THE UNIVERSITY OF ZAMBIA

SCHOOL OF EDUCATION

DEPARTMENT OF LIBRARY AND INFORMATION SCIENCE

LIS 4014 RESEARCH REPORT

RESEARCH TOPIC: RECORDS MANAGEMENT PRACTICES IN INSTITUTIONS OF

HIGHER LEARNING

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DECLARATION

We declare that this report is free of biasness and it was purely done to "investigate records management practices in institutions of higher learning". We also declare that this document is free of plagiarism and any resemblance to any other document produced is purely coincidental. It is our original contribution that has not been published anywhere.

DEDICATION

We would like to dedicate this piece of work to the University of Zambia and our Research Supervisor Mrs Zulu for the support and guidance given to us during our research. Lastly, we would like to dedicate this report to our families who have helped us with financial, moral and spiritual support.

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ABSTRACT

It has been noted that records management practices have not been as efficient and effective as they are expected to be in institutions of higher learning. To this effect, Library and Information Science students opted to conduct a research which was aimed at investigating the records management practices in institutions of higher learning. This study therefore focused on investigating on the competence levels of records managers, records management policies, the availability of records keeping systems and the challenges affecting the efficient and effective management of records. It was a multiple case study which was conducted at four institutions, namely; Rusangu University, Cavendish University, National Institute for Public Administration and Evelyn Hone College. From the four institutions, a sample size of 8 respondents was purposively selected and these included 2 records managers from each institution. Observations were made and it was discovered that these institutions lack enough funding from the government also there are too much misplacements of records in institutions. Therefore, it has been suggested that the government should allocate more funds to these institutions and also organize some training programs that can assist to curb the problem of loosing records.

Contents

ACRONYMS MEANINGS AND KEY WORDS

ACRONYMS:

NIPA……………. National Institute for Public Administration

UNZA…………… University of Zambia

ISO……………… International Standard Organization

IRMT……...International Records Management Trust

SRO ………Students' Record Office

PRAAD……Public Records and Archives Administration Department

KEY WORDS:

Records: something constituting a piece of evidence about the past, especially an account kept in writing or some other form.

Records manager: a person in charge of records.

Records management practices: undertakings that ensure a good management of records.

CHAPTER ONE: INTRODUCTION

Institutions of higher learning like any other organization have functions and activities that they perform in order to fulfill their mission. As institutions of higher learning conduct their core business which is teaching, consultancy, innovation, research and services to the community, the institutions create and use various records in physical and electronic formats. According to Mbiti (1978) view point cited by (Seniwoliba et al, 2017) "higher education records comprise all the books and files or other documents containing information relating to what goes on in that institution, who is in that institution as well as what type of property the institution owns." These records are a vital asset in ensuring institutions of higher learning are governed effectively and efficiently, and are accountable to its students, staff and the community that it serves. The International Council on Archives (ICA) Committee on Electronic Records (ISO 15489: 2001) stresses that all records should consist of three key inherent properties these are; content (information or data), context and structure and it is for this reason that institutions of higher learning should ensure that the records they produce capture and maintain authentic, complete, reliable and static (fixity) documentation of activities of an organization in order to meet legal and evidential requirements. Records support decision-making, provide evidence of policies, decisions, transactions and activities, and support business, legal, fiscal, social and historical activities, correspondence and transactions of institutions of higher learning (Azameti and Adjei, 2013). Proper records management could help institutions of higher learning to manage their information efficiently, fulfill their mandate, protect them from litigation, preserve their corporate memory and foster accountability and good governance (ibid, 2017).

Records like living organisms go through their life cycle which initiates three phases or stages; creation and active usage, semi-current or active and non-current/inactive or dormant. The records produced by institutions of higher learning include academic, administrative and financial records of; students, academic staff, administrative staff, and governing board. Therefore, as a record goes through these three phases an institution needs to establish a recordkeeping system as a tool to manage records regardless of their format within the institution in accordance with established principles and accepted models of records management (Ngulube and Chinyemba, 2005). Management of active records requires a filing system to be

implemented which comprises of the physical location, classification and indexing methods used, filing sequence, filing procedures, supplies and equipment. On the other hand, management of semi-active and inactive records involves selecting storage facilities, what records to keep and for how long to avoid destruction of records of lasting value, developing procedures for transferring records and deciding on destruction procedures (Kennedy and Schauder, 1994). Upon determining the value of records, records management personnel must have a clear records management policy or procedures and guidelines, planning statements and disposition authorities that spell out how records should be managed at every stage, who should do what and when as well as instructions on the disposition or retention of a record. Like any other profession, records and information management requires skilled and well trained staff to efficiently and effectively manage records in any institution. The recordkeeping system an institution of higher learning puts in place should be; reliable, secure, compliant, comprehensive and systematic because proficient recordkeeping is the key to attainment of an institution of higher learning's vision and mission, and failure to recognize this will render all the efforts to institute a good records management program pointless.

According to Robek cited by (PRISM International), the benefits of records management include: Control of the creation, volume, redundancy and growth of records, Reduction of operating costs through active management and intelligent outsourcing decisions, Improvement of overall efficiency and productivity, Assimilation of emerging records management technologies, Ensuring legislative, regulatory compliance as well as other risk management concerns such as litigation, Safeguarding the organization's vital information including historical records, Supporting enhanced performance and productivity of business processes, and Enabling quicker and better management decision making.

Good records management practices are essential to ensure the records produced are managed in an efficient and effective manner to keep some records simply as evidence of what was done and why, in institutions of higher learning. Records management is important in institutions of higher learning because of the following reasons: Proper records management practices allow them to preserve institutional memory this is done by capturing, storing and managing information that has been created over a period of time which would help institutions of higher learning to retrieve any kind of records that had been captured during various periods operations with ease

and serve as evidence of its activity, and as a meaningful collation of its educational and research outcomes, and of its contributions to academia and the wider community (University of Adelaide).

Proper records management practices also ensures that sound decisions are made based on full, accurate and up to date information, and that the rationale for and the impact of such decisions can be traced, scrutinized and justified as required which facilitates the efficient running of institutions of higher learning (University of Glasgow, 2006). Sound recordkeeping helps institutions of higher learning to demonstrate transparency and accountability through the documented records of their activities. Proper records management also allows institutions of higher learning to utilize all available information resources to enhance their competitive advantage and improves efficiency and productivity by ensuring that information is available when it is required (Ngulube and Chinyemba, 2005). Effective records management systems provide information required for the proper functioning of institutions of higher learning. This information is retrieved efficiently hence saving time and money. Records support the operations of institutions of higher learning in different ways some records are used frequently (on-going usage), infrequent (semi-current) and dormant (non-current) therefore, proper records management practices help institutions of higher learning to identify and organize records which must be retained for day-to-day business operations in a systematically manner and disposal of the rest in accordance with records management policies and procedures (Coetzer, 2012).

Finally, proper records management practices help to reduce unnecessary costs by improving the management of an organization's information resources so that less money is spent on supplies and equipment. Records management improves efficiency by cutting down retrieval time and maintaining control over what is held, how and why. Institutions of higher learning's costs are reduced because resources are not wasted on retaining unnecessary records. Records management also ensures that information and records are not duplicated needlessly, which not only saves money, but also maintains version control and accuracy (Ibid, 2012).

Proper records management practices of information contained in records of an institution of higher learning activities leads to efficiency, effectiveness, accountability and good governance. On the other hand, there some risks that that can arise from poor records management and they include: Poor decisions based on inadequate or incomplete information, Financial loss because

reliable evidence is not available, Reputational damage because of criticism by the Information Commissioner for failing to comply with the information legislation he regulates, Failure to handle confidential information with the required level of security, Failure to protect information vital to the continued functioning of the organization, Costs incurred because records are being kept for longer than they are needed or staff wasting time considering issues previously addressed and resolved (The National Archives, 2010).

In order to provide an understanding of records management practices in institutions of higher learning, a collective case study will be conducted in which multiple cases which include Rusangu University, National Institute of Public Administration (NIPA), Cavendish University and Evelyn Hone College will be examined.

1.1 STATEMENT OF THE PROBLEM

It has become a recurrent issue for records to be irretrievable when required especially in tertiary institutions in most developing countries Fabunmi (2004). The difficulty of this problem is better appreciated by those who bear the burden especially university lecturers, students and administrator who require this information to facilitate accurate and timely decisions. In such a situation administrators find it hard to retrieve the information they need to formulate, implement and monitor policy and to manage key personnel and financial resources.

Bwalya (2001) states that, In Zambia the problem in records management seems to arise where institutions of higher learning have to allocate large office space to keep large volumes of files and have to retrieve them manually every year when students request for them, he further states that the storage, retrieval and disposal of records in most institutions of high learning are poor done. It is however becoming clearer that it is more pronounced in the university system because adequate, reliable and trustworthy records that fulfill evidential requirements are being created but not properly managed longer.

Based on the problems above, and the assertion that record keeping practices can either improve or deter service delivery the lack of knowledge of the record management practices of the institutions of higher learning is viewed as a problem that need to be addressed. It is with this in mind that the study will investigate the records management practices in this institutions.

1.2 RESEARCH OBJECTIVES

The objectives of the study have been categorized into general and specific objectives.

1.2.0 GENERAL OBJECTIVE

➢ To investigate the records management practices in institutions of higher learning.

1.2.1 SPECIFIC OBJECTIVE

➢ To determine if there is a well-defined records management policy in the institutions.
➢ To establish the challenges affecting the efficient and effective records management practices in the intuitions.
➢ To determine the competent levels of records' managers in institutions of higher learning.
➢ To assess the availability of records keeping systems in institutions of higher learning.

