analysing and interpreting the findings.

There are theoretical frameworks of records management, such as records life cycle and records continuum model. The framework of the study is based on Life Cycle and Records Continuum Model as well as the Functional Framework developed by Samuels (1992). These theoretical frameworks have been selected as most suitable for this study which seeks to investigate the status of records management programme at the Walter Sisulu University.

Records life cycle theory is the main conceptual framework for this research, especially in the paper environment. This theory assisted the researcher to check how WSU manages its records in paper format. Hence, the need to create accurate records, using and maintaining these records through their life-cycle concept of managing records in WSU is necessary. The research focused on how this university uses lifecycle concept as it related to records creation, use and maintenance, where records are stored and how they are retrieved, to determine the effectiveness of records management principles in WSU. Miller (1999) argues that in Continuum Model, four actions continue to recur through the life of a record and cuts across the traditional boundary between records management and archives administration. The actions are the creation or acquisition of records, classification or description, its appraisal for continuing value and its maintenance and use. The International Council on Archives defines the continuum concept as 'a consistent and coherent

process of records management throughout the life of records, from the development of record-keeping systems through the creation and preservation of records, to their retention and use as archives' Mutero (2011). According to Atherton (1985), all stages of records are interrelated forming a continuum in which both records managers and archivists are involved, to varying degrees, in the on-going management of recorded information. This assisted in this study as the researcher looked at the records beyond the disposal stage. Some universities have records that are deemed to have permanent/ enduring value. Examples are student records and records pertaining to history or heritage of the university. This framework also addresses records and archives in the electronic environment.

The essence of functional analysis according to Samuels (1992) is to provide a systematic way of establishing the key activities and transactions pertaining to the key functions of an organization, and in determining the records that support those activities and transactions. The functional framework for analysis and the list of records maintained by other universities such as University of Melborne (2001) has been used by the researcher to determine the essential records that Walter Sisulu University should maintain.

2.10.1 Records Life Cycle

Since the late 1930s, the life cycle theory has been the main conceptual framework for managing records, especially in the paper environment. This concept came in 1934, Theodore Schellenberg of the National Archives of the USA invented the life cycle concept (Shepherd and Yeo 2003:5). This concept provided the foundation on which modern records management is built. Schellenberg (1956) introduced the idea of looking at records at various stages during their life span. This can be compared

to the life of a human being; that is, a record is born, lives and dies. Thus a record has three major stages:-

- Current/Active Stage At the current stage, records are created or received and maintained for the contact of day to day business. They are referred to or used frequently for on-going business activities. In most cases records at this stage are kept closer to the offices that use them frequently.

- Semi-Current/Active Stage Records at this stage are referred to infrequently as a result they are kept in Records Centre.

- Non-Current/Active Stage At this stage records are no longer needed to support current business activities. Some of the records at this stage may not be needed at any other time and those are often destroyed while those that will be needed (those considered to have enduring value) are transferred to Archives.
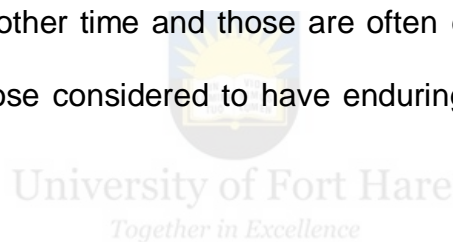
According to IRMT 1999:19, Akussah, Chachage, Tafor and Ngulube (2006) Records Life Cycle model is universally acceptable among archivists and records management professionals, and that the life cycle concept is the most integrated and comprehensive approach to records management. They further emphasized that this is the reason why this concept is popularly used as a framework for managing public sector records in Eastern and Southern Africa regions. Records Life Cycle concept falls into three phases, which Ricks and Gow 1988:4 identify as "(1) records creation or receipt (born or adopted); (2) records use and maintenance (that is, they live actively), and (3) records destruction (they die) or transfer to an archival repository. The life cycle theory states that records can only live once at each stage in their life. This clearly defines responsibilities for the management of records at each stage. In

contrast, the continuum theory developed in the 1990s by Ian MacLean argues that record keeping is a continuing and rolling process that does not separate the life of records in time and space (Upward 2000) As indicated above, this study investigated the records management programmes at WSU in NMD Campus covering the processes from the creation to the disposal of records. According to Ngulube (2003) there is a tendency amongst organizations not to base their records management practices on existing theories or principles of records management. According to IRMT (1999) the care of records and archives particularly within the context of the public institutions is governed by four important principles or theories. These are (1) that records must be kept together according to the agency responsible for their creation or accumulation, in the original order established at the time of their creation; (2) that records follow a life cycle; (3) that the care of records should follow a continuum; and (4) that records can be organized according to hierarchical levels in order to reflect the nature of their creation.

The lifecycle model can be compared to the life of a human being to describe records as passing through a series of stages. For example, the record is born lives and dies.

It illustrates and discusses the life span of any records in any format, whether it is paper based or electronic, from creation to disposal. According to the National Archives and Records Service of South Africa, a records life cycle has three major steps (NARSSA 2004).

Records Life Cycle

[Source:https://www.jcu.edu.au/__data/assets/image/0006/132585/Records-Lifecycle.jpg]

Figure 2.1 Records Life Cycle

Creation and receiving

This is the first stage of the records life cycle. It is the stage during which the records are born in the process of business administration and received by the family of the records management unit. In this stage organizational business administration officers or employees create records in different formats during their daily business activities. This process of creating records happens when officials discharge their daily administrative duties. Records management officers or employees eventually receive records to properly manage them (National Archives and Records Service of South Africa 2004, National Archives and Records Service of South Africa 2007).

Maintenance and use

This is the second stage of a records life cycle. It is the stage in which records are maintained by the records manager and records management clerks. Records are also used by government officials and stakeholders at this stage (National Archives and Records Service of South Africa 2004, National Archives and Records Service of South Africa 2007). The files are maintained by filing them in the right storage place and shelf as classified for easy future retrieval. These are then protected against exposure to dangerous hazards like water, fire, rough handling, dust, ultraviolet rays, humid temperature, insects, rodents, vandalism and theft (National Archives and Records Service of South Africa 2004; National Archives and Records Service of South Africa 2007 (as amended).

Disposal

Disposal is the third step in a record's life cycle in which the life of the record is leading towards its end. At this stage, records are appraised to determine their retention value using records disposal schedules. This leads to either the preservation or destruction of the record, depending on the value of the record (National Archives and Records Service of South Africa 2004, National Archives and Records Service of South Africa 2007 (as amended). Records with a permanent value to the institution are transferred to the National Archives of South Africa for permanent archiving, preservation and use. Records with short term value are destroyed within a certain period as per the disposal plan. When the retention dates of these records are reached (NARSSA 2007).

2.10.2 The Records Continuum Model

The Records Continuum Model (RCM) was created in the 1990s by Monash University academic Frank Upward with input from colleagues Sue McKemmish and Livia Iacovino as a response to evolving discussions about the challenges of managing digital records and archives in the discipline of Archival Science. Upward asserted that the continuum is a fully-fledged paradigm shift in which a worldview is being replaced. When he developed the continuum concept, MacLean et al (2004) was of the view that the work of archivists and records managers are interrelated and that there is continuity between records management and archives. Proponents of the continuum paradigm, such as Bearman (1994) and Cook (1997) have advanced debates in favour of this model as a better approach to modern record keeping. For example, they argue that archivists should not wait until the end of the life cycle, but be actively involved in the management of records from creation. McKemmish et al, (2005b: 160-195) argue that Continuum model provides a graphical tool for framing issues about the relationship between records managers and archivists, past, present, and future, and for thinking strategically about working collaboratively and building partnerships with other stakeholders. According to Upward (2003), the Continuum theory is defined as a time/space approach instead of a life of the records approach. In the continuum approach, there are no strict boundaries between archives and records management responsibilities, as current records can also become archives right from creation, instead of waiting for final disposal to determine this.

According to Makhura (2005:43), Bantin (2009), Chachage & Ngulube (2006) and Yusof & Chell (2000) the records continuum model is about continuous management of records, from the moment records are created and maintained until they are on

disposal stage. It is about the "continuous process" of records management as the business processes continue. Maruta & Ngulube (2011) underscores that it adds value to the records life cycle with the ICT concept, which is about electronic records management. For example, student record has continuous value, if a student graduates with a bachelor degree to enroll for Post graduate degree in the same institution, the same record with his/her information would be required. Flynn (2001) explains that the records continuum model is significant because it broadens the interpretation of records and recordkeeping systems offered by the lifecycle model. Such broadening is helpful, given the variety of contexts in which archivists and records managers operate and in which archives and records are used. This reminds us that records (including archives) are created and maintained for use as a result of business and administrative functions and processes, rather than as ends in themselves. The continuum concept is clearly outlined on the table below. The records continuum model entails all activities involved in administration and the management of records throughout their lifespan, from creation to disposal during the business transaction and communication (Upward 2000).
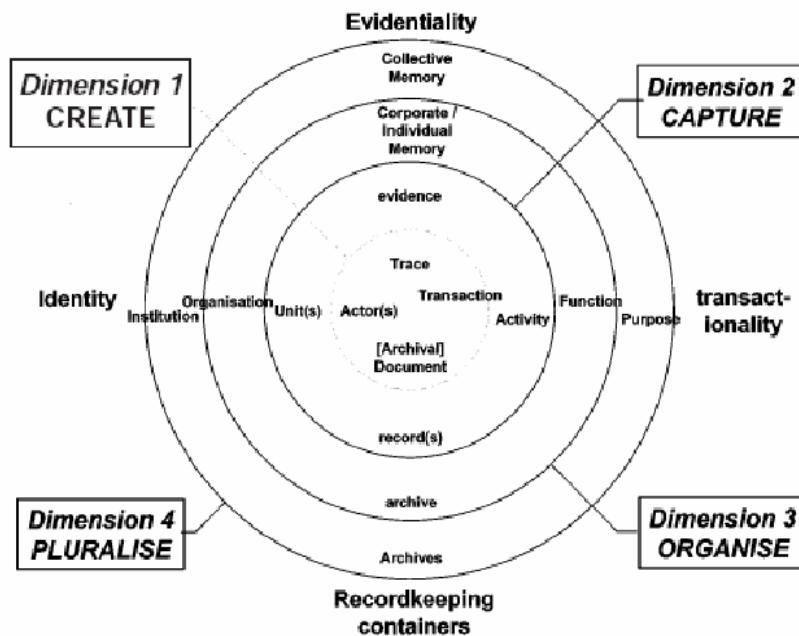
Figure 2.2 Records Continuum Model (Upward, 2000, p. 123)

Jay Kennedy and Cherry Schauder (1999) explain the four dimensions that Upward used in his concept of the continuum model:-
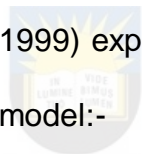
1. At level one, the model identifies accountable acts and creates reliable evidence of such acts by capturing records of related/supporting transactions. Records of business activities are created as part of business communication processes within the organization (for example, through e-mail, document management software, or other software applications).

2. At level two, recordkeeping systems manage "families" of transactions and records series documenting processes at the work-unit or single-function scope of complexity. Records that have been created or received in an organization are tagged with metadata, including how they link to other records.

3. At level three, a seamless recordkeeping scheme embraces the multiple systems and families of records that serve the entire documentary needs (i.e., business, regulatory, and cultural/educational/historical) of a single juridical entity. Records become part of a formal system of storage and retrieval that constitutes the organization's corporate memory.

4. At level four, a collaborative recordkeeping establishment under the guidance of a suitably empowered public recordkeeping authority serves the needs of the total society, its constituent functions, and the entities that carry them out. The recordkeeping establishment serves the documentary needs of many entities within its jurisdiction and ensures the accountability and the cultural memory of the society as a whole (Ngoepe 2008).

