RECORDS MANAGEMENT PROGRAMS IN HIGHER LEARNING INSTITUTION: CASE STUDY OF NELSON MANDELA DRIVE CAMPUS WALTER SISULU UNIVERSITY, SOUTH AFRICA

Nozipho Giba-Fosu*	Walter Sisulu University, East London, South Africa	ngiba@wsu.ac.za

* Corresponding author

ABSTRACT

Aim/Purpose	The main aim of this study was to investigate the status of records management program at Walter Sisulu University (WSU) using the Nelson Mandela Drive Site of Mthatha Campus as a case study.
Background	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. The core functions of a university are learning, teaching, research and community engagement, and in order to carry out these functions records are created and received. Records therefore, constitute an essential instrument of administration of any institutions without which operational processes and functions cannot be executed (Kendall and Mizra, 2006). Thus, a proper and efficient managing of records is critical to functioning and administration of institutions. Council of Higher Education (2000) pointed out that record keeping in the higher education institutions in South Africa was inadequate. Effective records management in universities in the Eastern Cape has not been adequately documented. Hence, this study investigates the records management program that exists 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.
Methodology	This study may have influence in policy formulation and compliance with the judicial directives on records management program of universities. It may also help improve service delivery, by enabling orderly, accountable and efficient management of universities records.

Contribution	This study may have influence in policy formulation and compliance with the judicial directives on records management program of universities. It may also help improve service delivery, by enabling orderly, accountable and efficient management of universities records.
Findings	The major findings of the study revealed WSU fell below the requirements in terms of records management program 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.
Recommendations for Practitioners	Based on the findings, the following recommendations were made. Effort should be made to implement a Centralized control of Decentralized Registry System (Integrated Registry System), provision of training of staff, as well as proper infrastructural facilities to manage WSU records that document its business activities.
Recommendation for Researchers	There is a need for further studies of this kind in other Universities, Technical and Vocational Education (TVET) Colleges in the Eastern Cape Province in order to establish their practices in managing records that document their business activities.
Impact on Society	The research will assist to highlight to administrators, policy makers of universities that proper records management could help universities to manage their information efficiently, fulfill their mandate, protect them from litigation, preserve their corporate memory, and foster accountability and good governance.
Future Research	A study to check the readiness of institution of higher learning to manage electronic records that documents their business activities in the 21st Century digital era will be vital in this context.
Keywords	Records management, institution of higher learning, administration, Walter Sisulu University (WSU)

INTRODUCTION AND BACKGROUND

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. The core functions of a university are learning, teaching, research and community engagement, and in order to carry out these functions records are created and received. Records therefore, constitute an essential instrument of administration of any institutions without which operational processes and functions cannot be executed (Kendall and Mizra, 2006). Thus, a proper and efficient managing of records is critical to functioning and administration of institutions. A records management program is a framework that provides broad management control over an organization's records (Ims 1989). Khumalo and Chigariro (2017) argue that Records management program provides a primary means of creating and disseminating knowledge, training, and tools about best practices in creating and managing all types of institutional records. In spite of decades of discussions, analysis, and studies by University Archivists, there are still no official standards for university archives and records management programs (Schiner & Wells 2002). The ISO15489 (2001) provides a practical design and implementation methodology on the introduction of a sustainable Records Management Program to meet organizational requirements. It further emphasizes that this methodology is valid both for the establishment of a Records Management Program as a whole and for the development of particular systems within it. 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. Records management has enormous role virtuous in the running of higher institution of

learning such as a university because 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. Records support decision-making, document general operational activities, provide evidence of policies, decisions, transactions and activities, and support the university in cases of litigation. Thus, it is imperative for all universities to be responsible in ensuring proper care and management of its records. Organizations without a Records Management Program (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 program 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. The Council of Higher Education of South Africa (2000) have acknowledged that higher education information systems were inadequate. The works of Choongo (1998), Kemoni and Wamkuya (2000), Mnjama 2000, Uwaifo (2004) and other researchers has also confirmed that management of university records in South Africa and Africa in general has been widely neglected. In South Africa, the 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 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) and Pember (1998) 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 in South Africa, therefore university as a government institution has 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. Records management programs 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. According to ISO 15489 (2001), for a RM program 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 program forms integral part on the institution in ensuring proper care and management of its records. 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. Walter Sisulu University (WSU) is a government-funded university by Department of Higher Education and Training, and like any government funded university WSU has an obligation to comply with the stipulated laws. WSU in fulfilling its core functions as a university 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).