1.3 RESEARCH QUESTIONS

To achieve the above objectives, the study sought to address the following questions;

➢ Is there a well-defined records management policy in the institutions of higher learning?
➢ What are the challenges affecting efficient and effective records management practices in the institutions of higher learning?
➢ What are the competence levels of record managers in institution of higher learning?
➢ What record keeping systems are available in institutions of high lerning?

1.4 SIGNIFICANCE OF THE STUDY

This study is a prerequisite to the researchers' completion of tertiary education that will enable the researchers acquire knowledge and skill on how to conduct a research in social sciences in general and information sciences in particular. Consequently, the University of Zambia (UNZA) particularly the Department of Library and Information Science will be generally made aware of the records management practices used in institutions of higher learning, the challenges associated with poor records management practices and how it affects institutions of higher learning. The findings may act as reference materials to Library and Information Science lecturers and students at UNZA. Additionally, the findings, limitations or recommendations will enable lecturers and students identify other researchable areas which can be studied and propose effective records management strategies which can be adopted in institutions of higher learning.

Finally, the study will help reveal the need for proper records management in institutions of higher learning and the activities to be performed during records management.

1.5 ETHICS

This research will be non-discriminatory as far as selection of participants is concerned. They will be picked without any discrimination of gender, religious or political inclination. They will not be asked to review their religious or political affiliation Thompson (1999). In addition, information will be collected from both males and females so as to ensure a gender balanced collection of data.

As research is being carried out, the potential participants will be informed on the details of the research being carried Thompson (1999). Upon agreement to participate, consent will be gotten from informants before interviewing them and their information will be kept confidential which will include withholding of names, residence and other private information Health Professions Council (2008). Furthermore, literature obtained from other sources will be cited accordingly. In addition, professional conduct will be observed when analyzing the collected data.

The challenges that are likely to be encountered may include: language barriers, personal insecurities, and some participants may demand compensation. Language barriers may be overcome by using the language that the participants are familiar with. Concerning the compensation challenge, participants will be informed that the research is strictly for academic purposes and not for any form of financial or political gain. Participants will also be assured that the information given will be kept confidential and their identity will be withheld.

1.6 DEFINITION OF KEY TERMS

The University of South Africa (2007:1) cited by Coetzer and Le Roux (2017:3) defines a record as "recorded information, regardless of format or medium, which has been created, received, used, accessed and maintained by the university at large (and/or by its predecessors) as evidence and information in pursuance of its legal obligations or in the transaction of business, and this includes e-mails, records in electronic form, and records other than correspondence."

Records management

According to International Standard Organization (ISO) 15489: 2001, records management is defined as "the field of management responsible for efficient and systematic control of the creation, receipt, maintenance, use and disposition of records, including the processes for capturing and maintaining evidence of and information about business activities and transactions in the form of records." The definition contextualizes records management within the records life-cycle concept and emphasizes the evidential nature of records.

Institution of higher learning

An institution of higher learning is a public or private institution that is legally authorized to provide education, training and research guidance to prepare students for employment and development of entrepreneurial skills at institutions such as universities, colleges and institutes of technology (USlegal, 2016).

ISO 15489-1 (2001) states that records management practices may include: planning the information needs of an organization; identifying information requiring capture; creating, approving, and enforcing policies and practices regarding records, including their organization and disposal; developing a records storage plan, which includes the short and

long-term housing of physical records and digital information; identifying, classifying, and storing records; coordinating access to records internally and outside of the organization, balancing the requirements of business confidentiality, data privacy, and public access; and executing a retention policy on the disposal of records which are no longer required for operational reasons; according to organizational policies, statutory requirements, and other regulations this may involve either their destruction or permanent preservation in an archive.

CHAPTER TWO: LITERATURE REVIEW

2.0 OVERVIEW

This chapter provides a review of literature on records management practices. According to the University of Southern California (2018), "literature review is an evaluative report of information found in the literature related to your study area." The purpose of literature review

include: provision of context for the research, justify the research, ensure the research has not been done before, show where the research fits into the existing body of knowledge, illustrate how the subject has been studied previously and help refine, refocus or even change the topic, it describes how the proposed research is related to prior research statistics, it shows the originality and relevance of your research problem, it justifies your proposed methodology and demonstrates the preparedness to complete the research (University of Zululand, 2012). There are different types of literature review; they researchers will use the thematic literature review which is structured around different themes or perspectives (ibid, 2012).

The literature review will address the following research questions:

> What are the challenges affecting efficient and effective records management practices in the institutions of higher learning?
> Is there a well-defined records management policy in the institutions of higher learning?
> What are the competence levels of record managers in institution of higher learning?

2.1 CHALLENGES ASSOCIATED WITH RECORDS MANAGEMENT

Akor and Udensi (2013) carried out a study to assess record management systems of the Federal University of Technology, Minna Nigeria and Ibrahim Badamasi Babangida University Lapai, Nigeria. The major findings of the study revealed: ineffectiveness in record management practices, incompetent personnel, inadequate infrastructural facilities, constant power failure. Based on these findings, the following recommendations were made; that effort should be made for provision of standby generator as an alternative to power supply, training of staff to handle the universities' record, provision of adequate fund and enough infrastructural facilities.

According to a study by Adu Freda (2001), this research thus, attempted to fill this gap by using two satellite campuses (Kumasi and Mampong) of the University of Education, Winneba (UEW) as study-survey institution. The study indicated that one of the major challenges associated with proper records management is inadequate professionally trained records managers and training's traced administrative staff. It was further established that insufficient resources like office space pose a challenge to proper records management in the university. Therefore, it was recommended that management of UEW should employ professionally trained records managers who will be responsible for compilation, implementation, maintenance and utilization of

approved filing systems for the university records. Additionally, management should organize workshops and seminars to staff on records management.

Külcü (2009) conducted a comparative study to examine records management practices in a Turkish university with those of two Canadian universities. It was established that in the Canadian systems, there were difficulties in classification and in the retrieval of institutional records; conversely, in the Turkish university, there were more problems in the record retrieval systems. In addition, in the Turkish system, disarrangement of records, destruction of records by mistake, and lost records were marked as fundamental problems. The results of the study shed light on the importance of international comparative studies for evaluating the condition of records systems.

2.2 RECORDS MANAGEMENT POLICIES

Musembe (2016) carried out a study to investigate records management in institutions of higher learning. The study established that, the university lacked a clear records management policy, consequently; development and implementation of a records management program and policies to establish formal records management program with clear policies, infrastructure, staffing, guidelines and clear qualifications for records personnel was recommended. Musembe recommended development and implementation of a records management programme and policies to establish formal records management programme with clear policies, infrastructure, staffing, guidelines and clear qualifications for records personnel.

Ngulube (2013) in his Master's dissertation sought to examine preservation and access to public records and archives in South Africa. One of the major findings stated that policies play a major role in that they clearly stipulate the responsibilities of the archivist, i.e. the preservation of archival materials of all types in order to guarantee access to the information they contain, both for the current generation of archives and records' users, and for generations to come. The study outlined the importance of proper records management and how an institution can be affected if records management policy is not in place. The availability of adequate policies sets up a foundation or a guide for the effective management of records in any organization. It is evident that there is a need for institutions of higher learning to develop records management policies, guidelines and procedures sets up a foundation or guide for staff on the standards to follow to ensure proper records management practices.

Azameti and Adjei in (2013) conducted a study that sought to examine challenges associated with academic records management in tertiary institutions in Ghana. This study found a significant association between the type of institution and policies for managing student academic records. This was attributed to differences in the mandate and focuses of the various categories of tertiary institutions. The adoption of internal policies is critical for controlling irregularities in record keeping in tertiary institutions. There was no significant association between the type of institution and practices to control indecencies in academic record management. This may be attributed to the ability of institutions to adopt the practices they prefer to address record security challenges. There was a significant association between the type of institution and the kind of technologies adopted to manage records keeping systems. In general, public tertiary institutions lack the logistical support required to effectively manage electronic records. Virus infection was a major threat to electronic records keeping in tertiary institutions.

Coetzer (2012) in her Master's dissertation sought to investigate the status of records management at the University of Zululand. There also appeared to be no specific policy for records management. There were no qualified records management practitioners at the University of Zululand, even though there are employees who are hired by the university as so-called records officers'. "Records management policy is a foundation or guide for the effective management of records in an organization." The records management policy demonstrates to employees and stakeholders that managing records is important to the organization, provides a statement of intentions that underpins a records management program, serves as a mandate for the activities of the records manager and provides a framework for supporting documents such as procedures, business rules, disposal schedules, etc. The study recommended the development and adoption of an official records management policy, the appointment of a records manager, and the establishment of a records management training program for staff.

2.3 COMPETENCE LEVELS OF RECORDS' MANAGERS

Seniwoliba (2016) conducted a study at the University of Development studies in Ghana. This study sought to create and improve awareness and sensitization of the staff in the University on the fundamental function played by the effective records management in fulfilling the institution's mandate. This study found out that records management is part of the strategic plan of the university and if records were given adequate attention it would ensure confidentiality,

security, proper maintenance and preservation of the contents and context of the university. The study noted that there was a training program for staff that covered records keeping, it also identified the poor shape in which the universities records are managed and this was attributed to lack of training on the handling, managing, and retrieval of records in the university. This study revealed that the university lacked competent or qualified records management staff hence resulting in poor management of records. The research showed that efficient and effective records management is not a choice but a mandate because records ensure that an institution conducts its business in an orderly, efficient and accountable manner deliver services consistent and equitable, document its policies, decisions and outcomes to stake holders, meet its legislative and regulatory requirements including audits.