2.10.3 Comparing the Life Cycle and Continuum Models

Chachage and Ngulube (2006) stress that of all the above principles" the records life cycle and records continuum models are the dominant theories in the archival and records management field". These two theories are explained below, as well as the reasons for undertaking this study throughout the entire life cycle of a record at Walter Sisulu University at Nelson Mandela Drive Campus.   Marshall (1996) highlighted that the records continuum's primary focus is the multiple purposes of records. It aims for the development of recordkeeping systems that capture, manage, and maintain records with sound evidential characteristics for as long as the records are of value to the organization, any successor, or society. It promotes the integration of recordkeeping into the organizations' business systems and processes.

2.12 Empirical Studies on Existing Records Management Programme in Universities

Given the growing requirement of ensuring efficiency in university administration, the importance of effective institutional records and archives management cannot be denied (Schinner and Wells 2012). Universities generate a lot of records, which are the heart of their administrative and academic activities. This has been highlighted by many authors (Adomi 2002, Asogwa 2013, Chinyemba and Ngulube 2005, Coetzer 2012, Iwhiwhu 2005 and Popoola 2009). As a result of the aforementioned points, universities across the globe have established institutional archives to manage a plethora of recorded information, which document their daily activities, transactions, culture and history. Not only did the universities across the globe take this initiative but it also led to several research work to be conducted in this matter, for instance the research work of authors like Adomi (2002), Schinner and Wells (2002), Popoola (2009).

Chinyemba (2011) highlighted that without a robust records management programme in place, universities cannot claim to be accountable and transparent. Asogwa (2013) also emphasizes that tertiary institutions can only be effective and efficient if records management is considered a business process designed to support institutions. According to Djorka and Conneen (1984) the main aim of RMP is to monitor records, in whatever type or format, to ensure that they pass efficiently, through the stages of creation, use, maintenance and disposal either by destruction or transfer to archives.

Some of the empirical studies that have been conducted on RMP which exist in various universities including a survey conducted by Schinner and Wells (2002) of university archives and records management programme in Canada and the United

States of America, revealed the persistence of all trends and struggles of the university archivists and records managers to balance old and new requirements. The findings of Chinyemba and Ngulube (2005) on a study at University of KwaZulu Natal, Pietermaritzburg Campus indicated that records management practices at this university were not in line with the relevant legislatives or standards. Their discovery were echoed in the findings of Coetzer (2012) when he conducted similar studies at the University of Zululand. Similar findings were also confirmed in the studies on records management in Nigerian Universities by Adomi 2002, Asogwa 2013, Iwhiwhu 2005, Popoola 2009 and Waifo 2004). An example is Adomi's study conducted at the Delta State University, Abraka in Nigeria to investigate whether the records were properly managed and easily accessible for use by the decision makers. Adomi's findings were that, no formal records management programme existed in these universities resulting in staff keeping their records in office cabinets with no security.
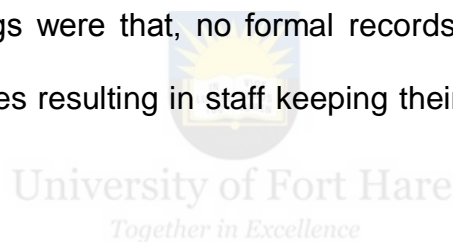
2.13 Overall Literature Review Findings and Gaps to be filled

- Schinner and Wells (2002) conducted a survey on research in fifteen public universities in Canada. The aim of their study was to assess the state of records and archives management in universities in the United States of America and Canada. Their findings indicated that RMP was formalized and as such there were policies, procedures and activities monitored by a high level committee. Compliance with the policies by staff was however a problem. Also university archivists and managers struggles to balance the old and new needs were observed.

- Bailey (2011) conducted a study in six pilot institutions of higher learning in United Kingdom, to highlight the value of records management programmes

in academic institutions. The study found that for instance, at one of the sites, monetary benefits were low but time saving in accessing information was realized. The study also highlighted that measuring the impact of records management proved to be a challenge to records management staff, due to lack of training and skills in the field.

- Popoola (2009) conducted a quantitative research in twenty four private universities in Nigeria based on the premise that highly committed employees like records management personnel in universities are vital assets for effective provision of information services, for planning and decision making. One of the various findings by this author, was the lack of proper records management practices was due to little value placed on records as an information resource by senior management in Nigerian universities.

- Coetzer (2012) used a survey research method and questionnaires as a primary data collection instruments to conduct a study on the status of records management at the University of Zululand. The study revealed that the university does not have proper records a management practice.

- Chinyemba and Ngulube (2005) conducted a study at the university of KwaZulu Natal, Pietermaritzburg Campus to determine whether the different faculties and departments of the university were managing records according to the National Archives and Records Services Act, Promotion of Access to Information Act and Records Management International Standards of Operations, as well as to establish whether the staff assigned with records management responsibilities had appropriate skills and knowledge. Their findings were that records management practices were not according to legislation or international standards.

- Two advantages of a university records management programme that have been highlighted by Saffady (1974) are that, important administrative records are protected against unauthorized destruction and inactive records can be readily identified and stored. Thus explaining and identifying records management as an administrative tool for efficiency of organizational management. However some authors such as Procter (2002) have pointed out that though there has been a growing need for management efficiency in universities, mostly records management as an efficient administrative tool are neglected by university management. This is evident in the scant literature on records management programme in universities.

- South African universities are not immune from this problem as only two research articles (Chinyemba & Ngulube 2005; Coetzer 2012) have highlighted the role of records management in South African universities. This calls for more research to provide more in-depth overview of records management in South African universities. The scant body of knowledge on records management in universities of South Africa motivated this study on status of records management programme at Walter Sisulu University to bridge this literature gap.

CHAPTER 3 – RESEARCH DESIGN AND METHODOLOGY

3.1 Introduction

Chapter three provides the research study design that has been used in conducting this study. Patton (2002) and Lewis (2003) are of the view that the nature of information needed would be determined by the choice of research method used. The purpose of this research is to investigate Records Management Programmes at Walter Sisulu University using Nelson Mandela Drive Campus in Mthatha as the case study (Bless, Smith & Kagee (2006), Fidel (2008); Gorman & Clayton (1997).

3.2 Research Methodology

Research Methodology gives the description of processes and methods used by the researcher while conducting the study. The researcher used the two research approaches which are qualitative and quantitative research approaches. Ngoepe & Van der Walt (2010) suggest that mixed methods are often used in order to maximize the theoretical implications of research findings. The mixed method improved the quality of the research by minimising biases, limitations and weaknesses (Marutha & Ngulube 2011). Based on the existing literature such as Coetzer (2012), Chinyemba and Ngulube (2005) on similar studies mixed method approach have been employed.

According to Terre Blanche, Durrheim and Painter (2006) data are basic materials with research work. It comes from observations and can take a form of numbers (numeric or quantitative data) or language (qualitative data). The researcher employed, triangulation approach with the aim of discovering holistic and credible information about the environment in which records are being managed at WSU (Terre Blanche, Durrheim and Painter 2006).

3.2.1 Qualitative Approach

According to Denzin, Norman and Lincolin (2005) qualitative research is the field of enquiry that aims to gather in-depth understanding of a phenomenon being studied. Coetzer (2012) states that qualitative research involves a detailed report of feelings, opinions, attitudes, beliefs and behaviour of the respondents by use of words aided by pictures/visuals, sounds or objects. Neuman, Strauss and Corbin (1998) further reiterated the latter assertion that qualitative research data is not described using statistics or procedure but rather using words, sounds or objects which are findings relate to lives, experience, behaviour, emotions and feelings, organizational functioning and social movement. The rationale for using the qualitative research methodology is that it explores information in the form of quality, such as explanations, descriptions and narratives, which gave participants an opportunity to give their thoughts, interpretations and understanding by describing and explaining the situation in their environment (Fidel (2008); Gorman & Clayton (1997); Marutha & Ngulube (2011). It concentrates much on the context of what is studied to provide an understanding of the political, social, psychological, economic and cultural condition of the environment under the study (Anderson & Arsenault 1998). The qualitative method used to understand the experience of the participants about the condition or problem being studied and explored the reasons for their kind of response to the situation (Creswell 1994). The qualitative approach in the form of structured interview helped the researcher to gather in depth information from the selected managers in order to answer research questions (Creswell, 1994, Locke, Silverman & Spirsuso, 1998, Punch 2006).

3.2.2 Quantitative Approach

A quantitative study measures a phenomenon using numbers in conjunction with statistical procedures in order to process data and summarize results (Creswell, 1994, Locke, Silverman and Spirsuso, 1998). The quantitative data basically balances data obtained through qualitative approach, and gives more essence to information that words cannot quantify. The quantitative research method in this study enabled the researcher to measure the situation at WSU based on statistical information such as how many people supported or did not support certain issues or statements and interpret the results (Fidel 2008; Creswell 1994; Powell 1997; Matveev 2002).

3.3. Research Design

According to Babbie and Mouton (2001) a research design is a plan or structured framework on how you intend to conduct the research process in order to solve a specific problem. A research design is used to give a guideline about how cheap, simply and economically the data would be collected and analyzed in relation to the purpose of the research. In other words, it offers the researcher the simplest and most affordable way of conducting a research beforehand (Blanche, Durrheim & Painter 2006). The design of the research depends on its questions and the data, to give a way for questions and data connections and show the tools and procedures relevant for use in answering the research questions. A research design is an action plan for the research conducted. It covers the population or sample studied, design type whether exploratory or correlational or experimental or descriptive, data collection duration and reliability and validity of threats (Hernon & Schwartz 2009).

3.3.1 Site

This study has been done at Walter Sisulu University which is situated in the Eastern Cape, one of the historically disadvantaged institutions (HDIs), which was born out of a merger of three institutions (Former Eastern Cape Technikon in Butterworth and Queenstown, Border Technikon in East London as well as University of Transkei in Mthatha). It comprises of 4 Campuses which are, Buffalo City Campus in East London which have 9 delivery sites within itself, Ibika Campus in Butterwoth with 2 Delivery Sites, Queenstown Campus in Queenstown with 2 Delivery Sites and also Nelson Mandela Drive Campus in Mthatha which has got 5 Delivery Sites (Government Gazette no.37235, 2014).

3.3.2 Population

Ngulube (2005) states that one of the major steps in survey designs is to define the population before collecting the sample. A population is defined as a complete set of elements (person or objects) that possesses some common characteristics defined by sampling criteria established by the researcher. Population comprises of two types which are: - Targeted population and Accessible population (Nachmias and Nachmias, 2006). The population is a group of elements sharing the same sentiment. Theoretically speaking, population encompasses all the elements that make up our unit of analysis (Terre Blanche, Durrheim & Painter 2006). An example of populated can be person, a group, an organization, a written document or symbolic message or even a social action under investigation (Coetzer, 2005). Targeted population was used which consisted of Academic Support which includes Faculty Administrators, Academic Secretaries and Administration Assistants within faculties. Administrative support staff from selected departments of 29 members was purposively sampled (Leedy & Ormond 2005).

3.3.3 Sampling and Sampling Procedure

Neuman (2000) identifies two types of sampling techniques, namely probability (representative) sampling and non-probability (non-representative) sampling. With probability sampling, the researcher can determine the chance or probability of an element being included in the sample. This technique gives each and every member of the population an equal chance of being selected for the sample. Examples of probability sampling include simple random sampling, stratified sampling and cluster sampling.

In contrast, non-probability sampling is when the researcher has no way to determine the chances of inclusion of a particular element of the population in the sample. The sample may be drawn depending on a determined size in advance, but there is no assurance of representativeness. Examples of non-probability sampling include haphazard sampling, quota sampling, snowball sampling, deviant-case sampling, sequential sampling, theoretical sampling and purposive sampling (Terre Blanche, Durrheim and Painter 2006).

3.3.3.1 Purposive sampling

In purposive sampling, the researcher uses his or her own judgement on which respondents to choose and picks only those meeting the purpose of the study. Hence purposive sampling was used as it provided judgement allowing the researcher to handpick certain groups or individuals according to their relevance to the issue at hand. This assisted in getting more relevant and valuable information on the investigation (Leedy and Ormond 2005).