BRIEF POLITICAL HISTORY OF SOUTH AFRICAN UNIVERSITIES AND WALTER SISULU UNIVERSITY

The former apartheid system of government in South Africa led to the establishment of racially segregated universities in terms of white, black, coloured and Indian. The system crafted especially the former black universities to be inferior in all aspects to other racially universities. This led to black universities established in former black homelands to be under resourced and disadvantaged (CHE 2005). Walter Sisulu University is situated in the province of the Eastern Cape which is one of the under developed province among the nine province in South Africa as a result of the then apartheid rule. It serves mostly the former Ciskei and Transkei homelands which are predominately the disadvantage black population. This institution was established in 1974 as a branch of Fort Hare University. It was then changed in 1976 to be the University of Transkei, in 2005 it was merged with the two legacy institutions which are former Eastern Cape Technikon in Butterworth, that has branches in Mthatha and Queenstown. Former Border Technikon, which is located in East London. The three legacy institutions constituted WSU. Walter Sisulu University comprises of four Campuses which are: Buffalo City Campus in East London, Ibika Campus in Butterworth, Queenstown Campus which is in Queenstown and Nelson Mandela Drive Campus in Mthatha. This university is named in honour of the late Walter Sisulu, a much-admired and one of the prominent leaders of the struggle for democracy in South Africa. Its complexity makes it to be the largest University in Eastern Cape with a very rich historical and political background. It comprises of nine Delivery Sites located in various towns within Eastern Cape. WSU is a public university and it has a student population of around 26,700 and a staff component of approximately 2,000. In articulating its mission, states that it is "committed to academic excellence, innovation in research and critical engagement with society" (University of Walter Sisulu 2005). Carrying out these activities results in the evidence regarding the university fulfilling its statutory functions. If such records are not properly managed or misplaced, then valuable evidence would be lost forever. Nelson Mandela Drive campus in Mthatha is the main campus of WSU and it is where the university Registrar and his office situated, who is supposed to be the legal custodian of all university records. Statutory bodies and their subcommittee records that govern the university are also kept in this campus. However, there is no identified archival building that keeps the records. A fieldwork study conducted by the researchers in 2013 at Walter Sisulu Uni-

versity 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 background seemed to lack systematic records management programs.

PROBLEM STATEMENT

The works of Ngulube & Chinyemba (2005), Coetzer (2012) and others indicate that there are few universities in South Africa that have viable records management programs. The existing literature has revealed that some of the universities have poor records management programs (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. Thus, this study to investigate the records management programs 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.

OBJECTIVES OF THIS STUDY

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

1. Find out the infrastructure available for management of records at Nelson Mandela Drive campuses in WSU.
2. Determine compliance with the required legal and regulatory frameworks by the existing records management programs at the Nelson Mandela Drive campuses at WSU.

LITERATURE REVIEW

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 Programs (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). 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 programs in universities in the United States and Canada. The findings revealed that records and archives management programs were formalized and that there were policies, procedures and activities monitored by a high-level committee.

OVERVIEW OF RECORDS MANAGEMENT PROGRAMS IN AFRICAN UNIVERSITIES, SOUTH AFRICAN IN PARTICULAR

On the contrary, records management programs in African universities have not been widely documented as it is in the developed countries. Existing literature indicates that although there are records management programs in various universities in Africa some of these programs are faced with problems (Uwaifo 2004, Wema 2003). For example, although National University of Science and Tech-

nology in Zimbabwe offers Records Management degree, however it does not have a records and archives management program 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). 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. 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 that 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 program in place, duplicates of records will continue to occupy space that 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. 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) 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.

RECORDS MANAGEMENT PROGRAMS IN RACIAL UNIVERSITIES IN SOUTH AFRICA

Records management programs exist in some universities in South Africa. For instance, the University of Cape Town formerly white university 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, (also former white) 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 pub-

lished and unpublished materials that document the history of the University, minutes, correspondence, reports, publications produced by University staff (and students) in pursuit of their official responsibilities (Rhodes University Archives, 2017). According to Coetzer (2012) in a study on the status of records management at the University of Zululand (former black university), 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 (former predominately Indian university) showed that there is limited knowledge relating to access to information, and desirable controls at each stage of the records life cycle. Studies also revealed that records management unit has been in existence at University of Western Cape (former predominately Colored University) since 2008. 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 service's 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.