Further, it was recommended that records management must be incorporated into the university wide strategic plan. Importantly, senior management must embrace the records management roles to ensure its effectiveness and must be include in their performance management targets. Records managers must be given adequate training to ensure that these officials are capable of undertaking the full responsibilities of their positions. Also, it was recommended that university management must appoint separate assistant record managers for the budget, treasury office and human resources and these should be assigned with the responsibility of ensuring a sound record management within their units. Again, the university needs to appoint records managers whose responsibility shall be compilation, maintenance, implementation and utilization of approved records filling systems and the records must be filled according to these systems.

The International Records Management Practice (2001) conducted a study on records management and it discovered that organizations and institutions of higher learning should establish on-going programs for training record managers. Institutions of higher learning can however involve external bodies in the training of record managers. However findings in this study revealed that out of the ten staff of the record management are students; record office (SRO) at the Koforidua Polytechnic University, only two had formal training in records management. This study showed that there is no legislative framework for the management of records at the institution of Koforidua Polytechnic. It was then very difficult in such an institution to ensure an effective record keeping system.

International Records Management Trust (IRMT) (2003) in the ESARRBICA region discovered a lack of core competencies in managing records and archives in institutions of higher learning

of this region. Nengomesha (2009) also stated the lack of proper training for record managers in institutions of higher learning and the general public organizations in Namibia. Also, Mensah (2011), Adams (2010) confirms this pattern in Ghana as most registry staff in the organizations does not have any qualifications in records keeping.

It was recommended that procedural manual guiding personnel in the performance of their duty should be established. This manual must tackle all the stages of the record life cycle so as to improve the records service delivery in institutions of higher learning especially polytechnic. The development of this manual could be outsourced from institutions such as the Public Records and Archives Administration Department in Ghana which has the capacity to develop such a manual. Another recommendation was that the polytechnic University must examine all legislative frameworks that affect the retention and disposal of records. A comprehensive survey of existing records should support this. They should determine their retention requirements for all the main categories of their records by assessing their value for supporting administrative, financial, legal, historical research or information needs. The importance of a well-developed records management program is dependent on a very well trained, competent and experienced staff. The polytechnic must establish a comprehensive program to orient staff about the central role of records management in institutions of higher learning and how to manage records properly. The two record management staff of the students' record office (SRO) with competence in records management must provide an in – house training as a means of giving basic training in records management. This can be done through providing short courses, seminars and workshops. This should be designed in collaboration with the relevant agencies such as the University of Ghana (Department of Information Studies) for the records staff and this process must be continuous. Besides core records management programme, other areas such as computer application skills should be incorporated into these courses to keep staff abreast with current technological developments and the management of electronic records.

Additionally, it was recommended that for the polytechnic to be more aware of, and comply with any legislative requirement that relate to records management and information, they will need to develop and introduce a range of internal policies, standards and procedures to enable them fulfill the statutory obligations and to improve their operational efficiency. The policy should cover a whole range of issues that will include the responsibility of records management

program, staff and capacity issues, funding, records management infrastructure among others. The policy should form part of the polytechnic – wide records management policy.

This strategy should start with the strategies as recommended by ISO 15489 (2001) which include: preliminary investigation, analysis of business activity, identification of requirements of records, assessment of existing systems and a post implementation review. The polytechnic can also benchmark countries such as South Africa, Australia, and United Kingdom as models or consult an agency such as the Public Records and Archives Administration Department, Ghana (PRAAD) in the development of such policies. The policy should be adopted by the highest decision making body of the polytechnic and the staff should be made aware of such records management policy and procedures. The implementation of such a policy would ensure that records staff have the capacity to provide leadership and guidance on information and knowledge management issues. These include metadata standards, structure and classification systems, content management, long term access and preservation of information technologies.

2.4 ASSESSING THE AVAILABLE RECORDS KEEPING SYSTEMS IN INSTITUTIONS OF HIGHER LEARNING

In a study conducted by Chinyemba and Ngulube at the University of KwaZulu-Natal, they included the management and storage of electronic records, as a separate section from the management of other records, was to highlight the fact that electronic records pose new challenges as compared to paper-based records. Although paper records remain predominant in organizations, there is no doubt that record keeping is increasingly becoming digital (Edith Cowan University 2002). The presence of personal computers in every office and a local area network at the University of KwaZulu-Natal shows that the University is increasingly making use of digital records; they are continually being generated and stored in electronic format and may exist only in that format.

The results showed that the management and storage of electronic records was unsatisfactory. However, managing electronic records has remained a nightmare to many institutions in Africa (Ngulube 2004). The study also demonstrated that the mechanisms in place for the management of records were inadequate to provide an environment in which records management objectives could be achieved.

It was recommended that the University carries out a functional analysis of its key functions, activities and transactions in order to establish guidelines to identify the essential records series that need to be captured and maintained in its records system

Anegbu and Adenike (2013) in their study noted that records at the Ministry of Information and Strategy in Nigeria kept their records safe on Compact Disks and flash drives. However, Nabombe (2012) raised concerns that the registries might be unable to sustain the digitised system due to the rate at which equipment and software become obsolete and fail to migrate digitised records to other media formats such as magnetic and optical media as a preservation measure. Hoyle and Sebina (2006) observed in Lesotho that personnel registries at the ministries were well-organized as files were housed in compact units or filing cabinets and information was relatively secure and files were easily located by responsible staff. Marutha (2011:177) remarked that hospitals" patient records were at high risk of missing or being damaged due to lack of enough filing space and usage of good mobile cabinets, file covers and boxes may be compromised and damaged due to untidy, congested and overloaded files as a result of lack of enough space for filing. Hoyle and Wamukoya (2007) in their study carried out in Tanzania reported that records boxes were piled in columns on top of filing cabinets and added that these conditions, with limited space and no procedures for removing inactive records, it was impossible to operate an efficient records management system.

2.5 IDENTIFIED GAPS AND JUSTIFICATION

Based on the reviewed literature, it is clear that the four research objectives and the problem for this study were not earlier on addressed by other researchers in this area. This is due to the fact that most of these writings and studies reported findings from foreign countries which could not be generalized to the Zambian scenario.

In the previous studies challenges such; poor capacity of records management, insufficient resources, lack of office space, inadequate infrastructural facilities, records security challenges, virus infection to electronic records and constant power failure were addressed as the main challenges, our study in contrast will seek to find out what systems are used to store vital records(manual/ electronic, centralized/ decentralized) and find out about the appraisal, filing and classification and also to find out if the challenges are attributed to the lack of a records retention and disposal schedule. On the policies, the studies showed that there was lack of a clear

records management policy while this study will endeavor to find out who is in charge of formulating the policy and what the criteria for the policy formulation is. On the competencies the previous studies addressed lack of training on the handling, managing and retrieval of records also the lack of competent and qualified records management staff and lack legislative frame work in records management, this study will however, further establish whether or not the institution offers training to records management staff and will seek to know the qualifications of the staff. In assessing the types of filing, retention, storage and disposal systems, the fore studies pointed out that in most cases only two types of filing systems out of the seven established ones are used by institutions and only three types of disposal systems are out of about the six known ones, lack of uniformity and file management programs, lack of management policy and up-to-date records retention and disposal schedule as well and adequate storage facilities. This study will further explore why the other types disposal and filing systems are under used by most institutions.

2.6 SUMMARY

This chapter presented a review of some of the literature on records management. The literature review was presented with the aid of themes derived from the specific objectives. For each study that was reviewed, the researchers brought out their findings conclusions and recommendations of the studies. Lastly, this chapter highlighted the gaps from other studies that this study intends to research on.

CHAPTER THREE: RESEARCH METHODOLOGY

3.0 OVERVIEW

This chapter conveyed how data was collected in response to research questions, describing procedures and techniques as well as justification for picking that particular research design, total population, sample size and sampling procedures, data collection instruments and data analysis techniques. This information was presented in the following order; research design, total population, sample size and sampling procedures, data collection instruments and data analysis.

3.1 RESEARCH DESIGN

According to Burns and Grove (2003:488) cited by (Phiri 2015:29) a research methodology "includes the design, setting, sample, methodological limitations, and the data collection and analysis techniques in a study." A research design allows the researchers to effectively meet the purpose of the study in a logical and unambiguous manner as possible because research design provides an operational plan on the various steps required for the study, which helps to narrow down a broad field of research to ensure the procedures outlined have the adequate answers to complete the study (University of Southern California 2018). This study used a mixed method approach; both qualitative and quantitative to complement each other and the method that was used to investigate the records management practices in institutions of higher learning was a multiple-case study, which was undertaken at NIPA, Rusangu University, Cavendish University and Evelyn-hone College in Lusaka.

According to Ferre and Oldfield (2012) cited by Phiri (2016: 112) ''Qualitative methods are those research techniques that employ non-mathematical, naturally occurring, and non-experimental research practices in order to uncover the meanings and significance of the wide variety of evidence that social researchers collect. On the other hand, the quantitative approach involves the generation of data in numerical form which can be subjected to a rigorous quantitative analysis in a formal and rigid fashion.'' Therefore, based on the above definitions the researchers' choice of the research design over other designs is influenced by the research topic, the sample size and instruments of data collection. The qualitative approach will help the respondents to bring out and explain their feelings, views and ideas on the issue under investigation which will enable the researchers maximize the theoretical implications of research findings while quantitative research uses descriptive statistics that will enable the researchers to summarize quantities of data by using graphs and numbers such as values and percentages (Coetzer, 2012). Mixed method approach help add insight and understanding that might have been missed when only one research design is used and it may increase the capability to generalize the results compared to using only qualitative study designs.