3.3.4 Sample size
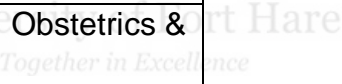
This study used non-probability sampling, specifically purposive sampling, to gather information from the Walter Sisulu University's administrative support and academic departments on the investigation of records management programmes at the institution. The sample size entails the number of participants chosen from the whole population. The researcher focused on the population of the study when drawing a sample. The selected members or part of the entire population is called the sample (Bless and Higson-Smith 2000, Rowley 2002, Ngulube 2005, Nachmias and Nachmias 1996). In the administrative section, twenty-three administration sections out of thirty were represented in the study. This meant that 76.67% of non-academic sections were included in the study. Respondents from the administrative sections were twenty-four. The reason behind this selection was the idea that the selected respondents were known to be key informants who deal with records on a daily basis thus they could have enough information pertaining the study being conducted. The researcher concentrated on the following sections: Admissions, Exams office, Filing, Finance, Student Services, ICT, Facilities, Research, Human Resources, Faculty Officers, Office of the Registrar and finally of the Rector. These sections are considered crucial in the successful day-to-day running of the university and should therefore be served by a functional records management system. The sampling method determines the validity and reliability of the research conclusion (Ngulube 2005a; Marshal and Rossman 1995, Leedy 1997, Terre Blanche, Durrheim and Painter 2006) underline that in a research where the number of sampled participants is too little; it is not advisable to use random sampling because that sample may not be representative enough for the entire population of the study. This is also the case with a large number of sampled participants in non-random sampling.

Table 3.3.4.i Administrative Support and sampled respondents

Division	Number of Respondents
Admissions	3
Exams	2
Facilities-Transport	1
Finance	4
Human Resources	4
ICT	2
Rector's office	1
Registrar's office	3
Research Office	1
Student Affairs	3
Faculties	6
Total	**30**

Table 3.3.4.ii Academic departments

Faculty of Commerce & Administration	Faculty of Educational Sciences	Faculty of Health Sciences	Faculty of Humanities, Social Science & Law	Faculty of Natural Sciences

Accounting Science	Business, Commerce & Management	Family Medicine	Arts	Biological & Environmental Science
Administration & Hospitality Management	Continuing Profession Teacher Development	Internal Medicine	Legal Studies	Chemical & Physical Science
Economics & Business Sciences	Educational Foundation	Public Health	Social Work	Mathematical Sciences & Computing
	Humanities and Creative Arts	Surgery	Social Science	
	Mathematics, Natural and Consumer Science	Obstetrics & Gynecology		
		Psychiatry		
		Orthotics & Prosthetic		
		Paediatric		
		General Surgery		
		Nursing		
		Medical/		

		Biological Sciences		
		Laboratory & Pathology		

3.3.4.1 Sampling selection Rationale

Nelson Mandela Drive Campus in Mthatha

Walter Sisulu University comprises of four campuses which are geographically scattered around Eastern Cape Province. It consists of Buffalo City Campus in East London, Ibika Campus in Butterworth, Queenstown Campus in Queenstown and Nelson Mandela Drive Campus in Mthatha. For the sake of this research study the sample population was limited to Nelson Mandela Drive Campus in Mthatha which is the biggest campus of this University and the seat of the University's administration.

3.4 Data Collection Methods

The data collection method is about the procedures, techniques and tools used when collecting data from the sampled participants. Ngulube (2005a) relates the quantitative approach gives statistical and mathematical techniques. He relates the qualitative approach to a deep study of individuals and small groups of the population. In this study both qualitative and quantitative data collection techniques were applied. Both methods explored the answers to the research questions. The qualitative research methodology was used because it assisted the researcher to collect data related to quality, such as the explanatory, descriptive and narrative information. The quantitative approach, gives statistical details on how many people supported or did not support certain issues or statements. According to Fidel (2008)

this is a mixed method which covers both the qualitative and quantitative methods. Fidel (2008), citing Tashakkori and Creswell (2007), defines the triangulation as a method of research where the researcher uses both the qualitative and quantitative approach in collecting, analysing and integrating data, drawing a conclusion in the same study to improve the quality of the research by minimizing biases, limitations and weaknesses. The selected participants were identified and consulted telephonically, questionnaires with attached ethical clearance letter which entailed the purpose of research, detailed ethical considerations were emailed and some were hand delivered to selected participants. As per the arrangement during consultation the feedback was collected after two weeks from all selected participants. On the other hand, qualitative data in this research was gained through observation, interviews and reading documentations. Face-to-face interviews were conducted with selected managers with the aim of making follow or in-depth understanding from the response on questionnaires. During discussions observations were also employed to check attitude, feelings, opinions and behaviour of respondents as suggested by Coetzer (2012). Reading of documents such as WSU Prospectuses, Statutes, and Policies was also done to get the exact structure of WSU and what constitutes the university, which assisted the researcher to identify the relevant managers that has to be interviewed (Babbie 2005, O'Leary, 2014, Bowen 2009).

3.4.1 Research Instruments

The design of Questionnaires fall into two categories which are: - either open-ended (unstructured) or close-ended (structured) questionnaires (Babbie, 2005, Onyango, 2002). Two parts of questionnaire was used for the study. The aim was to identify the feedback of faculty Administrator, Academic Secretaries and Administrative

support. Both open-ended and closed-ended were used in a single questionnaire to establish records management programmes at Walter Sisulu University. The questionnaire is characterised by structured questions which usually include some open-ended questions that are used for collecting data to learn about a population characteristic, attitudes and beliefs. The questionnaire was examined and tested to check for bias, sequential order, clarify validity, and determine usefulness and reliability (Marshall & Rossman, 2006). Questionnaires are preferable because they are simple to compile and mostly used in research (Black 1999). Questionnaire is a statistical study of a sample population by asking questions about age, income, opinions, and other aspects of people's lives, a questionnaire is a set of questions used to gather information in a survey (Mavodza 2010). However, respondents are mostly lazy to thoroughly read questions that are too long and this ensures that they eventually give inaccurate responses or information as they usually do not read all of the questions (Mavodza 2010). A questionnaire was compiled in such a way that it was short with simple, clear and unambiguous language. The wording in the questionnaire did not give clues about results preferred or desired. It was also consistent. The researcher simplified the respondents task by providing clear instructions. The questionnaire was clear, attractive and looked professional According to Mavodza (2010), the use of a closed-ended questionnaire enables respondents to select responses from a list of choices using yes or no and/or selecting from multiple-choice answers. Some questions were designed using a Likert scale frame to measure respondents attitudes (Kumar 2005; Powell and Connaway 2004). Examples of the Likert scale frame are questions that require respondents to choose answers from strongly agree, agree, neutral, disagree, and strongly disagree with the set statement (Mavodza 2010).

3.4.1.2 Interviews

An interview is a method of data collection, which is explained as a dialogue between two or more people (Ngulube, 2011). It is also a special case of social interaction. It involves direct contact with a participant who is asked to answer questions relating to the research problem (Bless & Smith 2000). Focus group discussions were conducted, through interviews which were held between Deans, HODs and Managers of sections. The aim was to observe reaction and attitude towards the problem investigated. According to Lewis and Ritchie (2003), key questions in semi-structured interviews are asked in the same way for all participants and are usually followed by some limited follow-up questions for further information or clarity depending on the response. However, the interview was conducted with the aim to support or ask follow-up questions from the observation schedule for each of the hospitals. In research, the use of various methods to collect the same data or triangulation is highly commendable For example, Ngulube's study used questionnaire as the key source of data supplemented by interviews and observation (Ngoepe 2008, Nachmias & Nachmias, 1996). The researcher used the purposive sampling method in order to obtain relevant participants for the interviews. They were key participants used as a source of quality data out of the entire population (Wamundila 2008; Leedy & Ormrod 2005). The reasons for using the interview method are:

- An interview gives the participants an immediate chance to clarify themselves directly to the researcher.

- It helps to overcome misunderstanding and misinterpretation of words or questions. As a result, the answers given are clear.

- It reduces the chance of participant planning about lying in their response.

- It allows for the provision of more information, as there is no limited space as in the questionnaire or observation schedule.

- It enables the researcher to pose follow-up questions based on what the participants have said. The interviewer can also ask the respondent for explanations concerning some of the answers.

- Its presents many enhance comprehensiveness and objectivity in the recording of information.

- It facilitates the elimination of unnecessary questions and the reformulation of ambiguous ones.

- It also allows for the discovery of new aspects of the problem by exploring in detail the explanations supplied by respondents. It can be administered to respondents who cannot read or write.

- The interviewers can ensure that all items on the questionnaire or observation schedule have been considered and that respondents did not omit difficult questions. The interviewer can reassure respondents and encourage them to persevere (Bless and Smith 2000).

The disadvantages of the interview are that:

(a) The researcher is forced to interview the participants one by one and, after that, write down all responses down. Interviewers have to spend a certain number of hours interviewing each participant separately and they may also have to travel extensively to reach respondents. This is time and energy consuming and expensive too. One way of reducing the costs associated with this technique is to conduct interviews over the telephone, which was also the case with this study.

(b) It can cause interviewed people to refrain from expressing their real opinions or true feelings.

(c) Improper recording of answers can result in incomplete and biased information.

(d) If the interviewers are not competent they may introduce bias, because recording the comments of participants is a delicate matter owing to the great variety of answers and their complexity.

(e) The presence of an interviewer can be perceived as a handicap as far as anonymity and respect for the private life of the interviewee are concerned.

(f) The respondents may be embarrassed by questions from the interviewer which touch on confidential and private issues, whereas they would answer more freely and honestly if left alone to fill the questionnaire.

(g) Issues like social status, sex and age of the interviewer may affect the respondent s' answers. For example, female interviewers may collect more and better results from female respondents than male interviewers on topics involving sexual practices and birth control (Bless & Smith 2000, Wamundila 2008; Leedy & Ormrod 2005)

3.4.1.3 Document Analysis

Document analysis is a form of qualitative research in which documents are interpreted by the researcher to give voice and meaning around an assessment topic (Bowen, 2009). Analyzing documents incorporates coding content into themes similar to how focus group or interview transcripts are analysed (Bowen, 2009). A rubric can also be used to grade or score document. There are three primary types of documents (O'Leary, 2014)

Public Records: The official, ongoing records of an organization's activities. Examples include student transcripts, mission statements, annual reports, policy manuals, student handbooks, strategic plans, and syllabi.

Personal Documents: First-person accounts of an individual's actions, experiences, and beliefs. Examples include calendars, e-mails, scrapbooks, blogs, Facebook posts, duty logs, incident reports, reflections/journals, and newspapers.

Physical Evidence: Physical objects found within the study setting (often called artefacts). Examples include flyers, posters, agendas, handbooks, and training materials (Bowen, 2009).

3.5 Validity and Reliability

Mavodza (2010) highlights that believability or credibility of the findings of the study depend on its validity, which also refers to its interference and conclusion strength. Both the qualitative and quantitative data collection tools were tested for their reliability and validity before they were practically applied (Hernon and Schwartz 2009). According to Ngulube (2005a) and Ngulube (2005b) who cites Babbie and Mouton (2001), when the researcher constructs and evaluates instruments, they should consider their reliability and validity. He further sensitised researchers that research without validating is valueless to the community knowledge improvement. There should be internal validity testing for instrumentations, selection bias and non-response. The quantitative tools were tested by the questionnaire pre-test which was conducted to five participants to make sure that everything was clear to ensure reliable results as suggested by Leedy and Ormrod (2005). The rationale behind questionnaire pre-test was to make sure questions are well understood by the respondents; the layout is clear, including use of a font that is easy to read; easy and

interesting questions are at the beginning; questions build upon each other. Pre-testing questionnaire and interviews schedules is one of the tools that may be used for content validity (Ngulube 2005a). The validity of the tools was also checked by issuing five (5) questionnaires and observation schedules were distributed with the checklist to different departments within WSU with a request to receive them back within two (2) weeks. After two weeks, the researcher received feedback from 3 pretest inputs. This was done in terms of their ability to generalize the population and accurately determine what the researcher planned to measure. In testing reliability, pretest and internal consistency were used and validity was done through content validity to measure representativeness, criterion-related validity to predict the future outcomes and diagnose the current subject, construct validity and internal validity. This sought to ensure high quality in the data collection tools of the research. After receiving the pre-test feedback, the researcher had to amend and redesign the questionnaire to get the information needed, as majority of the questions in the pre-test questionnaire were yes and no which was going to result in researcher not getting desired information. This was done with the aim of getting the best results out of the study (Babbie 2005, Leedy 2007, Mouton 2002 and Hopkins 2000).