METHODOLOGY

CONCEPTUAL FRAMEWORK

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 program at the Walter Sisulu University. The theoretical framework assisted the researchers to asses WSU's records 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. 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 researchers to determine the essential records that Walter Sisulu University should maintain have used the functional framework for analysis and the list of records maintained by other universities such as University of Melborne (2001). Records Continuum is a consistent and coherent regime of management processes from the time of the creation of records (and before creation, in the design of recordkeeping systems) through to the preservation and use of records as archives (Xiaomi 2003). This theory unlike records life cycle theory it looks at the records broadly even beyond disposition (functions of records manger) but also throughout their life after disposition by transfer to archives (function of Archivist). This theoretical approach can be articulated as a paradigm shift from the traditional demarcation of Records Life Cycle, which seeks to cut across the boundaries between the functions of the records manager and the archivist. The Records Continuum model can be used as a theoretical foundation for studies dealing with the management of both paper-based and electronic records. The model consolidated the eight stages of the Records Life Cycle concept into four stages, namely: creation, classification, scheduling and maintenance, and use of information (Atherton, 1985). This theory assisted the researchers when looking at the records holistically i.e. beyond the disposal stage either by retention or destruction seeing that some universities have records that are deemed to have permanent value for example student records, staff records and records pertain the history or heritage of the university which therefore requiring infrastructure to manage, keep, secure and also can be legal admissible as evidence in litigation.

RESEARCH APPROACH

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. 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 researchers 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 analysis of data was done using Microsoft Excel Package for the descriptive statistics for the quantitative data gathered through the questionnaire and thematic analysis related to the qualitative data gathered through the interview.

RESULTS AND DISCUSSION

RESULTS OF QUANTITATIVE DATA

To accomplish the objectives of this study, the descriptive analysis was employed to describe the demographic profile of the respondents (Table 1). 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 six (6) officers (20.69%) made out of 2 senior officers (6.9%) and 4 officers (13.79%). The least were administrative assistants (6.90%). Table 1 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). 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. Table 1 shows that most participants (55.20%) have Diploma as their highest qualification, followed by Certificates (17.24%) and those with Honours 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.

Table 1: Demographic profile of the respondents (N=29)

Position	Frequency	Percentage
Senior Officers	2	6.90%
Officers	4	13.79%
Secretary	21	72.41%
Years of Experience	Frequency	Percentage
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%
Department	**Frequency**	**Percentage**
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%
Department	**Frequency**	**Percentage**
PhD	2	6.90%
Masters	1	3.45%
Hons	3	10.34%
Degree	2	6.90%
Diploma	16	55.20%
Certificate	5	17.24%
Total	**29**	**100%**

Table 2 illustrates the respondents experience and the availability infrastructure in regard to record management. As it shown most departmental records are kept by the secretaries (82.76%) followed by directors at 10.34% followed by managers (6.90%). Unfortunately, all the respondents in this study neither have professional nor training in the record management. In the meantime, the respondents were aware that records belong to the university. However, they were not aware of the custodian of WSU records. The majority of respondents indicated that there is no system for keeping their records among them, nine (9) stated that there are no proper systems in place, and eight (8) respondents were not sure if there are proper document management systems. About 41.38% of them confirmed that there is ITS system in place to keep their records. When the respondents were asked about the off-site storage and being provided by the list for off-site storage, they were not aware of such a system, which is consistent with their response that this university does not have a records centre or archival building.

Table 2: Infrastructure Availability for Record Management

Person in charge with record keeping	Frequency	Percentage
Director	3	10.34%
Manager	2	6.90%
Senior Officer	-	-
Secretary	24	82.76%
Admin. Assistant	-	-
Availability of System to Keep Records	Frequency	Percentage
Yes	12	41.38%
No	9	31.03%
Not sure	8	27.59%
Availability of Off-site Storage	Frequency	Percentage
Yes	-	-
No	29	100%
Total	29	100%

Table 3 presents the records accessibility by the respondents. All of the respondents indicated that indicate that they can have an access to the records upon approval. 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. Total of 100% of them stated that the records are confidential and will not be disclosed to anyone except those persons requiring the records for a legitimate purpose. The participants were given a list of options to choose from and the results indicate for the majority of respondents (58.62%), it takes about 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. When the respondents were asked about the security and control measure, the results indicate that all 29 respondents keep their records on laptops/desktops with security passwords to protect confidential information. In addition, all the respondents confirmed that there is no "Records Centre" or "Archives" in the university and all their records irrespective of phase as per records life cycle are kept in offices. This information led the researchers to ask about the safety of the records against natural and mad-made disaster however, all respondents confirmed that there are no adequate protection measures of records against natural and man-made disasters.