A case study is defined as an "empirical inquiry that investigates a contemporary phenomenon within its real-life context especially when the boundaries between phenomenon and context are not clearly evident" Yin (2003:13) cited by Chisenga (2013: 28). According to Mills et al. (2010)

a multiple-case study is a ''research methodology in which several instrumental bounded cases are examined using multiple data collection methods.'' According to Zach (2006: 19) ''the strength of the multiple-case studies design lies not only in its ability to demonstrate consistent patterns of behavior but also, and perhaps more importantly, in its ability to uncover new and/or divergent themes. The case study method, and in particular the multi-case studies design, provides LIS researchers with a proven tool for achieving a deep understanding of a specific phenomenon.'' Therefore, multiple-case study will enable the researchers to gain a richer context on records management in the selected institutions of higher learning and compare these results.

3.2 TARGET POPULATION

Population refers to the complete set of individuals (subjects), objects or events having common observable characteristics in which the researcher is interested in studying (Agyedu et al., 2010). An example of a population can be a person, a group, an organization, a written document or symbolic message, or even a social action under investigation (Coetzer, 2012). The study targeted records managers because they were in charge of handling records in institutions of higher learning. Records management is a collective responsibility therefore the reason for choosing these categories of employees to be respondents was based on their knowledge, strategic positions, and their daily correspondence as they performed their respective duties. Furthermore, the reason for choosing Record Managers was based on their insight and understanding on the research topic as they dealt directly with records management as they performed their duties and also understood the benefits of proper records management.

3.3 SAMPLE SIZE AND SAMPLING PROCEDURE

3.3.1 SAMPLE SIZE

A sample is a subgroup of the target population that the researcher plans to study for the purpose of making generalizations about the target population. Sample size refers to the number of participants selected from a large population that are used to draw conclusions about the bigger group (Niville and Allyson, 1995). This study targeted eight (8) respondents from the total population, which were made up of two (2) respondents from each institution of higher learning. All the institutions of higher learning under study, performed similar functions which are

teaching, consultancy, innovation, research and services to the community thus the respondents were selected purposively.

3.3.2 SAMPLING PROCEDURE

According to The American Heritage College Dictionary (1993:1206) cited by Phiri (2015: 31) sampling is "any course of action or procedure followed when selecting a portion, piece, or segment that is representative of a whole." Sampling is important in a research process because it helps to inform the quality of inferences that the researchers will make from the findings. This study adopted purposive sampling to select the study site and participants (respondents) of the study. The aim of purposive sampling was to ensure that specific groups from the public and private sector were represented in order to bring out more relevant and valuable information linked to the issue under investigation as possible for thorough analysis. Purposive sampling also enabled the researchers to choose respondents on the basis of desired characteristics of their position, insight, understanding and direct involvement in records management practices which was relevant and valuable information for the study. In addition, due to limited time and resources, it would be difficult for the researchers to collect data or information from a large population as it would require several months and would be expensive to conduct the study.

3.4 DATA COLLECTION INSTRUMENTS

Data collection involved the gathering of information that was relevant to the research specific objectives, through methods such as interviews, participant observation, focus group discussion, narratives and case histories. To acquire primary data, the tool or instrument that was used to collect data from the informants (respondents) was a questionnaire which enabled the researchers to acquire qualitative data.

3.4.1 QUESTIONAIRRE

This study adopted a semi-structured questionnaire because the study used a mixed method research design. Semi-structured questionnaires comprised a mixture of closed-ended and open-ended questions. The semi-structured questionnaires were administered to records managers. The procedure or method that the researchers used to collect data with the aid of questionnaires was by personally distributing self-administered questionnaires to the respondents. The researchers also personally collected all completed questionnaires from the respondents.

3.5 DATA ANALYSIS

Cooper and Schinder (2001) cited in Mwale (2011:18) data analysis is "the reduction and accumulation of data to manageable size, developing summaries, looking for patterns and applying statistical techniques."

3.5.1 QUALITATIVE DATA ANALYSIS

Qualitative data was analyzed using content analysis by interpreting views, perceptions and ideas of respondents. Data analysis in a qualitative research, was important as it enabled the researchers identify consistent patterns from the data collected during interviews in form of explanation, understanding or interpretation of the issues under investigation. The qualitative data obtained from open-ended questions in the questionnaire and interview guide were subjected to a constant review in order to identify common responses. This study adopted both of these approaches. Each case study was treated as an individual study where the researchers would identify themes, consistent patterns and any other elements useful to produce quantifiable rich and complete information. The researchers conducted a cross-case analysis from all four case studies, in order to arrive at specific thoughts from the similar and contrasting responses through constant review that was categorized into themes to be used to make relevant generalization to develop a complete picture of the issue under investigation as perceived by the participants.

3.5.2 QUANTITATIVE DATA ANALYSIS

Quantitative data was analyzed using descriptive statistics that enabled the researchers to summarize quantities of data by using graphs and numbers such as values and percentages. This was achieved using the Statistical Package for Social Sciences (SPSS) which was used to create tables, charts and graphs, and run frequencies and other statistics. Data analysis in a quantitative research was important because it allowed objective interpretation from data collected for valid generalization, conclusion and recommendations for future studies.

3.6 SUMMARY

This chapter discussed the research methodology that was used to conduct this study. The study used a mixed method approach; both qualitative and quantitative to complement each other and the method that was used to investigate the records management practices in institutions of higher learning was a multiple-case study undertaken at NIPA, Rusangu University, Cavendish University and Evelyn-hone College in Lusaka. The study targeted records managers. Thus, this

study targeted eight (8) respondents which were made up of two (2) respondents from each institution of higher learning. This study adopted purposive sampling to select the study site and participants of the study. To acquire primary data the tool or instrument that was used to collect data from the informants (respondents) will be a questionnaire which enabled the researchers to acquire quantitative and qualitative data. And the questions were designed by taking into account the objectives of the study. Data analysis for qualitative data was analyzed using content analysis by interpreting views, perceptions and ideas of respondents while, quantitative data was analyzed using Statistical Package for Social Sciences (SPSS) which was used to create tables, charts and graphs, and run frequencies and other statistics.

CHAPTER FOUR: PRESENTATION AND DISCUSSION OF FINDINGS.
OVERVIEW

PART 1: PRESENTATION OF FINDINGS

SECTION A: DEMOGRAPHIC DATA

Figure1: Respondents gender.
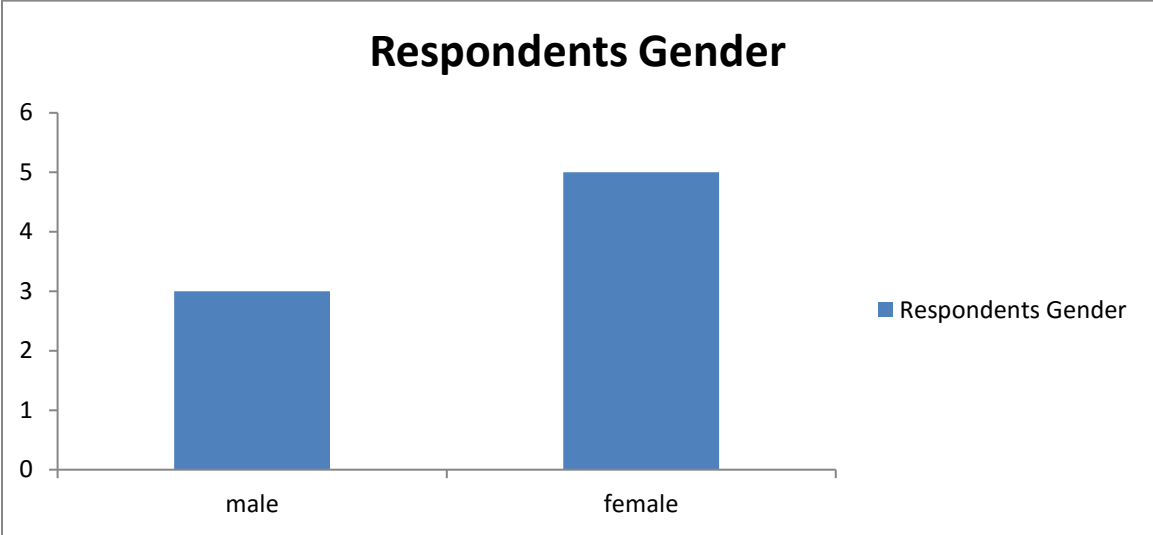
By gender most of the respondents were female, who stood at 5 out of the sampled 8. By percentage, the females stood at 62.5% while the males stood at 37.5%.

Figure 2: Age of the respondents.
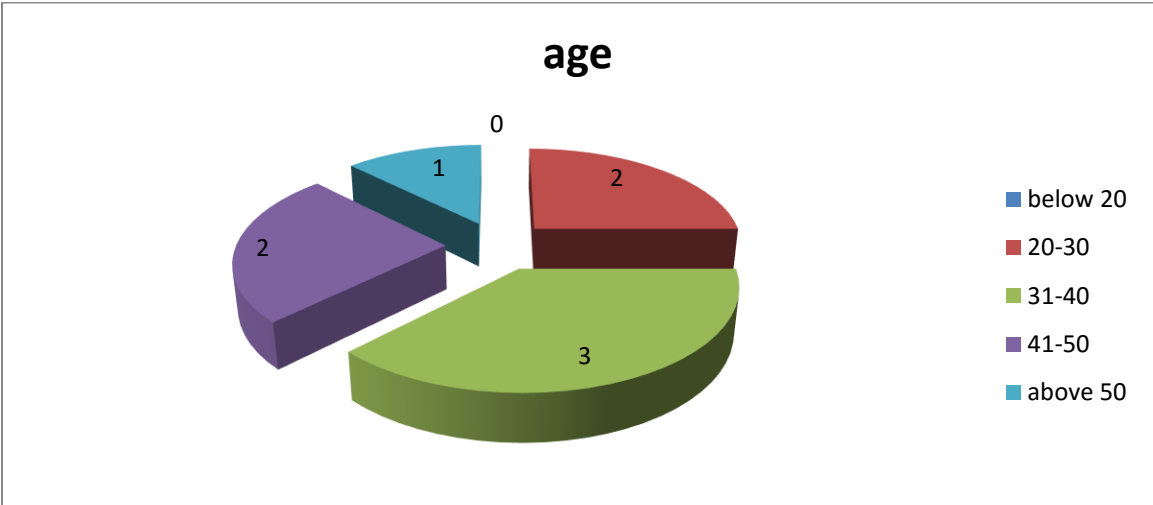
Figure 2 above shows the age distribution of the respondents by age. Most of the respondents were aged between age 30 and 40, these were represented by 3 people, a figure followed by those n age group 41 to 50 and 20 to 30, represented by 2 people apiece and one respondent was above age 50.