3.6 Data Analysis

According to Terre Blanche, Durrheim and Painter (2006) the aim of data analysis is to transform information or data into an answer to the original research question. Data analysis determines the meaning of the data collected (Johnson and Christensen 2004). Data analysis has to do with steps such as reduction, display, transformation, correlation, consolidation, comparison, and integration of data (Johnson and Onwuegbuzie 2007 and Mavodza 2010). Ngulube (2005a) states that data analysis can help the researcher to understand the social process operation. He

further explained that knowledge of data analysis may help the researcher to better interpret, conclude and make recommendations regarding the study. According to Smithson (2000) and Ngulube (2005), figures and graphs are better than word descriptions in the identification of a relationship to variables. Data analysis can be done in either a qualitative or quantitative way. The quantitative method was used to analyse the statistical data. This study used mixed methods to collect data, both qualitative and quantitative data was incorporated, consolidated, compared and integrated (Creswell 2003, Creswell, Plano and Clark 2007). According to Bless and Smith (2000) data is analysed to detect the consistency of respondents through the data pattern, like the consistent covariance of two or more variables. These two data analysis methods played a collective role towards a proper and effective data analysis and eventual construction of the necessary research findings. In supporting the above statements, Punch (2006), emphasised that quantitative data analysis entails statistics collected through a well-established and documented collection tool. Mouton (2002) is of the opinion that the process of analysing data involves pattern and theme identification from the data and eventually certain conclusions would be considered as the outcome of the study, but that should also be logical and be drawn from the empirical evidence for it to be considered valid. The researcher used both qualitative data analysis and quantitative data analysis. MS Word was used for the analysis of qualitative data and the quantitative data analysis was established by creating a tally sheet from the questionnaire questions and design. The process was such that when completed questionnaires were returned regularly from participants to the researcher, they would be captured onto the tally sheet immediately. After the questionnaire tally capturing, tallies were counted/calculated on the sheet for each question and the total number was written as total number of respondents for each

answer on each question. The calculated figures were then captured into the MS Excel Spread-sheet database that was also designed in line with the questionnaire. On the spread-sheet database the researcher then formulated spread-sheet based calculation for total figures from the tally sheet for conversion into percentages in the separate columns. Quantitative data analysis resulted in the presentation of data in tables and graphs while qualitative data analysis meant the construction of analytical narratives, explanations and descriptions. Analysing data in a table form made it easier for the researcher to interpret the data. The researcher thereafter gave meaning to the tables and the graphs used for data analysis. According to Fidel (2008:269) the end-product of the qualitative method is text that includes image and drawing, while a quantitative method output numbers as outcomes of analysis. Both methods support each other without any separation (Babbie 2005, Creswell, Plano and Clark 2007).

3.7 Ethical Considerations

In this study the researcher adhered to the spirit of research ethics.

Firstly, the researcher ensured that respondents' privacy was not invaded and that no harm caused to participants (Lues and Lategan.2006).

Secondly, the researcher informed participants that the research was voluntary and that they could withdraw at any time. Consent forms were issued to the selected participants prior to them commencing with filling in the questionnaires. Furthermore, clear and accurate information about the research was given to participants prior to commencing with the research. The researcher ensured anonymity and confidentiality by not identifying the respondents and the respondents were assured about this before completion of the questionnaires. On the questionnaire, no space

was provided for the name or any other form that identifies a person. Other ethical considerations such as plagiarism were avoided and the results of the study will be publicized in the form of a thesis. The interviews took place in individual offices where there were no distractions. At the beginning of the interview it was agreed that phone calls would be diverted. Three selected Senior Managers were interviewed in their offices, as this provided a quiet, appropriate venue (Lues & Lategan 2006). Since interviews were one-on-one, there were no interruptions.

3.8 Summary

In summary, this chapter discussed the research methodology applied in conducting this study. The discussion covered the strategy on the method used when conducting this study. The research strategy discussed entails the design of the research, population sampled and studied, sampling methods as well as the data collection methods and instruments. This is because the research procedure is all about the population, sampling method, instrumentations, data processing and treatment of statistics because without all these there is no research (Ngulube 2005a). The population of this study was sampled using stratified random sampling and purposive sampling techniques. Since this study used a mixed method, quantitative data and qualitative data were collected and analyzed using mixed data collection and analysis techniques, namely quantitative data collection tools and qualitative data collection tools. The data collection instruments used was validated questionnaires with addition of observation and interview.

CHAPTER 4 – RESEARCH FINDINGS AND DISCUSSIONS

4.1   Introduction

The previous chapter presented research methodology. This chapter presents the research findings collected through questionnaire. The chapter summarized and consolidated results of the empirical study. This chapter is divided into five sections, section A which covers biographical information and section B, C,D,E aimed at responding to the research questions of the study itemized in chapter one, which are as follows:-

- What types of records management programmes exist at Nelson Mandela Drive Campus of WSU?

- What infrastructure available for management of records at Nelson Mandela Drive Campus of WSU?

- Do existing records management programmes at Nelson Mandela Drive Campus of WSU comply with the required legal and regulatory frameworks?

- What are the constraints, if any, in managing records at NMD Campus of WSU?

4.2   Response Rate

Twenty-nine (29) questionnaires out of the thirty (30) were returned completed. According to Babbie and Mouton (2001) a response rate of 50% is adequate for analysis and reporting, 60% is good and 70% is very good. The researcher proceeded with the analysis of the data as a 96.67% (29/30 questionnaires) response rate which is regarded as very good for the study.

4.3 Findings

The results and findings are analyzed and interpreted in this section. The results are presented in tables and graphs form. Microsoft Office program was used descriptive statistics.

Section A

4.3.1 Biographical Data

[1] **What is your Positions (n = 29)**

The researcher provided list of possible positions in institution of higher learning which can deal with records. The largest proportion of respondents (72.41%) came from the Secretaries, followed by 6 officers (20.69%) made out of 2 senior officers (6.9%) and 4 officers (13.79%). The least were administrative assistants (6.90%)

Positions	Frequency	Percentages
Senior Officers	2	6.90%
Officers	4	13.79%
Secretary	21	72.41%
Admin. Assistant	2	6.90%
Total	**29**	**100%**

Table 4.1 Positions

[2] **Experience in current positions (n = 29)**

The results below indicates that the majority of respondents range from 11-15 years of service (27.59%) followed by respondents 26-30 years of service (20.69%). A

large proportion had experience of between 6 to more than 30 years of service, with frequency of 4 respondents (6-10years) and 4 respondents of (above 30 years) at 13.79% each. Only 6.70% of respondents were relatively new at Walter Sisulu University (WSU).

Years	Frequency	Percentages
1 – 5	2	6.70%
6 – 10	4	13.79%
11 – 15	8	27.59%
16 – 25	5	17.24%
26 – 30	6	20.69%
Above 30	4	13.79%
Total	29	100%

Table 4.2 Experience

[3] **Departments (n = 29)**

According to document analysis which has been employed such as WSU General Prospectus, indicated that WSU has more divisions than those selected for research. Percentage graphical presentation of selected divisions shows (20.69%) are from faculties, followed by finance and Human Resources divisions at both at 13.79%, admissions division, student affairs and registrar's office at 10.34% each, followed by exams at 6.70%. the least respondents were from research and facilities transport divisions at 3.45% each.

Departments	Frequency	Percentages
Admissions	3	10.34%
Exams	2	6.70%
Facilities-Transport	1	3.45%
Finance	4	13.79%
Human Resources	4	13.79%
ICT	2	6.70%
Registrar's office	3	10.34%
Research Office	1	3.45%
Student Affairs	3	10.34%
Academic Faculties	6	20.69%
Total	29	100%

Table 4.3 (i) selected WSU Divisions
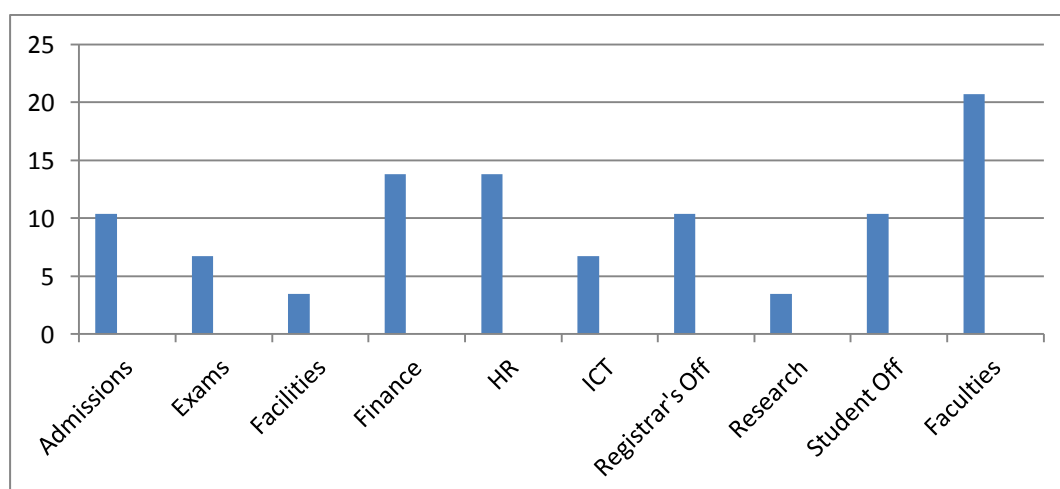
Figure 4.3 (ii) Selected Divisions

[4] **What is your highest qualification (n = 29).**

The results presented below show that most participants (55.20%) have Diploma as their highest qualification, followed by Certificates (17.24%) and those with Honors at 10.34% followed by those with Degrees and PhDs (6.90%) each and the least had Masters (6.90%). This suggests that those entrusted with WSU records are educated.

Qualification	Frequency	Percentages
PhD	2	6.90%
Masters	1	3.45%
Hons	3	10.34%
Degree	2	6.90%
Diploma	16	55.20%
Certificate	5	17.24%
Others	-	-
Total	**29**	**100%**

Table 4.4 Highest Qualification

Section B

4.3.2 Research Question 1: What types of Records Management Programmes exist in NMD at WSU?

This section seeks to provide answers to research question number one. Records management is an organizational programme that coordinates and protects an

organization records, sharpens the effectiveness of records and other related tools for effective management of an organization. It controls the time, equipment, space and people, and further simplifies the organization's problem. One of the major objectives of records management programme is that it systematically controls organization records throughout their life cycle in order to meet operational business needs as well as community and customer expectations. It ensures regulatory and legal compliance to minimize risks and litigation Khayundi (2013 lecture notes)

Establishment of Records Management Programme (RMP)

It is imperative to note that it is possible to establish viable/sustainable RMP without securing buy-in from the top management of an organization. Buy-in is aimed making RMP to form integral part of an operation of the organization. Once it is approved by top management, there should be establishment of records management systems (RMS) which includes Information Audit, which aims at making situational analysis in trying to understand the types of generated by the university, how they are kept and by who, how long they should be kept and who might use it in future. Subsequently identify gaps or overlaps in line with records keeping practice, and address those gaps by developing standardized institutional File Plan which includes classification system, retention schedule and location of records for easy retrieval. A file plan which is a comprehensive outline that includes the record series, file organization, active file locations, file transfer, file retention and disposal instructions and other specific instructions that provide guidance for effective records management. The policy formulation then follows which will regulate the legal way of managing records Khayundi (2013 lecture notes).

[5] What is your division?