Table 3: Records Accessibility

Person-in-charge to approve the access	Frequency	Percentage
VC	-	-
Registrar	8	27.59%
Director	12	41.38%

Manager	17	58.62%
Dean	10	34.48%
HOD	15	51.72%
Secretary	-	-
Time to retrieve the record	**Frequency**	**Percentage**
Day	12	41.38%
Week	17	58.62%
Total	29	100%

The results from Table 4 present if the existence of the records management programs at Nelson Mandela Drive Campus of WSU comply with the required legal and regulatory frameworks. 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. However, when the respondents were asked about their awareness of various laws, prescripts guiding records keeping in South Africa, their responses unfortunately were negative.

Table 4: Compliance with the required legal and regulatory frameworks

Record keeping practice is based on …	**Frequency**	**Percentage**
Policy	-	-
Practice	29	100%
Awareness of Legislation that regulates Records Management in South Africa	**Frequency**	**Percentage**
Yes	-	-
No	29	100%
Total	29	100%

RESULTS OF QUANTITATIVE DATA

In order to conduct the quantitative analysis, a structured interview was conducted from the managers from the selected divisions. 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 and appointments were arranged by the researcher to meet with three managers within the strategic divisions. The following questions were posed to the managers within the institution.

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.

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.

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

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

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.

What do you think of the sustainability of this policy?

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

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"

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" and "Views of the stakeholders about the policy to be considered so there could be no struggle to implement."

What mechanisms do 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.

Are you aware of the law that governs records? All interviewed managers said "no".

If yes, which law? Not applicable.

Access and Security of WSU records

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

Manager 2: "Centralize sensitive information on appropriate software"

Manager 3: "They felt that there is a need for proper infrastructure which will conform to the nature of the University."

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.

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.

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."

DISCUSSION

The research works by Mnjama (2005); Ngulube and Tafor (2006) suggest that although there is existence of records management program in various universities in South Africa some of these programs 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. This study set out to investigate record management program at WSU using Nelson Mandela Drive Campus as a case study. The study focused specifically on infrastructure available for managing WSU's record and also explained whether WSU's records management currently in place compliance with the legal and regulatory frameworks in managing public records in South Africa. The results emanating from the study reveals that there are gaps in the current records management program in place for managing WSU's records. The findings 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; but they do not possess any professional qualification in records management. 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 record management program. The question was asked on the availability of policy 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 program 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, 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. The question of time it takes for staff to retrieve records, in which the common response is two days to a week has also added as a challenges in retrieving records timeously which can adversely impact the service delivery of this university. The question of training for records management 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 indication that those entrusted with keeping WSU records will experience challenges in keeping university records properly. The discovery emanated from the study was that, WSU does not have 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 manners 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 that was not appropriate for records as fire and water leakages could emanate from the food outlet.

CONCLUSION AND RECOMMENDATION

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 not been effective and efficient. This includes lack of knowledge of existing legislations in place relating to records keeping in public institutions for instance in terms of 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. Educating the university on the awareness or implementation on the importance of a records management policy and procedures is consequently essential (Coetzer, 2012).The study investigated the status records management programs 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.

REFERENCES

Abu-Hussin, M. F., Johari, F., Hehsan, A., & Mohd Nawawi, M. S. A. B. (2017). Halal purchase intention among the Singaporean Muslim minority. *Journal of Food Products Marketing*, *23*(7), 769-782.

Akussah, H. (1996). Records management in Ghana: an overview. *African Journal of Library Archives and Information Science*, *6*, 101-106.

Asogwa, B. E. (2012). The challenge of managing electronic records in developing countries. *Records Management Journal. 22*(3).198-211

Asogwa, G. E. (2004). Library records and maintenance, Nigerian Library Link. *A Journal of Library and Information Science*, *11*(1), 88-93.

Atherton, J. (1985). From life cycle to continuum: some thoughts on the records management–archives relationship. *Archivaria*, *21*, 43-42.

Babbie, E., & Mouton, J. (2001). The practice of social research: South African edition. *Cape Town: Oxford University Press Southern Africa*.

Baje, E. N. (1998). Records management Program in Oyo State Civil Service, a study of Governor's office. *unpublished MAS thesis, Ibadan*, *36*.