Figure 3: Academic Qualification.
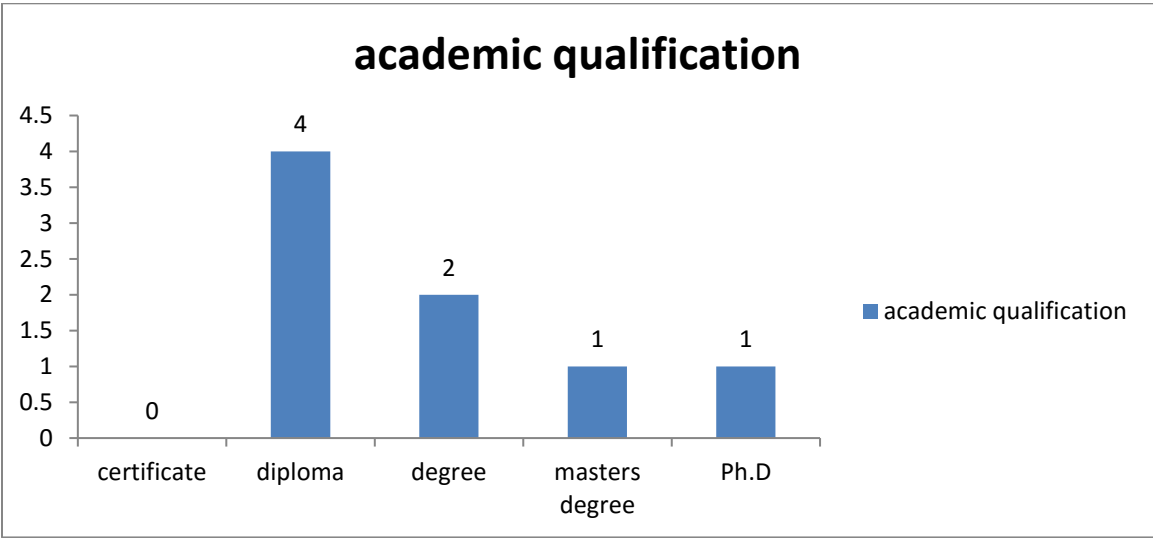
Figure 3 above shows the respondent's academic qualifications. Most of the respondents, at 4 people were diploma holders, followed by 2 degree holders with Masters and Ph.D sharing one person each.

Figure 4: Respondents position at work.

respondents work position
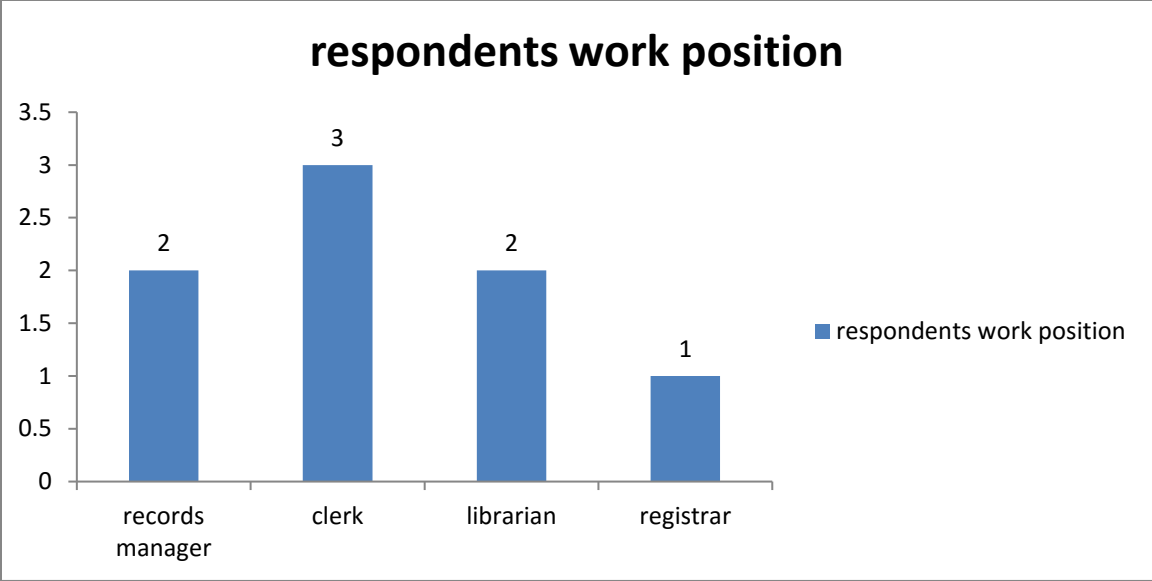
Figure 4 above shows the respondent's positions at work. Most of the respondents were clerks, represented by 3, there were 2 records managers and 2 librarians and one registrar.

SECTION B: AWARENESS AND PRESENCE OF A RECORDS MANAGEMENT POLICY

Figure 5: Presence of a records management policy by institution.
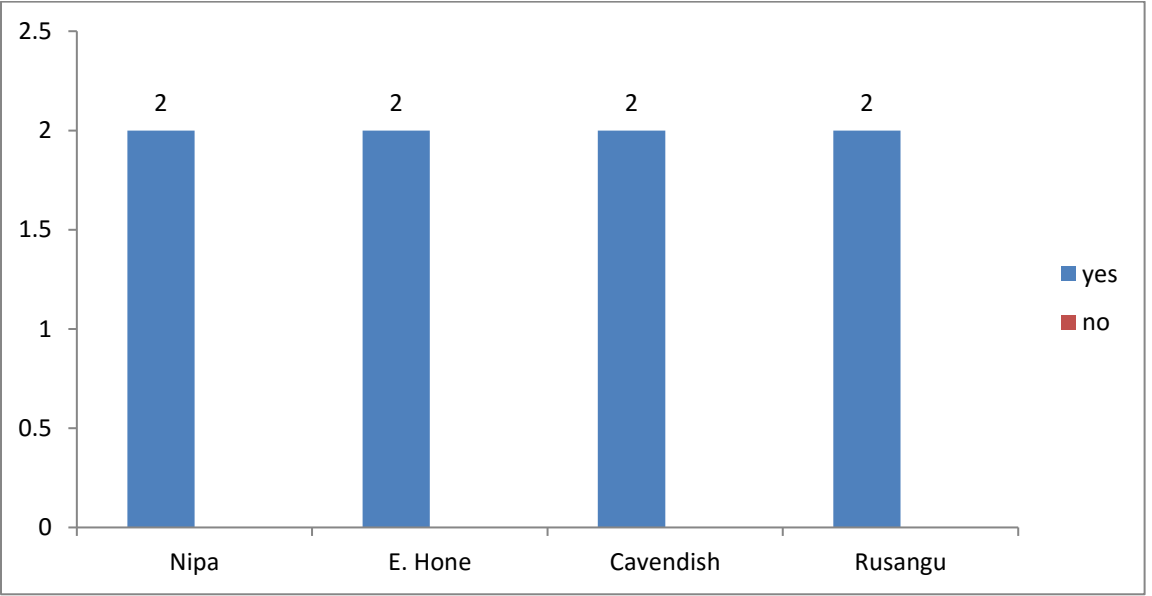
Figure 5 above shows the presence of a records management policy by institution. All institutions agreed to have a records management policy.

Figure 6: means of awareness of a records policy.
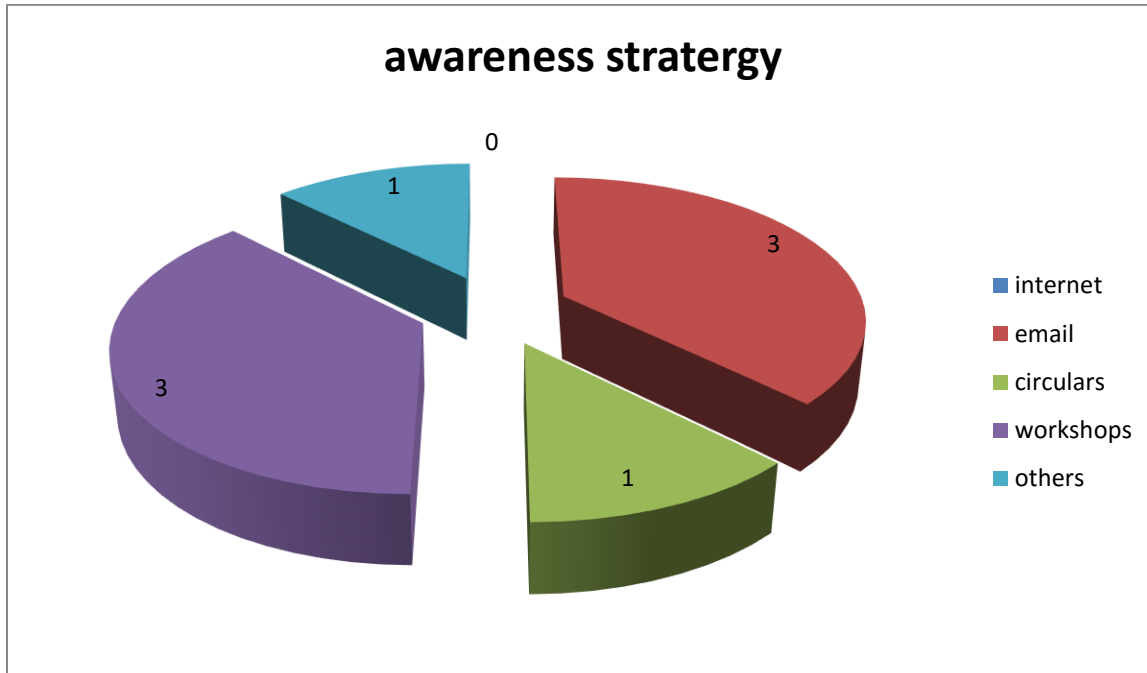
Figure 6 above shows the means of awareness of a records policy within the institution. 3 of the respondents agreed to having had workshops as the means of awareness, another 3 agreed to emails, 1 agreed to circulars and 1 said other means.