This question was posed to participants in order to classify them according to divisions they work under on the list of divisions suggested by the researcher. The results from the table below indicate that the majority of respondents falls under support service divisions at 68.94% followed by those working for faculties at 20.69% and the least of respondents were under senior management at 10.34%.

	Frequency	Percentages
Senior Management	3	10.34%
Support	20	68.97%
Faculties	6	20.69%
Total	**29**	**100%**

Table 4.5 Divisions
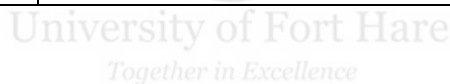
[6] **Do you keep records in your division?**

All respondents (100%) confirmed keeping records within their divisions. This particular question was asked by the researcher to confirm if respondent is the relevant person handling records within respective divisions.

[7] **What type of records generated by your division?**

The researcher provided a list to guide them indicate the records generated in their division using two categories which are administrative records and records other than administrative records (for the types of records in each category refer to the attached questionnaire in the appendix). The response from the table below indicates that 86.21% work with administrative records followed by those managing

records other than administrative records. However from the response there is an indication that some are managing both administrative records and records other than administrative records.

	Frequency	Percentages
Administrative records	25	86.21%
Records other than administrative	16	55.17%
Total	41	141.38%

Table 4.6 Types of records generated by divisions

[8] **Does your office have list of opened files?**

The results showed that all respondents (100%) do not have list on files opened.

[9] **Do you classify your records in your division?**

The response indicated that not all records are classified within divisions, with response of 27.59% indicating yes while 72.41% indicating no.

	Frequency	Percentages
Yes	8	27.59%
No	21	72.41%
Total	29	100%

Table 4.7 Classification of records

[10] What type of records classification system do you have?

The researcher suggested a list of classification systems that respondents choose from and the response showed that majority of respondents (93.10%) were using alphabetical classification system, followed by 72.41% of those using yearly classification and the least uses alphanumerically (58.62%). The results below further indicated that some of the respondents are using all these the three systems presented while some do not classify at all.

	Frequency	Percentages
Alphabetically	27	93.10%
Yearly	21	72.41%
Alpha-numerically	17	58.62%
Total	65	224.13%

Table 4.8 Types of Classification Systems respondent's uses

[11] Does your office have register of Disposal Authorities?

All respondents indicated that they do not have register on disposal authorities.

[12] Where do you keep your records?

All respondents confirmed that they keep all their records in their respective offices.

[13] For how long do you keep your records?

According to the researcher participants were given a list of options to choose from however it is interesting to note that vast majority respondents keep all their records permanently. This response will be further discussed in chapter 5.

[14] **Where are the records kept in your office?**

The results indicates that 100% of respondents keep their records in cabinets, shelves, storages and electronically. 55.17% respondents indicated that they keep their records in boxes while 34.48% respondents keep their records in lockable cabinets.

	Frequency	Percentages
Shelves	29	100%
Cabinets	29	100%
Lockable Cabinets	10	34.48%
Boxes	16	55.17%
Storages	29	100%
Electronically	29	100%
Total	142	399.65%

Table 4.9 how records are kept at WSU?

[15] **How do you retrieve records?**

The results from all respondents indicate that individuals just search for information there are no proper systems to retrieve their records.

[16] **How long does it take for you to retrieve records?**

The participants were given a list of options to choose from and the results indicate the highest number of respondents (58.62%) take a week to retrieve a record followed by 41.38% respondents who takes a day to retrieve a record. The good

retrieval system facilitates timely retrieval while bad system adversely affects service delivery.

	Frequency	Percentages
Day	12	41.38%
Week	17	58.62%
Total	**29**	**100%**

Table 4.10 time for retrieving records

[17] **Where do you keep your semi-active and old records?**

All respondents indicated that all their records irrespective of phase as per records life cycle are kept in offices. The researcher observed the capacity of their offices, where some records are kept in large boxes piled behind doors and some in vacant offices.
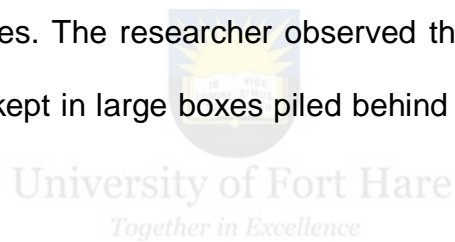
[18] **Does the university have Records Centre or Archives?**

The response from the participants shows that WSU has neither a records centre nor archives. This means that semi-active and active records are kept in one place, which confirms the previous response which asserted that all records at WSU are kept in offices.

Section C

4.3.3 Research Question 2: What Infrastructure is available for the management of records at NMD Campus of WSU?

This section addresses research question 2 which seeks to establish the infrastructure that includes building, personnel, skills and competencies, access, security, preservation and conservation of WSU records.

[19] **Who keeps records in your division?**

The result indicates most departmental records are kept by the secretaries (82.76%) followed by directors at 10.34% followed by managers (6.90%).

	Frequency	Percentages
Director	3	10.34%
Manager	2	6.90%
Senior Officer	-	-
Secretary	24	82.76%
Admin. Assistant	-	-
Total	**29**	**100%**

Table 4.11 those keeping WSU records

[20] **Do you have a professional qualification in records management?**

The results indicate that respondents do not have professional qualification on records management.

[21] **Since you started working in this position, have you been trained for keeping records in your division?**

The results indicate that none of the participants have received any training in record keeping.

[22] **Who is the custodian of WSU records?**

The respondents were aware that records belong to the university. However they were not aware of the custodian of WSU records.

[23] **Do you have a system for keeping your documents?**

The results below indicate that majority of respondents within the various divisions do not have systems. Nine (9) respondents shows there are no proper systems in place, and eight (8) respondents were not sure if there are proper document management systems.

	Frequency	**Percentages**
Yes	12	41.38%
No	9	31.03%
Not sure	8	27.59%
Total	29	100%

Table 4.12 systems for keeping documents

[24] **If yes, which system?**

The results indicate that respondents use ITS to keep their records.

[25] **Do you have off-site storages?**

	Frequency	Percentages
Yes	-	-
No	29	100%

Table 4.13 Availability of off-site Storage

[26] **When last did your office transfer records to off-storage site?**

The researcher provided a list of options to choose from, and all respondents confirmed that the transfer of records to off-site storage had never been done. This is consistent with the response on section B [18] that this university does not have a records centre or archival building.

[27] **How do stakeholders (internal and external) access records in your departments?**

The results from all respondents indicate that stakeholders access records upon approval.

[28] **Who approves access for requests?**

The response of 58.62% shows that Managers approves access and 51.72% shows that HODs also make approvals of access, 41.38% response shows that Directors approve followed by 27.59% confirming that Registrar makes approvals and 34.48% respondents indicated that Deans also make approvals of access.

	Frequency	Percentages
VC	-	-
Registrar	8	27.59%
Director	12	41.38%
Manager	17	58.62%
Dean	10	34.48%
HOD	15	51.72%
Secretary	-	-
Total	62	213.79%

Table 4.14 Approval of access

[29] **Do you have high risk or confidential records?**

The results show that all respondents keep confidential records.

[30] **Where do you keep your confidential records?**

The response below indicates that 83% of respondents keep their confidential records on desktops, office cabinets while 86.21% keep on their laptops. 17.24% of respondents keep on their strong rooms. It is also noted as per figure 4.31 that some respondents keep their records in multiple storage places and devices.

	Frequency	Percentages
Laptop	25	86.21%
Desktop	29	100%

Office Cabinets	29	100%
Strong room	5	17.24%
Total	88	303.45%

Table 4.15 Location of confidential records

[31] **What are the control measures over confidential records?**

The results indicate that all 29 respondents keep their records on laptops/desktops with security passwords to protect confidential information. This response will be discussed in the next chapter.

[32] **Do you have the following where you keep your records (physical and electronic)?**

The response from all respondents shows that offices have only air conditioners and lack to have other equipment which are inline specification of the records management.

[33] **How often does your office get fumigated?**

The results show that all offices where records are kept does not get fumigated.

[34] **Measures taken to protect records against natural and man-made disaster?**

The results shows that all respondents confirm that there is no adequate protection measures of records against natural and man-made disasters.

Section D

4.3.4 Research Question 3: Do existing records management programmes at Nelson Mandela Drive Campus of WSU comply with the required legal and regulatory frameworks?

This research question aims at establishing if the manner in which WSU keep their records complies with the existing prescript, as it is regulated by National Archives and Records Services Act 43 of 1996.

[35] **What informs record keeping in your division?**

The results below from all respondents indicate that recordkeeping at WSU is not guided by the records management policy and there is a clear indication that there are no policies in place to provide guidance on how records should be managed.

	Frequency	Percentages
Practice	29	100%
Policy	-	-
Total	29	100%

Table 4.16 what informs records keeping

[36] **Are you aware of the relevant legislation that regulates records management in South Africa?**

The results illustrated below on figure 4.38 suggest that WSU as a legally established institution does not have knowledge of relevant legislation which enforces all public and private institutions to have proper records management programmes. All respondents indicated that all those entrusted with records keeping

within the various divisions are not aware of the various laws, prescripts guiding records keeping in South Africa.

	Frequency	Percentages
No	29	100%
Yes	-	-
If yes, specify	-	-
Total	**29**	**100%**

Table 4.17 awareness of the law

Section E

4.3.5 Research Question 4: What constraints do you have, if any, in the managing WSU records at the Nelson Mandela Drive Campus?

This section seeks to answer research question 4, by understanding challenges facing WSU with regard to management of records.

[37] **What challenges do you have in managing records in your division?**

Respondents were asked to tick possible challenges they were facing with regard to records management at Walter Sisulu University and possible challenges were listed by the researcher. The responses from the questionnaire revealed that all 29 respondents highlighted that all the suggested possible challenges were actually the constraints they were facing. It is evident that there are serious records management challenges coupled with tremendous volumes of records (including active, semi active and inactive records) kept in offices, affecting space and leading to loss of records. Weak communication of the policy and procedures by the managers to the

employees entrusted with records has adverse impact on the management of WSU records.

	Frequency	Percentages
Lack of space	-	-
Loss of records	-	-
Difficult to retrieve	-	-
Lack of policy	-	-
Insufficient budget	-	-
Lack of training	-	-
Shortage of staff	-	-
Lack of proper classification	-	-
Difficult to retrieve	-	-
Inadequate filing equipment	-	-
All of the above	29	100%
Total	**29**	**100%**

Table 4.18 Challenges in managing WSU records

4.4 Structured Interview Responses (Managers from the selected divisions for the study)

The aim of the interview was to make a follow-up on questionnaire, in getting an in-depth understanding and a clear picture of what was happening at WSU with regards to records management. Face-to-face interview appointments were arranged by the researcher to meet with selected managers within the strategic divisions. The following questions were posed to the managers within the institution.

[1] What do you think of records management systems?

These are the responses from the managers "If it can be transparent and known by all managers it can be very helpful" the common answer from all the three interviewed managers was that, currently there was poor records management in the university and the records management system can be implemented correctly it can transform the current situation WSU faced.
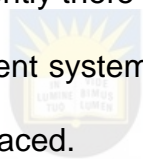
[2] How is it going to help you?

Manager 1: "Records can be readily available"

Manager 2: "There will be no loss of records"

Manager 3: "There will be accountability"

[3] Do you have a policy for managing WSU records?

Out of three managers that were interviewed the common answer was from two managers who confirmed the availability records management policy however one of them was not aware of any records management policy.

[4] **Is it in line with the vision and mission of the university?**

One of the managers did not know since he was not aware of its availability and the two other managers agreed that it is in line with the vision and mission of this university.

[5] **Why do you think it should be adopted?**

Manager 1: "In order for a university to be transformative"

Manager 2: "It will make the work of all stakeholders to be easy"

Manager 3: "It will make work easier"

[6] **Why is it necessary for this university to have this policy?**

Manager 1: "To avoid confusion, continuity and vision"

Manager 2: "For consistency and common practice"

Manager 3: "Easy retrieval of records and it will stop haphazard way of keeping records"

[7] **If you have a policy, has it been disseminated to other stakeholders of this university?**

One of the three interviewed managers said no, stating that if it was disseminated he could have been aware while the two other managers believed that it was disseminated to the entire university.