Bakkabulindi, C., & Muhenda, M. B. (2008). Good Governance, Records Management and Ghost Workers in the Ugandan Public Service. Detecting loopholes and identifying inefficiencies in the Ministry of Education and Sports. *International Association of Administrative Sciences*, 14-18.

CHE, (2005). Annual Report of the Council on Higher Education 2004/2005, January 2005

Chinyemba, A. (2002). Management of university records: A case of the University of Natal. *MIS Thesis. Pietermaritzburg: University of Natal*.

Ngulube, P. (2005). Managing records at higher education institutions: a case study of the University of KwaZulu-Natal, Pietermaritzburg Campus. *South African Journal of information management*, *7*(1), 1-1.

Council on Higher Education (South Africa). Shape and Size of Higher Education Task Team, & Ramphele, M. (2000). *Towards a new higher education landscape: Meeting the equity, quality and social development imperatives of South Africa in the 21st Century*. Department of Education, Council on Higher Education.

Pember, M., & Cowan, R. (2007). Promoting records management and archives research in Australia. *Informaa Quarterly*, *23*(4), 32-36.

Cooper, H. M. (1988). Cooper, Harris M.," Organizing Knowledge Synthesis: A Taxonomy of Literature Reviews," Knowledge in Society, 1 (Spring, 1988), 104-126.

De Wet, E. & Olivier, N. (2011). Case study on the implementation of Records Management at a merged higher education institution. Seminar. Kingsway campus university of Johannesburg.

Djorka, J., & Conneen, S. (1984). Records management as an appraisal tool in college and university archives. *Archival choices. Ottawa: DC Heath and Company*, 19-60.

Duranti, L. (1998). *Diplomatics: new uses for an old science*. Scarecrow Press.

Egunleti, M. F. (2000). Record keeping/management problems in schools. *Record Management Course Manual, Lagos State Public Service, Staff. Magodo. February*, *7*.

Egwunyenga, E. J. (2009). Record keeping in universities: associated problems and management options in South West geo-political zone of Nigeria. *International Journal of Educational Sciences*, *1*(2), 109-113.

Flynn, S. J. (2001). The records continuum model in context and its implications for archival practice. *Journal of the Society of Archivists*, *22*(1), 79-93.

Giba, N. (2013). Permission to access records (personal column) Message to: WSU VC/Administrator, 18th June 2013.

Iguodala WA 1998. Records in Educational Management in Educational Management for Sub-Saharan African. Mon Nwadiani Dimensions of Education Series No 2. Nigerian Society for Educational Planning (NSEP) Monose Amalgamates

Iwhiwhu, E. B. (2005). Management of records in Nigerian universities: Problems and prospects. *The Electronic Library*, *23*(3), 345-355.

Johnson, R. B., & Christensen, L. (2019). *Educational research: Quantitative, qualitative, and mixed approaches*. SAGE Publications, Incorporated.

Kahn, R. A. (2004). Records management & compliance: making the connection. *Information Management*, *38*(3), 28.

Kanzi, N. (2010). *An investigation of the role of records management with specific reference to amathole district municipality* (Doctoral dissertation).

Kaczmarek, J. (2006). Establishing a university records management program from the inside out. *Archival Issues*, 23-33.

Kemoni, H., & Wamukoya, J. (2000). Preparing for the management of electronic records at Moi University, Kenya: a case study. *African Journal of Library, Archives and Information Science*, *10*(2), 125-138.

Kemoni, H., Ngulube, P., & Stilwell, C. (2007). Public records and archives as tools for good governance: reflections within the recordkeeping scholarly and practitioner communities. *ESARBICA Journal*, *26*(3).

Molai, P., Kyobe, M. E., & Salie, T. (2009). Investigating electronic records management and compliance with regulatory requirements in a South African university. *South African Journal of Information Management*, *11*(1), 1-16.

Khumalo, N. B., & Chigariro, D. (2017). Making a case for the development of a university records and archives management program at the National University of Science and Technology in Zimbabwe. *Journal of the South African Society of Archivists*, *50*, 67-78.

Marshall, P. L. (1996). Multicultural teaching concerns: New dimensions in the area of teacher concerns research?. *The Journal of Educational Research*, *89*(6), 371-379

Mnjama, N. (2003). Archives and records management in Kenya: problems and prospects. *Records Management Journal*.