WEAKNESSES OF THE RECORDS MANAGEMENT POLICY

Regarding the weaknesses of the records management policy, respondents were not given any given scope of answering so as to enable them give their honest perceived weaknesses of the system. Out of the 8 questionnaires, for this question, 6 were completed. Of the completed questionnaires, the following 3 are the reported weaknesses of the records management policy.

- It changes, not a permanent document
- Does not specify on the guidelines of the disposal method of the document
- Works only with internet.

SECTION C: RECORDS KEEPING SYSTEMS
Table 1: Types of record keeping systems

Manual	electronic

				online			offline	
1	Shelves	8	1	SAN	2	1	RM.OM	2
2	Drawers	8	2	JBOD	0	2	Flash Disk	0
			3	CP	0	3	External Hard drive	2
						4	Computers	8

Table 1 above shows the types of records keeping systems. All of the respondents accepted to having drawers and shelves, two of the respondents agreed to having SAN, 2 said they had RM.OM and 0 said Flash Disk, 2 agreed to External Hard drive and 8 said they had Computers.

Table 2: types of records keeping systems by institution

LEGEND.

SAN - STORAGE AREA NETWORKS

JBOD - JUST A BUNCH OF DISCS

CP - CLOUD COMPUTING

RM.OM – REMOVABLE MAGNETIC OR OPTICAL MEDIA.

	mannual	electronic

				Online			offline	
RUSANGU	1	Shelves	■	1	SAN	■	1	RM.OM	■
	2	Drawers		2	JBOD		2	Flash Disk	
				3	CP		3	External Hard drive	■
							4	Computers	■
NIPA	1	Shelves		1	SAN		1	RM.OM	
	2	Drawers		2	JBOD		2	Flash Disk	
				3	CP		3	External Hard drive	
							4	Computers	■
CAVENDISH	1	Shelves		1	SAN		1	RM.OM	
	2	Drawers		2	JBOD		2	Flash Disk	
				3	CP		3	External Hard drive	
							4	Computers	■
EVELYN HONE	1	Shelves		1	SAN		1	RM.OM	
	2	Drawers		2	JBOD		2	Flash Disk	
				3	CP		3	External Hard drive	
							4	Computers	■

Table 2 above shows the types of records keeping systems by institution. RUSANGU has Shelves, SAN, RM.OM, Drawers, Flash Disk, External Hard drive and Computers.   NIPA   has Shelves, Drawers and Computers. Cavendish has Shelves, Drawers, JBOD and Computers. Evelyn Hone has Shelves, Drawers and Computers .

SECTION D: EMPLOYEE COMPETENCE LEVELS

Figure 7: qualifications of personnel in charge of records management
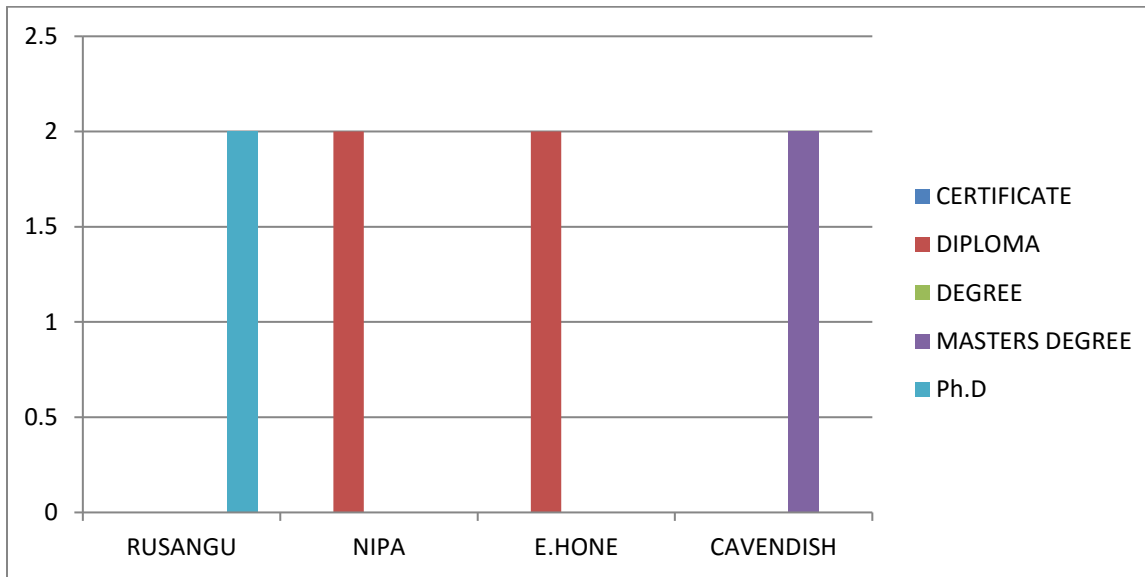
Figure 7 above shows the highest qualifications of personnel in charge of records management. Rusangu reported to have a Ph.D., while Cavendish reported to having a Master's degree, with NIPA and Evelyn Hone reported to having diploma holders.

Table 3: Qualified records managers

RUSANGU UNIVERSITY	NON	
	1 TO 4	■■■■■■
	5 TO 8	
NATIONAL INSTTUTE OF PUBLIC ADMNSTRATION (NIPA)	NON	
	1 TO 4	■■■■■■
	5 TO 8	
CAVENDISH UNIVERSITY	NON	
	1 TO 4	■■■■■■
	5 TO 8	
EVELYN HONE COLLEGE	NON	

	1 TO 4	
	5 TO 8	■■■■■■

Table 3 above shows the number of qualified records managers at each institution, Rusangu reported 1 to 4, NIPA reported also reported 1 to 4, Cavendish also reported 1 to 4 and 5 to 8.

Figure 8: programme for training staff.
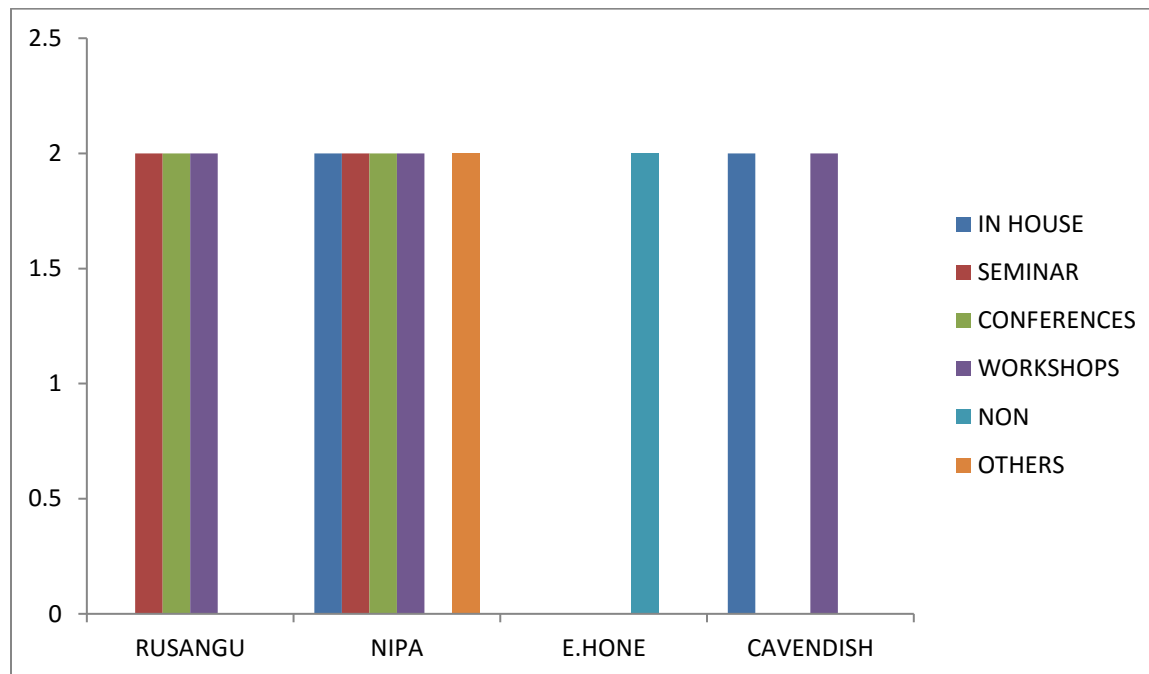
Figure 8 above shows the program for training staff. Rusangu reported to use Seminars, conferences and workshops, NIPA reported to use in house, Seminars, conferences, workshops and others, E. Hone hasn't got any means in place while Cavendish reported to having in house and workshops.