[8] **What do you think of the sustainability of this policy?**

The common answer was that, Managers must ensure it is used by all stakeholders. With one of them stating that "there should be monitoring and follow ups"

[9] **How can it be implemented?**

The response of the manager who was not aware of the records management policy was "It can be implemented if it can be disseminated to all stakeholders as core agents" and the response of other managers was: - "Should be cascaded to all stakeholders" "Users to be educated on objectives of the policy, encouraged and inspired to use it" "Views of the stakeholders about the policy to be considered so there could be no struggle to implement"

[10] **What are the mechanisms you have to enforce the policy?**

The common answer from all three managers was that those entrusted with keeping records should be educated about the importance of the policy first and then therefore it would be easier to regulate.

[11] **Do you have a strategic plan for managing WSU records?**

The common answer from all interviewed managers was "no"

[12] **Are you aware of the law that governs records?**

All interviewed managers said "no"

[13] **If yes, which law?** Not applicable.

[14] **Do you have budget allocated for the establishment of records management system?**

The common response from managers was "no"

[15] **Access and Security of WSU records**

Manager 1: said "Currently the university is using outsourced security. However there are constant burglar theft therefore there is a need for reinforcement"

Manager 2 & 3: They felt that there is a need for proper infrastructure which will conform to the nature of the University. Manager 2: "Centralize sensitive information on appropriate software"

The common answer from three managers was that, they felt that access should be restricted to exactly who should be given information. They further said there should be approval from higher offices to access records.

[16] **Retention and disposal**

Two Managers said there are no retention and disposal schedules and all records are kept infinitive, however one of them felt that "After some time records should be transferred to the identified archives of the university and the kept information can help historians"

[17] **Storage**

One of the managers said "Currently there are no common practices in keeping records within the university emanating from issue of merger"

All managers confirmed that the university does not have software solution/storage for safe keeping WSU records.

[18] **Have you provided relevant training for those keeping records?**

 All the managers felt that it is crucial to have records management training with one of them confirming that "No training has ever been made for managing records" They all further mentioned the issue of budget as one of the challenges which hinder training of the staff. One of the managers said, "Managers need to understand change."

4.5 Summary

Summarizing the findings from the study, it is evident that there is no proper records management programme at WSU. A high percentage of respondents indicated that there is no policy for managing WSU records and that indicates that records in this institution are not properly managed and a lack of compliance with the existing laws, as all respondents were not aware of existing regulations. This is supported by the findings in 4.2.3 and 4.2.4 on the manner in which departments manage records within WSU. Although some respondents indicated that they keep records on Integrated Tertiary System (ITS), however this system does not have other electronic document management features to support capturing of records such as agendas, minutes, correspondences, emails etc. of which proper Electronic Document and Records Management System (EDRMS) is supposed to have. There is a clear evidence that senior management was not encouraging records management workshops and trainings to equip the staff members entrusted with proper keeping of WSU records. This is evident from high percentage indicating a lack of training which was later confirmed by managers during interviews. Accordingly gaps and overlaps had been identified in the manner in which records are kept in line with records keeping   practice.

CHAPTER 5 – INTERPRETATIONS AND DISCUSSIONS OF THE FINDINGS

5.1 Introduction

The previous chapter presented the findings of the study, and this chapter addresses the interpretation and discussion of the findings of the study as presented in Chapter 4. This study followed four research questions listed in Chapter 1, which are as follows:-

- What types of records management programmes exist at the Nelson Mandela Drive campus of the WSU?

- What infrastructure is available for management of records at the Nelson Mandela Drive campus of the WSU?

- Do existing records management programmes at the Nelson Mandela Drive Campus of the WSU comply with the required legal and regulatory frameworks?

- What are the constraints, if any, in the management of records at the Nelson Mandela Drive Campus of the WSU?

5.2 Research Questions

5.2.1 Research Question one: What types of records management programmes exist at Nelson Mandela Drive Campus of WSU?

This question was asked because Walter Sisulu University is a public institution subsidised by the government, and operates in according with National Archives and Records Services Act 43 of 1996 which stipulates that all public and private institutions should have a proper records management programme, and Walter

Sisulu University as a public institution is no exceptional to this law (private institutions are also bound by the same legal requirements). Coetzer (2012) argues that a records management system improves office efficiency, facilitates administrative access to inactive as well as active records, ensures the consistent maintenance of records, decreases operational costs, increases staff productivity, and helps the university to meet legal and regulatory standards. It covers the entire lifespan of records development, from their creation to their disposal or archiving. Questions on what type of classification systems used as well as the question of register on opened files, register on disposal authorities, and register on destruction were asked in questionnaire and the responses presented in Chapter 4 by all 29 respondents in Section B [(4.3.2): 8 and 11] indicated nonexistence of these fundamental legal tools. The findings have been made in [section B 4.3.2:9 and 10] that not all departments have classification systems, and thus resulting to long hours up to weeks of retrieving records. National Archives and Records Services 43 of 1996 (NARSA) section 13 stipulates that each organization should implement and maintain prescribed recordkeeping systems which includes File plan. According to NARSA a file plan is a plan by which documentation is arranged and stored to facilitate efficient retrieval and disposal. It facilitates the adoption of a better access to the records of organization, this is to be achieved through the adoption of a consistent classification system.

The question of how long they keep their records and where [(4.3.2): 12 and 13] was asked in the questionnaire and it was interesting to note that the vast majority of respondents keep their records permanently. The file plan would be an appropriate tool to address this problem as it is used for classification of records both on paper-based and electronic format, providing a unique identification reference number,

location of where records are kept. It contains and helps maintain the guidelines for how long certain records should be kept and the conditions in which they should be disposed of, because not all records generated during the business activities of the university should be kept indefinitely (NARSA, 1996 and ISO15489, 2001)

This finding also indicates that this institution is not aware of appraisal of records throughout the records life cycle, taking into consideration the three major stages of records (active records, semi-active records and non-active records). There is no awareness of the need to separate records with enduring value which are expected to be kept permanently, transferred to Archives, from those records that are consulted on ad-hoc basis which are normally kept in a Records Centre (Semi-active) and those used on daily basis, often kept in offices (active records). Hence they keep everything together. Old or obsolete records are kept together with active records in an active registry. The response [(4.3.2): 15 and 16] in the manner in which records are kept in this institution and the time it takes to retrieve their records suggests a serious problem in their recordkeeping. Semi active and old records are kept in the same place. For this university to keep active and non-active records together poses a risk of damage or loss of vital records and those with enduring value such as student records. Ngulube and Maruta (2011) argue that records Continuum Model adds value to the records life cycle which is about electronic records management (document management/digitization), therefore it means records continuum model principles which addresses records beyond disposal stage and with archival/continuous value, are not observed by those entrusted with WSU records. The response reveals that there is apparent disorder of records, too many filing places and records are mixed as a result of lack of proper systems. And this

further suggests that if it takes longer to find records, decision making may be delayed.

The above records management programme responses ultimately highlight that, those dealing with records on daily basis do not have Register on opened files, register on disposal authorities. This indicates that guidelines, principles and prescripts of managing records are not followed in this institution and therefore the existing regulations are compromised. This further suggests that there are no functional records management programmes that exist at WSU. It is clear that without a proper RMP that controls records through the earlier phase of their life cycle, those of archival value cannot readily be identified and safeguarded so that they can take their place in due course as part of the institution historical and cultural heritage (Ford 1990; IRMT 1999, Iwhiwhu 2005, Mnjama 2003, Muhenda and Lwanga 2012).

The works of Mnjama (2005); Ngulube and Tafor (2006) suggest that although there is existence of records management programme in various universities in South Africa some of these programmes are faced with problems. This argument confirms with the findings of the researchers like Choongo (1998), Coetzer (2012), Chinyemba and Ngulube (2005) who argued that the management of university records has been largely neglected. The results emanating from the study concurs with the findings of the above mentioned authors, that the management of university records are characterized by inefficiency and ineffectiveness on normal support of business activities which subsequently may result in loss of records, litigations, business continuity and ultimately adverse functioning of this university.

5.2.2 Research Question two: What is available infrastructure for management of records at the Nelson Mandela Drive campus of the WSU?

According to Harvard University, Records Management System (RMS) is concerned with assisting all University offices and departments to control costs, improve efficiency, meet compliance obligations through high-quality records management practices and ensure permanent records are transferred. Nengomasha (2003) and Coetzer (2012) both pointed out that record management system is important for the use of classification schemes, retention schedules and systematic disposal of records, facilitating the storage, to avoid congestion of offices and poor retrieval of information.

It is for that reason that the question of the availability of records management systems (RMS) was posed. All 29 respondents indicated that there are no systems in place for managing WSU records in various departments, resulting in those dealing with records (secretaries, admin assistants, administrators etc.) taking a day up to a week to retrieve information, with the subsequent adverse effect on the service delivery of this university.

Further findings in Chapter 4 Section C [(4.3.3): 19 and 20] also indicated that much as the personnel dealing with records are Secretaries (82.76%) who are literate with the vast majority having Diploma as highest qualification [section A 4.1:4], however they do not possess any professional qualification in records management. The question of training for records management [(4.3.3):21] has been asked and the response indicating that all those dealing with records have never been undergone training on how to properly manage records, is a clear indicate that those entrusted with keeping WSU records will experience challenges in keeping university records properly.

This finding on lack of training for those entrusted with records keeping in the university reveals an inadequate infrastructure in terms of existing records management programme at WSU. As a result the current records management practices at WSU contravene the assertion made by Kanzi (2010) and Musembe (2016) regarding infrastructure in records management programme which states that, records management staff should be trained to equip them with the necessary skills to carry out their functions properly, and further help to ensure compliance with the legislation and International standards (ISO) as well as manage the control, custody, care and disposal of the institution's records in an effective manner for quality and better services. These findings are also highlighted in the studies of Ongundele (2001), Baje (1998), Fadokun (2004) and Tower (2004). A question was also asked in the questionnaire on who is the custodian of WSU records [(4.3.3): 22]. According to findings presented in chapter 4 all 29 respondents do not know the custodian of WSU records. This response suggests lack of conformity and accountability in those entrusted with WSU records. It further indicates that records may be kept haphazardly. Identifying the custodian of university records, provides proper control measures to secure records from theft, damage or loss (Khumalo and Chigariro, 2017).

The discovery emanated from the study was that, WSU does not having Records Centre or Archives, and that could be one of the reasons that records are kept in offices infinitively and hardly transferred to appropriate storage facilities and offsite storage subsequently, which then points to the issue of inadequate storage space. Furthermore this can significantly create inability to distinguish between historical records or records with archival value from those with temporary value. This contradicts with Records Life Cycle theory which suggests that records have got

three phases. These are given as: active stage where records are used frequently and often kept in offices, the semi-active stage where records are consulted on ad-hoc basis and as such kept at Records Centre, and the non-active records with enduring value which are transferred to archives while those obsolete are destroyed. The aforementioned findings further indicate that the manner in which records are kept in this university are not in line with the required records keeping practices. Khumalo and Chigariro (2017) discovered similar findings in National University of Science and Technology in Zimbabwe, where the registry and records storage for the Admissions and Students Records was located next to a food outlet, in an environment which was not appropriate for records as fire and water leakages could emanate from the food outlet. These findings indicate lack of understanding the importance of appropriate archival architecture by African universities.

The response from the question of records management system showed that 27.59% were not sure if this institution has appropriate records management system while 41.38% think that ITS (Integrated Tertiary Software) is the most appropriate document management system for keeping their electronic records. ITS is an Enterprise Resource Planning Management (ERPM) system that specializes in the provision of integrated software to support the administrative functions within the higher education and training sectors. However it is not electronic document management system (EDRMS) as it is not used to capture non-centralized records such as minutes of meetings, correspondence, emails, etc like EDRMS would (Coetzer 2012). It has been noted that confidential records are kept on laptops and desktops [(4.3.3): 30] from which valuable information can be lost or stolen, with the potential for costly litigations. As noted by Thurston (2005), Ngoepe (2004) and Mrhubatha (2011) that the reliability of electronic records depends much on proper

records management programme in which there will be a well-defined electronic systems, and security to manage electronic records. This finding above clearly indicates that WSU records management practices do not meet the required standard of records management programme.