Mnjama, N. (2005). Archival landscape in eastern and southern Africa. *Library Management*.

Momoti, N. G. (2017). *Records management for an intelligent university: The case of the University of the Western Cape* (Doctoral dissertation, University of the Western Cape).

Makhura, M. M. (2005). *The contribution of records management towards an organisation's competitive performance* (Doctoral dissertation, University of Johannesburg).

Muhenda, M. B., & Lwanga, E. K. (2012). Managing Records in Higher Education Institutions in Uganda: Can Human Resource Policies Salvage the Situation?. *World*, *2*(2), 74-83.

Musembe, C. N. (2016). Records Management in Institutions of Higher Learning: Towards the Business Support Function. *International Journal of Library and Information Science Studies*, *2*(1), 13-28.

Nengomasha, C. T. (2003). Records management in the knowledge management age: The Namibian context. *ESARBICA Journal*, *22*, 64.

Ngoepe, M. (2003). Contemporary ways of keeping records: a challenge for the National Archives and Records Service of South Africa. *Archives News*, *45*(4), 47-48.

Ngoepe, M., & Ngulube, P. (2016). A framework to embed records management into the auditing process in the public sector in South Africa. *Information Development*, *32*(4), 890-903.

Ngulube, P. (2004). Fostering accountability and justice: opportunities for records managers in changing societies. *ESARBICA Journal*, *23*, 23.

Ngulube, P. (2005). Disaster and security management in public archival institutions in ESARBICA region. *African journal of library, archives and information science*, *15*(1), 15-23.

Ngulube, P., & Tafor, V. F. (2006). The management of public records and archives in the member countries of ESARBICA. *Journal of the Society of Archivists*, *27*(1), 57-83.

Tough, A., & Popoola, S. O. (2009). Organizational commitment of records management personnel in Nigerian private universities. *Records Management Journal.*

Punch, K. F. (2013). *Introduction to social research: Quantitative and qualitative approaches*. sage.

Procter, M. (2002). One size does not fit all: developing records management in higher education. *Records Management Journal.*

Mahama, A. V. (2017). Challenges of records management in higher education in Ghana: The case of University for Development Studies. *International Journal of Educational Policy Research and Review*, *4*(3), 29-41.

Schellenberg, T. R. (1956). Modern archives. Principles and techniques.

Schina, B., & Wells, G. (2002). University archives and records programs in the United States and Canada. *Archival Issues*, 35-51.

Kemoni, H. N. (2009). Management of electronic records Review of empirical studies from the Eastern, Southern Africa Regional Branch of the International Council on Archives (ESARBICA) region.

Thurston, A. (1991). Guide to Archives and Manuscripts Relating to Kenya and East Africa in the United Kingdom.(Vol. 1: Official records; Vol. 2: Non-official archives and manuscripts).

Thurston, A., & McIlwaine, J. (1996). Recent activities and current concerns in African archives and records management. *Writings on African archives. London: Hans Zell Publishers*, 2-5.

Ugwunze, V. I. (1992). An examination of records management in the University of Lagos Registry. *African Journal of Library, Archives and Information Science*, *2*(1), 39-46.

Uwaifo, S. O. (2004). Management use of records in Delta state University, Abraka, Nigeria. *Records Management Journal.*

Wamukoya, J. (2000). Records and archives as a basis for good government: implications and challenges for records managers and archivists in Africa. *Records management journal*, *10*(1), 23-33.

Wamundila, S. (2008). *Developing guidelines for a knowledge management policy to enhance knowledge retention at the University of Zambia* (Doctoral dissertation, University of South Africa).

Xiaomi, An. (2003). An integrated approach to records management. *Information Management*, *37*(4), 24.

Yusof, Z. M., & Chell, R. W. (1999). The eluding definitions of records and records management: is a universally acceptable definition possible? Part 2: Defining records management. *Records Management Journal*, *9*(1), 9-20.

BIOGRAPHIES
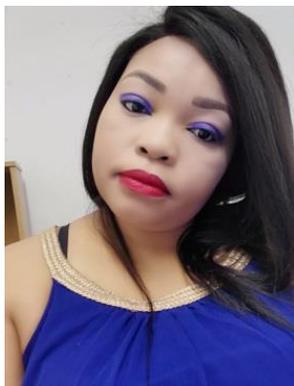
Nozipho Giba- Fosu is a Senior Records Officer in the Registrar's Division at the Walter Sisulu University. She is actively involved in records management in education and in business research.