Figure 9: support of records management by top management.

SUPPORT OF RECORDS MANAGEMNT BY TOP MANAGEMENT.

- YES
- NO
- TO SOME EXTENT-YES
- ABSTAINED
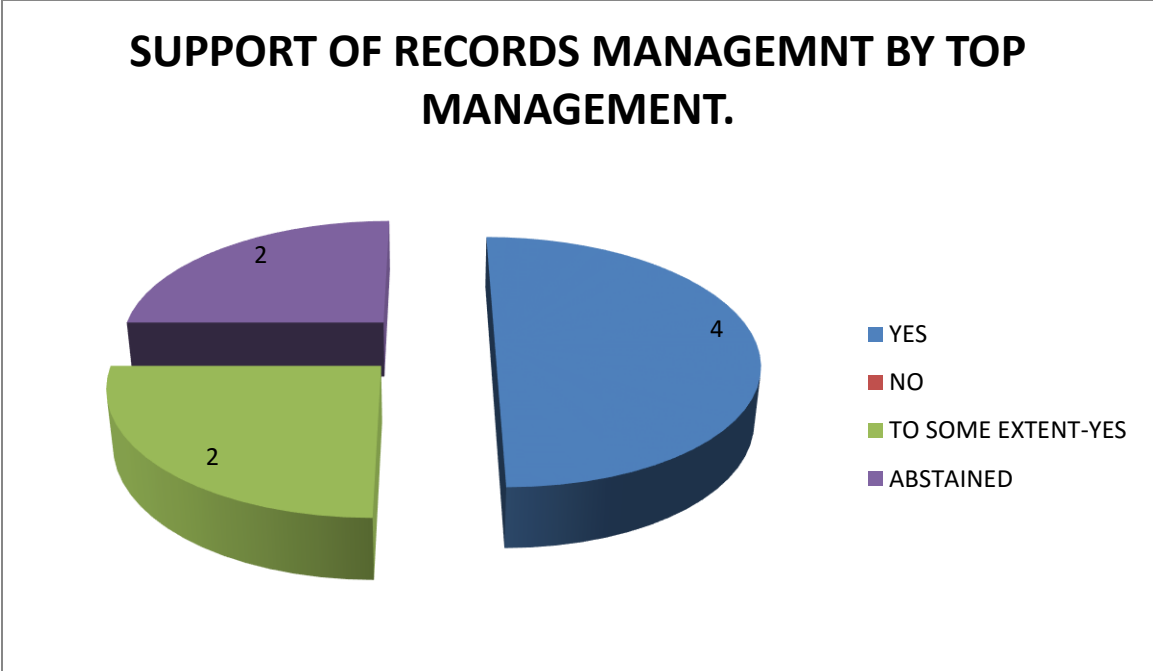
Figure 9 above shows respondent's views on whether top management supported of records management system. Two of the respondents abstained, 2 said to some extent yes and 4 said yes.

SECTION E: CHALLENGES OF RECORDS MANAGEMENT PRACTICES
Figure 10: challenges affecting efficient and effective records management practices.

- INSUFFICIENT RESOURCES
- INCOMPETENT PERSONAL
- LIMITED STORAGE SPACE
- INEFFECTIVENESS IN RECORDS MANAGEMENT PRACTICES
- INADEQUATE INFRASTRUCTURE FACILITIES
- CONSTANT POWER FAILURE

Figure 10 above shows the supposed challenges affecting efficient and effective records management practices. This was a cross-tabulation between the point of enquiry and the

institution. Rusangu reported insufficient resources, incompetent personnel, limited storage space, constant power failure and misplacement of records, NIPA reported insufficient resources, limited storage space, misplacement of records and others, Evelyn Hone reported insufficient resources and inadequate infrastructure and Cavendish reported insufficient resources.

PART 2: DISCUSSION OF FINDINGS.

SECTION A: DEMOGRAPHIC DATA

Section A discusses the demographic background of the respondents. By gender most of the respondents where female, who stood at 5 out of the sampled 8. By percentage, the females stood at 62.5% while the males stood at 37.5%. This came out like this because mostly the women are easily approachable and accommodating. The second dimension was finding out the age distribution of the respondents. Most of the respondents were aged between age 30 and 40, these were represented by 3 people, a figure followed by those in the age group 41 to 50 and 20 to 30, represented by 2 people apiece and one respondent was above age 50. The age distribution was concentrated in those middle aged, a finding that is consistent with the levels of education, which was the third variable under consideration. The findings regards educational qualification, most of the respondents, at 4 people were diploma holders, followed by 2 degree holders with Masters and Ph.D sharing one person each. Another of the demographic variable under this was the respondent's positions at work. Most of the respondents were clerks, represented by 3, there were 2 records managers and 2 librarians and one registrar. The less numbers of people with higher qualifications is due to the fact that most of the respondents were serving in positions that do not warranty the higher degrees.

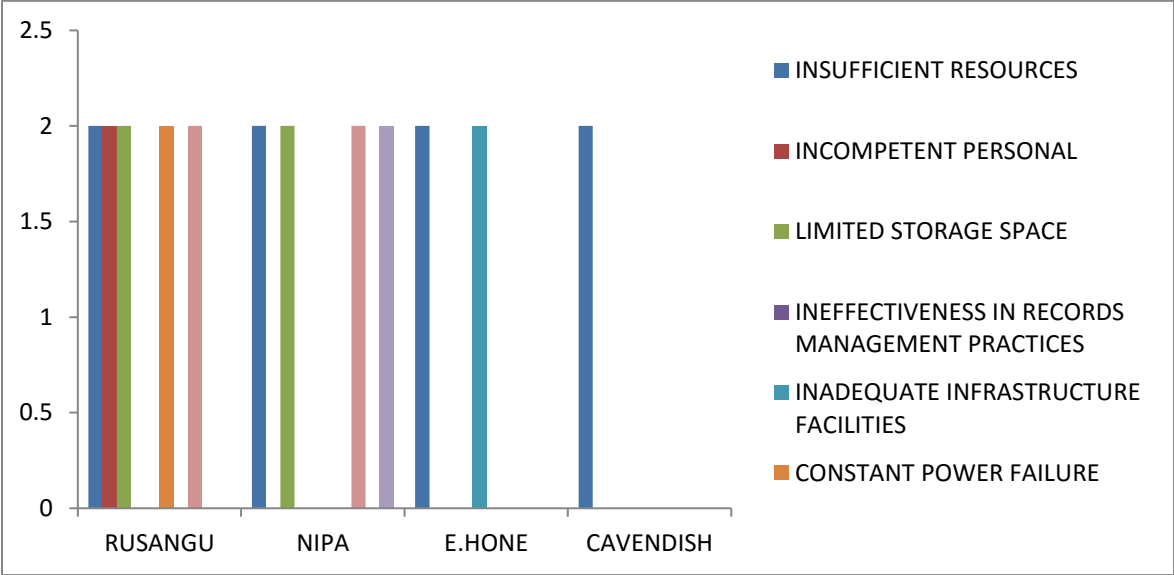## SECTION B: AWARENESS AND PRESENCE OF A RECORDS MANAGEMENT POLICY

Section B of the study focused on the awareness and presence of a records management policy in the institutions that were considered under this study. All institutions agreed to have a records management policy. This is like this because in any place where records are of importance, it is a requisite thing to have a records management policy. This can either be one that is written down or one that is just enshrined in the way the institutions handle all the records where there isn't

any written down procedure. This was followed by an enquiry of the means of awareness of a records policy within the institution. 3 of the respondents agreed to having had workshops as the means of awareness, another 3 agreed to emails, 1 agreed to circulars and 1 said other means. For the one that said other means, respondents were asked to specific which other means.

These findings show that these institutions may have a records management policy, but it's not clearly outlined. These findings are in agreement with Musembe (2016) who carried out a study to investigate records management in institutions of higher learning and the study established that, the university lacked a clear records management policy and Coetzer (2012) in her Master's dissertation who sought to investigate the status of records management at the University of Zululand, there also appeared to be no specific policy for records management.

WEAKNESSES OF THE RECORDS MANAGEMENT POLICY

Still under section B, respondents were asked what they thought as the weaknesses of the records management policy they had. Regarding the weaknesses of the records management policy, respondents were not given any scope of answering so as to enable them give their honest perceived weaknesses of the system. Out of the 8 questionnaires, for this question, 6 were completed. Of the completed questionnaires, the following 3 are the reported weaknesses of the records management policy.

- It changes, not a permanent document
- Does not specify on the guidelines of the disposal method of the document
- Works only with internet.

SECTION C: RECORDS KEEPING SYSTEMS

Section C shows the records keeping systems available at the sampled institutions. The types of records keeping systems. All of the respondents from all the institutions accepted to having drawers and shelves, two of the respondents agreed to having SAN, 2 said they had RM.OM and 0 said Flash Disk, 2 agreed to External Hard drive and 8 said they had Computers. Computers and drawers and shelves are common in all institution. Another dimension was finding out what types of records keeping systems were there by institution. RUSANGU has Shelves, SAN, RM.OM, Drawers, Flash Disk, External Hard drive and Computers. NIPA has Shelves, Drawers

and Computers. Cavendish has Shelves, Drawers, JBOD and Computers. Evelyn Hone has Shelves, Drawers and Computers.

These findings are in agreement with the findings of Anegbu and Adenike (2013) in their study noted that records at the Ministry of Information and Strategy in Nigeria kept their records safe on Compact Disks and flash drives and in a study conducted by Chinyemba and Ngulube at the University of KwaZulu-Natal, they noticed the presence of personal computers in every office and a local area network at the University of KwaZulu-Natal which shows that the University is increasingly making use of digital records. Hoyle and Sebina (2006) observed in Lesotho that personnel registries at the ministries were well-organized as files were housed in compact units or filing cabinets and information was relatively secure and files were easily located by responsible staff.