The question of access and approval of access to WSU records by external stakeholders was asked and the responses indicated that, various offices that approves Access, see table 4.29 [(4.3.3): 27 and 28]. The Promotion of Access to Information Act 2 of 2000 provides public right to access information in public or private institutions, which was supposed to be specified by the policy and subsequently procedure manuals of this institution. This, therefore, suggests that the manner in which WSU keeps its records currently will not comply with this South African law. These findings concur with the views of Bakkabulindi and Muhenda (2008), Iwhiwu (2005) The IRMT (1999), Iginodala (1998) who argued that recordkeeping systems in African Universities were not just weak, but characterized by poor organization, inefficient filing, poor storage and irregular dispositioning as a result of insufficient skilled and experienced record management personnel. These authors further argued that those who maintain the registry system with filling cabinets containing the paper evidence of university business were inadequate and in fact ignorant of their responsibilities. The researcher concurs with the authors such as Okwilagwe and Njoku (2002) & Issah (1999) who unanimously agreed that the development of RMP/ RMS in Africa is due to certain inhibitive factors such as lack of infrastructure and untrained personnel to handle equipment at the tertiary education level. In addition, there is a dire need for awareness and exposure through workshops and random trainings on the records management systems, as integral parts of the institutions of higher learning from top management down to those

entrusted with university records. The respondents also indicated that where they keep their records, there are no air conditioners and there is no regular fumigation to protect paper based records against harmful insects. Majority also indicated that there are no functional fire extinguishers at record –keeping places in case of fire [Section C (4.3.3): 32, 33 and 34]. Furthermore, these findings show that where WSU records are kept, the buildings do not meet required specifications and prescripts enshrined in National Archives and Records Services Act. This confirms the assertion of Kaczmarek (2006) that regardless of renewed interests in these age-old issues, records management in higher education is often poorly funded and not a high priority.

This is worrisome and should serve as a wake-up call to WSU's management on the danger of losing vital records, which can affect business continuity due to the manner in which this university continues to keep their records. This must viewed against the background of the current trends of violent protests by students where offices are destroyed within higher education institutions of learning (Daily Mail 2016).

5.2.3 Research question three: Do existing records management programmes at Nelson Mandela Drive Campus of WSU comply with the required legal and regulatory frameworks?

It is important for one to know that RMP is a specialized field which is compliance based. Therefore, there are guiding principles and prescripts that have to be followed when establishing a proper records management programme. The question was asked on the availability of policy [Section D (4.3.4):35], and all respondents (100%) indicated that there are no policies on records management in place for this university, and as such whatever is done is informed by each respective

department's practices. However the response of the sampled managers in an interview held separately indicated the availability of records management policy. Based on the follow up questions on the interview, the lack of awareness of this policy by those entrusted with records, could be the fact that it was not properly disseminated and, subsequently properly implemented. If those that are entrusted with WSU records in various divisions are not conversant with records management policy as it is only known by managers, one therefore one can say there is no viable records management programme in this institution.

The National Archive and Records Services of South Africa emphasizes the development of records management policies which regulate records management activities. The law further states that the policy should articulate all aspects of the identification, security, safe custody, disposal and retrieval of records. The existing literature shows that Harvard University have approved policies on retaining and disposing of records to enable their offices to make informed decisions about their record. The literature further reveals that in South Africa the University of Cape Town in the Western Cape, for instance has got approved policy on their records management, available on their university website and its purpose is to manage university's official records in a manner compliant with legislation, in such a way as to best serve its operational and business requirements, preserve institutional memory, and manage risk effectively (UCT Records Management Policy 2012).

This further confirms what Akussah (1996) stated when debating the recordkeeping situation in Ghana, where he argued that the root of the problem of records management in Ghana, is the lack of a comprehensive policy, resulting to employees not to being aware of how to take care of different types of records.

The question was asked in both the questionnaire and interview on the awareness of the existing laws that govern records [Section D (4.3.4):36], and all 29 respondents (100%) accepted lack of awareness with the laws. This response evidently suggests that there is no compliance with the law regarding the records keeping in this institution. However, through interviews one could see that the problem is not intentional negligence but rather lack of awareness, coupled with ignorance on the side of managers regarding the significance of the state regulations on records management. This further talks to the findings asserted previously on policy only known to managers and not those entrusted with records on daily basis, which not only affects holistic approach to manage WSU records throughout their life cycle, but also compliance with law.

Furthermore, is the issue of access through significant pieces of legislation which are Promotion of Access to Information Act 2 of 2000 (PAIA) which states that the public has a right to information and Protection of personal information act 4 of 2013 (POPIA). These two pieces of legislative form part of access policy that this university lacks and which suggest that there is no compliance. Individual or university confidential information is at risk because one can approve or prohibit information which was either meant to be withheld or given out. This ignorance by managers on the imperativeness of this legal document adversely affects the management of records management of this university. (ISO15489, 2001) standards articulated principles and guidelines on how institutions should manage their records. As a result South Africa developed its own standards (SANS 15489) in line with international standards. Educating the university on the awareness or implementation on the importance of a records management policy and procedures is consequently essential (Coetzer, 2012)

5.2.4 Research Question four: What are the constraints, if any, in managing records at NMD Campus of WSU?

Akussah, et al (2017) observed that the root of the problem of records management could be traced to the lack of a comprehensive policy and management components regarding an integrated holistic approach to the management of the whole cycle of records. Writing in support of the above assertion, Ibiam (2004) noted that "many years of neglect had done great damage to the education sector and record keeping is not an exemption".

The responses from the questionnaires revealed that all 29 respondents highlighted that all the suggested possible challenges were actually the constraints they are facing [Section E (4.3.5):37]. The respondents were further allowed to present additional challenges they face in managing records. It is evident from this that there are serious records management challenges coupled with tremendous volumes of records (including active, semi active and inactive records) kept in offices, affecting space and leading to loss of records due to weak communication of the policy and lack of procedures to the employees dealing with records.

In his view, Iginodala, (1998) believes that personnel (secretaries and filling clerks) who maintain the registry system with filing cabinets containing the paper evidence of university business are inadequate and in fact ignorant of their responsibilities. This calls to question the reliability and authenticity of records kept in such a system. Giving credence to this Afolabi (1999), Awe (2000), Ututlu (2001), Egwunyenga, (2005), Oketunji, (2002) and Egunleti, (2000) asserted that record management practice has a number of problems. This may include insufficient skilled and inexperienced record management personnel and lack of record manual and filing guidelines which lead to loss of vital information and inadequate computer terminals,

others are difficulty in record retrieval and lack of appreciation by management and staff of the need for well controlled records. He accused these bodies of being responsible for unavailable, inaccurate/incomplete and dishonest records. These adversely affect planning for and provision of structures and facilities, adequate finding, proper formulation and review of policies. The result of these studies point to the fact that there are a number of problems associated with record keeping in the African Universities and in South African Universities where there is a lack of a proper records management policy Coetzer (2012), and limited knowledge relating to access to information, and desirable controls at each stage of the records life cycle (Chinyemba & Ngulube (2005)).

5.3 Summary

The findings of this study have revealed that WSU falls below the requirements when it comes to records management programme, on maintaining records that document its business activities, the findings also showed that the infrastructure in place for management of Walter Sisulu University records were inadequate to archive records management programme. The desirable controls at each stage as required by the records life cycle and records continuum model were found to be inadequate, as well as knowledge of existing legal requirements. Walter Sisulu University has to take into consideration the importance of records management programme as it is regulated by NARSA. The ignorance of this rule led the institution not to understand the need of formulating records management policy, as a result there are gaps and overlaps identified in terms of existing records keeping compared to the manner in which they currently manage their records.

The lack of skilled or qualified records keeping staff, resulting to improper and poor management of records, has to be addressed. Raising awareness about the

importance of a records management programme, policies and procedures is therefore essential.

CHAPTER 6 – SUMMARY, CONCLUSION AND RECOMMENDATIONS

6.1   Introduction

This chapter presents the summary, conclusion and recommendations of the study based on the findings and literature review in the previous chapters. The aim of the study was to investigate records management programmes at Walter Sisulu University using Nelson Mandela Drive Campus as a case study. The summary and conclusions were drawn from the objectives, research questions and findings of the study.

6.2 Summary of findings

6.2.1   What types of records management programmes exist at the Nelson Mandela Drive campus of the WSU?

Walter Sisulu University generates volumes of records on daily basis as a result of numerous activities that take place in this institution of higher learning. These records require a systematic control from their creation/receipt through their processing, distribution, organization, storage and retrieval to their ultimate disposition. However the findings from chapter 4 reveal a lack of records management programme as records are kept permanently irrespective of stage (active, semi-active and non-active records). As a result old or obsolete records are kept together with active records in an active registry. This further suggests that there are no functional records management programmes at WSU.

6.2.2 What infrastructure is available for management of records at the Nelson Mandela Drive campus of the WSU?

The findings revealed that much as those dealing with records are literate, they lack professional qualification in records management and lack of training was also

identified. It has been discovered that this university does not have a Records Centre nor Archives as a result records are kept in offices indefinitely.

6.2.3 Do existing records management programmes at the Nelson Mandela Drive Campus of the WSU comply with the required legal and regulatory frameworks?

The findings indicated a lack of proper policy as well as awareness of the existing legislatives which regulate proper recordkeeping. This clearly indicates that WSU will not comply with existing legislatives, and there is no clear guidance on how their records are managed due to lack of policy.

6.2.4 What are the constraints, if any, in the management of records at the Nelson Mandela Drive Campus of the WSU?

There are a number of challenges such as unavailability of archival buildings, unskilled personnel entrusted with management of records, improper control measures against natural and man-made disasters, difficulty in retrieving records, and inadequate access to policies and procedures highlighted by respondents in managing WSU records. This begs a question of whether records management forms an integral part, and consequently strategic plan, of this institution.

6.3   Conclusion

This study was commenced in order to investigate the records management programmes at Walter Sisulu University using Nelson Mandela Drive Campus as the case study. The study revealed that the manner in which records are managed in this university is not in line with recordkeeping practice as enshrined in National Archives and Records Services Act 43 of 1996. Therefore it does not have a functional records management programme.

6.3.1 What types of records management programmes exist at the Nelson Mandela Drive campus of the WSU?

The results of records kept permanently in individual offices and not in appropriate storage facilities such as Records Centre, poses danger of WSU losing vital records which will be as a result of manmade or natural disasters. The results indicated that it takes a day up to a week to retrieve records due to inadequate systems which adversely affect service delivery. Vital electronic records are kept on individual laptops and desktops which begs a question of security if it can be lost or damaged and there is no electronic document and records management systems (EDRMS) which is the proper records management systems.

The findings may help improve the services and resources used, to enable orderly, efficiently management of the university and in an accountable manner i.e. the entire records management system. It may help address the infrastructure component at large and this will enhance service delivery. Based on the existing literature universities in developed countries such as Oxford Brooks, Harvard and Melbourne University have long recognised the importance of recordkeeping and as such have established Records Management Programmes (Skemer and Williams (1990), Burckel and Cook (1982), Melbourne University (2012)).

6.3.2 What infrastructure is available for management of records at the Nelson Mandela Drive campus of the WSU?

The lack of proper infrastructure on records management at WSU, such as unavailability of archival buildings, unskilled personnel entrusted with management of records, improper control measures against fire, inadequate access policies and procedures appears to threaten protection and loss of corporate memory.

Recommendations may be made for providing training for skills and competences for the staff dealing with records.

6.3.3 Do existing records management programmes at the Nelson Mandela Drive Campus of the WSU comply with the required legal and regulatory frameworks?

Walter Sisulu University functions on laws and forgets to put into consideration other relevant significant laws. The findings from the interviewed managers as well as all participants indicated lack of awareness of relevant legislations that regulate proper records management. It is important to examine and check the university's compliance with policies, procedures and strategies by doing a records management system. The study have also established that the university has no proper communication on records management policy. Such a policy will define the scope of records management and the responsibilities of discharging the functions effectively as well as aims to set up the principles from which procedures can be implemented. Despite claims by some of managers who were interviewed that confirmed the availability of records management policy known to all staff. Therefore the findings may influence in policy formulation of records management programme of Walter Sisulu University and ensure compliance with judicial directives on records management.

6.3.4 What are the constraints, if any, in the management of records at the Nelson Mandela Drive Campus of the WSU?

The study also identified a number of challenges on managing WSU records such as lack of space, loss of records, lack of proper classification, difficulty to retrieve, inadequate filing equipment lack of policy, lack of training, shortage of staff etc. Therefore the findings will improve perception of those who manage, as well as

users of records and about the importance of records management programme. This study may add knowledge to the existing literature.

6.4 Recommendations

In light of the above summarized conclusion according the objectives of the study, the following are the recommendations that the university needs to put into consideration:-

6.4.1 Implementation of a centralized Control of Decentralized Registry System (Integrated Registry System)

This structure will provide procedure to records creation to maintain records uniformity for a big institutions like WSU which is born out of merger of three legacy institution and operates on a divisional model. It will also ensure security and preservation of records is maintained according to the policies set by the University. A suitable campus-wide records management system such as Onbase or ImageNow Software system would be advantageous in managing electronic records (EDRMS).

6.4.2 File Plan

The University should consider developing a file plan which will comprehensively outline records series, file organization, active file locations, file transfer locations, file retention and disposal. File Plan also provides other specific instructions, guidance for effective records management. It can only be implemented when the university considers a records management system, which includes information audit, essentially done to understand the processes and operations of the university. File plan can be suitable to manage Governance and Administrative records.

6.4.3 Records Infrastructure

There should be identification of proper records or archival building to preserve and separate records with historic/enduring value. The university should consider appointing Records Manager, within the Registrar's division, whose function will be to oversee and provide standardized institutional management of records. Furthermore seeing the complexity of this university with multiple campuses geographically dispersed across Eastern Cape Province, there should be campus records officers who will provide guidance and proper management of records but accountable to the institutional records manager.

6.4.4 Outreach awareness of records Management Programme

Since WSU is a merged institution with multiple campuses, it is recommended that the appointed Records manager should arrange outreach programmes to educate and provide awareness on the importance of records management. This can be done by providing training on proper records management in each of the four campuses.

6.4.5 Records Management as Integral part of the University

Based on the overall findings in chapter 4 and the existing literature putting into consideration the importance of records management in institutions of higher learning, it is important for managers to consider including RMP in the university institutional strategic plan.

6.5 Suggestions for further research

The study investigated the status records management programmes of Walter Sisulu University using Nelson Mandela Drive Campus. The study surveyed support services in both academic and administration sections and selected managers from

the university. The study identified several issues which could be a subject of further investigation by records management researchers. There is a need for further studies of this kind in other Universities and TVET Colleges in the Eastern Cape Province in order to establish the practices and procedures there.

6.6 Final Conclusion

The findings of this study concurs with the findings of researchers like Choongo (1998), Coetzer (2012), Chinyemba and Ngulube (2005) who argued that the management of university records has been largely neglected. This includes lack of knowledge relating to access to information, and desirable controls at each stage of the records life cycle. It has been discovered that WSU keeps all their generated records in individual offices and permanently which diverges from the major stages of records life cycle.

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APPENDICES

Appendix A

Dear Acting Research Director

Kindly be advised that I am a student at University of Fort Hare studying Masters in Library and Information Science (**Records Management and Archives**). My research seeks to "Investigate Records Management Programmes at WSU using Nelson Mandela Drive Campus in Mthatha as a case study" Attached is the Clearance Certificate from the University of Fort Hare which allows me to conduct this research in order to complete my studies. I therefore request a go ahead to conduct this research.

 Regards

Ms N Giba

Appendix B

University of Fort Hare

Together in Excellence

ETHICAL CLEARANCE CERTIFICATE
REC-270710-028-RA Level 01

Certificate Reference Number: KHA081SGIB01

Project title: **The Investigation of Records Management Programme of Walter Sisulu University: Case study of Nelson Mandela Drive Campus.**

Nature of Project   Masters in Library and Information Science

Principal Researcher: Nozipho Giba

Supervisor: Mr F.E Khayundi
Co-supervisor: N/A

On behalf of the University of Fort Hare's Research Ethics Committee (UREC) I hereby give ethical approval in respect of the undertakings contained in the above-mentioned project and research instrument(s). Should any other instruments be used, these require separate authorization. The Researcher may therefore commence with the research as from the date of this certificate, using the reference number indicated above.

Please note that the UREC must be informed immediately of

- Any material change in the conditions or undertakings mentioned in the document
- Any material breaches of ethical undertakings or events that impact upon the ethical conduct of the research

The Principal Researcher must report to the UREC in the prescribed format, where applicable, annually, and at the end of the project, in respect of ethical compliance.

Special conditions: Research that includes children as per the official regulations of the act must take the following into account:
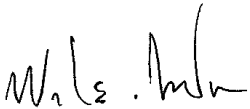
Note: The UREC is aware of the provisions of s71 of the National Health Act 61 of 2003 and that matters pertaining to obtaining the Minister's consent are under discussion and remain unresolved. Nonetheless, as was decided at a meeting between the National Health Research Ethics Committee and stakeholders on 6 June 2013, university ethics committees may continue to grant ethical clearance for research involving children without the Minister's consent, provided that the prescripts of the previous rules have been met. This certificate is granted in terms of this agreement.

The UREC retains the right to

- Withdraw or amend this Ethical Clearance Certificate if
  o Any unethical principal or practices are revealed or suspected
  o Relevant information has been withheld or misrepresented
  o Regulatory changes of whatsoever nature so require
  o The conditions contained in the Certificate have not been adhered to

- Request access to any information or data at any time during the course or after completion of the project.

- In addition to the need to comply with the highest level of ethical conduct principle investigators must report back annually as an evaluation and monitoring mechanism on the progress being made by the research. Such a report must be sent to the Dean of Research's office

The Ethics Committee wished you well in your research.

Yours sincerely

Professor Wilson Akpan
Acting Dean of Research

20 June 2017

Appendix C

DIVISION OF ACADEMIC AFFAIRS AND RESEARCH
DIRECTORATE OF RESEARCH DEVELOPMENT

Nelson Mandela Drive
Mthatha Campus
Private Bag X1
MTHATHA 5117
Tel: + 27 47 502 2947/2647
Fax: +27 47 502 2185

Web Fax: 0866 541 093
E-mail: ecishe@wsu.ac.za
bandlac@gmail.com

Buffalo City
Potsdam Campus
EAST LONDON
Tel: + 43 708 5444
Fax: + 43 708 5458

07 November 2017

Ms N Giba
University of Fort Hare
South Africa

Dear Sir

Re: Request to conduct a Research study at Walter Sisulu University

Permission is hereby granted for the study entitled **The investigation of Records Management Programmes of Walter Sisulu University: Case Study of Nelson Mandela Drive Campus**, provided that copies of your completed study will be submitted to the Campus Rector of the campus in which the study will be conducted and the Directorate of Research and Development

All data pertaining to Walter Sisulu University will be treated confidentially and you are required to abide by ethical principles. Finally, you will seek consent from the participants.

Regards

Dr. E.N. Cishe
Acting Director: Research Development

Walter Sisulu University

Appendix D

RECORDS MANAGEMENT AND ACHIVES QUESTIONAIRE

I'm Ms Nozipho Giba, studying Masters in Library and Information Science (Records Management and Archives) at University of Fort Hare. This research study seeks to investigate Records Management Programmes at WSU using the Nelson Mandela Drive Campus in Mthatha as the case study. The aim of the study is to establish if WSU records are managed according to the existing legislation and standards that regulates record keeping in public and private institutions of South Africa, it will further assist the WSU to enhance services and resources used in the entire records management system. This research is intended for those dealing with WSU records on day-today basis. Therefore, the researcher humbly implores your full participation during this exercise.

NB: Kindly note that this is a voluntary participation and one can choose to withdraw anytime. The researcher will also ensure anonymity and confidentiality by not identifying the respondents. It is also worth noting that the results of this research will be published in thesis as well as DHET Accredited Journal

1. What is your position in the university?

Senior Director		Director		Manager		Senior Officer	
Officer		Dean		HOD		Secretary	
Admin Assistant							

2. Length of service in current position?

1-5		6-10		10-15		16-25		26-30		30-40	

3. What is your department?

4. What is your highest qualification?

PhD	MSc	Hons	Degree
Diploma	Certificate	Other	

5. What is your Division?

Senior Management	Support	Faculties

6. Do you keep records in your division?

Yes		No	

7. What type of records generated by your department? (just tic)

Administrative records	**Records other than administrative**
Governance, Management	
Human Resources	Microfilm
Finances	**Audio-electronic** (such as CD's and DVD's)
Facilities	
Branding	**Paper** (photo's, maps, charts)
Marketing & Communication	**Electronic** (e.g. computerized financial, human resource and student systems).
Student administration	
Systems and affairs	
Teaching-learning	
Research	
Implementation of expertise	

8. Does your office have list on open files?

Yes		No	

9. Do you classify your records in your division?

Yes		No	Other

10. What type of records classification systems do you have?

Alphabetically	Numerically	Alpha-numerically	Geographically	Per year
Reference numbers	Colour coded	Other		

11. Does your office have register of Disposal Authorities?

Yes		No	

12. Where do you keep records generated from your office?

Office	Records Centre	Archives

13. How long do you keep your records?

1-5years	6-10years	11-20years	Permanent

14. Where are the records kept in your office?

Shelves	Cabinets	Lockable	Registry	Boxes

Storages	Electronically			

15. How do you retrieve records?

By using file plan	By searching

16. How long does it take for you to retrieve records?

Hours	Day	Week

17. Where do you keep your semi-active and old records?

Kept in office	Transfer to Records Center/Archives

18. Does the university have Records Center/Archives?

Yes	No

19. Who keeps records in your division?

Director	Manager	Senior Officer	Secretary	Admin Assistants

20. Do you have a professional qualification in records management?

Yes	No

21. Since you started working in this position, have you been trained for keeping records in your division?

Yes	No

22. Who is the custodian of WSU records?

Specify	

23. Do you have a system to keep documents?

Yes	No	Not sure

24. If yes, which system?

25. Do you have off-site storages?

Yes	No

26. When last did your office transfer records to off –storage site or university storages?

1-5years	6-10years	11-20years
Never Done		

27. How do stakeholders (internal and external) access records in your department?

Upon approval	Without approval

28. Who approves access for requests?

VC	
Register	
Director	
Manager	
Dean	
HoD	
Secretary	

29. Do you have high risk or confidential records?

Yes	No

30. Where do you keep your confidential records?

31. What are the control measures over confidential records?

32. Where you keep your record (both physical and electronic) do you have the following?

Air Condition	Dim Lights	Fumigation	Fire-fighting equipment	Dust Trappers
All of the above	None of the			

	above			

33. How often does your office fumigated?

1-3Months	6-12Months	None	1-2Years
None			

34. Measures taken to protect records natural and man-made disaster?

Natural Disaster Rain Wind Storms Floods Biological Agents Earthquakes, etc.	**Man-Made** Fire Water-Leaks Building Deficiencies Power Failures, etc.	

35. What informs record keeping in your division?

36. Are you aware of the relevant legislations which regulate records management

in South Africa?

Yes	
No	
If yes, specify	

37. What challenges do you have in managing records in your division?

Space	Loss of records	Difficult to retrieve	Policy	Budget
Lack of training	All of the above	Shortage of staff	Lack of classification	Inadequate filing equipment
All of above				