SECTION D: EMPLOYEE COMPETENCE LEVELS

Section D of the study measured employee competence levels. Under this, the research measured the highest qualifications of personnel in charge of records management. This was a cross-tabulation by institution. Rusangu reported to have a Ph.D., while Cavendish reported to having a Master's degree, with NIPA and Evelyn Hone reported to having diploma holders. The next question showed the number of qualified records managers at each institution, Rusangu reported 1 to 4, NIPA reported also reported 1 to 4, and Cavendish also reported 1 to 4 and 5 to 8. This was followed the question asking the respondents what the program for training staff was in place in their institutions. Rusangu reported to use Seminars, conferences and workshops, NIPA reported to use in house, Seminars, conferences, workshops and others, E. Hone hasn't got any means in place while Cavendish reported to having in house and workshops. Another point of enquiry was asking respondents what their views on whether top management supported of records management system. Two of the respondents abstained, 2 said to some extent yes and 4 said yes. The other two that abstained did not give any particular reason as to why they abstained from answering this question.

This study shows that there are low numbers of qualified records managing personal, and in agreeing with these findings Seniwoliba (2016) conducted a study at the University of Development studies in Ghana and revealed that the university lacked competent or qualified records management staff hence resulting in poor management of records.

SECTION E: CHALLENGES OF RECORDS MANAGEMENT PRACTICES

This research also sought to establish the challenges institutions of higher learning face (see figure 10) in ensuring effective and efficient records management practices. The findings revealed that the four institutions face similar and different challenges that affect efficient and effective records management practices, these include; insufficient resources, inadequate infrastructure, misplacement of records, frequent power failure, limited storage space and incompetent personnel. Thus the identified challenges lead to difficulties in locating and retrieving records when requested, loss of sources of information, delay in administrative operations which can lead to poor decision making and planning, and loss of the institutional or corporate memory. According to Sphere (2002) records in any organization ensure business is conducted in an orderly manner, documentation of organization policies, decisions and other activities, meet legislative and regulatory requirements, continuity of operations in case of an emergency or disaster and to maintain corporate and institutional memory. This implies that these challenges of ineffective and inefficient records management practices lead to records not providing relevant, complete, accurate and timely information required ensuring proper functioning of the institutions of higher learning or any other organization. These findings are similar with the findings of Akor and Udensi (2013) which revealed the following as challenges associated with proper records management: ineffectiveness in record management practices, incompetent personnel, inadequate infrastructural facilities and constant power failure. This implies that most institutions of higher learning in Africa face the same challenges in ensuring efficient and effective records management practices. The findings of this study clearly show the importance of comparative studies between institutions of higher learning within a country as well as with those in other countries to help establish what challenges these various institution of higher learning both private and public are facing in ensuring efficient and effective records management practices in institutions of higher learning to help come up with principles that can help ensure better and proper records management practices are installed.

CHAPTER 5: CONCLUSION AND RECOMMENDATIONS.

5.1 CONCLUSION

In conclusion, the importance of research in highlighting and solving be it societal or institutional problems cannot be over emphasized. It was for this reason that this study was conducted to understand records management practices in institutions of higher learning. The research arose from the researchers own interest in records management practices in institutions of higher learning.

Even if the self-administered questionnaires were detailed; close formal instructions were established with the selected 8 respondents to better understand the basis of the research. It came to be found out that all of the respondents worked in line with managing records in the sampled institutions. An interview guide was also used at some point to gain deep insight into how the respondents understood records management.

It was found out that all the sampled institutions had records management policies in place because it is a requisite thing to have a records management policy. This can either be one that is written down or one that is just enshrined in the way the institutions handle all the records where there isn't any written down procedure. The sampled institution also had a means of creating awareness. Although there were some weaknesses that were found and challenges that were found with the systems, as it is with every system.

5.2 RECOMEMDATIONS.

In view of the above findings, it is recommended that the government and top management of the institutions of higher learning should increase the amount of funds it allocates to records management practices, this is so that they can conduct their programs efficiently and effectively

by purchasing needed equipment for records management e.g shelves and computers. The government and top management of higher learning institutions should as well ensure a well and proper defined records management policy to aid record managers conduct the records management practices in an efficient and effective manner. It is recommended also that there be encouraged more in and outhouse trainings for records managers so as to keep them updated with the trends in records management. Records managers should also be encouraged to pursue higher qualifications in the records management field. Finally it is recommended that there should be more records management programs running so as to train competent records managers.

5.3 RECOMMENDATIONS FOR FUTURE RESEACH

It is recommended that future researchers should focus more on conducting detailed researches pertaining to records management practices in institutions of higher learning, this is because it has been noted that there are many gaps in this area of study and as far as records management is concerned this area is lacking.

APPENDIX 1: QUESTIONNAIRE.

SECTION A: DEMOGRAPHIC DATA

1. Gender

(a)   Male   [ ]

(b)   Female [ ]

2. What is your age range?

(a) Below 20 [ ]

(b) 20-30 [ ]

(c) 31-40 [ ]

(d) 41-50 [ ]

(e) above 50 [ ]

3. Highest academic qualification obtained in records management or related courses:

(a)   Certificate   [ ]

(b)   Diploma   [ ]

(c)   Degree   [ ]

(d)   None   [ ]

(e)   Other   specify

…………………………………...

………

…………………………………………………....

4. Your current position within the institution?

(a)   Records manager   [ ]

(b)   Clerk   [ ]

(c)   Librarian   [ ]

(d)   Other   specify

……………………………………………………………………………………………
………………………….

……………………………………………………………………………………………
………………………………………………………....

SECTION B: RECORDS MANAGEMENT POLICY

5. Do you have a records management policy?

a)   Yes   [ ]

b)   No   [ ]

6.   If No to the above question, how do you manage records without a records management
policy?

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………………………………………………………….

7. How are members of staff made aware of the records management policy?

(a)   Internet   [ ]

(b)   E-mail   [ ]

(c)   Circulars   [ ]

(d)   Other

Specify……………………………………………...

8. What are the weaknesses of the current records management policy?

……………………………………………………………………………………………

………………………………………………………………….

9. How do you think these weaknesses can be addressed?

……………………………………………………………………………………………

……………………………………………………………………………………………

SECTION C: RECORDS KEEPING SYSTEMS.

10. What types of records keeping systems do you have in your institution? You may tick more than one.

Manual systems

(a) Shelves [ ]

(b) Drawers [ ]

Electronic systems

Online storage

(c) Storage Area Networks (SAN) [ ]

(d) Just a Bunch of Disks (JBOD) [ ]

(e)Cloud Computing (CP) [ ]

Offline storage

(f) Removable magnetic or optical media e.g DVD [ ]

(g) Flash disk [ ]

(h) External hard drives [ ]

(i) Computers [ ]

(j)   Others   specify:
………………………………………………………………………………………………...............
....

SECTION C: COMPETENCE LEVELS

11. What is the highest qualification of the personnel in charge of records management?

a)   Certificate   [ ]

b)   Diploma   [ ]

c)   Degree   [ ]

d)   Master's Degree   [ ]

e)   Other specify……………………………...

12. How many qualified records managers does this institution have?

a)   (a) Non   [ ]

b)   (b) 1-4   [ ]

c)   (c) 5-8   [ ]

d)   Other specify …………………………………………………………………..

13. What records staff training program do you have? [You may tick more than one]

a)   In house training   [ ]

b)   Seminar attendance   [ ]

c)   Conferences   [ ]

d)   Workshops   [ ]

e)   None   [ ]

f)   Others
specify…………………………………………………………………………………………………
……………..

14. Does the top management of the institution support records management?

………
……………………………………………

SECTION D: CHALLENGES

15. What are the challenges affecting efficient and effective records management practices?

   (a) Insufficient resources   [ ]

   (b)   Incompetent personal   [ ]

   (c)   Limited storage space   [ ]

   (d) Ineffectiveness in records management practices [ ]

   (e) Inadequate infrastructure facilities [ ]

   (f) Constant power failure [ ]

   (g) Ineffective retrieval methods [ ]

   (h) Misplacement of records [ ]

   (i) Theft [ ]

   (j)   Others   specify
………
…………..

16. How do you think the challenges you have ticked above be curbed?

UNIVERSITY OF ZAMBIA
SCHOOL OF EDUCATION

DEPARTMENT OF LIBRARY AND INFORMATION SCIENCE

Telephone: 0211-291381   P O Box 32379

Fax: 0211-292702   Lusaka, Zambia

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Dear Sir/Madam

REQUEST TO CARRY A RESEARCH IN YOUR INSTITUTION

Reference is made to the above-mentioned subject.

This serves to confirm that the following are Undergraduate students of The University of Zambia, School of Education and registered in the Department of Library and Information Science.

1. ....

2. ....

3. ....

4. ....

5. ....

As one of the requirements to graduate, final year students are required to undertake a research project. The title of this group's research is:

....

....

....

....

In this regard, I am requesting your office to allow the students to carry out this research in your institution.

Yours faithfully

K L Daka (Mrs)

RESEARCH COURSE CO-ORDINATOR

BUDGET

ITEM	DESCRIPTION	TOTAL (K)
ACTIVITY 1- PROPOSAL AND QUESTIONNAIRE - Submission of research topics - Submission of the statement of the problem - Submission of proposal for approval - Submission of Final proposal printing - Binding of proposal - Printing of Interview guides	 1pages*K1 2pages*K1 15pages*K1 15 pages*K1 6 interview guides*K2 per interview guide **SUBTOTAL**	 1 2 50 15 15 12 **K 95.00**

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